



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 16 MARCH 2022

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,
City Hall, 115 Charles Street, Leicester, LE1 1FZ
Tel. 0116 454 6354
Email. Angie.Smith@leicester.gov.uk

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, 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 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 - 8)

The minutes of the meeting of the Audit and Risk Committee held on 24 November 2021 are attached and the Committee is asked to confirm them as a correct record.

4. EXTERNAL AUDITOR'S ANNUAL REPORT ON LEICESTER CITY COUNCIL 2020-21

Appendix B
(Pages 9 - 32)

The External Auditor submits a report to the Audit and Risk Committee. Under the National Audit Officer (NAO) Code of Audit Practice ('the Code'), External Auditors are required to consider whether the Authority has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, and the Auditors report in more detail on the Authority's overall arrangements, as well as key recommendations on any significant weaknesses in arrangements identified during the audit.

The Committee is recommended to note the report.

5. EXTERNAL AUDITOR'S REPORT: LEICESTER CITY COUNCIL PROGRESS REPORT AND INDICATIVE AUDIT RISKS, YEAR ENDING 31 MARCH 2022

Appendix C
(Pages 33 - 80)

The External Auditor submits a report to the Audit and Risk Committee, which provides an overview of the indicative planned scope and timing of the statutory audit of Leicester City Council for those charged with governance.

The Committee is recommended to note the report.

6. REGULATION OF INVESTIGATORY POWERS ACT 2000, BI-ANNUAL PERFORMANCE REPORT JULY 2021 - DECEMBER 2021 **Appendix D**
(Pages 81 - 82)

The City Barrister and Head of Standards submits a report to the Audit and Risk Committee which advised on the performance of the Council in authorising Regulatory Investigation Powers Act (RIPA) applications from 1st July 2021 to 31st December 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.

7. RISK MANAGEMENT AND BUSINESS CONTINUITY STRATEGY AND POLICIES 2022 **Appendix E**
(Pages 83 - 128)

The Director of Delivery, Communications and Political Governance submits a report to the Audit and Risk Committee which presents the Risk Management and Business Continuity Policy Statement and Strategies which provide an effective framework for Leicester City Council to management and respond to key risks facing its services and support the delivery of its Business Plan.

The Committee is recommended to note the report.

8. FINANCIAL UPDATE REPORT **Appendix F**
(Pages 129 - 138)

The Deputy Director of Finance submits a report to the Audit and Risk Committee which provides an update on key changes currently affecting the Council, and which may have an impact on the work of the Committee.

The Committee is asked to note the contents of the report and make any recommendations or comments it sees fit to either the Executive or Deputy Director of Finance.

The Committee is also asked to support the change to the Constitution for the appointment of an Independent Member to Audit and Risk Committee. The change would be subject to Full Council approval.

9. ANNUAL REVIEW OF THE COUNCIL'S LOCAL CODE OF CORPORATE GOVERNANCE **Appendix G**
(Pages 139 - 152)

The Deputy Director of Finance, and City Barrister & Head of Standards submit a report to the Audit and Risk Committee for approval updates to the assurance and corporate governance processes at Leicester City Council and to approve the Local Code of Corporate Governance.

The Committee is recommended to approve the Local Code of Corporate Governance.

**10. CORPORATE COMPLAINTS (NON-STATUTORY)
2020/21**

**Appendix H
(Pages 153 - 162)**

The Deputy Director of Finance submits a report to the Audit and Risk Committee, which provides an update on the corporate non-statutory complaints in 2020/21, and for Members to note improvements, comment upon our actions from the lessons learned and planned future changes.

The Committee is recommended to note and comment upon the report observations, including the comparisons and improvements within the administration of complaint handling, and comment upon the Council's actions for future change.

**11. LOCAL GOVERNMENT & SOCIAL CARE
OMBUDSMAN AND HOUSING OMBUDSMAN
COMPLAINTS 2020/21**

**Appendix I
(Pages 163 - 180)**

The Deputy Director of Finance submits a report to the Audit and Risk Committee which provides an update on the complaints made to the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman in 2020-21 regarding Leicester City Council.

The Committee are asked to note and comment upon the report observations, including the comparisons and improvements within the administration of complaint handling, and comment upon the Council's actions for future change.

12. PROGRESS AGAINST INTERNAL AUDIT PLANS

**Appendix J
(Pages 181 - 196)**

The Head of Internal Audit Service (HoIAS) submits a report to the Audit and Risk Committee which provides:

- a) a summary of progress against the 2020-21 & 2021-22 Internal Audit Plans
- b) information on resources used to progress the plans
- c) commentary on the progress and resources used
- d) summary information on high importance recommendations and progress with implementing them
- e) information on compiling the 2022-23 Internal Audit Plan

The Committee is recommended to note the contents of the report and make any comments to the HoIAS or Deputy Director of Finance.

13. ANY OTHER URGENT BUSINESS