

## NORTH YORKSHIRE COUNTY COUNCIL

## AUDIT COMMITTEE

5 March 2015

## PROGRESS ON ISSUES RAISED BY THE COMMITTEE

**Joint Report of the Corporate Director – Strategic Resources  
and the Assistant Chief Executive (Legal and Democratic Services)**

**1.0 PURPOSE OF THE REPORT**

1.1 To advise Members of

- (i) progress on issues which the Committee has raised at previous meetings
- (ii) other matters that have arisen since the last meeting and that relate to the work of the Committee

**2.0 BACKGROUND**

2.1 This report is submitted to each meeting listing the Committee's previous Resolutions and / or when it requested further information be submitted to future meetings. The table below represents the list of issues which were identified at previous Audit Committee meetings and which have not yet been resolved. The table also indicates where the issues are regarded as completed and will therefore not be carried forward to this agenda item at the next Audit Committee meeting.

Date	Minute number and subject	Audit Committee Resolution	Comment	Complete?
05/12/13	45 – Information Governance	That an update version of the Information Governance Policy Map be circulated to Committee Members	Work is continuing to update and refresh the Information Governance Policy Framework. It was recognised that the existing list of policies needed to be consolidated and the contents updated to reflect current best practice. <b>Appendix 1</b> shows the new list of policies. The revised policies have been drafted and are currently out for consultation with directorate lead officers.	x
26/06/14	63 – Internal Audit work / internal control matters for the Children and Young People's	That the Corporate Director, Strategic Resources alter the alignment of Audit Committee meetings to which the various	To be addressed for meetings post September.  Refreshing the Directorate Risk Registers has now	✓

Date	Minute number and subject	Audit Committee Resolution	Comment	Complete?
	Services Directorate	Directorates report in order that Directorate Risk Registers submitted to those meetings are as up-to-date as possible.	been timetabled to align with Audit Committee dates.	

### 3.0 TREASURY MANAGEMENT

#### 3.1 Current Treasury Management developments include

- i. Arrangements were finalised for Selby District Council's cash funds to be invested as part of the County Council's total investment pool and this commenced on 23 December 2014. This is part of the wider "Better Together" programme with Selby District Council.
- ii. Capita Asset Services updated their interest rate forecasts on 12 February 2015 to reflect latest economic developments and market sentiment including the plunge in the price of oil acting as a stimulus to economic growth, the possibility of CPI inflation turning slightly negative for a short period in mid-year 2015, the position in Greece, increased political risks around the UK May 2015 general election and the level of potential risk around several of the major emerging economies government and debt. Their forecast first increase in bank rate from 0.5% to 0.75% is now early 2016 with further increases of 0.25% to reach 2% by March 2018 based on the Governor of the Bank of England, Mark Carney, repeatedly stating that increases will be slow and gradual.
- iii. An updated Treasury Management Strategy for 2015/16 was approved by Executive on 3 February 2015 followed by full Council on 18 February 2015. This is included as a specific item on today's agenda and incorporates an Investment Strategy, a Minimum Revenue Provision Policy and a policy cap Capital Financing costs as a proportion of the Annual Net Revenue Budget.
- iv. In addition to the Treasury Management Strategy at (iii) above, Executive and Full Council also approved a series of required Capital and Treasury Management Prudential Indicators for the three years 2015/16 to 2017/18.
- v. The 2015/16 Revenue Budget / MTFs report to Executive on 3 February 2015 and full Council on 18 February 2015 included a proposal to set aside up to £10m in the 2015/16 revenue budget for debt repayment / capital financing purposed. The timing of this and the preferred approach within the available options highlighted in the Budget report has not yet been finalised however. The ultimate actions taken will be reported to Executive members as part of the Quarterly Performance Monitoring reports and Audit Committee members receive a copy of the Q Treasury management reports which will incorporate this.

**4.0 RECOMMENDATION**

- 4.1 That the Committee considers whether any further follow-up action is required on any of the matters referred to in this report.

GARY FIELDING  
Corporate Director – Strategic Resources

BARRY KHAN  
Assistant Chief Executive  
(Legal and Democratic Services)

County Hall  
NORTHALLERTON

5 March 2015

**Background Documents:**

Report to, and Minutes of, Audit Committee meeting held on 4 December 2014

## **Information Governance / Security Policy Framework**

### **1. Information Governance/Security**

To Include:

Information risks (new – to cover information asset registers and associated risk assessments)

Data quality

Information Security (PO01)

Information security incident reporting

PO11 – Anti - Virus

PO16 – Monitoring

PO26 – Email

PO28 – Internet Usage

PO30 – GCSx Acceptable Usage

PO35 – Non NYCC Network Access

### **2. Data Protection**

To include:

Charges for enquiries

Data processing (by contractors)

Information sharing with partners

Privacy statement

Security classifications

### **3. Freedom of Information**

### **4. Records Management**

To Include:

Records management

Scanning

### **5. Technical Security (Technical IT policies)**

To Include:

PO09 – ICT Access Policy (previously CIGG)

PO10 – Portable Media and Encryption (previously CIGG)

PO23 – ICT Remote Working Policy (previously CIGG)

PO24 – Software Policy (previously CIGG)

PO25 – Blackberry Policy (previously CIGG) [to be re-named mobile phones]