



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: TUESDAY, 22 NOVEMBER 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 Cassidy, Pantling, Valand and Whittle

Independent Member Mr Bapon Bhakri

One Labour Group vacancy

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: Anita James

Senior Democratic Support Officer, 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 Covid we recognise that some members of the public may not feel comfortable viewing a meeting in person because of the infection risk. Anyone attending in person is very welcome to wear a face covering and we encourage people to follow good hand hygiene and hand sanitiser is provided for that purpose. If you are displaying any symptoms of Coronavirus: a high temperature; a new, continuous cough; or a loss or change to your sense of smell or taste, and/or have taken a recent test which has been positive we would ask that you do NOT attend the meeting in person please.

A guide to attending public meetings can be found 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.

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 Anita James, Democratic Support on (0116) 454 6358 or email Anita.james2@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 HELD WEDNESDAY 28TH SEPTEMBER 2022

Appendix A
(Pages 1 - 12)

The Minutes of the previous meeting of the Audit and Risk Committee held on Wednesday 28th September 2022 are attached, and Members will be asked to confirm them as a correct record.

4. CHAIRS ANNOUNCEMENTS

5. RISK MANAGEMENT UPDATE

Appendix B
(Pages 13 - 56)

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

Members will be asked to note the Strategic Risk Register and Operational Risk Register (as at 30th September 2022) and to note the Health and Safety Data.

Members will also be asked to make any comments to the Director of Delivery, Communications and Political Governance.

6. WHISTLEBLOWING POLICY REVIEW REPORT

Appendix C
(Pages 57 - 64)

The City Barrister and Head of Standards submits a report inviting the committee to review the Whistleblowing policy.

Members will be asked to note the policy and make any comments and to approve the Whistleblowing Policy.

7. 2021/2022 STATEMENT OF ACCOUNTS AND EXTERNAL AUDIT UPDATE

Appendix D
(Pages 65 - 102)

The Director of Finance and the External Auditor present a report providing a progress update on the 2021/22 Statement of Accounts and the external audit.

Members will be asked to note the contents of the report and make any comments to the Director of Finance and the External Auditor.

**8. ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY - [Appendix E](#)
3 YEAR REVIEW (Pages 103 - 122)**

The Director of Finance submits a report inviting the committee to review the Anti-Fraud, Bribery and Corruption Policy 2022-2025.

Members will be asked to note and comment on the report and to approve the Anti-Fraud, Bribery and Corruption Policy 2022-2025.

**9. ANTI-MONEY LAUNDERING POLICY [Appendix F](#)
(Pages 123 - 156)**

The Director of Finance submits a report which introduces details of the new Anti-Money Laundering Policy.

Members will be asked to note and comment on the report and to approve the Anti-Money Laundering Policy.

**10. PROGRESS AGAINST INTERNAL AUDIT PLANS [Appendix G](#)
2021-22 & 2022-23 (Pages 157 - 170)**

The Internal Auditor submits a report providing a summary of progress against the 2021-22 and 2022-23 Internal Audit Plans including:

- Summary information on progress with implementing high importance recommendations
- Commentary on the progress and resources used.

Members will be asked to note and comment on the contents of the report.

11. ANY OTHER URGENT BUSINESS

12. DATE OF NEXT MEETING

To note the next meeting scheduled to Wednesday 18th January 2023 at 5.30pm.