



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

MONDAY 13 JUNE 2016 AT 1:30PM

COMMITTEE ROOM D, COUNTY HALL, PRESTON

MINUTES

PRESENT

Mr Clive Portman (Chair)

Mr David Jones

Ms Karol Sanderson

Mr Russell Weaver

IN ATTENDANCE

Mrs A Harrison	Director, Office of the Police and Crime Commissioner
Mr I Cosh	Director of Resources, Lancashire Constabulary
Mr S Freeman	Chief Finance Officer, Office of the Police and Crime Commissioner
Mrs R Lowry	Chief Internal Auditor, Internal Audit Service
N Ashton	Superintendent, Head of Corporate Development, Lancashire Constabulary
J Puttock	Superintendent, Operations Manager, HQ Operations, Lancashire Constabulary
D Kitchen	Chief Inspector, firearms and Roads Policing, HQ Operations, Lancashire constabulary
Mrs W Kearns	Preston City Council (Deputy Monitoring Officer)
Mr I Miles	Grant Thornton
Mr R Baker	Grant Thornton
Ms J Taylor	Audit Manager

SECRETARIAT

Mr A Robertson Business Support Officer, Office of the Police and Crime Commissioner

1. APOLOGIES FOR ABSENCE

Mr S Dobson

2. CONSTITUTIONAL MATTERS

None

3. DISCLOSURE OF MEMBERS' INTERESTS

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

4. MINUTES OF THE MEETING HELD ON 7 MARCH 2016

RESOLVED: - That the Minutes of the meeting held on 7 March 2016 be confirmed and signed by the Chair.

5. MATTERS ARISING

The Chair noted that whilst the next meeting of the Joint Audit and Ethics Committee was identified correctly in the minutes as being agreed in the meeting to be on the 22nd August 2016 it had subsequently been agreed to move the meeting to the 15th August 2016.

The Committee noted that a training session in respect of the management and process for misconduct cases was proposed for the Committee but had not yet been arranged. Mr Cosh agreed to ensure that arrangements for the delivery of the training session would be made.

The Committee noted that the Constabulary had agreed to provide minutes from the internal ethics board to the Committee but these were not included with the agenda. Mr Cosh and Mr Ashton confirm that the Constabulary ethics board has been named the "Tactical Ethics Committee" and minutes from this Committee would be provided with the Ethics Update as a standing item on the agenda.

RESOLVED:

That the next meeting of the Audit Committee will take place on 15th August 2016.

That Mr Cosh will arrange for a training session in respect of the management of misconduct cases for the committee

That the minutes of the Tactical Ethics Committee will be provided to the committee as part of the Ethics Update at future meetings.

It was also agreed that the minutes from the forthcoming June Scrutiny meeting of HMIC preparedness be forwarded to Members for information.

6. FIREARMS LICENSING – UPDATE REPORT

The Committee received a presentation on the Constabulary's firearms licensing department. This presentation explained the current structure of the firearms licensing framework and reflected the recommendations from a recent HMIC inspection done at a national level (Lancashire was not part of the inspection). HMIC have made 18 recommendations for improvement as a result of their inspection and the report detailed how Lancashire was implementing each of these recommendations.

RESOLVED: Committee noted the presentation and the progress made against the implementation of the recommendations and the level of assurance provided..

7. ETHICS UPDATE

The Committee received an Ethics update report that detailed the progress being made by Constabulary to deliver the 'Ethics Plan'.

RESOLVED: Committee noted the report and the progress made by Constabulary with its Ethics plan.

Supplemental item 1 - Best Use of Stop and Search.

Committee received a report that provided an update on the progress that Constabulary have made in addressing the issues raised by the Home Office that resulted in the suspension of Lancashire Constabulary from the Best use of Stop and Search Scheme.

Committee noted that each of the issues had been addressed and that Constabulary will be re-inspected on 18 July 2016 as part of the PEEL inspection and expect to be reinstated to the scheme following that inspection.

