



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

**MONDAY 11 December 2017 AT 1:30PM
CABINET ROOM D, COUNTY HALL, PRESTON**

MINUTES

PRESENT

Mr Clive Portman (Chair)
Ms Karol Sanderson
Mr David Jones
Mr Russell Weaver
Mr Stephen Dobson

IN ATTENDANCE

I Cosh	Director of Resources, Lancashire Constabulary
S Freeman	Chief Finance Officer, OPCC
R Baker	Grant Thornton
G Winstanley	Grant Thornton
W Kearns	Preston City Council (Deputy Monitoring Officer)
J Taylor	Audit Manager
A Emberton	Lancashire Constabulary
J Greaves	Lancashire Constabulary

1. Apologies for absence

A Harrison Director of the OPCC

2. Constitutional matters

Committee Members' terms and conditions.

A report was presented setting out the recently signed decision by the Commissioner and Chief Constable on the process for membership of the Joint Audit and Ethics Committee.

The decision reflected that the current members' terms of office will end on 31 March 2018 and the Chair of the Committee is stepping down in December 2018. The members of the Committee were asked to confirm in writing to Steve Freeman if they wish to continue as members of the committee for a further four years from 1 April 2018 and if any member would be interested in becoming chair of the committee in December 2018.

Members were asked to provide this confirmation by 31st January 2018.

3. Disclosure of members' interests

Mr C Portman Chair of the North West Regional Police Pension Board

4. Lancashire Constabulary – IT security report

At a previous meeting of the committee the constabulary were asked to provide a report on the state of internal IT security reflecting upon the cyber-attack suffered by the NHS early in the year.

Mr Adrian Emberton presented the report to the committee and highlighted the following:

- Staff have been taken on 'in-house' to provide greater resilience to manage this security
- Lancashire has become one of only seven forces that have gained PSN national accreditation which indicates that specific security are sufficiently secure to meet the requirement to connect to the Public Sector network

The committee made a number of positive comments in respect of the actions being taken by the force on security.

RESOLVED: The committee noted the report.

5. Minutes of the meeting held on 11 September 2017

RESOLVED: That the Minutes of the meeting held on 11 September 2017 be confirmed and signed by the Chair.

6. Matters arising

Mr Portman confirmed that the Committee's views on the recent recruitment processes have been provided to the Deputy Chief Constable

Mr Portman highlighted the Committee's request that their thanks be recorded for the Audit staff, Bev Michnowiec and her team and the team at Lancashire Constabulary in the delivery of the Statement of Accounts.

Mr Portman noted and reiterated the request made in the meeting for more detail in the future reports of gifts and gratuities by Constabulary to the committee.

ACTION: Head of PSD to provide a report on gifts and gratuities to the Committee in September 2018.

7. OPCC Ethics Update

Progress against the recommendations made in the Internal Review of the OPCC Ethics process was reported with all required actions having been completed.

RESOLVED: Committee noted the report.

8. External Audit - update

Mr Winstanley provided an update on progress for the 2017/18 audit which is in the early stages of planning.

Mr Winstanley also encouraged members to review the recently refreshed Grant Thornton website

He also reported that Grant Thornton will be hosting their annual workshops for practitioners in February 2018.

RESOLVED: Committee noted the report

9. External Audit – Joint Annual Audit Letter

The joint annual audit letter was presented to the committee for review.

RESOLVED: Committee noted the report.

10. Internal Audit – monitoring report

Judith Taylor presented an update in respect of the internal audit plan for 2017/18.

Committee noted that 2 recommendations for Information management and Security were outstanding from 2015/16. Mrs Taylor was asked to provide an update report on these to the next meeting.

RESOLVED: Committee noted the report and asked for an update at the next meeting on outstanding recommendations from 2015/16.

11. DIP sampling of complaints report

Ms Sanderson and Mr Weaver provided Committee with a report on the management of complaints by the constabulary and reported no causes for concern.

It was reported that HMIC would be 'in-force' in January 2018 to examine the new process for complaints handling.

The new service recovery model was discussed and received positive comments from the Committee.

Committee is to consider 'themes' for sampling of complaints in future reviews.

Ms Sanderson and Mr Weaver will be meeting with officers of the OPCC with a view to reporting to the Committee meeting in March 2018 on proposed revisions to the DIP sampling protocol.

ACTIONS: Ms Sanderson and Mr Weaver to meet officers from the OPCC to discuss revision to the DIP sampling protocol.

RESOLVED: Committee noted the report.

12. PSD Complaints performance report

It was reported that HMICFRS had made a number of positive comments about the way Lancashire managed sexual misconduct issues with its staff.

Committee thanks Pete Simm for the session he delivered to them on ethics issues and the work of PSD

ACTIONS: Steve Freeman to forward any future notifications of public misconduct hearings to the committee.

RESOLVED: Committee noted the report.

13. Constabulary – Ethics update

A report was provided containing the process followed by the Constabulary to ensure ethical behaviour is maintained in the force.

RESOLVED: Committee noted the report.

14. Constabulary Risk Register

This report was reported in Part 2 of the meeting

15. OPCC risk register

RESOLVED: Committee noted the report.

16. Urgent Business – none

17. Outward Communication – none

18. Date of future meetings

All meetings will be at County Hall, Preston, commencing at 1.30 pm.

Monday 12 March 2018

Monday 25 June 2018

Monday 10 September 2018

Monday 10 December 2018

Monday 11 March 2019

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.

19. HMICFRS inspections update.

Mr Cosh reported that under the 'Legitimacy' inspection it was likely that the Constabulary would receive a rating of "good", however, in relation to how the workforce is treated the constabulary 'Requires Improvement' and a number of actions have already been taken in respect of this issue.

Mr Cosh also reported that an action plan has been developed following the recently reported 'Crime Data integrity inspection' and was already being implemented.

RESOLVED: Committee noted the report

14. Constabulary Risk Register.

Mr Cosh reported that Constabulary continued to struggle to recruit in to the ERP team which was an essential part of the plan to meet the recommendations previously made in the internal audit report on the service.

A further review of ERP will take place in quarter 4 of 2017/18.

RESOLVED: Committee noted the report

**S Freeman
Chief Finance Officer**

Joint Audit and Ethics Committee
12th March 2018

Item 4

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee