



# **CLEVELAND POLICE**

## **ANNUAL GOVERNANCE STATEMENT**

**Position as at 31<sup>st</sup> March 2021**

## 1. Evaluation

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

Having considered all the principles, we are satisfied that the organisation has adopted a response that is appropriate for its fraud and corruption risks and commits to maintain its vigilance to tackle fraud.



Richard Lewis  
Chief Constable  
Cleveland Police



Jo Gleeson  
Chief Finance Officer  
Cleveland Police

Date 11<sup>th</sup> November 2021

## 2. Scope of responsibility

- 2.1 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.
- 2.2 The Chief Constable is responsible for ensuring Force business is conducted in accordance with the financial governance arrangements outlined in the CIPFA Financial Management Code 2019 for the Police Service of England and Wales (2018). The Chief Constable also has a statutory duty to secure value for money in the use of public funds.
- 2.3 In discharging this overall responsibility, the Chief Constable is responsible for putting in place proper arrangements for the governance of the Force, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 2.4 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.
- 2.5 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.



### **3. The purpose of the governance framework**

- 3.1 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.
- 3.2 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.
- 3.3 This governance framework has been in place at Cleveland Police for the year ended 31<sup>st</sup> March 2021, and up to the date of the approval of the accounts.

### **4. The governance framework**

- 4.1 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. The framework is reviewed and amended as necessary on an annual basis.
- 4.2 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.

- 4.3 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.
- 4.4 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.
- 4.5 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.
- 4.6 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)*, (including bulletin 6 relating to guidance around COVID-19).
- 4.7 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.

## **5. Overview of HMICFRS PEEL inspection findings and our initial response**

- 5.1 During the 2019 IPA (PEEL) inspection, HMICFRS identified six causes of concern which have resulted in the Force being issued with 30 recommendations. Where a recommendation relates to an existing AFI, this has been superseded and incorporated into the cause of concern. The Force has also been given seven new areas for improvement and have a further ten which remain outstanding from previous inspections - a total of 17. In addition to this, the Force also had nine national PEEL recommendations to deliver on that relate to a national cause of concern for 'all forces' - a total of 56 individual elements of service improvement to deliver relating to the IPA inspection. Furthermore, the Force also had seven outstanding NCPI recommendations, which are closely linked with PEEL and a cause of concern relating to Crime Data Integrity with three recommendations. These 56 individual elements formed the focus for service improvement activity within the Force – there were however a total of 118 areas for improvement or recommendations highlighted for the Force from all inspection activity; local, national and thematic. In summary, the causes of concern from the 2019 IPA inspection are shown below.

- **Prevention** - The force does not appropriately prioritise crime prevention. There is a lack of strategic direction, and the force does not allocate enough resources to prevention work. Staff who carry out prevention work lack an understanding of the priorities they should be tackling.
- **Protecting vulnerable people** - Cleveland Police is failing to respond appropriately to vulnerable people, including children. It is missing opportunities to safeguard them and is exposing them to risk.
- **Understanding demand and strategic planning** - Cleveland Police does not adequately understand the demand it faces. A thorough understanding of demand is required to underpin all strategic planning. This failure means it does not have coherent workforce and financial plans to meet demand and deliver the necessary outcomes.
- **Public engagement, communication and scrutiny** - Cleveland Police does not adequately engage with local communities. This lack of engagement means that public expectations do not sufficiently influence force priorities and changes to the services it provides. The public also has a limited role in scrutinising the force and helping it to improve.
- **Ethical behaviour and culture** - Many senior leaders (superintending and chief officer ranks, and senior police staff managers) are not consistently demonstrating ethical behaviour. The inappropriate behaviour of senior leaders within Cleveland Police is so profound that it is affecting the efficiency and effectiveness of the force.
- **Workforce engagement and communication/treating the workforce fairly** - Cleveland Police does not consistently treat its workforce with fairness and respect. It does not effectively communicate with or engage its workforce; its processes are not perceived to be fair and it does not understand its workforce well enough to support them.

5.2 Since the publication of the HMICFRS PEEL report, the Force has undertaken a significant amount of work including critical work to protect the vulnerable and has delivered a number of the key improvements necessary. Six workstreams were established that underpin our improvement programme with designated project leads at senior officer level. The projects, which are being delivered by a dedicated Service Improvement Team, are:



- 5.3 Stages 0 and 1 of the programme are nearing completion and planning for Stage 2 is underway. A dedicated Programme Manager is in place to ensure the effective delivery of the outcomes we seek within defined timescales. The programme plan has been developed alongside business as usual change and ongoing IT development projects to ensure that all change and improvement activity is considered to ensure our enabling services have the capacity to deliver within defined timescales. Delivery of the improvements is monitored through the Futures Board and the newly created Managing Demand Board, with oversight provided by the HMICFRS led PPOG (Police Performance Oversight Group).
- 5.4 A summary of the current status of each workstream is shown below:

### **Vulnerability**

The vulnerability cause of concern was inspected by HMICFRS in November 2020 resulting in four out of eight recommendations being signed off. Work has progressed across the Force supported by the Service Improvement Team to address the remaining recommendations. The remaining recommendations will be inspected as part of the continuous improvement regime which is being rolled out by HMICFRS. It is likely that this will start in the autumn of 2021 with the evidence gathering phase building up to final inspection and reality testing during 2022.

### **Leadership, and ethics and equality**

Inspection activity completed so far has confirmed that evidence presented to HMICFRS in relation to ethical leadership is more than sufficient and that reality testing is all that remains to be done to enable formal sign from the cause of concern. Work in relation to improving the timeliness of grievance processes has been signed off as complete and actions in relation to communication with the workforce, wellbeing, performance management and promotions is awaiting sign off following provision of evidence of completion. Further work is to be done in relation to decision making and talent management.

### **Understanding demand**

This workstream is in the process of being inspected but cannot be completed until the FMS is published and a full strategic planning round has completed e.g. at least 12 months. Therefore, it is likely that this cause of concern will reflect 'work in progress' and be inspected again with the PEEL inspection in 2022. Reality testing will however take place by the end of June with senior leaders to clarify how the work completed to date is being embedded.

### **Prevention, problem solving and engagement**

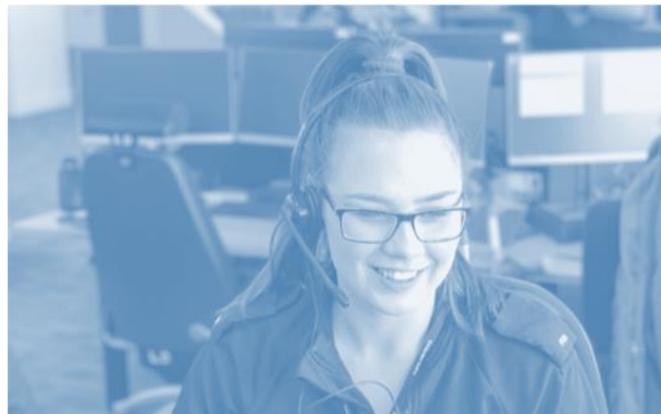
The Problem Solving, Prevention and Engagement workstream within the service improvement programme continues to deliver the improvements required by HMICFRS including:

- Developing the Force's approach to prevention, problem solving and engagement to better protect our communities from harm - A problem solving and prevention working group has been established with agreed terms of reference and problem solving and prevention strategy has been developed along with an associated action plan;

- Designing and implementing a neighbourhood policing model and structure which ensures effective problem solving, prevention and engagement - The re-introduction of Neighbourhood Policing is nearing completion along with a performance framework monitoring delivery against three key areas: engagement; problem solving and targeted policing activity;
- Designing a Force structure based on demand which places prevention at the forefront of policing services - Work also continues to understand the demand for neighbourhood teams to ensure that resources are in the right place. A review of Community Safety has been carried out and a new operating model agreed with the creation of a delivery hub for problem solving, prevention and engagement;
- Better equipping and training officers and staff to carry out problem solving, engagement and prevention activity - Problem solving and prevention training is currently being delivered across the Force;
- Improving understanding of our communities and the expectations of policing and involving communities in the design and scrutiny of policing services - An online public survey was undertaken in December 2020 to obtain the views and perceptions of local communities in relation to police in their local area (see below). Ward profiles have been developed and the Community Engagement Team continue to develop relationships with communities across the Force area.

