



Leicester  
City Council

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

**DATE: TUESDAY, 15 APRIL 2014**

**TIME: 5:30 pm**

**PLACE: THE OAK ROOM, GROUND FLOOR, TOWN HALL, TOWN  
HALL SQUARE, LEICESTER.**

### **Members of the Committee**

Councillor Westley (Chair)

Councillors Alfonso, Desai, Dr Chowdhury, Grant, Meghani, Dr. Moore  
and Naylor

1 Non-Grouped Member 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*  
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## **INFORMATION FOR MEMBERS OF THE PUBLIC**

### **ACCESS TO INFORMATION AND MEETINGS**

You have the right to attend Cabinet to hear decisions being made. You can also attend Committees, as well as meetings of the full Council. Tweeting in formal Council meetings is fine as long as it does not disrupt the meeting. There are procedures for you to ask questions and make representations to Scrutiny Committees, Community Meetings and Council. Please contact Democratic Support, as detailed below for further guidance on this.

You also have the right to see copies of agendas and minutes. 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 as detailed below.

Dates of meetings are available at the Customer Service Centre, 91 Granby Street, Town Hall Reception and on the Website.

There are certain occasions when the Council's meetings may need to discuss issues in private session. The reasons for dealing with matters in private session are set down in law.

### **WHEELCHAIR ACCESS**

Meetings are held at the Town Hall. The Meeting rooms are all accessible to wheelchair users. Wheelchair access to the Town Hall is from Horsefair Street (Take the lift to the ground floor and go straight ahead to main reception).

### **BRAILLE/AUDIO TAPE/TRANSLATION**

If there are any particular reports that you would like translating or providing on audio tape, the Democratic Services Officer can organise this for you (production times will depend upon equipment/facility availability).

### **INDUCTION LOOPS**

There are induction loop facilities in meeting rooms. Please speak to the Democratic Services Officer at the meeting if you wish to use this facility or contact them as detailed below.

**General Enquiries - 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) or call in at the Town Hall.**

**Press Enquiries - please phone the Communications Unit on 0116 454 4150**

## **PUBLIC SESSION**

### **AGENDA**

**1. APOLOGIES FOR ABSENCE**

**2. DECLARATIONS OF INTEREST**

Members are asked to declare any interests they may have in the business on the agenda.

**3. MINUTES OF THE PREVIOUS MEETING [Appendix A](#)**

The minutes of the meeting of the Audit and Risk Committee held on 19<sup>th</sup> March 2014 are attached and the Committee is asked to confirm them as a correct record.

**4. CORPORATE PROCUREMENT PLAN 2014-15 [Appendix B](#)**

The Director of Finance submits a report to the Audit and Risk Committee which informs them of the 2014/15 Procurement Plan which includes the potential up and coming major procurement activity across the Council, including renewal of existing contracts for ongoing requirements and one-off major capital projects. The Committee is asked to note the report.

**5. UPDATE ON REGULATION OF INVESTIGATORY POWERS ACT (RIPA) STATS AND PERFORMANCE REPORT FOR PERIOD 1 - 1 JANUARY 2013 TO 31 DECEMBER 2013 [Appendix C](#)**

The Director of Information and Customer Access submits a report on the performance of the Council in authorising Regulation of Investigatory Powers Act (RIPA) applications, from 1<sup>st</sup> January 2013 to 31<sup>st</sup> December 2013. 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 Director of Information and Customer Access.

**6. ANNUAL REVIEW OF THE COUNCIL'S ASSURANCE FRAMEWORK, LOCAL CODE OF CORPORATE GOVERNANCE AND THE AUDIT & RISK COMMITTEE'S TERMS OF REFERENCE [Appendix D](#)**

The Director of Finance and the City Barrister & Head of Standards submit a joint report to seek the Committee's approval of updates to the assurance and corporate governance processes at the City Council and the Committee's own terms of reference.

The Committee is recommended to:

1. confirm that no changes to the Assurance Framework are needed and agree that it shall form the basis on which the Council will compile its Annual Governance Statement for 2014-15
2. confirm that no changes to the Local Code of Corporate Governance are needed
3. approve the proposed amendments to the Committee's terms of reference.

**7. CORPORATE COMPENSATION POLICY** [Appendix E](#)

The City Barrister and Head of Standards (as Monitoring Officer) and Policy submits a report to the Audit & Risk Committee on the proposed Corporate Compensation policy. The committee are asked to note the report and make any recommendations to Council.

**8. INTERNAL AUDIT PLAN 2014 - 2015** [Appendix F](#)

The Director of Finance submits to the Audit & Risk Committee the Internal Audit Plan for the financial year 2014-15 for approval, and seeks views on priorities for Internal Audit work in the year ahead.

The Committee are asked to consider and approve the Internal Audit Plan for 2014-15 and note the emerging context and anticipated priorities for next year's audit work, and to make such comments and recommendations as they see fit.

**9. INTERNAL AUDIT FIRST QUARTER OPERATIONAL PLAN 2014-15** [Appendix G](#)

The Director of Finance submits a report that sets out the detailed operational audit plan for the first quarter of 2014-15.

The Audit and Risk Committee is asked to note the Internal Audit operational plan.

**10. RISK MANAGEMENT AND INSURANCE SERVICES UPDATE REPORT** [Appendix H](#)

The Director of Finance submits a report to Audit and Risk Committee with the regular update on the work of the Council's Risk Management and Insurance Services team's activities.

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 Director of Finance.

**11. BUSINESS CRITICAL ACTIVITIES' BUSINESS CONTINUITY PLANS - FINAL UPDATE** [Appendix I](#)

The Director of Finance submits a report to advise the Audit & Risk Committee of the progress in the updating of critical business continuity plans. The Committee is asked to note the report.

**12. ANY OTHER URGENT BUSINESS**