



**POLICE**

# **SCRUTINY HANDBOOK 2021**

**HOLDING CLEVELAND POLICE TO  
ACCOUNT**



# Contents

Introduction from Steve Turner Police and Crime Commissioner.....	3
Purpose.....	4
Holding the Chief Constable to Account.....	5
Ensuring Greater Benefits from the Scrutiny Programme.....	6
The PCC's Scrutiny Work Programme.....	11
Governance and Scrutiny.....	15

## **Appendices**

1. Terms of Reference - Scrutiny Meetings
2. Terms of Reference - PCC/CC Weekly Meetings
3. Terms of Reference - External Ethics Committee
4. Terms of Reference - Joint Audit Committee

# Introduction from Police and Crime Commissioner **Steve Turner**



My Police and Crime Plan will put holding the police to account at the heart of my mission. One of my ten objectives, which is to build confidence in our communities, will involve developing and maintaining a robust scrutiny programme in order to hold the Chief Constable to account. The scrutiny programme will challenge Cleveland Police in a firm but fair way, with the expectation that any scrutiny meetings will be open and honest.

This handbook outlines my approach and how I will fulfil that objective.

Steve Turner

**Police and Crime Commissioner for Cleveland**



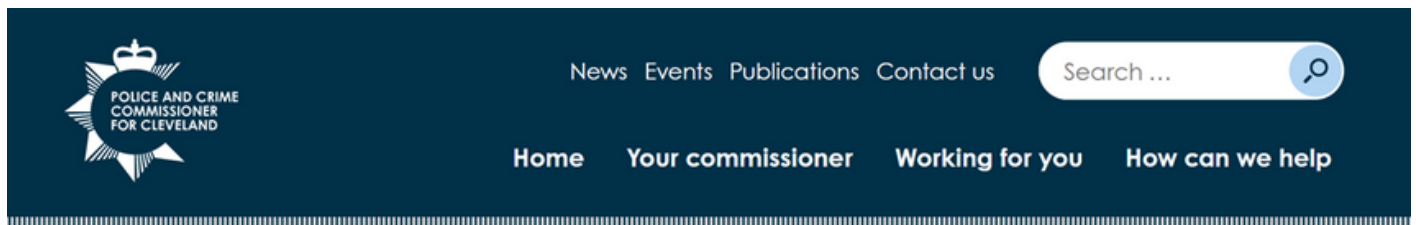
*'Putting the pride back into Cleveland Police'*

# Purpose

The purpose of this document is to outline the principles and processes relating to the Police and Crime Commissioner's Scrutiny Programme. This document is available for use by the Cleveland Office of the Police and Crime Commissioner (OPCC) staff, Cleveland Police Staff, the Police and Crime Panel and the public.

This document will complement the information available on the PCC's website. In order to ensure the transparency of the scrutiny process all the details of the content of scrutiny meetings are available on the PCC website, this includes the meeting agendas, relevant papers and minutes from previous meetings.

[www.cleveland.pcc.police.uk/working-for-you/police/police-oversight/](http://www.cleveland.pcc.police.uk/working-for-you/police/police-oversight/)



[Home](#) > [Working for you](#) > [Working with the police](#) > Police scrutiny and accountability

## Police scrutiny and accountability

The Police and Crime Commissioner (PCC) has a responsibility to openly and transparently govern and scrutinise policing and crime issues in Cleveland.



The image shows two men in dark suits and ties standing in front of a sign. The sign is blue and white and reads 'Welcome to Cleveland Police Central HQ'. Above the sign, it says 'Welcome to' and below it, 'Cleveland Police Central HQ'. The sign also features the Cleveland Police logo and the text 'POLICE AND CRIME COMMISSIONER FOR CLEVELAND'. The man on the left is smiling, and the man on the right is looking directly at the camera. The background is a blurred office setting.

# Holding the Chief Constable to Account

Holding the Chief Constable to account is the key duty of the Police and Crime Commissioner and must encompass all of the functions of the Chief Constable and functions of those who are under the Chief Constable's direction and control. This means, particularly:

- How the Chief Constable discharges his duty to have regard to the Police and Crime Plan;
- How the Chief Constable has regard to national and regional Strategic Policing Requirement (SPR);
- How the Chief Constable complies with the law generally and police codes of practice in particular;
- How the Chief Constable deals with his functions in relation to the handling of complaints against the police;
- The effectiveness and efficiency of Cleveland Police's work in relation to collaboration and partnership;
- How effective and efficient the police arrangements are for engagement with local people;
- How well Cleveland Police achieves value for money in all that it does;
- How Cleveland Police addresses its equality and diversity duties; and
- How Cleveland Police deals with its responsibilities, working in partners, in respect of safeguarding and promoting the welfare of children.

The Terms of Reference for the Scrutiny Meetings are detailed at Appendix 1.

A man in a dark suit and light blue tie stands in front of a Cleveland Police van. The van has 'POLICE' written on it in purple letters on a yellow and red chevron background. The background is a light blue sky.

# Ensuring Greater Benefits From the Scrutiny Programme

## Responsibilities of PCCs

Scrutiny of the Force is one of the main responsibilities of the Commissioner as set out in the Police and Social Responsibility Act 2011. Delivered through the Commissioner's standards and scrutiny programme, effective checks and balances are undertaken through a schedule of regular meetings.

As PCC, there are already a range of scrutiny approaches in place to engage with the Chief Constable and hold Cleveland Police to account - including but not limited to - a daily review of the control room performance log, weekly meetings with the Chief Constable and the monthly scheduled Scrutiny Meetings. The PCC and the Chief Constable recognise the need for scrutiny to be a supportive and robust process to confirm areas for improvement, recognise best practice and clearly demonstrates value for money to the public.

The Scrutiny Programme has been developed to fulfil the PCC's commitment to scrutiny and holding Cleveland Police to account, the programme will include the following key features:

- A thematic focus on:
  - The priorities within the Police and Crime Plan; and
  - The delivery of the improvements set out in the Chief Constable's Strategic Assessment.
- An expectation that personnel at all levels who take part in scrutiny are transparent and candid both about their accomplishments and their challenges and their plans to address them;
- Clear delivery on a 'what will change / improve and by when' basis.
- An increase in the use of independent scrutiny approaches.
- Written responses to PCC questions - either at the meeting or within a two week period.

## The difference between the Chief Constable and the Commissioner

It is important to recognise the distinction between the PCC and the Chief Constable. The PCC and Cleveland Police are two separate entities. Although the PCC appoints, and in extreme circumstances, dismisses the Chief Constable, the Commissioner is NOT the Chief Constable's employer. In order to understand the two distinct roles here are some of the main differences

Chief Constable	Police and Crime Commissioner
To deliver an effective police force and direct control over the force, its officers and staff	Ensures that the views and needs of Cleveland residents inform how the police service operates
Leads and makes decisions on all aspects of operational policing	Sets the police's priorities and decides how much money the force will be given each year to operate
Is the most senior police officer in Cleveland	Act on behalf of the electorate to ensure that the Chief Constable is delivering effective policing by holding them to account
Is responsible for the delivery of operational policing and overall performance of the police	Decides what the council tax contribution towards policing (the precept) is, and then decides how much money the Chief Constable will have to run the police force
Politically independent	Elected in to office
Accountable to the PCC	Accountable to the public

## The Role of the Police and Crime Panel

3. It is useful at this point to also outline the role and remit of the Police and Crime Panel (PCP), which is totally independent of the Office of the Police and Crime Commissioner. PCCs must be able to demonstrate that the decisions they make, and the way they make them are good. The PCC's work and decisions are scrutinised publicly at a PCP. However PCCs are not accountable to Panels, they are of course directly accountable to the public.

PCPs will be comprised of one elected representative (councillors and, where relevant, elected mayors) from each local authority within the Cleveland force area and two independent members or co-optees.

### What is not in the Police and Crime Panel's Remit

The PCP cannot scrutinise the performance of the Force as a whole or the Chief Constable - as this is the responsibility of the PCC.

The Remit of the Police and Crime Panel
Reviewing the PCC's proposals for the amount of council tax local people pay towards policing. It has the power to veto these proposals if it considers the amount is inappropriate
Consider the PCC's Police and Crime Plan and Annual Report - making reports and recommendations on the Police and Crime Plan and Annual Report, which the PCC must take account and respond to
Consider the PCC's proposals for the appointment of a new Chief Constable, with the power to veto
Investigating complaints made about the PCC
It can request reports from the PCC and if it wishes, call the PCC to attend its meetings

## Good Decision Making

The process of making decisions and implementing them (or not) is called governance. The scrutiny process is a way of exploring how those decisions are made, the outcome, in other words, performance and then challenge them where necessary.

