



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

MONDAY 26 JUNE 2017 AT 1:30PM

CABINET ROOM D, COUNTY HALL, PRESTON

MINUTES

PRESENT

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

IN ATTENDANCE

I Cosh	Director of Resources, Lancashire Constabulary
Ch Insp P Simm	PSD, Lancashire Constabulary
Supt S Mackenzie	Head of PSD, Lancashire Constabulary
S Freeman	Chief Finance Officer, OPCC
R Baker	Grant Thornton
B Michnowiec	Companies and Police Manager, Corporate Finance
M Lawrenson	HMIC
W Kearns	Preston City Council (Deputy Monitoring Officer)
J Taylor	Audit Manager
C Bartlett	Business Support Apprentice, OPCC

1. APOLOGIES FOR ABSENCE

A Harrison	Director, OPCC
G Winstanley	Grant Thornton

2. CONSTITUTIONAL MATTERS

None

3. DISCLOSURE OF MEMBERS' INTERESTS

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

4. MINUTES OF THE MEETING HELD ON 6 March 2017

RESOLVED: - That the Minutes of the meeting held on 6 March 2017 be confirmed and signed by the Chair.

5. MATTERS ARISING

The Committee noted that the training for members of the committee on crime recording and misconduct hearings was informative and well presented.

6. JOINT AUDIT AND ETHICS COMMITTEE – ANNUAL REPORT

Clive Portman (Chair) presented the Joint Audit and Ethics Committee Annual Report for 2016/17. There were no issues or areas of concern in relation to this report.

RESOLVED: Committee noted the report which will be forwarded to the PCC and Chief Constable for their information.

7. DRAFT ANNUAL STATEMENTS OF ACCOUNTS 2016/17 (Chief Constable and PCC)

Clive Portman (Chair) presented the Draft Statement of Accounts for both the PCC and Chief Constable for 2016/17 in order to review. There were no issues or areas of concern in relation to this report.

Committee requested that thanks to Bev Michnowiec and the finance teams at both Lancashire Constabulary and OPCC for their work in the production of the accounts be minuted.

RESOLVED: Committee noted the report

8. EXTERNAL AUDIT - PROGRESS REPORT

Robin Baker presented the External Audit Progress Report and Update Year ending 31st March 2017 to the Committee. The Audit is being progressed and the committee noted there were no concerns. The report shows continuity and a balanced picture of the current financial position, members should keep a note on the progress of this. Committee were also informed that the Commissioner and the Chief Constable will be signing off the accounts on 28th July 2017.

ACTION: - The detailed outcomes of the PSAA Procurement 2018/19 needs to be reported to the Chief Constable and PCC before 28th July 2017.

9. INTERNAL AUDIT – INTERNAL AUDIT CHARTER

Judith Taylor (Audit Manager) presented the Internal Audit Charter to the committee. It was identified by the Committee that the responsibilities set out in the Charter for the Joint Audit and Ethics Committee (JAEC) needed updating to reflect the current JAEC terms of reference.

RESOLVED: - Committee approved the charter subject to the identified amendments being made. The Chair and Judith Taylor will meet to agree the changes needed to the Committee's Terms of Reference to reflect the new requirements in the Internal Audit Charter.

10. INTERNAL AUDIT – ANNUAL REPORT

The Annual Report of the Head of Internal Audit for the year ended 31st March 2017 was presented to the committee reporting 'substantial assurance' overall.

Mr Weaver asked about issues caused by the introduction of the new Case and Custody IT system, it was reported that the main issues were in respect of users' behaviour and culture rather than the system itself.

RESOLVED: - Committee noted the report.

11. DIP SAMPLING OF COMPLAINTS FILES – JUNE 2017

Ms Karol Sanderson presented the Scrutiny of Complaints Files for June 2017 to the committee regarding the Constabulary's procedures for handling and investigating complaints in respect of files they have viewed. There were no issues or areas of concern in relation to this report.

