



NORTHUMBRIA POLICE AND CRIME PANEL AGENDA

Tuesday, 24 October 2017 at 2.00 pm at the Wickham Room - Civic Centre

From the Clerk, Sheena Ramsey

Item	Business
1.	<p>2.00pm Membership of the Northumbria Police and Crime Panel</p> <p>Councillor Angela Douglas has replaced Councillor John McElroy as a representative of Gateshead Council on the Panel.</p>
2.	<p>Appointment of Chair</p> <p>The Panel is asked to appoint a replacement Chair for 2017/18</p>
3.	<p>Apologies</p>
4.	<p>2.05pm Minutes (Pages 3 - 10)</p> <p>The Panel is asked to approve the minutes of the last meeting held on 1 August 2017 (attached).</p>
5.	<p>2.10pm Feedback from National and Regional Events</p> <p>Members are asked to give feedback on issues relevant to the Panel.</p>
6.	<p>2.15pm Fire and Rescue Services in England (Pages 11 - 30)</p> <p>The Local Government Association's guide for Police and Crime Panel Members is attached for information.</p>
7.	<p>2.25pm Police and Crime Commissioner - Progress and Update Report</p> <p>Report of the PCC (to follow)</p>
8.	<p>2.35pm Delivery of the Police and Crime Plan - July - September 2017 - Targets and Performance (Pages 31 - 74)</p> <p>Report of the PCC (attached).</p>

9. 2.55pm Complaints Against the Police and Crime Commissioner - Quarterly Report to September 2017 (Pages 75 - 76)

Report of the Chief Executive and Monitoring Officer (attached).

10. 3.00pm Statements of Accounts 2016/17 and External Auditors Conclusions (Pages 77 - 118)

Report of the Joint Chief Finance Officer (attached).

11. 3.15pm Budget Setting Process 2018/19 (Pages 119 - 122)

Report of the PCC (attached).

12. 3.25pm Key Issues in the Next Quarter

The PCC will be asked to advise the Panel of the key issues she will be addressing in the next quarter.

13. 3.35pm Themed Topics

Members are asked to agree the themed topics for the next three meetings from the following previously suggested themes:-

Panel suggestions;

Combatting cyber crime
Report on Operation Sanctuary
Volume crime/increase in crime
Rural crime

PCC's suggestions:

Early intervention and partnerships
Legislative changes for dealing with complaints against the Police
Number of out of Court disposals

14. 3.45pm Date and Time of the Next Meeting

Tuesday, 16 January 2017 at 2.00pm in Gateshead Civic Centre

Contact: Brian Wilson, Tel: 0191 4332145, E mail: brianwilson@gateshead.gov.uk

Date: Monday, 16 October 2017



NORTHUMBRIA POLICE AND CRIME PANEL

1 August 2017

PRESENT:

Gateshead Council	Councillors J McElroy (Chair) and J McClurey
Newcastle City Council	Councillor A Ainsley
North Tyneside Council	Councillors C Burdis and T Mulvenna
Northumberland County Council	Councillors S Davey and J Riddle
South Tyneside Council	Councillor G Kilgour and J Welsh
Sunderland City Council	Councillor H Trueman
Independent Co-opted Members	Mrs J Guy

ALSO IN ATTENDANCE:

Office of the Police and Crime Commissioner for Northumbria

Dame V Baird QC	- Police and Crime Commissioner for Northumbria (PCC)
E Snaith	- Chief Executive
M Tait	- Chief Finance Officer
P Godden	- Head of Corporate Development, Northumbria Police

Gateshead Council

M Harrison	- Legal, Democratic and Property Services
M Aynsley	- Democratic Services

APOLOGIES: Councillors N Kemp (Newcastle City Council), Councillor P Watson (Sunderland City Council) and Shlomi Isaacson

1. APPOINTMENT OF CHAIR AND VICE CHAIR

RESOLVED - That Councillor John McElroy and Councillor Harry Trueman be appointed as the Chair and Vice Chair of the Panel for 2017/18 respectively.

2. MEMBERSHIP OF THE PANEL

The Panel noted the membership of the Panel for 2017/18, subject to Councillor John Riddle replacing Councillor Barry Flux as a Northumberland County Council representative.

3. MINUTES

RESOLVED - That the minutes of the last meeting held on 25 April 2017 be approved as a correct record.

4. FEEDBACK FROM NATIONAL AND REGIONAL EVENTS

There were no national and regional events reported.

RESOLVED – That the information be noted

5. ANNUAL WORK PROGRAMME 2017/18

The Panel's draft work programme for 2017/18 was submitted.

RESOLVED - That the work programme for 2017/18 be approved.

6. POLICE AND CRIME COMMISSIONER – PROGRESS AND UPDATE REPORT 2016/17

The Police and Crime Commissioner presented her update report to the Panel which covered the following:-

- Front desk reduction in hours in police stations
- Commissioner's Community Fund 2017/18
- Alcohol – minimum unit pricing
- Home Office VAWG Transformation Fund
- Appropriate Adults Scheme
- Association of PCCs
- Monitoring the delivery of the Police and Crime Plan – Scrutiny Meeting
- Living in Fear – The Police and CPS Response to Harassment and Stalking
- Advisory Groups
- 'YourNorthumbria'
- Community Engagement
- Funding for Northumbria
- Acid Attacks
- Fire Safety Tests – Northumbria Police Estate

The PCC was asked about the delays nationally in progressing a minimum pricing unit for alcohol. She advised that there had been an ongoing legal case in Scotland on this issue and interested parties had been waiting for the resolution of this case. In addition, the alcohol industry had also put up a robust stance against the proposal.

With regard to the reduced front desk hours in police stations, the members generally understood the PCC's rationale for these closures but were concerned about the communication of these proposals to the public and local authorities.

The PCC stressed that it had been an operational decision taken by the Chief Constable and she had reluctantly agreed with it. In particular, she pointed out the

low footfall at the stations during the later hours and the cost savings to the Police. She pointed out there were telephones outside of the stations which the public could use and these would take them through to the police switchboard where they would be given priority.

Members stressed that it would have been better to have direct communications with local councillors who could then have dealt with concerns from their constituents. Members asked whether the closures would be monitored and the PCC replied that they would be and that she would bring a report back to the Panel in six months on the outcome of this.

Reference was made to the report 'Living in Fear' and, in particular, why the Force recorded almost all instances of contact as harassment rather than stalking. The PCC said that greater clarity was required on the way these cases had been recorded. She pointed out that the same risk assessments are undertaken for both stalking and harassment. However, Restraining Orders could be used for harassment cases whereas Stalking Orders could be used for the other cases. Operation Verify had been established and this would review these cases and the way they were recorded to see whether some of them needed to be re-categorised.

A member referred to the high dropout rate of LGBT recruits in Northumbria and asked whether this was a national or local problem. The PCC said she would look into this matter.

The PCC advised the Panel that the Chief Constable had announced that he was to retire in October.

- RESOLVED -
- (i) That the Police and Crime Commissioner's update report be noted.
 - (ii) That a monitoring report be submitted to the Panel on the impact of the revised front desk hours in police stations.

7. DELIVERY OF THE POLICE AND CRIME PLAN – APRIL TO JUNE 2017

The Panel considered performance and target information relating to the delivery of the Police and Crime Plan for April to June 2017.

It was pointed out that there had been an increase in 999 call demand and that 7% of these had been unanswered by Northumbria. However, these had been answered by another force. The performance in relation to 101 calls had also deteriorated.

A member suggested that the increase in 999 calls could be a result of the 101 call answering performance. In response to a related question, members were advised that a new shift pattern had been introduced in the Communications Department and this was still bedding in. The Head of Communications was responsible for managing an improvement plan for both 101 and 999 calls.

The compliance rate in relation to the victims' code of practice was still below last year's level. An action plan had been put in place to address this matter.

The charge rate had continued to fall but Northumbria was still third nationally. An action plan had been put in place to address this matter. An update report would be provided at the Panel's next meeting.

It had been reported at the Panel's last meeting that the increase in total crime for the 12 months up to March 2018 had been estimated in the region of 0-4%. This had now been revised to 9-18%.

There had been an increase in the number of live complaints. This was due to the effective way they are managed.

A member referred to the 19% increase in recorded crime of which 2% could be considered to represent an increase in offending, whilst 17% could be attributable to further improvements in crime recording. He pointed out that the figure for Sunderland was the joint highest in the Force area at 26% and asked for more information on the percentage due to an increase in offending for that area. He was advised that further information would be provided to him.

In response to a question on the 26% increase in recorded sexual offences, members were informed that the proportion of historic cases remained the same so most of these were new offences. This increase could be attributed to greater awareness and confidence in reporting such offences.

The PCC was asked whether she was disappointed that 36% of IPCC investigated appeals were upheld. She replied that she was disappointed and would find out how the Force compared to others on this performance. The PCC added that there were changes in legislation on how complaints against the Police were dealt with and this would result in the PCC having more responsibilities in this area from 2018.

RESOLVED - That the information be noted.

8. COMPLAINTS AGAINST THE POLICE AND CRIME COMMISSIONER – QUARTERLY REPORT TO JUNE 2017

In accordance with the agreed procedure, an update report about the complaints and purported complaints against the PCC and every conduct matter recorded by the Monitoring Officer for the quarter ended June 2017.

RESOLVED - That the information be noted.

9. COMPLAINTS AGAINST THE POLICE AND CRIME COMMISSIONER

The Panel received information about the complaints and purported complaints received about the Police and Crime Commissioner and how they are dealt with together with examples to illustrate the process.

The Panel discussed its current approach for dealing with these complaints and agreed that it was very similar to the procedures adopted by other Panels and local authorities and it was considered to be operating satisfactorily.

A member asked how the number of complaints received against the PCC compared to other Panels. She was advised such information was not collated nationally.

- RESOLVED -
- (i) That the information be noted.
 - (ii) That the current arrangements for dealing with complaints against the Police and Crime Commissioner by the PCC's Monitoring Officer through delegated powers under the Elected Local Policing Bodies (Complaints and Misconduct) Regulations 2012 be continued.

10. STATEMENT OF ACCOUNTS 2016/17 SUBJECT TO AUDIT

The Statement of Accounts, subject to audit, was published on 30 June 2017. It was prepared in line with the Code of Practice on Local Authority Accounting in the United Kingdom 2016/17) issued by CIPFA and in accordance with International Financial Reporting Standards.

The 2016/17 revenue budget was approved at £266.840m based upon:

- increases in pay and prices of £5.200m; budget pressures of £3.800m and the impact on employer National Insurance of £4.300m;
- a reduction in revenue costs of £0.200m to support capital investment;
- budget savings of £15.300m in 2016/17;
- the use of £5.692m from the Commissioner's reserves to support the revenue budget and provide headroom to manage savings going forward; and
- an increase of £5 on the Council Tax precept in 2016/17 to raise an additional £1.872m income.

The revenue outturn for 2016/17 is shown in the table below:

2016/17	Approved Budget 2016/17	Outturn 2016/17	Variance 2016/17
Group Position	£m	£m	£m
Chief Constable	256.080	255.553	(0.527)
PCC	2.262	1.493	(0.769)
Capital Financing	8.498	7.380	(1.118)
	<u>266.840</u>	<u>264.426</u>	<u>(2.414)</u>
Central Government Grant	(225.666)	(225.666)	0
Council Tax Precept	<u>(35.482)</u>	<u>(35.482)</u>	<u>0</u>
Central Grant and Precept Total	<u>(261.148)</u>	<u>(261.148)</u>	<u>0</u>
Appropriations (to)/from Reserves	5.982	3.278	(2.414)

Chief Constable

The PCC delegated a budget of £256.080m to the Chief Constable for 2016/17 to enable the discharge of the activities under his control. The in-year budget strategy and regular monitoring resulted in an outturn of £255.553m, reflecting an in-year under spend of £0.527m.

The under spend can be primarily attributed to additional income claimed to offset expenditure incurred across Innovation and transformation projects; underspend on

the workforce and investment budget; and following the conclusion of a number of potentially costly legal cases, Zurich has advised that the Force insurance provision should be lowered.

Police and Crime Commissioner

The 2016/17 approved budget for the Office of the Police and Crime Commissioner is £2.262m. The outturn for 2016/17 is £1.493m which is an under spend of £0.769m.

The under spend largely relates to an underspend on the Commissioner's Community Fund; one off savings on Treasury Management costs and external legal advice; and a strategy to maximise the use of the Ministry of Justice Grant for the commissioning of services in year. This has been partially utilised to create a specific earmarked reserve of £0.300m to support the cost of Health Advocates in future years.

Capital financing is also under the direction of the PCC. The Capital Financing budget for 2016/17 was £8.498m, comprising interest on borrowing and investments and the minimum revenue provision for repayment of borrowing. The outturn position is £7.380m reflecting an under spend of £1.118m. These savings have been as a direct result of tactical decisions made as part of the Treasury Management Strategy, to defer long term borrowing at higher interest rates, with shorter term borrowing at lower rates and using cash balances to fund expenditure.

2016/17 Capital Programme

In addition to the day-to-day revenue activities, the PCC incurs expenditure on capital related items. This includes acquisition of fixed assets; building alterations; ICT; vehicles; and other major items of plant and equipment. The total capital investment for 2016/17 was £9.887m.

Regulations require public bodies to produce an Annual Governance Statement (AGS) that provides an assessment of the adequacy of the governance arrangements and their effectiveness. This separate statement accompanies the Statement of Account for each body.

The PCC and Chief Constable's Joint Governance Monitoring Group have undertaken a review of the governance and internal control arrangements and have prepared an AGS for each body. These were reported to and scrutinised by the Joint Independent Audit Committee on 19 June 2017 and subsequently authorised by the PCC and Chief Constable. The process did not identify any weaknesses in the governance arrangements.

- RESOLVED -
- (i) That the publication of the draft Statements of Account and Annual Governance Statements for 2016/17, subject to audit, be noted.
 - (ii) That the financial outturn position for 2016/17, subject to audit, be noted.
 - (iii) That the process for the scrutiny and certification arrangements, leading to the publication of the final Statements of Account by 30 September 2017 be noted.

11. KEY ISSUES IN THE NEXT QUARTER

The PCC advised the Panel of the following key issues she would be addressing in the next quarter:-

- Legislative changes for dealing with complaints against the Police
- New national protocols on how the Government consult PCCs including reshaping the Local Criminal Justice Boards function.
- Seeing is Believing – reviewing the role of the Soroptimists as observers at domestic violence courts in Bedlington and Gateshead.
- VAWG funding
- Police Transformation Fund – outcome of bid
- Increase the number of out of court disposals
- Chief Constable appointment process
- Partnership working with the Fire and Rescue Authorities

RESOLVED - That the information be noted.

12. THEMED REPORT – POLICE AND CRIME COMMISSIONER AND COMMUNITY SAFETY PARTNERSHIPS WORKING CLOSER TOGETHER

The Panel has previously agreed that one of its themed topic discussions should be based on Partnership working between the PCC and the Community Safety Partnerships (CSPs). The CSP Managers were asked to put forward suggestions or discussion points on this topic.

The Managers have put forward the following:

- CSP Leads would like to extend an invitation to representatives from the OPCC to the six-weekly Community Safety Leads meetings. Through establishing a more regular dialogue with the OPCC, there is a potential for each party to provide updates on any significant or emerging developments relating to respective work areas as well as providing opportunities to share/exploit best practice, identify areas which potentially warrant closer working as well as helping to deliver greater uniformity across the Northumbria area.
- Formally strengthening the existing relationship with the OPCC allow officers to more effectively and routinely share ideas, thoughts and practices (e.g. learning from scrutiny committees reviews, domestic homicide reviews, serious case reviews, problem solving arrangements etc), which in turn may help to inform and shape future commissioning in Northumbria. It might be beneficial to consider jointly with the PCC that officers set out what CSPs will share and how they will co-operate through a Memorandum of Understanding.
- CSPs co-ordinate a range of activity to support the objectives identified in the Police and Crime Plan and would welcome continued discussions with the PCC on how CSPs can support and address key priority areas. They fully recognise and value the commitment from the PCC in relation to Violence against Women and Girls and would like to continue to be an integral part of the solution to tackling this issue for local residents.

The PCC felt it would be helpful to discuss joint commissioning and she felt that shared priorities and commissioning would be positive.

A member felt that as the local authorities had different structures it would be helpful if appropriate joint projects could be discussed at the CSP leads meeting with the representative of the OPCC and added that these meetings could be chaired on a rolling basis.

It was suggested that CSP Leads could meet and discuss how projects and issues were taken forward together and that they could undertake specific work/tasks on behalf of the Panel.

The PCC indicated that she was willing to send a representative to the CSP Leads meetings but also proposed that it would be helpful for her to have a strategic meeting with the CSP Chairs on a regular basis eg six monthly.

- RESOLVED -
- (i) That the CSP Leads take forward the issues outlined above with the OPCC.
 - (ii) That a progress report be presented to a future meeting of the Panel.

13. THEMED TOPICS

The following issues have been suggested as possible themed topics for discussion at future Panel meetings:

Panel suggestions:

- Volume Crime /Increase in Crime
- Rural Crime

Previous Panel suggestions:

- Combatting cyber crime
- Report on Operation Sanctuary

PCC's suggestions:

- Early intervention and partnerships
- Legislative changes for dealing with complaints against the Police
- Number of out of court disposals

14. DATE AND TIME OF NEXT MEETING

Tuesday, 31 October 2017 at 2.00pm

Fire and rescue services in England

A guide for police and crime panel members

Contents

Foreword	3
The legislative framework	5
Governance and funding arrangements	8
Organisational structures and conditions of service	11
Performance assurance and improvement	13
The evolving fire and rescue service delivery model	15
The Home Office Fire Reform Programme	16
Appendix A – Map of English fire authorities	19



Greston
Associates

This document was produced for the LGA
by Greston Associates
www.greston.co.uk

Foreword

As Chairs of the LGA's Safer and Stronger Communities Board and Fire Services Management Committee, we are pleased to introduce this short guide about the fire and rescue service in England. The Local Government Association (LGA) has produced the document with Police and Crime Panel (PCP) members in mind as its primary audience, but we hope it will also be of use to others who have an interest in developing their knowledge of how this essential public service is structured and governed, as well as how it goes about delivering services to communities.

The Government's clear intention through the Policing and Crime Act 2017 is to see closer collaboration across the emergency services in order to improve efficiency and effectiveness in public safety, and to deliver better outcomes for communities as a result. The Act introduced a statutory duty for police, fire and ambulance services to collaborate. It also created two distinct routes enabling Police and Crime Commissioners (PCCs) to have a direct role in the governance of fire and rescue services – either by becoming one of two forms of new 'PCC-style' fire authority, or by being allocated a voting seat on existing fire authorities.

The LGA believes that local areas are best placed to work together to agree the right governance approach for improving efficiency and effectiveness in public services. But whether PCCs become more involved in the work of the fire and rescue service by either of the above governance changes being introduced, or seek to realise the benefits associated with police and fire collaboration by less formal means, the PCPs that hold PCCs to account will need to develop a sound understanding of the fire and rescue

sector, if they are to discharge their wider role effectively.

The LGA is keen to support panel members in this endeavour. This guide has therefore been prepared by the LGA as an early step in the process of supporting PCP members to build their knowledge of the fire and rescue service, so that they can continue to apply their skills and experience from a necessarily well-informed position.

We very much hope you find the document both interesting and informative, and thank you for taking the time to read it.



Councillor Simon Blackburn
Chair, LGA Safer and Stronger
Communities Board



Councillor Ian Stephens
Chair, LGA Fire Services Management
Committee

The legislative framework

Like all public-sector bodies, fire and rescue authorities and the fire and rescue services for which they are responsible, are required to operate in accordance with a wide range of legislation. Much of the legislation in question applies across all public services, but there are some aspects of the legislative landscape that are particularly relevant to the fire and rescue service. This section of the guide provides an overview of each, concentrating particularly on the provisions that are most likely to be of interest to PCP members.

The Fire and Rescue Services Act 2004¹

This is the main piece of legislation under which fire and rescue services (FRSs) operate. The 2004 Act provides the legal basis establishing fire and rescue authorities (FRAs), the political bodies responsible for overseeing the work of fire and rescue services. It also sets out details of the statutory community safety-orientated duties that fire authorities have. These are referred to as 'core functions' and can be summarised as follows:

- promoting fire safety
- extinguishing fires, and protecting life and property when fires do occur
- minimising damage to property arising from firefighting operations
- rescuing people involved in road traffic collisions
- dealing with other types of emergencies, as specified by the Secretary of State in Statutory Instruments (Orders). Currently,

¹ www.legislation.gov.uk/ukpga/2004/21/contents

a single Order² has been issued, requiring fire authorities to make provision to attend the following types of incident:

- chemical, biological, radiological or nuclear emergencies
- emergencies involving the collapse of a building or other structure
- emergencies involving trains, trams or aircraft
- ensuring the provision of the resources necessary to meet all normal requirements (the 2004 Act does not define what constitutes 'normal', it is a matter for local determination)
- ensuring necessary training for firefighters
- ensuring that (999) calls for assistance can be dealt with effectively
- obtaining information needed to respond safely and effectively to emergencies.

As well as the duties outlined above, the 2004 Act provides FRAs with a power to exercise their discretion in responding to other emergencies that constitute a risk to life and/or the environment. It is under this power, for example, that fire and rescue services respond to flooding emergencies.

Beyond legislating for the duties and powers of fire and rescue authorities, the 2004 Act also introduced the Fire and Rescue National Framework³. The national framework sets out Government's expectations and requirements for FRAs in England. The Secretary of State must keep the document under review, and reports to parliament every two years on the extent to which it is being complied with.

² www.legislation.gov.uk/uksi/2007/735/article/1/made

³ www.gov.uk/government/publications/fire-and-rescue-national-framework-for-england

The framework is currently undergoing a substantial review to ensure it takes account of the significant changes taking place in the fire and rescue sector – particularly those associated with the Home Office fire reform programme (see Section 7 of this guide for details).

Whilst there is no absolute legal requirement to adhere to the contents of the framework, the legislation states that FRAs ‘must have regard’ to it in carrying out their functions. In practice, this means that a compelling case would need to be made to justify any departure from the requirements laid out in the framework.

The three priorities specified for FRAs in the current version of the national framework are to:

- identify and assess the full range of foreseeable fire and rescue related risks their areas face, and make provision for delivering services to minimise the risks in question
- work in partnership with their communities and a wide range of partners locally and nationally to deliver their service
- be accountable to communities for the service they provide.

In terms of how FRAs are expected to address these priorities, there are two mechanisms incorporated in the national framework that are central to the process of their doing so. The first is integrated risk management planning (IRMP), and the second involves the preparation of an annual Statement of Assurance.

Integrated risk management planning

Integrated risk management planning is a cyclical process that involves assessing community risk; deciding on steps that need to be taken to manage it efficiently and effectively; implementing the steps in question; and then reviewing their impact before commencing the cycle again. Details associated with each element of this process are required to be published by FRAs in an Integrated Risk Management Plan.

The term ‘integrated’ is used to reflect the fact that community risk is managed by balancing service delivery interventions across three disciplines:

- **prevention** – the practice of trying to prevent emergencies from happening in the first place
- **protection** – the practice of ensuring that fire safety standards in buildings are appropriate
- **response** – the practice of minimising the impact of emergencies through well-trained, well-equipped firefighters responding to them quickly and effectively.

Where the IRMP process leads FRAs to contemplate making material changes to prevention, protection and/or response service provision, there is a requirement to undertake a public consultation on options. FRA members must then ‘conscientiously consider’ consultation responses before deciding on any changes that will be made.

Statements of Assurance

Statements of Assurance⁴ are produced annually by FRAs, and published after having been subject to the authority’s scrutiny arrangements. In accordance with the national framework, the statements “...must provide assurance [to government, members of the public and other stakeholders] on financial, governance and operational matters”.

The Regulatory Reform (Fire Safety) Order 2005⁵

The Regulatory Reform (Fire Safety) Order 2005 (the ‘RRO’ or ‘FSO’) is the legislation under which fire safety standards in almost all buildings are controlled. ‘Single private dwellings’, ie people’s homes, are specifically excluded, although the common areas (access corridors, staircases etc) in blocks of flats do fall within the scope of the RRO.

4 www.gov.uk/government/publications/statements-of-assurance-for-fire-and-rescue-authorities-in-england

5 www.legislation.gov.uk/ukSI/2005/1541/contents/made

The RRO replaced previous legislative fire safety requirements with a 'self-compliant' regime. This is based on the principle that those responsible for the day-to-day management of buildings should also be responsible for ensuring that necessary fire safety arrangements are in place. The 'responsible person' is required to undertake a fire risk assessment. They must then use the findings from the assessment to decide on the steps necessary to manage fire risk down to a reasonable level.

FRAs are responsible for enforcing the RRO, and do so by undertaking risk-based inspection programmes. These involve carrying out audits of fire safety arrangements in premises that fire officers consider to present the greatest risk.

The Policing and Crime Act 2017⁶

The Policing and Crime Act 2017 sets out a number of provisions that will impact on the way in which FRSs operate and are governed. The 2017 Act introduced a statutory requirement for fire, police and ambulance services to collaborate if it is in the interests of each of their efficiency and effectiveness to do so. Where a collaboration agreement would negatively impact efficiency, effectiveness or public safety, the duty to enter into it is set aside.

The Policing and Crime Act also established distinct routes by which Police and Crime Commissioners (PCCs) can become directly involved in the governance of FRS:

1. By making a business case demonstrating that it would be in the interests of economy, efficiency and effectiveness, or public safety, for a PCC to replace an existing fire authority as a 'PCC-style FRA.' These PCC-style FRAs can be constituted using either a 'governance model' (where employment responsibility for FRS and police employees remains separate), or a 'single employer model'.

⁶ www.legislation.gov.uk/ukpga/2017/3/contents/enacted

(where employment responsibility for all employees is combined). Such changes in governance require approval of the Home Secretary, and would lead to PCCs being re-designated as Police, Fire and Crime Commissioners. The PCPs that hold them to account would be similarly re-designated as Police, Fire and Crime Panels.

2. By PCCs being appointed as voting members of existing fire authorities. Such appointments will be subject to agreement by fire authority members, in response to a formal request from a PCC.

The LGA has produced a specific guidance note⁷ outlining the key changes introduced by the 2017 Act in terms of changes to the role of PCCs and PCPs and how these may be introduced, which PCPs may wish to refer to alongside this document.

The Crime and Disorder Act 1998 (CDA)⁸

Fire and rescue authorities are designated as 'responsible authorities' under the CDA. This means that they are required to work alongside other responsible authorities (police, local authorities, the probation service, and clinical commissioning groups) on community safety partnerships (CSPs). CSPs are defined as "an alliance of organisations which generate strategies and policies, and implement actions and interventions concerning crime and disorder within their partnership area". In this capacity, they hold a collective, statutory responsibility for reducing crime and disorder, substance misuse and re-offending in each local authority area.

In exercising their functions under the CDA, responsible authorities must have regard to the police and crime objectives set out in the police and crime plan for the police area which comprises, or includes, that local government area.

