



Leicester  
City Council

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

**DATE: WEDNESDAY, 24 NOVEMBER 2021**

**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)

Councillor Pantling (Vice-Chair)

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

One Labour Group vacancy (to be notified)

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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## 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.

Due to ongoing mitigations to prevent the transmission of COVID, public access in person is limited to ensure social distancing. If you wish to attend a meeting 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 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](http://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 ongoing mitigations to prevent transmission of COVID, public access in person is limited to ensure social distancing. If you wish to attend the meeting 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.

## **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](http://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](mailto: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 - 8)**

The Minutes of the previous meeting of the Audit and Risk Committee held on 29<sup>th</sup> September 2021 are attached, and Members will be asked to confirm them as a correct record.

#### **4. LEICESTER CITY COUNCIL AUDIT PROGRESS REPORT AND SECTOR UPDATE**

**Appendix B  
(Pages 9 - 26)**

The External Auditor submits a report to the Audit and Risk Committee on progress in delivering responsibilities as external auditors.

Committee Members are recommended to note the report and make any comments if required to the Deputy Director of Finance and External Auditors.

#### **5. ANNUAL INSURANCE REPORT 2021**

**Appendix C  
(Pages 27 - 36)**

The Deputy Director of Finance submits a report 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 claims.

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

**Appendix D  
(Pages 37 - 40)**

The Deputy Director of Finance submits a report which provides information to the Audit and Risk Committee on the National Fraud Initiative (NFI) exercises

currently underway.

The Committee is asked to note the report.

**7. COUNTER FRAUD MID-YEAR UPDATE REPORT 2021** **Appendix E**  
**(Pages 41 - 46)**

The Deputy Director of Finance submits a report to the Committee which provides a mid-year update on the work carried out by the Corporate Investigations Team for the period 1<sup>st</sup> April 2021 to 30<sup>th</sup> September 2021.

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

**8. STRATEGIC AND OPERATIONAL RISK REGISTERS /** **Appendix F**  
**HEALTH AND SAFETY DATA** **(Pages 47 - 86)**

The Director of Delivery, Communications and Political Governance submits a report to the Audit and Risk Committee which provides an update on the Strategic and Operational Risk Registers and Health and Safety Data.

Committee Members are recommended to note the Strategic Risk Register and Operational Risk Register (as at 30<sup>th</sup> September 2021), note the Health and Safety Data and make any comments to the Director of Delivery, Communications and Political Governance.

**9. DECISION TO OPT INTO THE NATIONAL SCHEME** **Appendix G**  
**FOR AUDITOR APPOINTMENTS MANAGED BY PSAA** **(Pages 87 - 100)**  
**AS THE 'APPOINTING PERSON'**

The Deputy Director of Finance submits a report to the Committee which sets out proposals for appointing the External Auditor to the Council for the accounts for the five-year period from 2023-24 to 2027-28.

The Audit and Risk Committee is asked to recommend to Council that the Council accepts Public Sector Audit Appointments' invitation to opt into the sector-led option for the appointment of external auditors to principal local government and police bodies for five financial years from 1 April 2023.

**10. PROGRESS AGAINST INTERNAL AUDIT PLANS** **Appendix H**  
**(Pages 101 - 116)**

The Internal Auditor submits a report to the Audit and Risk Committee to provide:

1. a summary of progress against the 2020-21 & 2021-22 Internal Audit Plans
2. information on resources used to progress the plans
3. summary information on high importance recommendations and progress with implementing them

4. provide brief information on projects that the Chartered Institute of Public Finance and Accountancy (CIPFA) is currently undertaking that relate to public sector internal audit and audit committees.

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

**11. AUDIT AND RISK COMMITTEE WORKPLAN**

**Appendix I**  
**(Pages 117 - 118)**

The Audit and Risk Committee Workplan is attached for information.

**12. ANY OTHER URGENT BUSINESS**

