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Minutes of the meeting of the AUDIT,  
GOVERNANCE AND STANDARDS COMMITTEE  
held at 9.30 am on Wednesday, 25th March, 2015  
at MAIN COMMITTEE ROOM, CIVIC CENTRE,  
STONE CROSS, NORTHALLERTON

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## Present

Councillor R W Hudson (in the Chair)

Councillor	J N Smith	Councillor	Mrs C Patmore
	R A Baker		M Rigby
	G W Dadd		Mrs J Watson

## Also in Attendance

Councillor M S Robson

### AGS.32 MINUTES

#### THE DECISION:

That the minutes of the meeting of the Committee held on 28 January 2015 (AGS.24 - AGS.30), previously circulated, be signed as a correct record.

### AGS.33 REGULATION OF INVESTIGATORY POWERS ACT - REVIEW OF ACTIVITY

All Wards

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

The Director of Support Services and Deputy Chief Executive presented 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 1 January – 25 March 2015.

AGS.34 **INTERNAL AUDIT PROGRESS REPORT 2014/15**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive presented a report informing Members of progress made to date in delivering the Internal Audit Plan for 2014/15.

In the period between April 2014 and 4 March 2015, Veritau North Yorkshire (VNY) had completed 8 out of 20 internal audit reviews to final report stage, 2 draft reports and 3 other pieces of work close to draft report stage.

**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.35 **STATUTORY AUDITOR - QUARTERLY UPDATE**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive presented a report which provided an update on the Council's statutory auditor, Deloitte's, activities to date.

A representative from Deloitte attended the meeting to provide the update and answer questions.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the work undertaken to date by the Council's statutory auditor.

**THE DECISION:**

That the quarterly update from the auditor be noted.

AGS.36 **INTERNAL AUDIT PLAN 2015/16**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive submitted a report presenting the proposed Internal Audit Plan for the financial year 2015/16.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the requirements of the Public Sector Internal Audit Standards and the Council's Audit Charter.

**THE DECISION:**

That the Internal Audit Plan for 2014/15 be approved.

AGS.37 **REVIEW OF ANNUAL TREASURY MANAGEMENT STRATEGY 2015/16**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive presented the Council's Treasury Management Strategy for the forthcoming year 2015/16 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 the Council's Treasury Management Strategy for 2015/16 be accepted and recommended to Cabinet.

AGS.38 **STATUTORY AUDITOR - ANNUAL GRANT CLAIMS AND RETURNS 2013/14**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive presented the Statutory Auditor's Annual Grant Claims and Returns for 2013/15.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the Statutory Auditor's Annual Grant Claims and Returns Report for 2013/14.

**THE DECISION:**

That the Statutory Auditor's Annual Grant Claims and Returns Report for 2013/14 be received.

AGS.39 **REVIEW OF RISK MANAGEMENT**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive submitted a report which set out the Council's risk management process which included a comprehensive risk register. The risk register was divided into operational and strategic risks; operational risks were those affecting individual services and tended to involve the day to day running of those services, whilst strategic risks affected the whole Council and were wide reaching, both in terms of timescales and impact. The Committee was asked to review these risks.

**Alternative options considered:**

None.

**The reason for the decision:**

A critical purpose of the Audit, Governance and Standards Committee was to monitor the Strategic Risks affecting the Council ensuring that these were appropriately measured and that suitable actions were undertaken to mitigate the effect of each risk.

**THE DECISION:**

That the strategic risks affecting the Council and the actions that are in place to mitigate the impact upon the Council of each risk be noted.

AGS.40 **AUDIT, GOVERNANCE AND STANDARDS COMMITTEE - REPORT PROGRAMME FOR 2015/16**

All Wards

**The subject of the decision:**

The Director of Support Services and Deputy Chief Executive 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 subject to the addition of a report for the Broadacres Loan in June 2015.

AGS.41 **CHAIRMAN'S ANNOUNCEMENTS**

**THE DECISION:**

The Chairman announced that this would be the last meeting of the Committee that Councillor J N Smith and Councillor M Rigby would attend as Elected Members of Hambleton District Council and wished to thank them, on behalf of the Committee, for their service rendered to the Council. The Chairman also wished to record a vote of thanks to Councillor Smith for his past Chairmanship of the Committee and to Councillor Rigby for his time served on the Committee.

The meeting closed at 10.00 am

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Chairman of the Committee

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