

**Notice of meeting of**

**Audit & Governance Committee**

<b>To:</b>	Councillors Pierce (Chair), Brooks, Crisp, Holvey, Moore, B Watson and R Watson
<b>Date:</b>	Monday, 24 September 2007
<b>Time:</b>	5.30 pm
<b>Venue:</b>	The Guildhall, York

**AGENDA**

**Note:**

**As agreed at previous meetings, the Chief Internal Auditor and District Auditor (Audit Commission) will be present in the meeting room from 5:00 pm to provide a private briefing for Members, if required.**

**1. Declarations of Interest**

At this point Members are asked to declare any personal or prejudicial interests they may have in the 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:

Annexes 1-3 to Agenda Item 8 (Annual Monitoring Report: Breaches and Waivers of Financial Regulations 2006/07) on the grounds that they contain information relating to the financial or business affairs of any particular person (including the authority holding that information). 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 3 - 8)**

To approve and sign the minutes of the meeting of the Audit & Governance Committee held on 25 June 2007.

**4. Public Participation**

At this point in the meeting members of the public who have registered their wish to speak regarding an item on the agenda or an issue within the Panel's remit can do so. Anyone who wishes to register or requires further information is requested to contact the Democracy Officer on the contact details listed at the foot of this agenda. The deadline for registering is Friday 21 September at 5:00 pm.

**5. Statement of Accounts 2006/07**

This report sets out the changes that have been made to the Statement of Accounts since their approval at Council on 28 June 2007, explains the reasons for the changes and seeks recommendation for the revised Statement of Accounts to be referred to Urgency Committee for approval.

**6. Annual Governance Report of the District Auditor (Pages 9 - 44)**

This report summarises the key messages, findings and conclusions set out in the Annual Governance Report of the District Auditor in respect of the 2006/07 audit year and advises Members of the action plan arising from the report for forward monitoring and reporting purposes.

**7. Review of Internal Audit (Pages 45 - 58)**

This report informs Members of the results of the recent Audit Commission review of Internal Audit.

**8. Annual Monitoring Report: Breaches and Waivers of Financial Regulations 2006/07 (Pages 59 - 86)**

This report informs Members about unauthorised breaches of the Council's Financial Regulations during the 2006/07 financial year and any waivers of Financial Regulations approved by the S151 Officer during the year. The report also includes a summary of

progress made in addressing breaches of Financial Regulations identified and reported in earlier years.

**9. Follow Up of Internal Audit Recommendations** (Pages 87 - 90)

This report sets out the progress made by departments in implementing those agreed audit recommendations which were due to have been implemented by 31 July 2007. It also includes a summary of the progress made in addressing the implementation of recommendations which have been escalated previously.

**10. Risk Management Mid-term Report 2007/08** (Pages 91 - 122)

This report informs Members of the progress made by the Risk Management Team during 2007/08. It considers the achievements in relation to developing and embedding the risk management agenda and framework, and in particular the key deliverables of the 2007/08 work plan, progress against the Comprehensive Performance Assessment (CPA) Key Lines of Enquiry, risk in committee reports and development of a corporate risk management policy.

**11. Training Plan Proposals for Audit & Governance Committee Members**

To receive a verbal briefing from the Assistant Director (Audit & Risk Management) on training plan proposals for Audit & Governance Committee Members.

**12. 2006/07 National Fraud Initiative - Update** (Pages 123 - 126)

This report informs Members of the work completed to date in respect of the Audit Commission's National Fraud Initiative (NFI) 2006/07.

**13. The Local Code of Corporate Governance** (Pages 127 - 152)

This report presents a draft Local Code of Corporate Governance, for consideration by Members. The report also provides Members with details of the new requirement to prepare an Annual Governance Statement, to be published as part of the Statement of Accounts.

## 14. Urgent Business

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

### Democracy Officer:

Name: Simon Copley

Contact details:

- Telephone – (01904) 551078
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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.