

Richard Rhodes

Police and Crime Commissioner for Cumbria

Carleton Hall

Penrith CA10 2AU



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Our reference: DC

Date: 28 November 2014

AGENDA

TO: THE MEMBERS OF THE JOINT AUDIT AND STANDARDS COMMITTEE

CUMBRIA POLICE & CRIME COMMISSIONER AND CUMBRIA CONSTABULARY JOINT AUDIT AND STANDARDS COMMITTEE

A Meeting of the Joint Audit & Standards Committee will take place on **Monday 8th December 2014** in **Conference Room Two**, Police Headquarters, Carleton Hall, Penrith, at **10.30 am**.

**S Edwards
Chief Executive**

Note: Members are advised that allocated car parking for the meeting is available in the Visitors Car Park to the left of the main Headquarters building.

Please note – there will be a private meeting between the members 09.30am – 10.30am

COMMITTEE MEMBERSHIP

Mr Patrick Everingham (Chair)
Mrs Fiona Daley
Mr Andy Hampshire
Mr Jack Jones

AGENDA

PART 1 – ITEMS TO BE CONSIDERED IN THE PRESENCE OF THE PRESS AND PUBLIC

1. APOLOGIES FOR ABSENCE

2. URGENT BUSINESS AND EXCLUSION OF PRESS AND PUBLIC

To consider (i) any urgent items of business and (ii) whether the press and public should be excluded from the Meeting during consideration of any Agenda item where there is likely disclosure of information exempt under s.100A(4) and Part I Schedule A of the Local Government Act 1972 and the public interest in not disclosing outweighs any public interest in disclosure.

3. DISCLOSURE OF PERSONAL INTERESTS

Members are invited to disclose any personal/prejudicial interest which they may have in any of the items on the Agenda. If the personal interest is a prejudicial interest, then the individual member should not participate in a discussion of the matter and must withdraw from the meeting room unless a dispensation has previously been obtained.

4. MINUTES OF MEETING

To receive and approve the minutes of the committee meeting held on 22 September 2014 (copy enclosed)

5. ANNUAL REVIEW OF GOVERNANCE 2014 – 15

Role of the Chief Finance Officer for the PCC

(a) A report on the review of the role of the Commissioner's Chief Finance Officer (copy enclosed) – *To be presented by the Commissioner's Chief Finance Officer*

Role of the Chief Finance Officer for the Chief Constable

(b) A report on the review of the role of the Chief Constables Chief Finance Officer (copy enclosed) – *To be presented by the Chief Constables Chief Finance Officer*

Commissioner's Annual Governance Statement – Development and Improvement Plan 2014/15

(c) A report of the Chief Finance Officer of the Commissioner on the review and update of the 14/15 Annual Governance Plan – Action Plans (copy enclosed) – *To be presented by the Commissioners Chief Finance Officer*

Chief Constable's Annual Governance Statement – Development and Improvement Plan 2014/15

(d) A report of the Chief Finance Officer of the Chief Constable on the review and update of the 14/15 Annual Governance Plan – Action Plans (copy enclosed) – *To be presented by the Chief Constables Chief Finance Officer*

6. FINANCIAL REGULATIONS – REVISION OF CAPITAL SECTION

A report of the Chief Finance Officer of the Commissioner on the review of the Capital Section of the Financial Regulations (copy enclosed) – *To be presented by the Commissioners Chief Finance Officer*

7. HMIC REPORTS

To receive a review of the HMIC Inspection reports with specific focus on Cumbria Constabulary (copy enclosed) – *To be presented by the Deputy Chief Constable*

8. GRANT THORNTON ANNUAL AUDIT LETTER

To receive from Grant Thornton UK LLP the Annual Audit Letter for 2013-14

9. MONITORING OF AUDIT, INTERNAL AUDIT AND OTHER RECOMMENDATIONS AND ACTION PLANS

To receive an updated summary of actions implemented in response to audit and inspection recommendations (copy enclosed) – *To be presented by the Chief Constable's Chief Finance Officer*

10. INTERNAL AUDIT – PROGRESS REPORT

To receive a progress report from the Management Audit Unit (copy enclosed) - *To be presented by the Ms E Toyne*

11. TREASURY MANAGEMENT ACTIVITIES 2013-14 – JULY TO SEPTEMBER 2014

To receive a report on treasury management activities for July to September 2014 (copy enclosed) – *To be presented by the Commissioner's Chief Finance Officer*

12. OPCC RISK MANAGEMENT MONITORING

To receive a report on OPCC risk management monitoring along with the OPCC Strategic Risk Register (copy enclosed) – *To be presented by the Governance and Business Services Manager*

13. RISK MANAGEMENT UPDATE - CONSTABULARY

To receive an update on the Constabulary risk management strategy, including the Strategic Risk Register (copy enclosed) – *To be presented by the Deputy Chief Constable*

14. VALUE FOR MONEY

Police and Crime Commissioner Review of Value for Money and Draft Reserves Policy

- (a) To receive a report from the Chief Finance Officer of the Commissioner on the value for money of the OPCC. The report includes as part of the review a draft policy on reserves for 2015/16. (copy enclosed) – *To be presented by the Commissioner's Chief Finance Officer*

Chief Constable Review of Value for Money

- (b) To receive a report from the Chief Finance Officer for the Chief Constable on the value for money of the Chief Constable (copy enclosed) – *To be presented by the Chief Constable's Chief Finance Officer*

PART 2 - ITEMS TO BE CONSIDERED IN THE ABSENCE OF THE PRESS AND PUBLIC

15. HMIC REPORTS – APPENDIX 1

- To receive Appendix 1 from the HMIC Report (Agenda Item 7)(copy enclosed) – *To be presented by the Deputy Chief Constable*

**Agenda Item 4****CUMBRIA POLICE & CRIME COMMISSIONER AND CUMBRIA CONSTABULARY****JOINT AUDIT & STANDARDS COMMITTEE and EXECUTIVE BOARD**

Minutes of a Meeting of the Joint Audit & Standards Committee and the Executive Board held on Monday 22nd September 2014 in The Board Room, Penrith Rugby Club, Penrith, at 10.15 am

PRESENT

Mr Patrick Everingham (Chair)
Mrs Fiona Daley
Mr Andy Hampshire
Mr Jack Jones

Also present:

Audit Manager, Cumbria Shared Internal Audit Service, Cumbria County Council (Emma Toyne)
Engagement Lead, Grant Thornton (Fiona Blatcher)
Manager, Grant Thornton (Richard McGahon)
Police and Crime Commissioner (Richard Rhodes)
Chief Constable (Jerry Graham)
Assistant Chief Constable (Michelle Skeer)
Constabulary Chief Finance Officer (Roger Marshall)
Commissioner's Chief Finance Officer (Ruth Hunter)
Deputy Chief Finance Officer (Michelle Bellis)
Governance & Business Services Manager (Joanne Head)

PART 1 – ITEMS CONSIDERED IN THE PRESENCE OF THE PRESS AND PUBLIC**110. APOLOGIES FOR ABSENCE**

No apologies for absence were received as all members were present.

111. URGENT BUSINESS AND EXCLUSION OF THE PRESS AND PUBLIC

There are no items of urgent business or items to be excluded from the press and public to be considered by the Committee.

112. DISCLOSURE OF PERSONAL INTERESTS

There were no disclosures of any personal interest relating to any item on the Agenda.

113. MINUTES OF MEETING

The minutes of the meeting held on 23 June 2014 had been circulated with the agenda.



RESOLVED, that, the minutes of the meeting held on 23 June 2014 be approved.

114. AUDIT FINDINGS REPORT

The Engagement Lead from Grant Thornton presented the audit findings report which provided their opinion on the Police and Crime Commissioner's (the Commissioner) and the Chief Constable's financial statements up to the year ended 31 March 2014. In addition they had considered whether proper arrangements were in place to secure economy, efficiency and effectiveness in their use of resources referred to as the Value for Money conclusion.

They advised that at the time of compiling the report the audit was substantially completed with a few areas of work to be finalised. The Engagement Lead reported that this work had now been fully completed and that there were no new issues. She praised the Finance Team on making the statement of accounts understandable, providing a readable summary, removing unnecessary information and providing an annex explaining technical issues.

Following the audit there had been some amendment to the draft accounts, however these were technical changes and did not affect the overall statement of accounts.

With regard to the CIPFA Code and the valuing of assets, the Engagement Lead advised that the code suggested the simultaneous valuing of assets, as at present this was done on a cyclical basis, and that all valuations should be correct as at 31 March. The Commissioner advised that due to the large number of assets and locations this would be difficult and expensive to achieve. The Engagement Lead recognised this but merely wanted to point out the information in the Code.

The Engagement Lead briefed the meeting on the Value for Money conclusion contained within the report. There were significant challenges for both organisations in the current economic climate. Previously there had been a history of underspend and growing reserves with a yearly increase in council tax precept. With the implementation of a new Medium Term Financial Strategy these issues were being addressed with the use of reserves assisting with the reduction in budgets and resources. The Constabulary's workforce planning was stronger than in previous years with the inclusion of officer recruitment enabling a clearer recognition of future requirements.

Member's attention was brought to the final audit fees and the confirmation that there were no fees for the provision of non-audit services. The Engagement Lead advised that they would be providing tax advisory services to the Commissioner from 2014/15 for a period of three years. However Grant Thornton would remain independent as auditors.

The members thanked the external auditors for their report and were pleased to note what processes were now in place to manage the current reserves. The Commissioner advised that these matters were discussed with the Chief Constable at the Executive Board meetings and that previous underspend had afforded the Commissioner and the Constabulary the ability to



provide capital funding for the current CCTV project throughout Cumbria and other projects which would enable the Constabulary to deal with crime and help victims and witnesses. One member raised concerns regarding ICT projects and slippage within capital schemes and they were advised that since the completion of the accounts in the latest capital budget report there was no slippage. Controls were now in place however the full picture would not be known until the end of the financial year.

A discussion took place on the role of the Police and Crime Panel and their scrutiny of the Commissioner and his ability to provide policing services within a balanced budget. The Commissioner's Chief Finance Officer briefed members on the process in relation to the setting of the council tax precept and events that had affected the panel's decisions earlier in the year. The Commissioner advised that he was undertaking a series of consultation events and surveys with the public of Cumbria to gain their views on what they thought should be an appropriate level of council tax precept. These findings of these would then be used when formulating proposals for the next financial year.

RESOLVED, that, the report be noted.

115. ANNUAL STATEMENT OF THE ACCOUNTS – POLICE AND CRIME COMMISSIONER

The Commissioner's Chief Financial Officer presented a report to assist members with their role in reviewing the statement of accounts. The report contained two main sections covering assurance on the Commissioner's financial position and the debates on judgements made on the final accounts. Assurances on the statement of accounts were provided by the Internal Audit work which contributed to an effective control environment and nine out of the eleven internal audits relating to finance had received a rating of good. Grant Thornton also provided assurance as they had not identified any adjustments affecting the Commissioner's or Chief Constable's financial position.

Members were briefed on how the Commissioner had complied with the Annual Governance Statement and reviewed his code of corporate governance. The Commissioner's Chief Finance Officer explained the single entity and group accounts and the work which had been carried out to correctly apportion assets and where necessary that the Constabulary were recharged for usage. With all police staff transferring to the Chief Constable as of 1 April 2014 this would reduce some of the issues in future years. It was noted that it was only the Commissioner who held a bank account which resulted in debtors and creditors sitting within the Commissioner's accounts.

The Commissioner's Chief Finance Officer advised that the accounts had been produced in line with the CIPFA Code. She advised that members had been provided with two sets of the accounts, one which highlighted any changes made to the accounts following audit and a copy which included all the changes.

The Members thanked the Chief Finance Officer for her reports and agreed that due to the compilation of the documents and their contents these supported the committee in their role.



One member did raise concerns regarding the current level of reserves and hoped that the medium term financial plan would address this issue as the committee did not want to be advised of the same position at the end of the this financial year.

The Commissioner's Chief Finance Officer advised members that the current revenue budget would hold reserves at a higher level in the foreseeable future and explained the situation regarding the Government's review on the funding formula. Until the review was complete it was as yet unknown how this would affect the funding for Cumbria and therefore decisions would be made following the outcome of the review.

The Committee, having received, noted and considered the Statement of Accounts for 2013/14 of the Police and Crime Commissioner; together with the relevant quarterly reports of Internal Audit, the findings of External Audit and the supporting narrative of the Chief Finance Officer, were satisfied that these accounts were both comprehensive and compliant with current accounting policies and practice. The committee had no concerns to raise regarding the accounts and were able to be assured in recommending their adoption by the Police and Crime Commissioner.

The members wished to record their appreciation of the work of the finance teams of the Commissioner and the Chief Constable in producing the accounts and noted the clarity and focus of the papers prepared in supporting the work of the Committee.

RESOLVED, that, the

- (i) reports be noted;
- (ii) Members recommend the signing of the accounts by the Police and Crime Commissioner; and
- (iii) Statement of Accounts and accompanying Governance Statement be published.

116. ANNUAL STATEMENT OF THE ACCOUNTS – CHIEF CONSTABLE

The Chief Constable's Chief Finance Officer presented a report to assist members with their role in reviewing the statement of accounts. The report provided assurance for the members on the accounts to assist them in their decision whether or not to recommend to the Chief Constable that he sign the Statement of Accounts.

The report identified any adjustments made following examination of the accounts by the external auditors. The Chief Finance Officer confirmed that with the exception of the adjustment the accounts were identical to those of the Commissioner.

The Committee, having received, noted and considered the Statement of Accounts for 2013/14 of the Chief Constable; together with the relevant quarterly reports of Internal Audit, the findings of External Audit and the supporting narrative of the Chief Finance Officer, were satisfied that these accounts were both comprehensive and compliant with current



accounting policies and practice . The committee had no concerns to raise regarding the accounts and were able to be assured in recommending their adoption by the Chief Constable.

The members wished to record their appreciation of the work of the finance teams of the Commissioner and the Chief Constable in producing the accounts and noted the clarity and focus of the papers prepared in supporting the work of the Committee

RESOLVED, that, the

- (i) reports be noted;
- (ii) Members recommend the signing of the accounts by the Chief Constable; and
- (iii) Statement of Accounts and accompanying Governance Statement be published.

The Commissioner and the Chief Constable formally signed the Statement of Accounts and Letter of Representation for the External Auditors.

Note – The Commissioner and Chief Constable then left the meeting at this point.

117. MONITORING OF AUDIT, INTERNAL AUDIT AND OTHER RECOMMENDATIONS AND ACTION PLANS

The Chief Constable's Chief Finance Officer presented a report regarding the monitoring of recommendations and actions arising from audits and inspections. There were a total of 24 recommendations with 7 being completed and 7 being carried forward. He advised that the recommendations reflected the current audit plan and illustrated the move away from financial audits to the wider activities of the Constabulary.

He then briefed members on three main themes within the report. The first was in relation to procurement policies. These had recently been reviewed and now strengthened current arrangements, providing a robust and pragmatic approach whilst addressing previous issues and concerns. A new Head of Procurement had recently been appointed and this would assist in a renewed impetus to procurement procedures.

The second was in relation to seized property as previously there had been a number of issues identified. Work had been undertaken to address this issue although this was not reflected within the report presented to members. Procedures were now in place to improve the recording of seized property and its removal. The Constabulary were also trying to reduce the amount of seized property it held at any one time by either returning the property or destroying it as appropriate. Renewed training for officers and staff had been disseminated throughout the force and seized property was now discussed as part of the 5 weekly performance framework reviews. Officers and staff would be held accountable for property they had seized and processed.



The Deputy Chief Constable then guided members through the third theme which related to Data Quality. She advised that there was now a sergeant and three data quality assurance officers focusing on quality assurance of data. Officers and staff would be assessed on data quality as part of their individual 5 weekly performance reviews and any unsatisfactory performance would be raised and monitored. Training had taken place throughout the force with all Inspectors and Sergeants receiving a briefing session with the Force Crime Registrar. It was essential that data quality was good to enable data checkers to be removed, thus implementing the Change Programme and the Constabulary's ability to address the reduction in budget and officer numbers.

During the HMIC inspection they had focused their audit on data from November 2012 to October 2013 to ensure that all forces were assessed on the same time period. The Deputy Chief Constable advised that changes had been made from October 2013 however these were not considered as part of the inspection. No integrity issues had been found and a full report was expected in October 2014. All elements raised by HMIC had been compiled in an action plan and it was the Constabulary's intention to replicate the HMIC audit before the end of the year to assess progress and compliance.

In relation to the monitoring report a member asked whether the recommendations in relation to ICT were a one off or systemic. The Chief Constable's Chief Finance Officer advised that the issues was more about work prioritisation rather than errors in the system. The ICT team was to be strengthened to enable the digital and mobile working programme to be achieved. This would be on the basis of specific expertise being bought in when required.

RESOLVED, that, the report be noted.

118. INTERNAL AUDIT – PROGRESS REPORT

The Audit Manager presented a report which highlighted the progress made to date on the current Internal Audit work programme. Currently four audits had been completed; three were still in progress with eleven yet to be started.

Members were assured that the work programme was on target to be completed by the end of the financial year

RESOLVED, that, the report be noted.

119. INTERNAL AUDIT REPORTS

During the previous quarter the committee members had received copies of audits undertaken in relation to Constabulary Absence Management and the Project Management Arrangements for the new police station at Barrow.



With regard to the new build at Barrow the Committee Chair advised that although they were content with the content of the audit and had no issues or concerns, due to the scope of the project in both cost and impact terms the committee had felt it was important that they maintained their overview and scrutiny of the capital investment.

RESOLVED, that, the report be noted.

120. TREASURY MANAGEMENT ACTIVITIES 2014-15 – APRIL TO JUNE 2014

The Deputy Chief Finance Officer presented the quarterly Treasury Management report for activities which had taken place during April to June 2014. The Commissioner had approved a Treasury Management Strategy in February 2014 which was now being applied. The organisation was still on target to achieve generated interest receipts of £120k within the financial year. She also confirmed that prudential indicators had been complied with.

During the reporting period the Home Office grant in relation to pensions had been received in June resulting in investment of £17.7m increasing to £36m.

The members were pleased to note that following a decision to increase the risk appetite for investment that this was now paying dividend.

RESOLVED, that, the report be noted.

121. FUTURE MEETING REQUIREMENTS

Currently the committee considered a large proportion of governance documents at their June meeting. Due to the increased reporting requirements by CIPFA it was felt an additional meeting could be held in May which would alleviate the problem of a large volume of work to be considered at one meeting.

The current reporting cycle would be retained with the main focus of the June meeting being on the Annual Reports. A member asked whether reports would be completed in time taking into account the work to be carried out to prepare the statement of accounts. The Commissioner's Chief Finance Officer advised that it would be challenging however it would release capacity to concentrate on the statement of accounts.

One member asked whether any further training was to be provided for the committee members. The chair proposed and it was agreed that this would be discussed outside of the meeting. A member advised that the dates proposed within the report would present some difficulty due to other work commitments and enquired whether meetings could be held on either a Tuesday or a Wednesday. It was agreed that different dates would be looked at and circulated to members for agreement.

RESOLVED, that,
(i) the report be noted;



- (ii) the proposal to have an additional committee meeting in May be approved;
- (iii) consideration of having meetings on either a Tuesday or Wednesday be explored and circulated to members for agreement; and
- (iv) training for the committee members be discussed.

122. OPCC STRATEGIC RISK REGISTER

The Governance and Business Services Manager presented the OPCC's strategic risk register which had been updated from the previous quarter. Meetings had taken place with the Constabulary to discuss risks that affected both organisations and the findings were taken into account when updating the register.

As the OPCC had been in place for over 18 months it was recognised that some of the risks which appeared in the strategic risk register could now be monitored via the operational risk register as they related more to business as usual activities.

Training for all OPCC staff was currently being progressed and it was hoped that this would be undertaken by the end of the year. Risk management formed part of the induction process for all members of staff and additional support and guidance was provided to all staff within the OPCC by the Governance and Business Services Manager.

One member proposed that the OPCC consider reducing the number of risks which sat beneath overarching risks within the strategic risk register.

RESOLVED, that, the register be received.

123. CONSTABULARY RISK MANAGEMENT UPDATE

The Deputy Chief Constable presented a report which updated the committee on the Constabulary's risk management arrangements and included the quarterly review of their strategic risk register which members were guided through. Earlier in the year the Constabulary's insurers Gallagher Bassett had completed an audit of the Constabulary's risk arrangements and found them to be satisfactory. Following the audit five recommendations were made which the Constabulary were looking to address.

Members welcomed the move by the Constabulary to have the information in the public part of the meeting. They noted that a number of the recommendations made by Gallagher Bassett were linked to objectives and considered how this might affect the strategic risk register.

RESOLVED, that the report and register be received.

Meeting ended at 12.00 pm



Signed: _____

Date: _____

DRAFT



Police and Crime Commissioner for Cumbria

Role of the Chief Finance Officer (Core CFO Responsibilities)

Introduction

As part of the arrangements for reviewing governance within the OPCC the role of the PCCCFO has been formally assessed against the CIPFA role. The attached form documents the review and sets out how compliance is achieved with the CIPFA CFO responsibilities.

The internal assessment provided assurance that the OPCC is 100% compliant with the requirements of the CIPFA Role.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Principle 1 The Chief Finance Officer of the PCC and CC is a key member of the Leadership Team, helping it to develop and implement strategy and to resource and deliver the PCC's strategic objectives sustainably and in the public interest.		
1.1	Contributing to the effective leadership of the PCC and CC, maintaining focus on its purpose and vision through rigorous analysis and challenge.	The PCCCFO is a member of the Commissioner's Executive Board and leads on arrangements for financial governance. The PCCCFO is a member of the Constabulary's Force Strategic Delivery Board (FSDB), contributing to the challenge and scrutiny of strategic recommendations to the Constabulary Chief Office Group. The PCCCFO contributes to other Constabulary strategic boards where significant investment and business change is being delivered e.g. mobile and digital, strategic command centre.
1.2	Contributing to effective corporate management, including strategy implementation, cross organisational issues, integrated business and resource planning, risk management and performance management.	The PCCCFO is a member of the OPCC Executive Team. The team meets on a weekly basis with an agenda that incorporates cross cutting corporate and strategic issues. The PCCCFO leads on financial risks and under the arrangements for governance will be consulted on wider arrangements for risk management. The PCCCFO will contribute to scrutiny of the performance of the Constabulary at meetings of the Executive Board. Cross cutting issues between the OPCC and Constabulary are included on the agenda of meetings of the Accountability Board comprising Constabulary Chief Officers, the OPCC Chief Executive and Chief Finance Officer. The PCCCFO leads on the Annual Governance Statement (AGS) that includes an action plan incorporating key strategic actions and is monitored by the Joint Audit and Standard Committee (JASC).

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
1.3	<p>Supporting effective governance through development of:</p> <ul style="list-style-type: none"> corporate governance arrangements, risk management and reporting frameworks; and corporate decision making arrangements. 	<p>The PCCCFO leads on the arrangements for ensuring a Code of Corporate Governance and an AGS is reviewed/prepared on an annual basis and is compliant with codes/guidance. The PCCCFO leads on the arrangements for external audit, internal audit and the JASC. This includes ensuring the internal audit plan incorporates audit work covering key corporate and financial risks. The PCCCFO contributes to the arrangements for decision making and reporting as a member of the Commissioner's Executive Board. Arrangements for the board have been reviewed twice over the last 3 years to improve effectiveness.</p>
1.4	<p>Contributing to change programmes including identifying service efficiencies and value for money opportunities.</p>	<p>The PCCCFO is a member of the Constabulary's Force Strategic Delivery Board (FSDB) and the Accountability Board. Both boards operate as a forum to offer challenge and discuss change management proposals, efficiency and value for money. The PCCCFO leads on the scrutiny of all Constabulary investment proposals and the revenue and capital budgets providing challenge around the level of resource requirements and the assumptions made. This includes ensuring that discretionary investment decisions deliver a robust financial return or can demonstrate significant non-financial benefits. The PCCCFO provides independent advice to the Commissioner on HMIC value for money profiles.</p>
1.5	<p>Leading development of medium term financial strategies and the annual budgeting process to ensure financial balance and a monitoring process to ensure its delivery.</p>	<p>The PCCCFO leads on the arrangements for developing the Commissioner's medium term financial forecasts, advising on the robustness of the budgets and in-year management of the overall budget. This includes arrangements for Constabulary funding. The PCCCFO is supported in doing this by a shared financial support team lead by the deputy CFO.</p>

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
1.6	Ensuring that there are sound medium and long term financial plans for both revenue and capital to support the development of PCC and CC plans and strategies and that these are subject to regular review to confirm the continuing relevance of assumptions used.	The medium term financial forecasts for revenue are projected over 4 years. The capital programme is developed over 10 years. The forecasts are reviewed in detail on an annual basis between October and February. Projections of formula funding income and other factors that may have a stepped impact on resources are re-modelled at the time of government announcements.
1.7	Ensuring that advice is provided on the levels of reserves and balances in line with good practice guidance ⁶ . (PCC CFO responsibility in consultation with the CC CFO)	The PCCCFO produces an annual policy on reserves that sets out the reason for holding reserves and the amount of reserves set aside for specific purposes. This is recommended for approval annually as part of the Commissioner's budget process. The PCCCFO will make a formal statement on the level of reserves within the statutory 151 report on the robustness of the budget
1.8	Ensuring compliance with relevant CIPFA Codes including the Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code. (PCC CFO responsibility in consultation with the CC CFO)	The PCCCFO makes an annual statement to the external auditors as part of the letter of representation provided on behalf of the Commissioner in respect of compliance with relevant CIPFA codes. The Commissioner's Treasury Management Strategy confirms compliance with CIPFA's Treasury Management Codes and the prudential regime for capital financing. The requirement to comply with relevant codes is re-enforced through internal governance documents e.g. financial regulations, and is included with individual job roles for staff within the finance team. There is a level of independent assurance on Code compliance, e.g. external treasury management advisors will offer advice on the treasury management strategy/external audit will monitor compliance with the code on local authority

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		accounting/internal audit will provide advice as appropriate to specific audits.
1.9	Ensuring that budget calculations are robust and reserves adequate, as required by s25 of the Local Government Act 2003, and in line with CIPFA guidance. (PCC CFO responsibility in consultation with the CC CFO)	<p>The PCCCFO will develop the policy on reserves annually including setting the level of reserves. This includes a review of the requirement for the reserve and the adequacy of overall reserves given the financial risks faced by the OPCC/Constabulary.</p> <p>The substantial proportion of the Commissioner's budget comprises funding for the Constabulary. Arrangements for the budget include a number of analytical review checks made by the CCCFO prior to the Constabulary budget being submitted to the PCCCFO for consideration. The PCCCFO will then undertake a further level of analytical review assessing the differences in funding between years against known changes to costs and other planning assumptions. A more detailed comparison is undertaken by the deputy CFO for the purposes of presenting information to the PCP, further contributing to the level of assessment.</p> <p>Reserves are set at a level to mitigate areas of budget risk. Those areas where risks are highest and only a lower level of assurance can be given are highlighted in the S151 report.</p>
1.10	Ensuring the medium term financial strategy reflects joint planning with partners and other stakeholders.	The MTFF is the end result of work between the PCCCFO, CCCFO and deputy CFO to consider the requirements of the Constabulary and the Commissioner, including the Commissioner's wider partnership commissioning intentions that incorporates joint working with health, the county council, district councils and community safety partnerships.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Principle 2 The CFO must be actively involved in, and able to bring influence to bear on, all material business decisions (subject to the operational responsibilities of the Chief Constable) to ensure immediate and longer term implications, opportunities and risks are fully considered, and align with the overall financial strategy.		
Responsibility for Financial Strategy		
2.1	Ensuring that a financial framework is agreed and delivery is planned against the defined strategic and operational criteria.	The PCCCFO agrees the financial strategy with the Constabulary prior to submitting budget proposals to the Commissioner. The strategy is developed over a number of months taking account of change management proposals, investment decisions and aligned capital strategies/asset management plans. Discussions will take place between the PCCCFO and Constabulary leads on the strategic and operational requirements that drive the overall resource requirements e.g. discussions with Head of Estates and Fleet/ mobile and digital leads. Joint agreement is reached on the approach to risk within the budget and financing choices in respect of capital.
2.2	Maintaining a long term financial strategy to underpin PCC and CC financial viability within the agreed performance framework.	The financial strategy drives the Constabulary change management programme and is based on 4 years (revenue) and 10 years capital. The change programme develops proposals well in advance of the savings requirement for any single financial year to ensure financial viability typically for up to 2 years. A funding agreement between the Commissioner and Constabulary sets out the basis on which funding can be used and the expectations of the Commissioner in respect of financial management and governance. The agreement includes information requirements and an agreed performance framework.
2.3	Ensure financial management policies underpin sustainable long-term financial health and reviewing performance against them.	The main financial management policies are for Treasury Management and Reserves. These are developed with a view to providing a balance between risk and prudence. The approach to treasury management is developed in conjunction with external advisors and includes benchmarked information regarding the balance of financial return and risk on investments. Quarterly reports on treasury management activity provide assurance that prudential indicators have been

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		<p>complied with and that transactions have been carried out in line with strategy. The policy on reserves takes account of CIPFA guidance. The statement of accounts contain the financial policies used in respect of financial reporting and these are subject to annual review by the PCCCFO and CCCFO. The comments of the external auditors on financial resilience are taken into consideration by the PCCCFO when considering financial strategy. The capital programme is developed over a 10 year time line with a requirement that the first four years are fully funded.</p>
2.4	Ensuring that commercial and collaborated opportunities are appraised and advising on financial targets and successful delivery.	<p>The primary commercial and collaborative opportunities are in respect of the Constabulary. Some smaller collaborative/commercial arrangements exist within the OPCC, e.g. internal audit shared service. Collaborative arrangements between the Constabulary and OPCC provide for shared support services. Collaboration arrangements and major commercial procurements are subject to approval from the Commissioner and will be subject to scrutiny and challenge by the PCCCFO.</p>
2.5	Ensuring that an effective resource allocation model is developed and maintained to deliver business priorities.	<p>The process for resource allocation is based on initially producing a continuity budget against estimates of the available level of resources. Growth and savings requirements and then considered to ensure overall balance. The on-going requirement for savings means effectivity that the change management programme determines any stepped changes in resource allocation other than in respect of investments that provide an overall net return or are mandated. Change management proposals are based on value for money considerations using HMIC profiles and take account of the priorities within the police and crime plan. The PCCCFO/Commissioner will be consulted on the approach to any proposals with an impact on strategic priorities as part of the discussions on the budget and constabulary funding. The PCCCFO will scrutinise discretionary investment decisions to ensure a positive ROI as part of the budget process and under delegations from the Commissioner for the capital programme.</p>

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
2.6	Taking a leading role on asset and balance sheet management.	Governance arrangements delegate responsibility to the PCCCFO for balance sheet and asset management. The PCCCFO leads on behalf of the CE in respect of securing effective management of the Commissioner's estate. The PCCCFO meets with the Head of Estate and Fleet to discuss and informally agree the approach to asset management strategy ahead of formal budget decision making and development of the capital programme. Discussions take account of operational requirements and value for money. The PCCCFO in conjunction with the CCCFO ensures assets are properly insured. The PCCCFO leads on the arrangements for financial regulations that set out requirements in respect of asset and balance sheet management within the OPCC and Constabulary.
2.7	Ensuring that the planning and budgeting processes are fully co-ordinated	The OPCC planning cycle is aligned to development of the police and crime plan. Consultation on the plan and the budget through the Police and Crime Panel is undertaken between October and January prior to approval in February. The financial implications of the Police and Crime Plan are set out in a multi-year commissioning strategy with the funding requirements mirrored in an aligned commissioning budget.
Influencing decision making		
2.8	Ensuring that opportunities and risks are fully considered and decisions are aligned with the overall financial strategy.	The PCCCFO attends the key strategic boards within the OPCC and Constabulary: Executive Board, Executive Team, Accountability Board, FSDB and specific project boards e.g. mobile and digital/SCC. Informal meetings outside the boards with project leads are held as necessary to discuss any specific delivery risks/financial implications that require more in depth consideration.
2.9	Providing professional advice and objective financial analysis enabling decision makers to take timely and informed business decisions.	The PCCCFO will provide the Commissioner with independent financial analysis where required and provides input to decision making through the Executive Board and informal briefing sessions prior to the Executive Board. Delegations to the PCCCFO are made where decisions are taken in principle but further analysis is required.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
2.10	Ensuring that efficient arrangements are in place and sufficient resources available to provide accurate, complete and timely advice to support strategy development.	The overall resources for the shared financial support team are considered on a regular basis to ensure the support needs of both businesses are met. The statutory responsibility of the PCCCFO to advise on this is set out in the arrangements for governance.
2.11	Ensuring that clear, timely, accurate information is provided as requested by the Police and Crime Panel.	The panel are consulted on their information requirements in respect of the precept decision each year and are offered an annual seminar supported by the Constabulary to consider more detailed financial, performance and value for money information. The panel are provided with financial monitoring information during the financial year in respect of constabulary and OPCC budgets.
2.12	Ensuring that all necessary information is provided to the PCC when the Police and Crime Panel considers the budget and proposed precept. (PCC CFO responsibility in consultation with the CC CFO)	The PCC is fully briefed ahead of the Police and Crime Panel precept meeting on the key issues regarding the council tax debate. The PCCCFO presents the budget papers to the panel and will answer technical questions. The Chief Constable is in attendance to respond on questions regarding the operational implications of resource constraints.
2.13	Ensuring that capital projects are chosen after evaluating a fully costed business case complied with input from all relevant professional disciplines and can be funded in the	The financial strategy requires the capital programme to be balanced for a minimum of 4 years. Schemes included within the programme are either supported by asset management strategies that provide the rationale for cyclical replacement/maintenance programmes or require a business case to commence. Professional oversight is provided as appropriate to business case decisions.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	financial strategy.	
2.14	Checking, at an early stage, that innovative financial approaches comply with regulatory requirements.	The PCCCFO in conjunction with the CCCFO procures a range of specialist financial advisory services including treasury management, taxation including VAT/PAYE, pensions and insurance. This provides access to independent advisory services where more innovative approaches are being considered. Both organisations also work closely with the external auditors on compliance issues and liaise at the early stages of considering any changes to ways of accounting and financing transactions.
Financial information for decision makers		
2.15	Monitoring and reporting on financial performance that is linked to related performance information and strategic objectives that identifies any necessary corrective decisions.	Financial monitoring is undertaken on a monthly basis with formal reporting on a quarterly basis to the Executive Board and Police and Crime Panel. Regular discussions are held with the deputy CFO and CCCFO in order to ensure the on-going management of the budget in year and to minimise the impact of variances. The funding arrangement between the Commissioner and Chief Constable includes a schedule of information requirements and the performance monitoring framework for the financial year. The Commissioner's monitoring reports include detail of schemes and expenditure with partners and third sector organisations aligned to the commissioning strategy and police and crime plan priorities.
2.16	Ensuring that timely management accounts are prepared.	Management accounts are prepared on a monthly basis typically within 14 days of the period end.
2.17	Ensuring the reporting envelope reflects partnerships and other arrangements to give an overall	The Commissioner's financial reports detail all partnership expenditure and the links to the commissioning strategy/police and crime plan.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	picture.	
Principle 3 The CFO must lead and encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently, and effectively.		
Promotion of financial management		
3.1	Assessing financial management style and advising as to changes which may be needed to ensure it aligns with the PCC's strategic direction.	Collective responsibility for financial management is promoted through executive team meetings where the budget is a standing agenda item. Finance support officers have also attended full OPCC team meetings to brief staff on their role and to improve understanding of when to engage financial support in new/developing areas of business. Closer relationships have been promoted between the OPCC budget support officer and individual budget holders to ensure ownership of the budgets. The financial planning cycle ensures alignment between the OPCC budget, commissioning budgets, the police and crime plan priorities and constabulary requirements.
3.2	Actively promoting financial literacy.	The PCCCFO has supported the procurement of CIPFA training that will enhance financial and business skills across the OPCC and Constabulary. The arrangements for financial governance ensure all key documents that support financial literacy are developed as far as is possible with a view to their accessibility to staff.
3.3	Assisting the development of a protocol which clearly sets out the roles and responsibilities for financial management, including delegated authority/powers.	The PCCCFO leads on the development of the financial regulations and procurement regulations that set out the responsibilities and role of key individuals including Chief Officers within the OPCC and Constabulary. The PCCCFO has also lead on the development of the existing OPCC scheme of delegation that documents all delegations from the Commissioner and Chief Executive and general principles of delegation.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Value for money		
3.4	Challenging and supporting decision makers, especially on affordability and value for money, by ensuring policy and operational proposals with financial implications are notified to and as appropriate, for non-operational aspects, signed off by the finance function.	The PCCCFO will scrutinise all reports presented for decision to the Commissioner and advise on the financial implications/acceptability of recommendations. Where decisions are able to be made in principle but appropriate detail or assurance regarding financial implications are unable to be confirmed final decision making is delegated to the PCCCFO. The PCCCFO works closely with the shared finance support team to ensure financial implications have been reviewed and where appropriate are reflected in a revised budget.
3.5	Ensuring that appropriate asset management and procurement strategies are developed and maintained	The PCCCFO is the Commissioner's lead for asset management and procurement. The PCCCFO leads on developing the procurement regulations (overarching document including strategy/policy, rules procedures. Asset management strategies are presented by the Constabulary as part of the budget setting process and will be discussed and reviewed by the PCCCFO prior to presenting to the Commissioner for approval.
3.6	Taking a leading role on the identification of value for money opportunities.	The PCCCFO annually reviews HMIC VFM profiles and other inspectorate reports to identify areas where value for money can be improved. Further detailed work has been undertaken to benchmark OPCC costs with statistical neighbours to identify opportunities to reduce the budget. The PCCCFO's understanding of Constabulary VFM supports the Commissioner in providing challenge and ensures effective judgements can be made on the change programme strategy for reducing costs. The Executive Board receives a regular report from the Constabulary on its VFM strategy.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Safeguarding public money		
3.7	Applying strong internal controls in all areas of financial management, risk management and asset control.	The PCCCFO leads on the Commissioner's financial regulations - these are adopted by the Constabulary. The OPCC adopts the financial rules led on by the CCCFO.
3.8	Explain the financial management arrangements within the Annual Governance Statement.	The Annual Governance Statement and Code of Corporate Governance set out the arrangements for financial management.
3.9	Establishing budgets, financial targets and performance indicators to help assess delivery.	The PCCCFO leads on the development of an annual funding arrangement between the Commissioner and Chief Constable that sets out the financial management arrangements for Constabulary funding and an agreed performance framework. Grant regulations within the OPCC ensure any grant based funding has performance/outcome based measures attached and/or an evaluation report to assess the impact of delivery.
3.10	Ensuring that effective systems of internal control are implemented, these may include financial regulations, contract regulations, standing financial instructions, operating manuals, and compliance with codes of practice to secure probity.	The PCCCFO leads on the Commissioner's financial regulations - these are adopted by the Constabulary. The OPCC adopts the financial rules led on by the CCCFO. Financial rules are supported by a finance handbook and procedures. Internal audit will assess compliance as part of the cyclical audit of internal control and provide a judgement on the control environment. Job roles for finance posts include responsibility for ensuring compliance with codes.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.11	Ensuring that the PCC and CC have put in place effective arrangements for internal audit of the control environment and systems of internal control as required by professional standards and in line with CIPFA's Code of Practice.	Shared Internal audit arrangements are in place and reviewed annually by the PCCCFO/CCCFO including compliance with CIPFA's code of practice and the Public Sector Internal Audit Standard.
3.12	Ensuring that delegated financial authorities are respected	The deputy CFO has a highly robust understanding of delegations as set out in the PCC/CC funding agreement and financial regulations and acts as a 'gate keeper' for financial delegations on behalf of the PCCCFO and CCCFO in respect of decision making and virement/budgets
3.13	Promoting arrangements to identify and manage business risks (except for operational responsibilities of the Chief Constable), including safeguarding assets, risk mitigation and insurance.	The PCCCFO leads on the funding arrangement between the Commissioner and Chief Constable. The terms of funding include the responsibility of the CC in respect of managing business risk and insurance and safeguarding assets. The financial regulations has a specific section covering assets and the responsibilities of officers.
3.14	Ensure that capital projects are managed with post completion reviews.	Where capital schemes are subject to a business case (largely ICT schemes) the project manager will produce a final project report reviewing the scheme and lessons learned. This is presented to the FSDB.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.15	Securing the application of appropriate discipline in financial management, including managing cash and banking, treasury management, debt and cash flow, with appropriate segregation of duties.	Financial management disciplines are set out in the financial regulations, rules and handbook supported by appropriate procedures and the treasury management statements of practice. These areas are subject to audit and a range of treasury management/other performance indicators. Segregation of duties operates within financial administrative procedures within the finance team and between the finance team and central services department who process a number of these transactions. Insurance arrangements provide some additional level of cover for any areas of risk.
3.16	Ensuring the effective management of cash flows, borrowings and investments of funds including those on behalf of others; ensuring the effective management of associated risks; pursuing optimum performance or return consistent with those risks. (PCC CFO responsibility in consultation with the CC CFO).	The arrangements are set out in the treasury management strategy and practices statements. This area is subject to independent advice from treasury management specialist in addition to internal audit. The strategy and practices are reviewed by JASC annually who also receive reports on treasury management activity and compliance with performance indicators and the control framework.
3.17	Ensuring that appropriate measures exist to prevent and detect fraud and corruption.	The OPCC has arrangements for anti-fraud and corruption including a strategy, policy, procedures and a fraud plan. Further work has been undertaken to promote whistleblowing following feedback from JASC. The PCCCFO and CCCFO are made aware of any instances of fraud where they arise and will review and discuss with internal audit any

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		implications for internal control. The Constabulary takes part in the national fraud initiative. Instances of fraud and the action taken is reported to the external auditors.
3.18	Ensuring that proportionate business continuity arrangements are established for financial processes and information.	The financial team have a business continuity plan which provides details of financial procedures to be adopted in the event of a business continuity event. The plan has been developed in consideration of a number of potential scenarios (principally loss of buildings, power, ICT or staff). The PCCCFO and CCCFO have mobile ICT provision and citrix remote access.
3.19	Ensuring that any partnership arrangements are underpinned by clear and well documented internal controls.	Partnership arrangements involving funding are subject to a funding or grant agreement that stipulates requirements in respect of financial management and reserve the right of the Commissioner to subject those arrangements to audit.
Assurance and security		
3.20	Ensuring that financial performance of the PCC and CC and its partnerships is reported to the PCC and CC and other parties as required.	The PCC/CC funding agreement and financial regulations set out the requirements in respect of financial monitoring. Cyclical Reports are presented to the Chief Officer Team, Executive Board and Police and Crime Panel.
3.21	Ensuring that financial and performance information presented to members of the public, the community and the media covering	The financial information in reports is reconciled to the position on the financial system. Staff producing reports are fully aware of the challenges in making financial reporting publically accessible and work hard to ensure reports present information in accessible formats e.g. treasury management reporting makes frequent use of graphs and charts to explain the arrangements. Annual budget information presented to the police and crime panel makes use of supporting

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	resources, financial strategy, service plans, targets and performance, is accurate, clear, relevant, robust and objective. Apart from operational matters which are the responsibility of the Chief Constable.	contextual data, graphs and pictures to enhance the narrative and figures. OPCC budget monitoring reports provide additional information on the purpose of grant funds and the organisations receiving grants in response to this being an area of interest for the panel.
3.22	Supporting and advising the Audit Committee.	The PCCCFO leads on the arrangements for the JASC providing support/advice as necessary and producing the annual report on behalf of the Committee. The arrangements for the Committee provide for independent meetings with the external and internal auditors which provides a further opportunity for members to access support. Arrangements provide that members can request training seminars at the start of committee meetings.
3.23	Ensuring that clear, timely, accurate advice is provided on what considerations can legitimately influence decisions on the allocation of resources, and what cannot.	The PCCCFO works closely with the CCCFO and deputy CFO in developing the annual budget and medium term forecasts including discussions on resource allocations. The PCCCFO will brief the Commissioner as appropriate on any principles that underpin assessments of levels of reserves, the approach to constabulary funding and any issues with resource implications outside the on-going continuity budget prior to developing final reports for formal approval. The PCC/CC funding arrangement sets out the discretions available to the Chief Constable for in year resource allocation.
3.24	Ensuring that published budgets, annual accounts and consolidation data for government-level	The PCCCFO ensures the publication of budget/monitoring information, including treasury management strategy and activity reports on the Commissioner's website within a dedicated budget and finance page. A separate page sets out the statement of accounts and associated governance statements and includes a copy of the audit commission's

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	consolidated accounts are prepared.	document advising the public on their rights regarding information on the accounts and audit. The shared finance support team under the direction of the deputy CFO ensures government returns including the WGA are complete and submitted to the relevant department.
3.25	Ensuring that the financial Statements are prepared on a timely basis, meet the requirements of the law, financial reporting standards and professional standards as reflected in the Code of Practice on Local Authority Accounting in the United Kingdom developed by the CIPFA/LASAAC Joint Committee.	The PCCCFO provides an annual letter of representation to the external auditors on behalf of the Commissioner confirming all required standards have been met in respect of the published statement of accounts. Discussions have already taken place with the external auditors with regards to changes in process to facilitate preparation of the statements within the earlier statutory deadlines that are likely to be enforced following the enactment of the Local Audit and Accountability Act 2014.
3.26	Certifying the annual Statement of Accounts (PCC CFO and CC CFO for their separate accounts) and the group accounts (PCC CFO)	The PCCCFO certifies the annual statement of accounts for the PCC/Group. The CCCFO certifies the annual statement of accounts for the CC.
3.27	Ensuring that arrangements are in place so that other accounts and grant claims (including those where the PCC is the accountable body for	The shared finance support team lead on ensuring the requirements of grant claims are adhered to and will liaise directly with the relevant government department where needed to ensure requirements are fully understood. Where funded expenditure is being managed by a partner the arrangements include a funding or grant agreement with terms consistent with those issued from the relevant government department. Legal support is accessed as appropriate

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	community led projects) meet the requirements of the law and of other partner organisations and meet the relevant terms and conditions of schemes	regarding terms and conditions of agreements.
3.28	Liaising with the internal and external auditor.	The PCCCFO leads on the arrangements for audit and will meet with the external auditors at the start and close out meetings for the accounts and periodically during the audit process to discuss any issues. The PCCCFO meets regularly with the internal auditors to discuss audit planning and as part of the shared audit service management board. The internal and external auditors and PCCCFO attend all meetings of the JASC.
Principle 4 The CFO must lead and direct, (as explained in this principle), a finance function that is resourced to be fit for purpose.		
4.1	Ensuring that the finance function makes a full contribution to and meets the needs of the business.	The finance function is a highly valued team and critical to ensuring the OPCC and PCCCFO can fulfil their statutory and professional responsibilities. The deputy CFO leads the team and is fully engaged in the business of the OPCC, and works very closely with the PCCCFO on ensuring the delivery of financial support including a full suite of budget, monitoring and treasury reports and the financial statements in order that the Commissioner and PCCCFO can demonstrate public accountability for its funding.
4.2	Ensuring that the resources, expertise and systems for the finance function are sufficient to	The resources within the finance function are regularly assessed to ensure a balance between meeting the needs of the business and cost. Resources were increased in 2014 by one post to reflect growing demands on the function and work pressures that have been created by the deletion of a number of senior level posts with financial responsibility. Demand

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	meet business needs and negotiating these within the overall financial framework.	on finance resources is likely to remain high for a number of years due to the extent of business change arising from reductions in funding.
4.3	Ensuring that robust processes for recruitment of finance staff are implemented and/or outsourcing of functions.	The PCCFO and the CCCFO will jointly consider resources and the recruitment of senior posts within the finance team. The PCCCFO/CCCFO and deputy CFO have jointly developed the role descriptions and person specifications for senior posts all of which have been subject to review during 2014. There is currently no formal outsourcing of finance functions. Specialist advisory services are subject to procurement processes in line with procurement regulations. Internal audit is provided through a shared service with a management board attended by the PCCCFO.
4.4	Reviewing the performance of the finance function and ensuring that the services provided are in line with the expectations and needs of its stakeholders.	The PCCCFO is the primary stakeholder for the finance function under the shared service arrangements. The PCCCFO works closely with the deputy CFO, principal finance officers and other members of the team to communicate requirements and ensure the team is able to deliver. The team has an excellent track record of providing a qualitative and response service to the PCCCFO.
4.5	Seeking continuous improvement in the finance function.	The PCCCFO has worked with the deputy CFO and CCCFO to develop and fund a training and development policy for the finance function to incorporate an enhanced level of professional training. Staff are encouraged to attend regional and national seminars and events. This learning supports staff in improving the systems and processes for which they are responsible. Discussions are on-going between the PCCCFO/deputy CFO and CCCFO about improvements to annual cyclical processes including the statement of accounts and budget and ensuring changes in requirements from codes and regulations are adopted.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
4.6	Ensuring that finance staff, managers and the Leadership Team are equipped with the financial competencies and expertise needed to manage the business both currently and in the future.	The PCCCFO has worked with the deputy CFO and CCCFO to develop and fund a training and development policy for the finance function. During 2014 CIPFA training has been arranged for the wider workforce to develop finance and business skills in appropriate roles. The budget is a standard agenda item on the weekly OPCC executive team agenda.
4.7	Ensuring that responsibility for all finance staff is properly discharged.	The PCCCFO does not have direct staff responsibility but works closely/informally with the deputy CFO and CCCFO to ensure responsibility for staff within the finance function is properly discharged.
4.8	Acting as the final arbiter on application of professional standards.	The PCCCFO has statutory responsibility for the administration of financial affairs and is a professional member of CIPFA. As the sole post holder within the OPCC with a professional financial qualification, all financial responsibility including that for professional standards rests with the PCCCFO.
Principle 5 The CFO must be professionally qualified and suitably experienced.		
	In order to fulfil the aims of this Principle: <ul style="list-style-type: none"> Be a member of an accountancy body recognised by the International Federation of 	The PCCCFO is a full member of CIPFA and adheres to the requirements of that professional body including those for ethics and CPD. The PCCCFO is literate in the use of relevant office ICT systems (Microsoft Office) and has mobile access to office ICT. The PCCCFO has relevant experience including private sector, large metropolitan and city councils, police authority and police and crime commissioner entities. This includes 12 years at director level with finance and wider business/commercial responsibilities including a commercial strategic partnership covering highways, property, ICT and

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	<p>Accountants (IFAC), qualified through examination, and subject to oversight by a professional body that upholds professional standards and exercises disciplinary powers.</p> <ul style="list-style-type: none"> Adhere to international standards set by IFAC on: <ul style="list-style-type: none"> Ethics Continuing Professional Development. Demonstrate IT literacy. Have relevant prior experience of financial management in the public services or private sector. Understand public service finance and its regulatory environment. Apply the principles of corporate finance, economics, risk 	<p>contact centre functions and wider support service delivery including administrative/transactional processing & HR.</p> <p>Financial management experience includes the full range of local authority departments – housing, education, social care, leisure, central/accounts, finance ICT systems, formula funding.</p> <p>The range of roles and breadth of experience of the PCCCFO has led to the development of a robust understanding of public service finance/regulatory requirements. More recently this has included the changes in legislation and regulations arising from the introduction of the police and crime commissioner including the Police Reform and Social Responsibility Act 2011, the policing protocol order 2011, relevant aspects of the Anti-social Behaviour, Crime and Policing Act 2014 and the changes to financial legislation arising from the Local Audit and Accountability Act 2014.</p> <p>The PCCCFO ensures that the principles of corporate finance, economics, risk management and accounting are applied through leading on robust standards of financial governance that are subject to review by an independent audit committee and internal and external audit.</p> <p>The PCCCFO has a certificate in coaching from the institute of leadership and management. Development of coaching skills and techniques has included participation in different methodologies and assessments that develop self-awareness in respect of personal and professional strengths. This has been supported by 360 degree assessments within current and former employing organisations and a leadership development programme run by Manchester Business School.</p> <p>The PCCCFO has been supported by a professional coach in current and former employing organisations to support development.</p>

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	<p>management and accounting.</p> <ul style="list-style-type: none">▪ Understand personal and professional strengths.▪ Undertake appropriate development or obtain relevant experience in order to meet the requirements of the non-financial areas of the role.	



Chief Constable for Cumbria Constabulary

Role of the Chief Finance Officer (Core CFO Responsibilities)

Introduction

As part of the arrangements for reviewing governance within the Constabulary the role of the CCCFO has been formally assessed against the CIPFA role. The attached form documents the review and sets out how compliance is achieved with the CIPFA CFO responsibilities.

The internal assessment provided assurance that the Constabulary is 100% compliant with the requirements of the CIPFA Role.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
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Principle 1

The Chief Finance Officer of the PCC and CC is a key member of the Leadership Team, helping it to develop and implement strategy and to resource and deliver the PCC's strategic objectives sustainably and in the public interest.

1.1	Contributing to the effective leadership of the PCC and CC, maintaining focus on its purpose and vision through rigorous analysis and challenge.	The CCCFO is a member of the Constabulary Chief Officer Group and leads on arrangements for financial governance. The CCCFO is a member of the Constabulary's Force Strategic Delivery Board (FSDB), contributing to the challenge and scrutiny of strategic recommendations to the Constabulary Chief Officer Group. The CCCFO contributes to other Constabulary strategic boards where significant investment and business change is being delivered e.g. mobile and digital, strategic command centre.
1.2	Contributing to effective corporate management, including strategy implementation, cross organisational issues, integrated business and resource planning, risk management and performance management.	The CCCFO is a member of the Chief Officer Group. The group meets informally on a weekly basis and monthly on an extended basis with an agenda that incorporates cross cutting corporate and strategic issues. The CCCFO leads on financial risks and under the arrangements for governance will be consulted on wider arrangements for risk management. The CCCFO leads on the Annual Governance Statement (AGS) that includes an action plan incorporating key strategic actions and is monitored by the Joint Audit and Standard Committee (JASC).

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
1.3	<p>Supporting effective governance through development of:</p> <ul style="list-style-type: none"> corporate governance arrangements, risk management and reporting frameworks; and corporate decision making arrangements. 	<p>The CCCFO leads on the arrangements for ensuring a Code of Corporate Governance and an AGS is reviewed/prepared on an annual basis and is compliant with codes/guidance. The CCCFO leads on the arrangements for external audit, internal audit and the JASC. This includes ensuring the internal audit plan incorporates audit work covering key corporate and financial risks. The CCCFO contributes to the arrangements for decision making and reporting as a member of the Chief Officer Group.</p>
1.4	<p>Contributing to change programmes including identifying service efficiencies and value for money opportunities.</p>	<p>The CCCFO is a member of the Constabulary's Force Strategic Delivery Board (FSDB), which operates as a forum to offer challenge and discuss change management proposals, efficiency and value for money. The CCCFO leads on the scrutiny of all Constabulary investment proposals and the revenue and capital budgets providing challenge around the level of resource requirements and the assumptions made. This includes ensuring that discretionary investment decisions deliver a robust financial return or can demonstrate significant non-financial benefits. The CCCFO provides independent advice to the Chief Constable on HMIC value for money profiles.</p>
1.5	<p>Leading development of medium term financial strategies and the annual budgeting process to ensure financial balance and a monitoring process to ensure its delivery.</p>	<p>The CCCFO leads on the arrangements for developing the Chief Constable's medium term financial forecasts, advising on the robustness of the budgets and in-year management of the overall budget. This includes arrangements for Constabulary funding. The CCCFO is supported in doing this by a shared financial support team lead by the deputy CFO.</p>

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
1.6	Ensuring that there are sound medium and long term financial plans for both revenue and capital to support the development of PCC and CC plans and strategies and that these are subject to regular review to confirm the continuing relevance of assumptions used.	The medium term financial forecasts for revenue are projected over 4 years. The capital programme is developed over 10 years. The forecasts are reviewed in detail on an annual basis between October and February. Projections of formula funding income and other factors that may have a stepped impact on resources are re-modelled at the time of government announcements.
1.7	Ensuring that advice is provided on the levels of reserves and balances in line with good practice guidance. (PCC CFO responsibility in consultation with the CC CFO)	Under the funding agreement with the Police and Crime Commissioner the only reserve held by the Chief Constable is an operational contingency. The circumstances when this can be utilised are set out in the funding arrangement. If the Chief Constable is granted more reserves to manage in his own right the CCCFO will produce a Constabulary Reserve Policy. The CCCFO advises the Chief Constable on the level and policy in relation to reserves held by the Commissioner.
1.8	Ensuring compliance with relevant CIPFA Codes including the Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code. (PCC CFO responsibility in consultation with the CC CFO)	The CCCFO makes an annual statement to the external auditors as part of the letter of representation provided on behalf of the Chief Constable in respect of compliance with relevant CIPFA codes. The requirement to comply with relevant codes is re-enforced through internal governance documents e.g. financial regulations, and is included with individual job roles for staff within the finance team. There is a level of independent assurance on Code compliance, e.g. external treasury management advisors will offer advice on the treasury management strategy/external audit will monitor compliance with the code on local authority accounting/internal audit will provide advice as appropriate to specific audits.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
1.9	Ensuring that budget calculations are robust and reserves adequate, as required by s25 of the Local Government Act 2003, and in line with CIPFA guidance. (PCC CFO responsibility in consultation with the CC CFO)	<p>The CCCFO supports the PCCCFO in developing a policy on reserves annually including setting the level of reserves. This includes a review of the requirement for the reserve and the adequacy of overall reserves given the financial risks faced by the OPCC/Constabulary.</p> <p>The substantial proportion of the Commissioner's budget comprises funding for the Constabulary. Arrangements for the budget include a number of analytical review checks made by the CCCFO prior to the Constabulary budget being submitted to the PCCCFO for consideration. The PCCCFO will then undertake a further level of analytical review assessing the differences in funding between years against known changes to costs and other planning assumptions. A more detailed comparison is undertaken by the deputy CFO for the purposes of presenting information to the PCP, further contributing to the level of assessment.</p> <p>Reserves are set at a level to mitigate areas of budget risk. Those areas where risks are highest and only a lower level of assurance can be given are highlighted in the S151 report.</p>
1.10	Ensuring the medium term financial strategy reflects joint planning with partners and other stakeholders.	The MTFF is the end result of work between the PCCCFO, CCCFO and deputy CFO to consider the requirements of the Constabulary and the Commissioner, including the Commissioner's wider partnership commissioning intentions that incorporates joint working with health, the county council, district councils and community safety partnerships.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Principle 2 The CFO must be actively involved in, and able to bring influence to bear on, all material business decisions (subject to the operational responsibilities of the Chief Constable) to ensure immediate and longer term implications, opportunities and risks are fully considered, and align with the overall financial strategy.		
Responsibility for Financial Strategy		
2.1	Ensuring that a financial framework is agreed and delivery is planned against the defined strategic and operational criteria.	The CCCFO agrees the financial strategy with the Constabulary prior to submitting budget proposals to the Commissioner. The strategy is developed over a number of months taking account of change management proposals, investment decisions and aligned to workforce plans, capital strategies and asset management plans. Discussions will take place between the CCCFO and Constabulary service leads on the strategic and operational requirements that drive the overall resource requirements e.g. discussions with Head of Estates and Fleet/ mobile and digital leads. Joint agreement is reached on the approach to risk within the budget and financing choices in respect of capital.
2.2	Maintaining a long term financial strategy to underpin PCC and CC financial viability within the agreed performance framework.	The financial strategy drives the Constabulary change management programme and is based on 4 years (revenue) and 10 years (capital). The change programme develops proposals well in advance of the savings requirement for any single financial year to ensure financial viability typically for up to 2 years. A funding agreement between the Commissioner and Constabulary sets out the basis on which funding can be used and the expectations of the Commissioner in respect of financial management and governance. The agreement includes information requirements and an agreed performance framework.
2.3	Ensure financial management policies underpin sustainable long-term financial health and reviewing performance against them.	The main financial management policies are for Treasury Management and Reserves. These are developed with a view to providing a balance between risk and prudence. The approach to treasury management is developed in conjunction with external advisors and includes benchmarked information regarding the balance of financial return and risk on investments. Quarterly reports on treasury management activity provide assurance that prudential indicators have been

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		<p>complied with and that transactions have been carried out in line with strategy. The policy on reserves takes account of CIPFA guidance. The statement of accounts contain the financial policies used in respect of financial reporting and these are subject to annual review by the PCCCFO and CCCFO. The comments of the external auditors on financial resilience are taken into consideration by the CCCFO when considering financial strategy. The capital programme is developed over a 10 year time line with a requirement that the first four years are fully funded.</p>
2.4	Ensuring that commercial and collaborated opportunities are appraised and advising on financial targets and successful delivery.	<p>The primary commercial and collaborative opportunities are in respect of the Constabulary. All significant collaborative arrangements involving the Constabulary are subject to scrutiny by the CCCFO. Some smaller collaborative/commercial arrangements exist within the OPCC, e.g. internal audit shared service. Collaborative arrangements between the Constabulary and OPCC provide for shared support services. Collaboration arrangements and major commercial procurements are subject to approval from the Commissioner and will be subject to scrutiny and challenge by the PCCCFO.</p>
2.5	Ensuring that an effective resource allocation model is developed and maintained to deliver business priorities.	<p>The process for resource allocation is based on initially producing a continuity budget against estimates of the available level of resources. Growth and savings requirements and then considered to ensure overall balance. The on-going requirement for savings means effectivity that the change management programme determines any stepped changes in resource allocation other than in respect of investments that provide an overall net return or are mandated. Change management proposals are based on value for money considerations using HMIC profiles and take account of the priorities within the police and crime plan. The CCCFO/Chief Constable will be consulted on the approach to any proposals with an impact on strategic priorities as part of the discussions on the budget and constabulary funding. The PCCCFO will scrutinise discretionary investment decisions to ensure a positive ROI as part of the budget process and under delegations from the Commissioner for the capital programme.</p>

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
2.6	Taking a leading role on asset and balance sheet management.	The CCCFO liaises closely with strategic leads in the development of Constabulary managed business and asset plans. Governance arrangements delegate responsibility to the PCCCFO for balance sheet and asset management. Discussions take account of operational requirements, affordability and value for money. The PCCCFO in conjunction with the CCCFO ensures assets are properly insured. The PCCCFO leads on the arrangements for financial regulations that set out requirements in respect of asset and balance sheet management within the OPCC and Constabulary.
2.7	Ensuring that the planning and budgeting processes are fully co-ordinated	The Constabulary planning cycle is aligned to that of the OPCC and as such coincides with the development of the police and crime plan. Consultation on the plan and the budget through the Police and Crime Panel is undertaken between October and January prior to approval in February. The financial implications of the Police and Crime Plan are set out in a multi-year commissioning strategy with the funding requirements mirrored in an aligned OPCC commissioning budget.
Influencing decision making		
2.8	Ensuring that opportunities and risks are fully considered and decisions are aligned with the overall financial strategy.	The CCCFO attends the key strategic boards within the Constabulary: Chief officer Group, Business Board, FSDB and specific project boards e.g. mobile and digital/SCC. Informal meetings outside the boards with project leads are held as necessary to discuss any specific delivery risks/financial implications that require more in depth consideration.
2.9	Providing professional advice and objective financial analysis enabling decision makers to take timely and informed business decisions.	The CCCFO will provide the Chief Constable with independent financial analysis where required and provides input to decision making through the Chief Officer Group and informal briefing sessions prior to the Chief Officer Group. Delegations to the CCCFO are made where decisions are taken in principle but further analysis is required.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
2.10	Ensuring that efficient arrangements are in place and sufficient resources available to provide accurate, complete and timely advice to support strategy development.	The overall resources for the shared financial support team are considered on a regular basis to ensure the support needs of both businesses are met. The statutory responsibility of the CCCFO to advise on this is set out in the arrangements for governance.
2.11	Ensuring that clear, timely, accurate information is provided as requested by the Police and Crime Panel.	The panel are consulted on their information requirements in respect of the precept decision each year and are offered an annual seminar supported by the Constabulary to consider more detailed financial, performance and value for money information. The panel are provided with financial monitoring information during the financial year in respect of Constabulary and OPCC budgets.
2.12	Ensuring that all necessary information is provided to the PCC when the Police and Crime Panel considers the budget and proposed precept. (PCC CFO responsibility in consultation with the CC CFO)	The Chief Constable is fully briefed ahead of the Police and Crime Panel precept meeting on the key issues regarding the council tax debate. The PCCCFO presents the budget papers to the panel and will answer technical questions. The CCCFO supports the PCCCFO in providing relevant financial information. The Chief Constable is in attendance to respond on questions regarding the operational implications of resource constraints.
2.13	Ensuring that capital projects are chosen after evaluating a fully costed business case complied with input from all relevant professional disciplines and can be funded in the	The financial strategy requires the capital programme to be balanced for a minimum of 4 years. Schemes included within the programme are either supported by asset management strategies that provide the rationale for cyclical replacement/maintenance programmes or require a business case to commence. Professional oversight is provided as appropriate to business case decisions.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	financial strategy.	
2.14	Checking, at an early stage, that innovative financial approaches comply with regulatory requirements.	The PCCCFO in conjunction with the CCCFO procures a range of specialist financial advisory services including treasury management, taxation including VAT/PAYE, pensions and insurance. This provides access to independent advisory services where more innovative approaches are being considered. Both organisations also work closely with the external auditors on compliance issues and liaise at the early stages of considering any changes to ways of accounting and financing transactions.
Financial information for decision makers		
2.15	Monitoring and reporting on financial performance that is linked to related performance information and strategic objectives that identifies any necessary corrective decisions.	Financial monitoring is undertaken on a monthly basis with formal reporting to Chief Officers at a high level on a monthly basis and at a more detailed level on a quarterly basis. The Constabulary also provides reports on a quarterly basis to the Executive Board and Police and Crime Panel. Regular discussions are held with the deputy CFO and CCCFO in order to ensure the on-going management of the budget in year and to minimise the impact of variances. The funding arrangement between the Commissioner and Chief Constable includes a schedule of information requirements and the performance monitoring framework for the financial year.
2.16	Ensuring that timely management accounts are prepared.	Management accounts are prepared on a monthly basis typically within 14 days of the period end.
2.17	Ensuring the reporting envelope reflects partnerships and other arrangements to give an overall picture.	The Constabulary financial reports incorporate all partnership and collaboration activity. Where partnership activities have significant financial implications these are highlighted within Constabulary reports or are reported separately.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Principle 3 The CFO must lead and encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently, and effectively.		
Promotion of financial management		
3.1	Assessing financial management style and advising as to changes which may be needed to ensure it aligns with the PCC's strategic direction.	Collective responsibility for financial management is promoted through Chief Officer Group, and individual senior management team meetings (SMTs) where the budget is a standing agenda item. Financial services officers are an integral part of these SMT meetings to brief staff on their role and to improve understanding of when to engage financial support in new/developing areas of business. Closer relationships have been promoted between financial services staff and individual budget holders to ensure ownership of the budgets. The financial planning cycle ensures alignment between the Constabulary budget, change programme, police and crime plan priorities and the wider Commissioner's budget requirements.
3.2	Actively promoting financial literacy.	The CCCFO has supported the procurement of CIPFA training that will enhance financial and business skills across the OPCC and Constabulary. The arrangements for financial governance ensure all key documents that support financial literacy are developed as far as is possible with a view to their accessibility to staff.
3.3	Assisting the development of a protocol which clearly sets out the roles and responsibilities for financial management, including delegated authority/powers.	The CCCFO supports the PCCCFO in the development of the financial regulations and procurement regulations that set out the responsibilities and role of key individuals including Chief Officers within the OPCC and Constabulary. The CCCFO has lead responsibility for the financial rules and financial handbook with underpin the financial regulations. The CCCFO in conjunction with the Director of Legal Services has also lead on the development of the existing Constabulary scheme of delegation that documents all delegations from the Chief Constable and general principles of delegation. The CCCFO also leads on the production of annual budget protocols which set out the roles and responsibilities of budget holders

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		and wider Constabulary in relation to financial transactions.
Value for money		
3.4	Challenging and supporting decision makers, especially on affordability and value for money, by ensuring policy and operational proposals with financial implications are notified to and as appropriate, for non-operational aspects, signed off by the finance function.	The CCCFO will scrutinise all reports presented for decision to the Chief Constable and advise on the financial implications/acceptability of recommendations. The CCCFO works closely with the shared finance support team to ensure financial implications have been reviewed and where appropriate are reflected in a revised budget.
3.5	Ensuring that appropriate asset management and procurement strategies are developed and maintained	The CCCFO is the Constabulary's lead for asset management and procurement. The CCCFO works with the PCCCFO who leads on developing the procurement regulations (overarching document including strategy/policy, rules procedures. Asset management strategies are presented by the Constabulary as part of the budget setting process and will be discussed and reviewed by the PCCCFO prior to presenting to the Commissioner for approval as part of the annual budget process.
3.6	Taking a leading role on the identification of value for money opportunities.	The CCCFO annually reviews HMIC VFM profiles and other inspectorate reports to identify areas where value for money can be improved. Further detailed work has been undertaken to benchmark Constabulary costs with statistical neighbours to identify opportunities to reduce the budget. The CCCFO's understanding of Constabulary VFM supports the Chief Constable in providing challenge and ensures effective judgements can be made on the change programme strategy for reducing costs. The Executive Board receives a regular report from the Constabulary on its VFM strategy.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
Safeguarding public money		
3.7	Applying strong internal controls in all areas of financial management, risk management and asset control.	The PCCCFO leads on the Commissioner's financial regulations - these are adopted by the Constabulary. The OPCC adopts the financial rules led on by the CCCFO.
3.8	Explain the financial management arrangements within the Annual Governance Statement.	The Annual Governance Statement and Code of Corporate Governance set out the arrangements for financial management.
3.9	Establishing budgets, financial targets and performance indicators to help assess delivery.	The CCCFO leads on the development of an annual budget and medium term financial forecast for the Constabulary. Performance within the Constabulary, which includes financial performance, is examined in periodic individual command or directorate performance development conferences. The budget setting process includes zero based budgeting exercises carried out by the financial services team and budget holders are held to account for financial performance and budget requirements in annual budget star chambers. The funding arrangement between the Commissioner and Chief Constable that sets out the financial management arrangements for Constabulary funding and an agreed performance framework.
3.10	Ensuring that effective systems of internal control are implemented, these may include financial regulations, contract regulations, standing financial instructions, operating manuals, and compliance	The PCCCFO leads on the Commissioner's financial regulations - these are adopted by the Constabulary. The CCCFO leads on the financial rules – these are adopted by the OPCC. Financial rules are supported by a finance handbook and procedures. Internal audit will assess compliance as part of the cyclical audit of internal control and provide a judgement on the control environment. Job roles for finance posts include responsibility for ensuring compliance with codes.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	with codes of practice to secure probity.	
3.11	Ensuring that the PCC and CC have put in place effective arrangements for internal audit of the control environment and systems of internal control as required by professional standards and in line with CIPFA's Code of Practice.	Shared Internal audit arrangements are in place and reviewed annually by the PCCCFO/CCCFO including compliance with CIPFA's code of practice and the Public Sector Internal Audit Standard.
3.12	Ensuring that delegated financial authorities are respected	The deputy CFO has a highly robust understanding of delegations as set out in the PCC/CC funding agreement and financial regulations and acts as a 'gate keeper' for financial delegations on behalf of the PCCCFO and CCCFO in respect of decision making and virement/budgets.
3.13	Promoting arrangements to identify and manage business risks (except for operational responsibilities of the Chief Constable), including safeguarding assets, risk mitigation and insurance.	The PCCCFO leads on the funding arrangement between the Commissioner and Chief Constable. The terms of funding include the responsibility of the CC in respect of managing business risk and insurance and safeguarding assets. The financial regulations has a specific section covering assets and the responsibilities of officers, which are re-enforced by budget protocols within the Constabulary.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.14	Ensure that capital projects are managed with post completion reviews.	Where capital schemes are subject to a business case (largely ICT schemes) the project manager will produce a final project report reviewing the scheme and lessons learned. This is presented to the FSDB.
3.15	Securing the application of appropriate discipline in financial management, including managing cash and banking, treasury management, debt and cash flow, with appropriate segregation of duties.	Financial management disciplines are set out in the financial regulations, rules and handbook supported by appropriate procedures and the treasury management statements of practice. These areas are subject to audit and a range of treasury management/other performance indicators. Segregation of duties operates within financial administrative procedures within the finance team and between the finance team and central services department who process a number of these transactions. Insurance arrangements provide some additional level of cover for any areas of risk.
3.16	Ensuring the effective management of cash flows, borrowings and investments of funds including those on behalf of others; ensuring the effective management of associated risks; pursuing optimum performance or return consistent with those risks. (PCC CFO responsibility in consultation with the CC CFO).	The arrangements are set out in the treasury management strategy and practices statements. This area is subject to independent advice from treasury management specialist in addition to internal audit. The strategy and practices are reviewed by JASC annually who also receive reports on treasury management activity and compliance with performance indicators and the control framework.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.17	Ensuring that appropriate measures exist to prevent and detect fraud and corruption.	The Constabulary has arrangements for anti-fraud and corruption including a strategy, policy, procedures and an annual fraud risk assessment. Further work has been undertaken to promote whistleblowing following feedback from JASC. The PCCCFO and CCCFO are made aware of any instances of fraud where they arise and will review and discuss with internal audit any implications for internal control. The Constabulary takes part in the national fraud initiative. Instances of fraud and the action taken is reported to the external auditors.
3.18	Ensuring that proportionate business continuity arrangements are established for financial processes and information.	The financial team have a business continuity plan which provides details of financial procedures to be adopted in the event of a business continuity event. The plan has been developed in consideration of a number of potential scenarios (principally loss of buildings, power, ICT or staff). The PCCCFO and CCCFO have mobile ICT provision and citrix remote access.
3.19	Ensuring that any partnership arrangements are underpinned by clear and well documented internal controls.	Partnership arrangements involving the Constabulary are subject to governance arrangements appropriate to their size and risk as stipulated in the Financial Regulations and Rules.
Assurance and security		
3.20	Ensuring that financial performance of the PCC and CC and its partnerships is reported to the PCC and CC and other parties as required.	The PCC/CC funding agreement and financial regulations set out the requirements in respect of financial monitoring. Cyclical Reports are presented to the Chief Officer group, Executive Board and Police and Crime Panel.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.21	Ensuring that financial and performance information presented to members of the public, the community and the media covering resources, financial strategy, service plans, targets and performance, is accurate, clear, relevant, robust and objective. Apart from operational matters which are the responsibility of the Chief Constable.	The financial information in reports is reconciled to the position on the financial system. Staff producing reports are fully aware of the challenges in making financial reporting publically accessible and work hard to ensure reports present information in accessible formats e.g. treasury management reporting makes frequent use of graphs and charts to explain the arrangements. Annual budget information presented to the police and crime panel makes use of supporting contextual data, graphs and pictures to enhance the narrative and figures.
3.22	Supporting and advising the Audit Committee.	The CCCFO and deputy CFO provide support to the PCCCFO who leads on the arrangements for the JASC providing support/advice as necessary and producing the annual report on behalf of the Committee. The arrangements for the Committee provide for independent meetings with the external and internal auditors which provides a further opportunity for members to access support. Arrangements provide that members can request training seminars at the start of committee meetings.
3.23	Ensuring that clear, timely, accurate advice is provided on what considerations can legitimately influence decisions on the allocation	The PCCCFO works closely with the CCCFO and deputy CFO in developing the annual budget and medium term forecasts including discussions on resource allocations. The CCCFO will brief the Chief Constable as appropriate on any principles that underpin assessments of levels of reserves, the approach to constabulary funding and any issues with resource implications outside the on-going continuation budget prior to developing final reports for formal approval. The PCC/CC

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	of resources, and what cannot.	funding arrangement sets out the discretions available to the Chief Constable for in year resource allocation.
3.24	Ensuring that published budgets, annual accounts and consolidation data for government-level consolidated accounts are prepared.	The Constabulary website includes a separate page which sets out the statement of accounts and associated governance statements and includes a copy of the audit commission's document advising the public on their rights regarding information on the accounts and audit. The shared finance support team under the direction of the deputy CFO ensures government returns including the WGA are complete and submitted to the relevant department.
3.25	Ensuring that the financial Statements are prepared on a timely basis, meet the requirements of the law, financial reporting standards and professional standards as reflected in the Code of Practice on Local Authority Accounting in the United Kingdom developed by the CIPFA/LASAAC Joint Committee.	The CCCFO provides an annual letter of representation to the external auditors on behalf of the Chief Constable confirming all required standards have been met in respect of the published statement of accounts. Discussions have already taken place with the external auditors with regards to changes in process to facilitate preparation of the statements within the earlier statutory deadlines that are likely to be enforced following the enactment of the Local Audit and Accountability Act 2014.
3.26	Certifying the annual Statement of Accounts (PCC CFO and CC CFO for their separate accounts) and the group accounts (PCC CFO)	The CCCFO certifies the annual statement of accounts for the Chief Constable. The PCCCFO certifies the annual statement of accounts for the PCC and group.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
3.27	Ensuring that arrangements are in place so that other accounts and grant claims (including those where the PCC is the accountable body for community led projects) meet the requirements of the law and of other partner organisations and meet the relevant terms and conditions of schemes	The shared finance support team lead on ensuring the requirements of grant claims are adhered to and will liaise directly with the relevant government department where needed to ensure requirements are fully understood. Where funded expenditure is being managed by a partner the arrangements include a funding or grant agreement with terms consistent with those issued from the relevant government department. Legal support is accessed as appropriate regarding terms and conditions of agreements.
3.28	Liaising with the internal and external auditor.	The CCCFO leads on the arrangements for audit and will meet with the external auditors at the start and close out meetings for the accounts and periodically during the audit process to discuss any issues. The CCCFO meets regularly with the internal auditors to discuss audit planning and as part of the shared audit service management board. The internal and external auditors and CCCFO attend all meetings of the JASC.
Principle 4 The CFO must lead and direct, (as explained in this principle), a finance function that is resourced to be fit for purpose.		
4.1	Ensuring that the finance function makes a full contribution to and meets the needs of the business.	The finance function is a highly valued team and critical to ensuring the Constabulary and CCCFO can fulfil their statutory and professional responsibilities. The deputy CFO leads the team and is fully engaged in the business the Constabulary, and works very closely with the CCCFO on ensuring the delivery of financial support including a full suite of budget, monitoring and treasury reports and the financial statements in order that the Chief Constable and CCCFO can demonstrate public accountability for its funding.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
4.2	Ensuring that the resources, expertise and systems for the finance function are sufficient to meet business needs and negotiating these within the overall financial framework.	The resources within the finance function are regularly assessed to ensure a balance between meeting the needs of the business and cost. Resources were increased in 2014 by one post to reflect growing demands on the function and work pressures that have been created by the deletion of a number of senior level posts with financial responsibility. Demand on finance resources is likely to remain high for a number of years due to the extent of business change arising from reductions in funding.
4.3	Ensuring that robust processes for recruitment of finance staff are implemented and/or outsourcing of functions.	The CCFO and the PCCCFO will jointly consider resources and the recruitment of senior posts within the finance team. The CCCFO/PCCCFO and deputy CFO have jointly developed the role descriptions and person specifications for senior posts all of which have been subject to review during 2014. There is currently no formal outsourcing of finance functions. Specialist advisory services are subject to procurement processes in line with procurement regulations. Internal audit is provided through a shared service with a management board attended by the PCCCFO.
4.4	Reviewing the performance of the finance function and ensuring that the services provided are in line with the expectations and needs of its stakeholders.	The CCCFO is the primary stakeholder for the finance function under the shared service arrangements. The CCCFO works closely with the deputy CFO, principal finance officers and other members of the team to communicate requirements and ensure the team is able to deliver. The team has an excellent track record of providing a qualitative and responsive service to the CCCFO.
4.5	Seeking continuous improvement in the finance function.	The CCCFO has worked with the deputy CFO and PCCCFO to develop and fund a training and development policy for the finance function to incorporate an enhanced level of professional training. Staff are encouraged to attend regional and national seminars and events. This learning supports staff in improving the systems and processes for which they are

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
		responsible. Discussions are on-going between the PCCCFO/deputy CFO and CCCFO about improvements to annual cyclical processes including the statement of accounts and budget and ensuring changes in requirements from codes and regulations are adopted.
4.6	Ensuring that finance staff, managers and the Leadership Team are equipped with the financial competencies and expertise needed to manage the business both currently and in the future.	The CCCFO has worked with the deputy CFO and PCCCFO to develop and fund a training and development policy for the finance function. During 2014 CIPFA training has been arranged for the wider workforce to develop finance and business skills in appropriate roles.
4.7	Ensuring that responsibility for all finance staff is properly discharged.	The CCCFO has direct staff responsibility for the deputy CFO and works closely with the deputy CFO and PCCCFO to ensure responsibility for staff within the finance function is properly discharged.
4.8	Acting as the final arbiter on application of professional standards.	The CCCFO has statutory responsibility for the administration of financial affairs and is a professional member of CIPFA. As the sole post holder within the Constabulary Chief officer Team with a professional financial qualification, all financial responsibility including that for professional standards rests with the CCCFO.

Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
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Principle 5

The CFO must be professionally qualified and suitably experienced.

	<p>In order to fulfil the aims of this Principle:</p> <ul style="list-style-type: none"> Be a member of an accountancy body recognised by the International Federation of Accountants (IFAC), qualified through examination, and subject to oversight by a professional body that upholds professional standards and exercises disciplinary powers. Adhere to international standards set by IFAC on: <ul style="list-style-type: none"> Ethics Continuing Professional Development. Demonstrate IT literacy. 	<p>The CCCFO is a full member of CIPFA and adheres to the requirements of that professional body including those for ethics and CPD.</p> <p>The CCCFO is literate in the use of relevant office ICT systems (Microsoft Office) and has mobile access to office ICT.</p> <p>The CCCFO has relevant experience which includes a number of senior finance roles within the corporate finance department of a county council and a several years fulfilling the role of Head of Financial Services for the Constabulary. Specific accountabilities have included consolidating statutory accounts, producing multi service revenue budgets, capital strategy and medium term financial forecasts and treasury management. The range of roles performed by the CCCFO has led to the development of a robust understanding of public service finance/regulatory requirements. More recently this has included the changes in legislation and regulations arising from the introduction of the police and crime commissioner including the Police Reform and Social Responsibility Act 2011, the policing protocol order 2011, relevant aspects of the Anti-social Behaviour, Crime and Policing Act 2014 and the changes to financial legislation arising from the Local Audit and Accountability Act 2014.</p> <p>The CCCFO ensures that the principles of corporate finance, economics, risk management and accounting are applied through leading on robust standards of financial governance that are subject to review by an independent audit committee and internal and external audit.</p>
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Role of the Chief Finance Officer (Core CFO Responsibilities)

Ref	Core CFO Responsibility	OPCC arrangements and any required actions
	<ul style="list-style-type: none"> ▪ Have relevant prior experience of financial management in the public services or private sector. ▪ Understand public service finance and its regulatory environment. ▪ Apply the principles of corporate finance, economics, risk management and accounting. ▪ Understand personal and professional strengths. ▪ Undertake appropriate development or obtain relevant experience in order to meet the requirements of the non-financial areas of the role. 	<p>The CCCFO undertakes relevant training to ensure that his knowledge is updated on a continuous basis in order to fulfil the CFO role effectively.</p>

Commissioner's Annual Governance Statement

Development and Improvement Plan 2014/15

Introduction

This report provides an update for members on the progress made to date against the Development and Improvement Plan contained within the Commissioner's Annual Governance Statement

If fulfills the assurance responsibilities of the Audit and Standards Committee with regards to the implementation of control recommendations and best practice arising from Audit and Inspection work.

Report Summary

Summary of Actions	
Open actions b/fwd from last report	13
New actions since last report	0
Total actions this report	13
Actions completed since last report	3
Open actions c/fwd to next report	10

Key to Actions	Summary of Total Actions by Status
✓ Complete	3
- Work ongoing	10
× Timescale exceeded	0
Total	13



COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 1:

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	Model the impact of potential changes to grant income arising from the review of the police funding formula.	Chief Finance Officer	31-Mar-15	This work is on-going and the lead finance officer has fed in information as part of work undertaken by the Police and Crime Commissioner's Treasurers Society. There has been no dialogue or proposals from government.	- Work ongoing
CP1/2	Establish a charitable trust and put in place the arrangements from April 2015 for local commissioning of victim referral and support services.	Chief Executive	31-Mar-15	Two informal meetings of the designated trustees have taken place and draft Constitution and other documentation has been agreed and submitted to the Charity Commission. A response is awaited from the Charity Commission before further progress can be made.	- Work ongoing

COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 2:

Leaders, officers and partners working together to achieve a common purpose with a clearly defined functions and roles.

CP2/1	Deliver a sexual assault referral centre and joined-up system of follow-up health and emotional support services.	Head of Partnerships and Commissioning	30-Apr-15	The OPCC continues to work closely with NHS England, the Clinical Commissioning Group, the Constabulary and other partners to develop a range of services for sexual violence victims. A market engagement exercise has been conducted to help understand which organisations could provide the services and a tender is currently out to invite a provider for sexual offence examination services. Other services will be commissioned in due course. Consultation with children and young people has been conducted and is currently ongoing with adults. A realistic date for opening of full SARC services is autumn 2015 due to funding and logistical issues.	- Work ongoing
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COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP2/2	Work with partners to increase the use of quality Restorative Justice through the development of a multi-agency approach.	Head of Partnerships and Commissioning	31-Mar-15	An agreed definition of Restorative Justice (RJ) has been developed together with a strategy to ensure it is provided at any stage in the criminal justice system (CJS). We are working with probation partners, Constabulary, HMP Haverigg, Fire and Rescue Service and the Third Sector to develop a multi-agency team to promote and deliver RJ. This aims to increase the quality and usage of RJ through a dedicated group of staff.	- Work ongoing
CP2/3	Deliver improvements in services to victims in line with the Victims and Witnesses Action Plan and develop compliance with the Victims' Code of Practice, including specific improvements in relation to domestic and sexual violence identified in the 'Taking the Next Steps' review.	Head of Partnerships and Commissioning	31-Mar-15	The Victims' Advocate continues to work closely with the Constabulary and other partners to deliver the Action Plan. The OPCC continues, jointly with partners, to fund IDVAs and ISVAs across the county and is working with the Acute Health Trusts to have HIDSVAs based in maternity units across the county, funded by the OPCC. Work is on-going regionally to put in place services to support victims when funding transfers from the Ministry of Justice in April 2015.	- Work ongoing

COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP2/4	Develop a prioritised plan for action and partnership working to make improvements in youth justice based on the findings of the review of youth justice.	Chief Executive	31-Mar-16	The Commissioner has provided a significant amount of funding to initiatives to promote positive activities for young people. A wide variety of youth and young persons organisations and support groups have received funding from the Commissioner, with significant funding going to Carlisle Youth Zone and the Rock Currock Youth Project. The funding is aimed at prevention. The Youth Offending Service has also been involved in work on RJ to ensure the benefits are gained for young people. There will be further activity in this area in 2015/16.	- Work ongoing
Core Principle 3: Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and behaviour.					
CP3/1	Develop and present to the Joint Audit and Standards Committee new reports monitoring the operation and effectiveness of arrangements for anti-fraud and corruption, the code of conduct and the PCC/Officer protocol	Chief Executive	31-May-15	The first annual reports on the monitoring of Anti-Fraud and Corruption; Code of Conduct and PCC/Officer protocol were presented to JASC in June 2014. The reports provided assurances on the monitoring work of the OPCC	✓ Complete

COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 4:

Taking informed and transparent decisions which are subject to effective scrutiny and managing risks.

CP4/1	Implement a risk management development seminar for OPCC staff	Chief Executive	31-Mar-15	A training course is currently being developed for all OPCC staff. It is hoped, subject to further discussions with our risk management advisors, that the training will be delivered in early 2015.	- Work ongoing
CP4/2	Develop and present a report to the Joint Audit and Standards Committee on the operation and effectiveness of the arrangements for risk management	Chief Executive	31-Mar-15	The first annual report was presented to JASC in June 2014. The report detailed the how the OPCC managed and monitored risk.	✓ Complete
CP4/3	Implement actions arising from the review of internal audit by Grant Thornton and against the PSIAS	Chief Finance Officer	31-Mar-15	All actions are now complete with the exception of approving the objectives for the shared audit service (scheduled for the December meeting) and presenting to committee an assurance framework/plan quality. This will be tabled to members as part of the 15/16 audit planning process.	- Work ongoing

COMMISSIONER'S ANNUAL GOVERNANCE STATEMENT DEVELOPMENT AND IMPROVEMENT PLAN FOR 2014/15

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 5:

Developing the capacity and capability of the PCC, officers of the PCC and the Force to be effective.

CP5/1	Develop the arrangements for human resource policies following stage 2 transfer	Head of Communications and Business services	31-Mar-15	A good start has been made although an extension to the implementation date may be required.	- Work ongoing
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Core Principle 6:

Engaging with local people and other stakeholders to ensure robust public accountability.

CP6/1	Improve the presentation and accessibility of the statements of accounts and summary financial statements	Chief Finance Officer	31-Oct-14	The statement of accounts and summary accounts were presented to the Committee in September with a number of accessibility and presentational changes that have been commended by the external auditors.	✓ Complete
CP6/2	Work with the Constabulary to fully comply with information publication requirements for contracts	Chief Finance Officer	31-Mar-15	Summary details of all contracts are now available through the commissioner's website. There remains a legal issue regarding the full publication of contracts that has been raised by PACCTS and APACE in a letter to the Home Office (5th September 2014). No further action will be taken until a response to this issue has been received.	- Work ongoing

Chief Constable's Annual Governance Statement

Development and Improvement Plan 2014/15

Introduction

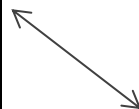
This report provides an update for members on the progress made to date against the Development and Improvement Plan contained within the Chief Constable's Annual Governance Statement

If fulfills the assurance responsibilities of the Audit and Standards Committee with regards to the implementation of control recommendations and best practice arising from Audit and Inspection work.

Report Summary

Summary of Actions	
Open actions b/fwd from last report	18
New actions since last report	0
Total actions this report	18
Actions completed since last report	5
Open actions c/fwd to next report	13

Key to Actions	Summary of Total Actions by Status
✓ Complete	6
- Work ongoing	8
× Timescale exceeded	4
Total	18



Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 1:

Focusing on the purpose of the Chief Constable and on outcomes for the community, and creating and implementing a vision for the local area.

CP1/1	The Constabulary will evaluate the effectiveness of the revised governance framework and board structure, making recommendations to improve where appropriate.	Director of Corporate Improvement	30-Sep-14	This has been delayed due to other work pressures, but will be completed by the end January 2015.	× Timescale exceeded
CP1/2	The Constabulary will develop further its Quality of Service Strategy to support operational police service to improve delivery and user satisfaction. This will include an action plan to coordinate all related actions from internal and external reviews.	Director of Corporate Improvement	30-Sep-14	Completed and reported bi-monthly to PCC's Public Executive Board meeting	✓ Complete
CP1/3	Review the Constabulary's monthly performance management reports, improving the information provided to chief officers and senior managers so that it adds more value and better informs decision making.	Director of Corporate Improvement	30-Sep-14	A revised format was developed and introduced during Q1	✓ Complete

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP1/4	Review the Constabulary's Performance Development Conferences to inform, explore and discuss root causes of performance issues (good and bad) and drive action to deliver improvements in services to the public.	Director of Corporate Improvement	30-Sep-14	The Performance Management strategy has been developed and adopted. The first round of PDCs started at the beginning of November and will be repeated every four months.	✓ Complete
CP1/5	Develop strategic resource management performance data to drive improvements in our resources and our productivity	Director of Corporate Improvement	30-Sep-14	This work has started but the timescale for completion needs to be extended to the end September 2015 to coincide with the delivery of the new ways of working and new ICT systems. The development of this data is part of the implementation project	× Timescale exceeded

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 2:

Leaders, officers and partners working together to achieve a common purpose with a clearly defined functions and roles.

CP2/1a	Winsor Review – A) The Constabulary is currently developing schemes to carry out fitness testing and to review the contribution of police officers on restricted duties to front line policing in line with Winsor recommendations. These are anticipated to be in place by September 2014.	Head of Human Resources	30-Sep-14	Fitness testing is now in place. The formal process of reviewing police officers on restricted duties arising from Winsor(X factor pay reductions/ultimate dismissal) is not yet in place and awaits the finalisation of implementation details and further national guidance. The Constabulary is represented on the National Working Group for the development of these guidelines and will implement as soon as full clarity is available.	✓ Complete
CP2/1b	B) The Constabulary is also developing a more streamlined assessment process for incremental progression linked to satisfactory performance within PDR.			Officers on restricted duties are kept under scrutiny and where organisational or other material changes take place in capability which affect current roles, reviews are carried out as appropriate and in line with the Constabulary Restricted Duty policy /procedure.	- Work ongoing

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP2/2	PDR – The current Scheme has been suspended for 2014/15 with a view to incorporating Winsor changes and streamlining the processes involved. A new Scheme is anticipated for use in 2015/16. The Constabulary is also developing a more streamlined assessment process for incremental progression for police officers linked to satisfactory performance within PDR.	Head of Human Resources	31-Dec-14	A new scheme continues to be developed but the Business Board agreed in October 2014 that this should now fall in line with the development of national COP led training for managers and the development of national COP guidelines for implementation. This will ultimately link with our own simplified system for recording performance /development. Incremental progression will form a part of this but progress only likely to be denied if an officer is subject to UPP. It is uncertain how PDR will link with the Constables threshold payments already in place until guidance is available. Introduction will be phased (assuming national timescales are delivered) Jan 2015 on, for Sgts /Insp/ Chief Insp and Constables in 2016.	- Work ongoing
CP2/3	The Constabulary will update outstanding governance documents including the financial rules and the Chief Constable's Scheme of Delegation.	CFO & Director of Legal Services	30-Sep-14	The majority of governance documents have been completed. A final draft of the scheme of delegation is to be approved by the Chief Officer Group in early December. Work on updating the financial rules has commenced but has been delayed due to other work priorities. It is envisaged that the work on the financial rules will be completed by 31 March 2015.	x Timescale exceeded

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP2/4	Further development of business plans for non-operational functions to ensure activity is directed to supporting delivery of policing services	All Directors and CFO	31-Mar-15	Corporate Improvement has a business plan for 2014 – 2016. Corporate Support Departments have current business plans in place to support operational policing needs moving forward. Strategies for key areas (specifically including ICT, Fleet & Estates) are in place and are under constant review to ensure that they evolve to meet emerging policing needs across the organisation.	✓ Complete

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 3:

Promoting values for the Chief Constable and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

CP3/1	The Constabulary will communicate and embed the National College of Policing Code of Ethics and incorporate this in the performance monitoring process.	Chief Constable and Head of PSD	30-Sep-14	<p>Implementation plan agreed by Chief Officers including:</p> <ul style="list-style-type: none"> Chief Officer Road shows (completed across all TPAs and HQ May/June 14) Training of all officers and staff underway by Nov 14 with a review of training delivery in Jan15 to assess level of “catch up” training required Code of Ethics incorporated into individual and team reviews and at the centre of National Decision Making Model (ongoing) Independent Ethics Panel to be established by Jan 15 (joint PCC and Constabulary initiative – recruitment and confirmation of areas to be covered by the panel already underway) 	- Work ongoing
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Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP3/2	The Constabulary will consider the benefits of establishing Ethics and Integrity Regulation and Management Committees.	PCC / Chief Constable	31-Dec-15	A report was presented to PCC Executive Board on 1 October and it was agreed that an Ethics and Integrity Panel would be established. As the majority of the scrutiny will be around Constabulary activities, in order to maintain independence it was decided that the panel should be run and managed by the OPCC. The process to recruit members for the panel has commenced.	- Work ongoing
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risks.					
CP4/1	In the last quarter of 2013 – 14, the Constabulary's insurers were invited to review the Constabulary's risk management arrangements. The recommendations included improvements about categorisation and managing risk appetite and these will be implemented during 2014 – 15.	Director of Corporate Improvement	31-Mar-15	The Risk Management policy has been reviewed in line with best practice and the recommendations from the external review. The new policy has been approved and adopted.	✓ Complete

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP4/2	As part of the improvement to the Constabulary's internal website, the access and search capability of the policy library on the intranet will be modernised and updated to ensure that it is easier for officers and staff to access the right information	Director of Corporate Improvement	31-Mar-15	<p>Requirements specifications were completed and the tender exercise is underway.</p> <p>Background work on the policy libraries is also on track, ensuring that policies are up to date by the time the new intranet goes live. Work has been completed on key-wording in readiness.</p>	- Work ongoing
CP4/3	The decisions made by Constabulary boards will be available on the intranet to improve communication aid understanding for all officers and staff to support achievement of objectives.	Director of Corporate Improvement	31-Mar-15	Work is ongoing and will be completed within the timescales	- Work ongoing

Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
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Core Principle 5:

Developing the capacity and capability of the Chief Constable and Officers and Staff of the Chief Constable.

CP5/1	Design and Implement a Core Skills and Leadership Programme.	Director of Corporate Support & Head of Learning & Development.	31-Mar-15	<p>Work currently ongoing but on target for delivery in 2015 with the implementation of an On Demand Learning Hub, Executive Leadership programme, Street Skills programme, leadership development modules for managers and a Qualification framework</p> <p>Completion date for design and Implementation remains March 2015.</p>	- Work ongoing
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Core Principle 6:

Engaging with local people and other stakeholders to ensure robust public accountability.

CP6/1	The Constabulary will develop its strategy to improve its internet site further, to enhance accessibility and relevance to the public and media.	Director of Corporate Improvement	31-Mar-15	<p>Ongoing improvements are made to the website on a regular basis to ensure that the public. The overall strategy review has just begun but it is unlikely that the new website will be available until September 2015 due to other priorities.</p>	- Work ongoing
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Ref:	Action	Lead Officer	Implementation Date	Update November 2014	Assessment
CP6/2	The Constabulary will develop its Engagement Strategy to improve trust and confidence in policing services and to identify the policing priorities that need to be addressed in their local area. This will include provision of Police Desks across the county	Director of Corporate Improvement	31-Aug-14	Police desks are live across the county. The Engagement Review started in June 2014 and is now being run alongside the NPT restructure project, which is due to be implemented in September 2015. Public consultation on engagement is currently underway with results being available in the first half of December 2014. It is probable that the Engagement Strategy will be complete by the end of the year and that implementation will be staged from March 2015 to September 2015.	x Timescale exceeded



Cumbria Office of the Police and Crime Commissioner

Report of the Commissioner and Chief Constable's Chief Finance Officer

Annual Review of Governance: Financial Regulations

Agenda Item No 06

Introduction and Background

As part of the arrangements for ensuring the governance framework remains effective an annual cyclical review is undertaken of key governance instruments within the governance framework. For 2014/15 that review has been undertaken in respect of the financial regulations. As a result of the regulations being formally reviewed for the JASC February 2014 meeting, and due to the substantial nature of the document, members have not been presented with the entirety of the document for this meeting. This report summarises for members the changes that have been made as part of the review and appends those sections of the document where the changes go beyond presentational and typographical amendments.

Report

Whilst the financial regulations have only recently been subject to review and approval, there are a number of changes to ways of working and legislation that have resulted in some amendments to the rules and responsibilities within the document. In summary, the review has resulted in the following changes:

- References to Crime and Disorder Reduction Grants have been updated and amended to reflect the introduction of the Anti-Social Behaviour, Crime and Policing Act 2014. The legislation provides the Commissioner with wider grant making powers incorporating victims, witnesses and other persons effected by offences and anti-social behaviour. The rules within the partnership section of the document have been updated to reflect this and have been enhanced to set out in summary the responsibilities for grants that are included within the Commissioner's grant regulations, approved in May 2014. The amended section is set out at appendix A to this report.

- The section on the capital programme and delegated limits has been amended to support a more risk based approach to authorising capital schemes. The current approach results in schemes being included within the capital programme as indicative pending a business case. The new approach aims to take a risk based approach to the requirement around business cases with three levels of authorisation within the capital programme. Firm schemes for routine cyclical replacement programmes for ICT and fleet and maintenance of the property estate will be included as part of the capital programme as fully authorised to commence. Non-routine schemes will be classified into those delegated to the PCCCFO and those requiring the approval of the Commissioner. Schemes delegated to the PCCCFO will largely be schemes where the principles around the requirement for investment are accepted but further detail is needed to finalise some elements of the scheme and the expenditure profile. Schemes that are not developed to this stage will be classed as indicative and subject to a business case to be approved by the Commissioner. The approach aims to reduce administration around managing the capital programme and reduce the risk of slippage through facilitating a more efficient approach to authorising schemes to commence. Delegations to the PCCCFO will operate within the existing delegation virement limits of £100k or 10% of scheme value, whichever is the lower. Appendix B sets out the amended sections of the regulations.
- The section on external audit has been updated to reflect the introduction of the Local Audit and Accountability Act 2014. The Act repeals the Audit Commission Act 1998 and sets out the requirements for relevant authorities in respect of the requirements for accounts and audit. This includes the requirements in respect of procedures for appointment of local auditors and the requirement to have an auditor panel. The relevant section of the financial regulations has been updated to reflect that change and is included at Appendix C. This section of the regulations also makes reference to the Joint Audit and Standards Committee as being the auditor panel for the Police and Crime Commissioner. In order to provide clarity in respect of this role within the Committee's terms of reference, it is recommended that the terms of reference covering audit responsibilities is amended to include the specific wording within the legislation: *To advise on the selection and appointment of external auditors*
- The section on employee payroll pensions and other expenditure has been updated to reflect the effect of the Public Services Pensions Act 2013 on the management arrangements for the Police Pension Scheme. Reference is now made to the Chief Constable's responsibility to put in place

appropriate arrangements for the administration of the Police Pension Fund including the establishment of a pension board to ensure compliance with scheme regulations.

- The section on the maintenance of reserves and balances has been amended to include the responsibility of the Chief Constable in liaison with the CCCFO to approve a policy on those reserves and balances delegated by the Commissioner to the Chief Constable to manage.

A number of minor changes have been made to amend presentational and typographical errors within the regulations including consistency in the use of capitalisation and other formatting standards. This concludes the changes made as part of the 2014 review.

Recommendations

- a) Members are asked to review and provide advice on the proposed changes to the financial regulations
- b) Members are asked to approve the proposed change to the Committee's terms of reference to incorporate the wording within the Local Audit and Accountability Act 2014

Ruth Hunter/Roger Marshall

25th November 2014.

E2 Partnerships

JOINT WORKING ARRANGEMENTS: PARTNERSHIPS

Overview and Control

The term partnership refers to groups where members work together as equal partners with a shared vision for a geographic or themed policy area, and agree a strategy in which each partner contributes towards its delivery. A useful working definition of such a partnership is where the partners:

- Are otherwise independent bodies;
- Agree to co-operate to achieve a common goal; and
- Achieve it to create an organisational structure, process or agreed programme, and share information , risks and rewards

The number of partnerships, both locally and nationally, is expanding in response to Central Government requirements and local initiatives. This is in recognition of the fact that partnership working has the potential to:

- Comply with statutory requirements
- Deliver strategic objectives in new and better ways
- Improve service quality and cost effectiveness
- Ensure the best use of scarce resources and access new resources
- Deal with issues which cut across agency and geographic boundaries, and where mainstream programmes alone cannot address the need
- Forge new relationships and find new ways to share risk

Partnerships typically fall into three main categories, statutory based, strategic, and ad-hoc.

- Statutory based: These are partnerships that are governed by statute. They include, for example, Community Safety Partnerships (CSPs) and Local Strategic Partnerships (LSPs)

- Strategic: These are partnerships set up to deliver core policing objectives. They can either be Constabulary-wide or local.
- Ad-hoc: These are typically locally based informal arrangements.

As set out in Part 1, chapter 3 (10) of the Police Reform and Social Responsibility Act 2011, the Commissioner, in exercising his functions, must have regard to the relevant priorities of each responsible authority. Subject to the constraints that may be placed on individual funding streams, the Commissioner is free to pool funding as they and their local partners see fit. The Commissioner can enter into any local contract for services, individually or collectively with other local partners, including non-police bodies. This may include acting as a lead commissioner of services, agreeing jointly the shared priorities and outcomes expected to be delivered through the contract, grant or funding agreement with each provider.

SYSTEMS AND PROCESSES: PARTNERSHIPS

Responsibilities of the Commissioner

- To have regard to relevant priorities of local partners when considering and setting the 5 year Police and Crime Plan.
- To make appropriate arrangements to commission services from either the Constabulary, external providers or jointly with partners
- To make decisions in respect of awards of grant and entering into grant arrangements under the Anti-Social Behaviour, Crime and Policing Act 2014.

The commissioner is able to make grants in connection with commissioning of services that:

- In the opinion of the Commissioner, will secure, or contribute to securing, crime and disorder reduction
- Are intended by the Commissioner to help victims or witnesses of, or other persons affected by, offences and anti-social behaviour.

SYSTEMS AND PROCESSES: PARTNERSHIPS

Responsibilities of Chief Officers

- To consult, as early as possible, the PCCCFO and the CCCFO in respect of any partnering arrangements to ensure the correct treatment of taxation and other accounting arrangements

- To produce a Memorandum of Understanding (MOU), funding agreement or conditions of funding as appropriate for any partnership arrangement incorporating appropriate terms and conditions for the project; this document should be signed by the Chief Executive

SYSTEMS AND PROCESSES: PARTNERSHIPS

Responsibilities of the Chief Constable

- To ensure approval is granted from the Commissioner prior to entering into any contracts

Responsibilities of the Chief Executive

- To secure the safekeeping of registers of grant awards and grant agreements and for ensuring that records are maintained of exemptions to grant procedures.

Responsibilities of the Head of Partnerships and Commissioning

- To maintain robust and up to date grant regulations
- To ensure the exercise of due diligence through effective processes and procedures prior to decision making
- To ensure the overall arrangements for assurance when awarding funding and that total funding awarded through grants and granted agreements is in line with allocated budgets.
- To meeting all publication requirements in respect of grants and grant agreement.

Responsibilities of the Director of Legal Services

- To provide legal advice on grant agreements including grant terms and conditions.

B3 Capital Programme

FINANCIAL PLANNING AND CONTROL: THE CAPITAL PROGRAMME

Overview and Control

Capital expenditure involves acquiring or enhancing fixed assets with a long-term value, such as land, buildings, and major items of ICT and other equipment or vehicles. Capital assets shape the way services are delivered in the long term and may create financial commitments in the form of financing costs and revenue running costs.

Capital investment can be undertaken providing the spending plans are affordable, prudent and sustainable. CIPFA's Prudential Code sets out the framework under which the Commissioner will consider capital spending plans.

The capital programme comprises the medium term strategy for acquisition, planned improvements and disposal of major items of ICT equipment, the property estates and the vehicle fleet and is an integral part of the Medium Term Financial Forecast. The programme is approved on a 4 year basis but includes a long term 10 year capital forecast to aid financial planning. The requirement for assets including planned cyclical replacement and in year revenue running costs should be set out in linked asset strategies.

The asset estate incorporating property, fleet, ICT and other equipment is owned by the Commissioner. The Commissioner funds the improvements and on-going investment in assets that are available for use by the Constabulary and other partners. The PR&SRA 2011 provides that the Chief Constable can own assets, other than land, subject to the consent of the PCC.

Capital schemes within the capital programme will be approved as either firm schemes, schemes subject to PCCCFO approval or schemes subject to Commissioner approval. Firm schemes are schemes that can commence following approval of the capital programme. They will typically relate to cyclical replacement programmes and maintenance works. They will either be supported by the relevant capital strategy or a business case, at or before the approval of the capital programme. All other schemes will require either a business case or supporting information before schemes can commence. Schemes will be designated as subject to PCCCFO approval or Commissioner approval if they are not designated as firm at the point that the Commissioner approves the capital programme.

Any schemes subject to the Commissioner's approval will require a full business case. The information requirements for schemes subject to PCCCFO approval are subject to agreement with the PCCCFO. PCCCFO delegations are limited to the financial amounts included for the scheme within the capital programme plus a variance of up to 10% or 100,000 whichever is the lower. The PCCCFO may vire from capital reserves to fund any balance for the scheme within the delegated limit.

FINANCIAL PLANNING AND CONTROL: THE CAPITAL PROGRAMME

Responsibilities of the Commissioner

- Approve the estates, fleet and ICT strategy and asset management plans together with other strategies involving proposals for significant investment in capital assets, together comprising the capital programme.
- Approve a fully funded long term capital programme including approval of those capital schemes that can commence and those that are subject to business case approval.
- Agree the annual capital programme, and how it is to be financed.
- Approve delegations to the Chief Finance Officer in respect of managing the capital programme, including the commencement of capital schemes subject to business case
- Receive monitoring reports on the implementation of the approved programme
- Provide consent for the CC to enter into contracts for the acquisition of assets

FINANCIAL PLANNING AND CONTROL: THE CAPITAL PROGRAMME

Responsibilities of the PCCCFO

- Develop and implement approved asset management strategies as part of the development of the Medium Term Financial Forecast for consideration and approval by the Commissioner.
- Submit a capital programme to the Commissioner for approval within the overall de-minimus limits set out in section G
- Identify, in consultation with the CCCFO, available sources of funding the capital programme, including the identification of potential capital receipts from disposal of property.
- Make recommendations to the Commissioner on the most appropriate arrangements for financing the programme including the level of revenue support and appropriate levels of borrowing, under the Prudential Code, to support the capital programme.

- Make recommendations with regard to the prioritisation of capital schemes, amount of funding for each scheme and phasing.
- Scrutinise and challenge business cases and other proposals for asset investment from the Constabulary and other partners.
- Authorise capital schemes to commence under delegations granted by the Commissioner.
- Provide advice and recommendations to the Commissioner in respect of consents for the CC to acquire assets.
- Prepare monitoring reports for the Commissioner on implementation of the approved programme and report on the outturn of capital expenditure as part of the annual report on the statutory accounts.
- Approve capital virements within the limits set out in section G

FINANCIAL PLANNING AND CONTROL: THE CAPITAL PROGRAMME

Responsibilities of the Chief Constable and CCCFO

The Constabulary are the primary partner who uses the assets comprising the Asset Estate to deliver operational policing and the priorities within the Police and Crime plan. The Chief Constable, in consultation with the CCCFO, is responsible for fully assessing the assets needed to meet operational requirements and preparing proposed asset management strategies and detailed business cases for consideration by the Commissioner. The Chief Constable is also responsible for the day to day management of operational assets and this will include the implementation of approved capital schemes.

Approval of the annual capital programme by the Commissioner authorises the Chief Constable to incur expenditure on schemes other than those requiring a detailed business case and providing expenditure on the scheme does not exceed the sum contained in the approved programme by more than the amounts identified in Section G. The Chief Constable and CCCFO will:

- Prepare a 4 year capital budget and a 10 year rolling programme of proposed capital expenditure for consideration and approval by the PCCCFO and Commissioner. Each scheme shall identify the total capital cost of the project and any additional revenue commitments.

- Prepare a business case for all schemes in the capital programme that are subject to a business case prior to scheme commencement. The business case to be approved by the Commissioner or PCCCFO subject to delegations. Ensure each capital project has a named officer responsible for managing the scheme, monitoring progress and ensuring completion of the scheme. No capital expenditure shall be incurred unless the scheme is approved to commence. A list of capital scheme managers must be provided to the PCCCFO.
- Ensure that, apart from agreed professional fees (e.g. feasibility studies and planning fees), no other capital or related revenue expenditure is incurred before the scheme is approved for commencement. Ensure that adequate records are maintained for all capital contracts
- Monitor the progress of the capital programme and expenditure throughout the year against the approved programme.
- Submit capital monitoring information to the PCCCFO on a regular basis throughout the year based on the most recently available financial information. Monitoring information will show spending to date and compare projected income and expenditure with the approved programme. The information shall be in a format and frequency agreed by the PCCCFO.
- Have effective arrangements in place to ensure that operational assets are appropriately maintained and secured in accordance with the overall terms between the Commissioner and CC for assets in operational use.
- Submit, for specified capital schemes in excess of £500k, an evaluation of the business benefits of the scheme compared to the original business case.

FINANCIAL PLANNING AND CONTROL: THE CAPITAL PROGRAMME

Responsibilities the Chief Executive

- To enter into property leases, finance leases or other credit arrangements with the value or term up to the limits set out in Section G on behalf of the Commissioner.
- To determine, in consultation with the PCCCFO, the terms of any agreement between the Commissioner and CC for the use of operational assets and the terms of any consent under which assets can be acquired by the CC.
- Approve capital virements within the limits set out in section G

MANAGEMENT OF RISK AND RESOURCES: AUDIT REQUIREMENTS

External Audit

The Local Audit and Accountability Act 2014 sets out the requirements for relevant authorities in respect of the requirements for accounts and audit. This includes the requirements in respect of procedures for appointment of local auditors and the requirement to have an auditor panel. For the purposes of appointment and establishment of the auditor panel, the Commissioner is the relevant authority,

The Joint Audit and Standards Committee is an auditor panel for the purposes of the Local Audit and Accountability Act. The Committee, acting as the panel is responsible for:

- Advice to the Commissioner on the maintenance of an independent relationship with the local auditor appointed to audit its accounts,
- Advice to the Commissioner on the maintenance of an independent relationship between the local auditor and the Chief Constable for the area.
- Advice on the selection and appointment of external auditors to audit its accounts

The legislation sets out the general duties of auditors in respect of auditing the accounts and complying with the code of audit practice. The Act requires the Comptroller and Auditor General to prepare a code of audit practice that sets out the way in which local auditors are to carry out their functions under the act. The Code must embody best professional practice with respect of standard procedures and techniques to be adopted by local auditors. The legislation sets out the local auditor's rights to access documents and information and the rights of the public in relation to inspection of documents and the right to make objections.

MANAGEMENT OF RISK AND RESOURCES: AUDIT REQUIREMENTS

Responsibilities of the Commissioner, PCCCFO, Chief Constable and CCCCFO

- To ensure that for the purposes of their work the external auditors are given the access to that which they are statutorily entitled in relation to premises, assets, records, documents, correspondence, control systems and personnel, subject to appropriate security clearance.

- To respond to draft action plans and to ensure that agreed recommendations are implemented in a timely manner and achieve outcomes as expected.
- To receive and agree the annual audit letter and governance report

MANAGEMENT OF RISK AND RESOURCES: AUDIT REQUIREMENTS

Responsibilities of the PCCCFO and CCCFO

- To liaise with the external auditor and advise the Commissioner and Chief Constable on their responsibilities in relation to external audit and ensure there is effective liaison between external and internal audit.
- To provide the Home Office with a copy of the annual audit letter

MANAGEMENT OF RISK AND RESOURCES: AUDIT REQUIREMENTS

Responsibilities of the Joint Audit and Standards Committee

The Joint Audit and Standards Committee will fulfil the terms of reference recommended by the CIPFA Audit Committees/Practical Guidance for Local Authorities and Police. The Committee will:

- Advise on the selection and appointment of external auditors.¹
- Comment on the scope and depth of external audit work, its independence and whether it gives satisfactory Value for Money.
- Consider the external auditors annual management letter, relevant reports, and the report to those charged with governance
- Consider specific reports as agreed with the external auditor
- Advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies

And in relation to the above, to give such advice and make such recommendations on the adequacy of the level of assurance and on improvement as it considers appropriate.

¹ Recommended to be included formally within the Committee's terms of reference



Agenda Item 7

Joint Audit and Standards Committee

TITLE OF REPORT:	HMIC Police Effectiveness Efficiency Legitimacy (PEEL) Inspection Briefing
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DATE OF MEETING:	8th December 2014
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ORIGINATING OFFICER:	Julie Johnstone, Strategic Development Manager
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PART 1 or PART 2 PAPER:	PART 1 (OPEN) Except for Appendix 1 which is PART 2 (CLOSED)
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Executive Summary:

The purpose of this paper is to provide the Joint Audit and Standards Committee with a:

- progress report against the Constabulary's 2014-15 HMIC inspection programme and
- a briefing concerning the 2014 Police Effectiveness Efficiency Legitimacy (PEEL) assessment.

Over the last 12 months HMIC have carried out the following inspections in the Constabulary:

- 21st Century Child Sexual Exploitation.
- **Domestic Abuse.**
- Undercover Policing.
- Making Best Use of Police Time (recently renamed Core Policing).
- **Valuing the Police 4 (known as VtP4).**
- **Crime Data Integrity (attached, with response at Appendix 3)**
- **Police Integrity and Corruption.**
- **Crime.**

Appendix 1 contains an overview of HMIC findings from these inspections.

In November 2013, The Home Secretary asked HMIC to develop and implement a new programme of annual all-force inspections with a view to assessing the efficiency and effectiveness of policing in England and Wales. It will see forces judged and placed in one of four categories:

- Outstanding.
- Good.
- Requires Improvement.
- Inadequate.

HMIC have completed extensive consultation concerning their proposed methodology for this new programme of inspections which is due to start in April 2015. They will report the results of the consultation in January 2015 before finalising the new inspection methodology.

In the meantime they intend to complete a 2014 PEEL assessment for all forces using the findings from those inspections in bold type in the list above.

Recommendations:

That the Audit and Standards Committee:

1. Note how the Constabulary monitors progress against HMIC recommendations.
2. Note the overview of HMIC findings from their inspections in Appendix 1.
3. Note the Constabulary's Efficiency graded judgments of 'Good'.
4. Note the Constabulary's 3 graded judgements of 'Good' for Effectiveness.

MAIN SECTION

1. Introduction and Background

The Role of HMIC

HMIC is the body responsible for inspecting and reporting on the efficiency and effectiveness of policing in England and Wales in the public interest. Every year HMIC publishes an inspection programme which includes a mixture of all force inspections, national thematic inspections and commissions for the Home Secretary and/or local policing bodies. HMIC also carries out:

- Inspections of national agencies and other forces such as British Transport Police and the Civil Nuclear Constabulary.
- Inspections of counter terrorism and security related issues.
- Joint inspections with HM inspectorate of CPS, HM Inspectorate of Probation and HM Inspectorate of Prisons.

2014/15 is a transition year for HMIC's inspection programme. As a result, there have been some major changes both to the scope and pattern of HMIC inspections, and to how they communicate the results of this work to the public.

Perhaps the most prominent of these changes will be the introduction of a new, annual programme of all-force inspections (announced by the Home Office in a Written Ministerial Statement on Wednesday 18 December 2013). The intention is that this programme will first report in its entirety in autumn 2015; however, fieldwork was completed in late summer 2014, and HMIC will provide an interim assessment for each force in November 2014, together with a report of Her Majesty's Chief Inspector of Constabulary's national assessment of policing. This will contain a national overview of the performance of all police forces, including those not funded by the Home Office (e.g. British Transport Police, Civil Nuclear Constabulary). The current expected publication date for both reports is 27th November 2014.

HMIC received significant investment to increase its resources in 2014 to enable the delivery of this programme and will design, develop and implement it fully in 2015.

1.1 HMIC's Approach to Monitoring Forces

HMIs monitor the performance of each police force to ensure that:

- Chief constables and local policing bodies are aware of emerging problems with efficiency or effectiveness and are taking corrective action.
- If problems are enduring and there is a low prospect of them being resolved then those problems are raised formally.

HMIC take a broad and balanced approach, drawing on a range of information – not just statistical data. They focus on outliers, concentrating on forces that have outcomes that appear to be significantly different from what might be expected. They take into account the local context and share any concerns they may have. HMIC have not raised any performance issues with the Constabulary.

1.2 2014 HMIC Inspection Activity in Cumbria

Over the last 12 months HMIC have carried out the following inspections in the Constabulary:

- 21st Century Child Sexual Exploitation.
- **Domestic Abuse.**
- Undercover Policing.
- Making Best Use of Police Time (recently renamed Core Policing).
- **Valuing the Police 4 (known as VtP4).**
- **Crime Data Integrity.**
- **Police Integrity and Corruption.**
- **Crime.**

Following every force inspection, HMIC produce a force specific report which details strengths and areas for improvement and may contain specific recommendations for forces.

National thematic inspections involve only a few forces, however the reports when published sometimes contain general recommendations for forces to consider.

A 2014 interim PEEL assessment will be made using the findings from those inspections in bold type in the list above.

The current inspection programme runs to the end of March 2015. Appendix 2 contains the most recently published HMIC Reference Group Paper which provides a progress report against the 2014-15 plan and some early proposals regarding the 2015-16 programme.

1.3 Constabulary Response to HMIC Reports

The following action plans have been developed to ensure that the Constabulary can monitor and track progress against the recommendations made by HMIC in both the force specific and national thematic reports:

- Integrity Action Plan – implemented and monitored by the Head of PSD.
- HMIC Action Plan – implemented by the relevant business areas and monitored by Corporate Improvement.
- Core Policing Action Plan – implemented by the relevant business area and monitored by Corporate Improvement.
- Domestic Abuse Action Plan – implemented by the relevant business area and monitored by HMIC.

As advised by HMIC, the Constabulary gives priority to ensuring that all force specific recommendations are implemented, followed by implementing any relevant recommendations from the national thematic reports.

All the Constabulary inspection reports can be found on the HMIC website. A hard copy is available on request.

The PCC monitors performance and outcomes of HMIC inspections through the performance framework agreed by the Constabulary and PCC, which includes a report framework identifying progress against Police and Crime Plan actions, HMIC reports and Cumbria's specific actions from those. Specific areas of interest for the Commissioner that coincide with HMIC inspections recently

published are data quality and domestic violence.

A copy of the latest data quality report to the Commissioner, which includes the latest recommendations published on 17 November is attached in Appendix 3.

A copy of the Core Business Action Plan report to the Commissioner is attached in Appendix 4.

1.4 2014 Police Effectiveness Efficiency Legitimacy (PEEL) Methodology

PEEL is an annual assessment of police forces and their contribution to policing. It is based on a number of high-level questions about how well each force:

- Carries out its responsibilities including cutting crime, protecting the vulnerable, tackling anti-social behaviour, dealing with emergencies and other calls for service (**effectiveness**)
- Provides value for money (**efficiency**)
- Operates fairly, ethically and within the law (**legitimacy**)

The questions include consideration of service user experience; leadership; staff capability and well-being.

PEEL inspections will contain 3 pillars:

- Effectiveness
- Efficiency
- Legitimacy

Beneath each pillar lies a series of pillar questions that HMIC have asked during the course of their inspections in 2014

Each Pillar has a different number of high-level questions:

- Effectiveness has 6
- Efficiency has 3
- Legitimacy has 4

Evidence will be drawn from inspections carried out or reported in the 12 months prior to the publication of the PEEL assessment which is designed to provide 'graded judgments'.

6 questions will be given one of four graded judgments:

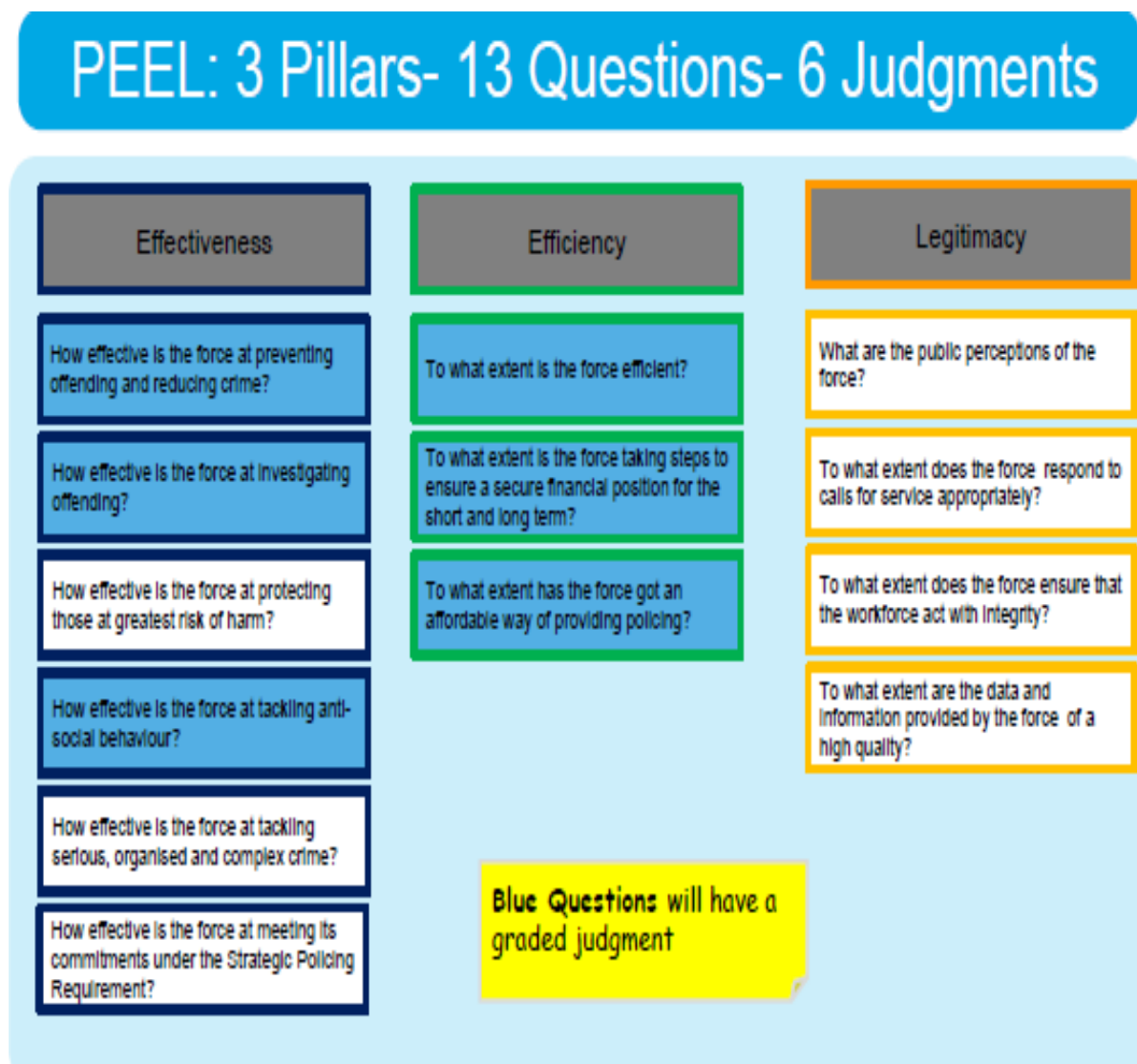
- Outstanding
- Good
- Requires improvement
- Inadequate

For 2014, graded judgments will only be given in the Effectiveness and Efficiency pillars. There will be no overall graded judgement in the Effectiveness pillar, because only 3 of the 6 questions will receive a graded judgement.

As all 3 of the Efficiency pillar questions have graded judgments, there will also be a graded judgement at the pillar level. The evidence for this pillar assessment is from the VtP4 inspection and

the Constabulary received graded judgements of 'Good' against each question and therefore an overall pillar assessment of 'Good'.

The table on page 6 provides details of the pillars and questions. The blue questions will all have a graded judgement.



For the 2014 interim PEEL assessments an HMI will make an overall assessment of each force using their professional judgment. The assessment will be at a point in time and will contain positive and negative comment but the balance will be determined by the evidence.

Learning from this first PEEL assessment and their public consultation will help HMIC to shape the design of future PEEL assessments.

2. Issues for Consideration

2.1 Drivers for Change

The changes to policing in England and Wales over the last few years – which include the creation of Police and Crime Commissioners, the College of Policing and the National Crime Agency, wide-ranging alterations to police terms and conditions of service, and huge advancements in the use of technology by both offenders and officers – collectively amount to perhaps the greatest reforms to the service for many decades.

Over the same period, the expectations of the average person on the street in relation to the amount and immediacy of the data about public services available to him or her have also changed radically. The public are obtaining access to more information, through more channels, more quickly and easily than ever before.

As the body responsible for inspecting and reporting on the efficiency and effectiveness of policing in England and Wales in the public interest, it is imperative that HMIC responds to and keeps pace with these changes.

2.2 Consultation processes conducted or which needs to be conducted

HMIC has conducted extensive public consultation concerning its proposed programme for regular force inspections.

2.3 Impact assessments and implications on services delivered

HMIC has received considerable investment to enable the recruitment of sufficient resources to undertake the additional inspection work involved, whilst force capacity to undertake the additional work required supporting the inspection regime is limited. This is recorded as a risk on the Corporate Improvement risk register.

2.4 Timescales for decision required

Not applicable.

2.5 Internal or external communications required

None.

3. Financial Implications and Comments

None.

4. Legal Implications and Comments

None.

5. Risk Implications

The Constabulary must address recommendations that are outlined in force reports to mitigate risk and performance issues identified by HMI during the inspections.

6. HR / Equality Implications and Comments

Any HR / Equality implications are described in the relevant risk outlined within this report.

7. ICT Implications and Comments






None.

8. Procurement Implications and Comments

None.

9. Supplementary Information

9.1 List any relevant documents and attach to report

Appendix 1	Summary of HMIC findings PART 2 section of paper	 Microsoft Word 97 - 2003 Document
Appendix 2	HMIC Reference Group Paper	 Adobe Acrobat Document
Appendix 3	Data Quality Report to PCC HMIC Data Quality Report	 HMIC Data Integrity  Data Quality Report to PCC
Appendix 4	Core Business Report to PCC	 Microsoft Word 97 - 2003 Document

9.2 List persons consulted during the preparation of report

Julie Johnstone
HMIC Liaison Officer Briefing
John Armstrong

Strategic Development Manager

Cumbria HMIC Lead Staff Officer

HMIC Reference Group Paper			
Title: HMIC Inspections/Projects Update			
Author:	Joan Ogbebor	Date of Group Meeting:	3 October 2014
Secretariat Reference:			N/A
Key Information			
This paper provides the Group with an update on HMIC's current inspection projects, alongside information on plans for the 2015/16 inspection programme.			

HMIC 2014/15 INSPECTION PROJECTS UPDATE

1. The 2014/15 inspection programme was published on 31 March 2014. The public consultation on the new annual programme of all-force inspection programme (PEEL assessments) closed on 12 September and HMIC is currently considering the responses, whilst preparing the first PEEL assessment to be published on 27 November 2014. **Annex A** sets out details of 2014/15 projects underway, recently completed, or due to be started.

HMIC 2015/16 INSPECTION PROGRAMME PROPOSALS

2. HMIC will consult on its 2015/16 inspection programme, including (up to) three thematics, in January 2015. This programme will include the first full year of PEEL assessments. In order to develop its approach, HMIC is considering the responses to the public consultation on the new PEEL assessments and, in parallel, learning from its experience of preparing the first PEEL assessment.
3. As part of this, the HMIC Board has agreed lead HMIs for areas of work that will also have dedicated programme directors. In addition to efficiency, effectiveness and legitimacy, it has been agreed that 'vulnerability' is a cross-cutting theme of sufficient importance to have its own programme director; within vulnerability, HMIC plans to bring together planned inspections on missing and absent children, so-called honour based violence and identifying vulnerability and risk in police case files (joint inspection with HMCPsI). Lead HMIs and programme directors are as follows:

Area of work	Lead HMI	Programme Director
Efficiency	Mike Cunningham	Chris Blairs
Effectiveness	Zoe Billingham	Bethan Page-Jones
Legitimacy	Steve Otter	Mark Cooper
Vulnerability	Dru Sharpling	Judith Million

Annex A: 2014/15 inspections/projects/commissions

The following provides an update on projects underway or recently completed, as part of the 2014/15 inspection programme, plus projects scheduled to start this financial year. The consultation on the full programme for 2015/16 – including the approach to PEEL assessments following the conclusion to the PEEL consultation – will be published in early 2015.

THEMATIC INSPECTIONS

- **PEEL Assessment of 43 Forces** – fieldwork for the crime inspection (which will feed the effectiveness pillar) has just been completed. Publication of the PEEL assessment is scheduled on 27 November 2014.
- **21st Century Child Sexual Exploitation** - report to be published by end March 2015 (date tbc). Also part of the Protecting Vulnerable People programme (below).
- **Crime Data Integrity** –Second batch of force reports due to be published on 15 October (tbc) and the final report will be published on 30 October 2014.
- **Building the Picture (Information Management)** – Thematic report and 13 public force reports to be published on 11 December 2014.
- **Police Integrity and Corruption** – formally Police Integrity and Leadership, this now incorporates the Home Secretary commission on anti-corruption capability in forces. Three part publication schedule: Corruption report on 22 October 2014; 43 force reports to be published with PEEL assessment on 27 November 2014; and the full thematic after November 2014.
- **Strategic Policing Requirement (SPR)** –18 public-facing reports to be published in October 2014.
- **Cyber Crime** – is currently in the scoping stage and scheduled for publication in June 2015.
- **So called Honour Based Violence** – this inspection will be integrated into the early part of the 2015 PEEL programme as part of a ‘vulnerability’ area of work. A national thematic report will be published in Summer 2015.
- **PSNI HET Revisit** – the fieldwork was completed in September and publication is planned for November 2014.

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- **NCA Inspection** – the inspection to establish the ability of the NCA to deliver its statutory functions was completed in August 2014 with report to be submitted to the Home Secretary in early November 2014.
- **HMRC** – the field work is now in progress and will finish in late November 2014. Publication is planned for June 2015 (tbc).
- **Missing and Absent Children** – this inspection will be integrated into the early part of the 2015 PEEL programme as part of a 'vulnerability' area of work. A national thematic report will be published in Summer 2015.
- **Child Protection Inspections** – rolling programme of unannounced visits with approximately four forces a quarter. Remaining reports for the first and second cohort of forces scheduled for publication between October and December 2014. Publication of thematic report due in late 2015. Also part of the Protecting Vulnerable People programme (below).
- **Home Secretary Commission: Undercover Policing** – the report is scheduled for publication on 14 October 2014.
- **East Midlands PCCs Counter-Terrorism Commission** – the review of the proof of a concept of a single counter terrorism fund within the East Midlands Special Operations Unit commissioned by the five East Midlands PCCS will be published on 12 November 2014.
- **Civil Nuclear Constabulary Interoperability Inspection** – the field work is planned for end September to early November 2014, with report publication in March 2015 (tbc).
- **Firearms Licensing** – fieldwork is in two phases in January and February 2015. Publication is scheduled for Summer 2015.
- **Stop and Search Revisit** – a follow-up to HMIC's 2013 report *Stop and Search Powers: Are the police using them effectively and fairly?* Field work is planned for January 2015 and publication scheduled on 24 March 2015.
- **Police National Computer (PNC): Non-Police Units Inspections (rolling programme)** – this inspection will examine the 60 non-police units who access the PNC over a three year period. The pilot inspection was completed in May 2014 and inspections will be held in October and November 2014.
- **Royal Military Police Inspection** – fieldwork is November 2014, with publication planned for December 2014.

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- **British Transport Police** – the fieldwork was completed in August 2014 and report is planned to be published October/November 2014.

PROTECTING VULNERABLE PEOPLE AND JOINT INSPECTION PROGRAMME

- **Achieving Best Evidence (joint inspection with HMCPsi)** – report currently being finalised, with publication planned for December 2014.
- **Core Youth Offending Teams (YOTs) Inspections (rolling programme of joint inspections led by HMI Probation)** – inspection of six YOTs in a 12 month period based upon performance and shorter modules of inspection of other YOTs according to individual needs. No overall report due for this as HMIC provide one joint inspector for each of the six weeks of fieldwork.
- **Custody Inspections (rolling programme of joint inspections with HMI Prisons)** – inspection of police custody suites on rolling programme. Publication of reports on Bedfordshire Custody Suite on 7 October 2014.
- **Home Secretary Commission: Vulnerable People in Custody** – unannounced inspection of six forces, integrated into the wider, rolling joint inspection programme above. Publication of national report by end March 2015.
- **Contribution of YOTs to the Troubled Families Programme** – report due to be published in December 2014.
- **Girls and Young Women in the CJS (joint inspection with HMI Probation)** – inspection of six Youth Offending Teams to establish the extent to which criminal justice agencies are successful in reducing the likelihood of offending by women and girls. Report currently being finalised and due to be published on 15 December 2014.
- **Road Traffic Offences involving Fatalities (joint inspection with HMCPsi)** – fieldwork findings currently being analysed and report being drafted. Due for publication in December 2014 or January 2015.
- **Integrated Child Protection (work with OFSTED)** – rolling programme of inspections to commence with two pilots in October and November 2014. 25 inspections will be conducted in England from April 2015 to November 2017.
- **Disclosure (work with lead HMCPsi)** – timing of this is to be determined. Awaiting further information from HMCPsi on plans for taking this forward.

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- **Inspection of Local Criminal Justice Partnerships (joint inspection with HMCPSi and HMI Probation)** – field work for this inspection is currently in progress, with publication planned for December 2014.
- **Charging Decisions (joint inspection led by HMCPSi)** – this inspection of six forces is in planning for fieldwork to take place in November 2014 for four weeks, with publication expected in May 2015.
- **Multi-Agency Public Protection Arrangements (MAPPA) (joint inspection led by HMI Probation)** – this inspection of six forces is currently in planning for fieldwork to be held between November 2014 and January 2015, with thematic report provisionally expected for publication in June 2015.
- **Disability Hate Crime Revisit (joint inspection with HMCPSi)** – a follow up to the 2013 joint report *Living in a different World*. Unannounced fieldwork in six forces now in progress, with report publication planned for December 2014.
- **Digitisation (joint inspection with HMCPSi)** – timing of this is to be determined. HMCPSi have decided to defer until the next financial year due to the implementation of substantial IT change programmes across the CJS.
- **Identifying Vulnerability and Risk in Police Case Files (joint inspection with HMCPSi)** – this inspection which will look at how the police service has responded to 'Stop the Drift 2' and 'Getting cases ready to court' will be integrated into the early part of the 2015 PEEL programme as part of a 'vulnerability' area of work. A national thematic report will be published in Summer 2015.
- **Stalking and Harassment inspections** – scoping work for this inspection is currently underway with publications planned by end 2015/16.

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Constabulary Report to OPCC

TITLE OF REPORT: Data Quality

DATE OF MEETING: 03 December 2014

ORIGINATING OFFICER: Claire Griggs, Performance Consultant

PART 1 or PART 2 PAPER: PART 1 (OPEN)

Executive Summary:

The Constabulary is committed to delivering significant improvements to data quality. The principles to achieve these improvements are based on:

- Ethos of personal responsibility
- Supported by strategic work streams to deliver:
 - quality of service: right first time approach in all activities
 - digitisation of processes to support quality & efficiency
 - integrity and values
 - processes and systems that provide value for money for the public
- Delivery through audit and performance regime at strategic, operational and individual levels

This report provides:

- A summary of the Constabulary's current performance
- A summary of the current situation in relation to the quality of crime and incident data
- The work currently underway to improve data quality
- Information about the scope, purpose and outcome of the recent HMIC inspection into crime data integrity

Recommendation:

That the Commissioner notes:

- The work currently being carried out by the Constabulary to improve the quality of crime and incident data.

MAIN SECTION

1. Introduction and Background

1.1 Introduction

Cumbria Constabulary recognises the importance of the integrity of its data quality and has a clear management drive and support to improve it. An action plan to address data quality issues has been in place since 2012/2013.

As reported previously, the Police and Crime Plan revised by the Police and Crime Commissioner for Cumbria in 2014 lists ten priority activities, continuously improving data quality is one of these priority areas.

Her Majesty's Inspectorate of Constabulary (HMIC) who independently assess police forces and policing activity, also consider it of the utmost importance that police forces have high-quality data that allows them to establish where, when, and how often crime and antisocial behaviour (ASB) is occurring.

As a result, HMIC conducted crime data integrity inspections across all 43 police forces in England and Wales. Cumbria's inspection took place on 22nd – 24th July 2014, and looked at data for the 12 months to 31st October 2013. Results of both the thematic, and Cumbria specific inspection were published on 18th November 2014. A summary of the findings, together with key recommendations for Cumbria are included in this report.

Governance processes to manage data integrity, and a detailed list of activities that have been carried out by the Constabulary over recent years to improve the quality of its data were reported to the Executive Board in September 2014. This report will provide an update on the current situation and planned work only.

1.2 Current Performance

As previously reported, an audit was carried out in October 2013 by the Crime Registrar to test Constabulary compliance against the Home Office Data Quality Audit Manual. The purpose was to:

- Determine whether incidents on command and control systems have been correctly closed as a crime or not in compliance with NCRS and HOCR.
- Determine whether all incidents closed as crimes on command and control systems have been transferred to the crime recording system.

Results showed that the Constabulary was 80% compliant overall.

The audit process was replicated in February 2014 and results showed that the Constabulary was 83% compliant overall.

As the Constabulary continuously strives to improve the compliance rate, a further audit is currently underway. Results are expected in early December 2014. In addition to the usual checks carried out, an assessment of the extent of over recording will also be examined, as this practice is causing particular resourcing issues within the Crime Management Unit at present.

1.3 Current situation

Cumbria Constabulary has a clear management drive and support for integrity and data quality. 100% compliance is the objective.

As reported previously, from 1st August 2014 a new NCRS failure process was implemented, aimed at addressing NCRS non-compliance. Since this time a review of the new process has been carried out, and a number of issues were identified. As a result it has been modified slightly by the Force Crime Registrar to make it more effective. Now if an officer is identified as not having complied with NCRS on the first occasion it is for their supervisor to determine whether a development plan needs to be created. The officer will continue to be tracked against all future work to determine whether a subsequent referral to the next stage of the process is necessary. A move to this next stage will seek to identify what, if any, management arrangements were initially put in place.

Should an officer reach stage 3 then as per the process Unsatisfactory Performance Procedures (UPP) would be implemented. Any development plans in place are the responsibility of that officer's line manager to oversee.

A number of activities have already been implemented to help address the issue of non-compliance, details of which are provided below.

The Territorial Policing Management Support Unit has recently undertaken /or is currently carrying out the following:

- Worked specifically with all PPUs in the county, (as these deal with areas of highest risk), delivering training sessions to senior managers in relation to systems and processes – this work has now been completed.
- Currently looking at the requirements of, and adherence to, the Victims Code of Practice. This work includes speaking to a number of external service providers to see how they operate. The Constabulary are also working more closely with the Victims Advocate in the OPCC to compare what information the Constabulary collate, what information victims services need, and how the gap can be filled. The aim is then to put in place a feedback loop which will allow the Constabulary to constantly improve the data and service it provides.
- As reported previously, from August 2014, one Sergeant in each TPA has been assigned to look through incident logs to ensure they are being processed correctly. This complements work being undertaken by the Crime Registrar's team. It was initially agreed that these officers would

be in post for a minimum of three months, and a decision has recently been made to extend this post until 31st March 2015.

- The Quality Assurance Officer is currently looking at systems and processes operating in each TPA in relation to the over recording of crime. Data on the crimes that have been over recorded are being extracted at an individual officer level and fed back to the Superintendent within each Territorial Policing Area for action.

Please note this report does not contain updates on data quality actions being carried out which are documented in the 'Monitoring Key Audit Recommendations' paper which is submitted to the same meeting.

1.4 HMIC Inspection conducted in July 2014

The Crime Data Integrity Inspection carried out by HMIC in July 2014 commenced with a data audit, and was followed by a series of interviews, focus groups and reality testing. The reality testing included both arranged and unannounced visits to police stations, force contact centre, PPU, helpdesk, youth offending team and CMU.

In addition to the data audit, HMIC examined:

- Leadership and Governance – in terms of what arrangements the force has at a senior level to ensure there is confidence in recorded crime figures, and all aspects of the Home Office Counting Rules.

Results showed that:

- a. Chief Officers in Cumbria show strong leadership and promote the importance of crime data integrity throughout the force.
- b. Chief Officers consider accurate crime recording to be an essential prerequisite for their victim-centred approach to policing.
- c. The force has an established governance structure for monitoring performance which includes crime data integrity.
- d. Clear procedures exist which are well understood by officers and staff.
- e. The need for ethical crime recording is well embedded, understood and repeatedly reinforced by chief officers.
- f. The force maintains a confidential reporting line for officers and staff to report any unethical practices. Those officers and staff HMIC spoke to felt that the culture of the organisation was one where they could report concerns to line managers or supervisors without fear of recrimination.
- g. At a strategic level, there is evidence that the force understands the risks associated with inaccurate crime recording including reduced public confidence, inaccurate resource deployment and a lack of a comprehensive understanding of vulnerability.

- Systems and Processes – what systems and processes are in place to ensure that; crime is correctly recorded in accordance with HOCR and NCRS; standards of out of court outcomes are maintained; and no-crime decisions are correct.

Results showed that:

- a. HMIC found a strong victim-centred approach during reality testing. In particular, high levels of empathy were displayed towards the victims in the work of the force's single point of contact (SPOC)
- People and Skills – in terms of whether the force has staff whose conduct and skills ensure accurate crime recording.

Results showed that:

- a. The force has invested significantly in training for supervisors and staff on HOCR and NCRS
 - b. There is a culture of integrity around crime data with staff willingly accepting the need for accurate crime recording and understanding the organisational risks of not getting it right.
 - c. HMIC found no evidence that performance pressures, either implicit or explicit, are influencing the accurate recording of crime.

National Results

Results of the thematic inspection found that overall victims of crime in England and Wales are being let down, with the police failing to record a large proportion of the crimes reported to them. It also found that even when crimes are correctly recorded; too many are removed or cancelled as recorded crimes for no good reason. The position in the case of rape and other sexual offences was most concerning to them.

HMIC also reported too many cases of a lack of knowledge of the crime recording regime on the part of officers and staff.

However Her Majesties Inspectorate were reassured at finding little evidence of the misclassification of crime, with 96% of crime records reviewed being classified correctly, either at the time of initial recording or subsequently. They also looked for hard evidence of improper practice (such as dishonest manipulation) within forces in relation to crime recording but found very little.

In total 13 recommendations were made within the thematic report. 2 of these recommendations are to be implemented with immediate effect across all police forces in England and Wales. These are:

Recommendation 5

Immediately, all forces should ensure their auditing procedures in respect of reports of serious sexual offences, including rapes, are sound.

This is currently subject to the FCR's audit of NCRS with the report due early December 2014.

Recommendation 11

Immediately, forces should ensure that, in crime-recording:

- a) The presumption that the victim should always be believed is institutionalised;
- b) All reports of crime are recorded as crimes at the earliest possible opportunity;
- c) Decisions to record crime are not subject to undue operational or performance pressures; and
- d) Practices such as investigate-to-record (where the recording of a crime is delayed until after an initial investigation of the complaint) are discontinued.

(Note: Cumbria Constabulary started a record to investigate awareness campaign in quarter one of 2014/2015).

Within the thematic report HMIC identified how forces could improve the integrity of their crime-recording. They have identified the forces that have introduced a more simplified approach to crime-recording, provided relevant staff with the right skills and shown effective leadership. These forces have shown greater accuracy in their crime-recording. **It is essential** that other forces learn from their experience and improve the service they provide to victims of crime. As a result, the following recommendation is made:

Recommendation 13:

Within three months, the national policing lead for crime statistics should draw up an action plan in respect of the findings of this report. The action plan should provide for the development of clear guidance, based on best practice, to facilitate the improvement by chief constables of the integrity of crime-recording in their forces.

Cumbria's position in the national context

The thematic report amalgamated results from all force inspections in two main areas, the first looked at the number of crimes that should have been recorded against those that were. Inspection results showed that Cumbria accurately recorded 83.5% of crimes and sat mid-range of the national table. The other area examined the no crime decisions made and whether the decision was correct. Again Cumbria sat mid-range nationally with 82.6% of decisions found to have been accurately recorded.

Cumbria specific recommendations

As mentioned previously, HMIC identified a number of areas where the Constabulary is performing well, particularly in relation to leadership and governance. HMIC did make 9 recommendations for improvement specific to Cumbria Constabulary, 2 of which are to be implemented with immediate effect. The first requires the force to ensure that the Public Protection Unit (PPU) central referral unit or triage is being run in accordance with national best practice, that all crime should be recorded in a timely manner and that there is a comprehensive understanding of the number/type and scope of referrals to the force from third parties.

Over recent months a considerable amount of work has already been carried out to address this issue. A multi-agency workshop to determine how the existing system could be improved was held in September 2014. As a result a new process was developed, which was communicated to all officers and staff within Cumbria Constabulary in October 2014. From 3rd November the county triage system became the Cumbria Safeguarding Hub and its way of working reconfigured to ensure those who need to access the service are dealt with at the earliest opportunity and in the most appropriate manner.

The second recommendation HMIC noted should be implemented with immediate effect refers to ensuring that any crimes identified in the PPU are recorded at the first opportunity by the detective sergeant assessing the referral and, in any case, within 72 hours, prior to allocation for investigation. Addressing this recommendation is subject to review following recommendation 12 of the thematic report which suggests the Home Office should amend the Home Office Counting Rules and abolish the 72 hour rule.

The remaining recommendations are:

Recommendation	Timescale	Work done to date
The force should undertake a review of the PPU folder on Sleuth and the PPU email inbox to identify any crimes that should have been recorded in accordance with HOCR and NCRS and progress any actions that are outstanding.	Within 3 months	This is subject to ongoing review.
The force should have revised the process for no-crime decisions to minimise delays while retaining the consistency afforded by a centralised process and compliance with the NCRS and HOCR.	Within 3 months	The FCR has reviewed the process for no crime within the Constabulary. As a result a further 2 members of staff have been allocated to the function as an interim measure, while further work is ongoing.

The force guidance on rape - The standard for the investigation of rape and serious sexual assault – should be amended to contain specific guidance on how to deal with allegations of rape occurring in another force area including the crime transfer process, evidence transfer and victim care.	Within 3 months	Reviewing standard of rape investigation is contained within the sexual violence action plan.
The force should have reviewed its audit capacity and ascertained the most cost-effective way, using internal or external auditors, to improve its capacity to undertake both regular and risk based audits using a more extensive methodology.	Within 6 months	Currently subject to an ongoing review.
The force should have redesigned the current PND form to ensure that the offender has been made aware of the implications of this means of disposal and has acknowledged such on the form. These new forms should then be brought into use immediately.	Within 6 months	Currently being reviewed in conjunction with the new mobile and digital process.
The force should consider subscribing to the national Pentip system in order to be able to ascertain if an offender has received a cannabis warning in another force area	Within 6 months	Discussions have already taken place within the Constabulary with regards subscribing to Pentip. This will be revisited in light of this HMIC recommendation.
The force should have undertaken a thorough review and audit of community resolutions to ensure that force processes comply with national guidance and standards. In the case of juveniles, there needs to be clarity that the 'ACPO guidelines on the use of Community Resolutions' are being adhered to, and in particular that resolutions are only given when appropriate and that there is a clear, auditable trail of decision making for the youth triage process adopted in Cumbria.	Within 6 months	Will form part of an 'outcomes' audit which will be carried out prior to 31 st May 2015.

It should be noted that improvements have been made to performance since the data reviewed by HMIC (12 months to August 2013). However work to address all the recommendations made will be taken forward and progress against them reported back to the Police and Crime Commissioner at the next meeting.

The issue of crime data quality will continue to be driven forward by the HMIC in the new PEEL assessments due to commence in 2015.

2. Issues for Consideration

2.1 Drivers for Change

- As previously reported, improving data quality is considered of the upmost importance by the Constabulary and by HMIC.
- This activity is also a top priority for the Police and Crime Commissioner in Cumbria, and features strongly within the current Police and Crime Plan, specifically with regards to:
 - The Constabulary continuing to focus on ensuring that its recording of incidents, crimes and their outcomes is accurate, and in line with national standards.
 - That the Constabulary continues to focus on improving the quality of investigations into crimes.

2.2 Consultation processes conducted or which needs to be conducted

- Key subject experts were consulted during the preparation of this report (see section 9.2).

2.3 Impact assessments and implications on services delivered

- Further impact may result following publication of recommendations from HMIC

2.4 Timescales for decision required

- None required at this stage

2.5 Internal or external communications required

- None required at this stage.

3. Financial Implications and Comments

- 3.1 There may be cost implications following publication of recommendations from HMIC

4. Legal Implications and Comments

- 4.1 None identified.

5. Risk Implications

5.1 None identified at this stage

6. HR / Equality Implications and Comments

6.1 None identified

7. ICT Implications and Comments

7.1 None identified at this stage

8. Procurement Implications and Comments

8.1 None

9. Supplementary Information

9.1 None

9.2 List persons consulted during the preparation of report

- Peter Berry / Force Crime Registrar / Crime Management Unit
- Ruth Harmer / Force Incident Registrar / Crime Management Unit
- Garry Armstrong / Performance Manager / Territorial Policing Management Support Unit
- Jane Sauntson / Director of Corporate Improvement



Inspecting policing
in the public interest

Crime data integrity

Inspection of Cumbria Constabulary

November 2014

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Introduction

In its 2013/14 inspection programme¹, Her Majesty's Inspectorate of Constabulary (HMIC) committed to carry out an inspection into the way the 43 police forces in England and Wales record crime data. All 43 forces were inspected by mid August 2014, with a full thematic report published in autumn 2014. The central question of this inspection programme is:

“To what extent can police-recorded crime information be trusted?”

Accurate crime recording underlines the police service's commitment to public accountability, ensures that local policing bodies² can match resources to the risks identified in communities and enables the police to provide a proper service to victims of crime.

Recent HMIC inspections have revealed weaknesses in police crime recording, particularly the under-recording of crimes. In our interim report of 1 May 2014 we said that “we are seriously concerned at the picture which is emerging”.³

We strongly recommend our findings in this report are read alongside the interim report, *Crime recording: A matter of fact - An interim report of the inspection of crime data integrity in police forces in England and Wales*, available at www.justiceinspectorates.gov.uk/hmic/

The interim report sets out the full context of this inspection programme including the rules and standards governing crime data integrity: the National Crime Recording Standard (NCRS)⁴ and Home Office Counting Rules (HOCR)⁵.

¹ The 2013/14 inspection programme was approved by the Home Secretary under section 54 of the Police Act 1996.

² Police and crime commissioners for police areas outside London: the Mayor's Office for Policing and Crime for the Metropolitan Police Service; and the City of London Corporation for the City of London Police.

³ *Crime recording: A matter of fact – An interim report of the inspection of crime data integrity in police forces in England and Wales*, paragraph 1.20.

⁴ NCRS is a standard of crime-recording introduced in 2002 and published as part of the Home Office Counting Rules; it has the twin objectives of ensuring the police focus more on victims of crime and ensuring consistency in crime-recording in all police forces.

⁵ HOCR are rules in accordance with which crime data – required to be submitted to the Home Secretary under sections 44 and 45 of the Police Act 1996 – must be collected. They set down how the police service in England and Wales must record crime, how crimes must be classified according to crime type and categories, whether and when to record crime, how many crimes to record in respect of a single incident and the regime for the re-classification of crimes as no-crimes.

Methodology

Each force inspection involves:

- An examination of crime records for the period 1 November 2012 to 31 October 2013;
- A dip-sample of out-of-court disposals (cautions, Penalty Notices for Disorder (PND), cannabis warnings, community resolutions) and no-crime decisions for rape, robbery and violence;
- Visits to forces where inspectors assess local crime recording arrangements under three headings: leadership and governance; systems and processes; and people and skills; and
- A peer review of audit findings by an NCRS expert from outside HMIC.

The audit examined for compliance a small sample of crime records from each force. Taken together, these samples are sufficient to provide a reliable national estimate, but are too small to produce a force estimate of compliance. Force compliance rates typically result in a margin of error of around +/- 10 percent and therefore a range of 20 percent. This range of uncertainty means that few, if any, conclusions can be drawn from individual force compliance rates or comparisons of rates between forces based on the data alone. (Samples large enough to make more reliable force judgements, while desirable, were not affordable.) Our conclusions and recommendations are, therefore, based upon the evidence drawn from our inspection of the force's crime-recording arrangements.

Scope and structure of report

This report is divided into the following sections:

1. Part A: A summary of our findings, and recommendations;
2. Part B: Our findings in numbers;
3. Part C: Additional detailed inspection findings.

This report, undertaken at a force level, allows a qualitative assessment of the force's crime recording arrangements and to make recommendations for improvement.

Part A: Summary of inspection findings, and recommendations

Leadership and governance

Chief officers in Cumbria show strong leadership and promote the importance of crime data integrity throughout the force. They consider accurate crime recording to be an essential prerequisite for their victim-centred approach to policing. The assistant chief constable (ACC) is the named officer responsible for crime data quality.

The force has an established governance structure for monitoring performance which includes crime data integrity. The force does not have an overarching crime recording policy but there are clear procedures that are well understood by officers and staff. The need for ethical crime recording is well embedded, understood and repeatedly reinforced by chief officers.

The force maintains a confidential reporting line for officers and staff to report any unethical practices. Those officers and staff we spoke to felt that the culture of the organisation was one where they could report concerns to line managers or supervisors without fear of recrimination.

The need for accurate crime and incident recording is identified as a key activity in the Cumbria Police and Crime Plan 2013-17 (updated 2014).

At a strategic level, there is evidence that the force understands the risks associated with inaccurate crime recording including reduced public confidence, inaccurate resource deployment and a lack of a comprehensive understanding of vulnerability. A significant change programme in place since 2010, which has been driven by budgetary pressures, has acknowledged its impact on crime recording as an important risk. This is being mitigated by a comprehensive drive to improve officer compliance by the use, where necessary, of unsatisfactory performance procedures (UPP).

The force understands its key crime categories, notably vulnerability, sexual offences, hate crime and violence. In addition to these specific categories, the force has a considerable seasonal problem with travelling criminals or individuals with a criminal propensity moving to the area for seasonal employment.

There is an understanding of the various channels through which crime is being recorded but this could not be described as comprehensive. The main area of concern is third party referrals through public protection units (PPU) where none of the units visited during the inspection was able to identify the total number of referrals received from third parties.

The force has a central public protection referral unit and has adopted a 'triage' approach to dealing with referrals; however, it was apparent that there were particular vulnerabilities. The decision to refer issues concerning vulnerable young people to the police rests with the local children's services, and as a result some crimes are not being recorded. Not all requests from children's services for information are being recorded and reports of low level assaults and abuse were being retained by children's services for further investigation and not being recorded as crimes with police taking the lead. When these concerns were raised with the force they did respond quickly and appropriately.

Recommendation: Within immediate effect, the force needs to ensure that the PPU central referral unit, or triage, is being run in accordance with national best practice, that all crime should be recorded in a timely manner and that there is a comprehensive understanding of the number, type and scope of referrals to the force from third parties.

The force has an audit capability that relies on a small unit under the supervision of the force crime registrar⁶ (FCR). Audits to assess compliance with HOCR and NCRS are undertaken regularly but the unit struggles with the capacity to undertake work in other risk areas such as out-of-court disposals and PPU processes. There is an audit plan which is flexible enough to respond to emerging issues but only at the expense of other areas of business. The force makes good use of the audit data produced with timely and proportionate action taken in response to the findings. At a time when more emphasis will be placed on individual officer responsibility, it is essential to have a robust checking mechanism at the centre.

Recommendation: Within six months, the force should have reviewed its audit capacity and ascertained the most cost-effective way, using internal or external auditors, to improve its capacity to undertake both regular and risk-based audits using a more extensive methodology.

⁶ The person in a police force who is responsible for ensuring compliance with crime-recording rules. The HOCR provide that he is ultimately responsible for all decisions to record a crime or to make a no-crime decision, as the final arbiter. The force crime registrar's responsibilities include training staff in the crime-recording process and carrying out audits to check that the force is complying with all applicable rules.

Systems and processes

Accuracy of crime recording

We examined 101 incident records⁷ and found that 85 crimes should have been recorded. Of the 85 crimes that should have been recorded, 71 were. Of the 71, four were wrongly classified and six were recorded outside the 72-hour limit allowed under the HOCR. This is of concern as it means that some victims' crimes are not being recorded and they are not getting the service they deserve (for example, because certain victim support services are only triggered when a crime is recorded).

We examined 60 reports that were recorded separately on other force systems. We found that of those 60 reports, 19 crimes should have been recorded but only 8 crimes were.

All incidents are recorded on the STORM command and control system. Those crimes requiring deployment are allocated to officers while low-level crimes not judged to require police attendance are dealt with by the helpdesk. All crimes have to be recorded on the Sleuth IT system.

In addition to the examination of referral files to the PPU, we examined a further 16 files in the dedicated PPU folder on Sleuth and identified 2 incidents that should have been recorded as crime. In addition, in the email inbox there were two messages identifying allegations of assault that had not been recorded and one relating to an incident in a care home. This was an area of concern.

Recommendation: Within three months, the force should undertake a review of the PPU folder on Sleuth and the PPU email inbox to identify any crimes that should have been recorded in accordance with HOCR and NCRS and progress any actions that are outstanding.

The current process in the PPU places responsibility for recording any crime identified on the detective constable who has been allocated the case. This leads to an 'investigate to record' mentality that delays the recording of crimes and, at worst, leads to crimes not being recorded at all. A better system would be for the detective sergeant who assesses the initial referral or incident to enter the matter as a crime before it is allocated for investigation.

Recommendation: With immediate effect, the force should ensure that any crimes identified in the PPU are recorded at the first opportunity by the detective sergeant assessing the referral and, in any case, within 72 hours prior to allocation for investigation.

⁷ An incident in this context is a report of events received by the police, recorded on the electronic incident systems, that requires police attention. Whether or not an incident report becomes a crime record is determined on the balance of probability that a notifiable offence has occurred as set out in the Home Office Counting Rules. If an incident does not turn out to be a crime, it must still be logged in an auditable form on the force's incident-recording system or some other accessible or auditable means.

Out-of-court disposals

Out-of-court disposals include cautions, Penalty Notices for Disorder (PND),⁸ cannabis warnings⁹ and community resolutions.¹⁰ The HOCR (section H) states that national guidance must be followed¹¹.

Cautions – Out of the 20 cautions we dip-sampled, we found that in 18 cases the offender's previous history made them suitable to receive a caution. In 16 cases we found evidence that the offender was made aware of the nature and future implications of accepting the caution. Out of the 15 cases where there was a victim to consult, 12 cases showed that the victims' views had been considered.

Penalty Notices for Disorder – We dip-sampled 25 PND and found that the offender was suitable to receive a penalty notice in 24 cases. In one case we found evidence that the offender had been made aware of the nature and future implications of accepting the penalty notice. Out of the 18 cases where there was a victim to consult, we found that 2 victims had their views considered when the police decided to issue a penalty notice.

Cannabis warnings – We dip-sampled 21 cannabis warnings and found that the offender was suitable to receive a warning in 16 cases. In 18 cases we found evidence that the offender had been made aware of the nature and implications of accepting the warning.

Community resolutions – We dip-sampled 20 community resolutions and found that in 17 cases the offender either had no previous offending history or that the offender's past history still justified the use of the community resolution. Out of the 20 resolutions where there was a victim, 13 cases showed that the wishes and personal circumstances of the victim had been properly considered. Only 11 cases showed that the agreed outcome was meaningful and

⁸ A form of immediate financial punishment used by police to deal with low-level offending such as being drunk and disorderly, retail theft, and minor criminal damage.

⁹ A cannabis warning is a non-statutory disposal for cases of possession of cannabis for personal use. It constitutes a warning to the offender and confiscation of the cannabis.

¹⁰ Resolution of a minor offence or anti-social behaviour incident through informal agreement between the parties involved, for example involving the offender making good the loss or damage caused.

¹¹ National guidance for the use of out-of-court disposals is detailed in a number of documents:

- *Home Office Circular 016/2008: Simple Cautioning – Adult Offenders*. Available from http://www.xact.org.uk/information/downloads/Pace/HOC_16-2008.pdf
- *Simple Cautions For Adult Offenders*, 14 November 2013. Available from www.justice.gov.uk
- *Code of Practice for Adult Conditional Cautions*, 8 April 2000. Available from www.justice.gov.uk
- *Home Office Police Operational Guidance for penalty Notices for Disorder*, March 2005. Available from www.justice.gov.uk
- *ACPO Guidance on Cannabis Possession for Personal Use*, 28 January 2009. Available from www.acpo.police.uk

appropriate¹². In the 14 cases that concerned youths, none had any evidence of involvement from the youth offending teams, criminal justice unit or triage despite the offender being a juvenile. Reality testing showed evidence of supervisory consultation on community resolutions but there is a lack of an auditable supervisory footprint.

Recommendation: Within six months, the force should have redesigned the current PND form to ensure that the offender is made aware of the implications of this means of disposal and has acknowledged this on the form. These new forms should then be brought into use immediately.

Recommendation: Within six months, the force should consider subscribing to the national Pentip system in order to be able to ascertain if an offender has received a cannabis warning in another force area

Recommendation: Within six months, the force should have undertaken a thorough review and audit of community resolutions to ensure that force processes comply with national guidance and standards. In the case of juveniles, there needs to be clarity that the 'ACPO guidelines on the use of Community Resolutions'¹³ are being adhered to, and in particular that resolutions are only given when appropriate and that there is a clear, auditable trail of decision making for the youth triage process adopted in Cumbria.

No-crime

No-crime refers to an incident that was initially recorded as a crime but has subsequently been found not to be a crime on the basis of additional verifiable information.

We examined 46 no-crime records and found 38 records to be compliant with HOCR and NCRS. Seven of the nine no-crimes of rape were correct. Six of the seven no-crimes for robbery were correct and 25 of the 30 no-crimes for violence were correct.

No-crime decision making is effective although the process can cause undue delays and is inefficient. The current situation where constables can pass requests for no-crime direct to the FCR is unsustainable. No-crimes should

¹² National guidance for community resolution directs that at the point the community resolution is administered an officer will need to confirm the offender admits the offence and explain the process to the offender – including how the offender will make good the harm caused. The implications of receiving a community resolution need to be explained to the offender – it does not form part of a criminal record but may be disclosed as part of an enhanced Disclosure and Barring Service check. The community resolution is to be recorded appropriately, in accordance with the NCRS and HOCR.

¹³ ACPO Guidelines on the use of Community Resolutions (CR) Incorporating Restorative Justice (RJ):
<http://www.acpo.police.uk/documents/criminaljustice/2012/201208CJBAComResandRJ.pdf>

pass through an appropriately skilled supervisor, possibly of inspector rank, who should ensure that all the necessary documentation and additional verifiable information is available on the file to enable the FCR or head of the crime management unit (CMU) to make the final no-crime decision.

The no-crime delays are further exacerbated by the inability of other members of staff to access the no-crime data addressed to the FCR. This again results in undue delays in the absence of the FCR. A system has to be devised that enables other authorised members of staff to access the FCR folders.

Recommendation: Within three months, the force should have revised the process for no-crime decisions to minimise delays while retaining the consistency afforded by a centralised process and compliance with the NCRS and HOOCR.

Victim-centred approach

We found a strong victim-centred approach during reality testing. We found a strong victim-centred approach during reality testing. In particular, high levels of empathy were displayed towards the victims in the work of the force's single point of contact (SPOC) and hate crime co-ordinator in association with the Furness Multicultural Centre in Barrow, and in the approach adopted by call handlers. There was good knowledge of what was meant by a victim-centred approach among those staff interviewed and it was clear that the force was moving in the right direction in this area. This was contrary to the findings of the audit where many out-of-court disposals contained little evidence of the victim having been contacted. We were satisfied that the force promotes a victim-centred approach to crime recording and outcomes but there needs to be more emphasis on recording detail of the interaction. Surveys are used appropriately and effectively and inform activity.

Rape offences

The force has comprehensive guidance on how to deal with all aspects of rape recording and investigation called 'The standard for the investigation of rape and serious sexual assault – October 2011'. The systems for recording and managing reported crimes of rape are robust although senior staff acknowledge that they could not be certain all rapes are reported to the force. The need to record rape in a timely manner has been reiterated by the new head of public protection. Each rape investigation is reviewed independently to ensure it is being dealt with effectively, recorded correctly and that all leads have been investigated. Officers and staff are aware of their roles. The FCR is the only person who can no-crime a rape allegation.

The force guidance, while comprehensive, does not contain advice for officers or staff on how to deal with a victim of rape when the location of the offence is in another force area but the victim is reporting the incident in Cumbria.

Recommendation: Within three months, the force guidance on rape - The standard for the investigation of rape and serious sexual assault – should be amended to contain specific guidance on how to deal with allegations of rape occurring in another force area including the crime transfer process, evidence transfer and victim care.

IT systems

The force uses the Sleuth system to record crime, and STORM for the command and control of incidents. There is no other crime recording system in the force. The systems are linked and allow for efficient and effective management of crime recording although due to the age of the former, there is limited scope for data to be automatically transferred from one to the other.

People and skills

The force has invested significantly in training for supervisors and staff on HOCA and NCRS and there is frustration evident that this has not had a material impact on the overall compliance with HOCA and NCRS. As a result of research undertaken internally, it has concluded that officers and staff need to be made more aware of the implications of not recording crime accurately. On 1 August 2014, the force introduced a policy that supports officers if they fail to record accurately but which ultimately could lead to unsatisfactory performance procedures being invoked if there is no improvement. This has the support of the local Police Federation.

There is a culture of integrity around crime data with staff willingly accepting the need for accurate crime recording and understanding the organisational risks of not getting it right. We found no evidence that performance pressures, either implicit or explicit, are influencing the accurate recording of crime.

Force crime registrar

The FCR has extensive knowledge and experience in the management of crime data and the application of the NCRS and HOCA. He is well respected, supported and accepted as the final arbiter for all crime recording issues and enjoys the full support of all chief officers.

Recommendations

Immediately

1. The force needs to ensure that the PPU central referral unit or triage is being run in accordance with national best practice, that all crime should be recorded in a timely manner and that there is a comprehensive understanding of the number/type and scope of referrals to the force from third parties.
2. The force should ensure that any crimes identified in the PPU are recorded at the first opportunity by the detective sergeant assessing the referral and, in any case, within 72 hours, prior to allocation for investigation.

Within three months

3. The force should undertake a review of the PPU folder on Sleuth and the PPU email inbox to identify any crimes that should have been recorded in accordance with HOCR and NCRS and progress any actions that are outstanding.
4. The force should have revised the process for no-crime decisions to minimise delays while retaining the consistency afforded by a centralised process and compliance with the NCRS and HOCR.
5. The force guidance on rape - The standard for the investigation of rape and serious sexual assault – should be amended to contain specific guidance on how to deal with allegations of rape occurring in another force area including the crime transfer process, evidence transfer and victim care.

Within six months

6. The force should have reviewed its audit capacity and ascertained the most cost-effective way, using internal or external auditors, to improve its capacity to undertake both regular and risk based audits using a more extensive methodology.
7. The force should have redesigned the current PND form to ensure that the offender has been made aware of the implications of this means of disposal and has acknowledged such on the form. These new forms should then be brought into use immediately.
8. The force should consider subscribing to the national Pentip system in order to be able to ascertain if an offender has received a cannabis warning in another force area

9. The force should have undertaken a thorough review and audit of community resolutions to ensure that force processes comply with national guidance and standards. In the case of juveniles, there needs to be clarity that the 'ACPO guidelines on the use of Community Resolutions' are being adhered to, and in particular that resolutions are only given when appropriate and that there is a clear, auditable trail of decision making for the youth triage process adopted in Cumbria.

Part B: Audit findings in numbers

Our examination of records will be used as part of a statistically robust national audit to allow HMIC to report a figure for national crime recording accuracy across the 43 Home Office forces within our final report to be published in autumn 2014. The audit undertaken at a force level is not of a sufficient size to be statistically robust and is therefore used alongside our fieldwork interviews to form qualitative judgments only.

Crimes reported as part of an incident record		
Incidents reviewed	Crimes identified	Crimes recorded
HMIC reviewed the following number of incident records in Cumbria Constabulary. These include reported incidents of burglary, violence, robbery, criminal damage and sexual offences.	From these incidents HMIC identified the following number of crimes.	From these identified crimes Cumbria Constabulary recorded the following number of crimes.
101	85	71
Crime reports held on other systems		
Referrals	Crimes identified	Crimes recorded
HMIC reviewed the following number of referrals reported directly to Cumbria Constabulary and held on other systems which contained reports of crime.	From these referrals HMIC identified the following number of crimes that Cumbria Constabulary should have recorded.	From these identified crimes Cumbria Constabulary recorded the following number of crimes.
60	19	8
No-crimes		
HMIC reviewed the following number of recorded crimes of rape, violence and robbery which Cumbria Constabulary had subsequently recorded as no-crime.	From these HMIC assessed the following number of no-crime decisions as being correct.	
46	38	

Part C: Additional detailed inspection findings

Our detailed findings are set out against three headings: leadership and governance, systems and processes, and people and skills.

Leadership and governance

1 Does the force have arrangements at a senior level to ensure there is confidence in recorded crime figures and all aspects of the HOCR?

1.1. How is the Cumbria Constabulary ensuring that leadership responsibilities and expectations for crime data integrity are clearly defined and unambiguously communicated to staff?

Chief officers show strong leadership and promote the importance of crime data integrity (CDI) throughout the force. The ACC is the named responsible officer for CDI and is widely acknowledged as such throughout the organisation.

The ACC is also the lead for force performance although there is no evidence to suggest this creates a conflict given the nature of the performance regime now in place in the force which, in the absence of specific quantitative targets in the Cumbria Police and Crime Plan 2013-17, concentrates on qualitative issues and audit findings. Staff acknowledged there had been a significant shift in the past two years in the performance regime and we found no evidence of any pressure, either implicit or explicit, not to record or to mis-record crime.

The force has an established governance structure for monitoring performance which includes crime data integrity. Meetings, such as the force operations board chaired by the ACC, are used as a forum to promulgate the need for accurate crime recording and this is further reinforced through the integrity and ethics programme. Further meetings are held in each territorial policing area (TPA) which are more tactical but replicate strategic meetings in that they reinforce the need for accurate crime recording.

A significant change programme began in 2010 to address budgetary pressures. Part of this programme revised the process for crime recording taking it from a devolved model with a CMU in each of the three basic command units (BCU) to a central model with an accompanying cultural shift to ensure that local sergeants and inspectors take responsibility for crime recording. The ACC is widely associated with these changes and also for the higher profile that CDI has enjoyed in the force over the last 12 months.

The force has acknowledged that performance in this area of business can dip during a period of significant change and this proved to be the case with compliance, as assessed by internal force audits of NCRS which showed a reduction in compliance by up to ten percentage points. A lot of research has

been undertaken on the causes underlying this drop and significant training has been put in place for both sergeants and inspectors. This has been followed by the introduction of an initiative that could result in officers being placed on unsatisfactory performance measures if, despite support, they continue not to record crime accurately. This is a drastic step but nevertheless shows the determination of senior officers to achieve accurate and ethical crime recording.

Communication from senior officers is well evidenced but it is not always apparent that more junior officers are responding to the message. Compliance is tested by way of a series of performance meetings taking place once every 5 and 15 weeks, but the force acknowledges that some officers, notably 'those more senior, long-in-service' are often the most difficult to reach. Chief officers use a variety of approaches including multi-tiered briefings through a corporate structure which includes, for example, the force operations board and strategic tasking and co-ordinating groups, specific training for sergeants and inspectors, briefing boards, intranet, emails to each officer and briefings to individual management teams.

Staff indicated that they were confident they could raise matters of integrity in crime recording with supervisors or line managers but there is also a confidential reporting line if they would prefer to use that route. This is monitored by the professional standards department (PSD) and any issues raised would be brought to the attention of the most appropriate chief officer, although there was no record of any issues having been raised in the last 12 months.

There are no crime recording policies in Cumbria as the force prefers to adopt nationally authorised policing practices (APP) and refer to national guidance such as HOCR and NCRS. The need for accurate crime and incident recording is identified as a key activity in the Cumbria Police and Crime Plan 2013-17 (updated 2014).

1.2. How does Cumbria Constabulary ensure it has a proportionate approach to managing the strategic and organisational risk of recording crime data?

At a strategic level there is evidence that the force understands the risks associated with inaccurate crime recording; indeed, the change programme identified that as a key area of concern. The risks to the organisation from reduced public confidence, inaccurate resource deployment and a lack of a comprehensive understanding of vulnerability are all acknowledged at a strategic level. This level of understanding is not as apparent lower down the organisation where staff are not as aware of, or fail to recognise, the risks.

The force understands its key crime categories, notably vulnerability, sexual offences, hate crime and violence. In addition to specific categories, the force has a considerable seasonal problem with travelling criminals or individuals with a criminal propensity moving to the area for seasonal employment.

This is recognised and puts considerable extra strain on the organisation as a whole. There is a focus for force audits on the areas of vulnerability but there is limited central capacity to undertake this work. Central audits are supplemented by supervisory checks in each of the TPA and departments.

The force crime recording system is Sleuth, which is widely viewed as easy to use but does have limitations given its age (installed in 2008). After assessment by call-handlers, those crimes requiring deployment are allocated to officers who complete both a case management entry called 'caseman' and a victim management entry 'vicman' on the Sleuth system. The system ensures that the level of detail required for crime recording is consistent across all crime records. It is expected that more serious crimes will have more comprehensive MO¹⁴ detail, although this was not always apparent in the samples examined during the audit.

There isn't a comprehensive understanding of the various channels through which crime is being recorded although there is an assessment of volume. For example, the force believes that 70 percent of crimes are recorded through the communications centre with the remaining 30 percent split equally between help desks, 'on street reports' and third party reports. This latter area is a significant cause for concern with none of the units able to identify the total number of referrals received from third parties (see recommendation 1).

The force has a central public protection referral unit and has adopted a triage approach to dealing with referrals. However, it was apparent that there were particular vulnerabilities, notably that the decision to refer matters to the police rests with the local children's services and as a result, some crimes are not being recorded. Not all requests from children's services for information are being recorded and low-level assaults and abuse are being retained by children's services for further investigations, not being recorded as a crime and with police not taking the lead. When these concerns were raised with the force they did respond quickly and appropriately (see recommendation 1).

1.3. How does Cumbria Constabulary use HOCR, NCRS and NSIR to ensure there is confidence that crime is recorded accurately?

The force undertakes audits of crime and incident recording, the last comprehensive one being in February 2014. There is an audit plan and there is evidence of planning ahead as they have identified incidents to crimes, reclassifications, no-crimes and fraud as areas they wish to audit. There is not a dedicated audit unit but, under the line management of the FCR, staff undertake this work alongside other duties. The capability of the unit is not in doubt and the audits are very thorough as evidenced in the October 2013 and February 2014 audits of crime and incident compliance.

¹⁴ MO – *modus operandi*

Nevertheless, staff have limited capacity and inevitably have to prioritise work which means that some areas of business, such as out-of-court disposals or crime dealt with by the PPU, receive scant attention.

The force is committed to good data quality delivered by multi-skilled officers and staff but they have recognised that this needs to be underpinned by an effective audit regime. At a time when more emphasis will be placed on individual officer responsibility, it is essential to have a robust checking mechanism at the centre. There is not currently the audit capacity in force to achieve this aim (see recommendation 2).

Through the police and crime commissioner (PCC) there is access to an outside audit facility delivered through the county council that has been used in the past for one-off audits. Despite the limitations on capacity, the audit team is not inhibited by opening and closing codes used on the command and control system but it is limited, due to capacity, in its ability to respond to emerging trends which can only be undertaken at the expense of other work.

Audit data, when available, are used at both strategic and local performance meetings; the FCR has regular access to senior officers as well as shift sergeants and inspectors and will feed back issues of concern or discuss individual cases with them. Audit data are also used when appropriate in the personal reviews with staff which take place every 5 and 15 weeks, ensuring that action is taken at all levels in the organisation.

The audit regime uses the Audit Commission tests 1 and 2 but the force has recognised that it would benefit from a more extensive methodology where calls are listened to in real time and the crime tracked through to completion. This includes a ring-back to the victim to assess that what was recorded accurately reflects what they reported (see recommendation 2).

Systems and processes

2 Does the force have systems and processes in place to ensure that: crime is correctly recorded in accordance with HOCR and NCRS; standards of out-of-court disposals are maintained; and no-crime decisions are correct?

2.1. How does Cumbria Constabulary effectively manage and supervise incidents, other reporting routes and crime records in order to ensure that crimes are correctly recorded?

All incidents in Cumbria are recorded on the STORM command and control incident system which links with the crime recording system, Sleuth. In 2013/14 there were 130,992 incidents and 23,926 crimes recorded. It was apparent that staff had a good knowledge of both systems with the audit identifying that in 88 out of the 101 incidents examined, the correct closing codes had been used while staff were deemed to have been polite, helpful and professional in 99 out of the 101 incidents. Indeed we were pleased to note that the level of empathy displayed by staff during the calls was higher than in many other forces.

Supervisors do monitor incident logs, especially in high-risk areas such as hate crime, domestic violence and sexual offences that can be monitored in real time. There is a lack of a supervisory audit trail as just 10 out of the 101 incidents examined had evidence of supervision. The force has a Language Line facility that is well-used especially in the summer months with a seasonal rise in visitors to the county.

We examined 101 incident records and found that 85 crimes should have been recorded. Of the 85 crimes that should have been recorded, 71 were. Of the 71, four were wrongly classified and six were recorded outside the 72-hour limit allowed under the HOCR. This is of concern as it means that some victims' crimes are not being recorded and they are not getting the service they deserve (for example, because certain victim support services are only triggered when a crime is recorded).

We examined 60 reports that were recorded separately on other force systems. We found that of those 60 reports, 19 crimes should have been recorded but only 8 crimes were.

All crimes in Cumbria are recorded on the Sleuth system but not all require an officer to be deployed. There is a help desk facility that dealt with 13 percent of crimes over the telephone in 2013/14 and there may be scope to increase this level as pressure on deployable resources increases. Some crimes are reported direct to the PPU by third party referrals from other agencies such as social services but all crimes identified should be recorded as such on the Sleuth system.

The force has an aspiration for all incident logs to be reviewed in real time but recent changes to the control room have meant this has not been achieved and,

at the time of the inspection, approximately 50 percent were being reviewed. Reality testing did confirm that there was supervision of crimes on the Sleuth system although the system allows supervisors to view a crime without automatically creating an audit trail unless the supervisor decides to place a specific comment on the log.

Chief officers have been concerned about crime recording and the NCRS compliance rate following changes to the crime recording process as a result of budgetary pressures and there is some concern that resistance may be more embedded and cultural. For example, some officers during research by the force were found to hold the view that a crime did not need to be recorded if the victim did not wish to prosecute which is contrary to the HOCR. Despite extensive training for inspectors and sergeants, advice to constables and staff and more intrusive checks, it is apparent that the accuracy of crime recording has not improved significantly over time. This has led to the conclusion that compliance is a key area for improvement and the force has, in July 2014, introduced guidelines for officers who repeatedly fail to record crime accurately. These individuals will be subject to a development plan in the first instance, followed by more management intervention which ultimately, at the third time of asking, could lead to the UPP procedures being invoked. One sergeant has been posted to each of the TPA to run this process and give advice to officers.

We felt that this provided clear evidence of the determination of chief officers to raise the profile of crime recording in the force and ensure that all reports are accurate and compliant with the NCRS and HOCR.

The audit dip-sampled 60 referrals to the PPU and identified 19 crimes that should have been recorded; the force recorded 8. During reality testing a further dip-sample of 16 files in the PPU folder on the Sleuth system identified 2 crimes of assault that had not been recorded, one of which related to an assault in a care home. The force was aware of problems in this area as on the 9 July 2014, an email had been sent by the head of public protection and crime operations reiterating to all staff the need to record all rape and sexual offences immediately when officers “were satisfied that it is more likely than not that a crime had been committed”. Not all crimes reported to the PPU are of a sexual nature and the evidence of the audit and reality testing identified that there may be crimes referred to the PPU and stored in the Sleuth folder or in the PPU email inbox, that have not been recorded as such (see recommendation 3).

The process in the PPU is such that detective sergeants review referrals but do not record the crime. The referral is passed to a detective constable to investigate and decide if a crime should be recorded. This builds in unnecessary delays and is potentially contrary to the HOCR as crimes are not recorded as soon as the NCRS test is met. All the staff interviewed in this area of business agreed that it would be better for the recording of the crime to be

undertaken by the detective sergeant, before allocation (see recommendation 4).

There is no crime recording policy in the force; Cumbria Constabulary uses nationally approved professional practice (APP) and reference to the HO CR and NCRS. There are also no specific guidelines to give advice on the procedures to be adopted if a crime is reported that occurred in another force area. Reality testing did identify that while this was considered a rare event, there was knowledge in the force how to deal with such issues but the force may wish to encapsulate this in some form of guidance (also see recommendation 9).

2.2. How does Cumbria Constabulary ensure that out-of-court disposals suit the needs of victims, offenders and the criminal justice system?

Out-of-court disposals include cautions, Penalty Notices for Disorder (PND), cannabis warnings and community resolutions. The HO CR (section H) states that national guidance must be followed.

Cautions – Out of the 20 cautions we dip-sampled, we found in 18 cases that the offender's previous history made them suitable to receive a caution. In 16 cases we found evidence that the offender was made aware of the nature and future implications of accepting the caution. Out of the 15 cases where there was a victim to consult, 12 cases showed that the victims' views had been considered.

Penalty Notices for Disorder – We dip-sampled 25 PND and found that the offender was suitable to receive a penalty notice in 24 cases. We found only one case where there was evidence that the offender had been made aware of the nature and future implications of accepting the penalty notice. Out of the 18 cases, where there was a victim to consult, we found that only 2 victims had their views considered when the police decided to issue a penalty notice.