## Investigation

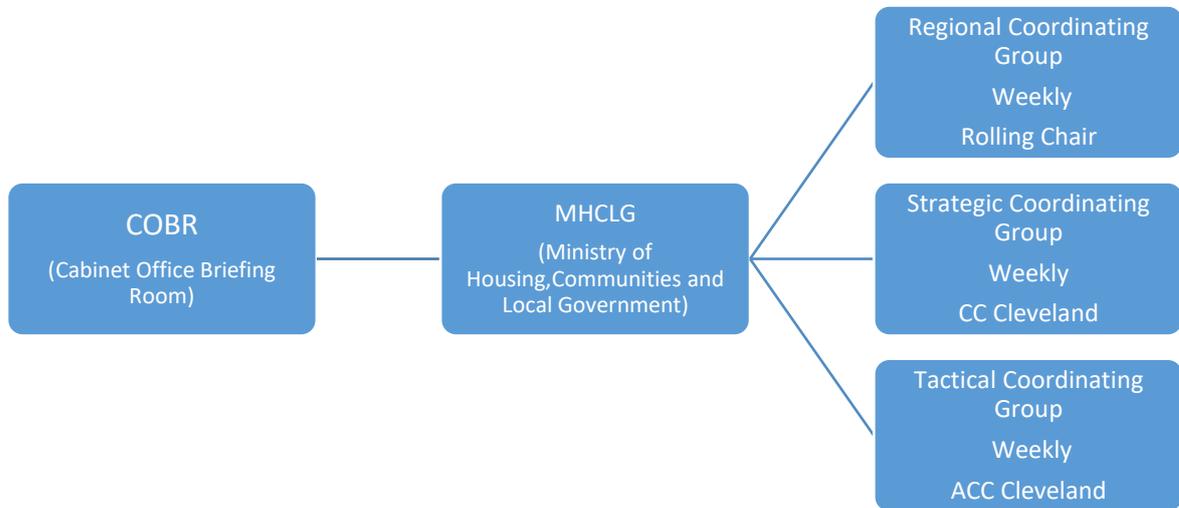
The investigation workstream was established to compliment the other five workstreams and to deal with cross cutting issues in relation to investigations. The remaining work to be completed from this workstream is being delivery through the Raising Investigative Standards programme.



## 6. Impact of COVID-19

- 6.1 The impact of the worldwide COVID-19 pandemic and the requirement for social distancing has affected the day to day governance activities of the Force in a number of ways including the increase in staff working from home and the reduction in frequency of a number of key decision-making boards which moved from monthly to every two months.

6.2 The response to the pandemic has included involvement in local and regional collaboration with the Local Resilience Forum (LRF), other emergency services and local authorities. A series of command meetings at both a regional and Force level were established to ensure an effective multi agency response as shown below.



6.3 A command approach has been used to ensure effective command and control of our response with the establishment of dedicated Gold, Silver and Bronze commanders across all areas such as communities, people and HR, operations, crime, logistics, and Control Room.

6.4 Performance figures provide a high-level summary of some aspects of performance over the last 12 months. The impact of COVID-19 has now been felt for the full financial and has an impact on these figures, particularly in relation to those aspects of performance which the public report to us. For this reason, daily and weekly performance updates have been prepared throughout the year with enhanced levels of monitoring and scrutiny in relation to issues involving the highest risk (e.g. domestic abuse, hate crime and incidents involving a vulnerable person).

### 6.5 Provision of Services

A COVID-19 plan which sets out the Force’s response to the pandemic has been produced and continues to be reviewed and updated as required. Meetings were initially held daily to assess the operational impact of the pandemic and these were reduced to weekly meetings and now are fortnightly as the impact is becoming clearer. Working at home has been increased for those that it is feasible for and adjustments have been made to the Estate to allow for social distancing.

### 6.6 Workforce

All areas of the work force have adapted to the new ways of working and service delivery in a remarkable way. After an initial spike in COVID-19 related absences these have reduced significantly. At the same time the overall levels of non-COVID-19 sickness within the Force have also reduced. The Force have remained in ‘business as usual’ status during COVID-19 and have not had to scale back any service but have had to alter some working practices, for example taking some statements over the phone rather than face to face. Some enquiries that are less urgent and require face

to face contact were initially delayed as rightly the public health considerations come first.

In line with the Force Digital Strategy, the Force commenced a mobile working project in late 2018 to improve agility across the Force. Phase 1 of the project completed in March 2020 and focused on front line operational policing. This delivered over 450 laptops and 600 smartphones (with mobile access to police systems via both a desktop and app solution) to officers and PCSOs in neighbourhood policing and incident response teams. Phase 2 of the project commenced in April 2020 and delivered mobile working capability to a range of other teams across the Force (both operational and non-operational) based upon a comprehensive ICT audit to identify those teams which would benefit from agile capability. As orders had already been placed and hardware received in readiness for the phased rollout in April 2020, the Force was able to respond to the demand for mobile working resulting from COVID-19 promptly and effectively to ensure that devices were given out to staff whom would otherwise have not had to have such mobile technology. Phase 2 delivered over 1100 laptops and 900 smartphones. Additional equipment such as monitors, and keyboards have also been provided as required.

## 6.7 **Service Providers**

All of the key service providers have adapted to the new ways of working and have continued to provide their services throughout the period as highlighted by the below:

Despite an initial period of reduction when lockdown was first initialised, custody numbers have generally remained within average projections for this time of year. This has meant that service providers working with the Force (such as Mitie Care & Custody and Liaison & Diversion) have had to be creative and innovative with their working practices throughout the pandemic, to be able to work effectively within such a challenging environment. The vulnerability suite has been temporarily used solely for COVID-19 cases, allowing staff and detainees to separate out potential positive detainees from the wider custody population, whilst maintaining the same medical and support provisions. Increased usage of PPE and cleaning regimes have meant that the custody suite has remained open throughout the pandemic with service level agreements maintained.

Our PFI facilities management providers (Tascor and Engie) have ensured that PFI sites have remained open throughout the pandemic with increased cleaning and PPE being introduced across their estate. Staff have been working on rotation to ensure that only those that need to be on site are, with the remainder working agile. Slight changes have been made to front desk environments to ensure that members of the public are protected alongside our partner staff.

Regular Teams meetings and telephone meetings take place to ensure business continuity and risk assessments are reviewed across the board, along with updates provided by partners to highlight any emerging risks or issues which are fed into the Forces COVID-19 tactical response groups. No staff have been furloughed or made redundant due to COVID-19 and remain at the forefront of our key worker personnel and wherever possible staff remain encouraged to work from home if they can do so.

## 6.8 Financial Performance and financial position

Additional costs relating to COVID-19 of £864k have been identified in 2020-21 – these cover revenue expenditure, capital expenditure and lost income. £840k has been received from the Home office for partial reimbursement of these costs. Financial plans were kept under review during the year and as expected staff recruitment was slower during the pandemic resulting in an underspend which allowed for an investment plan to be implemented. This has resulted in a small underspending for the year of £86k.

## 6.9 Major Risks

The challenges and risks for policing and crime, for victims and witnesses and for the wider criminal justice system may be greater in the months ahead than they have been during the height of the pandemic and the social restrictions that were put in place during that period.

Increases in unemployment, wider social unrest, demand increases as businesses start to open again, particularly in relation to pubs and clubs, the largely hidden impact on mental health and domestic abuse during this period ultimately become apparent and as the country transitions to a new way of living, working, socialising and schooling that the gap widens between different sections of the communities.

As a result of all these potential challenges, and many more besides, the impact on future service needs and demands therefore becomes even more challenging than normal which makes mapping and resourcing this exceptionally difficult.

## 6.10 Plans for Recovery

While much discussion is focussed on the ‘recovery phase’ in terms of public services and the wider economy there is no significant ‘recovery’ needed from a policing perspective as business as usual has very much been retained throughout the pandemic so far.



## Structure of the AGS

The following sections of the Annual Governance Statement are structured around the seven principles outline in the CIPFA guide and provides evidence that the behaviours described within the seven Nolan principles are met by the Force. Each section contains a summary of the expected behaviours (shown within a box) followed by the supporting evidence.

### 7. Principle A – behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

7.1 The Leadership and Values and Ethics and Equality workstreams within the service improvement programme have delivered a number of improvements in stages 0 and 1 with further improvements for stage 2 underway:

- An end to end review of promotion and recruitment processes has been completed. Initial findings and recommendations were approved by the People & Wellbeing Board and have been included in a delivery plan;
- Overarching recruitment plans are in development with positive action embedded:
  - To support short term improvement activity a menu of positive action options that can be deployed for current campaigns has been established and will be tested as part of BAU for PCDA, FCOs and Special Constables;
  - Drafts of Recruitment, Selection and Resourcing Policies are in development;
  - Bench marking has been completed to address the long term capacity challenge presented by the small number of people/officers that are available to support positive action in Force; this business will be developed into a business case that focuses on positive action as an organisational issue and identify those within the Force that will contribute to successful action in the future as well as highlighting investment required.
- A rolling recruitment approach is now being tested for roles that are often filled by bulk recruitment;
- There is ongoing development to clarify benefits and impact assess alternative police constable entry routes in addition to PCDA;
- An improved process for implementing and reviewing policy and process with a focus on Equality, Diversity and Inclusion (EDI) assessments and ethical perspectives;
- A review and development of people management information;
- A greater focus on key areas to improve ethical behaviour, with specific work undertaken to scrutinise and develop promotion and recruitment processes;
- An embedded system for raising, exploring and developing ethical dilemmas within the Force; promoting fairness and transparency;
- Ethics and equality transitioning to be an underpinning area of organisational development to supplement organisational change;
- Embedding the Code of Ethics and EDI into all organisational activities;
- Promulgation and implementation of key recommendations which resulted from the Ethical Leadership Survey;
- A leadership training needs assessment was conducted in October 2020 along with the Leadership Audit which was completed in February 2021;

- A Leadership Development Framework is planned for 2021 to communicate what leadership, management and operational command training and development is available to officers and staff. To include modular leadership programmes (personal, organisational and command leadership) to support in-role skills and behaviour gaps and development of an internal talent pipeline.

