

# Public Document Pack

Minutes of the meeting of the AUDIT,  
GOVERNANCE AND STANDARDS COMMITTEE  
held at 9.30 am on Tuesday, 25th October, 2016 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	G W Dadd
	Mrs C S Cookman		Mrs J Watson

## Also in Attendance

Councillor	K G Hardisty	Councillor	N A Knapton
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Apologies for absence were received from Councillors R A Baker and P R Wilkinson

### AGS.19 **MINUTES**

#### **THE DECISION:**

That the minutes of the meeting of the Committee held on 20 September 2016 (AGS.14 - AGS.17), previously circulated, be signed as a correct record.

### AGS.20 **REGULATION OF INVESTIGATORY POWERS ACT - REVIEW OF ACTIVITY**

All Wards

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

The Head of Service Finance (s151 Officer) 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 15 June to 25 October 2016.

AGS.21 **INTERNAL AUDIT FIRST PROGRESS REPORT 2016/17**

All Wards

**The subject of the decision:**

The Head of Service Finance (s151 Officer) presented a report informing Members of progress made to date in delivering the Internal Audit Plan for 2016/17 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.22 **ANNUAL REVIEW OF RISK MANAGEMENT STRATEGY**

All Wards

**The subject of the decision:**

The Head of Service Finance (s151 Officer) presented a report following an annual review of the Council's risk management process. The report set out a revised risk management guidance document which included the Council's process and policy in respect of Risk Management.

**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 revised risk management guidance be approved.

AGS.23 **STATUTORY AUDITOR - QUARTERLY UPDATE REPORT**

All Wards

**The subject of the decision:**

The Head of Service Finance (s151 Officer) presented a report which provided an update on the Council's statutory auditor, Ernst & Young LLP, activities to date.

A representative from Ernst & Young LLP 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 report from the external auditor be noted.

AGS.24 **CUSTOMER FEEDBACK AND COMPLAINTS PROCEDURE**

All Wards

**The subject of the decision:**

The Head of Service Finance (s151 Officer) presented a report on the Customer Feedback and Complaints Procedure.

**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 Customer Feedback and Complaints procedure be confirmed as fit for purpose and that no further amendments are required at this stage.

The meeting closed at 10.15 am

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Chairman of the Committee

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