Cannabis warnings – We dip-sampled 21 cannabis warnings and found that the offender was suitable to receive a warning in 16 cases. In 18 cases we found evidence that the offender had been made aware of the nature and implications of accepting the warning.

Community resolutions – We dip-sampled 20 community resolutions and found that in 17 cases, the offender either had no previous offending history or that the offender's past history still justified the use of the community resolution. Out of the 20 resolutions where there was a victim, 13 cases showed that the wishes and personal circumstances of the victim had been properly considered. Only 11 cases showed that the agreed outcome was meaningful and appropriate. In 14 cases that concerned youths, none had any evidence of involvement from the youth offending teams, criminal justice unit or triage despite the offender being a juvenile. Reality testing showed evidence of supervisory consultation on community resolutions but there is a lack of an auditable supervisory footprint (see recommendation 7).

In Cumbria Constabulary a triage process applies to young people aged 17 years and under who are arrested and brought into police custody for the first time for a less serious offence. They must have admitted the offence and the circumstances must not be suitable for them to be dealt with by means of a Youth Restorative Disposal (YRD).

We found some evidence of cases unsuitable for triage being referred to the YRD and had concern that there was an absence of an audit trail for decision making, despite the force being accountable for out-of-court outcomes.

It was also apparent that out-of-court disposals were not audited by the force. Given the findings from this inspection, it is important that the force finds ways to review these areas of risk to ensure that all out-of-court disposals comply with national guidance. There may be scope to use the out-of-court scrutiny panel that was established in April 2014 to oversee the whole range of out-of-court disposals. The panel includes representatives from magistrates, Victim Support, probation and volunteers and their views are fed back to the force.

2.3. Are no-crime decisions for high-risk crime categories correct and is there robust oversight and quality control in Cumbria Constabulary?

We examined 46 no-crime records and found 38 records to be compliant with HOCA and NCRS. Seven of the nine no-crimes of rape were correct. Six of the seven no-crimes for robbery were correct and 25 of the 30 no-crimes for violence were correct.

All no-crime decisions in Cumbria are made by the FCR. Officers often submit reports requesting no-crime decisions direct to the FCR although some are sent via supervisory officers and there is no consistency of approach. The centralisation of no-crime decision making supports accuracy and compliance with HOCA. The minimum number of crimes considered in the period under review is testament to the effectiveness of the process; however, this does not reflect the volume of work undertaken given the large number of files. It is estimated that 75 percent of no-crime requests are refused or sent back for further clarification.

Centralisation does lead to delays and the FCR has to prioritise the more serious cases. There is an acknowledgement that this reflects badly on the rest of the organisation where staff are under pressure to record crimes within 72 hours but decisions on a no-crime can take months.

Files submitted that are refused generally show a lack of understanding of additional verifiable information (AVI) by the officer submitting the request or that insufficient evidence or documentation has been provided. These issues all exacerbate the main area of concern which is the delay in decision making. If all requests for no-crime were to pass, in the first instance, through an appropriately trained and accredited inspector on each TPA or department, this would act as a filter to quality assure the files and prevent requests being sent

direct to the FCR from individual officers. The final decision to no-crime would remain with the FCR. It was also apparent that during the absence of the FCR nobody else can access the files. If this facility was available files could be reviewed by the head of the crime management unit who could make the decision in the absence of the FCR (see recommendation 8).

2.4. How does Cumbria Constabulary promote a victim-centred approach to crime recording and associated outcomes?

There is strong evidence of a victim-centred approach to crime recording but it was not found to be universal throughout the force.

Call-handlers were found to be empathetic with callers and polite and helpful in 99 of the 101 incidents that we listened to during the audit. There was evidence from reality testing of a good knowledge of the code of practice for victims of crime (VCoP) with posters in evidence in many police buildings. In particular, high levels of empathy were displayed towards the victims in the work of the force's single point of contact (SPOC) and hate crime co-ordinator in association with the Furness Multicultural Centre in Barrow where there is a drop-in for people from different ethnicities who want to contact the police, notably those of Turkish, Asian, Polish or recently Indonesian origin.

The force 'vicman' system on Sleuth actively supports compliance with VCoP and ring-backs are undertaken by the helpdesk for quality assurance and service recovery issues.

Senior officers feel that satisfaction ratings of over 90 percent support their assessment that the force is victim-centred and they reinforce the message via normal communication channels, insisting on a focus on the victim at daily management meetings (DMM).

Surveys are carried out each month on behalf of the force by an independent company and regularly by staff in the communications centre. All survey results are fed back in to performance meetings at a strategic and local level.

2.5. How does Cumbria Constabulary ensure systems for receiving, recording and managing reported crimes of rape are robust?

The force has comprehensive guidance on how to deal with all aspects of rape recording and investigation called 'The standard for the investigation of rape and serious sexual assault – October 2011'. In addition, recent guidance dated 9 July 2014 from the new head of public protection (who also sits on a national advisory committee for rape investigation) has reiterated the need to record allegations of rape as crimes as soon as possible and that officers should not undertake investigations prior to recording a crime; staff should crime first and then investigate. The force major incident team reviews each rape investigation

to ensure it is being progressed effectively, recorded correctly and that all leads have been investigated.

Reality testing indicated that there was a good understanding among staff of what needs to be done if they receive an allegation of rape, the importance of recording it as a crime and the requirement to seek assistance from trained officers to deal with the investigation.

Senior staff acknowledge that they do not fully understand the totality of rape allegations in the county. There is a sexual assault referral centre (SARC) which is based in Preston and shared with Lancashire Constabulary but because of the size of Cumbria, it is unlikely that victims from the west of the county would travel that far. Negotiations are ongoing with the PCC in an effort to establish a SARC just for Cumbria Constabulary but at the time of writing no decision had been made. There are checks in place to ensure that rapes are not misclassified or downgraded and the audit found no evidence of integrity issues in relation to the reporting of rape.

All no-crime decisions on rape are taken by the FCR in accordance with HOCR. The numbers in the audit were low (nine) but there were two no-crime decisions that were felt to be inappropriate, one of which was attributed to full evidence not being available at the time of the decision and the other to a subjective decision regarding AVI. The process where no-crime decisions for rape are taken by one individual does ensure consistency but it may benefit from an external 'peer review' where an FCR from another force gives a second opinion on the decisions.

The force guidance, while comprehensive, does not contain advice for officers or staff on how to deal with a victim of rape when the location of the offence was in another force area but the victim is reporting the incident in Cumbria (see recommendation 9).

2.6. How do Cumbria Constabulary IT systems allow for efficient and effective management of crime recording?

The force uses the Sleuth system to record crime and STORM for incidents, command and control. The two systems are linked but because of the age of the former there is limited scope for data to be transferred automatically from one to the other. There is no other crime recording system in the force. Data entered on Sleuth do automatically populate other parts of the system. For example, location and offence entered on the crime module will populate the intelligence module within Sleuth. The force recognises the need to update the Sleuth system and the need to adopt mobile data devices to allow officers access to force systems and to be able to record crime while still at the scene. Both the systems are capable of audit and weeding of data, and ownership is clear. The blockage to effective auditing is having the necessary resources to

undertake the work with sufficient regularity and the force acknowledges that given other financial pressures, this area of business suffers.

People and skills

3 Does the force have staff whose conduct and skills ensure accurate crime recording?

3.1. What arrangements does Cumbria Constabulary have in place to ensure that staff have the necessary skills to ensure accurate crime recording?

Recent changes have resulted in the centralisation of the CMU function with a small unit within the force control room positioned next to the helpdesk staff who deal with telephone recording of crime. The knowledge of HO�R and NCRS was good and commensurate with the team's roles. At the time of the inspection there was only one member of staff running the CMU due to illness and leave, but even when fully staffed there are only three members in the unit. While adequate, this leaves little resilience and there may be options to train helpdesk staff to assist given their close proximity and the fact that staff in the helpdesk felt they could take on more work.

Chief officers have invested in training supervisory staff on HO�R/NCRS and NSIR¹⁵ issues. They have now taken the view that compliance is a key driver to achieve more accurate crime recording and believe that any shortcoming in performance in these areas is a consequence of non-compliance by officers. There is evidence of TPA officers now returning from patrol an hour early to ensure the accuracy of incident logs as they feel that the onus rests with them and that they have little support from the force control room operators with accuracy of the content. When the force moves to more widespread use of mobile data devices, officers should be able to update logs accurately while still on patrol which would be more efficient and effective.

The audit revealed that compliance with HO�R and NCRS was poorer in the PPU. The process where crime recording decisions were not made until after the file was allocated to PPU staff for investigation was felt to be at the heart of the problem, and the decision to record a crime should be made by the detective sergeant who first reviews the referral (see recommendation 4).

3.2. How do the behaviours of Cumbria Constabulary staff reflect a culture of integrity for crime recording practice and decision-making?

There were clear messages on crime recording and integrity from senior officers that are well understood by both police officers and staff. The latest UPP initiative, which is supported by the local Police Federation, has focused minds even more on this issue. We found no evidence of any staff being put under any pressure, either implicit or explicit, either not to record or to mis-record crime.

¹⁵ NSIR – National Standard for Incident Recording

It was acknowledged by all staff that there had been a significant change in the force's approach to crime recording over the last two to three years.

Reality testing also confirmed that supervisors supported their staff by introducing revised processes locally to ensure that crime is recorded accurately and incident logs accurately reflect reality. For example, one inspector has introduced the following arrangements:

1. for any crime-related STORM log to be written off without a crime being recorded, a supervisor must be consulted and this consultation recorded on the log; and
2. in these cases, the officer dealing must ensure that they review the wording of the mark up before retiring from duty, in order to ensure that it reflects the circumstances fully.

There was significant evidence of training around HOCR and NCRS, both generic and role-based, but no evidence that crime recording features as part of selection processes other than as part of broader questions on integrity.

3.3. How is the accuracy of crime recording in Cumbria Constabulary actively overseen and governed by the force crime registrar (FCR)?

The force has an FCR who is well respected and supported by chief officers. He is involved all strategic meetings relating to performance and has numerous one-to-one meetings with senior officers and heads of departments. The FCR is also responsible for undertaking force audits with the assistance of a force incident registrar (FIR) and a staff of two. This small team has undoubted capability and professionalism but the capacity of the unit to undertake a full range of risk-based audits is limited (see recommendation 2).

The FCR acts impartially, unhindered by any external or internal influences, and is involved in the formulation of all crime-related policies and guidance in the force. He is the final arbiter for all HOCR and NCRS issues and is the dedicated decision maker¹⁶ (DDM) for all no-crime decisions. He has direct, unfettered access to the ACC, formally and informally whenever that is required, but retains total independence. There was no evidence of any local policies or procedures and, if they were considered, the FCR would be consulted prior to implementation.

¹⁶ DDM are police officers or police staff making objective decisions on detections with more critical and sensitive aspects. In general DDM must be:

- Approved by the ACPO officer responsible for crime recording.
- Totally independent of the original investigation.



Cumbria Constabulary HMIC Thematic Inspection: Core Business Action Plan

Her Majesty's Inspectorate of Constabulary (HMIC) independently assesses police forces and policing across activity from neighbourhood teams to serious crime and the fight against terrorism – in the public interest. *Core Business* is the latest the thematic inspection review, and following an examination of activity in all 43 police forces in England and Wales the thematic report was produced. The report merges three complementary inspections into a single assessment.

The HMIC report looks at three principal aspects of day-to-day policing:

- the prevention of crime
- how crime is investigated and offenders are brought to justice; and
- freeing up and using police time more efficiently (which includes the use of modern technology).

There are no specific recommendations for Cumbria. This action plan identifies which recommendations will be adopted, which recommendations require further work to determine whether or not they will be adopted, which recommendations are not applicable for forces and, which recommendations are not being adopted.

A RAG rating has been applied with the following results:

Of the 40 recommendations, 2 are not applicable to forces, 11 are complete and the remaining 27 are on track.

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
PREVENTATIVE POLICING					
Recommendation 1 Not later than 31 March 2015, the police service, through the national policing lead for crime prevention, should establish and implement a national preventive policing strategy and framework. <i>[paragraph 3.8]</i>	Not applicable to forces				
Recommendation 2 Not later than 31 March 2015, all forces' planning documents should contain clear and specific provisions about the measures forces will take in relation to crime prevention, in accordance with the published national preventive policing strategy and framework and in discharge of chief constables' duties under section 8 of the Police Reform and Social Responsibility Act 2011 to have regard to the police and crime plans of their police and crime commissioners. <i>[paragraph 3.16]</i>	Adopted	Awaiting the national preventative policing strategy; all plans will then be audited for compliance (All current plans contain preventative elements)	31 March 2015	GREEN	Strategic Development to coordinate
Recommendation 3 By 31 March 2015, every force that does not have an adequate, force-wide problem-solving database should develop and start making use of one, to record, monitor and manage its neighbourhood problem-solving cases. <i>[paragraph 3.41]</i>	Further work required to determine whether or not adopted	As part of the Community Safety Review and NPT Structure implementation, a business case based on cost/benefit analysis will be developed to determine whether or not this is practical and affordable	31 March 2015	GREEN	Change Programme

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
Recommendation 4 By 31 March 2015, all forces should ensure they are using their databases to track the progress and evaluate the success of actions taken in relation to each neighbourhood problem-solving case recorded on the database. <i>[paragraph 3. 41]</i>	Further work required to determine whether or not adopted	As recommendation 3	31 March 2015	GREEN	Change Programme
Recommendation 5 By 31 March 2015, each force should ensure that it is able to disseminate information and share good practice from its database throughout the force, as well as to local authorities and other relevant organisations involved in community-based preventive policing or crime prevention. <i>[para 3.41]</i>			31 March 2015	GREEN	
Recommendation 6 By 20 October 2014, the one force which has not already done so should adopt a sound force-level definition of a repeat victim of anti-social behaviour. <i>[paragraph 3.44]</i>	Not applicable to Cumbria	No action required Constabulary already has a definition and process	COMPLETE	Complete	
Recommendation 7 By 31 March 2015, all forces should ensure that their records clearly establish whether victims of crime and anti-social behaviour fall within the applicable definition of 'repeat victim', and that appropriate steps are taken to ensure that when repeat victims call the police, the force's call-handlers have the means to establish immediately that the caller is a repeat victim. <i>[paragraph 3.44]</i>	Adopted	This is being developed as part of the Command and Control Review. Initial analysis is being commissioned via Force Tasking - to identify any issues or trends for action	March 2015 for development Implementation on 1 September By end January 2015	GREEN	Change Programme Director Corporate Improvement

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
Recommendation 8 Not later than 1 September 2015, all forces should provide and periodically refresh basic crime prevention training for officers and staff who come into contact with the public. <i>[paragraph 3.60]</i>	Adopted	The current reviews being undertaken in the Constabulary are identifying the requirements of a range of officer and staff roles. This will be used to identify training requirements in crime prevention. Head of Learning and Development to review current programme of training scheduled for community officers/problem solvers	1 September 2015	GREEN	Change Programme Head of Learning and Development
Recommendation 9 By 31 March 2015, all forces should ensure that crime prevention or disruption activity carried out is systematically recorded and subsequently evaluated to determine the effectiveness of tactics being employed. <i>[paragraph 3.68]</i>	Adopted	A process to be put in place where FIB reviews operational activity to provide debriefing and results analysis to Force Tasking. Links to process development being undertaken as part of Change Programme Reviews	31 March 2015	GREEN	Crime Commander
POLICE ATTENDANCE					
Recommendation 10 Not later than 31 March 2015, those forces using a threat, harm and risk policy, that have not yet done so, should provide call-handlers with specific, sound and comprehensible criteria against which they can assess threat, harm and risk. <i>[paragraph 4.43]</i>	Adopted	Complete	Complete	Complete	-
Recommendation 11	Adopted	Respond to data and consultation	1 September 2015	GREEN	Corporate

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
Not later than 1 September 2015, all forces should work with the College of Policing to establish as mandatory professional standards, service-wide definitions of vulnerable persons and repeat victims. <i>[paragraph 4.49]</i>		requests when received Links to Rec 7 re repeat victims			Improvement to coordinate response
Recommendation 12 Not later than 31 March 2015, all forces should ensure that call-handlers are following the correct procedures to identify callers as vulnerable or repeat victims. <i>[paragraph 4.49]</i>	Adopted	This is being developed as part of the Command and Control Review.	March 2015 for development Implementation on 1 September	GREEN	Change Programme
Recommendation 13 Not later than 31 March 2015, all forces should have in place adequate systems and processes to enable the accurate recording and monitoring of the deployment and attendance of officers and staff in response to all crime and incidents reported to them. <i>[paragraph 4.65]</i>	Adopted	Complete	Complete	Complete	-
Recommendation 14 Not later than 31 March 2015, all forces should ensure that they have the ability efficiently and promptly to differentiate in their records their attendance to specific crime types, such as between burglary dwellings and burglary of other buildings. <i>[paragraph 4.76]</i>	Adopted	Complete	Complete	Complete	-
Recommendation 15 Not later than 31 March 2015, all forces	Adopted	This is being developed as part of the Command and Control Review.	March 2015 for development	GREEN	Change Programme

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
should establish and operate adequate processes for checking whether attendance data are accurate, including dip-sampling records. <i>para4.77]</i>			Implementation on 1 September		
Recommendation 16 By 1 September 2015, all forces should work with the College of Policing to carry out research to understand the relationship between the proportion of crimes attended and the corresponding detection rates and levels of victim satisfaction. <i>[paragraph 4.78]</i>	Adopted	Corporate Improvement as part of quality of service and policy outcome work,	1 September 2015	GREEN	Director Corporate Improvement
Recommendation 17 By 31 December 2014, all forces should ensure that PCSOs are not being used to respond to incidents and crimes beyond their role profiles, in respect of which they have no powers, or for which they have not received appropriate levels of training. <i>[paragraph 4.87]</i>	Adopted	Complete Any new approach to PCSOs will ensure compliance with the recommendation	Complete	GREEN	-
Recommendation 18 By 31 December 2014, all forces should produce clear guidance for officers and staff on what kinds of crimes and incidents need to be dealt with immediately and are not appropriate for resolution by way of appointment. <i>[paragraph 4.89]</i>	Adopted	This is being developed as part of the Command and Control Review.	March 2015 for development Implementation on 1 September	GREEN	Change Programme
Recommendation 19 By 31 December 2014, all forces should	Adopted	Complete Developments being worked on as	Complete	GREEN	-

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
ensure that where crimes or incidents are being dealt with by appointment, these are, to the greatest extent reasonably practicable, made for the convenience of the victim(s); and that appointments are never used in cases requiring immediate attendance. <i>[paragraph 4.89]</i>		part of the Command and Control Review will ensure that this remains the case			
Recommendation 20 Not later than 30 September 2015, all forces should ensure their officers and staff involved in investigation of crime over the telephone in call-handling centres, crime management units and telephone investigation units have received appropriate investigative training. <i>[paragraph 4.97]</i>	Adopted	This is being developed as part of the Command and Control Review.	March 2015 for development Implementation on 1 September	GREEN	Change Programme
Recommendation 21 Not later than 31 March 2015, all forces should ensure that all crime reports have investigation plans that are being properly updated and supervised, whether these are for crimes that have been attended or those being resolved by desk-based investigation. <i>[paragraph 4.104]</i>	Adopted	Complete. This approach is part of the Quality Assurance approach using dip sampling and through performance management. This approach will continue. The HMIC team reviewed 20 s47 assault files and found them all to be of high quality	Complete	Complete	-
Recommendation 22 By 31 March 2015, all forces should have in	Adopted	Complete. As per recommendation 21	Complete.	Complete	-

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
place and be operating adequate systems which ensure that all crime reports are appropriately investigated before being filed. <i>[paragraph 4.104]</i>					
Recommendation 23 By 31 December 2014, those forces with ineffective Integrated Offender Management arrangements should conduct reviews of their shortcomings to establish the improvements which should be made. In each case, not later than 1 April 2015 the force should have drawn up an adequate improvement plan and made substantial progress in its implementation. <i>[paragraph 4.118]</i>	Adopted	Crime Commander is reviewing the current position, direction of travel and future resourcing requirements by end November. Plans to be in place and agreed by end December 2014.	31 December 2014	GREEN	Crime Commander
Recommendation 24 By 31 October 2014, all forces should ensure that they have adequate systems in place to record (a) the number of open unsolved crimes being investigated in relation to which there is a named suspect; (b) the number of people within their areas who have failed to answer police bail; and (c) the numbers of suspects about whom details have been circulated on the PNC. <i>[paragraph 4.121]</i>	Adopted	(a) IT to provide IMS with regular access to Caseman in order to provide information (b) and (c) no action required complete Sergeant TPA Command Unit to develop a system for this information to be provided to	30 November 2014	GREEN	Director Corporate Support
Recommendation 25 By 31 October 2014, all forces should ensure	Adopted		30 November 2014	GREEN	TPA Commander

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
that effective monitoring procedures and systems are in place to enable police managers to track the progress being made with named suspects and ensure they are being pursued as quickly as possible. <i>[paragraph 4.132]</i>		corporate DMM for resource allocation (link with NPT Restructure)			
FREEING UP POLICE TIME 26 onwards					
Recommendation 26 All forces should work with the College of Policing to support its work to establish a full and sound understanding of the demand which the police service faces. Forces should understand what proportion of demand is generated internally and externally, and the amounts of time taken in the performance of different tasks. All forces should be in a position to respond to this work by 31 December 2015. <i>[paragraph 4.159]</i>	Adopted	Corporate Improvement to develop demand data collection matrix and resource allocation formula (as per Understanding Demand Action Plan) by end December 2014 and to document this annual process. To be included in the Strategic Resource Management Project.	31 December 2014	GREEN	Director Corporate Improvement
		Work already completed on time taken for different and routine police tasks. This will be reviewed following implementation of the Command and Control Review (post September 2015)	31 December 2015		Director Corporate Improvement
		A piece of work has been commissioned on internally generated demand at strategic level.			Temp/ACC
Recommendation 27 All forces should progress work to gain a	Adopted	Detail as recommendation 26 Strategic Development to	31 December 2015	GREEN	Director Corporate Improvement

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
better understanding of the demands they face locally, and be prepared to provide this to the College of Policing to establish good practice in this respect. All forces should inform HMIC of their progress on this matter through their annual force management statements. <i>[paragraph 4.159]</i>		coordinate and respond to College of Policing			
Recommendation 28 By 31 March 2015, all forces should ensure they have the means to assess and better understand the workloads of their staff, and that officers and staff understand what is expected of them and how they will be assessed. <i>[paragraph 4.170]</i>	Adopted	This is included in the Community Safety Review and NPT, and the work being carried out within Corporate Improvement on the allocation formula Links to 26 & 27 above	March 2015 for development Implementation on 1 September	GREEN	Change Programme
Recommendation 29 All forces should work with the College of Policing to continue with its work to establish a full and sound understanding of the nature and extent of the workload and activities of the police service. All forces should be in a position to respond to this work by 31 December 2015. <i>[paragraph 4.179]</i>	Adopted	Respond to data and consultation requests as required by Collage of Policing Strategic Development to coordinate Links to 26 to 28 above	31 December 2015	GREEN	Director Corporate Improvement
Recommendation 30 By 31 March 2015, those forces that have not already done so should conduct a review of the tasks currently being carried out by their police officers to establish which activities do not require warranted police powers and could be carried out by police	Further work required to determine whether or not adopted	Changes to workforce mix to address this issue will be by proven business case taking everything into account. This is currently part of existing reviews – Command and Control,	31 March 2015	GREEN	Change Programme

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
staff. [paragraph 5.6]		Community Safety and PSCO			
Recommendation 31 By 31 March 2015, those forces without a mental health triage programme should carry out analysis to assess whether adopting such a programme would be cost-effective and beneficial in their particular areas. Where the analysis indicates this would be positive, all forces should work with their local mental health trusts to introduce such a programme by 1 September 2015. [paragraph 5.15]	Adopted	This is being developed as part of the Command and Control Review.	March 2015 for development Implementation on 1 September	GREEN	Change Programme
Recommendation 32 All forces should work with the College of Policing to progress its work into how mental health cases and ambulance provision can be better managed. All forces should be in a position to respond to this work by 31 December 2015. [paragraph 5.20]	Adopted	Respond to data and consultation requests as required Corporate Improvement to coordinate	31 December 2015	GREEN	Director Corporate Improvement
Recommendation 33 All forces should work with the College of Policing to progress the work it has taken over from the Reducing Bureaucracy Programme Board to establish opportunities where savings can be made. All forces should be in a position to respond to this work by 31 December 2015. [paragraph 5.33]	Adopted	Corporate Improvement are leading in this area and are in contact with programme leads. Currently awaiting the new programme of work and will then update our current plan of action Corporate Improvement will work with Mobile and Digital to implement systems and calculate	31 December 2015	GREEN	Director Corporate Improvement

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
Recommendation 34 By 31 March 2015, every force should introduce a local bureaucracy reduction programme with a plan for quantifiable efficiency savings. <i>[paragraph 5.33]</i>	Adopted	any efficiency savings. It may be costly to establish the time freed up – and the Constabulary may be taking savings rather than reallocating resource	31 March 2015	GREEN	Director Corporate Improvement
Recommendation 35 By 31 March 2015, all forces should begin monitoring how much officer and staff time has been freed up by the policies they have put in place to reduce bureaucracy, and establish how the force has used the extra time. <i>[paragraph 5.33]</i>	Adopted		31 March 2015	GREEN	Director Corporate Improvement
Recommendation 36 By 1 September 2015, all forces should conduct a review into their use of video and telephone conferencing and ensure that it is being used wherever appropriate. <i>[paragraph 5.87]</i>	Adopted	Corporate Improvement will undertake an evaluation and make recommendations to further improve use.	1 September 2015	GREEN	Director Corporate Improvement
By 1 September 2015, all forces should have in place, and thereafter implement to the greatest extent reasonably practicable, a sufficient and costed plan to progress the development of mobile technology which prioritises the requirements of frontline officers and staff, and to achieve the objectives of the National Policing Vision 2016. <i>[paragraph 5.87]</i>	Adopted	Completed plan and funding allocated for Year 1, including Home Office Innovation Funding Further work ongoing for funding bids for following years	Complete	GREEN	Director Corporate Support
Recommendation 38	Not applicable	No action required from			

Recommendation [sic]	Status for Cumbria	Action	Timeline	RAG	Responsibility of
By 31 March 2015, the police service should establish sound arrangements for its co-operation with the Association of Police and Crime Commissioners, the College of Policing and (to the extent necessary) the Home Office to establish a national police information strategy which facilitates the most efficient and economical steps to ensure the greatest practicable accessibility of information (including its transmission and receipt) by police officers and others in or concerned with the criminal justice system. <i>[paragraph 5.87]</i>	to forces	Constabulary			
Recommendation 39 With immediate effect, all forces should ensure that all ICT systems which they acquire or upgrade should comply with the highest practicable standards of interoperability.	Further work required to determine whether or not adopted	The principle is adopted. However, further work is undertaken on a case by case basis as systems are renewed- dependent on cost vs. benefit	Complete	GREEN	Director Corporate Support
Recommendation 40 With immediate effect, all forces should review their ICT design and procurement arrangements and ensure that every appropriate opportunity for efficiency and economy in ICT design and procurement which is provided by centrally-provided or centrally-co-ordinated agencies is taken. <i>[paragraph 5.95]</i>	Adopted	The principle is adopted. However, further work is undertaken on a case by case basis as systems are renewed- dependent on cost vs. benefit	Complete	GREEN	

The Annual Audit Letter for the Police and Crime Commissioner for Cumbria and the Chief Constable for Cumbria Constabulary

Year ended 31 March 2014

October 2014

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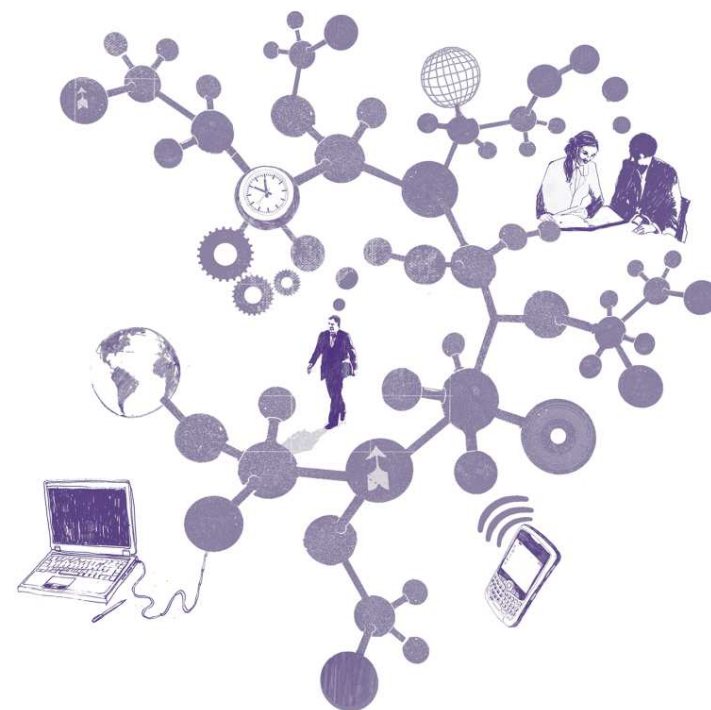
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Key messages

Purpose of this letter

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out for the Police and Crime Commissioner ("PCC") for Cumbria and the Chief Constable for Cumbria Constabulary ("Chief Constable") for the year ended 31 March 2014.

The Letter is intended to communicate key messages to the PCC, Chief Constable and external stakeholders, including members of the public

Responsibilities of the external auditors, the PCC and the Chief Constable

This Letter has been prepared in the context of the Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission (www.auditcommission.gov.uk).

The PCC and Chief Constable are each responsible for preparing and publishing their own accounts, with each set of accounts accompanied by a separate Annual Governance Statement. They are also each responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in their use of resources (Value for Money) in their respective organisations.

Our annual work programme for each body, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the joint Audit Plan that we issued on 31 March 2014 and was conducted in accordance with the Audit Commission's Code of Audit Practice ('the Code'), International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission.

Key messages

Audit Conclusions

Financial statements audit (including audit opinion)

We reported our findings arising from the audit of the financial statements in our joint Audit Findings Report on 22 September 2014 to the Joint Audit and Standards Committee which was attended by the Police and Crime Commissioner and the Chief Constable as 'Those Charged with Governance'. The key messages reported were:

- the finance team made significant presentational changes to both the PCC's and Chief Constable's financial statements in 2013/14 by removing unnecessary supporting notes and improving the readability of the accounts. In our view this worked well in providing clearer and easier to read sets of accounts.
- following the audit several minor adjustments were made to both the PCC's and Chief Constable's financial statements but did not affect the reported financial performance. The majority of amendments related to required updates to IAS19 presentation and associated accounting terminology which also affected the Prior Period Adjustment disclosure note. In addition amendments were made to disclosures in the PCC's financial statements around the Private Finance Initiative (PFI) to clearly state the judgements which have been made in preparing the accounts in respect to this arrangement and more correctly state the full liabilities recognised over the life of the arrangement. .

We issued unqualified opinions on the PCC's 2013/14 financial statements on 22 September 2014 and on the Chief Constable's 2013/14 financial statements on 22 September 2014, meeting the statutory deadline. Our opinions confirm that the financial statements for each organisation give a true and fair view of the PCC and Chief Constable's financial positions and of the income and expenditure recorded by the PCC and Chief Constable, respectively.

Key messages (Cont'd)

Value for Money (VfM) conclusion	<p>We issued unqualified VfM conclusions for the PCC for 2013/14 on 22 September 2014 and for the Chief Constable for 2013/14 on 22 September 2014.</p> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we are satisfied that in all significant respects the PCC and the Chief Constable have each put in place proper arrangements to secure economy, efficiency and effectiveness in their use of resources for the year ending 31 March 2014.</p> <p>The PCC continues to show strong financial resilience and good financial planning and management. Revenue reserves remain high and the medium term financial plan (MTFP), includes plans for future investment to enable the PCC and CC to achieve efficiencies whilst also responding to the police and crime needs of Cumbria. Revenue underspending continued in 2013/14 as a result of lower than planned expenditure on police officers and police community support officers (PCSOs). Expenditure on police officers and PCSOs is expected to be more in line with the budget in 2014/15. Changes in the timing of the awarding of the contract to build the new South Territorial Police Area Headquarters at Barrow and delays in national specifications and development of detailed business cases for ICT have caused slippage in the capital programme .</p> <p>Priorities are based on a clear understanding of the local community needs and investment is being targeted into key areas, such as domestic violence. The PCC and CC have worked effectively together in responding to the report received in 2013 following allegations about the former Temporary Chief Constable and have made appropriate changes to improve their systems and processes.</p> <p>The Chief Constable is working closely with the PCC to ensure that its finances are effectively managed. The Constabulary has a good track record of delivering savings plans and its 'Change Strategy 2013-15' has provided a good basis for its strategic approach to delivering spending reductions. Its new workforce strategy is designed to help it to meet its operational objectives whilst meeting challenging financial targets. Despite recent increases in crime, overall crime levels remain relatively low. The Chief Constable is targeting key areas identified as priorities for improvement including improving the consistency of service provided to victims of domestic abuse.</p>
Whole of Government Accounts	<p>We reviewed the consolidation pack which the PCC and Chief Constable prepared to support the production of Whole of Government Accounts and confirmed this was under the audit threshold of £350 million. We reported, as required, that there were no differences between the net book values for Property, Plant and Equipment (PPE), the net pension liability recorded within Cumbria PCC's group balance sheet and the disclosures within the consolidation pack, and no unexplained differences within the detailed disclosures.</p>

Appendix B: Reports issued and fees

We confirm below the fee charged for both audits and there were no fees for the provision of non audit services.

Fees

	Per Audit plan £	Actual fees £
Audit Fee – PCC	40,450	40,450
Audit Fee – Chief Constable	20,000	20,000
Total fees	60,450	60,450

Fees for other services

Service	Fees £
None	Nil

Reports issued

Report	Date issued
Joint Audit Plan	March 2014
Joint Audit Findings Report	September 2014
Joint Annual Audit Letter	October 2014



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Monitoring Key Audit Recommendations

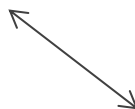
Introduction





This report is designed to monitor the implementation of recommendations and actions arising from Audit and Inspection.

If fulfills the assurance responsibilities of the Audit and Standards Committee with regards to the implementation of control recommendations and best practice arising from Audit and Inspection work.

Report Summary

Summary of Actions	
Open actions b/fwd from last report	17
New actions since last report	0
Total actions this report	17
Actions completed since last report	16
Open actions c/fwd to next report	1



Key to Actions	Summary of Total Actions by Status
 Completed	16
 Ongoing	0
 timescale exceeded	1
 not yet due	0
Total	17

Key to Grade:***Cumbria Shared Internal Audit Service***

The shared internal audit service have recently changed the format of their reports and the grading applied to audit recommendations. The table below provides a key to both the new and old grading.

New Grade/Priority		Previous Grade/Priority	
High	Significant risk exposure identified arising from a fundamental weakness in the system of internal control.	1	Major recommendation that indicates a fundamental control weakness that must be addressed
Medium	Some risk exposure identified from a weakness in the system of internal control.	2	Recommendation to be addressed in order to establish a satisfactory level of internal control
Advisory	Minor risk exposure/suggested improvement to enhance the system of control.	3	Minor recommendation made to improve the system under review

Members have requested that this summary of recommendations report provides an update on actions where the recommendation was graded High/Medium (previously 1 or 2) only. Minor Advisory (previously grade 3) recommendations are monitored by individual managers.

External Audit – Grant Thornton


Grade/Priority	
High	Significant effect on control system
Medium	Effect on control system
Low	Best practice

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Police Absence Management	15/07/2014	21/07/2014	Shared Internal Audit Service	R5.2 b. Consideration should be given to including the following enhancements within the scope of planned developments to the Origin HR system:- - Greater automation -Comprehensive record keeping -Improved reporting -Enhancing the interface with the duty management systems (DMS)	Medium	Head of Human Resources Andrew Taylor	Discussions are currently underway regarding prioritising ICT resources. Priority is being given to operational policing systems although developments to the Origin HR system will commence during 2014/15 . Sept 14 - This is now subject to the presentation of a report to October 2014 COG highlighting the future direction/potential for Origin balanced against ICT resources and operational requirements. Nov 14 - Report included in latest Quarterly Report to Chief Officer. Work may continue to scope improvements with Capita but further progress is still subject to ICT prioritisation and is unlikely before 2015/16.	Mar-16	
Data Quality: Victim Satisfaction - Crime	07/05/2014	13/05/2014	Shared Internal Audit Service	R2 Cumbria Constabulary should undertake some data quality assurance checking in respect of data provided by SMSR.	2	Andrew Burgess	2. IMS Officers meet with the company to discuss any issues (note - none have been identified to date), and to health check the process. One meeting is outstanding and this will be scheduled as soon as possible. Sept 2014 - a meeting has been arranged for w/c 15/9/14 between SMSR & AB - after this time it is anticipated that the action will be completed. Nov 14 - The meeting was held with SMSR on the 10th September to discuss the current process. The process is currently working well and there are no current issues. It was emphasised that IMS require the completed survey information from SMSR within 3 working days from the start of the month.	September 2014	
South Wales Investigation Report	July 2013	31/03/2014	South Wales Police (OPCC Action Plan)	B5 Cumbria Constabulary should maintain a central register of all contracts awarded to suppliers and a register of contact with Chief Officers by suppliers on potential goods/services provision.	N/A	Ruth Hunter - OPCC CFO	(i) Put in place arrangements to oversee the Constabulary's process for maintaining a central register of contract with suppliers and publish in line with the statutory requirements of the Elected Bodies (Specified Information) Order 2011. (ii) Review arrangements for contract registers from stage 2 transfer. March 2014 - The OPCC CFO is leading on the arrangements for working with the Constabulary to support the review of procurement. This includes the introduction of new procurement regulations, centralising procurement resources to enhance capacity, skills and internal controls, the implementation of a single contract register and determining how information requirements will be met - there are legal conflicts between publication requirements and data protection/confidentiality. Supplier contact registers are in place within the COPCC. The Constabulary is expected to have a register in place by the end of April 2014. Nov 14 - Central contract register now available through a direct link on the OPCC website to the police works database.	December 2014	
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	R1 The Constabulary should adopt a policy and procedures for property handling	1	Ch Supt TPA - Sean Robinson	On completion of the implementation of the front counter review and as part of the detailed work regarding property management a 'draft' policy document in relation to the handling of property has been written and is in the final stages of work prior to progression through the policy agreement process. A dedicated sergeant has been tasked with this and it is anticipated that work will be finalised by January 2014 and full implementation by the end of March 2014. The agreement of policy and supporting documentation will need to go through existing mechanisms for consultation etc. prior to 'go-live'. This will be supported by detailed procedures relating to all aspects of the Constabulary's handling of all types of property will be developed as Standard Operating Procedures (SOPs) and will be supported by a full legal reference appendix. June 2014 - Policy and standard operating procedures completed and are in the process of the consultation period, will be in position to go live 1st July 2014. Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October Oct 2014 - Launch Completed - went live 01/10/14	Apr-14	

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	<p>R2 The force should take immediate steps to review and, where possible, reduce the amount of property it currently has stored.</p> <p>Retention periods for property items should be established. These should be linked to the nature of the crime and item is connected to.</p>	2	Ch Supt TPA - Sean Robinson	<p>September 2014 - Update needed from SK</p> <p>A full property inventory has taken place (Commissioned November 2013 due for completion during January 2014) Once the policy has been agreed a review of compliance against inventory will be completed and where necessary any property that does not require the Constabulary to hold will be disposed of in accordance with policies.</p> <p>The Constabulary already makes use of an 'officer performance dashboard' and five weekly performance reviews to monitor what property each officer has booked in to which stores and why it is retained. The inclusion of property management within the performance regime will assist in providing sufficient oversight on the management of property.</p> <p>June 2014 - Property audit completed and disposal process ongoing. Work ongoing to meet the requirements of the Police Property Act, Police and Criminal Evidence act and the Criminal Procedures and Investigation act which defines legal requirements for retention of personal property</p> <p>Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October</p> <p>Oct 2014 - Launch Completed - went live 01/10/14</p>	April 2014	⚙
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	<p>R5 A process should be introduced to ensure that a more proactive approach is adopted towards monitoring the booking in, retention and disposal of property taken into police possession by officers.</p>	2	Ch Supt TPA - Sean Robinson	<p>This will be a policy and SOP compliance matter and is covered within the checks detailed at R2 and R4.</p> <p>June 2014 - Force Policy and standard operating procedures produced and now at consultation phase to be introduced 1st July 2014.</p> <p>Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October</p> <p>Oct 2014 - Launch Completed - went live 01/10/14</p>	April 2014	⚙
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	<p>R6 Appropriate levels of consistency should be established and applied to property descriptions. Policy should dictate what information should be recorded and whether related items are listed separately or as single entries</p>	2	Ch Supt TPA - Sean Robinson	<p>Having dip sampled property in Workington it is agreed that there are some minor improvements to be made and the detail on the property spreadsheet needs to be improved, but in the main the descriptions provided by officers on the dip samples was adequate to identify what the item was. It is an idea that will be monitored closely during the compliance review.</p> <p>The policy will provide clarity on the requirements and whether or not items are stored individually or collectively, much will depend on what and why the property is retained and future purpose.</p> <p>June 2014 - Policy implementation 1st July 2014</p> <p>Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October</p> <p>Oct 2014 - Launch Completed - went live 01/10/14</p>	Full Policy Implementation April 2014	⚙
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	<p>R7 All officers and staff need to ensure that when items of property are removed from, or returned to any store, that the Property Register is updated with its current location</p>	2	Ch Supt TPA - Sean Robinson	<p>The policy document clarifies the need for and importance of continuity for the police storage of property and the SOPs will enable an auditable continuity system to be adopted.</p> <p>June 2014 - Standard operating procedures give specific instructions for the register to be updated implementation 1st July 2014</p> <p>Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October</p> <p>Oct 2014 - Launch Completed - went live 01/10/14</p>	Full Policy Implementation April 2014	⚙

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Seized/Held Property Handling & Claims	17/02/2014	31/03/2014	Shared Internal Audit Service	R9 The Constabulary should review how it handles small, high value items of property such as smart phones. Consideration should be given to placing such items in a safe	2	Ch Supt TPA - Sean Robinson	<p>The Constabulary already makes significant use of safes within the organisation and bank safety deposit boxes to store small, high value items. It should be noted that officers are not trained to 'value' items and should not assume the value or otherwise of something they seize, they should accurately record what it is and store it appropriately. The property audit will highlight any inconsistencies in approach and the revised SOPs used to ensure compliance.</p> <p>June 2014 - Standard operating procedures give specific instructions for the handling of property, implementation 1st July 2014</p> <p>Sept 2014 Due to IT issues launch of new policy has been delayed until the 1st October</p> <p>Oct 2014 - Launch Completed - went live 01/10/14</p>	Full Policy Implementation April 2014	⚙️
Data Quality - Anti Social Behaviour	17/03/2014	31/03/2014	Shared Internal Audit Service	R1 Vulnerable victims should be identified at the point of report, with the nature of their vulnerability fully logged	2	Ch Insp Comms & Force Incident Registrar	<p>In depth training has been provided by CMU to all call handlers and supervisors in 2011-12 and is also delivered to new members of staff, in conjunction with input by Comms Centre Management. A refresher message is to be rolled out emphasising the importance of exploring vulnerability and noting in adequately in the log.</p> <p>The refresher message will be reinforced once the Comms single site is established. At this point there will be more supervisory capacity to quality assure ASB calls in real time (which will include listening to the initial call) and this will allow them to intervene where necessary. Supervisors will be specifically looking at establishing vulnerability at the point of call and recording it accurately, providing feedback where necessary.</p> <p>CMU will measure the success of this action by conducting another full ASB review in September 2014.</p> <p>It should be noted that not all vulnerable people feel confident in discussing such matters over the phone and many vulnerabilities are identified in follow up actions by officers/PCSO's.</p> <p>May 2014 - The Comms Centre quality assurance programme has changed its remit to concentrate on ASB calls and identifying vulnerability. The audit form has been re-developed with specific reference to this and will allow extraction for analysis by Crime Management Unit. Training is being devised to deliver to all supervisors to allow them to carry out this role and audit effectively. Full ASB review to take place September 2014</p> <p>Sept 14 - Vulnerability training has been devised and will be delivered to Comms Supervisors between October 2014 and January 2015</p> <p>Nov 14 - The majority of the training will be delivered by end December. Further training has been scheduled (probably for NCRS) for January & February 2015. The Communications Centre is currently being audited and this work is expected to be completed by the end of December.</p>	May-September 2014	⚙️
Data Quality - Anti Social Behaviour	17/03/2014	31/03/2014	Shared Internal Audit Service	R2 Attending officers should be clearly updated of the need for a ASBRAs and the repeat and vulnerable status of victims	2	Ch Insp Comms	<p>Training in ASBRA and the general approach by officers and PCSOs has reduced the impact of this issue, however the importance of passing all relevant ASB and vulnerability information is to be reinforced with relevant Comms staff.</p> <p>This will be reinforced through Comms Centre Supervisors dip sample audits and via the ASB steering group as a performance issue.</p> <p>Success of this intervention will be assessed through the next CMU ASB review in September 2014.</p> <p>Oct 2014 - HMIC Audit completed - weekly NCRS meetings have been arranged between the ACC/2 Commanders/Force Registrar</p>	Post 01/01/14	⚙️

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Data Quality - Anti Social Behaviour	17/03/2014	31/03/2014	Shared Internal Audit Service	R4 The low rate of compliance with National Incident Recording Standards should be fully addressed	2	Force Incident Registrar	<p>CMU NSIR audits will re-commence.</p> <p>The sample used in this audit was skewed (due to its remit). A wider NSIR audit will be carried out to provide an accurate baseline. From this, results and themes will be shared with the Comms Centre and guidance issued accordingly.</p> <p>The FIR will present quarterly reports on NSIR compliance to the Comms Centre Management Team. The FIR will also attend Comms Supervisor meetings to address NSIR issues. These forums will be used to drive NSIR focus and compliance with specific guidance on problem areas circulated among relevant staff.</p> <p>May 2014 -The first NSIR audit has been completed and the compliance rating (for closing codes) is 88% (as opposed to the 70% compliance from the Shared Internal Audit Service). This audit report has been shared with Comms Supervisors and discussed at the Comms Centre Supervisor meeting. As a result of this discussion supervisors should be more equipped to dispense NSIR advice, however discussions are still to take place as to the most effective way to impart the learning points established to all Comms Centre Staff.</p> <p>September 2014 - After discussion with Comms Supervisors, it was decided that NSIR compliance would benefit from a new NSIR FAQ page on SharePoint and to highlight common errors through condensed audit reports disseminated to all Comms Staff. This has been completed by the FIR and will be further embellished on the new FAQ platform.</p> <p>Oct 2014 - HMIC Audit completed - weekly NCRS meetings have been arranged between the ACC/2 Commanders/Force Registrar</p>	December 2014	
Data Quality - Anti Social Behaviour	17/03/2014	31/03/2014	Shared Internal Audit Service	R5 There should be closer liaison between the Central Crime Management Unit and the Communications Centre regarding incident recording issues highlighted by quality assurance checks	2	Ch Insp Comms & Force Incident Registrar	<p>The current Comms QA checks are to be re-designed to ensure that problem areas identified by the FIR are incorporated in routine QA. In addition they will be written so that meaningful data can be extracted and analysed by both Comms and CMU.</p> <p>As per R4 the FIT will attend both the Comms Centre Management group meetings and also Supervisor meetings where performance and compliance will be discussed and addressed.</p> <p>May 2014 - The Comms QA checks have been re-designed by the Comms Centre Manager in conjunction with the FIR and now do cater for the problem areas identified. As already stated, one to one training with supervisors is being devised to ensure that the QA is completed effectively and consistently. Work is still to be done in exactly how the data will be analysed by Crime Management Unit, however the QA work it is now in a format that the resultant data can be extracted for this purpose.</p> <p>September 2014 - Training on identifying vulnerability is being delivered by CMU to Comms Supervisors between October 2014 and January 2015. The FIR is now attending Comms Supervisor meetings to address incident recording issues.</p> <p>Oct 2014 - HMIC Audit completed - weekly NCRS meetings have been arranged between the ACC/2 Commanders/Force Registrar</p>	Post 01/04/14	
Data Quality – Crime and Incident Recording	December 2012	21/03/2013	Shared Internal Audit Service	R1 Ongoing monitoring is required to assess the effectiveness of quality assurance arrangements and make reasonable adjustments to secure an acceptable level of data quality.	1	Ch Supt TPA - Sean Robinson (Previously Force Crime Registrar)	<p>Following publication of this report and an internal audit report (Nov 12) a further retrospective audit of data will be instigated by the Force Crime Registrar in Feb/Mar 2013 to measure data quality compliance. This audit together with findings to date will inform and assist the on-going implementation of activities within the Constabulary Improvement Plan for this area of the business.</p> <p>November 2013 - The audit as documented was put on hold in order to address a recording issue with serious violent crime and to carry out an audit of that data. Crime & Incident recording data quality audit carried out in October 2013 with findings and recommendations forwarded to ACPO/senior command for their attention. (see summary below).</p> <p>In October 2013 three crime quality assurance officers were identified for the Force to work with a central Sergeant on the quality around crime recording and compliance of processes. Their first focus is in the high risk areas of Domestic Violence, Sexual offences and Hate Incidents. These officers will be in post for 18 months and report to C/Supt Johnson. For a period of 6 months all crime files will be quality assured with the Sleuth crime system and the data reviewed to address any performance areas highlighted.</p> <p>March 2014 – the audit of crime & incidents is ongoing with results and report expected to be produced by the week commencing Monday 31ST March 2014. The Sergeant and three quality assurance officers have now been transferred to HQ into permanent positions with part of their responsibilities being to assess data quality in relation to threat/risk and subsequent compliance against Home Office rules and standards.</p> <p>April 2014 - Internal audit of crime & incidents completed with results overall showing a small improvement. Report completed and forwarded to ACPO/senior command. Constabulary awaits external HMIC audit of crime & incident data commencing July 14th 2014.</p> <p>Oct 2014 - HMIC Audit completed - weekly NCRS meetings have been arranged between the ACC/2 Commanders/Force Registrar</p>	Feb/March 2013	

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Data Quality – Crime and Incident Recording	December 2012	21/03/2013	Shared Internal Audit Service	R2 Data quality risks should be managed according to the Constabulary's risk appetite.	2	Ch Supt TPA - Sean Robinson (Previously Force Crime Registrar)	<p>The results of the above action will inform how data quality is managed by the Constabulary in the future. This may result in maintaining current audit levels or a return to 'real time' audit in an effort to manage data quality more effectively.</p> <p>November 2013 - Real time audit is conducted by operational Inspectors in the high risk areas of Domestic Violence, Sexual offences and Hate Incidents.</p> <p>Retrospective audits are carried out by operational supervisors of during officer's performance reviews.</p> <p>March 2014 - The results of the March 2014 internal audit, together with the HMIC audit of crime data (July 2014) will inform this particular recommendation.</p> <p>April 2014 - Internal audit of crime & incidents completed with results overall showing a small improvement. (83%) Report completed and forwarded to ACPO/senior command. Constabulary awaits external HMIC audit of crime & incident data commencing July 14th 2014.</p> <p>Oct 2014 - HMIC Audit completed - weekly NCRS meetings have been arranged between the ACC/2 Commandres/Force Registrar</p>	Feb/March 2014	
Data Quality – Crime and Incident Recording	December 2012		Shared Internal Audit Service	Comments in relation to All Data Quality Actions			<p>June 13 - In relation to the 2 Data Quality audit recommendations above the following actions have been taken :-</p> <ul style="list-style-type: none"> · A Crime Management Governance Board has been set up to oversee the approach to improving crime management processes. · A Crime Desk Review and Implementation team has been established. · The Crime Management Unit has been re-located into the Communications Centre to improve connectivity. · Live time audits have been re-introduced for priority crimes. · Introduction of a Performance Framework. · Regular updates to raise staff awareness. <p>September 2013 Update:</p> <ul style="list-style-type: none"> · Performance is improving however work is still in progress to sustain the necessary standards. · The force registrar and his team have had to suspend live time audits to undertake necessary national audits and returns. · Operational Commanders have in place a system of live time audits by inspectors and sergeants. · The Crime Desk Improvement Group are looking at other initiatives to improve and sustain performance. <p>October 2013 update: An internal audit of crime & incident data was completed in October 2013 inclusive of both the recording and classification of serious violent crime. The results showed that the Constabulary had been able to maintain the 80% compliance rate as recorded in the November 2012 internal audit and there is an expectation by the Force Crime Registrar that compliance levels will continue to rise as the work carried out by the Crime Desk Review and Implementation team takes effect. As part of the overall audit, the review of the Crime Management unit functions showed clear integrity and quality assurance against the data categories examined. A further measurement of improvement will be available to the Constabulary following the external audit by HMIC in early 2014.</p> <p>March 2014 update: Internal audit results awaited and preparation work has been commenced for the HMIC July 2014 audit. This latter external audit is to be based on November 2012-October 2013 data. Internal audit results covering that period are documented above. (October 2013 update).</p> <p>September 2014 - The HMIC inspection has now taken place. There has been a slight improvement since that date and the direction of travel remains positive. The Constabulary has recently instigated a data quality/NCRS compliance regime aimed at individual officers and staff members and their individual development needs.</p> <p>Oct 2014 - PC's and Sgt's have been deployed in each area to ensure data quality</p>		

Audit Report	Report Date	To JASC	Report of:	Recommendation	Grade	Person Responsible	Agreed / Intended Action / Progress Update	Target Date	Status
Data Quality – Serious Violent Crime Reporting	July 2013	23/09/2013	Shared Internal Audit Service	R1 there should be close monitoring and supervision of Central crime Management Unit crime re-classifications in respect of serious violent crime.	1	Ch Supt TPA - Steve Johnson (Previously Force Crime Registrar)	<p>As documented within the report the Force Crime Registrar will continue to audit and supervise serious violent crime, both through monitoring of the category by exception and through specific audit.</p> <p>November 2013 - All serious violent crime has been reviewed and the Central Crime Management Unit have received training and guidance around classifications in respect of serious violent crime. It will now form part of the role of the supervisor in the department to monitor all crime classifications.</p> <p>This category of crime was measured in the October 2013 audit report and will remain an integral part of the audit process. (please see audit summary above).</p> <p>March 2014 - The appointment of a Crime Desk Sergeant with the necessary skills for this area of business has been appointed and it is expected that this skill base will assist in meeting Home Office Counting rule compliance.</p> <p>June 2014 - a reclassification audit of serious violent crime will be carried out once the external HMIC audit has been completed and staffing within CMU allows.</p> <p>September 2014 - The HMIC inspection has now taken place. There has been a slight improvement since that date and the direction of travel remains positive. The Constabulary has recently instigated a data quality/NCRS compliance regime aimed at individual officers and staff members and their individual development needs.</p> <p>Oct 2014 - PC's and Sgt's have been deployed in each area to ensure data quality</p>	This is an ongoing function which will initially be measured against the Constabulary NCRS audit in August 2013.	⚙️
Data Quality – Serious Violent Crime Reporting	July 2013	23/09/2013	Shared Internal Audit Service	R2 The risk to serious violent crime data quality should be re-assessed and managed accordingly to ensure acceptable data quality standards.	2	Force Crime Registrar	<p>As at present, this category will continue to be assessed as part of the Constabulary audit of “violence against the person” crimes.</p> <p>November 2013 - This category of crime was measured in the October 2013 audit report and will remain an integral part of the audit process. (please see audit summary above)</p> <p>A DCI/DI will review all serious violent crime.</p> <p>March 2014 - Audit of crime classifications/reclassifications will take place in June 2014 inclusive of serious violent crime. Staffing requirements within Crime Management have precluded this audit work forming part of the March 2014 audit.</p> <p>June 2014 – Training delivered to all PPU managers and supervisors in data quality requirements and standards.</p> <p>Live time audits introduced in each TPA with a schedule in place to ensure all violent crime areas are addressed and kept under constant review. High risk categories identified and included in the schedule as a specific item and bespoke feedback provided to individuals and teams as required.</p> <p>Inputs are provided to uniform Inspectors and Sergeants on development days delivered centrally at HQ on providing live and consistent QA to incidents and this will form part of the continued professional development in those ranks.</p> <p>There has been a 5% improvement in compliance between October 2013 and April 2014 (73 to 78%)</p> <p>Standard Operating procedures have been developed for the consistent recording and management of sexual offences and have been rolled out across the Constabulary.</p> <p>Sept 14 - Further internal audit is scheduled for after the completion of the HMIC external audit which takes place in July 2014.</p> <p>Oct 2014 - Problem profile was received by force tasking and signed off - confirmed by ACC</p>	Ongoing crime management role.	⚙️

JOINT POLICE & CRIME COMMISSIONER AND CUMBRIA CONSTABULARY AUDIT AND STANDARDS COMMITTEE	Paper No.
Meeting date: 8 December 2014	
From: Audit Manager (Cumbria Shared Internal Audit Service)	

INTERNAL AUDIT: PROGRESS REPORT TO 31 OCTOBER 2014

1.0 EXECUTIVE SUMMARY

1.1 This report provides a summary of the work of Internal Audit for the seven months up to 31 October 2014

1.2 Key points are:

- **Work is progressing according to plan. The percentage of planned days delivered is lower than the same period last year (34% compared to 40% in 2013/14). This is due to the increased time period in delivering an audit under new methodology introduced in 2014/15. The forecast of planned days to be delivered by the end of the third quarter, based on work currently in progress, is 75%.**
- **There has been a delay in starting one audit which was due to be completed in the period. Internal Audit was asked to defer the audit of custody arrangements until the Constabulary's review of custody was complete. The audit is now underway.**
- **Planning meetings for the 2015/16 Internal Audit plan are scheduled to take place with Senior Managers in the PCC and Constabulary during November and December. We will consult on areas for inclusion in the proposed plan with both organisations early in 2015.**

2.0 POLICY POSITION, BUDGETARY AND EQUALITY IMPLICATIONS, AND LINKS TO COUNCIL PLAN

- 2.1 *Internal Audit's work is designed to provide assurance to management and members that effective systems of governance, risk management and internal control are in place in support of the delivery of the PCC and Constabulary's priorities.*
- 2.2 *The Audit Plan aims to deliver a programme of internal audit reviews designed to target the areas of highest risk as identified through the corporate risk registers together with management and internal audit view of key risk areas.*
- 2.3 *The Accounts and Audit Regulations March 2011 impose certain obligations on the PCC and Chief Constable, including a requirement for a review at least once in a year of the effectiveness of their systems of internal control.*
- 2.4 *Internal Audit must conform to the Public Sector Internal Audit Standards which require the preparation by the Head of Internal Audit of an annual opinion on the overall systems of governance, risk management and control. Regular reporting to Audit and Standards Committee enables emerging issues to be identified during the year.*

3.0 RECOMMENDATION

- 3.1 *Members are asked to note the report.*

3.2 BACKGROUND

- 3.3 The PCC and Chief Constable must make proper provision for internal audit in line with the 1972 Local Government Act. The Accounts and Audit Regulations 2011 require that the PCC and Chief Constable maintain an adequate and effective system of internal audit of their accounting records and systems of internal control conducted in accordance with the proper internal audit practices. 'Proper audit practices' are defined as those stated within the Public Sector Internal Audit Standards (PSIAS) which became mandatory for all UK public sector internal auditors from 1st April 2013.
- 3.4 Internal audit is responsible for providing independent assurance to the PCC and Chief Constable's senior management and to the Joint Audit and Standards Committee on the systems of governance, risk management and internal control.
- 3.5 It is management's responsibility to establish and maintain internal control systems and to ensure that resources are properly applied, risks appropriately managed and that outcomes are achieved. Management is responsible for the system of internal control and should set in place policies and procedures to ensure that controls are operating effectively.
- 3.6 The internal audit plan for 2014/15 was prepared using a risk-based approach and following consultation with senior management to ensure that internal audit coverage is focused on the areas of highest risk to both organisations. The plan has been prepared to allow the production of the annual internal audit opinion as required by the PSIAS.
- 3.7 This report provides an update on the work of internal audit for the first seven months of 2014/15. It reports progress on the delivery of the 2014/15 audit plan in the period and includes a summary of the outcomes of audit reviews completed in the period.

Status of internal audit work as at 31 October 2014

The table below shows the number of internal audit reviews completed, in progress and still to be started for the 2014/15 audit plan. Further detail on this is included at Appendix 2.

Audit plan year	Audit Status	Number of reviews
2014/15	<u>Audits completed:</u>	<u>4</u>
	Risk based audits	2
	Governance work	2
	<u>Audits in progress:</u>	<u>9</u>

	Risk based audits	8
	Financial systems	1
	<u>Audits to be started</u>	<u>5</u>
	Risk based audits	2
	Financial systems	2
	Contingency	1

Outcomes from Final Audit Reports to 31 October

3.8 No reports were finalised in the period.

Draft Reports Issued to 31 October

3.9 No draft reports have been issued in the period to 31 October.

Work in progress at 31 October

3.10 Five pieces of risk based audit work are underway for the Constabulary:

- Communications Centre
- Custody arrangements
- Governance
- Policy Development and Management
- Risk Management

and three for the PCC:

- Governance
- Policy Development and Management
- Risk Management

3.11 There is one main financial system review in progress (payroll) which covers both organisations.

3.12 It is anticipated that these audits will be issued in draft by mid-December.

Emma Toyne
Audit Manager
November 2014

APPENDICES

Appendix 1: Final reports issued to 31 October 2014

Appendix 2: Progress on all risk based audits from the 2014/15 plan

Appendix 3: Internal audit performance measures to 31 October 2014

Contact: Emma Toyne, 01228 226254, emma.toyne@cumbria.gov.uk

Appendix 1 – Final reports issued to 31 October 2014

Assignments	Main Points	Assessment	Current Status
Annual report 13/14	Presented to Audit and Standards Committee 23 June 2014.	N/A	Complete
Annual Governance Statement 13/14 - PCC	Presented to Audit and Standards Committee 23 June 2014.	N/A	Complete
Annual Governance Statement 13/14 - Constabulary	Presented to Audit and Standards Committee 23 June 2014.	N/A	Complete
Absence Management – Constabulary	<p>The purpose of the audit was to provide assurance over the arrangements in place within the Constabulary to manage attendance.</p> <p>The audit identified the level of commitment to reducing employee absence as a strength.</p> <p>Three recommendations were made in respect of:</p> <ul style="list-style-type: none"> • Documenting procedures for the collation and reporting of quarterly absence data (<i>medium priority</i>) • Further developing the Origin HR system (<i>medium priority</i>) and; • Completing the review of the absence management policy by the revised target date (<i>advisory issue</i>). 	Reasonable Assurance	Report circulated to Audit and Standards Committee 22/09/14
Project Management Arrangements – New Barrow Police Station	<p>The purpose of the audit was to provide assurance over the project management arrangements for the new police station at Barrow.</p> <p>The audit identified several areas of good practice</p>	Substantial assurance	Report presented to Audit and Standards Committee 22/09/14

Appendix 1 – Final reports issued to 31 October 2014

Assignments	Main Points	Assessment	Current Status
	<p>including:</p> <ul style="list-style-type: none">• Sound governance arrangements;• A suitably qualified and skilled project team;• Input from internal specialists as required (eg finance and legal)• Budget monitoring and financial processes• Systems for recording and reporting risks. <p>No recommendations were made.</p>		

In addition to the above, a member of the Internal Audit team attended the Police Audit Group Conference in July. The event was a useful networking opportunity and identified some areas for consideration in future internal audit plans. Particular emphasis at the Conference was placed on ethics and governance issues; the latter was taken into account in scoping the governance audit currently underway.

Planning meetings for the 2015/16 Internal Audit plan are scheduled to take place with Senior Managers in the PCC and Constabulary during November and December. This will inform the audit universe for both organisations. We will consult with the OPCC and Constabulary in January 2015 to consider and identify areas to be included in the plan which will be approved by Management. The plan will be presented to Joint Audit and Standards Committee in March 2015.

Appendix 2 – Progress on 2014/15 Audit Plan

PCC / Constabulary Review	Audit	Stage
Constabulary	Communications Centre	Fieldwork underway – draft report due to be issued by 12/12/14
Constabulary	Project Management arrangements for new Barrow Police Station	Complete
Constabulary	Custody Arrangements	Fieldwork underway. The draft report deadline of 24/10/14 has been revised to 12/12/14 as a result of a delay in the Constabulary completing the review of custody.
Cross cutting review (2 separate reports)	Business Continuity Planning	Not yet started
Cross cutting review (2 separate reports)	Governance	Fieldwork underway. Draft reports due to be issued by 12/12/14
Constabulary	Absence Management	Complete
Cross cutting review (2 separate reports)	Policy Development and Management	Fieldwork underway. Draft reports due to be issued by 12/12/14.
Cross cutting review (2 separate reports)	Risk Management	Fieldwork underway. Draft reports due to be issued by 12/12/14.
Constabulary	Annual Governance Statement 13/14	Complete
PCC	Annual Governance Statement 13/14	Complete
Cross cutting review	Payroll (financial system review)	Fieldwork underway. Draft report due to be issued by 12/12/14.
Cross cutting review	Budget management (financial system review)	Not yet started
Cross cutting review	Debtors (financial system review)	Not yet started

Appendix 2 – Progress on 2014/15 Audit Plan

PCC / Constabulary Review	Audit	Stage
PCC / Constabulary	Contingency	N/A

Appendix 3 – Internal audit performance measures

Measure	Description	Target	Actual	Explanations for variances / remedial action required
Completion of audit plan	% of audits completed to final report	95% (annual target)	22%	Finalisation of audit reports is not expected to be evenly profiled across the year. With the exception of one audit, work is taking place in the period profiled by the PCC and Constabulary.
	Number of planned days delivered	180	61	The plan is progressing as expected. Work in progress, to be delivered to draft stage by mid-December, will result in a significant proportion of the planned audit days having been delivered by the end of Q3.
Audit scopes agreed	Scoping meeting to be held for every risk based audit and client notification issued prior to commencement of fieldwork.	100%	100%	
Draft reports issued by agreed deadline	Draft reports to be issued in line with agreed deadline or formally approved revised deadline where issues arise during fieldwork.	70%	100%	
Timeliness of final reports	% of final reports issued for corporate director comments within five working days of management response or closeout meeting.	90%	100%	
Recommendations agreed	% of recommendations accepted by management	95%	100%	

Appendix 3 – Internal audit performance measures

Measure	Description	Target	Actual	Explanations for variances / remedial action required
Assignment completion	% of individual reviews completed to required standard within target days or prior approval of extension by audit manager.	75%	100%	
Quality assurance checks completed	% of QA checks completed	100%	100%	
Customer Feedback	% of customer satisfaction survey scoring the service as good.	80%	n/a	No surveys returned in the period.
Chargeable time	% of available auditor time directly chargeable to audit jobs.	80%	71%	Whilst not yet at target, this indicator has shown an increase from Q1 as a result of greater focus on chargeable time across the team.



Cumbria Office of the Police and Crime Commissioner

Title: Treasury Management Activities 2014/15 for the period July to September 2014

PCC Executive Board: 05 November 2014

Joint Audit and Standards Committee: 08 December 2014

Agenda Item No: 11

**Originating Officers: Michelle Bellis, Deputy Chief Finance Officer & Lorraine Holme,
Principal Financial Services Officer.**

1. Purpose of the Report

- 1.1. The purpose of this paper is to report on the Treasury Management activities, which have taken place during the period July to September 2014 in accordance with CIPFA's Code of Practice on Treasury Management.
- 1.2. Treasury Management activities are undertaken in accordance with the Treasury Management Strategy Statement and Treasury Management Practices approved by the Commissioner in February each year.

2. Recommendation

- 2.1. The Commissioner is asked to note the contents of this report. The report will also be presented to the Joint Audit and Standards Committee in December as part of the arrangements to ensure members are briefed on Treasury Management and maintain an understanding of activity in support of their review of the annual strategy.

3. Economic Background

- 3.1. Growth and Inflation: The recent strong performance of the UK economy continued with output growing at 0.9% in quarter two. The services sector once again grew strongly. On the back of strong consumption growth, business investment appeared to be recovering quickly, albeit from a low base. The annual CPI inflation rate fell to 1.5% year-on-year in August. Revisions to the GDP methodology, now compliant with the European System of Accounting 2010, mean that growth is now estimated to be 2.7% above its pre-recession peak in quarter one in 2008 rather than just 0.2% higher. The general theme being that the recession was not as deep and the recovery was earlier than initially estimated. In anticipation of these revisions, the Monetary Policy Committee has forecast growth at 3.4% in 2014.
- 3.2. UK Monetary Policy - The MPC made no change to the Bank Rate of 0.5% and maintained asset purchases at £375bn. However, there was a marked shift in tone from the Bank of England's Governor and other MPC members. The minutes of the August and September MPC meetings revealed a split vote with regards to the Bank Rate. The MPC emphasised that when Bank Rate did begin to rise, it was expected to do so only gradually and would likely remain below average historical levels for some time to come.
- 3.3. Counter Party update - In August Moody's changed its outlook for the UK banking system from stable to negative, citing the reduction of government support for systemic banks as the reason. Although the agency believes that the stand-alone financial strength of UK institutions is improving they believed that this is more than offset by the potential **bail-in risk** now faced by investors.

There was strong likelihood that the UK, alongside Germany and Austria, would accelerate the adoption of the Bank Recovery and Resolution Directive and that the implementation of **bail-in** resolutions would be fast-tracked in these countries to 1st January 2015, a full year ahead of other EU nations. Banks in the UK and EU face stress tests this autumn, which may result in some institutions having to additionally bolster their capital buffers. The extent to which this might be required and the form they will have to take casts uncertainty over capital requirements in the system.

What is bail in risk?

*Previously the UK Government would "**bail out**" a failing bank by writing a cheque from taxpayer funds to save the bank.*

*The Government now would not be able to write that cheque, the losses therefore would fall to unsecured depositors. This is referred to as '**bail in risk**'.*

The Commissioner's investments with banks would constitute unsecured deposits.

The Commissioner's treasury advisors Arlingclose have recently (in mid October) provided revised guidance in relation to the advised duration for unsecured deposits with banks and building societies. This advice is in relation to deteriorating growth prospects, especially in the Eurozone and is counter the risks associated with another potential Eurozone crisis.

4. Treasury Management Operations and Performance Measures

4.1. The Commissioner's day to day treasury management activities are undertaken on behalf of the Commissioner's Chief Finance Officer/Deputy Chief Executive by the financial services team under the management of the Chief Constable's Chief Finance Officer. Responsibilities and requirements for treasury management are set out in the financial regulations and rules. Treasury management practices are approved annually setting out the arrangements as part of the Treasury Management strategy.

4.2. Management of cash balances

The aim of the Treasury Management Strategy is to invest surplus cash and minimise the level of un-invested cash balances, whilst limiting risks to the Commissioner's funds. Actual un-invested balances for the months of July to September 2014 for the Commissioner's main bank account are summarised in the table below:

	Number of Days	Average Balance £	Largest Balance £
Days In Credit	91	1,903	28,932
Days Overdrawn	1	(635)	(635)

The largest un-invested balance occurred on 7 July and was as a result of £28,195 of seized cash being banked during the day. We are advised by the bank that transactions being posted during the day are subject to checking and can be removed, therefore, we do not invest these sums until the following day to limit the risk of being overdrawn.

The largest overdrawn balance occurred on the 24 July and was a result of two foreign payments, that totalled £1,593.53 (\$2564.64), leaving the bank. Payment for goods purchased

in anything but sterling have to be made by application to our bank and it is not always possible to determine when funds will leave the account.

Within the Treasury Management Strategy a target is set to achieve a daily balance of +/- £2k on the Commissioner's main bank account. Whilst the daily treasury management process always calculates the anticipated balance within these limits, daily transactions through the bank of which we are not aware (e.g. banking of cash/cheque receipts) can alter the closing balance for the day. During the months July to September 2014, the balance was within the £2k limit for 75 out of 92 days (82%). This statistic is skewed by our policy to ensure that all cash and cheques are banked on a Friday, as a minimum, more often if large sums are received. If cash is banked it clears our account on the same day and we will be over our £2k limit for 3 days over the weekend not just the day it is banked. This occurred on 2 weekends in this quarter. An estimate of the interest forgone on un-invested balances over £2k during this three month period is £19.

4.3. Investment Activity

The table below illustrates the number and value of investments made with Major UK Banks (category 1), other Local Authorities (category 3) and the Debt Management Office (category 4) of the approved investment counterparties during the months of July to September 2014:

Month	Number of Investments	Total Value of Investments £m
July 2014	7	15.2
Aug 2014	2	3.5
Sept 2014	1	2.0

In addition to the above there are regular smaller investments made via liquidity funds (category 2). The spike in the July investments corresponds with the receipt of the Home Office Police Pension grant that is received each year in July and amounted to £15.3m in July 2014.

A schedule detailing the individual investments that make up the £29.899m total invested at 30 September 2014 is attached at **Appendix 2**. A further illustrative analysis is provided of the balance outstanding at **Appendix 3**, where the first chart analyses the outstanding balance by the credit rating of the investment counterparty and the second shows the maturity structure of

investments by the credit rating of the counterparty. The Commissioner's current policy is that investment counterparties have minimum credit rating of A-. (The greater the number of A's the higher the credit rating).

The Commissioner sets a limit for "non-specified" investments of over 364 days at the time of investment. The maximum of all investments with outstanding maturities greater than 364 days is set at a limit of £5m for 2014/15. The Commissioner currently has no investments that have an outstanding maturity of greater than 364 days. However, there are currently three investments which at the time of investing, were for a period of just over 364 days. These are set out in the table below:

Borrower	Value £m	Investment Period (Days)	Date Invested	End Date	Period Remaining to maturity (days)	Actual Rate (%)
Nationwide BS	1.5	365	30/12/2013	30/12/2014	91	0.78%
Barclays Bank PLC	1.0	365	28/02/2014	27/02/2015	150	0.84%
Barclays Bank PLC	2.0	365	03/07/2014	03/07/2015	276	0.98%
Lloyds Bank PLC	1.5	365	11/08/2014	11/08/2015	315	0.95%
Total	6.0					

4.4. Interest Earned

Interest earned for the period of the report and the average return on investment that it represents is set out in the table below:

Month	Interest Amount (£)	Average Total Investment (£)	Average Return on Investment (%)
July 2014	14,781	35,575,901	0.49%
Aug 2014	15,191	35,456,116	0.50%
Sept 2014	14,870	34,841,269	0.52%
TOTAL	44,842	35,291,096	0.50%

Total interest earned during July to September 2014 amounted to £45k bringing the total at the half year point to £78k. A simple pro-rata of this figure would suggest a full year effect of interest in the region of £156k, however, the interest receipts in the coming months will fall as the level of principal available to invest falls due to expenditure on the capital programme. The

construction project at Barrow on the new TPA headquarters is progressing well and stage payments in the region of £4.037m are expected to be made in the remaining two quarters of 2014/15. We have seen a small increase in the interest percentages received from the money market funds and these have been reflected in the estimates for October to March 2015. The recent advice from Arlingclose to reduce the maximum duration of unsecured investments with banks and building societies (referred to in paragraph 3.3 above) will potentially impact on the level of interest receipts for the remainder of the year.

Current forecast of interest receipts which will be generated in 2014/15 is £142k, an increase of £22k against the base budget. A comparison of this figure against budget is outlined in the table below:

	Amount (£000's)
Original Estimate 2014/2015	120
Forecast Position June 2014	120
Forecast Position September 2014	142
Increase/(Decrease) compared to Estimate	22

4.5. Investment Performance

As a performance measure for the quality of investment decisions, the rate achieved on maturing longer term investments of over three months in duration is compared with the average Bank of England base rate over the life of the investment. The table below provides details of the individual performance of investments (of over 3 months duration at time of investment) for the months July to September 2014:

Borrower	Value £m	Period (Months)	Actual Rate (%)	Average Base Rate (%)
Barclays Bank PLC	1	12	0.87%	0.50%
Lloyds Bank PLC	1	6	0.70%	0.50%
Lloyds Bank PLC	0.5	3.1	0.57%	0.50%
Barclays	1	12	0.85%	0.50%

The above table illustrates that for all maturing investments that were for a duration of over 3 months, returns have exceeded the bank base rate.

5. Compliance with Prudential Indicators

- 5.1. The Commissioner can confirm that he has to date complied with his treasury related Prudential Indicators for 2014/15, which were set in February 2014 as part of the annual Statement of Treasury Management Strategy. Further details can be found at **Appendix 4**.

6. Implications

- 6.1. Financial – As detailed in main body of report above.
- 6.2. Legal – None
- 6.3. Risk – The report advises members about treasury activities. Given the large unsecured sums invested with financial institutions treasury management can be a risky area. Nevertheless, procedures are in place to minimise the risks involved, including limits on the sums to be invested with any single institution and reference to credit ratings are set down in the PCC's treasury strategy and in particular the treasury management practices (TMP1 Treasury Risk Management).
- 6.4. HR / Equality – None
- 6.5. I.T – None
- 6.6. Procurement – None

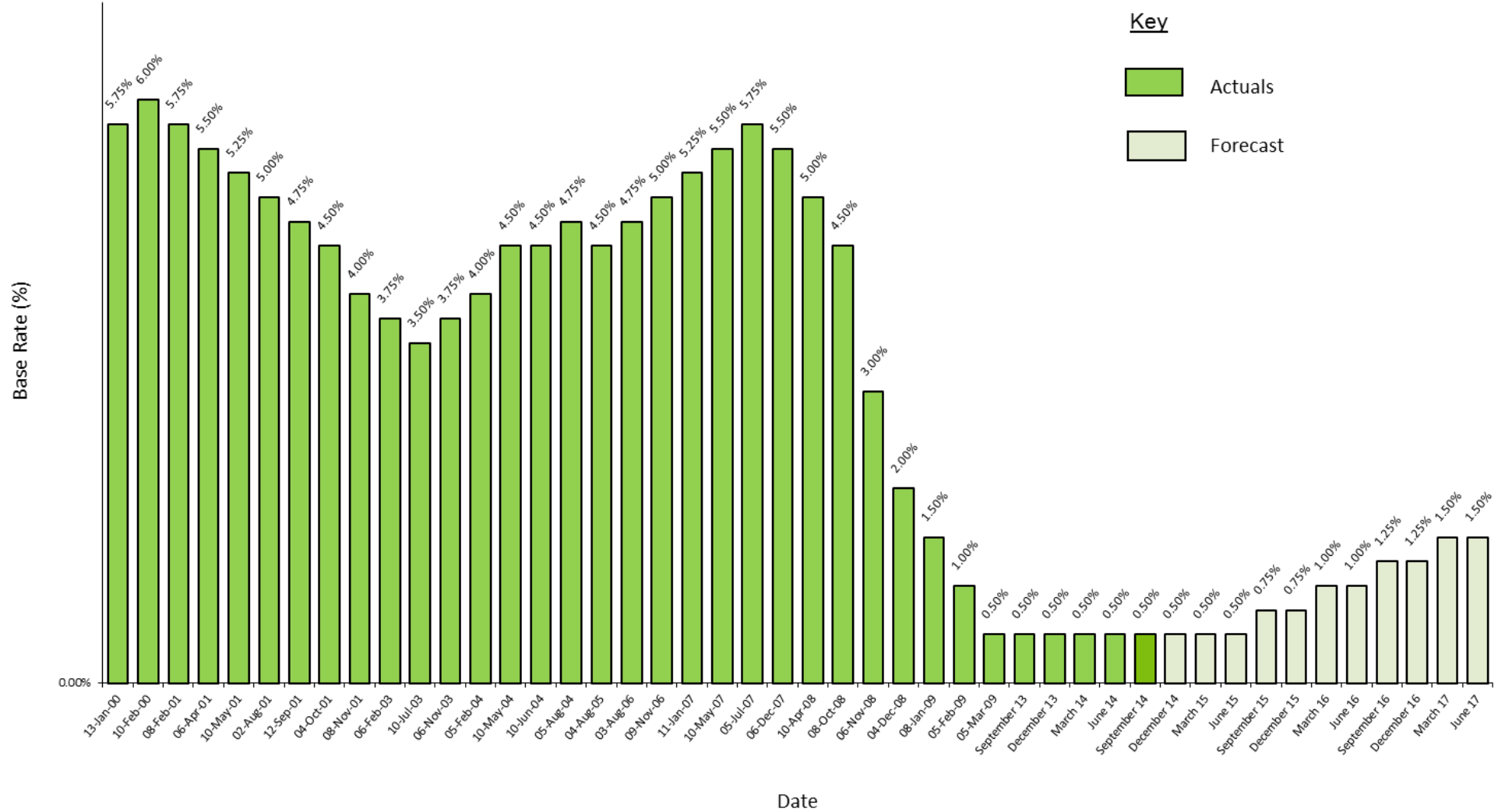
7. Supplementary information

Attachments

- | | |
|------------|---|
| Appendix 1 | Recent history and projections of Bank Base Rates |
| Appendix 2 | Schedule of Investments as at 30 September 2014 |
| Appendix 3 | Analysis of Investments as at 30 September 2014 |
| Appendix 4 | Prudential Indicator Compliance |

Appendix 1

Bank of England Base Rates (%)



Appendix 2

Schedule of Investments as at 30 September 2014

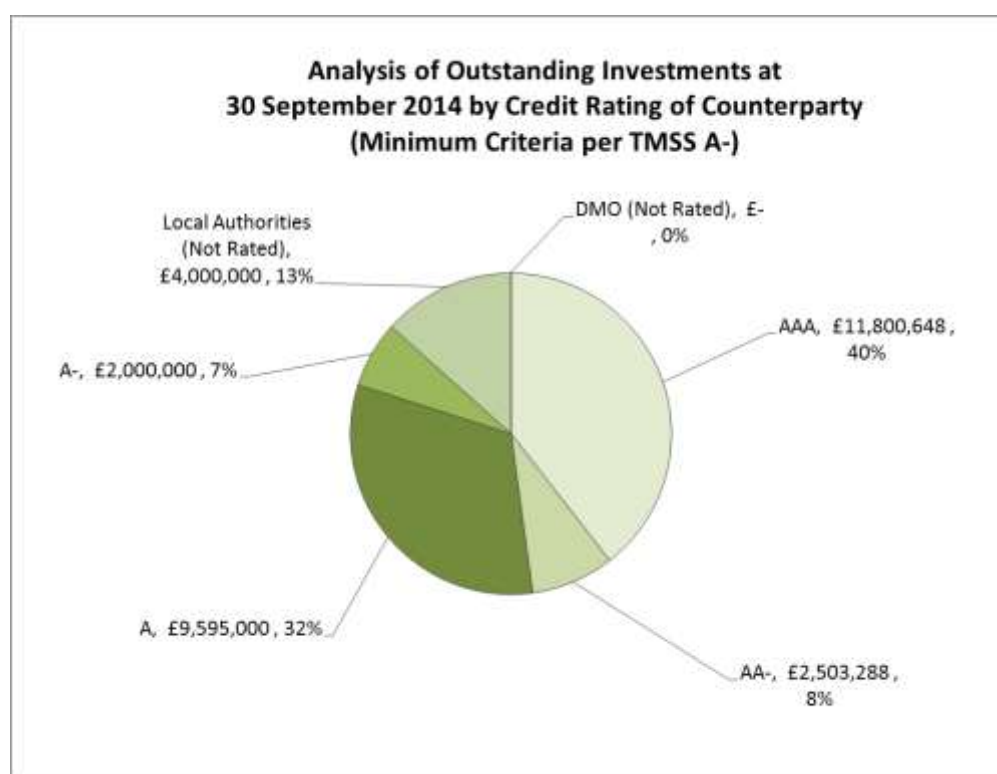
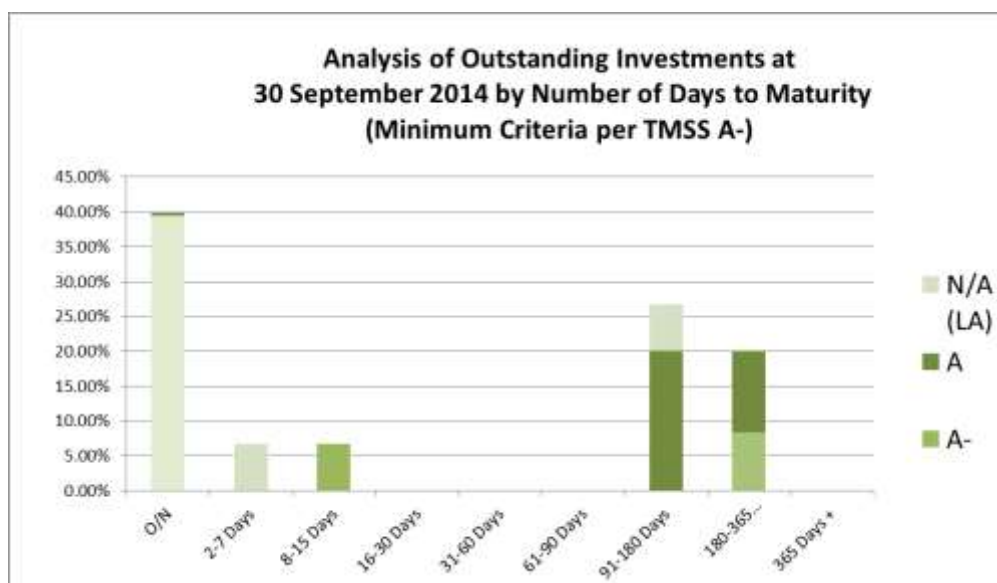
Category/Institution	Credit Rating	Investment Date	Investment Matures	Days to Maturity	Rate (%)	Amount (£)	Counterparty Total (£)
Category 1 - Major Banks & Building Societies							
Barclays	A	28/02/2014	27/02/2015	150	0.840%	1,000,000	
Barclays	A	03/07/2014	03/07/2015	276	0.980%	2,000,000	3,000,000
Lloyds	A	11/08/2014	11/08/2015	315	0.700%	1,500,000	
Lloyds	A	03/04/2014	02/04/2015	184	0.950%	1,500,000	3,000,000
Nationwide	A	30/12/2013	30/12/2014	91	0.780%	1,500,000	
Nationwide	A	31/01/2014	30/01/2015	122	0.800%	2,000,000	3,500,000
Leeds	A-	08/07/2014	08/10/2014	8	0.300%	2,000,000	2,000,000
Svenska Handelsbanken	AA-	Various	On Demand	N/A	0.500%	2,503,288	2,503,288
NatWest (Liquidity Select Account)	A	30/06/2014	01/07/2014	O/N	0.250%	95,000	95,000
						14,098,288	14,098,288
Category 2 - Money Market Funds (AAA Rated)							
AIM	AAA	Various	On demand	O/N	Various	3,000,000	3,000,000
BlackRock	AAA	Various	On demand	O/N	Various	0	0
Fidelity	AAA	Various	On demand	O/N	Various	300,648	300,648
Goldman Sachs	AAA	Various	On demand	O/N	Various	3,000,000	3,000,000
Scottish Widows	AAA	Various	On demand	O/N	Various	3,000,000	3,000,000
IGNIS	AAA	Various	On demand	O/N	Various	2,500,000	2,500,000
						11,800,648	11,800,648
Category 3 - Other Local Authorities							
The Highland Council	NR	03/07/2014	02/02/2015	125	35.000%	2,000,000	2,000,000
Dumfries and Galloway Council	NR	07/07/2014	07/10/2014	7	27.000%	2,000,000	2,000,000
						4,000,000	4,000,000
Category 4 - Debt Management Office							
							0
						0	0
Total						29,898,936	29,898,936

Note – the credit ratings shown in the above table relate to the standing as at 30 September 2014, as discussed in the main body of the report, the ratings are constantly subject to change.

The TMSS sets limits for maximum investment with counterparties. These limits are currently set at £3m per institution/banking group in category 1 (total £18m category limit) and £3m per Money Market Fund in category 2 (total £15m category limit). The limit for other Local Authorities is set at £2m (no category limit) and there is no limit for investments with the DMO.

Looking at the table above it appears that there has been a breach of the Category 1 institution limit of £3m. There are two investments with the Nationwide Building Society that total £3.5m. At the time these investments were placed the category 1 limit was £4.5m per institution. Upon maturity the outstanding investments with the Nationwide Building Society will be managed down to within the new Treasury Management Strategy approved limits.

Appendix 3

Analysis of Outstanding Investments as at 30 September 2014

Note – the credit ratings shown in the above charts relate to the standing as at 30 September 2014, as discussed in the main body of the report, the ratings are constantly subject to change.

Appendix 4

Prudential Indicator Compliance**(a) Authorised Limit and Operational Boundary for External Debt**

- The Local Government Act 2003 requires the Commissioner to set an Affordable Borrowing Limit, irrespective of their indebted status. This is a statutory limit which should not be breached during the year. The Affordable Borrowing Limit is made up of two components; the *Authorised Limit* and the *Operational Boundary*.
- The Authorised Limit represents an upper limit for external borrowing that could be afforded in the short term but may not be sustainable. The figure includes a risk assessment of exceptional events taking into account the demands of revenue and capital cash flows. The Commissioner's Authorised Limit was set at £23.71m for 2014/15.
- The Operational Boundary is based on the same estimates as the Authorised Limit but reflects the most likely, prudent but not worst case scenario without the additional headroom included within the Authorised Limit. The Operational Boundary for 2014/15 was set at £22.21m.
- The actual amount of external borrowing as at 30 September 2014 was £Nil which is well within the above limits. No new external borrowings have been undertaken in the current financial year.

(b) Upper Limits for Fixed Interest Rate Exposure and Variable Interest Rate Exposure

- These indicators allow the Commissioner to manage the extent to which it is exposed to changes in interest rates.
- The upper limit for variable rate exposure allows for the use of variable rate debt to offset exposure to changes in short-term rates on our portfolio of investments.

	Limits for 2014/15 £m	Actual Borrowing at 30 Sep '14 £m	Compliance with limits
Upper Limit for Fixed Rate Exposure	23.71	0.00	Yes
Upper Limit for Variable Rate Exposure	1.50	0.00	Yes

(c) Maturity Structure of Fixed Rate Borrowing

- This indicator is to limit large concentrations of fixed rate debt needing to be replaced at times of uncertainty over interest rates.

Maturity Structure of Fixed Rate Borrowing	Upper Limit %	Lower Limit %	Actual Fixed Rate Borrowing as at 30/09/14 £m	% Fixed Rate Borrowing as at 30/09/14 %	Compliance with Set Limits?
Under 12 months	100	0	0.00	0	Yes
12 months and within 24 months	100	0	0.00	0	Yes
24 months and within 5 years	100	0	0.00	0	Yes
5 years and within 10 years	100	0	0.00	0	Yes
10 years and above	100	0	0.00	0	Yes

(d) Total principal sums invested for periods longer than 364 days

- This indicator allows the Commissioner to manage the risk inherent in investments longer than 364 days.
- The limit for 2014/15 was set at £5m.
- As at 30 September 2014, the PCC had three investments totalling £4.0m which were for a duration greater than 364 days at the time of investment. None of which have outstanding maturities greater than 364 days. Please see additional details within paragraph 4.3 above.



Joint Audit & Standards Committee

Title: OPCC Risk Management Monitoring

Date: 8 December 2014

Agenda Item No: 12

Originating Officer: Joanne Head

CC:

Executive Summary:

The Office of the Police and Crime Commissioner (OPCC) is responsible for providing policing services within Cumbria. This takes place in a constantly changing and challenging environment and the OPCC must ensure that it has robust systems and processes in place to monitor and react appropriately to risk.

Recommendation:

That the report be noted

1. Introduction & Background

- 1.1 The Office of the Police and Crime Commissioner (OPCC) is responsible for providing policing services within Cumbria. To enable it to carry out this function effectively it must monitor and react appropriately to risks. The Joint Audit and Standards Committee as part of their role, is to ensure that the OPCC is actively managing strategic risks and one member of the committee has been appointed as the lead member for risk.

2. Issues for Consideration

- 2.1 In line with the Risk Management Strategy the OPCC has a strategic risk register which identifies strategic risks to the organisation and/or Police and Crime Commissioner. The register details what processes or actions have been put in place to mitigate, or where appropriate, to accept the risk. Most of the OPCC risks are identified through the development of strategic and business plans.
- 2.2 Each identified risk is given a mitigated score which then determines the frequency of its review, either quarterly, half yearly or annually. The Joint Audit and Standards Committee

review the OPCC's strategic risk register on a quarterly basis and as a matter of good practice the OPCC will review all of its strategic risks prior to presenting them to the committee. This enables the risk owners and actions owners to assess whether any changes have occurred which would affect the identified risk. In addition it affords an opportunity to scope and identify new risks which have arisen during the last quarter. As a dynamic document risks can be added and modified throughout the annual cycle when necessary.

2.3 Any changes which have been made to the strategic register are highlighted to enable the committee to easily identify them. Some of the changes which have occurred since the last quarter are:

1. Strategic Risk R3 Diversity

No complaints or issues have been raised with the OPCC in relation to Diversity matters. This is now Business As Usual (BAU) in relation to policies, equality impact assessments and engagement. The OPCC has therefore taken the decision to move this risk to its operational risk register as it relates more to the operation of the OPCC rather than its strategic direction.

2. Risk Owners

The OPCC now has a Head of Partnerships and Commissioning in post. Some of the risks contained within the operational risk register which were previously allocated to the Chief Executive are now allocated to this post as the risks fall within their area of work.

2.4 Discussions between the OPCC and Constabulary have taken place in relation to the two separate risk registers, the risks identified therein and any risks which may impact upon the other organisation which may need to be recorded within the relevant strategic risk register if it does not already appear.

2.5 The OPCC is in the process of arranging risk management training for all OPCC members of staff. This will ensure that their understanding of risk is at a similar level, that they understand individual responsibilities as risk owners and have the knowledge and skills to identify, manage and mitigate risks. The training will afford an opportunity to discuss and agree a risk appetite for the OPCC.

2.5 The training is currently being scoped and agreed with the OPCC's insurers and it is anticipated this will be finalized at the end of the year, with the training being delivered in early 2015.

2.6 Internal Auditors are in the process of carrying out an internal audit of the OPCC and Constabulary's risk management. Staff from the OPCC have been interviewed and contacted in relation to the audit, with relevant information and evidence being provided.

3. **Implications**

3.1 Financial - the inability of the OPCC to successfully identify and manage its organisational and strategic risks could impact financially on not only the OPCC but Cumbria Constabulary and other partner organisations which are financially dependent.

- 3.2 Legal - the OPCC could face legal challenge on some areas of its business, therefore it is essential that these are identified at an early stage and effectively mitigated and managed.
- 3.3 Risk - if the OPCC does not identify and mitigate risks then it may mean that the OPCC cannot carry out its statutory function efficiently and effectively.

4. Supplementary information

- OPCC Risk Management Strategy
- Joint Audit & Standards Committee terms of reference
- CIPFA – Practical Guidance for Local Authorities and Police 2013 Edition

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

Risk Mitigation Strategies:

Avoid : Stop the risk completely or stop it having an impact.

Reduce : Reduce the likelihood and/or impact of the risk

Transfer : Outsource, use contractors or insure against things going wrong

Accept : The risk is tolerable/accepted

STRATEGIC RISK
REGISTER

Risk Score:	Impact	Likelihood
5	Very High	Very High > 90% probability
4	High	High 65% > 90% probability
3	Medium	Medium 20% > 65% probability
2	Low	Low 5% > 20% probability
1	Very Low	Very Low < 5% probability

Risk Description	Unmitigated Score			Mitigated Score			Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions				
	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score		Actions Already Taken to Mitigate the Risk	Further Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)	Review Date
R2 - Strategic Finance												
Failure to meet the statutory requirement to deliver a robust balanced budget.	4	5	20	3	2	6	Chief Executive (Reduce)	Medium term capital and revenue plans align resources and expenditure; balances and reserves annually assessed to ensure financial risks are provided for; in year monitoring ensures an understanding of actual costs and income against budget and provides information for future budget cycles; subscriptions to the technical information service ensures regular updates on funding assumptions at a national level and modelling on their potential local implications.	The most significant risk to balancing the budget is the current uncertainty pertaining to the police funding review. The assistant deputy CFO has been tasked with leading on this area of work. This will include financial modeling when further information is known.	Use of balances and reserves to manage any unexpected funding loss. Recruitment/expenditure freeze could be implemented to reduce costs and allow time for the delivery of planned savings.	Chief Finance Officer	Mar-15
Potential for challenge/judicial review on setting a legal budget:	4	2	8	3	1	3	Chief Executive (Reduce)	Annual community engagement exercise to determine priorities. Budget consultation process and service change constulation process for measures where public views should be sought. Procedure standing orders and professional input into all reports. Monitoring officer oversight of decision making process.		Legal advice would need to be sought on the likelihood of the challenge being successful. Implementation of an individual savings proposal may need to be put on hold and alternative savings sought or use of reserves pending the outcome of the challenge.	Chief Finance Officer	Mar-15
Failure to manage expenditure within the annual budget:	4	4	16	3	2	6	Chief Executive (Reduce)	Budget monitoring processes; accurate budget setting process; financial regulations/budget holder responsibilities; financial systems and processess provide for early identification of presssures and mitigating action; balances and reserves can be utilised.		fund overspend from balances and/or implement recrutment/expenditure freeze. Review the reasons for the overspend and make decisions on permanent mitigations.	Chief Finance Officer	Mar-15
Failure to meet statutory, regulatory and professional requirements and dealines including the arrangement for the statement of accounts and arrangements for financial systems, monitoring, budgeting and other key processess. The inability to do this can result in reputational damage, poor internal control and an inability to comply with statutory and professional requirements.	3	5	15	3	2	6	Chief Finance Officer (Reduce)	Appropriately qualified and experience staff, detailed accounts closure process overseen by PCCCF0 and CCCFO, external auditors engage with and monitor the process, internal audit review underlying systems that produce the financial infornition to assure its reliability and robustness. The CFO and Deputy CFO will keep under review and advise on the level of finance staff required. The Financial Services team has been increased by 1FTE to provide a greater capacity and resilience. From March 2014, the team is now at full strength.		A fundamental review of the process and issues resulting in this risk materialising would need to be undertaken. This would aim to establish the underlying causes and ensure appropriate controls/resources are put in place in future years.	Deputy Chief Finance Oficer	Mar-15



CUMBRIA POLICE AND CRIME COMMISSIONER

STRATEGIC RISK REGISTER

DATE: March 2013

VERSION CONTROL NO: 01/2013

Risk Mitigation Strategies:

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Risk Score:	Impact	Likelihood	
5	Very High	Very High	> 90% probability
4	High	High	65% > 90% probability
3	Medium	Medium	20% > 65% probability
2	Low	Low	5% > 20% probability
1	Very Low	Very Low	< 5% probability

Risk No.	Risk Description	Unmitigated Score			Mitigated Score			Risk Owner		Frequency of Assessment & Proposed Cycle	Date of Next Review
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Risk Owner	Action Owner		
R1	Governance / Internal Control	5	4	20	5	2	10	Chief Executive	Chief Finance Officer	Half Yearly	March 2015
R2	Strategic Finance	4	5	20	4	2	8	Chief Executive	Chief Finance Officer	Annual	March 2015
R3	Reputation	4	3	12	3	2	6	Chief Executive	Communication & Media Executive	Annual	March 2015
R4	Priorities and Objectives	4	5	20	4	3	12	Chief Executive	Partnership & Strategy Manager	Half Yearly	March 2015
R5	Consultation / Engagement	4	3	12	4	2	8	Chief Executive	Communication & Media Executive	Annual	March 2015

Scores

15 - 25	Quarterly Reviews
10 - 14	Half Yearly Reviews
9 or less	Annual Reviews

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

Risk Mitigation Strategies:

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Risk Description	Unmitigated Score			Mitigated Score			Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions					Review Date
	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score		Actions Already Taken to Mitigate the Risk	Outstanding Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)		
R1 - Governance/Internal Control													
Failure of governance/internal controls resulting in risks materialising & potential for fraud, error, irregularity.	5	4	20	4	2	8	Chief Executive (reduce)	Internal control arrangements subject to annual review; Internal and external audit arrangements; Section 151 Officer post; annually reviewed financial regulations, procurement regulations, scheme of delegation and code of governance. Risk management strategy and risk register in place. Further assurance through Independent Audit and Standards Committee.		Review of the the control environment; specific internal audit investigation; implementation of revised control procedures.	Chief Finance Officer / Governance & Business Services Manager	Mar-15	
Decision making fails to take account of all relevant information and inherent risks or fails to follow procedure resulting in unexpected consequences/poor decision making or judicial challenge.	5	4	20	5	2	10	Chief Executive (avoid)	Reports are required to follow a specific format that takes cognisance of risk, financial, legal, HR implications etc. Reports are considered by the commissioners staff prior to decision making. Procurement Regulations are in place. The governance manager has responsibility for ensuring compliance with the requirements. The Chief Executive is the Commissioner's monitoring officer with oversight of the arrangements. An annual report is presented to the Joint Audit and Standards Committee providing assurance on how risk is embedded within the OPCC processes and in particular it's decision making process.	A risk workshop is being developed with the OPCC's insurers for all OPCC staff to ensure their knowledge and understanding is up to date.	Consider the need for any further or specialised training of staff as appropriate. Time allowing, reports will be returned to the author for the inclusion of implications within reports. Alternatively a decision will be deferred if it is felt that the information is not sufficient.	Governance & Business Services Manager	Mar-15	
Risk - Failure to hold the Constabulary to account for having robust governance/internal control arrangements including arrangements for managing risk.	4	4	16	4	2	8	Chief Executive (reduce)	Joint Audit and Standards Committee, Commissioners CFO leads on arrangements for internal audit for both organisations. The Commissioner requires the Chief Constable to adopt financial regulations & procurement regulations as part of the funding arrangements. Chief Constable must appoint a statutory CFO who is professionally qualified and has statutory/professional responsibilities. The Commissioners Governance & Business Services Manager has specific responsibilities with regard to assurance on Constabulary risk management practices.	An internal audit of the Constabulary and OPCC risk management is to be undertaken from September 2014. Any areas or issues identified will be considered an appropriate action taken.	A review would be undertaken to establish whether there are any weaknesses in the control framework that may need improving. Consideration would be given to further internal audit review either to investigate a specific area or as part of the annual audit.	Governance & Business Services Manager	Mar-15	

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

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Risk Description	Unmitigated Score			Mitigated Score			Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions				
	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score		Actions Already Taken to Mitigate the Risk	Further Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)	Review Date
R2 - Strategic Finance												
Failure to meet the statutory requirement to deliver a robust balanced budget.	4	5	20	3	2	6	Chief Executive (Reduce)	Medium term capital and revenue plans align resources and expenditure; balances and reserves annually assessed to ensure financial risks are provided for; in year monitoring ensures an understanding of actual costs and income against budget and provides information for future budget cycles; subscriptions to the technical information service ensures regular updates on funding assumptions at a national level and modelling on their potential local implications.	The most significant risk to balancing the budget is the current uncertainty pertaining to the police funding review. The assistant deputy CFO has been tasked with leading on this area of work. This will include financial modeling when further information is known.	Use of balances and reserves to manage any unexpected funding loss. Recruitment/expenditure freeze could be implemented to reduce costs and allow time for the delivery of planned savings.	Chief Finance Officer	Mar-15
Potential for challenge/judicial review on setting a legal budget:	4	2	8	3	1	3	Chief Executive (Reduce)	Annual community engagement exercise to determine priorities. Budget consultation process and service change constulation process for measures where public views should be sought. Procedure standing orders and professional input into all reports. Monitoring officer oversight of decision making process.		Legal advice would need to be sought on the likelihood of the challenge being successful. Implementation of an individual savings proposal may need to be put on hold and alternative savings sought or use of reserves pending the outcome of the challenge.	Chief Finance Officer	Mar-15
Failure to manage expenditure within the annual budget:	4	4	16	3	2	6	Chief Executive (Reduce)	Budget monitoring processes; accurate budget setting process; financial regulations/budget holder responsibilities; financial systems and processess provide for early identification of presssures and mitigating action; balances and reserves can be utilised.		fund overspend from balances and/or implement recrutment/expenditure freeze. Review the reasons for the overspend and make decisions on permanent mitigations.	Chief Finance Officer	Mar-15
Failure to meet statutory, regulatory and professional requirements and dealines including the arrangement for the statement of accounts and arrangements for financial systems, monitoring, budgeting and other key processess. The inability to do this can result in reputational damage, poor internal control and an inability to comply with statutory and professional requirements.	3	5	15	3	2	6	Chief Finance Officer (Reduce)	Appropriately qualified and experience staff, detailed accounts closure process overseen by PCCCF0 and CCCFO, external auditors engage with and monitor the process, internal audit review underlying systems that produce the financial infornition to assure its reliability and robustness. The CFO and Deputy CFO will keep under review and advise on the level of finance staff required. The Financial Services team has been increased by 1FTE to provide a greater capacity and resilience. From March 2014, the team is now at full strength.		A fundamental review of the process and issues resulting in this risk materialising would need to be undertaken. This would aim to establish the underlying causes and ensure appropriate controls/resources are put in place in future years.	Deputy Chief Finance Oficer	Mar-15

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

Risk Mitigation Strategies:

Avoid : Stop the risk completely or stop it having an impact.

Reduce : Reduce the likelihood and/or impact of the risk

Transfer : Outsource, use contractors or insure against things going wrong

Accept : The risk is tolerable/accepted

STRATEGIC RISK REGISTER

Risk Score:	Impact	Likelihood
5	Very High	Very High > 90% probability
4	High	High 65% > 90% probability
3	Medium	Medium 20% > 65% probability
2	Low	Low 5% > 20% probability
1	Very Low	Very Low < 5% probability

	Unmitigated Score			Mitigated Score				Actions					
Risk Description	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions Already Taken to Mitigate the Risk	Outstanding Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)	Review Date	
R3 - Reputation													
Failure to deal with conduct issues promptly, fairly and transparently could lead to a loss in confidence in systems and processes or public confidence.	4	3	12	3	2	6	Chief Executive (Avoid)	The PCC has adopted a code of conduct and ethical framework; independent audit and standards committee; membership of cumbria and lancashire standards group.		Review conduct issue and take corrective action. Communications and media support where the issue is public/reputational. Legal advice where appropriate.	Communications & media Executive	Mar-15	
Failure to robustly deal with an incident that significantly damages the reputation or public perception of the OPCC and the Commissioner.	4	2	8	3	2	6	Chief Executive (Avoid)	The office of public engagement has an approved strategy. Reputational issues are discussed at weekly joint OPCC / Constabulary Comms Management meetings. Where necessary the OPCC will develop individual strategies to cover specific reputational issues.		Establish as soon as possible a Strategic Working Group with the Commissioner or Chief Executive as the lead. Challenge any misinformation or inaccuracies and be pro-active in getting information across in as many different forms as possible.	Communications & media Executive	Mar-15	
Failure to scrutinise the Constabulary significantly that results in the Constabulary suffering damage to its reputation	4	2	8	3	2	6	Chief Executive (Avoid)	The office of public engagement has an approved strategy. Reputational issues are discussed at weekly joint OPCC / Constabulary Comms Management meetings		Strategic Working Group to be established with clear corporate objectives led by the Commissioner or Chief Executive. To be supported by a pro-action media strategy.	Communications & media Executive	Mar-15	

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

Risk Mitigation Strategies:

Avoid : Stop the risk completely or stop it having an impact.
Reduce : Reduce the likelihood and/or impact of the risk
Transfer : Outsource, use contractors or insure against things going wrong
Accept : The risk is tolerable/accepted

STRATEGIC RISK REGISTER

Risk Score:	Impact	Likelihood
5	Very High	Very High > 90% probability
4	High	High 65% > 90% probability
3	Medium	Medium 20% > 65% probability
2	Low	Low 5% > 20% probability
1	Very Low	Very Low < 5% probability

	Unmitigated Score			Mitigated Score				Actions				
Risk Description	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions Already Taken to Mitigate the Risk	Outstanding Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)	Review Date
R4 - Priorities and Objectives												
Failure to achieve the organisational objectives and priorities set out within the Police and Crime Plan and Service Plan	4	5	20	4	3	12	Chief Executive (reduce)	Plans are monitored through out the year and areas of concern scrutinised/ challenged. Performance data and actions are carefully considered as to their deliverability when setting the plans. Dedicated Partnerships and Strategy Manager works closely with the Constabulary to consult and agree outcomes and the information requirements in-year to ensure delivery is on track. Performance monitoring arrangements are in place for the Constabulary. Funding agreements developed with partners which provide performance reporting arrangements. Staffing structure has been reviewed and is aligned with priorities for the delivery of the Police and Crime Plan.	Processes for monitoring delivery of the Police and Crime Plan are currently under annual review and will be amended to reprioritise and improve them. The Police and Crime Plan is under review.	A fundamental review of the process and issues resulting in this risk materialising would need to be undertaken. This would aim to establish the underlying causes and ensure appropriate action is taken. The area of underperformance would be reviewed and appropriate action taken.	Partnerships and Strategy Manager (Constabulary performance)	Mar-15

CUMBRIA POLICE AND CRIME COMMISSIONER STRATEGIC RISK REGISTER

CUMBRIA POLICE AND CRIME COMMISSIONER

VERSION CONTROL NO:

STRATEGIC RISK
REGISTER

Risk Mitigation Strategies:

Avoid : Stop the risk completely or stop it having an impact.
Reduce : Reduce the likelihood and/or impact of the risk
Transfer : Outsource, use contractors or insure against things going wrong
Accept : The risk is tolerable/accepted

Risk Score:	Impact	Likelihood
5	Very High	Very High > 90% probability
4	High	High 65% > 90% probability
3	Medium	Medium 20% > 65% probability
2	Low	Low 5% > 20% probability
1	Very Low	Very Low < 5% probability

Risk Description	Unmitigated Score			Mitigated Score			Risk Owner & Mitigation Strategy (Avoid, reduce, transfer, accept)	Actions				
	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score		Actions Already Taken to Mitigate the Risk	Outstanding Risk Mitigation Actions	Response Action or Management Approach to be Taken if Risk Occurs	Action Owner(s)	Review Date
R5 - Consultation / Engagement												
There is a risk that the Office of Public Engagement doesn't deliver in line with its agreed strategy and this negatively impacts on the effectiveness of the OPCC and the reputation / public perception of the OPCC and the Commissioner this includes (community engagement, communications, complaints/standards) There is a risk that the OPCC may not have sufficient capability and capacity to deal with a major incident.	4	3	12	4	2	8	Communication and Media Executive (Avoid)	A Community Engagement Strategy is reviewed on an annual basis. The strategy encompasses consultation to gain public perception on such areas as local policing priorities. It includes a media strategy. The assistance of the Constabulary's Independent Advisors' Group and external agencies may be used to ascertain how best to engage and communicate with some hard to reach groups. Consultation with a wide range of members' of the public takes place throughout the year with half yearly reports to the Executive Board and linked to the setting of the policing priorities.		There is a comprehensive Office of Public Engagement strategy that covers all of the relevant areas of Communications / Community Engagement, Complaints / Standards with key deliverables over a rolling program of the next year and the following 3 years. This is supported by weekly updates to media and six monthly complaint / Standard and community engagement reports as well.	Communication & Media Executive	Mar-15
There is a risk of judicial challenge which may result in a decision being over-turned with consequent financial implications if the PCC fails to consult appropriately or fails to take into account consultation responses when decision making.	4	3	12	3	2	6	Communication and Media Executive (Avoid)	Consultation processes are used to support all decisions with service user implications and final decisions take these into account. When required Legal advice is sought on consultation processes.		Legal and communications advice to manage the risk.	Community Engagement Manager	Mar-15
Risk of failure to comply with legislation and regulations in respect of requirements for statutory reports, publications and information.	4	2	8	4	1	4	Comms and Media Executive (Reduce)	Communications & Media Executive ensures that the statutory publication requirements of the annual report and Police and Crime Plan are met and kept under review. Post of Governance & Business Services Manager ensures requirements in respect of transparency/published information is kept under review and met through the PCC website. Individual officers responsible for ensuring any published documents within their area of responsibility meet statutory requirements. Subscriptions to professional bodies ensure relevant guidance is received on the requirements. Take part in all the reviews to ensure that we are meeting our statutory obligations.		Take immediate action to provide the required information. Review of systems and processes to determine the reasons for failing to meet requirements.	Governance & Business Services Manager	Mar-15



Joint Audit and Standards Committee

TITLE OF REPORT:	Constabulary Quarterly Risk Management Update
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DATE OF MEETING:	8th December 2014
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ORIGINATING OFFICER:	Strategic Development, Corporate Improvement
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PART 1 or PART 2 PAPER:	PART 1 (OPEN)
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Executive Summary:

The purpose of this paper is to provide the Joint Audit and Standards Committee with the quarterly update to the Constabulary's risk management arrangements, including a review of the current strategic risk register.

Corporate Improvement has carried out a quality assurance check of all the departmental and operational risk registers to ensure that risk is effectively managed across the organisation. The Strategic Risk Register has been updated to reflect the latest situation.

The internal auditors have not yet completed the Risk Management Audit. It is hoped the results of the audit can be reported at the next meeting.

Recommendations:

That the Audit and Standards Committee:

1. Note the Constabulary's current strategic risks and that the quarterly review is scheduled for 1 December 2014.
2. Note the actions carried out by the Constabulary to help mitigate its financial strategic risk that is recognised as a high priority.
3. Note the results of the risk management audit will hopefully be reported at the next meeting.

MAIN SECTION

1. Introduction and Background

1.1 Strategic Risks

Risk is the threat that an event or action will affect the Constabulary's ability to achieve its organisational aim and objectives.

Each risk is managed at the level where the control to manage the risk resides. Therefore strategic risks are managed by the Chief Officer Group, significant operational risks are managed by Operations Board (Joint Crime and Territorial Policing Board) and significant strategic business risks are managed in the relevant business department and via the Business Board. Projects and programmes also have their own risks that are managed by the project / programme teams.

Strategic risks are those affecting the medium to long term objectives of the Constabulary and are the key, high level and most critical risks that the Constabulary faces and should be few in number. Best practice indicates that the number should be between 5 and 10.

In September 2014, internal audit began a review of the Constabulary's risk management processes. This work has not yet been completed. It is hoped the results of the audit can be reported at the next meeting.

The challenging environment the Constabulary operates in requires it to not only consider the context for managing risk but to continually identify new risks that emerge, and make allowances for those risks that no longer exist. A risk can be escalated to the Chief Officer Group for consideration as a strategic risk at any time. To support this, a tracking database is kept up to date for the Strategic Risk Register to provide an audit trail of the risks that are removed or remitted to the operational and departmental risk registers. Full details of the Constabulary's risk management processes can be found in the Risk Management Policy, which was reviewed and approved by Chief Officers on the 5th September 2014.

The strategic risks identified by the Constabulary are concerned with the implications of longer-term reduction in budget, failure to deliver required change, performance and productivity of police officers and the integrity of police officers and staff. Since the last meeting a new strategic risk has been identified and is related to the significant increase in the number of reported rape and sexual offences.

The table on page 4 outlines the Constabulary's five strategic risks and provides the RAG rating (Red, Amber, and Green) for each risk (**RAG risk rating = impact x likelihood**). It also indicates which Constabulary objectives the risks link to (as described below).

The Strategic Risk Register is due to be submitted to Chief Officer Group on 1 December for consideration.

The Chief Constable in his 'Annual Statement of Corporate Governance' determined the strategic direction for the Constabulary that 'Community Policing is Our Priority'. In light of public consultation, the annual review of the Constabulary's Strategic Assessment (based on operational intelligence), performance results, recommendations from independent inspections and audits and a review of the organisations strategic risks, six objectives were identified as key in reducing 'threat, risk and harm' and tackling our communities' concerns:

1. Reduce the harm caused by domestic abuse, sexual assault and child exploitation, encouraging people to report to the police.
2. Respond to vulnerable adults and children who go missing from home.
3. Deal with alcohol related crime and antisocial behaviour in our communities.
4. Tackle drug supply across the county.
5. Keep crime at the current low levels, especially burglary, theft and violent crime.
6. Deal with antisocial behaviour in our communities.

Appendix 1 of this report provides a copy of the Constabulary's risk scoring matrix.

Strategic Risk Register

Risk Ref No	Responsible Officer(s)	Risk Description	Impact	Likelihood	Priority	Link to Strategic Objectives
22	The Chief Constable & Chief Financial Officers for the Police & Crime Commissioner	<p>The current funding gap continues to increase due to:</p> <ul style="list-style-type: none"> • local and national financial sources reducing and/or, • greater than projected increases in expenses (for example pay and inflation), and • the removal of the police allocation damping mechanisms , and • the Government's statement about austerity continuing until early 2020s. <p>If this risk occurs, the Constabulary would have to find and deliver further savings in addition to those already planned, resulting in a significantly reduced number of officers and staff and significant detrimental impact on police services delivered to the public.</p>	High	High	25	All
2	Director of Corporate Improvement & Director of Corporate Support	The Constabulary may not have the capacity to deliver the Change Programme and Corporate Support Business Plan, in particular the reliance on IT to deliver systems which improve officer productivity and reduce manual intervention in processes. If this risk occurs the Constabulary would have to find further savings from within the Constabulary.	High	Medium	12	All
24	The Deputy Chief Constable and Temporary Detective Chief Superintendent Crime Command	There is potential reputational damage to the Constabulary because of the significant increase it has seen the number of reported rape and sexual offences caused by the large number of high profile cases reported in the media which has positively encouraged more victims to come forward and report this serious offence.	Medium	High	12	1,3,4 & 5

Risk Ref No	Responsible Officer(s)	Risk Description	Impact	Likelihood	Priority	Link to Strategic Objectives
11	Assistant Chief Constable and Director of Corporate Improvement	The Constabulary's performance may be adversely affected due to the significant level of change across the Constabulary as a whole. This may result in adverse publicity and reputational damage, and potential direct intervention from Her Majesty's Inspector of Constabulary (HMIC).	Medium	Medium	9	All
23	The Deputy Chief Constable and Head of Professional Standards	There may be reduced public confidence in the Constabulary and reduced engagement with frontline police officers and staff due to a perceived (because of current national media focus and government communication) or actual lack of integrity amongst police officers and staff. This would result in significant reputational damage and a potential drop in performance because of less public support.	Medium	Low	6	All

Risk Tolerance Levels		
<u>Risk Score 1-4</u> Acceptable. No action is required but continue monitoring.	<u>Risk Score 5-12</u> Tolerable risks but action is required to avoid a Red status. Investigate to verify and understand underlying causes and consider ways to mitigate or avoid within a specified time period.	<u>Risk Score 15-25</u> Unacceptable. Urgent attention is required. Investigate and take steps to mitigate or avoid within a specified short term.

The main strategic risk for the Constabulary is financial. This is recognised as a high priority risk (red) and has been on the register for some time, which is a situation that is likely to continue.

The Constabulary has carried out a series of actions to help reduce the impacts associated with these risks. The actions were presented to the Audit and Standards Committee in September 2014 but have been updated to reflect recent work that has been undertaken.

- The potential decrease is modelled in the Medium Term Financial Forecast which is based on prudent assumptions. The MTFF sets resource parameters to deliver police services and workforce, asset and change planning determine how these will be linked to balance resource allocation and provide effective police service.
- The MTFF is regularly updated and refreshed, using information from a range of sources so that it is as up to date as possible.
- Links between the Chief Financial Officer and Change Programme are defined, robust and regular.
- There is robust management of officers and staff via the Workforce Plan, which has strategic importance, is developed to 2020 and determines the Constabulary's recruitment strategy.
- The Workforce Plan is updated monthly, based on the latest information available.
- The Change Programme informs the Workforce Plan and links between HR and the Change Programme are defined, robust and regular.
- The Constabulary has developed a substantial Change Programme up to 2018-2019, These are contained and detailed within a Change Strategy which supports and aligns with the Chief Constable's strategic vision.
- Development and delivery of asset strategies, with twin aims of meeting business need and reducing costs. In particular the IT strategy, which seeks to digitise processes and deliver and enable officers to be out of stations to undertake duties so that they can be more productive and efficient- thereby reducing the number of officers required.
- Zero based budgeting applied annually and robust and regular financial reporting delivered.
- Strengthened and effective governance which is strategic and cross cutting, ensuring that risks and interdependencies are managed and benefits are delivered.
- Longer term change plans to 2020/21 are being developed.
- More accurate turnover forecasting is being developed.
- The Constabulary has recently carried out a piece of work to gain a comprehensive understanding of its operational demand to identify how policing services could be delivered with fewer officers and how demand could be reduced. Following this, an action plan has been produced to address the findings of this work and is being delivered.

2. Issues for Consideration

2.1 Drivers for Change

Effective risk management is a key component of effective corporate governance. Managing risk will contribute towards delivery of the strategic priorities. There are potential significant consequences from not managing risk effectively.

Robust risk management will help improve decision-making and drive corporate activity that represents value for money.

Effective risk management will help protect the reputation of the Constabulary and the Office of the Police and Crime Commissioner, safeguard against financial loss and minimise service disruption.

2.2 Consultation processes conducted or which needs to be conducted

Individual risk owners have been consulted as part of the standard risk management arrangements.

2.3 Impact assessments and implications on services delivered

Not applicable- described in the risk register where appropriate.

2.4 Timescales for decision required

On the 15th of September 2014, the Extended Chief Officer Group reviewed and approved the Constabulary's current risks. It is considered quarterly and will be submitted to the next COG on 1 December 2014.

2.5 Internal or external communications required

Corporate Improvement ensures that any changes or decisions made are communicated to the relevant stakeholder(s).

3. Financial Implications and Comments

Any financial implications are described in the relevant risks outlined within this report.

4. Legal Implications and Comments

Any financial implications are described in the relevant risks outlined within this report.

5. Risk Implications

The Constabulary's risks are described in section one of this report.

6. HR / Equality Implications and Comments

Any HR / Equality implications are described in the relevant risks outlined within this report.

7. ICT Implications and Comments

Any ICT implications are described in the relevant risks outlined within this report.

8. Procurement Implications and Comments

Any procurement implications are described in the relevant risks outlined within this report.

9. Supplementary Information

9.1 List any relevant documents and attach to report

Appendix 1	Risk Scoring Matrix
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9.2 List persons consulted during the preparation of report

Risk Scoring Matrix

Impact Score	Description					
		IMPACT ON SERVICE PROVISION	FINANCIAL IMPACT	IMPACT ON PEOPLE	DURATION OF IMPACT	IMPACT ON REPUTATION
5	Very High	Unable to function, inability to fulfil obligations	Severe financial loss > £3M	Multiple fatalities	In excess of 2 years	Highly damaging, severe loss of public confidence or being declared a failing Force
4	High	Significant impact on service provision	Major financial loss £1M to £3M	Fatality	Between 1 year - 2 years	National publicity, major loss of confidence or serious IPCC complaint upheld
3	Medium	Service provision is disrupted	Significant financial loss £500k to £1M	Serious injury, RIDDOR reportable	Between six months to 1 year	Some adverse local publicity, legal implications, some loss of confidence
2	Low	Slight impact on service provision	Moderate financial loss £100k to £500k	Slight medical treatment required	2 to 6 months	Some public embarrassment, or more than 1 complaint
1	Very Low	Insignificant impact, no service disruption	Insignificant financial loss < £100k	First Aid treatment only No obvious harm/injury	Minimal - up to 2 months to recover	No interest to the press, internal only

Likelihood Score	Tolerance Levels – Likelihood Assessment	
5	Very High	A risk has a very high score if there is a 90% or more chance of it happening every year. This means that it is almost certain to happen regularly.
4	High	A risk has a high score if there is a 65% to 90% likelihood of it happening at some point over the next 3 years. Basically, it probably will happen but it won't be too often.
3	Medium	A risk has a medium score if the likelihood of it happening is between 20% and 65% over the next 10 years. This means it may happen occasionally.
2	Low	A risk has a low score if the likelihood of it happening is between 5% and 25% at some point in the next 25 years. This means it is not expected to happen but it is possible.
1	Very Low	A risk has a very low score if the likelihood of it happening is less than 5% over 100 years. Basically, it could happen but it is most likely that this would never happen.

		Impact	Impact	Impact	Impact	Impact
		Very Low (1)	Low (2)	Medium (3)	High(4)	Very High (5)
Likelihood	Very High (5)	5	10	15	20	25
Likelihood	High (4)	4	8	12	16	20
Likelihood	Medium (3)	3	6	9	12	15
Likelihood	Low (2)	2	4	6	8	10
Likelihood	Very Low(1)	1	2	3	4	5
		Impact	Impact	Impact	Impact	Impact



Cumbria Office of the Police and Crime Commissioner

Report of the Chief Finance Officer

Review of Value for Money

Agenda Item No: 14a

1 Introduction

1.1 The terms of reference of the committee include the consideration of arrangements to secure value for money and reviewing assurances and assessments on the effectiveness of those arrangements. The external auditors provide an annual value for money conclusion that provides an opinion on value for money as part of their annual audit opinion. This was received by members at their September 2014 meeting. Whilst the overall conclusion issued was positive, the auditors referenced within that opinion the high level of reserves held at the date of the financial statements. In response to the committee's terms of reference and the comments of the external auditors, this report provides further detail in respect of value money regarding the Commissioner's directly managed budgets, as benchmarked by HMIC. It also provides members with the draft policy on reserves for 2015/16.

2 Report

2.1 Appendix one sets out a review of value for money within the Police and Crime Commissioner's directly managed budgets, as benchmarked by HMIC. The review compares the costs of the political arrangements (PCC/Deputy PCC/special advisors), costs of the office and costs of commissioned services. The statistical neighbours for Cumbria are Norfolk, North Wales and Lincolnshire. In addition to review of the HMIC profiles further analysis has been undertaken on staffing structures using statistical neighbour websites. Further comparative work is planned with North Wales, the statistical neighbour that is operating on a lower level of budget than Cumbria, as part of the 2015/16 budget process.

2.2 Appendix two sets out the draft position regarding the 2015/16 policy on reserves. The policy explains the current position on funding for policing areas. This is the primary reason why reserves

are being held at a higher level and will continue to be, pending more certainty regarding future resource allocations. The policy also sets out the planned movement in reserves, and the substantial change in the overall position that is expected following strategic investments in capital schemes.

3 Recommendations

- a) Members are asked to consider the value for money benchmark information and the conclusions from that review.
- b) Members are asked to consider the Commissioner's draft policy on reserves for 2015/16, providing any advice prior to it being finalised and approved in February 2015.

Ruth Hunter

21st November 2014.

Appendix One

Value for Money: Police and Crime Commissioner

1 Introduction and Background

1.1 This report sets out an analysis of the expenditure incurred by the Police and Crime Commissioner for Cumbria, as evaluated annually with the HMIC value for money (VFM) profiles. The profiles compare expenditure in Cumbria with that of North Wales, Norfolk and Lincolnshire, our statistical neighbours or most similar group (msg). They compare the cost of the Commissioner, the costs of the office and the amount spent on commissioning. Information within the Cumbria profile sets out expenditure (£m) and a comparator based on £/head of population for the msg average. Use has been made of the profile for North Wales, Norfolk and Lincolnshire to facilitate comparison of budgeted expenditure (£m) and £/head for each individual statistical neighbour to better understand where expenditure is different. Use has also been made of OPCC websites to understand differences in staffing structures that may drive cost variations.

2 HMIC Profiles

2.2 Table one below sets out the comparison of expenditure by police area to Cumbria on a per head of population basis. The first line shows the population, in thousands, for each police area and the average for the msg. Cumbria has a population of 498k, which is 198k less than the group average of 696k. Cumbria is average on the basis of the geographical area covered by the Police and Crime Commissioner. This will make any fixed costs comparatively more expensive on a per head of population basis. Costs that are primarily driven by population or geography should be proportionate. Costs within the profiles are allocated across three areas:

- Costs of the PCC/Deputy include the salary and associated expenses of the PCC, deputy and any special advisors. The salary costs of the PCC are set nationally.
- Costs of the office include the salary and associated costs of statutory (required) officers (the Chief Executive and Chief Finance Officer) and any other staff employed to support the PCC. It also includes office running costs, external audit and the costs of council tax leaflets. External audit fees are set nationally.

- Commissioned services includes community safety services, victims and witness services including restorative justice (RJ), and other services directly commissioned by the PCC.

Table one: Comparator Expenditure £/head	Cumbria	Lincs	Norfolk	NWales	msg average	Var to msg
	000	000	000	000	000	000
Population (000)	498	724	870	692	696	-198
	£/head	£/head	£/head	£/head	£/head	£/head
Cost of PCC/Deputy	0.19	0.21	0.19	0.22	0.20	-0.01
Office of PCC/local policing body/other costs	1.51	1.14	1.35	0.94	1.23	0.28
Total	1.70	1.35	1.54	1.16	1.43	0.27
Commissioned Services						
Community Safety	0.20	1.54	1.17	1.69	1.15	-0.95
Victims/Witnesses/Restorative Justice/Other	9.13	0.32		0.37	2.45	6.68
Total	9.33	1.86	1.17	2.06	3.60	5.73

- The table shows that the costs of the PCC and deputy are just under the msg on a per head basis but those of the office are more.
- Combining the two, the costs for Cumbria are £0.27 (18%) per head higher than the group average. Population at 498k is 28% lower than the average.
- To achieve group average costs on a per head of population basis, the Commissioner would need to reduce expenditure by £130k.
- The Commissioner does not have a deputy so there is no scope to reduce the costs of the PCC. All cost reduction would therefore need to come from the office.
- Commissioning expenditure is also much higher per head of population. The HMIC profile identifies that Cumbria's commissioning expenditure is £5.73 higher than the equivalent per head figure for the msg average.

2.3 Table two below analyses the budgets (£m) for each police area to provide further information on where actual costs vary independently of the population figures.

Table Two: Comparator Expenditure £m 2014	Cumbria £m	Lincs £m	Norfolk £m	NWales £m	msg average £m	Var £m to msg
Cost of PCC/Deputy	0.10	0.15	0.17	0.15	0.14	-0.04
Office of PCC/local policing body/other costs	0.75	0.82	1.17	0.65	0.85	-0.10
Total	0.85	0.97	1.34	0.80	0.99	-0.14

Commissioned Services						
Community Safety	0.10	1.11	1.02	1.17	0.85	-0.75
Victims/Witnesses/Restorative Justice/Other	4.55	0.23		0.25	1.26	3.29
Total	4.65	1.34	1.02	1.42	2.11	2.54

- Table two identifies that the costs of the PCC and Office are lower than the msg average when comparing actual expenditure.
- Costs for the PCC are £0.1m and the lowest for the group. Costs for the Office are £0.75m. This is higher than costs for North Wales (£0.65m) but lower than the costs for Lincolnshire and Norfolk and lower than the average for the group.
- Commissioned services expenditure remains high at £4.65m compared to an average of £2.11m.

2.4 There are two primary reasons for the higher costs in respect of Commissioned Services. Firstly, the commissioning budget for Cumbria includes £2m of resources used to commission investment in policing. This funding is subject to a business case and proposals being presented by the Constabulary. This funding may be included directly within Constabulary budgets in other policing areas and will be subject to specific local funding arrangements. The second factor is that prior year underspends on Constabulary budgets have been used for commissioning a higher level of services for victims than would be supported by MOJ funding. The comparison also identifies that the commissioner spends a much higher proportion of funding on support for victims, relative to community safety. This is a reflection of the policy priorities and the particular focus on supporting victims of domestic and sexual violence.

2.5 To better understand the difference in the costs of the Commissioner and the Office, a comparison has also been undertaken of structures, to understand where staffing costs may vary. The table below sets out the establishment grouped by area followed by a summary of the key differences.

Table Three: Comparison of Statistical Neighbour Staffing Structures and Funding

Cumbria £850k	Lincolnshire £970k	Norfolk £1.34m	North Wales £800k
Posts Funded from PCC/Office Budget			
Police & Crime Commissioner	Police & Crime Commissioner	Police & Crime Commissioner	Police & Crime Commissioner
		Deputy Police and Crime Commissioner	Deputy Police and Crime Commissioner
Chief Executive/ Monitoring officer	Chief Executive/ Monitoring officer	Chief Executive/ Monitoring officer	Chief Executive/ Monitoring officer
Chief Finance Officer/ Deputy Chief Executive	Chief Finance Officer	Chief Finance Officer (0.6 fte)	Chief Finance Officer (0.5fte)
	Deputy Chief Executive & Deputy Monitoring Officer		
Executive Support Officer (PCC)	Personal Assistant (PCC)	Personal Assistant (PCC/Deputy/CEO)	Personal Assistant (PCC)
			Personal Assistant (CE)
Head of Communications and Business services		Business/Media Manager	Executive Officer
Communication and Engagement Officer		Media and Communications Officer	Communications Officer
Governance and business services manager	Corporate Administration Officer	Senior Business Support Officer	Research and Information Officer
Administrative Assistant	Support Services Officer	Business Support Officer	Information Assistant
Finance Administrative Assistant (0.5fte)			
ICV administrator (0.5fte)			
Head of Partnerships and Commissioning	Lead Officer for Victims, Witnesses and Partnerships	Senior Policy and Commissioning Officer	Policy Officer Performance
Partnership and Strategy Manager	Research and Performance Officer	Performance and Compliance Office	Policy Officer Diversity
Assistant Policy Officer	Research and Policy Intern		
Posts Funded from Commissioning Budgets			
Victims Advocate		Commissioning Coordinator DV/SV	Commissioning Officer
SARC Project Manager*		Commissioning Coordinator mental health/drugs/alcohol	
		Commissioning Coordinator veterans**	
		Commissioning Coordinator community relations/equality**	

*temporary post partnership funded with health

**posts funded from county council/other sources

- Commissioners: Norfolk and North Wales have a police and crime commissioner and a deputy police and crime commissioner. Cumbria and Lincolnshire do not have deputy commissioners.
- Statutory Posts: All have a post of chief executive (CE)/monitoring officer and chief finance officer (CFO). In Cumbria the CFO role is combined with a deputy CE role. In North Wales and Norfolk the CFO posts are part time. Lincolnshire is unique in having a full time CFO and a non-statutory post of deputy chief executive/deputy monitoring officer.
- PA: All have a PA post supporting the PCC/Deputy. North Wales is unique with two PA posts, one supporting the PCC and one supporting the CE.
- Media/Communications & Business: Cumbria and Norfolk have a senior post overseeing media/business and a communications officer. North Wales has a communications officer and an executive officer to oversee the business functions. This results in a lower level of communications support for North Wales. Lincolnshire does not directly employ any media/communication staff.
- Support and Administration: Lincolnshire and Norfolk have two posts to provide business support and administration. North Wales has three posts if the additional PA post is included but two of these posts are classed as research and information posts so the function may be slightly different. Cumbria has 3 fte (4 posts). This indicates that Cumbria may be spending a higher amount on general administration and business support.
- Commissioning/Partnerships/Policy/Performance: Cumbria has 3 posts covering this area. This is consistent with the Lincolnshire structure. Norfolk and North Wales have 2 posts in this area. There are inter-relationships between this section of the office budget and the commissioning budgets. Norfolk has 4 commissioning posts, North Wales has one. Cumbria has one permanent post and 1 temporary post that will end part way through 2015/16.

2.6 Lincolnshire has the leanest structure with an establishment of 10, comprising one police and crime commissioner and 9 posts within the core office. Lincolnshire does not have a deputy police and crime commissioner but does have a deputy chief executive and deputy monitoring officer. The main office structure is broadly consistent with those of the group other than in respect of media support, where there are no posts. Lincolnshire does however have an external strategic partnership and makes annual contract payments to the value of £23m per annum for services provided to the Commissioner and Constabulary. Despite the lower establishment figure, Lincolnshire's total budget for the Commissioner and Office at £970k is the second highest in the group. This again suggests a stronger orientation towards procuring services rather than direct delivery.

2.7 Norfolk has the largest establishment in terms of both posts and costs, with a budget of £1.34m and an establishment of 14.72fte. 4 posts within Norfolk's establishment are designated as commissioning co-ordinators and are funded from their commissioning budget. 2 of these posts are partnership funded. Norfolk also has a deputy commissioner.

2.8 North Wales has an establishment of 13 (12.5 fte) posts including a deputy police and crime commissioner. There is a post of commissioning officer funded from the commissioned service budgets. Expenditure excluding the commissioning budgets is the lowest within the group at £800k. Work has started to undertake some more detailed benchmarking with North Wales, being the only statistical neighbour operating on a lower level of budget than Cumbria.

2.9 Cumbria has a permanent establishment of 14 posts (13 fte) and 1 temporary post funded on a partnership basis until 2015/16. Posts within the office are broadly consistent with the other structures other than that support/administration is 1fte higher. The budget is the 2nd lowest at £850k suggesting a lower level of expenditure on external supplies and services. Whilst all offices have the same statutory functions and some fixed costs in respect of the Commissioner and statutory posts, it would be reasonable to expect that some requirements and costs should be variable and linked to population. Cumbria should therefore be capable of operating at the lowest cost within the statistical neighbour group. Achieving this would mean finding ways to reduce the budget by £50k.

Overall Conclusions

- On a per head basis Cumbria's costs are the highest of the statistical neighbour group at £0.27 per head or 18% higher than the group average. Cumbria's population is the lowest within the group and 28% below the group average.
- Analysis of structures and budgets identifies that Cumbria's costs are 2nd lowest within the group. Whilst some costs are fixed, it would be reasonable to expect that some costs should be variable and linked to population. Cumbria should be capable of operating at the lowest cost within the statistical neighbour group.
- Achieving this would mean finding ways to reduce the budget by a minimum of £50k. Further work will take place with North Wales whilst the 2015/16 budgets are developed to look at opportunities to further reduce costs.

Ruth Hunter

21st November 2014

Appendix Two

Policy on Reserves 2015/16

1. Introduction

1.1 It is a statutory requirement for Chief Finance Officers to have regard to the level of reserves estimated to be needed to meet future expenditure requirements when setting the budget. This policy sets out the planned approach to reserves including the purpose for which reserves are held and the planned movement in reserves over the medium term financial forecast.

2. The Purpose of Reserves

2.1 Reserves can be held for three main purposes. These are:

- a working balance to help cushion the impact of uneven cash flows and avoid unnecessary temporary borrowing – this forms part of general reserves
- a contingency to cushion the impact of unexpected events or emergencies – this also forms part of general reserves
- means of building up funds, often referred to as earmarked reserves, to meet known or predicted liabilities

2.2 The level of reserves should take into account the medium term financial plan and not be based solely on short term considerations. Set out below is a description of the reserves held by the Commissioner, the purpose for which they are held and a table setting out the planned movement in reserves from 2015/16 to 2018/19.

3.0 General Reserves

3.1 The level of balances or general reserve held by the Commissioner is £5.149m. The amount represents approximately 5% of the net recurrent budget (after specific grants & fees and charges) and is the main contingency for unexpected events, emergencies and the management of cash flow. The general reserve was specifically increased from 3% to 5% in the context of the risk of damping. The biggest risk the general reserve provides for is in respect of the funding settlements. There are no proposals to either increase or decrease the general reserve for the next financial year. Further

consideration will be given to the level of the general reserve from 2015/16 in the context of information on review of police funding formula.

4.0 Earmarked Reserves

4.1 Earmarked revenue reserves comprise the most substantial area of reserves. During 14/15 these are expected to reduce from £16.8m to £10.9m with a further reduction to £5.6m by 2015/16. Of this, the significant areas of reserve are:

- **Insurance Reserve:** This reserve is earmarked to offset insurance losses not covered by insurance policies. The amount of the reserve is set based on actuarially assessed known uninsured liabilities and the level of the insurance provision provided for within the budget.
- **Management of Change:** This reserve has been established to meet the one off costs arising from reductions in staffing estimated over the medium term budget. It is based on the savings programme and experience to date of costs of redundancy and early retirement.
- **Operational Reserves:** The Home Office Financial Management Code recommends that a level of operational reserve needs to be set to meet unplanned in year costs. The budget includes an operational reserve for the Chief Constable and for the Commissioner. The reserve for the Chief Constable has been increased for 2015/16 in response to the approach taken to zero basing revenue budgets. This approach has removed recurrent funding from budgets where the amount of that budget has historically been set to provide some level of capacity to manage a higher level of demand in areas where resource requirements are volatile. The funding capacity to meet volatility above an average baseline has been removed. The potential funding requirements have been assessed and allocated as a one off resource within the Chief Constable's reserves. The Chief Constable will have autonomy to draw down from the reserve for the purpose it has been created for, in year, should the reduced revenue budget require supplementary funding. The level of required reserve will be assessed annually and replenished where needed. This approach aims to create some recurrent level of savings whilst providing the ability to supplement revenue funds to meet those areas where volatility creates a financial strain. It will however result in a higher level of operational reserve being retained.

- **PFI Reserves:** Reserves were budgeted to meet future funding requirements in respect of the costs of the PFI building at Workington. A transfer between the reserve and the capital budget has been planned during 2015/16 for £500k to provide resources for funding a pre-emptive land acquisition in order to secure a suitable range of options for the estate strategy at the end of the PFI contract term. By 2016/17 it is anticipated that the balance of the reserve can be released to support management of change costs, based on the risk in respect of contract payment variations having been reduced.

- **Investment Fund:** The investment fund reserve will meet the cost of commissioned services in accordance with the Commissioning Strategy over the medium term financial plan. During 2014/15 the Constabulary mobile and digital ICT strategy that has been signed off with schemes formally being approved for inclusion within the Commissioner's capital programme as part of the 2015/16 budget process. The investment fund is drawn down between 2014/15 and 2016/17 to meet the Constabulary mobile and digital strategy and previously agreed commissioned services plans.

- **Flood Risk Management:** This is a one off reserve to meet estates costs for premises subject to flooding.

- **Public Holidays and Body Armour:** These are areas of cyclical revenue expenditure funded by making an annual contribution to reserves that are then drawn down as the costs fall due within the budget. The reserve serves to even the amount of budget contribution annually.

- **Miscellaneous:** Reserves have been set aside to meet the revenue costs of approved projects. These are typically capital schemes where the full cost of the project is unable to be capitalised and a specific revenue provision is created to meet the one off revenue costs at the time the scheme is approved.

4.2 Earmarked reserves will be subject to scrutiny on an annual basis to ensure that the purpose for which the reserves are held and the anticipated timing of the draw down from reserves continues to be in line with original estimates. Where any earmarked reserve is no longer required or the amount of the requirement is estimated to have reduced, the balance of funding will be transferred to the investment fund and planned for use in future year budgets.

4.0 Capital Reserves

4.1 Capital reserves are expected to reduce from £10.9m to £6.1m during 2014/15 with a further reduction of £2.73m during 2015/16. They are planned to be fully utilised by the end of 2018/19 budget (with the exception of £0.6m set aside for the hardware refresh of the countywide CCTV system). The reserves represent planned revenue contributions that have been set aside to meet the costs of approved capital schemes that will be delivered over multiple financial years. Capital schemes are only included within the capital programme on the basis of setting aside funding to meet the expenditure. Capital reserves will be maintained at a level to ensure a balanced capital budget for a minimum of the first four years of the medium term financial forecast.

5.0 Reserves and Damping

5.1 Damping funding is an element of the current formula funding for Police and Crime Commissioner's that is at risk of being removed as part of the review of funding expected to be announced in 2015/16. The amount of damping funding for Cumbria is estimated at £16m and is higher as a percentage of total funding for Cumbria than any other policing area. The current annual revenue budget makes no provision for the loss of any damping funding. The reason for this is that the amount of potential budget deficit created in any single financial year is so substantial that it would be unsound to implement the level of required expenditure cuts without being absolutely certain that those cuts were needed. The financial strategy to manage the risk from damping is to ensure the level of reserves can provide the short term financial support necessary to make structural changes to the budget and operations. This approach is also reliant on an assumption that any significant funding reduction would be phased.

5.2 Assuming that removal of the full £16m would be phased over 3 years and that the in-year savings profile enables delivery of 50% of the requirement, with the full requirement achieved in the following financial year, reserves of £8m would be needed to manage the short fall. Further one off funding would be needed to manage the costs of redundancy and early retirement. An application to central government to capitalise a proportion of those costs would be likely to be necessary. At the start of 2016/17, the first year that any change could be implemented, total reserves are forecast to be £14m. These are planned to reduce to £9m by the end of the financial year. This means that £9m would be available over 3 years to meet the £8m gap, with time to plan for the implications of longer term recurrent reductions and ceasing areas of expenditure that may not be viable without reserve spending. By 2017/18 there will be less capacity to manage change through

reserves and consideration would have to be given to whether any further resilience should be built back into recurrent revenue budgets.

6.0 Movement in Reserves

6.1 The table below sets out the planned movement in reserves over the life of the financial forecast and in accordance with this policy. Balances and reserves are planned to reduce from £32.8m at the start of 2014/15 to £8.0m by end of March 2019. This is attributable to the amount of reserves held for earmarked and capital purposes planned to be utilised over the course of the medium term budget.

Planned Movement in Reserves 2014/15 to 2018/19

Area of Reserve	Balance 01 April 2015 £000	Receipt £000	Payment £000	Balance 01 April 2016 £000	Receipt £000	Payment £000	Balance 01 April 2017 £000	Receipt £000	Payment £000	Balance 01 April 2018 £000	Receipt £000	Payment £000	Balance 01 April 2019 £000
General Reserve	5,149	0	0	5,149	0	0	5,149	0	0	5,149	0	0	5,149
Earmarked Reserves													
Insurance	581	0	0	581	0	0	581	0	0	581	0	0	581
Management of Change	2,236	0	(1,830)	406	1,060	(1,500)	(34)	545	(540)	(29)	0	0	(29)
Constabulary Operational	750	0	0	750	0	0	750	0	0	750	0	0	750
PCC Operational	250	0	0	250	0	0	250	0	0	250	0	0	250
PFI Lifecycle	1,873	0	(500)	1,373	0	(1,060)	313	0	0	313	0	0	313
Investment Fund	5,540	0	(3,178)	2,362	0	(2,059)	303	0	(303)	(0)	0	0	(0)
Flood Risk Management	33	0	(33)	0	0	0	0	0	0	0	0	0	0
Public Holidays	0	0	(150)	(150)	75	0	(75)	0	0	(75)	150	0	75
Body Armour	20	50	(29)	41	50	0	91	50	0	141	50	0	191
Pensions (LGPS Past Service)	(1,598)	799	0	(799)	799	0	(0)	0	0	(0)	0	0	(0)
Miscellaneous	1,241	0	(470)	771	0	(47)	724	0	(592)	132	0	0	132
Total Earmarked Reserves	10,926	849	(6,190)	5,585	1,984	(4,666)	2,903	595	(1,435)	2,063	200	0	2,263
Total Revenue Reserves	16,075	849	(6,190)	10,734	1,984	(4,666)	8,052	595	(1,435)	7,212	200	0	7,412
Capital Reserves	6,056	0	(2,721)	3,335	0	(2,310)	1,025	0	(425)	600	0	0	600
Total All Reserves	22,130	849	(8,911)	14,069	1,984	(6,976)	9,077	595	(1,860)	7,812	200	0	8,012

Cumbria Constabulary Report to Joint Audit and Standards Committee



TITLE OF REPORT:	HMIC Value for Money Constabulary Analysis
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DATE OF MEETING:	8th December 2014
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ORIGINATING OFFICER:	Jane Sauntson, Director of Corporate Improvement
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PART 1 or PART 2 PAPER:	PART 1 (OPEN)
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Executive Summary:

The purpose of this paper is to provide the Joint Audit and Standards Committee with an analysis of the HMIC 2014 Value for Money Profiles for Cumbria Constabulary.

The analysis covers the 2014 Value for Money Profiles published by Her Majesty's Inspector of Constabulary (HMIC) in November 2014. The profiles compare the forces within Cumbria's peer group (Most Similar Group (MSG)) and these are: Lincolnshire, Norfolk and North Wales. The aim of the profiles is to compare performance and the costs of achieving that performance.

The analysis looks at areas of service where Cumbria is identified as an outlier compared with its peer group - that is, either:

- providing better value for money or,
- value for money is performing less well and services are, or appear to be, more expensive based on the criteria used in the profiles

The analysis provides explanation and outcomes for identified service areas, and/documents where action has been and/or is being taken to address any issues.

Recommendations:

That the Audit and Standards Committee:

Notes the report and its findings.

MAIN SECTION

1. Introduction and Background

The profiles were published in November 2014.

The full analysis is attached to this paper.

2. Issues for Consideration

2.1 Drivers for Change

The profiles have been and will continue to be used as part of a toolkit that informs the programme of work to identify savings required. To date, £16 million savings have been delivered by the Constabulary and every areas of the business has been assessed.

The profiles support decision making in areas where cost has not traditionally been driven out – for example, roads policing – , as well as areas where we appear to be good value for money, for example, investigations.

2.2 Consultation processes conducted or which needs to be conducted

None required – change programme engages and consults with senior managers when determining the programme of work

2.3 Impact assessments and implications on services delivered

None required – individual reviews are always impact assessed

2.4 Timescales for decision required

Not applicable.

2.5 Internal or external communications required

None.

3. Financial Implications and Comments

None.

4. Legal Implications and Comments

None.

5. Risk Implications

The risk to the Constabulary is not to analyse and use the profiles to inform its decision making

6. HR / Equality Implications and Comments

None

7. ICT Implications and Comments




None.

8. Procurement Implications and Comments

None.

9. Supplementary Information

9.1 List any relevant documents and attach to report

Appendix 1	HMIC Value for Money Profiles (summary and Full Profiles)	 Adobe Acrobat Document  Adobe Acrobat Document
Appendix 2	HMIC Policing in Austerity Inspection Report for Cumbria	 Adobe Acrobat Document

9.2 List persons consulted during the preparation of report

Roger Marshall Chief Finance Officer Cumbria Constabulary

Cumbria Constabulary: 2014 Value for Money Profiles' Analysis

This analysis covers the 2014 Value for Money Profiles published by Her Majesty's Inspector of Constabulary (HMIC) in November 2014. The profiles compare the forces within Cumbria's peer group (Most Similar Group (MSG)) and these are: Lincolnshire, Norfolk and North Wales. The aim of the profiles is to compare performance and the costs of achieving that performance.

The analysis focuses particularly on areas of service where Cumbria is identified as an outlier compared with its peer group - that is, either:

- providing better value for money or,
- performing less well and services are, or appear to be, more expensive based on the criteria used in the profiles

The analysis seeks to provide explanation and outcomes for identified service areas, and/or specify where action is being taken to improve value for money.

Services identified as being significantly above the MSG average cost may be as a result of one or more of the following:

- a strategic decision by the Constabulary to invest in that area in order to deliver either specific performance benefits or provide reassurance through preventative policing strategies
- fixed costs, either operational or business costs, that cannot change
- the limited number of cost drivers used to explain differences in service costs in the peer group (cost per head of population or cost per full time equivalent(FTE))
- services that are more expensive and where there is scope to identify further efficiencies and provide better value for money for the taxpayer in Cumbria.

'The test of police efficiency is the absence of crime and disorder, not the visible evidence of police action in dealing with it.'

Robert Peel, 1829

Since 2006, Cumbria consistently has the second lowest level of crime in England and Wales

For a number of years Cumbria has pro-actively utilised the VFM Profiles as one of a number of analyses and tools to identify areas where there may be potential to make costs savings, which are then developed through the Constabulary's Change Programme.

It is also important to recognise that the VFM Profiles in themselves have limitations and that they require more detailed investigation before they can be safely used as basis for decision making. In particular the profiles focus on costs per head of population, which tends to show Cumbria as relatively expensive across all services due to its low population. In addition caution needs to be exercised in ensuring that costs and categorisations give a true comparison on a like for like basis.

The full profiles are attached in full at Appendix 1.

HMIC Inspection on Value for Money 2014

HMIC inspected Value for Money during 2014. The Constabulary has been assessed as follows:

Category 1- Assessed as **good** performing regarding taking steps to ensure a secure financial position in the short and long term.

Category 2- Assessed as **good** performing in providing policing in an affordable way.

Category 3- Assessed as **good** performing in being efficient.

The full inspection report is attached at Appendix 2.

Conclusions

General points

- Cumbria is a demographic outlier when comparing it to its MSG and this will continue to be the case, regardless of any VfM comparators. Cumbria's geography and topography is unique, which is evidenced by the fact that Cumbria only appears in the MSG group of two other forces; only one of which is in Cumbria's MSG group. There are fixed costs associated with this regardless of other comparisons.
- Cumbria is the smallest of the forces in the MSG group and has the lowest net revenue expenditure.
- Net revenue expenditure per head of population is 11% higher than the group average. When factoring in the transient population (for all forces in MSG), Cumbria performs well and cost per head of transient population is 1% lower than the group average.
- Other drivers of cost comparison do not reflect the actual determinants of police activity – for example deprivation and rurality, where Cumbria is more affected because it is more rural and has more deprivation compared to the other English forces in its group (note no comparable figures available for the Welsh force).
- Using other comparison factors, Cumbria performs well and is the least expensive in its MSG for cost per square mile and second lowest for cost per road mile.

Operational points

- To date Cumbria has endeavoured to protect frontline services as far as possible from the budget cuts imposed over the last four years.
- Cumbria appears to be expensive for police officers costing an additional £9.5 million per annum compared to the MSG average per head of population. This does not take into account:
 - the larger number of officers required to meet the demand arising from the county's geography, with more officers needed to cover the larger area (12% greater than its MSG average), regardless of the number of incidents or crimes, because a minimum number is required to deliver a safe 24/7 emergency response service and meet national targets.
 - fixed costs for specialist operational resources and commanding ranks required to meet statutory obligations for mutual aid and the Strategic Policing Requirement, which affect Cumbria disproportionately due to its small size (note that Cumbria operates with 21% fewer commanding ranks compared to its MSG, and these ranks are set to reduce further)

- current change plans are seeking to reduce officer numbers by circa 160 by 2017-18 , which will bring the force broadly into line with its peer group, although it is recognised that other forces are likely to downsize over the same period.
- Cumbria spends more on visible workforce in line with the Constabulary's stated policy about maintaining frontline policing (and the benefits this brings in terms of better outcomes for the public) and the demands of the county's geography, as previously outlined.
- There are two particular areas where Cumbria's operational policing costs are high per head of population namely Local & Roads policing.
- Local policing appears expensive – including neighbourhood and response policing– costing £5.1 million above the average of the MSG. However, still using population as a driver but comparing on a population basis including the transient population (for all forces), local policing costs are at the MSG average. The relatively high cost reflects, in part, a conscious policy to direct resources into local policing in line with the Constabulary's policing priorities. Nevertheless, as part of the programme of change to deliver savings, costs are set to reduce further as the review of Neighbourhood Policing Teams is implemented.
- In relation to roads policing Cumbria spends 2% more than the group average. Cumbria remains relatively expensive, even when factoring in:
 - transient population, or
 - changing the comparison factor to road miles (a fairer comparison), or
 - including the firearms response (because Cumbria's roads policing officers are also the first response to firearms incidents, which is not how other forces in the group are organised).
 -
- The additional cost is principally explained by the fact that Cumbria is the only force in the group with a motorway, which brings additional costs and operational requirements (specialist vehicles, specialist training etc).

The high cost of roads policing has been identified previously and work was undertaken in 2013 to review this area of the operational business, with the result that costs have reduced by £800,000 per annum. The reduction is not as yet reflected in the published profiles and, taking this into account, Cumbria would no longer be an outlier for roads policing, but would perform as well as its peer group.

It should also be noted that performance for Cumbria's performance is significantly better than its MSG average in reducing and maintaining lower levels of killed and seriously injured people on the county's roads. In 2013, there were 239 casualties – fewer in number and also when analysed by population, transient population and road miles.

- In relation to other policing services, Cumbria's costs are broadly equivalent per head of population compared with other MSG forces. However, Cumbria is currently reviewing a number of functions within the operational policing category which aim to reduce costs further – dealing with the public (Command and Control, Communications Centre) and criminal justice. Further operational areas have been identified for review from 2015/16 onwards as part of the plan to find savings of around £10 million.

- In relation to the operational workforce mix, Cumbria employs a greater percentage of officers and a lower proportion of PCSOs than the MSG average. PCSOs are considered a valuable resource for the Constabulary to support neighbourhood policing and provide visible reassurance for the public. Applying the MSG average would imply that the Constabulary could employ 40 more PCSOs than it presently does. However, the decision to operate with 95 PCSOs is based on the overall budget available to the Constabulary, coupled with the requirement to ensure that Cumbria has enough police officers – with their greater flexibility and police powers – to deploy to incidents, deal with crimes and to cover the geographic area to respond within the national target times for emergency and priority incidents. A review is currently underway to determine how many PCSOs are required, what role they should carry out and how they should be deployed.

Performance points

- Overall, Cumbria has the lowest number of crimes in the group and has consistently had the 2nd lowest level of recorded crime in the country (excluding City of London Police), since 2006. The profiles have compared performance over the period (2013 – 2014) with the peer group and they demonstrate that the Constabulary consistently achieves 2nd place in the group of 4 for recorded crime per 1000 population and detection rate, across most crime types.
- The crime category *Crimes against society* includes trafficking and possession of drugs, public order offences and possession of weapons. Although Cumbria's performance for this category is the lowest in the group (4 out of 4) this is because the Constabulary has a strategy to proactively manage these areas of business. This is positive because it means that more people are dealt with for drugs offences and, officers intervene earlier using public order offences with the result that the situations are contained and individual and public violence does not escalate.
- Whilst Cumbria's figures show reductions in recorded crime and detections over a four year period, these reductions are, in the main, not as great as the MSG average change. As previously stated, Cumbria has consistently lower levels of crime compared to its MSG and has performed well over the last decade. Reducing from a lower base (low levels of crime) is much harder than reducing from a higher base. In addition, preventative policing strategies cannot record how much crime or disorder is reduced by – the absence test needs to be applied.
- Cumbria continues to perform well for user satisfaction which is not included in the profiles.

Operational demand points

- The profiles generally show that Cumbrian officers have to deal with fewer crimes and this has been falling in line with declining crime levels in recent years. Cumbrian officers also achieve a better sanction detection and charge rate than their average counterpart in other forces.
- Average levels of workload – or productivity - per officer, only considers crimes, detections and charges which are lower than the average. However, these do not take into account:
 - that a significant part of officers' workload (60% of officers' time) is not crime related (note that the largest number of incidents (37%) is concerned with public safety which takes 30% of police officer time) and
 - the number of officers required to service the 24/7 response over the largest geographical area in the peer group, and

- the strategic policing principle in Cumbria - that preventing crime is less expensive than dealing with it and is better for our communities or,
 - factoring in the future reductions in visible officers.
- In addition, crime numbers alone do not reflect the actual work done by the police in Cumbria. Overall, whilst demand has reduced based on figures alone, the type of demand that is being managed and dealt with on a daily basis, is typically more complex to resolve, uses more resources and takes longer to deal with. This is not shown in any of the value for money profiles.

Support services points

- Cumbria has already reduced its back office functions by 37% since 2010, saving £5.9million, including £2.2 million from ICT revenue budgets.
- There is a core requirement for police staff regardless of force size – Cumbria must have a certain number of FTEs in any department and a certain number of departments in order to support and enable the provision of policing services across the county. This will produce a minimum number of staff to deliver core business - therefore, a force twice the size of Cumbria will not require twice as many staff because it will be able to achieve economies of scale. All small forces are always more expensive compared to larger ones and this is evident in the profiles as smaller forces are grouped together as expensive in comparison with all forces.
- As a result, support services in Cumbria generally are indicated as not performing well in providing for value for money and the main causes of this are ICT and Fleet.
- In relation to ICT there are a number of reasons for this :
 - Firstly the unique geography of Cumbria has significant cost implications for infrastructure:
 - wide area network (WAN) – the cost of secure ICT connectivity between police estate (security levels are determined by government to manage threat)
 - additional mobile masts to ensure radio communications coverage across the large geography and topography, compared to less mountainous areas
 - Secondly, the Constabulary has made a strategic commitment to the development of mobile and digital devices and software so that it can modernise the workforce, streamline and digitise processes and manage with fewer officers. This investment strategy is a key strategic objective to reduce operating costs over the medium to long term and enables the Constabulary to be sustainable into the future. This is reflected in temporarily higher ICT costs while the project is implemented.
 - Thirdly, fixed system costs.
- The Fleet is now managed via Strategic Vehicle Group, which has an operational lead and proactively manages costs and vehicles to support operational business. Previous reviews have revealed that again the county's geography and high road length is a significant cost driver for fleet in providing operating bases and ensuring that effective patrol strategies can be delivered

across the force's large area. Nevertheless, reviews have reduced the capital replacement costs and driven down revenue operating costs- saving £230,000.

- The other significant variance for Cumbria is the *Restructure, training and conferences* line. This is significantly over average costs for the group because it includes a one-off budget of £700,000 for management of change costs. This is, in fact, funded from reserves and not from annual revenue and is required to deliver the necessary reductions in staff operating costs to achieve the savings required by the government.
- Collaboration payments are low compared to MSG. This is largely due to lack of opportunity to save money through collaborative ventures because of the county's geographic isolation and the leanness of the Constabulary's back office, which often means that there are not savings to be realised. However, collaboration and outsourcing are always considered when developing options for change and there are some new initiatives being progressed currently.
- As expected, Cumbria is more expensive with regard to transport costs which is a reflection of the large geographical area that officers and staff cover. Nevertheless, £250k has been removed from this budget line following a review of grey fleet costs and robust budget management continues to drive down these costs year on year.
- Cumbria will be reducing its police staff workforce as part of its change plans supporting its financial four year forecast and areas of continuing high expenditure are included in those plans.
- Cumbria is performing well for value for money for most areas of workforce performance with the exception of short term sickness. This is being addressed by a new Attendance Management Policy which will support reductions through its stricter trigger points for moving into capability procedures. This was introduced during 2014 along with additional training for supervisors.

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Cumbria Constabulary: 2014 Value for Money Profiles' Analysis: Annexes

Annex 1: General points for comparison purposes

Cumbria in context

Cumbria is an outlier, even compared to its peer group, being unique in its geographic position, its topography and demography and the factors used to determine the MSGs. This can be evidenced by comparing the number of peer groups that forces are part of and how many others they are similar to:

Cumbria's MSG	Cumbria	Lincolnshire	Norfolk	North Wales
Is a force in these MSGs	Dyfed Powys Lincolnshire	Cumbria Dyfed Powys Norfolk North Yorkshire	Cumbria Devon & Cornwall Dyfed Powys Lincolnshire North Wales North Yorkshire Suffolk West Mercia Wiltshire	Cumbria Devon & Cornwall Lincolnshire Norfolk North Yorkshire Suffolk Warwickshire Wiltshire
Number of forces similar to	2	4	9	8

- Cumbria is in two other forces' MSG; this is the lowest number compared to its peer group and the lowest of all 42 forces. (Note that City of London is not included in the MSG lists).
- VfM profiles always work to averages and, even while all costs for all forces are reducing and, averages constantly reduce, Cumbria will always remain an outlier regardless for the reasons explained throughout this analysis.

Cost drivers used in the analysis

The HMIC Value for Money Profiles (the profiles) use either cost per head of population or cost per head establishment. There are a number of drivers for value for money comparison that should be considered, which are not taken into account in the profiles.

Population

It is appropriate that population is a significant driver of demand, including policing. The profiles use cost or number per head of population as the comparison factor, which means that Cumbria is disadvantaged because the population is the second lowest in the England and Wales and, is 29% lower than the MSG average. However, the profiles do not include transient population (i.e. resulting from tourists). Daytime net inflow for resident population is included in the Police Allocation Formula, although this also excludes tourists. Including tourists increases Cumbria's population by an average of 29%.

Cumbria's population has fallen by 2,000 since 2013. By contrast all other forces in the group have had a population increase. Latest predictions are that Cumbria's population will continue to fall and

this will provide significant challenges for all public services in the county in terms of funding and being able to provide cost-effective services.

Geography

Whilst geographical area by itself is not necessarily a driver for costs, population density (how many people live in an area) and sparsity (how those people are distributed across the area) are cost drivers. If the same population is scattered over a larger area, the costs of delivering a service should be greater as the service will require more resources. In addition, Cumbria has many lakes and mountains affecting accessibility, both physical and digital. Geography therefore results in increased fixed infrastructure costs for:

- wide area network (WAN) – the cost of secure ICT connectivity between police estate (security levels are determined by government to manage threat)
- additional mobile masts to ensure coverage across the large geography and topography, compared to flatter areas
- additional operating bases or fleet costs to ensure that patrol strategies can cover the larger area
- more officers to cover the larger area, regardless of the number of incidents or crimes, because a minimum number is required to deliver a 24/7 emergency response and meet national targets.

Sparsity as a factor is a driver in the Police Allocation Formula. All forces in Cumbria's peer group are predominantly rural forces, but Cumbria is considered more rural (no comparable figures available for Welsh forces):

Cumbria - 74% rural

Lincolnshire - 72% rural

Norfolk - 62% rural

Deprivation

Whilst deprivation does not cause crime, there is a correlation between areas of deprivation and areas of higher crime. Cumbria ranks higher on the indices of multiple deprivation (87 out of 149) compared with Norfolk (96) and Lincolnshire (95). No comparable figures were available for the Welsh forces.

Road miles

Population sparsity has a statistical relationship with road traffic accidents and this is accounted for in the Police Funding Allocation. Road miles and types of road are also drivers of cost.

Table 1: Value for Money Profiles 2014 General Comparison with MSG

	Cumbria	Lincolnshire	Norfolk	North Wales	Average	% variation to MSG average
Population (000)	498	724	870	692	696	-29%
Population incl. transient	642	746	941	773	776	-17%
Population expansion	29%	3%	8%	12%	13%	+16%
Geography (square miles)	2634	2286	2074	2383	2344	+12%
Road miles	5042	5540	6261	5799	5661	+16%
Net Revenue Expenditure (£m)	105.8	109.8	159	145.9	130	-17%

	Cumbria	Lincolnshire	Norfolk	North Wales	Average	% variation to MSG average
Cost per head population (£)	212.3	151.6	182.7	210.8	189	+11%
Cost per head population incl. transient (£)	164.8	147.2	169	188.7	167.4	-1%
Officers per head population	2.28	1.53	1.84	2.12	1.94	+17%
Officers per head population, incl. transient	1.8	1.5	1.7	1.9		+4%
Cost per square mile (£000)	40	48	77	61	57	-27%
Cost per road mile (£000)	21	20	25	25	23	-7%

Conclusions on the general points

- Cumbria has the lowest net revenue expenditure (NRE) and is 17% lower than the MSG average.
- The cost per head of population shows Cumbria as the most expensive compared to the group, being 11% higher than the average.
- However, Cumbria has a significantly larger number of day visitors compared to its base population – resulting in an increase of 29%, 16 percentage points above the average for the MSG. Factoring the increased population, Cumbria performs better being second lowest cost based on NRE per head of population and 1% lower than the average for the group.
- Cumbria has more officers per head of population when comparing resident population and resident plus transient population, although the difference from the average reduces from 17% to 4%.
- Overall, Cumbria is the least expensive for cost per square mile and second lowest for cost per road mile.

Annex 2: Analysis of workforce spend

How much we spend by workforce type

This section analyses how much Cumbria spends on the different types of workforce - that is, police officers, police staff and PCSOs – compared to the peer group. Overall, workforce spend for Cumbria is £81.4 million and is distributed as follows:-

Table 2: Value for Money Profiles 2014 Comparison of workforce spend £ per head population

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference £m value if at MSG average
Officers	116.4	78.2	89.2	105.3	97.3	20%	9.5
Staff	41.3	13.2	42	46.9	35.8	15%	2.7
PCSOs	5.7	5.6	9.2	11.3	8	-29%	-1.1
TOTAL	163.5	97	140.5	163.4	141.1	16%	11.2

Table 3: Comparison of workforce spend £ per head population, including transient population

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference £m value if at MSG average
Officers	90.34	76.01	82.47	77.36	81.54	11%	5.65
Staff	32.09	12.73	38.89	34.43	29.54	9%	1.64
PCSOs	4.36	5.36	8.50	8.40	6.66	-34%	-1.47
TOTAL	126.79	94.24	129.86	120.19	117.77	8%	5.81

- Cumbria appears to be 16% more expensive for its overall workforce costs compared to its peers (+20% for officers, +15% for staff and 29% less expensive for PCSOs).
- This reduces to 8% when taking into account the additional transient population served and does not account for the larger geographical area to be covered (12% greater than the MSG average), or the fact that only Cumbria within the peer group has a motorway within its force boundaries. These are discussed in more detail in later sections.

Police officers

Cumbria's police officer cost per head of population is £9.5 million higher than the MSG average. This is attributable to the higher number of officers per head of population rather than the cost per officer, as shown below (excluding overtime):

	Cumbria	MSG Average	MSG variation £m	MSG variation FTE
Officers per 1000 population	2.30	1.88	10.5	212
Officer cost per FTE (£000)*	49.6	50.5	-1.0	-20
Total variation			9.5	192

- Current 4 year plans are to reduce officer numbers by circa 190 by 2017/18 from the current position, which brings the force broadly into line with other MSG forces, as shown above.
- Having stated this, no consideration has been applied to operational fixed costs. These are the same for each force in Cumbria's MSG and they have a marginally greater impact in Cumbria - having to provide over the average level because the force has fewer officers in total, especially at senior ranks. The requirements are mandated, support interoperability and have the following impact:

Table 4: Value for Money Profiles 2014 Impact of national mutual aid requirements on the force

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average
% of officer workforce required	7.4%	7.7%	5.3%	5.7%	6.5%
% inspector ranks required	5.4%	4.4%	3.5%	4.4%	4.4%
% sergeant rank required	4.9%	4.8%	3.3%	3.8%	4.2%

These are skilled specialist police roles which have a greater cost because of abstractions required for training and additional kit and equipment. This contributes to the slightly higher cost per head of population when looking at dog section and public order costs (although neither are outliers).

- In addition, the senior ranks within the force are required to provide 24/7 command to manage critical and major incidents and to comply with national Codes of Practice (statutory). The Constabulary is required to have a number of senior officers (called a cadre) trained across a range of functions – for example, firearms, public order and senior investigating officers– and to specific skill levels – Gold and Silver - which equate to superintending and chief inspector ranks. These cadres have been and continue to be used regularly in Cumbria – for example major unexpected events, such as weather related incidents and major planned events, such as Appleby Fair.

Table 5: Value for Money Profiles 2014 Comparison of senior police ranks

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference £m value if at MSG average
ACPO	3	5	5	3	4	-25%	
Chief Superintendents	2	4	4	4	3.5	-43%	Gold
Superintendents	7	6	14	13	10	-30%	-33%
Chief inspectors	14	10	23	19	16.5	-15%	Silver
Inspectors	56	68	86	68	69.5	-19%	-23%
TOTAL	82	93	132	107	103.5	-21%	

- Table 5 clearly shows that Cumbria operates with significantly fewer senior police command ranks compared to its MSF – in total and across all ranks. This reflects the Constabulary's decision to focus on maintaining officers working in communities on the frontline and driving down management costs as far as practicable.

- The average cost of a police officer in Cumbria is £49,500 which is slightly below the national and MSG averages by £1,100 and £1,000 respectively.
- Cumbria spends £500,000 less on officer overtime compared to its MSG and the national spend – and is in the lowest 10% for this category. This is equivalent to 10 officers (based on the cost per FTE).

Police staff

- Police staff costs are 15% higher than the MSG average, equating to £2.7 million. However, this is due to the higher number of police staff per 1,000 population rather than a higher cost police staff as demonstrated below:

	Cumbria	Lincolnshire	Norfolk	North Wales
Police staff FTE	652	254	1,103	897
	Cumbria	MSG Average	MSG variation £m	MSG variation FTE
FTE per 1000 population	1.31	1.06	4.0	127
Staff cost per FTE (£000)*	31.6	34.6	-2.0	-63
Total variation			2.0	63

- Lincolnshire outsources the majority of its police staff (it transferred 575 police staff to an external supplier), which explains the significantly lower number of staff FTEs. This will also have an impact on the overall cost when comparing Cumbria with the MSG average. However, this is reflected in the difference in non-staff costs.
- If the Constabulary were to move to the MSG average, police staff would reduce by 19% to 525, offset by the lower cost per police staff which is the equivalent of 63 FTEs. The current 4 year scenarios are seeking to reduce police staff numbers by more than 63 by 2018/19, in line with the stated intention to maintain frontline officers in the first instance as far as practicable.
- There is a core requirement for police staff regardless of force size – Cumbria must have a certain number of FTEs in any department and a certain number of departments in order to support and enable the provision of policing services across the county. This will produce a minimum number of staff to deliver core business - therefore, a force twice the size of Cumbria will not require twice as many staff because it will be able to achieve economies of scale. Cumbria has already reduced its back office functions by 37% since 2010. In some areas, significant investment has been made to deliver specific strategic objectives – these are analysed in the later section.

PCSOs

- The Constabulary spends significantly less on PCSOs compared to its MSG. This is because, although the cost per PCSO is the same, Cumbria employs significantly fewer PCSOs:

	Cumbria	Lincolnshire	Norfolk	North Wales
PCSO FTE	95	149	261	261
	Cumbria	MSG Average	MSG variation £m	MSG variation FTE
FTE per 1000 population	0.19	0.27	-1.2	-40

Staff cost per FTE (£000)*	30	29.5	0	0
Total variation			-1.2	-40

- Applying the MSG average would imply that the Constabulary could employ 40 more PCSOs than it presently does. However, the decision to operate with 95 PCSOs is based on the overall budget available to the Constabulary, coupled with the requirement to ensure that Cumbria has enough police officers – with their greater flexibility and police powers – to deploy to incidents, deal with crimes and to cover the geographic area to respond within the national target times for emergency and priority incidents.

How much we spend by type of function

This section of the paper shows how the Constabulary distributes its workforce by the different categories.

Operational frontline is divided into:

- Visible frontline - neighbourhood policing, response and incident management, community engagement, roads policing, dogs, firearms response and events
- Non visible frontline - dealing with the public (call centres), custody (including police doctors, nurses and interpreters), advanced public order, intelligence gathering, major investigations, local investigations, scenes of crime officers, public protection, serious and organised crime, economic crime, vehicle recovery, casualty reduction partnerships, command teams.

Frontline support includes – criminal justice, criminal records bureau, ticket office, civil contingencies, forensics, coroner assistance, police national computer.

Business support includes – human resources, finance, legal services, fleet services, estates, ICT, professional standards, press and media, performance review, procurement, training, administration, force command, support to staff associations.

Table 6: Value for Money Profiles 2014 Distribution of spend by workforce type

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average	Difference £m value if at MSG average
<i>Visible workforce</i>	44.2%	36.2%	40.8%	40.3%	40.4%	3.7
<i>Non visible workforce</i>	24.8%	33.6%	29.5%	26.2%	28.5%	-3.6
Operational frontline	69.0%	69.9%	70.3%	66.4%	68.9%	0.1
Frontline support	9.2%	8.1%	7.9%	9.0%	8.5%	0.6
Business support	21.9%	22.0%	21.8%	24.7%	22.6%	-0.7
TOTAL	100%	100%	100%	100%	100%	

Note: figures are rounded

- Spend on operational frontline workforce is largely in line with the MSG average and slightly lower than the national average, which is 70.9%. As in the 2013 profiles, 2 forces have a higher proportion of their workforce in operational frontline roles.

- Cumbria has the highest visible workforce by nearly 4% over the MSG average, amounting to £3.7 million and, is the third highest nationally. This reflects the Constabulary's principle of maintaining the frontline to service the public and the demands of the county's geography, which means that more officers are required to deliver to a smaller population over a larger geographical area.
- Numerous studies have identified that police visibility can reduce crime and the fear of crime, however an exact figure cannot be identified. The demonstrable commitment of the Constabulary to visible policing is a contributing factor to the low levels of crime and antisocial behaviour in the county.
- Frontline support spend is higher than MSG average and criminal justice is an area being reviewed as part of the current Change Programme. The review's target savings equate to the £0.6 million value identified in the table if the Constabulary were to rebase to the MSG average point.
- Business support spend is lower than the MSG average (including Lincolnshire's outsourcing of police staff). As already stated, business support has reduced its cost base by 37% since 2010.

Annex 3: Analysis of non-staff costs

Non staff costs are an outlier (that is Cumbria is in the top 10% of forces) when compared to its MSG and nationally for per head of population. However, it has the lowest non staff spend in the group at £27.5 million (Lincolnshire - £43.8 million, Norfolk - £40.1 million and North Wales - £37.5 million)

Table 7: Value for Money Profiles 2014 Comparison of non-staff spend £ per head population

	Cumbria	Lincolnshire	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference £m value if at MSG average
Non staff costs	55.1	60.4	46.1	54.2	54	2%	0.6
Excl. Lincs	55.1	-	46.1	54.2	52	6%	1.8

- To avoid the inflationary impact of Lincolnshire outsourcing many police staff services, it has been removed from the calculation, resulting in Cumbria showing a 6% variation of cost against the average equating to £1.8million. The table below identifies the areas that are the cause of this variance:

Table 8: Value for Money Profiles 2014 Comparison of non-staff spend as a % of workforce costs

	Cumbria	Lincs	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference £m value if at MSG average
Supplies & services	12%	9.9%	12.8%	13%	11.9%	0.1%	0.1
Premises related exps.	4.8%	3.7%	6.4%	5.7%	5.2%	-0.4%	-0.3
Transport related exps.	3.5%	2.9%	2.8%	3.4%	3.1%	0.4%	0.3
Collaboration payments	1.4%	36.3%*	0.8%	1.8%	10.1%	-8.7%	-7.1
Restructure, training & conference	1.3%	0.5%	0.6%	0.6%	0.7%	0.6%	0.5
Other employee exps.	1.6%	2.3%	1.3%	3.1%	2.1%	-0.5%	-0.4
PCC outsource/commiss	5.7%	2.0%	0.8%	1.3%	2.5%	3.2%	2.7
Non staff costs	30.3%	57.6%*	25.5%	28.9%	35.6%	-5.3%	-4.3
Capital financing	3.4%	4.7%	7.3%	4.3%	4.9%	-1.5%	-1.2
Total incl. capital financing	33.7%	62.3%*	32.8%	33.1%	40.5%	-7.2%	-5.5

*Reflects Lincolnshire's outsourcing arrangement

- The PCC variance is part of a report from the Commissioner.
- The significant variance for Cumbria is the *Restructure, training and conferences* line. This is significantly over average costs for the group because it includes a one-off budget of £700,000 for management of change costs. This is, in fact, funded from reserves and not from annual revenue and is required to deliver the necessary reductions in staff operating costs to achieve the savings required by the government.

- Collaboration payments are low compared to MSG. This is largely due to lack of opportunity to save money through collaborative ventures because of the county's geographic isolation and the leanness of the Constabulary's back office, which often means that there are not savings to be realised. However, collaboration and outsourcing are always considered when developing options for change and there are some new initiatives being progressed.
- As expected, Cumbria is more expensive with regard to transport costs which is a reflection of the large geographical area that officers and staff cover.
- Cumbria's capital financing costs have reduced over the past two years and are now at £2.8 million, significantly lower - £2.15million - than its group average (Lincolnshire £3.3m, Norfolk £8.9m and North Wales £4.8m). This low level may limit the ability of Cumbria to reduce its capital financing costs in future years, especially in view of the fact that ICT is a key enabler for protecting services with fewer officers and staff.

Annex 4: Analysis of operational policing functions

This section analyses the cost and workforce numbers in each operational function. There are four functions considered as outliers - operational support (firearms) and roads policing, local policing (neighbourhood and response) and investigations. These are functions where comparative costs are high or low, based on the profiles as published. The tables below shows cost per head of resident population and cost per head of population including transient.

Table 9: Value for Money Profiles 2014 Comparison of operational functions, total spend (£m) and per head population (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m
Local policing	41.7	83.8	42.9	59.3	62	71.3	55	79.5	50.4	73.5	-17%	14%	5.1
Dealing with the public	5.5	11	5.6	7.7	8.3	9.6	8.7	12.6	7.0	10.2	-22%	8%	0.4
Criminal justice	6.8	13.7	7.5	10.3	12.8	14.7	9.9	14.3	9.3	13.3	-26%	3%	0.2
Roads policing	4.5	9	2.7	3.8	6.4	7.3	4	5.7	4.4	6.5	2%	40%	1.3
Operational support	2.8	5.7	3.5	4.9	3.1	3.6	5.6	8.1	3.8	5.6	-25%	2%	0.1
Intelligence	3.5	7	4.1	5.7	4.1	4.7	4.8	6.9	4.1	6.1	-15%	15%	0.5
Investigations	6.4	12.9	9.5	13.1	12.8	14.7	8.6	12.5	9.3	13.3	-31%	-3%	-0.2
Investigative support	2.6	5.2	2.6	3.6	3.1	3.6	4.4	6.3	3.2	4.7	-18%	11%	0.3
TOTAL	73.8	148.3	78.4	108.4	112.6	129.5	101	145.9	91.5	133.0	-19%	11%	7.6

Table 10: Value for Money Profiles 2014 Comparison of operational functions, total spend (£m) and per head population including transient (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m
Local policing	41.7	65.0	42.9	57.5	62	65.9	55	71.2	50.4	64.9	-17%	0%	0
Dealing with the public	5.5	8.6	5.6	7.5	8.3	8.8	8.7	11.3	7.0	9.0	-22%	-5%	-0.2
Criminal justice	6.8	10.6	7.5	10.1	12.8	13.6	9.9	12.8	9.3	11.8	-26%	-10%	-0.6
Roads policing	4.5	7.0	2.7	3.6	6.4	6.8	4	5.2	4.4	5.7	2%	24%	0.7
Operational support	2.8	4.4	3.5	4.7	3.1	3.3	5.6	7.2	3.8	4.9	-25%	-11%	-0.3
Intelligence	3.5	5.5	4.1	5.5	4.1	4.4	4.8	6.2	4.1	5.4	-15%	1%	0
Investigations	6.4	10.0	9.5	12.7	12.8	13.6	8.6	11.1	9.3	11.9	-31%	-16%	-0.9
Investigative support	2.6	4.0	2.6	3.5	3.1	3.3	4.4	5.7	3.2	4.1	-18%	-2%	0
TOTAL	73.8	115.0	78.4	105.1	112.6	119.7	101.0	130.7	91.5	117.6	-19%	-2%	-1.3

- Cumbria has the smallest budget for operational policing for all forces in its group, across all functions with the exception of Roads Policing where Cumbria spends 2% more than the average spend in the group.
- Based on the published profiles as shown in Table 9, which compare Cumbria per head of population costs with the MSG, Cumbria appears more expensive across all areas except for *Investigations* and is an outlier for *Roads policing*.
- However Table 10 above shows that, when applying the same formula to the population including transient (for the reasons outlined in the first section of this report) Cumbria is less expensive and performs well with regard to value for money, with the exception of *Roads policing*.
- Small changes resulting from the different forces' delivery of the budget reductions required, may result in changes from positive to negative over one year. As previously described, the lower costs per FTE in Cumbria will contribute to the overall lower expenditure in that area. Analysis by workforce number, shows minimal differences across operational functions except *Roads policing*, *Local policing* and *Investigations*.
- The Constabulary is currently reviewing a number of functions in the operational policing category which aims to reduce costs in the following areas: local policing (by restructure of Neighbourhood Policing Teams), dealing with the public (Command and Control, Communications Centre), and criminal justice. Future plans include all the other operational areas outlined above.

The next section of this analysis will focus on the outlier of *Roads policing* and also provides information and explanation about the higher costs for *Local policing* and the lower costs for *Investigations*.

Roads Policing

This section examines the main outlier as identified in the published profiles. Further detail in the profile shows that the outliers it is the traffic unit function that is the outlier (significantly higher cost).

Cumbria is unique in that its immediate firearms response (Armed Response Vehicle, ARV) is part of its Roads Policing Unit (RPU) and officers who work in that unit are highly trained professionals in both firearms and traffic skills and tactics – effectively *double hatting* to deliver value for money. When comparing with its similar group, therefore, it is important to take into account both aspects. Firearms is part of the *Operational support* function and this is shown as being an outlier for significantly lower cost. The result of looking at these together is shown overleaf in Table 11.

Both functions are core police responsibilities and mandated in Codes of Practice and part of the force's interoperability requirements under the SPR. Cumbria spends £5.5 million on both together, which is 12% less than the MSG average spend and second lowest in the group.

Table 11: Value for Money Profiles 2014 Comparison of traffic and firearms units, total spend (£m) and per head population (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m
Road policing	4.5	9	2.7	3.8	6.4	7.3	4	5.7	4.4	6.5	2%	38%	1.3
Operational support	2.8	5.7	3.5	4.9	3.1	3.6	5.6	8.1	3.8	5.6	-25%	2%	0.1
TOTAL	7.3	14.7	6.2	8.7	9.5	10.9	9.6	13.8	8.15	12.1	-10%	21%	1.4

- When comparing productivity, the functions are resourced by 145 officers and 26 staff, which is equal 2nd in the group but which is 45 more officers and 7 more police staff on a population basis than the MSG average.
- However, given the function, population as the basis for comparison may not be the best factor – it does not reflect geography or road miles. Road miles and types of road are also drivers of cost:

	Cumbria	Lincolnshire	Norfolk	North Wales	Average	%variation on MSG average
Motorway	67	0	0	0	17	300%
A roads	626	689	577	902	698	-10%
Minor roads	4349	4851	5684	4898	4946	-12%
Total road miles	5042	5540	6261	5799	5661	-11%

- Although Cumbria has 11% fewer road miles compared to the MSG average and has the lowest number of road miles overall, it is the only force with motorway, which brings additional risks and costs:
 - The motorway is the M6, which is the main transport corridor used by criminals (drugs, illegal weapons and other contraband), especially between major centres of population of Merseyside and Glasgow
 - The motorway requires specialised policing – for example, vehicles with specialist equipment that can travel at greater speeds and specialist training for safe pursuit amongst others- which brings additional cost.
 - The topography will also impact on costs – being hazardous and subject to extreme weather conditions.

Table 12: Comparison of roads policing, total spend (£m) and road miles (£r)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£r	£m	£r	£m	£r	£m	£r	£m	£r	£m	£r	£m
Road policing	4.5	893	2.7	487	6.4	1022	4	690	4.4	773	2%	15%	0.6
Operational support	2.8	555	3.5	632	3.1	495	5.6	966	3.8	662	-25%	-16%	-0.1
TOTAL	7.3	1448	6.2	1119	9.5	1517	9.6	1655	8.15	1435	-10%	1%	0.5

- If the Constabulary were to provide separate units for roads and ARV, the combined costs would be greater than the current level because – more officers would be required, more specialised training would be required and more vehicles would be required.
- The costs associated with motorway are not factored into the comparison and, given the dual role provided by the function, delivering firearms immediate response and roads policing combined is the most cost efficient and effective way of providing these specialist policing services, therefore providing best value for money.
- The profiles do not take into account the reduction in officers and cost identified in the Roads Policing review implemented in early 2014, which reduces the cost base by 6 sergeants and 13 officers and saves £800,000 per annum.
- Cumbria's performance is significantly better than its MSG average in reducing and maintaining lower levels of killed and seriously injured people on the county's roads. In 2013, there were 239 casualties – fewer in number and also when analysed by population, transient population and road miles.

Local policing

Cumbria has the lowest spend on local policing in the group (17% less) and services the largest geographical area (2,634 square miles). Cumbria is 12% larger than the MSG average and polices the county area with 18% fewer police officer, PCSO and police staff resources.

Local policing excluding local investigation is an outlier, largely due to neighbourhood policing and response/incident management, which are different areas within local policing, as shown in the tables 13 and 14 overleaf.

Table 13: Value for Money Profiles 2014 Comparison of local policing, total spend (£m) and per head population (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average	Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h
Neighbourhood policing	26.9	54.1	7.8	10.8	20.4	23.4	13	18.8	17.0	26.8	58%	102%
Incident (response manage)	7.7	15.4	22.3	30.8	25	28.8	30.6	44.2	21.4	29.8	-64%	-48%
Local investigation*	4.7	9.5	10.6	14.7	10.4	12	7.3	10.5	8.3	11.7	-43%	-19%
Community liaison	1.1	2.3	1.2	1.7	5.1	5.9	2.9	4.2	2.6	3.5	-57%	-35%
Command team/support	1.3	2.5	0.9	1.3	1	1.2	1.2	1.8	1.1	1.7	18%	47%
TOTAL	41.7	83.8	42.9	59.3	62	71.3	55	79.5	50.4	73.5	-17%	14%

*includes prisoner processing, known as Custody Investigation Teams (CITs) in Cumbria, and local CID.

Table 14: Value for Money Profiles 2014 Comparison of local policing, total spend (£m) and per head population including transient (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average	Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h
Neighbourhood policing	26.9	41.9	7.8	10.5	20.4	21.7	13	16.8	17.0	22.7	58%	84%
Incident (response manage)	7.7	12.0	22.3	29.9	25	26.6	30.6	39.6	21.4	27.0	-64%	-56%
Local investigation*	4.7	7.3	10.6	14.2	10.4	11.1	7.3	9.4	8.3	10.5	-43%	-30%
Community liaison	1.1	1.7	1.2	1.6	5.1	5.4	2.9	3.8	2.6	3.1	-57%	-45%
Command team/support	1.3	2.0	0.9	1.2	1	1.1	1.2	1.6	1.1	1.5	18%	39%
TOTAL	41.7	65.0	42.9	57.5	62	65.9	55	71.2	50.4	64.9	-17%	0%

- Within the category, Cumbria spends £26.9 million on neighbourhood policing and £7.7 million on incident/response management. Based on per head of population, both figures are outliers as can be seen in table 13 above - £13.6 million more (102%) is spent on neighbourhood policing and £7.2 million less (48%) on incident/response. However, these two figures need to be combined to mitigate against the different ways that forces categorise officers and provide both services. In Cumbria, for example, we have hybrid officers whose roles include community and response (and also engagement and community liaison), so exact comparisons are not necessarily meaningful. This would result in an overall additional spend for neighbourhood and response of £2.1 million in Cumbria.

- Based on the comparators used in the profiles (£ per head population), Cumbria spends £5.1 million more than the MSG average on local policing. When comparing police officers within the function, Cumbria has the second lowest number of officers at 773 FTE, which is 10% lower than the MSG average number of 863.
- Overall, when taking into account transient population (Table 14), the analysis shows that Cumbria is comparable to its group overall for the function of local policing.
- Using the transient population as a driver, neighbourhood and response policing combined are still above average spend based on per head population (28%, £2.1m). This equates to an additional 44 officers in these functions. Nevertheless, current plans seek to reduce the number of officers in these functions further by 136 officers to achieve the savings required.
- The Constabulary has made a strategic decision to focus on community policing as the bedrock for providing the best policing service – keeping Cumbria safe by preventing crime and antisocial behaviour is significantly less expensive than dealing with it. Cumbria has some unique policing features compared to other forces – especially officers and staff living in the communities they serve and this is reflected in performance. This is evident in the level of visible resources in the county– 69.2% (793 officers) in visible frontline roles compared to its MSG average 64.6%.
- The Constabulary has a lower demand compared to its MSG:
 - 30.3 crimes per visible officer (783) compared to the MSG average of 41.6
 - 10.5 detections per visible officer compared to the MSG average of 12.9
 - 7.3 charges per visible officer compared to the MSG average of 8.6

However, the profiles take no account of how much time is spent in prevention activities and so these productivity figures do not provide the full picture. Further analysis of demand can be found in the relevant Annex.
- Overall, a minimum number of police officers is required to deliver 24/7 policing services and maintain the ability to respond to calls for service across the county, regardless of other factors. This is the number that the Constabulary is working towards in order to deliver the savings required.

Neighbourhood Policing

Research has found that confidence in the police acting fairly and being engaged with local communities is linked with increased police legitimacy. Perceptions of legitimacy, in turn, have been shown to increase the chances of people cooperating in obeying the law – thus keeping communities safer and protecting vulnerable people.

Systematic reviews of the research evidence shows what works and what doesn't.

What works?

- Problem solving (crime, antisocial behaviour and fear)
- Targeted visible patrols
- Effective engagement to understand and deal with local concerns

What doesn't work?

- Community policing without a focus on problem solving or crime reduction
- Increased officer numbers regardless of activities

- Success is considered to be the absence of crime and disorder and in this respect, Cumbria performs well having, the second lowest levels of crime and disorder nationally.

Investigations

Overall, the function of investigations is not an outlier, but when comparing with MSG averages, the functions of major investigations unit (FMIT in Cumbria), serious and organised crime unit and economic crime are all significantly different.

Table 15: Value for Money Profiles 2014 Comparison of investigations, total spend (£m) and per head population (£h)

	Cumbria		Lincs		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m
Public protection	3.1	6.2	4.7	6.5	6.5	7.5	5.1	7.3	4.9	6.9	-36%	-10%	-0.3
Major investigations	0.2	0.5	2.3	3.2	2.5	2.8	1.5	2.2	1.6	2.2	-88%	-77%	-0.8
Serious & organised crime	2.7	5.4	1.7	2.3	3	3.4	1.2	1.8	2.2	3.2	26%	67%	1.1
Economic crime	0	0	0.4	0.5	0.7	0.8	0.4	0.5	0.4	0.5	-100%	-100%	-0.2
Specialist investigations	0	0	0.2	0.3	0	0	0.1	0.1	0.1	0.1	-100%	-100%	0.0
Command team/support	0.4	0.8	0.3	0.4	0.1	0.1	0.4	0.6	0.3	0.5	33%	68%	0.2
TOTAL	6.4	12.9	9.5	13.1	12.8	14.7	8.6	12.5	9.3	13.3	-31%	-3%	-0.2

- Cumbria is the lowest spending force in this category at £6.4 million, 31% less than the MSG average. There are 99 officers and 24 staff.
- 48% of the Constabulary's spend is in public protection and this addresses the area of risk in the county. 42% of the spend is on serious and organised crime and this reflects the work carried out in tackling drugs in the county and in Cumbria, this also includes economic crime and specialist investigations, which are separate units in other forces.
- There are very few major investigations compared to other forces as the county has low levels of this type of crime (homicide) which does not warrant dedicated officers. Should the need arise, experienced detectives from other areas are used. This is a cost efficient way of providing this specialised function.

Annex 5: Analysis of support functions

This section analyses the cost and workforce numbers in the support functions. There are two functions considered as outliers based on population – ICT and Fleet – and two functions identified as higher cost per FTE served - finance and ICT.

It should be noted that the back office has already driven out savings and reduced by 37% based on 2010 budgets.

Lincolnshire has been excluded from the calculations because of its significant outsourcing of police staff, which, if included would reduce the average costs and distort the comparison.

Support functions, especially HR, finance, training and estates, are best compared using FTE being served as they are driven by the size of the workforce (Table 17). ICT and fleet are driven by the size of the workforce and the geography of the county (Table 16).

Table 16: Value for Money Profiles 2014 Comparison of support functions, total spend (£m) and per head population (£h)

	Cumbria		Norfolk		North Wales		MSG Average		%variation on MSG average		Difference £m value if at MSG average
	£m	£h	£m	£h	£m	£h	£m	£h	£m	£h	£m
Support functions	22.6	45.3	34	39	35	50.6	30.5	45.0	-26%	1%	0.2
ICT	6.6	13.3	7.6	8.8	8.8	12.7	7.7	11.6	-14%	15%	0.8
Fleet	2.8	5.7	2	2.3	3.9	5.6	2.9	4.5	-3%	26%	0.6

- Cumbria sends £22.6 million on support functions, which is the lowest of the group but its costs per head of population are 1% higher overall; 15% higher for ICT and 26% higher for fleet.
- This reflects the unique geography of Cumbria which has significant cost implications for infrastructure as previously described:
 - wide area network (WAN) – the cost of secure ICT connectivity between police estate (security levels are determined by government to manage threat)
 - additional mobile masts to ensure coverage across the large geography and topography, compared to flatter areas
 - additional operating bases or fleet costs to ensure that patrol strategies can cover the larger area
- In addition, the Constabulary has made a strategic commitment to the development of mobile and digital devices and software so that it can modernise the workforce, streamline processes and manage with fewer officers. This investment strategy is a key strategic objective to reduce

operating costs over the medium to long term and enables the Constabulary to be sustainable into the future. This is reflected in the higher ICT costs.

Table 17: Value for Money Profiles 2014 Comparison of support functions, total spend (£m) and per FTE served (£fte)

	Cumbria		Norfolk		North Wales		MSG Average		%variation on MSG average	Difference £ value if at MSG average	
	£m	£fte	£m	£fte	£m	£fte	£m	£fte	£m	£fte	£000
Human resources	1.1	586	2.4	805	2	757	1.8	716	-40%	-18%	-34
Finance	0.9	492	1.4	468	1	373	1.1	444	-18%	11%	12
ICT	6.6	3470	7.6	2585	8.8	3370	7.7	3141	-14%	10%	85
Training	1.7	914	2.7	924	3.2	1244	2.5	1027	-33%	-11%	-29
Estates	4.2	2211	8.7	2947	7.6	2905	6.8	2687	-39%	-18%	-123

- When comparing with MSG by FTE served, human resources, training and estates are all lower cost compared to the revised MSG average, being 18%, 11% and 18% lower respectively.
- Finance and ICT support functions are higher to the value of £97,000 compared to the average MSG cost.
- Average cost of a police staff post is 5% lower than the revised group average and Cumbria has 22% fewer police officers working in support functions compared to the MSG average.

Annex 6: Analysis of workforce performance

This section analyses the performance of the workforce with regard to attendance, turnover and length of service. It compares Cumbria to the average of all forces.

Table 18: Value for Money Profiles 2014 Comparison of workforce performance, % workforce and full time equivalent (fte)

	Cumbria		Lincs		Norfolk		North Wales		All force average	%variation on all force average
	%	fte	%	fte	%	fte	%	fte	%	%
Leavers officers	6.5	73	5.3	60	4.6	71	5.6	83	4.8	1.7
Leavers - staff	9.8	63	14.7	37	8.3	82	3.1	27	9.5	0.3
Leavers – PCSOs*	24.7	19	13.1	20	13.9	35	1.1	3	13	11.7
Police officer joiners	9.8	110	2.7	31	7.7	119	4.4	65	3.6	6.2
Police staff joiners	33.7	26	14.9	37	11.6	115	4.7	41	8.3	25.4
PCSO joiners	7.8	51	9.8	15	15.2	38	7.3	19	10.7	-2.9

Long term sickness	% of total	% of total	% of total	% of total	% of total	-
Police officer	1.3	2.7	0.9	0.7	1.6	-0.3
Police staff	0.9	6.4	0.4	1.4	1.6	-0.7
PCSO	n/a	n/a	0.7	n/a	1.4	-

Short term sickness

Police officer	3	1.7	1.9	1.3	2.2	0.8
Police staff	3.4	0.8	3.6	1.6	1.9	1.5
PCSO	2.4	n/a	3.2	2.2	2.2	0.2

Officer recuperative duties	4.3	0.5	1.4	2.3	2.7	1.6
Officer restricted duties	2.7	3.5	5.9	1.2	3.5	-0.8

*PCSOs often leave to become police officers

- Workforce mix – Cumbria currently has 5% more police staff working than the national average, and this level is higher than North Wales, Norfolk and Lincolnshire.
- A significant recruitment campaign for police officers was undertaken from 2013 onwards to ensure full establishment – this accounts for the increase in officers (110 FTE).
- The majority of restricted and recuperative officers are working in frontline roles. Cumbria has a higher percentage of recuperative duties compared to the national average – this may be because 30% of the officer workforce is older and has over 20 years' service, higher than the

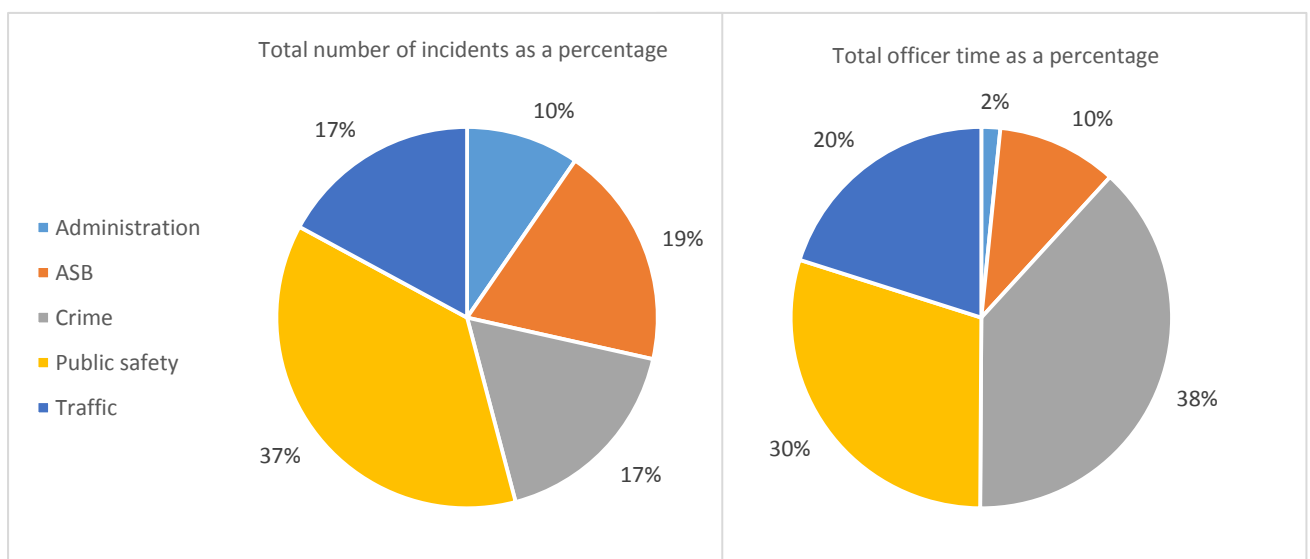
national average. The Constabulary has fewer restricted duties officers as a percentage of its workforce compared to the national average.

- Cumbria performs well for long term sickness absence, but has higher short term sickness levels across all workforce types compared to the national average. This is being addressed by a new Attendance Management Policy which will support reductions through its stricter trigger points for moving into capability procedures. This was introduced during 2014 along with additional training for supervisors.

Annex 7: Analysis of demand

The profiles identify the following:

- Cumbria has 8% more emergency calls for service (999s) per head of population compared to the MSG average, and the cost per call is 16% higher than the average at £112 per call. The number of calls taken per FTE is 15% lower than the MSG average. The Communications Centre is being reviewed as part of the Command and Control project and there are significant savings targets that will be achieved.
- The Constabulary has more emergency and priority incidents per head of population - 25% more- compared its peer group which equates to an additional 15,000 incidents to manage. Although incidents have fallen overall by 5% since 2013, crime incidents have increased by 9% in that time. Dealing with crime incidents takes 38% of officers' time.
- The greatest proportion of incidents as identified in the profiles are classified as other incidents. These are predominantly those classed as public safety – including looking for missing persons (adults and children), dealing with sudden deaths, concern for safety and mental health issues, domestic incidents (where there is no crime) - and overall, takes a third of officers' time. Cumbria has 18% more of these types of priority incidents compared to MSG average and these have increased by 14% over the past 5 years.
- Recent work undertaken by the Constabulary regarding its demand identified a significant amount of other demand. Examples of this include:
 - 33,000 calls for service directly to police officers, equating to an additional 9% over the demand into the Communications Centre
 - Engagement requirements (such as attending parish councils, local priority setting and accountability meetings)
 - Events attended around the county (some for reasons of community safety, a small number of which can be charged for)
- Results of the Constabulary's project identified the following differences in the number of incidents and the resourcing required for those incident types, as shown below:



- As can be seen the amount of time taken to deal with each type of incident has a considerable impact on the level of resourcing each type of incident requires. Administration is nearly 10% of total demand, but accounts for less than 1% of the resourcing activity. Antisocial behaviour (ASB) is almost 19% of the total demand, however uses only 10% of resources. Traffic has a proportionate amount of time to demand. Public safety is 37% of total demand in relation to numbers of incidents, and has the second biggest resource impact, at almost 30% of officer time. Crime is 17.4% of total incidents, and represents 38.3% of officer time.
- As previously stated, the demand per officer /visible officer is quantified in the profiles as shown below:

Table 19: Value for Money Profiles 2014 Comparison of demand per visible officer (793fte)

	Cumbria	Lincs	Norfolk	North Wales	MSG Average	%variation on MSG average	Difference to MSG average
Recorded crimes	30.3	56.7	39	40.4	41.6	-27%	-11.3
Detections	10.5	14.9	14.3	12	12.9	-19%	-2.4
Charges	7.3	9.8	8.7	8.4	8.6	-15%	-1.2

- The figures for Cumbria are below the MSG average.
- However, these do not take into account the number of officers required to service the 24/7 response over the largest geographical area in the peer group, and that a significant part of officers' workload (60% of officers' time) is not crime related and the principle worked to in Cumbria - that preventing crime is less expensive than dealing with it and is better for our communities.
- In addition, factoring in the future reductions in visible officers and assuming crime levels remain the same, has the following impact per officer: an increase of 37.7 crimes recorded, 13.1 an detections and 9.2 charges. This reduces the average and Cumbria's variation on the average (and results in the number of charges per officer being greater than the average by 2%). However, this measure does not take into account that preventing crime and harm is cheaper than dealing with it and penalises the service for having low levels of crime.
- In the last five years, since 2008/9, Cumbria's statistics show the following changes in demand:

Fall in calls for service	25%
Fall in incidents	16%
Fall in crimes	25%
Fall in arrests	28%
Fall in antisocial behaviour incidents	36%
Increase in alcohol related crime	31%
Increase in stop searches	31%
Increase in domestic violence	23%

Increase in repeat victims of domestic violence 39%

- Overall, whilst demand has reduced based on figures alone, the type of demand that is being managed and dealt with on a daily basis, is the more complex to resolve, uses more resources and takes longer to deal with. This is not shown in any of the value for money profiles.

Annex 8: Analysis of performance

A summary of the Constabulary's performance as outlined in the profiles is shown in Table 20 below:

Table 20: Value for Money Profiles 2014 Comparison of crime performance (per 1000 population unless otherwise stated)

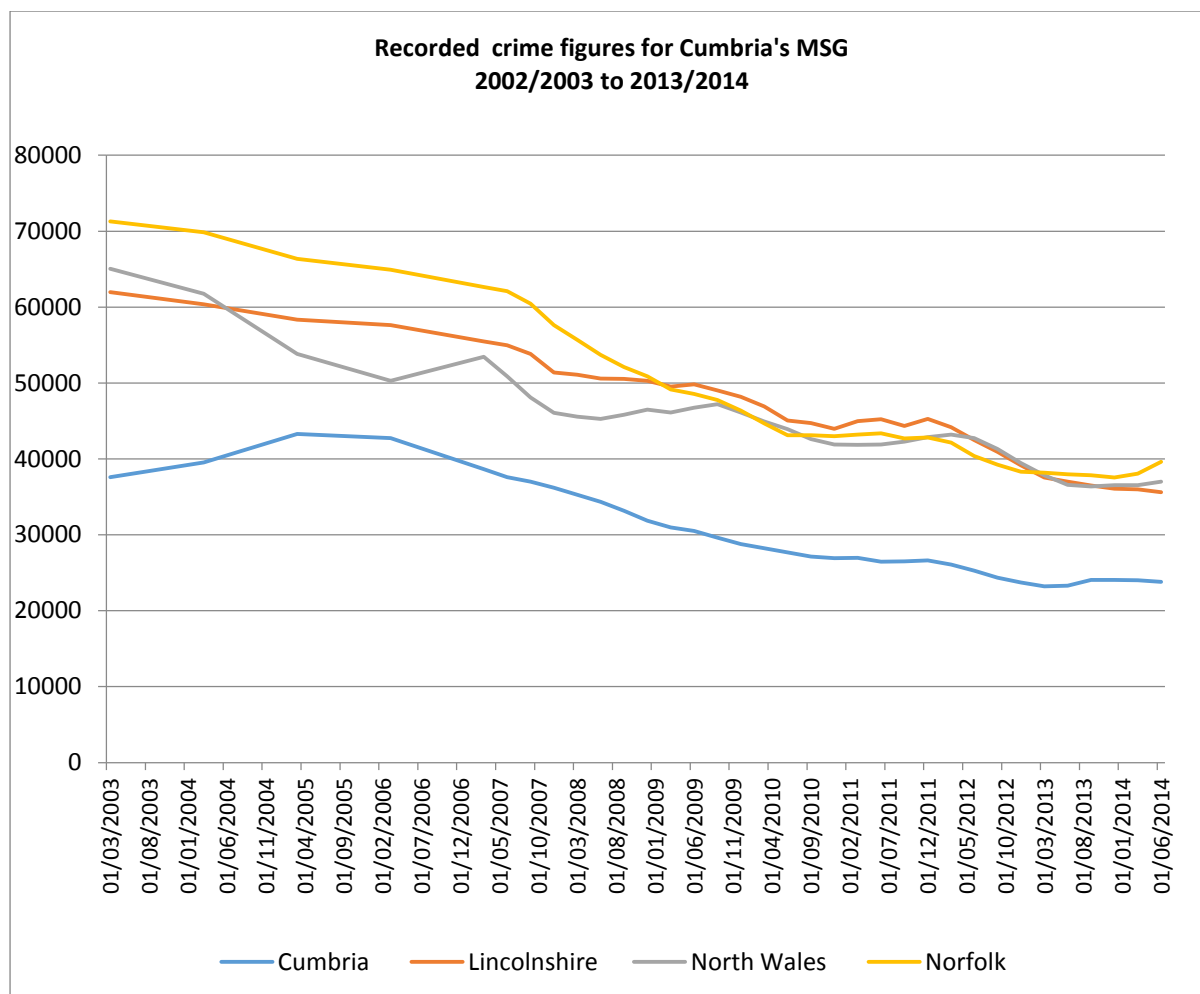
	Number	Cumbria	MSG Average	%variation on MSG average	Difference to MSG average*	Cumbria's MSG position	Cumbria's change over 4 years	MSG average change over 4 years
All recorded crimes	23,988	48.2	48.6	-1%	-1%	2	-10.0%	-13.0%
- Victim based	20,828	41.8	42.8	-2%	-2%	2	-7.0%	-13.0%
- Against society	3,170	6.4	5.8	10%	9%	4	-21.0%	-11.0%
% detected	8,306	35%	32%	3%		2	-5.3%	-1.3%
- Victim based	5,805	28%	28%	0%		2	-3.5%	-0.8%
- Against society	2,501	79%	79%	0%		3	-10.1%	-7.8%
Victim based recorded crime								
Violence against person	5,263	10.6	10.1	5%	5%	2	9.0%	1.0%
Sexual offences	424	0.9	1.1	-18%	-24%	1	10.0%	18.0%
Robbery	67	0.1	0.2	-50%	-42%	1	0.0%	-17.0%
Theft offences	9,844	19.8	22.6	-12%	-14%	1	-5.0%	-11.0%
Criminal damage & arson	5,230	10.5	8.9	18%	15%	4	-24.0%	-30.0%
% Victim based detections								
Violence against person	2,252	43%	39%	4%		1	-15.3%	-6.6%
Sexual offences	116	27%	28%	-1%		3	-5.5%	-2.7%
Robbery	44	66%	46%	20%		1	0.0%	9.0%
Theft offences	2,541	26%	23%	3%		2	-2.9%	-0.6%
Criminal damage & arson	852	16%	15%	1%		2	0.1%	-0.5%
All offences – charged and cautioned								
Charges	5,823	24%	21%	3%		1		
Cautions	1,685	7%	6%	1%		2		

*This is the net difference compared to if the force had the MSG average per 1,000 population. A negative difference means that Cumbria has a lower rate than average.

- Overall, Cumbria has the lowest number of crimes in the group and has consistently had the 2nd lowest level of recorded crime in the country (excluding City of London Police), since 2006:

Year	National ranking for recorded crime
2002/2003	2nd
2003/2004	2nd
2004/2005	4th
2005/2006	3rd
2006/2007	2nd
2007/2008	2nd
2008/2009	2nd
2009/2010	2nd
2010/2011	2nd
2011/2012	2nd
2012/2013	2nd
2013/2014	2nd

- The profiles have compared performance over the period with the peer group and they demonstrate that the Constabulary consistently achieves 2nd place in the group of 4 for recorded crime per 1000 population and detection rate, across most crime types.
- Performance for sex offences robbery and theft are the highest in the group for recorded crime and, violence against the person and detections for detections.
- The Constabulary has the best performing charging rate in the group.
- The crime category *Crimes against society* includes trafficking and possession of drugs, public order offences and possession of weapons. Although Cumbria's performance for this category is the lowest in the group (4 out of 4) this is because the Constabulary has a strategy to proactively manage these areas of business. This is positive because it means that more people are dealt with for drugs offences and, early intervention by officers using public order offences means that the situations are contained and individual and public violence does not escalate.
- Although Cumbria has more violence against the person recorded crimes per 1000 population compared to its peers, the greater percentage is violence without injury (41% compared to MSG average of 41%).
- Criminal damage is significantly higher than the MSG average – criminal damage and antisocial behaviour are more likely to be reported to the police in areas of lower and less serious crime, as the threshold test regarding quality of life issues is lower for these areas.



- Whilst Cumbria 's figures show reductions in recorded crime and detections over a four year period, these reductions are, in the main, not as great as the MSG average change. The graph above shows Cumbria has consistently lower levels of crime compared to its MSG and has performed well over the last decade. Reducing from a lower base is much harder than reducing from a higher base. In addition, preventative policing strategies cannot record how much crime or disorder is reduced by – the absence test needs to be applied.
- Cumbria continues to perform well for user satisfaction which is not included in the profiles.

HMIC Summary Value for Money Profile 2014



Cumbria Constabulary

compared with:

North Wales, Norfolk, Lincolnshire and Cumbria.

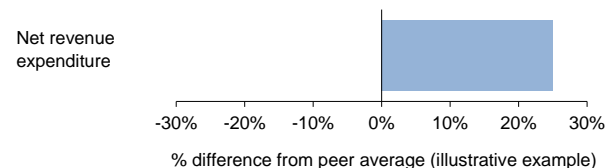
Comparisons are one of the most powerful ways of making data about the police service transparent. They expose important differences between forces and enable those without specialist knowledge of policing to find answers to questions and understand how the service provides value for public money.

HMIC's Value for Money (VfM) profiles provide comparative data on a wide range of policing activities. Rather than showing all of the details, this summary profile is designed to show you how this force differs from other similar forces. Does it spend more or less than the average? How differently does it invest its resources? Does it face greater or fewer demands? How does the crime rate differ from those in comparable force areas?

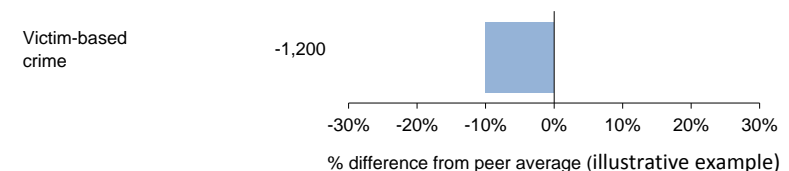
From these starting points, the full profiles allow you to investigate further those differences identified by this summary and we encourage readers to probe further in areas of data where the information prompts particular questions. However, the full profiles also raise additional questions. Why are some forces spending over four times more per head of population on criminal justice than others? Why does one force have a noticeably greater number of officers working in administrative support, compared to similar forces?

How to use this summary

Bar charts show the percentage difference between your force's income, expenditure, demand etc. (known as the value), and the average for those forces which are most similar to it (known as its peers). The figures to the left or right of the bars are not the values themselves; rather they show the net 'cost' or impact of the variation. For example, they show the number of additional 999 calls a 10% difference to the average rate makes or how many fewer recorded crimes visible officers are dealing with in the force. Two illustrative examples (for a 'dummy' force) are shown below:



This force's net revenue expenditure per head of population is 25% above the average of its peers. This difference equates to a cost of £32m compared to if the force was spending the average of its peers.



This force's level of recorded victim-based crime is 10% lower than the average of its peers. This equates to 1,200 fewer victim-based crimes compared to if the force had the average recorded crime rate of its peers.

In all cases, details of the data used and relevant caveats can be found in the full profiles and the accompanying *Overview of the Summary's Calculations* document (both of which are available from HMIC's website, <http://www.justiceinspectorates.gov.uk/hmic/>).

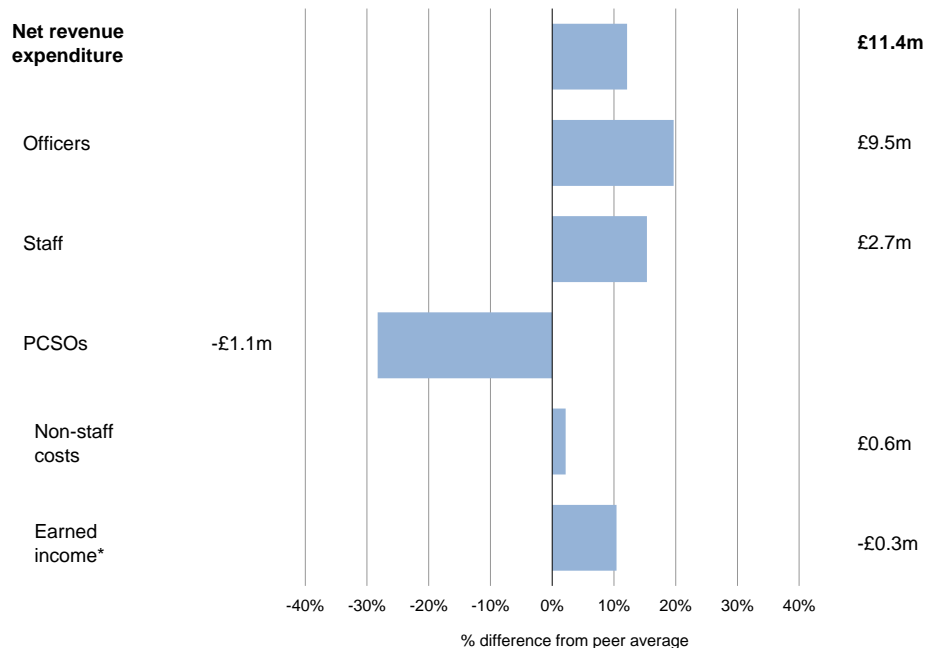
On the final page of this summary, we provide a list of all of the categories from the full VfM profile in which the force's spend is an outlier. The force's figures are compared to the spend of other forces. To be flagged as an outlier, the spend must be one of the highest 10 percent or lowest 10 percent of any force, and the effect of the difference must be at least £1 per head of population.

Income and expenditure in Cumbria

Force's estimated expenditure and income in 2014/15

1. How does the force's income and expenditure compare with peers?

The chart below shows how the force's income and expenditure per head of population compares with the average of its peer group of forces:

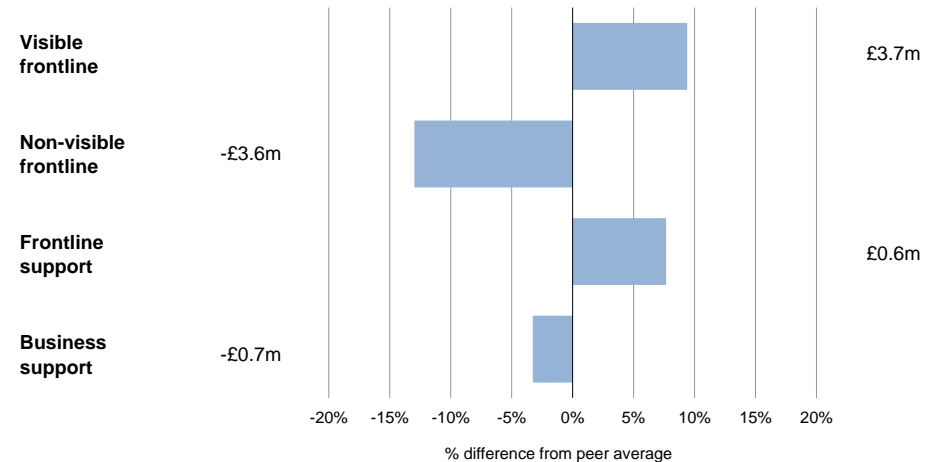


For more information on the data used here, please see 'Income & Expenditure - Overview'.

* When considered next to areas of expenditure, below average income can be considered as a net cost to the force compared to other forces. Similarly, above average income can be considered as a net saving to the force compared to elsewhere.

2. Where is the force spending money compared with peers?

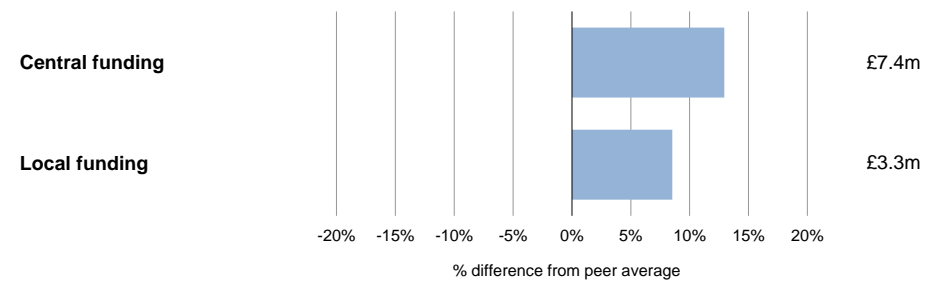
The chart below shows how the proportion of the force's spend across frontline, frontline support and business support functions compares with the average of its peer group of forces:



For more information on the data used here, please see 'Income & Expenditure - Spend by function'.

3. How is the local policing body funded compared with peers?

The chart below shows how the local policing body's funding per head of population compares with the average of its peer group of forces:



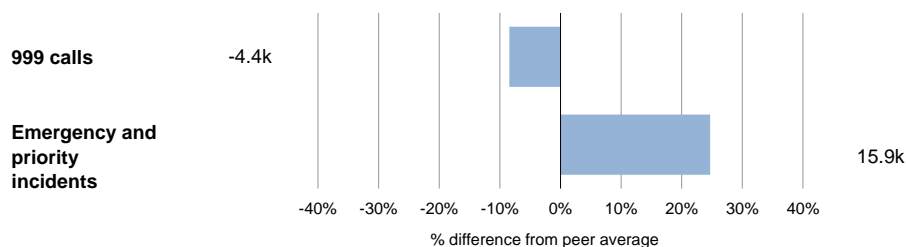
For more information on the data used here, please see 'Income and expenditure - Financing'.

Demand in Cumbria

Demands on the force in 2013/14

4. Is the force experiencing higher demand than peers?

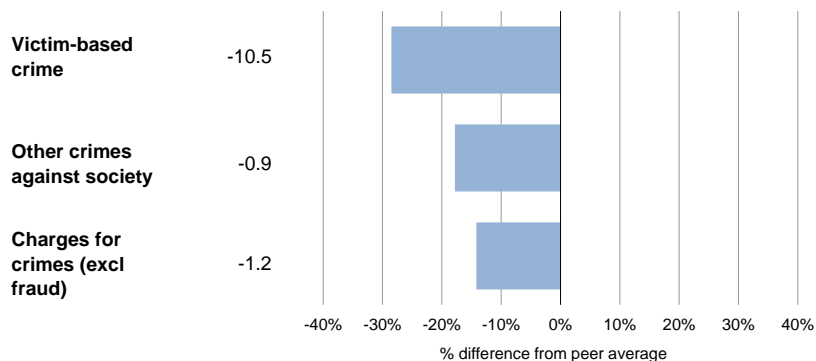
The chart below shows how the number of 999 calls received and emergency and priority incidents recorded by the force per head of population compares with its peer group of forces:



For more information on the data used here, please see 'Demand 999 calls/Emergency & Priority incidents'. Note that these categories do not cover all of the demands on the force.

5. Are the force's police officers dealing with more crimes compared with peers?

The chart below shows how the number of recorded crimes and charges per visible officer in the force compares with the average of its peer group of forces:



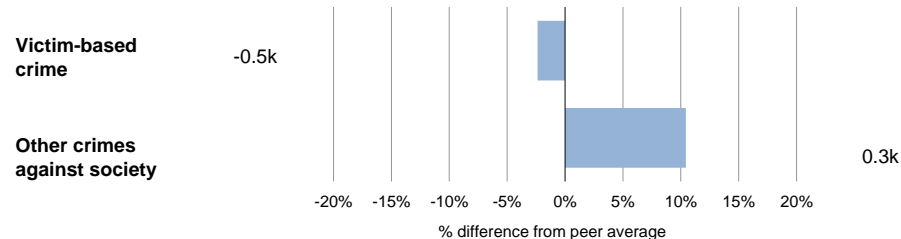
For more information on the data used here, please see 'Demand - Recorded crimes per visible officers/Former detections'.

Crime in Cumbria

Crimes and outcomes recorded in the force in 2013/14

6. How does the level of recorded crime in the force compare with peers?

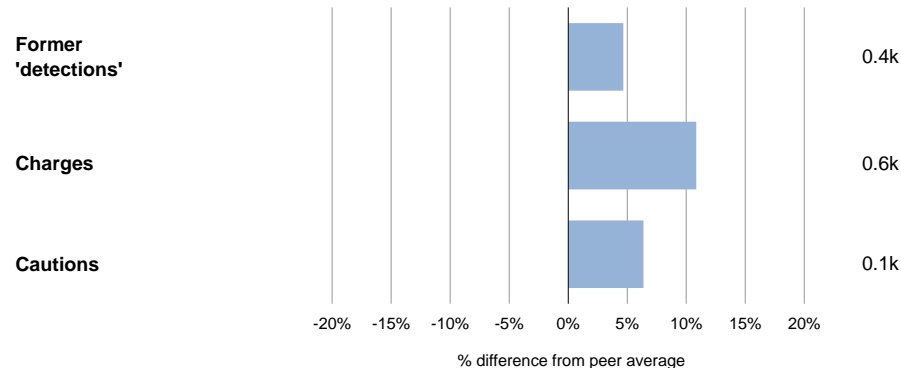
The chart below shows how the number of recorded crimes per head of population in the force compares with the average of its peer group of forces:



For more information on the data used here (including a break down by crime type), please 'Offences and Outcomes'.

7. How do the investigative outcomes in the force compare with peers?

The chart below compares formal investigative outcomes per crime for crimes (excl fraud) in the force with the average of its peer group of forces, taking into account differences in the mix of crime between forces. Please note that use of community resolutions by some forces will affect the comparability of former 'detection rates':



For more information on the data used here, please see 'Offences and Outcomes'.

Outliers

This page provides the areas in which the force is an outlier in costs. The force's figures are compared to the spend of other forces. To be flagged as an outlier, the spend must be one of the highest 10% or lowest 10% of any force and the effect of the difference is greater than £1 per head of population. The difference (Diff) calculations are the net cost of the difference in spend to the average per head of all forces.

OVERALL COSTS

	£m	£/head	Avg	Diff £m
Non-staff costs	27.5	55.1	43.7	5.7
Net revenue exp.	105.8	212.3	179.5	16.3

Officer costs

Overtime	OT % sal	Avg	Diff £m
Officer overtime as a % salary	1.9	2.9	-0.6

Non Staff Costs

	£m	% staff cost	Avg	Diff £m
Restructure, training and conference	1.1	1.3	0.6	0.6

COSTS BY OBJECTIVE

NRE by objective group	£m	£/head	Avg	Diff £m
Road policing	4.5	9.0	5.0	2.0
Support functions	22.6	45.3	36.1	4.6
PCC/Local Policing Body	5.5	11.0	3.4	3.8

Local policing

Neighbourhood policing	26.9	54.1	24.3	14.8
Incident (response) management	7.7	15.4	28.2	-6.4
Total exc local investigation	37.0	74.3	58.0	8.1

Road policing

Traffic Units	4.6	9.1	5.0	1.3
Road policing	4.5	9.0	5.0	1.3

Operational support

Firearms unit	0.3	0.6	2.8	-1.1
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Investigations

Major investigations unit	0.2	0.5	3.4	-1.4
Serious and organised crime unit	2.7	5.4	2.5	1.4
Economic crime	0.0	0.0	1.0	-0.5

Support functions

ICT	6.6	13.3	8.3	2.5
Fleet services	2.8	5.7	3.6	1.1
Support functions	22.6	45.3	36.1	4.6

Police and Crime Commissioner

PCC/local policing body commissioned :	4.6	9.3	2.2	3.5
PCC/Local policing body cost	5.5	11.0	3.4	3.8

HMIC Value for Money Profile 2014

Cumbria Constabulary

compared with all forces in England & Wales

*The forces in the most similar group can be identified
in the charts in this section by using the key below*

- a** Cumbria
- b** Lincolnshire
- c** Norfolk
- d** North Wales

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For annexes listing crime codes, POA categories, POA coding details and a list of major PFI schemes see...
<http://www.justiceinspectorates.gov.uk/hmic/programmes/value-for-money/value-for-money-profiles/>

Introduction

Data about a single force can never reveal all there is to know. The insight comes from putting a force's data side by side with others so that the differences are revealed. The purpose of HMIC's Value for Money (VfM) profiles is to allow you to compare your force's performance, and the costs of achieving it, with that of other forces. With the challenges of austerity the VfM profiles provide a key tool not only to help discover areas of high cost or poor performance, but also to identify other forces which are achieving more with less.

The VfM profiles are:

- designed for use by force management and police and crime commissioners (PCCs) and local policing bodies as well as HMIC;
- wide ranging, covering a large amount of information in a single, easy to use, document;
- presented in a single format to allow you to focus attention on the main differences which require explanation and action to improve;
- timely - being published during October, when key budget decisions are being taken;
- not league tables or targets – they are designed to give information, not judgments.

Each profile has two parts: a summary (published separately), and this more detailed profile; both are available on our website. They are designed to be investigative tools to draw attention to large, and possibly unexplained, differences in costs or performance. These should be followed up to confirm whether resources are being used efficiently and effectively.

What has changed since last year?

The main changes this year are:

- 1) Changes related to the Police Objective Analysis (POA) definitions and categories:
 - the introduction of events under operational support
 - the removal of interpreters and translators from criminal justice arrangements
 - the merging of contact management units and central communications units under dealing with the public.
 - presentation of additional data on collaboration costs and staffing arrangements (discussed below)
 - additional detail on the costs of PCCs/local policing bodies
- 2) Additional data on incidents - including trends since 2012/13.
- 3) Removal of the victim satisfaction page because of the difficulty in making meaningful comparisons between forces.
- 4) The annexes are now published as a separate document (available from HMIC website at <http://www.justiceinspectorates.gov.uk/hmic/>)

Feedback

Many forces worked with us throughout the production of the VfM profiles, and we are grateful to those that provided us with feedback and comments. HMIC is always keen to hear from users how the profiles can be improved. If you have any suggestions, or any analysis which you think might be useful to include, please contact Lawrenceroymorris33@hmic.gsi.gov.uk or call 0203 513 0517.

How do I use the profiles?

The profiles are designed to prompt questions rather than to provide judgements. They are produced each autumn to help inform budget decisions for the following year. A survey by HMIC in 2013 showed that around 90 percent of forces which responded were using them for this purpose.

Most of the data are presented as bar charts so you can see how your force compares with others. Your force is highlighted in black with forces in your 'most similar group' (MSG) shown in blue. MSG forces share similar demographics (more details about MSG can be found below). Finally, a horizontal line runs across each bar chart, and represents the average across all forces.

The profiles are presented as 'logic trees' with the data broken down progressively from left to right. By following the branches of the logic tree, you can identify the reason(s) for differences between your force and others. For example, is a force spending more on police officers because there are more of them (officers per head of population), because they are more expensive (cost per officer), or because it is spending more on overtime?

Most pages also include tables which lay out the main data presented in the charts as well as some additional comparisons. From left to right they show:

- a short description
- the relevant volumes (e.g. staff numbers/total costs/numbers of crimes)
- a ratio for comparison (e.g. staff per head of population)
- the average costs per head of population.
- the 'difference' which
 - for costs shows how much more, or less, it is costing your force as a result of the difference from the average;
 - for crimes/outcomes shows how many more, or fewer, crimes/outcomes your force is recording as a result of the difference from the average; and
 - for workforce shows how much larger, or smaller, your force's workforce is as a result of the difference from the average.
- Chevrons (<<) against these highlight whether your force is an outlier for this item (whether the force is in the top or bottom 10 percent and the effect of the difference is greater than £1 per head of population).

An example is shown on the following page.

Note on Crime Data Integrity

HMIC has recently completed an inspection into the way police forces in England and Wales record crime data. The interim report on crime data integrity (published in May) identified serious concerns about the crime recording process. HMIC found weak or absent management and supervision of crime recording, significant under-recording of crime, serious sexual offences not being recorded, and some offenders having been issued with out-of-court disposals when their offending history could not justify it. The full thematic report on this work will be published in November 2014 and will be available from the HMIC website (see above).

Note on Collaboration

For the majority of forces that are not involved in significant or large-scale collaborations, the use of net expenditure should provide an adequate comparison. However, as the use of collaboration increases in scale, the way data are collected and presented needs to adapt. For 2014/15 additional headings were added to the POA, separating out staff and third party costs and income related to collaboration. This has enabled us to include notes on major collaborations on the relevant 'use of resources' pages. Where possible, we have also included notes on how these collaborations were reported by the forces concerned - either using a 'lead force' or 'shared services' model as set out in the POA guidance.

The main POA objectives where collaborations were reported are: intelligence, investigations, investigative support, operational support and support functions. As we present costs net of earned income, costs in collaborating forces should be broadly comparable with other forces. The main exception is costs per FTE staff, which can be distorted if the collaboration is reported using the 'lead force' model (where all staff are shown as based in the force providing the service, rather than split across the forces taking part in the collaboration).

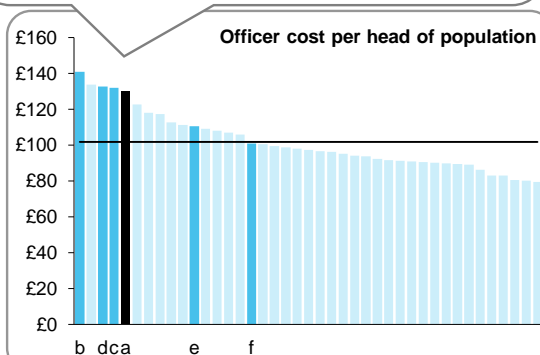
Guidance page - How to read the profiles

How much do officers in the force cost compared with others? How much overtime do they receive?

2013/14, £ per head of population
Police officer costs are split into percentage of the overall salary

Budgeted FTE numbers for the
Office published FTE figures (A)
The two figures are not directly

1. The profiles use 'logic trees' to take each area and break it down (from left to right) into component parts. For each breakdown, you can see how the force compares to other forces in its most similar group, as well as all forces in England and Wales.



2. The force has some of the highest officer costs per head of population nationally...

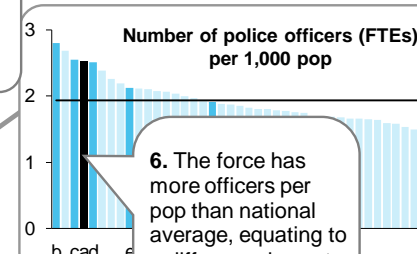
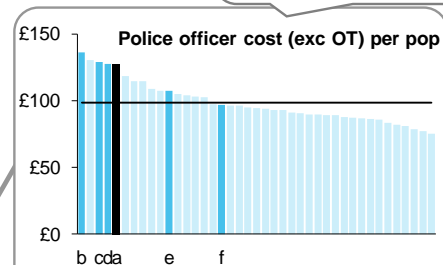
Officer costs	£/head	Averages		Diff* £m	
		All	MSG	All	MSG
All pay exc. overtime	127.7	99.0	121.0	16.0	3.7
Overtime	2.2	3.0	3.4	-0.4	-0.7
Total	129.8	102.0	124.4	15.5	3.0

Officer overtime as a % salary	% sal	Averages		Diff* £m	
		All	MSG	All	MSG
Total	1.7%	3.0%	2.9%	-0.9	-0.8 <<

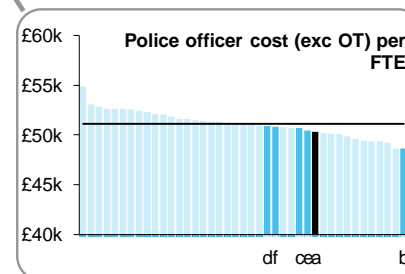
Number of officers and cost per officer		Averages		Diff* £m	
		All	MSG	All	MSG
FTE per 1,000 population	2.54	1.93	2.40	17.2	3.8 <<
Cost per FTE (£000s)	50.3	51.3	50.4	-1.4	-0.1

* Net cost of the difference in spend to the average per head of all/MSG forces.

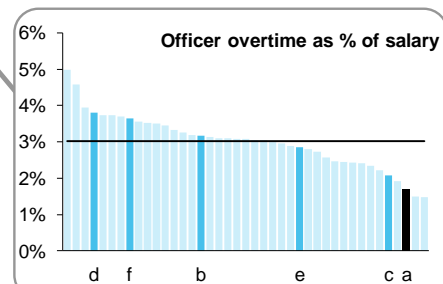
4. This chart shows a breakdown of the previous chart, revealing overtime has little bearing on officer costs.



6. The force has more officers per pop than national average, equating to a difference in cost of £17.2m (see table).



7. The cost of individual officers in the force is relatively low.



3. ...equating to a difference of £15.5m to national (all) average.

5. The force spends little (as a proportion) on overtime.

N.B Outliers are highlighted with blue chevrons, and represent the values that are in the highest and lowest 10% of values across all force and, where appropriate, have a value of more than £1 per head.

Frequently asked questions

What is the purpose of the most similar group (MSG) comparison?

The MSG were designed to offer a fairer comparison of levels of crime between forces as they group forces with similar demographics. While MSG comparisons do not entirely take account of the fact that some areas have higher costs than others, they are used here to compare costs since forces in a high crime MSG (such as large urban forces) are likely to have greater resources such as more officers, staff and PCSO. While most forces share similar demographics with the rest of their group, there are a few that are less closely aligned (the Metropolitan Police Service, Dyfed-Powys Police, Surrey Police and the City of London Police). Apart from the City of London Police, the remaining forces are still included with a most similar group, but their appearance as an outlier means they need to be treated with caution. MSG were last updated for the 2013 VfM profiles using data from the 2011 Census.

What checks have been applied to the data?

The data presented in the profiles are subject to a systematic checking process:

- The Chartered Institute of Public Finance and Accountancy (CIPFA) applies arithmetic and reconciliation checks to the financial data provided to them from forces.
- Each force is asked to check its statistical outliers (where its costs are significantly different from average and/or from its return for the previous year).
- Each force receives a draft profile to check the figures before publication. This year HMIC and CIPFA ran five teleconferences to discuss particular sections of the profiles and agreed actions to improve the quality and presentation of the final data.

Each year forces identify some anomalies or inconsistencies which HMIC attempts to resolve. Some require forces to make changes to their data, but not all are able to do so in time. A handful of inconsistencies are harder to resolve prior to publication because they require broader changes and agreement. These were discussed in the teleconferences and actions were identified to improve the data for next year.

Which population figures are used?

The profiles use mid-2013 population estimates (the latest available) to align with Home Office publications, especially those on crime rates.

Which workforce figures are used?

The profiles include staff numbers drawn from two data sets: the Home Office annual data return (ADR 502), which is a snapshot at 31 March each year of full-time equivalent staff in post, and the Police Objective Analysis (POA) which counts the average, budgeted, full-time equivalent staff. Given the differences between the two, it is not surprising that the figures do not align completely. In general, the profiles use POA budgeted staff numbers to make detailed financial comparisons between forces. However, POA is a relatively recent invention and, prior to 2011/12, it was not checked by HMIC. Consequently, it cannot provide a series long enough to show changing trends over time. In contrast, ADR has been checked over several years so is used to present trends on police officers, PCSO and police staff. It is also used where equivalent data are not available from POA.

Which crime figures are used?

The VfM profiles include the crime statistics published by the Office for National Statistics in July 2014, and contain data for the 12 months to March 2014. Outcome and 'no-crime' data come from the Home Office and cover the same period. The alignment of crime and outcomes occurs annually, so using more up to date crime data would break that relationship (and would not show much difference between force rankings in any case).

What types of average are used?

Unless stated otherwise, the simple average of all and MSG forces are used. Except for their own profiles, the City of London Police and the Metropolitan Police Service are omitted from the averages and the charts because they are outliers in most categories.

What rule is used to highlight outliers?

The difference is highlighted if the indicator puts the force in the top or bottom 10 percent and the effect of the difference is greater than £1 per head of population.

Where can I find further contextual information to help me understand the data?

Further contextual information can be found in the notes section of the CIPFA data available to subscribers via the CIPFA statistics website (<http://www.cipfastats.net/>)

Section One – Costs, workforce and demand/performance

This section looks at how a force deploys its workforce and the associated costs for each of the 12 headline categories within the Police Objective Analysis (POA). POA subcategory information on costs is also presented.

POA estimates are used for all cost and workforce data unless stated otherwise. These data are taken as a snapshot as at 18 October. Any updates to the data made after this time will not be reflected in the profile. Home Office Annual Data Requirement (ADR) data is used where relevant POA data is not available. Examples include officers by rank, sickness rates, restricted/recuperative duty rates, officers' length of service and leavers/joiners.

With the exception of special constables, workforce data comprises full-time equivalent (FTE) figures. In POA estimates these are calculated as the number of staff budgeted for each staff type. Police workforce figures published by the Home Office are based on those in-post as of 31 March and 30 September of each year. The two sets of figures are not, therefore, directly comparable.

Key to the data and calculations

Net revenue expenditure: The profiles use a different calculation for net revenue expenditure to the Chartered Institute of Public Finance and Accountancy (CIPFA); it is calculated as total expenditure minus earned income to show the total cost of policing to the taxpayer.

Earned income: Where earned income is referred to, this covers partnership income, sales fees charges and rents, special police services, reimbursed income and interest.

Averages: All averages in this section (unless otherwise stated) are simple, unweighted England and Wales averages, including the force in question. As the Metropolitan Police and City of London Police data distorts the chart scales, they have been excluded from all charts and averages except for those in their own profiles.

Difference to most similar group (MSG) / All force: Differences are calculated on standardised data, as opposed to absolute values.

Calculation is as follows: (Force cost per head - MSG cost per head) multiplied by population = absolute cost of difference

Police officer as spend % of gross expenditure: We have chosen to show the proportion of spend on officers (including overtime) by function.

Calculation is as follows: (Police officer spend + Police officer overtime) / Gross Revenue Expenditure (GRE) = police officer spend as % of GRE.

National policing: To more accurately compare forces, national policing is not included in totals of spend and workforce (unless stated otherwise).

Operational front line, frontline support and business support: In HMIC's *Policing in Austerity: Rising to the Challenge* (July 2013), ADR data was used to split the police workforce into these three groups. Here, we map these categories using POA data for consistency with the rest of the profile. Since counter-terrorism/special branch is a national policing function, we do not include this as a front line role (for the reason given above). Due to this, and the previously described differences between the ADR and POA workforce data, the totals and proportions may not match those published elsewhere. The list of POA categories and their classifications are given in Annex 3.

Please note that, throughout the profiles, rounding may cause apparent discrepancies between totals and the sums of the parts.

How to use this section

Users may wish to focus on those charts where the force is an outlier, i.e. where they are significantly different from the average. Outliers are highlighted with blue chevrons and indicate that the force falls within the highest or lowest 10% and, where applicable, the financial value is greater than £1 per head. They should consider exploring the reasons for any differences by looking at the force as a whole, using relevant local knowledge. Staffing levels should also be considered in the context of workforce modernisation, collaboration efforts and the outsourcing of services.

Please note that, in some cases, not all plots are given; room is given to those areas with the highest costs. Further, throughout the profiles the chart scales vary and as a result the differences shown may not be as significant as they first appear.

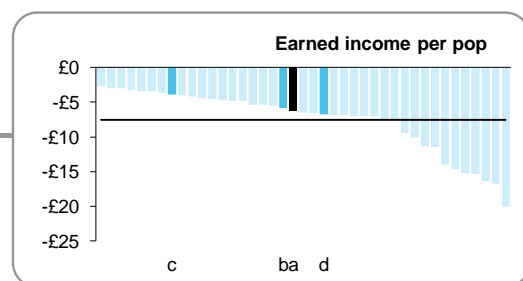
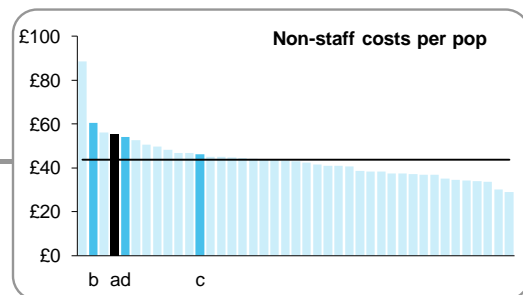
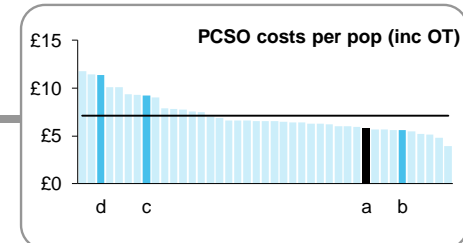
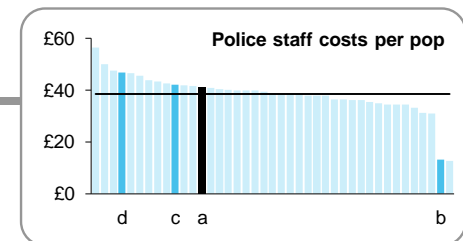
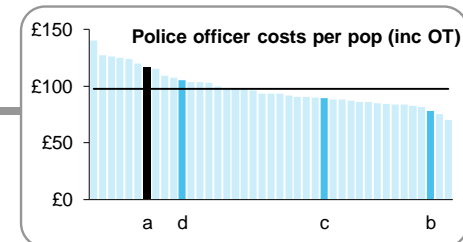
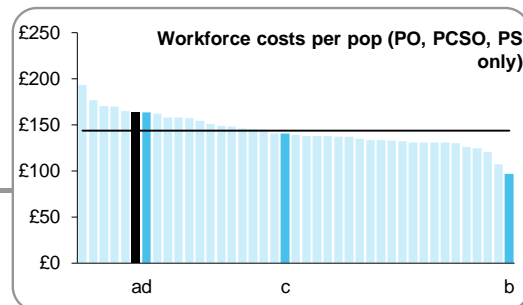
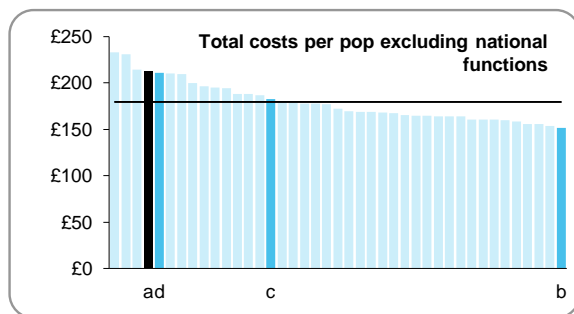
Income and expenditure - Overview

How much does the force spend in each area of business compared with others? How much does it earn in income?

Cost per head of population

The profiles calculate net revenue expenditure (NRE) as total expenditure minus earned income to show the total cost of policing to the taxpayer. Note that this is different from NRE as reported in the raw POA data.

To compare forces, national policing functions (such as counter-terrorism/special branch) are excluded from the data analysis and charts.



Population		498k					
				Averages		Diff* £m	
	£m	£/head	All	MSG	All	MSG	
Police officers	58.0	116.4	97.8	97.3	9.3	9.5	
Police staff	20.6	41.3	38.5	35.8	1.4	2.7	
PCSOs	2.8	5.7	7.1	8.0	-0.7	-1.1	
Workforce	81.4	163.5	143.4	141.1	10.0	11.2	
Non-staff costs	27.5	55.1	43.7	54.0	5.7	0.6	<<
Earned income	-3.1	-6.3	-7.6	-5.7	0.6	-0.3	
Net revenue exp.	105.8	212.3	179.5	189.4	16.3	11.4	<<
National policing**	0.6	1.2	4.0	2.7	-1.4	-0.8	
Total inc nat. pol.	106.4	213.6	183.5	192.1	15.0	10.7	

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Note that national policing has been included in the table only for reference so that the totals reconcile to the financing totals later in this section.

Source: POA estimates 2014/15

Income and expenditure - Spend by function

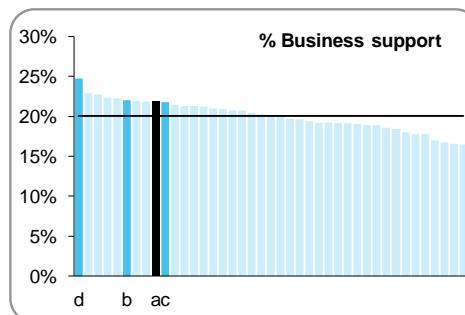
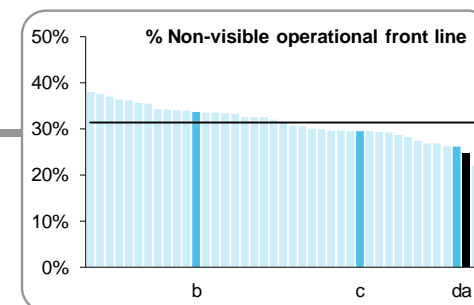
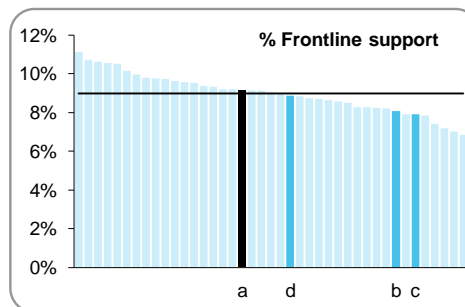
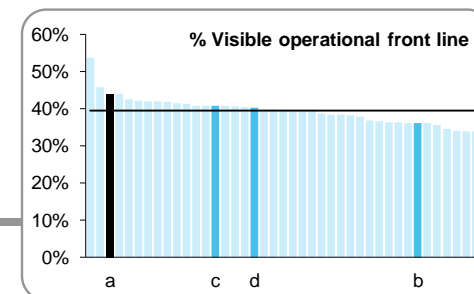
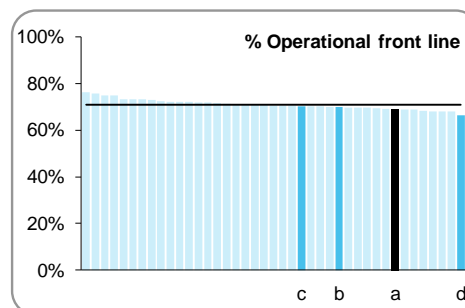
What proportion of spend is on the front line or in business support compared with others? What proportion is spent in visible functions?

Cost per head of population

Police workforce roles are split into three categories: operational front line, frontline support and business support. The front line is further broken down into visible and non-visible roles (see Annex 3 for a breakdown by POA category). These plots show the NRE in each category. To compare forces, national policing functions are excluded.

Collaboration and outsourcing affect workforce numbers so costs, rather than FTE figures, are presented.

Note that in *Policing in Austerity: Rising to the Challenge* (July 2013), HMIC define frontline support as *operational support*. Since this is the name of a POA category, *frontline support* is used here to avoid confusion.



	NRE £m	Force breakdown	Averages		MSG Diff** £m
			All	MSG	
Visible	42.6	44.2%	39.6%	40.4%	3.7
Non-visible	24.0	24.8%	31.4%	28.5%	-3.6
Operational front line	66.5	69.0%	70.9%	68.9%	0.1
Frontline support	8.8	9.2%	9.0%	8.5%	0.6
Business support	21.1	21.9%	20.1%	22.6%	-0.7
Other*	9.3				
Total (NRE)	105.8	100.0%	100.0%	100.0%	

* Functions classified as *Other* do not fit into any of the three categories. They are not included in the percentage figures. See Annex 3 for details.

** Net cost of the difference in proportion spent in each category compared to the average of MSG forces.

Source: POA estimates 2014/15

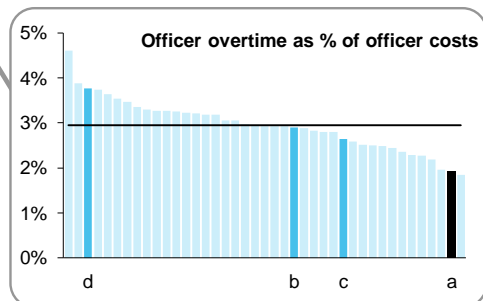
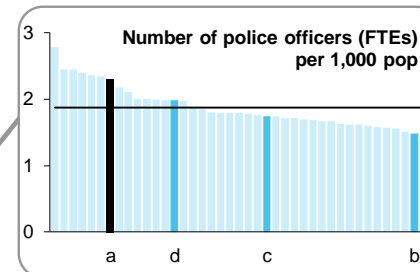
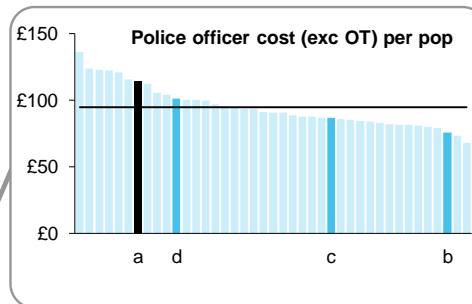
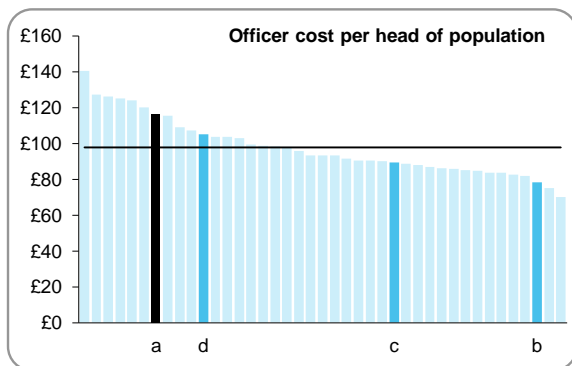
Cumbria

Income and expenditure - Workforce costs - Officers

How much do officers in the force cost compared with others? How much overtime do they receive?

Cost per head of population

Police officer costs are split into salary and overtime (OT). OT costs are also shown as a percentage of the overall salary costs. To compare forces, national policing functions are excluded.



FTE police officers 1,146 (exc national policing functions)

Officer costs	£m	£/head	Averages		Diff* £m	
			All	MSG	All	MSG
All pay exc. overtime	56.9	114.2	94.9	94.6	9.6	9.8
Overtime	1.1	2.2	2.9	2.7	-0.3	-0.2
Total	58.0	116.4	97.8	97.3	9.3	9.5

Officer overtime as a % salary	% sal	Averages		Diff* £m	
		All	MSG	All	MSG
Total	1.9%	2.9%	2.8%	-0.6	-0.5

Number of officers and cost per officer	Force	Averages		Diff* £m	
		All	MSG	All	MSG
FTE per 1,000 population	2.30	1.88	1.88	10.5	10.5
Cost** per FTE (£000s)	49.6	50.6	50.5	-1.1	-1.0

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Cost excludes overtime

Source: POA estimates 2014/15

Cumbria

Income and expenditure - Workforce costs - Police staff and police community support officers (PCSOs)

How much do police staff and PCSOs cost in the force compared with others?

Cost per head of population

Note that collaboration/outsourcing will affect staff costs for certain forces and that national policing functions are excluded.

Police staff

Police staff FTE 652 (exc national policing functions)

	£m	£/head	Averages		Diff* £m	
			All	MSG	All	MSG
Police staff cost	20.6	41.3	38.5	35.8	1.4	2.7
<i>Including overtime costs</i>						

		Averages		Diff* £m	
		All	MSG	All	MSG
FTEs per 1,000 pop	1.31	1.19	1.06	1.9	4.0
Cost** per FTE (£000s)	31.6	32.6	34.6	-0.7	-2.0

PCSOs

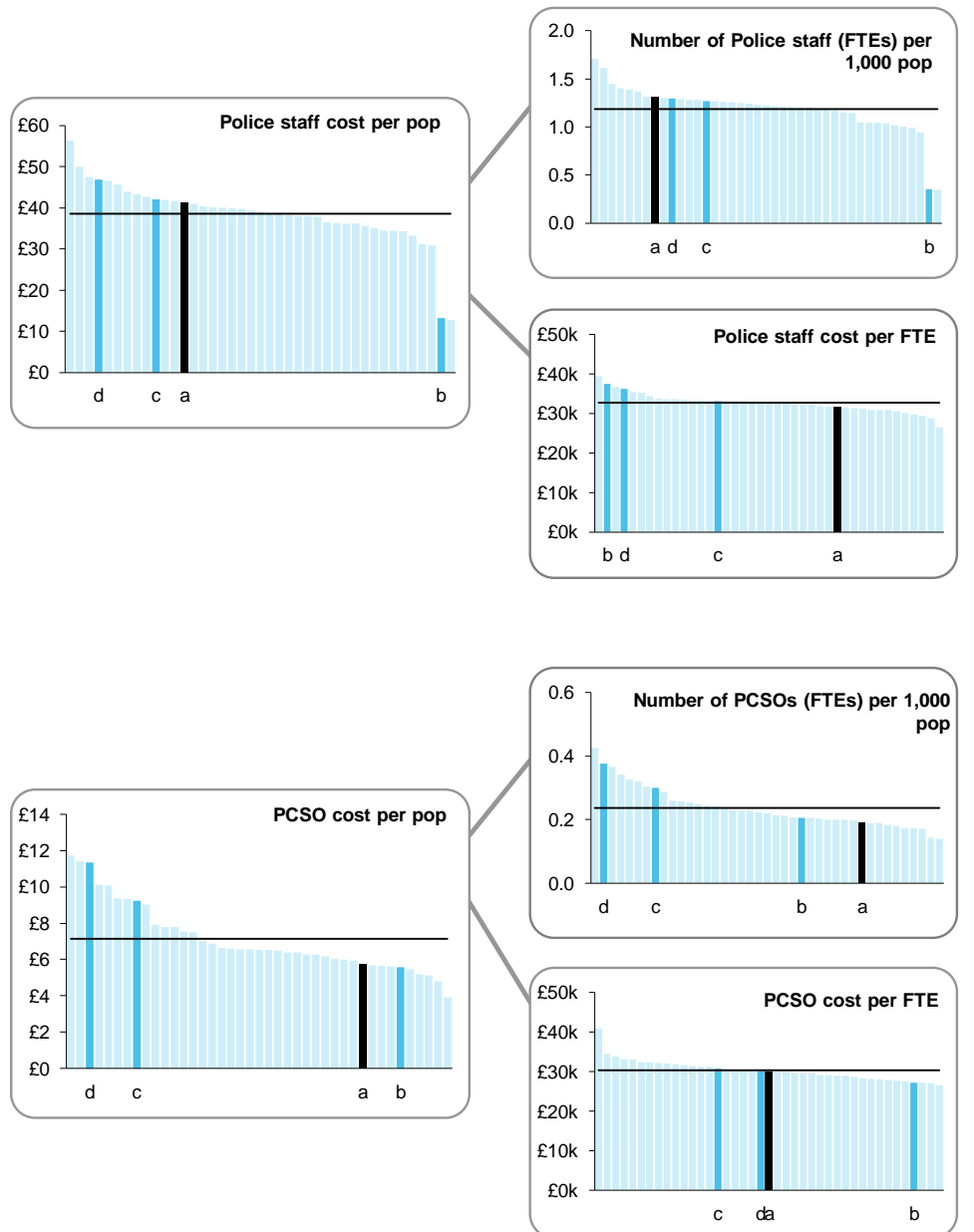
PCSOs FTE 95 (exc national policing functions)

	£m	£/head	Averages		Diff* £m	
			All	MSG	All	MSG
PCSO cost	2.8	5.7	7.1	8.0	-0.7	-1.1
<i>Including overtime costs</i>						

	Force	Averages		Diff* £m	
		All	MSG	All	MSG
FTEs per 1,000 pop	0.19	0.24	0.27	-0.7	-1.2
Cost** per FTE (£000s)	30.0	30.3	29.5	0.0	0.0

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Cost includes overtime



Source: POA estimates 2014/15

Cumbria

Income and expenditure - Non-staff costs

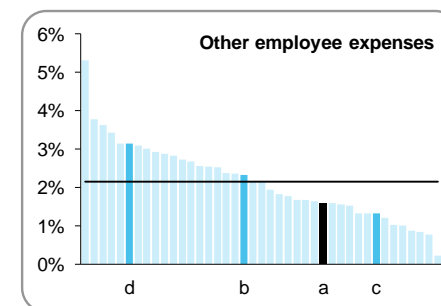
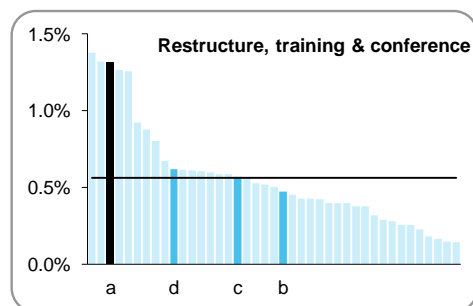
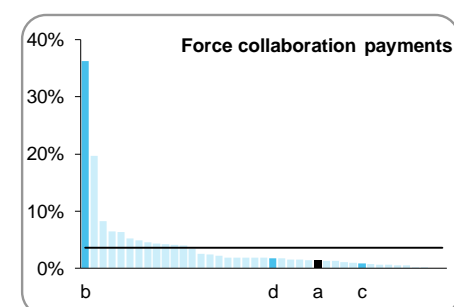
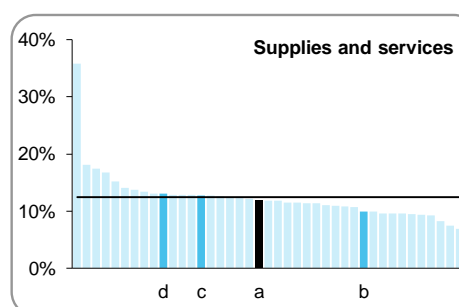
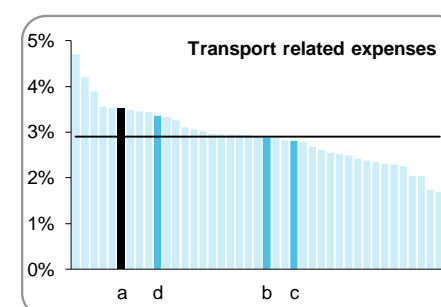
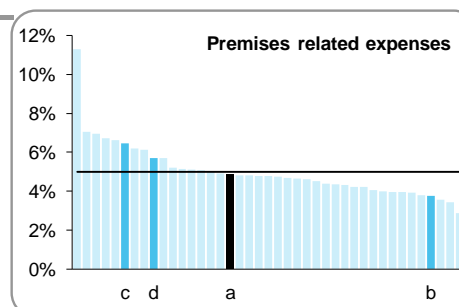
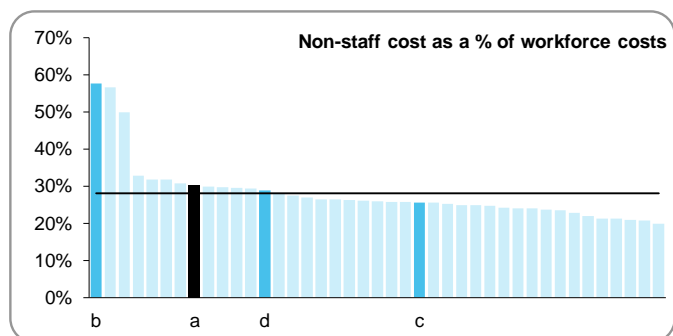
Apart from on the workforce, where else is the force spending money compared with others?

Non-staff costs as a percentage of workforce costs

Workforce costs include officer, staff and PCSO salary and overtime costs only. Temporary and agency costs are classified as non-staff. To compare forces, national policing functions are excluded.

Non-staff costs are broken down into specific types of running costs. They are shown as a percentage of workforce costs as they are largely dependent on the size of the workforce.

Note that collaboration, outsourcing and partnership arrangements will affect the figures for some forces.



Force workforce costs	£81m	% w'force costs	Averages		Diff* £m	
			All	MSG	All	MSG
Supplies and services**	9.8	12.0%	12.4%	11.9%	-0.3	0.1
Premises related expenses	3.9	4.8%	5.0%	5.2%	-0.1	-0.3
Transport related expenses	2.9	3.5%	2.9%	3.1%	0.5	0.3
Force collaboration payments	1.1	1.4%	3.5%	10.1%	-1.8	-7.1
Restructure, training and conference	1.1	1.3%	0.6%	0.7%	0.6	0.5
Other employee expenses***	1.3	1.6%	2.2%	2.1%	-0.5	-0.4
PCC outsource/collab/commission	4.7	5.7%	1.5%	2.5%	3.4	2.7
Non-staff costs	24.7	30.3%	28.1%	35.6%	1.8	-4.3
Capital financing	2.8	3.4%	2.9%	4.9%	0.4	-1.2
Total inc capital financing	27.5	33.7%	31.0%	40.5%	2.2	-5.5

* Net cost of the difference in spend to the average percentage of all/MSG forces.

** Includes 3rd party payments excluding collaboration

*** Including temporary and agency staff, injury and ill health costs

Source: POA estimates 2014/15

Cumbria

Income and expenditure - Financing

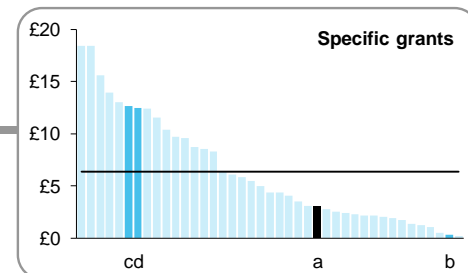
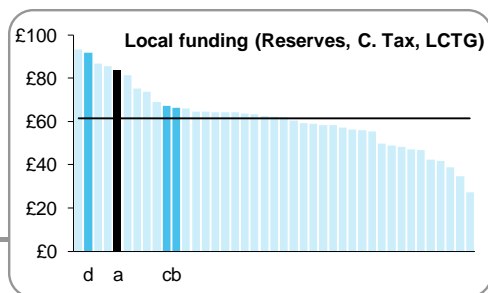
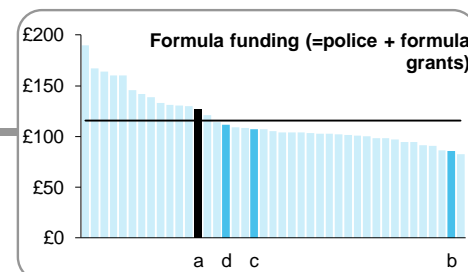
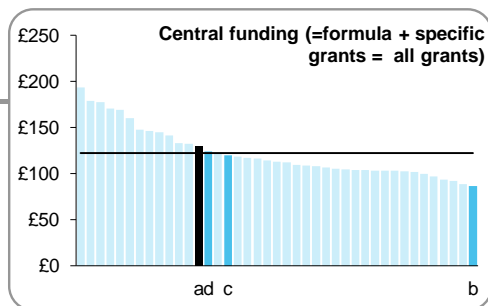
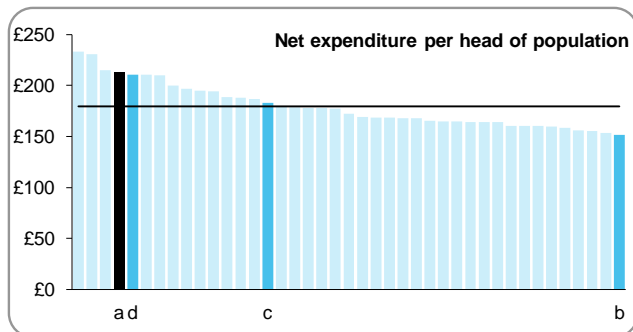
How much money does the local policing body receive in funding compared with others and from where? What is the level of council tax in the force and how does that compare with others?

Funding per head of population

Central funding is broken down into formula-based funding*, and government grants, which are not formula based. Local funding is comprised of council tax, use of reserves and council tax support grants.

Note: forces in Wales did not receive an increase in government grant for agreeing to freeze or reduce council tax but did receive a four year grant from the Welsh Assembly Government for an additional 500 PCSOs across Wales.

To show a typical council tax payment in the force, Band D tax rates (from CIPFA estimates) have been included. The yield shows the amount, from every £1 of council tax collected, that goes to the local policing body.

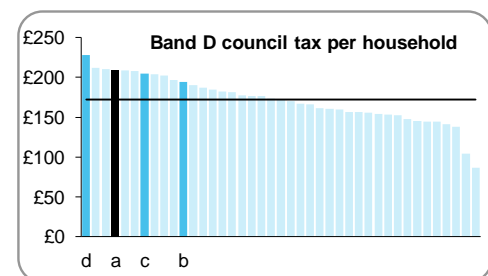


Population	498k				Diff**
	£m	£/head	Averages		
			All	MSG	£m
Formula funding*	63.1	126.7	115.7	107.7	9.4
Specific grants	1.5	3.0	6.3	7.1	-2.0
Central funding	64.6	129.7	122.1	114.9	7.4
Legacy council tax grants	4.9	9.7	5.9	4.8	2.5
Council tax	33.6	67.5	54.8	70.0	-1.3
Reserves	3.3	6.6	0.8	2.4	2.1
Local funding	41.8	83.8	61.5	77.3	3.3
Net revenue expenditure	106.4	213.6	183.5	192.1	10.7

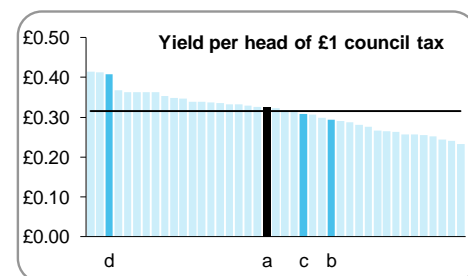
* Sum of police grant, non-domestic rates and revenue support grant

** Net cost of the difference in spend to the average per head of MSG forces

Source: POA estimates 2014/15



Band D tax rate	Averages	
	All	MSG
	£208.6	£171.8
		£208.7



Council tax	Yield of	Averages	
		All	MSG
£/head	£1 c. tax		
£67.5	£0.32	£0.32	£0.33

Cumbria

Income and expenditure - Earned income

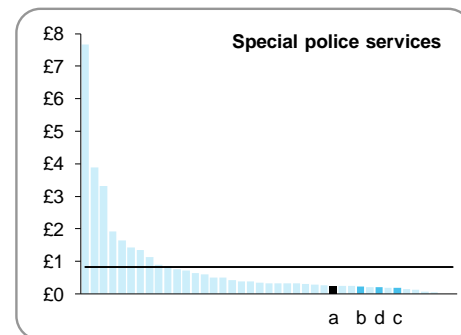
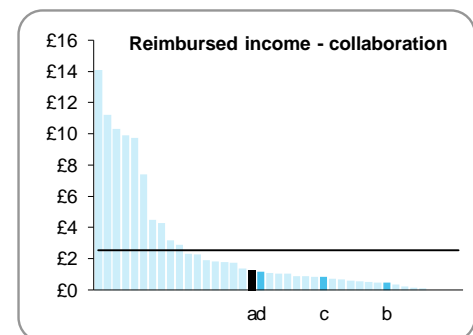
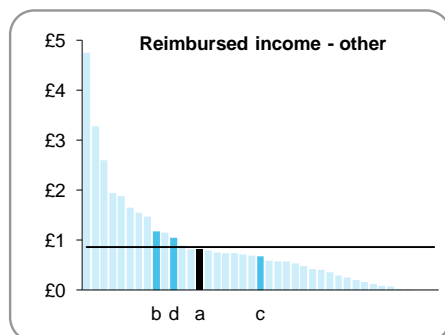
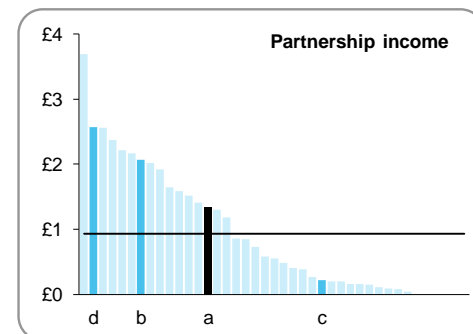
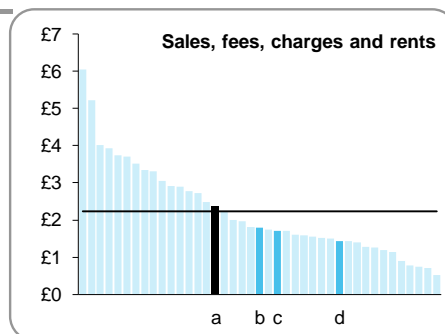
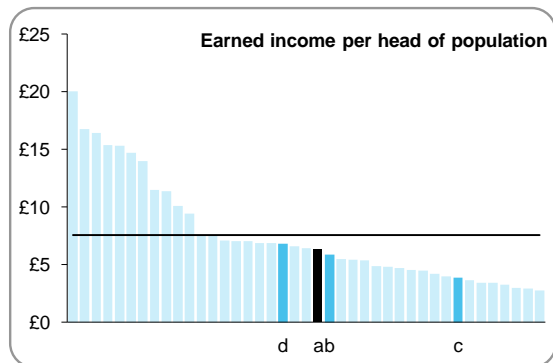
How much money does the force earn compared with others and from where does it receive it?

Income per head of population

Earned income is removed from GRE in order to calculate NRE and does not include government grants.

To compare forces national policing functions have been excluded.

Some forces have high earned income related to special functions such as policing ports and airports or policing large events (sports, festivals etc.)



Population	498k		Averages		Diff* £m	
	£m	£/head	All	MSG	All	MSG
Sales, fees, charges and rents	1.2	2.4	2.2	1.8	0.1	0.3
Reimbursed income						
- From collaboration	0.6	1.3	2.6	0.9	-0.6	0.2
- Other	0.4	0.8	0.9	0.9	0.0	-0.1
Partnership income	0.7	1.3	0.9	1.6	0.2	-0.1
Special police services	0.1	0.3	0.8	0.2	-0.3	0.0
Interest	0.1	0.2	0.2	0.3	0.0	0.0
Total earned income	3.1	6.3	7.6	5.7	-0.6	0.3

* Net cost of the difference in earnings to the average per head of all/MSG forces.

Source: POA estimates 2014/15

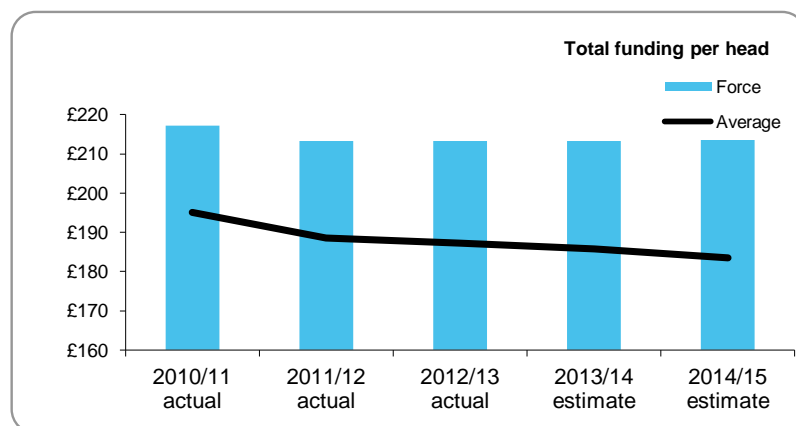
Cumbria

Income and expenditure - Funding trends

How has the local policing body's income changed over time compared with others?

Please note that estimates of reserves are unreliable and that these figures are not adjusted for inflation. The change over time is, therefore, a nominal and not a real change. The Band D council tax rates are from CIPFA estimates.

Note: change over time for reserves has not been given due to values crossing zero, with the potential for false negatives.



£ per 1000 pop	2010/11 actual	2011/12 actual	2012/13 actual	2013/14 estimate	2014/15 estimate	Change 10/11-14/15
Central funding*	154.3	148.3	138.5	135.7	129.7	-16%
Legacy council tax grants				1.72	9.7	
Council tax	68.7	69.0	71.5	74.3	67.5	-2%
Reserves	-5.7	-4.1	3.4	1.6	6.6	
Total funding	217.2	213.3	213.3	213.3	213.6	-2%

All Average	2010/11 actual	2011/12 actual	2012/13 actual	2013/14 estimate	2014/15 estimate	Change 10/11-14/15
Central funding*	142.7	138.3	127.6	125.9	122.1	-14%
Legacy council tax grants				1.16	5.9	
Council tax	55.9	54.6	58.3	58.6	54.8	-2%
Reserves	-3.5	-4.3	1.3	0.1	0.8	
Total funding	195.1	188.6	187.2	185.8	183.5	-6%

Band D tax rate	£194	£194	£201	£205	£209
Average	£162	£162	£166	£169	£172

* Here, central funding does not include council tax freeze grant since that features in 2013/14 only.

Source: POA data

Cumbria

Income and expenditure - Total costs by function

How does the force apportion its spend across the different functions compared with others? How has this changed since last year?