<b>Behaving with integrity Expected behaviours and outcomes</b>
<ul style="list-style-type: none"><li>• Ensuring that chief officers and staff behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby promoting and upholding the reputation of the Force among its stakeholders.</li><li>• Ensuring chief officers lead in establishing specific standard operating principles or values for their forces and staff and that they are communicated and understood. The values should build on the Nolan Principles and the <i>Code of Ethics</i>.</li><li>• Leading by example and using above standard operating principles or values as a framework for decision making and other actions.</li><li>• Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.</li></ul>

- 7.2 We have developed a senior leadership programme ‘Next Generation Leadership’ aimed at superintendents and police staff equivalents and the first module was delivered by Teesside University in January 2020. The programme covers personal values and ethics, authentic leadership and performance within senior teams along with the development of ‘pledges’ for each rank. The programme will also deal with issues such as culture change, sustaining performance improvements, coaching skills and 360° feedback. Coaching support for this group will further embed new ways of working over the following two years.
- 7.3 The Force has four values: transparency, integrity, impartiality and public service; the same values as those laid out in the College of Policing 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 associated behaviours form part of all selection, promotion and performance review processes.
- 7.4 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 (Nolan principles).
- 7.5 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. The Code of Ethics is at the heart of all we do and is a golden thread throughout our policing strategy and decision making. As a part of our programme of service Improvement Cleveland Police has committed to embedding the Code of Ethics across the Force. We have appointed an Inspector as Operational Ethics Lead, received an independent peer review from South Wales Police and constructed specific improvement projects. This comprehensive approach to service improvement seeks to understand organisational behaviour and embed the Code of Ethics in the Force through training, PDR and day to day business.

- 7.6 The South Wales review focused on the effectiveness and performance of the Department of Standards and Ethics; a 43-recommendation plan was created, and each action signed off as completed in March 2021 at the DCC chaired Standards and Ethics Board. The South Wales review focused on governance, oversight and structure with Directorate of Standards and Ethics and Counter Corruption Unit. These steady improvements and implementation of new Police Regulations 2020 have transformed the department.
- 7.7 Additional projects and initiatives have been undertaken by the Force within Service Improvement and Directorate of Standards and Ethics. The Counter Corruption Unit appointed a Counter Corruption Prevent Officer; a police staff role with a focus on delivering a number of items within the Counter Corruption Control Strategy including abuse of position, sexual harassment, culture, challenging and reporting improper conduct and relationships at work. DSE have appointed a counterpart prevent officer and are awaiting commencement of employment; this individual will have responsibility for delivering the DSE Prevent Strategy.
- 7.8 In October 2020, the Force released the Ethical Leadership Survey, this survey aimed to capture thoughts, perceptions and enquiries around ethical leadership within the Force. A total of 236 responses were received, with a number of themes highlighted through analysis by Service Improvement Team business analyst. A resulting report proposed 11 recommendations which have been accepted by Chief Officer Team and are to be incorporated into governance and structure.
- 7.9 The Force has a Standards and Ethics Board which provides strategic oversight, monitoring and scrutiny of the standards of ethical and professional behaviour. In addition, the reformation of internal and external ethics committees provides both inclusivity and scrutiny for ethical behaviour within Cleveland Police. Ethical dilemmas can be referred from DSE (Department of Standards and Ethics), digital forums, human resources, officers and staff to the Operational Ethics Lead through a bespoke referral mechanism. The weekly Chief Officer meeting now includes ethical matters raised through such mechanisms. The Standards and Ethics board has, throughout the COVID-19 pandemic, adopted a digital meeting platform and maintained progress. The Board discussed a number of issues raised through policing the pandemic, including COVID-19 regulations, quarantine, vaccination, gifts, gratuities and hospitality received. The Board continues to be a hub for lessons learnt and in the past 12 months from April 2020 to March 2021, saw a total of 30 items brought to the attention of Operational Ethics lead. A number of items were answered at source with many discussed between the Independent Ethics Committee co-ordinated by Office of Police and Crime Commissioner (OPCC), internal ethics members and Standards and Ethics Board. The items raised and discussed have contributed to organisational learning and development of three Force policies (Gifts, Gratuities and Hospitality, Body Worn Video and Social Media Policy) and contributed to the development of others.
- 7.10 The NDM is used across the Force 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 officers and staff on the NDM incorporates the Code of Ethics as running through the decision-making process.

- 7.11 The Force has a Counter Fraud and Corruption Policy which provides a standardised approach to minimising fraud and corruption. This policy was updated in February 2020 in line with identified best practice in other forces.
- 7.12 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.

<b>Demonstrating strong commitment to ethical values</b> <b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Seeking to understand, monitor and maintain the Force’s ethical performance.</li> <li>• Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Force’s culture and operation.</li> <li>• Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.</li> <li>• Ensuring that external providers of services on behalf of the Force are required to act with integrity and in compliance with ethical standards expected by the Force.</li> </ul>

- 7.13 The Ethics and Standards Board is chaired by a DCC and facilitated by the Operational Ethics lead Inspector. The Board consists of representations from HR, Legal, EDI, OPCC, representative bodies (Federation, UNISON and Superintendents Association), internal ethics committee chair, independent scrutiny (Independent Ethics Chair and Audit Committee), Service Improvement, Corporate Services and Learning and Development.
- 7.14 The Force also has internal ethics members who compliment the Standards and Ethics Board and the OPCC facilitated independent ethics committees. The internal ethics committee members have a voluntary lead and members support the ethical discussion generated by the Standards and Ethics Board. 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 on ethical issues. This site and the associated Code of Ethics site are being re-invigorated and updated; a campaign to recruit Ethics Champions will be undertaken during the coming year. The internal members, during COVID-19, have engaged digitally via electronic forms and have discussed a wide range of issues.
- 7.15 The external Independent Ethics Committee increases the transparency and accountability of decision makers and enriches the decision-making process. The Committee is made up of members from ever increasing and diverse backgrounds across the communities the Force serves; this is facilitated in partnership with the OPCC. The Committee discusses specific questions that have been sent for their consideration and the Force welcomes queries raised by its members. The Committee has been facilitated through the use of digital meeting platform and along with its scheduled bi-monthly meetings, discussed matters of urgency in extraordinary meetings. The group has met seven times since March 2020 and a further two extraordinary meetings have taken place during this time.
- 7.16 The three forums utilise a referral mechanism between one another facilitated by the Operational Ethics Lead. Items which are discussed are posted onto the Code of

Ethics site and minutes of the Independent Ethics Committee meetings are listed on the OPCC website for public consumption.

- 7.17 The People Intelligence Board (PIB) operates as a strategic and organisational forum which was established to monitor individual cases of concern with the aim of developing individual supportive interventions. The Board is now chaired and owned by strategic HR director. On a monthly basis the PIB looks at organisational trends and risks relating to a range of people issues that would otherwise be dealt with in isolation; combining subject matter expertise from HR, Wellbeing, Legal Services, Ethics and Standards and heads of command. The aim is to identify lessons learned 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, serious conduct matters and public complaints, IOPC referrals, business interests, notifiable associations, civil claims, notifiable associations, high risk welfare and capability issues. The PIB aims to draw upon subject matter expertise to minimise risk and provide a co-ordinated and timely problem-solving approach to items brought to the Board.
- 7.18 Initial induction training for police officers and staff covers professional conduct, the Code of Ethics, the NDM, and the Force values and the CVF. The Code of Ethics and the NDM are revisited regularly over the course of the three-year PCDA.

<b>Respecting the rule of law</b> <b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Ensuring the PCC, chief officers and staff demonstrate a strong commitment to the rule of law as well as adhering to relevant laws and regulations.</li> <li>• Creating the conditions to ensure that statutory chief officers, other key post holders and (where appropriate) statutory committees are able to fulfil their responsibilities in accordance with best practice.</li> <li>• Striving to use full powers for the benefit of citizens, communities and other stakeholders.</li> <li>• Dealing with breaches of legal and regulatory provisions effectively.</li> <li>• Ensuring corruption and misuse of power are dealt with effectively.</li> </ul>

- 7.19 The Force has a Reporting Professional Standards Concerns and Protected Disclosure Policy that 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.
- 7.20 Building upon the achievements of our Everyone Matters Equality Diversity and Human Rights Strategy 2017-2020 we are now progressing our Equality, Diversity and Inclusion 2020 - 2025 Strategy. This strategy has three strategic outcomes:
- Our People & Organisation: Create a working environment that is supportive and inclusive of all, enabling officers and staff to develop, feel supported and able to be themselves at work;

- Our Communities: Deliver policing services that are accessible, responsive and needs-led to ensure services meet the requirements of all our communities;
- Our Partners: Partners have confidence that Cleveland can have effective joint service delivery underpinned by equality and inclusion through improved opportunities for collaborative working.

The delivery of these are a key enabler for our Toward 2025 vision to deliver outstanding services for our communities and continuously improve the ways we care for and support our colleagues.

