



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

MONDAY 15 AUGUST 2016 AT 1:30PM

COMMITTEE ROOM D, COUNTY HALL, PRESTON

MINUTES

PRESENT

Mr Clive Portman (Chair)

Mr David Jones

Mr Stephen Dobson

Mr Russell Weaver

IN ATTENDANCE

S Finnigan	Chief Constable
I Cosh	Director of Resources, Lancashire Constabulary
S Freeman	Chief Finance Officer, OPCC
N Ashton	Superintendent, Head of Corporate Development
S McKenzie	Superintendent, Head of PSD
W Kearns	Preston City Council (Deputy Monitoring Officer)
Mr I Miles	Grant Thornton
R Baker	Grant Thornton
J Taylor	Audit Manager
N Bickerstaffe	Auditor
I Dickinson	Standards and Governance officer, OPCC

In advance of the agenda the Chief Constable provided a briefing to the Committee on the current issues faced by the Constabulary and the impact on current and future services.

Detail was provided on the process being undertaken by the constabulary in partnership with the OPCC in determining the future strategic direction of the organisation and the operational changes that will be made to deliver policing services in future years.

1. APOLOGIES FOR ABSENCE

K Sanderson, A Harrison

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 7 MARCH 2016

RESOLVED: - That the Minutes of the meeting held on 13 June 2016 be confirmed and signed by the Chair.

5. MATTERS ARISING

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. It was agreed that it was key that Karol Sanderson and Russ Weaver attended the session but that the other members of the committee could attend if available.

Action – I Cosh and S McKenzie to propose dates for the training session

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. It was agreed that the Ethics update item would be provided on a 6 monthly cycle.

It was agreed that the report being taken to September scrutiny meeting in respect of 'preparedness for HMIC' will be presented to the Joint Audit and Ethics committee at its meeting in December.

The committee was informed that it had been confirmed to constabulary on 8th August that the force had met all of the requirements to achieve re-instatement to the Best use of Stop and Search Scheme (BuSSS). It was agreed that no further updates on this issue were needed for the committee.

David Jones reported on discussions and reports he has received in respect of data integrity and crime recording including a meeting held with Sgt Sharman, Mr Jones reported that he was satisfied that all requirements of the HMIC report from 2014 were being met.

The Chief Constable reported that there are a number of issues that require addressing in respect of crime recording and that it would be appropriate to await the latest HMIC report findings and then determine if Committee members should receive further training on the issue.

Action – Committee to determine if training is required following publication of latest HMIC report on crime recording.

6. AUDIT FINDINGS REPORT – STATEMENT OF ACCOUNTS 2015/16

Robin Baker (Grant Thornton) presented the Audit Findings report in respect of the PCC, Chief Constable and Group accounts for 2015/16.

It was reported that there were no material errors found and that an unqualified opinion was provided for the statements of account and in respect of the value for money conclusion for both entities.

The quality of working papers was praised along with the excellent working relationship between the OPCC, constabulary and Grant Thornton teams in the delivery of the accounts in a considerably reduced timescale.

RESOLVED: Committee noted the report and recorded the thanks of the Committee to Grant Thornton, Bev Michnowiec, Alan Brown and the Constabulary finance team in the work done to deliver the accounts in a considerably shorter time-frame to a very high standard.

7. LANCASHIRE CONSTABULARY – GIFTS & HOSPITALITY AND BUSINESS INTERESTS REPORT

The Committee received a report in respect of Gifts and Hospitality received by employees of the constabulary in financial year 2015/16. The report also detailed the business interest held by employees of the constabulary as at 30 June 2016.

The requirements under which both registers are maintained are set out under College of Policing guidelines and it was reported that the process followed was considered to be thorough and comprehensive.

The constabulary have assessed the registers and identified some areas for further internal scrutiny to ensure the reports continue to provide the level of disclosure required in the guidance and to meet the requirements of the constabulary's own ethical framework presented to the committee at its June meeting.

RESOLVED: Committee noted the report.