Population	498k								
	Budgeted spend £m	Spend per head, £		Diff from		% of total**		% Officers***	
		Force	MSG Av	MSG £m*	Last year	Force	MSG Av	Force	MSG Av
Neighbourhood policing	26.9	54.1	26.8	13.6	1.6	26%	15%	88%	59%
Incident (response) management	7.7	15.4	29.8	-7.2	-1.2	8%	17%	99%	99%
Local investigation/prisoner processing	4.7	9.5	11.7	-1.1	0.8	5%	6%	99%	93%
Other local policing	2.4	4.8	5.2	-0.2	-2.1	2%	3%	57%	64%
Local policing	41.7	83.8	73.4	5.1	-1.0	41%	41%	89%	84%
Dealing with the public	5.5	11.0	10.2	0.4	0.0	5%	6%	13%	17%
Road policing	4.5	9.0	6.5	1.3	-0.4	4%	4%	85%	80%
Operational support	2.8	5.7	5.6	0.1	0.0	3%	3%	90%	78%
Intelligence	3.5	7.0	6.1	0.5	-0.8	3%	3%	66%	58%
Investigations	6.4	12.9	13.3	-0.2	-0.1	6%	7%	82%	76%
Investigative support	2.6	5.2	4.7	0.3	0.3	3%	3%	13%	5%
Custody	2.5	5.1	6.3	-0.6	-0.3	3%	3%	60%	51%
Other criminal justice arrangements	4.3	8.6	7.0	0.8	0.6	4%	4%	9%	5%
Criminal justice arrangements	6.8	13.7	13.2	0.2	0.3	7%	7%	28%	26%
ICT	6.6	13.3	11.0	1.1	-0.1	7%	6%	0%	0%
Human resources	1.1	2.3	2.4	-0.1	0.4	1%	1%	7%	5%
Training	1.7	3.5	3.6	0.0	0.2	2%	2%	45%	40%
Other support functions	13.0	26.2	25.2	0.5	0.0	13%	14%	17%	14%
Support functions	22.6	45.3	42.2	1.6	0.5	22%	23%	11%	10%
Police and Crime Commissioner	5.5	11.0	5.0	3.0	9.3	5%	3%	0%	0%
Total exc national policing and central costs	101.9	204.6	180.2	12.2	8.0	100%	100%	53%	50%
National policing	0.6	1.2	2.7	-0.8	0.0				
Central costs	3.8	7.7	9.2	-0.7	-7.7				
Total	106.4	213.6	192.1	10.7	0.2				

Note that workforce under the heading of 'local investigation' are included within 'local policing' not 'investigation' as in POA

* Net cost of the difference in spend to the average per head of MSG forces.

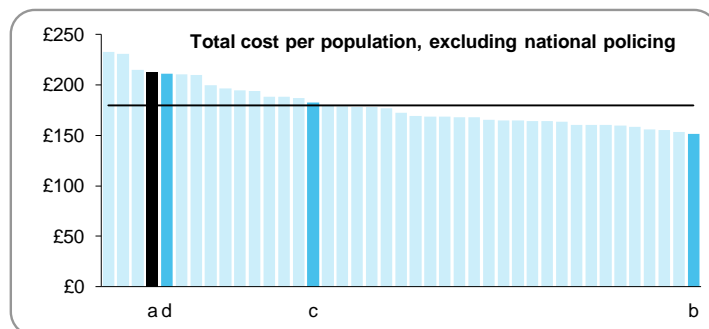
** Percentage of budgeted spend (excluding on national policing and central costs) by function

*** Cost of police officers as % of total gross cost by function

Source: POA estimates 2013/14 and 2014/15

Income and expenditure - NRE by function - Summary

What does the force spend across the different functions compared with others?



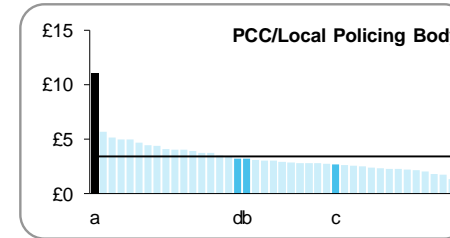
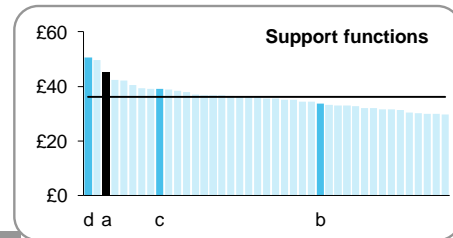
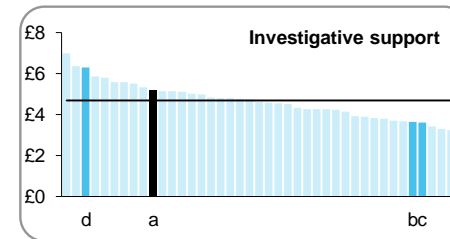
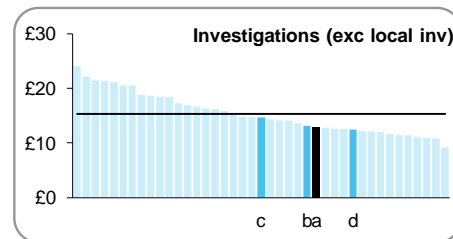
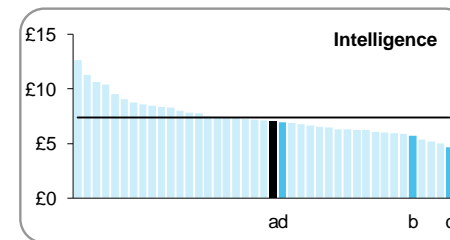
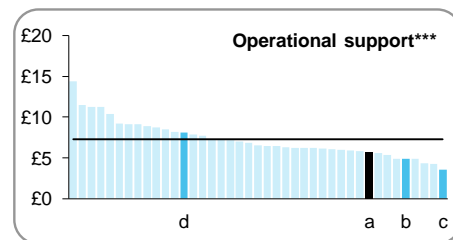
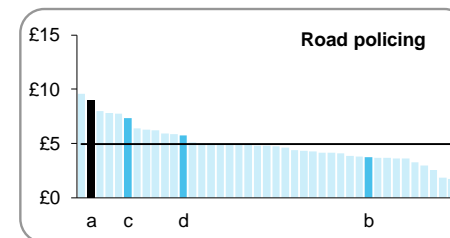
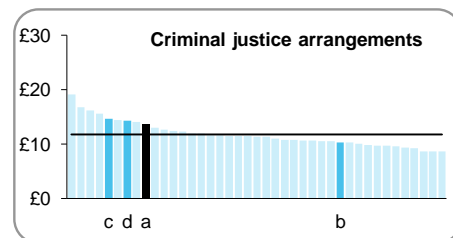
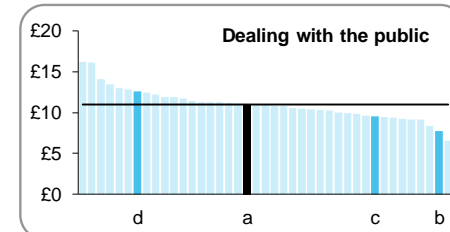
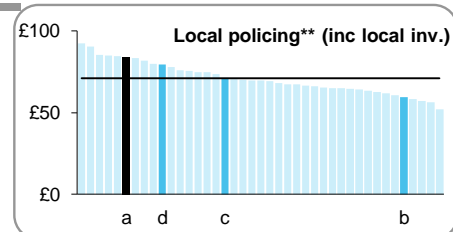
Population		498k							
				Averages		Diff* £m			
	£m	£/head	All	MSG	All	MSG			
Local policing**	41.7	83.8	70.9	73.4	6.4	5.1			
Dealing with the public	5.5	11.0	11.0	10.2	0.0	0.4			
Criminal justice arrangements	6.8	13.7	11.8	13.2	1.0	0.2			
Road policing	4.5	9.0	5.0	6.5	2.0	1.3	<<		
Operational support***	2.8	5.7	7.3	5.6	-0.8	0.1			
Intelligence	3.5	7.0	7.4	6.1	-0.2	0.5			
Investigations	6.4	12.9	15.3	13.3	-1.2	-0.2			
Investigative support	2.6	5.2	4.7	4.7	0.3	0.3			
Support functions	22.6	45.3	36.1	42.2	4.6	1.6	<<		
PCC/Local Policing Body	5.5	11.0	3.4	5.0	3.8	3.0	<<		
Tot. exc national pol. & central costs	101.9	204.6	172.8	180.2	15.8	12.2			

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Note that workforce under the heading of 'local investigation' are included within 'local policing' and not 'investigation' as in POA.

*** Note that this is the POA category, not the workforce descriptor used in *Policing in Austerity: Rising to the Challenge* (July 2013).

Source: POA estimates 2014/15

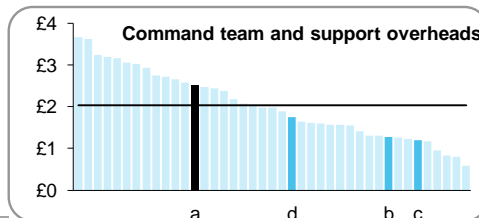
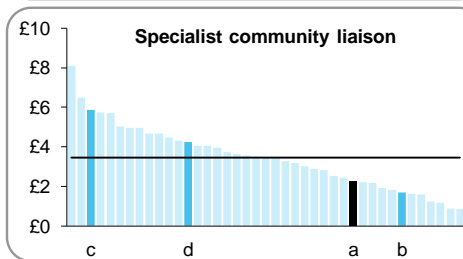
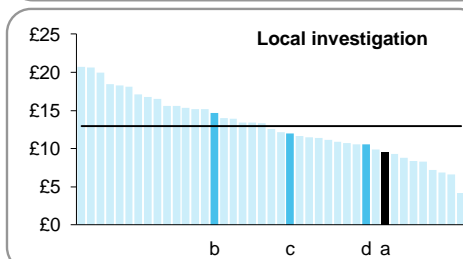
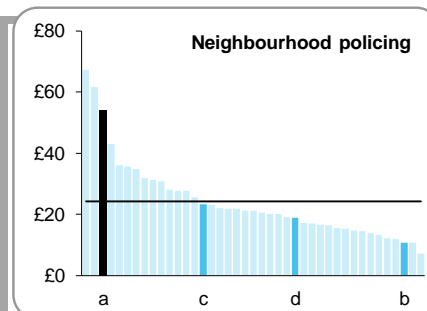
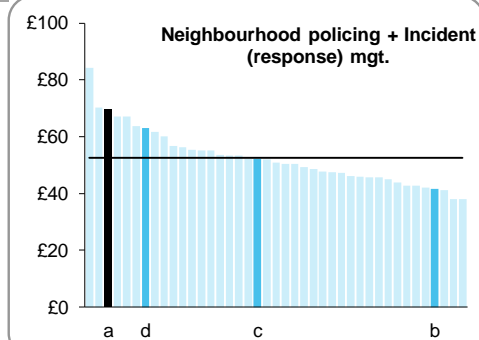
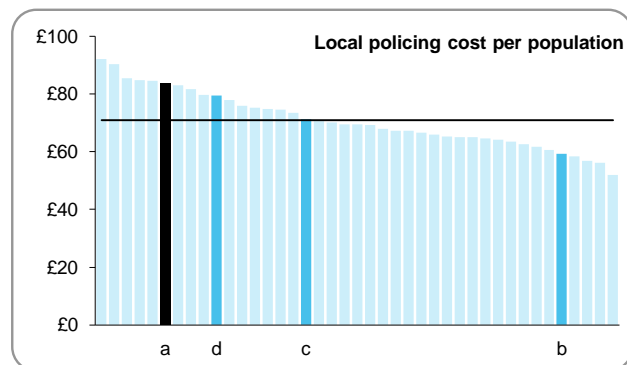


Cumbria

Income and expenditure - NRE by function - Local policing (including local investigation/prisoner processing)

What does the force spend on the different areas within local policing compared with others?

A chart showing the combined cost of neighbourhood policing and incident (response) management has been included as some forces use the same staff to fulfil both functions.



Population	498k						%	MSG
	£m	£/head	Averages		Diff* £m			
			All	MSG	All	MSG	Off**	Avg.
Neighbourhood policing	26.9	54.1	24.3	26.8	14.8	13.6	<	88%
Incident (response) management	7.7	15.4	28.2	29.8	-6.4	-7.2	<	99%
Local investigation/prisoner processing	4.7	9.5	12.9	11.7	-1.7	-1.1		93%
Specialist community liaison	1.1	2.3	3.5	3.5	-0.6	-0.6		53%
Command team & support overheads	1.3	2.5	2.0	1.7	0.2	0.4		83%
Local policing	41.7	83.8	70.9	73.4	6.4	5.1		84%
Total exc local investigation	37.0	74.3	58.0	61.8	8.1	6.2	<	82%

* Net cost of the difference in spend to the average per head of all/MSG forces.

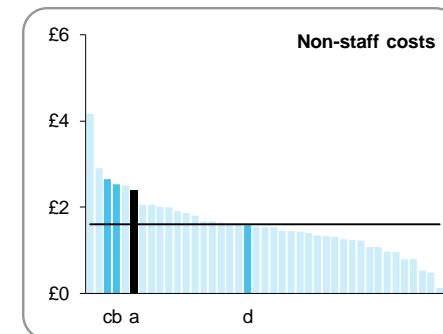
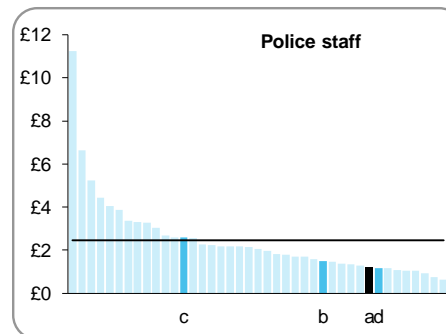
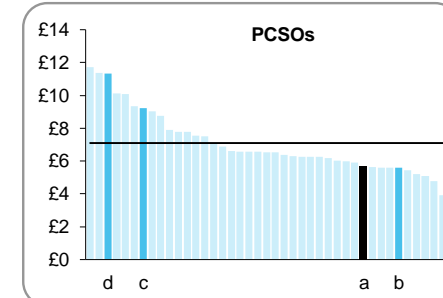
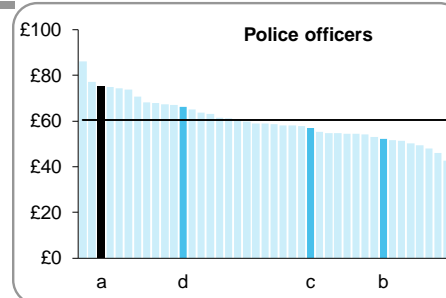
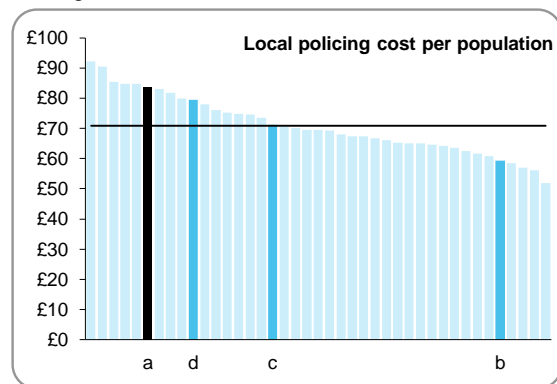
** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

Income and expenditure - NRE by function - Local policing (including local investigation/prisoner processing) - Use of resources

How does the force spend its money within local policing compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.



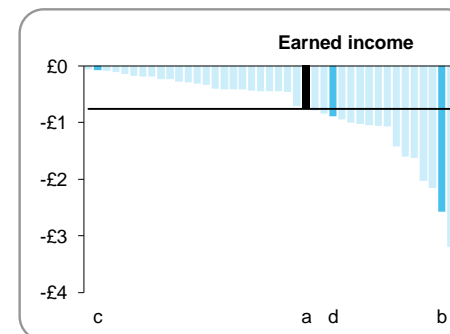
Staffing	FTE	FTE/ 1k pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	773	1.55	1.21	1.27	172	142
PCSOs	95	0.19	0.24	0.27	-22	-39
Police staff	22	0.04	0.08	0.05	-18	-3

Expenditure	£m	£/head	All		MSG	
			All	MSG	All	MSG
Police officers	37.5	75.2	60.6	62.7	7.3	6.3
PCSOs	2.8	5.7	7.1	8.0	-0.7	-1.1
Police staff	0.6	1.2	2.5	1.6	-0.6	-0.2
Non-staff costs	1.2	2.4	1.6	2.3	0.4	0.0
Earned income	-0.4	-0.7	-0.8	-1.1	0.0	0.2
Total cost	41.7	83.8	70.9	73.4	6.4	5.1

Cost/FTE	Force	All		MSG	
		All	MSG	All	MSG
Police officers	£48k	£50k	£49k	-1.3	-0.8
PCSOs	£30k	£30k	£30k	0.0	0.0
Staff	£27k	£31k	£33k	-0.1	-0.1

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces

** Net cost of the difference in spend to the average per head of all/MSG forces.



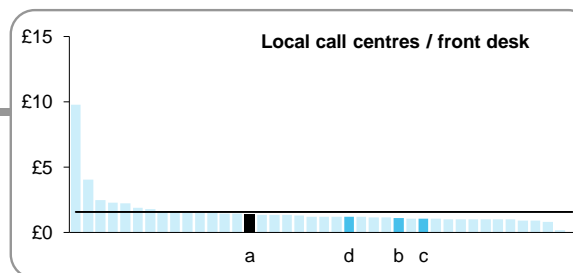
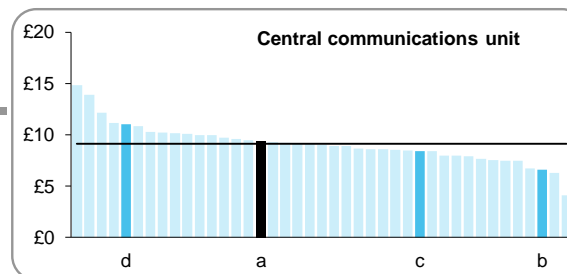
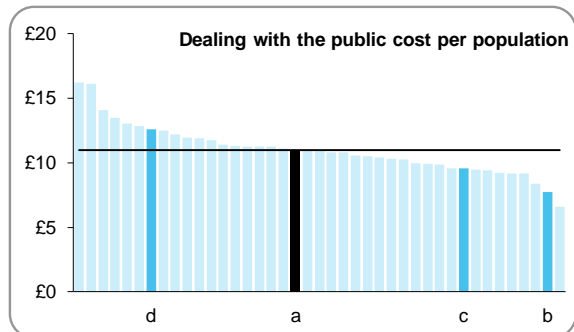
Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Dealing with the public

How does the force spend its money within dealing with the public compared with others?

Note that the Contact Management Unit heading was removed from the 2014/15 data collection.



Population 498k

			Averages	
	£m	£/head	All	MSG
Central communications unit	4.7	9.4	9.1	8.9
Local call centres/front desk	0.7	1.4	1.5	1.2
Command team and support	0.1	0.2	0.3	0.2
Dealing with the public	5.5	11.0	11.0	10.2

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Diff* £m	
All	MSG
0.1	0.3
-0.1	0.1
-0.1	0.0
0.0	0.4

%	
Officer**	MSG Average
14%	18%
0%	0%
98%	58%
13%	17%

Source: POA estimates 2014/15

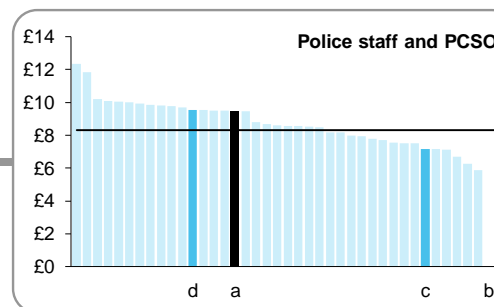
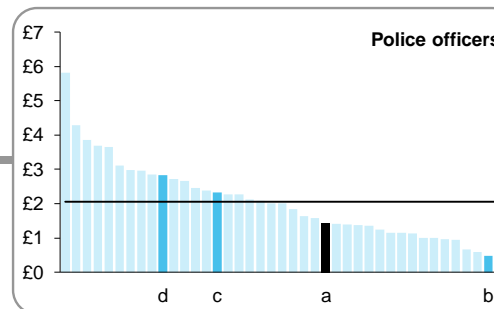
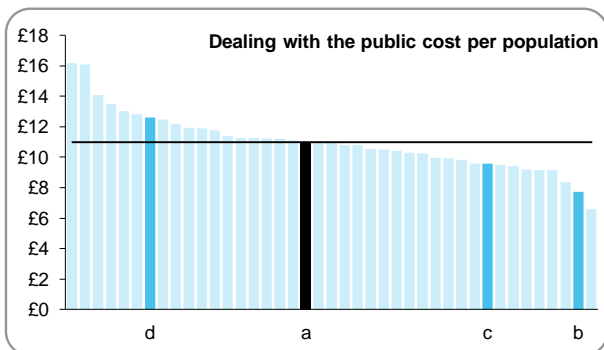
Cumbria

Income and expenditure - NRE by function - Dealing with the public - Use of resources

How does the force spend its money within dealing with the public compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Lincolnshire



Staffing	FTE	FTE per 1k pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	11	0.02	0.04	0.03	-7	-4
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	148	0.30	0.25	0.19	21	51

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	0.7	1.5	2.1	1.8	-0.3	-0.2
Police staff and PCSOs	4.7	9.5	8.3	6.5	0.6	1.5
Non-staff costs	0.0	0.0	0.6	1.9	-0.3	-0.9
Earned income	0.0	0.0	0.0	0.0	0.0	0.0
Total cost	5.5	11.0	11.0	10.2	0.0	0.4

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£66k	£57k	£60k	0.1	0.1
Police staff and PCSOs	£32k	£33k	£34k	-0.1	-0.3

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.

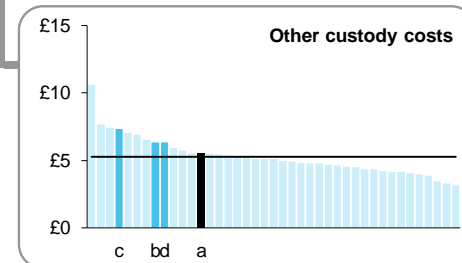
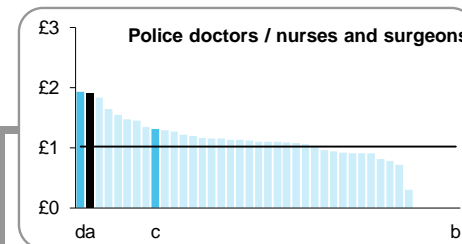
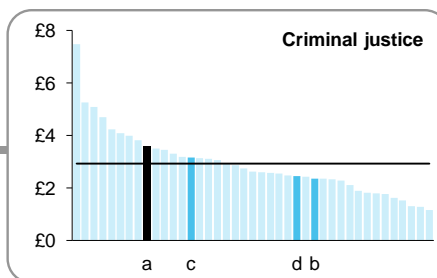
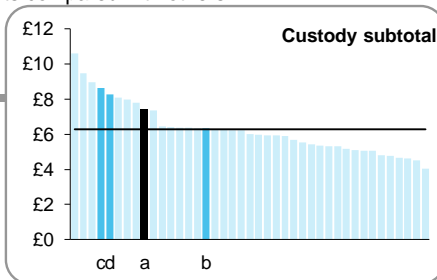
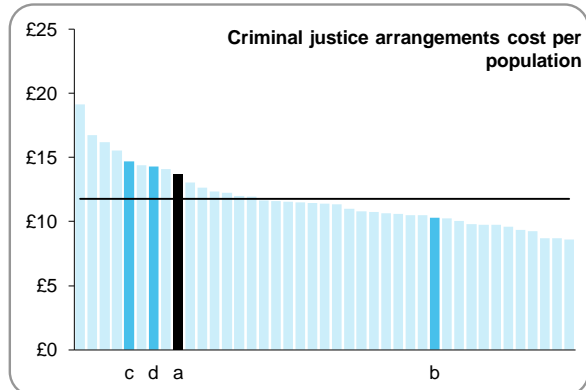
Source: POA estimates 2014/15

Income and expenditure - NRE by function - Criminal justice arrangements

What does the force spend on the different areas within criminal justice arrangements compared with others?

Note that not all charts are included.

The 2014/15 data collection did not include the separate heading for cost of interpreters. There appear to be differences in where forces have included these costs (most have them under Other custody costs, but others have included them under other objective headings).



Population 498k

	£m	£/head	Averages		Diff* £m		% MSG	
			All	MSG	All	MSG	Off**	Average
Custody	2.5	5.1	5.1	6.3	0.0	-0.6	60%	51%
Police doctors / nurses and surgeons	1.0	1.9	1.0	1.3	0.4	0.3	0%	0%
Other custody costs	0.2	0.4	0.2	0.1	0.1	0.1	0%	0%
Custody subtotal	3.7	7.4	6.3	7.7	0.6	-0.1	42%	41%
Criminal justice	1.8	3.6	2.9	2.9	0.3	0.4	7%	5%
Police national computer	0.7	1.4	1.1	1.3	0.1	0.0	0%	0%
Criminal records bureau	0.2	0.5	0.3	0.5	0.1	0.0	0%	0%
Property officer / stores	0.0	0.0	0.3	0.2	-0.1	-0.1	n/a	0%
Coroner assistance	0.1	0.2	0.2	0.2	0.0	0.0	0%	0%
Fixed penalty scheme	0.0	0.1	0.3	0.1	-0.1	0.0	0%	25%
Command team and support	0.3	0.6	0.3	0.3	0.1	0.1	98%	55%
Criminal justice arrangements	6.8	13.7	11.8	13.2	1.0	0.2	28%	26%

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

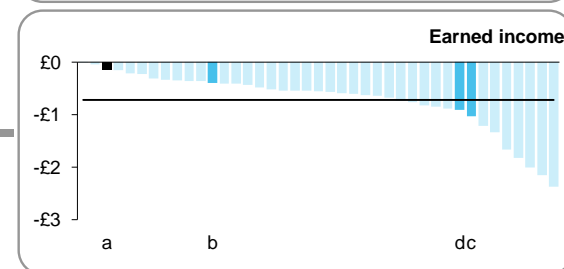
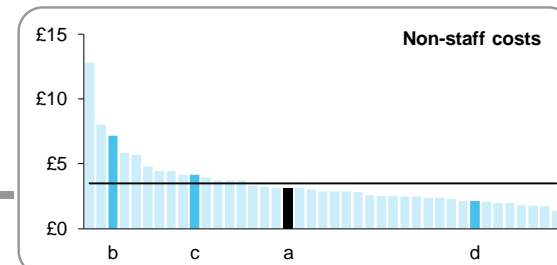
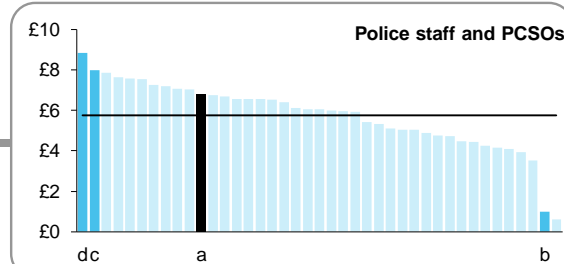
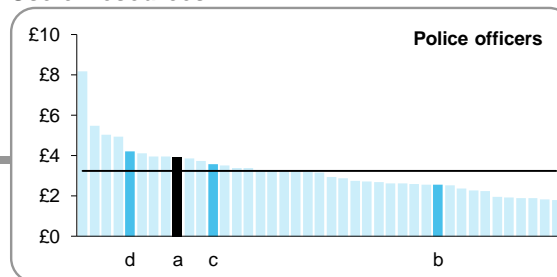
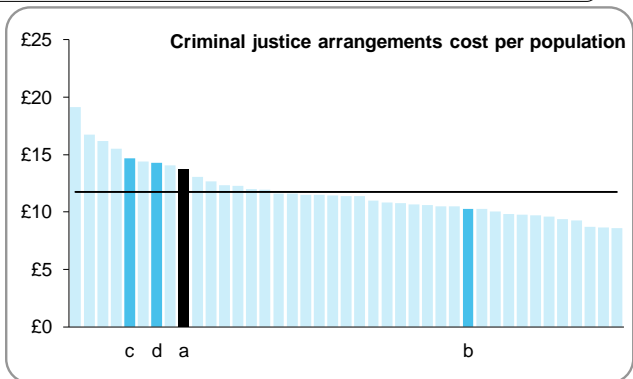
Cumbria

Income and expenditure - NRE by function - Criminal justice arrangements - Use of resources

How does the force spend its money within criminal justice arrangements compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Lincolnshire, Warwickshire.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	33	0.07	0.05	0.06	6	4
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	126	0.25	0.20	0.21	24	23

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	2.0	3.9	3.2	3.6	0.3	0.2
Police staff and PCSOs	3.4	6.8	5.8	6.1	0.5	0.3
Non-staff costs	1.6	3.2	3.5	4.2	-0.2	-0.5
Earned income	-0.1	-0.1	-0.7	-0.6	0.3	0.2
Total cost	6.8	13.7	11.8	13.2	1.0	0.2

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£59k	£59k	£61k	0.0	-0.1
Police staff and PCSOs	£27k	£28k	£30k	-0.2	-0.4

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

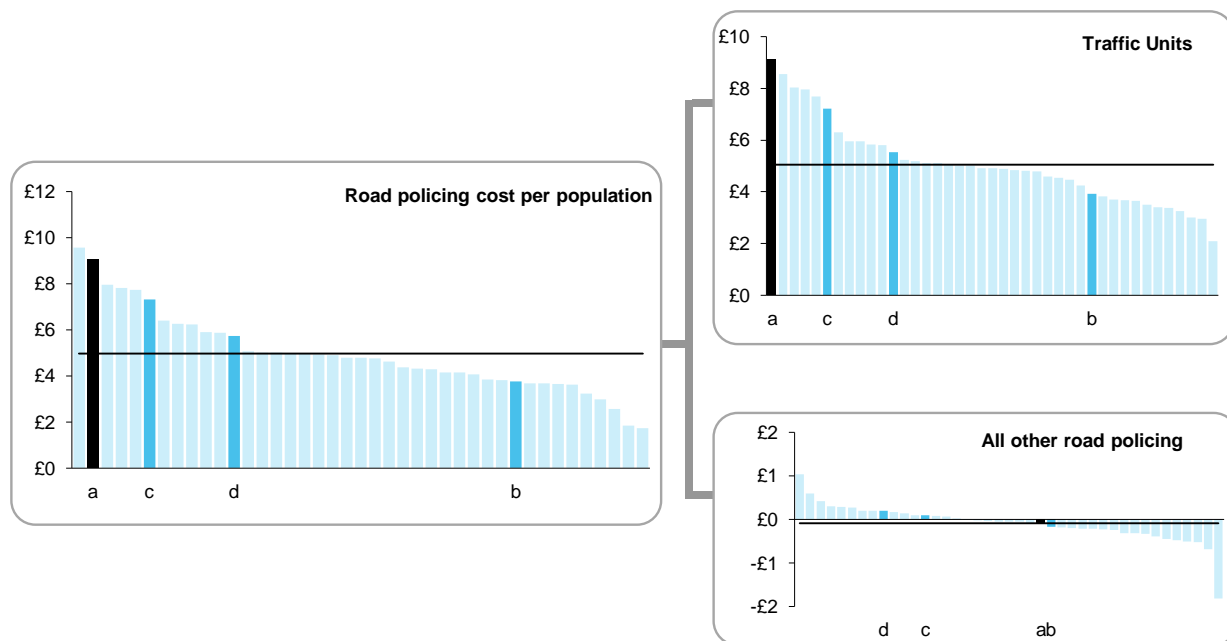
** Net cost of the difference in spend to the average per head of all/MSG forces.

Source: POA estimates 2014/15

Income and expenditure - NRE by function - Road policing

What does the force spend on the different areas within road policing compared with others?

Note that not all charts are included.



Population	498k											
			Averages		Diff* £m		% Off**		MSG			
	£m	£/head	All	MSG	All	MSG			Average			
Traffic Units	4.6	9.1	5.0	6.5	2.0	1.3	<<	99%	92%			
Traffic wardens / PCSOs - Traffic	0.0	0.0	0.0	0.0	0.0	0.0		n/a	0%			
Vehicle Recovery	0.0	0.0	0.0	0.0	0.0	0.0		0%	0%			
Casualty Reduction Partnership	-0.1	-0.2	-0.2	-0.1	0.0	-0.1		0%	10%			
Command Team and Support	0.1	0.1	0.1	0.1	0.0	0.0		70%	67%			
Road policing	4.5	9.0	5.0	6.5	2.0	1.3	<<	85%	80%			

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

Cumbria

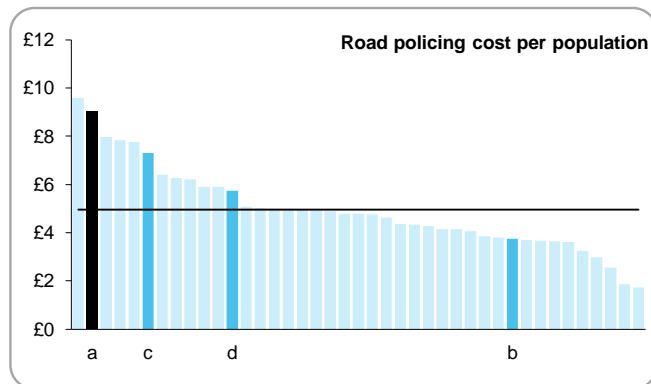
Income and expenditure - NRE by function - Road policing - Use of resources

How does the force spend its money within road policing compared with others?

Note that collaboration, outsourcing and other partnership arrangements will affect costs (staff and non-staff) and earned income for some forces - particularly those hosting such arrangements).

Earned income will include driver awareness courses and Casualty Reduction Partnerships.

Forces with collaboration payments over £2 per 1000 pop: Cambridgeshire .



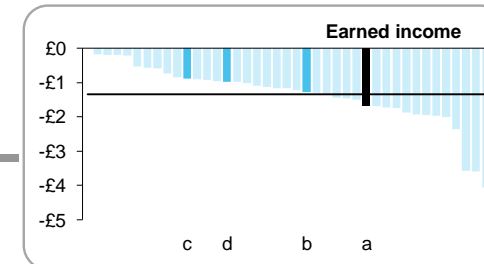
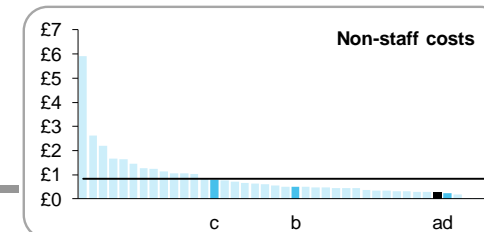
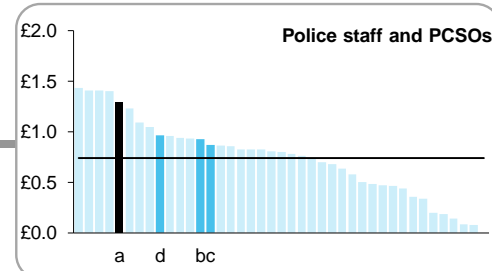
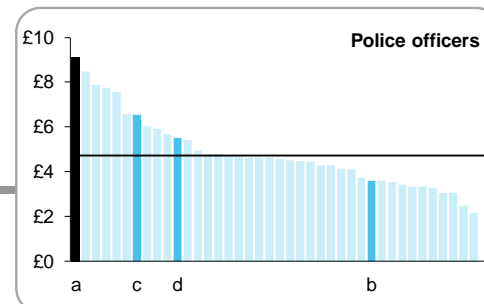
Staffing	FTE	FTE per 1k pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	92	0.19	0.09	0.12	46	34
PCSOs	0	0.00	0.00	0.00	0	0
Police Staff	24	0.05	0.02	0.03	12	9

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	4.6	9.1	4.7	6.2	2.2	1.5
Police staff and PCSOs	0.6	1.3	0.7	1.0	0.3	0.1
Non-staff costs	0.1	0.3	0.8	0.5	-0.3	-0.1
Earned income	-0.8	-1.7	-1.3	-1.2	-0.2	-0.2
Total cost	4.5	9.0	5.0	6.5	2.0	1.3

Cost/FTE	Force	All	MSG	All	MSG
Police officers	£49k	£51k	£53k	-0.1	-0.3
Police staff and PCSOs	£27k	£30k	£32k	-0.1	-0.1

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.



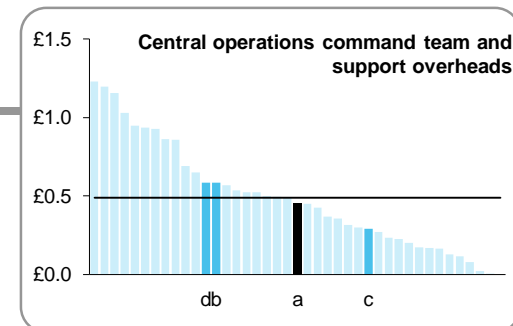
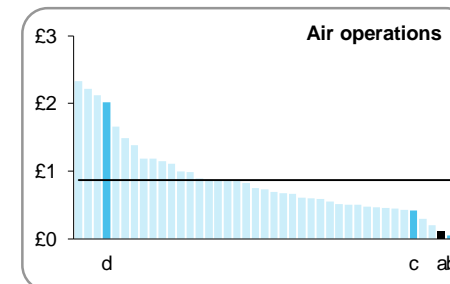
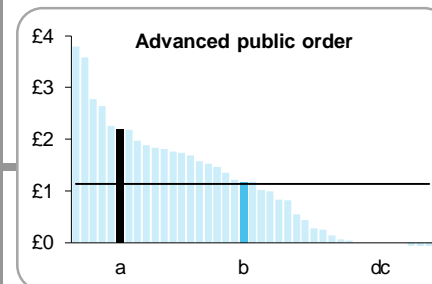
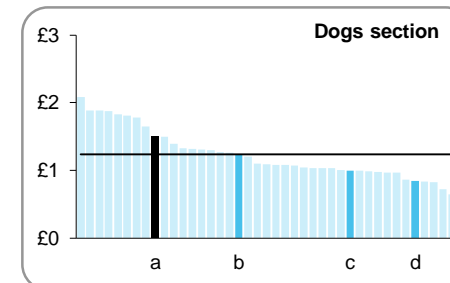
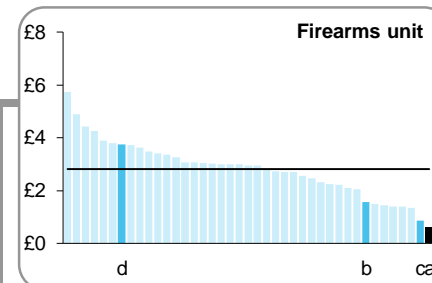
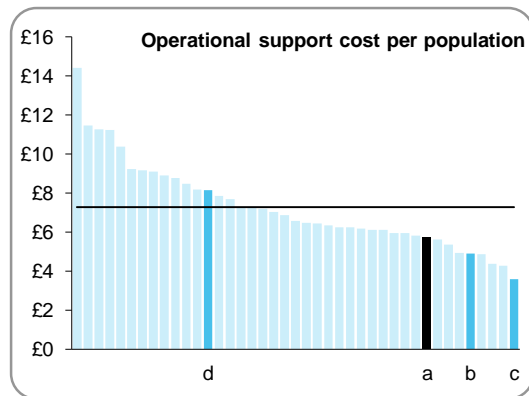
Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Operational support

What does the force spend on the different areas within operational support compared with others?

Note that not all charts are included and that operational support used here is the POA category, not the workforce descriptor used in HMIC's Policing in Austerity: Rising to the Challenge (July 2013).



Population		498k									
				Averages		Diff* £m		% MSG			
	£m	£/head	All	MSG	All	MSG		Off**	Average		
Firearms unit	0.3	0.6	2.8	1.7	-1.1	-0.5	<<	84%	84%		
Dogs section	0.7	1.5	1.2	1.1	0.1	0.2		95%	91%		
Advanced public order	1.1	2.2	1.1	0.8	0.5	0.7		99%	50%		
Air operations	0.1	0.1	0.9	0.6	-0.4	-0.3		0%	6%		
Civil contingencies	0.4	0.7	0.5	0.6	0.1	0.1		96%	58%		
Specialist terrain	0.1	0.1	0.1	0.1	0.0	0.0		61%	26%		
Mounted police	0.0	0.0	0.1	0.0	-0.1	0.0		n/a	0%		
Event (new heading in 2014/15)	0.0	0.0	0.0	0.1	0.0	-0.1		72%	93%		
Airports and ports policing unit	0.0	0.0	0.0	0.0	0.0	0.0		n/a	0%		
Command team and support	0.2	0.5	0.5	0.5	0.0	0.0		76%	61%		
Operational support	2.8	5.7	7.3	5.6	-0.8	0.1		90%	78%		

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

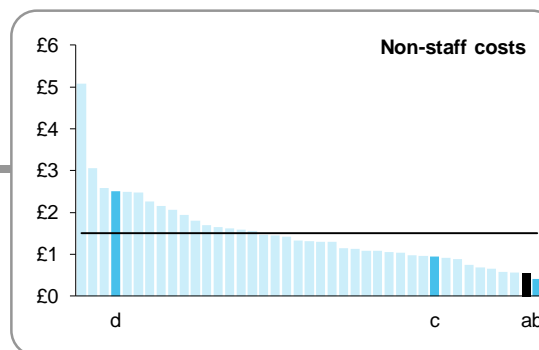
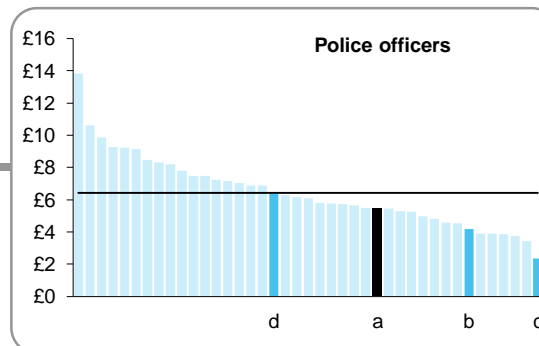
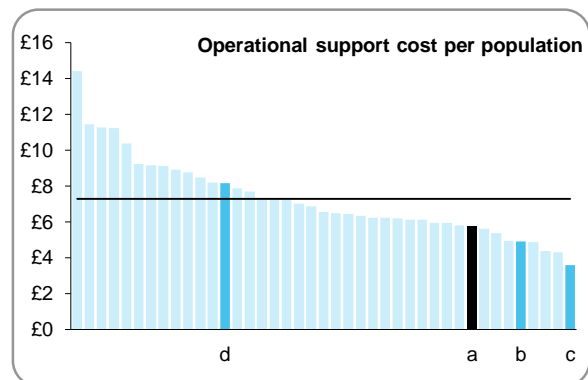
Cumbria

Income and expenditure - NRE by function - Operational support - Use of resources

How does the force spend its money within operational support compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Bedfordshire , Cambridgeshire and South Wales. Forces with collaboration income over £2 per 1000 pop: Sussex.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	53	0.11	0.12	0.08	-7	11
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	2	0.00	0.01	0.01	-4	-2

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	2.7	5.5	6.4	4.6	-0.5	0.4
Police staff and PCSOs	0.0	0.1	0.4	0.2	-0.2	-0.1
Non-staff costs	0.3	0.6	1.5	1.1	-0.5	-0.3
Earned income	-0.2	-0.4	-1.1	-0.3	0.4	0.0
Total cost	2.8	5.7	7.3	5.6	-0.8	0.1

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£52k	£54k	£55k	-0.1	-0.2
Police staff and PCSOs	£19k	£31k	£32k	0.0	0.0

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

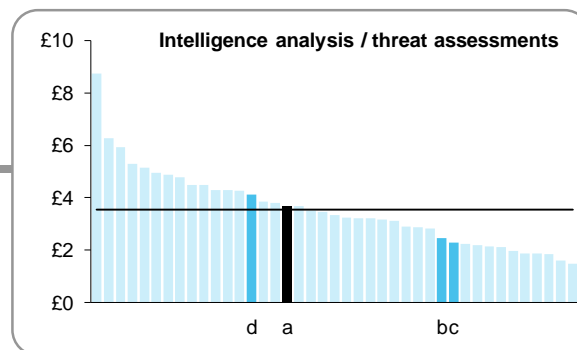
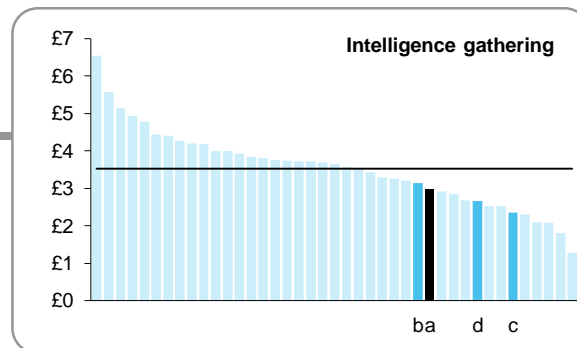
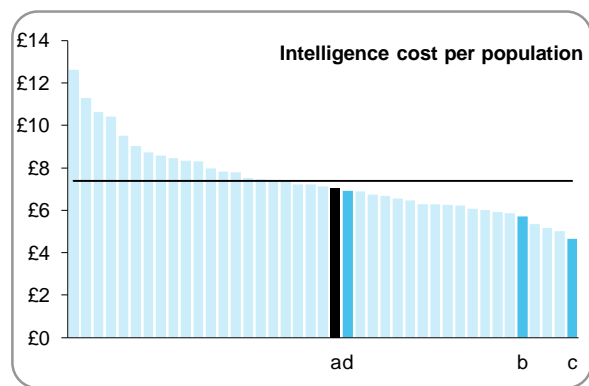
** Net cost of the difference in spend to the average per head of all/MSG forces.

Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Intelligence

What does the force spend on the different areas within intelligence compared with others?



Population		498k									
				Averages		Diff* £m		% MSG			
	£m	£/head	All	MSG	All	MSG		Off**	Average		
Intelligence gathering	1.5	3.0	3.5	2.8	-0.3	0.1		71%	70%		
Intelligence analysis / threat assessments	1.8	3.7	3.6	3.1	0.1	0.3		60%	48%		
Command team and support	0.2	0.4	0.3	0.2	0.0	0.1		89%	68%		
Intelligence	3.5	7.0	7.4	6.1	-0.2	0.5		66%	58%		

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

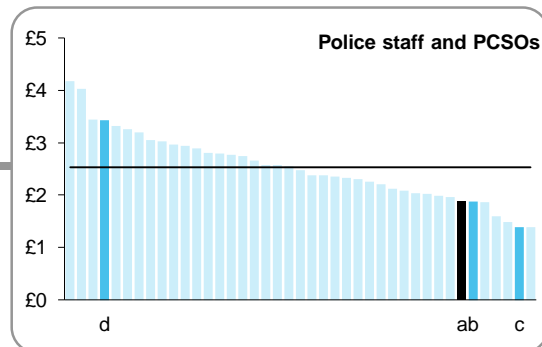
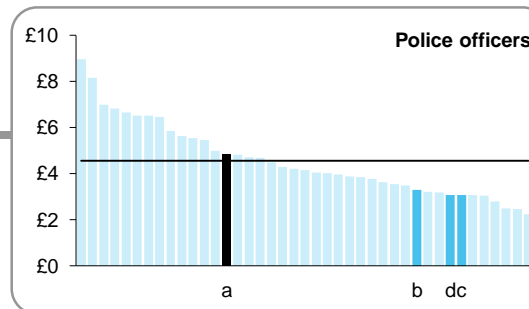
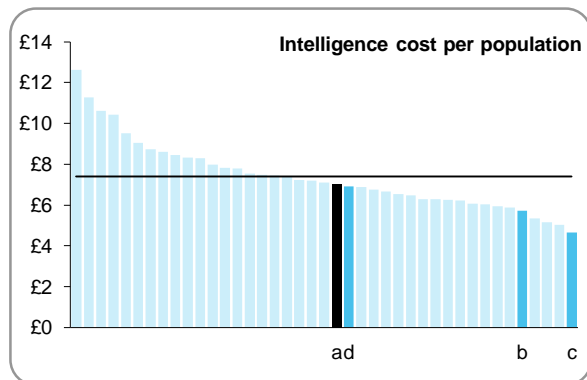
Source: POA estimates 2014/15

Income and expenditure - NRE by function - Intelligence - Use of resources

How does the force spend its money within intelligence compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration income over £2 per 1000 pop: Derbyshire, Leicestershire, Thames Valley.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	43	0.09	0.09	0.06	0	11
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	31	0.06	0.08	0.07	-8	-2

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	2.4	4.8	4.6	3.6	0.1	0.6
Police staff and PCSOs	0.9	1.9	2.5	2.1	-0.3	-0.1
Non-staff costs	0.3	0.6	0.6	0.5	0.0	0.1
Earned income	-0.1	-0.3	-0.3	-0.1	0.0	-0.1
Total cost	3.5	7.0	7.4	6.1	-0.2	0.5

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£56k	£53k	£55k	0.1	0.0
Police staff and PCSOs	£30k	£32k	£32k	-0.1	-0.1

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.

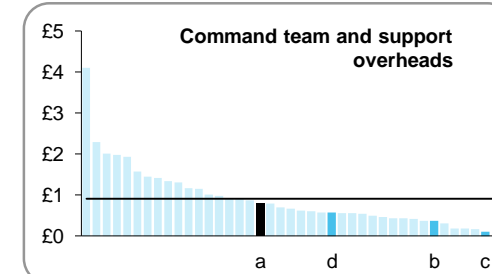
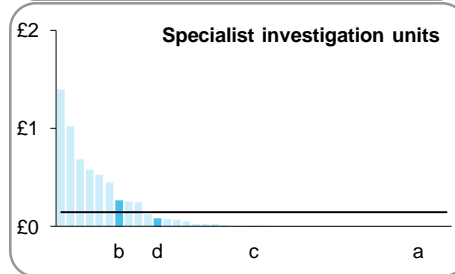
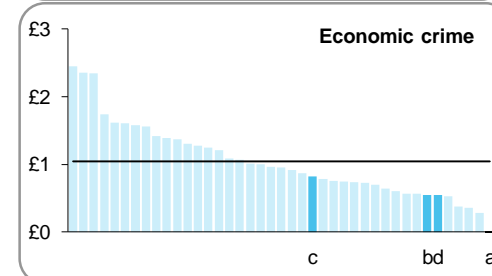
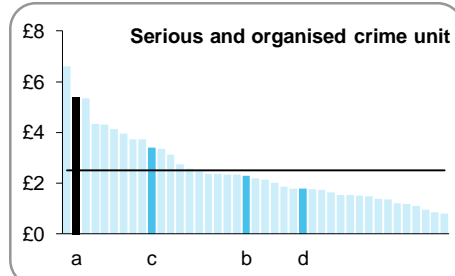
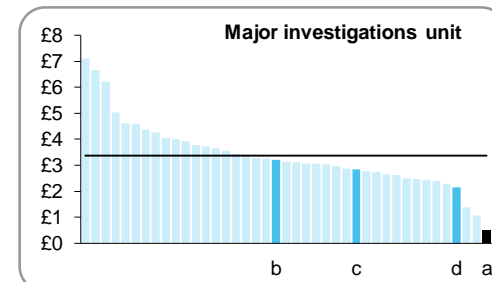
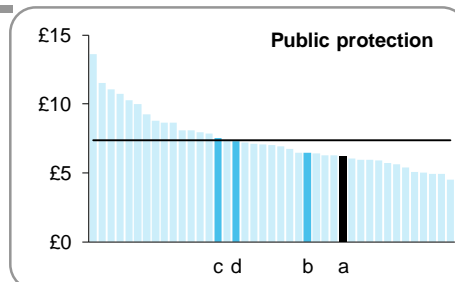
Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Investigations (excluding local investigation/prisoner processing)

What does the force spend on the different areas within investigations compared with others?

Note that local investigation/prisoner processing is under local policing.



Population 498k

	£m	£/head	Averages	
			All	MSG
Public protection	3.1	6.2	7.4	6.9
Major investigations unit	0.2	0.5	3.4	2.2
Serious and organised crime unit	2.7	5.4	2.5	3.2
Economic crime	0.0	0.0	1.0	0.5
Specialist investigation units	0.0	0.0	0.1	0.1
Command team and support overheads	0.4	0.8	0.9	0.5
Investigations	6.4	12.9	15.3	13.3

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Diff* £m		% Off**	Average MSG
All	MSG		
-0.6	-0.3	82%	83%
-1.4	-0.8 <<	73%	74%
1.4	1.1 <<	86%	68%
-0.5	-0.2 <<	100%	61%
-0.1	0.0	n/a	32%
-0.1	0.2	55%	52%
-1.2	-0.2	82%	76%

Source: POA estimates 2014/15

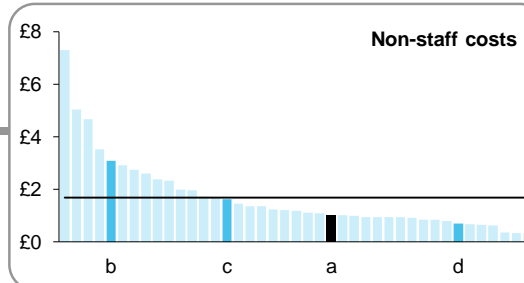
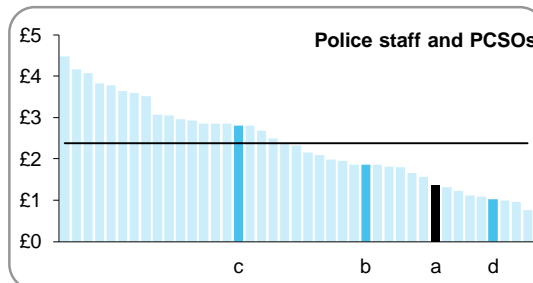
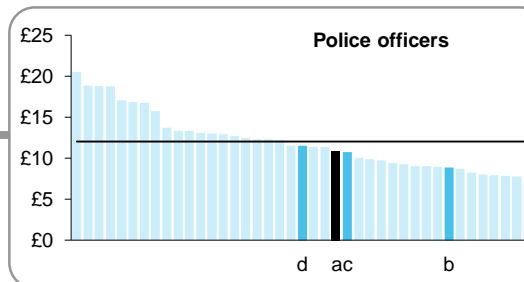
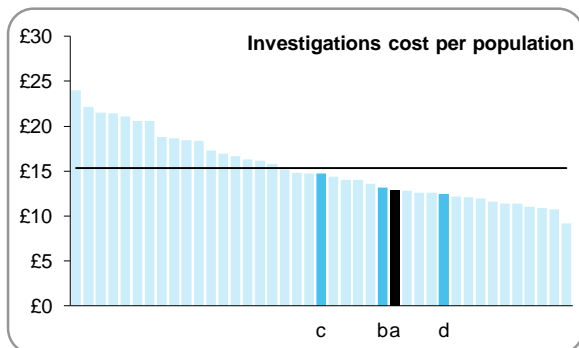
Cumbria

Income and expenditure - NRE by function - Investigations (excluding local investigation/prisoner processing) - Use of resources

How does the force spend its money within investigations compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Cambridgeshire, Derbyshire, Lincolnshire, Merseyside, Northamptonshire and Nottinghamshire. Forces with collaboration income over £2 per 1000 pop: Leicestershire and Merseyside.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	99	0.20	0.22	0.19	-9	4
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	24	0.05	0.08	0.06	-15	-5

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	5.4	10.8	12.0	10.5	-0.6	0.2
Police staff and PCSOs	0.7	1.4	2.4	1.8	-0.5	-0.2
Non-staff costs	0.5	1.0	1.7	1.6	-0.3	-0.3
Earned income	-0.2	-0.3	-0.7	-0.6	0.2	0.1
Total cost	6.4	12.9	15.3	13.3	-1.2	-0.2

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£54k	£55k	£55k	-0.1	-0.1
Police staff and PCSOs	£29k	£30k	£31k	0.0	0.0

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.

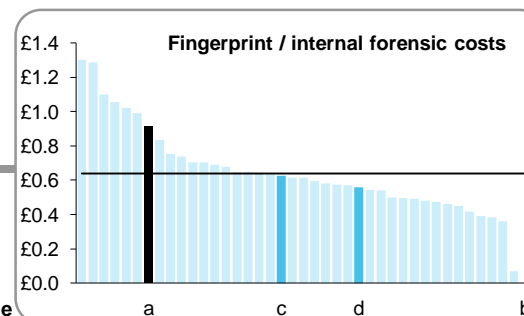
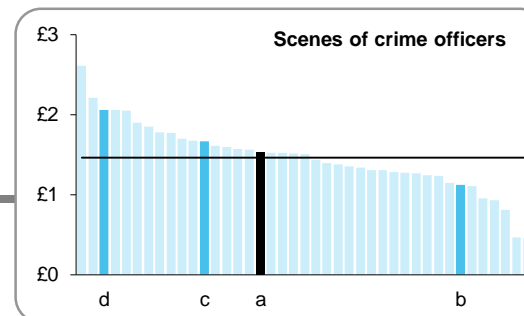
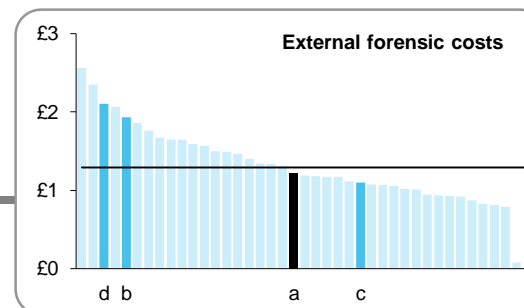
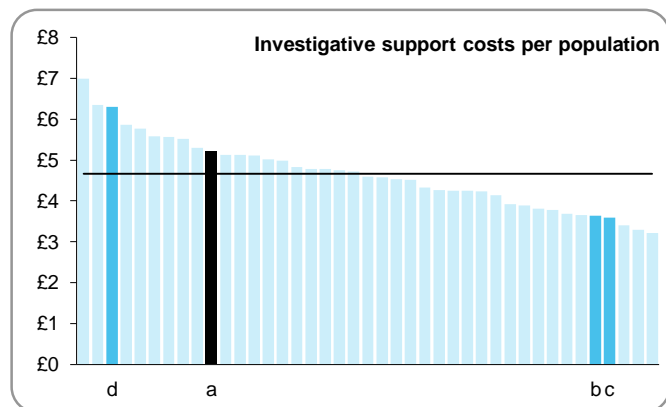
Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Investigative support

What does the force spend on the different areas within investigative support compared with others?

Note that not all charts are included.



Population	498k							
			Averages		Diff* £m		%	MSG
	£m	£/head	All	MSG	All	MSG	Off**	Average
External forensic costs	0.6	1.2	1.3	1.6	0.0	-0.2	0%	0%
Scenes of crime officers	0.8	1.5	1.5	1.6	0.0	0.0	0%	0%
Fingerprint/internal forensic	0.5	0.9	0.6	0.5	0.1	0.2	0%	0%
Photographic image recovery	0.2	0.3	0.3	0.3	0.0	0.0	0%	0%
Other forensic services	0.6	1.1	0.8	0.6	0.2	0.3	58%	45%
Command team and support	0.0	0.1	0.1	0.1	0.0	0.0	0%	0%
Investigative support	2.6	5.2	4.7	4.7	0.3	0.3	13%	5%

* Net cost of the difference in spend to the average per head of all/MSG forces.

** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

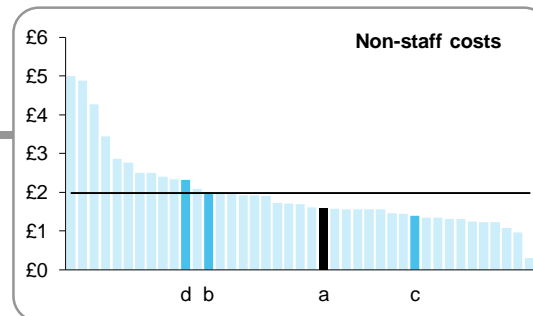
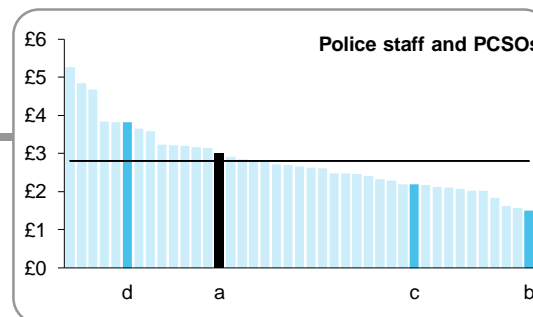
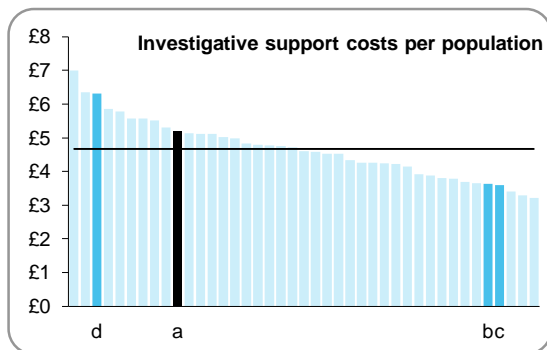
Cumbria

Income and expenditure - NRE by function - Investigative support - Use of resources

How does the force spend its money within investigative support compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Humberside, North Yorkshire and South Yorkshire. Forces with collaboration income over £2 per 1000 pop: Derbyshire, Humberside, South Yorkshire and West Yorkshire.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	6	0.01	0.00	0.00	4	4
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	41	0.08	0.08	0.07	4	8

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	0.3	0.7	0.3	0.3	0.2	0.2
Police staff and PCSOs	1.5	3.0	2.8	2.6	0.1	0.2
Non-staff costs	0.8	1.6	2.0	1.8	-0.2	-0.1
Earned income	0.0	-0.1	-0.4	0.0	0.2	0.0
Total cost	2.6	5.2	4.7	4.7	0.3	0.3

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£55k	£53k	£54k	0.0	0.0
Police staff and PCSOs	£36k	£37k	£39k	0.0	-0.1

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.

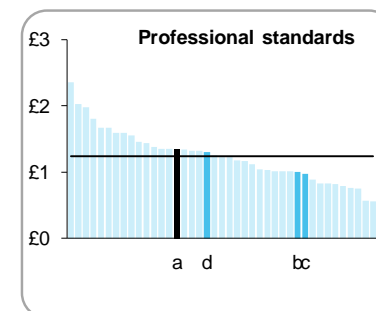
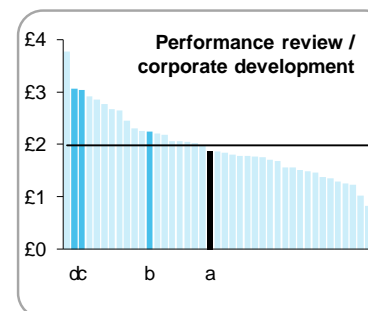
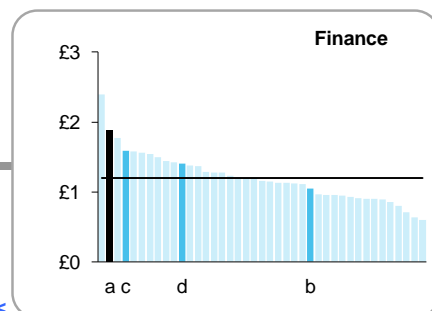
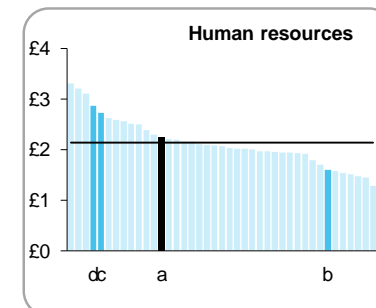
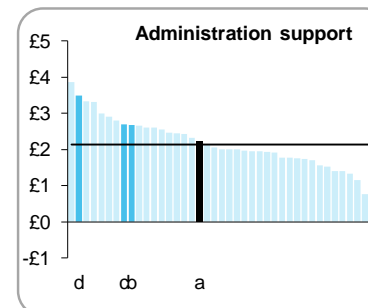
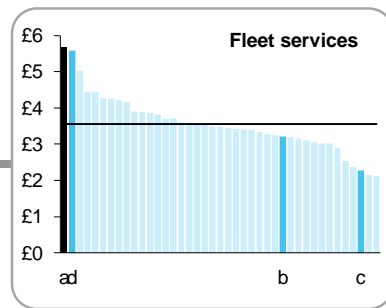
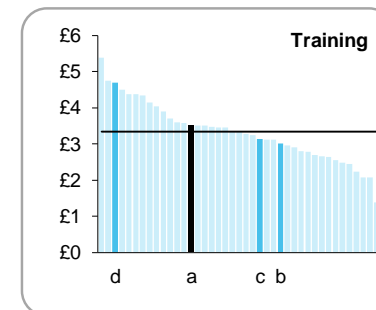
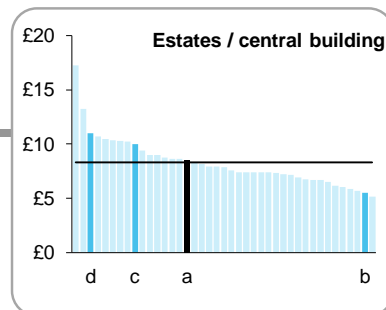
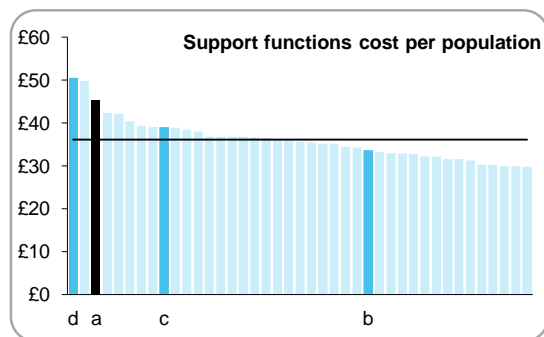
Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - Support functions

What does the force spend on the different areas within support functions compared with others?

See the following pages for more details.



Population 498k

			Averages		Diff* £m	
	£m	£/head	All	MSG	All	MSG
Estates / central building	4.2	8.5	8.3	8.7	0.1	-0.1
ICT	6.6	13.3	8.3	11.0	2.5	1.1 <<
Training	1.7	3.5	3.3	3.6	0.1	0.0
Fleet services	2.8	5.7	3.6	4.2	1.1	0.7 <<
Administration support	1.1	2.2	2.1	2.8	0.0	-0.3
Human resources	1.1	2.3	2.1	2.4	0.1	-0.1
Finance	0.9	1.9	1.2	1.5	0.3	0.2
Performance review	0.9	1.9	2.0	2.6	-0.1	-0.3
Professional standards	0.7	1.3	1.2	1.2	0.1	0.1
All other support functions	2.3	4.7	3.9	4.3	0.4	0.2
Support functions	22.6	45.3	36.1	42.2	4.6	1.6 <<

* Net cost of the difference in spend to the average per head of all/MSG forces.

Source: POA estimates 2014/15

Cumbria

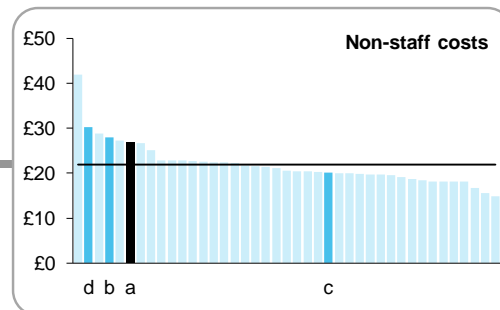
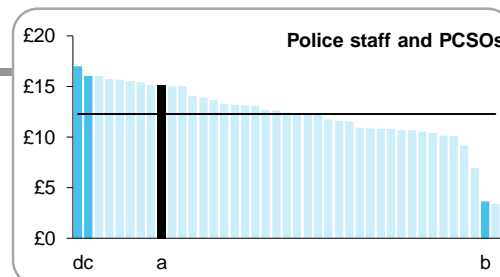
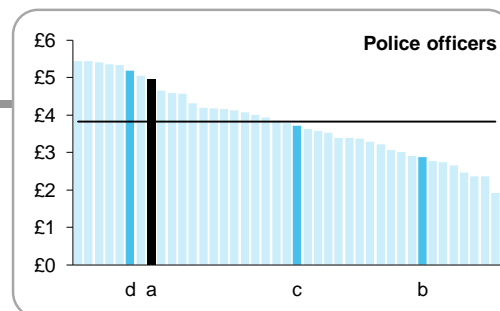
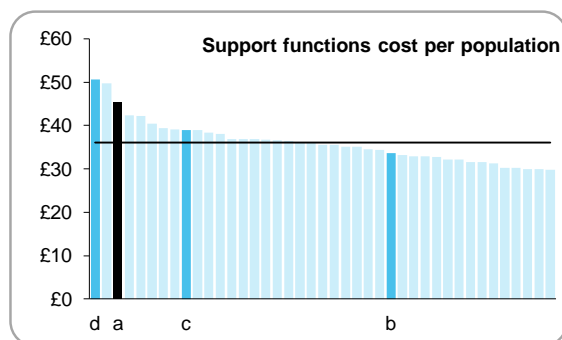
Income and expenditure - NRE by function - Support functions - Use of resources

How does the force spend its money within support functions compared with others?

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

Forces with collaboration payments over £2 per 1000 pop: Bedfordshire, Derbyshire, Gwent, Hampshire, Humberside, Lincolnshire, South Yorkshire and Sussex.

Forces with collaboration income over £2 per 1000 pop: Derbyshire, Humberside, Kent, Leicestershire, South Yorkshire, Sussex and Thames Valley.



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	36	0.07	0.06	0.06	6	6
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	223	0.45	0.36	0.36	41	43

Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	2.5	5.0	3.8	4.2	0.6	0.4
Police staff and PCSOs	7.5	15.1	12.3	13.0	1.4	1.1
Non-staff costs	13.3	26.8	21.9	26.3	2.4	0.3
Earned income	-0.8	-1.6	-1.9	-1.2	0.2	-0.2
Total cost	22.6	45.3	36.1	42.2	4.6	1.6

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£68k	£64k	£69k	0.2	0.0
Police staff and PCSOs	£34k	£34k	£36k	0.0	-0.5

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.

Source: POA estimates 2014/15

Income and expenditure - NRE by function - Support functions - Use of resources (2)

These charts provide a detailed breakdown of support service functions as a cost per FTE and a percentage of total NRE.

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.

POA 2014/15 estimates

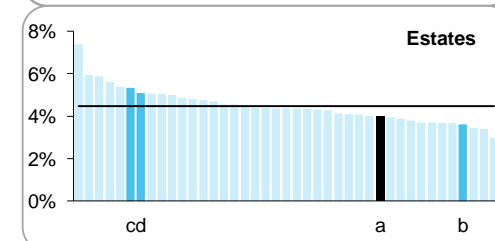
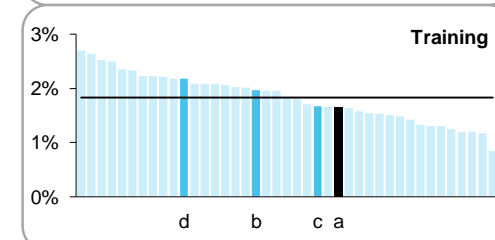
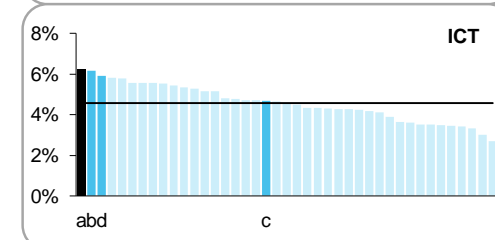
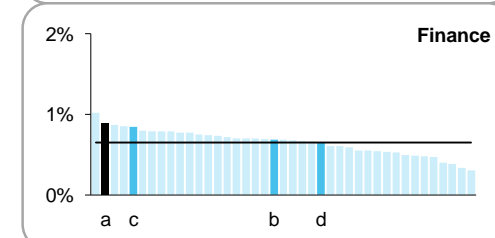
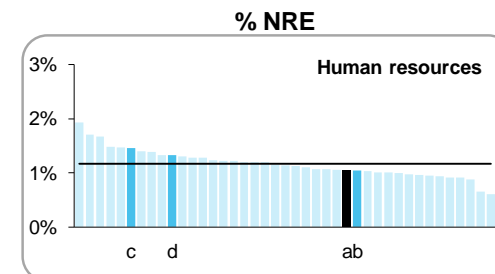
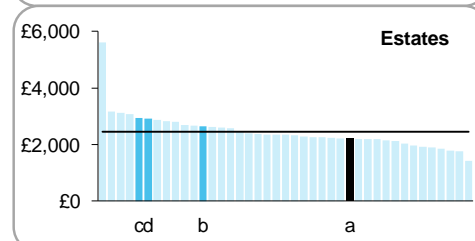
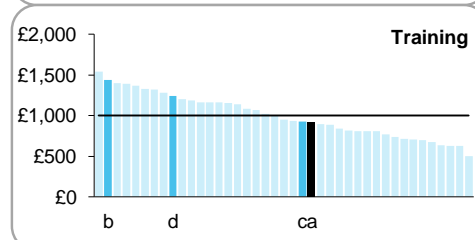
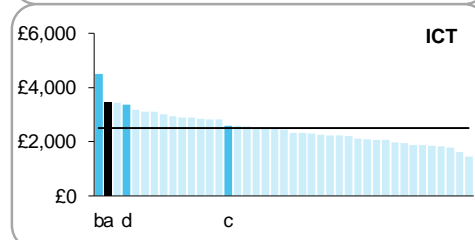
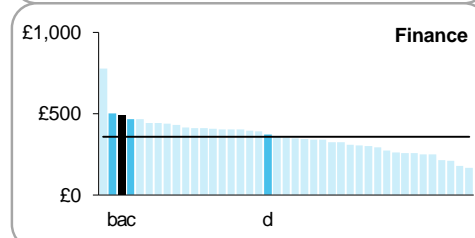
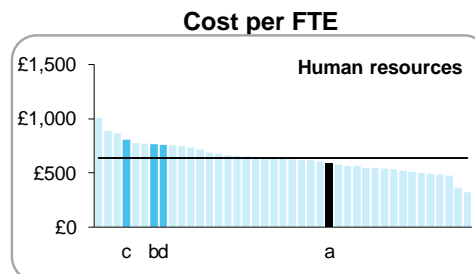
(including national policing functions)

Total FTE	1,912 (Officers, staff and PCSOs)
Officer FTE	1,161
Total NRE (£m)	106.4

	Cost £m	per FTE	All Avg	Diff* £m
Human resources	1.1	£586	£636	-0.1
Finance	0.9	£492	£360	0.3
ICT	6.6	£3,470	£2,501	1.9
Training	1.7	£914	£998	-0.2
Estates	4.2	£2,211	£2,456	-0.5

	% NRE	All Avg	Diff* £m
Human resources	1.1%	1.2%	-0.1
Finance	0.9%	0.7%	0.2
ICT	6.2%	4.6%	1.8
Training	1.6%	1.8%	-0.2
Estates	4.0%	4.5%	-0.5

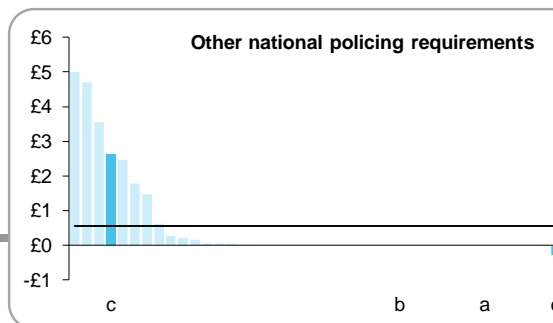
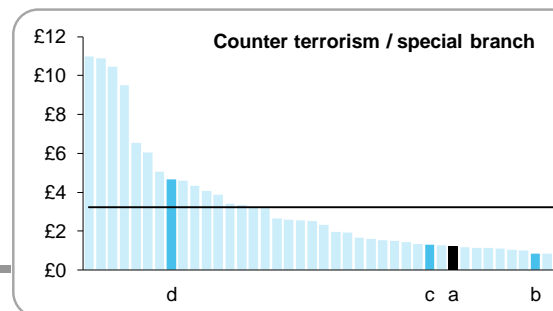
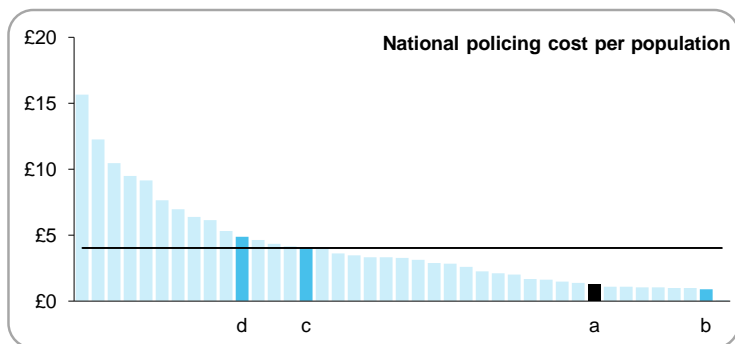
* Net cost of the difference in spend to the average per head of all forces.



Source: POA estimates 2014/15

Income and expenditure - NRE by function - National policing

What does the force spend on the different areas within national policing compared with others?



Population		498k									
	£m	£/head	Averages		Diff* £m		% Off**	MSG			
			All	MSG	All	MSG		Average			
Counter terrorism/special branch	0.6	1.2	3.2	2.0	-1.0	-0.4	81%	81%			
Other national policing requirements	0.0	0.0	0.6	0.6	-0.3	-0.3	n/a	22%			
Hosting national services	0.0	0.0	0.0	0.0	0.0	0.0	n/a	0%			
Secondments (out of force)	0.0	-0.0	0.0	0.0	0.0	0.0	94%	96%			
ACPO projects / initiatives	0.0	0.0	0.2	0.1	-0.1	0.0	0%	0%			
National policing	0.6	1.2	4.0	2.7	-1.4	-0.8	84%	84%			
Specific grants	-0.3	-0.6	-3.2	-2.2	1.3	0.8					
Cost net of grants	0.3	0.6	0.8	0.5	-0.1	0.0					

* Net cost of the difference in spend to the average per head of all/MSG forces.

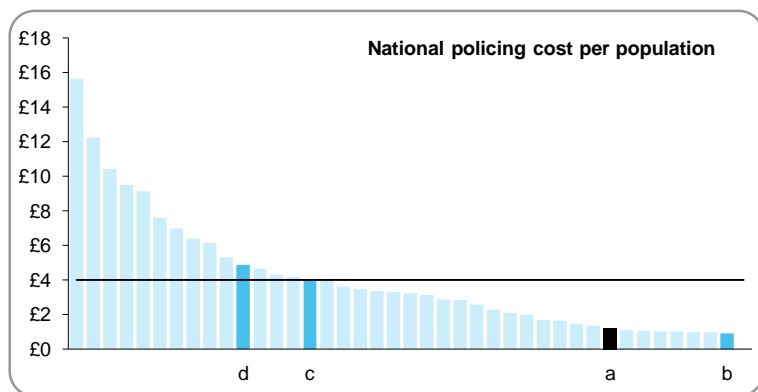
** Officer salaries and overtime as % of gross expenditure

Source: POA estimates 2014/15

Cumbria

Income and expenditure - NRE by function - National policing - Use of resources

How does the force spend its money within national policing compared with others?



Staffing	FTE	FTE per 1000 pop	Averages		Diff* FTE	
			All	MSG	All	MSG
Police officers	15	0.03	0.06	0.06	-14	-13
PCSOs	0	0.00	0.00	0.00	0	0
Police staff	4	0.01	0.02	0.01	-9	-3

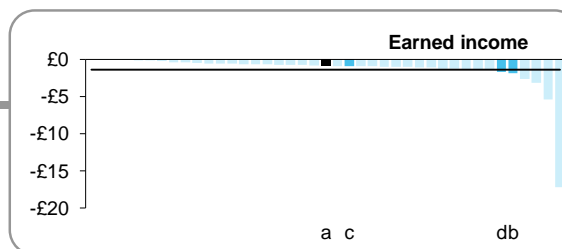
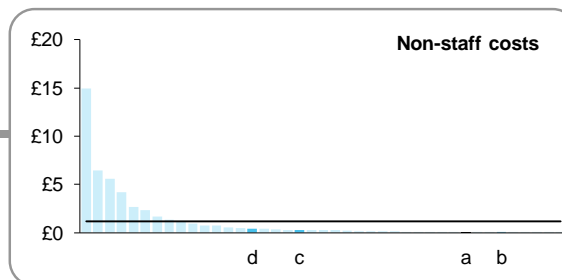
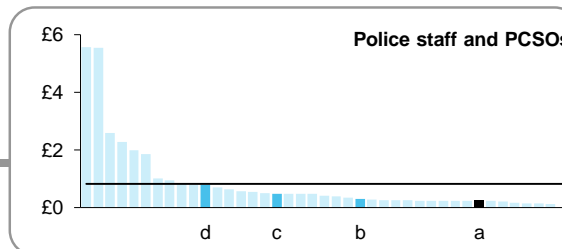
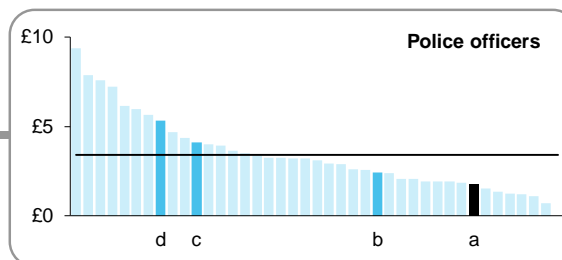
Expenditure	£m	£/head	Averages		Diff** £m	
			All	MSG	All	MSG
Police officers	0.9	1.7	3.4	3.4	-0.8	-0.8
Police staff and PCSOs	0.1	0.2	0.8	0.5	-0.3	-0.1
Non-staff costs	0.0	0.1	1.2	0.2	-0.5	-0.1
Income exc grants	-0.4	-0.8	-1.4	-1.3	0.3	0.2
Total cost	0.6	1.2	4.0	2.7	-1.4	-0.8

Specific grants	-0.3	-0.6	-3.2	-2.2	1.3	0.8
Cost net of grants	0.3	0.6	0.8	0.5	-0.1	0.0

Cost/FTE	Force	Averages		Diff** £m	
		All	MSG	All	MSG
Police officers	£58k	£58k	£60k	0.0	0.0
Police staff and PCSOs	£33k	£34k	£33k	0.0	0.0

* Net difference in the number of staff/officers compared to if the force had the average number of FTEs per head of all/MSG forces.

** Net cost of the difference in spend to the average per head of all/MSG forces.



Source: POA estimates 2014/15

Income and expenditure - NRE by function - Police and Crime Commissioner/Local policing bodies

What is the expenditure of the local policing body on its own office and non-policing commissioned services?

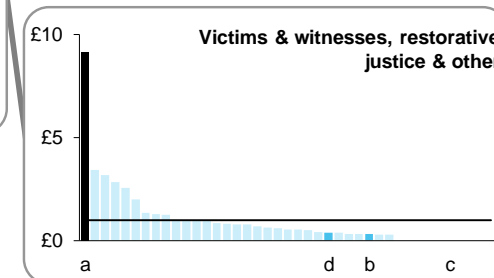
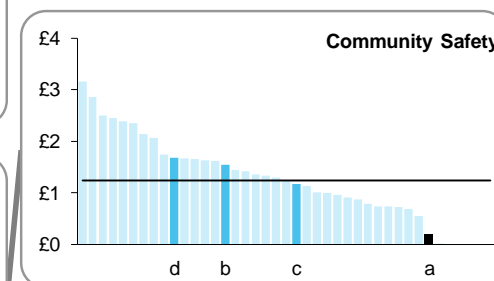
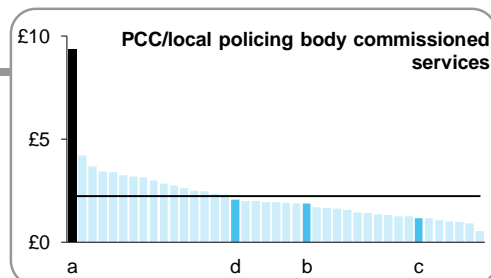
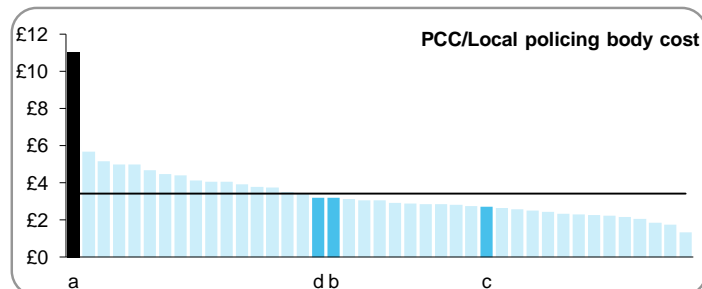
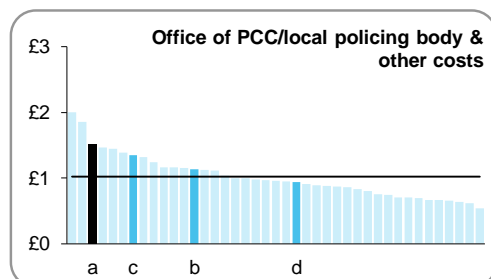
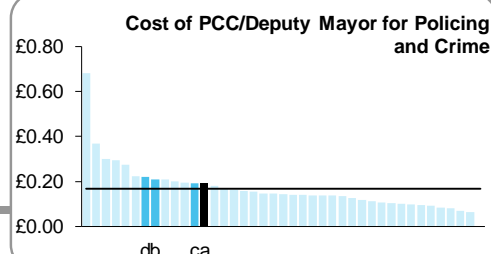
Broadly, 'Cost of PCC/Deputy Mayor for Policing and Crime' includes salary and associated costs (including expenses and training) of the PCC, deputy PCC and any appointed deputies and special advisors. For the Metropolitan Police Service this relates to the Deputy Mayor for Policing and Crime and similar staff and costs. PCC salaries are set by the Senior Salaries Review Body.

'Office of PCC/local policing body & other costs' includes salary and associated costs of the Chief Executive, Chief Finance Officer and any other staff employed to support the PCC/ Deputy Mayor as well as office-running costs. It also includes other local policing body costs such as external audit and council tax leaflets.

PCC Commissioned services includes

- services previously commissioned under the community safety fund grant (monies previously allocated separately for community safety, now combined within the main grant to PCC/local policing body)
- victim and witness services including restorative justice (RJ)
- services directly commissioned by the PCC
- costs associated with the commissioning of the 2013/14 Ministry of Justice grant.

The split between Community Safety and Victims/Witnesses/RJ/Other costs is based on percentage of gross PCC Commissioned Services spent on Community Safety.



The data on the office of the PCC should be read with caution as staff numbers will vary according to the local context. Some staff within the OPCC may be providing a dual service to the force, e.g., finance, communications or analysis teams. Also, the transition of staff from employment by the police authority to the PCC and Chief Constable may impact on staff numbers. This transition was undertaken in two stages. The first transferred all staff (not police officers) to the employment of the PCC, the second covered the return of operational staff to the Chief Constable. The PCC retained some functions under this process and these may not be consistent across all OPCCs.

Note that HMIC do not inspect expenditure incurred by local policing bodies/PCCs.

Population	498k		Averages		Diff* £m	
	£m	£/head	All	MSG	All	MSG
Cost of PCC/Deputy Mayor for Policing and Crime	0.10	0.19	0.17	0.20	0.01	-0.01
Office of PCC/local policing body & other costs	0.75	1.51	1.02	1.23	0.25	0.14 <<
PCC/local policing body commissioned services	4.65	9.33	2.22	3.60	3.54	2.85
Community Safety	0.10	0.20	1.24	1.15	-0.52	-0.47 <<
Victims & witnesses, restorative justice & other	4.55	9.13	0.98	2.45	4.06	3.32 <<
PCC/Local policing body cost	5.49	11.03	3.41	5.04	3.80	2.98

* Net cost of the difference in spend to the average per head of all/MSG PCCs/local policing bodies.

Source: POA estimates 2014/15

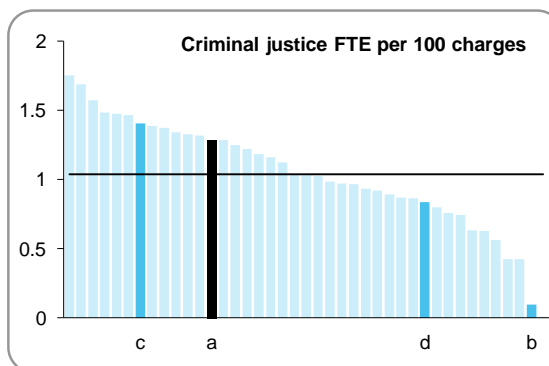
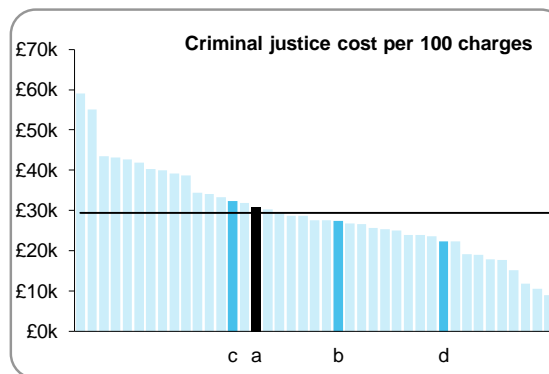
Income and expenditure - Criminal justice costs

How much does the force spend per charge compared with others? What is the size of its workforce that deals with criminal justice?

These charts show the NRE cost of criminal justice (as opposed to criminal justice arrangements) per 100 charges.

FTE within the criminal justice function is then shown per 100 charges.

Note that charges data is from 2013/14 whereas FTE and cost figures are from 2014/15 estimates.



Charges		5,823			
	Force	Per 100 charges	Averages		MSG Diff
			All	MSG	
Criminal justice FTE	75	1.3	1.0	0.9	22 *
Criminal justice cost	£1.8m	£31k	£29k	£28k	£0.2m **

* Net difference in the number of FTEs compared to if the force had the average number of FTEs per head of MSG forces

** Net cost of the difference in spend to the average per head of all/MSG forces.

Source: POA estimates 2014/15 (costs/FTE) and Home Office Crime Statistics 2013/14 (charges)

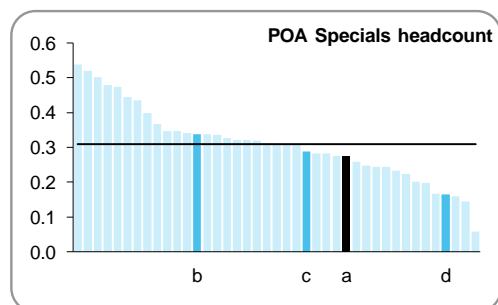
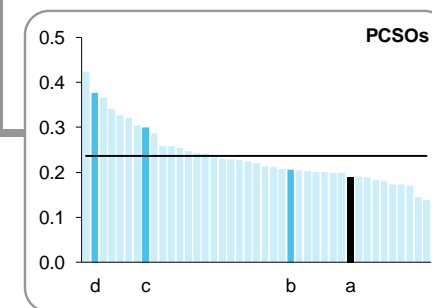
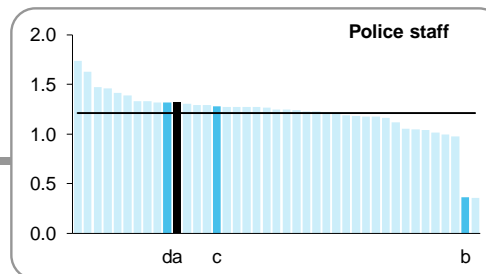
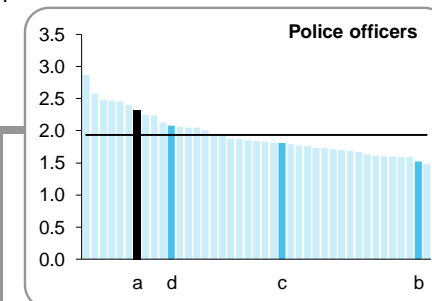
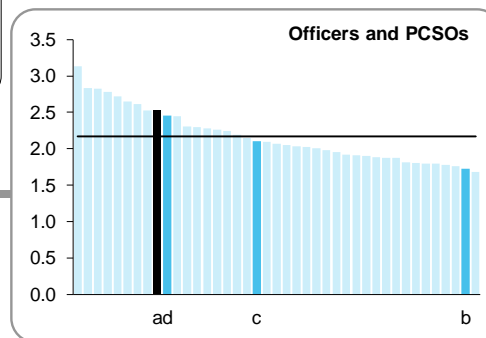
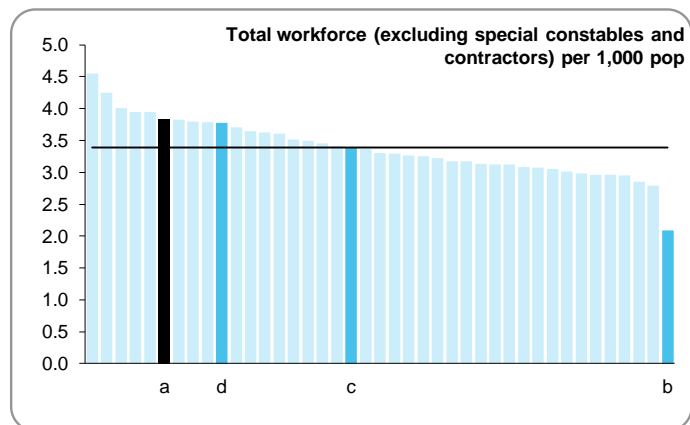
Workforce - Summary

How big is the force's workforce compared with others? How many officers, staff, PCSOs and special constables do they employ per 1,000 population?

