



Annual Governance Statement

Position as at 31st March 2020

1. Scope of responsibility

- 1.1 Following the introduction of the Police Reform and Social Responsibility Act (2011) the position of Chief Constable has been established as a Corporation Sole. For the purposes of this document the terms Chief Constable, the Force and Cleveland Police should be read as one and the same.
- 1.2 The Chief Constable is responsible for ensuring Force business is conducted in accordance with the financial governance arrangements outlined in The Financial Management Code of Practice for the Police Service of England and Wales (2018). The Chief Constable also has a statutory duty to secure value for money in the use of public funds.
- 1.3 In discharging this overall responsibility, the Chief Constable is responsible for putting in place proper arrangements for the governance of the organisation, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.4 Cleveland Police has an established Corporate Governance Framework through which the Chief Constable can be assured that the Force's systems, policies and people are focused in a way that is driving the delivery of agreed priorities. Along with focus on key risks to the delivery of those priorities the governance framework also provides assurance that the Force operates in an efficient and effective manner.
- 1.5 This statement meets the requirements of Accounts and Audit Regulations 2015, regulation 6(1)b, which requires all relevant bodies to prepare an annual governance statement.

2. The purpose of the governance framework

- 2.1 The governance framework comprises the culture, values systems, processes and assurance framework by which the Force is directed and controlled and the activities through which it accounts

to, engages with and leads its community. It enables the Force to monitor the achievement of its priorities and to consider whether they have led to the delivery of efficient and effective services.

- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Cleveland Police's priorities, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively, and economically.
- 2.3 This governance framework has been in place at Cleveland Police for the year ended 31st March 2020, and up to the date of the approval of the accounts.

3. The governance framework

- 3.1 The Force has a joint corporate governance framework with the Police and Crime Commissioner (PCC) for Cleveland. The framework sets out the way that the two organisations, the Police and Crime Commissioner and the Chief Constable, govern, both jointly and separately. The framework also details the delegations and consents from the PCC to the Force, and outlines the specific roles and responsibilities of officers. The framework is reviewed and amended as necessary on an annual basis.
- 3.2 The Chief Constable is responsible for the delivery of operational policing, the direction and control of police personnel, and for putting in place proper arrangements for the governance of the Force. The Chief Constable also has a statutory duty under section 35 of Police Reform and Social Responsibility Act (2011) to secure that they and the persons under their direction and control secure value for money in exercising their functions.
- 3.3 The Police and Crime Commissioner (PCC) for Cleveland is responsible for ensuring that the Chief Constable delivers an efficient and effective police force and holds the Chief Constable to account for the operational delivery of policing.
- 3.4 In addition to the Annual Governance Statement (AGS) for Cleveland Police, the PCC is also required to produce an AGS. The two AGSs complement each other by:
- outlining the key methods of assurance which operate in each body to ensure that, overall effective control is exercised;
 - showing which key documents/reports of Cleveland Police are scrutinised by the PCC as part of wider accountability;
 - demonstrating how the policing elements of the Police & Crime Plan are delivered by Cleveland Police and are underpinned by public consultation on the part of the PCC as part of wider accountability.
- 3.5 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.
- 3.5 This Annual Governance Statement provides a summary of the extent to which the Force meets the seven principles of good governance as identified in the revised *Delivering Good Governance: Guidance Notes for Policing Bodies in England and Wales (2016)*.

- 3.7 While the concepts of good governance are acknowledged and understood, the appropriate day-to-day processes must be in place to allow this to happen. These are detailed in the following sections structured around the seven principles.

4. Overview of HMICFRS PEEL inspection findings and our initial response

- 4.1 During the 2019 IPA (PEEL) inspection, HMICFRS identified 6 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 10 which remain outstanding from previous inspections - a total of 17. In addition to this, the Force also has 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 has 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 form the current focus for service improvement activity within the Force – there are however a total of 118 areas for improvement or recommendations highlighted for the Force from all inspection activity; local, national and thematic. The causes of concern from the 2019 IPA inspection are shown below.

4.2 Prevention

Cause of concern - The force doesn't appropriately prioritise crime prevention. There is a lack of strategic direction, and the force doesn't allocate enough resources to prevention work. Staff who carry out prevention work lack an understanding of the priorities they should be tackling.

The force should take immediate steps to:

- Provide strategic direction and co-ordination of all prevention activity
- Ensure there are the right resources, in the right place, to carry out structured problem-solving and prevention activity aligned to its priorities
- Ensure officers and staff working within neighbourhood teams understand the needs of local communities, their priorities, and the threats they face and
- Monitor the effectiveness of its crime prevention activity, evaluating and sharing effective practice both internally and with other organisations.

4.3 Protecting vulnerable people

Cause of concern - 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.

The force must take immediate action to ensure that:

- Officers and staff can identify vulnerable people and repeat victims effectively
- It promptly attends incidents involving vulnerable people. Any re-grading of incidents is based on a structured and recorded risk assessment with supervisory oversight
- It safeguards all victims of domestic abuse, through the effective completion of a structured risk assessment, adequately supervising any changes to the initial assessment
- There is sufficient supervision of domestic abuse cases assessed as having a standard level of risk
- The cumulative effect of numerous incidents involving the same victim or household is properly risk assessed, considered and responded to
- Referrals for ongoing safeguarding is made at the appropriate time

- There are effective processes in place for catching criminals which are subject to supervision and scrutiny and it uses the available legal powers to prevent re-offending and
- It supplies people with the information they need and are entitled to under the provisions of Clare's Law and Sarah's Law.

4.4 Understanding demand and strategic planning

Cause of concern - Cleveland Police doesn't adequately understand the demand it faces. A thorough understanding of demand is required to underpin all strategic planning. This failure means it doesn't have coherent workforce and financial plans to meet demand and deliver the necessary outcomes.

To address this cause of concern, the force should immediately:

- Carry out a comprehensive assessment of current and potential future demand across all operational areas to inform the force's operating model. This should include latent demand, and the demand generated by internal processes
- Provide senior leaders with the relevant information, support and skills to inform their understanding of demand and
- Develop coordinated financial and workforce plans based on demand, which should be integrated into the force's strategic planning cycle.

