

Date of Meeting 27 July 2023

Document classification: Part A Public Document

Exemption applied: None

Review date for release N/A

Request from Council – Review of record keeping

Report summary:

An Extraordinary Council meeting on 11th July 2023 considered a report commissioned by Council into the actions of East Devon District Council following allegations and then criminal charges against former Councillor John Humphreys.

The draft minutes of that meeting refers to this Committee a requirement for a review of record keeping by the Council.

It is appropriate that the Audit & Governance Committee request SWAP to undertake an audit on its behalf into this topic. The scope of audit is suggested to cover:

- Are existing policies fit for purpose and follow best practice and to recommended for any improvements.
- To determine if responsibility for record keeping is defined and assigned to individuals appropriately.
- To test and determine in practice the position with record keeping in the authority.

The members of Committee are asked to consider if this covers the areas they would expect.

This topic is wide ranging and will cross over with IT policies and Data Protection Regulations and possibly over audits that have taken place or taking place. It is therefore suggested that following seeking the views of the Committee the final scope of audit is agreed with the Chair and Vice Chair in discussions with SWAP, the Director of Finance and the Director of Governance & Licensing (Monitoring Officer).

Is the proposed decision in accordance with:

Budget Yes ☒ No ☐

Policy Framework Yes ☒ No ☐

Recommendation:

1. That SWAP are requested to undertake an audit into the Council's recording keeping and to make any necessary recommendations for improvements, this to be scheduled for the 3rd quarter of the 2023/24 audit plan.
2. That taking into account the views of the Committee the Chair and Vice Chair agree the final audit scope following discussions with SWAP, the Director of Finance and the Director of Governance & Licensing (Monitoring Officer).

Reason for recommendation:

To follow the request of Council and it is considered good practice to review this area.

Officer: Simon Davey – Director of Finance

Portfolio(s) (check which apply):

- ☐ Climate Action and Emergency Response
- ☐ Coast, Country and Environment
- ☐ Council and Corporate Co-ordination
- ☒ Democracy, Transparency and Communications
- ☐ Economy and Assets
- ☐ Finance
- ☐ Strategic Planning
- ☐ Sustainable Homes and Communities
- ☐ Tourism, Sports, Leisure and Culture

Equalities impact Low Impact

Climate change Low Impact

Risk: Medium Risk;

Links to background information

Link to [Council Plan](#)

Priorities (check which apply)

- ☐ Better homes and communities for all
- ☐ A greener East Devon
- ☒ A resilient economy

Financial implications:

There are no direct implications at this stage.

Legal implications:

There are no substantive legal issues to be added to this report.