⁷ www.local.gov.uk/parliament/briefings-and-responses/policing-and-crime-act-2017-implications-police-and-crime-panels

⁸ www.legislation.gov.uk/ukpga/1998/37/contents

The Civil Contingencies Act 2004⁹

The Civil Contingencies Act (CCA) was introduced to establish a coherent framework within which organisations would work together to plan for dealing effectively with major emergencies.

Under the CCA, fire and rescue authorities are designated as 'category 1 responders'. As such, they are members of multi-agency groups known as local resilience forums (LRFs). These LRFs – which cover geographical areas matching the boundaries of police forces – are required to collaborate in undertaking a range of functions:

- assessing the risk of emergencies occurring, and using this risk assessment to compile a community risk register, and inform contingency planning activity
- putting in place emergency plans
- putting in place business continuity management arrangements
- putting in place arrangements to make information available to the public about civil protection matters, and maintain arrangements to warn, inform and advise the public in the event of an emergency
- sharing information with other local responders to enhance coordination
- co-operating with other local responders to enhance coordination and efficiency
- providing advice and assistance to businesses and voluntary organisations about business continuity management (this applies to local authorities only).

9 www.legislation.gov.uk/ukpga/2004/36/contents

Governance and funding arrangements

All fire and rescue services are overseen by fire and rescue authorities (FRAs). There are currently 45 FRAs in England (see map in Appendix A).

Fire and rescue authority structures

Where fire and rescue services share a boundary with a single upper tier council, the council is the fire authority. In this scenario, the FRS is an integral part of that council, alongside other services such as social care, education, public health and highways. There are currently 15 FRAs of this type in England (13 county councils, the unitary authority in Cornwall, and the Council of the Isles of Scilly).

In non-metropolitan areas where the fire and rescue service's boundary incorporates more than one upper tier council, a stand-alone combined fire authority (CFA) is responsible for its governance. CFAs are comprised of elected councillors appointed by the leaders of each constituent council, with the number of members from each being based on relative population size. The requirement to reflect this, and the need to achieve political balance, informs a calculation on the overall size of CFAs, with the largest having around 25 members. There are currently 23 CFAs in England.

In metropolitan areas (with the exception of London and Manchester), arrangements are similar to those in areas where CFAs exist, with members being appointed from constituent metropolitan councils. Five FRAs of this type currently exist in England.

London has a unique governance structure in comparison to other fire and rescue authorities. Currently the London Fire and Emergency Planning Authority (LFEPA) is the fire and rescue authority responsible for exercising the fire function in London, while the mayor is accountable for setting the annual budget.

However, the existing arrangements are being reformed in 2018 when overall responsibility for London Fire and Rescue is due to switch from LFEPA to the mayor. The London Fire Commissioner will then fulfil the statutory role of the fire and rescue authority and be the functional body for fire in the Greater London Authority.

Greater Manchester fire service also now comes under the control of a mayor, although unlike in London the mayor is the fire and rescue authority. The mayor is responsible for discharging the duties of the fire and rescue authority, and is supported in this role by a Fire Committee, comprising 15 members – all of whom are appointed from the ten local authorities in the Greater Manchester area.

The above summary provides a snapshot of the FRA governance arrangements in place or due to be commenced at the time of drafting this guide. These are certain to change over time, as PCCs and combined authority mayors replace existing fire authorities in some areas, and the changes in London come into effect. They may also change as a result of fire authorities voluntarily deciding to merge, as was recently the case in Dorset and Wiltshire.

The governance role of fire and rescue authorities

The governance role of FRAs generally reflects that found in local authorities.

Essentially, FRA members are responsible – with support from their officer colleagues – for determining the policy direction of their FRS; setting a budget to fund delivery of that policy direction; and undertaking scrutiny to ensure that intended outcomes are being achieved economically, efficiently, effectively and in accordance with statutory requirements.

In contrast to the police service, where both chief constables and PCCs can be responsible for employing staff, FRAs are employing authorities that employ all FRS staff – both uniformed (operational staff) and non-uniformed (support staff). Another material difference in the relationship between employees and the employing body is that, in the FRS, there is no requirement for the chief fire officer and firefighters to retain operational independence.

In practice, many of the FRAs' legal responsibilities and other functions are assigned to sub-committees of the authority, or to senior officers via formal schemes of delegation.

FRAs must appoint the following statutory officers, who, in combination, are required to ensure that the authority conducts its affairs appropriately:

- A head of paid service, who is responsible for:
 - overall corporate management and operational activity of the FRS
 - provision of professional advice to the FRA and its committees
 - ensuring a system for recording and reporting FRA decisions, together with the monitoring officer.
- A chief finance officer, who is responsible for:
 - establishing a framework for the proper administration of the FRA's financial affairs

- setting and monitoring compliance with financial management standards
 - establishing an adequate and effective system of internal audit
 - advising on the corporate financial position, and key controls necessary for sound financial management
 - giving accurate, impartial advice and information on financial issues to the FRA, and the FRS's senior management team.
- A monitoring officer, who is responsible for:
 - standards of conduct for members of the FRA
 - maintaining the FRA's constitution
 - ensuring a system for recording and reporting FRA decisions, together with the head of paid service
 - together with the chief finance officer, advising the FRA when their decisions are not in accordance with the policy and budget framework
 - ensuring that no action of the FRA contravenes any legislation or code of practice, or may lead to a charge of maladministration
 - preparing a formal report for the FRA, after consultation with the head of paid service and chief finance officer, where they consider that any proposal, decision or omission will give rise to unlawfulness or maladministration.

Where PCC-style FRAs are formed in the future, in accordance with provisions contained in the Policing and Crime Act 2017, PCCs will also be required to appoint individuals into each of the above statutory roles; however they can be shared between the PCC style FRA and PCC's office.

Handling of complaints

Whilst the number of complaints received about FRAs and the FRSs for which they are responsible are, relatively, very low, they do occur and are handled using internal complaints procedures. The procedures in question include levels of appeal that can be pursued by complainants who are dissatisfied with an initial response. They can also refer their complaint to the Local Government Ombudsman¹⁰, if they remain dissatisfied, having exhausted all levels of appeal in the FRA/FRS's complaints procedure. There is currently no equivalent to the Independent Police Complaints Commission¹¹ in the fire and rescue sector.

National leadership and representation for fire and rescue authorities

The LGA plays a central role in coordinating the efforts of, and providing representation for, FRAs in England. The LGA's Fire Commission¹² provides a forum to discuss and develop policy positions on matters of common interest and concern to fire authorities. The Fire Commission has a Fire Services Management Committee (FSMC)¹³ which acts on behalf of the commission.

Members of the FSMC also represent their Fire Commission colleagues on a recently-formed Fire Reform Board (England). This board brings these political leaders from the LGA together with representatives from the Home Office, and the National Fire Chiefs Council¹⁴ (the fire service equivalent of the National Police Chiefs Council, formerly known as the Chief Fire Officers' Association) to collectively and strategically shape the national FRS reform agenda.

¹⁰ www.lgo.org.uk/

¹¹ www.ipcc.gov.uk/

¹² <http://lga.moderngov.co.uk/mgCommitteeDetails.aspx?ID=171>

¹³ www.local.gov.uk/sites/default/files/documents/Fire%20Services%20Management%20Committee%20Member.pdf

¹⁴ www.nationalfirechiefs.org.uk/About

Funding arrangements

The vast majority of the financial resources available to FRAs are provided by a combination of council tax and funding from central government. Government funding is provided through the local government finance settlement in the form of revenue support grant (a general grant to meet revenue costs) and business rate retention. Other ring-fenced grants are also provided for specific purposes.

Beyond these main sources of funding, FRAs raise funds through charging for some non-emergency services, and a number also generate income from commercial trading activities.

Where, in the future, PCCs become PCC-style fire authorities, they will receive funding in the same way. In doing so, they will be required to establish and maintain a fire fund – mirroring the existing arrangements for PCCs in relation to their police fund. The intention of this arrangement is to ensure that two separate budgets for police and fire will be operated in order to provide clarity and transparency in funding.

Organisational structures and conditions of service

Organisational structures

The organisational structures found in FRSs are similar to those that exist in police forces. Typically, a senior executive officer will have overall responsibility for the leadership and management of the organisation. This overall responsibility is then delegated through other senior officers who lead different directorates/ departments that provide a variety of service delivery and service support functions.

Uniformed officers in FRSs work in a number of roles that broadly match police service ranks, in terms of the levels of managerial responsibility that they are assigned:

Fire and rescue service	Police service
Chief fire officer/ commissioner*	Chief constable/ commissioner
Deputy chief fire officer/deputy commissioner	Deputy chief constable/deputy commissioner
Assistant chief fire officer/ assistant commissioner	Assistant chief constable/ assistant commissioner
Area manager	Chief superintendent
Group manager	Superintendent
Station manager	Chief inspector
Watch manager	Inspector
Crew manager	Sergeant
Firefighter	Constable

*Unlike chief constables, chief fire officers are not always the most senior executives in fire and rescue services. In county council FRSs (see Section 3), for example, chief fire officers typically report to a chief executive who has cross-functional responsibility for all council service areas.

Conditions of service

In general terms, conditions of service for the vast majority of staff working in FRSs are determined by national negotiating bodies, with some variations to these being put in place via agreements negotiated locally between FRAs and trade unions.

For FRS staff in uniformed roles from firefighter to area manager-level, national conditions of service are negotiated by the National Joint Council (NJC) for local authority fire and rescue services. This NJC is chaired by an independent person and comprised of employer and employee representatives, who are largely drawn from FRAs and trade unions, respectively. It also includes a middle managers' negotiating body to handle any issues relating to employees in middle management roles only. The NJC is a UK-wide body and the LGA is the majority stakeholder on the employers' side. The conditions of service negotiated by the NJC are published in a scheme of conditions of service document, referred to as the 'Grey Book' (this is currently being updated).

A separate NJC exists for uniformed officers in the role of assistant chief fire officer, deputy chief fire officer and chief fire officer, or equivalent (collectively referred to as brigade managers), the National Joint Council for Brigade Managers of Local Authority Fire and Rescue Services. Again, this NJC is a UK-wide body comprising employer and employee representatives and, from an English perspective, the majority stakeholder on the employers' side is the LGA. It is chaired by a member elected from the membership of the council, rather than an independent person.

The conditions agreed by this body are published in a document referred to as the 'Gold Book'. Approximately 80 per cent of all FRAs choose to apply Gold Book conditions for senior uniformed staff. Of those who do not, some (mainly county council FRSs) apply conditions put in place by the Joint Negotiating Committee (JNC) for Chief Officers of Local Authorities¹⁵. The remaining FRAs apply conditions that are negotiated locally.

As far as senior non-uniformed staff are concerned (ie those at a level equivalent to brigade Managers), FRAs either employ such staff under JNC terms and conditions, or terms that are subject to local negotiation.

Conditions of service for non-uniformed staff below senior management levels tend to be aligned to those of workers in local government. For the majority of these staff, therefore, the conditions in question are negotiated by the National Joint Council for Local Government Services and published in a document referred to as the 'Green Book'.

¹⁵ www.emcouncils.gov.uk/write/JNC%20for%20Chief%20Officers%20handbook.pdf

Performance improvement and assurance

As is the case with all public-sector organisations, FRAs are accountable for their performance – both in terms of actively seeking opportunities to maximise it, and providing assurance to government, the public and other stakeholders that they are performing economically, efficiently, effectively and in accordance with the law.

Historically, the regime for driving improvement and providing assurance about the performance of FRAs incorporated independent inspection bodies. Her Majesty's Fire Service Inspectorate undertook this function for many years. In 2004, it was dissolved and replaced in its role by the Audit Commission. The Commission carried out performance inspections using a methodology known as comprehensive performance assessment, which evolved into comprehensive area assessment.

In 2010, the Coalition Government decided to close down the Audit Commission. This decision heralded the abolition of independent inspection and regulation in the fire and rescue sector, and the introduction of sector-led performance improvement and assurance.

Sector-led performance improvement

In this deregulated performance improvement environment, it became crucial for FRAs to oversee the development and implementation of extremely robust performance management systems. In aggregate, these systems need to ensure that an FRA's policy agenda is fit-for-purpose, and that it is being delivered efficiently, effectively and in accordance with the law and industry

good practice. As public bodies that are, essentially, self-policing, FRAs must also operate a highly-effective scrutiny function to have in place the critical friendship and challenge that is central to the process of driving performance improvement and ensuring compliance.

In developing and operating these performance management systems, FRA members draw extensively on the internal experience and expertise of their FRS officer colleagues. In addition, they are required and able to engage expert external opinion in three particular areas of activity:

1. **Financial management** – FRAs are required to publish the financial results of their activities for the year. This statement of accounts needs to provide a true and fair view of the financial position and transactions of the authority, and must be formally signed off and published. Prior to sign off by the FRA, the financial accounts that inform the statement must be audited and commented upon by independent and suitably qualified auditors.
2. **Governance** – FRAs are also required to prepare and publish annual governance statements, in support of their statements of accounts. These governance statements are an expression of the measures taken by the authority to ensure appropriate business practice, high standards of conduct and sound governance. Again, FRAs are required to engage independent auditors to support the process of preparing governance statements that provide a “true and fair” view of the way in which FRAs are conducting their affairs.

3. **Operational performance** – FRAs have the option to commission a process known as Operational Assessment and Fire Peer Challenge¹⁶. The process – which is facilitated by the LGA – begins with officers undertaking a self-assessment of the FRS's operational service delivery arrangements. This self-assessment then provides the focus of a peer challenge. The peer challenge element involves a team, comprising officers from other FRSs and an elected member from another FRA, independently evaluating particular aspects of the self-assessment. The aspects selected as focus-areas for the peer challenge are determined by the FRA, based on what the self-assessment 'tells' them about where their performance improvement efforts should be concentrated. Following a peer challenge, the lead peer (a chief Fire officer/chief executive/commissioner) will prepare a report for the 'host' FRA, summarising their team's view of operational performance in the areas that formed the basis of the challenge. The FRA is then expected to feed outputs from the peer challenge into its performance improvement systems, and also has the option of publishing the report. In practice, all FRAs have taken the option to undergo peer challenges, and typically do so every three years.

Performance assurance

The fire and rescue national framework states that "FRAs must provide annual assurance on financial, governance and operational matters and show how they have had due regard to the expectations set out in their integrated risk management plan and the requirements included in the framework. To provide assurance, FRAs must publish an annual statement of assurance." In essence, this requirement places a duty on FRAs to make a public declaration about the adequacy of their arrangements in connection with financial management, governance and operational service delivery.

¹⁶ www.local.gov.uk/sites/default/files/documents/access-new-operational-as-c7f.pdf

Guidance on the production of statements of assurance¹⁷ confirms that the financial and governance elements of them are likely to be satisfied by publishing the FRA's statement of accounts and annual governance statement, respectively – both of which have been informed by independent audit. The position with the operational element is materially different, however, in that it is informed by advice from officers and should be subject to internal scrutiny, but does not undergo any form of independent audit. The only independent 'feed' into this aspect of the annual statement of assurance is peer challenge – a process that, typically, happens every three years, and is confined to focusing on areas of service delivery that are determined in advance by the FRA.

The future of inspection

The current government has made it quite clear that they do not consider the 'self-regulatory' performance management regime that is currently in place to be suitable or sufficient. Ministers have expressed particular concern about the lack of independent scrutiny of operational service delivery arrangements, although they do see potential value in a reformed peer challenge process, as a sector led improvement tool.

In order to address these concerns, the Policing and Fire Minister recently announced that the remit of Her Majesty's Inspectorate of Constabulary would be extended to the inspection of fire and rescue services in England. To reflect its broader role, the organisation has changed its name to HM Inspectorate of Constabulary and Fire and Rescue Services.

In response to the decision to reintroduce independent inspection, the LGA and National Fire Chiefs Council have commenced a joint review of the current peer challenge process. The intention of the review is to determine whether and how peer challenge needs to be reconfigured, so that it can continue to add performance improvement value, alongside the incoming programme of independent inspection.

¹⁷ www.gov.uk/government/publications/statements-of-assurance-for-fire-and-rescue-authorities-in-england

The evolving fire and rescue service delivery model

The early 21st century has seen something of a transformation in the way fire and rescue services work to deliver excellent outcomes for, and with, communities. A number of trends have been central to this transformation, with perhaps the most significant involving:

- **De-centralisation** – the decision to abolish national standards of fire cover, and replace them with integrated risk management planning, enabled local FRAs to carefully analyse community risk in the specific areas for which they are responsible, and then tailor fire and rescue services to address that risk. In doing so, the targeted approach used now involves balancing risk management activities across three disciplines: prevention, protection and emergency response.
- **A shift from emergency response to prevention** – the Fire and Rescue Services Act 2004 introduced a statutory duty to promote fire safety. This, combined with removal of a perverse funding arrangement (where the more fires that were attended one year, the more funding FRAs received from government the next), shifted thinking on how to manage community risk. Rather than doing so, primarily, by firefighters attending and mitigating the impact of fires and other emergencies, the focus shifted towards working to prevent emergencies from happening in the first place. This move towards prevention in favour of emergency response was key to reducing the number of emergencies attended by two-thirds, and halving annual fire death figures in less than fifteen years.
- **Greater collaboration** – collaboration has become an increasingly important feature of the fire and rescue service's work. It has, firstly, been used as a means of reducing costs in an environment of shrinking financial resources and, secondly, to improve outcomes for communities by aligning and/or integrating its frontline services with those of other organisations. Within the context of collaborative service delivery, the fire and rescue service has found its respected, trusted and inspiring brand to be of particular value in engaging vulnerable people and supporting them to lead safe and fulfilling lives. Some examples of the collaborative work in which fire and rescue services are involved with the other emergency services can be found in a National Overview 2016¹⁸ document produced by the Emergency Services Collaboration Working Group. Beyond this 'blue-light' collaboration, the FRS is engaged in a wealth of other collaborative work with local government, the NHS and other public, private and voluntary sector organisations.

In combination, the above trends have seen the fire and rescue service in England evolve from being a relatively narrowly focused emergency service, into a community risk management organisation that also contributes significantly to a much broader safety, health and wellbeing agenda. The LGA's Beyond Fighting Fires¹⁹ publication highlights some of the work that fire services have achieved through this agenda.

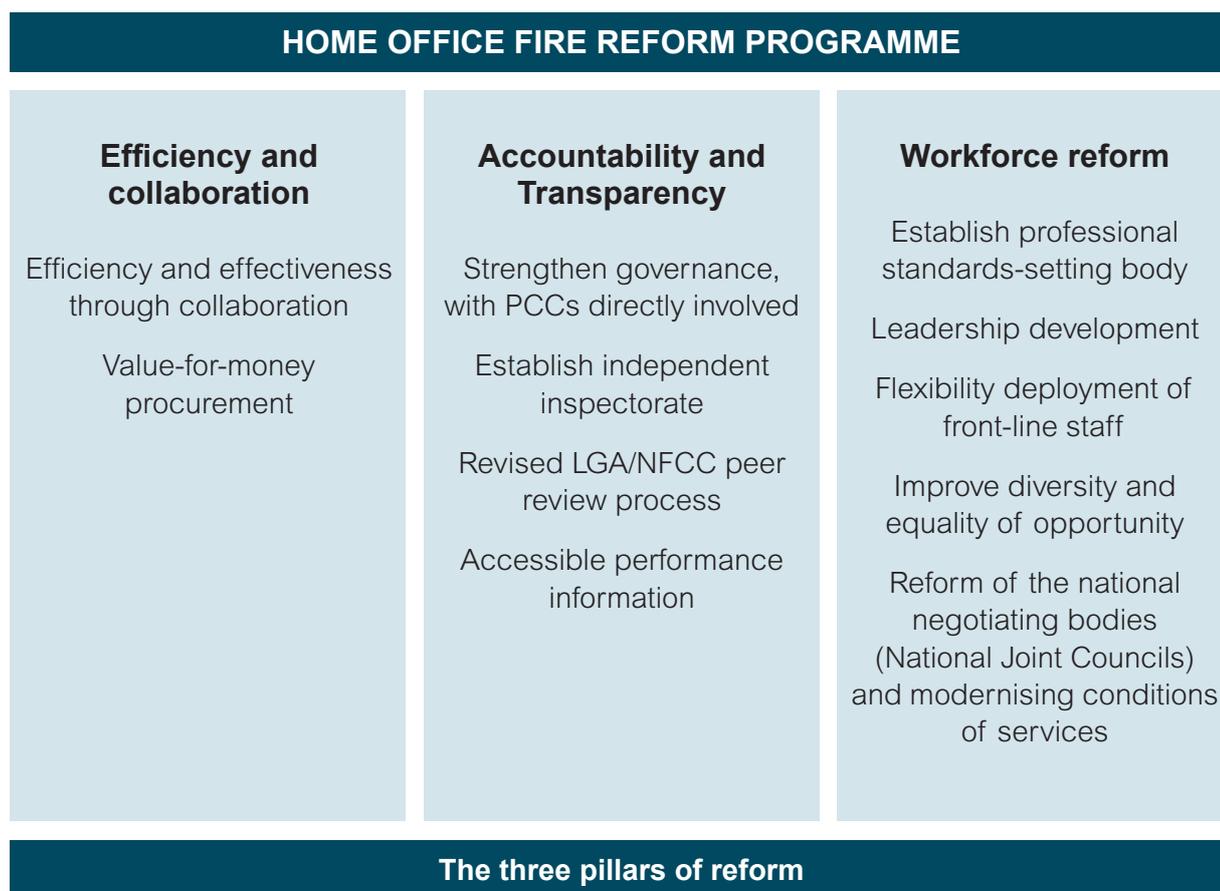
¹⁸ <https://aace.org.uk/wp-content/uploads/2016/11/National-overview-v13-WEB.pdf>

¹⁹ www.local.gov.uk/beyond-fighting-fires-2

The Home Office Fire Reform Programme

Essentially, this guide has been prepared to provide a snapshot of the English fire and rescue service in mid-2017. Clearly, the service will continue to evolve and, in terms of its direction of travel, perhaps the most significant influencing factor will be the reform programme that has emerged since policy responsibility for the fire and rescue service transferred from the Department for Communities and Local Government back to the Home Office in 2015.

The narrative in support of the fire reform programme – as articulated by the Home Secretary and Policing and Fire Minister – has, in summary, been that “...the fire and rescue service has made good progress but that reform now needs to go further and faster”. The programme itself is structured under three headings, described as ‘pillars’, with each comprising a number of workstreams, as illustrated in the diagram below:



Pillar one – efficiency and collaboration

The Government believes that, whilst FRAs have already secured significant financial savings, more can be achieved without compromising the quality of frontline service delivery. In particular, ministers point to the potential for further efficiency savings through greater collaboration and improved procurement practice.

On the issue of collaboration, the Government has legislated through the Policing and Crime Act 2017 to introduce a statutory responsibility for the fire, police and ambulance services to collaborate in the interests of efficiency and effectiveness. Ministers also recognise the potential benefits of collaboration beyond the ‘blue-light’ service arena, but have stated that such collaboration must not take place at the expense of an FRS’s core, statutory functions.

As far as procurement is concerned, the Government has made clear that it expects to see significant financial savings achieved through improved practice in this area. In response, FRSs will be working to combine their efforts – both in terms of shaping markets through a centralised research and development function, and using joint procurement to secure better deals by leveraging additional spending power.

Pillar two – accountability and transparency

In the Government’s view, accountability for the FRS can be increased by enabling PCCs to bring “...the same direct democratic mandate to oversight of fire and rescue as already exists in policing”. This is the backdrop to the potential governance changes introduced by the Policing and Crime Act 2017 summarised in the LGA’s briefing document²⁰.

²⁰ www.local.gov.uk/parliament/briefings-and-responses/policing-and-crime-act-2017-implications-police-and-crime-panels

Another strand of the Government’s agenda to increase accountability of FRSs has seen the re-introduction of an independent inspectorate. Responsibility for inspection in the fire and rescue sector now rests with the recently-expanded HM Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS). The Inspectorate will assess and report upon the efficiency, effectiveness and leadership of FRSs, and is expected to commence consultation on its inspection programme shortly.

Against this background of independent inspection being reintroduced, the Government has asked the LGA to bring forward proposals for revising the peer challenge process that has been used by FRAs as a performance improvement tool since 2009 (see Section 5). The intention of this revision is to ensure that the peer challenge process complements the work of the inspectorate, and continues to add value as a sector-led improvement process.

As a means of increasing transparency, the Government has committed to the introduction of a website that will mirror for the FRS what can be seen on www.police.uk. The website – which will be operational by late 2017 – will hold a range of information to help the public and other stakeholders assess the performance of their local FRS, as well as information about chief officer pay, expenditure, accounts, efficiency plans, workforce composition and operational activity.

Pillar three – workforce reform

The Government considers workforce reform to be of central importance to the process of achieving positive change in the fire and rescue service. In order to deliver necessary reform across the FRS workforce, ministers have identified a number of issues that require particular attention.

Firstly, the Government has made a commitment to establish a body which will set professional standards in the fire and rescue sector. It is considered that, by establishing such a body, FRS staff will increasingly think of themselves as one profession with common goals and standards, "...rather than individuals working for 45 separate services". The new standards body will work with all the organisations that are currently devising standards to develop and test new ones, and to consider the effectiveness of the ones that already exist.

It is expected that HMICFRS will also inspect against the standards this body sets and, in turn, that the standards body will carefully consider the inspectorate's findings when setting its standards.

At the time of writing this guide, a working group led by a chief fire officer is developing proposals for funding the standards body, as well as those associated with its scope and remit. The proposals in question are due to be brought forward in September 2017, and it is anticipated that the new body will be operational by the end of the year. Once established, it will either be affiliated to the College of Policing, or be part of a fully combined College of Policing and Fire.

In identifying other priority areas for workforce reform, the Home Office has drawn heavily on the findings and recommendations set out in a report²¹ produced by Adrian Thomas, which was published in 2016. The report in question was commissioned by the Government to review the conditions of service for fire and rescue staff. It explored a broad range of issues and made forty-five associated recommendations (described as 'key findings').

Of these, a number related to issues that the Government has selected as key focus areas for its FRS reform programme:

- the need to develop strong, capable leadership
- the need to introduce flexible employment practices, to support flexible approaches to service delivery
- an imperative to increase diversity and equality of opportunity in the service
- the need to review the structure and role of the National Joint Council, to ensure that it enables workforce reform.

