

<b>JOINT INDEPENDENT AUDIT COMMITTEE</b>	<b>14 MAY 2018</b>
<b>LEGAL AND REGULATORY ASSURANCE</b>	
<b>JOINT REPORT OF INTERIM CHIEF OF STAFF &amp; JOINT CHIEF FINANCE OFFICER</b>	

## 1. PURPOSE

- 1.1 To obtain assurance that there were no governance issues arising during 2017/18 in relation to Legal and Regulatory services.

## 2. RECOMMENDATION

- 2.1 To note the report and endorse the statement for inclusion within the Annual Governance Statement.

## 3. BACKGROUND

- 3.1 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.

- 3.2 Legal and regulatory assurance can be demonstrated by:

- Establishment of a quarterly Joint PCC/CC Governance Group at which during 2017/18 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 2017/18 which the PCC and CC are not aware of or disclosed as part of the annual statement of accounts as a contingent liability.

3.3 Based on the above procedures and assurances there are no issues to report which will have an impact on the Annual Governance Statement for 2017/18.

**4. CONSIDERATIONS**

<b>Freedom of Information</b>	<i>Non-exempt</i>
<b>Consultation</b>	Yes
<b>Resource</b>	No
There are no additional financial considerations arising from this report.	
<b>Equality</b>	No
There are no equality implications arising from the content of this report.	
<b>Legal</b>	No
There are no legal considerations arising from the content of this report.	
<b>Risk</b>	No
There are no additional risk management implications directly arising from this report.	
<b>Communication</b>	Yes
<b>Evaluation</b>	No