

**Minutes of the thirteenth meeting of the
Office for Legal Complaints Audit and Risk Committee
Monday 14 May 2012
10.00am – 11.15am
Junction room, 5th Floor, Baskerville House, Birmingham**

Present:

Tony Foster, Chair
Professor Mary Seneviratne, member
Karen Silcock, member

In attendance:

Andy Taylor, Head of Compliance
Adam Sampson, Chief Ombudsman
Rob Hezel – Director of Finance and Business Services
Annabel Ellin, KPMG
Paul Partridge, Head of Finance
John Ward, KPMG – Via conference facility
Sajid Rafiq, NAO – Via conference facility

Observing:

Chris Kenny, Chief Executive, Legal Services Board

Committee Secretary:

Steve Glynn

Apologies:

None received.

Preliminary issues:

The quorum requirements for the Committee meeting were met; No conflicts of interest were declared.

Item 1 – Welcome and apologies:

1. The Chair welcomed those in attendance, in particular Karen Silcock for her first meeting and confirmed that no apologies had been received.

Item 2 – Minutes of previous meeting:

2. The minutes of the meeting of 16 April 2012, were approved for submission to the OLC.

Item 3 – Matters arising & action points:

3. The Committee Secretary presented the outstanding action points and progress reports from previous Audit & Risk Committee meetings (Annex B). The committee noted that a number of outstanding action points had been completed since the last committee meeting, or were included within the agenda.

Item 4 – Chair’s oral update:

4. The Chair confirmed that there were no issues which needed to be brought to the attention of the Committee.

Item 5 – Review of A&RC Annual Report:

5. The Head of Compliance presented the draft Audit & Risk annual report and review of the committee terms of reference.

ACTION

- The Head of Compliance to amend the report to take into account a number of minor issues raised by the committee.

Item 6 – Review of ‘draft,’ Governance Statement:

6. The Director of Finance and Business Services presented a draft ‘Governance Statement,’ and including a number of amendments as discussed at the A&RC meeting 16 April 2012.

ACTION

- The Head of Finance and Business Services to amend the statement to incorporate a number of minor issues raised by the committee and circulate to the OLC Board / NAO.

Item 7 – Review of draft accounts:

7. The Head of Finance provided the committee with an overview of the draft Accounts including feedback received from the NAO following recent field work.

ACTION

- The Head of Finance to circulate the draft accounts to the OLC Board / NAO.

Item 8 – Review of Data Security Breaches:

8. The Head of Compliance provided an overview of data security breaches as notified to the Legal Ombudsman 'Compliance Team,' and mitigating actions taken to address the same.

Items 9 – External Audit Reports:

9. Sajid Raffiq, NAO provided an oral update in relation to the recent field work carried out, confirming that a small number of minor issues had been identified but that the overall rating was considered 'good.'

Item 12 – External Audit Reports:

11. KPMG presented a draft annual report and opinion 2011/12, and further advised that a recent audit into Health & Safety had been completed and was with senior Legal Ombudsman management for comment / action.

Item 13 – Any Other Business:

13. No additional matters were raised.

Steve Glynn - Committee Secretary
16 May 2012.