

# Agenda

**Meeting: Audit Committee**

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

**Date: Thursday 27 June 2013 at 1.30 pm**

**Note: Members are invited to attend an introductory seminar at 12.00 pm in the Grand Meeting Room (buffet lunch provided).**

## Business

1. Election of Chairman.
2. Minutes of the meeting held on 18 April 2013.
3. Election of Vice-Chairman.
4. Public Questions or Statements.

(Pages 1 to 6)

Enquiries relating to this agenda please contact Ruth Gladstone **Tel: 01609 532555**  
Fax: **01609 780447** or e-mail [ruth.gladstone@northyorks.gov.uk](mailto:ruth.gladstone@northyorks.gov.uk) (or 0800 220617 after office hours)

[www.northyorks.gov.uk](http://www.northyorks.gov.uk)

[https://www3.northyorks.gov.uk/n3cabinet\\_comm/audit/\\_agendas\\_/default.htm](https://www3.northyorks.gov.uk/n3cabinet_comm/audit/_agendas_/default.htm)

Members of the public may ask questions or make statements at this meeting if they have given notice to Ruth Gladstone of Democratic Services (*contact details below*) by midday on Monday 24 June. Each speaker should limit themselves 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.

5. **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 7 to 11)

### **Policy/Planning/Regulatory Items**

6. **Review of the Effectiveness of Internal Audit 2012/13** - Report of the Corporate Director – Strategic Resources.

(Pages 12 to 23)

7. **Annual Report of the Head of Internal Audit.**

(Pages 24 to 34)

8. **Annual Governance Statement and Local Code of Corporate Governance** - Report of the Corporate Director – Strategic Resources.

(Pages 35 to 170)

9. **Governance Arrangements of the North Yorkshire Pension Fund** – Report of the Corporate Director – Strategic Resources.

(LATE REPORT (Pages 185-274))

### **Monitoring of Progress/Performance Items**

10. **Progress on 2013/14 Internal Audit Plan** - Report of the Head of Internal Audit.

(Pages 171 to 174)

11. **Risk Management – Progress Report** - Report of the Corporate Director – Strategic Resources.

(Pages 175 to 183)

12. **Programme of Work** – Report of the Corporate Director – Strategic Resources.

(Page 184)

13. **Other business which the Chairman agrees should be considered as a matter of urgency because of special circumstances.**

Carole Dunn  
Assistant Chief Executive (Legal and Democratic Services)

County Hall

Northallerton

19 June 2013

**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) **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.

**Accident or Illness**

First Aid treatment can be obtained by telephoning Extension 7575.

# AUDIT COMMITTEE

## 1. Membership

<b>County Councillors (8)</b>							
	<i>Councillors Names</i>				<i>Political Party</i>		
1	ATKINSON, Margaret				Conservative		
2	BACKHOUSE, Andrew				Conservative		
3	BROADBENT, Eric				Labour		
4	BURR, Lindsay				Liberal Democrat		
5	CHANCE, David				Conservative		
6	CLARK, Jim				Conservative		
7	MULLIGAN, Patrick				Conservative		
8	PARSONS, Stuart				NY Independent		
<b>Members other than County Councillors (3)</b>							
1	Vacancy						
2	DAGLISH, James <sup>2</sup>						
3	PORTLOCK, David <sup>2</sup>						
<b>Total Membership – (11)</b>				<b>Quorum – (3 ) County Councillors</b>			
Con	Lib Dem	NY Ind	Labour	Liberal	UKIP	Ind	Total
5	1	1	1	0	0	0	

## 2. Substitute Members

<b>Conservative</b>		<b>Liberal Democrat</b>	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1	FORT, John BEM	1	
2	HARRISON-TOPHAM, Roger	2	
3	SANDERSON, Janet	3	
4	METCALFE, Chris	4	
5		5	
<b>NY Independent</b>		<b>Labour</b>	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1	BLACKIE, John	1	
2		2	
3		3	
4		4	
5		5	
<b>Liberal</b>		<b>UKIP</b>	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1		1	
2		2	
3		3	
<b>Independent</b>			
1			

<sup>2</sup> for term of office see County Council resolution of 19 May 2010.