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**REPORT TO:** OVERVIEW AND SCRUTINY COMMITTEE

**DATE:** 20 FEBRUARY 2014

**REPORT OF THE:** CORPORATE DIRECTOR (s151)  
PAUL CRESSWELL

**TITLE OF REPORT:** ANNUAL GOVERNANCE STATEMENT ACTION PLAN

**WARDS AFFECTED:** ALL

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## **EXECUTIVE SUMMARY**

### **1.0 PURPOSE OF REPORT**

1.1 The report informs Members of the progress made to address the actions identified in the 2012-13 Annual Governance Statement (AGS) action plan.

### **2.0 RECOMMENDATION**

2.1 It is recommended that Members note the progress made to address identified actions in the 2012-13 AGS action plan.

### **3.0 REASON FOR RECOMMENDATION**

3.1 Monitoring progress with identified actions in the AGS is good practice and it helps to demonstrate to the external auditors that the audit committee is properly exercising its role.

### **4.0 SIGNIFICANT RISKS**

4.1 There are no significant risks.

### **5.0 POLICY CONTEXT AND CONSULTATION**

5.1 There is no impact upon specific policies, although the AGS is an important corporate document demonstrating the Council's commitment to an open and transparent philosophy in all its activities.

### **6.0 REPORT DETAILS**

6.1 Good governance is important to all involved in local government; however, it is a key responsibility of the Leader of the Council and of the Chief Executive.

- 6.2 The preparation and publication of an Annual Governance Statement in accordance with the Cipfa/SOLACE Framework is necessary to meet the statutory requirements set out in Regulation 4(2) of the Accounts and Audit Regulations 2011 which require each authority 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”.
- 6.3 To meet the requirement to review the AGS an Action Plan has been agreed and is subject to review by the Council’s Audit Committee.
- 6.4 This report presents a review of the implementation of actions proposed in the Action Plan associated with the 2012-13 AGS.
- 6.5 The Action Plan detailed in Appendix A, sets out the current position with comments on the actions proposed in the plan.
- 6.6 The AGS Action Plan is a document that should be reviewed periodically during the year. A final review will be completed when the AGS for 2013-14 is being drafted and any current items which remain outstanding will then be brought forward into the new AGS.

## **7.0 IMPLICATIONS**

- 7.1 The following implications have been identified:
- a) Financial  
None
  - b) Legal  
None
  - c) Other (Equalities, Staffing, Planning, Health & Safety, Environmental, Crime & Disorder)  
None

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**Background Papers:**  
None

## ANNUAL GOVERNANCE STATEMENT 2012/13

## Action Plan for Implementation in 2013/14

STATUS	CONTROL ISSUE	ACTION PROPOSED	RESPONSIBILITY	TARGET DATE	CURRENT POSITION
Brought Forward	Risk of compromise and weaknesses in operational systems as a consequence of continuing reductions in staffing as Government funding cuts made.	Where changes in staffing occur, that changes in operating arrangements are reviewed prior to reducing the controls. Internal audit will be included in working groups reviewing operating systems and arrangements, including commissioning, partnership arrangements etc.	Corporate Director (s151)	Continuing	This will be a continuing issue in 2013/2014
2012/2013	Procurement Risk as the Council undertakes two significant OJEU procurements, Insurance (2013) and Leisure Management (2014)	The Authority is part of the North Yorkshire Procurement Partnership and will ensure advice is taken supplemented by service specific advice for both procurements.	Corporate Director (s151)	September 2014	Procurement on target supported by external consultancy advice. Service Specification to be approved by Council. EU compliant competitive dialogue process being used.