It is the view of the PCC that good governance should always be able to show that it is:

- Efficient and effective
- Open and transparent
- Lawful
- Ethical
- Competent
- Forward thinking and innovative
- Sustainable
- Financially sound
- Accountable
- Has human rights, diversity and social cohesion at its core

Information about how the PCC makes decisions can be found on our website at <https://www.cleveland.pcc.police.uk/Decisions/Decisions-of-the-PCC.aspx>

As well as holding the Chief Constable to account, PCCs must be able to demonstrate that the decisions they make are good. Therefore the PCCs performance in delivering the Police and Crime Plan and the decisions made around it are scrutinised publicly by the Police and Crime Panel. However PCCs are not accountable to police and crime panels, as they are directly accountable to the public. Information on the Cleveland Police and Crime Panel can be found here:

<https://www.cleveland.pcc.police.uk/commissioner/office/police-and-crime-panel/>



## What is scrutiny?

*“Police officers have significant powers that can impact on people’s liberty and lives. In the UK, our model of policing is based on consent. With this must come accountability. It is vital that the public have confidence that those powers are not abused.*

*“It is not a perfect system and there is still much room for improvement, but it is a system based on independent scrutiny, accountability and learning.”*

**– Michael Lockwood – Director General – IOPC – 4 June 2020**

The aim of the scrutiny programme is to enable the PCC and the OPCC to be able to challenge the force in an appropriate way and to fulfill the PCC’s statutory duty of holding the force to account. In doing so, the aim is to generate discussion which leads to positive organisational learning, considering how and why things are done and discussing potential improvements. Scrutiny also provides the process whereby the force can assure the PCC that something is operating well. The PCC can also monitor the integrity, behaviors and values of the force, recognising what’s working well and seeking out good practice. The scrutiny meetings will also draw out national and regional issues which the PCC may wish to lobby on.

The process of scrutiny can be carried out by the PCC, the Commissioner’s staff and specially established panels.

Scrutiny	Assurance
Provides a way of exploring an issue using an objective process, in detail and for a purpose. It tests information- so may not always result in assurance	It is a positive declaration that something is true, it’s the information and evidence presented which are intended to induce confidence that a thing is true for those who have not witnessed it for themselves

## Reality Check

Through information received by the PCC’s office, through their various assurance methods, both internal and external, the force and the OPCC can ‘reality check’ information and triangulate it with information presented by the force in the scrutiny meetings. This also gives the force an added layer of information and feedback to assist their decision making.

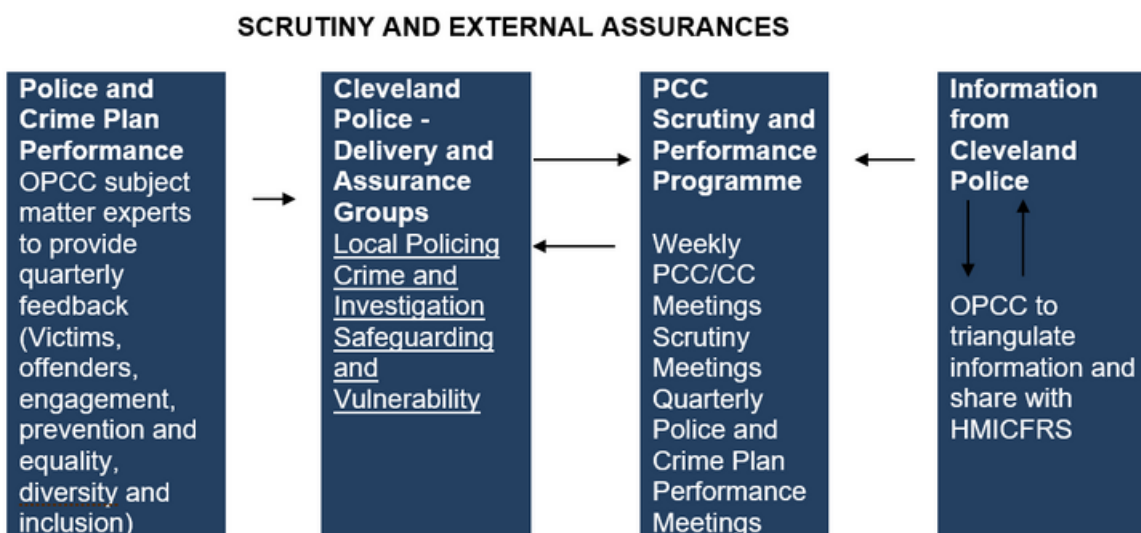
In addition, the PCC may wish to call on subject matter experts to inform the key lines of questioning. For example a Violence Against Women and Girls (VAWG) Panel may be used to support questioning in relation to VAWG issues.

## What scrutiny is not?

It is not an inspection or a disciplinary process.

## Scrutiny Meeting Framework

Key subject matter experts within the PCC's office will be responsible for providing information to the Delivery and Assurance Groups responsible for the delivery of the service improvement programme.



