



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 28 JUNE 2017

TIME: 5:30 pm

PLACE: Meeting Room G.03, Ground Floor, City Hall, 115 Charles Street, Leicester, LE1 1FZ

Members of the Committee

Councillor Dawood (Chair)

Councillor Westley (Vice-Chair)

Councillors Alfonso, Bajaj, Dr Chowdhury, Hunter and Dr. Moore

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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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 22nd March 2017 are attached, and Members will be asked to confirm them as a correct record.

4. MEMBERSHIP OF THE AUDIT & RISK COMMITTEE 2017/18

Members are asked to note the membership of the Committee for 2017/18:

Councillor Dawood (Chair)
Councillor Westley (Vice-Chair)
Councillor Alfonso
Councillor Bajaj
Councillor Chowdhury
Councillor Hunter
Councillor Moore
(2 non-grouped places currently unallocated)

5. DATES OF MEETINGS OF THE AUDIT & RISK COMMITTEE 2017/18

Members are asked to note that the meeting dates of the Committee for the 2017/18 municipal year are currently scheduled as follows, all to commence 5.30pm:

28 June 2017
26 September 2017
6 December 2017
21 March 2018

6. IMPACT ON ADULT SOCIAL CARE OF THE CHANGES TO FUNDING IMPOSED BY THE GOVERNMENT

The Strategic Director of Adult Social Care and Health will provide a verbal update to the Committee for noting, as requested at the Audit & Risk Committee on 22 March 2017.

7. EXTERNAL AUDITORS' ANNUAL AUDIT FEES LETTER 2017/18 [Appendix B](#)

The External Auditor submits an Annual Audit Letter which summarises the audit work and fee proposed for the 2017/18 financial year at Leicester City Council. The Committee are asked to note the report.

8. INVOICE PAYMENT PERFORMANCE [Appendix C](#)

The Director of Finance submits a report to provide the Audit & Risk Committee and update on the timeliness of invoice payments the authority makes to its suppliers of goods and services. The Committee is asked to note the content of the report, and the work undertaken to meet the Executive pledge to improve the payment terms for small local business, and note that future update reports will only be presented to the Committee should invoice payment performance fall below acceptable standards.

9. AGENCY STAFF [Appendix D](#)

The Director of Finance submits a report to the Committee for noting on the use of agency staff and the associated procedures as requested at the Audit & Risk Committee meeting held on 22nd March 2017.

10. REGULATION OF INVESTIGATORY POWERS ACT 2000 - BI-ANNUAL PERFORMANCE REPORT, JANUARY 2017- JUNE 2017 [Appendix E](#)

The City Barrister and Head of Standards submits a report advising the Committee on the performance of the Council in authorising Regulatory Investigatory Powers Act 2000 (RIPA) applications from 1st January 2017 to 30 June 2017.

The Committee is recommended to note its contents and to make any recommendations or comments it sees fit either to the Executive or to the City Barrister and Head of Standards.

11. ANNUAL REPORT ON THE NATIONAL FRAUD INITIATIVE (NFI) [Appendix F](#)

The Director of Finance submits a report which provides information to the Committee on the National Fraud Initiative (NFI) exercises currently underway. The Committee is asked to note the report.

12. COUNTER-FRAUD ANNUAL REPORT 2016-17 [Appendix G](#)

The Director of Finance submits a report to provide information on counter-fraud activities during 2016-17 to the Committee, and is confined to the City Council's Corporate Investigations Team within Financial Services. The Committee is recommended to note its contents and to make any recommendations or comments it sees fit either to the Executive or the Director of Finance or the Director of Local Services and Enforcement.

13. REVIEW OF THE ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY AND STRATEGY [Appendix H](#)

The Director of Finance submits a report to Committee on the annual review of the Anti-Fraud, Bribery and Corruption Policy and Strategy, as required under the Terms of Reference of the Audit & Risk Committee. The Committee is recommended to note the report and approve the Policy and Strategy, and make any recommendations to the City Mayor and Executive or the Director of Finance.

14. OPERATIONAL AND STRATEGIC RISK REGISTERS / INSURANCE CLAIMS DATA [Appendix I](#)

The Director of Finance submits a report for noting to the Committee which provides and update on the Strategic and Operational Risk Registers and the change to reporting.

15. ANNUAL APPROVAL OF THE POLICY FOR ENGAGEMENT OF THE EXTERNAL AUDITOR FOR NON-AUDIT WORK [Appendix J](#)

The Director of Finance submits a report to seek the Audit & 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.

16. ANNUAL TIMETABLE OF REPORTS FOR THE AUDIT & RISK COMMITTEE [Appendix K](#)

The Head of Finance provides a timetable of scheduled reports for the meetings of the Audit & Risk Committee for noting.

17. ANY OTHER URGENT BUSINESS