



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 21 JULY 2021

TIME: 6:30 pm

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

Members of the Committee

Councillor Kaur Saini (Chair)

Councillor Pantling (Vice-Chair)

Councillors Ali, Joshi, Dr. Moore, Rahman and O'Donnell

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: Angie Smith
Democratic Support, Democratic Services
Leicester City Council,
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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.

Due to COVID restrictions, public access in person is limited to ensure social distancing. We would encourage you to view the meeting online but if you wish to attend in person, you are required to contact the Democratic Support Officer in advance of the meeting regarding arrangements for public attendance. A guide to attending public meetings can be found here: <https://www.leicester.gov.uk/your-council/decisions-meetings-and-minutes/public-attendance-at-council-meetings-during-covid-19/>

Members of the public can follow a live stream of the meeting on the Council's website at this link: <http://www.leicester.public-i.tv/core/portal/webcasts>

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.

To hold this meeting in as Covid-safe a way as possible, all attendees are asked to follow current Government guidance and:

- maintain distancing while entering and leaving the room/building;
- remain seated and maintain distancing between seats during the meeting;
- wear face coverings throughout the meeting unless speaking or exempt;
- make use of the hand sanitiser available;
- when moving about the building to follow signs about traffic flows, lift capacities etc;
- comply with Test and Trace requirements by scanning the QR code at the entrance to the building and/or giving their name and contact details at reception prior to the meeting;
- if you are displaying Coronavirus symptoms: a high temperature; a new, continuous cough; or a loss or change to your sense of smell or taste, you should NOT attend the meeting, please stay at home, and get a PCR test.

NOTE: Due to COVID restrictions, public access in person is limited to ensure social distancing. We would encourage you to view the meeting online but if you wish to attend in person, you are required to contact the Democratic Support Officer in advance of the meeting regarding arrangements for public attendance.

Separate guidance on attending the meeting is available for officers. Officers attending the meeting are asked to contact the Democratic Support Officer in advance to confirm their arrangements for attendance.

This meeting will be webcast live at the following link:-

<http://www.leicester.public-i.tv>

An archive copy of the webcast will normally be available on the Council's website within 48 hours of the meeting taking place at the following link:-

<http://www.leicester.public-i.tv/core/portal/webcasts>

Making meetings accessible to all

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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 Angie Smith, Democratic Support on **(0116) 454 6354** or email angie.smith@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

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 - 14)

The minutes of the meeting of the Audit and Risk Committee held on 17 March 2021 are attached and the Committee is asked to confirm them as a correct record.

4. MEMBERSHIP OF THE AUDIT & RISK COMMITTEE 2021/22

Members are asked to note the membership of the Committee for 2021/22 as:

Councillor Kaur Saini (Chair)
Councillor Pantling (Vice-Chair)
Councillor Ali
Councillor Joshi
Councillor Dr. Moore
Councillor O'Donnell
Councillor Rahman

1 unfilled non-Group vacancy

5. DATES OF MEETINGS OF THE AUDIT AND RISK COMMITTEE 2021/22

Members are asked to note the meeting dates of the Committee for the 2021/22 municipal year as:

21 July 2021
29 September 2021
24 November 2021
16 March 2022

Meetings are scheduled to take place at 5.30pm (or 6.30pm if Members training /briefings are arranged before the main meeting).

6. TERMS OF REFERENCE **Appendix B**
(Pages 15 - 20)

Members are asked to note the Terms of Reference for the Committee as attached.

7. REGULATION OF INVESTIGATORY POWERS ACT 2000: BI-ANNUAL PERFORMANCE REPORT JANUARY 2021 - JUNE 2021 **Appendix C**
(Pages 21 - 22)

The City Barrister and Head of Standards submits a report advising on the performance of the Council in authorising Regulatory Investigation Powers Act (RIPA) applications from 1st January 2021 to 30th June 2021.

The Committee is recommended to receive the report and note its contents, and make any recommendations or comments it sees fit either to the Executive or to the City Barrister and Head of Standards.