4.5 Public engagement, communication and scrutiny

Cause of concern - Cleveland Police doesn't adequately engage with local communities. This lack of engagement means that public expectations don't 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.

The force should immediately take steps to:

- Improve its communication and engagement with the public of Cleveland. This should include: informing them of changes to policing services; communicating the action it has taken to address force priorities and the provision of community and personal safety advice
- Improve its understanding of local communities, including those who are less likely to complain or those that engage less with the police
- Understand what services its communities want and how the force's plans and its operating model reflect these expectations and
- Engage the public in the scrutiny of its data and processes including the use of force and stop and search, to help it improve. This may be through an independent advisory group or other means. It should ensure these people, have the relevant training, and are provided with sufficient data and analysis for them to scrutinise and challenge in a constructive way.

4.6 Ethical behaviour and culture

Cause of concern - Many senior leaders (superintending and chief officer ranks, and senior police staff managers) aren't 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.

The force should take immediate action to:

- Embed the Code of Ethics principles and behaviours within the organisation

- Create a culture where officers and staff are honest and take responsibility for their work and action taken
- Hold the entire workforce to account for inappropriate behaviour and poor performance and
- Ensure there is a process for the workforce to discuss ethical dilemmas regularly, and understand decisions made by the force about fairness that also influence policy and practice.

4.7 Workforce engagement and communication/ treating the workforce fairly

Cause of concern - 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 doesn't understand its workforce well enough to support them.

To address this cause of concern, the force should:

- Communicate with the workforce, so they have a clear understanding of what is happening in the force
- Involve the workforce in decision making; listening to their feedback, acting on it, and communicating action taken
- Improve the timeliness of its grievance handling processes
- Understand the risks and threats to the wellbeing of its workforce and use this to inform the actions it takes
- Understand the performance of its workforce, support their development, and deal with poor performance fairly and consistently
- Fairly and consistently identify those with the potential to become senior leaders and support them to gain the skills for future leadership roles and
- Ensure that promotion processes are transparent, fair and perceived as such by the workforce.

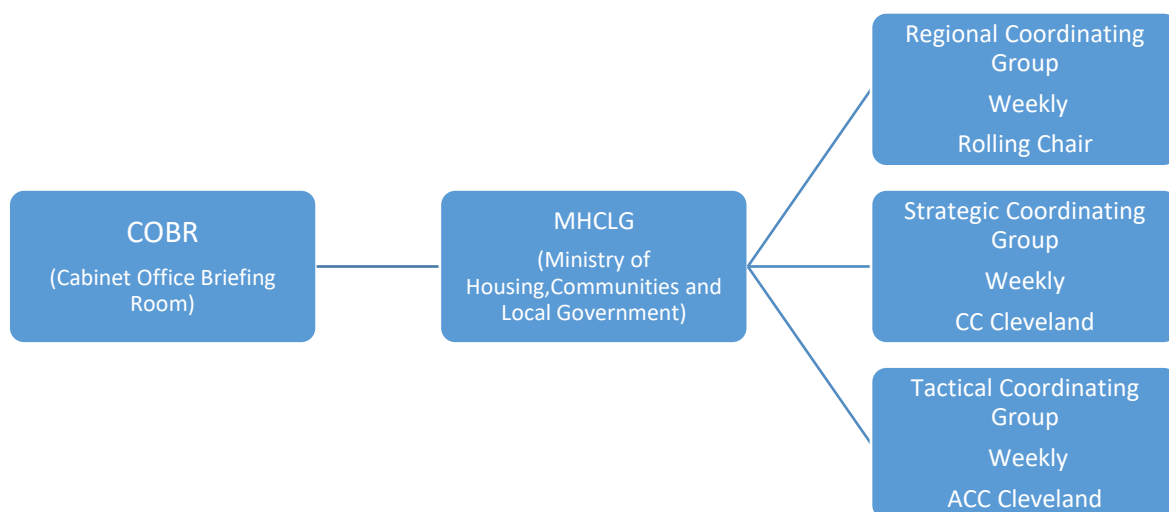
- 4.8 Since the publication of the HMICFRS PEEL report, the Force has undertaken a significant amount of stabilisation work including critical work to protect the vulnerable and has since moved into detailed planning of the longer term improvements required. We have identified six projects that underpin our improvement programme with designated project leads at senior officer level. The projects, which are being delivered by a dedicated Service Improvement Team, are:



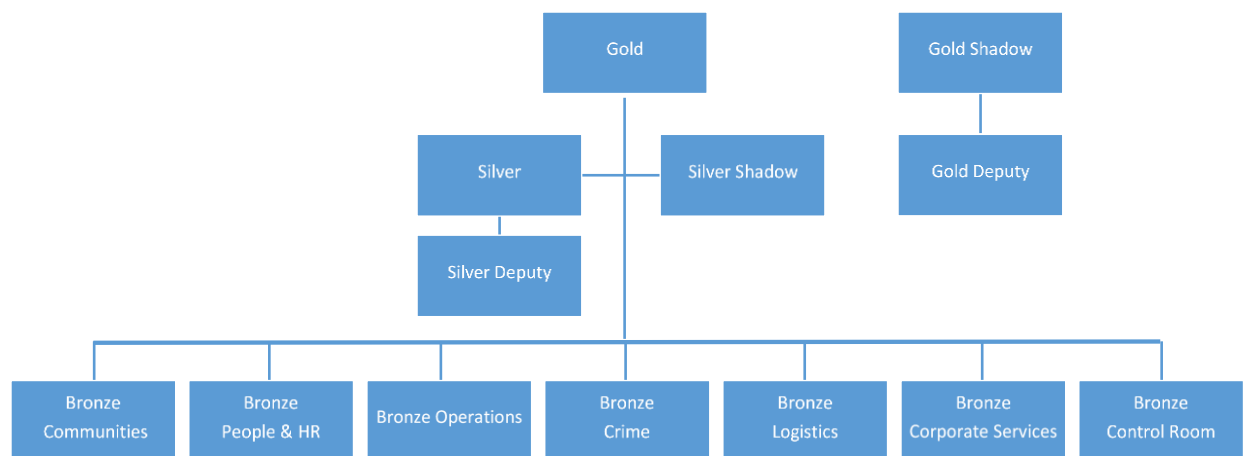
- 4.9 Project Initiation Documents (PIDs) have now been approved for each of these projects following consultation with key stakeholders, and a detailed overall Programme Plan containing the critical sequencing of improvements required has been developed and the Force has appointed a dedicated Programme Manager 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.
- 4.10 A number of strategic risks have been identified resulting from the causes of concern and a programme specific risk register has been developed to identify high level risks to the programme, along with the controls already in place and any mitigating actions required.

