

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 21 JULY 2021



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| Title of Report | REVIEW OF CORPORATE GOVERNANCE POLICIES 2021 | |
| Presented by | Dan Bates Head of Finance | |
| Background Papers | <u>REVIEW OF CORPORATE GOVERNANCE POLICIES 2020</u> | Public Report: Yes |
| Purpose of Report | To receive the committee's comments on the Councils Governance Policies ahead of Cabinet | |
| Recommendations | THAT THE COMMITTEE PROVIDES ANY COMMENTS IT MAY HAVE FOR CONSIDERATION BY CABINET WHEN IT MEETS TO CONSIDER THE POLICIES IN SEPTEMBER 2021. | |

1.0 BACKGROUND

- 1.1 The Council is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards. In discharging this responsibility the Council has in place arrangements for governance of its affairs and staff.
- 1.2 The following documents constitute the Council's suite of Corporate policies:

| Policy | Last reviewed |
|--|----------------------|
| Anti-Fraud and Corruption Policy | 2020 |
| Anti-Money Laundering Policy | 2020 |
| RIPA Policy | 2020 |
| Information Management | 2020 |
| Data Protection Policy | 2020 |
| Confidential Reporting (Whistleblowing) Policy | 2020 |
| ICT & Cyber Security Policy | 2020 |
| Risk Management Strategy | 2020 |
| Local Code of Corporate Governance | 2020 |

- 1.3 An annual review of the suite of policies has been undertaken and the revised draft policies are appended to this report. The Committee's views are sought ahead of consideration of the policies at Cabinet in September 2020.

2.0 POLICY REVIEW

- 2.1 The policies have been reviewed by a team comprising Legal, Internal Audit, ICT, the Monitoring Officer, the Strategic Director of Housing and Customer Services, the Data Protection Officer and the Section 151 Officer.

The main changes to each policy are summarised below:

2.2 Anti-Fraud and Corruption Policy

There have been no changes in legislation that affect this policy since the previous review and, therefore, only minimum amendments have been made, namely the temporary update of the Section 151 officer details and the change to the review of the policies from bi-annually to annually.

2.3 Anti-Money Laundering Policy

There have been no changes in legislation that affect this policy since the previous review and, therefore, only minimum amendments have been made, namely the temporary update of the Section 151 officer details and the change to the review of the policies from bi-annually to annually.

2.4 Confidential Reporting (Whistleblowing Policy)

There have been no changes in legislation that affect this policy since the previous review and, therefore, only minimum amendments have been made, namely the temporary update of the Section 151 officer details and the change to the review of the policies from bi-annually to annually.

2.5 Risk Management Policy

There have no changes to this policy as it has been performing well. The Committee has received regularly updates in line with the policy. The Risk Register will also be reported along with the 6 monthly and annual MTFP/S process to ensure that these are considered along with budgetary implications.

2.6 RIPA Policy

There have been three changes to this policy.

Paragraph 6.1 has been amended to reflect the fact that the drone is not intentionally used for surveillance, rather it is used for investigations.

Paragraph 6.1 has also been amended to include a statement that when the drone is used in residential or highly populated areas notification that the drone is be used will be published on the Council's website prior to the flight. This is to ensure that use of the drone is not covert, and thus use of the drone for an investigation, does not become covert surveillance.

Paragraph 6.2 has been removed from this policy. This paragraph related to the use of the Council owned drone for publicity purposes at public events. Such use of the drone is not for investigative purposes, therefore is not captured by RIPA, hence the paragraph has been removed.

Other amendments are typographical.

2.7 Information Management Policy

There have been no changes to this Policy.

2.8 Data Protection Policy

There have been no changes to this Policy.

2.9 ICT & Cyber Security Policy

There has been one change to this Policy to reflect the Zurich Insurance cover for IT requirement as part of homeworking and how staff should keep their equipment safe when working in an agile manner.

2.10 Local Code of Corporate Governance

There have been no changes to this Policy.

| Policies and other considerations, as appropriate | |
|--|---|
| Council Priorities: | Our communities are safe, healthy and connected |
| Policy Considerations: | All those detailed within this report. |
| Safeguarding: | Whistleblowing, surveillance using RIPA and Protecting people's data are all considered to be safeguarding our communities. |
| Equalities/Diversity: | The opportunity for whistleblowing helps to ensure any risk of inequality or lack of diversity can be highlighted. |
| Customer Impact: | Anti-fraud, anti-money laundering and corruption will protect the customer from financial impact. |
| Economic and Social Impact: | Anti-fraud, anti-money laundering and corruption will protect the customer from economic impact. |
| Environment and Climate Change: | N/A |
| Consultation/Community Engagement: | N/A |
| Risks: | Risk Management Policy |
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