

**Agenda**

**Please note venue for this meeting**

**Meeting: Audit Committee**

**Venue: The Grand Meeting Room, County Hall, Northallerton**

**Date: Thursday 7 March 2013 at 1.30 pm**

**Business**

1. Minutes of the meeting held on 6 December 2012. **(Pages 1 to 7)**
  
2. Exclusion of the Public - The Committee is recommended to approve the following – That, in pursuance of Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting during consideration of Appendices 1 and 2 to the report 'Counter Fraud and Associated Matters' on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 7 of Part 1 of Schedule 12A to the Local Government Act 1972 as amended by the Local Government (Access to Information)(Variation) Order 2006.

3. 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 on Monday 4 March. 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.

4. Progress on Issues Raised by the Committee – Joint report of the Corporate Director – Strategic Resources and the Assistant Chief Executive (Legal and Democratic Services).  
**(Pages 8 to 10)**

**Policy / Planning / Regulatory Items**

5. Draft Internal Audit Plan for 2013/14 – Report of the Head of Internal Audit  
**(Pages 11 to 30)**
6. Counter Fraud and Associated Matters – Report of the Head of Internal Audit.  
**(Pages 31 to 47)**  
**(Appendices 1 and 2 circulated to Members only)**
7. Certification of Claims and Returns 2011/12 – Annual report of the External Auditor.  
**(Pages 48 to 55)**
8. Review of the Effectiveness of Internal Audit - Report of the Corporate Director – Strategic Resources.  
**(Pages 56 to 57)**

**Monitoring of Progress / Performance Items**

9. Progress on 2012/13 Internal Audit Plan – Report of the Head of Internal Audit.  
**(Pages 58 to 61)**
10. Internal Audit Work on Contract Arrangements – Report of the Head of Internal Audit.  
**(Pages 62 to 69)**
11. Internal Audit Work and Related Internal Control Matters for the Central Services Directorate:-
- (a) Report of the Head of Internal Audit.  
**(Pages 70 to 76)**
  - (b) Report of the Corporate Director – Strategic Resources.  
**(Pages 77 to 125)**

12. Internal Audit Work on Corporate Themes – Report of the Head of Internal Audit.  
**(Pages 126 to 132)**
13. Service Continuity - Progress – Report of the Corporate Director – Strategic Resources.  
**(Pages 133 to 134)**
14. Programme of Work.  
**(Page 135)**
15. 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

**Notes:**

- (a) Members are reminded of the need to consider whether they have any 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 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 the **Grand Meeting Room** this is the main entrance stairway. If the main stairway is unsafe use either of the staircases at the end of the corridor. 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 extension 7575. If you need an ambulance dial 9-999 first and give your exact location.

# AUDIT COMMITTEE

1. Membership

COUNTY COUNCILLORS - (8)				
1.	ARTHUR, Karl		Conservative	
2.	CHATT, Bill		NY Independent	
3.	De COURCEY-BAYLEY, Mrs Margaret-Ann	(Vice- Chairman)	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.	VACANCY			
2.	DAGLISH, James <sup>2</sup>			
3.	PORTLOCK, David <sup>2</sup>			
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;"><b>CONSERVATIVE</b></p> <p>MBE</p> <ol style="list-style-type: none"> <li>1. BATEMAN, Bernard</li> <li>2. SOWRAY, Peter</li> <li>3. KENYON, Jane</li> <li>4. PEART, Dave</li> </ol>	<p style="text-align: center;"><b>LIBERAL DEMOCRAT</b></p> <ol style="list-style-type: none"> <li>1. BARNES, Keith</li> <li>2. HOULT, Bill</li> <li>3.</li> </ol>
<p style="text-align: center;"><b>NY INDEPENDENT</b></p> <ol style="list-style-type: none"> <li>1. BLACKIE, John</li> <li>2.</li> <li>3.</li> <li>4.</li> </ol>	<p style="text-align: center;"><b>INDEPENDENT</b></p> <ol style="list-style-type: none"> <li>1.</li> <li>2.</li> </ol>

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

\_\_\_\_<sup>2</sup> For term of office see County Council resolution of 19 May 2010

