



Leicester
City Council

Members only briefing and development session to take place from 4.45pm to 5.30pm prior to the commencement of the main meeting – public excluded.

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 15 MARCH 2023

TIME: 5:30 pm

PLACE: Meeting Room G.02, 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 Bipon Bhakri

One unallocated Labour Group place

One unallocated Non-Group place

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/Adam Kagzi
Democratic Support, Democratic Services
Leicester City Council,
City Hall, 115 Charles Street, Leicester, LE1 1FZ
Tel. 0116 454 6350
Email. committees@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 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 committees@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 will be asked to declare any pecuniary or other interests they may have in the business to be discussed.

3. MINUTES OF THE PREVIOUS MEETING

**Appendix A
(Pages 1 - 4)**

Members will be asked to confirm that the minutes of the previous meeting held on 18th January 2023 as attached are a correct record.

4. STATUTORY STATEMENT OF ACCOUNTS & ANNUAL GOVERNANCE STATEMENT 2021-22

**Appendix B
(Pages 5 - 12)**

The Director of Finance submits a report presenting the audited Statement of Accounts along with the Annual Governance Statement for approval.

5. RISK MANAGEMENT UPDATE

**Appendix C
(Pages 13 - 56)**

The Director of Delivery, Communications and Political Governance submits a report to provide the Audit and Risk Committee with an update on the Strategic and Operational Risk Registers and Health & Safety data.

6. RISK MANAGEMENT AND BUSINESS CONTINUITY STRATEGY AND POLICIES 2023

**Appendix D
(Pages 57 - 108)**

The Director of Delivery, Communications, and Political Governance submits a report presenting the Risk Management and Business Continuity Policy Statements and Strategies (Appendix 1 and 2), which form an important part of the council's governance arrangements.

7. REGULATION OF INVESTIGATORY POWERS ACT 2000 - BI-ANNUAL PERFORMANCE REPORT

**Appendix E
(Pages 109 - 110)**

The City Barrister and Head of Standards submits a report advising on the performance of the Council in authorising the Regulatory Investigation Powers Act (RIPA) applications from 1st July 2022 to 31st December 2022.

8. INTERNAL AUDIT UPDATE REPORT

Appendix F
(Pages 111 - 126)

The Head of Internal Assurance and Audit submits a report providing:

- a. Summary of progress against the 2021-22 & 2022-23 Internal Audit Plans including:
 - i. summary information on progress with implementing high importance recommendations.
 - ii. summary of progress against the Internal Audit Plans
 - iii. commentary on the progress and resources used
- b. Progress with developing the Internal Audit Plan for 2023-24
- c. Planning for an external assessment of Leicestershire County Council's Internal Audit Service

9. CORPORATE COMPLAINTS (NON-STATUTORY) 2021-22 REPORT

Appendix G
(Pages 127 - 132)

The Director of Finance submits a report providing an update on corporate non-statutory complaints in 2021/22 including the management of complaints, information on complaints received and their outcomes, the reasons for complaints, lessons learned and improvements.

10. LOCAL GOVERNMENT & SOCIAL CARE OMBUDSMAN AND HOUSING OMBUDSMAN COMPLAINTS 2021-22

Appendix H
(Pages 133 - 144)

The Director of Finance submits a report providing an update on the complaints made to the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman in 2021-22 and the actions taken.

11. AUDIT AND RISK COMMITTEE'S ANNUAL REPORT

Appendix I
(Pages 145 - 152)

The Director of Finance submits the annual report of the Audit and Risk Committee setting out the Committee's work and achievements over the municipal year 2022/23.

12. ANY OTHER URGENT BUSINESS