5. Impact of COVID19

- 5.1 The impact of the worldwide COVID19 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 temporary cessation of a number of key decision making boards.
- 5.2 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 have been established to ensure an effective multi agency response as shown below.



- 5.3 A command room has been 'stood up' with Force to ensure effective command and control of our response with the establishment of dedicated Gold, Silver and Bronze commanders as shown below.



- 5.4 The Force has produced a Covid-19 plan which sets out our response to the pandemic and this continues to be reviewed and updated as required. Meetings were initially held daily to assess the operational impact of the pandemic and these have now been reduced to weekly meetings 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. The financial impact of COVID19 is being constantly monitored and reviewed and plans are in place to finance the additional expenditure and to minimise the impact of any loss of income.
- 5.5 Recovery plans have also been drawn up and steps taken to return the Force to normal working. The future impact of COVID19 is unknown but the impact of the pandemic is considered at all levels of the Force and plans will be drawn up as soon as any potential impact is known.

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

- 6.1 In the 2019 PEEL report HMICFRS graded the Force as ‘inadequate’ with regard to how legitimately the Force treats the public and its workforce - *“The Force doesn’t treat the public fairly enough. It isn’t giving local people the opportunity to voice their needs and concerns, and it doesn’t encourage a culture that values engagement... Cleveland Police isn’t adequately maintaining an ethical workforce. Many senior leaders (superintending and chief officer ranks, and senior police staff managers) aren’t acting as positive ethical role models.”*¹
- 6.2 The **Leadership and Values** and **Ethics and Equality** projects within the service improvement programme will deliver the improvements required by HMICFRS including:
- The development and implementation of internal two way methods of engagement that will enable individual issues to be raised, transparency in decision making, consultation in advance of key decisions being made and provision of an indication as to the culture of the organisation
 - Provision of clarity on senior roles, responsibilities and standards and how these are being demonstrated

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

- Provision of toolkits to improve inclusive value based decision making at all levels within the organisation
- Development and delivery of a programme of change to better equip all officers and staff in the application of the code of ethics (including equality, diversity and inclusion)
- Working in partnership through the leadership and Everyone Matters programme to integrate ethical development, supplementing where required with specialist areas e.g. cultural awareness, unconscious bias, use of IT systems etc.
- To develop and implement a process for raising, exploring and developing officers and staff on ethical issues.

<p>Behaving with integrity</p> <p>Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • 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 organisation among its stakeholders. • Ensuring chief officers lead in establishing specific standard operating principles or values for their organisations and staff and that they are communicated and understood. The values should build on the Nolan Principles and the <i>Code of Ethics</i>. • Leading by example and using above standard operating principles or values as a framework for decision making and other actions. • 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.

- 6.3 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 next two years.
- 6.4 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.
- 6.5 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).
- 6.6 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 at the heart of 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 a Sergeant 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 amongst all in the organisation through training, PDR and day to day business.

- 6.7 The Force has formed 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.
- 6.8 Cleveland Police has forged strong relationships - Professor Allyson MacVean (Bath Spa University) has delivered an ethical leadership seminar to senior leaders within the organisation and a peer review relationship has been established with Devon and Cornwall Police. DSE have implemented new police regulations efficiently and integrity health checks are undertaken by all staff as part of the PDR process.
- 6.9 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.
- 6.10 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.
- 6.11 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.

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

- 6.12 During the 2018-19 PEEL inspection HMICFRS found that the long established internal ethics committee had not met for over nine months and that *"Officers and staff are submitting issues to this meeting for consideration but these are still waiting to be discussed. The force is also sifting out some of the dilemmas, with no established criteria for doing so. It doesn't prioritise this forum as a way of addressing workforce concerns."*²
- 6.13 Ethics and standards within Cleveland Police is governed by the Deputy Chief Constable chaired Ethics and Standards Board; this monthly board provides strategic oversight, monitoring and scrutiny of the standards of ethical and professional behaviour.

² ² HMICFRS PEEL: 2019. <https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-assessment-2018-19-cleveland.pdf>

- 6.14 The Force also has internal and external ethics committees. The internal ethics committee has 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
- 6.15 The external 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 Office of Police and Crime Commissioner. The committee discusses specific questions that have been sent for their consideration and the Force welcomes queries raised by its members.
- 6.16 The three forums utilise a referral mechanism between one another facilitated by the Operational Ethics Lead Sergeant; a post created to co-ordinate and embed ethical behaviour within the Force. Bespoke communication methods and publication of materials are being updated.
- 6.17 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. 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. 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.
- 6.18 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 Initial Police Learning & Development Programme (IPLDP) for all probationer constables.

<p style="text-align: center;">Respecting the rule of law</p> <p style="text-align: center;">Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • 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. • 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. • Striving to use full powers for the benefit of citizens, communities and other stakeholders. • Dealing with breaches of legal and regulatory provisions effectively. • Ensuring corruption and misuse of power are dealt with effectively.

- 6.19 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.

