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Minutes of the meeting of the AUDIT,  
GOVERNANCE AND STANDARDS  
COMMITTEE held at 9.30 am on Tuesday, 16th  
June, 2015 at MAIN COMMITTEE ROOM, CIVIC  
CENTRE, STONE CROSS, NORTHALLERTON

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## Present

Councillor R W Hudson (in the Chair)

Councillor	C Patmore	Councillor	R Kirk
	R A Baker		Mrs J Watson
	Mrs C S Cookman		

Apologies for absence were received from Councillor G W Dadd

## AGS.4 **MINUTES**

### **THE DECISION:**

That the minutes of the meeting of the Committee held on 25 March and 26 May 2015 (AGS.31 - AGS.41 and AGS.1 – AGS.2), previously circulated, be signed as correct records.

## AGS.5 **REGULATION OF INVESTIGATORY POWERS ACT - REVIEW OF ACTIVITY**

All Wards

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

The Executive Director 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 26 March to 16 June 2015.

AGS.6 **INTERNAL AUDIT ANNUAL REPORT 2014/15**

All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented the Internal Audit Annual Report for 2014/15 which was prepared by Veritau North Yorkshire (VNY).

The report summarised the outcome of audit work undertaken in 2014/15 and provided an opinion on the overall adequacy and effectiveness of the Authority's internal control arrangements.

**Alternative options considered:**

None.

**The reason for the decision:**

To take account of the Accounts and Audit (England) Regulations and relevant professional standards.

**THE DECISION:**

That:-

- (1) the results of the audit work undertaken in 2014/15 be noted; and
- (2) the opinion of the Head of Internal Audit on the adequacy and effectiveness of the Authority's internal control environment be accepted.

AGS.7 **ANNUAL GOVERNANCE STATEMENT FOR 2014/15**

All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented a report which set out the findings of a review of the governance framework, incorporating systems of internal control operating within the Council during 2014/15 and sought approval of the Annual Governance Statement.

**Alternative options considered:**

None.

**The reason for the decision:**

The preparation and publication of an Annual Governance Statement in accordance with the Cipfa/SOLACE Framework was necessary to meet the statutory requirements set out in Regulation 4(2) of the Accounts and Audit Regulations which required authorities to “conduct a review at least once in a year of the effectiveness of its system of internal control” and to prepare a statement on internal control “in accordance with proper practices”.

**THE DECISION:**

That:-

- (1) the conclusion of the review of the system of internal control be agreed; and
- (2) the content of the Annual Governance Statement for publication with the annual Statement of Accounts be approved.

AGS.8 **ANNUAL REPORT TO CABINET ON THE COMMITTEE'S ACTIVITIES FOR 2014/15**  
All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented a draft report which analysed the work undertaken by the Committee for the year to 31 March 2015. Under the Committee’s Terms of Reference, it was proposed that the report would be presented at Cabinet in July 2015.

**Alternative options considered:**

None.

**The reasons for the decision:**

To agree the content of the draft report prior to submission to Cabinet.

**THE DECISION:**

That:-

- (1) the content of the report be agreed; and
- (2) the report be submitted to Cabinet in July 2015.

AGS.9 **ANNUAL REPORT ON COUNTER FRAUD AND CORRUPTION FOR 2013/14**  
All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented a report on the work that had been undertaken on Counter Fraud and Anti-Corruption during 2014/15.

**Alternative options considered:**

None.

**The reasons for the decision:**

To receive information on the work undertaken as part of the Committee's work programme.

**THE DECISION:**

That the Counter Fraud and Anti-Corruption work undertaken during the year to 31 March 2015 be noted.

AGS.10 **POLITICALLY RESTRICTED POSTS**

All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented a list of Politically Restricted Posts for approval. The Committee was asked to review the list because of organisation changes within the Council.

**Alternative options considered:**

None.

**The reason for the decision:**

To comply with the Local Government and Housing Act 1989.

**THE DECISION:**

That the list of Politically Restricted Posts annexed to the report be approved.

AGS.11 **DRAFT PLANNING REPORT FOR THE AUDIT, GOVERNANCE AND STANDARDS COMMITTEE FOR YEAR ENDING 31 MARCH 2015**

All Wards

**The subject of the decision:**

The Executive Director and Deputy Chief Executive presented a report on the draft Audit Plan proposed from the Council's external auditors, Deloitte. The Plan set out the scope of the work that was to be undertaken together with an assessment of audit risks. The detailed plan was appended to the report.

**Alternative options considered:**

None.

**The reason for the decision:**

To enable an audit to be undertaken in accordance with International Standards on Auditing (UK and Ireland) as adopted by the UK Auditing Practices Board and as required under Deloitte contract with the Audit Commission.

**THE DECISION:**

That the draft Audit Plan for the year ending 31 March 2015 be noted.

The meeting closed at 10.15 am

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Chairman of the Committee

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