



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 21 MARCH 2018

TIME: 5:30 pm

PLACE: Meeting Room G.01, 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: Anita James
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 & 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 Anita James, **Democratic Support on (0116) 454 6358** or email Anita.James2@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 6 December 2017 have been circulated, and Members will be asked to confirm them as a correct record.

4. EXTERNAL AUDIT PLAN 2017-18

The External Auditor (KPMG) will provide a verbal update to the meeting on how they will deliver their financial statements audit work for Leicester City Council.

5. ANNUAL REPORT - CERTIFICATION OF CLAIMS AND RETURNS (GRANTS)

Appendix B

The External Auditor (KPMG) submits an Annual Report that summarises the results of work carried out on the Council's 2016-17 grant claims and returns.

6. PROCUREMENT PLAN 2018-19

Appendix C

The Director of Finance submits the draft Council Procurement Plan 2018-19 as required by the Contract Procedure Rules.

7. REGULATION OF INVESTIGATORY POWERS ACT 2000 - BI-ANNUAL PERFORMANCE REPORT JULY 2017- DECEMBER 2017

Appendix D

The City Barrister and Head of Standards submits a report providing details on the performance of the Council in authorising Regulatory Investigation Powers

Act (RIPA) applications, from 1 July 2017 – 31 December 2017.

8. FINANCIAL AND ACCOUNTING DEVELOPMENTS UPDATE [Appendix E](#)

The Director of Finance submits a report updating on key changes currently affecting the Council and which might impact on the work of the Audit & Risk Committee.

9. RISK MANAGEMENT AND BUSINESS CONTINUITY STRATEGY AND POLICIES 2018 [Appendix F](#)

The Director of Finance submits a report presenting the revised Risk Management and Business Continuity Policy Statement and Strategies.

Members will be recommended to approve the updated: Corporate Risk Management Policy Statement and Strategy; and the Corporate Business Continuity Management Policy Statement and Strategy.

10. 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 and Head of Standards submit a joint report to seek approval of updates to the assurance and corporate governance processes at the City Council and to note the position with the Audit & Risk Committee's Terms of Reference.

Members will be recommended to approve the Assurance Framework and the Local Code of Corporate Governance.

Members will also be recommended to request a further report on revisions to the Audit & Risk Committee's Terms of Reference following publication of new national guidance.

11. THE INTERNAL AUDIT CHARTER [Appendix H](#)

The Director of Finance submits a report detailing a new Internal Audit Charter following the regular annual review and updates.

Members will be recommended to approve the Internal Audit Charter and agree that it accurately reflects the terms of reference of the internal audit function provided by Leicestershire County Council Internal Audit Service.

12. INTERNAL AUDIT PLAN 2018-19

The Head of Internal Audit & Assurance will give a verbal update to the meeting on the Internal Audit Plan for the financial year 2018-19.

13. PRIVATE SESSION

AGENDA

MEMBERS OF THE PUBLIC TO NOTE

Under the law, the Committee is entitled to consider certain items in private where in the circumstances the public interest in maintaining the matter exempt from publication outweighs the public interest in disclosing the information. Members of the public will be asked to leave the meeting when such items are discussed.

The Committee is recommended to consider the following report in private on the grounds that it will contain “exempt” information as defined by the Local Government (Access to Information) Act 1985, as amended, and consequently makes the following resolution:-

“that the press and public be excluded during the consideration of the following report in accordance with the provisions of Section 100A (4) of the Local Government Act 1972, as amended, because it involved the likely disclosure of “exempt” information, as defined in the Paragraph detailed below of Part 1 of Schedule 12A of the Act, and taking all the circumstances into account, it is considered that the public interest in maintaining the information as exempt outweighs the public interest in disclosing the information.”

Paragraph 3

Information relating to the financial or business affairs of any particular person (including the authority holding that information).

This report concerns the strength of internal controls in the City Council's financial and management processes and includes references to material weaknesses and areas thereby vulnerable to fraud or other irregularity. It is considered that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

14. INTERNAL AUDIT UPDATE REPORT - 2017/18 - TO [Appendix I](#) END OF JANUARY 2018

The Director of Finance submits a report presenting a summary of internal audit work completed during the financial year 2017-18 to end of January 2018.

15. ANY OTHER URGENT BUSINESS