Delivered through the Commissioner's standards and scrutiny programme, effective checks and balances are undertaken through a schedule of regular meetings as follows.

<b>Monthly Scrutiny Meeting</b> - attendees will include the PCC, OPCC Senior Management Team members, the Standards and Scrutiny Manager and the Force Executive Team. Questions will be asked in advance and focus on an area of business based on the PCC's direction.
<b>Quarterly Police and Crime Plan Performance Meetings</b> - Cleveland Police will prepare and present information to the PCC to demonstrate how they are delivering against the Police and Crime Plan; the metrics should also include national crime measures that relate to policing.
<b>Weekly PCC/CC meeting</b> - Terms of reference are found at Appendix 2
<b>Ethics Committee</b> – Terms of reference are found at Appendix 3
<b>Joint Audit Committee</b> – Terms of reference are found at Appendix 4
<b>Independent Custody Visitor Feedback</b> – Provide a reality check of good and bad practices in custody
<b>External Scrutiny Panels</b> – Existing and adhoc panels to assist the PCC's office with consultation, feedback and reality checking



# The PCC's Scrutiny Work Programme

Meetings will take place monthly. The Work Programme will be set out in advance with the topics taken from the Police and Crime Plan Objectives and key areas of interest to the PCC.

Cleveland Police will be given two weeks notice prior to each scrutiny meeting by the OPCC who will ask the Force to provide information pertaining to the question(s) asked. If the PCC is assured by the information that they have received then they will let the Force know accordingly. If not then the Force will be given 2 further weeks to respond.

## Assurance

The OPCC will undertake a wide range of analysis on the information they receive from the various assurance processes which will include

Internal	External	Force Scrutiny	Commissioning
Internal Audit; Audit Committee; Ethics Committee; Complaints; Themes/Trends; Consultation; Independent Custody Visitors; Feedback; Independent Scrutiny Panel (Complaints); Out of Court Disposals Scrutiny Panel; Stop and Search Scrutiny Panel	External Audit; HMICFRS – Findings; AFIs; national and local reports; Local Authority Scrutiny Findings (inc Police and Crime Panel Task and Finish Groups); Strategic IAG	Stop and Search Scrutiny Panel; Use of Force Scrutiny Panel	Update reports and scrutiny of organisations commissioned and/or funded by the PCC

Information received through these routes will be routinely fed into the Force Assurance and Delivery Groups through the PCC's Commissioner's Officers which will provide an additional level of extra intelligence/information into the Force that they can use for comparison.

The aim of the scrutiny work programme is to scrutinise areas where it can add the greatest value whilst also being flexible enough to add important issues should they arise. Therefore potential items should cover one or more of the following issues:

- How is the Police and Crime Plan being delivered and what difference is making;
- How are Cleveland Police Performing;
- How the Chief Constable is ensuring that the Force does well in inspections and how are they implementing any recommendations and areas for improvement from HMICFRS inspections (and/or other audits and inspections);
- How are the views of the public informing policing;
- How efficient and effective are Cleveland Police;
- How are collaborations delivering improvements and value for money

The Chief Constable is also able to suggest areas for scrutiny and throughout the year a quarterly 'health check' should be provided on the following topics:

- Performance of the Police and Crime Plan Objectives
- Issues reported by exception at the Force Performance Board
- Crime Levels
- VCOP Compliance
- Equality Diversity and Human Rights
- Human resources
- HMICFRS
- Strategic Policing Requirement
- Communications
- Corporate Development

## **What happens to issues that have been discussed in the Scrutiny Meetings?**

The PCC's office will maintain a 'tracker' of all information, actions and decisions. Details of all of the items that have been submitted to the scrutiny programme are held on a spreadsheet. That spreadsheet keeps track of all of the items that have been discussed at the scrutiny meetings, along with any actions, whether the PCC has been assured by the information presented and if not what further information has been requested and the date for the item to be revisited.

### **The 'so what' of scrutiny**

Scrutiny should always have the aim to make a difference or both the Force and the public could question its purpose. The PCC's aim is that their scrutiny will help to get the best out of the police and ensure the Force is helping victims and making communities safer, both major commitments of the PCC's Police and Crime Plan. Scrutiny itself is not a decision-making process but it could make recommendations to decision makers which is where the 'making a difference' should happen. The PCC takes the recommendations made to them from their scrutiny panels and information from the Commissioner's Officers, HMICFRS and other scrutiny activities, considers them and then uses them in their discussions with the Chief Constable and to formulate the scrutiny work programme.

