

Agenda

Meeting: Audit Committee

**Venue: Meeting Room 3, County Hall,
Northallerton**

Date: Thursday 19 April 2012 at 1.30 pm

Note: Members are invited to attend an informal discussion with the External Auditor commencing at 1.00 pm in Meeting Room 3.

Business

1. Minutes of the meeting held on 8 March 2012.

(Pages 1 to 9)

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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

2. Public Questions or Statements.

Members of the public may ask questions or make statements at this meeting if they have delivered it in writing or by electronic mail to Ruth Gladstone of Democratic Services (*contact details below*) no later than midday three on Monday 16 April. Each speaker should limit himself/herself to 3 minutes on any item. Members of the public who have given notice will be invited to speak:-

- at this point in the meeting if their questions/statements relate to matters which are not otherwise on the Agenda (subject to an overall time limit of 30 minutes);
- when the relevant Agenda item is being considered if they wish to speak on a matter which is on the Agenda for this meeting.

3. 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).

(LATE REPORT)
(Pages 12 to 41)

Policy / Planning / Regulatory Items

4. Internal Audit Plan for 2012/13 – Report of the Head of Internal Audit.

(LATE REPORT)
(Pages 42 to 85)

5. Corporate Governance – Report of the Corporate Director – Finance and Central Services.

(Report not yet available)
(This item will be dealt with at a subsequent meeting)

6. Henry Cronin's Membership of the Committee – Report of the Assistant Chief Executive (Legal and Democratic Services).

(Pages 10 to 11)

Monitoring of Progress / Performance Items

Item 7 will be considered at 3.00 pm or as soon as possible thereafter

7. Internal Audit Work and Related Internal Control Matters for the Children and Young People's Service Directorate - Joint report of the Head of Internal Audit and the Corporate Director – Children and Young People's Service.

(LATE REPORT)
(Pages 86 to 111)

8. Risk Management - Progress Report – Report of the Corporate Director – Finance and Central Services.

(LATE REPORT)
(Pages 112 to 141)

9. Information Governance – Progress Report – Report of the Corporate Director – Finance and Central Services.

(LATE REPORT)
(Pages 142 to 172)

10. Programme of Work – Report of the Corporate Director – Finance and Central Services.

(LATE REPORT)
(Pages 173 to 175)

11. 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

11 April 2012_
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 Democratic Support Officer 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) Tea and coffee will be available before the start of 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 ring County Hall Reception on 5586 to inform them 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 County Hall Reception on Extension 5586.

AUDIT COMMITTEE

1. Membership

COUNTY COUNCILLORS - (8)					
1.	ARTHUR, Karl			Conservative	
2.	CHATT, Bill			NY Independent	
3.	De COURCEY-BAYLEY, Mrs Margaret-Ann Chairman)	(Vice-		Liberal Democrat	
4.	HESELTINE, Robert			NY Independent	
5.	JORDAN, Mike			Conservative	
6.	MULLIGAN, Patrick	(Chairman)		Conservative	
7.	PEARSON, Chris			Conservative	
8.	PLANT, Joe			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					
	CON	LIB DEM	NY IND	NON COUNTY COUNCILLORS	TOTAL
	5	1	2	3	11

2. Substitute Members

<p style="text-align: center;">CONSERVATIVE</p> <p>MBE</p> <ol style="list-style-type: none"> 1. BATEMAN, Bernard 2. SOWRAY, Peter 3. KENYON, Jane 4. PEART, Dave 	<p style="text-align: center;">LIBERAL DEMOCRAT</p> <ol style="list-style-type: none"> 1. BARNES, Keith 2. HOULT, Bill 3.
<p style="text-align: center;">NY INDEPENDENT</p> <ol style="list-style-type: none"> 1. BLACKIE, John 2. 3. 4. 	<p style="text-align: center;">INDEPENDENT</p> <ol style="list-style-type: none"> 1. 2.

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