



**Report of the Chief Constable to the Chair and Members of the Audit Committee
28th March 2024**

Executive & Presenting Officer: Ian Wright, Director of Finance and Assets

Status: For information

Annual Governance Statement 2022-23 Update

1. Purpose

- 1.1 This report reviews the Action Plan for 2023-24 that was included within the Annual Governance Statement 2022-23.

2. Recommendations

- 2.1 It is recommended that Members note the actions taken throughout 2023-24 to address the issues raised.

3. Issues/Areas for Concern

- 3.1 There was one significant governance issue and one non-significant governance issue outlined in the Annual Governance Statement as at 31st March 2023, and five issues for continued focus from previous years governance issues. These issues and the most recent update on progress to address them can be seen at Appendix 1.

4. Implications

- 4.1 Finance
There are no financial implications arising from the content of this report.
- 4.2 Diversity and Equal Opportunities
There are no diversity or equal opportunity implications arising from the content of this report.
- 4.3 Human Rights Act
There are no Human Rights Act implications arising from the content of this report.
- 4.4 Sustainability
There are no sustainability implications arising from the content of this report.

4.5 Risk

All of the issues that have been identified have been risk assessed and if required will be included in the risk register of the Force.

5. Conclusions

- 5.1 The update provided should provide members with the assurance that the identified areas of weakness have been managed effectively throughout the 2023-24 financial year.

Mark Webster
Chief Constable

Appendix 1

Significant governance issue 1

Adverse Opinions from Audits

One of the Force Internal Audit reports published in 2022-23 were awarded 'Minimal Assurance', these related to Health & Safety (Force) and Commissioning (OPCC). Ten actions were identified for Health & Safety (2 Low priority, 3 Medium and 5 High). The Force are progressing these actions, with a number already closed or identified for closure. Health & Safety will be re-audited in October 2023.

Two reports were given 'Partial Assurance'. Vetting was issued five actions (2 low, 2 Medium and 1 High). These actions were progressed to closure and closed by RSM in their September 2022 and January 2023 Follow-up audits. Vetting will be audited again in September 2023.

Criminal Disclosure was issued with 2 High priority actions, when the report was published in June 2023 and is progressing the actions.

Update: February 2024

As reported previously one Force report had been awarded 'Minimal Assurance' in 2022 – 23: Health and Safety. Subsequently all of the actions have been closed during Follow-up audits and reported to the Joint Audit Committee Members. Health and Safety has been fully re-inspected as part of the inspection schedule for 2023 – 24. The report has been finalised and graded Partial Assurance, seven actions were issued all of which have been completed by the Force and will be reviewed for closure by the auditors in their next Follow-up audit.

Vetting and Criminal Disclosure were both reported as being awarded 'Partial Assurance'. All the vetting actions were reported as closed in the last update. Vetting has also been audited as part of the 2023 – 24 audit programme and was awarded Reasonable Assurance with 3 medium priority actions, all of which have been rectified and were closed by the auditors in their January Follow-up audit.

Criminal Disclosure had one action identified as complete which was closed during the January Follow-up audit, the other action needs time to embed to produce significant evidence of its completion; the action will be submitted for closure later in the year.

Governance issue 1

Performance Framework and Corporate Meeting Framework

In early 23, due to the ending of a period of instability at Chief Officer level, a review of both frameworks was commenced, and some changes have taken place including the replacement of the Strategic Performance Improvement Board with the IMPACT Board to provide a more holistic review and management of performance and the replacement of the Strategic People Board with the Strategic Workforce Planning Group. These changes took place post March 23 and will be enhanced by further changes to the framework during 2023-24. To support the IMPACT framework, we have also developed a range of new performance

products and automated tools. This includes an IMPACT performance dashboard which provides a high level organisational health check across key victim services.

Update: February 2024

The Force's corporate meeting framework was reviewed in Spring 2023 to ensure that strategic priorities drive all significant activity, and that people, policies and systems are operating effectively and focused on key service risks. The framework will continue to evolve over time to ensure it remains fit for purpose and work is currently ongoing to review the frequency and focus of both the Executive Management Board and Strategic Workforce Planning Board as part of the Force's approach to continuous improvement.

Following the introduction of the Force IMPACT (Improving and Managing Performance Across Cleveland Together) Board, the Force Performance Framework has been refreshed in line with the new Force Strategic Plan and a number of new monthly ACC led governance and accountability meetings have been introduced to drive performance improvement activity and provide assurance at delivery level. The revised governance structures have necessitated the development of new performance products and the Performance Team continue to develop the use of PowerBi to provide automated products wherever possible in line with the increased data coverage and level of detail required. At the centre of the IMPACT framework, is a more robust approach to governance and accountability which has seen a shift away from the simple presentation of data to a more collaborative problem-solving approach based on data driven and evidence-based conversations and the provision of additional insight and context.

Issue for continued focus 1

Ongoing changes in Chief Officer Team

Following a period of instability at Chief Officer level, throughout 2022-23 successful recruitment ensured that the Chief Officer team was complete for 2023-24. 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.

Update: February 2024

The Chief Officer Team is now well established with all posts filled on a substantive basis. All Chief Officer team members contributed to the Policing Cleveland Together strategic plan and priorities for the Force. This included reviewing governance structures and related assurance systems, supported by a refreshed performance excellence framework, including a strategic performance management scorecard. These continuous improvements were implemented to facilitate the revised Force operational operating model, sponsored by the Chief Officer Team, who fully engaged with Superintending ranks and senior police staff, giving them a voice and ownership of the new command unit model; introduction was phased from April 2023. All new chief officers have been further briefed on the decision making and governance structures within the Force and have been

supported in the development of key meeting structures for their portfolio areas. Terms of reference have been developed for each meeting that is chaired by a chief officer and these have been mapped into the overall governance structures of the Force.

