

CORPORATE GOVERNANCE AND AUDIT COMMITTEE

**Meeting to be held in Civic Hall, Leeds on
Tuesday, 25th June, 2019 at 10.00 am**

MEMBERSHIP

Councillors

P Grahame	J Bentley	P Harrand
A Scopes (Chair)		M Harrison
P Truswell		J Taylor
J Illingworth		
B Garner		

A G E N D A

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1			APPEALS AGAINST REFUSAL OF INSPECTION OF DOCUMENTS 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). (*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)	
2			EXEMPT INFORMATION - POSSIBLE EXCLUSION OF THE PRESS AND PUBLIC 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. 2 To consider whether or not to accept the officers recommendation in respect of the above information. 3 If so, to formally pass the following resolution:- RESOLVED – 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:-	

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3			LATE ITEMS To identify items which have been admitted to the agenda by the Chair for consideration (The special circumstances shall be specified in the minutes)	
4			DECLARATION OF DISCLOSABLE PECUNIARY AND OTHER INTERESTS' 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.	
5			APOLOGIES FOR ABSENCE To receive apologies for absence (If any)	
6			MINUTES OF THE PREVIOUS MEETING To receive and approve the minutes of the previous meeting held on 22nd March 2019. (Copy attached)	1 - 14
7			MATTERS ARISING FROM THE MINUTES To consider any matters arising from the minutes.	
8			ANNUAL DECISION MAKING ASSURANCE REPORT To consider a joint report of the City Solicitor, Chief Officer Elections and Regulatory and Chief Planning Officer which presents the Annual Decision Making Assurance report which is one of the sources of assurance which the committee is able to take into account when considering the approval of the Annual Governance Statement. (Report attached)	15 - 48

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9			ROLE OF THE CALDICOTT GUARDIAN To consider a report by the Director of Adults and Health which sets out details of the role of the Caldicott Guardian and the organisational measures and assurances in place to support this role. (Report attached)	49 - 54
10			APPLICATIONS PORTFOLIO PROGRAMME - UPDATE ON ACCESS PROJECT To consider a report by the Director of Resources and Housing which provides an update on the current position on Access databases and compliance to PSN. (Report attached)	55 - 62
11			ANNUAL ASSURANCE REPORT ON EMPLOYMENT POLICIES AND PROCEDURES AND EMPLOYEE CONDUCT. To consider a report by the Acting Chief Officer Human Resources which presents the Annual Assurance Report on Employment Policies and Procedures and Employee Conduct and seeks to provide assurance 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. (Report attached)	63 - 74

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12			GRANT THORNTON AUDIT PROGRESS REPORT To consider a report by the Chief Finance Officer which provides the outcome of Grant Thornton's IT audit and of progress in delivering their overall audit of the Council's accounts and value for money arrangements. (Report attached)	75 - 90
13			PUBLICATION OF DRAFT STATEMENT OF ACCOUNTS 2018/19 To consider a report by the Chief Finance Officer which presents the 2018/19 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) (Report attached)	91 - 96
14			INTERNAL AUDIT UPDATE REPORT MARCH TO MAY 2019 To consider a report by the Chief Officer (Financial Services) which provides a summary of the Internal Audit activity for the period March to May 2019 and highlight the incidence of any significant control failings or weaknesses. (Report attached)	97 - 118

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15			INTERIM ANNUAL GOVERNANCE STATEMENT To consider a report by the City Solicitor which presents the Interim Annual Governance Statement (AGS) 2019 for Members consideration. (Report attached)	119 - 156
16			WORK PROGRAMME 2019/20 To receive a report by the City Solicitor which notifies Members of the Committee's draft Work Programme for 2019/20. (Report attached)	157 - 162
17			DATE AND TIME OF NEXT MEETING To note that the next meeting will take place on Friday, 26 th July 2019 at 10.00am in the Civic Hall, Leeds.	

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 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.