8. NATIONAL FRAUD INITIATIVE 2021/2022 UPDATE REPORT **Appendix D**
(Pages 23 - 28)

The Deputy Director of Finance submits a report to provide the Audit and Risk Committee on the National Fraud Initiative (NFI) exercises currently underway.

The Committee is recommended to receive and comment on the report and make any recommendations it sees fit to the Executive and/or the Chief Operating Officer / s151 officer or Deputy Director of Finance.

9. COUNTER FRAUD REPORT 2020 **Appendix E**
(Pages 29 - 34)

The Deputy Director of Finance submits a report to the Audit and Risk Committee on the work carried out by the Corporate Investigations Team for the period 1st April 2020 to 31st March 2021.

The Committee is recommended to receive and comment on the report and make any recommendations it sees fit to the Executive and/or the Chief Operating Officer / s151 officer or Deputy Director of Finance.

10. EXTERNAL AUDIT PLAN - YEAR ENDING 31 MARCH 2021 **Appendix F**
(Pages 35 - 60)

The External Audit Plan prepared by Grant Thornton is submitted to the Audit and Risk Committee which provides an overview of the planned scope and timing of the statutory audit of the Council for those charged with governance.

11. DRAFT STATUTORY STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENT 2020/21 **Appendix G**
(Pages 61 - 234)

The Chief Operating Officer submits a report to the Audit and Risk Committee which provides an opportunity for the Committee to consider the Council's Draft Annual Statement of Accounts for 2020/21, before being brought back to Committee for formal approval.

The Committee is recommended to receive the Draft Annual Statement of Accounts for 2020-21 and the Draft Annual Governance Statement 2020-21 at Appendix A.

12. REPORT OF THE AUDIT AND RISK COMMITTEE TO COUNCIL COVERING THE MUNICIPAL YEARS 2019/20 AND 2020/21 **Appendix H**
(Pages 235 - 240)

The Deputy Director of Finance submits a report to the Audit and Risk Committee for presenting to Council, which sets out the Committee's achievements over the Municipal Years 2019/20 and 2020/21.

The Committee is recommended to approve the report for submission to Council.

13. PROGRESS AGAINST INTERNAL AUDIT PLANS **Appendix I**
(Pages 241 - 256)

The Internal Auditor submits a report to the Audit and Risk Committee which provides a summary of progress against the 2020-21 & 2021-22 Internal Audit Plans, information on resources used to progress the plans, and summary of information on high importance recommendations and progress with implementing them.

The Committee is recommended to note the contents of the routine update report.

14. INTERNAL AUDIT SERVICE - ANNUAL REPORT 2020-21 **Appendix J**
(Pages 257 - 276)

The Internal Auditor submits an annual report to the Audit and Risk Committee which reports on internal audit work conducted during 2020-21. The report also contains information on the internal audit function's conformance to professional standards and provides an insight into its effectiveness.

The Committee is recommended to:

1. Receive and approve the contents of the Annual Report and Opinion
2. Note that for the year ended 31 March 2021, the HoIAS has reported that the Council's control environment overall remained adequate and effective.
3. Note that the individual assignment opinions expressed together with any significant matters arising from internal audit work have been given due consideration when developing and reviewing the Authority's Annual

Governance Statement for 2020-21.

4. Note the outcomes of the HoIAS self-assessment against the PSIAS and QAIP.
5. Make any recommendations it sees fit to the Chief Operating Officer/s151 officer, the Deputy Director of Finance or the Executive.

15. FURTHER UPDATE ON DEVELOPMENTS IN LOCAL (EXTERNAL) AUDIT ARRANGEMENTS **Appendix K (Pages 277 - 282)**

The Internal Auditor submits a report which provides the Audit and Risk Committee with a further update on developments in local (external) audit arrangements, that are associated with the Committee's responsibilities.

The Committee is recommended to note the report.

16. AUDIT & RISK COMMITTEE WORKPLAN **Appendix L (Pages 283 - 284)**

The workplan for the Audit and Risk Committee is attached.

17. ANY OTHER URGENT BUSINESS