



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 20 JULY 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 Dr. Moore (Vice-Chair)

Councillors Bajaj, Cassidy, Pantling Valand and Whittle

One Non-Group vacancy

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 - 10)

The minutes of the meeting of the Audit and Risk Committee held on 16 March 2022 are attached and the Committee is asked to confirm them as a correct record.

4. MEMBERSHIP OF THE AUDIT AND RISK COMMITTEE 2022/23

Members are asked to note the membership of the Committee for 2022/23 as:

Councillor Kaur Saini (Chair)
Councillor Dr. Moore (Vice-Chair)
Councillor Bajaj
Councillor Cassidy
Councillor Pantling
Councillor Valand
Councillor Whittle

1 unfilled non-Group vacancy

5. DATES OF MEETINGS OF THE AUDIT AND RISK COMMITTEE 2022/23

Members are asked to note the meeting dates of the Committee for the 2022/23 municipal year as:

20 July 2022
28 September 2022
22 November 2022
18 January 2023

15 March 2023

Scheduled training will take place at 5.00pm before the main meeting.
Meetings are scheduled to take place at 5.30pm.

6. TERMS OF REFERENCE

Appendix B
(Pages 11 - 16)

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

7. DRAFT STATUTORY STATEMENT OF ACCOUNTS & ANNUAL GOVERNANCE STATEMENT 2021/22 / EXTERNAL AUDIT PLAN 2022-23

Appendix C
(Pages 17 - 224)

The Chief Operating Officer (S151), Deputy Director of Finance, and External Auditor submit a report to the Audit and Risk Committee which provide an opportunity for the Committee to consider the Council's Draft Annual Statement of Accounts and Annual Governance Statement for 2021/22 before they are brought back to Committee for formal approval.

The Committee is recommended to consider the Draft Annual Statement of Accounts for 2021/22 at Appendix A, the Draft Annual Governance Statement at Appendix A, the update on the independent member recruitment, and the External Audit Plan at Appendix C.

8. PROGRESS AGAINST INTERNAL AUDIT PLANS AND THE INTERNAL AUDIT ANNUAL REPORT 2021-22

Appendix D
(Pages 225 - 248)

The Head of Internal Audit and Assurance Service submits a report to the Audit and Risk Committee, which provide a summary of progress against the 2021-22 & 2022-23 Internal Audit Plans, and an annual report on internal audit work conducted during 2021-22.

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

9. INTERNAL AUDIT PLAN 2022/23

Appendix E
(Pages 249 - 274)

The Head of Internal Audit and Assurance Service (HoIAS) submits a report to the Audit and Risk Committee, which provides an indication of internal audit work planned to be conducted during 2022-23, and information about a recently issued report 'Internal Audit: Untapped Potential', following extensive research by CIPFA.

The Committee is recommended to receive the plan, note its contents, and seek clarification on any areas as they and then approve the plan, make any recommendation or comments it sees fit, and note the CIPFA report and support the HoIAS and Deputy Director of Finance working together to make improvements to the service and arrangements.

**10. REGULATION OF INVESTIGATORY POWERS ACT
2000 - BI-ANNUAL PERFORMANCE REPORT
JANUARY 2022 - JUNE 2022**

**Appendix F
(Pages 275 - 278)**

The City Barrister and Head of Standards submits a report to the Audit and Risk Committee which advises on the performance of the Council in authorising Regulatory Investigation Powers Act (RIPA) applications from 1st January 2022 to 30th June 2022.

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.

**11. REPORT OF THE AUDIT AND RISK COMMITTEE TO
COUNCIL COVERING 2021/22**

**Appendix G
(Pages 279 - 286)**

The Deputy Director of Finance submits a report to the Audit and Risk Committee setting out the Committee's achievement over the municipal year 2021/22.

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

12. AUDIT & RISK COMMITTEE WORKPLAN

**Appendix H
(Pages 287 - 288)**

The workplan for the Audit and Risk Committee is attached.

13. ANY OTHER URGENT BUSINESS