

Agenda

MEETING: AUDIT COMMITTEE

VENUE: Meeting Room 3, County Hall, Northallerton

DATE: Thursday 29 September at 2.00 pm

NOTE: Members are invited to attend a seminar concerning the effectiveness of the Audit Committee at 1.30 pm in Meeting Room 3.

Business

1. Chairmanship of the Committee.
2. [Minutes of the meeting held on 30 June 2011.](#)
(Pages 1 to 8)
3. Public Questions or Statements.

Public access to the meeting. Members of the public have a right to attend any meeting of the Council, its Committees (or Sub-Committees, if any) held in public or that part of the proceedings which are held in public; have access to any public report or other public papers; and to ask questions or make statements relating to the business of that body subject to:-

- notice having been given of the question or statement to Democratic Services (contact details shown below), and to the Member to whom it is addressed, no later than midday on Monday 26 September 2011; and
- no member of the public being entitled to speak for more than 3 minutes.

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Enquiries relating to this agenda please contact Ruth Gladstone Tel: 01609 532555 Fax: 01609 780447 or e-mail democratic.services@northyorks.gov.uk (or 0800 220617 after office hours)
www.northyorks.gov.uk

POLICY/PLANNING/REGULATORY ITEMS

4. Report to Members on the 2010/11 Audit by the External Auditor:-
 - (a) [North Yorkshire Pension Fund.](#) (Pages 9 to 33)
 - (b) [North Yorkshire County Council.](#) (Pages 34 to 61)
5. [North Yorkshire Pension Fund Annual Report 2010/11.](#) (Pages 62 to 188)
6. [Statement of Final Accounts including Letter of Representation 2010/11 – Report of the Corporate Director – Finance and Central Services.](#) (Pages 189 to 364)
7. [Audit Commission Quality Review Programme – Annual Review 2011.](#)
(Pages 365 to 377)
8. [Annual Report of the Audit Committee - Report of the Chairman of the Audit Committee.](#) (Pages 378 to 385)
9. [Review of the Effectiveness of Internal Audit - Report of the Corporate Director – Finance and Central Services.](#) (Pages 386 to 387)

MONITORING OF PROGRESS/PERFORMANCE ITEMS

10. [Progress on Issues Raised by the Committee – Joint report of the Corporate Director – Finance and Central Services and the Assistant Chief Executive \(Legal and Democratic Services\).](#) (Pages 388 to 391)

THE FOLLOWING ITEM WILL BE CONSIDERED AT 3.00 PM OR AS SOON AS POSSIBLE THEREAFTER

11. [Internal Audit Work on Computer Audit - Joint report of the Head of Internal Audit and the Assistant Director – ICT Services.](#) (Pages 392 to 400)

THE FOLLOWING ITEM WILL BE CONSIDERED AT 3.30 PM OR AS SOON AS POSSIBLE THEREAFTER

12. [Internal Audit Work and Related Internal Control Matters for the Health and Adult Services Directorate - Joint report of the Head of Internal Audit and the Corporate Director – Health and Adult Services.](#) (Pages 401 to 419)
13. [Progress on 2011/12 Internal Audit Plan – Report of the Head of Internal Audit.](#) (Pages 420 to 425)

14. [Risk Management – Progress Report – Report of the Corporate Director – Finance and Central Services.](#)
(Pages 426 to 447)
15. Shared Service with City of York Council – Progress Report – Oral report of the Head of Internal Audit.
16. [Programme of Work – Report of the Corporate Director – Finance and Central Services.](#)
(Pages 448 to 450)
17. Such other business as in the opinion of the Chairman should, by reason of special circumstances, be considered as a matter of urgency.

CAROLE DUNN
Assistant Chief Executive (Legal and Democratic Services)

County Hall
NORTHALLERTON

21 September 2011
RAG/ALJ

NOTES:

- (a) Members are reminded of the need to consider whether they have any personal or prejudicial interests to declare on any of the items on this agenda and, if so, of the need to explain the reason(s) why they have any personal interest when making a declaration.

The relevant Committee Administrator or Monitoring Officer will be pleased to advise on interest issues. Ideally their views should be sought as soon as possible and preferably prior to the day of the meeting, so that time is available to explore adequately any issues that might arise.

- (b) Coffee will be available in the Meeting Room a quarter of an hour before the meeting. Will Members please help themselves.

- (c) EMERGENCY PROCEDURES FOR MEETINGS

FIRE

The fire evacuation alarm is a continuous Klaxon. On hearing this you should leave the building by the nearest safe fire exit. From **Meeting Room 3** this is the staircase outside Meeting Room 3 or, if that is unsafe, the main entrance stairway. Once outside the building please proceed to the fire assembly point outside the main entrance

Persons should not re-enter the building until authorised to do so by the Fire and Rescue Service or the Emergency Co-ordinator.

An intermittent alarm indicates an emergency in nearby building. It is not necessary to evacuate the building but you should be ready for instructions from the Fire Warden.

If you discover a fire, you should sound the alarm and then dial 9-999 asking the Fire Brigade to come to the main County Hall Building, Northallerton. You should then dial 0 and inform the switchboard as to where the fire is.

There are alarm points at each end of the Meeting Room corridor – and at the main stairway.

ACCIDENT OR ILLNESS

First Aid treatment can be obtained by telephoning Ex 2919 which is the Occupational Health and Safety Section.

AUDIT COMMITTEE

1.

Membership

COUNTY COUNCILLORS - (8)		
1.	ARTHUR, Karl	Conservative
2.	CHATT, Bill	NY Independent
3.	De COURCEY-BAYLEY, Mrs Margaret-Ann	Liberal Democrat
	(Vice-Chairman)	
4.	HARRISON-TOPHAM, Roger	Conservative
	(Chairman)	
5.	JORDAN, Mike	Conservative
6.	HESELTINE, Robert	NY Independent
7.	MULLIGAN, Patrick	Conservative
8.	PEARSON, Chris	Conservative
MEMBERS OTHER THAN COUNTY COUNCILLORS - (3) NON-VOTING		
1.	CRONIN, Henry*	
2.	DAGLISH, James*	
3.	PORTLOCK, David*	
TOTAL MEMBERSHIP - (11) QUORUM - (3) County Councillors		

2. Substitute Members

MBE	CONSERVATIVE		LIBERAL DEMOCRAT	
	1.	BATEMAN, Bernard	1.	BARNES, Keith
	2.	SOWRAY, Peter	2.	HOULT, Bill
	3.	KENYON, Jane	3.	
	4.	PEART, Dave		
NY INDEPENDENT		INDEPENDENT		
1.	BLACKIE, John	1.		
2.		2.		
3.				
4.				

Note: Members (including any Substitute Members) should only serve if they have received the necessary training.

* For term of office see County Council resolution of 19 May 2010