



Leicester  
City Council

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

**DATE: WEDNESDAY, 1 JULY 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 Patel (Chair)

Councillor Malik (Vice-Chair)

Councillors Alfonso, Hunter, Singh-Johal and Westley

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

## Attending meetings and access to information

You have the right to attend formal meetings such as full Council, committee meetings, City Mayor & Executive Public Briefing and Scrutiny Commissions and see copies of agendas and minutes. On occasion however, meetings may, for reasons set out in law, need to consider some items in private.

Dates of meetings and copies of public agendas and minutes are available on the Council's website at [www.cabinet.leicester.gov.uk](http://www.cabinet.leicester.gov.uk), from the Council's Customer Service Centre or by contacting us using the details below.

## Making meetings accessible to all

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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](http://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](mailto:Angie.Smith@leicester.gov.uk) or call in at City Hall, 115 Charles Street.

For Press Enquiries - please phone the **Communications Unit** on 0116 454 4151

## **PUBLIC SESSION**

### **AGENDA**

**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**

The Minutes of the previous meeting of the Audit and Risk Committee held on 31 March 2015 are attached, and Members will be asked to confirm them as a correct record.

**4. UPDATE ON ACTIONS ARISING FROM THE OFSTED REPORT ISSUED IN MARCH 2015, AND DISCUSSION ON THE CHILDREN, YOUNG PEOPLE AND FAMILIES RISK REGISTER**

**Appendix B**

The Strategic Director of Children's Services submits a report to provide information to the Audit and Risk Committee on work carried out to address the recommendations of the Ofsted report issued in March 2015, and the updated Strategic and Divisional Risk Registers and mitigating action. The Committee is recommended to receive the report and note its contents, and make any recommendations or comments it sees fit on the Strategic and Divisional Risk Registers.

**5. REVIEW OF THE ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY AND STRATEGY**

**Appendix C**

The Director of Finance submits a report to Committee on the review of the Anti-Fraud, Bribery and Corruption Policy and Strategy. The purpose of the report is for the Committee to review and approve, on an annual basis, the Council's anti-fraud and corruption and whistle-blowing policies and procedures.

**6. EXTERNAL AUDITOR'S ANNUAL AUDIT LETTER 2015-16**

**Appendix D**

The External Auditor submits an Annual Audit Letter which summarises the audit work and fee proposed for the 2015/16 financial year at Leicester City Council. The Committee are asked to note the report.

**7. ANNUAL APPROVAL OF THE POLICY FOR ENGAGEMENT OF EXTERNAL AUDITORS FOR NON-AUDIT WORK** [Appendix E](#)

The Director of Finance submits a report to seek the Audit and Risk Committee's annual approval of the 'Policy for Engagement of External Auditors for Non-Audit Work'. The Committee is recommended to approve the policy.

**8. PROPOSED SCHEDULE OF MEETINGS FOR THE FINANCIAL YEAR 2015-16** [Appendix F](#)

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

**9. RISK MANAGEMENT AND INSURANCE SERVICES UPDATE REPORT** [Appendix G](#)

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.

**10. INTERNAL AUDIT - 2ND QUARTER OPERATIONAL PLAN 2015-16** [Appendix H](#)

The Director of Finance presents to Committee the detailed operational audit plan for the second quarter of the financial year 2015-16, agreed by the Corporate Management Team and the Finance Management Team. The Audit and Risk Committee are asked to note the Internal Audit operational plan.

**11. REVIEW OF INTERNAL AUDIT**

The Head of Internal Audit and Risk Management will provide a verbal update on the commencement of the review of Internal Audit.

**12. ANY OTHER URGENT BUSINESS**