



## JOINT AUDIT AND ETHICS COMMITTEE

### Minutes of the meeting held on the 13<sup>th</sup> March 2023

#### PRESENT

Ms Karol Sanderson (Chair)  
Mr Stephen Dobson  
Mr David Jones  
Mr Paul Richardson  
Mr Russ Weaver

#### IN ATTENDANCE

Mr A Dalecki	Head of Internal Audit, LCC
Mr I Dickinson	Head of Governance and Accountability, OPCC
ChSupt Nikki Evans	Head of Corporate Development
Mrs L Fletcher	Head of Legal Services and Monitoring Officer, Lancashire Constabulary
Supt Z Mainey	Lancashire Constabulary ( <i>Ethics matters only</i> ) (via Teams)
Mrs L Rix	Audit Manager, LCC
Mr D Rogers	Lancashire Constabulary ( <i>Audit matters only</i> )
Mrs G Routledge	Chief Operating Officer, Lancashire Constabulary ( <i>Audit matters only</i> )
Mrs J Nicholas	OPCC
PS W Wallis	Lancashire Constabulary ( <i>Ethics matters only</i> ) (via Teams)
Mr G Winstanley	Grant Thornton ( <i>Audit matters only</i> )

#### 1. Apologies for absence

Mr M Green - Grant Thornton  
Ch Insp Jason Richardson – Lancashire Constabulary

The Chair welcomed all attendees to the meeting, which is the last meeting of this format of the Joint Audit & Ethics Committee. From June 2023 this Committee will be split into two, Joint Audit Committee and Joint Ethics Committee.

#### AUDIT Matters – Part I

#### 2. Constitutional matters

None.

**3. Disclosure of members' interests**

Mr Richardson declared that he is involved with Trust House, an organisation which receives grants from the OPCC. He advised that his tenure in that role expires at the end of March 2023.

**4. Minutes of the meeting held on 12<sup>th</sup> December 2022**

The Committee confirmed the Minutes as a correct record.

**5. Matters arising relating to audit issues**

There were no matters arising under audit issues.

**6. Committee Members Reports**

There were no reports to be noted.

**7. External Audit – Update Report – year ending 31<sup>st</sup> March 2023**

Mr Winstanley presented the Update Report on behalf of Grant Thornton and highlighted the section around Value for Money.

The Chair queried whether Ch Supt Nikki Evans would be able to update on behalf of the Constabulary in respect of the Value for Money Profiles. Mrs Routledge and Mr Rogers confirmed that Ch Supt Evans had provided a recent update to the Chief Officer Team of the Constabulary on the VRM profiles. Mr Rogers further commented that there is certainly some value in the VRM assessment and the document will be used as a regular reference point going forward.

On behalf of the Members, the Chair thanked Grant Thornton for these reports.

**RESOLVED:** Committee noted the report.

**8. Internal Audit – Monitoring Report**

Mrs Rix presented her Monitoring Report which covered the period from 1<sup>st</sup> April 2022 to 24<sup>th</sup> February 2023.

Mrs Rix advised there were no significant issues raised through six audits which had been provided to the Members (including Health & Safety) and there were no concerns.

Mr Richardson asked whether any unused days would be carried over to the year 2023/2024. Mrs Rix confirmed these were fluid days and they would regularly reassess where necessary. Mr Richardson confirmed he was comfortable with this approach.

The Chair thanked Mrs Rix for her report.

**RESOLVED:** Committee noted the report.

**9. Internal Audit – Combined Internal Audit Plan 2023/2024**

Mrs Rix presented the Combined Internal Audit Plan for the forthcoming year 2023/2024.

She confirmed that Internal Audit had had discussions with both the Police & Crime Commissioner's Office and Lancashire Constabulary regarding the key matters.

Mr Richardson asked which items were mandatory and Mr Dalecki advised that there are no mandatory subjects. Mrs Rix further commented that they undertake annual audits and will, in future, be introducing more focused audit plans. Mr Richardson asked for clarity around risk-based topics from the Constabulary's point of view. Mr Rogers said that the new Oracle system had certainly had risk elements around the implementation. Mrs Routledge also indicated that the Constabulary are keen to add value and therefore they have outlined some of those items to Internal Audit.

Mrs Routledge pointed out that the document referred to 'Director of Resources' whereas it should read 'Chief Operating Officer'.

The Chair thanked everyone involved and the Committee resolved to approve the Charter and Audit Plan.

#### **10. Urgent Business**

None.

## **Audit Matters - 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.**

- 18. Key Issues Update** (brought forward from the Ethics agenda due to the early running of the Committee).

Mr Freeman and Mr Rogers provided the Committee with an update about the key issues facing the Constabulary and the PCC at the present time.

- 11. HMICFRS Inspection Reports**

Ch Supt Nikki Evans presented an update to the Committee

**RESOLVED:** Committee noted the report.

**Mr Rogers offered thanks to the Committee Chair and Members for their service.**

**The Audit section of the meeting concluded at 13.50.**

## **Ethics Matters – Part I (commenced at 14.15)**

### **12. Minutes of the meeting held on 12<sup>th</sup> December 2022**

The Chair thanked PS Wallis for providing an update on the discussion around apprenticeships at the last meeting as follows. It was agreed that the officer would report back to the Committee after having made enquiries with the Head of Organisational Development. Members were advised that the rules specify that the apprentice “must not be asked to contribute financially to the eligible costs of training, on-programme or end-point assessment. This includes both where the individual has completed the programme successfully or has left the programme early

Mr Dalecki confirmed at the meeting that this was in fact a national policy.

The Chair requested that this be added to the Minutes of the meeting on 12<sup>th</sup> December.

The Committee then confirmed the Minutes as a correct record.

### **13. Matters arising relating to ethics issues**

None.

### **14. Update on the Constabulary's Tactical Ethics Committee (TEC)**

The Committee considered the report from the February 2023 TEC meeting.

**RESOLVED:** Committee noted the update and provided feedback where requested.

### **15. Committee Members Reports**

None.

### **16. New Joint Ethics Committee – Terms of Reference Report**

Mr Dickinson presented the Terms of Reference to the Committee and advised that it was intended to recruit 7 members to the new and minutes from its meetings would be presented to the Accountability Board.

The Chair expressed a view that the bankruptcy regulations should be considered along with the maximum term of tenure.

**RESOLVED:** Committee noted the report.

### **17. Urgent Business**

None.

**The CEO of the OPCC seconded by the Chief Operating Officer of the Constabulary, took the opportunity to say thank you to the members of the Committee for their service and help over the years and wished them well in the future.**

## **Ethics Matters - PART II – PRIVATE AND CONFIDENTIAL**

### **18. Key Issues Update**

Moved to an earlier part of the meeting

### **19. Professional Standards Department – Ethical Discussion regarding progression and adverse information.**

Detective Supt Mainey provided a verbal update to the Committee followed by a wider discussion and feedback from the Committee Members.

**RESOLVED:** Committee noted the report.

### **20. Professional Standards Department – Verbal update following the November 2022 HMICFRS Thematic Inspection into vetting, misconduct and misogyny.**

Detective Supt Mainey provided a verbal update to the Committee followed by a wider discussion and feedback from the Committee Members.

**RESOLVED:** Committee noted the report.

**Mrs Harrison and Mrs Routledge offered sincere thanks to the Committee members for their contribution to this Committee over the past nine years which had been extremely valuable for both the OPCC and the Constabulary.**

**End of Meeting**