



## Notice of a public meeting of

### Audit and Governance Committee

- To:** Councillors Hollyer (Chair) J Burton (Vice-Chair), Fisher, Leigh (Independent Member), Mason, Melly, Rose and Whitcroft
- Date:** Wednesday, 19 July 2023
- Time:** 5.30 pm
- Venue:** The George Hudson Board Room - 1st Floor West Offices (F045)

### AGENDA

#### 1. Declarations of Interest

At this point in the meeting, Members and co-opted members are asked to declare any disclosable pecuniary interest, or other registerable interest, they might have in respect of business on this agenda, if they have not already done so in advance on the Register of Interests. The disclosure must include the nature of the interest.

An interest must also be disclosed in the meeting when it becomes apparent to the member during the meeting.

(1) Members must consider their interests, and act according to the following:

<b><i>Type of Interest</i></b>	<b><i>You Must</i></b>
<i>Disclosable Pecuniary Interests</i>	<i>Disclose the interest, not participate in the discussion or vote, and leave the</i>

	<i>meeting unless you have a dispensation.</i>
<i>Other Registrable Interests (Directly Related)</i> <b>OR</b> <i>Non-Registrable Interests (Directly Related).</i>	<i>Disclose the interest; speak on the item only if the public are also allowed to speak, but otherwise not participate in the discussion or vote, and leave the meeting unless you have a dispensation.</i>
<i>Other Registrable Interests (Affects)</i> <b>OR</b> <i>Non-Registrable Interests (Affects).</i>	<i>Disclose the interest; remain in the meeting, participate and vote unless the matter affects the financial interest or wellbeing: (a) to a greater extent than it affects the financial interest or well-being of a majority of inhabitants of the affected ward; and (b) a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest. In which case, speak on the item only if the public are also allowed to speak, but otherwise do not participate in the discussion or vote, and leave the meeting unless you have a dispensation.</i>

(2) Disclosable pecuniary interests relate to the Member concerned or their spouse/partner.

(3) Members in arrears of Council Tax by more than two months must not vote in decisions on, or which might affect, budget calculations, and must disclose at the meeting that this restriction applies to them. A failure to comply with these requirements is a

criminal offence under section 106 of the Local Government Finance Act 1992.

## **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 7 to Agenda Item 11 on the grounds that it contains information relating to the financial or business affairs of any particular person. This information is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

## **3. Minutes (Pages 1 - 6)**

To approve and sign the minutes of the meeting held on 15 March 2023.

## **4. Public Participation**

At this point in the meeting members of the public who have registered to speak can do so. Members of the public may speak on agenda items or on matters within the remit of the Committee. Please note that our registration deadlines are set at 2 working days before the meeting, in order to facilitate the management of public participation at our meetings. The deadline for registering at this meeting is 5:00pm on Monday 17 July 2023.

To register to speak please visit [www.york.gov.uk/AttendCouncilMeetings](http://www.york.gov.uk/AttendCouncilMeetings) to fill in an online registration form. If you have any questions about the registration form or the meeting, please contact Democratic Services. Contact details can be found at the foot of this agenda.

**Webcasting of Public Meetings** Please note that, subject to available resources, this meeting will be webcast including any registered public speakers who have given their permission. The meeting can be viewed live and on demand at [www.york.gov.uk/webcasts](http://www.york.gov.uk/webcasts).

During coronavirus, we made some changes to how we ran council meetings, including facilitating remote participation by public

speakers. See our updates ([www.york.gov.uk/COVIDDemocracy](http://www.york.gov.uk/COVIDDemocracy)) for more information on meetings and decisions.

## **5. Corporate Governance Report** (Pages 7 - 22)

This report provides Members with updates in respect of:

- Corporate Governance Team (CGT) performance indicators update
- Information Commissioners Office (ICO) published decision notices from the previous report in March 2023 to date of preparing this report on 4th July 2023
- Ombudsmen update including Local Government and Social Care Ombudsman (LGSCO) and Housing Ombudsman Service (HOS) cases from the previous report in March 2023 to date of preparing this report on 4th July 2023
- LGSCO annual letter and performance
- Covert surveillance training at September Committee

## **6. Statement of Accounts** (Pages 23 - 192)

The purpose of this report is to present for information the draft 2022/23 Statement of Accounts before they are audited.

## **7. Treasury Management Outturn** (Pages 193 - 208)

Audit & Governance Committee are responsible for ensuring effective scrutiny of the treasury management strategy and policies, as stated in the Treasury Management Strategy 2022/23 approved by full Council on 17 February 2022.

At Annex 1 is the Treasury Management Annual Report and Review of Prudential Indicators 2022/23, which provides an update on treasury management activity during the year.

## **8. Mazars Audit Progress** (Pages 209 - 226)

The paper attached at Annex A is the Audit Progress Report from Mazars which provides an update on the 2021/22 audit, a summary of the planning for 2022/23, and a list of national publications.

## **9. Report of the Monitoring Officer** (Pages 227 - 230)

To update the committee on any significant issues considered by the Monitoring Officer.

**10. Audit and Governance Work Plan 2023/24** (Pages 231 - 234)

The Committee will consider a plan of future reports to the Committee in 2023/24.

**11. Annual report of the head of internal audit** (Pages 235 - 318)

This report includes the Annual Report of the Head of Internal Audit, which summarises internal audit work undertaken in 2022/23 and provides an opinion on the overall adequacy and effectiveness of the council's framework of governance, risk management and internal control. An annual report summarising counter fraud activity and performance is also included.

**12. Urgent Business**

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

Democracy Officer:

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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.