



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

**MONDAY 24th JUNE 2019 AT 1:30PM
CABINET ROOM C, COUNTY HALL, PRESTON**

MINUTES

PRESENT

Ms Karol Sanderson (Chair)
Mr David Jones
Mr Paul Richardson
Mr Russ Weaver

IN ATTENDANCE

Mr R Baker	Grant Thornton
Mr I Cosh	Director of Resources, Lancashire Constabulary
Supt I Dawson	Lancashire Constabulary
Mr S Freeman	Chief Finance Officer, OPCC
Mrs J Greaves	Head of Legal Services, Lancashire Constabulary
Mrs J Taylor	Audit Manager, LCC
Mr G Winstanley	Grant Thornton
Det Supt M Winstanley	Lancashire Constabulary
Mrs J Nicholas	Business Support Officer, OPCC

1. Apologies for absence

Dr Stephen Dobson	Committee Member
Mrs A Harrison	Director, OPCC

2. Constitutional matters

None

3. Disclosure of members' interests

None

4. Minutes of the meeting held on 11 March 2019

RESOLVED: Committee noted and agreed the minutes.

5. Matters arising

Revised DIP sampling protocol: There was an ACTION at the meeting in March for Ian Dickinson (OPCC) to share the draft protocol with the Committee Chair and Det Supt Winstanley for review and comment. As it had since been agreed to expand the dip sampling process, IT WAS AGREED that it would be referred back to Mr Dickinson for more development which would then be brought back to Supt Ian Dawson through PSD and the Committee Chair.

ACTION: Mr Dickinson (OPCC) to share the draft protocol with Committee Chair and Det Supt Winstanley for review and comment.

CIPFA Survey : There was an ACTION at the meeting in March for attendees to review the outcome of the survey which had indicated that auditors are being pressured to change their reports by their clients. The auditors present commented on the survey and took questions from members. Both internal and external audit assured members that they were not, and had not been, under any pressure regarding their audit opinions and that there were clear reporting routes available including referral to the Committee.

CIPFA Website: The Committee Chair asked if anyone had access to the CIPFA website under subscription and queried whether it would be possible for the Committee Members to have access. Mr Cosh and Mr Freeman both confirmed they had access and were sure that this could be extended to the Committee members.

ACTION: Ian Cosh/Steve Freeman to progress procuring access for Committee members to the CIPFA website.

6. External Audit – Update Report

Mr Winstanley presented the Report to the Committee and confirmed that:

- It is an update report and therefore brief, but it shows progressing well.
- The final accounts are scheduled to be signed off by the Chief Constable and the OPCC on 29th July.

Mr Baker advised that there is a wider issue, a major, national one, regarding a pension case (age discrimination) at the Court of Appeal. The Government have applied for Leave to Appeal and the decision is imminent. The amounts are potentially likely to be significant but there is little to be done at local level. It may prove difficult to sign off reports but if so, that will be the same for all organisations.

Police Governance Conference in Daventry: Mr G Winstanley referred to the forthcoming conference details of which had been circulated by Grant Thornton. Mr Freeman confirmed that Committee Members were welcome to attend if they wished to and Grant Thornton will recirculate the details of the Conference which is on 4th July 2019.

ACTION: Grant Thornton to recirculate conference details. Members wishing to attend should contact Mr Freeman/Mr Cosh directly.

RESOLVED: Committee noted the report

7. Joint Audit & Ethics Committee – Annual Report

The Committee Chair presented her Annual Report 2018/2019 to the Committee.

RESOLVED: Committee agreed the report which will now be passed to the PCC and CC.

8. Internal Audit Plan 2019/20

Mrs Taylor presented the Internal Audit plan for 2019/20.

An update on the Management of CCTV Systems report had been circulated prior to the meeting and was presented by Mr Cosh. Mr Weaver asked questions of Mr Cosh and confirmed he was happy with the work done by the Force on this issue, as was the wider Committee.

The Committee Chair asked that the CCTV paper should be included with the Agenda papers rather than with Papers for Information.

ACTION: JN to ensure the report is included in the full Agenda pack to be uploaded to the OPCC website.

RESOLVED: Committee noted the report

9. Draft Statements of Account 2018/19

Mr Freeman and Mr Cosh presented the draft Statements of Account for 2018/2019 and took questions from the Committee. The Committee noted that the draft statements had been on the website from 1 June 2019 as required and, in response

to question from the Committee, Mr Freeman confirmed that there had been no enquiries received from the Public in response.