8. OPCC – ETHICS AND INTEGRITY FRAMEWORK

I Dickinson presented a report to the committee that set out the PCC's ethics and integrity framework.

The framework will enable the PCC and his office deliver the Commissioner's responsibilities in an ethical way.

It is based upon the 7 'Nolan' principles for ethical behaviour which are included in the PCC's oath of office.

The framework helps the public understand how the PCC meets these principles in the discharge of his duties.

RESOLVED: - The committee noted the report.

9. OPCC – TRANSPARENCY POLICY

I Dickinson presented a report to the committee that set out the process followed by the PCC and by the OPCC when considering the attendance and meetings with external organisations.

The due diligence performed for attendance at such meetings is intended to ensure that the PCC and his office provide a transparent decision making process when identifying what meetings will be attended.

RESOLVED: - The Committee noted the report.

10. OPCC ETHICS PLAN

I Dickinson presented a report to the committee that set out the ethics plan for the OPCC.

This represents the detailed plan to be followed by the OPCC in delivering the PCC's responsibilities in line with the PCC Ethics Framework.

RESOLVED: - The Committee noted the report.

11. INTERNAL AUDIT MONITORING REPORT

J Taylor provided a verbal update in respect of Internal Audit and the progress being made against the audit plan in 2016/17.

At this stage in the year a number of reviews are under way but no opinions have been provided.

The following reviews are under way and current progress is reported as follows:

Review	Status
Constabulary code of ethics	Scoping completed, audit under way
PCC code of ethics	Scoping to be done
Health and Safety	Scoping is on-going
Procurement	Scoping complete
Accounts payable/receivable/General ledger	Scoping to commence late August

It was reported that the 20 days contingency within the audit plan has not yet been allocated

RESOLVED: The Committee noted the update.

12. DIP SAMPLING

R Weaver provided positive feedback to the Committee regarding the dip sampling of complaints and provided the view that PSD are 'on top of the process'.

The report noted that a small number of individual complainants take up a disproportionate amount of time and resource within the complaints process.

There is an issue in respect of the style of responses provided to complainants in particular that responses can feel 'impersonal'. S McKenzie commented that this is often as a result of the process itself where consistency is very important but accepted that this can mean a lack of personal feel to the correspondence issued.

The length of time taken to deal with appeals was highlighted and it was confirmed that a dedicated officer has now been put in place to improve performance on appeals.

RESOLVED: - The Committee noted the report

14. COMPLAINTS ANALYSIS

S McKenzie presented a report in respect of complaints for the period ended 231 March 2016.

The committee noted that one of the main features of the report was a shift in the treatment of complaints through local resolution which has resulted from an improved method of recording the actions taken in such cases.

S McKenzie asked the committee to note that the next report the committee receives for the 1st 6 months of 2016/17 will show a significantly changed picture due to the change in requirements in the recording of complaints.

RESOLVED: Committee noted the report

AOB Item – Management of police information

I Cosh presented a report that provided an update on the activity undertaken by the constabulary following the HMIC inspection of the management of police information in order to meet the requirements that resulted from that audit.

It was reported that a significant number of issues were identified and detailed the actions taken to meet these requirements.

S Dobson asked about the level of 'buy in' from information asset owners as it is recognised that operational managers can often form the view that data is held in a system that 'belongs to IT' rather than to them.

Constabulary recognise this issue and are taking steps to address the question of data ownership in the force.

RESOLVED: - The Committee noted the report.

AOB Item – CIPFA development day for Audit Committee members

The Chair identified that CIPFA are offering a development day for Audit committee members and that the PCC CFO had confirmed to him that budget is available for a member to attend.

RESOLVED: Committee members to let the Chair know if they wish to attend the development day and that one member be chosen to attend on behalf of the committee if more than one is interested in attending the event.

15. URGENT BUSINESS

No matters of urgent business were reported.

16. 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.

17. 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 12 December 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.

13. HMIC INSPECTION REPORTS - UPDATE

**A Harrison
Director**

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee