



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: TUESDAY, 31 MARCH 2015

TIME: 5:30 pm

PLACE: Meeting Room G.01, Ground Floor, City Hall, 115 Charles Street, Leicester, LE1 1FZ

Members of the Committee

Councillor Westley (Chair)

Councillor Dr. Moore (Vice-Chair)

Councillors Alfonso, Dr Chowdhury, Desai, Grant and Naylor

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
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Information for members of the public

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- ✓ 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 or call in at City Hall, 115 Charles Street.

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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 4th February 2015 are attached and Members will be asked to confirm them as a correct record.

4. ANNUAL REPORT - CERTIFICATION OF CLAIMS AND RETURNS (GRANTS) 2013/14 **Appendix B**

The External Auditor submits an Annual Report for the Certification of Claims and Returns for 2013/14. The Committee are asked to note the report.

5. EXTERNAL AUDIT PLAN FOR FINANCIAL YEAR 2014-15 **Appendix C**

The External Auditor submits a document that sets out how they will deliver their financial statements audit work for Leicester City Council, and the approach to value for money (VFM) work for 2014/15. The Committee are asked to note the report.

6. PROCUREMENT PLAN 2015-16 **Appendix D**

The Director of Finance submits a report to Audit and Risk Committee on the 2015-16 Procurement Plan and a list of forthcoming procurement activity above EU thresholds anticipated in the coming year. The Committee is asked to note the report.

Following instruction from the Monitoring Officer, the previously incorrect version of the appendix attached to this report has been removed and replaced with the version now appended. For any queries, please contact Democratic Support on (0116) 454 6354.

7. UPDATE ON REGULATION OF INVESTIGATORY POWERS ACT (RIPA) STATISTICS AND PERFORMANCE REPORT - 1 JULY 2014 TO 31 DECEMBER 2014 **Appendix E**

The City Barrister and Head of Standards submits a report on the performance of the Council in authorising Regulation of Investigatory Powers Act (RIPA) applications, from 1st July 2014 to 31st December 2014. 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 City Barrister and Head of Standards.

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

The Director of Finance and the City Barrister & Head of Standards will present 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 confirm:

1. that no material 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 the financial year 2014-15.
2. that no material changes to the Local Code of Corporate Governance are needed.
3. approve the proposed minor amendment to the Committee's terms of reference.

9. ANNUAL REVIEW OF THE INTERNAL AUDIT CHARTER [Appendix G](#)

The Director of Finance submits a report to seek the Committee's approval of minor updates to the Internal Audit Charter

The Committee is recommended to approve the updated Internal Audit Charter and agree that it accurately reflects the terms of reference of the Internal Audit service.

10. INTERNAL AUDIT PLAN 2015-16 [Appendix H](#)

The Director of Finance submits to the Audit & Risk Committee the Internal Audit Plan for the financial year 2015-16 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 2015-16 and note the context and anticipated priorities for next year's audit work, and to make such comments and recommendations as they see fit.

11. INTERNAL AUDIT - FIRST QUARTER OPERATIONAL PLAN 2015-16 [Appendix I](#)

The Director of Finance submits a report that sets out the Internal Audit

operational plan for the first quarter of 2015-16. The Audit and Risk Committee is asked to note the report.

12. PROPOSED SCHEDULE OF MEETINGS FOR THE FINANCIAL YEAR 2015-16 [Appendix J](#)

The Director of Finance presents to the Audit and Risk Committee a proposed schedule of meetings and suggested agencies for the Financial Year 2015-16. The Committee is recommended to note and accept the proposed plan content, and raise any issues or questions with the report author or the Director of Finance.

13. RISK MANAGEMENT AND INSURANCE SERVICES UPDATE REPORT INCLUDING JANUARY RISK REGISTERS [Appendix K](#)

The Director of Finance submits a report that provides 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.

14. ANY OTHER URGENT BUSINESS