



Leicester  
City Council

## **MEETING OF THE AUDIT AND RISK COMMITTEE**

**DATE: WEDNESDAY, 17 JUNE 2020**

**TIME: 5:30 pm**

**PLACE: Teams Virtual Meeting**

### **Members of the Committee**

Councillor Pantling (Chair)

Councillor O'Donnell (Vice-Chair)

Councillors Bajaj, Joshi, Kaur Saini, Dr. Moore and Rahman

One Non-Group vacancy (to be notified)

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

for Monitoring Officer

**Officer contact: Ed Brown**  
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## Information for members of the public

**PLEASE NOTE** that any member of the press and public may listen in to proceedings at this 'virtual' meeting via a weblink which will be publicised on the Council website at least 24hrs before the meeting. Members of the press and public may tweet, blog etc. during the live broadcast as they would be able to during a regular Committee meeting at City Hall / Town Hall. It is important, however, that Councillors can discuss and take decisions without disruption, so the only participants in this virtual meeting will be the Councillors concerned, the officers advising the Committee and any objectors and applicants relevant to the applications to be considered.

### Attending meetings and access to information

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

Dates of meetings and copies of public agendas and minutes are available on the Council's website at [www.cabinet.leicester.gov.uk](http://www.cabinet.leicester.gov.uk), from the Council's Customer Service Centre or by contacting us using the details below.

### Making meetings accessible to all

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

### Further information

If you have any queries about any of the above or the business to be discussed, please contact Edmund Brown, Democratic Support on **(0116) 454 3833** or email [Edmund.Brown@leicester.gov.uk](mailto:Edmund.Brown@leicester.gov.uk)

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

# **PUBLIC SESSION**

## **AGENDA**

**NOTE: THIS MEETING WILL BE A VIRTUAL MEETING USING MS TEAMS LIVE EVENT**

The public link to view this meeting is:- <https://tinyurl.com/y6uy427e>

**1. APOLOGIES FOR ABSENCE**

**2. DECLARATIONS OF INTEREST**

Members are asked to declare any interests they may have in the business to be discussed.

**3. MINUTES OF THE PREVIOUS MEETING**

**Appendix A  
(Pages 1 - 8)**

The Minutes of the previous meeting of the Audit and Risk Committee held on Wednesday 20 November are attached, and Members are asked to confirm them as a correct record.

**4. GRANT THORNTON - CERTIFICATION REPORT -  
LEICESTER CITY COUNCIL - YEAR ENDING 31  
MARCH 2019**

**Appendix B  
(Pages 9 - 14)**

The letter from Grant Thornton concerning the Certification of Claims and Returns Annual Report year ending 31 March 2019 is attached.

**5. GRANT THORNTON - EXTERNAL AUDIT PLAN -  
YEAR ENDING 31 MARCH 2020**

**Appendix C  
(Pages 15 - 40)**

'The 'External Audit Plan' report prepared by Grant Thornton, which provides an overview of the planned scope and timing of the statutory audit of the Council is attached.

**6. INFORMING THE AUDIT RISK ASSESSMENT FOR  
LEICESTER CITY COUNCIL 2019/20**

**Appendix D  
(Pages 41 - 68)**

The 'Informing the Audit Risk Assessment' report prepared by Grant Thornton, which covers important areas of the auditor risk assessment under auditing standards, is attached.

**7. REGULATION OF INVESTIGATORY POWERS ACT  
2000 BI-ANNUAL PERFORMANCE REPORT JUNE  
2019 - DECEMBER 2019**

**Appendix E  
(Pages 69 - 70)**

The City Barrister and Head of Standards submits a report, which advises on the performance of The Council in authorising Regulation of Investigation Powers Act (RIPA) applications from 1 June 2019 to 31 December 2019.

**8. REVIEW OF WHISTLEBLOWING POLICY** **Appendix F**  
**(Pages 71 - 78)**

The City Barrister and Head of Standards submits a report reviewing the Leicester City Council Whistleblowing Policy. The Committee is advised to note the policy and suggest any changes.

**9. RISK MANAGEMENT AND BUSINESS CONTINUITY STRATEGY AND POLICIES 2020** **Appendix G**  
**(Pages 79 - 120)**

The Director of Delivery, Communications and Political Governance submits a report, which presents the revised Risk Management and Business Continuity Policy Statement and Strategies.

**10. ANNUAL REVIEW OF THE COUNCIL'S LOCAL CODE OF CORPORATE GOVERNANCE** **Appendix H**  
**(Pages 121 - 132)**

The Director of Finance and the City Barrister & head of Standards submit a report, which presents for approval updates to the assurance and corporate governance processes at the City Council and to approve the Local Code of Corporate governance.

**11. MEMBER SCRUTINY AND INVOLVEMENT DURING THE COVID-19 PANDEMIC** **Appendix I**  
**(Pages 133 - 136)**

The Director of Delivery, Communications and Political Governance submits a report updating the Committee on the scrutiny and member involvement during the Covid-19 pandemic. The Committee is advised to note the report and comment upon it.

**12. INTERNAL AUDIT CHARTER (MARCH 2020)** **Appendix J**  
**(Pages 137 - 154)**

The report of Leicester County Council's Head of Internal Audit and Assurance Service on the Internal Audit Charter (March 2020) is attached for approval of the Committee.

**13. INTERNAL AUDIT SERVICE - ANNUAL PLAN 2020-21** **Appendix K**  
**(Pages 155 - 164)**

The internal auditor submits a report, which provides an indication of internal audit work planned to be conducted during 2020-21.

**14. 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 it will contain "exempt" information as defined by the Local Government (Access to Information) Act 1985, as amended, and consequently makes the following resolution:

“that the press and public be excluded during consideration of the following report in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because it involves the likely disclosure of “exempt” information, as defined in the Paragraph 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 holding that information).

The following reports concern the strength of internal controls of the City Council’s financial and management processes and includes references to material weaknesses and areas thereby vulnerable to fraud or other irregularity.

It is considered that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

Appendix L- Progress Against the 2018-19 and 2019-20 Internal Audit Plans

Appendix M- Internal Audit Service – Annual Report 2019-20

- 15. PROGRESS AGAINST THE 2018-19 AND 2019-20 INTERNAL AUDIT PLANS** **Appendix L (Pages 165 - 182)**

The internal auditor submits a report, which provides a summary of progress against the Internal Audit Plans 2018-19 and 2019-20, summary information on high importance recommendations and progress with implementing them, and information on resources used to progress the plan.

- 16. INTERNAL AUDIT SERVICE ANNUAL REPORT 2019-20** **Appendix M (Pages 183 - 204)**

The internal auditor submits a report, which provides an annual report on internal audit work conducted during 2019-20. The report also contains information on the internal audit function’s conformance to professional standards and its quality assurance framework, which provides an insight into its effectiveness.

- 17. ANY OTHER URGENT BUSINESS**