



Annual Governance Statement

Position as at 31st March 2018

1. Scope of Responsibility

- 1.1 Following the introduction of the Police Reform and Social Responsibility Act (2011) the position of Chief Constable has been established as a Corporation Sole. For the purposes of this document the terms Chief Constable, the Force and Cleveland Police should be read as one and the same.
- 1.2 The Chief Constable is responsible for ensuring Force business is conducted in accordance with the financial governance arrangements outlined in The Financial Management Code of Practice for the Police Service of England and Wales (2013). The Chief Constable also has a statutory duty to secure value for money in the use of public funds.
- 1.3 In discharging this overall responsibility, the Chief Constable is responsible for putting in place proper arrangements for the governance of the organisation, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.4 Cleveland Police has an established Corporate Governance Framework through which the Chief Constable can be assured that the Force's systems, policies and people are focused in a way that is driving the delivery of agreed priorities. Along with focus on key risks to the delivery of those priorities the governance framework also provides assurance that the Force operates in an efficient and effective manner.
- 1.5 This statement meets the requirements of Accounts and Audit Regulations 2015, regulation 6(1)b, which requires all relevant bodies to prepare an annual governance statement.

2. The Purpose of the Governance Framework

- 2.1 The governance framework comprises the culture, values systems, processes and assurance framework by which the Force is directed and controlled and the activities through which it accounts to, engages with and leads its community. It enables the Force to monitor the achievement of its priorities and to consider whether they have led to the delivery of efficient and effective services.

- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Cleveland Police's priorities, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively, and economically.
- 2.3 This governance framework has been in place at Cleveland Police for the year ended 31st March 2018, and up to the date of the approval of the accounts.

3. The Governance Framework

- 3.1 The Force has a joint corporate governance framework with the Police and Crime Commissioner (PCC) for Cleveland. The framework sets out the way that the two organisations, the Police and Crime Commissioner and the Chief Constable, govern, both jointly and separately. The framework also details the delegations and consents from the PCC to the Force, and outlines the specific roles and responsibilities of officers.
- 3.2 The Chief Constable is responsible for the delivery of operational policing, the direction and control of police personnel, and for putting in place proper arrangements for the governance of the Force. The Chief Constable also has a statutory duty under section 35 of Police Reform and Social Responsibility Act (2011) to secure that they and the persons under their direction and control secure value for money in exercising their functions.
- 3.3 The Police and Crime Commissioner (PCC) for Cleveland is responsible for ensuring that the Chief Constable delivers an efficient and effective police force and holds the Chief Constable to account for the operational delivery of policing.
- 3.4 In addition to the Annual Governance Statement (AGS) for Cleveland Police, the PCC is also required to produce an AGS. The two AGSs complement each other by:
- outlining the key methods of assurance which operate in each body to ensure that, overall effective control is exercised;
 - showing which key documents/reports of Cleveland Police are scrutinised by the PCC as part of wider accountability;
 - demonstrating how the policing elements of the Police & Crime Plan are delivered by Cleveland Police and are underpinned by public consultation on the part of the PCC as part of wider accountability.
- Both the PCC and Cleveland Police must produce separate accounts which are then consolidated into group accounts. This ensures that both individual and collective financial stewardship of public money is effective and is underpinned by annual external audit. In addition, the PCC is required to approve the Force's budget each year in consultation with the Chief Constable.
- 3.5 This Annual Governance Statement provides a summary of the extent to which the Force meets the seven principles of good governance as identified in the revised *Delivering Good Governance: Guidance Notes for Policing Bodies in England and Wales (2016)*.
- 3.7 While the concepts of good governance are acknowledged and understood, the appropriate day-to-day processes must be in place to allow this to happen. These are detailed in the following sections structured around the seven principles.

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

- 4.1 The Force has three values: integrity, benevolence and service which are in line with the nine policing principles identified in the Code of Ethics, and the Competency and Values Framework (CVF). The values are used, along with the Code of Ethics, to underpin our working practices and decision making. The CVF and the Cleveland Police leadership behaviours form part of all selection, promotion and performance review processes.
- 4.2 Police officers and police staff are subject to a Code of Conduct and the Code of Ethics, and are required to abide by the seven principles of public life.
- 4.3 The Code of Ethics produced by the College of Policing sets out the values and standards of professional behaviour for the police service of England and Wales. As part of the on-going process to embed the Code of Ethics every officer and member of staff from within Cleveland Police, and its strategic partners, were given an 'aide memoire' card showing the Code of Ethics and the National Decision Model (NDM). Each supervisor across the Force was also given a full copy of the Code of Ethics handbook. Code of Ethics elements are weaved into all training delivered, and supervisors received briefing sessions to enable them to cascade delivery to their teams. All new pocket notebooks have the Code of Ethics principles at the front of the book to provide a constant reminder throughout the daily work. In addition, the principles of the Code of Ethics are celebrated at awards and commendation events.
- 4.4 In the 2017 PEEL Legitimacy report HMIC reported that "*Cleveland Police continues to improve some aspects of the way in which it treats the people it serves with fairness and respect. The force ensures that its officers and staff understand the importance of treating people with fairness and respect and it communicates this importance clearly through its Everyone Matters programme*".¹
- 4.5 The Force has rolled out the use of the NDM across the Force. The Model is used to support the use of greater discretion and encourages decision makers to follow an easy to use, consistent and robust process which has the vision and values of the Force, and the Code of Ethics, at its heart. The Model can be used to support both operational and non-operational decisions, no matter how complex and it can be used by both police officers and staff alike in their professional roles. Training for all staff on the NDM incorporates the Code of Ethics as running through the decision-making process.
- 4.6 Initial induction training for police officers and staff covers professional conduct, the Code of Ethics, the NDM, and the CVF. The Code of Ethics and the NDM is revisited regularly over the course of the Initial Police Learning & Development Programme (IPLDP) for all probationer constables.
- 4.7 The Force has continued to hold organisational briefing and development sessions for all supervisors, led by the Chief Constable. The aim of these sessions is to help foster a climate of openness, support and respect.
- 4.8 The Internal Ethics Committee is well established and meets on a quarterly basis, chaired by the Deputy Chief Constable. In addition, the group can be convened at short notice to consider time critical issues. The Committee considers specific ethical issues as well as scrutinising chief officer expenses, gifts, gratuities and hospitality. The Committee has a dedicated Intranet site which promotes the work of the group and identifies the members, so that officers and staff can easily access advice and guidance

¹ HMICFRS PEEL: Police Legitimacy (including leadership) 2017.
<https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-police-legitimacy-2017-cleveland.pdf>

on ethical issues. All submissions to the Committee, and the corresponding advice, are published on the Intranet site.