Much of the PCC's formal scrutiny activity is recorded by their office and published on their website, and the Chief Constable always has the opportunity to provide written responses to the questions posed at scrutiny meetings. Providing the Chief Constable with the opportunity to explain to the PCC what action they are choosing to take (or not take) in response to scrutiny which creates very open and visible accountability to the public. The relationship that the PCC and the Chief Constable have is important as the results of good scrutiny should not be confrontational or combative, but should enable positive, respectful and useful conversations. Often both the PCC and the Chief Constable will want the same outcome of a situation (but they may not always agree on an approach).

In such cases the PCC cannot force the Chief Constable to change something based on a recommendation from scrutiny, but because it is their role to hold the Chief Constable to account for delivering an effective police force, they do have influence and their own powers (for example commissioning an independent public review of an issue and request that Her Majesty's Inspectorate of Constabularies and Fire and Rescue Service's inspect an issue)

## **Areas for Development**

### **Links with Local Authority Scrutiny**

Under the Police and Justice Act 2006, a committee of the council designated as a community safety scrutiny committee has the power to ask local community safety partners for information, request that those partners attend meetings (given reasonable notice) and require that those partners consider recommendations submitted to them. The PCC's office will work with the four local councils to share information.

### **Public questions for the Police and Crime Commissioner**

As part of the PCC's consultation process, and linked to scrutiny assurance members of the public will have the opportunity to put questions to the PCC.

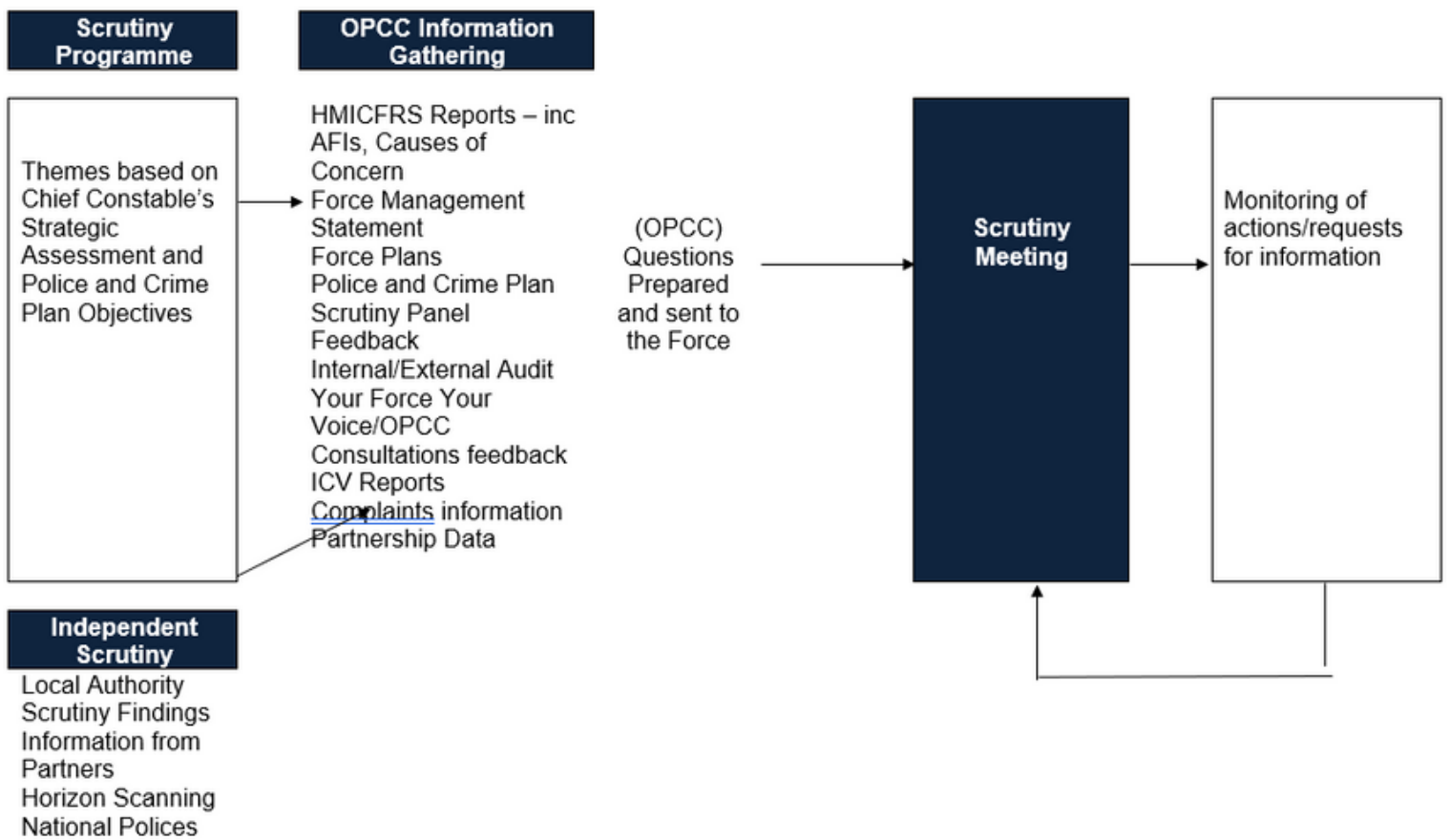
### **Broadcasting Public Questions or Scrutiny Meetings**

