

**NOT PROTECTIVELY MARKED**

**Report of the Chief Constable to the Chair and  
Members of the Audit Committee**



**15<sup>th</sup> December 2022**

**Presenting Officer: Louise Solomon, Head of Corporate Services**

**Status: For Information**

**Update report on Areas for Improvement identified by His Majesty's Inspectorate of  
Constabulary and Fire and Rescue Service (HMICFRS)**

**1. Purpose**

- 1.1 The purpose of this report is to provide an update on the Force's current position in relation to outstanding areas of improvement and recommendations made by His Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS) together with information on ongoing and planned future inspection activity.

**2. Background**

- 2.1 HMICFRS inspection activity (both local and thematic) can result in a force being issued with areas for improvement and/or causes of concern with appropriate recommendations.
- 2.2 If HMICFRS identifies an aspect of a force's practice, policy or performance that falls short of the expected standard, it will be reported as one or more area(s) for improvement (AFI). AFIs are not accompanied by a recommendation.
- 2.3 Identification of a serious or critical shortcoming in a force's practice, policy or performance, will be reported as a cause of concern. A cause of concern will always be accompanied by one or more recommendations.
- 2.4 The Force is currently managing a number of causes of concern, recommendations and AFIs resulting from both local and national HMICFRS inspection activity. As reported previously, all AFIs and recommendations have a designated Force lead and local delivery lead who are responsible for driving and coordinating improvement activity. This information is recorded by the Force HMICFRS Liaison Officer who maintains a local register which details each improvement required, the originating inspection and the governance board/group responsible for monitoring and tracking progress.
- 2.5 HMICFRS also maintain a monitoring portal, which is a live database detailing causes of concern, recommendations and areas for improvement made to all police forces. The information held on the monitoring portal is not a direct match to the information held on the local register due to timing delays in information being added to, removed from or updated on the portal. This is an acknowledged issue which is outside of the Force's control.

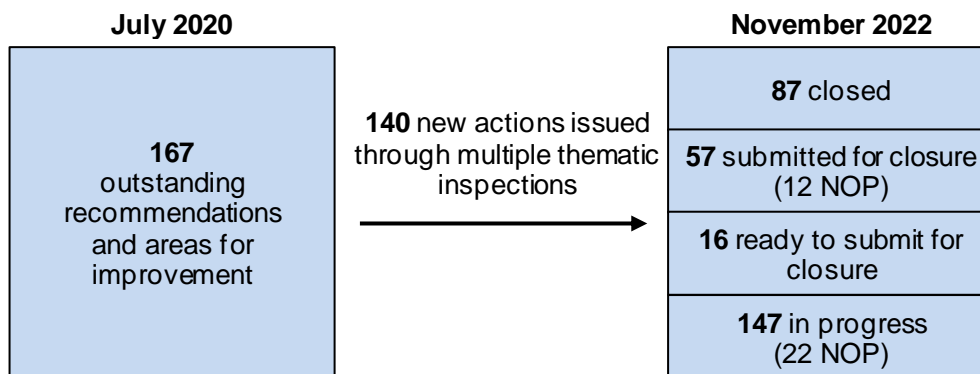
- 2.6 Following an inadequate grading in 2019 across all three areas of the Integrated PEEL (Police Efficiency, Effectiveness and Legitimacy) inspection the Force was issued with six causes of concern and entered the 'engaged' phase of HMICFRS monitoring. A further three causes of concern were issued in August 2021 following an inspection of the Force's custody arrangements. The Force remains engaged with HMICFRS and is subject to quarterly performance monitoring via the Police Performance Oversight Group.

### 3. Current position

- 3.1 The table and chart below provide a breakdown of all 'live' improvements required (as at 21<sup>st</sup> November 2022) by type and origin as recorded on the local register, together with an overview of progress made since July 2020.

Inspection type	Causes of Concern	Recommendations	Areas For Improvement
Local PEEL	6	19	11
National PEEL	1	6	1 (NOP)
National DA PEEL	0	1	0
NCPI	0	7	0
CDI	1	1	0
Custody	3	3	5
Other National	6	150 (32 NOP)	16 (1 NOP)
<b>Total</b>	<b>17</b>	<b>187 (32 NOP)</b>	<b>33 (2 NOP)</b>

NOP – Not on HMICFRS portal



- 3.2 Work continues to address the issues previously highlighted by HMICFRS and since the last update provided to the Audit Committee in June 2022, progress has been formally assessed as part of the Force's latest PEEL inspection. Cleveland was one the last forces to be inspected as part of the current round of PEEL inspections and the final evidence gathering window ended in early November. HMICFRS made a commitment to review as many of the Force's outstanding AFIs and recommendations as possible (including non-PEEL items) during their inspection activity, including those already submitted for closure, and additional resource has been secured to support this work, which remains ongoing. Whilst the HMICFRS portal will be updated as part of this process, the final inspection report will not be published until March 2023. This will provide a comprehensive position statement of where the Force is now and the work that still needs to be done.

#### **4. 2023/25 PEEL inspection programme**

- 4.1 From 2021/22 the integrated PEEL inspection programme moved to an intelligence-led continuous assessment approach. This involves a rolling programme of evidence collection taking into account information from a wide range of sources including Force Management Statements (FMS); findings from thematic inspections; crime data integrity findings; progress against causes of concern and areas for improvement; and Force Liaison Lead (FLL) knowledge and insight.
- 4.2 Following an evaluation of the 2021/22 inspection cycle, HMICFRS have reviewed the PEEL programme taking into account changes in the policing landscape and findings from the first round of continuous assessment. As a result, the following changes have been made for the next inspection round (2023/25) which aim to maintain the quality and robustness of the inspection, whilst reducing its intensity:
- a) An updated PEEL Assessment Framework (PAF) – copy attached at Appendix C
  - b) A refined document request
  - c) Streamlined inspection activities
  - d) Clearer sequencing of inspection
  - e) A further evolution of the COUNT (collect once use numerous times) principle
  - f) Better use of data from other sources.
- 4.3 The PEEL inspection schedule for 2023/25 has now been published and the key dates for Cleveland are shown in the table below.

<b>Date</b>	<b>Activity</b>
31 <sup>st</sup> October 2023	Evidence gathering window opens
23 <sup>rd</sup> September 2024	PEEL Assessment and Resourcing Meeting (PARM) to inform final evidence gathering
21 <sup>st</sup> October 2024	Final evidence collection phase commences (2 weeks)
March 2025	Report publication

#### **5. Governance and scrutiny arrangements**

- 5.1 Prior to August 2022, the governance and scrutiny arrangements associated with HMICFRS fell under the responsibility of the Deputy Chief Constable led Inspection and Audit Monitoring Board, with routine progress monitoring of AFIs and recommendations delegated to the appropriate Delivery and Assurance Group. Following a review of the Force's corporate meeting framework which identified the need for a single governance meeting to manage all inspection, risk and audit related activity, this Board has now merged with the Risk and Governance Group to form a new Audit Inspection and Risk (AIR) Board. The terms of reference for the AIR Board are attached at Appendix A.
- 5.2 To provide greater clarity on the Force's approach to HMICFRS activity, a detailed process flow has been developed (copy attached at Appendix B). This illustrates the 'end to end' process followed from the Force receiving a notice to improve through to an action being formally closed by HMICFRS, and shows who is responsible at each stage. As part of our approach to continuous improvement, facilitated sessions are

now held with newly assigned action owners to assess the current position and develop an improvement plan which must then be formally approved by the AIR Board. This additional step has been introduced to ensure that all improvement activity is correctly targeted to deliver the outcomes required.

- 5.3 At present, recommendations and areas for improvement can only be closed by HMICFRS upon assessment of supporting evidence provided by the Force. This is a multi-stage approval process which can be lengthy, as evidenced by the high number of Cleveland actions currently awaiting closure assessment, some of which were submitted to HMICFRS in April 2021. However, HMICFRS have recently announced intended changes which will expedite this process and delegate closure authority to Chief Constables and Inspection Teams in specified circumstances. Further details are expected shortly and once received the Force's internal processes will be revised to incorporate any additional requirements. Furthermore, upon conclusion of the current inspection process, a monthly AFI/recommendation review meeting with the Force's HMICFRS Liaison Lead will be introduced to ensure the timely review and assessment of progress.
- 5.4 The Force's arrangements for HMICFRS recommendation tracking were reviewed by RSM in February 2021 and an audit opinion of reasonable assurance was issued with two medium priority actions. Both actions were immediately addressed and formally closed as implemented in the follow-up review published in September 2021. A further audit is scheduled for March 2022 but a request is to be submitted for this to be delayed until 2023/24 due to the ongoing review work being undertaken by HMICFRS and pending inspection report publication.

## **6. Other inspection activity**

- 6.1 In addition to the PEEL continuous assessment process, the following thematic inspections are still pending within HMICFRS's planned schedule for 2022/23, although it is unknown at this stage whether Cleveland will be involved:
- race and policing programme – national leadership
  - ethnic disproportionality in the criminal justice system
- 6.2 Future areas for inspection are detailed within a three-year plan which runs up to the end of 2024/25 and includes thematic areas alongside HMICFRS's normal cycle of inspections (e.g. custody, NCPI, JTAI etc.) and the completion of bespoke follow up inspections to assess forces' progress against recommendations from previous inspection reports. This includes a proposed inspection of the investigation and prevention of homicide which is anticipated to take place in February/March 2023. Future updates will be provided as and when Cleveland's involvement is confirmed.

## **7. Conclusion**

- 7.1 The Force continues to take a robust approach to tackling the required improvement activity identified by HMICFRS with significant progress being made. New governance arrangements are working effectively with regular monitoring and scrutiny in place, and additional resources have been invested to ensure that the Force is well prepared in advance of future inspections and has a clear understanding of any gaps against the required standards. The ongoing continuous

assessment process will provide a comprehensive assessment of the Force's progress and the Force remains confident that improvements will be evidenced and acknowledged across a number of areas.

## Terms of Reference



### Audit, Inspection and Risk Board

#### Purpose

To provide a mechanism through which the Chief Officer lead is assured of:

- the Force's readiness for HMICFRS and other inspection/audit activity and its response to areas for improvement arising from such activity
- the Force's ability to meet the defined quality and standards contained within the HMICFRS inspection framework
- the appropriate identification, assessment and management of key risks to the organisation
- the identification of best practice to enhance the service we provide to our communities
- the existence of robust and tested business continuity plans
- the Force's approach to health and safety audit and inspection

#### Core activities

- To monitor Force activity in relation to existing causes of concern, areas for improvement and recommendations for change arising from external inspection, audit or other regulatory bodies
- To oversee the development of practice and procedures that will deliver identified areas for improvement
- To oversee the on-going development of the Force in relation to its effectiveness, efficiency and legitimacy through PEEL, within a culture of continuous improvement
- To provide assurance that products coming out of audit and inspection work are embedded and being used effectively to drive performance in the organisation
- To ensure that the Force is able to demonstrate and evidence the outcome and impact of its improvement activity at both a tactical and strategic level
- To lead and oversee the Force's approach to HMICFRS inspection planning and preparation
- To consider any identified areas of risk and commission further internal inspection and review work as necessary
- To identify recommendations and areas for improvement which are suitable for local. Closure (where appropriate) or submission to the HMICFRS to request closure
- To review the findings of new reports by HMICFRS and other audit/regulatory bodies and assign an appropriate lead officer to oversee the development of action plans to deliver the required improvements
- To conduct an annual review of the risk management policy including the organisation's risk appetite
- To regularly review organisational risk and the actions being taken to mitigate those risks
- Identifying trends emerging from internal and external audit and risk management activity
- To consider the Chief Constable's insurance programme
- To approve and monitor the programme of health and safety audits and inspections and delivery of resulting actions.

Membership	
<b>Members</b>	Deputy Chief Constable (Chair) Assistant Chief Constables (Deputy) Director of Finance and Assets Director of People and Development Chief Superintendents Head of Corporate Services Head of Collaborated Legal Services Head of Performance, Quality and Review PQR Review Inspector Risk and Insurance Manager Business Continuity Manager HMIC Governance Officer Head of Corporate Communications SIT Programme Manager Health and Safety Officer  If members are unable to attend, a suitably briefed deputy should be nominated who is empowered to make decisions on their behalf.