RESOLVED: It was agreed that a further update on BuSSS will be provided to the next meeting as part of the Ethics Update item.

A further item was considered under part 2 of the agenda. (see below)

8. JOINT AUDIT AND ETHICS COMMITTEE – ANNUAL REPORT

The Chair presented the Annual Report of the Joint Audit and Ethics Committee 2015/16. The report provided an overview of the role and function of the Committee and how it had supported the effective discharge of business.

It was noted that the Committee's contribution was through the provision of advice and guidance in accordance with good governance principles and provides a focus on audit assurance and ethics, governance, internal control and the risk management process.

RESOLVED: - That the Annual Report be presented to the Police & Crime Commissioner and the Chief Constable for information at the next Joint Management Board.

9. Draft ANNUAL GOVERNANCE STATEMENTS 2015/16 – CONSTABULARY

The Committee received the Constabulary's Draft Annual Governance Statement for 2015/16.

RESOLVED: - The Committee considered the Draft Constabulary's Annual Governance Statement and agreed that this provided evidence of a sound governance regime.

10. Draft ANNUAL GOVERNANCE STATEMENTS 2015/16 – OFFICE OF THE POLICE AND CRIME COMMISSIONER

The Committee received the Draft Police and Crime Commissioner's Annual Governance Statement for 2015/16.

RESOLVED: - The Committee considered the Office of the Police and Crime Commissioner's Annual Governance Statement and agreed that this provided evidence of sound governance regime.

11. CONSTABULARY PROMOTION BOARD INTERVIEWS

Members provided a verbal report on their involvement in the process used for Constabulary Promotion Board interviews. They concluded that the process was good and fair. The Committee had some specific issues they wanted to raise with Human Resources (HR) around scoring criteria and it was agreed a meeting would be arranged by the Chair. Overall the Members were of the view that the process was transparent and sound.

RESOLVED: The Committee noted the update and will meet with the Constabulary's HR to give their feedback.

12. EXTERNAL AUDIT – UPDATE REPORT AND FEE LETTERS FOR 2016/17

The External Auditor, Grant Thornton, presented an update and audit fee letters for 2016/17 for the Committee's consideration.

RESOLVED: Committee noted the report and the charges for external audit for 2016/17

13. INTERNAL AUDIT – INTERNAL AUDIT CHARTER

The Committee received a report regarding the Internal Audit Charter that is in place between Internal Audit and the PCC (Police and Crime Commissioner) and the Chief Constable.

It was explained that previously the Charter had existed between the internal audit service and Lancashire County Council and it had been agreed that this should be replaced with a specific charter for the PCC and the Chief Constable to reflect best practice.

RESOLVED: Committee noted the report

14. INTERNAL AUDIT- ANNUAL REPORT

The Audit Manager provided the Committee with an update on the Annual Internal Audit Report for the period 1 April 2015 to 31 March 2016. Mrs Lowry informed the Committee that the overall opinion on the level of assurance is 'Substantial'. The Audit Manager stated there was nothing of real significance to highlight and the Committee were advised that the update report shows a positive position for both the Office of the Police and Crime Commissioner and Lancashire Constabulary.

Mrs Lowry continued that it was a healthy approach to revert to Internal Audit should issues arise in areas that were considered to have potential weaknesses and that this is an extremely positive use of internal audit resources.

RESOLVED: - The Committee noted the Annual Report.

15. GRANT THORNTON ANNUAL AUDIT COMMITTEE SEMINAR – FEEDBACK

Mr Weaver provided the Committee with feedback on the Grant Thornton Annual Committee Seminar 2016. It was advanced that the seminar was very useful and well-worth the journey. Mr Weaver pinpointed two issues of concern: firstly, the rise of devolution and, secondly, the level of understanding of the role of Police and Crime Panels (PCP) that Audit Committee members have. The Committee suggested that the minutes and details of recent and upcoming PCPs should be circulated to each Member to improve their understanding of the role of the panel.

RESOLVED: - The Committee noted the feedback and the Office of the Police and Crime Commissioner agreed to circulate the details and minutes of recent and upcoming Police and Crime Panels.

16. JOINT AUDIT AND ETHICS COMMITTEE WORKPLAN 2016/17

The Committee noted the current work plan for 2016/17 and reiterated that training on misconduct hearings was required (as identified in matters arising from the minutes of the previous committee meeting). It was also noted that data integrity checking and training should be undertaken. The Committee also requested to be notified of when misconduct hearings held in public are taking place

RESOLVED: - The Committee noted the report

That training in respect of misconduct hearings for the committee will be arranged.

That training for members of the Committee in respect of Data integrity/Crime reporting will take place before the next HMIC inspection

That the Committee will be notified in advance of the timing of future public misconduct hearings.

17. DIP SAMPLING OF COMPLAINTS REPORT

Ms Sanderson provided generally positive feedback to the Committee regarding the dip sampling of complaints. The biggest area of concern is the on-going issues of data migration which continues to take up staff resource and contributes to the current 8 months back log the Constabulary is experiencing in dealing with appeals. It was noted that an Appeals Handler has been appointed in order to alleviate this staffing burden, but it was suggested that in order to collect more accurate data the Committee should perform a separate dip sampling exercise looking specifically at appeals.

It was identified that the implementation of the Police and Crime Bill will deliver a change to the delivery of the complaints handling process.

It was proposed that a member of the committee be involved in the design of the new process.

RESOLVED: - The Committee noted the report

That specific DIP sampling of appeals will take place and reported back to committee

That a Member of the committee be involved in the design process for the complaints handling process

18. HMIC INSPECTION REPORTS - UPDATE

The Committee received an oral update in relation to the hot debrief that took place on the 10th July 2016 following the unannounced joint HMIC/HMIP inspection 'Expectations for police custody' visit. A report on this inspection will be presented to committee at a future meeting.

The report updated the Committee in respect of a number of inspections that have taken place and progress against the recommendations that have been made.

Committee was informed that an unannounced inspection in respect of organised crime activity was imminent.

Committee was informed that Lancashire Constabulary are a pilot area for the delivery of 'Force Management Statements' and that a report will be provided in respect of the statements and the assurance they provide.

Constabulary reported that there is a significant pressure placed on their resources to enable them to meet the requirements of the inspection regime.

RESOLVED: - The Committee noted the report

19. URGENT BUSINESS

No matters of urgent business were reported.

20. OUTWARD COMMUNICATION

The Committee was asked to consider if: -

- a) There were any key messages arising from the meeting which should be sent to:
 - a. The press / public
 - b. Local / Regional / National bodies
- b) The Police and Crime Commissioner's / Constabulary's press / public relations teams should be asked to consider whether any consultation / research on any particular matters arising from the meeting should be undertaken.

RESOLVED: - The Committee agreed that no further action was necessary.

21. DATE OF NEXT MEETING

RESOLVED: - That it be noted that the next scheduled meeting of the Committee was due to be held at 1:30pm on Monday 15 August 2016.

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.

Item 7 – Supplemental item 2

Ethics update – the Committee was asked to consider two matters referred by the Constabulary’s Tactical Ethics Committee;

1. The acceptance of gifts and hospitality offered to Police Officers whilst on duty, e.g. provision of free refreshments in coffee shops. The Committee felt that this should not be accepted by officers and would be supportive of this stance being taken by the Constabulary.
2. The internal publication of material relating to misconduct matters as a means of learning and awareness raising within the Constabulary. The committee felt that as long as adequate safeguards were provided to ensure no inappropriate data or information was disclosed that this should take place.

22. CONSTABULARY RISK REGISTER

The Committee noted the Constabulary's risk register.

23. OPCC RISK REGISTER

The Committee noted the Office of the Police and Crime Commissioner's risk register.

24. COMPLAINTS – PERFORMANCE REPORT

The Committee received a Complaints Performance Report for their consideration.

The Committee noted the report and that a more detailed discussion would take place at the August Committee

**A Harrison
Director**

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee