



**North Yorkshire**  
County Council

## Notice of a public meeting of

## Audit Committee (informal)

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

**Date:** Monday, 13th December, 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 (“the 2020 Regulations”), which allowed for committee meetings to be held remotely, the County Council resolved at its meeting on 5 May 2021 (before the expiry of the Regulations) 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 and all relevant information. This approach has been periodically reviewed since that time and will be further reviewed by full Council at its February 2022 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 informal meeting of the Committee held on 25 October 2021 | (Pages 5 - 12) |
| 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 Wednesday 8 December. 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 anyone who may be taking a recording to cease while you speak.

**5. Progress on Issues Raised by the Committee (Pages 13 - 14)**  
Joint report of the Corporate Director – Strategic Resources and the Assistant Chief Executive (Legal and Democratic Services)

**6. External Audit Update**  
Verbal report by Nicola Wright and Nick Rayner (Deloitte)

**7. The CIPFA Financial Management Code (Pages 15 - 32)**  
Report of the Corporate Director – Strategic Resources

**8. Risk Management - Progress Report (Pages 33 - 56)**  
Report of the Corporate Director – Strategic Resources

**9. Appointment of External Auditors (Pages 57 - 66)**  
Report of the Corporate Director – Strategic Resources

**10. Procurement and Contract Management Update (Pages 67 - 74)**  
Report of the Corporate Director – Strategic Resources

**11. Internal Audit Report on Information Technology, Corporate Themes and Contracts (Pages 75 - 88)**  
Report of the Head of Internal Audit

**Item 12 will not be considered before 2.45pm**

**12(a) Health and Adult Services Directorate - Internal Audit Work (Pages 89 - 100)**  
Report of the Head of Internal Audit

**12(b) Health and Adult Services Directorate - Internal Control Matters (Pages 101 - 132)**  
Report of the Corporate Director – Health and Adult Services

**13. Audit Committee Programme of Work (Pages 133 - 134)**

**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

Friday, 3 December 2021