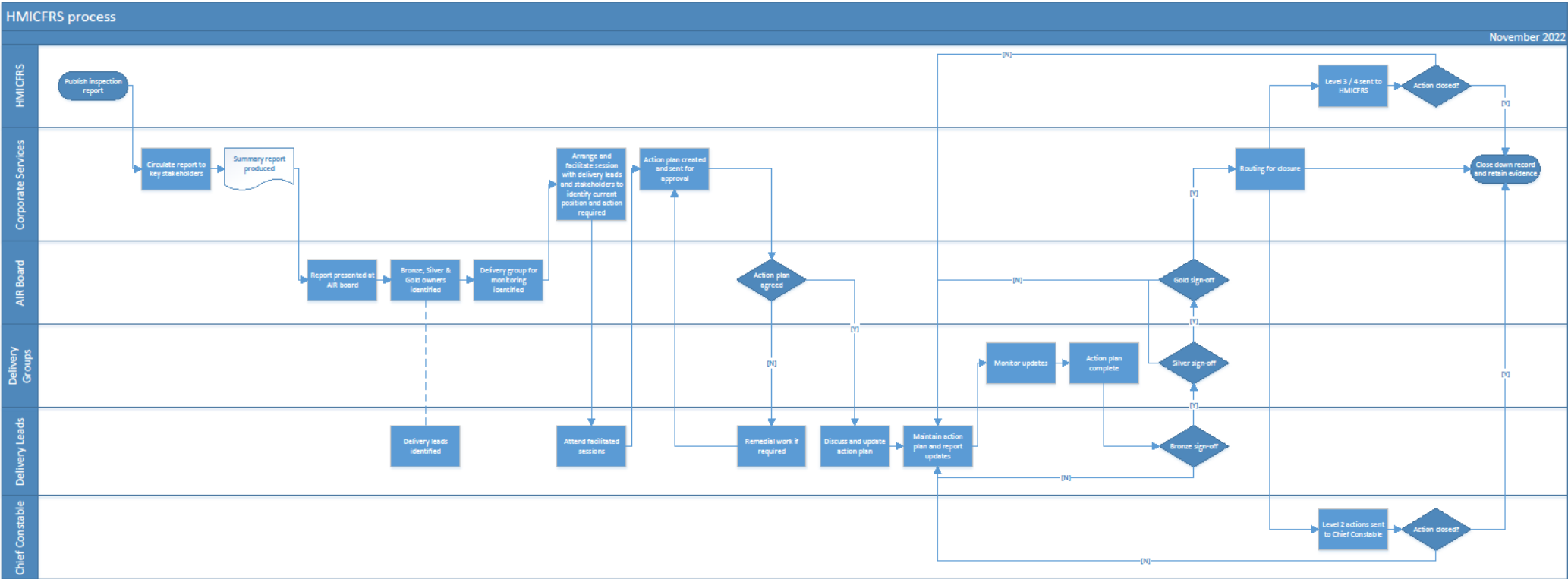
Frequency
Monthly

Governance	
<b>Agenda compilation</b>	Executive Support
<b>Notes taken by</b>	Executive Support

## Document Control

Version	Date	Status
0.1	July 2022	Draft for consideration by the group Produced following agreement of updated decision-making framework
1.0	August 2022	Amended following feedback from the Group
1.1	Nov 2022	Revised to exclude more explicit reference to health and safety responsibilities

HMICFRS Process Flow





## PEEL Assessment Framework (PAF) 2023 - 2025

The following core questions, topic areas and characteristics of good will be assessed.

Topic areas		Characteristics of good
<b>1. How good is the force's service for victims of crime?</b>		
1	The force manages incoming calls, assesses risk and prioritises its response well.	<p>1. The force answers 999 calls to the standards set out in the National Contact Management Strategy. And only a low number of callers hang up before their 101 calls are answered.</p> <p>2. The call handler correctly records the details of the call and identifies vulnerability, including repeat callers and others in the household. They use and correctly record a structured initial triage and complete a risk assessment to inform the prioritisation to give the call and provide the most appropriate response to the caller.</p> <p>3. Call handlers act politely, appropriately, and ethically and use clear, unambiguous language. They give appropriate advice on safeguarding and evidence preservation.</p>
2	The force deploys its resources to respond to victims and incidents in an appropriate manner.	<p>1. The force responds to calls for service within its published time frames, which are consistent with the prioritisation given to the call. It changes the prioritisation given to the call only if appropriate.</p> <p>2. The force provides an appropriate response. It takes into consideration risk and victim vulnerability, including information obtained after the initial call (such as information from the public, officers or systems checks).</p>
3	The force's crime recording can be trusted.	<p>1. The force is effective at recording reported crime.</p> <p>2. The force's systems and processes support accurate crime recording.</p> <p>3. The force's leaders maintain oversight of the force's processes for crime recording and strive to make sure that they meet national standards.</p>
4	The force carries out a proportionate, thorough, and timely investigation into reported crimes.	<p>1. All investigative opportunities are considered. And those which are proportionate are carried out in a timely manner.</p> <p>2. The force enables victims to access their rights under the Code of Practice for Victims of Crime.</p> <p>3. The force makes sure that its line managers supervise and review investigations appropriately</p>
5	The force makes sure that it follows national guidance/rules for deciding which outcome code it assigns to each report.	<p>1. When making a decision on an outcome, the force's systems and processes make sure that appropriate consideration is given to the nature of the crime, the offender, and the victim.</p>
<b>2. How good is the force at treating the public fairly, appropriately, and respectfully?</b>		
1	The workforce interacts with the public fairly and respectfully.	<p>1. Officers are effective at communicating and interacting with the public without bias. They consider the needs of their communities.</p>

		2. The force uses body-worn video in all appropriate use of force and stop and search encounters in line with its policy and national mandates. Interactions between officers and the public are improved as a result.
2	The force uses stop and search powers fairly and respectfully.	<p>1. Forces make appropriate use of stop and search as an investigative tactic and can show that its use is fair and effective.</p> <p>2. The force acts upon scrutiny and challenge it receives from an external independent forum to improve officers' use of stop and search powers.</p>
3	Officers' use of force is fair and appropriate.	<p>1. The force understands how, and with what impact, its officers use force and can show that this is fair and appropriate.</p> <p>2. The force acts upon scrutiny and challenge received from an external independent forum to improve how officers use force.</p>
<b>3. How good is the force at preventing and deterring crime, anti-social behaviour (ASB) and vulnerability?</b>		
1	At its core function, the force prioritises the prevention and deterrence of crime, ASB, harm and vulnerability.	<p>1. The force uses its own and shared data to identify and prioritise vulnerable people, groups, and locations, repeat ASB, victims and suspects.</p> <p>2. Working in partnership, the force uses primary, secondary and tertiary prevention initiatives to deter and tackle crime and ASB. It also uses these initiatives to reduce harm, vulnerability, offending and repeat demand.</p> <p>3. The force provides a sustainable neighbourhood policing model that can provide positive long-term solutions to community problems.</p>
2	The force uses partnership-orientated evidence-based problem-solving to reduce and prevent long-term crime, ASB, harm and vulnerability.	<p>1. The force understands and demonstrates a long-term commitment to problem-solving and evidence-based policing. It maximises opportunities to prevent public harm and reduce demand through working with partner organisations.</p> <p>2. The force has systems and processes in place to consistently evaluate and share problem-solving.</p>
3	The force actively seeks views and support from its communities.	<p>1. The force uses two-way community engagement, showing that it understands, listens and responds to what matters to its communities.</p> <p>2. The force uses community engagement to gather information and intelligence to address local, force and national priorities.</p> <p>3. The force empowers local people to become involved in local policing activity.</p>
<b>4. How good is the force at responding to the public?</b>		
1	The force has effective oversight of its response to public contact and understands risk effectively at first point of contact.	<p>1. The force has an effective management structure in place that provides appropriate governance and oversight of the control room. Senior leaders take an active interest in the control room.</p> <p>2. The force answers 999 calls to the standards set out in the National Contact Management Strategy. And only a low number of callers hang up before their 101 calls are answered.</p> <p>3. The public can contact the force through appropriate, accessible and monitored channels to report a crime.</p>

		4. The force understands and promptly identifies vulnerability at first point of contact. This includes repeat callers and others in the household.
		5. The call handler uses and correctly records a structured initial triage and completes a risk assessment to inform the prioritisation to give to the call and provide the most appropriate response to the caller.
		6. Call handlers provide appropriate advice on safeguarding, evidence preservation and crime prevention.
2	The force provides an appropriate response to incidents, including those involving vulnerable people.	1. The force seeks advice from internal and external experts to inform better decision-making and risk assessments.
		2. The force attends incidents quickly enough to secure scenes. Responding officers receive appropriate information and intelligence to understand the risk and vulnerability posed to themselves and others.
		3. The force thoroughly assesses a victim's vulnerability at initial response and makes sure it completes appropriate risk assessments.
		4. The force is effective at managing crime scenes and makes the most of early evidence opportunities.
<b>5. How good is the force at investigating crime?</b>		
1	The force has effective oversight of investigations and carries out quality investigations to get the best results for victims.	1. The force has an effective management structure in place that provides appropriate governance and oversight of investigations. Leaders make sure that staff and officers have sufficient skills and capabilities to achieve quality investigations and the right outcome for the victim.
		2. The force consistently carries out thorough investigations, which lead to satisfactory results for victims.
		3. The force supervises and reviews investigations effectively and appropriately. The quality of investigations are improved as a result.
2	The force secures justice for victims.	1. The force consistently achieves appropriate outcomes for victims, which include bringing offenders to justice.
		2. The force achieves good results for victims by pursuing evidence-led investigations when appropriate to do so. It actively pursues prosecution on behalf of the victim.
3	The force provides a quality service to victims of crime.	1. The force maintains victim and witness confidence by enabling victims to access their rights through the Code of Practice for Victims of Crime/Victims' Bill.
<b>6. How good is the force at protecting vulnerable people?</b>		
1	The force understands and effectively addresses the vulnerabilities it identifies.	1. The force has an effective strategy, performance framework and governance structure in relation to all College of Policing vulnerability strands.
		2. The force requests feedback from victims on a regular basis and uses it to enhance and improve its services to protect vulnerable people.
2	The force provides good-quality safeguarding and support for all vulnerable people.	1. The force applies for and monitors preventative orders/schemes in all applicable cases to safeguard vulnerable people.

		2. The force makes sure that the risk of further and/or increased harm to vulnerable victims is reduced via timely and appropriate safeguarding activity.
		3. Staff involved in multi-agency working arrangements understand their role and have the necessary skills to perform it. They work to develop risk-reducing actions that safeguard vulnerable people and challenge perpetrators.
<b>7. How good is the force at managing offenders and suspects?</b>		
1	The force is effective at apprehending and managing suspects and offenders and uses appropriate safeguarding tools to protect the public from harm.	<p>1. Senior leads are held to account for apprehending outstanding suspects and wanted persons. The force has processes in place to monitor performance.</p> <p>2. Supervisors monitor use of pre-charge bail to make sure its safeguarding benefits are considered and that it is used in all appropriate cases.</p> <p>3. The force monitors its use of released under investigation or subject to voluntary attendance to make sure they are timely and appropriate. Use shows consideration of the impact on victim safeguarding.</p>
2	The force effectively manages the risk posed to the public by registered sex offenders.	<p>1. The force uses nationally recognised risk assessment tools and follows best practice guidance for accurate and adequate management of registered sex offenders. It has monitoring processes that make sure risk is managed in a timely manner.</p> <p>2. The force complies with Authorised Professional Practice (APP) when managing registered sex offenders, including those reactively managed. If it deviates from APP, it can assure itself that no risk is posed to the public.</p> <p>3. The force routinely considers preventive or ancillary orders. It monitors any breaches and takes action as a result.</p>
3	The force effectively manages the risk posed by online child abuse offenders.	<p>1. The force manages images of online child abuse in line with nationally recognised risk assessment timescales. It considers a range of risk factors when taking timely enforcement action.</p> <p>2. The force uses specialist software to identify, in a proactive and timely way, the sharing of indecent images of children.</p> <p>3. The force makes sure that timely and appropriate safeguarding is in place for both potential victims and suspects.</p> <p>4. The force has effective digital triage capabilities to support timely and quality investigations.</p> <p>5. The force continually risk assesses any backlogs in referrals and those cases awaiting enforcement action.</p>
<b>9. How good is the force at building, developing, and looking after its workforce and encouraging an ethical, lawful and inclusive workplace?</b>		
1	The force understands the main factors that influence its workforce's well-being, and takes effective action to address any related problems.	<p>1. The force clearly understands what factors have positive and negative effects on its workforce's well-being, as well as any related stress, in all areas of business. It uses this understanding to inform resourcing decisions, and aims to strike a balance between operational needs and looking after its people.</p> <p>2. The force is taking effective action to address any well-being challenges it has identified. It provides a good range of preventative and supportive measures, including enhanced support to those in high- risk roles or those experiencing potentially traumatic incidents.</p>

		3. The force's occupational health service provides support and interventions that improve officer and staff well-being.
2	The force effectively supports its new recruits, encouraging them to remain.	<p>1. The force understands the specific challenges faced by new recruits. It makes sure that their well-being and development needs are prioritised and monitored by effective and supportive supervisors and tutors.</p> <p>2. The force promotes equality, diversity and inclusion. It makes new recruits feel welcome and included and helps supervisors to foster an ethical and inclusive working environment.</p> <p>3. The force is making good efforts to retain new recruits, with specific consideration given to understanding and overcoming the challenges faced by those from diverse backgrounds.</p>
3	The force is effectively developing its workforce and first-line leaders.	<p>1. The force effectively equips, develops and supports its first-line leaders to meet leadership standards, exemplify the behaviours expected of them and effectively support both teams and individuals.</p> <p>2. The force uses effective individual performance appraisals and continuing professional development processes to understand, monitor and prioritise the development needs of its workforce.</p> <p>3. The force creates opportunities for officers and staff from under- represented groups to develop and progress and provides support when appropriate.</p>
<b>10. How good is the force at planning and managing its organisation efficiently, making sure it achieves value for money both now and in the future?</b>		
1	The force has an effective strategic planning and performance management framework and makes sure it addresses what is important both locally and nationally.	<p>1. The force has effective governance and performance management processes that reflect its communities' needs and local and national priorities.</p> <p>2. The force uses relevant analysis and data to make sure it operates effectively and efficiently. The force's performance objectives are aligned to its strategy.</p> <p>3. Force management statements and performance objectives are supported by plans on how the force will achieve the goals it has set.</p>
2	The force's leaders are visible and effective	<p>1. The force has assessed the capacity and capability of leadership at all levels. It has plans in place to address identified gaps in leadership.</p> <p>2. The force understands how senior and general leadership is perceived and understood throughout the workforce at all levels. It is taking action to improve standards of leadership.</p> <p>3. Leaders throughout the force have a clear understanding of what is expected of them and are acting on those expectations.</p>
3	The force is effective at managing demand and can demonstrate it has the right resources and partnerships in place to meet future needs.	<p>1. The force's operating model and workforce helps it to respond to priorities and current and future demand.</p> <p>2. The force's has effective systems in place that make sure crimes are allocated to appropriately skilled staff and units.</p>

4	The force provides value for money and can demonstrate continuous improvement, efficiency savings and improved productivity.	1. The force makes the most of the productivity of its resources and assets.
		2. The force continues to improve productivity through digital, data and technology solutions, including mobile working.
		3. The force can clearly demonstrate why it is or isn't collaborating with other bodies, when appropriate. It uses effective programme management techniques throughout any collaborative activity.
5	The force makes the best use of the finance it has available, and its plans are both ambitious and sustainable.	1. The force has enough resource to make sure it can follow its priorities.
		2. The force's financial plans are affordable and sustainable. They will support it to continue to meet future demands.