

Agenda

Meeting: Audit Committee

**Venue: Brierley Room, County Hall,
Northallerton, DL7 8AD**

Date: Thursday 2 March 2017 at 1.30 pm

**Note: Members are invited to attend a
seminar concerning Cyber Security
and General Information Governance
at 1.00 pm in the Brierley Room**

Recording is allowed at County Council, committee and sub-committee meetings which are open to the public. Please give due regard to the Council's protocol on audio/visual recording and photography at public meetings, a copy of which is available to download below. Anyone wishing to record is asked to contact, prior to the start of the meeting, the Officer whose details are at the foot of the first page of the Agenda. We ask that any recording is clearly visible to anyone at the meeting and that it is non-disruptive. <http://democracy.northyorks.gov.uk>

Business

1. **Minutes of the meeting held on 1 December 2016**

(Pages 5 to 10)

2. **Any Declarations of Interest**

3. **Exclusion of the Public** - The Committee is recommended to approve the following:– That the public be excluded from the meeting during consideration of Appendices 2 and 3 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.

4. **Public Questions or Statements**

Members of the public may ask questions or make statements at this meeting if they have given notice (including the text of the question/statement) to the officer whose contact details are at the foot of the first page of this Agenda by midday on Monday 27 February 2017. 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.

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 11 to 14)
6. **External Audit Plan 2016/17 for North Yorkshire County Council and North Yorkshire Pension Fund** – Report of KPMG
(Pages 15 to 32)
7. **Production of Statement of Accounts 2016/17** – Report of the Corporate Director – Strategic Resources
(Pages 33 to 39)
8. **Progress on 2016/17 Internal Audit Plan** - Report of the Head of Internal Audit
(Pages 40 to 44)
9. **2017/18 Internal Audit Plan Consultation** - Report of the Head of Internal Audit
(Pages 45 to 63)
10. **Internal Audit Work / Internal Control Matters for the Central Services Directorate:-**
- (a) Report of the Head of Internal Audit
(Pages 64 to 75)
- (b) Report of the Corporate Director - Strategic Resources
(Pages 76 to 88)
11. **Accounting Policies** - Report of the Corporate Director – Strategic Resources
(Pages 89 to 95)

12. **Information Governance – Progress Report** - Report of the Corporate Director – Strategic Resources
(Pages 96 to 100)
13. **Counter Fraud and Associated Matters** - Report of the Head of Internal Audit
(Pages 101 to 128)
Private appendices 2 and 3 circulated to Members only - Pages 129 to 142)
14. **Annual Treasury Management Strategy 2017/18** - Report of the Corporate Director – Strategic Resources
(Pages 143 to 196)
15. **Review of the Contract Procedure Rules** – Report of the Corporate Director – Strategic Resources
(Pages 197 to 237)
16. **Programme of Work 2016/17**
(Page 238)
17. **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

Notes:

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. 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 Group</i>		
1	ATKINSON, Margaret (Vice Chairman)				Conservative		
2	BAKER, Robert				Conservative		
3	BLACKIE, John				NY Independent		
4	BROADBENT, Eric				Labour		
5	CLARK, Jim				Conservative		
6	FORT, John BEM				Conservative		
7	GRANT, Helen				NY Independent		
8	JORDAN, Mike (Chairman)				Conservative		
Members other than County Councillors (Non-voting) (3)							
1	PORTLOCK, David						
2	MARSH, David						
3	Vacancy						
Total Membership – (11)				Quorum – (3) County Councillors			
Con	Lib Dem	NY Ind	Labour	Liberal	UKIP	Ind	Total
5	0	2	1	0	0	0	

2. Substitute Members

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