



**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, 6 February 2019

Time: 5.30 pm

Venue: The George Hudson Board Room - 1st Floor West Offices (F045)

A G E N D A

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. Exclusion of Press and Public

To consider the exclusion of the press and public from the meeting during consideration of the following:

Annex 3 to Agenda Item 8 on the grounds that it contains Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime. This information is classed as exempt under paragraph 7 Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by the Local Government (Access to Information) (Variation) Order 2006).

3. 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 by **5:00pm on Tuesday 5 February 2019**. 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

4. Minutes (Pages 1 - 12)

To approve and sign the minutes of the meeting of the Audit & Governance Committee held on 5 December 2018.

5. Mazars Audit Progress Report (Pages 13 - 22)

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

6. Mazars Audit Strategy Memorandum 2018/19 (Pages 23 - 44)

The paper attached at Annex A from Mazars, the Council's external auditors, summarises their audit approach, highlights significant areas of key judgements and provides details of the audit team.

7. Annual Grants Report 2017/18 (Pages 45 - 52)

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

8. Counter Fraud Framework Update (Pages 53 - 102)

The council approved a new counter fraud and corruption strategy and associated action plan in 2017. This report represents the second annual review of the strategy. It updates the committee on progress against the actions set out in the strategy over the past two years and adds new actions for the next financial year. In addition the council's counter fraud risk assessment has been updated to reflect fraud risks currently facing the council.

9. Audit & Counter Fraud Plan & Consultation (Pages 103 - 108)

This report seeks Members' views on the priorities for internal audit for 2019/20, to inform the preparation of the annual audit plan.

10. Whistleblowing Policy (Pages 109 - 132)

The purpose of the report is to update the committee on whistleblowing activity in the current financial year. The report also includes a proposed new whistleblowing policy, for comment.

11. PSAS report (Pages 133 - 150)

This report presents the outcome of the recent external assessment of the council's internal audit service against the Public Sector Internal Audit Standards (PSIAS).

12. Information Governance & Complaints (Pages 151 - 192)

This report provides Members with updates in respect of:

- Information governance
- ICO decision notices
- Personal data breach
- LGSCO Complaints – December 2018 to January 2019

13. Scrutiny of the Treasury Management Strategy Statement and Prudential Indicators (Pages 193 - 226)

This report is a statutory requirement setting the strategy for treasury management and specific treasury management indicators for the financial year 2019/20. The Treasury Management Strategy Statement and Prudential Indicators 2019/20 to 2023/24 are attached at Annex A.

14. Internal Audit Service Contract (Pages 227 - 250)

This report seeks the Committee's views on the draft Executive report (attached at Annex 1) regarding the new internal audit services contract for the period 2020-30.

15. Urgent Business

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

16. Forward Plan (Pages 251 - 258)

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

Democracy Officer:

Name: Laura Clark

Tel: (01904) 552207

Email: Laura.Clark@york.gov.uk

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