



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 23 SEPTEMBER 2020

TIME: 4:00 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

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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/observe 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, 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 Ed Brown, Democratic Support on (0116) 454 3833 or email 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/y2tv6a2w>

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 - 10)**

The Minutes of the previous meeting of the Audit and Risk Committee held on 22 July 2020 have been circulated, and Members will be asked to confirm them as a correct record.

4. ANNUAL REPORT OF THE AUDIT AND RISK COMMITTEE TO COUNCIL COVERING THE MUNICIPAL YEAR 2019-20

**Appendix B
(Pages 11 - 16)**

The Director of Finance submits a report presenting to the Council the annual report of the Audit and Risk Committee setting out the Committee's achievements over the municipal year 2019/20.

5. ANNUAL INSURANCE REPORT 2020

**Appendix C
(Pages 17 - 26)**

The Director of Finance submits a report presenting an overview of the Council's internal and external insurance arrangements and providing information on the claims received in recent years, and the results of the claims handling process.

6. ANNUAL REPORT ON THE NATIONAL FRAUD INITIATIVE (NFI)

**Appendix D
(Pages 27 - 32)**

The Director of Finance submits a report which provides information on the National Fraud Initiative (NFI) exercises currently underway.

**7. STRATEGIC AND OPERATIONAL RISK
REGISTERS/HEALTH AND SAFETY DATA**

**Appendix E
(Pages 33 - 70)**

The Director of Delivery, Communications and Political Governance submits a report presenting an update on the Strategic and Operational Risk Registers and Health & Safety data.

8. 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.

Item 9

PROGRESS AGAINST THE 2019-20 AND 2020-21 INTERNAL AUDIT PLANS

**9. PROGRESS AGAINST THE 2019-20 AND 2020-21
INTERNAL AUDIT PLANS**

**Appendix F
(Pages 71 - 88)**

The Internal Auditor submits a report, which to provides a summary of progress against the 2019-20 and 2020-21 Internal Audit Plans including information on resources used to progress the plans and a summary on high importance recommendations and progress with implementing them.

10. ANY OTHER URGENT BUSINESS