



**Lancashire  
Constabulary**  
police and communities together

## **JOINT AUDIT AND ETHICS COMMITTEE**

**MONDAY 11 September 2017 AT 1:30PM  
CABINET ROOM B, COUNTY HALL, PRESTON**

### **MINUTES**

#### **PRESENT**

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

#### **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)
Supt I Dawson	Lancashire Constabulary
J Taylor	Audit Manager
A Harrison	Director of the OPCC
C Rigbye	Complaints Manager, Lancashire Constabulary

#### **1. Apologies for absence**

Mr Stephen Dobson (Received by the Chair subsequent to the meeting)

#### **2. Constitutional matters**

Joint Audit and Ethics Committee – Terms of reference

A report was presented setting out the revised terms of reference for the Joint Audit and Ethics Committee.

**RESOLVED:** Committee agreed the revised terms of reference as set out in the report.

### **3. Disclosure of members' interests**

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

### **4. Minutes of the meeting held on 26 June 2017**

**RESOLVED:** That the Minutes of the meeting held on 26 June 2017 be confirmed and signed by the Chair.

### **5. Matters arising**

Mr Weaver provided a brief update on the recruitment process for Sergeant posts. Mr Jones and Mr Weaver observed the briefings provided to the staff conducting the process and then observed a significant number of assessment processes. They confirmed that the process followed was consistent with the briefing the staff had received and was applied consistently to all applicants.

Mr Weaver confirmed that the process was followed by the interviewing staff fully and that they had no concerns with its delivery.

The Chair commented that the Committee had been invited to provide the Deputy Chief Constable with its views of the recruitment process to form part of a review she is undertaking.

**ACTION:** The Committee will provide the Deputy Chief Constable with its views on the current process to recruit Sergeants.

Matters arising from Part 2 items in the last meeting were also discussed.

### **6. Audit Findings report 2016/17**

Gareth Winstanley (Grant Thornton) presented the Audit Findings report for the financial year ended 31<sup>st</sup> March 2017 and reported that the Accounts had received an unqualified audit opinion. He also reported that the PCC and Chief Constable had also received an unqualified opinion in respect of Value for Money.

The committee noted that the close down had been completed by 28<sup>th</sup> July 2017 representing a quicker closure than in the previous year and the committee stated its thanks to the officers at the Constabulary and in the PCC's office for their work in achieving this deadline.

**RESOLVED**: Committee noted the report.

### **7. Update on Business Interests – Lancashire Constabulary**

Mr Cosh presented a report that set out the current register of Business Interests held by Lancashire Constabulary. The report also provided Committee with the Business Interests policy in use at Constabulary.

**RESOLVED**: Committee noted the report

### **8. Update on Gifts and Gratuities – Lancashire Constabulary**

Mr Cosh presented a report that set out the Gifts and Gratuities received by officers and staff in Lancashire Constabulary in 2016/17. The report also set out the process and guidelines followed by officers and staff in completing the required returns for such gifts.

The Committee suggested that greater detail on recording gifts and gratuities received be provided in the next report on the subject to the Committee.

**ACTION**: The next report to the Committee to contain greater level of detail on the gifts and gratuities received

**RESOLVED**: Committee noted the report.

### **9. OPCC – Ethics Plan**

Mr Freeman presented an update on progress against the Ethics plan made by the office of the Police and Crime Commissioner.

**RESOLVED**: Committee noted the report.

### **10. Appointment of external auditors 2018/19**

Mr Freeman presented a report that summarised the process that had been followed to appoint the external auditors for the PCC and Chief Constable for 2018/19. It confirmed that Grant Thornton would continue as the external auditors for 5 years from 2018/19.

**RESOLVED**: Committee noted the report.

### **11. Internal Audit – Monitoring report**

Mrs Taylor provided a verbal update on the progress being made against the Audit Plan for 2017/18. A significant amount of scoping work has now been completed and the majority of reviews will take place in the 3<sup>rd</sup> and 4<sup>th</sup> Quarters of the year.

**RESOLVED**: Committee noted the report.

### **12. DIP sampling of complaints**

Ms Sanderson provided Committee with a report on the management of complaints by the constabulary and reported no causes for concern. Ms Sanderson further reported that it may be an appropriate time to review the current protocol for scrutinising complaint files in view of the impending changes in legislation providing for the handling of complaints.

The Committee agreed that it may be an appropriate time to review the protocol for the scrutiny of complaint files.

**RESOLVED**: Committee noted the report.

### **13. HMICFRS INSPECTION REPORTS**

This item was considered in Part II of the meeting.

### **14. Complaints performance report**

Mrs Rigby (Complaints Manager, Lancashire Constabulary) presented the latest performance report for the Constabulary in respect of the handing of complaints.

**RESOLVED**: Committee noted the update.

### **15. Urgent Business – none**

### **16. Outward Communication – none**

### **17. Date of future meetings**

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

Monday 12<sup>th</sup> 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.**

13 HMICFRS inspections update.

Supt Dawson presented an update in respect of recent and future inspections by HMICFRS.

**RESOLVED:** Committee noted the report

**S Freeman**  
**Chief Finance Officer**

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee