

Agenda

Meeting: Audit Committee

Venue: Grand Meeting Room, County Hall, Northallerton

Date: Thursday 5 March 2015 at 1.30 pm

Note: Members are invited to attend a Training Seminar at 11 am in Room 7.

Members are invited to attend a briefing meeting concerning Health & Social Care Integration at 1.00 pm in the Grand Meeting Room.

Recording is allowed at County Council, committee and sub-committee meetings which are open to the public, subject to:- (i) the recording being conducted under the direction of the Chairman of the meeting; and (ii) compliance with the Council's protocol on audio/visual recording and photography at meetings, a copy of which is available to download below. Anyone wishing to record must contact, prior to the start of the meeting, the Officer whose details are at the foot of the first page of the Agenda. Any recording must be clearly visible to anyone at the meeting and be non-disruptive.
<http://democracy.northyorks.gov.uk/>

Business

- 1. Minutes of the meeting held on 4 December 2014.** (Pages 1 to 8)
- 2. Exclusion of the Public** - The Committee is recommended to approve the following:- That the public be excluded from the meeting during consideration of Appendices 3 and 4 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 given notice to Mary Davies of Democratic Services (*contact details above*) by midday on Monday 2 March 2015. 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.

If you are exercising your right to speak at this meeting, but do not wish to be recorded, please inform the Chairman who will instruct those taking a recording to cease while you speak.

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 9 to 12)
5. **Progress on 2014/15 Internal Audit Plan** - Report of the Head of Internal Audit.
(Pages 13 to 17)
6. **Draft Internal Audit Plan for 2015/16** - Report of the Head of Internal Audit.
(Pages 18 to 29)
7. **Internal Audit Work / Internal Control Matters for the Central Services Directorate:-**
 - (a) Report of the Head of Internal Audit. (Pages 30 to 40)
 - (b) Report of the Corporate Director - Strategic Resources.
(Pages 41 to 57)
8. **Counter Fraud and Associated Matters** - Report of the Head of Internal Audit.
(Pages 58 to 82.
Private appendices 3 and 4 circulated to Members only - Pages 83 to 96)
9. **Treasury Management** – Report of the Corporate Director - Strategic Resources.
(Pages 97 to 165)
10. **Corporate Procurement Strategy** - Report of the Corporate Director - Strategic Resources.
(Pages 166 to 182)
11. **Programme of Work** – Report of the Corporate Director – Strategic Resources.
(Page 183)
12. **Other business which the Chairman agrees should be considered as a matter of urgency because of special circumstances.**

Barry Khan
Assistant Chief Executive (Legal and Democratic Services)

County Hall
Northallerton

25 February 2015

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

County Councillors (8)							
	<i>Councillors Names</i>				<i>Political Party</i>		
1	ATKINSON, Margaret			(Vice-Chairman)	Conservative		
2	BACKHOUSE, Andrew			(Chairman)	Conservative		
3	BROADBENT, Eric				Labour		
4	CHANCE, David				Conservative		
5	CLARK, Jim				Conservative		
6	GRANT, Helen				NY Independent		
7	HOULT, Bill				Liberal Democrat		
8	JORDAN, Mike				Conservative		
Members other than County Councillors (3)							
1	Vacancy						
2	Vacancy						
3	Vacancy						
Total Membership – (11)				Quorum – (3) County Councillors			
Con	Lib Dem	NY Ind	Labour	Liberal	UKIP	Ind	Total
5	1	1	1	0	0	0	

2. Substitute Members

Conservative		Liberal Democrat	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1	FORT, John BEM	1	De COURCEY-BAYLEY, Margaret-Ann
2	HARRISON-TOPHAM, Roger	2	
3	SANDERSON, Janet	3	
4	METCALFE, Chris	4	
5		5	
NY Independent		Labour	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1	BLACKIE, John	1	SHAW-WRIGHT, Steve
2	JEFFERSON, Janet	2	
3		3	
4		4	
5		5	