- 6.20 The 'Everyone Matters' programme continues to look at how the organisation delivers services to our different communities, develops and supports our staff, and ensures that the organisations processes are the best that they can be. The 'Everyone Matters' programme was established to provide a living approach to inclusion, equality, diversity and human rights ensuring it is fully embraced in both our service delivery and employment. It is about moving us forward as a service built upon firm foundations of values, ethics, transparency, inclusion and fairness and an internal maturity to challenge behaviours or attitudes that don't support that.
- 6.21 The Force has a number of fully supported and engaged staff networks which will promote a cultural shift that enhances the reputation of the Force including the Support Association for Minority Ethnic staff (SAME), the Cleveland Police Women's Network (CPWN), the LGBT network, the Disability Support network, the Autism Association and the Vegan Network.
- 6.22 We have continued with the delivery of our Cultural Awareness Sessions which have been successful in the past and positively received by staff and officers. In order to make sure that everyone within the organisation has an opportunity to attend a session, they have been made mandatory for all staff and officers. Previously the cultural awareness sessions took place quarterly and since the start of 2020 they have been organised and delivered on a monthly basis (until COVID19 forced temporary suspension of the programme).
- 6.23 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.
- 6.24 The 2019 - 2020 programme consisted of these topic areas:
- Autism Awareness – delivered by Daisy Chain Project**
Providing autism awareness for organisations who wish to learn more about the condition and to provide an autism friendly service.
- Understanding Islam – delivered by Islamic Diversity Centre**
Providing understanding of Muslims in the UK based on beliefs and practices, whilst challenging stereotypes and removing misconceptions.
- Refugee & Asylum Seekers – delivered by Regional Refugee Forum**
Exploring how experiences from an individual's home country affect and make an impact on trust of authority.
- Transgender Awareness - delivered by Trans Aware**
Delivering highly respected transgender awareness training which removes the eggshell feeling some face when facilitating gender variance.
- Unconscious Bias – delivered by Professor Alex Psychogios**
Understanding and recognising the impact of bias in everyday situations; being able to explore our own stereotypes and prejudices and get an understanding of how they impact on the ways in which we react to other people; to familiarise with the brain science approaches that expand our understanding on cognitive biases; and to come up with ways of reducing the impact of our unconscious bias.
- 6.25 So far, 252 individuals across the organisations have attended a session. These sessions are on-going and future priorities will be to conduct a formal evaluation process to further develop the sessions.

- 6.26 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 for the Police and Crime Commissioner and the CFO of the Chief Constable (2012)*.
- 6.27 The Transforming Professional Standards programme commenced in January 2017 as a result of a need for Cleveland Police to fundamentally change how it responds to complaints from the public, how it deals with internally raised allegations of misconduct and how it ensures the integrity of its workforce. The programme instigated jointly by the as then Chief Constable and the PCC in response to the adverse impact of a number of concerns from both internal and external sources which, when taken collectively, presented a high level of risk to Force reputation and public confidence. As a result of the reforms the Directorate of Standards and Ethics (DSE) was formed in September 2017 based on three overarching principles:
- Improving organisational effectiveness to assure consistent and appropriate outcomes
 - Engendering a culture of integrity, fairness, impartiality and transparency
 - Constructive and positive stakeholder engagement to maintain and enhance relationships.
- The improvements in the quality of investigations into complaints and conduct matters and the raising awareness amongst the workforce around professional behaviour and legislative compliance are continuing. To build public confidence in the way the Force investigates concerns raised by the public, an independent scrutiny panel has been set up. The panel, which has members drawn from the external ethics committee and the independent police audit committee, meet on a regular basis to test DSE's reasonableness of decision making and the timeliness and proportionality of approach.
- 6.28 The Force strategic partner, Sopra Steria (UK), embraces the Code of Ethics and is contractually committed to comply with Force policies.
- 6.29 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.

7. Principle B – Ensuring openness and comprehensive stakeholder engagement

- 7.1 In the 2019 PEEL report HMICFRS graded the Force as 'inadequate' with regard to how legitimately the Force treats the public and its workforce - the Force *"isn't giving local people the opportunity to voice their needs and concerns, and it doesn't encourage a culture that values engagement. It isn't being open in some of the decisions and actions it takes"*.³
- 7.2 The Problem Solving, Prevention and Engagement project within the service improvement programme will 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.
 - Designing and implementing a neighbourhood policing model and structure which ensures effective problem solving, prevention and engagement.
 - Designing a Force structure based on demand which places prevention at the forefront of policing services
 - Better equipping and training officers and staff to carry out problem solving, engagement and prevention activity.

³ HMICFRS PEEL: 2019. <https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-assessment-2018-19-cleveland.pdf>

- Reducing demand on response teams through effective problem solving, engagement, intervention and prevention activity.
- Improving understanding of our communities and the expectations of policing, and involving communities in the design and scrutiny of policing services

<p style="text-align: center;">Openness</p> <p style="text-align: center;">Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • Ensuring an open culture through demonstrating, documenting and communicating the organisation'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. • Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. • 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. • Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.

7.3 Public confidence and victim satisfaction continue to feature as key performance indicators in our local performance management framework. Whilst we continue to measure and monitor public confidence via the result of the Crime Survey for England and Wales, following consultation with a number of key stakeholders, we replaced our previous telephone Victim Satisfaction Survey with a new online Victim Experience Survey. Research has shown that this is the preferred option providing a less instructive approach which allows service users to provide their feedback at a time and location that is convenient to them.

7.4 In addition to changes to the way we ask for feedback, we have also reviewed the nature and scope of the questions we ask, consulting with victims of crime, victim support workers and officers in order to understand the type of questions we should be asking, based on the issues that matter to them. As a result, we have developed a new question set, designed in a way which seeks to answer a number of key performance questions:

- Is Cleveland Police an accessible and responsive organisation?
- 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?

7.5 By designing the question set in this way, we will be able to assess whether or not we are delivering a service which meets the needs of the victims and addresses the issues which matter to them. Our new survey was introduced in January 2020 and we are currently in the process of capturing feedback in order to establish a baseline level of performance against which to track future progress.

- 7.6 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	
<ul style="list-style-type: none"> 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. 	

