

# Public Document Pack

Minutes of the meeting of the AUDIT,  
GOVERNANCE AND STANDARDS COMMITTEE  
held at 9.30 am on Tuesday, 26th March, 2019 at  
MAIN COMMITTEE ROOM, CIVIC CENTRE,  
STONE CROSS, NORTHALLERTON

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## Present

Councillor N A Knapton (in the Chair)

Councillor	Mrs C S Cookman	Councillor	D B Elders
	G W Dadd		R W Hudson

An apology for absence was received from Councillor R A Baker and P R Wilkinson

## AGS.28 **MINUTES**

### **THE DECISION:**

That the minutes of the meeting of the Committee held on 22 January 2019 (AGS.23 - AGS.26), previously circulated, be signed as a correct record.

## AGS.29 **REGULATION OF INVESTIGATORY POWERS ACT - REVIEW OF ACTIVITY**

All Wards

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

The Director of Law and Governance (Monitoring Officer) 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 23 January to 26 March 2019.

AGS.30 **THIRD INTERNAL AUDIT AND COUNTER FRAUD PROGRESS REPORT 2018/19**

All Wards

**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 2018/19 and the counter fraud work. The internal audit and counter fraud plans for 2018/19 had been approved at the meeting held on 27 March 2018.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the statutory requirement (Accounts and Audit Regulations 2015).

**THE DECISION:**

That the work undertaken by internal audit and the counter fraud team in the year to date be noted.

AGS.31 **VERITAU INTERNAL AUDIT, COUNTER FRAUD AND INFORMATION GOVERNANCE PLANS 2019/20**

All Wards

**The subject of the decision:**

The Director of Finance (S151 Officer) submitted a report presenting the proposed Internal Audit Plan for the financial year 2019/20 for approval and the Counter Fraud and Information Governance plans for information.

Members agreed the time allocated within the plan for work on Commercial Investment activities set at 285 days. The Committee acknowledged that this was an operational matter which was delegated to the Director of Finance (S151 Officer).

**Alternative options considered:**

None.

**The reason for the decision:**

The work of internal audit was governed by the Public Sector Internal Audit Standards (PSIAS). In accordance with those standards and the Council's Audit Charter, Internal Audit was required to prepare and audit plan on at least an annual basis.

**THE DECISION:**

That:-

- (1) the Internal Audit Plan for 2019/20 be approved;
- (2) the Counter Fraud and Information Governance plans be noted.

AGS.32 **STATUTORY AUDITOR - ANNUAL GRANT CLAIMS AND RETURNS 2017/18**

All Wards

**The subject of the decision:**

The Director of Finance (S151 Officer) presented a report which submitted the Statutory Auditor's Annual Grant Claims and Returns for 2017/18, a copy of which was attached at Annex A of the report.

**Alternative options considered:**

None.

**The reason for the decision:**

To fulfil the Committee's Terms of Reference regarding consideration of the Statutory Auditor's Annual Grant Claims and Returns Report.

**THE DECISION:**

That the Statutory Auditor's Annual Grant Claims and Returns Report for 2017/18 be received.

AGS.33 **REVIEW OF ANNUAL TREASURY MANAGEMENT STRATEGY 2019/20**

All Wards

**The subject of the decision:**

The Director of Finance (S151 Officer) presented the Council's Treasury Management Strategy for the forthcoming year 2019/20 for review.

**Alternative options considered:**

None.

**The reason for the decision:**

To ensure the Committee fulfils its terms of reference and scrutiny role in relation to Treasury Management.

**THE DECISION:**

That:-

- (a) the Council's Treasury Management Strategy for 2019/20 be accepted; and
- (b) training on treasury management be held during 2019/20.

AGS.34 **REVIEW OF CAPITAL STRATEGY 2019/20**

All Wards

**The subject of the decision:**

The Director of Finance (S151 Officer) presented a report which provided an opportunity to review the Council's Capital Strategy for the forthcoming financial year 2019/20 and the Joint Venture Company – Central Northallerton Development Company Ltd Accounts 2017/18.

**Alternative options considered:**

None.

**The reason for the decision:**

To comply with the Council's Constitution.

**THE DECISION:**

That the Capital Strategy 2019/20 and the Central Northallerton Development Company Ltd Accounts 2017/18 be noted.

AGS.35 **UPDATE ON THE REVIEW OF RISK MANAGEMENT**

All Wards

**The subject of the decision:**

The Director of Finance (s151 Officer) presented a report providing an update on progress that was being made on the review of the Council's risk management process.

**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 proposed review of the Risk Management Framework and the consequential improvements to the Council's risk management process be noted.

AGS.36 **APPOINTMENT OF INDEPENDENT PERSONS**

All Wards

**The subject of the decision:**

Under the provisions of the Localism Act 2011, the way that the Council maintained high standards of conduct and dealt with complaints about its elected members and town and parish councillors required the appointment of at least one Independent Person. This Authority had three Independent Persons. This report sought approval for the recruitment process in the appointment of the three Independent Persons.

**Alternative options considered:**

None.

**The reason for the decision:**

To comply with the requirements of the Localism Act 2011.

**THE DECISION:**

That Councillor Mrs C S Cookman be nominated to participate on the selection panel for the recruitment of the Independent Persons alongside the Chairman of the Committee and Councillor C Palmer.

AGS.37 **AMENDMENTS TO MEMBER CODE OF CONDUCT ALLEGATIONS PROCEDURE**

All Wards

**The subject of the decision:**

This report sought approval of amendments to the Council's Member Code of Conduct Allegations Procedure.

**Alternative options considered:**

None.

**The reason for the decision:**

To comply with the requirements of the Localism Act 2011.

**THE DECISION:**

That the amended Member Code of Conduct Allegations Procedure be approved.

AGS.38 **2019/20 REPORTING PROGRAMME**

All Wards

**The subject of the decision:**

The Director of Finance (S151 Officer) presented a report which identified those reports which the Committee wished to receive on a structured basis.

**Alternative options considered:**

None.

**The reason for the decision:**

To identify which reports the Committee wished to receive on a structured basis.

**THE DECISION:**

That the report programme set out in Annex A of the report be approved.

The meeting closed at 10.55 am

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Chairman of the Committee