- 7.21 Our staff networks support people who are underrepresented in policing to provide peer support, insight to the Force on live issues, raise awareness on priorities and act as a critical friend in change processes. We have a range of established EDI focused staff networks including Cleveland Police Women's Network, Support Association for Minority Ethnic Staff, LGBT+ Network, Christian Police Association, Disability Support Network, Autism Association and a Vegan Network. We have supported a new Armed Forces Network as part of our commitment to the Armed Forces Covenant.
- 7.22 We have implemented the Staff Network Policy and collaborated with network leaders to achieve compliance. This has included: confirming sponsors and contacts in key teams, developing terms of reference, developing intranet sites, providing support to achieve accessible intranet pages with a force-wide membership recruitment campaign for all networks in 2021-22.
- 7.23 252 individuals attended our mandatory cultural awareness sessions prior to the pandemic, however, plans to further develop our cultural awareness model were halted due to COVID-19 restrictions. We sought alternative opportunities to improve workforce cultural competencies and inclusive leadership skills through the following training and development that could be safely delivered:
- Senior Leadership Team Meeting input on inclusive behaviour (90 leaders broken into smaller, socially distanced groups);
  - New initial briefing product on EDI and staff networks for police staff inductions;
  - 62 officers assigned to neighbourhood policing teams trained on community engagement;
  - New Force Contact Officer cohorts provided with an introduction to EDI in their first week;
  - Training for 280 response officers in Show Racism the Red Card's anti-racism, with train the trainer sessions taking place with key individuals in L&D as well as specialist teams;
  - Ongoing support to develop bespoke EDI training products for Police Community Support Officers, Family Liaison Officers and newly promoted Sergeants and Inspectors;
  - Delivery of the Inspire programme, a talent management programme for 15 colleagues from underrepresented backgrounds to develop inclusive management skills and achieve a Chartered Management Institute level 5 qualification.
- 7.24 As recovery from the pandemic progresses there will be a renewed focus on developing capabilities and competencies in bias and cultural awareness.

- 7.25 The format of the sessions allows for a large number of topics to be covered, including a two-hour unconscious bias input to ensure understanding of different biases and the impact this has on everyday situations. The capacity has also been increased to 70 at each session.
- 7.26 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 in Policing (2021)*.
- 7.27 Building on the previous Transforming Professional Standards (TPS) programme the Department of Standards and Ethics has been restructured over the past two years to ensure the department can meet demand and provide the service required by both the public and staff. Staffing levels have increased, and roles defined to ensure investigations can be prioritised. Two Prevent Officer roles and a dedicated Appropriate Authority role have been introduced to focus on a learning culture for the Force and to provide consistency in decision making. A performance framework has been introduced and all staff within the department are trained to investigate misconduct matters. A governance structure is in place and the department is linked into the internal and external ethics committees and the ethics and equality service improvement workstream. The objective of the department remains to ensure public confidence in Cleveland Police, to ensure staff are dealt with in a fair, transparent and proportionate manner and to embed ethical behaviour of all staff within the Force. The introduction of the new Police complaint and misconduct regulations in February 2020 underpins the culture of learning we are creating in Cleveland Police.
- 7.28 On 1st October 2020, approximately 207 FTE staff were TUPE transferred to Cleveland Police following the decision to end a 10-year contract with strategic partner Sopra Steria Limited (SSL) who provided a range of support services to the Force. During the contractual period SSL embraced the values and behaviours of the Force and were contractually committed to comply with Force policies and abide by the Code of Ethics in Policing which facilitated a smooth transition in terms of existing familiarisation with standards expected following transfer. In addition, SSL staff had access to the Force Intranet containing Force policies and all internal communications were circulated, promoting consistency to all in terms of raising awareness with regards to any changes to expected standards of professional behaviour and conduct. Under the restrictions of TUPE, direct communication with the SSL staff was limited until formal transfer to Cleveland Police. On the 1st October 2020 due to COVID-19 restrictions at this time, an electronic ‘Welcome Pack’ was circulated and detailed expected standards of behaviour including the Force vision, values, behaviours, processes and procedures. This document provided clarity, direction and a single point of reference in the weeks following transfer and included tutorials which explained that values and behaviours are also integrated into individual Performance Development Reviews (PDR). In addition to formal project governance, nine months prior to transfer, monthly meetings were held with the strategic leads and respective heads of support service functions to communicate any points of clarity on behalf of the teams, followed by a series of ‘open calls’ post transfer. This provided the opportunity for all staff to dial in to a question and answer style forum for any queries to be raised and directed to a subject matter expert if required.

7.29 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.

**8. Principle B – Ensuring openness and comprehensive stakeholder engagement**

Openness
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Ensuring an open culture through demonstrating, documenting and communicating the Force’s commitment to openness. The presumption is for openness. If this is not the case, a justification for the reasoning for keeping a decision confidential should be provided.</li> <li>• Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes.</li> <li>• Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions is clear.</li> <li>• Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.</li> </ul>

8.1 Public confidence and victim satisfaction continue to feature as key performance indicators in our local performance management framework.

8.2 Public confidence - Historically public confidence has been measured via the Crime Survey for England and Wales (CSEW), a national survey commissioned by the Home Office, conducted via face to face interviews. Unfortunately, due to COVID-19 restrictions these interviews have been put on hold and have been replaced with a shorter telephone survey. In addition to a reduction in the number of questions asked, there has also been a reduction in the number of interviews taking place. This means that comparative data relating to 2020-21 is currently not available.

8.3 In December 2020, the Force introduced a public engagement survey. Known as the ‘Communities Survey’ the aim of this survey is to reach out to our local communities and ask them to provide structured feedback in relation to what it is like to live in their local area, what they feel our priorities should be and whether they have trust and confidence in the services we currently provide. Many of the questions replicate those used in our previous Local Public Confidence Survey, and the CSEW. Due to COVID-19 restrictions, the survey was administered online and was completed by just over 1000 people.

8.4 Results from this survey will be used to provide a local measure of public confidence and inform our neighbourhood policing performance framework, inform the setting of local priorities as part of our strategic planning process and provide an assessment of current and future demand which will compliment other demand analysis activity and will be used to inform the Force Management Statement. The intention is to re-run this survey every 6 months with the next campaign planned for July 2021.

8.5 Victim satisfaction - The Force aims to place victims at the centre of everything that we do, achieving a high level of victim satisfaction is therefore a key performance outcome. Following a review of our survey activity, in January 2020 we introduced a new online Victim Experience Survey. Based on academic research, the purpose of moving to an online approach was to offer a less instructive approach through which victims would be able to provide their feedback at a time and location convenient to them. Whilst not directly comparable, the feedback obtained via this survey would suggest significantly lower level of satisfaction than that expressed via our previous telephone approach. In addition, in the 15 months since it was introduced, we have achieved a disappointing response rate of just over 6%. This together with the negative nature of the feedback received has raises questions regarding how accurate and representative the results are; and whether they are potentially skewed. In order to address this issue and ensure that the feedback we receive is an accurate reflection of the service provided to victims of crime, we have now commissioned an alternative approach which will see the re-introduction of an independent telephone survey. This survey will however follow a similar question set to the previous online version and will seek to answer the following questions:

- Is Cleveland Police an accessible and responsive Force?
- Is Cleveland Police effectively explaining the type of response we will provide and are we effectively managing expectations?
- Are our officers and staff providing the victim with all of the information they need and are they carrying out all of the activities we need and expect them to? (VCOP)
- Does the attitude and behaviour of our officers and staff meet the standard we expect from them?
- Do victims of crime have confidence in Cleveland Police and are they satisfied with the quality of service they receive?

8.6 The first interviews will take place in May 2021 and the results will used to facilitate performance management discussions across the Force.

8.7 All public authorities are required to provide a publication scheme. The Cleveland Police Publication Scheme, which is available through the Force website, is our way of making sure that information relating to specified 'information classes', is routinely published. In addition to the information that falls into these categories, the scheme also includes information that we have disclosed in response to freedom of information (FOI) requests.

## Engaging comprehensively with institutional stakeholders

### Expected behaviours and outcomes

- Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.
- Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.
- Ensuring that partnerships, including collaborations, are based on trust, a shared commitment to change, and a culture which promotes and accepts challenge among partners and that the added value of partnership working is explicit.

- 8.8 In 2019 HMICFRS found that the workforce did not fully understand the strategy and action is being taken through the Problem Solving, Prevention and Engagement project to address the concerns raised. The Force has created a new Community Engagement Strategy which is designed to inform our communities and staff how we will consult, engage and communicate with the people of Cleveland. Supported by our force priorities, it will shape how, when, where and who we engage with based on our understanding of target audiences and local communities. This will help direct our engagement priorities for our Force and aligns with the Force Corporate Communications Strategies and the Office of the Police and Crime Commissioner for Cleveland Engagement Strategy.
- 8.9 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. Work has been undertaken to increase the diversity of SIAG members, specifically in the area of LGB&T as well as others, to establish a youth IAG and volunteers have been recruited to assist in the administration of local IAGs.
- 8.10 The Force is party to a number of collaborative agreements with other police forces to increase resilience and effectiveness and reduce costs, with Section 22A agreements in place defining the governance arrangements and funding formulas.
- 8.11 Cleveland Police and Durham Constabulary have an established Specialist Operations Unit incorporating armed response, roads policing, collision investigation and motorcycles. 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 a DCC. (The Chief Constable has given notice in May 2021 that the Force will be withdrawing from the Cleveland and Durham Special Operations Unit (CDSOU) collaboration but will continue with the firearms training element. This will take a number of months to achieve and will result in road policing being provided solely by the Force within its boundaries.)

- 8.12 Considerable progress has been 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 police and crime commissioners and forces are implementing a fully collaborated Legal Services which has resulted in restructuring of teams across all three forces. Implementation began in May 2018. The Service was launched in February 2020 within the three forces and work continues to drive forwards its effectiveness and realise further efficiencies. The service has delivered legal services across all three forces but continues to focus on local delivery to Chief Constables and has provided resilience in respect of increasing and complex demand under the current structure and model. Evolve Legal Services is now entering into an alignment phase to embed the structure and practices.
- 8.13 HMET was formed in October 2020 following the disaggregation of the previous collaboration with North Yorkshire Police (Cleveland North Yorkshire Major Investigation Team - CNYMIT). The HMET incorporates the Force response to contemporary homicides and serious crime as well as being part of the collaborated Cold Case Review Unit (CCRU) with North Yorkshire Police.
- 8.14 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.
- 8.15 The Force is also part of a national collaboration for the provision of air support, the National Police Air Service (NPAS).

### Engaging with individual citizens and service users

#### Expected behaviours and outcomes

- Establishing a clear policy about the type of issues on which the Force will meaningfully consult with, or involve, individual communities, citizens, service users and other stakeholders to ensure that a service provision is contributing towards the achievement of intended outcomes.
- Ensuring that communication methods are effective and that the PCC and officers are clear about their roles with regard to community engagement.
- Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.
- Implementing effective feedback mechanisms for those consultees in order to demonstrate how their views have been taken into account.
- Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.
- Taking account of the interests of future generations of taxpayers and service users.

- 8.16 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 regular basis to update on current issues. A summary of the topics and actions

discussed in these meetings is published on the PCCs website. In addition, the two Chief Finance Officers also meet on a weekly basis.

- 8.17 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.

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

Defining outcomes
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Having a clear vision – an agreed formal statement of the Force’s purpose and intended outcomes containing appropriate performance indicators which provides the basis for the Force’s overall strategy, planning and other decisions.</li> <li>• Specifying the intended impact on, or changes for, stakeholders including individual citizens and service users. It could be immediately or over the course of a year or longer.</li> <li>• Delivering defined outcomes on a sustainable basis within the resources that will be available, while recognising that changing and unforeseen demands will place additional pressure on financial resources.</li> <li>• Identifying and managing risks to the achievement of outcomes as part of delivering goods and services.</li> <li>• Managing expectations effectively with regard to determining priorities and making the best use of the resources available.</li> </ul>

- 9.1 The Force has a clear vision and priorities as shown below:



- 9.2 The vision and values are supported by a performance management strategy and performance measurement framework that has been developed in line with NPCC

guidelines. The framework is outcome driven and has been built around the priorities shown above. Within our performance framework we have identified a number of key performance questions that will help us to understand whether we are successfully delivering against our priorities. We answer these questions by tracking and monitoring around 150 quantifiable performance indicators alongside additional qualitative evidence and insight. Through our analysis of this data we will be able to evidence the progress we have made and identify where further improvements are still required. In January 2021 the strategy and framework were subjected to a desk top review which resulted in a number of proposed changes. These were discussed and agreed at a subsequent performance development workshop attended by Chief Officers and Operational Commanders. Changes include the introduction of a formal Strategic Performance Outcome Framework which now provides clarity around our aim, our areas of focus and describes explicitly what ‘good’ looks like. To support this new framework, we have also refreshed our key performance questions and the information we will monitor and review in order to answer them.

- 9.3 A key enabler for delivery of the Force vision has been the development of a sustainable local policing model that can effectively respond to threat, harm and risk. This model and our resources are aligned to the threats identified in our Strategic Threat & Risk Assessment (STRA) and the demand profile developed with Process Evolution for response policing, investigations and neighbourhood policing. Work continues to improve our ability to understand demand with the creation of a business as usual demand analysis function to ensure that we continue to understand our demand and make the best use of our resources. A plan has been developed for the ongoing maintenance of those demand models already created and for the development of further models for business areas which has been highlighted as a risk through the Force Management Statement process.
- 9.4 The Long Term Financial Plan (LTFP) 2021-22 to 2024-25 and Capital Plan 2021-22 to 2024-25 were agreed with the PCC in February 2021. The Force produces monthly reports on progress against the plan which are reviewed by the Executive Management Board and discussed with the PCCs Chief Finance Officer. In addition, the Force reports directly to the PCC on progress on a quarterly basis.

Sustainable economic, social and environmental benefits
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about services.</li> <li>• Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the PCC and the chief officer’s intended outcomes and short term factors such as the political cycle or financial constraints</li> <li>• Ensuring fair access to services.</li> </ul>

- 9.5 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;

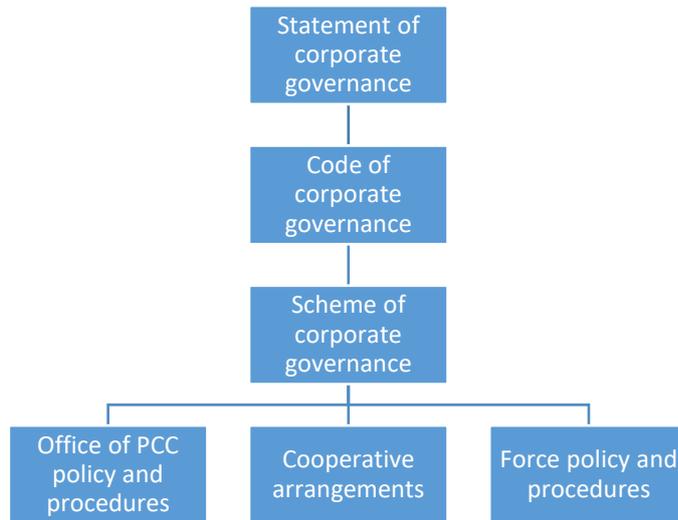
inform the procurement plan to ensure timely ordering and receipt of equipment, and inform prioritisation and decision making.

- 9.6 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, and this continues with the return of services from Sopra Steria. The Business Case Triage Team continues to operate and improve the collective discussions prior to any formal presentation of change submissions that may impact on service delivery, helping to manage expectations around delivery of such change.
- 9.7 The Futures Board, chaired by the Chief Constable, meets on a bi-monthly basis to drive delivery of the Force change and innovation programme ensuring that projects are prioritised, resourced and delivered in order to achieve the best outcomes in line with overall Force objectives.

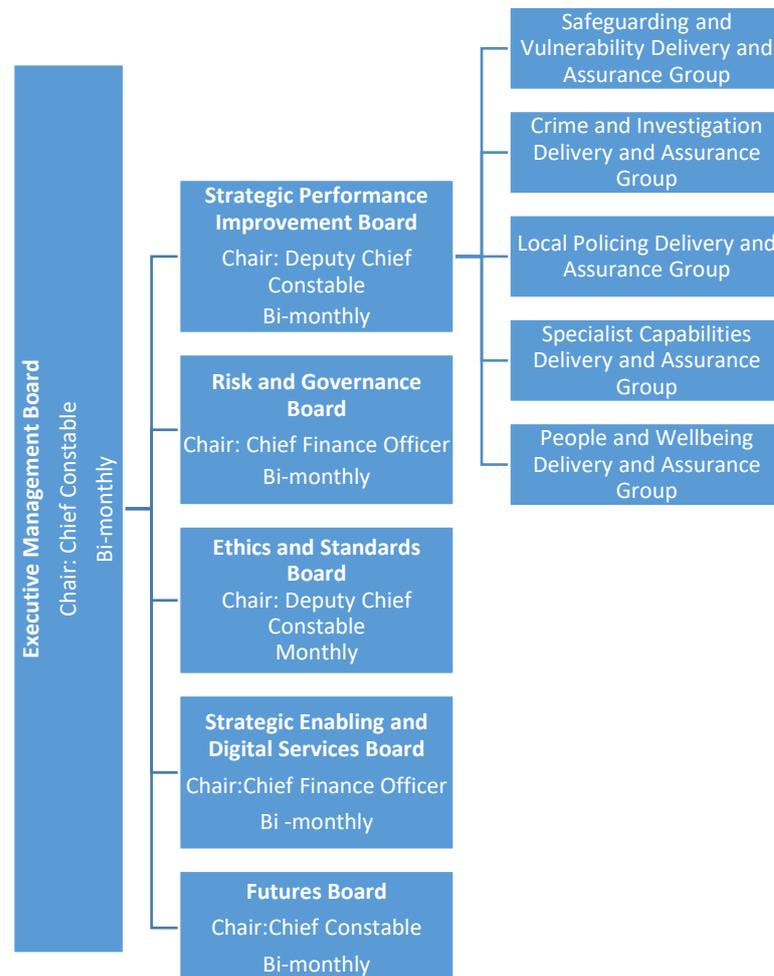
**10. Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes**

Determining interventions
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Ensuring that decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore, ensuring that best value is achieved however services are provided.</li> <li>• Considering feedback from citizens and service users when making decisions about service improvements, or where services are no longer required, in order to prioritise competing demands within limited resources available including people, skills, land and assets, and bearing in mind future impacts</li> </ul>

- 10.1 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. The framework, outlined below, is reviewed and amended as necessary on an annual basis.



10.2 During early 2019-20 the Force meeting framework was reviewed following the appointment of a new Chief Constable and amended to ensure greater levels of accountability. The framework has since been refined to bolster this accountability and provide clarity over levels of decision making and responsibility. The framework, headed by the Executive Management Board as the key driver of the Force, is supported by a number of key strategic and tactical delivery and assurance forums. In summary the framework is as shown below.



<b>Planning interventions</b>
<b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"><li>• Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.</li><li>• Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.</li><li>• Considering and monitoring risks facing each partner when working collaboratively, including shared risks.</li><li>• Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.</li><li>• Establishing appropriate performance measures as part of the planning process in order to assess and inform how the performance of the services and projects is to be measured.</li><li>• Ensuring capacity exists to generate the information required to review service quality regularly.</li><li>• Preparing budgets in accordance with government funding announcements, Force objectives, strategies and the medium term financial plan.</li><li>• Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure, together with estimates of grant, precept, and other income streams, aimed at developing a sustainable funding strategy.</li></ul>

- 10.3 The Force has developed a planning cycle that links with the production of the Force Management Statement (FMS) demanded by HMICFRS. The cycle for FMS3 has been completed and forms the basis for the corporate plan identifying the change to be delivered during the coming year to achieve the priorities outlined above.
- 10.4 The Force undertakes a detailed monthly performance assessment which reviews current performance against our strategic policing priorities. The reporting mechanisms associated with this work have been designed to facilitate a conversation which examines and challenges performance and supports the decision-making process. The results of the performance assessment are presented to the bi-monthly Strategic Performance Improvement Board and multiple thematic delivery and assurance groups, in the format of an 'exception report' with current and emerging 'performance threats' identified in terms of both direction (over time) and delivery (against a specified level of service delivery).
- 10.5 The delivery of the Force Digital Policing Strategy and National Enabling Programme projects are managed by the Strategic Enabling and Digital Services Board. The strategy 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.
- 10.6 The Force has approved an integrated strategic approach to medium- to long-term workforce planning which informs tactical and operational resource planning, matching resources and skills to operational requirements. The workforce plan now informs skills sets, recruitment requirements, learning and development priorities and

promotional opportunities. The workforce plan is now aligned with the Force’s strategic objectives and the financial planning and forecasting process.

- 10.7 The outputs from the ongoing demand analysis based on the work undertaken with Process Evolution, will be built into the strategic workforce plan. Progress against the plan is monitored monthly and actions taken accordingly. Outputs from the plan include:
- Resourcing programme (recruitment and promotions) based on operational demand and priorities and improving workforce diversity;
  - Training/Learning and Development Plan aligned with Force priorities to improve capabilities;
  - Succession plans to ensure business continuity;
  - Talent identification and career development systems;
  - Provision of management information to support better understanding of demand and required resources.
- 10.8 The plan focuses on the next three years to ensure the Force has sufficient resources with the required skills to deliver day to day and strategic priorities. The number of staff employed by the Force grew during 2020-21 with increased numbers of police officers through the national uplift and the TUPE transfer of staff from SSL in October 2021.
- 10.9 Additional focus has now been placed on the retention of existing staff and officers and positive action to attract a more diverse range of recruits and talent into identified hard to fill roles.
- 10.10 The Force has a 10-year capital plan for the estate along with a rolling 12-month plan for business as usual maintenance and replacement. The 10-year plan ensures that the best use of the estate is achieved by maximising the use of the main stations and Community Safety Hub, modernising existing premises and co-location opportunities with public sector partners.

<b>Optimising achievement of intended outcomes</b>
<b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Ensuring the medium term financial strategy integrates and trades off service priorities, affordability, and other resource constraints.</li> <li>• Ensuring that the budgeting process is all inclusive, taking into account the full cost of operations over the medium and longer term.</li> <li>• Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for the outcomes to be achieved while optimising resource usage.</li> <li>• Ensuring the achievement of ‘social value’ through service planning and commissioning</li> </ul>

- 10.11 We have maintained a consistent approach to our financial strategy; maintaining financial stability and protecting service provision through identifying sufficient savings to provide prepare for what may be, more challenging future years. In the 2019 PEEL report HMICFRS noted that ‘*The force’s financial management is good. It manages its*

*budget tightly. It is making good use of reserves and has made solid assumptions when planning its finances’.*<sup>1</sup>

- 10.12 The LTFFP 2021-22 to 2024-25 and Capital Plan 2021-22 to 2024-25 was agreed with the PCC in February 2021, and regular updates are provided to the Executive Management Board and the PCC (see 9.4).
- 10.13 The financial planning cycle commences at the beginning of each financial year linked with the Force Management Statement and planning cycles to ensure that incoming demand, changes in anticipated funding and potential gaps are considered and plans developed to fill the gaps or mitigate the risk of not being able to do this.
- 10.14 The Department of Standards and Ethics continues 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 is 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.

**11. Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it**

Developing the entity’s capacity Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Reviewing operations, performance and asset management on a regular basis to ensure their continuing effectiveness.</li> <li>• Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how policing resources are allocated so that defined outcomes are achieved effectively and efficiently.</li> <li>• Recognising and promoting the benefits of collaborative working where added value can be achieved through partnerships.</li> <li>• Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.</li> </ul>

- 11.1 The Force structure is designed to manage service delivery whilst ensuring that effective governance is applied throughout the Force. The two geographic local policing areas, North and South, and the Crime Command are supported by:
- People and Development, including HR and training;
  - Legal Services;
  - Finance, Procurement and Fleet, Risk Management and Service Continuity;

<sup>1</sup> HMICFRS PEEL: 2019. <https://www.justiceinspectors.gov.uk/hmicfrs/wp-content/uploads/peel-assessment-2018-19-cleveland.pdf>

- Corporate Services including responsibility for corporate planning and governance, transformational change, performance, quality and review and corporate communications.
- 11.2 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.
- 11.3 Constable recruits undertake a three-year degree apprenticeship, one of the new routes into policing via the PEQF. Their probationary period is three years and they spend this time in a blend of classroom-based learning which is delivered in partnership with Teesside University, tutorship and specialist work-based placements. They achieve a degree in Policing awarded by our HEI partner Teesside University. We have a number of student officers who remain on the legacy programme of IPLDP. These students are all serving in the community having completed their learning and undertake a two-year probationary period and are undergoing assessment to achieve a Level 3 Diploma awarded by City & Guilds.
- 11.4 The Force has identified a series of strategic risks and challenges and these form the basis of decision making and translation into priority plans, mitigations and actions. Cleveland's Towards 2025 Road to Improvement, the national wellbeing strategy, risks and challenges, and the Oscar Kilo framework have contributed to identifying the main strategic risks and challenges which impact on wellbeing. The wellbeing strategy (which will be refreshed in autumn 2021) details our commitment to the wellbeing of our workforce in alignment with the National Framework. It is structured around four work streams although some underpinning activities may address more than one area:
- Economic/Financial wellbeing;
  - Psychological or mental wellbeing;
  - Physical wellbeing;
  - Social or organisational wellbeing.
- 11.5 Cleveland Police has been part of the Oscar Kilo Blue Light Framework since February 2017 and renewed its pledge in September 2019. There are 128 staff, officers and volunteers across all areas of the Force trained as Blue Light Champions and working within the Cleveland Police family. They raise awareness surrounding mental health and challenge mental health stigma. There is a further of 150 staff and officers have been identified who wish to become a Blue Light Champions. The framework aims to support forces to reduce stigma surrounding mental health, improve knowledge of help and support available whilst encouraging people to support themselves and realise their own potential. The Oscar Kilo website is available to all staff for advice, help, and support, promoting the concept of self-help, providing valuable resources for employees and supervisors, re-enforcing the concept that wellbeing is much broader than Occupational Health, and is everyone's responsibility as part of the culture change required as outlined above.

## Developing the capability of the entity's leadership and other individuals

### Expected behaviours and outcomes

- Ensuring the PCC and chief officers have clearly defined and distinctive leadership roles within a structure whereby the chief officers lead by implementing strategy and managing the delivery of services and other outputs set by the PCC and/or chief constable, and each provides a check and balance for each other's responsibility.
- Ensuring the PCC, chief officers and staff receive appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged.
- Ensuring that the PCC, chief officers and staff have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis.
- Ensuring personal, Force and system-wide development through shared learning, including lessons learnt from governance failures both internal and external.
- Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.
- Holding staff to account through regular performance reviews which take account of training or development needs.
- Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.

11.6 In December 2020, the Force approved the approach to leadership development through a framework to communicate what training and development is available e.g. personal, organisational and command leadership to support in role development and the internal talent pipeline.

11.7 During 2019-20 the Force implemented a new on-line process for PDR. Officers and staff were provided with significant support and guidance throughout the process with the use of guidance documents, messages to all, briefings, training sessions and one to one support to ensure that the process was implemented effectively. 91% of the Force successfully completed their PDR during 2020-21 and further developments are planned for 2021-22 with an enhanced performance management framework with the following impacts:

- Officers and staff at all levels understand their roles, responsibilities and relationships within the Force's performance management framework;
- Learning and development equips officers and staff to improve performance;
- Priorities including behaviours are established, are clearly communicated, understood, and acted upon by all officers and police staff;
- Improved performance translates into providing better service to the communities;
- Transparency leads to less duplication of work and a culture of ownership;
- A commitment to continually develop the organisation is embedded in parallel with commitment to grow the people in our organisation;

- A more engaged workforce who feel valued;
- A PDR system that is a trusted, transparent recording tool that captures performance and development evidence to enable individuals to own their personal and professional development.