- 4.9 The Joint External Ethics Committee with Durham Constabulary continues to meet on a quarterly basis, increasing the transparency and accountability of decision makers, and enriching the decision-making process. The Committee is made up of members from ever increasing and diverse backgrounds across the communities the Force serves. The Committee discusses specific questions that have been sent for their consideration, with the outcomes posted on the Force's website. Where issues are forwarded by the Internal Ethics Committee for further review, the outcome of the Internal Committee is removed so eliminating any potential bias. The External Committee will also discuss items, and give recommendations, on issues that they see as appropriate for their consideration.
- 4.2 The Strategic People Intelligence Board (PIB) and supporting Tactical PIB are well established and continue to meet on a regular basis. The Strategic PIB, chaired by the Deputy Chief Constable meets on a quarterly basis and looks at organisational trends and risks related to a range of People issues that would otherwise be dealt with in isolation. The aim is to identify lessons learnt leading to organisational change to ensure high standards of conduct and professional behaviour across the Force. This covers a range of information including: sickness, grievances, disciplines, misconduct, complaints, business interests, notifiable associations, Employment Tribunal cases, civil claims and vetting concerns. The Tactical PIB, chaired by the Head of People and Development meets on a monthly basis to monitor individual cases of concern across the same range of information types with the aim of developing individual supportive interventions.
- 4.10 In the 2017 PEEL Legitimacy Report, HMIC found that "*Cleveland Police understands the importance of treating people with fairness and respect... Members of the workforce are clear about what is expected of them through their interactions with the public and colleagues. The force is working to ensure that its processes are fair for members of the public who come into contact with its officers and staff, and, through a review of the professional standards department, that its processes are fair for its workforce*".²
- 4.11 The Force has a Counter Fraud and Corruption Policy which provides a standardised approach to minimising fraud and corruption. This policy was updated in August 2017 in line with identified best practice in other forces.
- 4.12 The Force cooperates with the National Fraud Initiative (NFI) and submits the required data every two years. The NFI is an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud.
- 4.13 The Force has a Protected Disclosure Policy provides a mechanism that complies with legislative requirements and enables staff to raise issues of concern regarding wrongdoing and inappropriate conduct and behaviour within the workplace ("whistle blowing"). The policy is considered integral to creating a safe environment in which staff at all levels feel a genuine obligation to maintain the integrity of the police service, and have the confidence to support the Force in maintaining the Standards of Professional Behaviour and the Code of Ethics.
- 4.14 The 'Everyone Matters' programme continues to look at how the organisation delivers services to our different communities, develops and supports our staff, and ensures that the organisations processes are the best that they can be. The 'Everyone Matters'

² HMICFRS PEEL: Police Legitimacy (including leadership) 2017.
<https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-police-legitimacy-2017-cleveland.pdf>

programme was established to provide a living approach to inclusion, equality, diversity and human rights ensuring it is fully embraced in both our service delivery and employment. It is about moving us forward as a service built upon firm foundations of values, ethics, transparency, inclusion and fairness and an internal maturity to challenge behaviours or attitudes that don't support that.

- 4.15 Unconscious bias training has been rolled out across the Force to all supervisory level staff and continues as part of the Everyone Matters in Practice programme. This is a series of interactive workshops for all staff which aim to help staff recognise and understand the impact of bias in everyday situations, reflect and gain insight into personal responses to diversity and inclusion, contribute to discussions on ways to bring Everyone Matters to life and develop ways to challenge attitudes and behaviours which do not support our communities or staff.
- 4.16 The Force has a Chief Finance Officer (CFO) in post who is the statutory 'Section 151' Officer for the Force. The Force's CFO works closely with the Chief Finance Officer of the PCC ensuring an effective, cooperative and constructive relationship, and complies with the CIPFA statement on *The Role of the CFO for the Police and Crime Commissioner and the CFO of the Chief Constable (2012)*.
- 4.17 The Transforming Professional Standards programme commenced in January 2017 as a result of a need for Cleveland Police to fundamentally change how it responds to complaints from the public, how it deals with internally raised allegations of misconduct and how it ensures the integrity of its workforce. The programme instigated jointly by the previous Chief Constable and the PCC in response to the adverse impact of a number of concerns from both internal and external sources which, when taken collectively, presented a high level of risk to Force reputation and public confidence. As a result of the reforms the Directorate of Standards and Ethics was formed in September 2017 based on three overarching principles:
- Improving organisational effectiveness to assure consistent and appropriate outcomes
 - Engendering a culture of integrity, fairness, impartiality and transparency
 - Constructive and positive stakeholder engagement to maintain and enhance relationships.
- 4.18 The Force strategic partner, Sopra Steria (UK), embrace the Code of Ethics and there are contractually committed to comply with Force policies.
- 4.19 The Joint Independent Audit Committee receives reports on complaints against police on a six-monthly basis, along with examples of 'lessons learnt' that have been circulated across the Force.

5. Principle B – Ensuring openness and comprehensive stakeholder engagement

- 5.1 Following the introduction of the new model of Neighbourhood Policing, the Force redeveloped its Community Engagement Strategy. The strategy aims to provide accessible, multiple opportunities for communities to engage with Cleveland Police in shaping policing policy, practice and priorities.
- 5.2 It is recognised that the traditional formal means of community engagement are not the best ways of engaging with our ever increasingly diverse communities, and a more creative approach has been developed. Engagement is still undertaken through the more traditional means of public meetings though officers are increasingly engaging through an on-line presence pre-dominantly through Facebook and other social media. Officers are continuing to spread crime prevention messages and improve visibility through pop up shops in areas of higher footfall such as supermarkets, shopping centres and community events, or through the 'Adopt a Post office' initiative. The inclusion of the use of dot peen machines (property marking) at these pop up shops have been particularly popular.
- 5.3 The Everyone Matters Programme focuses on how we deliver services to our different communities, how we develop and support our staff, and how we ensure that our processes are the best that they can be. The Everyone Matters Communication Strategy has been developed to open up two way effective communication channels to allow our communities and staff to have a voice and get involved.
- 5.4 In partnership with the PCC, and with representatives from our communities, Cleveland Police established a rolling programme of workshops to enhance the knowledge and understanding of all officers and staff in support of a culturally sensitive and effective service and working environment. The interactive workshops provide opportunity for guest speakers to provide an insight into their culture and explore issues such as barriers to engagement and service delivery needs. In 2017 issues explored included vulnerability of sex workers, an insight into Islam by a regional charity, dementia awareness and issues faced by transgender people at all stages of transition. The programme will continue throughout 2018.
- 5.5 The Force recognised that specialist resources were required to tackle hate crime, with specific attention to community engagement and investigation. Through the provision of extra funding from the PCC, the Force has appointed to a number of key roles including:
- A Community Cohesion Co-ordinator who will engage with communities affected by hate crime and hate incidents, as well as providing feedback from communities to inform the organisational response.
 - A Refugee and Asylum Seeker (RAS) Co-ordinator who will work with and support local authorities in integrating new and current members of the RAS communities, engaging with both statutory and third sector partners to provide support to this vulnerable group.
 - Two police staff investigators who have responsibility for investigating all types of hate crime with a focus on victim support and bringing perpetrators to justice.
 - School Liaison Officers who focus on communities where more support is needed from the police.
- 5.6 Within Cleveland there are 4 geographic Independent Advisory Groups (IAG) covering each local authority area, and a Strategic IAG (SIAG) bringing together representatives from the geographic IAGs, including senior police officers and staff and the PCC to discuss strategic issues that affect the whole of the Cleveland policing area.
- 5.7 Due to diminishing representation at the SIAG, consultation with the community was undertaken to establish what areas the SIAG should focus on, and this led to a

Communities Conference covering the key themes identified during the consultation. As a result of discussions at the Communities Conference, work has been undertaken to increase the diversity of SIAG members, specifically in the area of LGB&T as well as others. Work has been undertaken to establish a youth IAG and volunteers have been recruited to assist in the administration of local IAGs.

