



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 23 MARCH 2016

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

One Labour Group vacancy

Two unallocated Non-Group Places

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,
City Hall, 115 Charles Street, Leicester, LE1 1FZ
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Email. Angie.Smith@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 & 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, from the Council's Customer Service Centre 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 Angie Smith, **Democratic Support** on (0116) 454 6354 or email 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

FIRE / EMERGENCY EVACUATION

If the emergency alarm sounds, you must evacuate the building immediately by the nearest available fire exit and proceed to 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

Appendix A

The Minutes of the previous meeting of the Audit and Risk Committee held on 10 February 2016 are attached, and Members will be asked to confirm them as a correct record.

4. EXTERNAL AUDIT PLAN 2015-16

Appendix B

The External Auditor submits a report to the Audit & Risk Committee 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 2015/16. The report also shows how the External Auditor's fee has been arrived at. The Committee are asked to note the report.

5. EXTERNAL AUDIT PROGRESS REPORT AND TECHNICAL UPDATE

Appendix C

The External Auditor submits a report to provide the Audit and Risk Committee with an overview on progress in delivering their responsibilities as external auditors, and highlights the main technical issues which are currently having an impact in local government. The Committee is asked to note the report.

6. KPMG LOCAL GOVERNMENT BUDGET SURVEY

Appendix D

The External Auditor submits a document to the Audit & Risk Committee to help Members during budget considerations over the next financial year. Members are asked to receive the document.

7. REGULATION OF INVESTIGATORY POWERS ACT 2000 - BI-ANNUAL PERFORMANCE REPORT JUNE 2015 TO DECEMBER 2015 [Appendix E](#)

The City Barrister and Head of Standards submits a report to the Audit & risk Committee on the performance of the Council in authorising Regulation of Investigatory Powers Act (RIPA) applications, from 1st June 2015 to 31st December 2015. 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. PROCUREMENT PLAN 2016-17 [Appendix F](#)

The Director of Finance submits to the Audit & Risk Committee the Council's Procurement Plan 2016-17, as required by the Contract Procedure Rules. The Committee is asked to note the report.

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

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 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 2015-16.
2. that no material changes to the Local Code of Corporate Governance are needed.
3. approve the unchanged Committee's terms of reference.

10. INTERNAL AUDIT - 1ST QUARTER PLAN 2016-17 [Appendix H](#)

The Director of Finance submits a report that sets out the Internal Audit operational plan for the first quarter of 2016-17. The Audit and Risk Committee is asked to note the report.

11. PROPOSED SCHEDULE OF MEETINGS FOR THE FINANCIAL YEAR 2016-17 [Appendix I](#)

The Director of Finance presents to the Audit and Risk Committee a proposed schedule of meetings and suggested agencies for the Financial Year 2016-17. 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.

12. RISK MANAGEMENT AND INSURANCE SERVICES **Appendix J**
UPDATE REPORT

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.

13. ANY OTHER URGENT BUSINESS