



Leicester
City Council

MEETING OF THE GOVERNANCE AND AUDIT COMMITTEE

DATE: WEDNESDAY, 22 NOVEMBER 2023

TIME: 5:30 pm

PLACE: Meeting Room G.01, Ground Floor, City Hall, 115 Charles Street, Leicester, LE1 1FZ

Members of the Committee

Councillor Kaur Saini (Chair)

Councillors Adatia, Cassidy, Dave, Kitterick and Whittle

Independent Member Mr Bipun Bhakri

Vice Chair Vacancy

One unallocated Labour Group place

Members of the Committee are summoned to attend the above meeting to consider the items of business listed overleaf.

for Monitoring Officer

Officer contact: Jessica Skidmore
Democratic Support Officer
, Democratic Services, Leicester City Council,
City Hall, 115 Charles Street, Leicester, LE1 1FZ
Tel. 0116 454 6350
Email. committees@leicester.gov.uk

Information for Members of the Public

Attending meetings and access to information

You have the right to attend formal meetings such as Full Council, committee meetings, and Scrutiny Commissions and see copies of agendas and minutes. However, on occasion, meetings may, for reasons set out in law, need to consider some items in private.

A guide to attending public meetings can be found on the [Decisions, Meetings and Minutes](#) page of the Council website.

Dates of meetings and copies of public agendas and minutes are available on the Council's website at www.cabinet.leicester.gov.uk, or by contacting us using the details below.

Making meetings accessible to all

Wheelchair access – Public meeting rooms at the City Hall are accessible to wheelchair users. Wheelchair access to City Hall is from the middle entrance door on Charles Street - press the plate on the right hand side of the door to open the door automatically.

Braille/audio tape/translation - If you require this please contact the Democratic Support Officer (production times will depend upon equipment/facility availability).

Induction loops - There are induction loop facilities in City Hall meeting rooms. Please speak to the Democratic Support Officer using the details below.

Filming and Recording the Meeting - The Council is committed to transparency and supports efforts to record and share reports of proceedings of public meetings through a variety of means, including social media. In accordance with government regulations and the Council's policy, persons and press attending any meeting of the Council open to the public (except Licensing Sub Committees and where the public have been formally excluded) are allowed to record and/or report all or part of that meeting. Details of the Council's policy are available at www.leicester.gov.uk or from Democratic Support.

If you intend to film or make an audio recording of a meeting you are asked to notify the relevant Democratic Support Officer in advance of the meeting to ensure that participants can be notified in advance and consideration given to practicalities such as allocating appropriate space in the public gallery etc.

The aim of the Regulations and of the Council's policy is to encourage public interest and engagement so in recording or reporting on proceedings members of the public are asked:

- ✓ to respect the right of others to view and hear debates without interruption;
- ✓ to ensure that the sound on any device is fully muted and intrusive lighting avoided;
- ✓ where filming, to only focus on those people actively participating in the meeting;
- ✓ where filming, to (via the Chair of the meeting) ensure that those present are aware that they may be filmed and respect any requests to not be filmed.

Further information

If you have any queries about any of the above or the business to be discussed, please contact committees@leicester.gov.uk

For Press Enquiries - please phone the **Communications Unit on 0116 454 4151**

PUBLIC SESSION

AGENDA

FIRE / EMERGENCY EVACUATION

If the emergency alarm sounds, you must evacuate the building immediately by the nearest available fire exit and proceed to the area outside the Ramada Encore Hotel on Charles Street as directed by Democratic Services staff. Further instructions will then be given.

1. APOLOGIES FOR ABSENCE

2. DECLARATIONS OF INTEREST

3. MINUTES OF THE PREVIOUS MEETING

**Appendix A
(Pages 1 - 4)**

The minutes of the meeting held on 27th September 2023 are attached and Members will be asked to confirm them as a correct record.

4. STRATEGIC AND OPERATION RISK REGISTERS UPDATE

**Appendix B
(Pages 5 - 44)**

The Director of Delivery, Communications and Political Governance submits a report which provides an update on the Strategic and Operational Risk Registers.

Members will be asked to note the Strategic Risk Register and Operational Risk Register

Members will also be asked to make any comments to the Director of Delivery, Communications and Political Governance.

5. FINANCE UPDATE AND 2022/23 EXTERNAL AUDIT PROGRESS

**Appendix C
(Pages 45 - 112)**

The Director of Finance submits a report to the Governance and Audit Committee which provides an update on the progress of the statement of accounts and external audit findings for 2022/23.

The Committee is recommended to note the contents of the report and the update provided on the progress of the external audit findings.

6. COUNTER FRAUD ANNUAL REPORT 2022/23 AND MID-YEAR UPDATE

**Appendix D
(Pages 113 - 118)**

The Corporate Investigation Manager submits a report to inform the Committee on the work carried out by the Corporate Investigations Team during 2022/23 and the 2023/24 half year April 2023 to September 2023.

The Committee is recommended to receive and comment on the report and

make any recommendations it sees fit to the Executive and/or the Director of Finance. .

7. ANNUAL INSURANCE REPORT 2022/23

**Appendix E
(Pages 119 - 126)**

The Director of Finance submits a report to the Governance and Audit Committee which presents an overview of the Council's internal and external insurance arrangements and provides information on the claims received in recent years, and the results of the claims handling process.

The Committee is recommended to note the contents of the report, and the Council's approach to ensuring it is managing the financial risk associated with the claims.

8. INTERNAL AUDIT UPDATE

**Appendix F
(Pages 127 - 142)**

The purpose of this report is to provide a summary of the progresses against the 2023-24 and prior year Internal Audit Plans including:

- i. summary information on progress with implementing high importance recommendations.
- ii. summary of progress against the Internal Audit Plans.
- iii. commentary on the progress and resources used.

Members will be asked to note and comment on the contents of the report.

9. PRIVATE SESSION

MEMBERS OF THE PUBLIC TO NOTE

Under the law, the Committee is entitled to consider certain items in private where in the circumstances the public interest in maintaining the matter exempt from publication outweighs the public interest in disclosing the information. Members of the public will be asked to leave the meeting when such items are discussed.

The Committee is recommended to consider the following reports in private on the grounds that they contain 'exempt' information as defined by the Local Government (Access to Information) Act 1985, as amended, and consequently that the Sub-Committee makes the following resolution:-

"that the press and public be excluded during consideration of the following reports in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because they involve the likely disclosure of 'exempt' information, as defined in the Paragraphs detailed below of Part 1 of Schedule 12A of the Act, and taking all the circumstances into account, it is

considered that the public interest in maintaining the information as exempt outweighs the public interest in disclosing the information.”

Paragraph 3

Information relating to the financial or business affairs of any particular person (including the authority).

10. FUTURE PROVISION OF THE INTERNAL AUDIT SERVICE

**Appendix G
(Pages 143 - 150)**

The Head of Finance submits a report on the Future Provision of the Internal Audit Service.

11. ANY OTHER BUSINESS