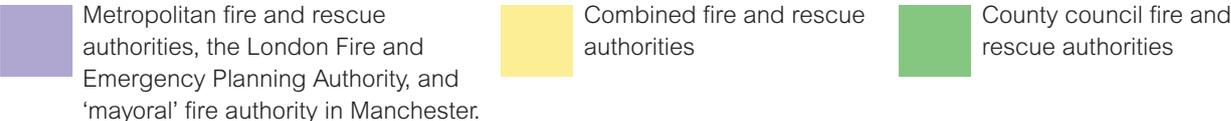
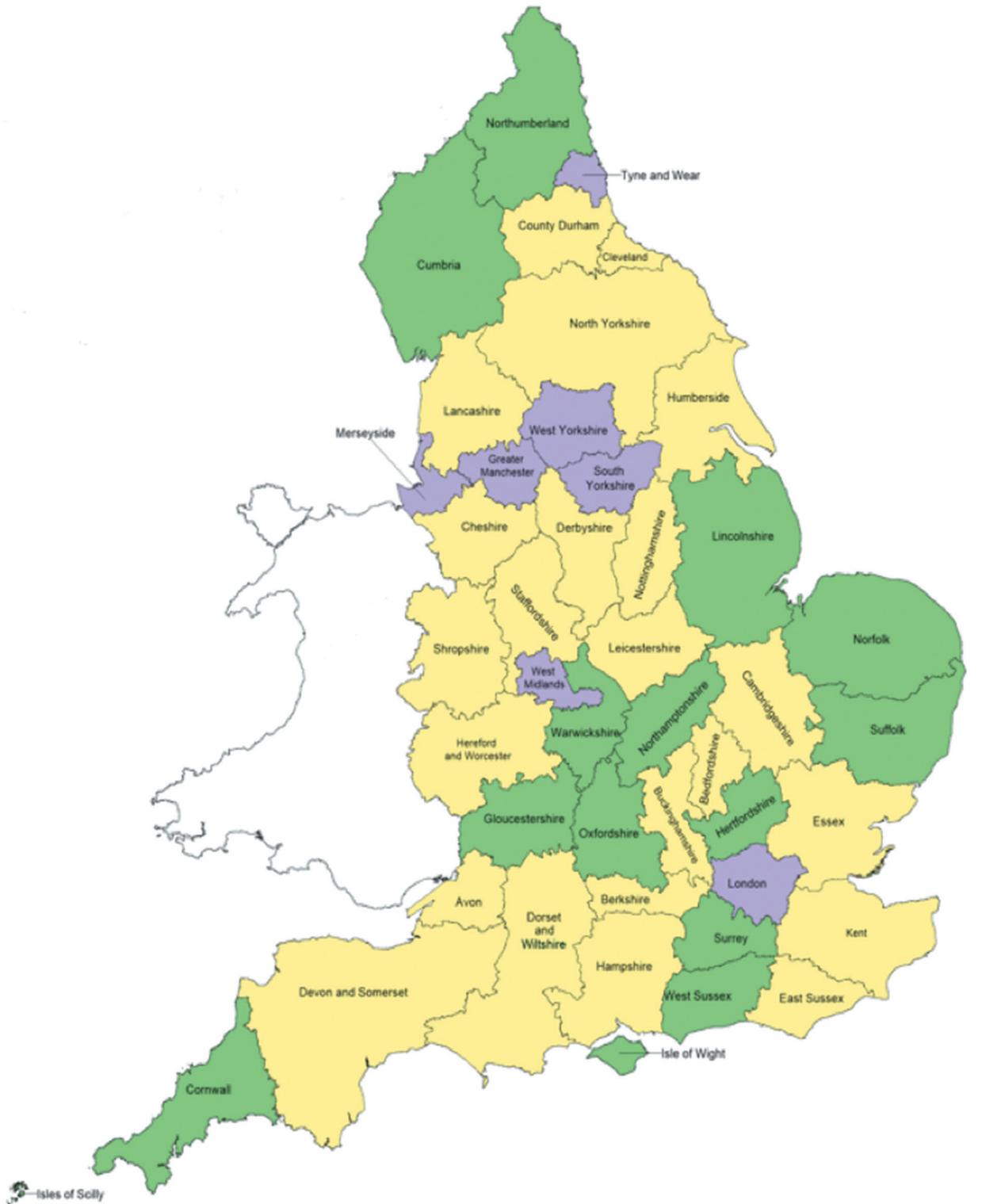
The Fire Reform Board (England)

In order to ensure that the political and professional leadership of the fire and rescue service is engaged in the process of shaping details of the Home Office fire reform programme, a Fire Reform Board (England) has been formed. As explained in Section 3, the board brings political leaders from the LGA together with representatives from the Home Office, as well those from the National Fire Chiefs Council (the fire service equivalent of the National Police Chiefs Council), to collectively and strategically shape the national FRS reform agenda in England. Further information is available on the LGA website²².

²¹ www.gov.uk/government/publications/conditions-of-service-for-fire-and-rescue-staff-independent-review

²² www.local.gov.uk/fire-reform-board-england

Map of English fire and rescue authorities





Local Government Association

Local Government House
Smith Square
London SW1P 3HZ

Telephone 020 7664 3000
Fax 020 7664 3030
Email info@local.gov.uk
www.local.gov.uk

© Local Government Association, September 2017

For a copy in Braille, larger print or audio,
please contact us on 020 7664 3000.
We consider requests on an individual basis.

Proud to serve

Proud of our people

Proud to improve

Proud to lead



Proud to Protect

PROUD OF WHAT WE DO • PROUD OF WHO WE ARE



Our Vision is:

To be outstanding in the service we provide

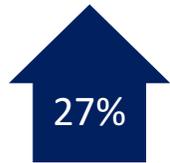


VERA BAIRD
POLICE & CRIME COMMISSIONER

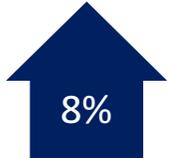


**NORTHUMBRIA
POLICE**
Proud to Protect

1. Objective – Domestic and Sexual Abuse



increase in recorded sexual offences (12 offences per day from 10 per day 2016/17).
(equivalent to an increase of 390)



increase in recorded domestic abuse incidents (92 per day from 85 per day 2016/17).
(equivalent to an increase of 1,104)



improvement in the timeliness of recording rape offences (89% in 2016/17).

91%

of cancelled sexual offences are done so appropriately (4 out of 43 were cancelled inappropriately
as there was insufficient detail recorded on NPICCS to justify cancellation).



compliance with NCRS for sexual offences (from 94% in 2016/17).



of domestic abuse victims satisfied
with the overall service.

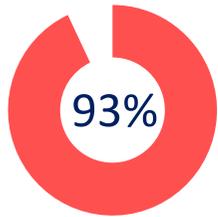


of domestic abuse victims state they
feel confident to report further abuse.

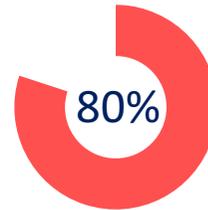
MATAC

From the 326 perpetrators managed since November 2015, the average recorded
DA offences reduced to 0.3 per month after being discharged from MATAC from
0.7 offences per month pre-MATAC involvement.

2. Objective – Putting Victims First



Reduction in the percentage of 999 calls answered (98% in 2016/17); (118,742 answered, 7,448 unanswered Apr-Aug 2017)



Reduction in the percentage of 101 calls answered (84% in 2016/17); (287,849 answered, 77,347 unanswered Apr-Aug 2017)



Increase in average call answer times (from 11s (999) and 1m 06s (101) in 2016/17).



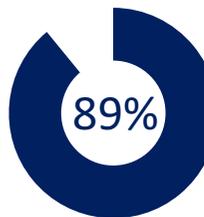
Improved response rates for priority 1 (13m 23s for priority 1 and 1h 01m 22s for priority 2 in 2016/17).



Improved response rates at incidents with vulnerable victims (priority 2) (1h 13m 47s in 2016/17).

81%

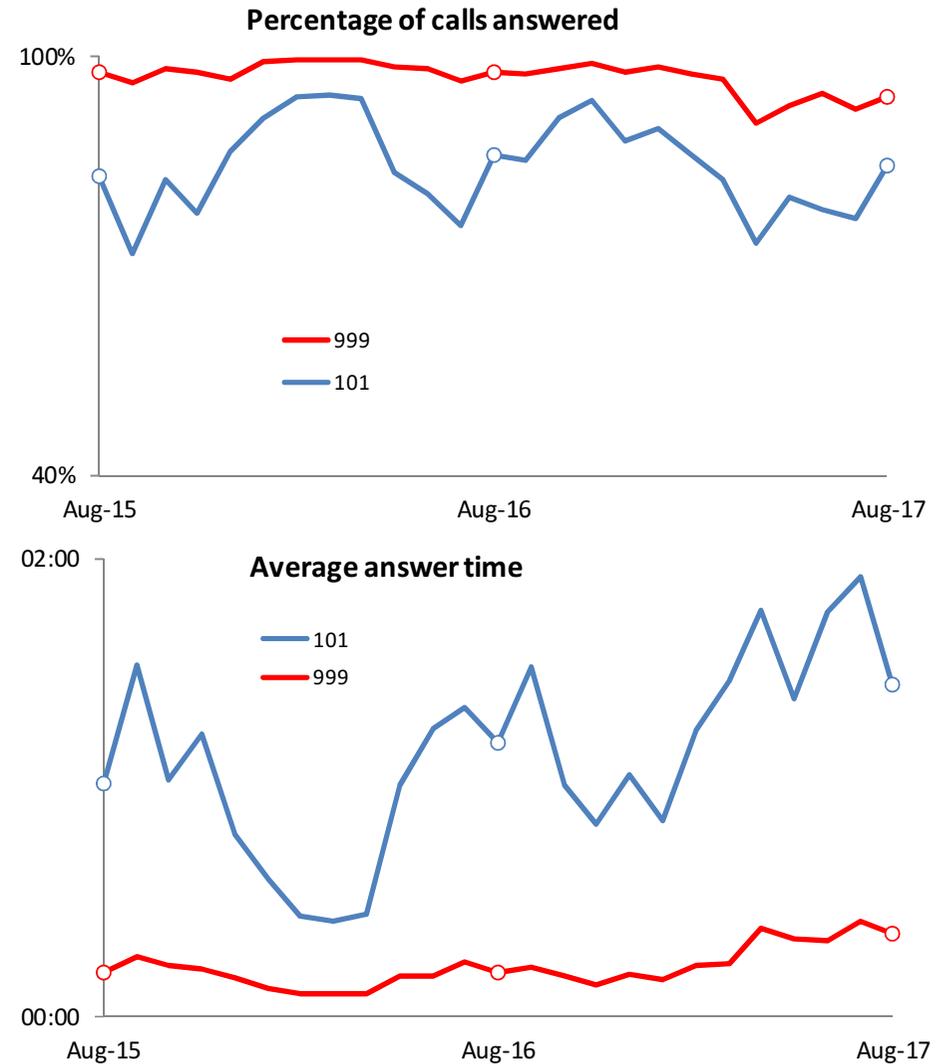
of victims with a satisfactory needs assessment (83% in 2016/17).



High satisfaction levels for victims of crime (91% in the previous year).

3. Call Handling

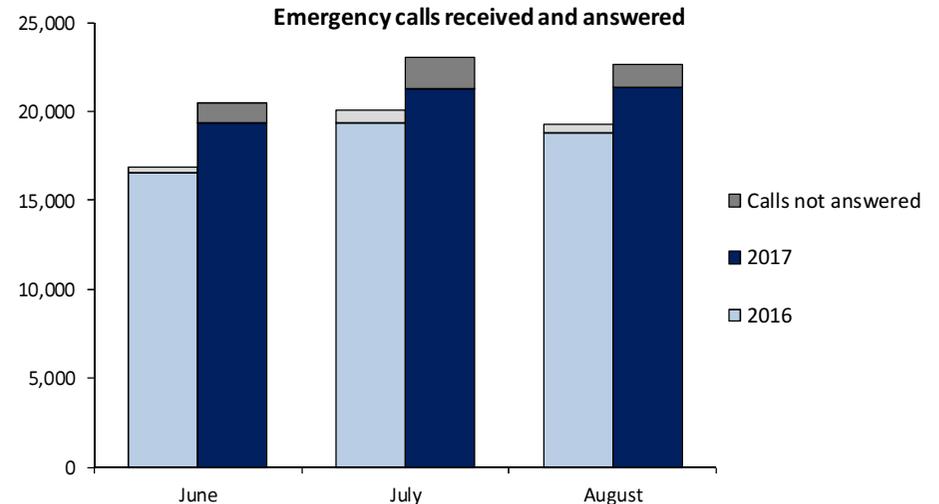
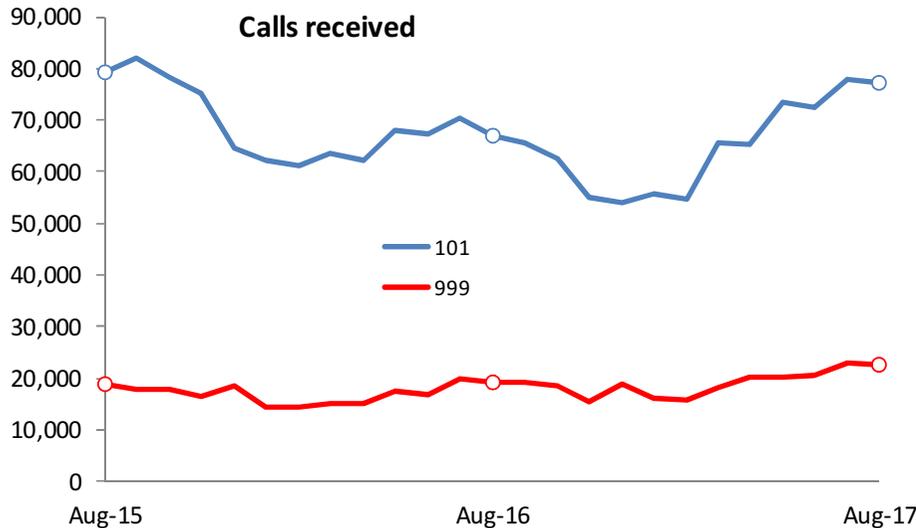
1. Implementation of a Customer Service Desk (CSD) has improved secondary call handling performance with those calls now included as part of 101 to better reflect call handling performance.
2. The answer rate for 999 calls is 94% in August compared to 98% in 2016/17.
3. The average answer time is 22 seconds in August (11 seconds in 2016/17).
4. The answer rate for all 101 calls is 84% in August, lower than 86% in 2016/17.
5. The average answer time remains higher at 1mins 28secs in August 2017, compared to 1min 06secs for 2016/17.
6. The average call duration has increased for both 999 and 101 calls (excluding CSD).



999 calls			
	Aug-16	Aug-17	% change
Call duration	3:12 mins	3:33 mins	11%
Wrap-up	2:39 mins	3:32 mins	33%

101 calls (excluding CSD)			
	Aug-16	Aug-17	% change
Call duration	4:24 mins	6:10 mins	40%
Wrap-up	1:48 mins	2:43 mins	51%

4. Call Handling

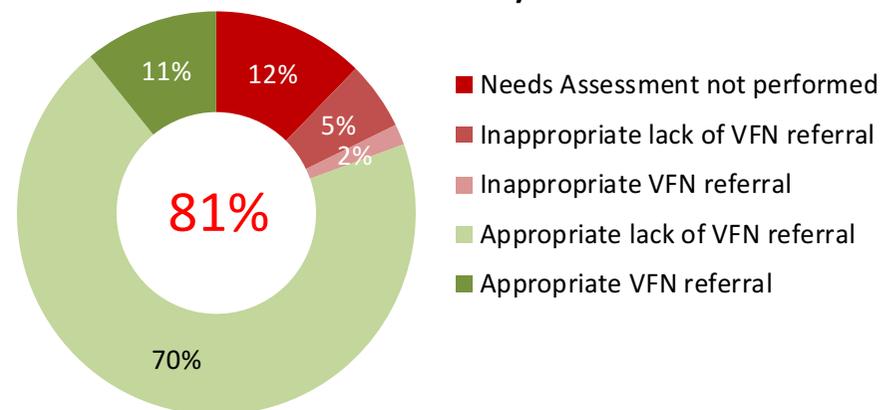


1. 999 call demand has continued to increase to highest recorded levels (data available from 2011).
2. Although the answer rate has reduced to 94%, the number of emergency calls answered between June - August 2017 is more than the number of calls received in the same period last year.
3. Actions to manage demand include: on-going review of demand and resources, recruitment of call handlers, development of a temporary customer service desk; reduction of non-emergency demand utilising RWD and reduction of secondary and internal demand via process improvements and training.

5. Victims' Code of Practice

1. 81% of victims have a satisfactory needs assessment (11% are referred to VFN and 70% do not need to be referred).
2. 12% of victims do not receive a needs assessment; however, there are some cases where it is not appropriate.
3. 5% of victims had a needs assessment, but were not referred when they should have been.
4. 2% of victims were referred to VFN, but did not have any identified vulnerability.
5. Action plan in place to improve compliance with the Victims' Code of Practice, monitored at Criminal Justice Strategy Group.
6. Changes completed to Police E-Box crime recording 'app' and to VNA screens to ensure erroneous referrals are not made to Victim First Northumbria; NPICCS still to be amended.
7. An external Victims and Witnesses page on the force website – easy to navigate, with links to the Victims' Code of Practice, Victims First Northumbria and useful information on crime prevention, as well as help line numbers.
8. A more streamlined process for the Victims' Right to Review Scheme.
9. A video, accessible via the smartphone, which allows the victim to directly hear about the services provided by Victims First Northumbria and the Victim Needs Assessment.
10. An internal video briefing on the support offered by Victims First Northumbria and the Victim Needs Assessment process.
11. Operational Steering Group and Victims' Forum in place to discuss best practice and communicate key messages, via victims' champions.

Satisfactory victim needs assessment breakdown in 2017/18



6. Objective – Effective Criminal Justice

Rape Charge rate 9% reduced from 15% last year. National 6% 

Conviction rate 48% same as last year. National 58%. 

Report to conviction rate 4% reduced from 7% last year. National 4%. 

Sexual offences Charge rate 12% reduced from 15% last year. National 9%. 

Conviction rate 77% increase from 75% last year. National 80%. 

Report to conviction rate 10% reduced from 11% last year. National 7%. 

Domestic violence Charge rate 17% reduced from 22% last year. 

Conviction rate 71% reduced from 72% last year. National 77%. 

Report to conviction rate 12% reduced from 16% last year. 

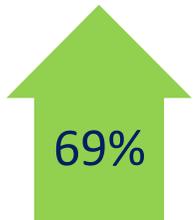
Page 37



Improvement in the percentage of guilty pleas at first hearing (63% in 2016/17).



Improvement in post – charge failures (82 per month in 2016/17).



Improvement in the appropriate use of out of court disposals where charge is the normal outcome (60% in 2016/17).



Improvement in Digital Forensic Unit backlog (150 jobs as at February 2017).



VERA BAIRD
POLICE & CRIME COMMISSIONER



NORTHUMBRIA
POLICE
Proud to Protect

7. Objective – Reducing Anti-Social Behaviour



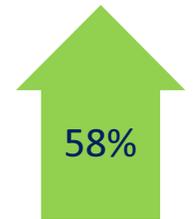
Reduction in anti-social behaviour incidents to 165 per day *(from 167 per day 2016/17).*
(equivalent to a reduction of 168 incidents)

13%

Low perceptions of ASB *(12% for the previous 12 months).*



High confidence to report ASB *(same as previous period).*



Increase in the percentage of long term victims who experienced no further incidents *(53% previous period).*



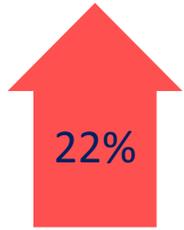
Improved satisfaction for ease of contact *(94% previous period).*



Increase in repeat rate *(24% previous period).*

75 repeats from 251 high or medium risk individuals in 12 months to August 2017.
42 repeats from 173 high or medium risk individuals in 12 months to August 2016.

8. Objective – Cutting Crime



Crime Severity Score. An alternative measure of total recorded crime that weights each offence by the severity of the type of offence (based on sentencing data). There is an 22% increase (*placed 30thth nationally*).



Improved timeliness of crime recording (*72% in 2016/17*).

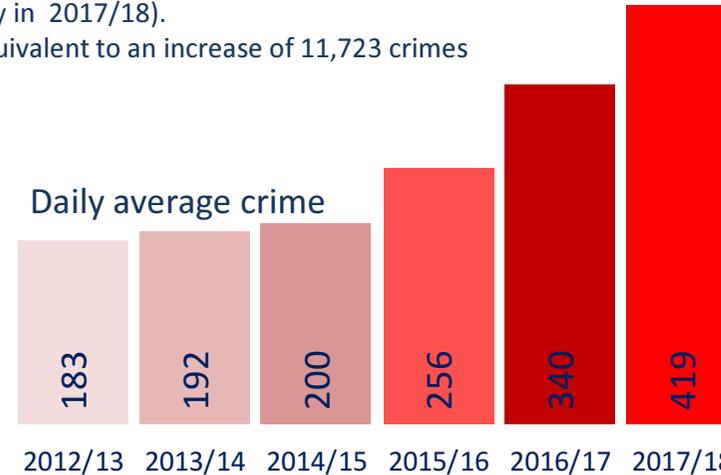


Improved compliance with NCRS (*93% compliance in 2016/17*).



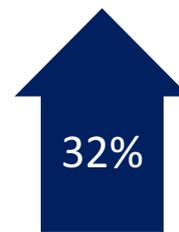
- 90%** think police do a good job in keeping NTE safe
- 94%** think cyber crime is a problem
- 84%** think roads are safe where they live
- 79%** aware of modern day slavery as a problem

There is a 23% increase in recorded crime (from an average of 340 crimes per day during 2016/17 to an average of 419 crimes per day in 2017/18).
Equivalent to an increase of 11,723 crimes



Approximately 3% represents an increase in offending, 20% is attributable to further improvements in crime recording.

Crime levels are now projected to increase between 17% and 27% by March 2018.



of incidents result in a recorded crime, and increase compared to last year (*24% in August 2016*).

9. Objective – Community Confidence

Police do a good or excellent job

86%

People feel safe in their area

98%

Visibility in neighbourhood is right

56%

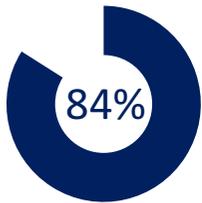
Long term reduction since June 2015 (-8%)

PCC talks to people to understand needs

46%

PCC hold Northumbria police to account

65%



Hate victims satisfied with whole experience.

97%

of ASB and domestic abuse victims confident to report further incidents.

Page 40

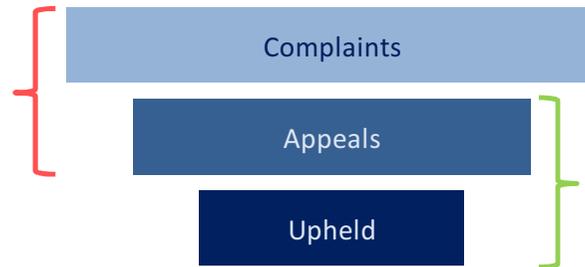


Increase in live complaints (from 193 as at 31 March 2017).

Allegations

- ↓ Incivility, impoliteness and intolerance (-21%)
- ↑ Other assault (+6%)
- ↓ Other neglect or failure in duty (-10%)

Increase in appeals to 18% (13% in 2016/17).



8% of Force investigated appeals upheld (15% in 2016/17, National average 18% in 2016/17).

31% of IPCC investigated appeals upheld (39% in 2016/17, National average 40% in 2016/17).



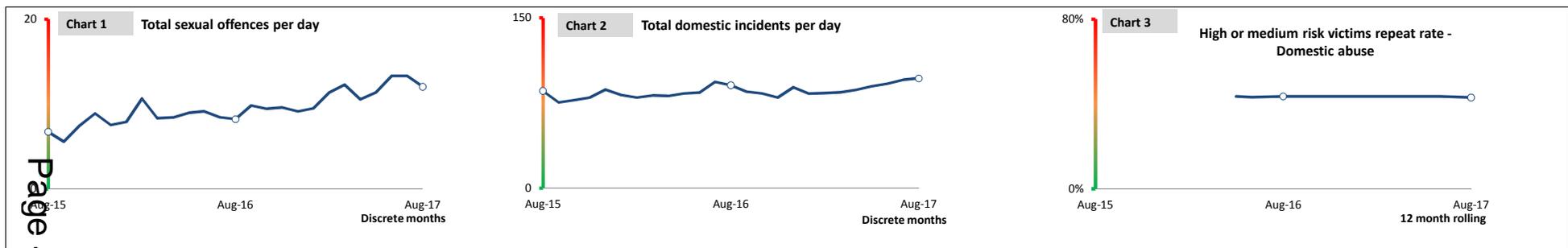
VERA BAIRD QC
POLICE & CRIME COMMISSIONER



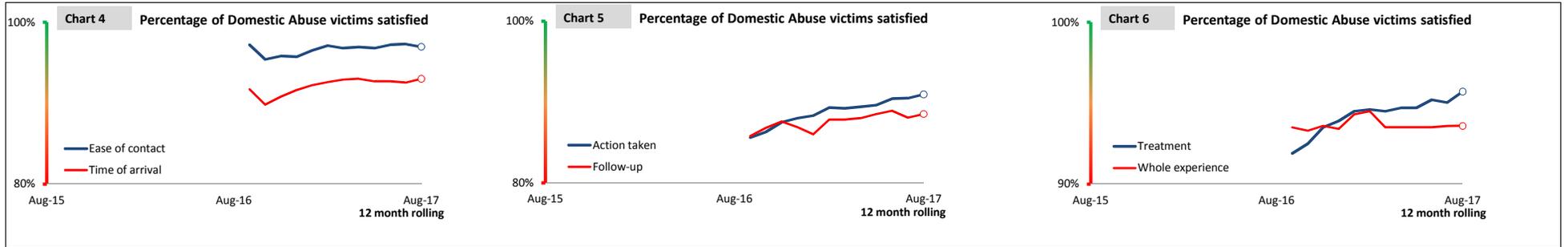
NORTHUMBRIA
POLICE
Proud to Protect

Domestic and Sexual Abuse

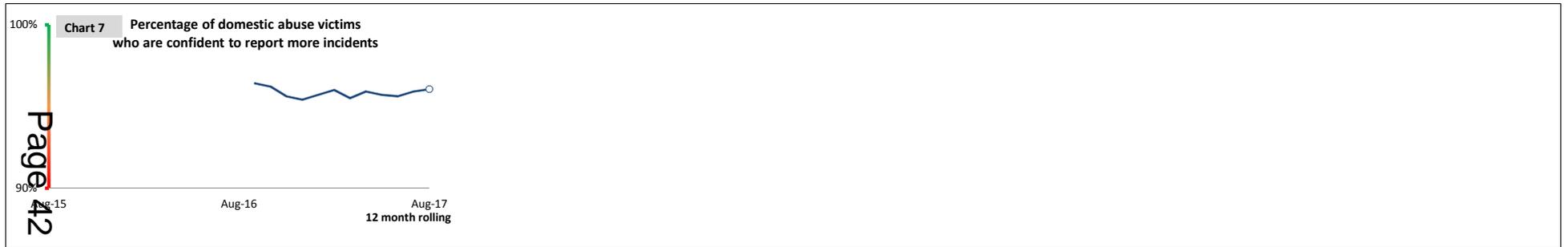
A reduction in sexual and domestic abuse		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
1	Recorded sexual offences	9 per day	Apr to August 2016	10 per day	2016/17	12 per day	Apr to August 2017	● ²⁴	1	Equivalent to a 27% increase from 2016/17. The Force is ranked 6th in its MSG and 34th nationally, based on data for the 12 months to July 2017.
2	Recorded domestic abuse incidents	87 per day	Apr to August 2016	85 per day	2016/17	92 per day	Apr to August 2017		2	Equivalent to a 8% increase from 2016/17.
3	Percentage of high or medium risk victims of domestic abuse who have suffered a subsequent incident or crime			43%	12 months to August 2016	43%	12 months to August 2017		3	
4	Percentage of high or medium risk victims of sexual abuse who have suffered a subsequent incident or crime					N/A				Definition being agreed.
5	Level of reduction in domestic abuse RFG score of MATAc subjects					65%	Nov 2015 to Mar 2017			Among those perpetrators subjected to MATAc interventions, average rates of domestic abuse offences per month declined by 65% force wide. From the 326 perpetrators managed since November 2015, the average recorded DA offences reduced to 0.3 per month after being discharged from MATAc from 0.7 offences per month pre-MATAc involvement.



An overall better policing response and support services for victims with complex needs and those affected by domestic and sexual abuse		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
Value	Period	Value	Period	Value	Period					
6	Percentage of domestic abuse victims satisfied with the policing response provided:									
6a)	Ease of contact					97%	12 months to August 2017		4	600 surveys completed per annum.
6b)	Time of arrival					93%	12 months to August 2017		4	As above.
6c)	Action taken					91%	12 months to August 2017	● ¹¹	5	As above.
6d)	Follow-up					89%	12 months to August 2017	● ¹¹	5	As above.
6e)	Treatment					96%	12 months to August 2017	● ¹¹	6	As above.
6f)	Whole experience					94%	12 months to August 2017		6	As above.
7	Assessment of the effectiveness of harm reduction plans for vulnerable victims									88% of harm reduction plans were considered to be of a good or outstanding standard based on a review of 50 harm reduction plans in July 2016. This exercise was repeated in March 2017 and 98% had a satisfactory plan in place that addressed victim vulnerabilities.
8	Establish a baseline assessment of our response to Adolescent to Parent Violence and Abuse					N/A				



More confidence in the reporting of domestic and sexual abuse		Previous YTD Value	Previous Period	Current Value	Current Period	Direction of Travel	Chart Number	Notes
9 Percentage of victims who are confident to report further abuse to the police again								
9a) Domestic abuse				96%	12 months to August 2017		7	600 surveys completed per annum.
9b) Sexual abuse				N/A				



Page 42

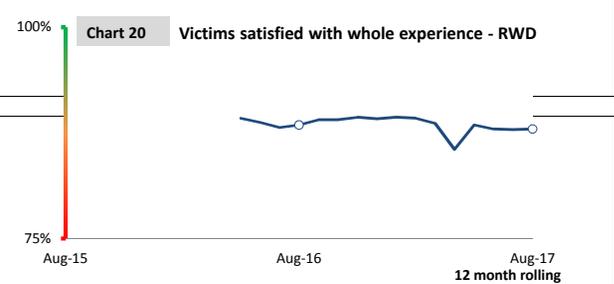
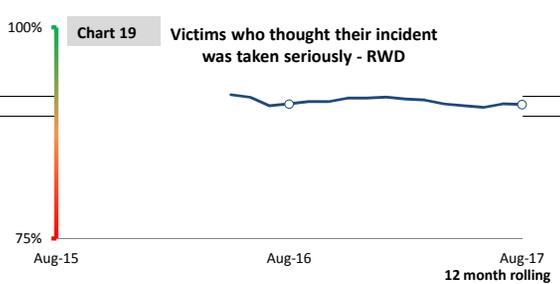
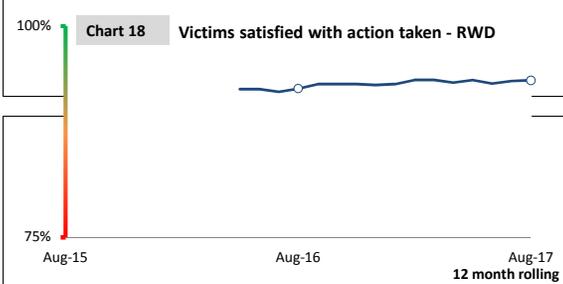
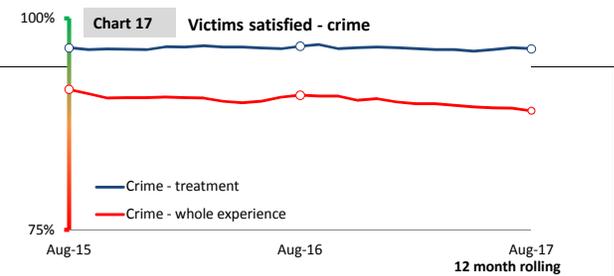
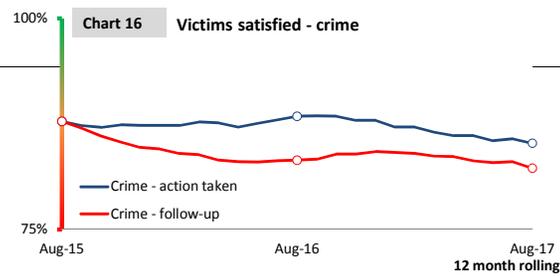
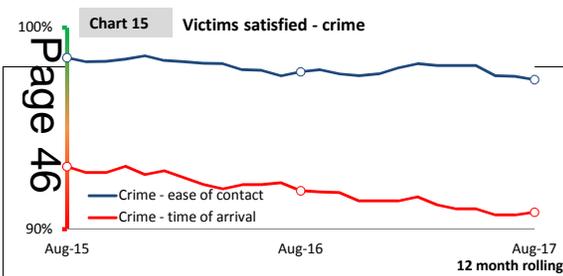
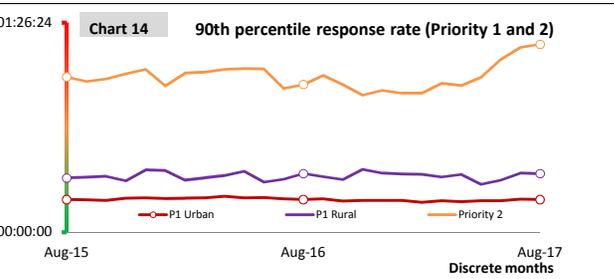
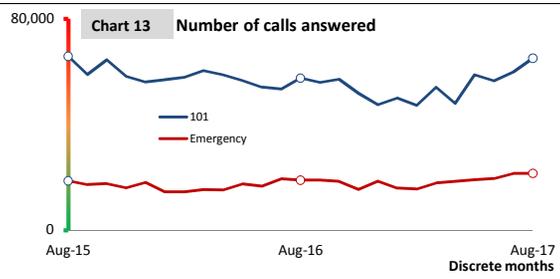
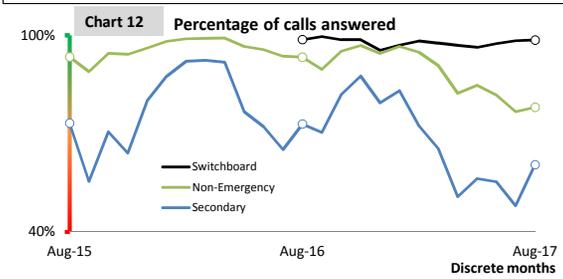
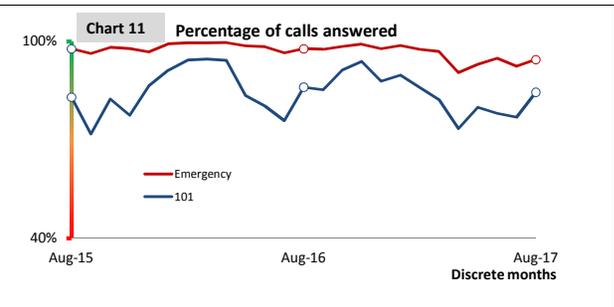
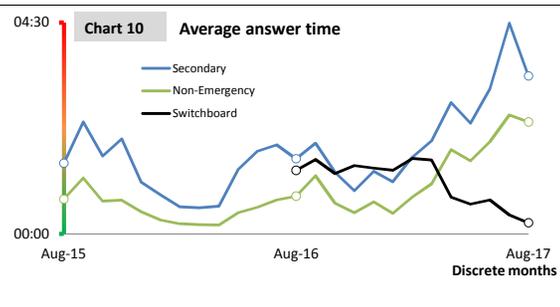
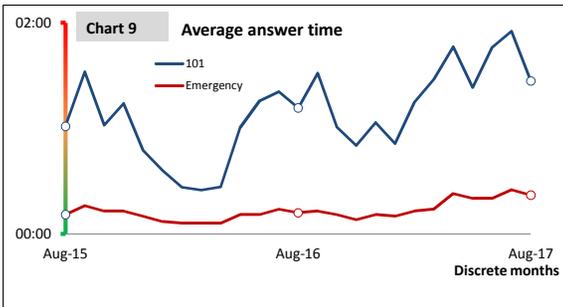
More accurate recording of domestic and sexual abuse		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
10	Percentage of sexual offences that comply with National Crime Recording Standards	94%	Apr to August 2016	94%	2016/17	96%	Apr to August 2017		8	See also indicator 31.
11	Percentage of rape offences recorded within 24 hours	86%	Apr to August 2016	89%	2016/17	93%	Apr to August 2017			
12	Percentage of cancelled crimes for sexual offences appropriately cancelled			98%	2016/17	91%	April to July 2017			100% audit of all rape and sexual offences cancelled for 2017. 2016/17 sample based upon 20 rape and 20 sexual offences.
13	Percentage of domestic abuse incidents that meet incident recording standards					N/A				



Putting Victims First

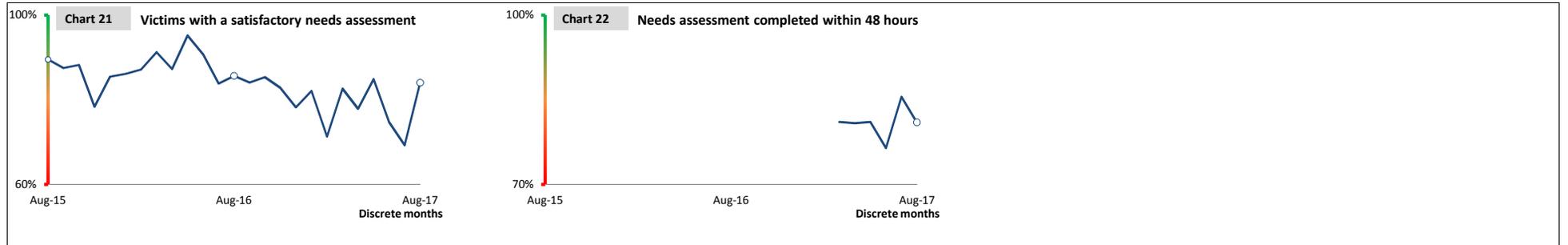
Improved victim satisfaction and police response	Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
	Value	Period	Value	Period	Value	Period			
14 Percentage of calls dealt with meeting call handling standards:									
14a) Correct greeting and overall politeness	93%	May 2016	96%	Feb 2017	N/A				Next assessment to commence in October 2017.
14b) An explanation of response was given	46%	May 2016	58%	Feb 2017	N/A				Next assessment to commence in October 2017.
14c) All information was recorded	78%	May 2016	80%	Feb 2017	N/A				Next assessment to commence in October 2017.
14d) Contact handler reassured the caller	76%	May 2016	88%	Feb 2017	N/A				Next assessment to commence in October 2017.
14e) Contact handler related with the caller	78%	May 2016	90%	Feb 2017	N/A				Next assessment to commence in October 2017.
14f) Contact handler resolved the caller's request	88%	May 2016	93%	Feb 2017	N/A				Next assessment to commence in October 2017.
15 Average time to answer calls									
15a) Emergency calls	0m 11s	Apr to August 2016	0m 11s	2016/17	0m 22s	Apr to August 2017	● ⁷	9	
15b) 101 calls	1m 02s	Apr to August 2016	1m 06s	2016/17	1m 39s	Apr to August 2017	● ¹	9	
15c) Non-Emergency calls	0m 34s	Apr to August 2016	0m 41s	2016/17	2m 04s	Apr to August 2017	● ⁷	10	
15d) Secondary calls	1m 23s	Apr to August 2016	1m 24s	2016/17	3m 07s	Apr to August 2017	● ⁷	10	
15e) Switchboard calls			1m 27s	Aug 2016 to Mar 2017	0m 30s	Apr to August 2017	● ⁵	10	
16 Percentage of calls answered									
16a) Emergency calls	98%	Apr to August 2016	98%	2016/17	93%	Apr to August 2017	● ⁷	11	
16b) 101 calls	84%	Apr to August 2016	86%	2016/17	79%	Apr to August 2017	● ¹	11	
16c) Non-Emergency calls	95%	Apr to August 2016	94%	2016/17	80%	Apr to August 2017	● ⁷	12	
16d) Secondary calls	76%	Apr to August 2016	76%	2016/17	53%	Apr to August 2017	● ⁹	12	
16e) Switchboard calls			98%	Aug 2016 to Mar 2017	98%	Apr to August 2017	● ³	12	
17 Number of calls answered									
16a) Emergency calls	87,150	Apr to August 2016	207,227	2016/17	99,336	Apr to August 2017		13	
16b) 101 calls	280,071	Apr to August 2016	643,106	2016/17	287,849	Apr to August 2017		13	
16c) Non-Emergency calls	115,067	Apr to August 2016	274,656	2016/17	126,177	Apr to August 2017			
16d) Secondary calls	152,701	Apr to August 2016	280,552	2016/17	51,083	Apr to August 2017			
16e) Switchboard calls			87,898	Aug 2016 to Mar 2017	137,908	Apr to August 2017			
18 Attendance rate for priority 1 incidents (Urban)	13m 56s	Apr to August 2016	13m 23s	2016/17	13m 1s	Apr to August 2017		14	
19 Attendance rate for priority 1 incidents (Rural)	23m 14s	Apr to August 2016	23m 25s	2016/17	22m 47s	Apr to August 2017		14	
20 Attendance rate for priority 2 incidents	1 h 3m 56s	Apr to August 2016	1 h 1m 22s	2016/17	1 h 9m 48s	Apr to August 2017		14	

21 Percentage of crime victims satisfied with the policing response provided:								
21a) Ease of contact		98% +/- 0.7	12 months to August 2016	97% +/- 0.8	12 months to August 2017		15	1,800 surveys completed per annum.
21b) Time of arrival		92% +/- 1.2	12 months to August 2016	91% +/- 1.5	12 months to August 2017	● ²⁵	15	As above.
21c) Action taken		88% +/- 1.3	12 months to August 2016	85% +/- 1.4	12 months to August 2017		16	As above.
21d) Follow-up		83% +/- 1.5	12 months to August 2016	82% +/- 1.6	12 months to August 2017		16	As above.
21e) Treatment		97% +/- 0.7	12 months to August 2016	96% +/- 0.8	12 months to August 2017		17	As above.
21f) Whole experience		91% +/- 1.1	12 months to August 2016	89% +/- 1.3	12 months to August 2017		17	As above.
22 Percentage of victims satisfied with the RWD policing response provided:								
22a) Action taken		92% +/- 2.1	Feb to August 2016	94% +/- 1.8	12 months to August 2017		18	600 surveys completed per annum.
22b) Victim thought their incident was taken seriously		91% +/- 2.2	Feb to August 2016	91% +/- 2.0	12 months to August 2017		19	As above.
22c) Whole experience		88% +/- 2.4	Feb to August 2016	88% +/- 2.2	12 months to August 2017		20	As above.
23 Satisfaction levels for victims of crime, with a specific sample for those that are considered vulnerable and for repeat victims				N/A				



Page 46

Victims are supported to cope and recover from their experience of crime		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
24	Percentage of victims with a satisfactory needs assessment	87%	Apr to August 2016	83%	2016/17	81%	Apr to August 2017		21	
25	Percentage of needs assessments completed within 48 hours			81%	Mar 2017	81%	Apr to August 2017		22	Data pre front-end crime recording is not comparable.

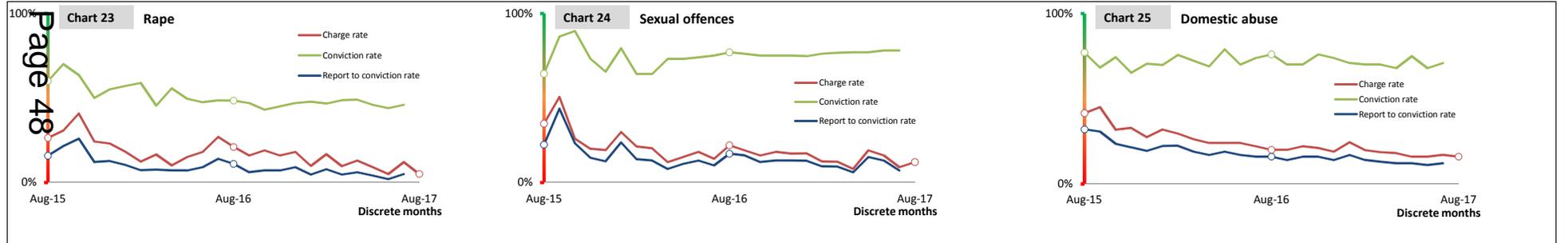


The most vulnerable are recognised and receive an enhanced service		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
26	A qualitative and quantitative assessment of compliance with the Victims' Code of Practice									Assessment conducted; 9 areas assessed with 3 assessed as non-compliant and 5 assessed as partially compliant.
27	Percentage of calls correctly assessed for vulnerability, threat, risk and harm (THRIVE)	94%	May 2016	97%	Feb 2017	N/A				Next assessment to commence in October 2017.
28	Percentage of incidents allocated the most appropriate response (THRIVE)	80%	May 2016	87%	Feb 2017	N/A				Next assessment to commence in October 2017.
29	Attendance rates at incidents with vulnerable victims (priority 2)	1 h 25m 6s	Apr to August 2016	1 h 13m 47s	2016/17	1 h 13m 20s	Apr to August 2017			
30	Percentage of rape offences recorded within 24 hours	86%	Apr to August 2016	89%	2016/17	93%	Apr to August 2017			

Effective Criminal Justice System

Improved reporting and recording of rape, sexual offences and domestic abuse.		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
31	Percentage of rape and sexual offences that comply with national crime recording standards	94%	Apr to August 2016	94%	2016/17	96%	Apr to August 2017		8	See also indicator 10

Increased charge and conviction rates for cases of rape, sexual offences and domestic abuse	Previous YTD Value		Previous Period Value		Current Period Value		Direction of Travel	Chart Number	Notes
32 Charge rates for:									
32a) Rape	17%	Apr to August 2016	15%	2016/17	9%	Apr to August 2017	● ²⁴	23	The Force ranked 2nd in its MSG and 3rd nationally, 12 months to July 2017.
32b) Sexual offences	15%	Apr to August 2016	15%	2016/17	12%	Apr to August 2017		24	The Force ranked 3rd in its MSG and 11th nationally, 12 months to July 2017.
32c) Domestic abuse	23%	Apr to August 2016	22%	2016/17	17%	Apr to August 2017	● ²⁴	25	
33 Conviction rate for:									
33a) Rape	53%	Apr to July 16	48%	2016/17	48%	Apr to July 17		23	
33b) Sexual offences	73%	Apr to July 16	75%	2016/17	77%	Apr to July 17		24	
33c) Domestic abuse	74%	Apr to July 16	72%	2016/17	71%	Apr to July 17		25	
34 Report to conviction rate for:									
34a) Rape	9%	Apr to July 16	7%	2016/17	4%	Apr to July 17	● ²⁴	23	
34b) Sexual offences	11%	Apr to July 16	11%	2016/17	10%	Apr to July 17		24	
34c) Domestic abuse	17%	Apr to July 16	16%	2016/17	12%	Apr to July 17	● ²⁴	25	
35 Assessment of file accreditation standards					N/A				
36 Number of post-charge failures			82 per month	2016/17	77 per month	Apr to August 2017			



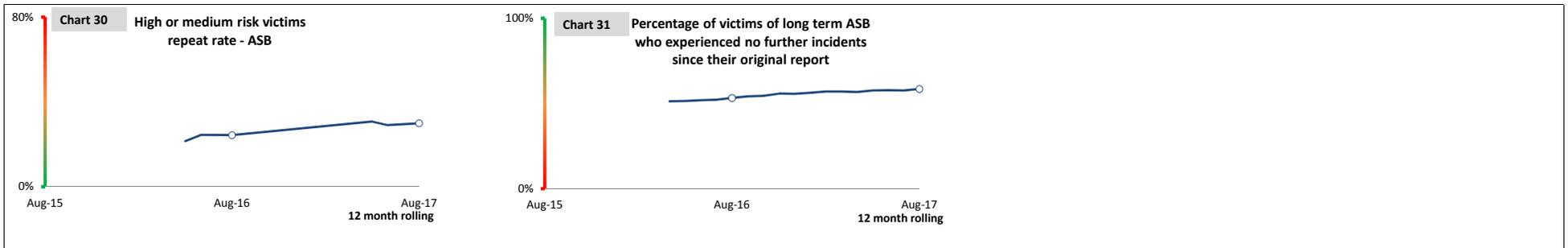
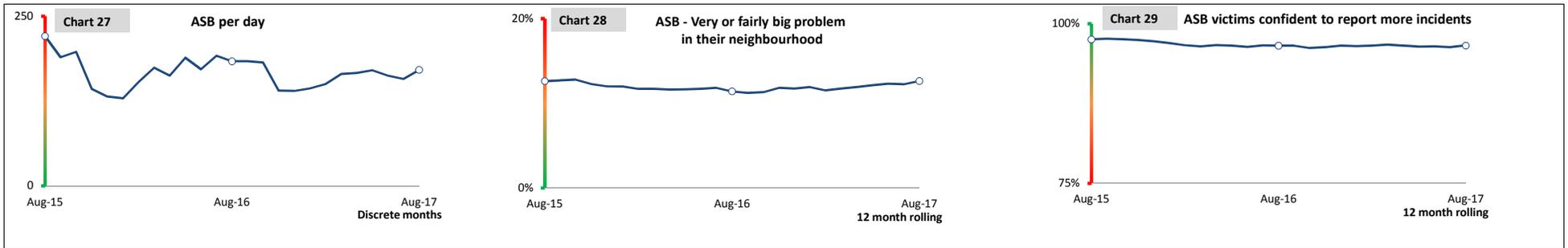
Increased number of guilty pleas at first hearing		Previous YTD Value Period		Previous Value Period		Current Value Period		Direction of Travel	Chart Number	Notes
37	Percentage of guilty pleas at first hearing	63%	Apr to July 16	63%	2016/17	64%	Apr to July 17		26	



Prevention of first time and repeat offending		Previous YTD Value Period		Previous Value Period		Current Value Period		Direction of Travel	Chart Number	Notes
38	Evaluate the implementation of the out of court disposal framework, including an assessment of its effectiveness in reducing reoffending					N/A				The out of court disposal framework will be monitored internally and independently evaluated to assess its effectiveness.
39	Appropriate use of out of court disposals where a charge is the normal outcome			60%	2016/17	69%	Apr to June 2017			The sample uses the selection criteria adopted by the Out of Court Disposal Scrutiny Panel. This is a focus on serious offences and persistent offenders when a charge is the expected outcome.
40	Percentage of subjects through Integrated Offender Management who have reduced offending					N/A				Measure to be reported in December
41	Monitor first time offending rates					N/A				
42	Outstanding volume within the Digital Forensic Unit			150 jobs	as at February 2017	55 jobs	as at August 2017	● ⁵		There are no high risk jobs over 6 months old.

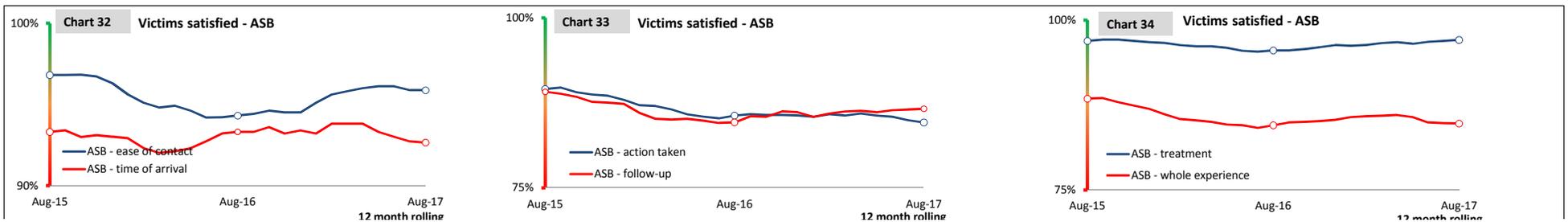
Reducing Anti-Social Behaviour

Fewer victims of ASB – though we will continue to encourage reporting		Previous YTD Value Period		Previous Value Period		Current Value Period		Direction of Travel	Chart Number	Notes
43	Recorded levels of anti-social behaviour incidents	180 per day	Apr to August 2016	167 per day	2016/17	165 per day	Apr to August 2017		27	Equivalent to a 1% decrease from 2016/17.
44	Percentage of people who feel that ASB is a very or fairly big problem in their neighbourhood			12% +/- 0.8	12 months to August 2016	13% +/- 0.8	12 months to August 2017		28	1,560 surveys completed per annum.
45	Percentage of ASB victims who are confident to report further incidents to the police again			97% +/- 0.8	12 months to August 2016	97% +/- 0.8	12 months to August 2017		29	As above.
46	Percentage of high or medium risk ASB victims who have suffered a subsequent incident (of any category of ASB or crime)			24%	12 months to August 2016	30%	12 months to August 2017	● ¹⁵	30	
47	Percentage of victims of long term ASB who experienced no further incidents since their original report			53% +/- 3.6	12 months to August 2016	58% +/- 3.9	12 months to August 2017		31	600 surveys completes per annum.



Page 50

Improved satisfaction for victims of ASB	Previous YTD Value	Previous Period	Previous Value	Previous Period	Current Value	Current Period	Direction of Travel	Chart Number	Notes
48 Percentage of ASB victims satisfied with the policing response provided:									
48a) Ease of contact			94%	12 months to +/- 1.0 August 2016	96%	12 months to +/- 0.9 August 2017	↗ 8	32	1,560 surveys completed per annum.
48b) Time of arrival			93%	12 months to +/- 1.5 August 2016	93%	12 months to +/- 1.7 August 2017		32	As above.
48c) Action taken			86%	12 months to +/- 1.7 August 2016	85%	12 months to +/- 1.9 August 2017		33	As above.
48d) Follow-up			85%	12 months to +/- 1.8 August 2016	87%	12 months to +/- 1.8 August 2017		33	As above.
48e) Treatment			96%	12 months to +/- 1.1 August 2016	97%	12 months to +/- 0.9 August 2017		34	As above.
48f) Whole experience			85%	12 months to +/- 1.6 August 2016	85%	12 months to +/- 1.7 August 2017		34	As above.



Those most vulnerable will receive a service that better meets their needs		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
49	Satisfaction levels for those vulnerable victims of anti-social behaviour					N/A				

Action will be taken against offenders		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
50	Assessment of the use and effectiveness of police powers to tackle anti-social behaviour and evaluate problem solving approaches					N/A				

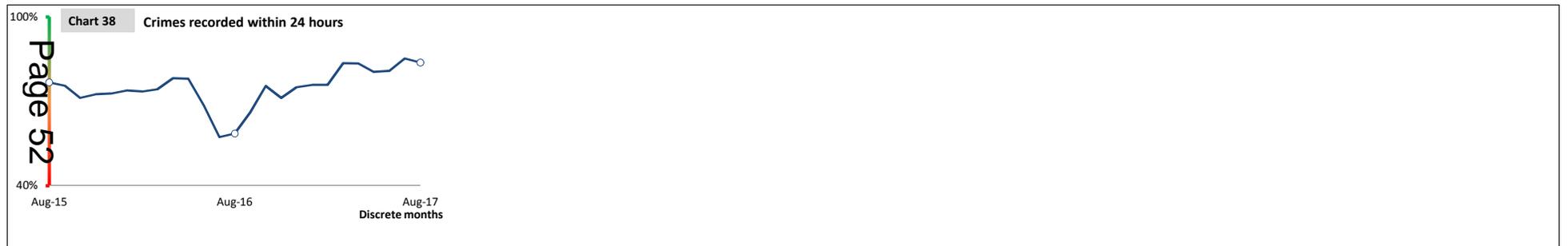
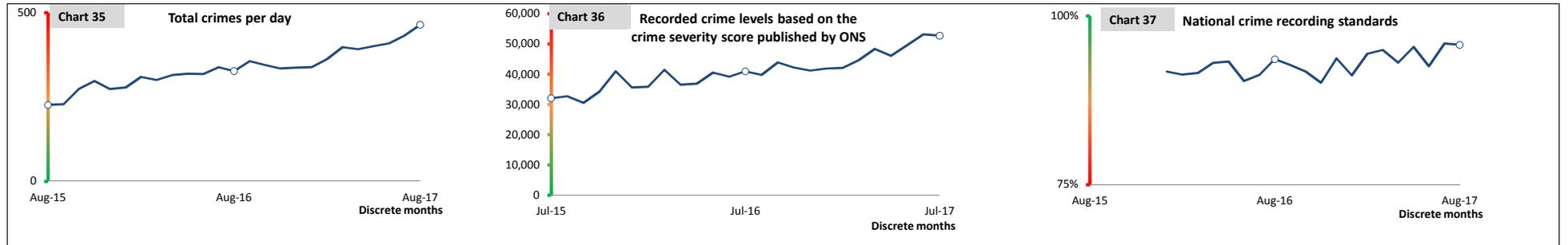
Cutting Crime

Improved police and partnership response to specific crimes		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
51	Assessment of investigative standards									
	51a) Volume crime					A review of 376 volume crime offences has been completed. 71% of investigations assessed as good or outstanding.				
	51b) Hate crime					54 hate crimes were reviewed in July 2016. All cases were assessed as good or outstanding. Those investigations with a structured supervisory plan ultimately led to positive outcome, even when no suspect was identified. Some organisational learning to consider.	N/A			Review of hate crimes to be conducted in October 2017.
	51c) Serious offences and domestic abuse					A review of 100 domestic abuse related crimes has been completed, together with a desktop review of 54 rape cases. Overall standards of investigations were high for rape offences, with 86 of domestic abuse related crimes assessed as good or outstanding.				
52	Evaluate problem solving approaches for those crimes that cause most harm					N/A				

Specific intervention and response to alcohol related crime and disorder		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
53	Assess the appropriateness of outcomes and use of rehabilitative pathways					N/A				The out of court disposal framework will be monitored internally and independently evaluated to assess its effectiveness.

Safer night-time economy		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
54	Perceptions of safety of those that use the night time economy					90% +/-3.5	June to August 2017			Findings based on a sample of 1,240 surveys (measure based on 280 responses).
55	Recorded crime levels in night time economy areas					N/A				Next assessment to commence in October 2017.

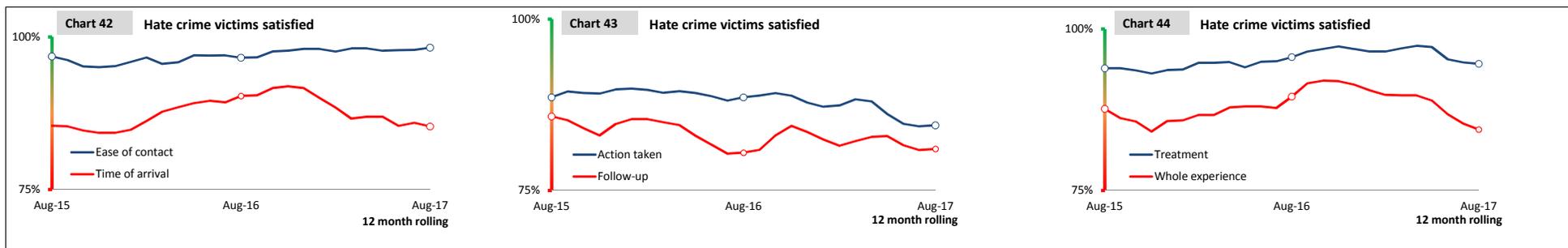
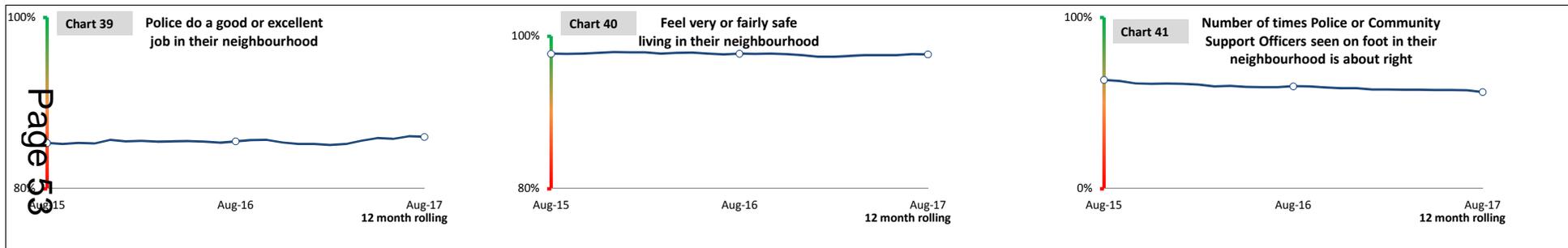
		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
56	Recorded crime	323 per day	Apr to August 2016	340 per day	2016/17	419 per day	Apr to August 2017	● ²⁴	35	Equivalent to a 23% increase from 2016/17. The Force is ranked 5th in its MSG and 38th nationally, based on data for the 12 months to July 2017.
57	Recorded crime levels based on the crime severity score published by ONS	39,446	Apr to August 2016	41,759	2016/17	50,895	Apr to August 2017	● ²⁴	36	Equivalent to a 22% increase from 2016/17. The Force is ranked 3rd in its MSG and 30th nationally, based on data for 12 months to July 2017.
58	Compliance with National Crime Recording Standards	92%	Apr to August 2017	93%	2016/17	95%	Apr to August 2017		37	
59	Percentage of crimes recorded within 24 hours	68%	Apr to August 2016	72%	2016/17	83%	Apr to August 2017	● ¹³	38	



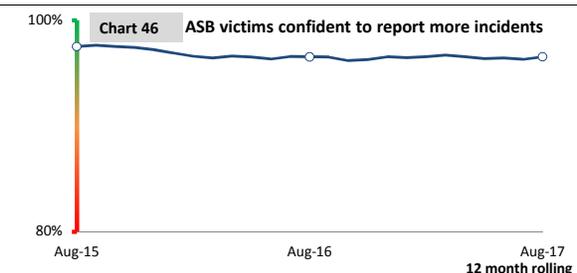
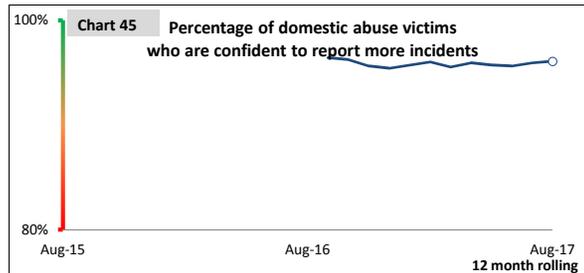
		Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes
		Value	Period	Value	Period	Value	Period			
60	Monitor the number of offenders given a conditional caution referred to substance abuse intervention					N/A				The out of court disposal framework will be monitored internally and independently evaluated to assess its effectiveness. The number of
61	Percentage of people who feel that cyber-crime is a very or fairly big problem					94% +/-1.4	June to August 2017			Findings based on a sample of 1,240 surveys.
62	Perceptions and awareness of the community regarding exploitation (e.g. sexual, labour and benefit)					79% +/-2.3	June to August 2017			As above.
63	Perceptions of road safety, including drink driving and use of mobile phones					84% +/-2.1	June to August 2017			As above.

Community Confidence

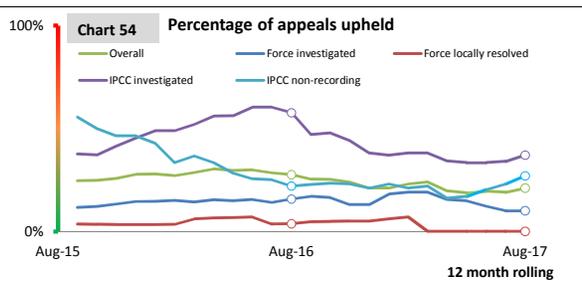
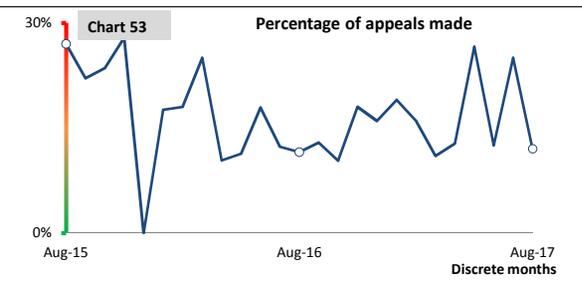
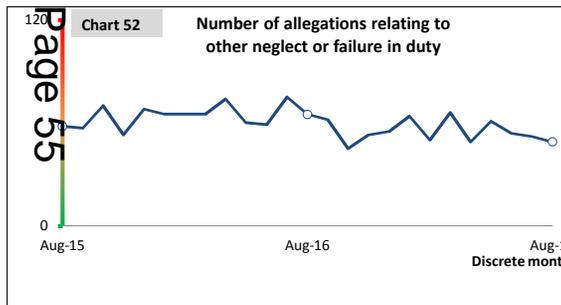
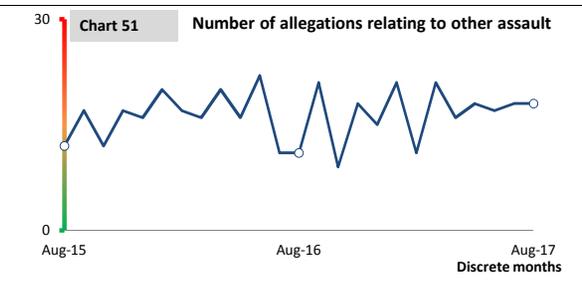
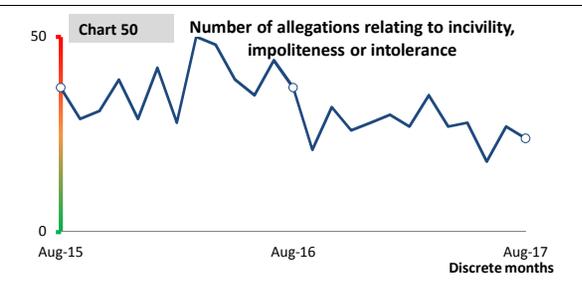
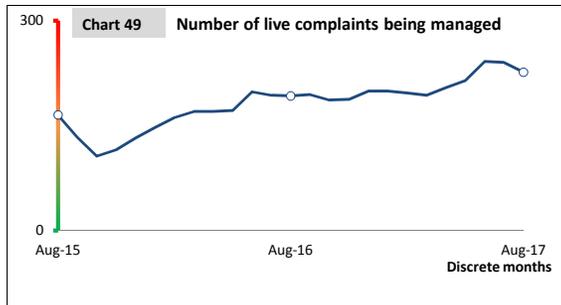
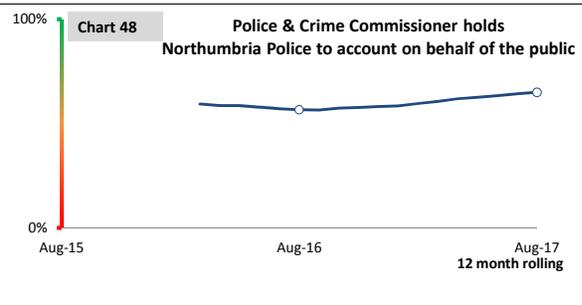
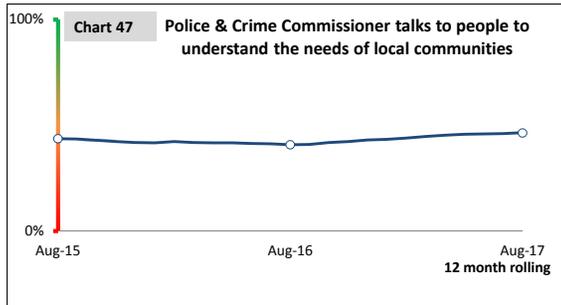
Improved satisfaction with the services that Northumbria Police and key community safety and criminal justice partners provide	Previous YTD		Previous		Current		Direction of Travel	Chart Number	Notes	
	Value	Period	Value	Period	Value	Period				
64	Percentage of people who believe the police do a good or excellent job in their neighbourhood		85%	12 months to August 2016	+/- 1.0	86%	12 months to August 2017		39	6,000 surveys completed per annum.
65	Satisfaction levels for victims of crime, with a specific sample for those that are considered vulnerable and for repeat victims				N/A					
66	Percentage of people who feel safe in their local area		98%	12 months to August 2016	+/- 0.4	98%	12 months to August 2017		40	6,000 surveys completed per annum.
67	Percentage of people who believe that the level of visibility in their neighbourhood is about right		60%	12 months to August 2016	+/- 1.3	56%	12 months to August 2017		41	As above.
68	Percentage of hate crime victims satisfied with the policing response provided:									
68a	Ease of contact		97%	12 months to August 2016	+/- 2.5	98%	12 months to August 2017		42	Approx. 300 hate crime victims surveyed per annum.
68b	Time of arrival		90%	12 months to August 2016	+/- 3.8	85%	12 months to August 2017	● ⁷	42	As above.
68c	Action taken		89%	12 months to August 2016	+/- 4.0	85%	12 months to August 2017	● ⁹	43	As above.
68d	Follow-up		81%	12 months to August 2016	+/- 5.0	81%	12 months to August 2017		43	As above.
68e	Treatment		96%	12 months to August 2016	+/- 2.5	95%	12 months to August 2017		44	As above.
68f	Whole experience		90%	12 months to August 2016	+/- 3.8	84%	12 months to August 2017		44	As above.



More people connecting with the police to report local concerns and crimes and reporting confidence in the police response	Previous YTD Value	Previous Period	Previous Value	Previous Period	Current Value	Current Period	Direction of Travel	Chart Number	Notes
69 Percentage of victims that have confidence to report further incidents in the future:									
69a) Domestic abuse					97% +/- 1.4	12 months to August 2017		45	600 surveys completed per annum.
69b) Anti-social behaviour			97% +/- 0.8	12 months to August 2016	97% +/- 0.8	12 months to August 2017		46	1,560 surveys completed per annum.
69c) Crime					N/A				



Awareness that the PCC is always available to hear views and suggestions and will scrutinise fearlessly on the public's behalf	Previous YTD Value	Previous Period	Previous Value	Previous Period	Current Value	Current Period	Direction of Travel	Chart Number	Notes
70 Percentage of public who agree the PCC talks to people to understand the needs of local communities			41% +/- 1.4	12 months to August 2016	46% +/- 1.4	12 months to August 2017		47	6,000 surveys completed per annum.
71 Percentage of public who agree the PCC holds Northumbria Police to account on behalf of the public			57% +/- 1.5	12 months to August 2016	65% +/- 1.4	12 months to August 2017		48	As above.
72 Evaluate the delivery of training and awareness of the code of ethics					N/A				
73 Evaluate the impact of learning inputs, which have been identified during complaint and conduct investigations					N/A				
74 Number of live complaints being managed	192	As at 31st August 2016	193	As at 31st March 2017	226	As at 31st August 2017	● ¹⁹	49	
75 Monitor level and type of allegations:									Number of allegations includes both those complaints managed by Professional Standards and those managed by the Triage Team.
75a) Incivility, impoliteness or intolerance	37 per month	Apr to August 2016	34 per month	2016/17	27 per month	Apr to August 2017		50	YTD 2017/18 is 17 per month excluding triage. In FY16/17 this was 16 per month, equivalent to 57 allegations per 1,000 officers; lower than the national average of 75 allegations per 1,000 officers.
75e) Other assault	16 per month	Apr to August 2016	16 per month	2016/17	17 per month	Apr to August 2017		51	YTD 2017/18 is 15 per month excluding triage. In FY16/17 this was 15 per month, equivalent to 54 allegations per 1,000 officers; higher than the national average of 42 allegations per 1,000 officers.
75f) Other neglect or failure in duty	64 per month	Apr to August 2016	61 per month	2016/17	55 per month	Apr to August 2017		52	YTD 2017/18 is 33 per month excluding triage. In FY16/17 this was 36 per month, equivalent to 132 allegations per 1,000 officers; lower than the national average of 224 allegations per 1,000 officers.
76 Percentage of appeals made	13%	Apr to August 2016	13%	2016/17	18%	Apr to August 2017		53	
77 Percentage of appeals upheld - Overall	21%	Apr to August 2016	21%	2016/17	20%	Apr to August 2017		54	
78 Percentage of appeals upheld - Force investigated	21%	Apr to August 2016	15%	2016/17	8%	Apr to August 2017		54	24 appeals with 2 upheld. 18% national (April to June 2017)
79 Percentage of appeals upheld - Force locally resolved	0%	Apr to August 2016	0%	2016/17	0%	Apr to August 2017		54	17% national (April to June 2017)
80 Percentage of appeals upheld - IPCC investigated	38%	Apr to August 2016	39%	2016/17	31%	Apr to August 2017		54	13 appeals with 4 upheld. 39% national (April to June 2017)
81 Percentage of appeals upheld - IPCC non-recording	13%	April to August 2016	17%	2016/17	34%	Apr to August 2017		54	37% national (April to June 2017)



Page 55

This page is intentionally left blank

APPENDIX 2

Force Wide	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	64,110	51,987	+12,123	+ 23%
Violence against the person	18,412	14,091	+4,321	+ 31%
Robbery	285	319	- 34	- 11%
Sexual offences	1,867	1,457	+ 410	+ 28%
Vehicle crime	3,304	2,886	+ 418	+ 14%
Criminal damage	10,609	9,330	+1,279	+ 14%
Burglary	3,860	3,728	+ 132	+ 4%
Theft and handling	15,152	13,028	+2,124	+ 16%
Shoplifting	6,156	5,448	+ 708	+ 13%
Theft from the person	742	472	+ 270	+ 57%
Other theft and handling	7,164	6,228	+ 936	+ 15%
ASB	25,231	25,541	- 310	- 1%

Sunderland	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	13,718	10,467	+3,251	+ 31%
Violence against the person	3,818	2,845	+ 973	+ 34%
Robbery	58	53	+ 5	+ 10%
Sexual offences	375	293	+ 82	+ 28%
Vehicle crime	760	554	+ 206	+ 37%
Criminal damage	2,285	1,873	+ 412	+ 22%
Burglary	800	684	+ 116	+ 17%
Theft and handling	3,271	2,672	+ 599	+ 22%
Shoplifting	1,183	948	+ 235	+ 25%
Theft from the person	132	69	+ 63	+ 91%
Other theft and handling	1,792	1,511	+ 281	+ 19%
ASB	4,666	4,404	+ 262	+ 6%

South Tyneside	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	6,268	5,253	+1,015	+ 19%
Violence against the person	1,998	1,626	+ 372	+ 23%
Robbery	22	29	- 7	- 24%
Sexual offences	185	137	+ 48	+ 35%
Vehicle crime	277	266	+ 11	+ 4%
Criminal damage	1,092	1,035	+ 57	+ 6%
Burglary	278	316	- 38	- 12%
Theft and handling	1,311	1,083	+ 228	+ 21%
Shoplifting	532	450	+ 82	+ 18%
Theft from the person	49	23	+ 26	+109%
Other theft and handling	630	541	+ 89	+ 16%
ASB	2,339	2,461	- 122	- 5%

Gateshead	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	8,695	7,449	+1,246	+ 17%
Violence against the person	2,384	1,930	+ 454	+ 24%
Robbery	45	56	- 11	- 19%
Sexual offences	277	182	+ 95	+ 52%
Vehicle crime	489	456	+ 33	+ 7%
Criminal damage	1,489	1,421	+ 68	+ 5%
Burglary	556	481	+ 75	+ 16%
Theft and handling	2,042	1,867	+ 175	+ 9%
Shoplifting	901	892	+ 9	+ 1%
Theft from the person	83	40	+ 43	+106%
Other theft and handling	953	867	+ 86	+ 10%
ASB	3,120	3,202	- 82	- 3%

North Tyneside	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	7,899	6,749	+1,150	+ 17%
Violence against the person	2,375	1,933	+ 442	+ 23%
Robbery	30	22	+ 8	+ 35%
Sexual offences	227	183	+ 44	+ 24%
Vehicle crime	329	345	- 16	- 5%
Criminal damage	1,326	1,217	+ 109	+ 9%
Burglary	459	539	- 80	- 15%
Theft and handling	1,764	1,577	+ 187	+ 12%
Shoplifting	755	630	+ 125	+ 20%
Theft from the person	67	34	+ 33	+ 97%
Other theft and handling	820	741	+ 79	+ 11%
ASB	3,285	3,174	+ 111	+ 4%

Newcastle	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	16,955	14,026	+2,929	+ 21%
Violence against the person	4,577	3,501	+1,076	+ 31%
Robbery	110	134	- 24	- 18%
Sexual offences	504	413	+ 91	+ 22%
Vehicle crime	892	789	+ 103	+ 13%
Criminal damage	2,478	2,109	+ 369	+ 18%
Burglary	918	980	- 62	- 6%
Theft and handling	4,668	4,175	+ 493	+ 12%
Shoplifting	2,043	1,923	+ 120	+ 6%
Theft from the person	350	270	+ 80	+ 30%
Other theft and handling	1,825	1,664	+ 161	+ 10%
ASB	7,229	7,565	- 336	- 4%

Northumberland	2017-18	2016-17	Change compared to 2016-17 daily average	
Total crime	10,575	8,043	+2,532	+ 31%
Violence against the person	3,260	2,257	+1,003	+ 44%
Robbery	20	25	- 5	- 20%
Sexual offences	299	248	+ 51	+ 21%
Vehicle crime	557	477	+ 80	+ 17%
Criminal damage	1,939	1,674	+ 265	+ 16%
Burglary	849	727	+ 122	+ 17%
Theft and handling	2,096	1,654	+ 442	+ 27%
Shoplifting	742	605	+ 137	+ 23%
Theft from the person	61	35	+ 26	+ 73%
Other theft and handling	1,144	904	+ 240	+ 27%
ASB	4,592	4,735	- 143	- 3%

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

Police and Crime Plan Progress from April to August 2017



Domestic and Sexual Abuse

What will be achieved in 2017-21

- An overall better policing response and support services for victims with complex needs and those affected by domestic and sexual abuse.
- More confidence in the reporting of domestic and sexual abuse.
- More accurate recording of domestic and sexual abuse.
- A reduction in sexual and domestic abuse.

Increasing confidence to report and more accurate recording

Between April and August 2017, Northumbria Police responded to an average of 92 calls about domestic abuse each day, 43% of victims are identified as repeat victims. When surveyed, 94% of domestic abuse victims said they were satisfied with their experience of the police and 96% would call the police again.

Sexual offences have increased by 27% between April and August 2017 (rape crimes by 45%) when compared to the same period the previous year.

The increasing reports of both sexual and domestic abuse experienced in the Northumbria Police area has also occurred in the majority of police forces in England and Wales and can be attributed to improved recording practices and an increase in confidence to report, both current and historic abuse. Under Operation Verify, Northumbria Police closely monitor and improve compliance to National Crime Recording Standards (NCRS) and this continues to be managed in performance meetings. Between April to August 2017, compliance for sexual offences increased from 94% to 96%. Operation Verify continues to review all areas where a crime may be reported, including multi-agency meetings and safeguarding information. There are also internal reviews of how we respond to rape and domestic abuse to identify areas for improvement to ensure victims receive the most appropriate service.

A new definition for vulnerability has been defined and promoted across the force. The launch of safeguarding 'apps' on smartphones, used by frontline officers, to record safeguarding notifications has ensured vulnerability is identified quickly and information can be shared with agencies that can support vulnerable victims.

Operation Sanctuary, a widespread investigation in Child Sexual Exploitation, was launched in 2014 and has become the largest and most intricate series of operations the force has ever dealt with. It involved working closely with the voluntary sector and the local authority and has proven to be hugely successful in giving victims the confidence they need to step forward. In total, 782 victims came forward and 25 people were sentenced to over 300 years in prison for a range of offences including sexual abuse, inciting prostitution, witness intimidation and drug supply. A team of 50 officers have worked on this enquiry and continue to do so. Despite media criticism of some of the operational decisions made, the general public in the force area remain overwhelmingly supportive of the operation as evidenced by a recent public consultation carried out by the Public Insight Team.

Proud to serve

Proud of our people

Proud to improve

Proud to lead

Operation Sanctuary.



The force continues to raise awareness of domestic and sexual abuse through powerful internally developed campaigns, continued partnership working and the use of third party reporting centres.

An overall better policing response and support services for victims with complex needs and those affected by domestic and sexual abuse

Investment in technology aims to further improve the policing response and victim experience including the purchase of over 400 Body Worn Video (BWV). BWVs are used to capture evidence and in some circumstances can be used in support of a victimless prosecution, which takes away the burden often placed on the victim to attend court. Other technology such as personal safety alarms and CCTV provide reassurance and protective measures to victims. Crime prevention officers and partner organisations provide further safeguarding measures at the victim's home address including new doors, locks and security devices.

In order to end the abuse suffered by victims there is a need to target the perpetrator. The Multi Agency Tasking and Co-ordinating Conference (MATAC) process determines the most harmful domestic abuse perpetrators. Four-weekly MATAC meetings target identified perpetrators and manage and track partnership actions. The MATAC process has managed 326 perpetrators since November 2015. After being discharged, average monthly offences decreased from 0.7 to 0.3. An evaluation of MATAC has been finalised.

The force is committed to innovating and transforming to better meet the needs of victims, to hold perpetrators to account and to increase feelings of safety. As more is known about these crimes and more victims have the confidence to report, we need to transform to meet current and future demand. As part of the Safeguarding project a new delivery model has been developed, which includes prevention and early action, the creation of a Multi-Agency Safeguarding Hub (MASH) in each local authority area, with specialist staff to deal with domestic and sexual abuse, protecting vulnerable people and new emerging crimes such as modern day slavery.

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

The project is also reviewing the way we approach domestic abuse including improving how we identify and respond to Adolescent to Parent Violence and Abuse (APVA) and to victims of domestic abuse from minority groups including LGBT and age minority groups.

In July 2017, HM Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) published Living in Fear a review of how police and CPS respond to stalking. As a result, Northumbria Police has developed an action plan to improve recording and response to stalking and harassment; this includes a review of harassment crimes. The domestic abuse survey has been revised to focus on the victims' views of case outcomes and any experiences of coercive control and how the police responded to it.

The Office of the Police and Crime Commissioner was successful in receiving VAWG funding to undertake an 18 month pilot of a cyber-stalking team managed by Northumbria Police Safeguarding Department. This project is due to commence in October 2017 and will focus on the Sunderland area.

A reduction in domestic and sexual abuse

Northumbria Police is dedicated to reducing abuse for example; it is using creative techniques to identify more effective ways of risk assessing those who cause the most harm. Polygraph and EyeDetect are deception detection tools, the project is underway and early findings indicate the use of Polygraph has not only enabled officers to better risk assess offenders, it has also enabled officers to gain disclosures, which has resulted in the safeguarding of children and the prevention of offending.

Northumbria Police has also developed a victim focused response to supporting those involved in sex work. The evaluation of the project has begun and early results show there is an increased understanding of sexual exploitation and sex work, an increase in trust and confidence of those involved and more people being supported to exit.

Putting Victims First

What will be achieved in 2017-21

- Improved victim satisfaction and police response.
- Victims are supported to cope and recover from their experience of crime.
- The most vulnerable victims are recognised and receive an enhanced service.

Improved victim satisfaction and police response

A Customer Services Project is underway to improve and enhance the way Northumbria Police delivers services and creates a service culture that embeds the Proud to Protect values. It aims to improve customer experience and enhance our ability to deliver effective engagement. This will be achieved by enhancing services to meet public need, getting it right first time and developing an effective service recovery and complaints management approach to increase customer satisfaction.

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

The way communities engage and communicate is changing and there is a need to develop creative communication channels to provide relevant information, accessible contact points, timely feedback, success stories for reassurance and maximise the way we use technology. A recent example of project success includes Web Chat, which went live on 18th September 2017. Web Chat is available through the external website and allows members of the public to speak directly with an operator within the Communications Department at a time and place that is convenient for them. Another example, 'Your Northumbria' went live in June 2017, which is a community messaging tool that allows officers and staff to engage directly with targeted community groups to provide information and reassurance.

A new front office model has been implemented with a refreshed approach to service provision, with an increased emphasis on providing greater customer service to the public when engaging via the front office. The new front office model better reflects the needs and changing demand of the community and has been introduced as a result of identifying significant periods of low or no demand at key times and locations.

Within the communications centres, a greater emphasis has been placed on using the THRIVE (Threat, Harm, Risk, Intelligence, Vulnerability, Engagement) decision model when the public contact us. This is providing the ability for call handlers to rapidly identify those who are most vulnerable, so that their need for support can be identified at their first point of contact and prioritised accordingly.

Northumbria Police followed the national trend where forces experienced significant increases in emergency and non-emergency call demand, which increased in July to highest recorded levels (data available from 2011). During these high demand times, call performance for both emergency and non-emergency calls reduced and continues to be closely monitored in performance meetings. Actions to manage demand include a review of demand, the recruitment of new call handlers, the development of a temporary customer service desk; the reduction of non-emergency demand by utilising the Response Without Deployment (RWD) team and a plan to reduce secondary and internal demand via continuous improvement and training.

In October 2017, a new Specialist Department Schedule will be introduced to allow staff from both the Rape Investigation Team (RIT) and Child and Vulnerable Adult (CAVA) team to be deployed to historical reports of rape and child abuse offences from the outset. The aim of this initiative is to ensure that victims get the best possible quality of service and a specialist investigator at the earliest point of report. There are plans to review the approach at an early stage to ensure the outcomes and benefits are understood.

What has been achieved to date: Victims are supported to cope and recover from their experience of crime. The most vulnerable victims are recognised and receive an enhanced service

Victims First Northumbria (VFN) is a bespoke victim service. It is an innovative service which provides a 'one-stop shop' for victims to cope and recover. They provide specific high quality support dependent on the needs of the individual, co-ordinating contact and interventions. Between April and August, 5,575 victims have been supported (16,556 in 2016/17).

Proud to serve

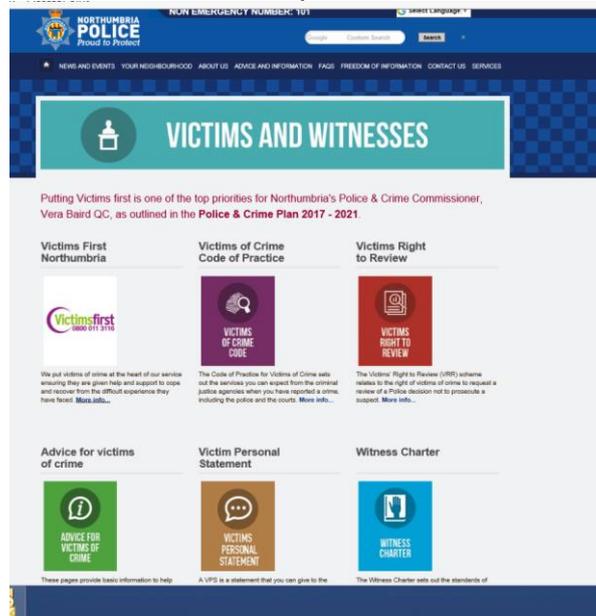
Proud of our people

Proud to improve

Proud to lead

In August 2017, 81% of victims received a victim's needs assessment, which had reduced from 83% compared to last year. In order to increase the number of referrals, Northumbria Police launched an internal campaign to promote Victims First Northumbria to frontline staff. In addition, in order to increase engagement from victims and raise awareness about the range of specialist support available, a short video was attached to the crime recording app which officers use when completing a victim needs assessment. This ensures that the victim and the reporting officer can correctly identify the cope and recovery needs of the victim.

In September, a new Victims and Witnesses webpage was launched; it is easy to navigate, with links to the Victims' Code of Practice, advice on Victims Right to Review, Victims First Northumbria and useful information on crime prevention, as well as helpline numbers.



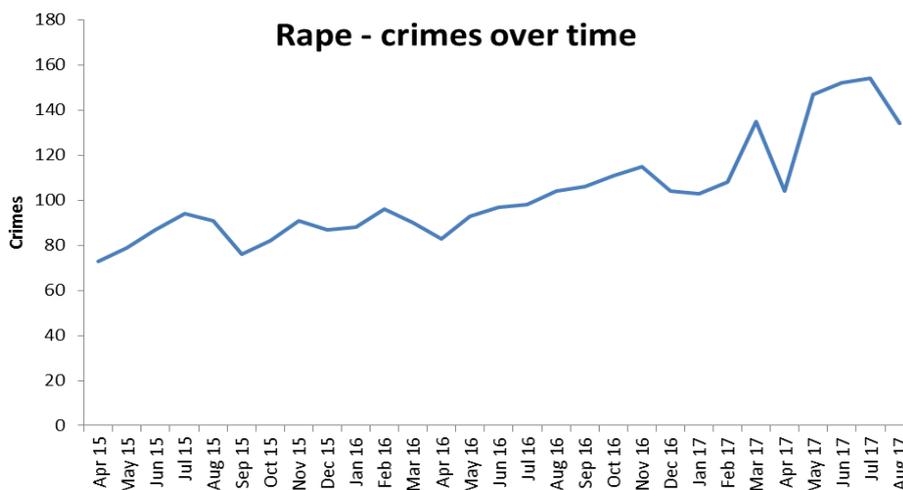
Effective Criminal Justice System

What will be achieved in 2017-21

- Improved reporting and recording of rape, sexual offences and domestic abuse. (see domestic abuse and sexual abuse section).
- Increased charge and conviction rates for cases of rape, sexual offences and domestic abuse.
- Increased number of guilty pleas at first hearing.
- Prevention of first time and repeat offending.

Improved reporting and recording of rape, sexual offences and domestic abuse

There has been a range of activity to increase the reporting and recording of these offences. This can be seen clearly in chart below, which shows the increase of recorded rape crimes over time. There was a 45% increase in recorded rape offences between April and August 2017 compared to the same period last year.



Increased charge and conviction rates for cases of rape, sexual offences and domestic abuse

Between April and August 2017, the charge and conviction rate for rape reduced. The charge rate for rape is 9% and the conviction rate is 48%. There are a range of activities led by both Safeguarding and the Criminal Justice Department to understand how both charge and conviction rate can be improved. This includes:

- The development of a specialist and experienced gatekeeper role to improve the quality of files before they are sent to the CPS to reduce the delay caused when files are returned. In August there was an increase from one gatekeeper to three to reduce which significantly reduced backlogs.
- There has been a desktop review of rape cases to identify causes for delays and a reduction in charge, the findings are in the process of being finalised and will drive a Rape Action Plan.

- Attendance by Northumbria Police and The Crown Prosecution Service (CPS) to observe Plea and Trial Preparation Hearing (PTPH) court sessions at Newcastle Crown Court for rape cases. The principal themes identified are being considered by the LCJB.
- Detailed 'Adverse Outcome' reports are now being prepared by the CPS and are made available quarterly. The reports are discussed at regular meetings between CPS, Safeguarding and Criminal Justice managers to identify areas for improvement.
- LCJB members are working on improving the speed with which cases progress to court.

There is a slight improvement in guilty pleas at first hearing to 64% from 63% in 2016/17, information would suggest that the use of remote evidence suites increases the likelihood of victims to be available at court, which in turn increases the number of guilty pleas at first hearing, as defendants may rely on a victim not attending court.

A Digital Investigations and Intelligence Project has standardised digital evidence suites across the force. This has resulted in the Digital Forensics Unit (DFU) backlog reducing from 14 months to five months in August 2017. A new case management system has been purchased and implemented.

Remote Evidence Links are now well utilised with positive cases being seen, expansion into two further sites will be completed in September 2017, resulting in wider coverage across the force. Work has begun on procurement of equipment to support the improvement of force-wide ABE (Achieving Best Evidence) facilities and the move from suspect audio interviews to video interviews.

Implementation of the digital data media repository (DMR) in June 2017 enabled officers to upload and store digital evidence electronically. This will also be accessible to staff within the CJU and subsequently to CPS via a secure URL providing significant efficiency across the Criminal Justice Service (CJS). Phase 2 of the DMR (transfer of media to CPS) is in progress and has been subject to delay due to changes requested by the CPS.

Prevention of first time and repeat offending

There is a need to address offending behaviour for lower level volume offences. Intervening early is key to reduce the risk of future offending by changing attitudes and aid understanding the impact their actions have on victims. Northumbria Police is the first force to pilot a new programme of work aimed at first time and/or low level offenders. These pathways are unique; nowhere else in the country are there this range of options which can be used without a prosecution and subsequent court order. By adopting these outcomes for volume offences, it places the victim at the heart of the conversation, addressing offending behaviour and providing an improved victim satisfaction.

These pathways have been developed over time, working closely with statutory bodies, local and national organisations and charities to develop each option. The cost of this pilot has been minimal; in all but one of the pathways the providers are meeting the costs as the potential benefits fit the ethos of their own organisation. The pathways are:

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

- Women's pathway – It is acknowledged that female offenders often have additional needs such as being victims of domestic abuse. This pathway offers support and provides a bespoke service for female offenders.
- Veterans pathway – There are specialist services available to support veterans who may be dealing with a range of health and employment circumstances that may be a causal factor in their offending. This work is undertaken by Project Nova (Walking with the Wounded) and includes a mandatory referral for military veterans for assessment and support.
- ABC (Alcohol Behaviour Change) – Undertaken by Lifeline designed to illustrate impact of offender actions when under influence of alcohol.
- Drugs/Alcohol triage – There are providers in each local authority area, it includes a mandated appointment and referral designed to address systematic, habitual issues with substance misuse which lead to offending.
- V-Aware – Ran by Victims First Northumbria – A new programme designed to demonstrate to offenders the impact of their actions on victims. This hard-hitting session should challenge offender perceptions.
- Unpaid work – this is overseen by Northumbria Community Rehabilitation Company (CRC), as part of their existing work schemes. This is truly ground-breaking, popular with victims and provides reparative resolutions. This is only available in Northumbria as a direct result of a community remedy outcome outside of a court environment.

Currently, of the cases that are charged and go to court, many first time or low level offender cases do not access interventions which address the causes of offending. The training of officers is underway and the evaluation plan for the project is currently being developed and will be evaluated independently and monitored regularly through performance meetings.

Reducing Anti-Social Behaviour (ASB)

What will be achieved in 2017-21

- Fewer victims of ASB – though we will continue to encourage reporting.
- Improved satisfaction for victims of ASB.
- Those most vulnerable will receive a service that better meets their needs.
- Action will be taken against offenders.

There is a strong commitment within Northumbria Police to identify and address issues which affect the community. ASB has reduced slightly from an average of 167 reports a day in April to August compared to 165 for the same time period last year; however, the number of repeat victims who have suffered a subsequent incident (of any category of ASB or crime) has increased from 24% to 30%. Of victims surveyed, 97% of ASB victims are confident to report further incidents to the police again.

Research undertaken in September has shown the increased repeat rate is due to improved recording and improvements in processes, rather than an increase in the number of actual repeat victims. The process improvements include:

- Better crime recording standards have resulted in more ASB incidents correctly recorded as a crime, leading to a review by the neighbourhood team and the completion of victim needs assessments. In turn this can lead to a harm reduction or problem solving plan to address the root causes of the crime and ASB experienced.
- In March 2017, a schedule system was launched to enhance the service delivered to those who are subjected to ASB. NPT now make initial contact and resolve incidents utilising their local knowledge and tactics to identify early problem solving opportunities. Initial findings from the evaluation have shown the project has benefited ASB victims.
- Neighbourhood teams have further improved governance where medium risk victims of ASB are managed by NPT Sergeants and high risk victims are managed by NPT Inspectors with further oversight by a local tasking process.

Neighbourhood teams work in partnership with communities and agencies to solve issues affecting the community. Embedding a problem solving approach has been a key focus. An event held in August identified examples of problem solving which demonstrated our desire to solve problems and deliver long term sustainable solutions. A panel of subject matter experts were extremely impressed at the creative approaches. Part of the day was aimed at sharing best practice so that as an organisation we can learn from the experiences of others in terms of designing future responses based upon 'what works' and best practice. The force will be holding a multi-agency problem solving event on 29th September 2017 where some of the problem solving initiatives will be showcased. This will provide another opportunity to share best practice and promote partnership working.

A review of Neighbourhood Policing, which will seek to enhance service delivery to the public by examining existing working practices. The Neighbourhood Policing Model will focus on accessibility and commitment to safeguarding vulnerable people, collaborative problem solving, engagement, targeted crime prevention and visible patrols. The effective

engagement with new and emerging communities is underpinned by the recently developed Engagement Strategy.

What will be achieved in 2017-21

- Improved police and partnership response to specific crimes.
- Specific intervention and response to alcohol related crime and disorder.
- Safer night-time economy.
- Fewer offenders, specifically those who cause the most harm to victims.
- Cut drug use and the crime that is a consequence.

Total crime has increased by 23% compared to the same period last year; the majority of the increase continues to be attributed to improvements in crime recording and community confidence to report previously underreported crimes, such as sexual offences. Following a national inspection of crime recording in 2014, HMICFRS have inspected 14 forces and found that Northumbria record 93% of crimes reported; the 2nd highest crime recording rate. Analysis indicates that there are actual increases in certain crime types such as theft and sexual offences.

Hate Crime

Hate crime has increased, in line with national trends and can be attributed to improved NCRS compliance and as a result of high profile events such as the EU referendum. A more recent increase occurred following the Manchester and London terrorist attacks this year. To further identify crime patterns and emerging trends weekly updates are provided to the National Community Tensions Team (NCTT). This is circulated nationally, providing comparisons and identifying trends which may impact locally on communities.

In 2016-17, the Force was ranked 1st nationally for the overall satisfaction of BME victims, many of whom had experienced hate crime. This is the last national data published on victim satisfaction; from April 2017 forces are not required to submit data to the Home Office, but are encouraged to monitor their own victim satisfaction levels.

There is clear governance and leadership around hate crime and a strong desire at an executive and operational level to tackle all forms of hate crime and engage with different communities.

The Hate Crime Strategy Group oversees all activity to tackle hate crime. Community Engagement Teams and Neighbourhood Teams are involved in numerous projects and community groups to build trust and confidence. Northumbria Police is utilising new methods to engage with these communities such as 'Your Northumbria'. Educational tools such as Safetyworks have been utilised to educate young people about hate crime and its impact.

In June 2017, the number of LGBT liaison officers increased from 30 to 70. This was in response to public insight which identified that those in the LGBT community had a fear of not being taken seriously when reporting hate crime, fear of discrimination and a lack of trust that Police would fail to protect their privacy. One of the outcomes of the insight was to increase the number of LGBT liaison officers to help improve confidence. To support

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

staff in their roles training will be routinely delivered to improve their knowledge and understanding of issues affecting the LGBT community which includes domestic abuse in LGBT relationships training.

We continue to publicise the force campaign 'Being you is not a crime. Targeting you is'. A hate crime conference will be held in October 2017 as part of activities in Hate Crime Awareness Week.

Cybercrime and Fraud

Northumbria Police is improving how it responds to victims of fraud under Operation Signature. The improvements will ensure focus is given to vulnerable victims who report via Action Fraud in ensuring their needs are assessed and addressed, as well as developing intelligence to prevent further crime. A training package is being developed for the staff allocated to visit those victims identified as vulnerable.

Tackling Serious and Organised Crime

Northumbria Police is committed to tackling and reducing serious and organised crime. A key objective is to identify and divert those at risk of being drawn into it.

A series of options is being developed to deliver diversionary approaches, carrying out early intervention and education in order to prevent any escalation into crime of young people identified within or on the periphery of organised crime groups including:

- Early engagement in schools to discourage young people from being drawn into committing Serious and Organised Crime.
- NPTs identifying and communicating with new and emerging communities to help reduce any identified vulnerability to Serious and Organised Crime.

Early intervention Pilots

Whilst multi-agency Early Help Hubs are well-established in the Northumbria Police area, there has been a recognition that the current operating model and exchange of intelligence could be developed further to support early intervention for families with complex needs, particularly those on the periphery who have not always benefited from the 'whole family' approach. A six-month pilot is scheduled to commence in October 2017 in Northumberland and Sunderland, where a neighbourhood resource will be allocated to each Early Help Hub to facilitate greater interaction and enhanced exchange of intelligence between the police and partners, shifting the focus of provision from a reactive to a preventative service.

Tackling Exploitation and Modern Day Slavery

Modern slavery is an umbrella term encompassing slavery, servitude, forced or compulsory labour and human trafficking. Victims of modern slavery are unable to leave their situation of exploitation, controlled by threats, punishment, violence, coercion and deception. As this

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

is a new emerging area, a problem profile has been commissioned and will be produced by the Intelligence Unit by March 2018.

Operation Cluster was a complex investigation into offences of Human Trafficking and Modern Slavery. The investigation has revealed a large complex network, to date, nine people have been charged with trafficking, slavery and controlling prostitution offences.

Operation Caspian was a multi-agency investigation into human trafficking and modern day slavery. Nine people were charged with offences including: hold person in slavery or servitude; conspiracy to require person to perform forced or compulsory labour; conspiracy to traffick people within the UK for exploitation and fraud by false representation. The investigation received an accolade from the Independent Anti-Slavery Commissioner.

In July 2017, 14 people were arrested under Operation Kestrel which saw Northumbria, Durham and Cleveland Police work with a range of agencies to target foreign criminals and immigration offenders as well as safeguarding those at risk of being targeted by human traffickers.

Operation Kestrel is the first operation of its kind to target foreign national offenders and also UK criminals who take advantage of vulnerable people coming to the UK. In June 2017, Northumbria Police held a multi-agency Modern Day Slavery (MDS) conference to raise awareness, share good practice and to share lessons learned around operational activity. There has been a range of internal training and there are future plans to continue to share learning and provide training to other agencies, businesses and the wider community.

Effective Road Policing

Northumbria Police target the 'fatal 4', speed, mobile phones, alcohol/drugs and seatbelts; focusing on education and prevention including promoting safety messages on social media as well as enforcement. Surveys completed with residents show the use of mobile phones whilst driving and speeding to be a concern to the general public.

Northumbria Police work in partnership with local authorities and other agencies to develop problem solving initiatives e.g. 'think, speed, signage' and identifying solutions to road safety issues e.g. traffic calming measures. Through data analysis, locations are identified to target patrols and to reduce road casualties, for example rural Northumberland was identified as an area to target for motorcycle anti-social behaviour.

There are various education events including courses for the motorcyclist "Cornering Clinic" and 'Biker Down'. In addition, engagement is undertaken with different road user groups such as cyclists and older motorists to promote road safety messages and ensure compliance.

Operation Dragoon ensures there is robust targeting of dangerous and anti-social drivers, leading to substantial custodial sentences and lengthy driving disqualifications. The Camera Enforcement Units are deployed at locations identified as high risk for collisions and road traffic offences. This incorporates mobile phone and seatbelt offending.

Night Time Economy

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

Northumbria Police work with a range of agencies and volunteers to ensure a safe Night Time Economy (NTE including the North East Ambulance Service, Street Pastors and street/taxi marshals). Vulnerability training is being rolled out to takeaways and promoters alongside refresher training to all those establishments who received it previously. Survey data shows 90% of residents who use the NTE feel safe and 88% believe the police do a good job in keeping it safe.

As a responsible authority, Northumbria Police work closely with license holders. Recent consultation has allowed engagement with promoters in the city, who are currently not regulated by legislation to build relationships improving understanding of demand.

In 2017, approximately 16,500 students arrived in their first year. Northumbria Police has conducted welcome talks regarding vulnerability, crime prevention, and sexual consent. There has been full engagement with the universities' Fresher's programme organisers to ensure responsible events in the NTE. Northumbria Police works closely with university security staff, including operations designed to protect the most vulnerable such as, a funded taxi service and wristband identification of students to assist in people returning home safely.

Following terror attacks in Manchester and London, all NTE plans were reviewed to ensure that deployments adequately protect the crowded areas of the city. All hotels, door staff and NTE partners have received North East Counter Terror Unit training to ensure all agencies and partners understand expectations should such an incident occur in Newcastle.

Proud
to serve

Proud
of our
people

Proud to
improve

Proud
to lead

Community Confidence

What will be achieved in 2017-21

- Improved satisfaction with the services that Northumbria Police and key community safety and criminal justice partners provide.
- More people connecting with the police to report local concerns and crimes and reporting confidence in the police response.
- Awareness that the PCC is always available to hear views and suggestions and will scrutinise fearlessly on the public's behalf.

The community are surveyed jointly by the police and local council about community safety issues. Results show that 98% feel safe in their local area, and perceptions of crime and anti-social behaviour remain low. Confidence in the police is high, with 86% agreeing that the police do a good job. Perceptions of police visibility continue to fall, with some members of the public commenting on the reduction in resources. However, the view of most people is that police patrols would be reassuring or act as a deterrent as opposed to the need for any crime or anti-social behaviour response. Perceived youth ASB and environmental issues continue to be the top concerns within local neighbourhoods. Other local concerns include speeding and the use mobile phones whilst driving.

New rape and sexual assault and repeat victim surveys are in development and results will be available early 2018. These will be used to provide further insights into the experience of vulnerable victims and identify areas for improvement in service delivery.

During 2017/18, 99% of investigating officers made contact with complainants within 24 hours of the complaint being registered. 53% of complaints have been finalised within 50 days. The number of allegations relating to incivility, impoliteness or intolerance has reduced to a rate of 17 per month compared to 2016/17 (20 per month). The percentage of appeals made has increased from 13% in 2016/17 to 18%. However, there has been a reduction in the percentage of appeals upheld overall (20% compared to 21% for 2016/17). Appeals considered by the IPCC have a higher upheld rate for those complaints investigated; however, the rate of upheld appeals has reduced from 39% in 2016/17 to 31% for 2017/18 YTD.

This page is intentionally left blank



VERA BAIRD^{QC}
POLICE & CRIME COMMISSIONER

POLICE AND CRIME PANEL

24th October 2017

REPORT OF THE CHIEF EXECUTIVE AND MONITORING OFFICER

**COMPLAINTS AGAINST THE POLICE AND CRIME COMMISSIONER –
QUARTERLY REPORT TO SEPTEMBER 2017**

1. Purpose of the Report

1.1 To provide the Police and Crime Panel with information about the complaints and purported complaints received and every conduct matter recorded by the Monitoring Officer since November 2012.

2. Background

1.2 The Police and Crime Panel has the statutory role of overseeing all complaints against the PCC and informally resolving non-criminal complaints, as well as criminal complaints or conduct matters that are referred back to the Panel by the Independent Police Complaints Commission (IPCC).

2.2 The Elected Local Policing Bodies (Complaints and Misconduct) Regulations 2012 (the Regulations) make provision regarding the Panel's powers and duties in regard to complaints made about the conduct of the PCC. The aim of the complaints system is to deliver resolution as quickly and effectively as possible for the majority of complainants through local resolution.

2.3 In accordance with the Regulations, the Panel is required to maintain suitable arrangements for handling complaints, recording conduct matters where there is an indication that the PCC may have committed a criminal offence and prescribing the manner in which any complaints alleging conduct which constitutes or involves, or appears to constitute or involve, the commission of a criminal offence and conduct matters are handled.

2.4 A procedure for dealing with complaints against the PCC was approved by panel members in November 2012 appointing the Chief Executive of the Office of the Police and Crime Commissioner as the Monitoring Officer

2.5 In respect of record keeping the panel agreed in this procedure that the Monitoring Officer will keep records of: every complaint and purported complaint received and every conduct matter recorded by the Monitoring Officer. In addition the Monitoring Officer is to report, on a regular basis, the summary details (such as can be reported in public), on the exercise of any and all of these functions to the Police and Crime Panel for monitoring purposes. In this instance there have been no complaints received between July 2017 and September 2017.

This page is intentionally left blank

STATEMENTS OF ACCOUNT 2016/17 AND THE EXTERNAL AUDITORS CONCLUSIONS

REPORT: JOINT CHIEF FINANCE OFFICER

1. PURPOSE

- 1.1 The Statements of Account are one of the key governance documents published each year. This report provides an update to the Panel on the audit, authorisation and publication of those Statements.
- 1.2 The report confirms that the external auditors (Mazars) have issued an unqualified opinion, without modification, on the Statements of Account for both the Police and Crime Commissioner and Chief Constable for Northumbria. The unqualified Value for Money conclusion also confirms that both authorities have made proper arrangements to secure economy, efficiency and effectiveness in their use of resources.

2. BACKGROUND

- 2.1 A report to the Panel on 01 August 2017 set out the requirements for the publication of the draft statements 2016/17, public scrutiny and the audit process. The report also included notable items within the Statements of Account 2016/17, high level analysis of budget performance and the financial outturn subject to audit.
- 2.2 Only minor changes were made to the draft Statements of Account, primarily disclosure and narrative in nature, with only minor numeric changes to the 'Officer Remuneration' note. None of the amendments resulted in changes to the primary statements or the level of resources available to the Police and Crime Commissioner.
- 2.3 In addition, following the issue of a Home Office circular on 07 September 2017 the Police Pension Fund statement has been amended to breakdown the 'Contribution Receivable from Employer' line. The contribution is now separated into 'Normal' contributions and 'Additional funding payable by the policing body to meet the deficit for the year'. This was discussed with the external auditor and is only disclosure in nature.
- 2.4 The audit completion reports attached set out the main findings of the work of the auditor, the unqualified opinion on the financial statements, the Value for Money conclusion and other comments. The reports can be found in Appendix

- 1 and 2. There were no outstanding matters or recommendations contained within the reports.
- 2.5 The Joint Independent Audit Committee considered and recommended the Statements and the Audit Completion reports at their meeting of 18 September 2017.
- 2.6 The Police and Crime Commissioner, Chief Constable and the Chief Finance Officer signed the accounts on 19 September 2017 and the auditor certified them as completed on 19 September 2017.
- 2.7 The Statements were published on the Police and Crime Commissioner's and Chief Constable's websites on 29 September 2017.
- 2.8 The Notice of Conclusion of the Audit was also published on 29 September 2017 on the Police and Crime Commissioner's and Chief Constable's websites.
- 2.9 The Statement of Accounts can be found at the following 'quick' links:

PCC - [PCC 2016/17 Statement of Accounts](#)
Chief Constable - [CC 2016/17 Statements of Account](#)

3 CHANGES SINCE THE DRAFT ACCOUNTS

- 3.1 The detailed audit completion reports from Mazars are attached to this report, there were no adjustments or recommendations to be applied to the final statements following the issue of these reports.

4. Recommendations

- 4.1 To note the report.

Appendix 1 – Chief Constable Audit Completion Report
Appendix 2 – Police & Crime Commissioner Audit Completion Report

Audit Completion Report

Chief Constable for Northumbria



For the year ended 31 March 2017



Contents

1. Executive summary	3
2. Significant findings	5
3. Internal control recommendations.....	7
4. Value for Money Conclusion.....	8
Appendix A – Summary of misstatements.....	12
Appendix B – Draft management representation letter.....	13
Appendix C – Draft audit report.....	17
Appendix D – Independence.....	20

Our reports are prepared in the context of the 'Statement of responsibilities of auditors and audited bodies' and the 'Terms of Appointment' issued by Public Sector Audit Appointments Limited. Reports and letters prepared by appointed auditors and addressed to the Chief Constable are prepared for the sole use of the Chief Constable and we take no responsibility to any member or officer in their individual capacity or to any third party.

Mazars LLP is the UK firm of Mazars, an international advisory and accountancy group. Mazars LLP is registered by the Institute of Chartered Accountants in England and Wales.

1. Executive summary

Purpose of this report

The Audit Completion Report sets out the findings of our audit of the Chief Constable for Northumbria ('the Chief Constable') for the year ended 31 March 2017, and forms the basis for discussion at the Joint Independent Audit Committee meeting on 18 September 2017 before being presented to the Joint Meeting on 19 September 2017.

The scope of our work and overall summary

The detailed scope of our work as your appointed auditor for 2016/17 is set out in the National Audit Office's (NAO) Code of Audit Practice. Our responsibilities and powers are derived from the Local Audit and Accountability Act 2014 and include the matters outlined in the following table.

Financial statements	<p>In our Audit Strategy Memorandum we reported that materiality for the financial statements as a whole was set at £6.359 million. We have updated our assessment as part of our continuous planning processes and have set materiality at £6.101 million. Our clearly trivial threshold for reporting matters to you has been set at £183k.</p> <p>We communicated identified significant risks to you as part of our Audit Strategy Memorandum in February 2017. Section 2 of this report outlines the work we have undertaken, and the conclusions we have reached, for each significant risk.</p> <p>At the time of issuing this report, and subject to the satisfactory conclusion of the remaining audit work, we anticipate issuing an unqualified opinion, without modification, on the financial statements. Our draft auditor's report is provided in Appendix C.</p>
Identified misstatements	<p>Our work did not identify any misstatements that needed to be adjusted by management. A summary of the identified disclosure issues is provided in Appendix A.</p>
Value for Money	<p>At the time of issuing this report, and subject to the satisfactory conclusion of the remaining audit work, we anticipate having no matters to report in respect of the Chief Constable's arrangements to secure economy, efficiency and effectiveness in its use of resources. Our draft auditor's report is provided in Appendix C.</p>

The status of our work

We have substantially completed our audit in respect of the financial statements for the year ended 31 March 2017.

At the time of preparing this report, the following matter remains outstanding:

Area outstanding	Work to be completed
Closure procedures	We will complete our standard closure procedures, including review of the amended financial statements and consideration of post balance sheet events.

2. Significant findings

This section sets out the significant findings from our audit and provides information on a number of matters that we are required to report to you by ISA 260 'Communication with those charged with governance'.

Significant risks

As part of our planning procedures we considered the risks of material misstatement in the Chief Constable's financial statements that required special audit consideration. Although we report identified significant risks at the planning stage of the audit in our Audit Strategy Memorandum, our risk assessment is a continuous process and we regularly consider whether new significant risks have arisen and how we will mitigate these risks. No new risks have been identified since we issued our Audit Strategy Memorandum. The significant risks identified, and our conclusions against each are outlined below.

Significant risk	How we addressed the risk	Audit conclusion
<p>Management override of control</p> <p>In all entities, management at various levels within an organisation are in a unique position to perpetrate fraud because of their ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Due to the unpredictable way in which such overrides could occur, we consider there to be a risk of material misstatement due to fraud and thus a significant risk on all audits.</p>	<p>We addressed this risk through performing audit work over:</p> <ul style="list-style-type: none"> • accounting estimates impacting amounts included in the financial statements; • consideration of identified significant transactions outside the normal course of business; and • journals recorded in the general ledger and other adjustments made in preparation of the financial statements. 	<p>Our work has provided the assurance we sought and has not highlighted any material issues to bring to your attention.</p>
<p>Pension costs and pensions liability</p> <p>The financial statements contain material pension entries in respect of retirement benefits. The calculation of these pension figures, both assets and liabilities, can be subject to significant volatility and includes estimates based upon a complex interaction of actuarial assumptions. This results in an increased risk of material misstatement.</p>	<p>We discussed with key contacts significant changes to the pensions estimates prior to the preparation of the final accounts.</p> <p>In addition to our standard programme of work in this area, we:</p> <ul style="list-style-type: none"> • evaluated the management controls you had in place to assess the reasonableness of the figures provided by the actuaries; and • considered the reasonableness of the actuaries outputs, referring to an expert's report on all 	<p>Our work has provided the assurance we sought and has not highlighted any material issues to bring to your attention.</p>

	actuarial nationally which is commissioned annually by the National Audit Office.	
--	---	--

Qualitative aspects of the Chief Constable's accounting practices

We are required to communicate to you our views on the significant qualitative aspects of the Chief Constable's accounting practices, including the accounting policies used and the quality of disclosures.

Qualitative aspect	Our views
Accounting policies and disclosures	<p>We have reviewed the Chief Constable's accounting policies and disclosures and found these to be in line with the requirements of the Code of Practice on Local Authority Accounting (the Code).</p> <p>In line with our expectations, there have been no significant changes to accounting policies for the year ended 31 March 2017.</p>
Quality of the draft financial statements	<p>We received draft financial statements from management on the deadline of 30 June 2017 and the accounts were of a good standard.</p>
Quality of supporting working papers	<p>Producing high-quality working papers is as crucial part of compiling financial statements that are complete and materially accurate. They also support the delivery of an efficient audit.</p> <p>The finance team has worked closely with us to provide high quality working papers which has enabled the audit to progress smoothly.</p>

3. Internal control recommendations

The purpose of our audit is to express an opinion on the financial statements. As part of our audit we have considered the internal controls in place that are relevant to the preparation of the financial statements. We do this to design audit procedures that allow us to express an opinion on the financial statements; this does not extend to expressing an opinion on the effectiveness of internal control or to identify any significant deficiencies in their design or operation.

The matters reported are limited to those deficiencies and other control recommendations that we have identified during our normal audit procedures and that we consider to be of sufficient importance to merit being reported. If we had performed more extensive procedures on internal control we might have identified more deficiencies to be reported or concluded that some of the reported deficiencies need not in fact have been reported. Our comments should not be regarded as a comprehensive record of all deficiencies that may exist or improvements that could be made.

Our findings and recommendations are set out below.

We have not identified any significant deficiencies as a result of our work this year.

Follow up of previous internal control points.

We did not raise any internal control points in 2015/16

4. Value for Money Conclusion

Our approach to Value for Money

We are required to form a conclusion as to whether the Chief Constable for Northumbria (the Chief Constable) has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The NAO issues guidance to auditors that underpins the work we are required to carry out in order to form our conclusion, and sets out the criterion and sub-criteria that we are required to consider.

The overall criterion is that, 'in all significant respects, the Chief Constable had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.' To assist auditors in reaching a conclusion on this overall criterion, the following sub-criteria are set out by the NAO:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

Significant Value for Money risks

The NAO's guidance requires us to carry out work to identify whether or not a risk to the Value for Money conclusion exists. Risk, in the context of our work, is the risk that we come to an incorrect conclusion rather than the risk of the arrangements in place at the Chief Constable being inadequate. We did not identify any significant risks at the planning stage of our audit, and as such did not report any in our Audit Strategy Memorandum. We have kept this under review throughout our audit and are satisfied that there are no significant risks apparent in respect of VFM.

Commentary against each of the sub-criteria, and an indication of whether arrangements are in place, is provided below.

Sub-criteria	Commentary	Arrangements in place?
Informed decision making	<ul style="list-style-type: none"> • The Police and Crime Panel (hosted by Gateshead Council and independent of both the Chief Constable and PCC) meet six times per year and hold the PCC to account. • An experienced Chief Constable and PCC's management team has been in place for a number of years. • There is a Joint Independent Audit Committee (JIAC) in place which meets four times per year. Standing items on the agenda include progress reports by both Internal and External Audit along with Strategic Risk Management updates. • There is regular reporting to the Chief Constable and PCC of both performance and financial information. 	Yes

	<ul style="list-style-type: none"> • There is a Police and Crime Plan in place for the period 2017 to 2021. The purpose, vision, values, priorities and strategic objectives of the PCC are developed in consultation with the Chief Constable. In turn, the Chief Constable draws the Policing Plan, for which he is responsible, from the Police and Crime Plan. • There is a Governance Framework available on the website, which is applicable to both the Chief Constable and PCC. • Performance is monitored through a robust framework based around the Chief Constable's Delivery Plan. • The PCC attends the Force's Strategic Management Board to scrutinise progress. In addition, Joint Business Meetings that are held every 2 weeks. • An updated Medium Term Financial Strategy (MTFS), covering the period 2017/18 to 2020/21, was approved by the PCC on 23 February 2017. In addition, the MTFS is clearly linked to the Police and Crime Plan. • Force financial position and MTFS update presented to senior managers at meeting of Commanders on 12 July 2017. • An up to date risk register and risk management arrangements are in place and regularly reported to JIAC. • An Annual Governance Statement is prepared, reviewed and approved before being included in the financial statements. 	
Sustainable resource deployment	<ul style="list-style-type: none"> • An updated Medium Term Financial Strategy (MTFS), covering the period 2017/18 to 2020/21, was approved by the PCC on 23 February 2017. In addition, the MTFS is clearly linked to the Police and Crime Plan. • The updated MTFS is used as a basis for the production of annual budgets which are set by the PCC and scrutinised by the Police and Crime Panel. • The Chief Constable has a history of meeting financial targets with no previous budget deficits. The level of general fund balances is approved annually as part of the approval of the MTFS. • The organisation has an adequate level of reserves available for use as required. • An up to date Asset register is in place. • The Capital Programme, included in the 2017/18 to 2020/21 MTFS, sets out the PCC's investment priorities. All capital schemes are appraised and prioritised to ensure they reflect the key investment requirements in the strategy. • A Workforce Strategy is in place that includes recruitment, training and development of officers and police staff. 	Yes

Working with partners and other third parties

- Both the Chief Constable and PCC are aware of the importance of collaboration. This is evidenced in the Collaboration and Partnership Strategy which was updated during the year in May 2016.
- Collaboration agreements to which the Chief Constable and PCC are parties are published under the transparency section of the PCC for Northumbria website.
- Areas of collaboration with other police forces and public organisations include:
 - Co-locating with partners wherever possible – so far co-located with Northumberland Fire and Rescue Service, Tyne and Wear Fire and Rescue Service, Newcastle City Council, North Tyneside Council, South Tyneside Council, Gateshead Council, Northumberland County Council, various National Health Service Trusts, and a number of local community groups;
 - during 2016 the Chief Constable and PCC signed up to a 7 force Section 22A collaboration agreement with Durham, Cleveland, Humberside and the 3 Yorkshire forces. The agreement provides an overarching framework for areas of collaboration in the North East region. Currently the agreement covers the following capabilities across the seven forces: Disaster Recovery Identification and CBRN (Chemical, Biological, Radiological and Nuclear incidents; and
 - a collaborative working agreement between the legal teams of Northumbria Police and North Tyneside Council in order to provide advice, support and resilience to one another.
- The North East Regional Special Operations Unit (NERSOU) collaboration between Northumbria, Durham and Cleveland was extended to include further collaboration on covert policing (1st April 2016) and Technical Surveillance (1st October 2016).
- The force has a number of collaboration arrangements in place with Durham Constabulary including kennel services, fingerprint enhancement services and public order training with further collaboration on forensic services planned for 2017/18.
- Northumbria have recruited a Funding and Innovation Manager, a designated post within the Corporate Development Department to lead on the development of strategic collaborative opportunities and partnership working.
- Northumbria participates in National Procurement Frameworks which are delivering significant savings on an on-going basis, particularly in areas such as vehicle purchase, ICT contracts and uniform.

Yes

- The force has written procedures for procuring products and services, which are within its Code of Corporate Governance

Having gathered evidence of the Chief Constable's arrangements for each criterion we conducted a 'reality check', building upon our existing knowledge of the Chief Constable and considering the robustness of our assessment by referring to:

- reports by statutory inspectorates or other regulators;
- achievement of performance and other targets; and
- performance against budgets and other financial targets.

Evidence	Auditor assessment
Reports by statutory inspectorates or other regulators	<p>We considered reports issued by Her Majesty's Inspectorate of Constabulary (Now Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS)) during the year which might impact on our conclusion.</p> <p>This included a review of the 2016 PEEL Effectiveness report which judged Northumbria Police to be 'good' on its overall effectiveness in reducing crime and keeping people safe.</p> <p>We also reviewed the 2016 value for money profiles. Based on this review, there were no indicators which would suggest weaknesses in the Chief Constable's arrangements, or any information contrary to our knowledge of the Chief Constable.</p>
Achievement of performance and other targets	Performance is good overall and Northumbria do not appear to be an outlier in the 2016 value for money profiles.
Performance against budgets and other financial targets	The Chief Constable has a history of achieving budget targets.

Overall conclusion

Having completed our assessment, and having carried out a 'reality check', we can conclude that our initial risk assessment remains appropriate and we can be confident in our conclusion that the Chief Constable has adequate arrangements in place for each criterion.

We intend to issue an unqualified Value for Money conclusion as set out in Appendix C.

Appendix A – Summary of misstatements

The misstatements identified for adjustment during the course of the audit that are above the trivial level of £183k, are set out below.

The first table outlines the identified misstatements which management has assessed as not being material, either individually or in aggregate to the financial statements, and does not currently plan to adjust.

The second table outlines the misstatements that have been adjusted by management during the course of the audit.

Unadjusted misstatements 2016/17				
	Comprehensive Income and Expenditure Statement		Balance Sheet	
	Dr (£'000)	Cr (£'000)	Dr (£'000)	Cr (£'000)
There are no unadjusted misstatements to report.				

Adjusted misstatements 2016/17				
	Comprehensive Income and Expenditure Statement		Balance Sheet	
	Dr (£'000)	Cr (£'000)	Dr (£'000)	Cr (£'000)
There are no adjusted misstatements to report.				

Disclosure amendments

Our audit identified a small number of presentational and disclosure errors, all of which have been amended. The main disclosures identified have been listed here:

- Remuneration of Senior Employees 2016/17 (Note 11) – Four minor amendments made to the disclosures in the table on page 44 of the draft accounts; and
- Defined Benefit Plans (Notes 18 and 19) – Three amendments were made to the Notes to update the information included in the draft accounts.

Appendix B – Draft management representation letter

Chief Constable for Northumbria - audit for year ended 31 March 2017

This representation letter is provided in connection with your audit of the statement of accounts for the Chief Constable for Northumbria ('the Chief Constable') for the year ended 31 March 2017 for the purpose of expressing an opinion as to whether the statement of accounts give a true and fair view in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17 (the Code).

I confirm that the following representations are made on the basis of enquiries of management and staff with relevant knowledge and experience (and, where appropriate, inspection of supporting documentation) sufficient to satisfy ourselves that I can properly make each of the following representations to you.

My responsibility for the statement of accounts and accounting information

I believe that I have fulfilled my responsibilities for the true and fair presentation and preparation of the statement of accounts in accordance with the Code.

My responsibility to provide and disclose relevant information

I have provided you with:

- access to all information of which we are aware that is relevant to the preparation of the statement of accounts such as records, documentation and other material;
- additional information that you have requested from us for the purpose of the audit; and
- unrestricted access to individuals within the Chief Constable's office you determined it was necessary to contact in order to obtain audit evidence.

I confirm as Chief Finance Officer that I have taken all the necessary steps to make me aware of any relevant audit information and to establish that you, as auditors, are aware of this information. As far as I am aware there is no relevant audit information of which you, as auditors, are unaware.

Accounting records

I confirm that all transactions that have a material effect on the financial statements have been recorded in the accounting records and are reflected in the financial statements. All other records and related information, including minutes of all Chief Constable and Committee meetings, have been made available to you.

Accounting policies

I confirm that I have reviewed the accounting policies applied during the year in accordance with the Code and International Accounting Standard 8 and consider these policies to faithfully represent the effects of transactions, other events or conditions on the Chief Constable's financial position, financial performance and cash flows.

Accounting estimates, including those measured at fair value

I confirm that any significant assumptions used by the Chief Constable in making accounting estimates, including those measured at fair value, are reasonable.

Contingencies

There are no material contingent losses including pending or potential litigation that should be accrued where:

- information presently available indicates that it is probable that an asset has been impaired or a liability had been incurred at the balance sheet date; and
- the amount of the loss can be reasonably estimated.

There are no material contingent losses that should be disclosed where, although either or both the conditions specified above are not met, there is a reasonable possibility that a loss, or a loss greater than that accrued, may have been incurred at the balance sheet date.

There are no contingent gains which should be disclosed.

All material matters, including unasserted claims, that may result in litigation against the Chief Constable have been brought to your attention. All known actual or possible litigation and claims whose effects should be considered when preparing the financial statements have been disclosed to you and accounted for and disclosed in accordance with Code.

Laws and regulations

I confirm that I have disclosed to you all those events of which I am aware which involve known or suspected non-compliance with laws and regulations, together with the actual or contingent consequences which may arise therefrom.

The Chief Constable has complied with all aspects of contractual agreements that would have a material effect on the accounts in the event of non-compliance.

Fraud and error

I acknowledge my responsibility as Chief Finance Officer for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

I have disclosed to you:

- all the results of my assessment of the risk that the statement of accounts may be materially misstated as a result of fraud;

- all knowledge of fraud or suspected fraud affecting the Chief Constable involving:
- management and those charged with governance;
- employees who have significant roles in internal control; and
- others where fraud could have a material effect on the financial statements.

I have disclosed to you all information in relation to any allegations of fraud, or suspected fraud, affecting the Chief Constable's statement of accounts communicated by employees, former employees, analysts, regulators or others.

Related party transactions

I confirm that all related party relationships, transactions and balances, have been appropriately accounted for and disclosed in accordance with the requirements of the Code.

I have disclosed to you the identity of the Chief Constable's related parties and all related party relationships and transactions of which I am aware.

Impairment review

To the best of my knowledge, there is nothing to indicate that there is a permanent reduction in the recoverable amount of the property, plant and equipment below their carrying value at the balance sheet date. An impairment review is therefore not considered necessary.

Future commitments

I am not aware of any plans, intentions or commitments that may materially affect the carrying value or classification of assets and liabilities or give rise to additional liabilities.

Subsequent events

I confirm all events subsequent to the date of the financial statements and for which the Code require adjustment or disclosure have been adjusted or disclosed.

Should further material events occur after the date of this letter which may necessitate revision of the figures included in the financial statements or inclusion of a note thereto, I will advise you accordingly.

Going concern

To the best of my knowledge there is nothing to indicate that the Chief Constable will not continue as a going concern in the foreseeable future. The period to which I have paid particular attention in assessing the appropriateness of the going concern basis is not less than twelve months from the date of approval of the accounts.

Yours sincerely

Mike Tait
Chief Finance Officer

Date.....

Appendix C – Draft audit report

INDEPENDENT AUDITOR'S REPORT TO THE CHIEF CONSTABLE FOR NORTHUMBRIA

Opinion on the financial statements

We have audited the financial statements of the Chief Constable for Northumbria for the year ended 31 March 2017 under the Local Audit and Accountability Act 2014. The financial statements comprise the Movement in Reserves Statement, the Comprehensive Income and Expenditure Statement, the Balance Sheet, the Cash Flow Statement, the Police Pension Fund Account, and the related notes. The financial reporting framework that has been applied in their preparation is applicable law and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

This report is made solely to the Chief Constable for Northumbria, in accordance with Part 5 of the Local Audit and Accountability Act 2014 as set out in paragraph 43 of the Statement of Responsibilities of Auditors and Audited Bodies published by Public Sector Audit Appointments Limited. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Chief Constable for Northumbria, for our audit work, for this report or for the opinions we have formed.

Respective responsibilities of the Chief Finance Officer and auditor

As explained more fully in the Statement of the Chief Finance Officer's Responsibilities, the Chief Finance Officer is responsible for the preparation of the Statement of Accounts, which includes the financial statements, in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17, and for being satisfied that they give a true and fair view. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Chief Constable for Northumbria's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Chief Finance Officer; and the overall presentation of the financial statements. In addition, we read all the financial and non-financial information in the Narrative Report to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by us in the course of performing the audit. If we become aware of any apparent material misstatements or inconsistencies we consider the implications for our report.

Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the financial position of the Chief Constable for Northumbria as at 31 March 2017 and of its expenditure and income for the year then ended; and
- have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

Opinion on other matters

In our opinion, the information given in the Narrative Report for the financial year for which the financial statements are prepared, is consistent with the financial statements.

Matters on which we report by exception

We report to you if:

- in our opinion the Annual Governance Statement does not comply with Delivering Good Governance in Local Government: Framework (2016);
- we issue a report in the public interest under section 24 of the Local Audit and Accountability Act 2014;
- we make a recommendation under section 24 of the Local Audit and Accountability Act 2014; or
- we exercise any other special powers of the auditor under the Local Audit and Accountability Act 2014.

We have nothing to report in these respects.

Conclusion on the Chief Constable for Northumbria's arrangements for securing economy, efficiency and effectiveness in the use of resources

Respective responsibilities of the Chief Constable for Northumbria and the auditor

The Chief Constable for Northumbria is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to review regularly the adequacy and effectiveness of these arrangements.

We are required under section 20 of the Local Audit and Accountability Act 2014 to satisfy ourselves that the Chief Constable for Northumbria has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. We are not required to consider, nor have we considered, whether all aspects of the Chief Constable for Northumbria's arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively.

Scope of the review of arrangements for securing economy, efficiency and effectiveness in the use of resources

We are required to conclude whether the Chief Constable for Northumbria has put in place arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

We have planned and undertaken our work in accordance with the Code of Audit Practice as issued by the Comptroller and Auditor General, and had regard to relevant guidance. Based on our risk assessment, we undertook such work as we considered necessary to form a view on whether, in all significant respects, the Chief Constable for Northumbria had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

Conclusion

On the basis of our work, having regard to the guidance on the specified criterion issued by the Comptroller and Auditor General, we are satisfied that in all significant respects, the Chief Constable for Northumbria put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2017.

Certificate

We certify that we have completed the audit of the financial statements of the Chief Constable for Northumbria in accordance with the requirements of the Local Audit and Accountability Act 2014 and the Code of Audit Practice.

Cameron Waddell
For and on behalf of Mazars LLP
Salvus House
Aykley Heads
Durham
DH1 5TS

[Date]

Appendix D – Independence

As part of our ongoing risk assessment we monitor our relationships with you to identify any new actual or perceived threats to our independence within the regulatory or professional requirements governing us as your auditors.

We can confirm that no new threats to independence have been identified since issuing the Audit Strategy Memorandum and therefore we remain independent.

Audit Completion Report

Police and Crime Commissioner for Northumbria



For the year ended 31 March 2017



Contents

1. Executive summary	2
2. Significant findings	4
3. Internal control recommendations.....	6
4. Value for Money Conclusion.....	7
Appendix A – Summary of misstatements.....	11
Appendix B – Draft management representation letter.....	12
Appendix C – Draft audit report.....	15
Appendix D – Independence.....	18

Our reports are prepared in the context of the 'Statement of responsibilities of auditors and audited bodies' and the 'Terms of Appointment' issued by Public Sector Audit Appointments Limited. Reports and letters prepared by appointed auditors and addressed to the Police and Crime Commissioner for Northumbria are prepared for the sole use of the Police and Crime Commissioner for Northumbria and we take no responsibility to any member or officer in their individual capacity or to any third party.

Mazars LLP is the UK firm of Mazars, an international advisory and accountancy group. Mazars LLP is registered by the Institute of Chartered Accountants in England and Wales.

1. Executive summary

Purpose of this report

The Audit Completion Report sets out the findings of our audit of the Police and Crime Commissioner for Northumbria (the Commissioner) for the year ended 31 March 2017, and forms the basis for discussion at the Joint Independent Audit Committee meeting on 18 September 2017 before being presented to the Joint Meeting on 19 September 2017.

The scope of our work and overall summary

The detailed scope of our work as your appointed auditor for 2016/17 is set out in the National Audit Office's (NAO) Code of Audit Practice. Our responsibilities and powers are derived from the Local Audit and Accountability Act 2014 and include the matters outlined in the following table.

Financial statements	<p>In our Audit Strategy Memorandum we reported that materiality for the financial statements as a whole was set at £5.834 million for the Commissioner and £6.422 million for the Group. We have updated our assessment as part of our continuous planning processes and have set materiality at £5.895 million for the Commissioner and £6.161 million for the Group.</p> <p>Our clearly trivial threshold for reporting matters to you has been set at £177k for the Commissioner and £185k for the Group.</p> <p>We communicated identified significant risks to you as part of our Audit Strategy Memorandum in February 2017. Section [2] of this report outlines the work we have undertaken, and the conclusions we have reached, for each significant risk.</p> <p>At the time of issuing this report, and subject to the satisfactory conclusion of the remaining audit work, we anticipate issuing an unqualified opinion, without modification, on the financial statements. Our draft auditor's report is provided in Appendix C.</p>
Identified misstatements	<p>Our work did not identify any misstatements that needed to be adjusted by management. A summary of the identified disclosure issues is provided in Appendix A.</p>
Value for Money	<p>At the time of issuing this report, and subject to the satisfactory conclusion of the remaining audit work, we anticipate having no matters to report in respect of the Commissioner's arrangements to secure economy, efficiency and effectiveness in its use of resources. Our draft auditor's report is provided in Appendix C.</p>
Whole of Government Accounts (WGA)	<p>We anticipate completing our work on your WGA submission, in line with the group instructions issued by the National Audit Office, by the deadline of 30 September 2017. We anticipate reporting that the WGA submission is consistent with the audited financial statements.</p>

The status of our work

We have substantially completed our audit in respect of the financial statements for the year ended 31 March 2017.

At the time of preparing this report, the following matter remains outstanding:

Area outstanding	Work to be completed
Closure procedures	We will complete our standard closure procedures, including review of the amended financial statements and consideration of post balance sheet events.

2. Significant findings

This section sets out the significant findings from our audit and provides information on a number of matters that we are required to report to you by ISA 260 'Communication with those charged with governance'.

Significant risks

As part of our planning procedures we considered the risks of material misstatement in the Commissioner's financial statements that required special audit consideration. Although we report identified significant risks at the planning stage of the audit in our Audit Strategy Memorandum, our risk assessment is a continuous process and we regularly consider whether new significant risks have arisen and how we will mitigate these risks. No new risks have been identified since we issued our Audit Strategy Memorandum. The significant risks identified, and our conclusions against each are outlined below.

Significant risk	How we addressed the risk	Audit conclusion
<p>Management override of control (relevant to single entity and group accounts)</p> <p>In all entities, management at various levels within an organisation are in a unique position to perpetrate fraud because of their ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Due to the unpredictable way in which such overrides could occur, we consider there to be a risk of material misstatement due to fraud and thus a significant risk on all audits.</p>	<p>We addressed this risk through performing audit work over:</p> <ul style="list-style-type: none"> • accounting estimates impacting amounts included in the financial statements; • consideration of identified significant transactions outside the normal course of business; and • journals recorded in the general ledger and other adjustments made in preparation of the financial statements. 	<p>Our work has provided the assurance we sought and has not highlighted any material issues to bring to your attention.</p>
<p>Revenue Recognition (relevant to single entity and group accounts)</p> <p>There is a risk of fraud in the financial reporting relating to revenue recognition due to the potential to inappropriately record revenue in the wrong period. Due to there being a risk of fraud in revenue recognition we consider it to be a significant risk.</p>	<p>We tested cut off to assess whether transactions were included in the appropriate year.</p> <p>We also carried out analytical review procedures.</p>	<p>Our work has provided the assurance we sought and has not highlighted any material issues to bring to your attention.</p>

Significant risk	How we addressed the risk	Audit conclusion
<p>Pension costs and pensions liability (relevant to group accounts only)</p> <p>The financial statements contain material pension entries in respect of retirement benefits. The calculation of these pension figures, both assets and liabilities, can be subject to significant volatility and includes estimates based upon a complex interaction of actuarial assumptions. This results in an increased risk of material misstatement.</p>	<p>We discussed with key contacts significant changes to the pensions estimates prior to the preparation of the final accounts. In addition to our standard programme of work in this area, we:</p> <ul style="list-style-type: none"> evaluated the management controls you had in place to assess the reasonableness of the figures provided by the actuaries; and considered the reasonableness of the actuaries outputs, referring to an expert's report on all actuaries nationally which is commissioned annually by the National Audit Office. 	<p>Our work has provided the assurance we sought and has not highlighted any material issues to bring to your attention.</p>

Qualitative aspects of the Commissioner's accounting practices

We are required to communicate to you our views on the significant qualitative aspects of the Commissioner's accounting practices, including the accounting policies used and the quality of disclosures.

Qualitative aspect	Our views
Accounting policies and disclosures	<p>We have reviewed the Commissioner's accounting policies and disclosures and found these to be in line with the requirements of the Code of Practice on Local Authority Accounting (the Code).</p> <p>In line with our expectations, there have been no significant changes to accounting policies for the year ended 31 March 2017.</p>
Quality of the draft financial statements	<p>We received draft financial statements from management on the deadline of 30 June 2017 and the accounts were of a good standard.</p>
Quality of supporting working papers	<p>Producing high-quality working papers is as crucial part of compiling financial statements that are complete and materially accurate. They also support the delivery of an efficient audit.</p> <p>The finance team has worked closely with us to provide high quality working papers which has enabled the audit to progress smoothly.</p>

3. Internal control recommendations

The purpose of our audit is to express an opinion on the financial statements. As part of our audit we have considered the internal controls in place that are relevant to the preparation of the financial statements. We do this to design audit procedures that allow us to express an opinion on the financial statements; this does not extend to expressing an opinion on the effectiveness of internal control or to identify any significant deficiencies in their design or operation.

The matters reported are limited to those deficiencies and other control recommendations that we have identified during our normal audit procedures and that we consider to be of sufficient importance to merit being reported. If we had performed more extensive procedures on internal control we might have identified more deficiencies to be reported or concluded that some of the reported deficiencies need not in fact have been reported. Our comments should not be regarded as a comprehensive record of all deficiencies that may exist or improvements that could be made.

Our findings and recommendations are set out below.

We have not identified any significant deficiencies as a result of our work this year.

Follow up of previous internal control points.

We did not raise any internal control points in 2015/16.

4. Value for Money Conclusion

Our approach to Value for Money

We are required to form a conclusion as to whether the Police and Crime Commissioner for Northumbria (the Commissioner) has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The NAO issues guidance to auditors that underpins the work we are required to carry out in order to form our conclusion, and sets out the criterion and sub-criteria that we are required to consider.

The overall criterion is that, 'in all significant respects, the Commissioner had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.' To assist auditors in reaching a conclusion on this overall criterion, the following sub-criteria are set out by the NAO:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

Significant Value for Money risks

The NAO's guidance requires us to carry out work to identify whether or not a risk to the Value for Money conclusion exists. Risk, in the context of our work, is the risk that we come to an incorrect conclusion rather than the risk of the arrangements in place at the Commissioner being inadequate. We did not identify any significant risks at the planning stage of our audit, and as such did not report any in our Audit Strategy Memorandum. We have kept this under review throughout our audit and are satisfied that there are no significant risks apparent in respect of VFM.

Commentary against each of the sub-criteria, and an indication of whether arrangements are in place, is provided below.

Sub-criteria	Commentary	Arrangements in place?
Informed decision making	<ul style="list-style-type: none"> • The Police and Crime Panel (hosted by Gateshead Council and independent of both the Commissioner and Chief Constable) meet six times per year and hold the Commissioner to account. • An experienced Commissioner and Chief Constable's management team has been in place for a number of years. • There is a Joint Independent Audit Committee (JIAC) in place which meets four times per year. Standing items on the agenda include progress reports by both Internal and External Audit along with Strategic Risk Management updates. • There is regular reporting to the Commissioner and Chief Constable of both performance and financial information. • There is a Police and Crime Plan in place for the period 2017 to 2021. The purpose, vision, values, priorities and strategic objectives of the Commissioner are developed in 	Yes

Sub-criteria	Commentary	Arrangements in place?
	<p>consultation with the Chief Constable. In turn, the Chief Constable draws the Policing Plan, for which he is responsible, from the Police and Crime Plan.</p> <ul style="list-style-type: none"> • There is a Governance Framework available on the website, which is applicable to both the Commissioner and Chief Constable. • Performance is monitored through a robust framework based around the Chief Constable's Delivery Plan. • The Commissioner attends the Force's Strategic Management Board to scrutinise progress. In addition, Joint Business Meetings that are held every 2 weeks. • An updated Medium Term Financial Strategy (MTFS), covering the period 2017/18 to 2020/21, was approved by the Commissioner on 23 February 2017. In addition, the MTFS is clearly linked to the Police and Crime Plan. • Force financial position and MTFS update presented to senior managers at meeting of Commanders on 12 July 2017. • An up to date risk register and risk management arrangements are in place and regularly reported to JIAC. • An Annual Governance Statement is prepared, reviewed and approved before being included in the financial statements. 	
Sustainable resource deployment	<ul style="list-style-type: none"> • An updated Medium Term Financial Strategy (MTFS), covering the period 2017/18 to 2020/21, was approved by the Commissioner on 23 February 2017. In addition, the MTFS is clearly linked to the Police and Crime Plan. • The updated MTFS is used as a basis for the production of annual budgets which are set by the Commissioner and scrutinised by the Police and Crime Panel. • The Commissioner has a history of meeting financial targets with no previous budget deficits. The level of general fund balances is approved annually as part of the approval of the MTFS. • The organisation has an adequate level of reserves available for use as required. • An up to date Asset register is in place. • The Capital Programme, included in the 2017/18 to 2020/21 MTFS, sets out the Commissioner's investment priorities. All capital schemes are appraised and prioritised to ensure they reflect the key investment requirements in the strategy. • A Workforce Strategy is in place that includes recruitment, training and development of officers and police staff. 	Yes

Sub-criteria	Commentary	Arrangements in place?
Working with partners and other third parties	<ul style="list-style-type: none"> • Both the Commissioner and Chief Constable are aware of the importance of collaboration. This is evidenced in the Collaboration and Partnership Strategy which was updated during the year in May 2016. • Collaboration agreements to which the Commissioner and Chief Constable are parties are published under the transparency section of the Commissioner for Northumbria website. • Areas of collaboration with other police forces and public organisations include: <ul style="list-style-type: none"> ○ Co-locating with partners wherever possible – so far co-located with Northumberland Fire and Rescue Service, Tyne and Wear Fire and Rescue Service, Newcastle City Council, North Tyneside Council, South Tyneside Council, Gateshead Council, Northumberland County Council, various National Health Service Trusts, and a number of local community groups; ○ during 2016 the Commissioner and Chief Constable signed up to a 7 force Section 22A collaboration agreement with Durham, Cleveland, Humberside and the 3 Yorkshire forces. The agreement provides an overarching framework for areas of collaboration in the North East region. Currently the agreement covers the following capabilities across the seven forces: Disaster Recovery Identification and CBRN (Chemical, Biological, Radiological and Nuclear incidents; and ○ a collaborative working agreement between the legal teams of Northumbria Police and North Tyneside Council in order to provide advice, support and resilience to one another. • The North East Regional Special Operations Unit (NERSOU) collaboration between Northumbria, Durham and Cleveland was extended to include further collaboration on covert policing (1st April 2016) and Technical Surveillance (1st October 2016). • The force has a number of collaboration arrangements in place with Durham Constabulary including kennel services, fingerprint enhancement services and public order training with further collaboration on forensic services planned for 2017/18. • Northumbria have recruited a Funding and Innovation Manager, a designated post within the Corporate Development Department to lead on the development of strategic collaborative opportunities and partnership working. • Northumbria participates in National Procurement Frameworks which are delivering significant savings on an on-going basis, particularly in areas such as vehicle purchase, ICT contracts and uniform. 	Yes

Sub-criteria	Commentary	Arrangements in place?
	<ul style="list-style-type: none"> The force has written procedures for procuring products and services, which are within its Code of Corporate Governance 	

Having gathered evidence of the Commissioner's arrangements for each criterion we conducted a 'reality check', building upon our existing knowledge of the Commissioner and considering the robustness of our assessment by referring to:

- reports by statutory inspectorates or other regulators;
- achievement of performance and other targets; and
- performance against budgets and other financial targets.

Evidence	Auditor assessment
Reports by statutory inspectorates or other regulators	<p>We considered reports issued by Her Majesty's Inspectorate of Constabulary (Now Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS)) during the year which might impact on our conclusion.</p> <p>This included a review of the 2016 PEEL Effectiveness report which judged Northumbria Police to be 'good' on its overall effectiveness in reducing crime and keeping people safe.</p> <p>We also reviewed the 2016 value for money profiles. Based on this review, there were no indicators which would suggest weaknesses in the Commissioner's arrangements, or any information contrary to our knowledge of the Commissioner.</p>
Achievement of performance and other targets	Performance is good overall and Northumbria do not appear to be an outlier in the 2016 value for money profiles.
Performance against budgets and other financial targets	The Commissioner has a history of achieving budget targets.

Overall conclusion

Having completed our assessment, and having carried out a 'reality check', we can conclude that our initial risk assessment remains appropriate and we can be confident in our conclusion that the Commissioner has adequate arrangements in place for each criterion.

We intend to issue an unqualified Value for Money conclusion as set out in Appendix C.

Appendix A – Summary of misstatements

The misstatements identified for adjustment during the course of the audit that are above the trivial level of £177k for the Commissioner and £185k for the Group, are set out below.

The first table outlines the identified misstatements which management has assessed as not being material, either individually or in aggregate to the financial statements, and does not currently plan to adjust.

The second table outlines the misstatements management has agreed to adjust.

Unadjusted misstatements 2016/17				
	Comprehensive Income and Expenditure Statement		Balance Sheet	
	Dr (£'000)	Cr (£'000)	Dr (£'000)	Cr (£'000)
There are no unadjusted misstatements to report.				

Adjusted misstatements 2016/17				
	Comprehensive Income and Expenditure Statement		Balance Sheet	
	Dr (£'000)	Cr (£'000)	Dr (£'000)	Cr (£'000)
There are no adjusted misstatements to report.				

Disclosure amendments

Our audit identified a small number of presentational and disclosure errors, all of which have been amended. Only those which are considered significant have been listed here:

- Financial Instruments (Note 22) – Disclosure of trade debtors and trade creditors showed the position for the Group, not for the PCC single entity; and
- Employee Benefits (Note 23) – Two amendments were made to the Note to update the information included in the draft accounts.

Appendix B – Draft management representation letter

Police and Crime Commissioner for Northumbria - audit for year ended 31 March 2017

This representation letter is provided in connection with your audit of the statement of accounts for Police and Crime Commissioner for Northumbria ('the Commissioner) and Group for the year ended 31 March 2017 for the purpose of expressing an opinion as to whether the statement of accounts give a true and fair view in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17 (the Code).

I confirm that the following representations are made on the basis of enquiries of management and staff with relevant knowledge and experience (and, where appropriate, inspection of supporting documentation) sufficient to satisfy ourselves that I can properly make each of the following representations to you.

My responsibility for the statement of accounts and accounting information

I believe that I have fulfilled my responsibilities for the true and fair presentation and preparation of the statement of accounts in accordance with the Code.

My responsibility to provide and disclose relevant information

I have provided you with:

- access to all information of which we are aware that is relevant to the preparation of the statement of accounts such as records, documentation and other material;
- additional information that you have requested from us for the purpose of the audit; and
- unrestricted access to individuals within the Commissioner's office you determined it was necessary to contact in order to obtain audit evidence.

I confirm as Treasurer that I have taken all the necessary steps to make me aware of any relevant audit information and to establish that you, as auditors, are aware of this information. As far as I am aware there is no relevant audit information of which you, as auditors, are unaware.

Accounting records

I confirm that all transactions that have a material effect on the financial statements have been recorded in the accounting records and are reflected in the financial statements. All other records and related information, including minutes of all relevant meetings, have been made available to you.

Accounting policies

I confirm that I have reviewed the accounting policies applied during the year in accordance with the Code and International Accounting Standard 8 and consider these policies to faithfully represent the effects of transactions, other events or conditions on the Commissioner and Group's financial position, financial performance and cash flows.

Accounting estimates, including those measured at fair value

I confirm that any significant assumptions used by the Commissioner and Group in making accounting estimates, including those measured at fair value, are reasonable.

Contingencies

There are no material contingent losses including pending or potential litigation that should be accrued where:

- information presently available indicates that it is probable that an asset has been impaired or a liability had been incurred at the balance sheet date; and
- the amount of the loss can be reasonably estimated.

There are no material contingent losses that should be disclosed where, although either or both the conditions specified above are not met, there is a reasonable possibility that a loss, or a loss greater than that accrued, may have been incurred at the balance sheet date.

There are no contingent gains which should be disclosed.

All material matters, including unasserted claims, that may result in litigation against the Commissioner and Group have been brought to your attention. All known actual or possible litigation and claims whose effects should be considered when preparing the financial statements have been disclosed to you and accounted for and disclosed in accordance with Code.

Laws and regulations

I confirm that I have disclosed to you all those events of which I am aware which involve known or suspected non-compliance with laws and regulations, together with the actual or contingent consequences which may arise therefrom.

The Commissioner and Group has complied with all aspects of contractual agreements that would have a material effect on the accounts in the event of non-compliance.

Fraud and error

I acknowledge my responsibility as Treasurer for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

I have disclosed to you:

- all the results of my assessment of the risk that the statement of accounts may be materially misstated as a result of fraud;
- all knowledge of fraud or suspected fraud affecting the Commissioner and Group involving:
 - management and those charged with governance;
 - employees who have significant roles in internal control; and

- others where fraud could have a material effect on the financial statements.

I have disclosed to you all information in relation to any allegations of fraud, or suspected fraud, affecting the Commissioner and Group's statement of accounts communicated by employees, former employees, analysts, regulators or others.

Related party transactions

I confirm that all related party relationships, transactions and balances, have been appropriately accounted for and disclosed in accordance with the requirements of the Code.

I have disclosed to you the identity of the Commissioner and Group's related parties and all related party relationships and transactions of which I am aware.

Impairment review

To the best of my knowledge, there is nothing to indicate that there is a permanent reduction in the recoverable amount of the property, plant and equipment below their carrying value at the balance sheet date. An impairment review is therefore not considered necessary.

Future commitments

I am not aware of any plans, intentions or commitments that may materially affect the carrying value or classification of assets and liabilities or give rise to additional liabilities.

Subsequent events

I confirm all events subsequent to the date of the financial statements and for which the Code require adjustment or disclosure have been adjusted or disclosed.

Should further material events occur after the date of this letter which may necessitate revision of the figures included in the financial statements or inclusion of a note thereto, I will advise you accordingly.

Going concern

To the best of my knowledge there is nothing to indicate that the Commissioner and Group will not continue as a going concern in the foreseeable future. The period to which I have paid particular attention in assessing the appropriateness of the going concern basis is not less than twelve months from the date of approval of the accounts.

Yours sincerely

Mike Tait
Treasurer

Date.....

Appendix C – Draft audit report

INDEPENDENT AUDITOR'S REPORT TO THE POLICE AND CRIME COMMISSIONER FOR NORTHUMBRIA (and Group)

Opinion on the financial statements

We have audited the financial statements of the Police and Crime Commissioner for Northumbria (and Group) for the year ended 31 March 2017 under the Local Audit and Accountability Act 2014. The financial statements comprise the PCC and Group Movement in Reserves Statements, the PCC and Group Comprehensive Income and Expenditure Statements, the PCC and Group Balance Sheets, the PCC and Group Cash Flow Statements, the Group Pension Fund Accounts and the related notes. The financial reporting framework that has been applied in their preparation is applicable law and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

This report is made solely to the Police and Crime Commissioner for Northumbria, in accordance with Part 5 of the Local Audit and Accountability Act 2014 as set out in paragraph 43 of the Statement of Responsibilities of Auditors and Audited Bodies published by Public Sector Audit Appointments Limited. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Police and Crime Commissioner for Northumbria, for our audit work, for this report or for the opinions we have formed.

Respective responsibilities of the Treasurer and auditor

As explained more fully in the Statement of the Treasurer's Responsibilities, the Treasurer is responsible for the preparation of the Statement of Accounts, which includes the financial statements, in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17, and for being satisfied that they give a true and fair view. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Police and Crime Commissioner for Northumbria's and Group's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Treasurer; and the overall presentation of the financial statements. In addition, we read all the financial and non-financial information in the Narrative Report to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by us in the course of performing the audit. If we become aware of any apparent material misstatements or inconsistencies we consider the implications for our report.

Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the financial position of the Police and Crime Commissioner for Northumbria (and Group) as at 31 March 2017 and of its expenditure and income for the year then ended; and
- have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17.

Opinion on other matters

In our opinion, the information given in the Narrative Report for the financial year for which the financial statements are prepared, is consistent with the financial statements.

Matters on which we report by exception

We report to you if:

- in our opinion the Annual Governance Statement does not comply with Delivering Good Governance in Local Government: Framework (2016);
- we issue a report in the public interest under section 24 of the Local Audit and Accountability Act 2014;
- we make a recommendation under section 24 of the Local Audit and Accountability Act 2014; or
- we exercise any other special powers of the auditor under the Local Audit and Accountability Act 2014.

We have nothing to report in these respects.

Conclusion on the Police and Crime Commissioner for Northumbria's arrangements for securing economy, efficiency and effectiveness in the use of resources

Respective responsibilities of the Police and Crime Commissioner for Northumbria and the auditor

The Police and Crime Commissioner for Northumbria is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to review regularly the adequacy and effectiveness of these arrangements.

We are required under section 20 of the Local Audit and Accountability Act 2014 to satisfy ourselves that the Police and Crime Commissioner for Northumbria has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. We are not required to consider, nor have we considered, whether all aspects of the Police and Crime Commissioner for Northumbria's arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively.

Scope of the review of arrangements for securing economy, efficiency and effectiveness in the use of resources

We are required to conclude whether the Police and Crime Commissioner for Northumbria has put in place arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

We have planned and undertaken our work in accordance with the Code of Audit Practice as issued by the Comptroller and Auditor General, and had regard to relevant guidance. Based on our risk assessment, we undertook such work as we considered necessary to form a view on whether, in all significant respects, the Police and Crime Commissioner for Northumbria had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

Conclusion

On the basis of our work, having regard to the guidance on the specified criterion issued by the Comptroller and Auditor General, we are satisfied that in all significant respects, the Police and Crime Commissioner for Northumbria put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2017.

Certificate

We certify that we have completed the audit of the financial statements of the Police and Crime Commissioner for Northumbria (and Group) in accordance with the requirements of the Local Audit and Accountability Act 2014 and the Code of Audit Practice.

[Signature]

Cameron Waddell
For and on behalf of Mazars LLP
Salvus House
Aykley Heads
Durham
DH1 5TS

[Date]

Appendix D – Independence

As part of our ongoing risk assessment we monitor our relationships with you to identify any new actual or perceived threats to our independence within the regulatory or professional requirements governing us as your auditors.

We can confirm that no new threats to independence have been identified since issuing the Audit Strategy Memorandum and therefore we remain independent.

POLICE AND CRIME COMMISSIONER FOR NORTHUMBRIA

NORTHUMBRIA POLICE AND CRIME PANEL

24 OCTOBER 2017

BUDGET SETTING PROCESS 2018/19

REPORT OF THE POLICE AND CRIME COMMISSIONER FOR NORTHUMBRIA

1. PURPOSE OF THE REPORT

- 1.1 The report sets out the budget setting process for 2017/18.

2. BACKGROUND

- 2.1 In February 2017 the Police and Crime Commissioner agreed the 2017/18 Revenue and Capital Budgets and the Medium Term Financial Strategy (MTFS). The MTFS sets out the key financial issues facing the Police and Crime Commissioner over the period 2017/18 to 2020/21, and provides options for delivering a sustainable budget and capital programme over the medium term including resources for the Chief Constable to deliver the priorities in The Police and Crime Plan.
- 2.2 Work is currently underway in force to review the assumptions which underpin the Budget and MTFS estimates in relation to central government funding for police forces, future budget pressures and inflationary increases, and the priorities for capital investment over the medium term.
- 2.3 Since the MTFS was agreed in February 2017 the political environment has seen changes. There has been a general election, plus continued political and economic uncertainty following the Brexit vote, adding to concerns of future budget pressures on Government Departments. UK economic growth estimates (OBR October 2017) have slowed against those set out in the 2016 Autumn Statement, primarily due to higher than expected inflation figures. Also, the lifting of the public sector pay cap for Police officers, with effect from 01 September 2017.
- 2.4 During 2016/17 the Home Office initiated a review of the Police funding formula, which determines how overall Police funding is allocated between forces in England. The intention was to implement the revised formula for the 2018/19 financial year. However, work has been suspended on the new funding formula and although not confirmed, the expectation is that this will not now be implemented.
- 2.5 This report sets out the process and timetable we will follow to set the revenue and capital budgets for 2018/19 and complete the revision of the MTFS. The timetable also highlights the key dates when we expect to find out how much grant we will receive for 2018/19 and beyond.

3 REVISION PROCESS

3.1 The budget and MTFS revision process will include the following:

- A comprehensive review of the Commissioner's current financial position.
- A comprehensive update to the assumptions and risks about future budget pressures, funding cuts and changes to police resource allocation which the Commissioner will face over the period of the strategy.
- A review of any changes to the financial context in which the Commissioner operates.
- Progress against budget savings targets.
- The extension of the MTFS period.
- The Commissioner's capital programme; and
- Reserves policy.

4. KEY DATES

4.1 The process to set the revenue and capital budgets for 2018/19 and to revise the MTFS as mentioned above, has already started alongside the preparation of the quarter 2 monitoring.

4.2 The key dates for information sharing and decisions are as follows:

Event	Date	Note
Police and Crime Panel Meeting	24 October 2017	Information regarding this year's process.
Autumn Budget	22 November 2017	Government discloses high level funding assumptions and plans.
Provisional Police Funding Settlement Announced	Around 15 December 2017	Grant resources for 2018/19 - provisional settlement figures issued.
Final Settlement Announced	Mid-January 2018	Update resources with final settlement figures.
Police and Crime Panel Meeting	16 January 2018	High level briefing on the MTFS and 2018/19 draft budget.
Police and Crime Panel Meeting	6 February 2018	Presentation of MTFS. Budget papers for 2018/19 including the proposal for precept.

5 RISK MANAGEMENT IMPLICATIONS

- 5.1 The MTFS identifies a number of significant financial risks and suggests ways to mitigate those. The refresh will consider if any of those risks have changed.

6 FINANCIAL IMPLICATIONS

- 6.1 All financial implications are covered in the report and there are no additional financial implications arising from the report.

7 RECOMMENDATION

- 7.1 To note the process and timetable that will be followed to complete the budget setting process 2018/19.

This page is intentionally left blank