

## **CORPORATE GOVERNANCE AND AUDIT COMMITTEE**

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**Meeting to be held in Civic Hall, Leeds, LS1 1UR on  
Friday, 24th June, 2016  
at 2.00 pm**

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### **MEMBERSHIP**

#### **Councillors**

P Grahame (Chair)	J Bentley	R Wood
K Bruce		P Harrand
N Dawson		
A Sobel		
J Illingworth		
K Groves		
G Hussain		

# A G E N D A

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1			<p><b>APPEALS AGAINST REFUSAL OF INSPECTION OF DOCUMENTS</b></p> <p>To consider any appeals in accordance with Procedure Rule 15.2 of the Access to Information Procedure Rules (in the event of an Appeal the press and public will be excluded).</p> <p>(*In accordance with Procedure Rule 15.2, written notice of an appeal must be received by the Head of Governance Services at least 24 hours before the meeting)</p>	
2			<p><b>EXEMPT INFORMATION - POSSIBLE EXCLUSION OF THE PRESS AND PUBLIC</b></p> <p>1 To highlight reports or appendices which officers have identified as containing exempt information, and where officers consider that the public interest in maintaining the exemption outweighs the public interest in disclosing the information, for the reasons outlined in the report.</p> <p>2 To consider whether or not to accept the officers recommendation in respect of the above information.</p> <p>3 If so, to formally pass the following resolution:-</p> <p><b>RESOLVED –</b> That the press and public be excluded from the meeting during consideration of the following parts of the agenda designated as containing exempt information on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the press and public were present there would be disclosure to them of exempt information, as follows:-</p>	

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3			<p><b>LATE ITEMS</b></p> <p>To identify items which have been admitted to the agenda by the Chair for consideration</p> <p>(The special circumstances shall be specified in the minutes)</p>	
4			<p><b>DECLARATION OF DISCLOSABLE PECUNIARY AND OTHER INTERESTS'</b></p> <p>To disclose or draw attention to any disclosable pecuniary interests for the purposes of Section 31 of the Localism Act 2011 and paragraphs 13-16 of the Members' Code of Conduct.</p>	
5			<p><b>APOLOGIES</b></p> <p>To receive any apologies for absence.</p>	
6			<p><b>MINUTES - 18TH MARCH 2016</b></p> <p>To receive and approve the minutes of the meeting held on 18<sup>th</sup> March 2016.</p>	1 - 8
7			<p><b>KPMG INTERIM AUDIT REPORT AND TECHNICAL UPDATE</b></p> <p>To receive a report of the Deputy Chief Executive In line with the external audit plan for 2015/16 which highlights the results of KPMG's interim audit work in relation to the council's financial systems and controls. KPMG's report, which also informs Members of issues affecting local authorities which they feel the council should be aware of, is attached.</p>	9 - 12

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8			<p><b>PUBLICATION OF DRAFT STATEMENT OF ACCOUNTS 2015/16</b></p> <p>To receive a report of the Deputy Chief Executive this report is to present to the Committee the 2015/16 Statement of Accounts prior to them being made available for public inspection. The Statement of Accounts is included with the agenda as a separate document for Committee members and will be published on the Council's internet site.</p>	13 - 18
9			<p><b>INTERNAL AUDIT ANNUAL REPORT AND OPINION 2015/16</b></p> <p>To receive a report of the Deputy Chief Executive which brings to the attention of the Committee the annual internal audit opinion and basis of the internal audit assurance for 2015/16.</p>	19 - 50
10			<p><b>KPMG REPORT - CORPORATE RISK REGISTER ANALYSIS</b></p> <p>To receive a report of the Deputy Chief Executive which introduces KPMG's report on corporate risk registers and sets out the council's response to the recommendations made.</p>	51 - 62
11			<p><b>ANNUAL ASSURANCE REPORT ON CORPORATE RISK AND PERFORMANCE MANAGEMENT ARRANGEMENTS</b></p> <p>To receive a report of the Deputy Chief Executive which presents assurances to the Corporate Governance &amp; Audit Committee on the effectiveness of the council's corporate risk and performance management arrangements: that they are up to date; fit for purpose; effectively communicated and routinely complied with.</p>	63 - 72

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12			<p><b>ANNUAL ASSURANCE REPORT ON THE FINANCIAL MANAGEMENT AND CONTROL ARRANGEMENTS</b></p> <p>To receive a report of the Deputy Chief Executive which provides assurance to this Committee that the Council has in place effective and robust arrangements for financial planning, financial control and other financial management activities. The report aims to give members assurance that the financial control and financial governance arrangements that are in place are fit for purpose, up to date and embedded across the organisation.</p>	73 - 88
13			<p><b>ANNUAL ASSURANCE REPORT ON EMPLOYMENT POLICIES AND PROCEDURES AND EMPLOYEE CONDUCT.</b></p> <p>To receive a report of the Chief Officer HR which provides assurance to the Corporate Governance and Audit Committee that: the requirements of employee conduct are established and regularly reviewed; requirements relating to employee conduct are communicated and feedback is collected on whether expected behaviours are being demonstrated; and employee conduct is monitored and reported.</p>	89 - 102
14			<p><b>ANNUAL DECISION MAKING ASSURANCE REPORT</b></p> <p>To receive a report of the City Solicitor which presents the annual report to the committee concerning the Council's decision making arrangements.</p>	103 - 136
15			<p><b>ANNUAL GOVERNANCE STATEMENT</b></p> <p>To receive a report of the City Solicitor which presents the Annual Governance Statement (AGS) to the committee for approval.</p>	137 - 160

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16			<p><b>INTERNAL AUDIT UPDATE REPORT 1ST MARCH TO 31ST MAY 2016</b></p> <p>To receive a report of the Deputy Chief Executive which provides a summary of the internal audit activity for the period 1st March to 31st May 2016 and highlights the incidence of any significant control failings or weaknesses and presents the Terms of Reference for the external assessment of the internal audit function for review and approval.</p>	161 - 180
17			<p><b>REVIEW OF THE ANTI-MONEY LAUNDERING POLICY</b></p> <p>To receive a report of the Deputy Chief Executive which informs Corporate Governance and Audit Committee of the revisions to the Anti-Money Laundering Policy and to provide an opportunity to comment on the proposals.</p>	181 - 196
18			<p><b>WORK PROGRAMME</b></p> <p>To receive a report of the City Solicitor which notifies Members of the Committee of the draft work programme for the 2016/17 year</p> <p><u>Third Party Recording</u></p> <p>Recording of this meeting is allowed to enable those not present to see or hear the proceedings either as they take place (or later) and to enable the reporting of those proceedings. A copy of the recording protocol is available from the contacts named on the front of this agenda.</p> <p>Use of Recordings by Third Parties– code of practice</p> <ul style="list-style-type: none"> <li>a) Any published recording should be accompanied by a statement of when and where the recording was made, the context of the discussion that took place, and a clear identification of the main speakers and their role or title.</li> <li>b) Those making recordings must not edit the recording in a way that could lead to misinterpretation or misrepresentation of the proceedings or comments made by attendees. In particular there should be no internal editing of published extracts; recordings may start at any point and end at any point but the material between those points must be complete.</li> </ul>	197 - 200