

## Joint Audit & Ethics Committee – Monday, 12<sup>th</sup> December 2022

### Dip-Sampling of Complaints

#### Report by Committee Member Paul Richardson

#### 1. Introduction

- 1.1 A visit was undertaken to Lancashire Constabulary HQ on behalf of the Joint Audit & Ethics Committee (JAEC) on 5<sup>th</sup> July 2022 to conduct an audit of a sample of complaints finalised during the during the period 1<sup>st</sup> April to 30<sup>th</sup> June 2022.
- 1.2 Paul Richardson (PR), JAEC member, initially met with Abi Finch-Hall (AF), Professional Standards Department, and was provided with all relevant documentation and access requirements in order to carry out the necessary audit.
- 1.3 PR wishes to place on record his thanks to AF for the assistance provided on the day.

#### 2. Complaint file audit findings

- 2.1 A total of ten files were examined, five pre-selected and five selected at random. The audit of the cases was carried out in accordance with the draft Case Sampling Protocol and, whilst the factual issues of cases were noted, the audit focused on relevant processes and procedures.
- 2.2 Overall summary  
  
As a result of the audit, assurance was gained that all sampled cases had been investigated and processed in accordance with the designated procedure, including completion within designated timescales
- 2.3 Areas of good practice
  - Where a complaint had been submitted, this had been logged quickly, ensuring that the investigative process commenced in a timely manner.
  - Organisational learning is considered to be an integral part of the complaints procedure.
- 2.4 Areas for further comment

- Whilst the cases reviewed during the visit had been completed within designated timescales, PR was informed that overall, a backlog exists resulting in investigations being completed outside of designated timescales.
- JAEC members have recently been issued with Constabulary laptops and associated logins. Clarification should be provided as to whether this will facilitate remote access to Centurion to assist in further audits.
- It is suggested that the next audit should take place during the October to December period in accordance with the draft protocol, looking at complaints which were finalised in the period July to September but which were not completed within designated timescales.

**Paul Richardson**  
**JAEC**