

## Agenda

**Meeting:     Audit Committee**

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

**Date:        Thursday 21 June 2018 at 1.30 pm**

**Note:        Members are invited to attend a  
seminar concerning the Future  
Financial Plan 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 12 March 2018**

(Pages 5 to 16)

2.     **Any Declarations of Interest**

### 3. 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 Ruth Gladstone of Democratic Services (*contact details at the foot of page 1*) by midday on Monday 18 June 2018. 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 17 to 18)
5. **North Yorkshire County Council and North Yorkshire Pension Fund – Audit of Accounts 2017/18 – Audit Progress** – Verbal update from KPMG (External Audit)
6. **Draft Statement of Accounts 2017/18** - Report of the Corporate Director – Strategic Resources  
(Pages 19 to 214)
7. **Internal Audit Work / Internal Control Matters for the Children and Young People's Services Directorate:-**
  - (a) Report of the Head of Internal Audit  
(Pages 215 to 231)
  - (b) Report of the Corporate Director – Children and Young People's Services  
(Pages 232 to 235)
8. **Corporate Governance** - Report of the Corporate Director – Strategic Resources  
(Pages 236 to 245)
9. **2018/19 Internal Audit Plan** – Report of the Head of Internal Audit  
(Pages 246 to 264)
10. **Annual Report on Partnership Governance 2017/18** - Report of the Assistant Director (Policy and Partnerships)  
(Pages 265 to 281)
11. **Procurement and Contract Management Strategy Update** - Report of the Corporate Director – Strategic Resources  
(Pages 282 to 312)

12. **Risk Management – Progress Report** - Report of the Corporate Director – Strategic Resources  
(Pages 313 to 338)
13. **Audit Committee Programme of Work 2017/18**  
(Page 339)
14. **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)                                 |                    |        |               |                                  |                  |
|--|--------------------|--------|---------------|----------------------------------|------------------|
|  | Councillors Names  |        |               |                                  | Political Group  |
| 1  | ARTHUR, Karl       |        |               |                                  | Conservative     |
| 2  | ATKINSON, Margaret |        | Vice-Chairman |                                  | Conservative     |
| 3  | BAKER, Robert      |        |               |                                  | Conservative     |
| 4  | CLARK, Jim         |        |               |                                  | Conservative     |
| 5  | HUGILL, David      |        |               |                                  | Conservative     |
| 6  | LUNN, Cliff        |        | Chairman      |                                  | Conservative     |
| 7  | MACKAY, Don        |        |               |                                  | NY Independents  |
| 8  | WEBBER, Geoff      |        |               |                                  | Liberal Democrat |
| 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        | Ind                              | Total            |
| 6  | 1                  | 1      | 0             | 0                                | 8                |

## 2. Substitute Members

| Conservative   |                   | Liberal Democrat |                   |
|----------------|-------------------|------------------|-------------------|
|                | Councillors Names |                  | Councillors Names |
| 1              | BACKHOUSE, Andrew | 1                | BROADBANK, Philip |
| 2              | COOPER, Richard   | 2                |                   |
| 3              | THOMPSON, Angus   | 3                |                   |
| 4              | PARASKOS, Andy    | 4                |                   |
| 5              | PATMORE, Caroline | 5                |                   |
| NY Independent |                   |                  |                   |
|                | Councillors Names |                  |                   |
| 1              |                   |                  |                   |
| 2              |                   |                  |                   |
| 3              |                   |                  |                   |
| 4              |                   |                  |                   |
| 5              |                   |                  |                   |