11.8 There are a range of leadership development opportunities and blended learning activities aimed at different levels of leadership within the Force. This dovetails with those levels that require work-based assessments as part of the NPPF and are a mixture of internal and external programmes and include those available from College of Policing aimed at both officers and police staff. A growing range of CPD activities are also offered including 360° feedback, action learning sets, mentoring and support with reflective practice as well as new programmes on coaching, emotional intelligence, other soft skills and a suite of bite sized online learning sessions.

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

Managing risk
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Recognising that risk management is an integral part of all activities and must be regarded as a continuous process.</li> <li>• Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.</li> <li>• Ensuring that responsibilities for managing individual risks are clearly allocated.</li> <li>• Ensuring that the Force is risk aware and that its risk appetite is defined and communicated clearly to those responsible for making decisions.</li> </ul>

12.1 The Risk and Governance Board is well established and continues to meet on a regular basis. This Board provides assurance 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. The board is chaired by the Chief Finance Officer. Updates are presented to the Joint Independent Audit Committee on a six-monthly basis and updates are reported to the Executive Management Board following every meeting.

12.2 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. Internal audits conducted during 2020-21 provided ‘reasonable assurance’ and ‘substantial assurance’ opinions on risk management and business continuity respectively.

- 12.3 The Force maintains a strategic risk register along with operational risk registers for each business area. The risk management process is managed by the Strategic Finance Manager with strategic risks being reviewed on a bi-monthly basis at the Risk and Governance Board and further scrutiny by the Audit Committee.
- 12.4 Each business area 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 area’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.

<p><b>Managing performance</b></p> <p><b>Expected behaviours and outcomes</b></p>
<ul style="list-style-type: none"> <li>• Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.</li> <li>• Making decisions based on relevant, clear, objective analysis and advice, pointing out the implications and risks inherent in the Force’s financial, social and environmental position and outlook.</li> <li>• Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the Force’s performance and that of any organisation for which it is responsible.</li> <li>• Providing the PCC and chief officers with regular reports on service delivery plans and on progress towards outcome achievement.</li> <li>• Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).</li> </ul>

- 12.5 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 PCCs website. Terms of reference and a programme of work have been agreed for these meetings to minimise bureaucracy and duplication.
- 12.6 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 Urray Nook. Mitie Care & Custody are the service providers for the delivery of Custody Management and Medical Services elements and are also held to account during regular contract and performance meetings.
- 12.7 The Police and Crime Commissioner for Cleveland and Cleveland Police Joint Corporate Governance Framework include 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.

- 12.8 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.
- 12.9 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.
- 12.10 Corporate Services are currently establishing a Project Management Office (PMO) for the Force. The expected operational date of the PMO is September 2021. It will ensure that projects which are established to provide benefits to the Force: fully align with the strategic objectives; provide clear and efficient governance processes; provide project management frameworks; and provide a common corporate project management culture. Monthly monitoring of all change activity by the PMO will minimise the risk of projects being over budget or being delivered outside of timescales, and it will help ensure that resources are appropriately allocated to minimise project failure. Strategic oversight of all change activity will be provided at Chief Officer level.

<b>Robust internal control</b>
<b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Aligning the risk management strategy and policies on internal control with achieving the Force’s objectives.</li> <li>• Evaluating and monitoring the Force’s risk management and internal control on a regular basis.</li> <li>• Ensuring effective counter fraud and anti-corruption arrangements are in place.</li> <li>• Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.</li> <li>• Ensuring an independent audit committee or equivalent group or function, which is independent of the executive and accountable to the PCC and chief constable, provides a further source of effective assurance regarding arrangements for managing risks and maintaining an effective control environment and that its recommendations are listened to and acted upon.</li> </ul>

- 12.11 In order to address the causes of concern raised by HMICFRS, the Force has embarked upon a Service Improvement Programme and has established a dedicated service improvement team to lead on the six identified projects. The Force is monitoring and evidencing the progress made in those areas of service delivery identified by HMICFRS as causes of concern. In order to do this, the outcomes sought have been identified and the relevant performance measure have been mapped from local performance frameworks to each of the causes of concern. Using May 2019 as the baseline position for each measure within the framework, the desired level of performance has been identified (what the Force aims to achieve) along with the associated delivery timescale (when the Force aims to achieve it by).
- 12.12 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 2020-21, as well as follow up on previous recommendations, Internal Audit have completed audits in the following areas:

- Governance – Business Continuity Planning;
- Governance – Subject Access Requests;
- Governance – HMICFRS recommendation tracking;
- Risk Management;
- Human Resources – Wellbeing;
- Commissioning;
- Domestic abuse;
- Overtime;
- Automatic Number Plate Recognition;
- Positive Action;
- Purchase and credit cards;
- Key financial controls – general ledger and budgetary control;
- Seized exhibits;
- Payroll;
- ICT – asset management.

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

Two partial (negative) assurance opinions were received for ICT and overtime which are included in this document as governance issues for attention. A no assurance opinion was received for domestic abuse; this is also within this document as a governance issue for attention.

All three areas have agreed management action plans in place to address all of the issues from the three negative opinions. Domestic abuse will be re-audited in 2021-22 and progress on actions will also be reported through to the Joint Audit Committee (JAC).

<b>Managing data</b>
<b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"><li>• Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</li><li>• Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.</li><li>• Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.</li></ul>

12.13 The Force is required to demonstrate that principles of the CIPFA Financial Management (FM) code are being satisfied. A self-assessment has been prepared and presented to the Joint Independent Audit Committee. The self-assessment required assessment against 68 questions, of which 55 were rated as satisfactory and 13 required some additional work to meet full compliance. The areas for improvement are:

- Documents should be more explicit in their link to VFM rather than this being implied;
- Board meeting minutes and key decisions should be published on the intranet;
- Ensure that all schemes have an automatic assessment of VFM when setting up projects and schemes;
- Ensure that option appraisal is built into processes and be explicit about what is required and how this is to be measured.

- 12.14 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. The baseline training for all officers and staff currently comprises three e-learning packages: “Managing Information” (in two variants for operational and non-operational staff), “Protecting Information Level 1” and “Government Classification Scheme”. Information Asset Owners are expected to also complete “Protecting Information level 2”.
- 12.15 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.
- 12.16 The Force has designated the Deputy Chief Constable (formerly the ACC) as the Senior Information Risk Owner (SIRO), with responsibility for information assurance governance and risk ownership in the Force; including shared risks with other organisations, partnerships and third-party suppliers. Specifically, the function of the SIRO is to understand how the strategic business goals of the Force may be affected by failures in the secure use of the Force's information systems, to ensure that information risks are managed and to accept or decline to accept any residual risk.
- 12.17 The Force Information Security Manager meets with the SIRO on a regular basis and has direct access to discuss urgent issues outside of these meetings when necessary.
- 12.18 The completion of Data Privacy Impact Assessments is mandated when new systems are being development in Force or a change in working may introduce significant risk to data or privacy.
- 12.19 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.
- 12.20 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 PCCs website.

12.21 Cleveland Police has adopted the College of Policing’s Authorised Professional Practice (APP) for data protection (April 2021) and information sharing (Feb 2020). APP is the official source of professional practice on policing. Following a recommendation from the Information Commissioners Office the Force has additional policies around Data Protection and Information Management where matters are more complex.

<b>Strong public financial management</b> <b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Ensuring financial management supports both long term achievement of outcomes and short term financial and operational performance.</li> <li>• Ensuring well developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.</li> </ul>

12.22 As part of the approved Audit Plan for 2020-21, 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 concluded that substantial assurance and provided no recommendations. <sup>2</sup>

12.23 External Audit anticipate issuing an unqualified opinion, without modification, on the financial statements. The audit certificate cannot be issued until the work has been concluded in relation to the Whole of Government Accounts and the Value for Money Conclusion.

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

<b>Implementing good practice in transparency</b> <b>Expected behaviours and outcomes</b>
<ul style="list-style-type: none"> <li>• Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring they are easy to access and interrogate.</li> <li>• Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.</li> </ul>

13.1 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.

13.2 All decision making is carried out in accordance with the Police and Crime Commissioner for Cleveland and Cleveland Police Corporate Governance Framework

<sup>2</sup> Key Financial Controls – General ledger and budgetary controls, RSM 2021

including Contract Standing Orders, Financial Regulations and Schemes of Delegation.

- 13.3 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.
- 13.4 The Force Chief Officer Team meets on a weekly basis and the Executive Management Board meets on a bi-monthly basis. These meetings provide a delivery focussed, cohesive, holistic and supportive approach to developing and delivering services. For each meeting the decisions made, including rationale, and actions allocated are recorded.
- 13.5 The OPCC 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 Strategic Performance Improvement Board. All reports presented to the OPCC are available on the PCCs website.

**Implementing good practice in reporting  
Expected behaviours and outcomes**

- Reporting at least annually on performance, value for money, and the stewardship of resources to stakeholders in a timely and understandable way.
- Ensuring the PCC and chief officers own the results.
- Assessing the extent to which the Force is applying the principles contained in the Framework and publishing the results of this assessment including an action plan for improvement and evidence to demonstrate good governance in action (the AGS).
- Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar entities.
- Ensuring that the Framework is applied to jointly managed functions as appropriate.