The logistical issues of holding a face-to-face meeting during the Covid crisis necessitated the need for a web conferencing platform to ensure that meetings went ahead. It has worked well and meetings have been filmed and broadcasted to the public. This provides a number of options to be explored for the future including:

- Live Facebook broadcasts
- Broadcasting the live scrutiny meetings
- Opening meetings to the public



# Governance and Scrutiny



### **Terms of Reference for the Scrutiny, Delivery and Performance Meetings**

The Police and Crime Commissioner (PCC) has a statutory duty and electoral mandate to hold the police to account on behalf of the public.

This includes:

- Scrutinise, support and challenge the overall performance of the force;
- Hold the Chief Constable to account for the performance of the force's officers and staff;
- Hold the Chief Constable to account for the exercise of the functions of the office of Chief Constable and the function of persons under the direction and control of the Chief Constable; and
- Maintaining an efficient and effective police force.
- The purpose of the Scrutiny Meeting is to enable the PCC to fulfil that statutory duty.

How Often - Monthly and occasional ad-hoc meetings where appropriate

Who Chairs – Police and Crime Commissioner

Who attends?

#### **Office of the Police and Crime Commissioner**

- Police and Crime Commissioner
- Chief Executive
- Chief Finance Officer (where appropriate)
- Assistant Chief Executive
- Standards and Scrutiny Manager

#### **Cleveland Police**

- Chief Constable
- Deputy Chief Constable
- Assistant Chief Constable x2
- Nominated subject matter experts (by invitation only)

Documentation- Input will generally be provided by means of a response to a standard report format. However, where appropriate verbal updates may be provided instead with any additional information provided within 2 weeks of the meeting.



### Weekly Police and Crime Commissioner and Chief Constable Meetings

#### **Purpose and Terms of Reference**

The requirements of the Policing Protocol Order 2011 which states - 'The PCC within each force area has a statutory duty and electoral mandate to hold the police to account on behalf of the public' and 'The Chief Constable is accountable to the law for the exercise of police powers, and to the PCC for the delivery of efficient and effective policing, management of resources and expenditure by the police force.'

#### **Policing Protocol**

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/117474/policing-protocol-order.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/117474/policing-protocol-order.pdf)

In line with the statutory duties as per the above, in addition to the monthly Scrutiny Programme meetings, the Police and Crime Commissioner will hold weekly closed meetings with the Chief Constable to provide the opportunity for an open exchange of information, to enable candid discussions and to develop and maintain an effective working relationship, whilst also providing the opportunity to hold the Chief Constable to account.

#### **Terms of Reference**

These meetings are usually held at either Force Headquarters or at the Office of the Police and Crime Commissioner. Meetings may also take place via video conference or telephone.

- Items for the agenda include:
- matters of immediate concern;
- trends in performance and incidence of crime that may impact on priorities included in the Police and Crime Plan;
- strategic proposals of the Commissioner/Chief Constable not considered in other forums;
- matters raised by the Police and Crime Panel;
- strategic finance;
- personnel matters;
- public concerns;
- strategic policing initiatives;
- complaints and misconduct issues.

## Cleveland External Ethics Committee

### TERMS OF REFERENCE

#### 1. Purpose

The independent External Ethics Committee has been established to provide support and challenge Cleveland Police. Through this role it enhances the trust and confidence of the public in the ethical governance and actions of the Force. It discharges its responsibilities by:

- Monitoring the actions of each organisation against its values and the National Code of Police Ethics;
- Analysing issues and providing advice on ethical considerations raised by either or both Services;
- Raising and investigating issues of local and national public interest;
- Promoting the highest standards of ethical conduct;
- Providing a focus for training in ethical issues;
- Providing a source of support to Senior Leaders.