- 7.7 The Force has a Community Engagement Strategy that aims to provide accessible, multiple opportunities for communities to engage with Cleveland Police in shaping policing policy, practice and priorities. 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.
- 7.8 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. However, in 2019 HMICFRS found that the Force *'doesn't adequately use external scrutiny arrangements to seek the public's views and consider what improvements it can make'*⁴ including the use of IAGs in scrutiny. This issue is also being addressed through activity within the Problem Solving, Prevention and Engagement project.
- 7.9 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.
- 7.10 Cleveland Police and Durham Constabulary have an established Specialist Operations Unit incorporating: armed response, roads policing, collision investigation, motorcycles, camera enforcement and traffic management. Cleveland Police and Durham Constabulary also work closely on their public order teams, training, and chemical, biological, radioactive and nuclear (CBRN) capacity. The joint unit is overseen by a governance structure with the collective Force Executives and Police and Crime Commissioners sitting on a Strategic Board. A bi-monthly meeting sits to give direction to the head of unit and this is chaired by an ACC. In December 2019 the tri-force dog section

⁴ HMICFRS PEEL: 2019. <https://www.justiceinspectorates.gov.uk/hmicfrs/wp-content/uploads/peel-assessment-2018-19-cleveland.pdf>

collaboration formed in 2015 between Cleveland, North Yorkshire and Durham was dissolved and the resources and assets that formed part of that unit returned to the relevant Force.

- 7.11 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.
- 7.12 Under the Evolve Programme, the Force and North Yorkshire Police agreed to collaborate in major investigations, creating the Cleveland and North Yorkshire Major Investigation Team (CNYMIT). The fundamental principle of the CNYMIT model is to reduce the number of abstractions from individual teams when dealing with major investigations and provide greater resilience of resources across both forces with increased capability and capacity.
- 7.13 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.
- 7.14 The Force is also part of a national collaboration for the provision of air support, the National Police Air Service (NPAS).

<p>Engaging with individual citizens and service users</p> <p>Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • Establishing a clear policy about the type of issues on which the organisation will meaningfully consult with, or involve, individual communities, citizens, service users and other stakeholders to ensure that a service (or other) 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.

- 7.15 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 PCC's website. In addition, the two Chief Finance Officers also meet on a weekly basis.
- 7.16 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.

8. 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"> • Having a clear vision – an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators which provides the basis for the organisation’s overall strategy, planning and other decisions. • 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. • 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. • Identifying and managing risks to the achievement of outcomes as part of delivering goods and services. • Managing expectations effectively with regard to determining priorities and making the best use of the resources available.

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



8.2 The vision and values is 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.

8.3 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 demand profile. Work continues to improve our ability to understand demand to ensure that we make the best use of our

resources and that they are aligned to that demand through the Understanding Demand project. The aims of the project include:

- Developing a two year plan for demand modelling activity
- Producing validated demand models that enable informed decisions to be made in respect of resource allocation aligned to the plan
- Reviewing governance structures to support leaders in how to make demand based decisions when understanding risk and resource allocation
- Developing tools and expertise for demand analysis
- Reviewing the strategic planning process and the use of demand information within that process.

- 8.4 The Long Term Financial Plan (LTFP) 2020-21 to 2023-24 and Capital Plan 2020-21 to 2023-24 were agreed with the PCC in February 2020. The Force produces monthly reports on progress against the plan which are reviewed by the Executive Management Board and discussed with the PCC's Chief Finance Officer. In addition, the Force reports directly to the PCC on progress on a quarterly basis.

Sustainable economic, social and environmental benefits	
Expected behaviours and outcomes	
<ul style="list-style-type: none"> • Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about services. • 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 • Ensuring fair access to services. 	

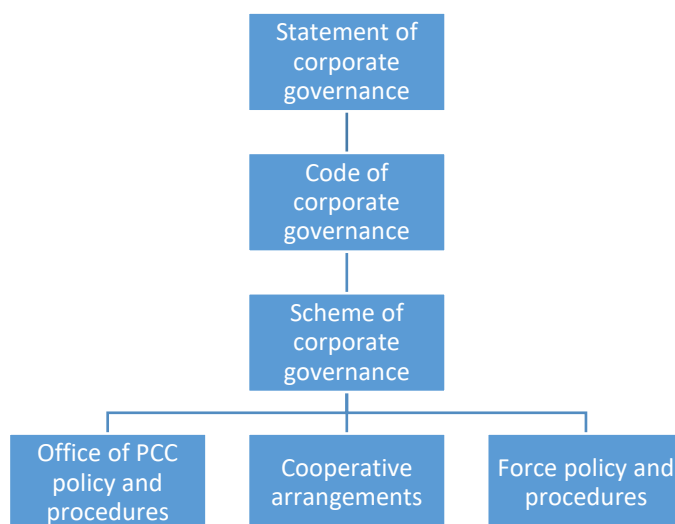
- 8.5 A significant effort has been put into ensuring the completeness of both revenue and capital rolling equipment replacement programmes to: ensure funding is available when necessary; avoid spikes in expenditure by smoothing the replacement profile; inform the procurement plan to ensure timely ordering and receipt of equipment, and inform prioritisation and decision making.
- 8.6 The specified and redesigned partnership with Sopra Steria has enhanced partnership governance of day to day operations and clear reporting structures for the discussion of business delivery progress and issues. Sopra Steria have worked with Corporate Services to develop and implement improved processes around capital planning, business cases and small works to ensure all parties are satisfied with the governance in place. The 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.
- 8.7 Performance Review Meetings for each Sopra Steria delivery area not only appraise agreed contractual quality indicators, but also provide a platform to raise any cause for concern or highlight good working practices within either Sopra Steria or Cleveland Police.
- 8.8 The newly formed Strategic Performance Improvement Board, Chaired by the Chief Constable, meets on a 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

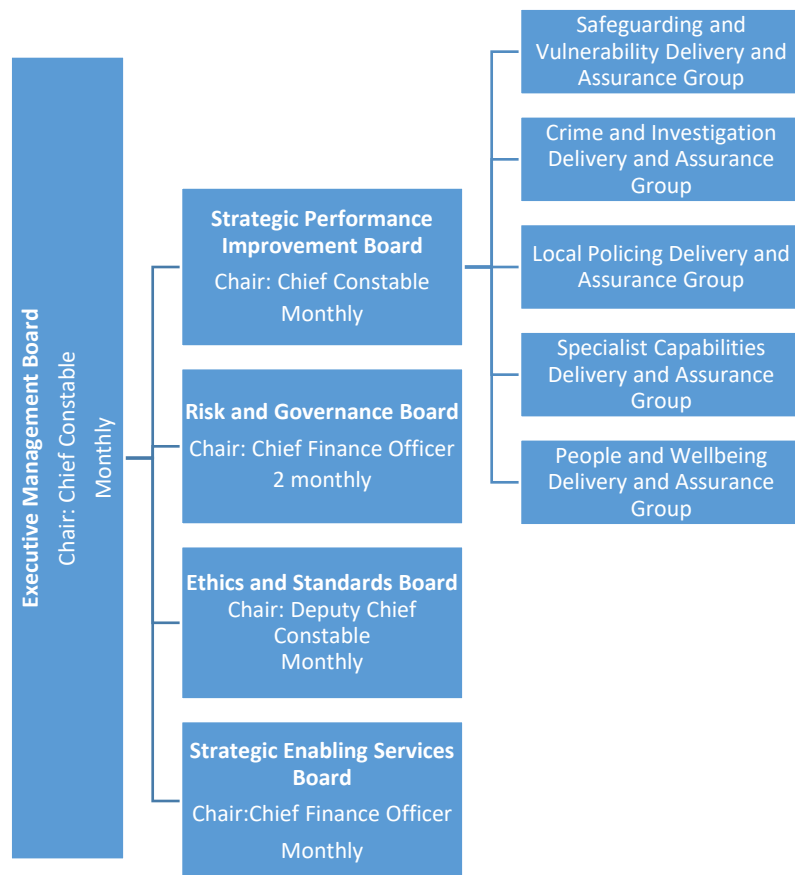
9. Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes

Determining interventions
Expected behaviours and outcomes
<ul style="list-style-type: none"> 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. 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

- 9.1 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.



- 9.2 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 organisation, is supported by a number of key strategic and tactical delivery and assurance forums. In summary the framework is as shown below.



Planning interventions	
Expected behaviours and outcomes	
	<ul style="list-style-type: none"> Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets. Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered. Considering and monitoring risks facing each partner when working collaboratively, including shared risks. Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances. 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. Ensuring capacity exists to generate the information required to review service quality regularly. Preparing budgets in accordance with government funding announcements, organisational objectives, strategies and the medium term financial plan. 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.

- 9.3 The Force has developed a planning cycle that links with the production of the Force Management Statement (FMS) demanded by HMICFRS. Unfortunately the delivery of the cycle and the preparation of the FMS for 2020 were interrupted by COVID19 and the requirement to produce an FMS for the

year removed by HMICFRS. Further work to establish the process and improve the use of demand analysis to inform our decision making will be carried out in the coming 12 months.

- 9.4 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 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).
- 9.5 The delivery of the Force Digital Policing Strategy and National Enabling Programme projects are managed by the Digital Policing Group and overseen by the Strategic Enabling 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.
- 9.6 Workforce profiling plans are in place which identify the required police officer numbers for the next three years including the national uplift programme. A key element of the Workforce Plan is the Recruitment Plan, ensuring the Force has sufficient officers and staff with the requisite skills to deliver the Force’s priorities. The Force is currently developing a Workforce Plan with the strategic aim to attract and retain the best staff locally and nationally by being an employer of choice. The plan will identify the need for workforce modernisation, talent management and recruitment plans. It will be further developed and refined over the next two years to include the numbers of officers and staff required to meet demand in accordance with profiling plans.
- 9.7 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.

Optimising achievement of intended outcomes	
Expected behaviours and outcomes	
	<ul style="list-style-type: none"> • Ensuring the medium term financial strategy integrates and trades off service priorities, affordability, and other resource constraints. • Ensuring that the budgeting process is all inclusive, taking into account the full cost of operations over the medium and longer term. • 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. • Ensuring the achievement of ‘social value’ through service planning and commissioning

- 9.8 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’.*⁵

- 9.9 The LTFP 2020-21 to 2023-24 and Capital Plan 2020-21 to 2023-24 was agreed with the PCC in February 2020, and regular updates are provided to the Executive Management Board and the PCC (see 8.4).
- 9.10 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.
- 9.12 The Directorate 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.

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

<p>Developing the entity’s capacity</p> <p>Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • Reviewing operations, performance and asset management on a regular basis to ensure their continuing effectiveness. • 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. • Recognising and promoting the benefits of collaborative working where added value can be achieved through partnerships. • Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.

- 10.1 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
 - Corporate Services including responsibility for corporate planning and governance, transformational change, performance, quality and review and corporate communications.

⁵ HMICFRS PEEL: 2019. <https://www.justiceinspectors.gov.uk/hmicfrs/wp-content/uploads/peel-assessment-2018-19-cleveland.pdf>