Figures in the charts give the total number (including those within national policing) of FTEs (or head count for special constables) per 1,000 population.

All data is from POA except for contractors - which comes from ADR and is 2013/14 FTE. Special constables data, taken from POA, is average head count across the year.

Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces.



Population 498k

	FTE	FTE per 1,000	All Avg	Diff* FTE	% of total workforce	Avg
Police officers	1,161	2.33	1.94	197	61%	57%
PCSOs	95	0.19	0.24	-23	5%	7%
Sub-total	1,256	2.52	2.17	174	66%	64%
Police staff	656	1.32	1.21	51	34%	36%
Total	1,912	3.84	3.39	225	100%	100%
Special constables (HC)	136	0.27	0.31	-18		
Contractors	0	0.00	0.05	-25		

* Net difference in the number of officers compared to if the force had the average number of FTEs per head of all forces

Source: POA estimates 2014/15, ADR 502 for contractors as at March 2014.

Cumbria

Workforce - Officers

How are officers in the force apportioned across operational front line, frontline support and operational support?

HMIC split police workforce roles into three categories using the ADR601 functions: operational front line (including visible and non-visible), frontline support* and business support.

We have mapped the ADR601 categories to the POA data for use here. For consistency to elsewhere in the profile, we have removed counter terrorism/special branch (a national policing function) from the front line. Due to this, and the fact that ADR601 data deals with officers in post as of 31 March whereas POA data is of budgeted posts for the whole financial year, proportions will not necessarily match to other published figures. Annex 3 shows a list of POA functions and their classification.

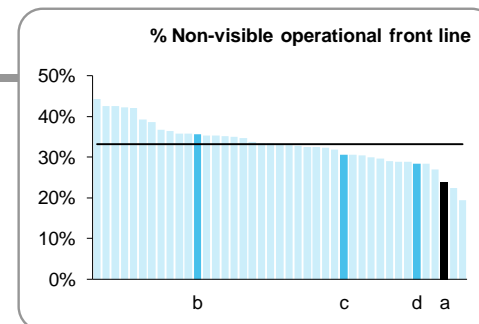
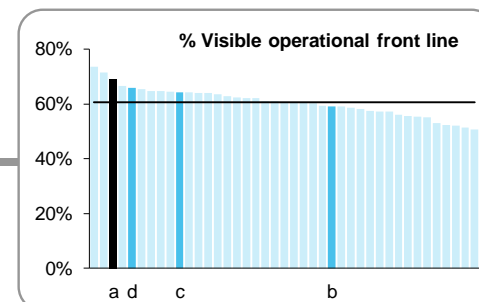
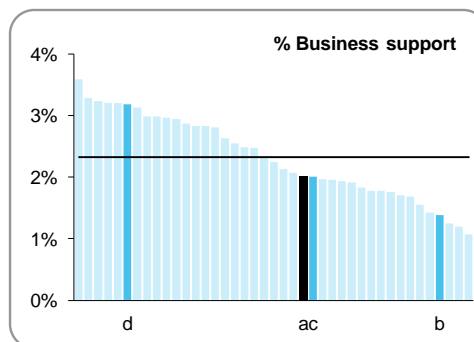
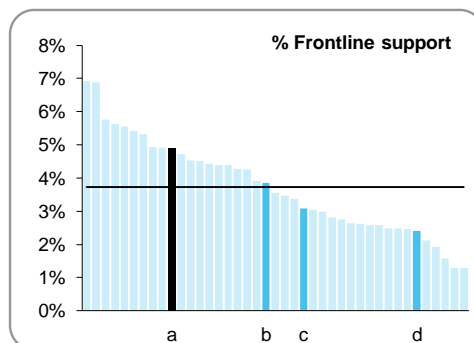
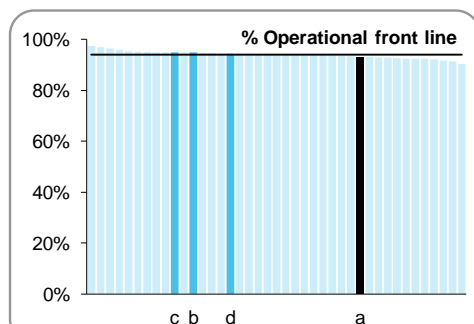
Note that collaboration/outsourcing will affect staff/non-staff costs for certain forces

* In *Policing in Austerity: Rising to the Challenge* (July 2013), HMIC define this role as operational support. Since this is the name of a POA category, frontline support is used here to avoid confusion

Police officers	FTE	Force	Averages	
			All	MSG
Visible	793	69.2%	60.7%	64.6%
Non-visible	274	23.9%	33.3%	29.6%
Operational front line	1,067	93.1%	93.9%	94.3%
Frontline support	56	4.9%	3.7%	3.6%
Business support	23	2.0%	2.3%	2.2%
Other**	15			
Total	1,161	100%	100%	100%

** Officers are classified as *Other* if their role does not fit into any of the three categories. They are not included in the percentage figures. See Annex for details.

Source: POA estimates 2014/15



Workforce - Police staff

How are police staff in the force apportioned across front line, frontline support and operational support?

HMIC split police workforce roles into three categories using the ADR601 functions: operational front line (including visible and non-visible), frontline support* and business support.

We have mapped the ADR601 categories to the POA data for use here. For consistency to elsewhere in the profile, we have removed counter terrorism/special branch (a national policing function) from the front line. Due to this, and the fact that ADR601 data deals with officers in post as of 31 March whereas POA data is of budgeted posts for the whole financial year, proportions will not necessarily match to other published figures. Annex 3 shows a list of POA functions and their classification.

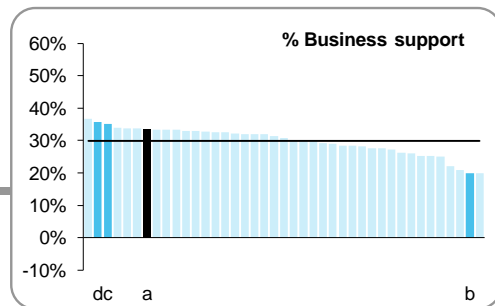
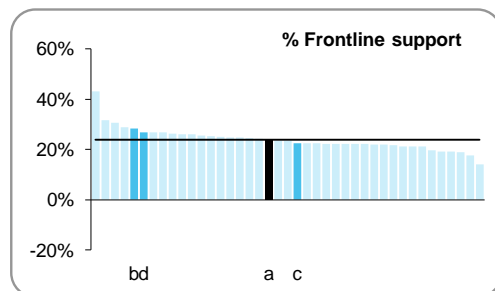
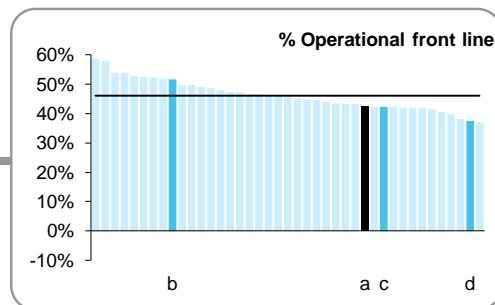
Note that PCSOs are not included here as they, almost exclusively, work in visible frontline roles.

* In Policing in Austerity: Rising to the Challenge (July 2013), HMIC define this role as operational support. Since this is the name of a POA category, frontline support is used here to avoid confusion

Police staff	FTE	Force	Averages	
			All	MSG
Visible	24	4%	6%	7%
Non-visible	248	39%	41%	36%
Operational front line	272	42%	46%	43%
Frontline support	154	24%	24%	25%
Business support	215	34%	30%	31%
Other**	15			
Total	656	100%	100%	100%

** Staff are classified as *Other* if their role does not fit into any of the three categories. They are not included in the percentage figures. See Annex 3 for details.

Source: POA estimates 2014/15

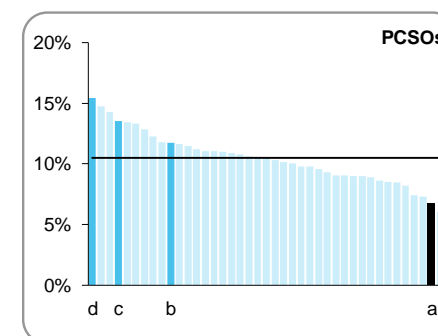
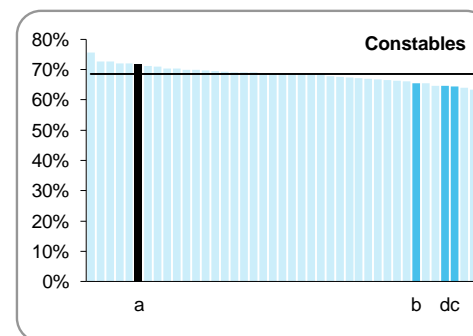
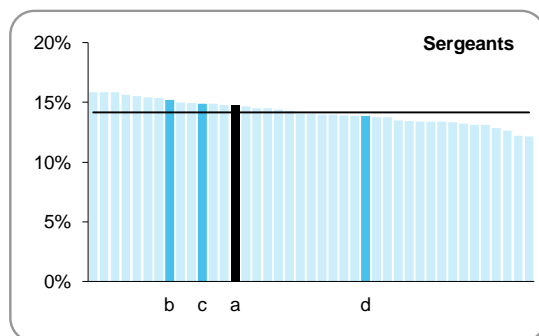
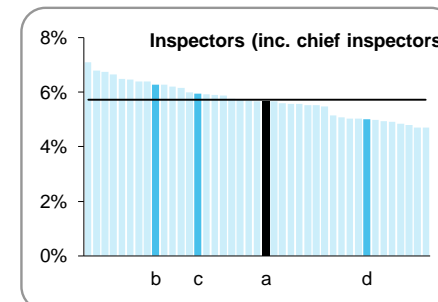
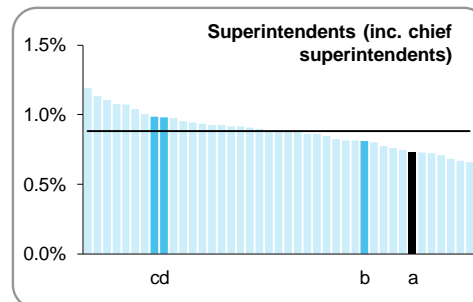


Workforce - Officers/PCSOs by rank

How are officers in the force split amongst the ranks compared with other forces?
What is the supervisory ratio of sergeants to constables (and PCSOs) compared with others?

Charts show the proportion of the total officer/PCSO workforce at each rank. The chart for superintendents includes chief superintendents, and the chart for inspectors includes chief inspectors. Association of Chief Police Officers (ACPO) are officers above the rank of chief superintendents.

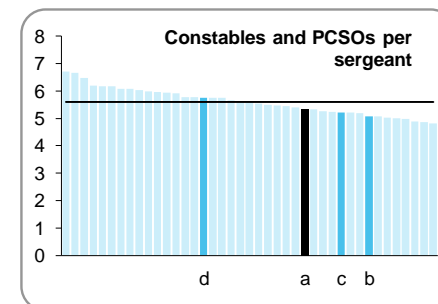
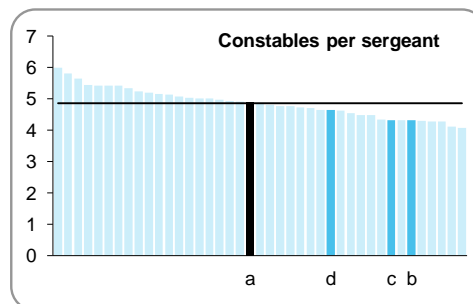
Two further charts show numbers of constables (and PCSOs) per sergeant giving an indication of the average supervision requirement for each sergeant.
Note that this is ADR data for all officers and so totals will not match the POA data given elsewhere.



Supervision ratio

Officers and PCSOs	FTE	%	All Avg
ACPO ranks	3	0.2%	0.2%
Chief superintendents	2	0.2%	0.3%
Superintendents	7	0.6%	0.6%
Chief inspectors	14	1.1%	1.3%
Inspectors	56	4.5%	4.4%
Sergeants	182	14.7%	14.2%
Constables	887	71.9%	68.5%
PCSOs	83	6.7%	10.5%
Force total	1,233	100.0%	100.0%

Supervision ratio	Force	All Avg
Constables per sergeant	4.9	4.9
Constables and PCSOs per sergeant	5.3	5.6



Source: ADR 502 March 2014

Cumbria

Workforce - Mix of officers/staff

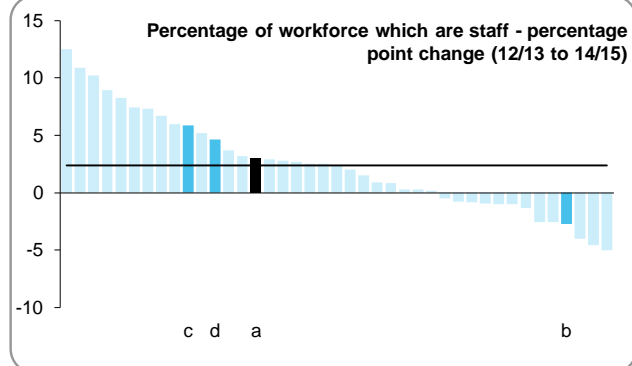
In functions where officers and staff can fulfil similar roles, what proportion of these functions are made up of police staff compared with other forces? How has that changed?

Data shows the proportion of workforce who are staff across the functions outlined below. 2012/13 data are used as a baseline for the presentation of trends (so the change is over two years).

The categories below have been chosen since they highlight areas where change is occurring.

Care should be taken when examining functions with a small workforce. Exclamation marks are used to indicate categories which have fewer than 20 FTE officers and staff in total.

Note that collaboration/outsourcing will affect staff numbers for certain functions in some forces.



	2012/13 Estimates					2014/15 Estimates					Percentage point change	
	Police officers	Police Staff	% Staff	All Avg	Diff* FTE Off	Police officers	Police Staff	% Staff	All Avg	Diff* FTE Off	Force	All avg
Criminal justice	4	60	94%	89%	-3	3	72	96%	93%	-2	2.2	3.8
Central communications unit	11	122	92%	83%	-12	10	116	92%	83%	-12	0.4	0.2
Intelligence analysis	30	38	56%	62%	4	22	25	53%	65%	6	-2.4	3.8
Administration support	0	66	100%	97%	-2	0	44	100%	98%	-1	0.0	0.6
Local call centres / front desk	0	41	100%	92%	-3	0	32	100%	98%	-1	0.0	5.6
Training	15	18	56%	46%	-3	13	11	46%	47%	0	-10.1	1.6
Intelligence gathering	42	11	21%	26%	3	19	6	25%	30%	1	4.0	4.1
Custody	28	37	57%	44%	-9	26	29	53%	42%	-6	-4.2	-1.4
Human resources	0	23	100%	98%	-1	1	23	96%	97%	0	-4.2	-0.9
Scenes of crime officers	0	16	100%	95%	-1 !	0	17	100%	97%	0 !	0.0	2.0
Total (of above functions)	130	432	77%	72%	-27	94	375	80%	75%	-15	3.0	2.4

* Net difference in the number of officers if the force had the average proportion of staff of all forces

Source: POA estimates 2014/15 & 2012/13

Cumbria

Workforce - Workforce numbers by function

What are the numbers of police officers, staff and PCSOs across various functions? How has this changed since last year?

Population	498k		
	Workforce FTE 2014/15	Workforce FTE 2013/14	Diff from last year, FTE
Neighbourhood policing	589	570	20
Incident (response) management	164	176	-12
Local investigation / prisoner support*	91	87	4
Other local policing	46	42	4
Local policing	890	875	16
Dealing with the public	159	161	-2
Road policing	117	115	1
Operational support	54	50	4
Intelligence	74	90	-16
Investigations	123	120	3
Investigative support	47	45	2
Custody	55	59	-4
Other criminal justice arrangements	104	99	5
Criminal justice arrangements	159	158	1
Information communication technology	52	49	3
Human Resources	24	21	3
Finance	24	23	1
Other support functions	159	164	-5
Support functions	259	257	2
Police and Crime Commissioner**	11	12	-1
Total exc national policing and central costs	1,893	1,882	11
Central costs	0	0	0
National policing	19	20	-1
Total	1,912	1,902	10

* Note that workforce under the heading of 'local investigation' are included within 'local policing' not 'investigation'

** Previously called Police Authority/Crime Commissioner in 2012/13 POA

Source: POA estimates 2014/15

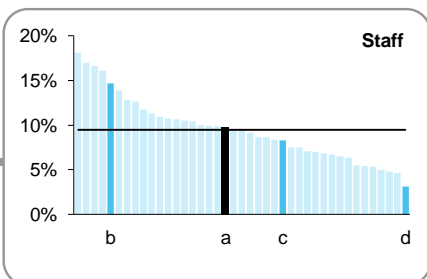
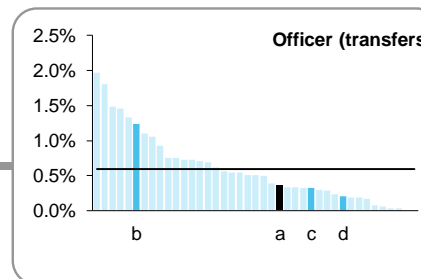
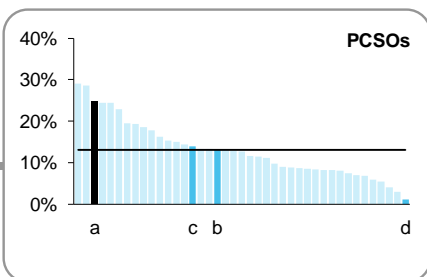
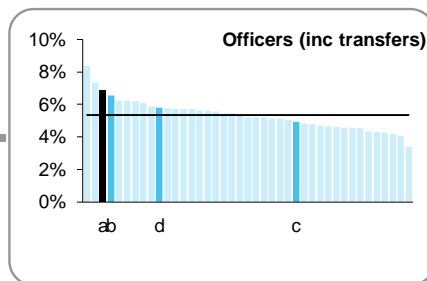
Workforce - Leavers

What proportion of the workforce left the force last year and how does that compare with other forces?

These charts show the number and percentage of the workforce (FTEs) that left the force between 31 March 2013 and 2014 (using 31 March 2013 totals figures to calculate percentage of workforce).

Officers are broken down into those who transferred or left the service. We have costed the salary impact of the workforce leaving the service to give some context. However, PCSOs leaving forces may return as police officers.

Note that this is ADR data and so workforce totals will not match the POA data given elsewhere.



	Strength*	Leavers	% w'force	All Avg	Salary** £m
Police officers	1,121				
Leaving force		77	6.9%	5.3%	
Transfers		4	0.4%	0.6%	
Exc transfers		73	6.5%	4.8%	3.6
PCSOs	76	19	24.7%	13.0%	0.6
Police staff	647	63	9.8%	9.5%	2.0
Force total	1,844	155	8.4%	6.9%	6.2

* as at 31 March 2013

** Salary calculated using leaver FTE multiplied by average officer/staff/PCSO cost excluding overtime (POA data)

Source (leavers): ADR531 (30 Sept 2013 & 31 March 2014). Source (strength): ADR502 (as at 31 March 2013). Source (salary): POA estimates 2014/15

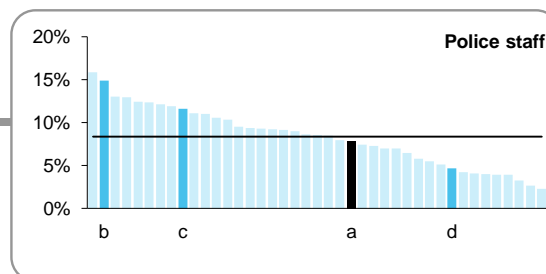
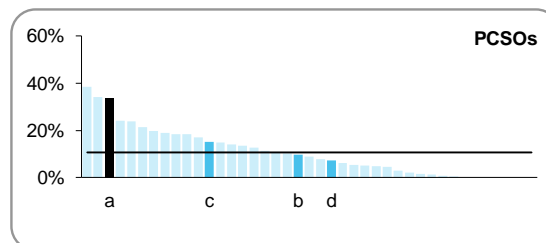
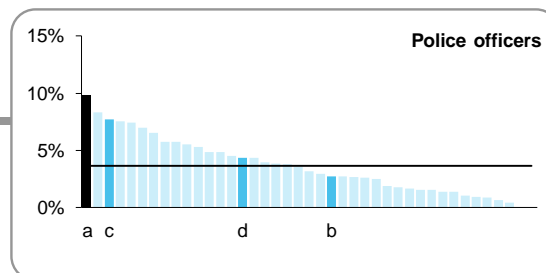
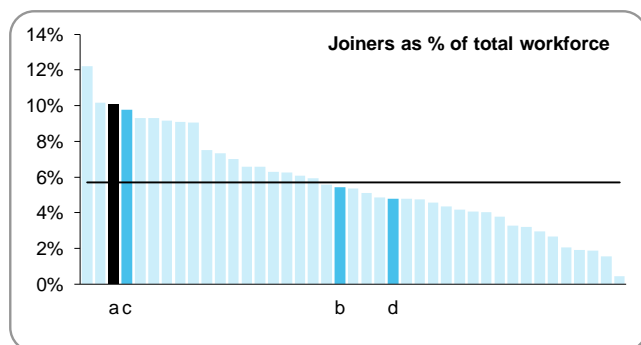
Cumbria

Workforce - Joiners

What proportion of the workforce joined the force last year and how does that compare with others?

These charts show the number and percentage of the workforce (FTEs) that joined the force between 31 March 2013 and 2014 using 31 March 2013 as the baseline.

Note that this is ADR data and so totals will not match the POA data given elsewhere.



	Strength*	Joiners	% w'force	All Avg
Police officers	1,121	110	9.8%	3.6%
PCSOs	76	26	33.7%	10.7%
Police staff	647	51	7.8%	8.3%
Overall	1,844	186	10.1%	5.7%

* as at 31 March 2013

Source (joiners): ADR521 (30 Sept 2013 & 31 March 2014). Source (strength): ADR502 (as at 31 March 2013).

Workforce - Sickness and recuperative/restricted duty

What proportion of the force's workforce are absent and what proportion of officers are on restricted/recuperative duty? How do these rates compare with other forces?

These charts show sickness broken down into short and medium term (28 days and less) and long term (more than 28 days).

Officers on restricted duties (i.e. officers who, because of a disability or other factors, are unable to undertake the full range of operational duties) and recuperative duties (officers returning to work in a phased way after injury or illness) are included separately.

Note that the gaps towards the left of some charts indicate that data is not available or has not been included; absence above 12% of the workforce and zero absence have been excluded as it is likely to be due to data inaccuracies.

Note also that this is ADR data and so workforce totals will not match the POA data given elsewhere.

	Strength*	FTE	% of total	All Avg
Officers	1,150			
Long-term sickness		15	1.3%	1.6%
Short/medium sickness		34	3.0%	2.2%
PCSOs	83			
Long-term sickness		0	n/a	1.4%
Short/medium sickness		2	2.4%	2.1%
Staff	640			
Long-term sickness		6	0.9%	1.6%
Short/medium sickness		22	3.4%	1.9%

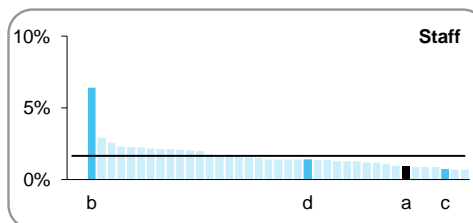
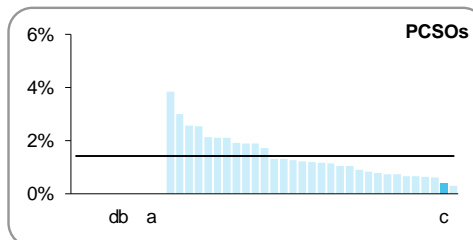
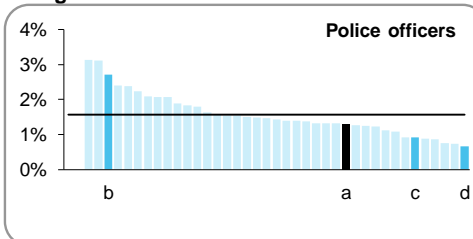
Long-term sickness during 2013/14 Q4

	Strength*	Head count	% of total	All Avg
Officers	1,150			
Recuperative duty		49	4.3%	2.7%
Restricted duty		31	2.7%	3.5%

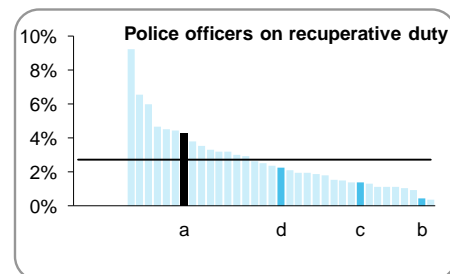
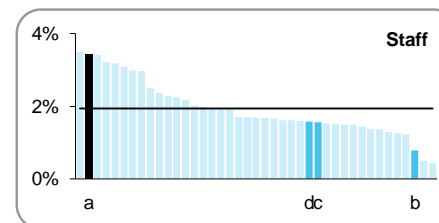
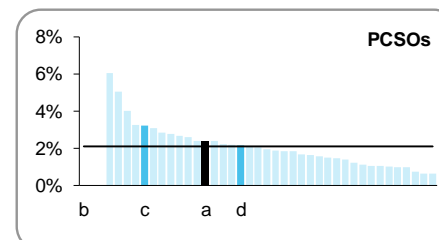
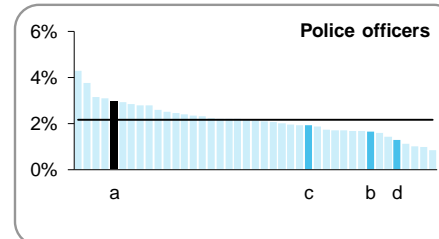
* as at 31 March 2014

Note that ADR 554 figures (restricted and recuperative duty) are headcount not FTE

Long-term sickness



Short and medium term sickness



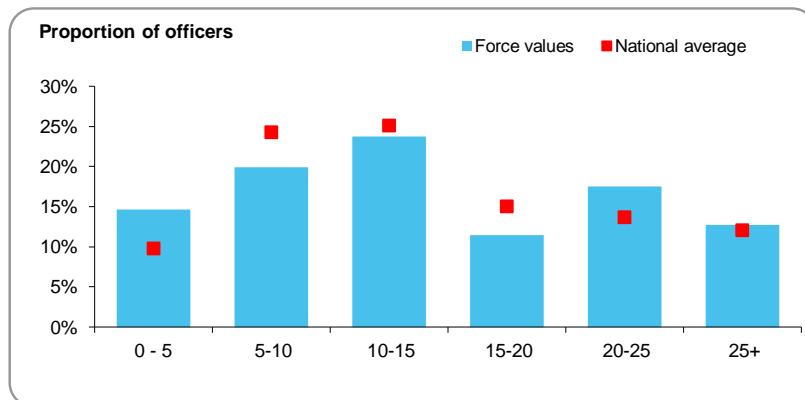
Source: ADR 502 (strength and short/medium term sickness); 551 (long term); and 554 (recuperative/restricted duty) - as at 31 March 2014.

Workforce - Officers' length of service

What is the age profile of officers in the force compared with others? How many officers are projected to retire over the next few years and what are the estimated savings from them doing so?

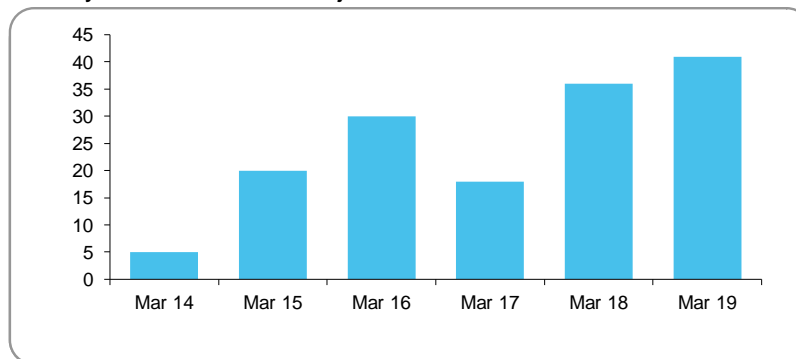
The projected number of retirees is shown for officers with 25-30 years' service.* The estimated saving of them retiring is also provided, calculated from the average cost of a police officer. This does not take into account replacements. Data is given as headcount.

All officers



Headcount	173	235	280	135	207	150	Total
							1,180

Officers with 25 years' service or more - Projected retirement



Headcount	5	20	30	18	36	41	Total
Salary cost**	£0.2m	£1.0m	£1.5m	£0.9m	£1.8m	£2.0m	£7.4m

* Please note that typically officers cannot retire until they have completed 30 years service.

** Headcount multiplied by average salary cost per FTE excluding overtime

Source (officer head count): ADR582 (31 March 2014); Source (salary): POA estimates 2014/15

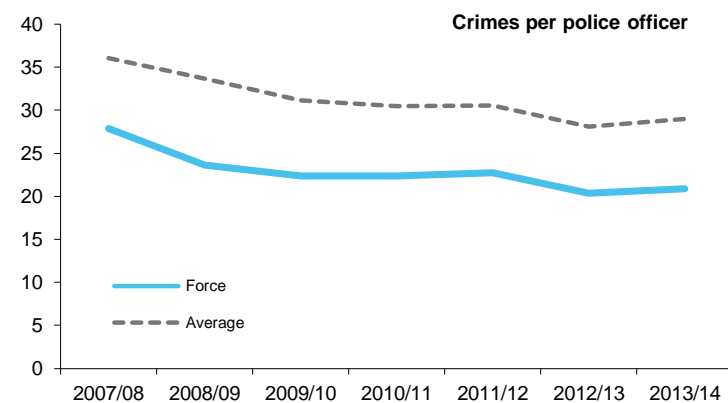
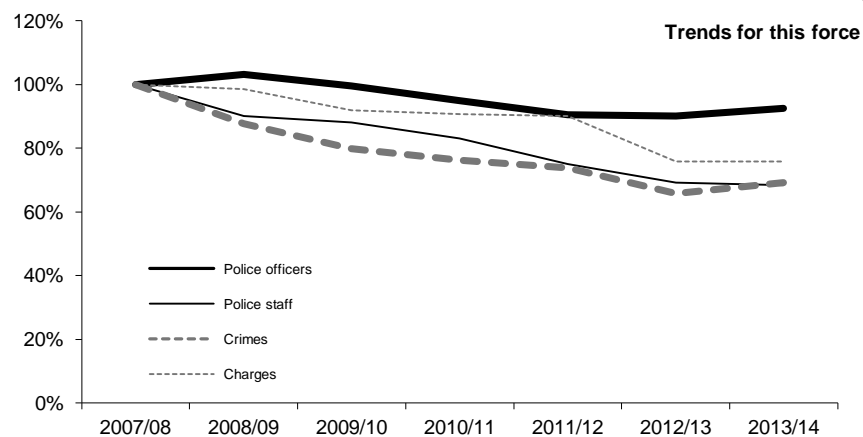
Demand - Crime trends

How is the number of crimes and charges per officer changing over time in the force and how does this compare with others?

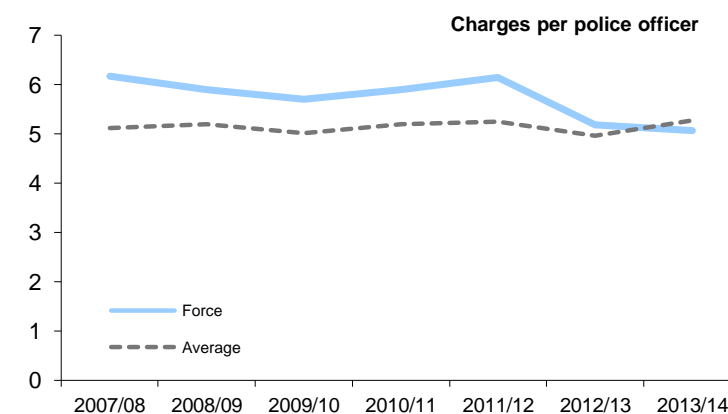
Total crimes (excluding fraud) is included but not broken down into the different crime-types to ensure there is sufficient data to show.

Note that PCSOs are not included and officer/staff numbers are given in FTEs. This data is from ADR and so will not match the POA data given elsewhere.

To enable the trends data series to be plotted together, each series has been indexed to 100%, i.e. values are expressed as a percentage of the 2007/08 value.



	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14
Police officers	1,244	1,284	1,238	1,180	1,125	1,121	1,150
Police staff	937	844	826	778	703	647	640
All crime excl fraud	34,651	30,381	27,649	26,395	25,548	22,791	23,998
Charges	7,675	7,569	7,054	6,954	6,922	5,816	5,823
Crimes/officer	27.8	23.7	22.3	22.4	22.7	20.3	20.9
All average	36.1	33.7	31.1	30.4	30.5	28.1	29.0
Charges/officer	6.2	5.9	5.7	5.9	6.2	5.2	5.1
All average	5.1	5.2	5.0	5.2	5.2	5.0	5.3



Source: ADR 502 March 2014; Home Office (charges) / ONS (crime) statistics 2013/14.

Cumbria

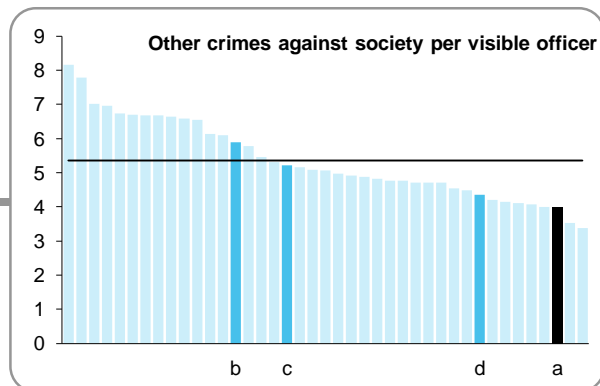
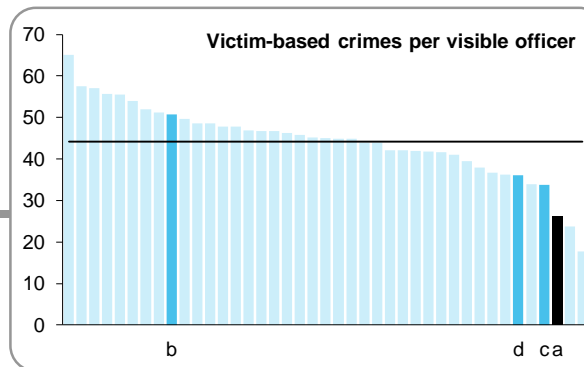
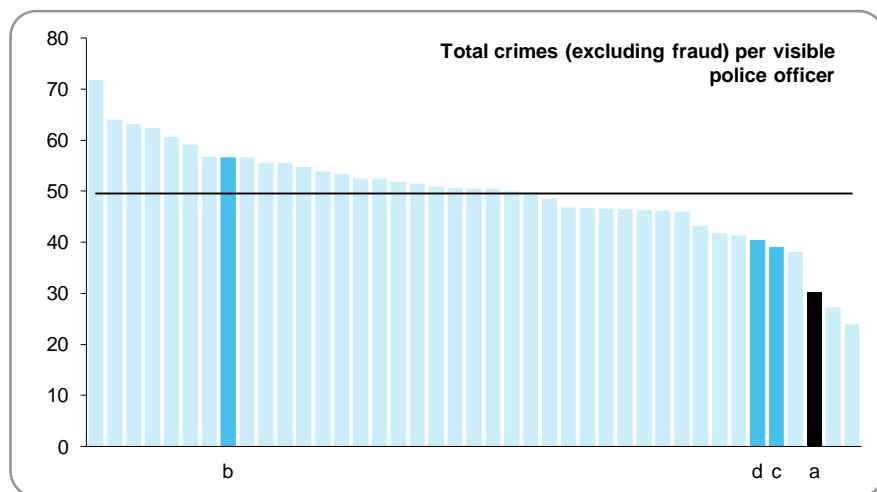
Demand - Recorded crimes per visible officers

How does the number of crimes per visible police officer in the force compare with others?

March 2014 workforce, 2013/14 crime

While police officers are not just dealing with crime, the numbers of crimes per visible police officer gives some indication of how the crime workload for this force's visible officers compares with other forces.

Note that PCSOs are not included. Visible roles are defined in Annex 3.



Visible police officers	793
-------------------------	-----

Recorded crime	Force	Per vis. officer	Averages		MSG Diff*
			All	MSG	
Victim-based	20,828	26.3	44.2	36.7	-10.5
Other crimes against society	3,170	4.0	5.4	4.9	-0.9
Crimes (exc fraud)	23,998	30.3	49.6	41.6	-11.3

* Net difference in the number of crimes per visible officer compared to if force had the MSG average.

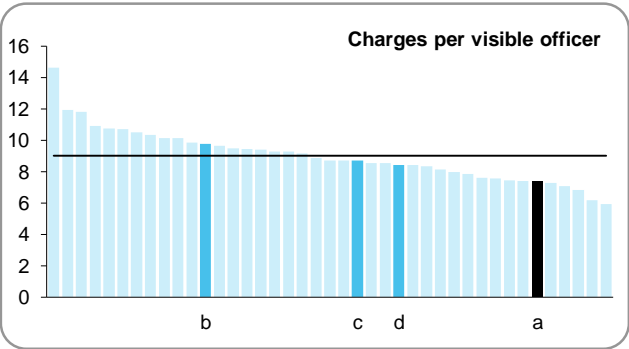
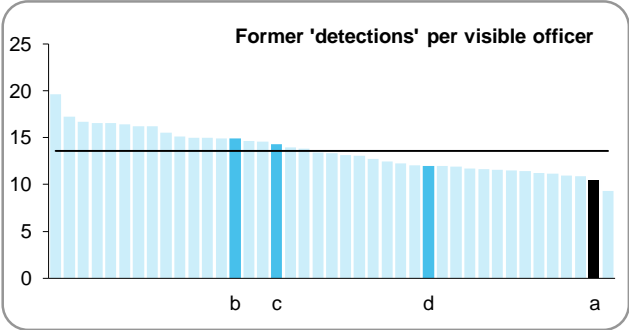
Source: ONS Crime Statistics 2013/14; POA estimates 2014/15.

Cumbria

Demand - Detections and charges

How does the force respond to crimes compared with others? What are the number of charges per visible police officer?

See introduction to crime section for definition of former 'detections'.



Visible police officers	793
All crime	23,998

	Force	Per vis. officer	Averages		MSG Diff*
			All	MSG	
Former 'detections'	8,306	10.5	13.6	12.9	-2.4
Charges	5,823	7.3	9.0	8.6	-1.2

* Net difference in the number of former 'detections'/charges per visible officer compared to if force had the MSG average.

Sources: Detection data: Home Office Detections Statistics 2013/14, Visible officers: POA 14/15 estimates, Crime data: ONS Crime Statistics 2013/14.

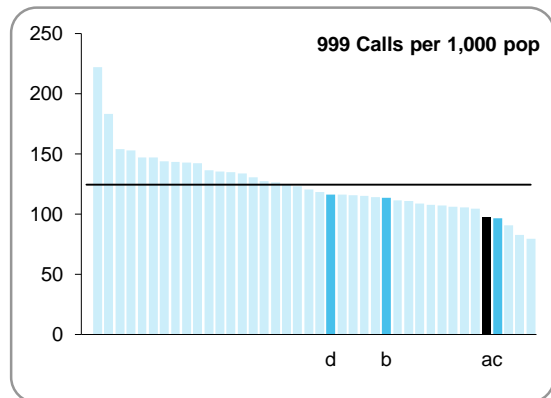
Demand - 999 calls

What is the level of demands on the force from 999 calls compared with others? How much does dealing with these calls cost compared with others and what is the level of workforce required to deal with them?

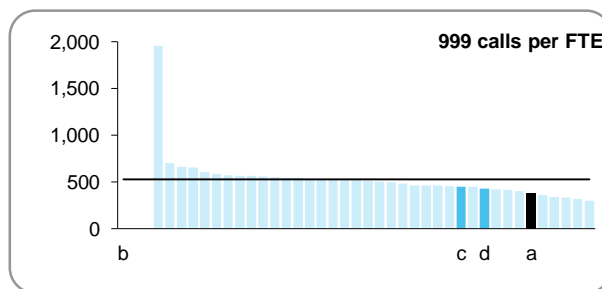
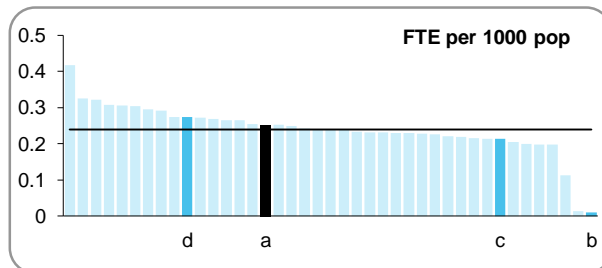
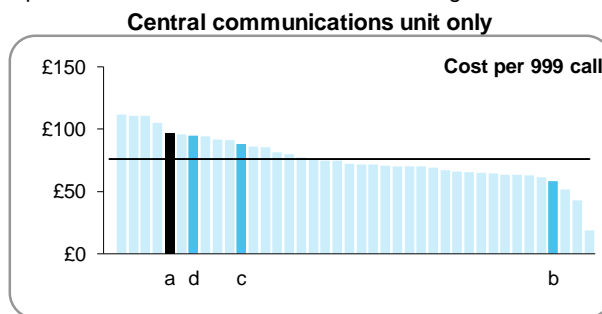
Costs and workforce levels are calculated across central communications units (CCU) and also within CCU and front desk combined to account for differences in force structure.

Notes

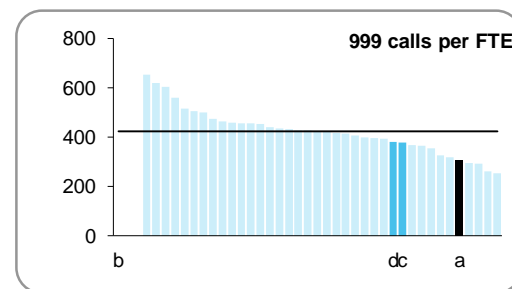
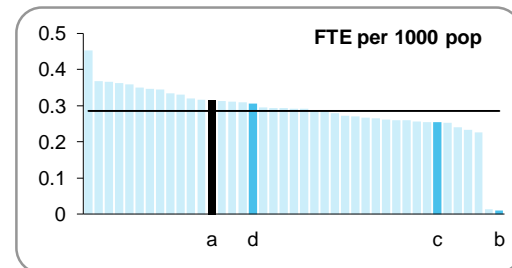
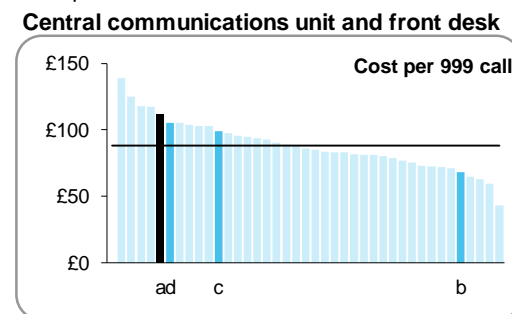
- for consistency with elsewhere in this section, the horizontal lines in the bar charts represent the average of all forces, not the MSG average.
- the 2014/15 data collection did not include the separate heading of "Contact Management Units".
- staff in CCU and front desk perform a range of functions. In particular, staff in different forces may spend differing amounts of their time dealing with emergency calls.



Population	498k
Calls received	48,165



FTE workforce	126
Gross cost	£4.7m
Force	MSG Avg
FTE/1000 pop	0.25 0.19
Calls per FTE	382 314
Calls per 1000 pop	97 106
Cost per call	£97 £85



FTE workforce	158		
Gross cost	£5.4m		
	Force	MSG Avg	Diff*
FTE/1000 pop	0.32	0.22	
Calls per FTE	305	266	-23
Calls per 1000 pop	97	106	-4,443
Cost per call	£112	£96	

* Net difference in number of FTEs/999 calls compared to if force had the average of MSG forces

Sources: Calls: ADR 441, Cost and workforce: POA estimates 2014/15

Cumbria

Demand - Emergency and priority incidents

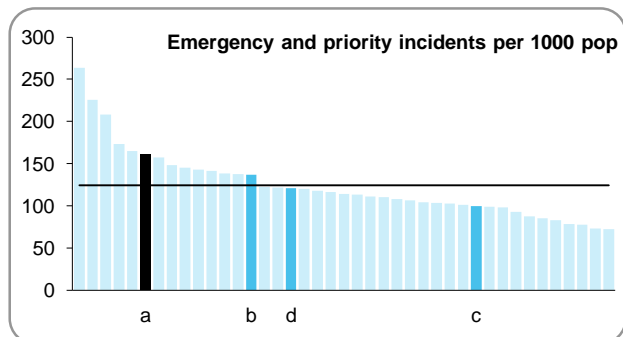
What is the level of emergency and priority calls in the force compared with others? How have these levels changed?

All police forces record incidents in accordance with the provisions of the National Standard for Incident Recording (NSIR). While incidents are recorded under NSIR in accordance with the same 'victim focused' approach that applies for recorded crime, these figures are not subject to the same level of quality assurance.

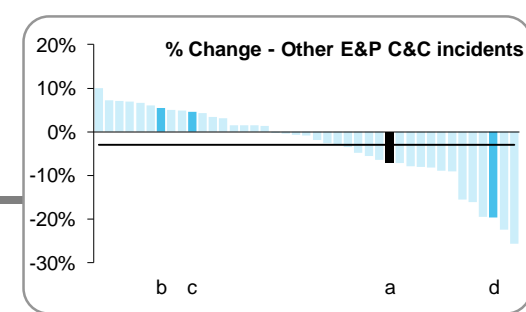
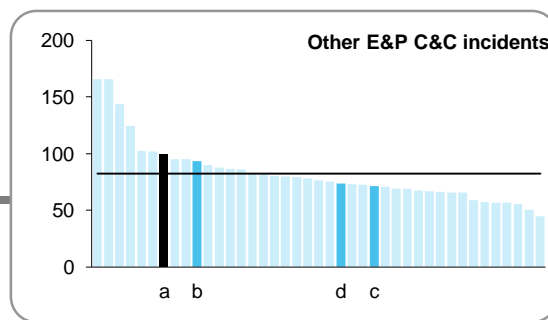
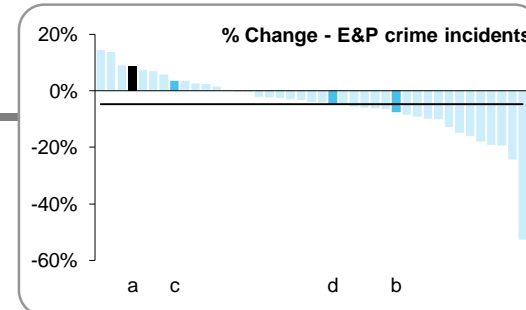
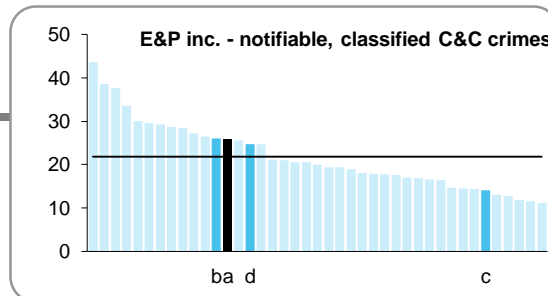
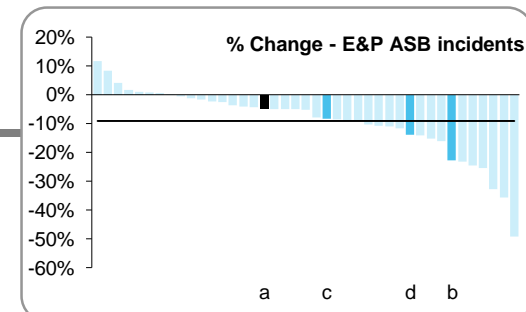
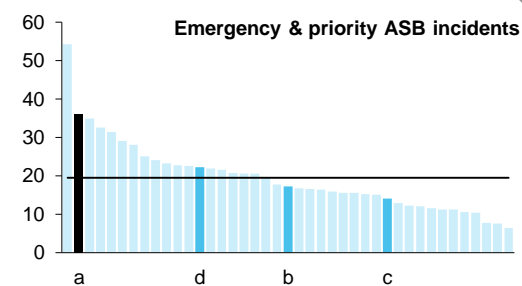
Incident counts should be interpreted as incidents recorded by the police, rather than reflecting the true level of victimisation. Other agencies also deal with anti-social behaviour incidents (for example, local authorities and social landlords); incidents reported to these agencies will not generally be included in police figures.

Incidents are separated into anti-social behaviour (ASB) incidents, crimes (notifiable, classified command and control) incidents and other command and control incidents.

New charts have been added to show changes since 2012/13. (Note that some, but not all, forces resubmitted their 2012/13 data after further guidance was issued clarifying that "Crime Related Incidents" should not be included.)



Population 498k



	Force	Incidents per 1000 pop	Averages		Differences*		Change in em+pri incidents		
			All	MSG	All	MSG	Force	All	MSG
ASB incidents	17,915	36.0	19.5	22.4	8,198	6,783	-5%	-9%	-12%
Crime incidents	12,789	25.7	21.9	22.6	1,888	1,514	9%	-5%	0% <<
Other incidents	49,670	99.7	82.6	84.4	8,551	7,610	-7%	-3%	-4%
Total emergency & priority	80,374	161.4	124.0	129.4	18,637	15,907	-4%	-4%	-5%

* Net difference in the number of incidents compared to if the force had the average number per head of all/MSG forces

Source: ADR 342

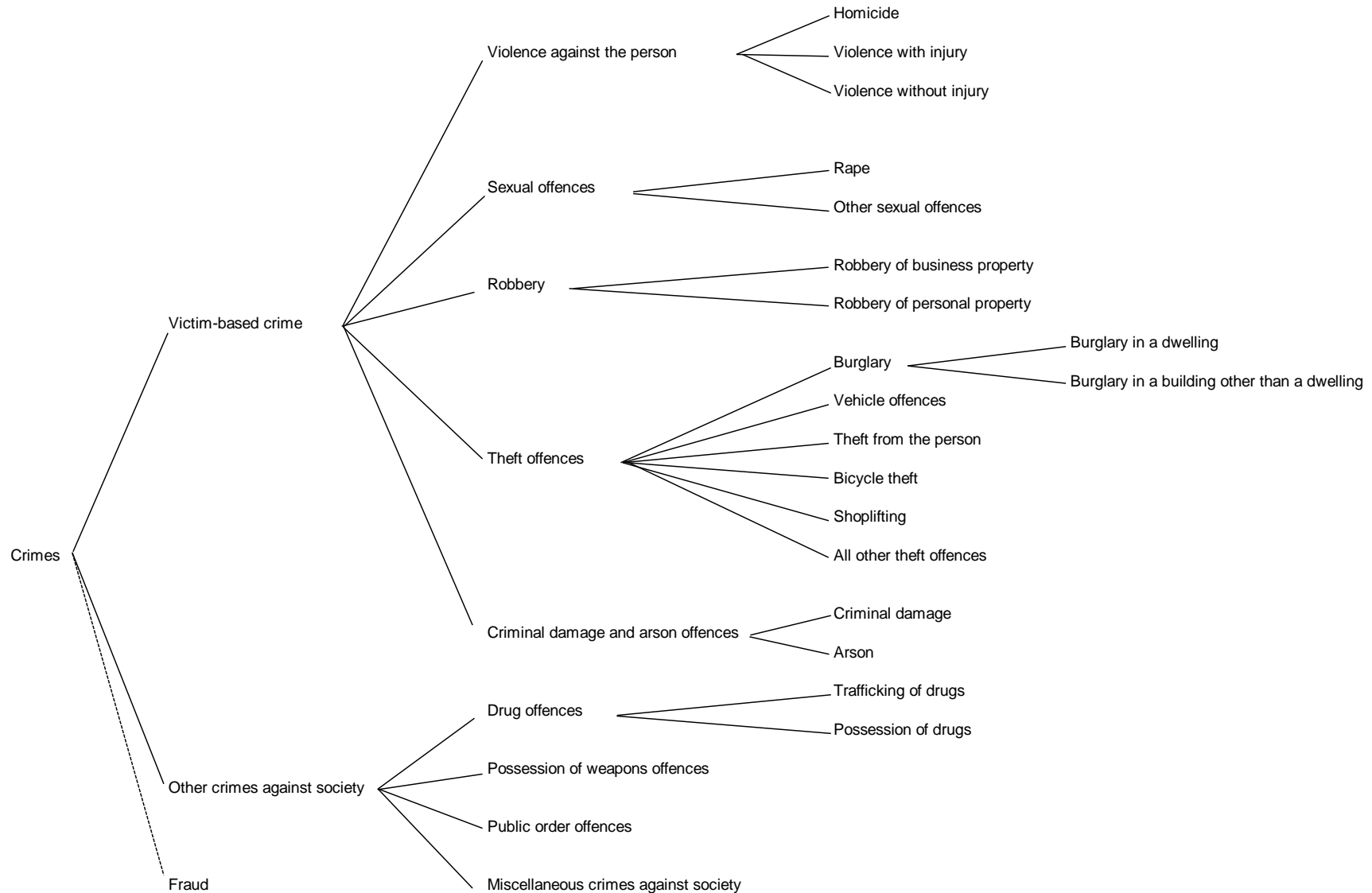
Cumbria

Section two - Offences and outcomes

Introduction

This section focuses on criminal offences recorded by each force and resulting outcomes. The Office for National Statistics (ONS) has developed a new approach to presenting crime statistics to help ensure a clearer, more consistent picture on recorded crime for the public. The new crime “tree” (the crime types organised into a logic tree format, see below) has been devised and used here to present recorded crime, outcomes and the change in recorded crime over time. The intention is to differentiate between crimes that are victim-based, and those that are driven by police activity.

The ONS crime tree



To note:

- Data is shown as offences per 1,000 population (using mid-2013 estimate).
- Definitions of offences in each category can be found in Annex 1.
- Fraud is excluded from all crime to make comparisons between forces more meaningful. It is a deceptive crime, often targeted at organisations rather than individuals, is inherently difficult to measure and, in particular, to assess where it has originated.
- Changes over time for crimes and former 'detections' (see below) are measured against a baseline of 2010/11.
- MSG (simple, unweighted) averages are generally used in this section. The exception is noted in the following bullet.
- Expected former 'detections', charges and cautions are calculated by modelling how many the force would have if they aligned to the national average. Here, weighted average is used so that the national average is closer to 100%

Outliers are not included for the crime data. A force may, broadly, be considered an outlier if it is in the highest or lowest 10% of values and there is considerable variation between forces.

Detection terminology

The Home Office has introduced a new way of classifying the results of police investigations. New classifications called 'outcomes' are associated with all recorded crimes, providing a more detailed picture of how the police deal with investigations. It includes, for example, the full range of possible disposals including community resolutions. Data for these will be available in next year's profile. In the meantime, we use former 'detection rates' which include the following outcomes:

- **Caution** - police have identified a suspect and issued them with a caution which is officially recorded against their name.
- **Fixed penalty notice** for disorder - a fine issued by the police for anti-social behaviour, as well as shoplifting, criminal damage and possession of cannabis which are recorded on the police national database.
- **Charge summons** - the suspect has been charged and/or brought to court.
- **Taken into consideration (TIC)** - offences which are considered in conjunction with other offending, often more serious offences. TICs can include crimes that have not previously been recorded, providing the victim confirms that the offence occurred.
- **Cannabis warning** - specific warning recorded for cannabis use.

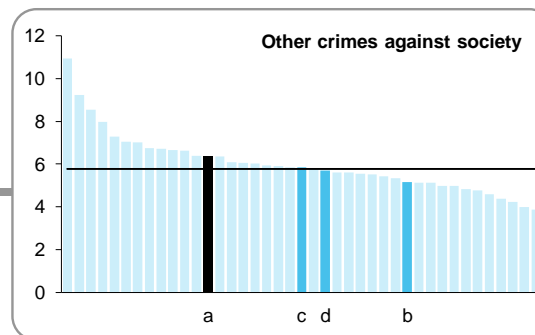
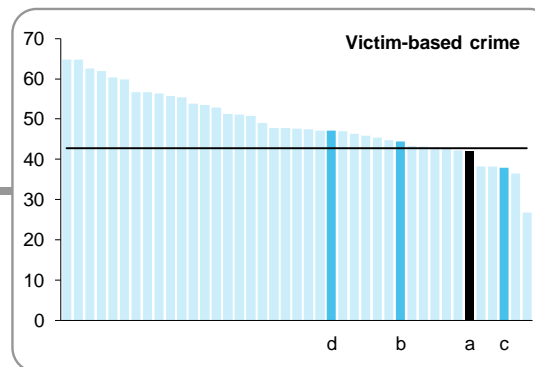
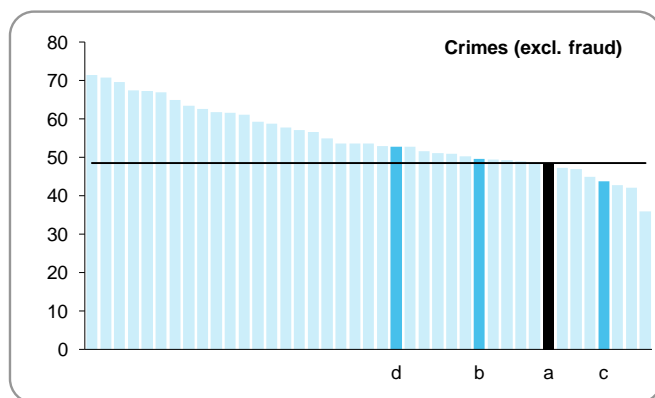
Please note that the former 'detection rates' provided can be above 100% where outcomes and crimes are recorded in different time periods. This can be particularly noticeable where crimes are proactively found or have very small numbers. For display purposes all former 'detection rate' graphs have been capped at 100%.

Note that, in this section, horizontal lines in the plots show the MSG average and not the average of all forces.

Offences and outcomes - Crimes (excluding fraud) - Recorded crime

What is the recorded crime rate for crimes (excluding fraud) in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population.



Population	498k				
	Recorded offences	per 1000	MSG Avg	Difference*	
Victim-based crime	20,828	41.8	42.8	-506	-2%
Other crimes against society	3,170	6.4	5.8	300	9%
Crimes (excl fraud)	23,998	48.2	48.6	-206	-1%

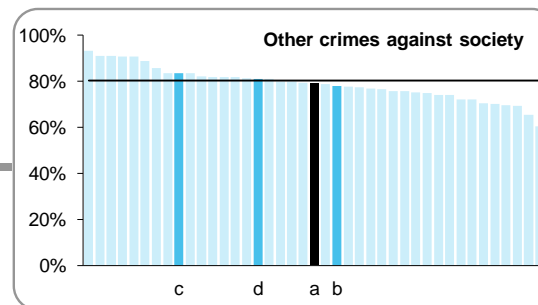
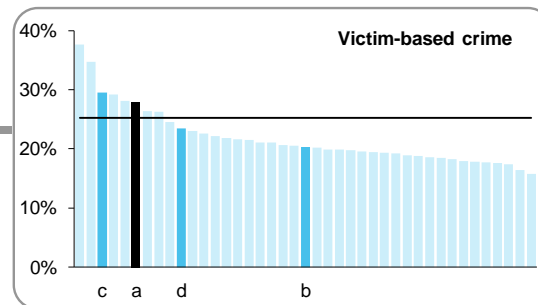
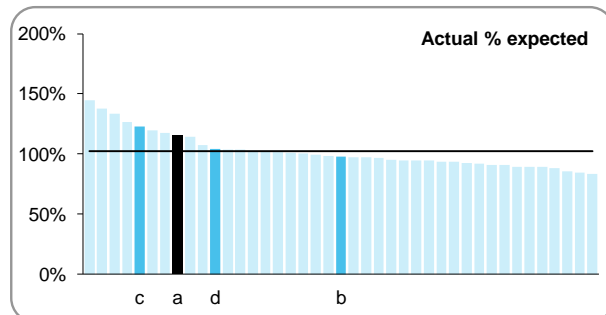
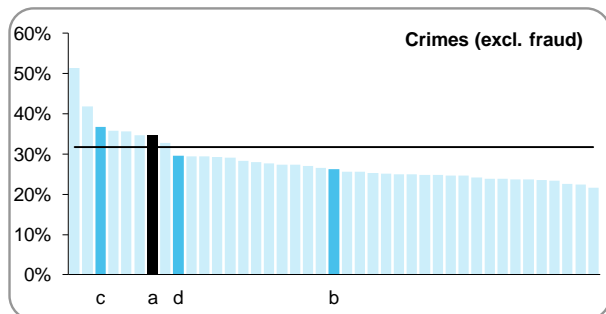
* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Crimes (excluding fraud) - Former 'detection rates'

What is the former 'detection rate' for all crime (excluding fraud) in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former 'detection rates'.



	Offences	FDs	%	MSG Avg	Diff*
Victim-based crime	20,828	5,805	28%	25%	422
Other crimes against society	3,170	2,501	79%	80%	-51
Crimes (excl fraud)	23,998	8,306	35%	32%	371
Actual % expected			115%		

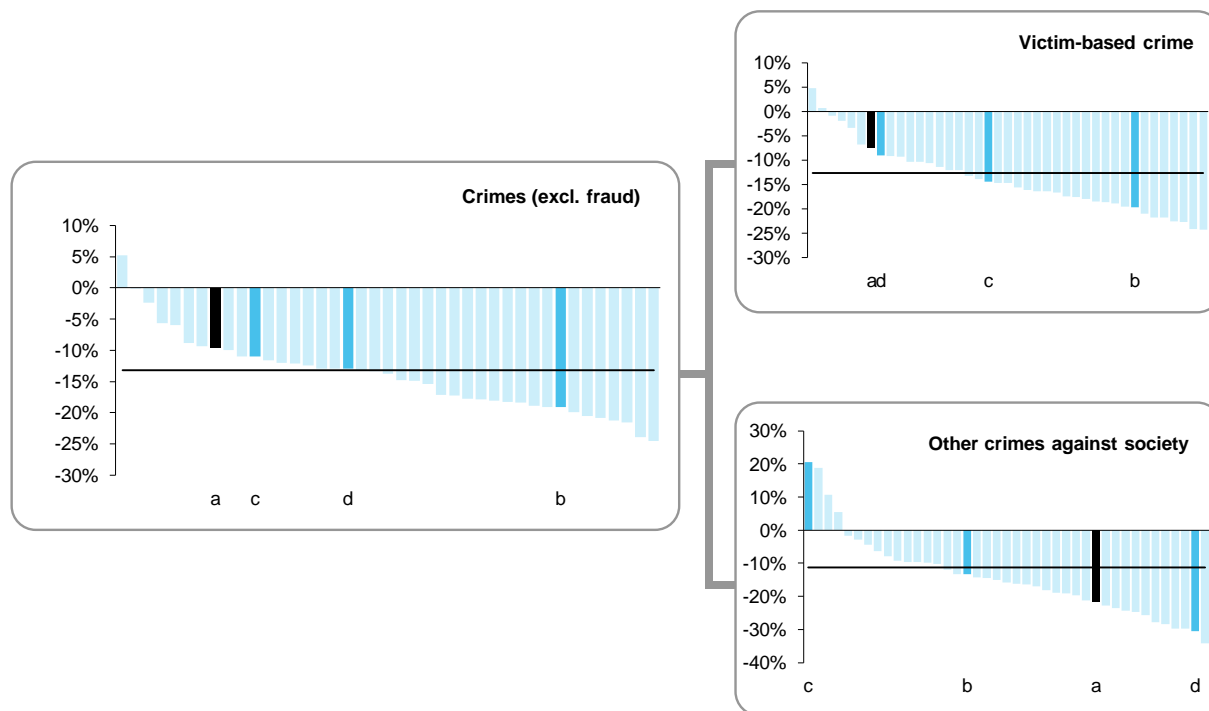
The actual % expected figures shows the actual former 'detections' divided by the number of such detections the force would achieve if it was performing in line with the average of all forces for each crime type. Hence if above/below 100%, you are achieving more/fewer detections than the average.

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Crimes (excluding fraud) - 2010/11 to 2013/14

How does the recorded crime rate compare with four years ago and how does the change compare with others?



	2010/11	2013/14	% change	
			Force	MSG Avg
Victim-based crime	22,505	20,828	-7%	-13%
Other crimes against society	4,031	3,170	-21%	-11%
Crimes (excl fraud)	26,536	23,998	-10%	-13%

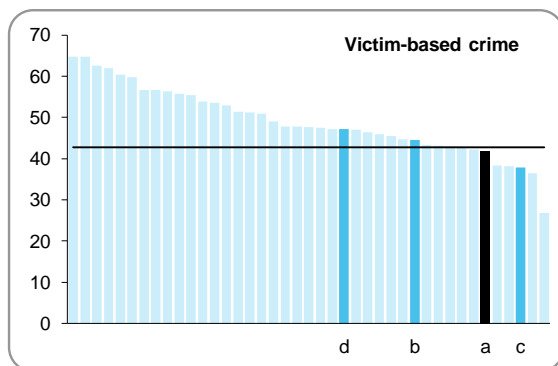
Source: ONS Crime Statistics 2013/14

Cumbria

Offences and outcomes - Victim-based crime - Recorded crime

What is the recorded crime rate for victim-based crime in the force and how does this compare with others?

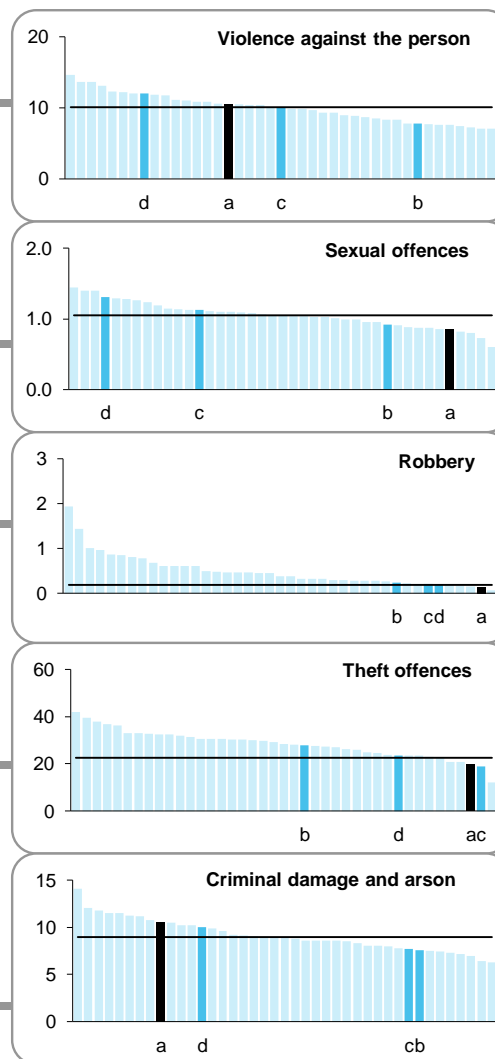
Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population .



Population	498k				
	Offences	per 1000	MSG Avg	Difference*	
Violence against the person	5,263	10.6	10.1	241	5%
Sexual offences	424	0.9	1.1	-100	-24%
Robbery	67	0.1	0.2	-28	-42%
Theft offences	9,844	19.8	22.6	-1,394	-14%
Criminal damage and arson	5,230	10.5	8.9	775	15%
Victim-based crime	20,828	41.8	42.8	-506	-2%

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14



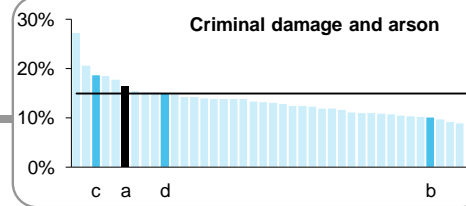
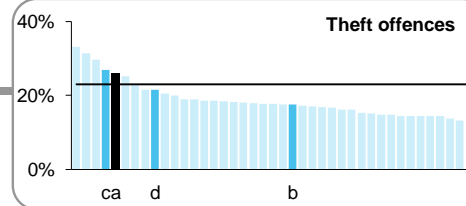
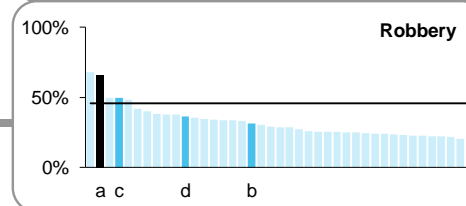
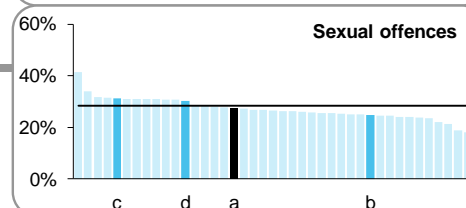
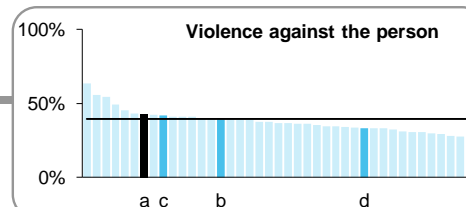
Offences and outcomes - Victim-based crime - Former 'detection rates'

What is the former 'detection rate' for victim-based crime in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former 'detection rates'.



	Offences	FDs	%	MSG Avg	Diff*
Violence against the person	5,263	2,252	43%	39%	172
Sexual offences	424	116	27%	28%	-5
Robbery	67	44	66%	46%	12
Theft offences	9,844	2,541	26%	23%	173
Criminal damage and arson	5,230	852	16%	15%	69
Victim-based crime	20,828	5,805	28%	25%	422

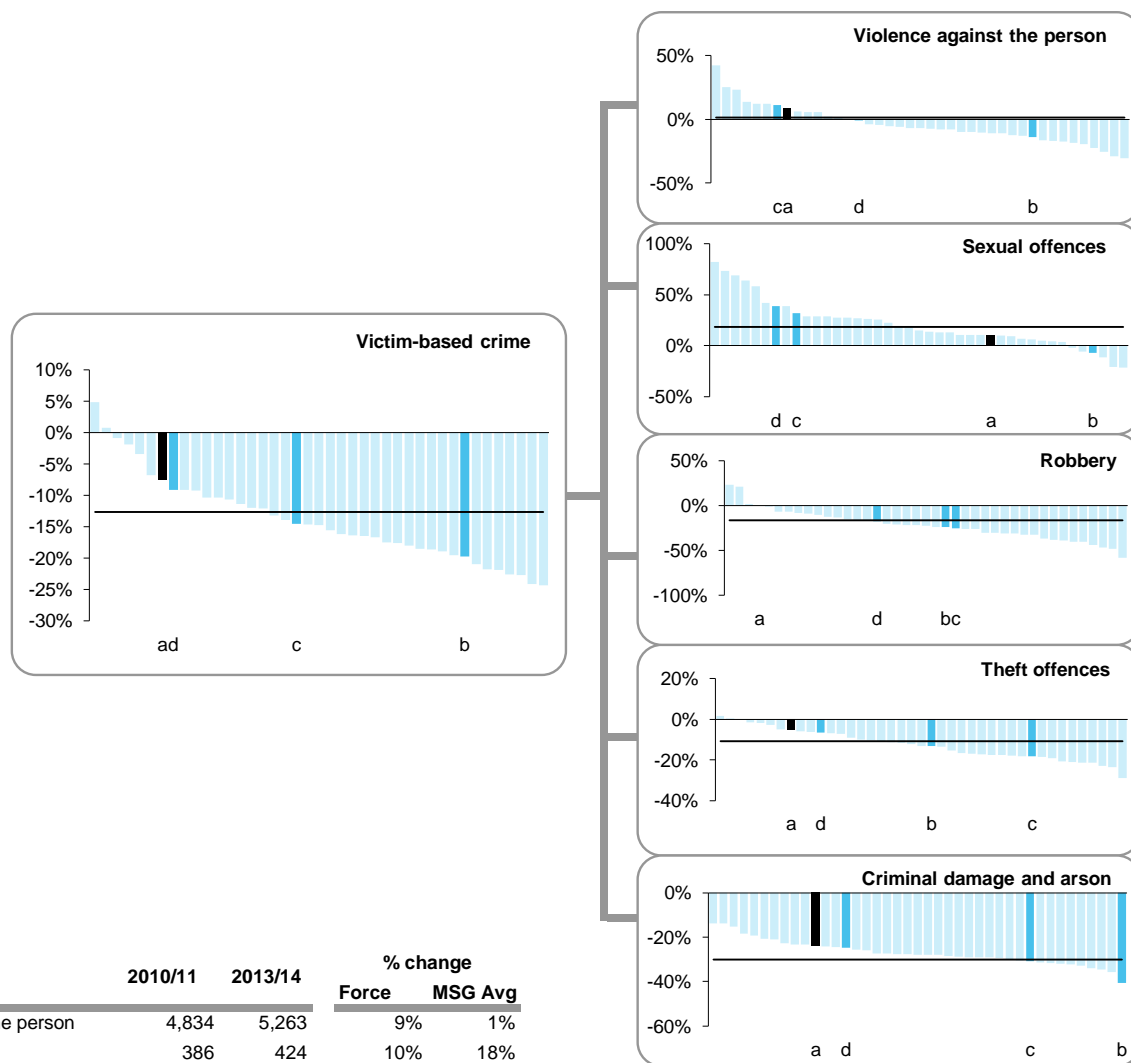


* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Victim-based crime - 2010/11 to 2013/14

How does the recorded crime rate for victim-based crime compare with four years ago and how does this compare with others?



	2010/11	2013/14	% change	
			Force	MSG Avg
Violence against the person	4,834	5,263	9%	1%
Sexual offences	386	424	10%	18%
Robbery	67	67	0%	-17%
Theft offences	10,352	9,844	-5%	-11%
Criminal damage and arson	6,866	5,230	-24%	-30%
Victim-based crime	22,505	20,828	-7%	-13%

Source: ONS Crime Statistics 2013/14

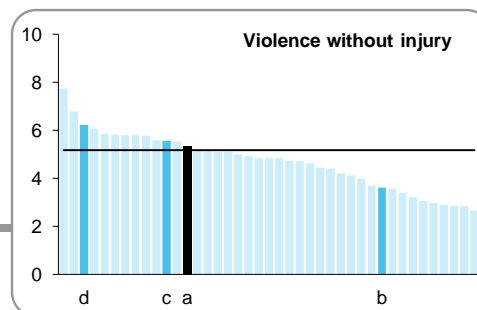
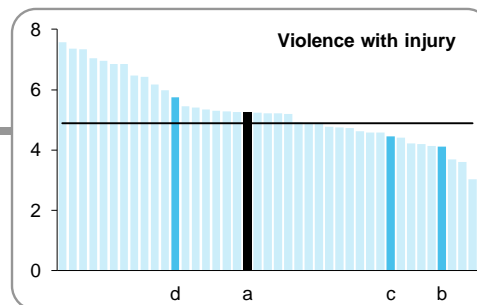
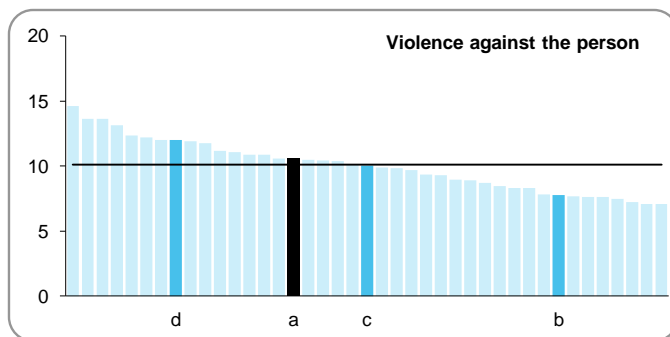
Cumbria

Offences and outcomes - Violence against the person - Recorded crime

What is the recorded crime rate for violence against the person in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population.

Note that, since homicide numbers are so small, care should be taken when making comparisons between forces. For this reason, a plot has not been included for homicide.



Population	498k				
	Offences	per 1000	MSG Avg	Difference*	
Homicide	4	0.01	0.01	0	11%
Violence with injury	2,611	5.2	4.9	175	7%
Violence without injury	2,648	5.3	5.2	66	3%
Violence against the person	5,263	10.6	10.1	241	5%

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14

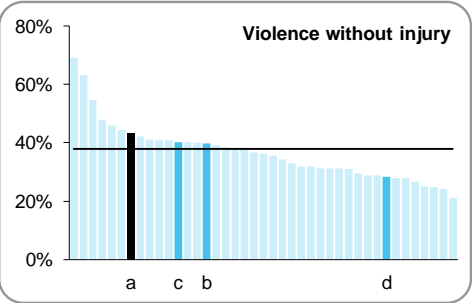
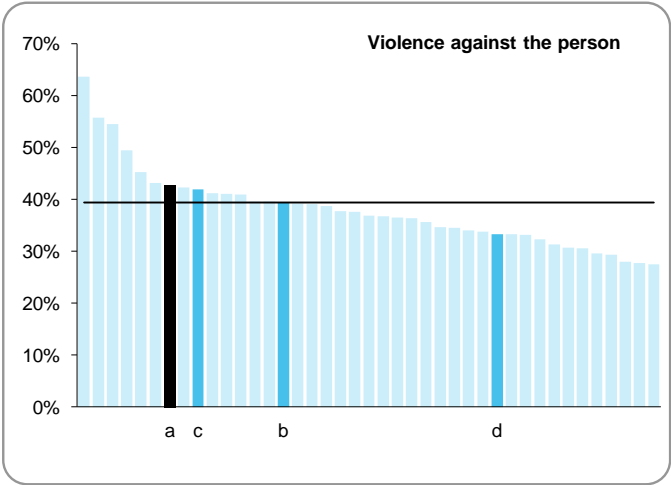
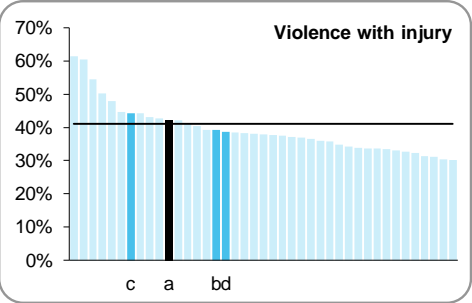
Cumbria

Offences and outcomes - Violence against the person - Former 'detection rates'

What is the former 'detection rate' for violence against the person in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former 'detection rates'.

Note that, since homicide numbers are so small, care should be taken when making comparisons between forces. For this reason, a plot has not been shown for homicide.



	Offences	FDs	%	MSG Avg	Diff*
Homicide	4	4	100%	93%	0
Violence with injury	2,611	1,101	42%	41%	28
Violence without injury	2,648	1,147	43%	38%	144
Violence against the person	5,263	2,252	43%	39%	172

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

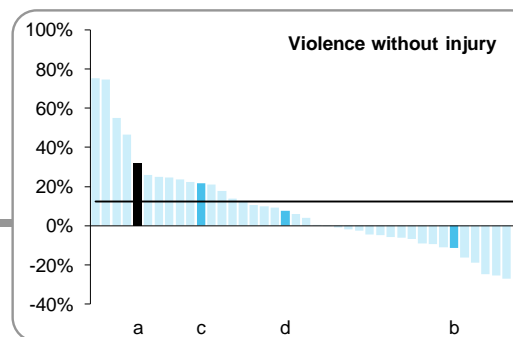
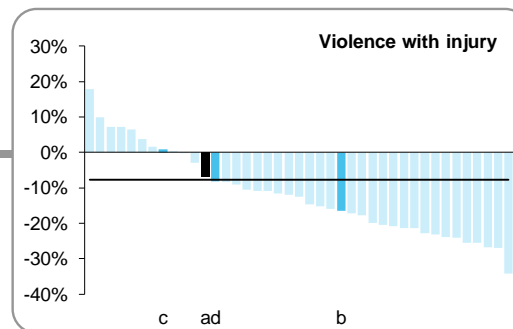
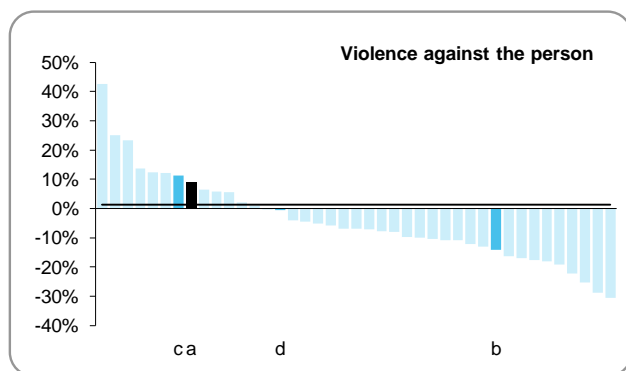
Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Violence against the person - 2010/11 - 2013/14

How does the recorded crime rate for violence against the person compare with four years ago and how does this compare with others?

These graphs show the recorded crime rates for violence against the person offences compared to four years ago.

Note that since homicide numbers are small, care should be taken when making comparisons between forces or over time. For this reason a comparison of homicide rates between two time periods has not been shown in graph form as the small numbers involved would result in large variations in rates and could be visually misleading.



	2010/11	2013/14	% change	
			Force	MSG Avg
Homicide	16	4	-75%	-53%
Violence with injury	2,807	2,611	-7%	-8%
Violence without injury	2,011	2,648	32%	12%
Violence against the person	4,834	5,263	9%	1%

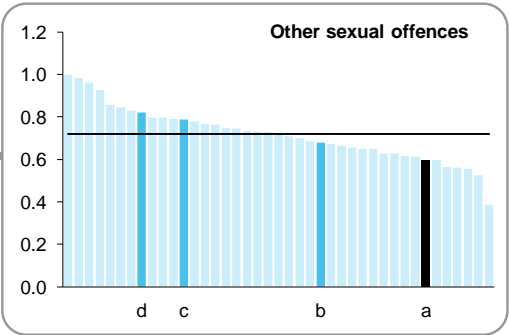
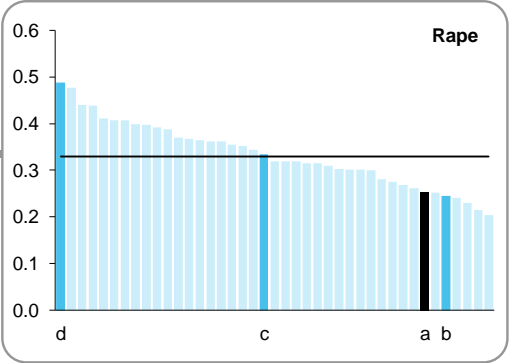
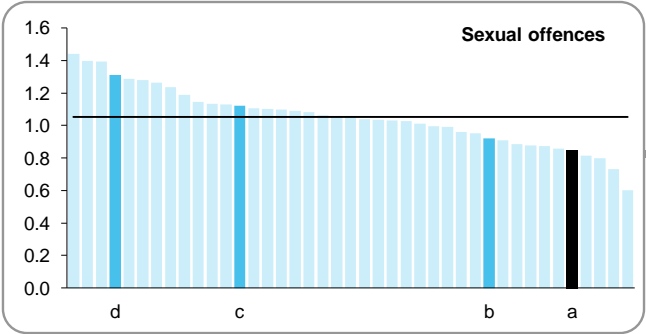
Source: ONS Crime Statistics 2013/14

Offences and outcomes - Sexual offences - Recorded crime

What is the recorded crime rate for sexual offences in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population.

Please note: due to the complex nature of these crimes, particularly rape, care should be taken when comparing crime rates across forces as there are many factors which can affect the level of recorded crime. For example, victims being encouraged to report crimes or cultural differences.



Population		498k			
	Offences	per 1000	MSG Avg	Difference*	
Rape	126	0.25	0.33	-38	-30%
Other sexual offences	298	0.60	0.72	-61	-21%
Sexual offences	424	0.85	1.05	-100	-24%

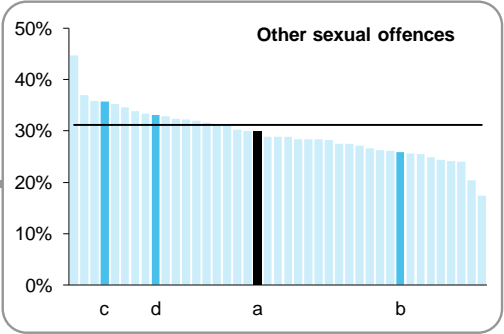
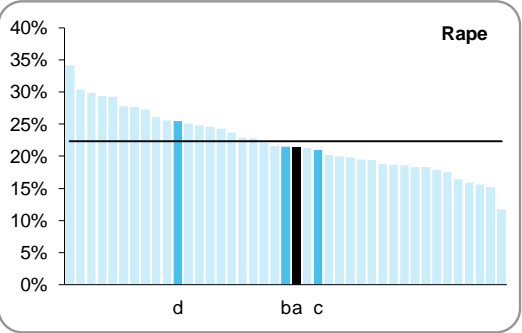
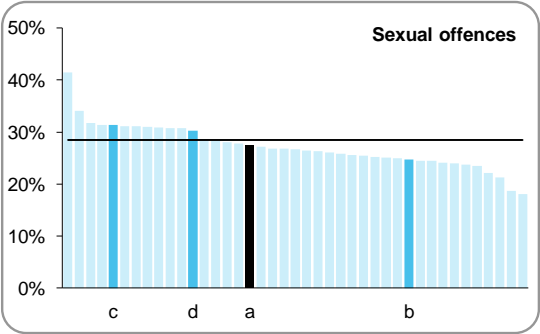
* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Sexual offences - Former 'detection rates'

What is the former 'detection rate' for sexual offences in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former 'detection rates'.



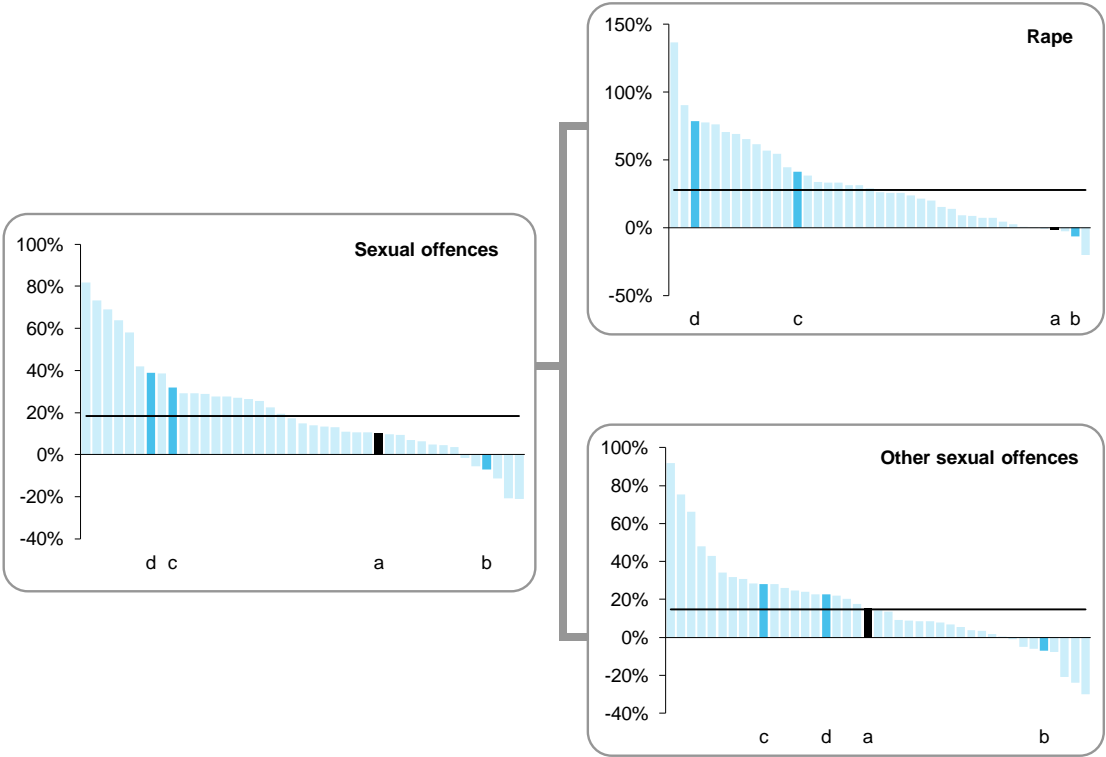
	Offences	FDs	%	MSG Avg	Diff*
Rape	126	27	21%	22%	-1
Other sexual offences	298	89	30%	31%	-4
Sexual offences	424	116	27%	28%	-5

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Sexual offences - 2010/11 - 2013/14

How does the recorded crime rate for sexual offences compare with four years ago and how does this compare with others?



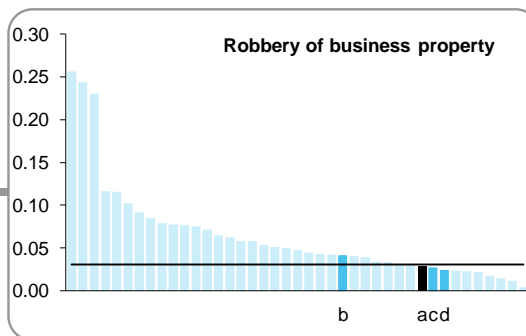
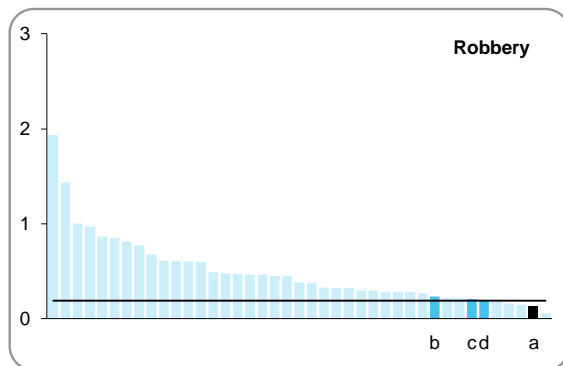
	2010/11	2013/14	% change	
			Force	MSG Avg
Rape	128	126	-2%	28%
Other sexual offences	258	298	16%	15%
Sexual offences	386	424	10%	18%

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Robbery - Recorded crime

What is the recorded crime rate for robbery in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population .



Population	498k				
	Offences	per 1000	MSG Avg	Difference*	
Robbery of					
- business property	14	0.0	0.0	-1	-8%
- personal property	53	0.1	0.2	-27	-51%
Robbery	67	0.1	0.2	-28	-42%

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

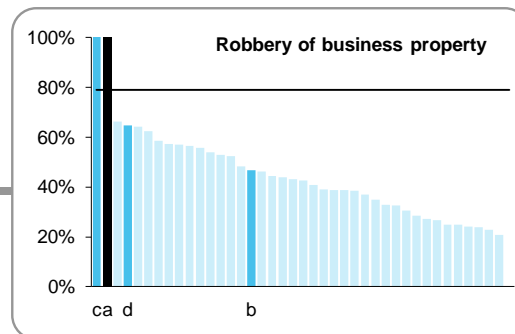
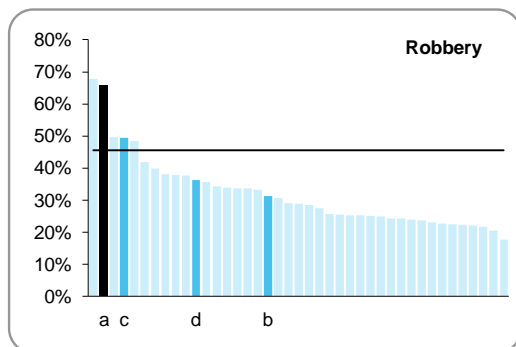
Source: ONS Crime Statistics 2013/14

Cumbria

Offences and outcomes - Robbery - Former 'detection rates'

What is the former 'detection rate' for robbery in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former detection rates.



