



Leicester  
City Council

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

**DATE: WEDNESDAY, 13 JUNE 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 Riyait (Chair)

Councillor Westley (Vice-Chair)

Councillors Alfonso, Bajaj, Dr Chowdhury and Dr. Moore

One Labour Group unallocated place

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,*  
*City Hall, 115 Charles Street, Leicester, LE1 1FZ*  
*Tel. 0116 454 6358*  
*Email. [Anita.James2@Leicester.gov.uk](mailto:Anita.James2@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](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

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](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 Anita James, **Democratic Support on (0116) 454 6358** or email [Anita.James2@leicester.gov.uk](mailto: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 the 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 HELD 21ST MARCH 2018 [Appendix A](#)**

The Minutes of the previous meeting of the Audit and Risk Committee held on 21<sup>st</sup> March 2018 are attached, and Members will be asked to confirm them as a correct record.

#### **4. MEMBERSHIP OF THE AUDIT & RISK COMMITTEE 2018/19**

Members are asked to note the membership of the Committee for 2018/19:  
Councillor Riyait (Chair)  
Councillor Westley (Vice-Chair)  
Councillor Alfonso  
Councillor Bajaj  
Councillor Dr Chowdhury  
Councillor Dr Moore  
1 Labour Group place unallocated  
2 non-Group places unallocated

#### **5. DATES OF MEETINGS OF THE AUDIT & RISK COMMITTEE 2018/19**

Members are asked to note that the meeting dates of the Committee for the 2018/19 municipal year are scheduled as follows:

Wednesday 13<sup>th</sup> June 2018  
Wednesday 25<sup>th</sup> July 2018

Wednesday 12<sup>th</sup> September 2018  
Tuesday 27<sup>th</sup> November 2018  
Wednesday 6<sup>th</sup> March 2019

All meetings to commence at 5.30pm, with any Members training or briefings to take place at 5.00pm.

**6. EXTERNAL AUDIT PLAN 2017/18** **Appendix B**

The External Auditor (KPMG) submits a report that sets out how they will deliver their financial statements audit work (including Annual Governance Statement) for Leicester City Council and the approach for value for money work for 2017/18.

The committee are asked to note the report.

**7. EXTERNAL AUDITORS ANNUAL AUDIT FEES LETTER 2018/19** **Appendix C**

The External Auditor submits an Annual Audit Letter which summarises the audit work and fee proposed for 2018/19 financial year at Leicester City Council.

The committee are asked to note the report.

**8. THE COUNCIL'S DRAFT ANNUAL GOVERNANCE STATEMENT 2017/18** **Appendix D**

The Director of Finance submits a report to provide an opportunity for comment on the Council's Draft Annual Governance Statement for the financial year 2017/18.

The committee are asked to consider the Draft Annual Governance Statement 2017/2018 and recommend any changes it sees fit.

**9. THE DRAFT STATUTORY STATEMENT OF ACCOUNTS 2017/18** **Appendix E**

The Director of Finance submits a report to provide an opportunity for comment on the Council's Draft Statement of Accounts 2017/18.

The committee are asked to consider the Draft Statement of Accounts 2017/18 and recommend any changes it sees fit.

**10. INTERNAL AUDIT SERVICE - PEER REVIEW OUTCOME** **Appendix F**

The Head of Internal Audit & Assurance submits a report to inform the outcome of a peer review conducted at Leicestershire County Council's Internal Audit Service.

The committee are asked to review and note the outcome of the peer review.

**11. INTERNAL AUDIT SERVICE ANNUAL PLAN 2018/19**      **Appendix G**

The Head of Internal Audit & Assurance submits the Internal Audit Service Annual Plan 2018/19 to provide the Committee with an indication of internal audit work planned to be conducted during 2018/19.

The committee are asked to makes any recommendations or comments and to approve the plan.

**12. ANNUAL TIMETABLE OF REPORTS FOR THE AUDIT & RISK COMMITTEE**      **Appendix H**

The Head of Finance provides a timetable of scheduled reports for the meetings of the Audit & Risk Committee during 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 reports in private on the grounds 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 consideration of the following report in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because it involves 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 of 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.

INTERNAL AUDIT UPDATE REPORT, 2017/18 – APPENDIX I

INTERNAL AUDIT SERVICE ANNUAL REPORT 2017/18 – APPENDIX J

**14. INTERNAL AUDIT SERVICE 2017/18 Q4 UPDATE** [Appendix I](#)

Head of Internal Audit & Assurance submits the Internal Audit Service update report for Q4 2017/18 including summary information on high importance recommendations and progress with implementing them.

The Committee are asked to note the update and key issues identified.

**15. INTERNAL AUDIT SERVICE ANNUAL REPORT 2017/18** [Appendix J](#)

Head of Internal Audit & Assurance submits the Internal Audit Annual Report 2017/18 detailing the internal audit work conducted during 2017/18. The report also contains information on the internal audit function's conformance to professional standards and its quality assurance framework.

The committee are asked to note the contents of the report and make comments or recommendations as appropriate.

**16. ANY OTHER URGENT BUSINESS**