

## **CORPORATE GOVERNANCE AND AUDIT COMMITTEE**

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Meeting to be held in Civic Hall, Leeds, LS1 1UR on  
Friday, 18th September, 2015  
at 2.00 pm

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### **MEMBERSHIP**

#### **Councillors**

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

# 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 FOR ABSENCE</b></p> <p>To receive any apologies for absence.</p>	
6			<p><b>MINUTES 9TH JULY 2015</b></p> <p>To receive and approve the minutes of the meeting held on 9<sup>th</sup> July 2015</p>	1 - 6
7			<p><b>REPORT ON THE REVIEW OF CUSTOMER RELATIONS 2014-15 AND LOCAL GOVERNMENT OMBUDSMAN'S ANNUAL REVIEW LETTER 2014-15</b></p> <p>To receive a report of the Chief Officer, Customer Access to summarise the Council's complaints and ombudsman cases for the period 1 April 2014 to 31 March 2015. The report discusses the effectiveness of ombudsman arrangements and LGO Annual Review Letter to the council and assesses the overall effectiveness of the council's approach to compliments, complaints and feedback.</p>	7 - 22

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8			<p><b>AUDITED STATEMENT OF ACCOUNTS AND KPMG AUDIT REPORT</b></p> <p>To receive a report of the Deputy Chief Executive which requests Members to approve the Council's final audited Statement of Accounts and to consider any material amendments identified by the Council or recommended by the auditors.</p>	23 - 58
9			<p><b>INTERNAL AUDIT UPDATE REPORT 1ST JUNE TO 31ST JULY 2015</b></p> <p>To receive a report of the Deputy Chief Executive which provides a summary of internal audit activity for the period 1st June to 31st July 2015 and highlight the incidence of any significant control failings or weaknesses.</p>	59 - 82
10			<p><b>EMPLOYMENT POLICIES, PROCEDURES AND EMPLOYEE CONDUCT.</b></p> <p>To receive a report of the Chief Officer Human Resources 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>	83 - 88
11			<p><b>FINANCIAL MANAGEMENT AND CONTROL ARRANGEMENTS</b></p> <p>To receive a report of the Deputy Chief Executive to provide assurance to the Committee that the Council has in place effective and robust arrangements for financial planning, financial control and other financial management activities.</p>	89 - 104

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12			<p><b>ANNUAL BUSINESS CONTINUITY REPORT: PHASE 2 PROGRESS UPDATE</b></p> <p>To receive a report of the Deputy Chief Executive which provides an update of current progress towards completion of Phase 2 by the target date of September 2015 as requested by the Corporate Governance &amp; Audit Committee at the June 2015 meeting.</p>	105 - 108
13			<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 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. It provides one of the sources of assurance the Committee is able to take into account when considering approval of the Annual Governance Statement at today's meeting.</p>	109 - 116
14			<p><b>ANNUAL GOVERNANCE STATEMENT</b></p> <p>To receive a report of the City Solicitor which presents the Annual Governance Statement to the Committee for approval.</p>	117 - 138
15			<p><b>WORK PROGRAMME</b></p> <p>To receive a report of the City Solicitor notifying and inviting comment on the work programme.</p>	139 - 144

**Third Party Recording**

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.

**Use of Recordings by Third Parties– code of practice**

- 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.
- 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

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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.