

CORPORATE GOVERNANCE AND AUDIT COMMITTEE

**Meeting to be held in Civic Hall, Leeds on
Monday, 16th March, 2020 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 consider the minutes of the previous meeting held on 27 th January 2020. (Copy attached)	7 - 16
7			MATTERS ARISING FROM THE MINUTES To consider any matters arising from the minutes.	
8			APPLICATIONS PORTFOLIO PROGRAMME - UPDATE ON ACCESS PROJECT To consider a report by the Director of Resources and Housing which provides an update on progress with the Access 2003 replacement project. (Report attached)	17 - 26

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9			ANNUAL INFORMATION GOVERNANCE REPORT, INCLUDING THE ANNUAL REPORT OF THE CALDICOTT GUARDIAN To consider a report by the Director of Resources and Housing and the Director of Adults and Health which presents the Annual Information Governance report and seeks to provide assurance of the effectiveness of the council's information management and governance arrangements: that they are up to date; fit for purpose; effectively communicated and routinely complied with. The report also seeks to provide assurance around the recommendations of the Caldicott Guardian Council (2017) (Report attached)	27 - 48
10			INTERNAL AUDIT UPDATE REPORT JANUARY TO FEBRUARY 2020 To consider a report by the Chief Finance Officer which provides a summary of the Internal Audit activity for the period January to February 2020 and highlight the incidence of any significant control failings or weaknesses. (Report attached)	49 - 68
11			INTERNAL AUDIT PLAN 2020-21 To consider a report by the Chief Finance Officer which presents the proposed Internal Audit Plan for 2020-21 for review and approval. The report also includes a summary of the basis for the plan which has been developed in consultation with senior management. (Report attached)	69 - 86

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12			ANNUAL ASSURANCE REPORT ON THE FINANCIAL MANAGEMENT AND CONTROL ARRANGEMENTS AND COMPLIANCE WITH THE CHIEF FINANCE OFFICER PROTOCOL To consider a report by the Chief Finance Officer which seeks to provide assurance that the Council has in place effective and robust arrangements for financial planning, financial control and other financial management activities and that the financial governance arrangements in place are fit for purpose, up to date and embedded across the organisation. (Report attached)	87 - 124
13			ANNUAL TREASURY MANAGEMENT GOVERNANCE REPORT To consider a report by the Chief Finance Officer which presents the Annual Treasury Management Governance Report which outlines the governance framework for the management of the Council's TM function (Report attached)	125 - 134
14			DRAFT ANNUAL REPORT OF THE COMMITTEE To consider a report of the City Solicitor which presents the draft annual report reflecting the work of the committee in the 2019/20 Municipal year and determine whether any additional commentary is required. (Report attached)	135 - 148
15			WORK PROGRAMME 2020/21 To receive a report by the City Solicitor which notifies Members of the Committee's Work Programme for 2020/21 (Report attached)	149 - 154

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16			DATE AND TIME OF NEXT MEETING To note that the next meeting will take place on Monday, 29 th June 2020 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.