



Leicester  
City Council

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

**DATE: TUESDAY, 24 NOVEMBER 2020**  
**TIME: 5:00 pm**  
**PLACE: Zoom 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**  
*Democratic Support, Democratic Services*  
*Leicester City Council,*  
*City Hall, 115 Charles Street, Leicester, LE1 1FZ*  
*Tel. 0116 454 3833*  
*Email. [Edmund.brown@leicester.gov.uk](mailto:Edmund.brown@leicester.gov.uk)*

## 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](http://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](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 ZOOM**

The public link to view this meeting is:

[https://www.youtube.com/channel/UCddTWo00\\_gs0cp-301XDbXA](https://www.youtube.com/channel/UCddTWo00_gs0cp-301XDbXA)

**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 23 September 2020 have been circulated, and Members will be asked to confirm them as a correct record.

**4. STATUTORY STATEMENT OF ACCOUNTS AND  
ANNUAL GOVERNANCE STATEMENT 2019/20**

**Appendix B  
(Pages 9 - 230)**

The Director of Finance submits a report seeking the approval of the Committee for Council's Annual Governance Statement & Annual Accounts 2019/20. The Committee will also receive an update from the External Auditor, this details the conclusion of their audit work and any recommendations.

**5. THE IMPACT OF BREXIT ON LEICESTER CITY  
COUNCIL**

**Appendix C  
(Pages 231 - 242)**

The Director of Delivery, Communications and Political Governance submits a report outlining the findings of the impact and risk analysis carried out on Brexit by Leicester City Council.

**6. LOCAL GOVERNMENT AND SOCIAL CARE  
OMBUDSMAN COMPLAINTS 2019/20**

**Appendix D  
(Pages 243 - 262)**

The Director of Finance submits a report to the Audit and Risk Committee on the complaints made to the Local Government and Social Care Ombudsman (LGO) in 2019/20 regarding Leicester City Council.

**7. CORPORATE COMPLAINTS (NON-STATUTORY) 2019/20** **Appendix E**  
**(Pages 263 - 270)**

The Director of Finance submits a report updating the Audit & Risk committee on corporate non - statutory complaints for 2019/ 20.

**8. COUNTER FRAUD MID-YEAR UPDATE REPORT 2020** **Appendix F**  
**(Pages 271 - 276)**

The Director of Finance submits a report providing a mid-year update to the Audit and Risk Committee on the work carried out by the Corporate Investigations Team for the period 1 April 2020 to 30 September 2020.

**9. UPDATE IN DEVELOPMENTS IN LOCAL (EXTERNAL) AUDIT ARRANGEMENTS** **Appendix G**  
**(Pages 277 - 288)**

A report is submitted to provide the Audit and Risk Committee with an update on developments in local (external) audit arrangements, that are associated with the Committee's responsibilities.

**10. 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 14

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

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

**Appendix H  
(Pages 289 - 304)**

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.

**12. ANY OTHER URGENT BUSINESS**