- 5.8 The Transforming Professional Standards programme was established to undertake a formal review of the Professional Standards Department. One of the overarching principles of this work was to have constructive and positive stakeholder engagement, by maintaining and enhancing relationships with stakeholders, especially those who have least confidence in the police complaints and misconduct system; and a willingness to respond to constructive commentary and to influence improvements in policing standards. In developing the newly created Directorate of Standards and Ethics, the review team engaged widely with internal and external stakeholders, including national bodies and representatives from other public sector organisations to identify and develop good practice. To support this work an External Reference Group was established to provide external critique, challenge and support to the transformational process. Group members are drawn from independent external bodies as well as internal staff.
- 5.9 The Local Public Confidence Survey continues to be conducted on a monthly basis, by an independent company. This telephone survey assesses public confidence levels in the local community, providing statistically significant results for each Local Policing Area (LPA) giving a local context. The survey also includes a range of diagnostic questions highlighting any concerns respondents have about policing in their neighbourhood. The results are reported quarterly to the Force Performance Group (previously Tactical Performance Group).
- 5.10 The Victim Satisfaction Survey is a national telephone survey across a random sample of victims from the Force area on a rolling monthly basis, results of which are reported to the Force Performance Group. The survey provides the Force with information about the experiences of victims, including examining how well victims feel they are treated, which allows us to continually improve the service we deliver.
- 5.11 The Performance Quality & Review Team analyses the results of the victim satisfaction survey and the Local Public Confidence Survey, along with feedback from the Crime Survey for England and Wales (CSEW). Police officers and staff issue business cards which contain a quick response (QR) code linking the use to the 'victim's code' pages on the Force website. This allows recipients of the card to provide feedback on their encounter with the police.
- 5.12 In the 2017 PEEL Legitimacy report HMIC noted *"In addition to regular perception surveys, that include questions of people's treatment when they have contacted the police, the force has consulted with seldom-heard communities to establish how they expect to be treated."*³
- 5.13 There is regular communication between the Office of the Police and Crime Commissioner and Cleveland Police, with the Chief Constable meeting the PCC on a weekly basis to update on current issues. A summary of the topics and actions discussed in these meetings is published on the PCC's website. In addition, the Deputy Chief Constable has regular meetings with the PCC's Chief of Staff, and the two Chief Finance Officers also meet on a weekly basis.

³ HMICFRS PEEL: Police Legitimacy (including leadership) 2017.
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5.14 The Chief Constable has regular meetings with each of the Chief Executives of the local councils, and the Chief Fire Officer. In addition, the Force works in partnership with the local authorities, and other stakeholders, e.g. health, education and social care on a range of issues, for example: multi-agency children's hub,; community safety partnerships, local safeguarding boards, health and wellbeing boards, youth offending boards and the strategic contest delivery group. This is not an exhaustive list.

6. Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

6.1 The Force has a clear vision as part of the Towards 2020 plan: *'making our communities safer; helping them to be stronger'*.

6.2 A key priority for the Force has been the development of a sustainable local policing model that can effectively respond to threat, harm and risk based around our priorities of Protection, Prevention and Intervention. This model and our resources are aligned to the threats identified in our Strategic Threat & Risk Assessment (STRA) and demand profile.

6.3 In the 2017 PEEL Efficiency report HMIC noted that *"Cleveland Police is good at planning for the future and is further developing its understanding of future demand. The force's future plans are built on sound planning assumptions. It has a good record of making savings and it is implementing a plan for further savings."*⁴

6.4 The Long Term Financial Plan (LTFP) 2018-19 to 2021-22 and Capital Plan 2018-19 to 2021-22 were agreed with the PCC in February 2018. The Force produces monthly reports on progress against the plan which are reviewed by the Force's Management Board, and discussed with the PCC's Chief Finance Officer. In addition, the Force reports directly to the PCC on progress on a quarterly basis.

6.5 A significant effort has been put into ensuring the completeness of both revenue and capital rolling equipment replacement programmes to: ensure funding is available when necessary; avoid spikes in expenditure by smoothing the replacement profile; inform the procurement plan to ensure timely ordering and receipt of equipment, and inform prioritisation and decision making.

6.6 The specified and redesigned partnership with Sopra Steria has enhanced partnership governance of day to day operations and clear reporting structures for the discussion of business delivery progress and issues. Sopra Steria have worked with Corporate Services to develop and implement improved processes around capital planning, business cases and small works to ensure all parties are satisfied with the governance in place. The formation of a Business Case Triage Team has improved the collective discussions that now take place prior to any formal presentation of change submissions that may impact on service delivery and helps to manage expectations around delivery of such change.

6.7 Performance Review Meetings for each delivery area not only appraise agreed contractual quality indicators, but also provide a platform to raise any cause for concern or highlight good working practices within either Sopra Steria or Cleveland Police. This mature approach has evolved over the last twelve months and is operating well.