- 10.2 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.
- 10.3 Constable recruits undertake a two year probationary period. This consists of an initial 18 week classroom based learning phase followed by an on-the-job tutoring phase of 10 weeks. The remainder of the two year period features work based assessment which leads to the achievement of a level 3 diploma awarded by City & Guilds. From September 2020, constable recruits will undertake the Police Constable Degree Apprenticeship (PCDA) as their basic training.
- 10.4 As part of the Home Office's vision to have a common goal for police wellbeing by 2021, the Force is offering a refreshed 'one-stop-shop' health and wellbeing service for all officers, staff and members of the Cleveland Special Constabulary under the banner of "Wellbeing Wednesday". Staff and officers have access to qualified nurses and counsellors and can benefit from free, independent advice and guidance to support their health. Members of the wellbeing team also deliver a session covering wellbeing and resilience on both the probationer training and the newly promotes sergeants training course. A full team is available to ensure physical, emotional and mental wellbeing is supported. All services are linked and supported by national health initiatives and campaigns. The aims of the wellbeing team include: preventing negative health and wellbeing; intervening earlier to prevent high sickness levels; protecting staff from scenarios or situations which may affect health and wellbeing and reducing staff sickness levels to support people and help them to return to work. Services provided include occupational health, welfare, management referral service (Force Medical Advisor), vaccinations, pre-employment service, occupational health nurse provision, psychology service, counselling, physiotherapy, employee assistance programme, healthy living advice, mental health first aid training, force network signposting and national/local campaigns signposting.
- 10.5 Wellbeing has been discussed at the supervisors' briefing days to help supervisors to identify issues early, with specific contributions from the mental health charity MIND and Bluelight & Wellbeing champions on identifying signs of concern. A new approach to managing sickness absence has been introduced which has shifted the responsibility for management of sickness absence from line managers to the Wellbeing and Employee Relations teams. This approach will bring significant improvement to the way in which the Force promotes staff wellbeing, intervenes to prevent absence, and supports staff who are absent from work. The focus being to maintain a healthy and engaged workforce and ensure absence is minimised and our ability to deploy resources against demand is maximised. This led to reconfiguration of the human resources delivery model to ensure effective core services and desired outcomes underpinning the delivery of the Force's People Strategy.

Developing the capability of the entity's leadership and other individuals
Expected behaviours and outcomes
<ul style="list-style-type: none"> • 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, organisation 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.

- 10.6 The Force's People Strategy (2017-20) provides the overarching framework, and sets the strategic direction, for all people services; to ensure that the various aspects of people management work together to develop the performance and behaviours necessary, for the delivery of an effective policing service. The strategy defines the six broad strategic aims that will achieve the Force's 'people vision': As an employer of choice we create an environment that attracts the right people, develops them to deliver high performance and retains and enables them to contribute meaningfully to the future of the organisation.
- 10.7 The People Strategy identifies the need for a more inclusive leadership style to achieve the Everyone Matters objectives and better support the wellbeing of our staff. In support of the People Strategy, the Leadership Development Strategy outlines how the Force will promote and develop excellent leadership and management. The strategy identifies the 'Cleveland Leadership Behaviours' that are key to us achieving the Force's objectives, and the people and business skills the organisation needs to develop. This strategy is led by the Organisational Development Manager with monthly project meetings to review delivery.
- 10.8 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. 94% of the organisation successfully completed their PDR during the year. Further developments are planned for 2019-20 with the focus being on improving the quality of development conversations and the evidence provided during the PDR.
- 10.9 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 360o 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.

11. 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"> • Recognising that risk management is an integral part of all activities and must be regarded as a continuous process. • Implementing robust and integrated risk management arrangements and ensuring that they are working effectively. • Ensuring that responsibilities for managing individual risks are clearly allocated. • Ensuring that the organisation is risk aware and that its risk appetite is defined and communicated clearly to those responsible for making decisions.

- 11.1 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 and includes a representative from Sopra Steria (UK). Updates are presented to the Joint Independent Audit Committee on a six monthly basis.
- 11.2 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.
- 11.3 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.
- 11.4 The Force has quarterly Partnership Risk Governance Meetings with our strategic partner, Sopra Steria (UK), to ensure that risks continue to be reviewed and mitigated, in areas where the delivery of services has been outsourced.
- 11.5 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.

Managing performance	
Expected behaviours and outcomes	
	<ul style="list-style-type: none"> • Monitoring service delivery effectively including planning, specification, execution and independent post implementation review. • Making decisions based on relevant, clear, objective analysis and advice, pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook. • 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 organisation's performance and that of any organisation for which it is responsible. • Providing the PCC and chief officers with regular reports on service delivery plans and on progress towards outcome achievement. • Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements).

- 11.6 The Force has an agreed Performance & Accountability Framework with the PCC which includes a timetable of Scrutiny Meetings chaired by the Police and Crime Commissioner. The reports and minutes from these meetings are available on the PCC's website. Terms of reference and a programme of work have been agreed for these meetings to minimise bureaucracy and duplication.
- 11.7 The Force works closely with the team in the OPCC responsible for overseeing the management of the Sopra Steria (UK) outsourcing contract and adherence to the Governance Schedule.
- 11.8 There is a governance schedule for all of the strategic contracts, which include regular contract and performance meetings with both the PFI board, and their appointed facilities management providers Tascor FM (for PFI Action Stations), Engie for the PFI Tactical Training Centre at Uxley Nook. 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.
- 11.9 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.
- 11.10 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.
- 11.11 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.

<p style="text-align: center;">Robust internal control</p> <p style="text-align: center;">Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • Aligning the risk management strategy and policies on internal control with achieving the organisation's objectives. • Evaluating and monitoring the organisation's risk management and internal control on a regular basis. • Ensuring effective counter fraud and anti-corruption arrangements are in place. • Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor. • 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.

11.12 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).

11.13 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 2019-20, as well as follow up on previous recommendations, Internal Audit have completed audits in the following areas:

- Governance – data quality/information governance
- Governance – ethical standards and embedding culture
- Commissioners grants
- Digital data
- HR – learning and development
- ICT – disaster recovery
- Collaborations
- Key financial controls
- Payroll
- Accounts payable
- Proceeds of crime
- HMICFRS AFI's progress by Force
- Internal audit compare to HMICFRS report
- Seized cash

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.

The following audits were cancelled due to COVID19.

- Governance – performance management
- ICT – data assurance

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

- 11.14 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”.
- 11.15 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.
- 11.16 The Force has designated the Assistant Chief Constable as the Senior Information Risk Owner (SIRO), with responsibility for information assurance governance and risk ownership in the organisation; including shared risks with other organisations, partnerships and third party suppliers. Specifically, the function of the SIRO is to understand how the strategic business goals of the organisation may be affected by failures in the secure use of the organisation's information systems, to ensure that information risks are managed and to accept or decline to accept any residual risk.
- 11.17 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.
- 11.18 The completion of Data Privacy Impact Assessments are mandated when new systems are being development in Force or a change in working may introduce significant risk to data or privacy.
- 11.19 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.
- 11.20 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 PCC’s website.
- 11.21 Cleveland Police has adopted the College of Policing’s Authorised Professional Practice (APP) for data protection and information sharing. APP is the official source of professional practice on policing.

