



**Notice of a public meeting of
Audit & Governance Committee**

- To:** Councillors Cannon (Chair), Steward (Vice-Chair), Lisle, Cuthbertson, Kramm, Williams and Mason
Mr Mann and Mr Mendus (Independent Members)
- Date:** Wednesday, 5 December 2018
- Time:** 5.30 pm
- Venue:** The Snow Room - Ground Floor, West Offices (G035)

AGENDA

1. Declarations of Interest

At this point in the meeting, Members are asked to declare:

- any personal interests not included on the Register of Interests
- any prejudicial interests or
- any disclosable pecuniary interests

which they might have in respect of business on this agenda.

2. Public Participation

It is at this point in the meeting that members of the public who have registered their wish to speak can do so. The deadline for registering is **5:00pm on Tuesday 4 December 2018.**

To register please contact the Democracy Officer for the meeting, on the details at the foot of this agenda.

Filming, Recording or Webcasting Meetings

Please note that, subject to available resources, this meeting will be filmed and webcast, or recorded, including any registered public speakers who have given their permission. This broadcast can be viewed at: <http://www.york.gov.uk/webcasts>.

Residents are welcome to photograph, film or record Councillors and Officers at all meetings open to the press and public. This includes the use of social media reporting, i.e. tweeting. Anyone wishing to film, record or take photos at any public meeting should contact the Democracy Officer (whose contact details are at the foot of this agenda) in advance of the meeting.

The Council's protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at:

http://www.york.gov.uk/download/downloads/id/11406/protocol_for_webcasting_filming_and_recording_of_council_meetings_20160809.pdf

3. Minutes (Pages 1 - 14)

To approve and sign the minutes of the meeting of the Audit & Governance Committee held on 19 September 2018.

4. Key Corporate Risks Monitor (incl KCR5 - Safeguarding) (Pages 15 - 46)

This paper presents the Committee with an update on the Key Corporate Risks (KCRs) for City of York Council. This includes a detailed analysis of KCR5 (Safeguarding) at Annex B.

5. Mazars Annual Audit Letter (Pages 47 - 60)

The paper attached at Annex A from Mazars, the Council's external auditors, summarises the outcome of their audit of the Council's 2017/18 annual accounts and their work on the value for money conclusion.

6. Mazars Audit Progress Report (Pages 61 - 74)

The paper attached at Annex A from Mazars, the Council's external auditors, reports on progress in delivering their responsibilities as auditors.

7. Scrutiny of Treasury Management Mid Year Review and Prudential Indicators 2018/19 (Pages 75 - 94)

Attached at Annex 1 is the Treasury Management Mid Year Review and Prudential Indicators 2018/19 report presented to November Executive. This information provides Members with an update of treasury management activity for the first six months of 2018/19.

8. Internal Audit & Counter Fraud Monitoring Report
(Pages 95 - 120)

This report provides an update on progress made in delivering the internal audit workplan for 2018/19 and on current counter fraud activity.

9. Information Governance & Complaints (Pages 121 - 156)

This report provides Members with updates in respect of:

- Information governance
- ICO decision notices
- Use of FOI Act exemptions including section 14
- Personal data breach
- LGSCO Complaints

10. Internal Audit Service Contract (Pages 157 - 176)

This report seeks the Committee's view on the Draft Executive Report, attached at Annex A, regarding the new internal audit services contract for the period 2020-30.

11. Forward Plan (Pages 177 - 184)

This paper presents the future plan of reports expected to be presented to the Committee during the forthcoming year to September 2019.

12. Urgent Business

Any other business which the Chair considers urgent under the Local Government Act 1972.

Democracy Officer:

Laura Clark

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For more information about any of the following please contact the Democracy Officer responsible for servicing this meeting:

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

এই তথ্য আপনার নিজের ভাষায় দেয়া যেতে পারে। (Bengali)

Ta informacja może być dostarczona w twoim własnym języku. (Polish)

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

یہ معلومات آپ کی اپنی زبان (بولی) میں بھی مہیا کی جاسکتی ہیں۔ (Urdu)

 (01904) 551550