

## Agenda

### Notice of a public meeting of **Audit Committee (Informal)**

**To:** Councillors Cliff Lunn (Chair), Karl Arthur, Margaret Atkinson (Vice-Chair), Robert Baker, Jim Clark, David Hugill, Don MacKay, Mr Nick Grubb, Mr David Marsh and Mr David Portlock.

**Date:** Monday, 28th June, 2021

**Time:** 1.30 pm

**Venue:** Remote meeting held via Microsoft Teams

Under his delegated decision making powers in the Officers' Delegation Scheme in the Council's Constitution, the Chief Executive Officer has power, in cases of emergency, to take any decision which could be taken by the Council, the Executive or a committee. Following on from the expiry of the Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, which allowed for committee meetings to be held remotely, the County Council resolved at its meeting on 5 May 2021 that, for the present time, in light of the continuing Covid-19 pandemic circumstances, remote live-broadcast committee meetings should continue (as informal meetings of the Committee Members), with any formal decisions required being taken by the Chief Executive Officer under his emergency decision making powers and after consultation with other Officers and Members as appropriate and after taking into account any views of the relevant Committee Members. This approach will be reviewed by full Council at its July meeting.

The meeting will be available to view once the meeting commences, via the following link - [www.northyorks.gov.uk/livemeetings](http://www.northyorks.gov.uk/livemeetings) Recordings of previous live broadcast meetings are also available there.

### Business

- 1. Apologies for Absence**
- 2. Minutes of the Committee Meeting held on 22nd March 2021** (Pages 3 - 8)
- 3. Declarations of Interest**
- 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 Ruth Gladstone of Democratic Services (contact details at the foot of page 1) by midday on Wednesday 24<sup>th</sup> June 2021. Each speaker should limit themselves to 3 minutes on any item. Members of

Enquiries relating to this agenda please contact Ruth Gladstone Tel: 01609 532555  
or e-mail [ruth.gladstone@northyorks.gov.uk](mailto:ruth.gladstone@northyorks.gov.uk)  
Website: [www.northyorks.gov.uk](http://www.northyorks.gov.uk)

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 anyone who may be taking a recording to cease while you speak.

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|-------------|--|--------------------------|
| <b>5.</b>   | <b>Progress on Issues Raised by the Committee</b>  | <b>(Pages 9 - 10)</b>    |
|             | Joint report of the Corporate Director – Strategic Resources and the Assistant Chief Executive (Legal and Democratic Services) |                          |
| <b>6.</b>   | <b>Draft Statement of Accounts 2020/21</b>   | <b>(Pages 11 - 210)</b>  |
|             | Report of the Corporate Director – Strategic Resources   |                          |
| <b>7.</b>   | <b>Value for Money</b>   | <b>(Pages 211 - 218)</b> |
|             | Report of the Corporate Director – Strategic Resources   |                          |
| <b>8.</b>   | <b>Corporate Governance</b>  | <b>(Pages 219 - 232)</b> |
|             | Report of the Corporate Director – Strategic Resources   |                          |
| <b>9.</b>   | <b>Annual Report of the Head of Internal Audit</b>   | <b>(Pages 233 - 250)</b> |
| <b>10.</b>  | <b>Counter Fraud Annual Report</b>   | <b>(Pages 251 - 290)</b> |
|             | Report of the Head of Internal Audit   |                          |
| <b>11.</b>  | <b>2021/22 Internal Audit Plan</b>   | <b>(Pages 291 - 298)</b> |
|             | Report of the Head of Internal Audit   |                          |
| <b>12.1</b> | <b>Central Services Directorate - Internal Audit Work</b>  | <b>(Pages 299 - 304)</b> |
|             | Report of the Head of Internal Audit   |                          |
| <b>12.2</b> | <b>Central Services Directorate - Internal Control Matters</b>   | <b>(Pages 305 - 324)</b> |
|             | Report of the Corporate Director – Strategic Resources   |                          |
| <b>13.</b>  | <b>Programme of Work 2020/21</b>   | <b>(Pages 325 - 326)</b> |
|             | Report of the Corporate Director – Strategic Resources   |                          |
| <b>14.</b>  | <b>Other business which the Chairman agrees should be considered as a matter of urgency because of special circumstances</b>   |                          |

Barry Khan  
Assistant Chief Executive  
(Legal and Democratic Services)

County Hall  
Northallerton

Friday, 18 June 2021