

JOINT AUDIT AND ETHICS COMMITTEE
LANCASHIRE POLICE & CRIME COMMISSIONER AND CHIEF CONSTABLE

ANNUAL REPORT FOR YEAR April 2018 to March 2019

1. Introduction and Background

The Joint Audit Committee for the Lancashire Police and Crime Commissioner (PCC) and Chief Constable (CC) was established on 1 April 2014. The remit of the Committee was extended in September 2015 to include the consideration of ethical issues and revised Terms of Reference for the Committee were agreed by the Joint Management Board in January 2016. The Committee has considered both audit and ethical issues from that date.

2. Assurance

The Committee supports the effective discharge of PCC and CC business through the provision of advice and guidance in accordance with good governance principles; a focus on audit and ethical assurance; effective internal and financial controls and effective risk management processes.

3. Membership

The membership of the Committee until 31 December 2018 was:

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

On 31 December 2018, Clive Portman stepped down having completed his 5-year term as Committee Chair. The Committee are extremely grateful for valuable contributions which Clive made to the work of the Committee during his time as Chair.

Following an open recruitment process, I was appointed Chair in his place. A new member, Paul Richardson has been appointed following an open recruitment process, and will take up his post in June 2019.

4. The work of the Committee - Meetings

The Committee met formally four times in 2018/19 in June 2018, September 2018, December 2018 and March 2019.

1. Standing items for consideration at each meeting are:

- Update/Monitoring Reports from Internal and External audit
- Inspection Reports Updates
- Dip Sampling of Police Complaints reports
- Ethics Update Report

2. Additional matters were considered as follows:

June 2018

- Annual Report from the Committee and from Internal Audit
- Draft Statements of Account & Annual Governance statements
- PCC and CC Risk Registers
- PSD update including complaints performance report
- Review of Committee Terms of Reference

September 2018

- The Audit Findings report and the External Audit Joint Annual Letter
- Reports on Business Interests and Gifts and Hospitality
- OPCC Ethics Update report

December 2018

- Risk Registers for PCC and Force
- PSD Update including details of Force Ethics Committee
- External Audit letter

March 2019

- Internal and external audit plans for the coming year
- Review of Committee work programme
- OPCC Ethics Update Report

3. The Committee received presentations from:

- Andy Rhodes (chief Constable) – December 2018
- Amanda Rowe (Regional Director of OPCC0 – September 2018)

Item 7

Appendix A

Note : Some additional matters including Review of Inspection Reports were also dealt with but due to sensitivity issues were not discussed in public.

5. The work of the Committee outside the formal meetings:

Committee Members also contributed between meetings in the following areas:

- By dip sampling of action taken in dealing with complaints and making recommendations to improve the overall process and style of responses to complainants.
- By observing a range of promotion boards for officers to confirm transparency in the process and promotion decisions made.
- By meeting with representatives of Professional Standards Department to discuss the work of the Force Ethics Committee
- By taking part in a working group on the appropriateness of officer's tattoos
- By engaging with the PCC and PSD in discussions about a revised complaints review protocol
- One member attended a CIPFA briefing session on recent developments in policing and the potential impact upon the work of Audit Committees.
- The Chair attended a meeting of the Local Audit Quality Forum (LAQF) organised by Public Sector Audit Appointments and a Training Seminar organised by Grant Thornton.

6. Summary Conclusions

The Committee is satisfied that the PCC and CC can take substantial assurance in respect of maintaining effective internal control, reporting on financial and other performance and in respect of risk management arrangements.

The Committee is also able to provide assurance on the way in which the Force is applying the principles of the Code of Ethics in its systems and processes and on its response to the challenges of embedding the Code of Ethics within the workforce. The wider engagement by Committee Members with both the Force and the OPCC has facilitated an understanding of the challenges faced and a recognition of the positive commitment by both the Chief Constable and the PCC to the principles of ethical behaviour.

Karol Sanderson

Chair of Joint Audit and Ethics Committee

May 2019