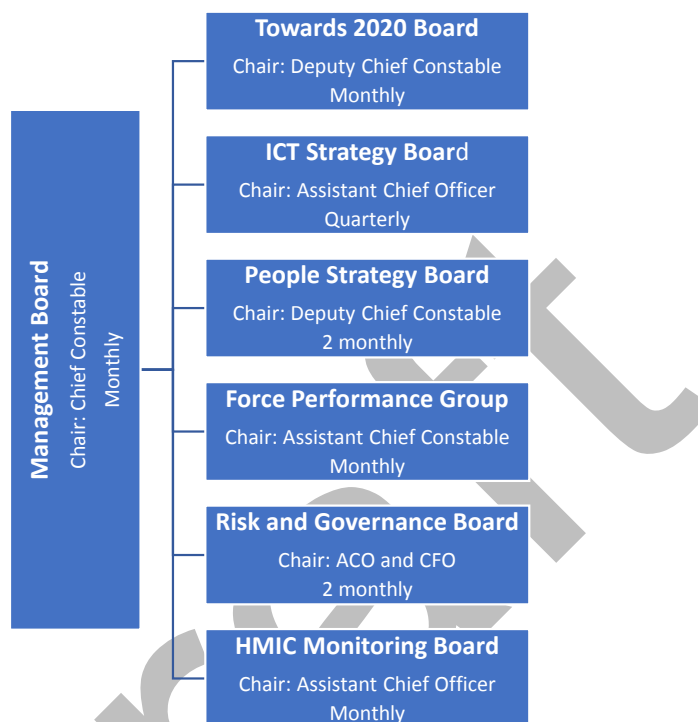
⁴ HMICFRS PEEL: Police efficiency (including leadership) 2017.
<https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-police-efficiency-2017-cleveland.pdf>

- 6.8 The Towards 2020 Board continues to meet on a regular basis. Chaired by the Deputy Chief Constable, the Board assess all change proposals to ensure they are in line with the Force vision and deliverable within the resources available.
- 6.9 The Force is party to a number of collaborative agreements to increase resilience and effectiveness and reduce costs, with Section 22A agreements in place defining the governance arrangements and funding formulas.
- 6.10 Cleveland Police and Durham Constabulary have an established Specialist Operations Unit incorporating: armed response, roads policing, collision investigation, motorcycles, camera enforcement, traffic management and dog support (also including North Yorkshire Police who joined the collaboration for the provision of dog support). Cleveland Police and Durham Constabulary also work closely on their public order teams, training, and chemical, biological, radioactive and nuclear (CBRN) capacity. The joint unit is overseen by a governance structure with the collective Force Executives and Police and Crime Commissioners sitting on a Strategic Board. A bi-monthly meeting sits to give direction to the head of unit and this is chaired by an ACC.
- 6.11 Progress continues to be made on the Evolve collaboration programme between Cleveland Police, Durham Constabulary and North Yorkshire Police; looking at where working together can improve services to communities and reduce operating costs. As part of the Evolve programme, the forces are implementing a fully collaborated Legal Services.
- 6.12 Cleveland Police is part of the North East Regional Special Operations Unit (NERSOU) which provides additional specialist capacity to deliver an increased response to tackling serious organised crime that transcends force borders. The mission of the unit is to tackle those organised crime groups causing the greatest levels of harm to communities in the North East.
- 6.13 The Force is also part of a national collaboration for the provision of air support, the National Police Air Service (NPAS).
- 6.14 A complaints protocol has been agreed to provide clarity over the arrangements to respond to the breadth of concerns raised by local people, whether they be allegations of organisational or individual failures/concerns.

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

- 7.1 During 2017-18 the Force meeting framework was reviewed and amended to give clarity to levels of decision making and responsibility. The framework headed by the Management Board as the key driver of the organisation is supported by a number of key strategic decision making forums. In summary the framework is as shown overleaf.
- 7.2 Due to the significant amount of change being delivered across the Force, the Towards 2020 Board was established in 2015 and continues to meet on a monthly basis. This sub-group of the Management Board supports the operational delivery of the Towards 2020 plan by ensuring effective prioritisation of resources and communication, alignment and transparency of change initiatives.
- 7.3 The Force has maintained a consistent approach to its financial strategy; maintaining financial stability and protecting service provision through identifying sufficient savings to provide time and space to work up well considered savings plans for, what may be, more challenging future years. In the 2017 PEEL Efficiency report HMICFRS noted that the Force “...has a good record of making savings and it is implementing a plan for

further savings. However, it would be difficult for the force to make rapid additional savings or to respond to further increases in demand without stopping a service.”⁵



- 7.4 To support the delivery of the Long Term Financial Plan (LTFP) the Force has agreed a Financial Sustainability Plan which examines some of the key assumptions and outlines the corporate development work streams that will deliver further savings. Collectively these plans provide a stable financial position for the Force over the next four years and therefore provides assurance that the strategic plan 'Towards 2020' and our core priorities of prevention, protection and intervention are both affordable and achievable.
- 7.5 The LTFP 2018-19 to 2021-22 and Capital Plan 2018-19 to 2021-22 was agreed with the PCC in February 2018, and regular updates are provided to the Management Board and the PCC.
- 7.6 The Statement of Accounts 2017-18 was produced in line with statutory requirements, was reviewed by the Joint Independent Audit Committee, and approved by the PCC and the Chief Constable.
- 7.7 When issuing their value for money conclusion, External Audit noted that the Chief Constable had adequate arrangements in place for: informed decision making; sustainable resource deployment, and working with partners and third parties.

Comment [HT(1)]: To be updated following issue of relevant papers

⁵ HMICFRS PEEL: Police Efficiency (including leadership) 2017.
<https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-police-efficiency-2017-cleveland.pdf>

- 7.8 ICT Strategy is reviewed by the ICT Strategy Board, chaired by the Assistant Chief Officer, which meets three times a year. The Board provides an overarching view of ICT issues and an insight into future issues and challenges including highlighting issues which are at the margins of current thinking. The Force works with neighbouring forces in the identification and assessment of new technology, and opportunities for collaborative procurement.
- 7.9 The Force has an agreed Workforce Plan with the strategic aim to attract and retain the best staff locally and nationally by being an employer of choice. The plan identifies the numbers of officers and staff required over the next four years, the need for workforce modernisation, talent management and recruitment plans. Periodic updates on the plan are reported to the Management Board.
- 7.10 A key element of the Workforce Plan is the Recruitment Plan, ensuring the Force has sufficient officers and staff with the requisite skills to deliver the Force's priorities. Delivery against the Recruitment Plan is monitored at the monthly recruitment planning meeting which feeds into the workforce planning monthly highlight report. The Recruitment Plan is also reported on at the quarterly Workforce Planning Meetings.
- 7.11 The Estates Blueprint outlines the estates required to meet future demand and design of service. This is to be achieved by maximising the use of the main LPA stations, the modernisation of the existing premises, the rationalisation of surplus property and co-location opportunities with public sector partners alongside the creation of the new Community Safety Hub.
- 7.12 The Force has developed a performance 'dashboard' to take a holistic view to assessing performance and outcomes. The 'dashboard' takes a balanced scorecard approach and links directly to the areas of HMIC inspection activity: organisational effectiveness, organisational efficiency, leadership & people, and legitimacy & integrity. Performance against these areas is assessed on a quarterly basis as part of the Strategic Performance Group (in future the Force Performance Group), and at the PCC's Scrutiny, Delivery & Performance meetings.
- 7.13 During 2015/16, the Force undertook detailed reviews of the three areas that form part of 'Local Policing'; Neighbourhood Policing, Protecting Vulnerable People, and Incident Resolution Teams, to enable Cleveland Police to deliver the right balance of protect, intervene and prevent. During 2017-18 the Force has carried out post implementation benefit realisation reviews to ensure the intended outcomes are being delivered. This review work will continue through 2018.
- 7.14 As part of the creation of the Directorate of Standards and Ethics the Force is seeking to ensure consistent and appropriate outcomes as evidenced by robust processes and procedures to resolve complaints, conduct, and death and serious injury (DSI) following police contact matters; with clear accountability, responsibility and authority for decision-making within a defined Scheme of Delegation and Governance. This will be supported by robust performance scrutiny and internal challenge that ensures high quality investigations and casework leading to the ability to operate in a timely and consistent fashion across all aspects of assessments and casework.

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

- 8.1 The Force structure is designed to manage service delivery whilst ensuring that effective governance is applied throughout the Force. There are three operational delivery commands: Neighbourhood & Partnership Policing, Crime & Justice, and Tasking, Coordinating and Operations. These are supported by

- People & Development, including HR and training
- Legal Services
- Finance, Procurement and Fleet
- Corporate Services including responsibility for corporate planning, transformational change, risk management and service continuity, performance, quality and review and corporate communications.

- 8.2 The Force's People Strategy provides the overarching framework, and sets the strategic direction, for all people services; to ensure that the various aspects of people management work together to develop the performance and behaviours necessary, for the delivery of an effective policing service. The strategy defines the six broad strategic aims that will achieve the Force's 'people vision': *As an employer of choice we create an environment that attracts the right people, develops them to deliver high performance and retains and enables them to contribute meaningfully to the future of the organisation.*
- 8.3 The People Strategy identifies the need for a more inclusive leadership style to achieve the Everyone Matters objectives and better support the wellbeing of our staff. In support of the People Strategy, the Leadership Development Strategy outlines how the Force will promote and develop excellent leadership and management. The strategy identifies the 'Cleveland Leadership Behaviours' that are key to us achieving the Force's Towards 2020 plan, and the people and business skills the organisation needs to develop. This strategy is led by the Organisational Development Manager with monthly project meetings to review delivery.
- 8.4 The Force has a Performance and Development Review (PDR) process for officers and staff. The Force has continued to place emphasis on the use, and benefits of PDRs resulting in a significant improvement in the numbers of officers and staff participating in the process. This work to embed the process will continue throughout 2018-19 with plans for an electronic PDR system to be introduced in late 2018. As part of the PDR process, leaders at all levels are expected to create and manage their own personal development plan based on their performance not just of leading tasks, but leading people and the behaviours they display doing that.
- 8.5 The Workforce Planning meeting considers skills and capability alignment along with talent Management and the succession planning of key roles within commands and departments.
- 8.6 During 2016 the Force commissioned a Staff Survey, following on from the previous survey undertaken in 2014. Answers were scored to show how officers and staff felt about a range of issues, including motivation to serve the public and fairness in the workplace. Compared to the results from the 2014 survey, significant improvements had been made. The results show that officers and staff are highly motivated to serve the public, and that the levels of public service motivation have increased; officers and staff also feel more supported, have greater job satisfaction and reported greater perceptions of procedural justice (fairness). Officers and staff reported feeling less uncertainty and less conflict between work and home life. This has led to increases in the levels of emotional and mental energy officers and staff have to deal with the demands of their roles. The levels of ethical leadership continue to be high. Ethical leadership is key to ensuring people feel supported by the organisation and that fairness is a priority. A further survey is planned for 2018.
- 8.7 The Leadership Development Programmes are being redesigned to dovetail with the work based assessment element of the National Police Promotion Framework (NPPF) and incorporate more soft skills in line with the College of Policing leadership review. A range of leadership continuous professional development (CPD) activities are offered to line managers including courses on people management, 360° feedback, action

learning sets and mentoring. The College of Policing run senior programmes which are accessed by chief inspector rank, police staff equivalents, and above.

- 8.8 The Force identifies suitable candidates to apply for the College of Policing fast track programme, giving active support and development for talented PCs to gain accelerated promotion to inspector level.
- 8.9 Constable recruits undertake a two year probationary period. This consists of an initial 18 week classroom based learning phase followed by an on-the-job tutoring phase of 10 weeks. The remainder of the two year period features work based assessment which leads to the achievement of a level 3 diploma awarded by City & Guilds. The PCSO programme previously consisted of 10 weeks classroom based learning. This has now been amended to include 8 weeks in the classroom followed by on-the-job learning and tutoring, and will be delivered to forthcoming intakes.
- 8.10 The Force has established a Wellbeing Board to take a strategic approach to improving the wellbeing of its officers and staff. The Board is now chaired by the Assistant Chief Officer and meets on a quarterly basis. An assessment against Public Health England's Wellbeing Workplace Charter has been undertaken, identifying areas for improvement that will be taken forward in individual business areas. The Force has an agreed Wellbeing Strategy to promote and maintain a healthy, engaged and motivated workforce.
- 8.11 Wellbeing has been discussed at the supervisors' briefing days to help so that supervisors can identify issues early, with specific contributions from the mental health charity MIND on identifying signs of concern.

9. Principle F – Managing risks and performance through robust internal control and strong public financial management

- 9.1 The Risk and Governance Board (formerly the Risk, Audit and Inspection Monitoring Board (RAIMB)) is well established and continues to meet on a regular basis. This Board provides assurance to the Management Board that strategic and operational risks are being effectively managed and that action to respond to audit findings and recommendations is being taken. Health and safety and business continuity issues are also discussed in these meetings. This board is now jointly chaired by the Assistant Chief Officer and Chief Finance Officer, and includes a representative from Sopra Steria (UK). Updates are presented to the Joint Independent Audit Committee on a six monthly basis.
- 9.2 Cleveland Police has taken an integrated approach to embedding risk management and service continuity planning within the Force via an agreed programme. The programme of reviewing and updating business continuity plans is progressing well on a systematic basis and a programme of testing and exercising against those plans is in place. The Force continues to ensure that robust service continuity plans are in place and that a risk management culture is embedded.
- 9.3 The Force maintains strategic and corporate risk registers along with operational risk registers for each service unit. The risk management process is managed by the Head of Corporate Services with strategic risks being reviewed on a bi-monthly basis at the Risk and Governance Board.
- 9.4 The Force has quarterly Partnership Risk Governance Meetings with our Strategic Partner, Sopra Steria (UK), to ensure that risks continue to be reviewed and mitigated, in areas where the delivery of services has been outsourced.

- 9.5 Each command and department within the Force has a risk 'champion' who has received additional risk management training and meets with the Risk and Insurance Manager on a regular basis to review the department's risk register. All new and emerging risks that are identified during these meetings that may be considered to be a strategic risk, are remitted to the Risk and Governance Board for moderation and agreement before being included on the strategic risk register.
- 9.6 The Force has an agreed Performance & Accountability Framework with the PCC which includes a timetable of Scrutiny Meetings chaired by the Police and Crime Commissioner. The reports and minutes from these meetings are available on the PCC's website. Terms of reference and a programme of work have been agreed for these meetings to minimise bureaucracy and duplication.
- 9.7 The Force Performance Management Framework is well established through the monthly Force Performance Group (formerly the quarterly Strategic Performance Group and monthly Tactical Performance Group). The PCC has a standing invitation to attend these meetings to see first-hand the Force's scrutiny of performance. The performance of the Police Operational Services provided by Sopra Steria (UK) are also discussed at the Force Performance Group.
- 9.8 Following the re-specification, redesign and reconfiguration of the outsourcing contract with Sopra Steria (UK) new governance arrangements and performance management framework were introduced which are written into the contract. These comprise of quarterly and annual reports to the OPCC, monthly reporting to the Partnership Performance Board, and monthly reporting to the Partnership Performance Review meetings within each operational area. There is a suite of quality indicators that must be supplied on a monthly basis, along with management information designed for each area. The critical shift is a focus on quality rather than just numbers. The areas of issue around service delivery are scored using a performance framework escalating where necessary.
- 9.9 The Force works closely with the team in the OPCC responsible for overseeing the management of the Sopra Steria (UK) outsourcing contract and adherence to the Governance Schedule.
- 9.10 There is a governance schedule for all of the strategic contracts, which include regular contract and performance meetings with both the PFI board, and their appointed facilities management providers Tascor FM (for PFI Action Stations), Engie for the PFI Tactical Training Centre at Uxley Nook; and Mitie Care & Custody for the Custody Management and Medical Services elements (since July 2017).
- 9.11 The Force has taken a strategic approach to audit and inspection activity, prioritising resources towards preparation for Police Effectiveness Efficiency & Legitimacy (PEEL) Inspections. This approach has been led by the Performance Quality & Review (PQR) Team and is focussed on self-assessment against the HMIC question sets, providing evidence of compliance, or taking remedial action, and integrating into business as usual where appropriate. The team also ensure that any 'areas of improvement' that are issued as a result of an inspection are implemented as agreed.
- 9.12 The Force and the OPCC for Cleveland have a shared internal audit service, and agree a programme of internal audit work at the start of each financial year. During the financial year 2017-18, as well as follow up on previous recommendations, Internal Audit have completed audits in the following areas:
- Strategic control and corporate governance
 - Business continuity
 - ICT business continuity
 - Cyber security

- Key financial controls
- Payroll
- Purchase cards
- Budgetary control
- Estates management strategy
- Fleet management
- Absence management and occupational health
- Corporate communications
- Seized cash
- Freedom of information, data protection and document security

These reports were presented to, and scrutinised by, the Joint Independent Audit Panel. The reports are made available on the Police & Crime Commissioner's website.

- 9.16 The Police and Crime Commissioner for Cleveland and Cleveland Police Joint Corporate Governance Framework includes the Contract Standing Orders, Financial Regulations and Scheme of Delegation, along with the roles and responsibilities of chief officers. The Framework is reviewed on an annual basis, and the outcome of the review is reported to the Joint Independent Audit Committee.
- 9.17 In line with the Contract Standing Orders, the Force reports to the Joint Independent Audit Committee all instances of exemptions to these standing orders, on a six monthly basis.
- 9.18 Regular budget monitoring reports, including an analytical review, are produced for all budget holders and are underpinned by monthly 'budget clinics' between the budget holder and Finance Business Partner.
- 9.19 As part of the approved Audit Plan for 2016/17, Internal Audit undertook an assessment of the Force's key financial systems to evaluate the adequacy of the controls to ensure the systems and processes were operating effectively. Internal Audit reported that the Police and Crime Commissioner and Chief Constable of Cleveland can take reasonable assurance that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively".⁶
- 9.20 Cleveland Police adopted the Government Security Classification (GSC) in April 2016, which describes the required technical, physical, personnel and procedural security control measures that are commensurate with different classifications of data. All staff were instructed to complete the mandatory GSC e-learning package, so a basic level of GSC understanding is in place. The GSC is compliant with the Principle 7 security requirements of the Data Protection Act (DPA) (1998) which will be updated following the introduction of GDPR in May 2018.
- 9.21 Police forces are expected to implement the baseline security controls as described in the NPIRMT Governance & Information Risk Return, which is managed by the Information Security Manager working closely with the ICT Department. In addition, the Information Security Manager conducts security reviews both internally and externally to ensure that police data is appropriately secured. These reviews culminate in the issue of recommendations for improvement where needed.
- 9.22 The Force has designated the Deputy Chief Constable as the Senior Information Risk Owner (SIRO), with responsibility for information assurance governance and risk ownership in the organisation; including shared risks with other organisations, partnerships and third party suppliers. Specifically, the function of the SIRO is to

⁶ Assurance Review of Key Financial Controls, TIAA November 2017

understand how the strategic business goals of the organisation may be affected by failures in the secure use of the organisation's information systems, to ensure that information risks are managed and to accept or decline to accept any residual risk.

- 9.23 The Force Information Security Manager meets with the SIRO on a fortnightly basis, and has direct access to discuss urgent issues outside of these meetings when necessary.
- 9.24 An information security questionnaire is issued by Cleveland Police to information sharing partners to support all information sharing agreements. This is intended to provide the Force with an adequate level of assurance that information provided will be appropriately handled, stored, disseminated and disposed of when no longer needed.
- 9.25 Annual reports on information security are presented to the Joint Independent Audit Committee to provide assurances that Cleveland Police has implemented the necessary technical, physical, personnel and procedural security controls to protect its information and satisfy national information assurance requirements that are pertinent to the government and policing. These reports are available on the PCC's website.
- 9.26 Cleveland Police has adopted the College of Policing's Authorised Professional Practice (APP) for data protection and information sharing. APP is the official source of professional practice on policing.
- 9.27 The Force conducts regular thematic audits on compliance with National Standard for Incident Recording (NSIR) and National Crime Recording Standards (NCRS). Headline figures are reported to the Force Performance Group, and the detailed results are reviewed at the NCRS Board. A detailed action plan is in place to monitor and improve compliance. Delivery against this plan is reviewed by the NCRS Board.
- 9.28 External Audit issued an unqualified opinion on the 2017-18 Statement of accounts which included issuing an unqualified value for money conclusion for the 2017-18 financial year.

Comment [HT(2)]: To be updated following issue of relevant documents

10. Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability

- 10.1 The National Decision Model uses the Code of Ethics and Force's values as the core of the decision-making process, ensuring they are at the heart of every decision made.
- 10.2 All decision making is carried out in accordance with the Police and Crime Commissioner for Cleveland and Cleveland Police Corporate Governance Framework including Contract Standing Orders, Financial Regulations and Schemes of Delegation.
- 10.3 The governance arrangements ensure that when making key decisions, the Force considers the appropriate legal, financial, human resources and other professional advice as part of the decision-making process.
- 10.4 The Force Management Board continues to meet on a monthly basis to provide a delivery focussed, cohesive, holistic and supportive approach to developing and delivering services. The meeting records and decisions, including the decision rationale, from the 'open' sessions of the meeting are published on the Management Board Intranet site which is available to all officers and staff. The Management Board and the Towards 2020 Board are the main forums where organisational decisions are made.
- 10.5 The PCC maintains appropriate oversight and scrutiny of the Force decision making through weekly meetings with the Chief Constable, the receipt of update reports to the

scrutiny meetings and by attending the Force Performance Group. All reports presented to the PCC are available on the PCC's website.

- 10.6 The Annual Governance Statement (AGS) is prepared in consultation with the PCC's Chief Finance Officer to ensure any areas of overlap are consistent. The AGS is published on the Force website along with the Statement of Accounts. Updates on the action taken to address the significant governance issues identified in the AGS is reported to the Joint Independent Audit Committee. This report is publicly available on the PCC's website.
- 10.7 There is an established Joint Independent Audit Committee for Cleveland Police and the Police and Crime Commissioner, with agreed Terms of Reference and a programme of work for the year. During 2017-18 the Committee met formally on 4 occasions to conduct its business. The meetings are held in public, and the agenda, papers and minutes of meetings are available on the PCC's website.
- 10.8 The Audit Committee members have scheduled meetings with the Internal and External Auditors in private at the start of each Audit Committee meeting, in line with good practice.
- 10.9 Internal Audit report to the Chief Finance Officers for the Force and the PCC, and the Audit Committee. Internal audit work is planned using a risk-based approach that aims to ensure that the Chief Finance Officers' responsibilities under Section 151 are fulfilled and that an effective internal audit service is provided.
- 10.10 The Force is subject to an extensive inspection regime by Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) and the results of these are published on their website to ensure appropriate scrutiny of decision making. The Force has a process for reviewing and assessing the recommendations arising from HMICFRS reports, coordinated by the Performance, Quality & Review Team. The implementation of these recommendations continues to be managed by the HMIC Monitoring Board.
- 10.11 The Force presents six monthly updates to the Audit Committee on the progress of implementing recommendations arising from internal audit reports and HMICFRS inspections. This is supplemented by the annual follow up audits that form part of the agreed Internal Audit Plan. These reports are available on the PCC's website as part of the papers for the Audit Committee.
- 10.12 The Joint Independent Audit Committee prepare an Annual Report to provide assurance to the PCC and Chief Constable that the Committee is satisfactorily undertaking its role and responsibilities. The report provides the PCC and Chief Constable with assurance that the Committee has fulfilled its terms of reference and demonstrates the added value that has been delivered by the Independent Committee to both the PCC and Chief Constable.
- 10.13 Quarterly briefing sessions are held to update all supervisors on the future direction of the organisation and enable supervisors to cascade the key messages to officers and staff.
- 10.14 The outcomes from misconduct hearings are published on the Force website, including occasions where officers have resigned prior to a hearing. Misconduct meetings are held in public and details of how to apply to attend hearing are displayed on the website.

11. Review of Effectiveness

- 11.1 Public sector organisations have a responsibility for conducting, at least annually, a review of the effectiveness of the governance framework, including the system of internal control. This review of effectiveness is informed by the work of the Chief Officers of the Force who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's Annual Report, and also by comments made by the external auditors and other review agencies and inspectorates.
- 11.2 Police forces are subject to a stringent inspection regime by HMICFRS. Cleveland Police has taken a strategic approach to inspection activity, prioritising resources towards preparation for Police Effectiveness, Efficiency & Legitimacy (PEEL) Inspections. This approach focuses on self-assessment against the question sets, providing evidence of compliance, or taking remedial action, and integrating into business as usual where appropriate. The success of this approach has been demonstrated by the Force moving from an overall 'requires improvement' grade to 'good'.
- 11.3 In line with the Financial Management Code of Practice for the Police Service of England and Wales, the Force and the Office of the Police & Crime Commissioner for Cleveland have agreed to a shared internal audit service. This service was provided by TIAA Ltd during 2017-18.
- 11.4 Internal auditors in the public sector are required to work to the *Public Sector Internal Audit Standards (PSIAS)*, which are based on the *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors and which also adopt the institute's definition of internal auditing and code of ethics.
- 11.5 The Head of Internal Audit is required to include in the annual internal audit report an opinion on the internal control environment; providing any details of weaknesses that qualify this opinion and bringing to the attention of the Audit Committee any issues particularly relevant to the preparation of this Annual Governance Statement. The Audit Committee formally received the Internal Audit Annual Report for 2017-18 at their meeting in May 2018.
- 11.6 The Internal Audit Annual Report 2016/17 states that the organisation has an adequate and effective framework for risk management, governance and internal control.
- 11.7 External Audit Services to Cleveland Police and the Office of the Police & Crime Commissioner for Cleveland is provided by Mazars. In their annual audit letter they report on the Forces' accounts; and whether the Force has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. For 2016/17 the External Auditors gave an unqualified opinion on the Chief Constable's financial statements, and concluded that the Chief Constable had proper arrangements to ensure economy, efficiency and effectiveness in the use of resources.
- 11.8 In line with the Joint Independent Audit Committee's Terms of Reference, the draft Annual Governance Statement is shared with Members for consideration, prior to publication alongside the Statement of Accounts.

Comment [HT(3)]: To be updated following issue of relevant documents

Comment [HT(4)]: To be updated following issue of relevant documents

12. Evaluation

- 12.1 Following this review, governance and decision making arrangements continue to be regarded as fit for purpose in accordance with the governance framework

13. Significant Governance Issues

- 13.1 The following matter has been classified as significant :

- The introduction of the EU General Data Protection Regulation (GDPR) replaces the Data Protection Directive and is designed to harmonise data privacy laws across Europe, to protect and empower all EU citizens' data privacy and to reshape the way organisations across the region approach data privacy. The UK Data Protection Bill is the UK version of GDPR. Enforcement of this regulation commences on 25 May 2018 - at which time those organisations in non-compliance may face heavy fines. The Force must be ready to comply with GDPR legislation or face the risk of financial penalties.

- 13.2 In addition to the significant governance issue there are also some specific issues which require further/continued focus:

- Findings from various hearings including employment tribunals and disciplinary cases raised some concerns and questions about our handling of professional standards issues. The Chief Constable has taken swift action and has instigated a full peer review of the Professional Standards Department.
- The Force continues to deliver the 'Everyone Matters Equality Diversity and Human Rights Strategy 2017–2020'; ensuring inclusion, equality, diversity and human rights are fully embraced in both our service delivery and employment, and is a key priority for the Force.
- Following CSR 2015 and the 'protection' of police service funding, the Force has worked with the PCC to agree a level of funding that will sustain the Towards 2020 operating model over the lifetime of the plan. Consequently, the Force is projecting a break-even position for each year of the plan. The financial balance is dependent upon aligning our work streams with the agreed establishment and some further cost reduction initiatives. In December 2017 the Government issued a one year settlement for 2018-19 and stated that should forces nationally provide suitable evidence detailing continued efforts to reduce costs and make further efficiencies then they would offer these same settlement assumptions in 2019-20. The Force predicts a break even budget for 2019-20 onwards using these assumptions and therefore if these assumptions differ following the inability of forces to make sufficient efficiencies, this then presents a potential risk.

- 13.3 A plan describing the action to be taken to address these issues, and any updates on progress, is shown at Appendix 1.

Mike Veale
Chief Constable
Cleveland Police

Jo Gleeson
Chief Finance Officer
Cleveland Police

Brian Thomas
Assistant Chief Officer
Cleveland Police

Date

Comment [HT(5): Amend date of signature

Appendix 1

Governance issues to address during 2018-19

Significant Governance Issue	
Issue/Area for concern	The introduction of the EU General Data Protection Regulation (GDPR) replaces the Data Protection Directive and is designed to harmonise data privacy laws across Europe, to protect and empower all EU citizens' data privacy and to reshape the way organisations across the region approach data privacy. The UK Data Protection Bill is the UK version of GDPR. Enforcement of this regulation commences on 25 May 2018 - at which time those organisations in non-compliance may face heavy fines. The Force must be ready to comply with GDPR legislation or face the risk of financial penalties.
Action	A team is currently working to conduct a gap analysis to gauge our current position in relation to readiness for complying. A full audit of all personal data (hard copy and electronic) must be conducted. An action plan has been developed to cover the 12 steps prescribed by the ICO including data accuracy, retention and deletion. Plans are in place to review documentation in storage which will be completed by the end of 2018. Along with the development of a strategy on the future approach to document management.
Owner	Data Protection Officer
Target Imp date	Dec 2018

Comment [HT(6)]: To be confirmed

Appendix 1

Issue for continued focus 1	
Issue/Area for concern	Findings from various hearings including employment tribunals and disciplinary cases raised some concerns and questions about our handling of professional standards issues. The Chief Constable has taken swift action and has instigated a full peer review of the Professional Standards Department.
Action	<p><u>Action</u></p> <p>The Transforming Professional Standards programme has been established to review our approach to this issue. One of the overarching principles of this work is to embed a culture of integrity, fairness and impartiality, and to enhance the organisation's reputation as evidenced by a strict adherence to the regulatory and legislative framework with demonstrable, auditable transparency in decision making and procedures together with effective internal and external mechanisms to provide challenge and accountability.</p> <p><u>Update</u></p> <p>The programme has resulted in the creation of the Directorate of Standards and Ethics (DSE), including restructuring and the appointment of a police staff head of department.</p> <p>All the investigators within the DSE are now trained and qualified detectives with the requisite skills, knowledge and experience to perform the role of Investigator. All staff have received training on regulations, process and regulatory compliance in a series of CPD courses and events. The Head of DSE and deputy who perform the role of "Appropriate Authority" (AA) have both completed the first national AA course.</p> <p>The Force has seen notable performance improvements including greater proportionality in decision making, a large fall in the number of suspended officers, a significant decrease in the number of gross misconduct assessments and a reduction in the number of misconduct proceedings.</p> <p>There has been a substantial reduction in timeliness for completion of investigations.</p> <p>The Force is achieving a 95% rate for recording of complaints within 10 days which places us within the top quartile of forces in the country.</p> <p>In the latest IOPC data to the 31.12.17 the Force was ranked as 7th in the country for average number of days to finalise a complaint.</p> <p>In line with HMICFRS recommendations the Force has implemented a counter corruption system to enable further preventative work to be completed.</p>
Owner	Head of DSE
Target Imp date	TBA

Appendix 1

Issue for continued focus 2	
Issue/Area for concern	The Force continues to deliver the 'Everyone Matters Equality Diversity and Human Rights Strategy 2017–2020'; ensuring inclusion, equality, diversity and human rights are fully embraced in both our service delivery and employment, and is a key priority for the Force.
Action	<p><u>Action</u></p> <p>The Everyone Matters Strategy is underpinned by three strategic delivery plans:</p> <ul style="list-style-type: none"> • Serving Our Communities - Ensuring that we deliver policing services that are accessible, responsive and meet the needs of all our communities. • Supporting Our People - Ensuring our working environment is supportive and inclusive of all, enabling officers and staff to develop and flourish. • Organisational Processes - Ensuring that our organisational processes demonstrate equality for all and are applied in a manner which demonstrates organisational justice. <p>Delivery of these plans is overseen by the monthly Everyone Matters Strategy Board, chaired by the Chief Constable.</p> <p><u>Update</u></p> <p>The Force continues to promote and develop its Everyone Matters Equality Diversity and Human Rights Strategy 2017-2020. A copy of the updated strategy has been taken through the February Management Board and the March Audit Committee.</p>
Owner	Strategic Head of HR
Target Imp date	TBA

Appendix 1

Issue for continued focus 3	
Issue/Area for concern	<p>Following CSR 2015 and the 'protection' of police service funding, the Force has worked with the PCC to agree a level of funding that will sustain the Towards 2020 operating model over the lifetime of the plan. Consequently, the Force is projecting a break-even position for each year of the plan. The financial balance is dependent upon aligning our work streams with the agreed establishment and some further cost reduction initiatives. In December 2017 the Government issued a one year settlement for 2018-19 and stated that should forces nationally provide suitable evidence detailing continued efforts to reduce costs and make further efficiencies then they would offer these same settlement assumptions in 2019-20. The Force predicts a break even budget for 2019-20 onwards using these assumptions and therefore if these assumptions differ following the inability of forces to make sufficient efficiencies, this then presents a potential risk.</p>
Action	<p><u>Action</u></p> <p>Work continues throughout 2018-19, with both operational and enabling services teams, to ensure that the agreed establishment is not only achieved but that the right mix of officers and staff are aligned to the right roles at the right time enabling the Force to work as efficiently and effectively as possible.</p> <p>Risks to the delivery of the LTFFP will continue to be reviewed on a monthly basis as part of the Corporate Financial Monitoring Report.</p> <p>Close working with the PCC's CFO will continue.</p> <p><u>Update</u></p> <p>The Force has reviewed all of its work streams that were included within the Financial Sustainability Plan 2017-18 and implemented the changes that have been identified and this has led to the Force being able to set a balanced budget for 2018-19 through to 2021-22. The savings have been made mainly through workforce modernisation, management structures review, deep dives and review of all non-pay budgets.</p>
Owner	CFO
Target Imp date	Ongoing