Committee discussed the role of JAEC in respect of complaints and suggested a review of the requirements of the Force and the PCC from the committee in such activity.

RESOLVED: Committee noted the report. Mr Freeman to discuss the PCC's requirements in respect of complaints with the Commissioner and Chief Executive and report back to a future meeting of the committee. Ms Sanderson to meet the Force to discuss.

12. PROMOTION ASSESSMENTS

Ms Karol Sanderson gave a verbal update on the involvement of committee members in observing the constabulary's promotion assessments. There were no issues or areas of

concern in relation to this. Mr Jones and Mr Weaver are to observe the Sergeants recruitment process in the forthcoming weeks.

RESOLVED: Committee noted the update.

13. INSPECTION REPORTS – Update on HMIC Reports

Mr Cosh presented the update in respect of the HMIC Inspection Programme for 2017/18. There were no issues or areas of concern in relation to this report.

It was noted that the reference within the report to the item being restricted should be removed for any future report to the committee.

RESOLVED: Committee noted the update.

14. ETHICS UPDATE

Supt Mackenzie (Head of PSD, Lancashire Constabulary) presented an overview of the constabulary's progress against the ethics action plan.

A recent HMIC finding stated that officers and staff were not clear on the standards of professional behaviour to which they are being held to account.

The constabulary has taken direct action to address this issue through a 'sign up' by all supervisors in the organisation to make sure their staff do have clarity on the standards of behaviour that are expected.

RESOLVED: Committee noted the update.

15. COMPLAINTS PERFORMANCE REPORT

Ch Insp P Simm presented the report in respect of the performance of the constabulary in relation to its handling of complaints.

It was reported that the number of complaints in the period has increased due in some part but not entirely to the number of complaints received in respect of the fracking protest.

It was also reported that the performance in respect of the number of days taken to process an appeal worsened, however this is due to a high number of appeals that have been delayed for over 500 days having been resolved in the period causing the average number of days taken to complete an appeal to increase.

The underlying trend for the number of days taken to deal with appeals once these back log cases are excluded is in fact reducing.

Ch Insp Simm also reported that PSD have engaged a volunteer to further DIP sample complaints by contacting the complainants directly to discuss their experience.

It was reported that there was an increasing focus on 'service recovery' within the handling of complaints.

RESOLVED: Committee noted the update.

16. URGENT BUSINESS – none

17. OUTWARD COMMUNICATION – none

18. DATE OF NEXT MEETING

Monday 11th September 2017, 1:30 – Committee Room B, County Hall, Preston.

Monday 11th December 2017, 1:30 – Committee Room D, County Hall, Preston.

Monday 12th March 2017, 1:30 – Committee Room B, County Hall, Preston.

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. CONSTABULARY RISK REGISTER

The committee were presented with the Constabulary's risk register. Mr Cosh reported that whilst there are a number of significant risks reported in the register the Constabulary remain confident that management action is in place to mitigate them.

Mr Dobson noted that in the Statement of Accounts there was a significant risk reported in respect of the implementation of the Emergency Services Communication Network that does not appear in the risk register.

Following a detailed discussion it became apparent that the constabulary has fully considered the risks associated with the ESN programme and Ian Cosh chairs an internal ESN programme board to ensure that the implementation of the new system is carefully planned and managed and at this point it is not felt that it needs to be placed on the constabulary risk register but this will be reviewed as the programme progresses.

RESOLVED: Committee noted the update.

20. OPCC RISK REGISTER

Steve Freeman (Chief Finance Officer, OPCC) presented the register to the committee. It was noted that the main concern for the PCC is Funding at the national and local level.

Ms Sanderson noted that there are very few owners identified for the risks in the PCC register, this will be addressed in the next report to the committee.

RESOLVED: Committee noted the update.

21. ITEM 14 App B – Meetings an Hearing Summary

The Committee were presented by Ch Insp P Simm with a number of investigation outcomes, the conduct identified and the lessons learned.

RESOLVED: Committee noted the update.

S Freeman
Chief Finance Officer

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee