



**Lancashire
Constabulary**
police and communities together

JOINT AUDIT AND ETHICS COMMITTEE

MONDAY 12 March 2018 AT 1:30PM

CABINET ROOM B, 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
W Kearns	Preston City Council (Deputy Monitoring Officer)
J Taylor	Audit Manager
A Harrison	OPCC
Supt I Dawson	Lancashire Constabulary

Clive Grunshaw attended the meeting and gave a presentation to the committee highlighting the current issues faced by his office and the plans in place for 2018/19. Following a question and answer session after his presentation Mr Grunshaw left the meeting.

1. Apologies for absence

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 11 December 2017

Mr Jones identified that at item 6 in the minutes reference was made to a "recent recruitment process", it was identified that this should have been referenced to a "recent promotion process".

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

5. Matters arising

Committee members referred to item 12 of the minutes where an action was agreed for any future notifications of public misconduct hearings would be provided to committee members.

It was agreed that these notifications would be provided in the future

ACTION: Notification of all future public hearings into misconduct will be provided to the Committee members by Constabulary.

6. External Audit – Audit Plan 2017/18 accounts

Mr Baker presented the joint plan for the external audit of the 2017/18 financial year and noted in particular that the 'significant risks' identified on page 3 of the plan are the risks faced by every PCC and CC.

RESOLVED: Committee noted the report

7. Internal Audit – Audit Plan 2018/19

Mrs Taylor presented the Internal Audit Combined Plan for 2018/19 and explained the changes that have been made in the definitions to be used for describing the 'Degree of Assurance' provided for each audit.

RESOLVED: Committee noted the report

8. Internal Audit – monitoring report

Mrs Taylor presented an update in respect of the monitoring of the internal audit plan for 2017/18 and identified that the plan was on track to be delivered. Mrs Taylor also explained that a number of days in the plan would be delivered in the first quarter in 2018/19 in line with previous years'. No issues of concern have been identified to date.

Mrs Taylor also presented a report on the External Quality Assessment (EQA) process that was conducted in November 2017. The process has identified an action plan that is being delivered by the service.

Reference was made to the Internal Audit Charter which, in particular, offered clarity on the role of Internal Audit in respect of potential fraud. It was clarified that the expectation would be that the OPCC would refer any financial irregularity to Internal Audit who would act and advise on potential fraud issues and pass on to the Constabulary where appropriate.

An update on the audit of Constabulary information management and security arrangements was also provided. The only issue of concern identified by the Committee was that the information risk register has not been completed despite being identified for action two years previously. Committee requested that completion of the register be reported to the next meeting.

RESOLVED: Committee noted the reports and specifically requested that the completion of the Information Risk register held by Constabulary be reported to the next meeting of the committee.

9. JAEC Workplan 2018/19

Mr Freeman presented the proposed workplan for the committee for 2018/19. Committee agreed that an item in respect of the complaints sampling protocol be added to the agenda for the meeting in September.

RESOLVED: Committee noted the report as amended.

10. DIP sampling of complaints report

Ms Sanderson and Mr Weaver provided Committee with a report on the management of complaints by the constabulary.

Positive feedback was provided for the Service Recovery process that has been trialled by the Performance Standards Department recognising the improvement in efficiency this has delivered.

Concern was expressed that it is not clear how the 'lessons learned' facility in the PSD system is being used. It is also not clear how lessons learned are being communicated back to front line officers.

A discussion was held in respect of the revised complaints protocol with the committee seeking a more fluid and flexible process that incorporates the legislative changes in respect of the complaints process due in early 2019. It was proposed that the protocol should encapsulate the whole of the misconduct process but that this issue would need to be discussed with the constabulary to determine its potential inclusion.

RESOLVED: Committee noted the report. A report on the revised complaints scrutiny protocol is to be presented to the committee meeting in September.

11. OPCC Ethics update

Mr Freeman presented an update on the delivery of the OPCC ethics plan with no issues reported. It was identified that the committee had input in to the review of the constabulary's promotion process but had not seen a report on the outcome of the review. It was requested that the Deputy Chief Constable be asked for feedback for the committee in respect of their contribution to the review.

ACTIONS: Ian Cosh to request feedback for the Committee from the Deputy Chief Constable in respect of the review of the promotion process.

RESOLVED: Committee noted the report.

12. Committee membership

Mr Freeman provided a verbal update in respect of Committee membership. He confirmed that all existing members have confirmed in writing their desire to take up the extension to membership as set out in their terms and conditions.

Mr Freeman stated that a decision on any extensions would be confirmed in writing to the Committee members once made.

RESOLVED: Committee noted the report.

13. Urgent Business

Mr Portman reported that an invitation to attend the PSAA Quality Forum on the 18th April has been received. It was reported that the Forum is being facilitated by the Public Sector Audit Authority to oversee quality and standards for external audits of Local Authorities and PCCs.

It has been confirmed that Mr Portman and Mr Freeman will attend the event and report back to the next meeting of the committee.

14. Outward Communication – none

15. Date of future meetings

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

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.

16. HMICFRS inspections update.

Supt Dawson presented an update report in respect of HMICFRS inspections

RESOLVED: Committee noted the report

**A Harrison
Director**

Signed:

Date:

C Portman, Chairman Joint Audit and Ethics Committee