

DECISION-MAKER:	GOVERNANCE COMMITTEE
SUBJECT:	ANTI-FRAUD, BRIBERY AND CORRUPTION, ANTI-MONEY LAUNDERING AND WHISTLEBLOWING (DUTY TO ACT) POLICY REVIEWS
DATE OF DECISION:	19 APRIL 2021
REPORT OF:	CHIEF INTERNAL AUDITOR

<u>CONTACT DETAILS</u>			
Executive Director	Title	Finance and Commercialism	
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STATEMENT OF CONFIDENTIALITY

N/A

BRIEF SUMMARY

The following policies;

- Anti-Fraud Bribery and Corruption
- Anti-Money Laundering (AML)
- Whistleblowing (Duty to Act)

Have all been reviewed to enable any changes in relevant legislation to be considered for incorporation along with any amended recommended areas of best practice.

The policies have been highlighted to indicate where revisions have been made.

Overall the number of changes are minor, and include:

- Changes to the Whistleblowing (Duty to Act) Policy due to the Authority no longer using the external body Protect to support whistleblowing complaints.
- The Money Laundering Policy has been updated due to changes to the Government's Money Laundering Regulations coming into force on 10th January 2020. These updated the UK's AML regime to incorporate international standards set by the Financial Action Task Force (FATF) and to transpose the EU's 5th Money Laundering Directive (this is a name change only).
- Changes in individual officer titles.

RECOMMENDATIONS:

	(i)	That the Governance Committee approves the reviewed Anti-Fraud, Bribery & Corruption Policy, the Anti-Money Laundering Policy and the Whistleblowing (Duty to Act) Policy as attached in appendix, 1, 2 & 3.
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REASONS FOR REPORT RECOMMENDATIONS	
1.	To maintain compliance with the relevant legislative requirements including: <ul style="list-style-type: none"> • Fraud Act 2006 • Bribery Act 2010 • Money Laundering and Terrorist Financing Regulations 2020 • Public Interest Disclosure Act 1998
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
	None
DETAIL (Including consultation carried out)	
	The revised policies have been reviewed by the Service Director for Legal and Business Operations to ensure they are compliant with any legislative requirements.
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	
	None
<u>Property/Other</u>	
	None
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
	<ul style="list-style-type: none"> • Fraud Act 2006 • Bribery Act 2010 • Money Laundering and Terrorist Financing Regulations 2020 • Public Interest Disclosure Act 1998
<u>Other Legal Implications:</u>	
	None
RISK MANAGEMENT IMPLICATIONS	
	Non-compliance with legislation.
POLICY FRAMEWORK IMPLICATIONS	
	None

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	None
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	Anti-Fraud Bribery and Corruption Policy
2.	Anti-Money Laundering Policy
3.	Whistleblowing (Duty to Act) Policy

Documents In Members' Rooms

1.	None	
Equality Impact Assessment		
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.		No
Data Protection Impact Assessment		
Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.		No
Other Background Documents		
Other Background documents available for inspection at:		
Title of Background Paper(s): None	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)	