#### 2. Objectives

In providing challenge and support to Cleveland Police the External Ethics Committee provides advice and guidance in the following ways:

#### Policy and Procedure

- Articulating and promoting the importance of ethics in all aspects of policing.
- Providing advice and support as the 'ethical conscience' and critical friend of the forces on the development of strategic direction.
- Providing ethical advice to those engaged in the development or review of force policy and procedure.
- Providing a view as to whether policy and procedure reflects the stated values of the forces and police service and is in the best public interest.
- Influencing ethical changes to organisational policies.

#### Decision Making

- Assisting Cleveland Police when considering the ethical implications of their work.
- Considering the ethical basis of organisational decision-making and providing ethical guidance.
- Reviewing the decision making of others and providing advice on the ethical nature of both the decision and the process taken to reach it.
- Providing support to senior leaders on:
  - Ethical considerations;
  - Defining ethical outcomes;
  - Quality testing of decisions.

## Appendix 3

### Leadership

- Anticipating ethical challenges facing the Police service and proffering opinion as to an appropriate way forward.
- Promoting the influence of ethics in delivering an excellent quality of service.
- Supporting and challenging the ethical conduct of leaders.

### Culture

- Providing advice on whether force values support the diverse nature of the policing environment
- Supporting the development of the ethical culture of the organisations.
- Influencing police culture.

### Conduct

- Considering potential and actual ethical conflict in relation to matters such as procurement, hospitality, allowances/expenses and personal association.

This is not a prescriptive list of objectives and the Committee is able to adopt a flexible approach to the level of support and challenge undertaken and the breadth of responsibility to meet the fluid policing environment.

## 3. Framework

The framework for delivery is structured to ensure that support and challenge to senior leaders on ethical issues is provided in an impartial and unimpeded manner. Whilst the Committee does not have the power to direct or regulate, the Committee is expected to provide independent advice and to act as advocates for the public, and the Force is committed to considering the views of the Committee through their own decision-making fora. The Committee cannot make decisions for the Police but the recommendations it makes will be considered carefully by the Force and the response to those recommendations are made available on the website the Force.

## Appendix 3

### 4. Membership

The Committee will consist of eight to twelve members, with the ability to co-opt additional members to provide advice on specific issues where necessary/required. The Committee will appoint new members, usually through an exploratory conversation, and they will sit as individuals and not as representatives of groups/organisations. The Committee membership should reflect, as far as possible, the diversity within the communities served by both police forces. Membership tenure will be reviewed after three years.

The group will meet quarterly with the flexibility to review and to call additional meetings as and when required. Administrative support for the group is provided through the office of the Cleveland Police and Crime Commissioner.

The Committee will appoint a Chair and Vice Chair annually. In the absence of the Chair, the Vice Chair acts as a point of contact for the group in terms of administration.

Notes of meetings are taken from which the recommendations and comments of the group in the form of a written response are provided to the Force and are available for public scrutiny on the Force websites.

### 5. Review

The effectiveness and value of the group will be reviewed every twelve months by the office of the Police and Crime Commissioner and will involve an evaluation of impact measures.

**AUDIT COMMITTEE - TERMS OF REFERENCE (Draft for approval at the March 2018 meeting)**

**Composition of the Committee**

The Audit Committee comprises 5 members who are independent of the Office of the PCC and Cleveland Police. The executive of the Office of the PCC and the Command Team of the Police Force are required to be represented at each meeting of the Committee.

**Quorum of the Committee**

No business shall be transacted at the meeting of the Audit Committee unless at least 3 Members of the Committee are present.

**Press and Public**

The Public shall be admitted to all meetings of the Audit Committee unless excluded by resolution in accordance with the provisions of the Local Government Act 1972 (Schedule 12a), as amended by the Local Government (Access to Information) Act 1985.

A member of the public will not be permitted to speak or ask questions at the meeting except with the consent of the meeting chair.

**Exclusion of Public Access**

The public must be excluded from meetings whenever it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that confidential information would be disclosed.

Confidential information means information given to the PCC or CC by a Government Department on terms which forbid its public disclosure or information which cannot be publicly disclosed by Court Order.

Items will be considered 'Below the Line' or 'not for publication' when they contain exempt information as defined by schedule 12 of the Local Government Act 1972.

## Appendix 4

### Purpose

The Audit Committee is responsible for enhancing public trust and confidence in the governance of the Office of the PCC and Cleveland Police. It also assists the PCC in discharging statutory responsibilities in holding the Police Force to account. This is achieved by;

- Advising the OPCC and Chief Constable of Cleveland Police according to good governance principles
- Providing independent assurance on the adequacy and effectiveness of the OPCC and Cleveland Police internal control environment and risk management framework.
- Overseeing the effectiveness of the framework in place for ensuring compliance with statutory requirements (and in particular those in respect of health and safety and equalities and diversity.)
- Independently scrutinising financial and non-financial performance to the extent that it affect the OPCC and Cleveland Police exposure to risks and weakens the internal control environment
- Overseeing governance and monitoring of governance within the organisation.
- Overseeing the financial reporting process.

To aid the Committee in delivering its purpose and objectives the PCC will make available funds for the Committee to take independent legal and financial advice where the Committee deems it is reasonably necessary to do so. Where the Committee deems this advice is necessary it should be discussed and coordinated with the PCCs Monitoring Officer and the Chief Finance Officer's of the PCC and CC.

### Objectives

The Audit Committee meets at least four times a year ( and in effectively discharging its function is responsible for:

### Internal Control Environment

- Satisfying itself as to the effectiveness of the internal control framework in operation within the Office of the PCC and Cleveland Police and advising the PCC and Chief Constable of Cleveland Police as appropriate.
- Considering the Annual Governance Statement for publication with the annual accounts, together with associated action plans for addressing areas of improvement and advising the PCC as appropriate.

## Appendix 4

### Corporate Risk Management

- Approving the Office of the PCC and Cleveland Police corporate risk management strategy and framework; ensuring that an appropriate framework is in place for assessing and managing key risks to the Office of the PCC and Cleveland Police.
- Considering the financial risks to which the Office of the PCC and Cleveland Police are exposed and approving measures to reduce or eliminate them or to insure against them.
- Providing assurance to the PCC and Chief Constable of Cleveland Police as appropriate on the effectiveness of the risk management framework in operation.
- Provide oversight and scrutiny of the risk registers of both the PCC and Chief Constable

### Regulatory Framework

- Maintain an overview of the governance framework in respect of contract procedure rules, financial regulations and codes of conduct and behaviour.
- Maintain an overview of the work of the Force's Professional Standards Department in relation to an overview of the number and types of complaints.
- To review any issue referred to it by the Statutory Officers of the PCC and Chief Constable and make recommendations as appropriate.
- To monitor the policies of both the PCC and Chief Constable on 'Raising Concerns at Work', anti-fraud and corruption strategy and complaints process.

### Internal Audit

- Advising the PCC and Chief Constable of Cleveland Police on the appropriate arrangements for internal audit, the appointment of the Internal Auditors and approving the Internal Audit Strategy.
- Approving the internal audit annual programme.
- Overseeing and giving assurance to the PCC and Chief Constable of Cleveland Police on the provision of an adequate and effective internal audit service; receiving progress reports on the internal audit work plan and ensuring appropriate action is taken in response to audit findings, particularly in areas of high risk.
- Considering the Head of Internal Audit Annual Report and annual opinion on the internal control environment for the Office of the PCC and Cleveland Police; ensuring appropriate action is taken to address any areas for improvement.
- Reviewing and monitoring the effectiveness of Office of the PCC and Cleveland Police on fraud, irregularity and corruption.

## Appendix 4

### External Audit

- Advising the PCC and Chief Constable of Cleveland Police on the appointment of external auditors.
- Approving on behalf of the PCC and Chief Constable of Cleveland Police the external audit programme and associated fees
- Reviewing the external auditor's Annual Completion Report and any other reports; reporting on these to the PCC and Chief Constable of Cleveland Police as appropriate and including progress on the implementation of agreed recommendations.
- Reviewing District/External Auditor's Annual Audit Letter and making recommendations as appropriate to the PCC and Chief Constable of Cleveland Police.

### Financial Reporting

- Reviewing the Annual Statement of Accounts and make recommendations, or bring to the attention of the PCC or CC, any concerns or issues.
- To consider whether appropriate accounting policies have been followed and any changes to them.

### Inspection and Review

- Considering HMICFRS, external review agencies and any internal inspection reports that provide assurance on the internal control environment and/or may highlight governance issues for the Office of the PCC and/or Cleveland Police.

### Complaints

- Maintain an overview of Force complaints including dip sampling.
- Maintain an overview of complaints against the Office of the Police and Crime Commissioner and its staff and act as the appeals body when required.



### **Freedom of Information**

- Act as the review body for Freedom of Information appeals

### **Civil Claims**

- Maintain an overview of Civil Claims

### **Information Governance**

- Review Corporate Strategy, policies and procedures in relation to Information Governance for both the PCC and CC.
- Review reports from the Senior Information Risk Owner (SIRO), of both the PCC and CC, relating to the implementation of the corporate strategy, compliance with Data Protection Act and other information Governance related legislation.
- Consider any implications for governance and the annual governance statements of both the PCC and CC from issues in this area.