The stable Chief Officer team provides strategic leadership and direction, through employee and stakeholder engagement, visibility, promoting wellbeing, ethics and standards, performance and accountability.

Issue for continued focus 2

CDSOU withdrawal

The withdrawal from the Cleveland and Durham Specialist Operations Unit (CDSOU) collaboration took place in May 2022, and Cleveland Special Operations Unit is now in place. Governance structures have been addressed to ensure compliance with the Code of Practice on Armed Policing and Police use of Less Lethal Weapons. Governance of finance, HR and fleet have been enhanced. Policies, procedures, and plans have been updated and will be implemented incrementally. The department will be overseen by a newly reformed Specialist Capabilities Board chaired by the ACC. The firearms and taser training continue to be provided through the shared Tactical Training Centre with Durham Constabulary overseen through the strategic Joint Operating Group.

Update: February 2024

The CPSOU has now been in place for over 12 months following the de collaboration. Throughout the period the department has gone through some significant changes. This includes a completely new senior leadership team and Inspectors. The department has now been rebranded along with wider departments as the Matrix team which was launched on 22nd January 2024. The Matrix team includes: Road Policing, Firearms, Dogs, the Tactical Disruption Team (previously OSU), Collision Investigation and Road Safety, along with the Football team, Public Order, CBRN, and Search with Emergency and Operational Planning. The Matrix brand ensure the department falls in line with the force priorities and the focus is a proactive highly visible team working with other departments within the force and partners to tackle crime and provide reassurance to the public. The launch has been successful and has already brought about some significant results and culture changes within the department.

Issue for continued focus 3

HMICFRS Inspection outcomes

In March 2023, His Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) graded Cleveland Police's performance across ten areas of policing and found the force was 'good' in one area, 'adequate' in four areas, 'requires improvement' in three areas and 'inadequate' in two areas. HMICFRS identified the organisation required improvement in the area of 'investigating crime', 'protecting vulnerable people', and 'developing a positive workplace'.

Further to this, the Force received inadequate in relation to 'preventing crime' and 'good use of resources'. Delivery of the required improvements will be monitored by the GAIN Board along with continuing to ensure we have adequate levels of performance in other areas measured against the PEEL Assessment Framework (PAF).

Update: February 2024

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

Following publication of the Force's last PEEL inspection report in March 2023, all new and outstanding actions issued by HMICFRS were reviewed and aligned to the HMICFRS PEEL Assessment Framework (PAF). The Force has conducted a self-assessment against each of the PAF question areas and improvement/action plans have been developed to address any gaps. These plans also include activity to address any recommendations of AFIs arising from national thematic inspections. This represents a significant shift in the Force's approach to HMICFRS activity with a move to be more proactive and forward focussed. To ensure appropriate drive and oversight, each PAF question area has a designated executive lead at Chief Officer Team level and a senior officer/staff equivalent delivery lead. Progress against the improvement plans is tracked at the monthly GAIN Board via exception reporting with a 'deep dive' into one of the PAF areas each month on a rotational basis.

In August 2023 the Force was subject to a revisit by HMICFRS to evaluate progress against the two areas in which it was graded inadequate. HMICFRS were satisfied that good progress had been made in both areas and that the associated recommendations had been achieved. As a result, the two outstanding PEEL causes of concern were discharged and the Force was removed from the 'engage' phase of enhanced HMICFRS monitoring. The Force has also been subject to a Counter Corruption and Vetting inspection for which it was graded as adequate.

The Force is confident that it can continue to build on the improvements already made under the direction and oversight of the GAIN Board and work is underway to prepare for the Force's next PEEL inspection which will take place in late summer/early Autumn 2024.

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 has re-established 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 continuation of a detailed understanding of demand, capacity and capability across the Force.

Update: February 2024

The Force strategic planning cycle is now well established and based upon the Force Management Statement process. This includes the assessment of capability and capacity of each business area against the demand pressures of that area. The cycle now includes the capital planning and training needs analysis processes as part of that assessment of capability and capacity leading to prioritisation and budgeting activity for each element. This is alongside the well tested assessment of resource and establishment, leading to bids for growth and realignment of people resources in business areas that is based on a detailed understanding of demand and business area expertise. The creation of the Strategic Workforce Planning Board ensures that resource levels are continuously monitored through a dashboard of performance measures and that risks are assessed and mitigated.

Issue for continued focus 5

Understanding and use of demand

Whilst we have improved our understanding of current and future demand, we need to continue to improve our understanding of capability and capacity and use this knowledge to influence workforce planning at a strategic and tactical level.

Update: February 2024

The understanding of demand is a key element of the Force Management Statement process and is governed by the Strategic Workforce Planning Board. Alongside this, the understanding of capability and capacity has improved by through the annual programme of demand analysis which aims to assess the capability and capacity of areas of the Force and match them to the demand experienced in that area. The Force has recently completed analysis of Response policing and recommendations on shift patterns and the use of officers in their probation period, either as part of the PCDA or IPLDP, have been made to increase availability and capacity on the frontline. A programme of demand analysis is set at the beginning of each financial year which is based on the levels of risk identified through the FMS and monitoring of capability and capacity by the Strategic Workforce Planning Board.