	Offences	FDs	%	MSG Avg	Diff*
Robbery of					
- business property	14	14	100%	79%	3
- personal property	53	30	57%	39%	9
Robbery	67	44	66%	46%	12

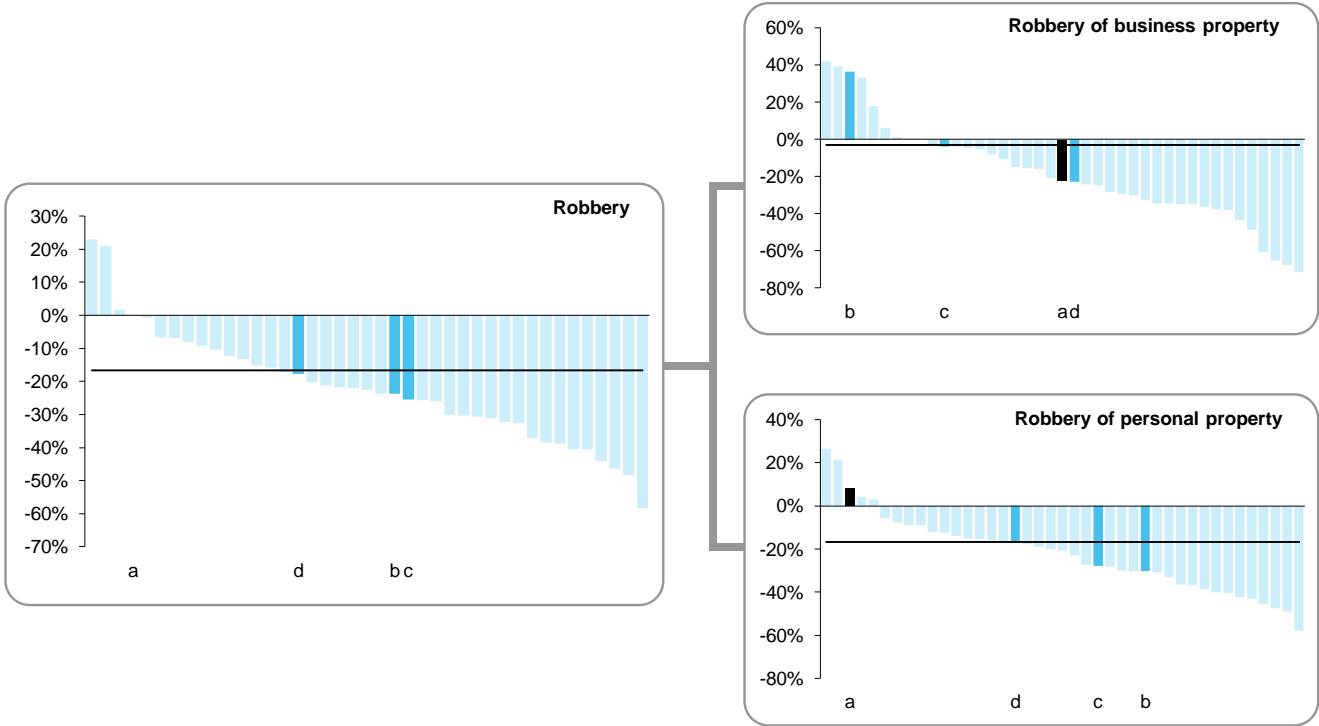
* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Cumbria

Offences and outcomes - Robbery - 2010/11-2013/14

How does the recorded crime rate for robbery compare with four years ago and how does this compare with others?



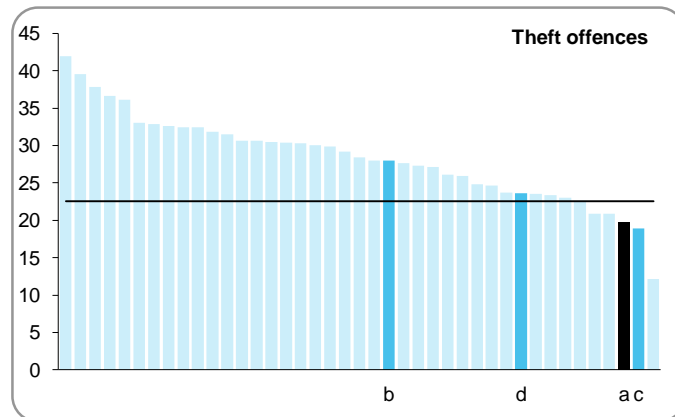
	2010/11	2013/14	% change	
			Force	MSG Avg
Robbery of				
- business property	18	14	-22%	-3%
- personal property	49	53	8%	-17%
Robbery	67	67	0%	-17%

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Theft offences - Recorded crime

What is the recorded crime rate for theft offences in the force and how does this compare with others?

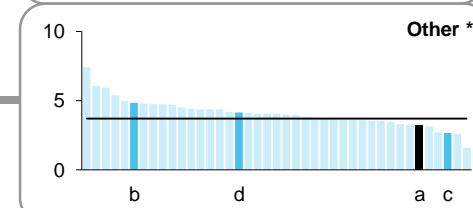
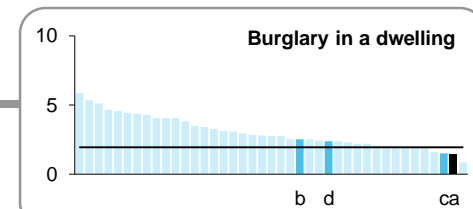
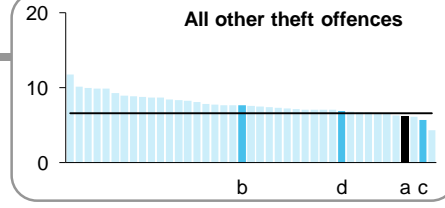
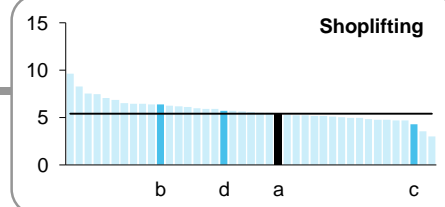
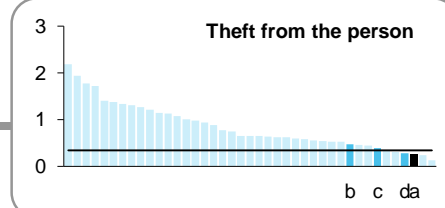
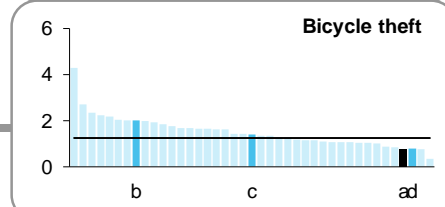
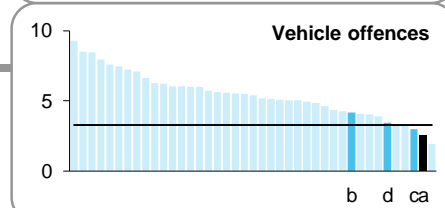
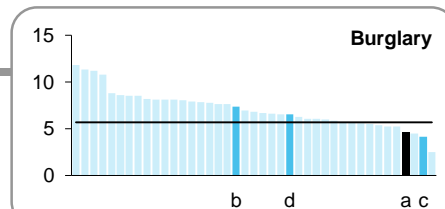
Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population.



Population	498k			
	Offences	per 1000	MSG Avg	Difference*
Burglary				
- in a dwelling	701	1.4	2.0	-271 -39%
- other than a dwelling	1,602	3.2	3.7	-246 -15%
	2,303	4.6	5.7	-517 -22%
Vehicle offences	1,263	2.5	3.3	-371 -29%
Bicycle theft	392	0.8	1.2	-226 -58%
Theft from the person	125	0.3	0.3	-46 -37%
Shoplifting	2,661	5.3	5.4	-36 -1%
All other theft offences	3,100	6.2	6.6	-197 -6%
Theft offences	9,844	19.8	22.6	-1,394 -14%

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14

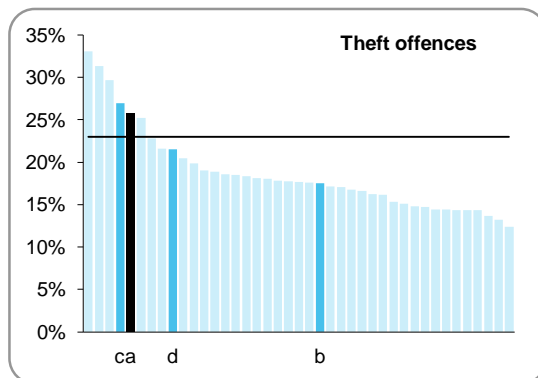


* Burglary in a building other than a dwelling

Offences and outcomes - Theft offences - Former 'detection rates'

What is the former 'detection rate' for theft offences in the force and how does this compare with others?

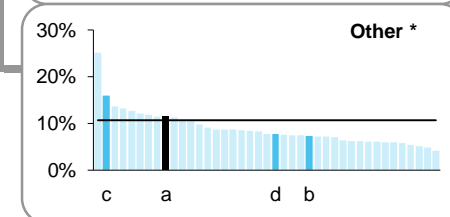
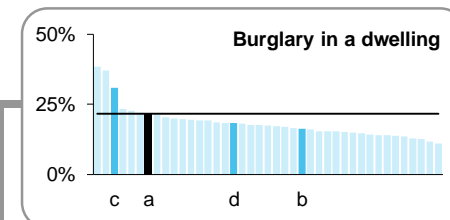
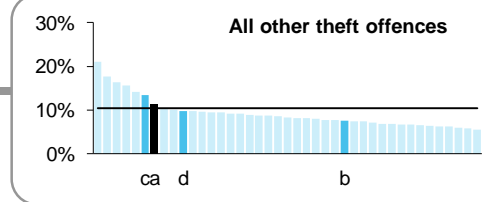
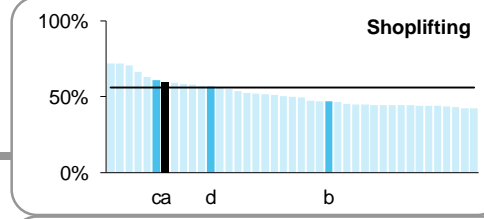
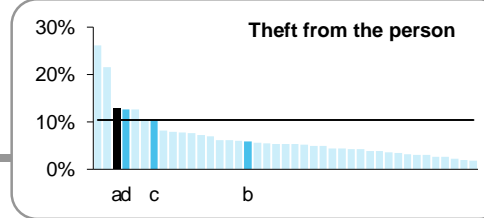
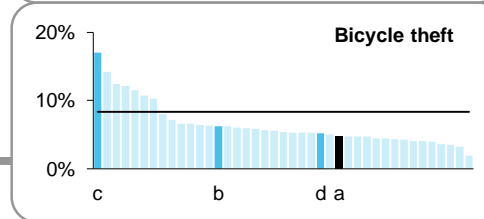
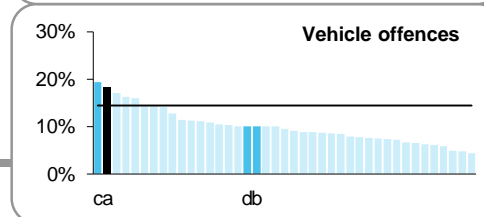
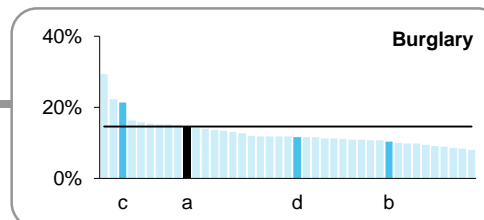
For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former detection rates.



Population	498k				
	Offences	FDs	%	MSG Avg	Diff*
Burglary					
- in a dwelling	701	151	22%	22%	-1
- other than a dwelling	1,602	183	11%	11%	13
	2,303	334	15%	14%	11
Vehicle offences	1,263	231	18%	14%	49
Bicycle theft	392	19	5%	8%	-14
Theft from the person	125	16	13%	10%	3
Shoplifting	2,661	1,592	60%	56%	100
All other theft offences	3,100	349	11%	10%	24
Theft offences	9,844	2,541	26%	23%	173

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

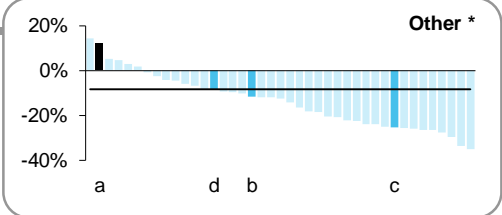
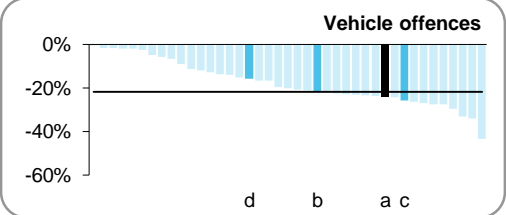
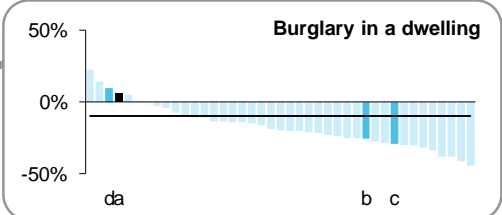
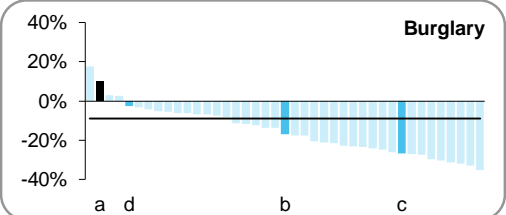
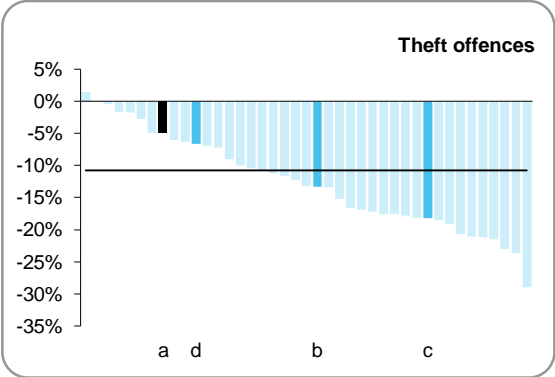
Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)



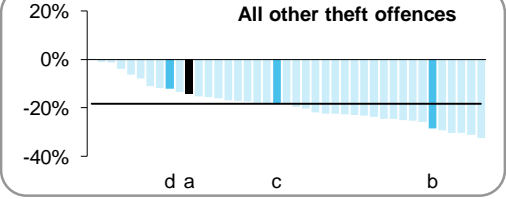
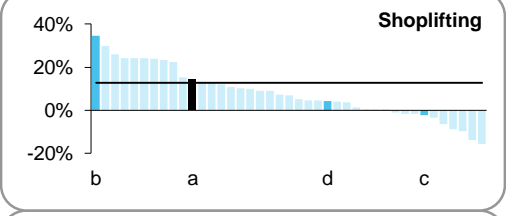
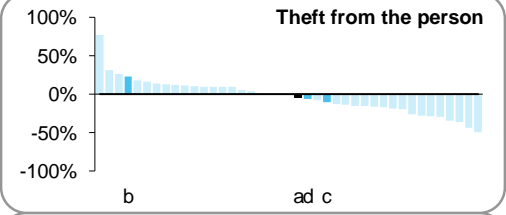
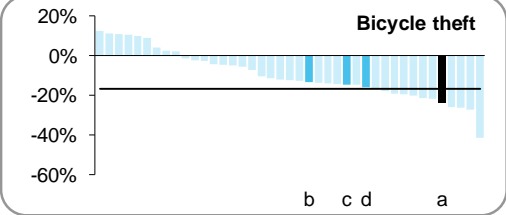
* Burglary in a building other than a dwelling

Offences and outcomes - Theft offences - 2010/11 - 2013/14

How does the recorded crime rate for theft offences compare with four years ago and how does this compare with others?



* Burglary in a building other than a dwelling



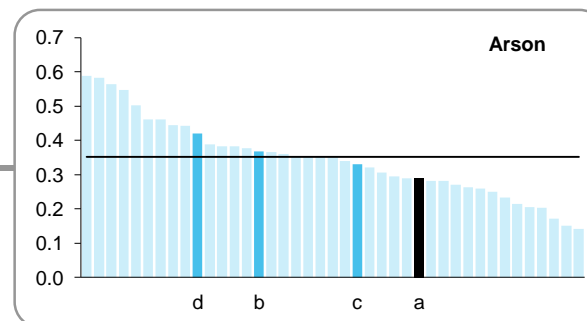
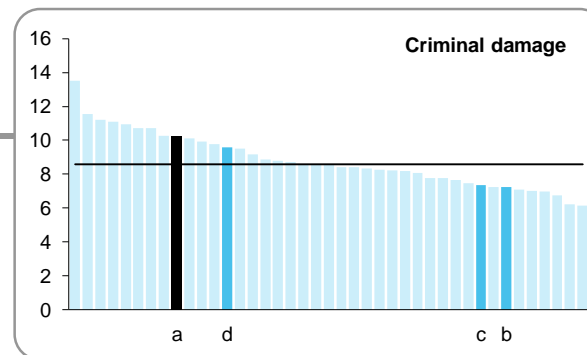
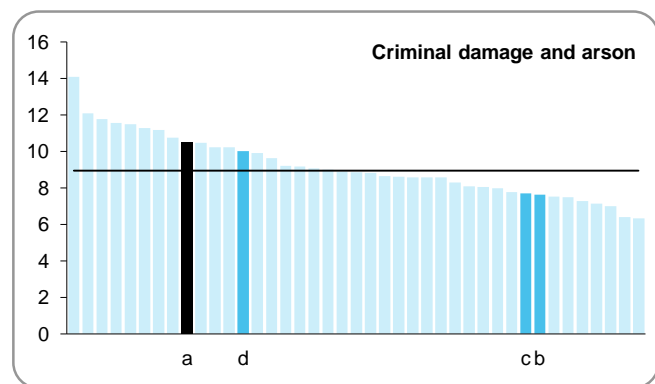
	2010/11	2013/14	% change	
			Force	MSG Avg
Burglary				
- in a dwelling	660	701	6%	-10%
- other than a dwelling	1,429	1,602	12%	-8%
	2,089	2,303	10%	-9%
Vehicle offences	1,664	1,263	-24%	-22%
Bicycle theft	513	392	-24%	-17%
Theft from the person	131	125	-5%	0%
Shoplifting	2,335	2,661	14%	13%
All other theft offences	3,620	3,100	-14%	-18%
Theft offences	10,352	9,844	-5%	-11%

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Criminal damage and arson - Recorded crime

What is the recorded crime rate for criminal damage and arson in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population.



Population	498k				
	Offences	per 1000	MSG Avg	Difference*	
Criminal damage	5,086	10.21	8.59	806	16%
Arson	144	0.29	0.35	-31	-22%
Criminal damage and arson	5,230	10.50	8.94	775	15%

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

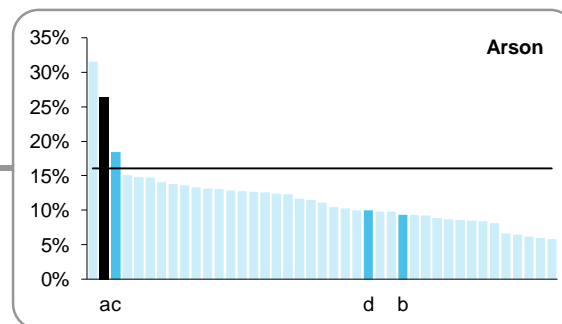
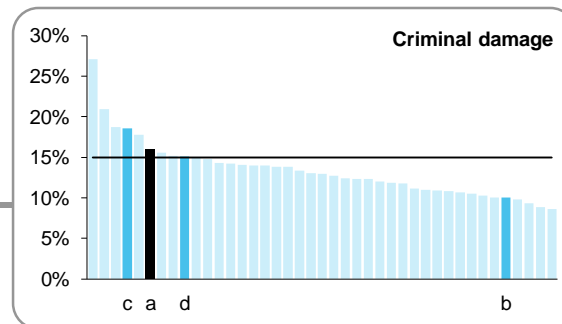
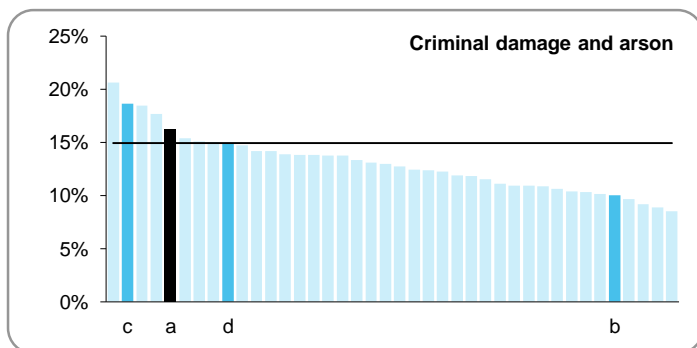
Source: ONS Crime Statistics 2013/14

Cumbria

Offences and outcomes - Criminal damage and arson - Former 'detection rates'

What is the former 'detection rate' for criminal damage and arson in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former detection rates.



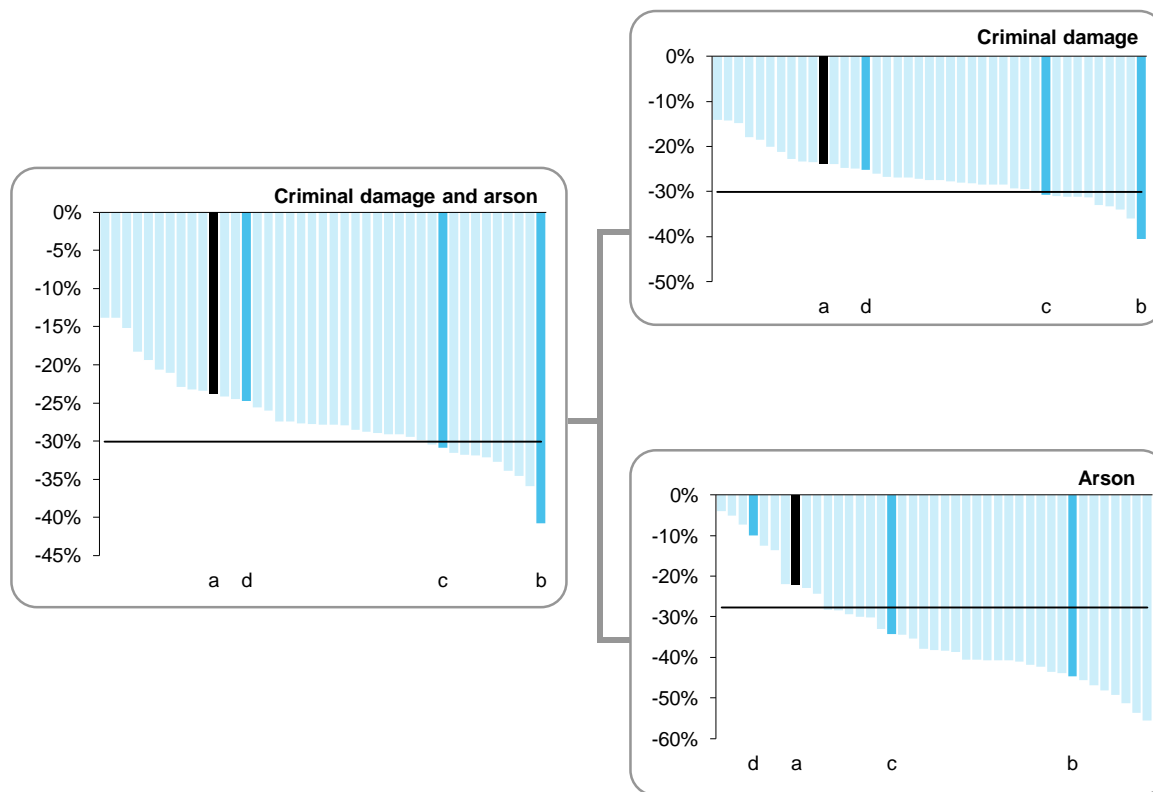
Population	498k				
	Offences	FDs	%	MSG Avg	Diff*
Criminal damage	5,086	814	16%	15%	54
Arson	144	38	26%	16%	15
Criminal damage and arson	5,230	852	16%	15%	69

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Criminal damage and arson - 2010/11 - 2013/14

How does the recorded crime rate for criminal damage and arson compare with four years ago and how does this compare with others?



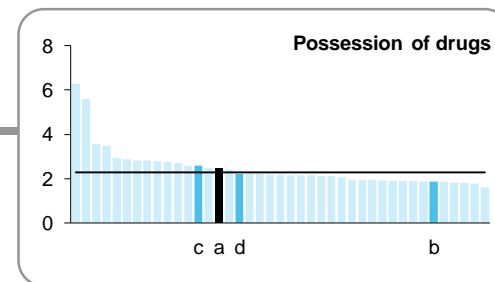
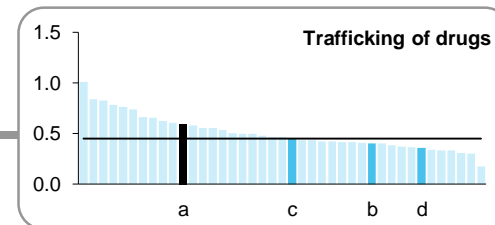
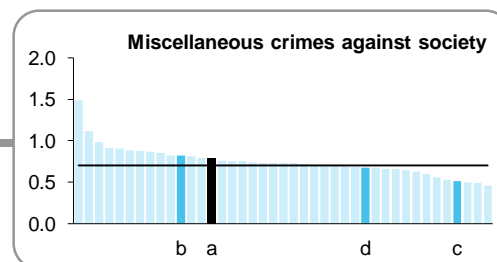
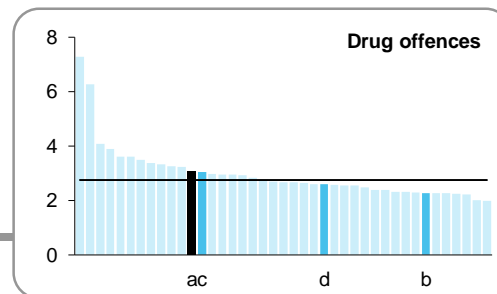
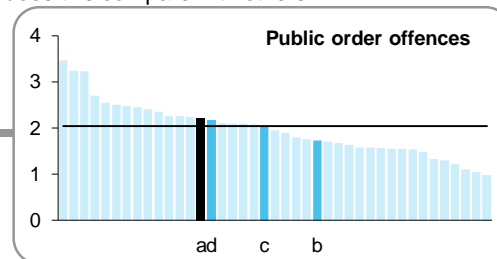
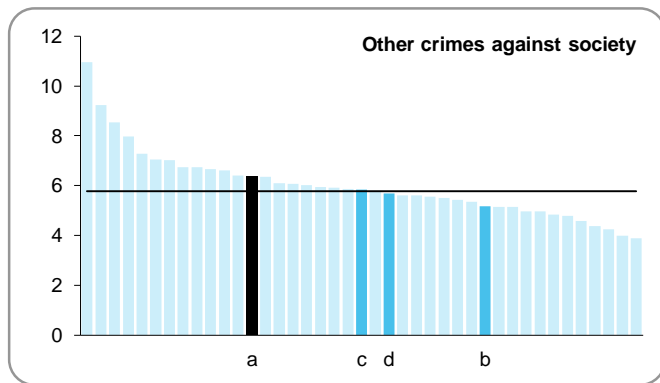
	2010/11	2013/14	% change	
			Force	MSG Avg
Criminal damage	6,681	5,086	-24%	-30%
Arson	185	144	-22%	-28%
Criminal damage and arson	6,866	5,230	-24%	-30%

Source: ONS Crime Statistics 2013/14

Offences and outcomes - Other crimes against society - Recorded crime

What is the recorded crime rate for other crimes against society in the force and how does this compare with others?

Recorded crime rate (per 1000) refers to the number of recorded offences per 1000 population .



Population	498k					
	Offences	per 1000	MSG Avg	Difference*		
Trafficking of drugs	295	0.6	0.5	70	24%	
Possession of drugs	1,235	2.5	2.3	95	8%	
Drug offences	1,530	3.1	2.7	165	11%	
Public order offences	1,101	2.2	2.0	87	8%	
Possession of weapons	147	0.3	0.3	3	2%	
Misc crimes against society	392	0.8	0.7	45	11%	
Other crimes against society	3,170	6.4	5.8	300	9%	

* Net difference in the number of offences compared to if the force had the MSG average per 1,000 population. A negative difference means the force has a lower recorded crime rate than the MSG average.

Source: ONS Crime Statistics 2013/14

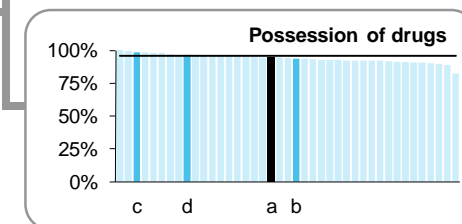
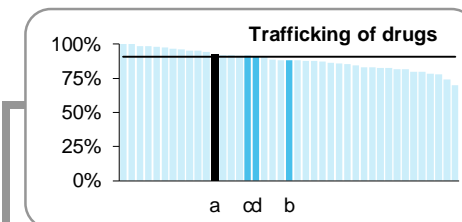
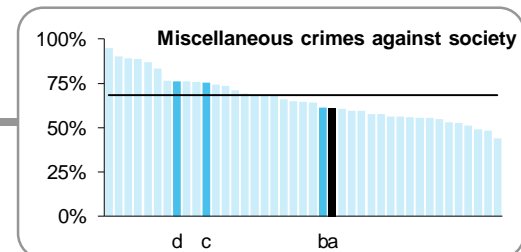
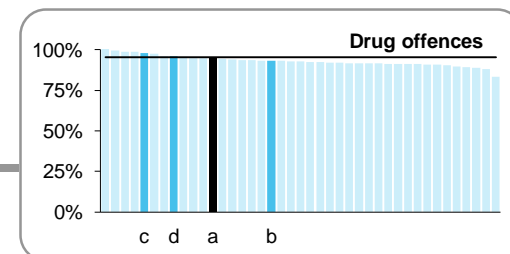
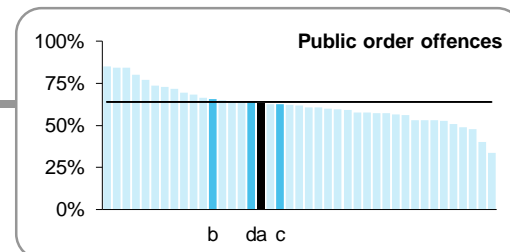
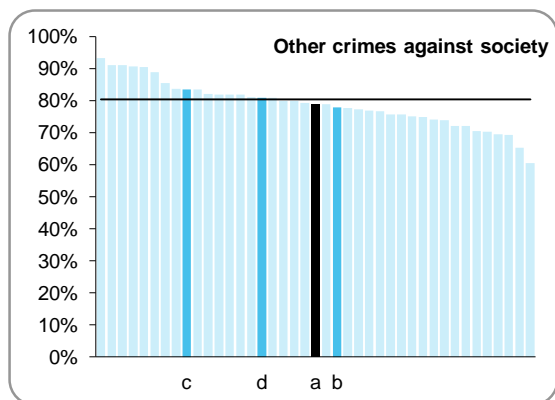
Cumbria

Offences and outcomes - Other crimes against society - Former 'detection rates'

What is the former 'detection rate' for other crimes against society in the force and how does this compare with others?

For important information on understanding former 'detection rates' see the introduction to this section. In particular, differences in forces' policies (e.g. on restorative justice, 'taken into considerations' and community resolutions) will impact on former detection rates.

Please note that the former detection rate can be above 100% where detections and crimes are recorded in different time periods. This can be particularly noticeable where crimes are proactively found or have very small numbers. For display purposes all former detection rate graphs have been capped at 100%.



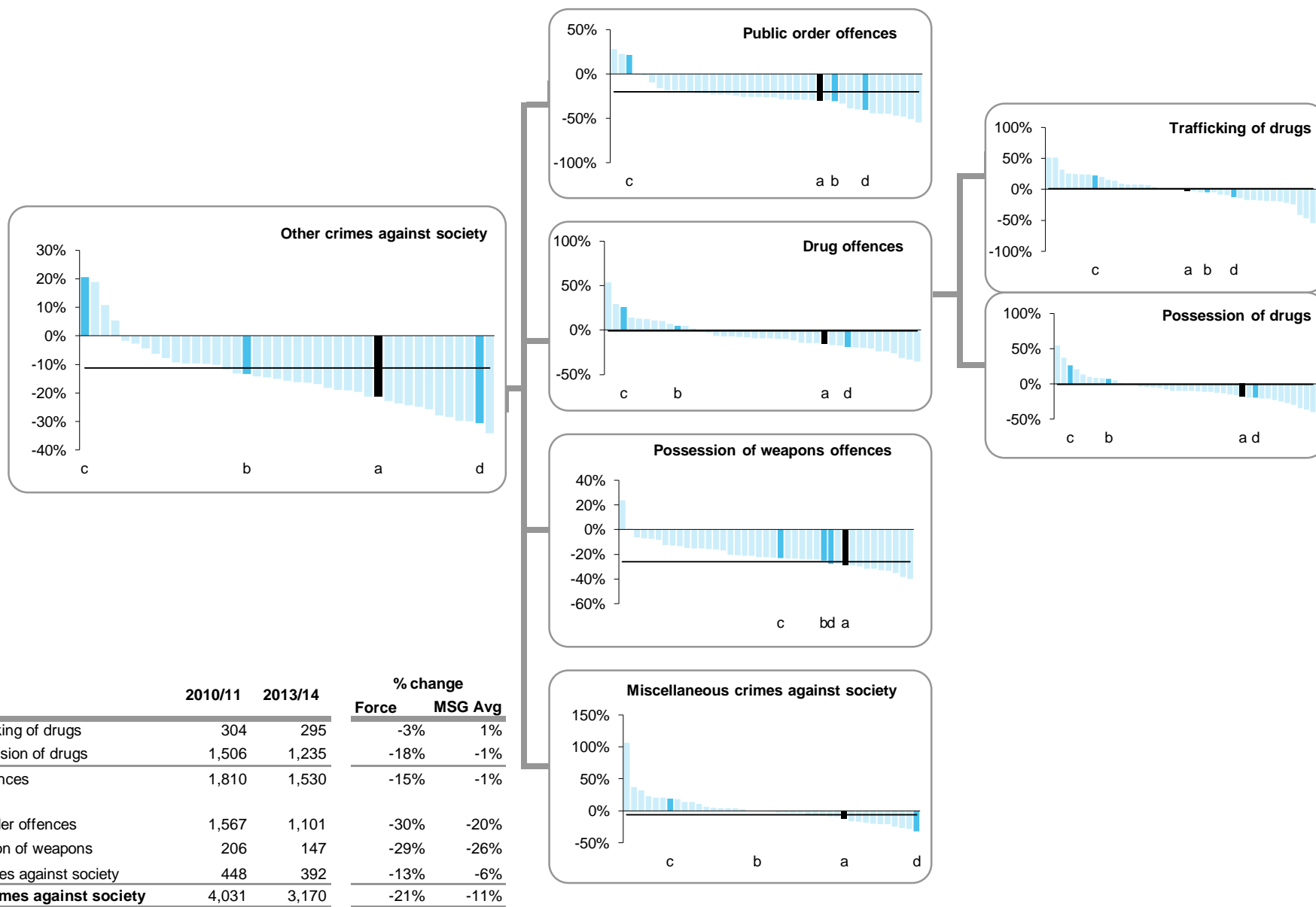
	Offences	FDs	%	MSG Avg	Diff*
Trafficking of drugs	295	273	93%	91%	5
Possession of drugs	1,235	1,172	95%	96%	-15
Drug Offences	1,530	1,445	94%	95%	-10
Public order offences	1,101	695	63%	64%	-8
Possession of weapons	147	122	83%	86%	-4
Misc crimes against society	392	239	61%	68%	-29
Other crimes against society	3,170	2,501	79%	80%	-51

* Net difference in the number of outcomes (former 'detections') compared to if the force had the MSG rate. A positive difference indicates a higher number of detections for this force than expected based on the detections reported by MSG forces.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - Other crimes against society - 2010/11 - 2013/14

How does the recorded crime rate for other crimes against society compare with four years ago and how does this compare with others?



Source: ONS Crime Statistics 2013/14

Offences and outcomes - Change in former 'detection rate's

How does the former 'detection rate' compare with four years ago for all crime types and how does this compare with others?

	2010/11	2013/14	% point change	MSG Avg		2010/11	2013/14	% point change	MSG Avg
Victim-based crime	31%	28%	-3.5	-0.8					
Other crimes against society	89%	79%	-10.1	-7.8					
Crimes (exc fraud)	40%	35%	-5.3	-1.3					
Violence against the person	2010/11	2013/14	% point change	MSG Avg		2010/11	2013/14	% point change	MSG Avg
Homicide*	19%	100%	81.3	34.2					
Violence with injury	57%	42%	-15.3	-5.1	Trafficking of drugs	94%	93%	-1.2	-1.7
Violence without injury	59%	43%	-16.0	-7.8	Possession of drugs	101%	95%	-6.1	-6.3
Violence against the person	58%	43%	-15.3	-6.6	Drug Offences	100%	94%	-5.3	-5.4
Sexual offences									
Rape	17%	21%	4.2	3.1	Possession of weapons offences	93%	83%	-9.7	-4.1
Other sexual offences	41%	30%	-10.8	-5.0	Public order offences	79%	63%	-16.3	-15.2
Sexual offences	33%	27%	-5.5	-2.7	Misc crimes against society	77%	61%	-16.5	-2.4
Robbery									
Robbery of business property	89%	100%	11.1	26.6	Other crimes against society	89%	79%	-10.1	-7.8
Robbery of personal property	57%	57%	-0.5	6.2					
Robbery	66%	66%	0.0	9.0					
Theft									
Burglary in a dwelling	25%	22%	-3.5	-0.9					
Burglary in a building other than a dwelling	17%	11%	-5.9	-2.3					
Burglary	20%	15%	-5.2	-1.8					
Vehicle offences	16%	18%	1.9	0.7					
Bicycle theft	7%	5%	-2.4	2.4					
Theft from the person	12%	13%	0.6	1.9					
Shoplifting	72%	60%	-12.6	-10.9					
All other theft offences	15%	11%	-3.6	-1.2					
Theft offences	29%	26%	-2.9	-0.6					
Criminal damage and arson									
Criminal damage	16%	16%	-0.3	-0.6					
Arson	15%	26%	11.3	1.3					
Criminal damage and arson	16%	16%	0.1	-0.5					
Victim-based crime	31%	28%	-3.5	-0.8					

* Since homicide numbers are small, care should be taken when making comparisons between forces. Further, the former 'detection rate' can be greater than 100% where a detection is recorded for a crime which occurred in a previous year.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Offences and outcomes - by type

How are different former detection types used by the force and how does this compare with others?

These charts show the proportion of usage for different types of sanction detections alongside the average proportions for the MSG.

Charge summons refer to when an offender is charged with a crime and can be summoned to court.

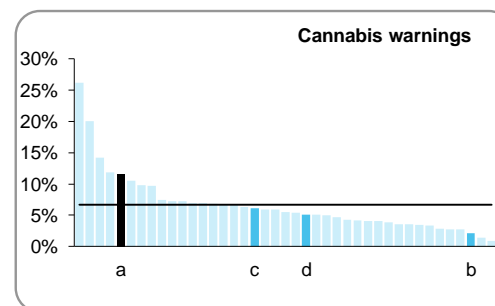
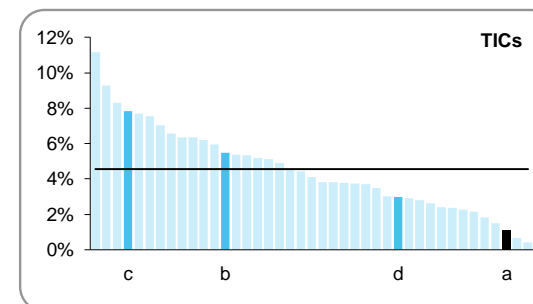
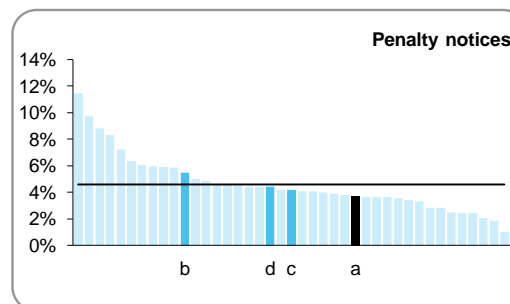
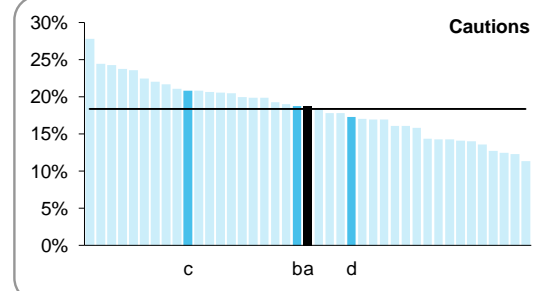
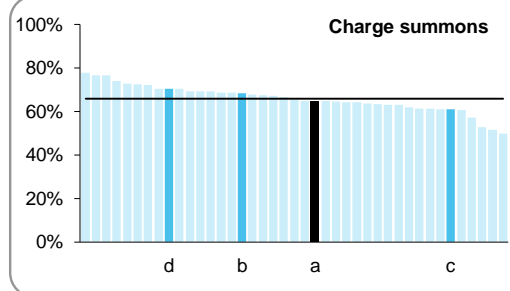
Cautions refer to when an offender receives a caution which is officially recorded against their name.

Fixed penalties refer to financial penalties which are recorded on the police national database.

Taken into Considerations (TICs) refer to offences which are considered in conjunction with other offending, often more serious offences. The figures presented do not include TICs for crimes that have not previously been recorded (which are in a separate category).

Cannabis warnings refer to specific warnings recorded for drugs (cannabis use).

Note that former 'detections' do not cover all detections such as restorative justice, TICs for crimes not previously recorded and community resolutions.



	%	MSG Avg	Avg
Charge summons	65%	66%	66%
Cautions	19%	19%	18%
Penalty notices	4%	4%	5%
Cannabis warnings	12%	6%	7%
Taken into consideration (TIC)	1%	4%	5%
Total	100%	100%	100%

Source: ONS Crime Statistics 2013/14

Cumbria

Offences and outcomes - Charges

What proportion of offences result in charges for all crime types and how does this compare with the other forces?

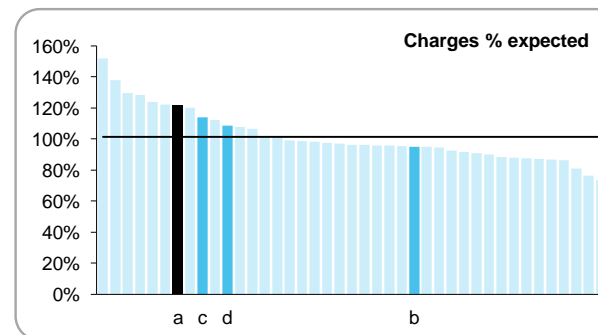
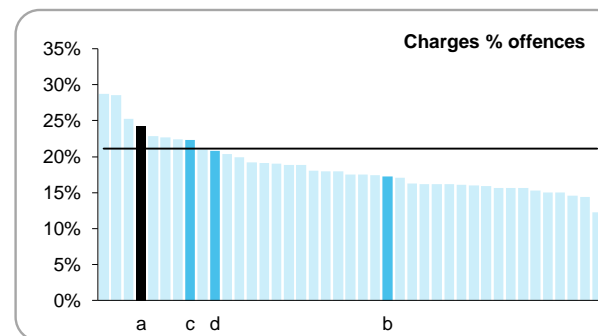
The term charges relates to recorded offences processed by means of charge or summons.

These charts and tables show the charge rates for all crime types compared with the MSG.

The charges % expected plot shows your actual charges divided by the number of charges you would achieve if you were performing in line with all forces for each crime type. Hence if above/below 100%, you are achieving more/fewer charges than the average. Here a weighted average of forces is used.

	Offences	Charges	%	MSG	Diff*
Victim-based					
Homicide	4	4	100%	93%	0
Violence with injury	2,611	808	31%	30%	14
Violence without injury	2,648	816	31%	27%	97
Rape	126	27	21%	22%	-1
Other sexual offences	298	79	27%	27%	-2
Robbery of business property	14	14	100%	79%	3
Robbery of personal property	53	30	57%	39%	9
Burglary in a dwelling	701	138	20%	17%	21
Burglary in a building other than a dwelling	1,602	168	10%	7%	50
Vehicle offences	1,263	192	15%	9%	75
Bicycle theft	392	16	4%	4%	0
Theft from the person	125	12	10%	8%	2
Shoplifting	2,661	1,180	44%	40%	102
All other theft offences	3,100	245	8%	7%	28
Criminal damage	5,086	568	11%	10%	40
Arson	144	36	25%	14%	15
Other crimes against society					
Trafficking of drugs	295	246	83%	71%	36
Possession of drugs	1,235	468	38%	29%	112
Possession of weapons offences	147	90	61%	68%	-10
Public order offences	1,101	469	43%	43%	-9
Miscellaneous crimes against society	392	217	55%	59%	-14
Crimes (excluding fraud)	23,998	5,823	24%	21%	570

* Net difference in the number of charges compared to if the force had the MSG rate.



The level of expected charges is based on national average charges rates for each crime-type.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Cumbria

Offences and outcomes - Cautions

How are different former detection types used by the force and how does this compare with others?

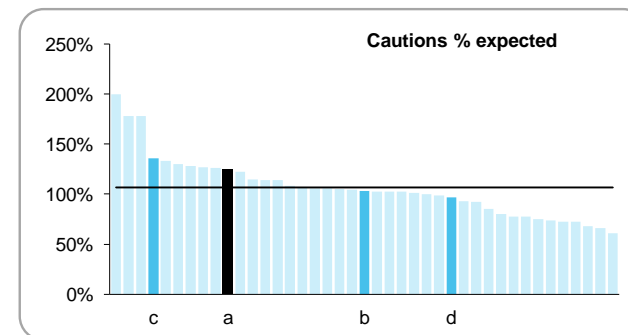
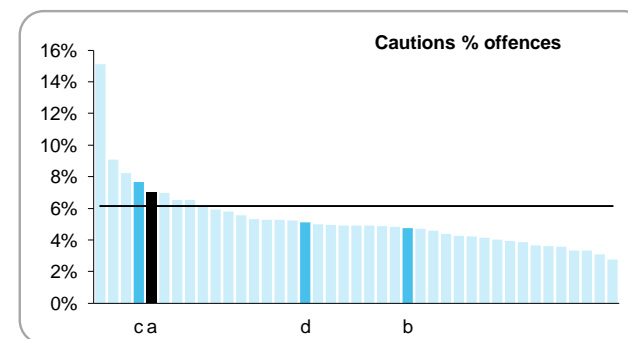
The term cautions refers to a recorded offence where the offender receives a caution officially recorded against their name.

These charts and tables show the caution rates for all crime types compared with the MSG average. The difference values show what the force would have achieved if it had matched their MSG average for each crime type.

The cautions % expected plot shows your actual cautions divided by the number of cautions you would achieve if you were performing in line with all forces for each crime type. Hence if above/below 100%, you are achieving more/fewer cautions than the average. Here a weighted average of forces is used.

	Offences	Cautions	%	MSG	Diff*
Victim-based					
Homicide	4	0	0%	0%	0
Violence with injury	2,611	293	11%	11%	16
Violence without injury	2,648	330	12%	11%	49
Rape	126	0	0%	0%	-1
Other sexual offences	298	10	3%	4%	-1
Robbery of business property	14	0	0%	0%	0
Robbery of personal property	53	0	0%	0%	0
Burglary in a dwelling	701	1	0%	1%	-3
Burglary in a building other than a dwelling	1,602	6	0%	1%	-3
Vehicle offences	1,263	19	2%	1%	9
Bicycle theft	392	3	1%	1%	-1
Theft from the person	125	3	2%	2%	0
Shoplifting	2,661	199	7%	6%	39
All other theft offences	3,100	89	3%	2%	13
Criminal damage	5,086	228	4%	4%	26
Arson	144	2	1%	1%	0
Other crimes against society					
Trafficking of drugs	295	27	9%	19%	-30
Possession of drugs	1,235	276	22%	24%	-26
Public order offences	1,101	145	13%	12%	17
Possession of weapons offences	147	32	22%	18%	6
Miscellaneous crimes against society	392	22	6%	9%	-12
Crimes (excluding fraud)	23,998	1,685	7%	6%	101

* Net difference in the number of cautions compared to if the force had the MSG rate.



The level of expected cautions is based on national average caution rates for each crime-type.

Source: Home Office Detections Statistics 2013/14 (former 'detections'), ONS Crime Statistics 2013/14 (Crime)

Cumbria

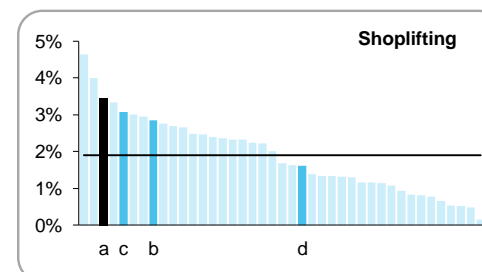
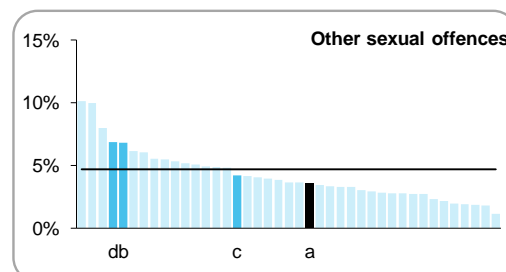
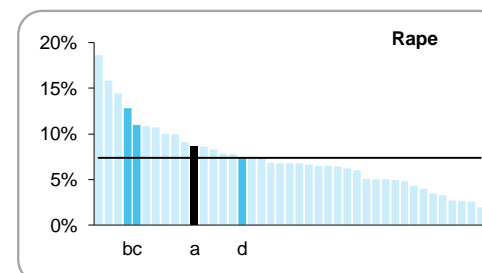
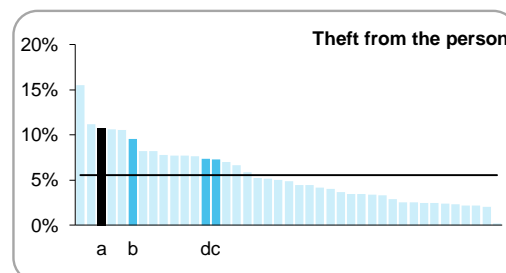
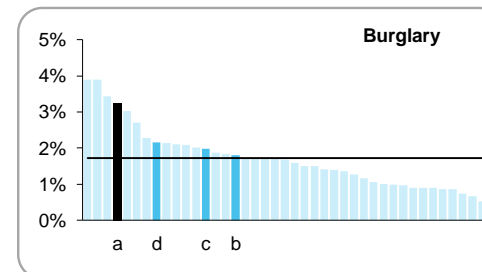
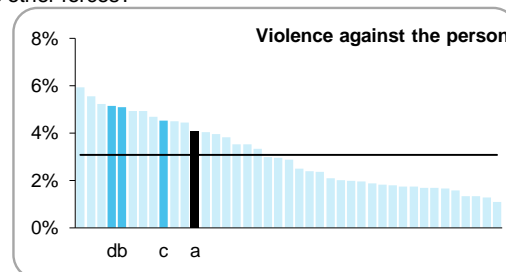
Offences and outcomes - No crime

What proportion of crimes initially recorded are subsequently 'no crimed' where it is judged by the police that no crime actually took place or was recorded in error and how does this compare for different crime types and to other forces?

These charts show the 'no crime rate' (number of 'no crimes' divided by the number of recorded crimes and the number of 'no crimes' added together) for the last four years. The average no crime rate is the average of all forces.

This information gives a more rounded picture of a force's crime recording practises.

A crime could be no crimed where it is considered to have been recorded in error or where, having been recorded, additional verifiable information becomes available that determines that no crime was committed.



	2010/11	2011/12	2012/13	2013/14		Change	
				Force	All Avg	3 year	1 year
Violence against the person	6.4%	5.2%	3.9%	4.1%	3.1%	-2.3%	0.2%
Burglary	4.7%	3.8%	2.8%	3.2%	1.7%	-1.5%	0.4%
Theft from the person	14.4%	11.2%	7.9%	10.7%	5.6%	-3.7%	2.8%
Rape	9.9%	10.3%	1.9%	8.7%	7.4%	-1.2%	6.8%
Other sexual offences	10.1%	6.1%	3.8%	3.6%	4.2%	-6.5%	-0.3%
Shoplifting	3.1%	3.2%	3.1%	3.4%	2.1%	0.3%	0.4%

Please note:

The proportion of 'no crimes' does not in itself infer high or low compliance with the overall requirements of the Home Office Counting Rules. Levels of 'no criming' are particularly susceptible to local recording practice and the IT systems in use. A police force having a high level of 'no crimes' may be indicative of that force having a local recording process that captures all reports as crimes at the first point of contact and before any further investigation has taken place to consider the full facts. Note that forces have a 72-hour window in which to record a crime once the balance of probability says a crime has been committed.

Source: Home Office 'No crimes' data

Cumbria

Outliers

This page provides the areas in which the force is an outlier in costs. The force's figures are compared to the spend of other forces. To be flagged as an outlier, the spend must be one of the highest 10% or lowest 10% of any force and the effect of the difference is greater than £1 per head of population. The difference (Diff) calculations are the net cost of the difference in spend to the average per head of all forces.

OVERALL COSTS

	£m	£/head	Avg	Diff £m
Non-staff costs	27.5	55.1	43.7	5.7
Net revenue exp.	105.8	212.3	179.5	16.3

Officer costs

Overtime	OT % sal	Avg	Diff £m
Officer overtime as a % salary	1.9	2.9	-0.6

Non Staff Costs

	£m	% staff cost	Avg	Diff £m
Restructure, training and conference	1.1	1.3	0.6	0.6

COSTS BY OBJECTIVE

	£m	£/head	Avg	Diff £m
NRE by objective group				
Road policing	4.5	9.0	5.0	2.0
Support functions	22.6	45.3	36.1	4.6
PCC/Local Policing Body	5.5	11.0	3.4	3.8

Local policing

Neighbourhood policing	26.9	54.1	24.3	14.8
Incident (response) management	7.7	15.4	28.2	-6.4
Total exc local investigation	37.0	74.3	58.0	8.1

Road policing

Traffic Units	4.6	9.1	5.0	1.3
Road policing	4.5	9.0	5.0	1.3

Operational support

Firearms unit	0.3	0.6	2.8	-1.1
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Investigations

Major investigations unit	0.2	0.5	3.4	-1.4
Serious and organised crime unit	2.7	5.4	2.5	1.4
Economic crime	0.0	0.0	1.0	-0.5

Support functions

ICT	6.6	13.3	8.3	2.5
Fleet services	2.8	5.7	3.6	1.1
Support functions	22.6	45.3	36.1	4.6

Police and Crime Commissioner

PCC/local policing body commissioned	4.6	9.3	2.2	3.5
PCC/Local policing body cost	5.5	11.0	3.4	3.8



Inspecting policing
in the **public interest**

Responding to austerity

Cumbria Constabulary

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How well does the constabulary provide value for money?

Overall judgment

Cumbria Constabulary is achieving the required savings today while planning for the future. The constabulary has performed well in the first three years of the spending review – achieving savings, protecting the front line and maintaining high levels of satisfaction.

Good

Summary

Cumbria Constabulary has clear plans not only to meet its financial challenge for the spending review period but also for the year after (2015/16). Importantly, the constabulary is already looking beyond this period and has developed plans, which it will refine, to achieve the savings required over the next four years. Although the constabulary has access to a healthy level of reserves, it has identified a significant risk in the future from potential changes to central funding; this risk is reflected in the level of the reserves it plans to retain over this period.

Overall, the constabulary has performed well in the first three years of the spending review. It has achieved savings while increasing the proportion of the workforce allocated to frontline roles and maintaining high levels of victim satisfaction in the services it provides.

The investment that the constabulary has made to improve its understanding of demand gives it the opportunity to become more efficient. The continuous improvements made through its robust change programme mean the constabulary is well placed to develop further a sustainable and affordable way of providing community policing in Cumbria. HMIC was reassured by Cumbria's coherent business plan and by the leadership's determination to make further improvements to the efficiency and effectiveness of the constabulary's workforce and assets.

To what extent is the constabulary taking the necessary steps to ensure a secure financial position for the short and long term?

Good

Cumbria Constabulary has clear plans to achieve savings in 2014/15 and to achieve the £16.6m savings required over the spending review period.

It is on course to achieve further savings of £3.5m in 2015/16.

The constabulary has identified it needs to save £13.1m by 2017/18, and has already developed outline plans that it will review and refine over the next two years.

The constabulary has access to reserves to invest in building a sustainable and affordable policing structure for the future.

To what extent has the constabulary an affordable way of providing policing?

Good

Cumbria Constabulary's workforce structure matches the needs of the organisation to date. More of the workforce is on the front line.

The constabulary has a coherent change programme mapped out. This provides it with a clear projection of the resources required to support its future policing needs while achieving savings.

The constabulary may be able to realise additional savings and operational benefits from collaborative opportunities over the next four years.

The constabulary has achieved approximately 22% of its savings by reducing its non-pay costs, although these are still comparatively high.

To what extent is the constabulary efficient?

Good

The constabulary has undertaken a systematic, comprehensive and rigorous assessment of demand that has provided an empirical evidence base to inform the new operating model.

The new operating model will align resources against the policing challenges the constabulary faces.

A new comprehensive ICT strategy will both realise savings and enhance effectiveness.

Over the spending review period, recorded crime has reduced but at a lower rate than in England and Wales. Over the last year victim satisfaction in the constabulary is above the figure for England and Wales.

The constabulary in numbers



Financial position

The constabulary's savings requirement

Requirement Gap

£16.6m

£0.0m



Providing policing

Planned change in police officer numbers 2010/11 – 2014/15

Cumbria England and Wales

-8%

-11%

Planned change in total workforce numbers 2010/11 – 2014/15

Cumbria England and Wales

-14%

-14%

Planned proportion of police officers on the front line 2014/15 vs 2010/11 (percentage points)

Cumbria England and Wales

+3.7

+3.0

Planned proportion of total workforce on the front line 2014/15 vs 2010/11 (percentage points)

Cumbria England and Wales

+5.0

+3.7



Efficiency

Police officer cost per head of population
2013/14

Cumbria

England and Wales

£117.3
£117.7

Workforce cost per head of population
2013/14

Cumbria

England and Wales

£164.0
£168.1

Change in recorded crime
2010/11 – 2013/14

Cumbria

England and Wales

-10%
-14%

Victim satisfaction 2013/14*

Cumbria

England and Wales

89.4%
85.2%

*Confidence intervals: $\pm 2.6\%$ for Cumbria; $\pm 0.2\%$ for England and Wales.

Introduction

In October 2010, the Government announced that central funding to the police service in England and Wales would reduce by 20 percent in the four years between March 2011 and March 2015.

HMIC's Valuing the Police Programme has tracked how forces are planning to make savings to meet this budget demand each year since summer 2011. This report identifies what we found in this, our fourth year.

Our inspection focused on how well the constabulary is achieving value for money. To answer this question we looked at three areas:

- To what extent is the constabulary taking the necessary steps to ensure a secure financial position in the short and long term?
- To what extent has the constabulary an affordable way of providing policing?
- To what extent is the constabulary efficient?

During our inspection we collected data and plans from forces, surveyed the public to see if they had noticed any changes in the service they receive from the police as a result of the cuts, and conducted in-force inspections. We also interviewed, where possible, the chief constable, police and crime commissioner and the chief officer leads for finance, change, human resources and performance in each force, and held focus groups with staff and other officers.

This provides the findings for Cumbria Constabulary.

To what extent is the constabulary taking the necessary steps to ensure a secure financial position for the short and long term?

HMIC looked at the savings plans that forces have developed in order to meet the financial challenge of the spending review, and for the year after 2015/16. It is also important that forces look to the future beyond 2016 in their planning, so we also explored how they are starting to prepare for further financial challenges.

Financial challenge

Cumbria Constabulary has identified that it needs to save £16.6m over the four years of the spending review (i.e. between March 2011 and March 2015).

As a proportion of its overall budget, this savings requirement of 15 percent is lower than the value for England and Wales, but HMIC considers that Cumbria Constabulary still faces a challenge. In 2013/14 it attracted a slightly higher central funding contribution but local funding is broadly in line with other forces, which means that central funding cuts can have more of an impact compared to other forces.

The scale of the challenge

Cumbria Constabulary does face some challenges in finding efficiencies as it covers a large geographical and often remote area, with communities dispersed throughout. Additional demand on policing comes from a large influx of tourists all year but especially during the summer months. As a force with a small population, direct comparison with other forces will tend to show Cumbria's expenditure per head of population as higher. Nonetheless, it is important that the constabulary looks for further efficiencies to achieve savings and reduce costs. There may be some scope for Cumbria to do so because:

- the spend per head of population on policing is higher than in most other forces in England and Wales;
- the constabulary has higher numbers of police officers and police staff, including police community support officers (PCSOs), per head of population than most other forces in England and Wales; and
- it has non-workforce costs that are higher than in most other forces in England and Wales.

Savings plans for 2014/15 and 2015/16

The constabulary has a good record of achieving savings and in 2013/14 it achieved £3.8m of planned savings. In addition, it underspent by £3.1m, mainly by holding workforce vacancies. This underspend has been transferred to reserves to ensure the long-term sustainability of the constabulary.

Since achieving 93 percent of required savings over the first three years, the constabulary has made good progress and has detailed plans to achieve savings in 2014/15 by streamlining management processes and cutting overtime costs further. Based on prudent assumptions, the savings requirement for 2015/16 is £3.5m and there is a robust change programme plan that sets out in detail how these savings will be achieved.

The savings plans to 2016 prioritise expenditure on the objectives set out in the police and crime commissioner's (PCC) police and crime plan, and the constabulary is taking necessary action to mitigate any risks to meeting the priorities over this period.

Outlook for 2016 and beyond

Based on a prudent set of assumptions about likely grant reductions, cost and precept increases, Cumbria Constabulary has identified that it needs to make savings of £10.4m over the four years to 2017/18.

The constabulary has developed its savings plans to 2017/18, which it will continue to review and refine over the next two years. These savings plans will be informed by the findings of the review of demand that the constabulary has completed and the investment it will make in the next two years. The way that policing will be provided in the future is being developed to be fit for purpose for beyond 2018. This includes having the necessary flexibility to adapt to potential further austerity while meeting the needs of the public, based on assessments of threat, harm and risk.

The PCC and the constabulary have a healthy level of reserves and plans to invest them in IT and training and leadership to implement its change programme. The scenario planning that the constabulary has done is informed by the risks facing the organisation over the next four years. In particular, the potential impact of a change in the Government's policy for allocating funding to police forces could significantly reduce the level of central funding the constabulary receives. The reserves have been increased to reflect this risk; however, the plans rely on any adverse impact being introduced over an extended period. The constabulary recognises that it will need to keep reviewing this assumption.

The change programme plans currently under development aim to achieve the savings planned up to 2017/18 without using reserves to bridge any funding gap. If achieved, this places the constabulary in a strong position to manage the risk of a change in the funding allocation policy without having an adverse impact on the policing service provided to the public over the four years to 2017/18.

Summary



Good

- Cumbria Constabulary has clear plans to achieve savings in 2014/15 and to achieve the £16.6m savings required over the spending review period.
- It is on course to achieve further savings of £3.5m in 2015/16 while prioritising spend on the PCC's priorities, as set out in the police and crime plan.
- The constabulary has identified it needs to save £10.4m by 2017/18 and has already developed outline plans that it will review and refine over the next two years.
- The constabulary has access to reserves to invest in building a sustainable and affordable policing structure for the future.
- However, a change in government policy for allocating funding potentially could result in a significant funding cut. Should this occur, the constabulary's ability to achieve savings without using reserves will reduce the long-term impact this could have on the service it provides to the public.

To what extent has the constabulary an affordable way of providing policing?

HMIC looks at how the constabulary is structured to provide policing. We ask if this is affordable as the constabulary responds to its financial challenge. We look at what the constabulary is doing to reduce its costs, how it is protecting officers and staff engaged in fighting crime and keeping communities safe, and how it is making the required changes through its change programme.

How the constabulary provides policing

The way the constabulary currently works and polices Cumbria has supported the successful achievement of savings that will meet the requirements during the spending review period.

Community policing is the cornerstone of Cumbria Constabulary's service. Over the spending review period the constabulary has protected its frontline strength, whenever possible. Although the constabulary plans result in a reduction of police officers over the spending review period, only a small number of these are frontline roles. The constabulary has increased the proportion of the workforce in frontline roles over the period by making most of its savings from business support functions.

Currently, local policing is provided across three territorial policing areas: North, West and South. The constabulary has recently restructured its neighbourhood policing teams by reducing them from 21 to 10 (four North, three South, three West) and from five areas of command to two (crime and territorial), each headed by a chief superintendent. While considering the financial challenge, this restructure has been planned against an assessment of threat, risk and harm, and consultation with the public has taken place through annual surveys. No key issues have been raised from the public or partner agencies, and victim satisfaction remains high. The new structure aims for consistency across the whole large geographical area.

The command structure has also been changed, reducing the number of assistant chief constables and chief superintendents by half and the number of directors from seven to two.

While the way that policing currently is provided has served Cumbria well over the spending review period, the constabulary has undertaken a detailed review of the demands placed on local policing in light of the requirement to reduce costs and meet future saving requirements. It recognises that it will need to manage its resources in different ways. It has also reviewed the way that its infrastructure (IT, fleet and estates assets) can better support operational policing teams in the future.

Collaboration

HMIC monitors forces' progress on collaboration because it offers the opportunity to provide efficient, effective policing and it helps to achieve savings.

Cumbria Constabulary is part of the North West Regional Organised Crime Unit collaboration. This results in a collective capability to tackle serious organised crime that crosses county borders within the region. The constabulary's most substantial police collaboration during the spending review period has been with Lancashire Constabulary. This provides learning and development opportunities to both forces. It is also achieving savings for the constabulary by benefiting from the economies of scale and sharing best practice.

Collaboration has been sought with a range of policing and partner agencies and the constabulary has identified a number of further opportunities. The potential benefits of collaboration with other public sector service providers in Cumbria are recognised by the constabulary. However, in exploring the opportunities in more detail, the constabulary has decided not to pursue them. Its savings strategy is to gain efficiency savings from internal reviews before further developing collaborative opportunities. A business case for any potential collaborative or partnering opportunity needs to demonstrate a return on investment, whether through additional savings or operational benefit. The constabulary has a range of examples where collaboration has not been pursued mainly because the business cases did not show the required level of return on investment.

The constabulary expects to spend 2 percent of its net revenue expenditure on collaboration, which is lower than the 11 percent figure for England and Wales. Collaboration is expected to contribute to 3 percent of the constabulary's savings requirement, which is below the 10 percent figure for England and Wales.

Managing change

Reductions in police budgets have led to a shrinking workforce. HMIC expects forces to look at longer term transformation plans that can help maintain or improve the service they offer to the public, and prepare for future funding reductions.

Cumbria Constabulary has made substantial improvements to its workforce planning process by introducing more sophisticated profiling in 2013/14. By continuing its zero-based budgeting approach, it has balanced its budget in 2014/15, without using financial reserves to bridge the funding gap, and it has also met the PCC's commitment to maintain police officer numbers.

The constabulary has a robust mechanism to ensure that the current and projected

workforce model matches organisational and financial requirements. The individual plans and the single overall business plan clearly are linked. This overall business plan outlines the strategic requirements for change, setting out priority areas, and detailing the timeline for achievement of future savings and the PCC's objectives. Each part of the plan has a supportive implementation element such as the human resources workforce establishment report, which includes projections up to 2018 and identifies the mix and skills required in the workforce.

New business cases set out the benefits, costs and workforce implications. Evaluations are carried out after implementation to make sure that the original benefits described have been realised.

The constabulary already is doing some work on projections to the year 2020. These projections are aligned to financial forecasts and the constabulary's infrastructure strategies (IT, estates and fleet). The various initiatives planned until 2017/18 demonstrate a clear understanding of how the constabulary will evolve over time.

The constabulary has developed its own business improvement methodology, which has been applied to all reviews undertaken. This considers current demand and processes, and adopts an approach to reducing demand and improving efficiency. Peer assessment has been considered to help the constabulary understand if some operational areas need improvement, for example, the triage arrangements that are similar to a multi-agency safeguarding hub; these are to be assessed by Lancashire Constabulary.

Through a process of evolution, Cumbria Constabulary is ensuring that the reviews and changes being introduced will result in an affordable and sustainable way of providing community policing. A certain level of investment is required in its infrastructure to support the workforce in the future. It has an overarching plan that recognises the interdependencies, and these are timetabled to make sure they are implemented in a coordinated manner. The constabulary is to refine its change programme with the findings of the demand review it completed in March 2014. This should provide it with a more accurate projection of the workforce model it will require to meet both the financial and community policing demands for the long term.

The constabulary identified that the main elements of its change programme during the current spending review are:

- changing in business support across all business support functions;
- changes to local policing;
- shift pattern changes;
- use of business improvement methodologies;
- zero-based budgeting.

The constabulary identifies that the main elements of its change programme as it responds to future financial pressures will include:

- improved call management;
- better alignment of resources to demand;
- use of business improvement methodologies;
- shift pattern changes;
- zero-based budgeting.

How is the constabulary supporting its workforce to manage change and effective service provision?

As part of the change programme, a training needs analysis is carried out for each review Cumbria Constabulary undertakes. This informs the learning and developmental requirements of the workforce.

The constabulary places great importance on attendance. Regular reports to senior officers and staff provide information on the current cost of sickness, detailing the number of hours lost for each function which is translated into the monetary cost. As a result of this work, the constabulary has seen a downward trend in the levels of sickness among both police officers and staff

Senior management and the leadership programme clearly recognise that engagement, communication and continuous improvement are essential to provide sustainable solutions. The constabulary has a family feel and the workforce is loyal to the organisation. Providing sustainable solutions is a priority for them. Although the workforce is informed about changes, the process of change and continuous improvement is largely implemented by the change team.

The constabulary's understanding of the culture of the workforce varies. Staff surveys are not conducted on a regular basis. There is no systematic use of either formal or informal channels of engagement. Without other sources of information to provide an evidence base for leadership development and staff welfare, there is a risk that the workforce will not take ownership of the changes required to provide policing more efficiently and effectively in the future.

How is the constabulary achieving the savings?

Because around 80 percent of a police budget (on average) is spent on staff costs, it is not surprising that forces across England and Wales plan to achieve most of their savings by reducing the number of police officers, PCSOs and police staff employed.

However, we also expect forces to also bear down on their other costs (non-pay) such as the equipment they buy, the accommodation and vehicles they use, and the contracts they negotiate for services (e.g. for cleaning). The constabulary plans to make 22 percent of its savings from non-pay over the spending review period. This is lower than the value for England and Wales.

Cumbria Constabulary has taken steps to reduce non-pay costs and has achieved savings in all non-pay areas. In 2013/14 this resulted in approximately £0.9m in savings. HMIC value-for-money profiles were used to benchmark costs. The profiles highlighted areas where the constabulary's costs were comparatively higher in order to target non-pay saving opportunities. The constabulary has also adopted a zero-based budgeting approach. This is an accounting tool that requires the constabulary to identify each function's objectives, and to develop options for their provision that are evaluated against costs and performance in order to set priorities. This approach is supported by chief officers and was used to prepare the 2014/15 budget.

Incorporated into the estates and fleet strategies are rationalisation programmes to manage the costs of high-value assets. For example, within the estates strategy, the constabulary has taken a whole-life view of costing for all assets using initial capital costs plus the whole-life maintenance cost and repair liability over the lifetime of the asset.

The constabulary has comparatively high non-pay costs compared with other forces in England and Wales. It may be able to reduce these further and gain economies of scale that have not been achieved to date.

As with other forces, most of the savings come from reducing the workforce. Cumbria Constabulary made an early start on this in 2010 when it slowed its recruitment of new police officers and police staff; it has since reduced the number of police staff.

The constabulary plans to make 78 percent of its spending review savings requirement from its pay budget. This is higher than in other forces.

The following table shows the constabulary's planned changes to workforce numbers over the spending review period, and compares these to the change for England and Wales.

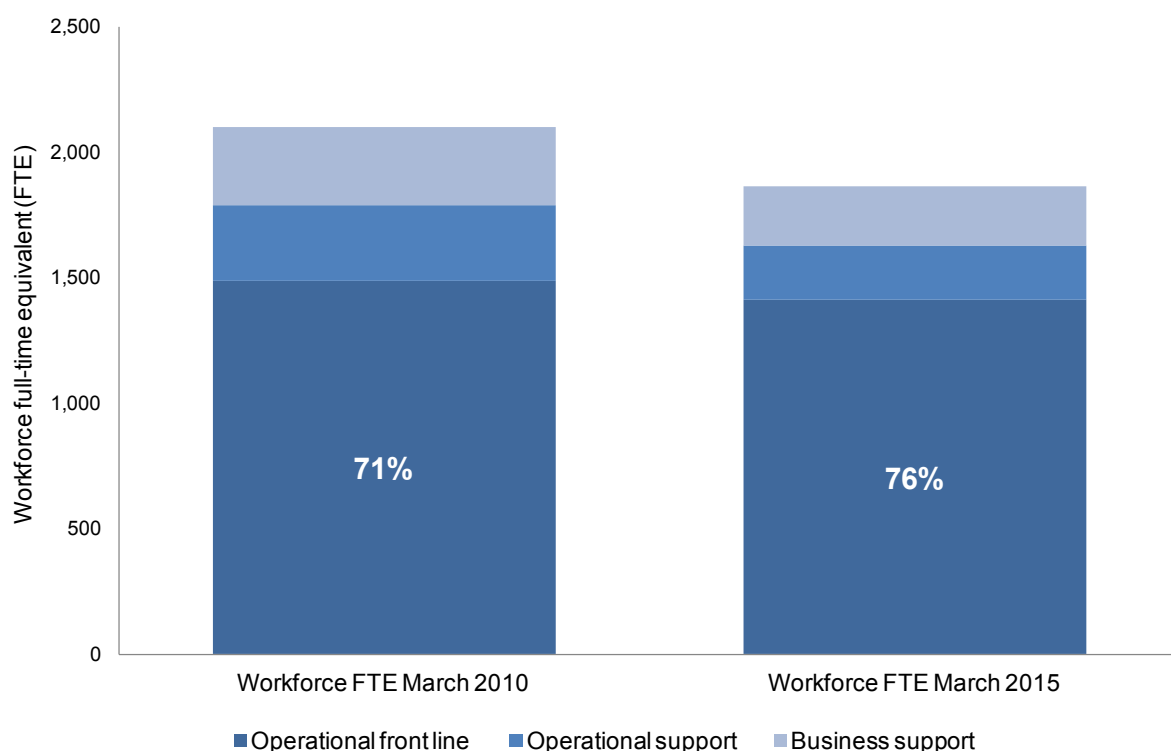
Please note, these figures are rounded.

	31 March 2010 (baseline)	31 March 2015	Change	Constabulary change %	Change for England and Wales %
Police officers	1,238	1,137	-101	-8%	-11%
Police staff	826	631	-195	-24%	-17%
PCSOs	111	95	-16	-15%	-22%
Total	2,175	1,863	-312	-14%	-14%
Specials	115	150	35	30%	44%

It is important that as forces reconfigure their structures and reduce workforce numbers, they focus on maintaining (or if possible increasing) the proportion of people in frontline crime-fighting roles.

HMIC defines the people who work on the police front line as those who are in everyday contact with the public and who directly intervene to keep people safe and enforce the law.

The following chart shows the planned change in the workforce frontline profile in Cumbria Constabulary.



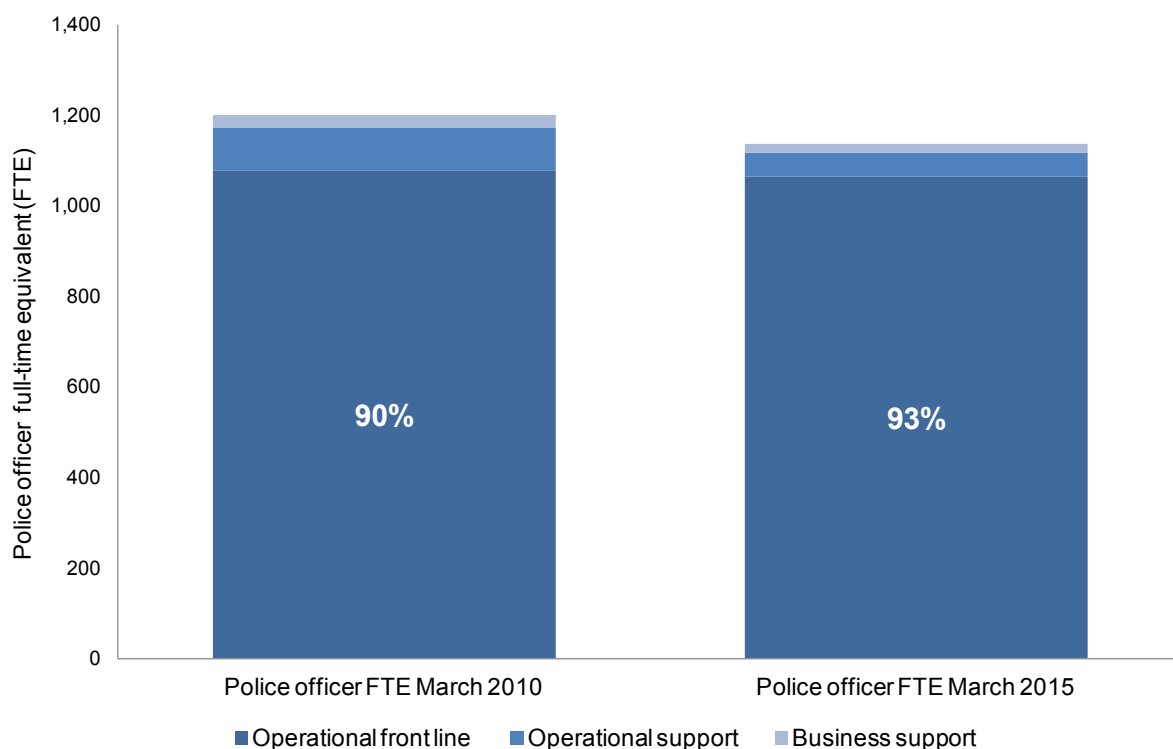
Note: England and Wales reports an increase in the proportion of workforce on the front line from 74 percent in March 2010 to 78 percent in March 2015.

The number of officers, PCSOs and staff (i.e. of the constabulary's total workforce) working on the Cumbria Constabulary front line is projected to reduce by 74 between March 2010 and March 2015 (from 1,486 to 1,412).

Over the same period, the proportion of Cumbria Constabulary's total workforce allocated to frontline roles is projected to increase from 71 percent to 76 percent. This compares with an overall increase across England and Wales from 74 percent to 78 percent.

The number of Cumbria's police officers in frontline roles is planned to reduce by 14 from 1,077 in March 2010 to 1,063 by March 2015, as the following chart shows. The proportion of those remaining on the front line is projected to increase from 90 per cent to 93 per cent. This compares to an overall increase across England and Wales from 89 percent to 92 percent and shows that Cumbria Constabulary is successfully protecting frontline crime-fighting roles as it makes these cuts.

The following chart shows the planned change in police officers' frontline profile.



Note: England and Wales reports an increase in the proportion of police officers on the front line from 89 percent in March 2010 to 92 percent in March 2015.

Summary

Good

- Cumbria Constabulary's workforce structure has successfully matched the needs of the organisation to date, increasing the proportion of the workforce allocated to frontline roles and meeting its savings requirement over the spending review period.
- To ensure that it can provide community policing services effectively in the future, the constabulary has a coherent change programme mapped out. Once refreshed with the demand review findings, this will provide the constabulary with a clear projection of the resources required to support its future policing needs while required future savings.
- The constabulary may be able to realise additional savings and operational benefits from collaborative opportunities over the next four years.
- The robust change programme, using business improvement tools, has driven efficiencies and savings, ensuring benefits are realised. The constabulary has focused savings primarily in support areas. This has resulted in a 24 percent reduction in police staff numbers with minimal reductions in officer numbers over the spending review period.
- The constabulary has achieved approximately 22 percent of its savings by reducing its non-pay costs, although these are still comparatively high. It has introduced a plans to identify further savings.
- Over the spending review period the constabulary plans to reduce the number of police officers by 8 percent which is a smaller reduction than for England and Wales. The planned proportion of officers working in frontline roles by March 2015 is 93 percent which is in line with the plans for England and Wales.

To what extent is the constabulary efficient?

HMIC looks at how the constabulary understands the demands that it faces and how it allocates both financial resources and staff to meet these demands. We look at how these decisions are leading to effective results for the public; in particular, that police are visible and that they attend promptly when called, that they are fighting crime and keeping communities safe, and that victims are satisfied with the service they receive.

How well does the constabulary understand and manage demand?

At a strategic level, Cumbria Constabulary has an annual planning cycle in place. This is informed by its organisational needs using demand, risk, threat and harm assessments. These are updated on a monthly basis and reviewed regularly.

Daily performance is managed through the daily management meeting in each territorial policing area. As well as reviewing previous actions, these meetings examine recorded crimes and priority crimes, such as missing and vulnerable persons and public protection issues, as well as the quality of service being provided to the public.

The constabulary assessed its overall demand by analysing a 12-month period ending in March 2014. This included a detailed assessment of all requests for, and responses to, calls for service, as well as community safety concerns, response to incidents, dealing with crime, case file preparation and demand from partner agencies. The assessment was comprehensive and captured data for internal, statutory and future demand.

The constabulary's demand management is becoming more sophisticated. As a result of the review of demand, it has identified that there is some inefficiency in the way it is currently providing policing. It has set out those areas where demand could be reduced. This includes a review of the growth in public safety issues where policing services are called upon as a last resort, rather than the appropriate services attending and dealing with the incident. Further improvements have been identified and are still to be agreed. As a result of the comprehensive information now available, the constabulary is reviewing its attendance policy. It is considering whether it can provide advice and guidance over the telephone for less serious incidents, such as low-level investigations, rather than sending an officer in person. Also, it is assessing the additional support that officers could provide to the centralised communication centre to maintain the quality of service,

The constabulary has recently renegotiated with the North West Regional Organised Crime Unit to reduce the level of resources it commits to meeting national demands. Overall, the total regional capability remains unchanged.

How efficiently does the constabulary allocate its resources?

The chief constable and the PCC have a commitment, which runs throughout the organisation, to maintain the style of community policing provided in Cumbria, as well as its ethos and structure. The constabulary's focus is on minimising the impact on frontline policing resources; to date it has reduced the number of management roles rather than frontline staff whenever possible. This means that the public has not seen a detrimental impact on the workforce allocated to community policing. The constabulary is considering whether it may be over-attending calls, and it is currently looking at whether or not its quality of service could actually be improved by reducing response times. For example, it could arrange a later convenient time to visit a caller about a less serious incident.

The recent establishment of the centralised communications centre, which the constabulary brought forward from its 2015 plans, is a positive step towards ensuring that there is sufficient capacity and capability for frontline support functions. The constabulary has identified that the centre is a critical area of business. In order to make the best use of officer time and to improve their response, the constabulary has decided it needs to change the constabulary culture from one of asking for available resources to attend incidents to one that is a 'command and control' culture. The structure of the new centre brings all communications staff into one close-working environment. This allows closer supervision and operators have access to a wider range of advice and guidance from experienced colleagues.

All reviews consider threat, harm and risk, and the crime command review the constabulary undertook highlighted that additional resources were required in public protection policing areas. Resources were reallocated accordingly. Similarly, roads policing units, armed response officers and territorial support groups were assimilated into the three territorial policing areas to increase the availability of officers in local areas. In addition, the constabulary has established a number of work streams throughout the organisation to look beyond incoming calls for service. Three dedicated problem-solvers work within each of the territorial policing areas looking at long-term problem-solving and preventive measures. Neighbourhood policing teams also prevent crime by working with colleagues from partner agencies, particularly to reduce anti-social behaviour. For example, one of the teams works with local care homes that manage children in the care of social services. By setting out expected standards of personal conduct and explaining what the police can do to protect them from harm, the teams have developed an arrangement that keeps young people safe. This has resulted in a reduction of calls to the police about anti-social behaviour in the area.

The introduction of restorative justice and community resolutions are successful initiatives that have reduced bureaucracy. These mean that the workforce is able to work more efficiently and use a degree of discretion.

The constabulary has developed a business plan that aims to make the IT provision more effective for operational staff. Setting out how staff can access constabulary IT on mobile systems (e.g. tablets and laptops). The plan to implement this has involved a consultation process with frontline officers. The constabulary has recognised that the provision must allow officers to work offline if it is to be fit for purpose now and in the future. Other opportunities that allow officers to work more efficiently have been identified, such as the use of webcams to take statements, which could then be fed into the court IT systems. This could reduce the workload for officers significantly. However, the IT systems are not currently integrated. This is creating additional work for officers and the systems do not support the front line efficiently. Addressing this is particularly important when reducing levels of support staff.

How does the constabulary respond and keep its communities safe?

The challenge for forces is not just to save money and reduce their workforce numbers, but also to ensure the choices they make do not have a negative impact on the service they provide to their communities. HMIC looked for evidence that keeping the communities safe is at the heart of the constabulary's decision.

Cumbria Constabulary has adopted a coherent performance framework, led by a chief officer, with regular conferences where the wider performance of the constabulary is examined. As well as the traditional crime and detection rates, the framework also focuses on how support departments contribute to performance and service provision.

On the front line, performance management is supported by meetings that take place every five weeks between supervisors and staff to discuss priorities and performance with a focus on achieving the goals set out in the police and crime plan.

Calls for service

HMIC examined whether Cumbria Constabulary was taking longer to respond to calls for help as a result of its workforce reductions and other changes designed to save money. Forces are not required to set response times or targets and are free to determine their own arrangements for monitoring attendance to calls, so information between forces is not comparable.

We found that over the four years since 2010, Cumbria had maintained the same target response times of 10 minutes for calls classed as ‘emergency’ (also known as Grade 1) in an urban setting; and within 20 minutes for calls classed as ‘emergency’ in a rural setting. Over the same period, calls classed as a ‘priority’ (also known as Grade 2) had a target response time of within 60 minutes.

The following table compares the constabulary’s performance in 2010/11 to 2013/14.

Calls for service	2010/11	2013/14
Percentage of urban emergency calls on target	93.0	94.0
Percentage of rural emergency calls on target	88.0	87.0
Percentage of priority calls on target	77.0	81.0

Over the spending review period, attendance for urban emergency and for priority calls has improved.

Visibility

The work done by police officers and staff in visible roles (such as officers who respond to 999 calls, deal with serious road traffic collisions or patrol in neighbourhoods) represents only a part of the policing picture. Chief constables need to allocate resources to many other functions in order to protect the public, such as counter terrorism, serious and organised crime, and child protection (to name just three).

That said, research shows that the public value seeing visible police officers on patrol in the streets, and that those who see police in uniform at least once a week are more likely to have confidence in their local force. HMIC therefore examined how far the changes being implemented by the constabulary had affected the visibility of the police in Cumbria.

In 2014, Cumbria Constabulary allocated 70 percent of its police officers to visible roles. This is 1.7 percentage points higher than the number allocated in 2010, and above the figure for most other forces (which was 56 percent across England and Wales).

Police visibility is further enhanced by PCSOs, who principally support community policing. Looking at the proportion of police officers and PCSOs, Cumbria Constabulary allocated 71 percent of these staff to visible roles in 2014. This is 0.9 percentage point higher than it allocated in 2010, but considerably higher than the 60 percent figure for England and Wales.

HMIC conducted a survey¹ of the public across England and Wales to assess whether the

¹ Sample sizes for each force were chosen to produce a confidence interval of no more than ± 6 percent and for England and Wales, no more than ± 1 percent. Forces’ differences to the England and Wales value may not be statistically significant.

public had noticed any difference in the way their area is being policed. Of those people surveyed in Cumbria, 7 percent said that they have seen a police officer more often than they had 12 months ago; this compares to 12 percent of respondents in England and Wales.

Furthermore, 95 percent of respondents in Cumbria said they felt safe from crime where they lived, compared to 84 percent of respondents in England and Wales. Finally, 6 percent said they felt safer from crime than they did two years ago, compared to 9 percent of respondents in England and Wales.

Crime

In 2010, the Home Secretary set a clear priority for the police service to reduce crime. Between 2010/11 and 2013/14 (which includes the first three years of the spending review), Cumbria Constabulary reduced recorded crime (excluding fraud) by 10 percent, compared with 14 per cent in England and Wales. Over this period, victim-based crime (i.e., crimes where there is a direct victim such as an individual, a group, or an organisation) reduced by 7 percent, compared with 14 per cent in England and Wales.

Looking just at the past 12 months, recorded crime (excluding fraud) rose by 5 percent, which is higher than the figure for England and Wales (a 1 percent reduction).

By looking at how many crimes occur per head of population, we can get an indication of how safe it is for the public in that police area. The table below shows crime and anti-social behaviour rates in Cumbria (per head of population) compared with the rest of England and Wales.

12 months to March 2014	Rate per 1,000 population	England and Wales rate per 1,000 population
Crimes (excluding fraud)	48.1	61.1
Victim-based crime	41.7	54.3
Sexual offences	0.8	1.1
Burglary	4.6	7.8
Violence against the person	10.5	11.1
ASB incidents	47.8	37.2

It is important that crimes are effectively investigated and that the perpetrator is identified and brought to justice. When sufficient evidence is available to identify who has committed a crime, it can be described as detected. Cumbria Constabulary's detection rate (for crimes excluding fraud) for the 12 months to March 2014 was 35 percent. This is above the England and Wales detection rate of 26 percent.

We have chosen these types of crime to give an indication of offending levels in the Cumbria Constabulary area. For information on the frequency of other kinds of crimes in your area, go to www.hmic.gov.uk/crime-and-policing-comparator.

Victim satisfaction surveys

An important measure of the impact of changes to service provision for the public is how satisfied victims are with the overall service they receive when they seek police assistance.

In the 12 months to March 2014, 89.4 percent (\pm 2.6 percent) of victims were satisfied with the overall service provided by Cumbria Constabulary. This is higher than the England and Wales figure of 85.2 percent (\pm 0.2 percent).

Changes to how the public can access services

Forces are exploring different ways in which the public can access policing services.

Keeping the public informed is important for preventive policing. In some communities, advising the public on the risks of leaving unsecured properties and vehicles is a continuing issue. To raise awareness among isolated rural communities, the Cumbria Constabulary community messaging service uses text message alerts to provide an early warning system to the public on developing crime issues.

The constabulary has retained its single shared access point in Carlisle. It has substantially reduced the number of police stations and front counters from 5 police stations and 21 front counters in 2010/11 to 1 police station and 11 front counters in 2013/14, after a front-counter review that was fully implemented in 2013/14. Future plans for the estates strategy show support for operational policing teams and includes the following: a new police station for South Cumbria; re-development of the headquarters site to provide a multi-agency centre; and exploring opportunities to increase shared accommodation to improve access to police services for the community.

The constabulary is currently developing its approach to engaging with the public. It is moving to a model of providing face-to-face services in public places, such as supermarkets and central locations for the population, rather than in police stations. It is also developing an online crime-reporting facility, although this is in the early stages of development. The aim of this change is to ensure that engagement with the public takes place in accordance with a consistent corporate standard. Social media is used to send messages to the public, such as at the annual Appleby Fair, an event attended by 30,000–40,000 members of the travelling community. It is also used as a marketing tool to support the management of community perceptions and for prevention work.

Summary



Good

- Cumbria Constabulary has an extensive understanding of its demands after it conducted a comprehensive review. It also has a good understanding of the risks it faces. The potential for harm and threats is assessed systematically.
- Resources are allocated to the constabulary's priorities and where the need is greatest. These assessments are embedded in the change programme reviews.
- As a result of the review of its demands, inefficiencies have been highlighted in the way policing currently is provided, and have been opportunities identified to manage demand actively.
- Community policing is the constabulary's priority. It increases the proportion of the workforce allocated to the front line and maintains consistently high levels of victim satisfaction with the service provided.

Our judgments

HMIC uses four categories for making judgments, two are positive and two are negative. The categories are:

- outstanding;
- good;
- requires improvement; and
- inadequate.

Judgment is made against how well the constabulary achieves value for money, it is not an assessment of the overall effectiveness of policing. In applying the categories HMIC considers whether:

- the way the constabulary is achieving value for money is good, or exceeds this standard sufficiently to be judged as outstanding;
- the constabulary requires improvement in the way it achieves value for money, and/or there are some weaknesses; or
- the constabulary's provision of value for money is inadequate because it is considerably lower than is expected.