

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 26
JULY 2023



Title of Report	REVIEW OF CORPORATE GOVERNANCE POLICIES	
Presented by	Anna Crouch Head of Finance	
Background Papers	None	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 ON 19 SEPTEMBER 2023.	

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	2022
Anti-Money Laundering Policy	2022
Confidential Reporting (Whistleblowing Policy)	2022
Risk Management Policy	2022
RIPA Policy	2022
Information Management Policy	2022
Data Protection Policy	2022
ICT & Cyber Security Policy	2022
Local Code of Corporate Governance	2022

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 2023.

2.0 POLICY REVIEW

2.1 The policies have been reviewed by a team comprising Legal, Internal Audit, ICT, the Monitoring Officer, the Data Protection Officer and the Section 151 Officer.

The main changes to each policy are summarised below:

Anti-Fraud and Corruption Policy

Update to reflect the Council's new management structure and latest terminology within the Council.

Anti-Money Laundering Policy

Updates to reflect the Council's new management structure and latest terminology within the Council.

Confidential Reporting (Whistleblowing Policy)

Update to reflect the Council's new management structure and latest terminology within the Council. Also update reference to the Council's external audit firm.

Risk Management Policy

Update to include a new section on the current challenges facing the Council. This is in response to a recommendation made by Zurich following a recent review of the Council's risk management approach. In addition changes have been made to reflect the Council's new management structure and latest terminology within the Council.

RIPA Policy

Update of Officers that are able to act as "Authorising Officers" under the Regulation of Investigatory Powers Act 2000 (RIPA) to include Heads of Service (previously was just the Chief Executive and the Strategic Directors) – see paragraph 8.6. This change has been made to reflect the change made to the Constitution earlier this year (Part 2, Sec G4, Para 1.5) which includes Heads of Service as Alternative Proper Officers for the purpose of Part 11 of RIPA (Authorised Officers who may authorise, review or cancel the carrying out of directed surveillance or the use of covert human intelligence sources).

Also update to reflect the Council's new management structure and latest terminology within the Council.

Information Management Policy

Update made to reference UK GDPR. Update made to the Data Protection Officer role details and update to the Council's address.

Data Protection Policy

There have been no changes to this Policy.

ICT & Cyber Security Policy

There have been no changes to this Policy.

Local Code of Corporate Governance

Update in relation to the importance of the role of internal audit in the Council's governance and assurance processes.

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/Tenant Engagement:	N/A
Risks:	Risk Management Policy
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