

LEGAL AND REGULATORY ASSURANCE

JOINT REPORT OF: CHIEF EXECUTIVE AND CHIEF FINANCE OFFICER

1. Purpose of the Report

- 1.1 To obtain assurance that there were no governance issues arising during 2016/17 in relation to Legal and Regulatory services.

2. Background

- 2.1 The key framework for Policing Bodies governance arrangements is the Cipfa publication '*Delivering Good Governance 2016*'. This defines the principles that underpin the governance of each organisation, and provides a structure to help organisations with their approach to governance.

One of the key principles contained within the framework is that the organisation behaves with integrity, demonstrating a strong commitment to ethical values and respecting the rule of law. Assurance has been obtained to ensure there are no issues in respect of the legal and regulatory framework within which the Police and Crime Commissioner (PCC) and Chief Constable (CC) have operated.

- 2.2 Legal and regulatory assurance can be demonstrated by:

- Establishment of a quarterly Joint PCC/CC Governance Group at which during 2016/17 any governance or legal issues arising from the previous meetings are discussed and appropriate action taken.
- Compliance with the CIPFA Statement on the Role of the Chief Financial Officer of the Police and Crime Commissioner and the Chief Finance Officer of the Chief Constable (2014).
- The establishment of a '*Governance Framework*' including general principals of delegation, Financial Regulations, and Contract Regulations.
- Establishment of organisational policies and procedures in line with legal and regulatory guidance. Publicised and maintained on the Instructional Information System (IIS).
- Assurance obtained from the Head of Legal Services that there are no legal issues arising during 2016/17 which the PCC and CC are not aware of or disclosed as part of the annual statement of accounts as a contingent liability.

2.3 Based on the above procedures and assurances there are no issues to report which will have an impact on the Annual Governance Statement for 2016/17.

3. Equal Opportunities Implications

3.1 It is considered that there are no equal opportunities implications arising from the report.

4. Human Rights Implications

4.1 It is considered that there are no human rights implications arising from the report.

5. Risk Management Implications

5.1 There are no additional risk management implications arising directly from this report.

6. Financial Implications

6.1 There are no financial implications arising from this report.

7. Recommendations

7.1 To note the content of this report.