- 13.6 The Annual Governance Statement (AGS) is prepared in consultation with the PCCs 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 are reported to the Joint Independent Audit Committee. This report is publicly available on the PCCs website.
- 13.7 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 2020-21 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 PCCs website. During the COVID-19 pandemic, the meetings have been held over Microsoft Teams. A link for members of the public to observe the meetings was available on request but not utilised.

- 13.8 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.
- 13.9 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.
- 13.10 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. Information captured via this process is reviewed in consultation with Delivery and Assurance Board chairs and the Audit and Inspection Monitoring Board to determine whether there is evidence of sustained improvement and closure should be requested or if further work is required. Furthermore, the Force has recently increased capacity in the review and assurance function which will allow us to reinstate the Force’s previous review activity, effectively creating an internal inspection function. This will enhance our ability to understand and evidence the impact of organisational change and service improvement activity.

Assurance and effective accountability
Expected behaviours and outcomes
<ul style="list-style-type: none"> <li>• Ensuring that recommendations for corrective action made by external audit are acted upon.</li> <li>• Ensuring an effective internal audit service, with direct access to the PCC, chief constable and audit committee, provides assurance with regard to the Force’s governance arrangements, and produces recommendations which are acted upon.</li> <li>• Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations as appropriate. Gaining assurance on risks associated with delivering services through third party suppliers and that this is evidenced in the AGS.</li> <li>• Ensuring that when working in partnerships, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.</li> </ul>

- 13.11 The Force presents six monthly updates to the Audit Committee on the progress of implementing recommendations arising from internal audit reports and quarterly updates on progress to address issues raised through 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 PCCs website as part of the papers for the Audit Committee.
- 13.12 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.

- 13.13 Regular briefing sessions are held to update all supervisors on the future direction of the Force and enable supervisors to cascade the key messages to officers and staff.
- 13.14 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, published in advance, and details of how to apply to attend hearing are displayed on the website. A debrief is held after all hearings and any departmental or organisational learning is highlighted.

#### **14. Review of Effectiveness**

- 14.1 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.
- 14.2 In line with the CIPFA Financial Management Code 2019, 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 Risk Assurance Services (RSM) LLP during 2020-21.
- 14.3 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.
- 14.4 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 2020-21 at their meeting in July 2021.
- 14.5 Internal Audit issued the following opinion in their annual report for 2020-21:  
  
*“The organisation has an adequate and effective framework for risk management, governance and internal control. However, our work has identified further enhancements to the framework of risk management, governance and internal control to ensure that it remains adequate and effective.”<sup>3</sup>*

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<sup>3</sup> Annual internal audit report June 2021 – The Police and Crime Commissioner for Cleveland and the Chief Constable of Cleveland - RSM

14.6 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.

## 15. Significant Governance Issues

15.1 The following governance issues have been noted classified as significant:

### Significant governance issue 1

#### **CDSOU withdrawal**

The Chief Constable has given notice in May 2021 that the Force will be withdrawing from the Cleveland and Durham Special Operations Unit (CDSOU) collaboration but will continue with the firearms training element. This will take a number of months to achieve and will result in road policing being provided solely by the Force within its boundaries. This withdrawal will mean a change in the governance of the function which is currently undertaken by the JOG and will be dealt with during the transition period.

### Significant governance issue 2

#### **Adverse Opinions from Audits**

Three negative opinions were issued for the following: ICT, Overtime and Domestic Abuse. These three audits will be reviewed again during the annual audit review cycle for assurance that the recommendations are being taken forward in a timely fashion.

15.2 The following governance issue which is considered as non-significant has also been identified:

### Governance issue 1

#### **Expected changes in Chief Officer Team**

The pending retirement of the ACC (Crime) and the CFO for the Chief Constable will result in the appointment of new staff to these posts. This may result in a period during which the new staff will need to be familiarised with the governance structures and processes of the Force, and the interdependencies of the decision making and assurance structures, particularly the CFO.

15.3 In addition to the significant governance issue there are also some specific issues from previous reviews which require further/continued focus:

### Issue for continued focus 1

#### **Police service funding**

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 operating model over the lifetime of the plan. Consequently, the Force is projecting a break-even position for each year of the plan subject to a small cashable savings target of £667k per annum. The financial balance is dependent upon aligning our work streams with the agreed establishment. The Force predicts a break-even position

for 2021 onwards using the assumption that the establishment stays within agreed limits. Should this not be the case it will present a potential financial risk to the Force.

## Issue for continued focus 2

### Historical investigations

The Force has been awarded a special grant for its Historical Investigation Unit (HIU). This funding is provided on an annual basis. The work is likely to continue over the next two years but should the funding cease then further savings will have to be made for the Force to continue to allocate resources to this operation.

## Issue for continued focus 3

### In September 2019, Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) graded the Force as 'inadequate'.

During the 2019 IPA (PEEL) inspection, HMICFRS identified 6 causes of concern which have resulted in the Force being issued with 30 recommendations. The Force has also been given 7 new areas for improvement and have a further 10 which remain outstanding from previous inspections - a total of 17. In addition to this, the Force also has 9 national recommendations to deliver on that relate to a national cause of concern for 'all forces' - a total of 56 individual elements of service improvement to deliver relating to the IPA inspection.

The causes of concern are in the following areas:

- Prevention and problem solving;
- Protecting vulnerable people;
- Understanding demand and strategic planning;
- Public engagement, communication and scrutiny;
- Ethical behaviour and culture;
- Workforce engagement and communication/treating the workforce fairly.

The Force has therefore embarked upon a Service Improvement Programme and has established a dedicated service improvement team to lead on the delivery of six identified projects. The Force has also developed a robust monitoring and evidencing process to ensure that progress is being made in those areas of service delivery identified by HMICFRS as causes of concern.

## Issue for continued focus 4

### Alignment of operational, workforce and financial planning cycles

Following a period of significant change in leadership and approach to planning, the established Force process for strategic and operational planning have been eroded as highlighted by HMICFRS. The Force is re-establishing a robust and structured approach to strategic planning to ensure that the various elements are in alignment and intrinsically linked. This is reliant on the establishment of a detailed understanding of demand, capacity and capability across the Force.

## Glossary

Acronym	Full title
<b>ACC</b>	Assistant Chief Constable
<b>AGS</b>	Annual Governance Statement
<b>APP</b>	Authorised Professional Practice
<b>BAU</b>	Business as Usual
<b>CBRN</b>	Chemical, Biological, Radiological and Nuclear
<b>CCRU</b>	Cold Case Review Unit
<b>CDSOU</b>	Cleveland and Durham Special Operations Unit
<b>CFO</b>	Chief Financial Officer
<b>CIPFA</b>	Chartered Institute of Public Finance and Accountancy
<b>CNYMIT</b>	Cleveland and North Yorkshire Murder Investigation Team
<b>CPD</b>	Continuing Professional Development
<b>CSEW</b>	Crime Survey for England and Wales
<b>CVF</b>	Competency and Values Framework
<b>DCC</b>	Deputy Chief Constable
<b>DSE</b>	Directorate of Standards and Ethics
<b>DSI</b>	Death and Serious Injury
<b>EDI</b>	Equality, Diversity and Inclusion
<b>FCO</b>	Force Contact Officer
<b>FMS</b>	Force Management Statement
<b>FOI</b>	Freedom of Information
<b>FTE</b>	Full Time Equivalent
<b>GSC</b>	Government Security Classification
<b>HIU</b>	Historic Investigation Unit
<b>HMET</b>	Homicide and Major Enquiry Team
<b>HMICFRS</b>	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services
<b>IAG</b>	Independent Advisory Group
<b>ICT</b>	Information Communication Technology
<b>IOPC</b>	Independent Office for Police Conduct
<b>IPA</b>	Integrated PEEL Assessments
<b>L&amp;D</b>	Learning and Development
<b>LRF</b>	Local Resilience Forum
<b>LTFP</b>	Long Term Financial Plan
<b>NCPI</b>	National Child Protection Inspection
<b>NDM</b>	National Decision Model
<b>NERSOU</b>	North East Regional Specialist Operations Unit
<b>NFI</b>	National Fraud Initiative
<b>NPAS</b>	National Police Air Service
<b>NPCC</b>	National Police Chiefs Council

<b>NPIRMT</b>	National Policing Information Risk Management Team
<b>NPPF</b>	National Police Promotion Framework
<b>OPCC</b>	Office of the Police and Crime Commissioner
<b>PCC</b>	Police and Crime Commissioner
<b>PCDA</b>	Police Constable Degree Apprenticeship
<b>PDR</b>	Performance Development Review
<b>PEEL</b>	Police Effectiveness, Efficiency and Legitimacy Programme
<b>PEQF</b>	Policing Education Qualifications Framework
<b>PFI</b>	Private Finance Initiative
<b>PIB</b>	People Intelligence Board
<b>PMO</b>	Project Management Office
<b>PPE</b>	Personal Protective Equipment
<b>PPOG</b>	Police Performance Oversight Group
<b>PSIAS</b>	Public Sector Internal Audit Standards
<b>RSM</b>	Risk Assurance Services LLP
<b>SIAG</b>	Strategic Independent Advisory Group
<b>SIRO</b>	Senior Information Risk Owner
<b>SSL</b>	Sopra Steria Limited
<b>STRA</b>	Strategic Threat and Risk Assessment
<b>TPS</b>	Transforming Professional Standards
<b>TUPE</b>	Transfer of Undertakings Protection of Employment
<b>VfM</b>	Value for Money