The new draft was released in January 2019. Following a recommendation from the Information Commissioners Office the Force has additional policies around Data Protection and Information Management where matters are more complex.

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

- 11.22 As part of the approved Audit Plan for 2019-20, 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 could be provided that this was so. ⁶
- 11.23 External Audit issued an unqualified opinion on the 2019-20 statement of accounts. Due to the 2019 PEEL Inspection report, External Audit were not able to issue an unqualified Value for Money conclusion for the 2019-20 financial year and have issued an adverse opinion.

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

Implementing good practice in transparency	
Expected behaviours and outcomes	
<ul style="list-style-type: none"> 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. 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. 	

- 12.1 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.
- 12.2 All decision making is carried out in accordance with the Police and Crime Commissioner for Cleveland and Cleveland Police Corporate Governance Framework including Contract Standing Orders, Financial Regulations and Schemes of Delegation.
- 12.3 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.

⁶ Assurance Review of Key Financial Controls, TIAA March 2020

- 12.4 The Force Chief Officer Team meets on a weekly basis and the Executive Management Board meets on a 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.
- 12.5 The PCC maintains appropriate oversight and scrutiny of the Force decision making through weekly meetings with the Chief Constable, the receipt of update reports to the scrutiny meetings and by attending the Strategic Performance Improvement Board. All reports presented to the PCC are available on the PCC's website.

Implementing good practice in reporting	
Expected behaviours and outcomes	
	<ul style="list-style-type: none"> • 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 organisation 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.

- 12.6 The Annual Governance Statement (AGS) is prepared in consultation with the PCC's Chief Finance Officer to ensure any areas of overlap are consistent. The AGS is published on the Force website along with the Statement of Accounts. Updates on the action taken to address the significant governance issues identified in the AGS are reported to the Joint Independent Audit Committee. This report is publicly available on the PCC's website.
- 12.7 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 2019-20 the Committee met formally on 4 occasions to conduct its business. The meetings are held in public, and the agenda, papers and minutes of meetings are available on the PCC's website.
- 12.8 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.
- 12.9 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.
- 12.10 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.

<p style="text-align: center;">Assurance and effective accountability</p> <p style="text-align: center;">Expected behaviours and outcomes</p>
<ul style="list-style-type: none"> • Ensuring that recommendations for corrective action made by external audit are acted upon. • Ensuring an effective internal audit service, with direct access to the PCC, chief constable and audit committee, provides assurance with regard to the organisation's governance arrangements, and produces recommendations which are acted upon. • 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. • Ensuring that when working in partnerships, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.

- 12.11 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 PCC's website as part of the papers for the Audit Committee.
- 12.12 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.
- 12.13 Regular briefing sessions are held to update all supervisors on the future direction of the organisation and enable supervisors to cascade the key messages to officers and staff.
- 12.14 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.

13. Review of Effectiveness

- 13.1 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.
- 13.2 In line with the Financial Management Code of Practice for the Police Service of England and Wales, the Force and the Office of the Police & Crime Commissioner for Cleveland have agreed to a shared internal audit service. This service was provided by TIAA Ltd during 2019-20.
- 13.3 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.

- 13.4 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 2019-20 at their meeting in June 2020.
- 13.5 The Internal Audit Annual Report 2019-20 states that the organisation has ‘*reasonable and effective risk management, control and governance processes in place*’. ⁷
- 13.6 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.

14. Evaluation

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

15. Significant Governance Issues

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

Significant governance issue 1

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.

⁷ Internal Audit Annual Report 19-20, TIAA

Significant governance issue 2

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 organisation.

Significant governance issue 3

External Audit Adverse Value for Money Conclusion

In seeking to satisfy themselves that the CC for Cleveland has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources, the External Auditors have considered the reports issued by HMICFRS in relation to Cleveland Police as relevant to their considerations and the functions of the persons under the direction and control of the Chief Constable. The areas that the HMIC reported on cut across many aspects of the VFM conclusion including, informed decision making, sustainable resource deployment and working with partners and third parties. The External Auditors were not able to satisfy themselves that these arrangements were in place and have therefore provided an Adverse Value for Money Conclusion. Further work needs to be undertaken that makes it more explicit what processes are in place to monitor efficiency and value for money, including benchmarking of performance and costs, within the organisation, this should also include development of benefits realisation assessments as needed.

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

Non-significant governance issue 1

Impact of COVID19 on the ability to undertake in depth governance review

The current impact of COVID19 and social distancing has made the process of governance review more difficult to delivery during 2020. The proposal was to undertake structured face to face discussions with senior leaders from each business area to ensure that all good practice and governance issues were identified. This has proved difficult and the process has been undertaken through the exchange of e-mails and we cannot therefore provide assurance that all governance issues have been identified. The process for 2021 will be more interactive and structured.

- 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

Leadership values and behaviours

The Force has undergone a significant amount of change, both structurally and in terms of individual post holders with a number of senior and middle managers, and frontline supervisors, being newly promoted or new to the organisation. We must ensure that the framework of expected values and behaviours, as set out by the College of Policing, are communicated clearly

to all levels and fully embedded within the Force. We must ensure that appropriate leadership training and support is available to enable leaders at all levels to work within this framework.

Issue for continued focus 2

Everyone Matters

The Force continues to deliver the 'Everyone Matters Equality Diversity and Human Rights Strategy 2017–2020'; ensuring inclusion, equality, diversity and human rights are fully embraced in both our service delivery and employment, and is a key priority for the Force.

Issue for continued focus 3

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. 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 4

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 a number of 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.

Richard Lewis
Chief Constable
Cleveland Police

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Chief Finance Officer
Cleveland Police

Date 2nd October 2020