The Committee reviewed the notes to the accounts in detail and some small changes were agreed to be included in the final accounts. It is not expected that final accounts will be available until close to the submission deadline of 31 July 2019, and therefore it is not practical for the Committee to review the final accounts prior to signing. Mr Freeman and Mr Cosh confirmed that the Committee Chair will be kept up to date with any developments.

RESOLVED: Committee noted the report

10. DIP Sampling of complaints

Mr Weaver presented a report on the Dip Sampling of Complaints and confirmed that from his samples, he had found that the work was being carried out to a good standard. His sample cases were all recorded within required time limits but there were delays in finalising complaints, particularly where the complaint investigation was dealt with in Division. PSD are in the process of restructuring to enable them to deal with the investigation of more complaints which it is anticipated will speed up the complaint process.. Service Recovery continues to be a success with 71% of complaint in the last month being resolved by service recovery within 10 days which is a positive outcome.

Det Supt Winstanley advised the Committee that the Home Office had visited, along with the IOPC, checking the processes.

Mr Weaver highlighted a difficulty with accessing email which caused difficulties in making a full scrutiny of complaint files and the Committee Chair confirmed this had been a problem for her too. Det Supt Winstanley agreed to look into it.

ACTION: Det Supt Winstanley to ensure Members can access the Force email to enable effective scrutiny of complaints during dip sampling.

RESOLVED: Committee noted the report

11. PSD Update Report

Det Supt Winstanley reported on the position in Professional Standards Department. He confirmed that since the beginning of April times have improved and this has had a good impact on staff.

Current figures mark Lancashire as a 26% reduction in complaint numbers, which is higher than the national average, so he is confident that they are dealing with matters effectively and the Committee will see improvements. Much of this

reduction is attributable to the work of Service Recovery, which is currently operated by a team of three. . The Home Office have indicated that they are suggesting other Forces visit Lancashire to see best practice.

Complaints regarding Operation Manilla have also decreased.

PSD are also going to start doing work on Lessons Learned and plan to issue a quarterly journal to staff on Lessons Learned where complaints have been upheld.

The Committee Chair suggested that PSD is resource intensive and there is a risk in terms of coping with changes in demand. Det Supt Winstanley said they now have correct number of staff, which also includes some agency staff. He also indicated that he is currently working with the PCC's Office regarding complaint processes.

He closed by saying that they have been under a period of restructure and the next report in six months should highlight the significant positive changes.

RESOLVED: Committee noted the report

12. Committee Members Reports

Mr Richardson and Mr Weaver will be responsible for future reports on complaints and will extend their remit to included misconduct cases. Mr Jones and Mr Richardson will further expand the scope of the sampling to include grievances and will require training from PSD in advance of any sampling they undertake.

ACTION: Det Supt Winstanley to arrange training for Members that will undertake review of grievances during dip sampling.
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The Committee Chair reported that she has attended a Quality Forum for Chairs of Audit Panels from local government and police bodies.

13. Urgent Business

None.

14. Outward Communication

None

15. Date of future meetings

All meetings will be at County Hall, Preston, commencing at 13.30.

Monday 9th September 2019

Monday 9th December 2019

Monday 9th March 2020

PART II – PRIVATE AND CONFIDENTIAL

The following matters will be discussed in private as it involves the likely disclosure of exempt information as defined in the Freedom of Information Act 2000.

16. HMICFRS inspections update.

Supt Dawson presented an update report in respect of HMICFRS inspections.

RESOLVED: Committee noted the report

17. PCC Risk Register

Mr Freeman presented an update report in respect of the PCC's Risk Register. Mr Richardson commented that it would be helpful for the review dates to be updated on an ongoing basis.

The Committee Chair noted the risk arising from persistent complainants asked if the Committee could offer support to the OPCC with regard to persistent complaints and suggested that it would help support the staff who are dealing with these complaints. Mr Weaver agreed that it was certainly something worth looking at.

RESOLVED: Committee noted the report

ACTION: OPCC to consider whether to seek support from the Committee regarding persistent complainants.

18. Constabulary's PCC Risk Register

Supt Dawson presented a report in respect of the Constabulary's Risk Register. There was a discussion about the Funding risk. Mr Cosh agreed that the inherent risk around funding was high, but considered that the Force had processes and contingencies in place to manage this at present.

RESOLVED: Committee noted the report

Signed:	<p>.....</p> <p>Angela Harrison, Director, OPCC</p>
	<p>Dated the day of 2019</p>

Signed:	<p>.....</p>
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