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Minutes of the meeting of the AUDIT,  
GOVERNANCE AND STANDARDS COMMITTEE  
held at 9.30 am on Tuesday, 24th October, 2017 at  
MAIN COMMITTEE ROOM, CIVIC CENTRE,  
STONE CROSS, NORTHALLERTON

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## Present

Councillor N A Knapton (in the Chair)

Councillor	R A Baker	Councillor	G W Dadd
	Mrs C S Cookman		P R Wilkinson

## Also in Attendance

Councillor Mrs I Sanderson

An apology for absence was received from Councillor Mrs J Watson

### AGS.15 **MINUTES**

#### **THE DECISION:**

That the minutes of the meeting of the Committee held on 25 July 2017 (AGS.3 - AGS.12), previously circulated, be signed as a correct record.

### AGS.16 **REGULATION OF INVESTIGATORY POWERS ACT - REVIEW OF ACTIVITY**

All Wards

#### **The subject of the decision:**

The Director of Law and Governance submitted a report advising the Committee that the Council, like many public authorities, was governed by the Regulation of Investigatory Powers Act 2000 (RIPA). This Act ensured that public authorities complied with their obligations under the Human Rights Act when undertaking investigations which might interfere with the rights of individuals. The Act introduced safeguards on activities such as surveillance undertaken by public bodies. The Committee had now been given responsibility for RIPA matters. This would involve the Committee reviewing the Council's Policy Statement from time to time and receiving quarterly reports on any activities which had been authorised under RIPA.

#### **Alternative options considered:**

None.

#### **The reason for the decision:**

To comply with the Regulation of Investigatory Powers Act 2000 (RIPA).

#### **THE DECISION:**

That it be noted that no RIPA authorisations were made by the Council during the period 26 July to 24 October 2017.

AGS.17 **INTERNAL AUDIT QUARTER 1 2017/18 PROGRESS REPORT**

**The subject of the decision:**

The Director of Finance (S151 Officer) presented a report informing Members of progress made to date in delivering the Internal Audit Plan for 2017/18 and any developments likely to have an impact on the plan throughout the remainder of the financial year.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the statutory requirement under the Accounts and Audit Regulations.

**THE DECISION:**

That the work undertaken by Internal Audit in the year to date be noted.

AGS.18 **ANNUAL REVIEW OF RISK MANAGEMENT STRATEGY**

All Wards

**The subject of the decision:**

The Director of Finance (s151 Officer) presented a report following an annual review of the Council's risk management process. The internal audit of Risk Management in May 2017 recognised the Council's arrangements for managing risk as satisfactory within an acceptable control environment, whilst identifying some areas for improvement. This had also been reported to the Corporate Peer Review in June 2017. In light of this, Management Team had agreed a comprehensive review of risk management procedures during the coming year to support the Council's drive towards excellent governance and effective internal controls by strengthening the approach to identification and management of risk.

**Alternative options considered:**

None.

**The reason for the decision:**

To comply with the Committee's Terms of Reference as detailed within the Constitution.

**THE DECISION:**

That the Committee note:-

- (1) the proposed review and consequent improvements to the Council's risk management; and
- (2) the current strategic and project risks attached at Annex A and B of the report respectively.

AGS.19 **STATUTORY AUDITOR - ANNUAL AUDIT LETTER 2016/17**

All Wards

**The subject of the decision:**

The Director of Finance (s151 Officer) presented a report on the External Auditor's Annual Audit Letter on the 2016/17 Audit, a copy of which was attached as Annex A to the report. A representative from Ernst & Young LLP was in attendance to answer questions.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the External Auditor's audit and inspection work for the financial year 2016/17.

**THE DECISION:**

That the External Auditor's Annual Audit Letter on the 2016/17 Audit be received.

Note: Councillor P R Wilkinson declared a personal non-pecuniary interest as a Director in the joint venture company – Central Northallerton Development Company Limited.

The meeting closed at 10.25 am

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Chairman of the Committee

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