



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 6 MARCH 2019

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: Jason Tyler
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 19 December 2018 are attached, and Members are asked to confirm them as a correct record.

4. KPMG - ANNUAL REPORT - CERTIFICATION OF CLAIMS AND RETURNS

Appendix B

The letter from KPMG concerning the Certification of Claims and Returns - Annual Report 2017/18 is attached.

5. HOUSING BENEFIT SUBSIDY ARRANGEMENTS - UPDATE

The Head of Revenues and Customer Support will provide a verbal update on Housing Benefit subsidy arrangements.

6. THE IMPACT OF BREXIT ON LEICESTER CITY COUNCIL

Appendix C

The Chief Operating Officer and Director of Delivery, Communications and Political Governance submit a report, which sets out the findings of the impact/risk analysis carried out on Brexit by Officers.

7. RISK MANAGEMENT UPDATE

Appendix D

The Director of Delivery, Communications and Political Governance submits a

report, which presents an update on the Strategic and Operational Risk Registers, Claims data and Health & Safety data.

8. RISK MANAGEMENT AND BUSINESS CONTINUITY STRATEGY AND POLICIES 2019 [Appendix E](#)

The Director of Delivery, Communications and Political Governance submits a report, which presents the revised Risk Management and Business Continuity Policy Statement and Strategies.

9. REGULATION OF INVESTIGATORY POWERS ACT 2000 - BIENNIAL PERFORMANCE REPORT [Appendix F](#)

The City Barrister and Head of Standards submits a report, which advises on the performance of The Council in authorising Regulatory Investigation Powers Act (RIPA) applications, from 1 July 2018 to 31 December 2018.

10. THE JOINT DFE AND LGA TEST OF ASSURANCE [Appendix G](#)

The Strategic Director of Social Care and Education submits a report, which summarises the process and outcome of the Local Authority Test of Assurance undertaken by the Local Government Association (LGA) in November 2018.

11. PROCUREMENT PLAN 2019/20 [Appendix H](#)

The City Barrister and Head of Standards submits a report, which seeks approval of the 2019/20 Procurement Plan and to provides information on potential major procurement activity across the Council.

12. GRANT THORNTON - EXTERNAL AUDIT PLAN - YEAR ENDING 31 MARCH 2019 [Appendix I](#)

The 'External Audit Plan' report prepared by Grant Thornton, which provides an overview of the planned scope and timing of the statutory audit of the Council, is attached.

13. GRANT THORNTON - INFORMING THE AUDIT RISK ASSESSMENT [Appendix J](#)

The 'Informing the Risk Assessment' report prepared by Grant Thornton, which covers important areas of the auditor risk assessment under auditing standards, is attached.

14. ANNUAL REVIEW OF THE COUNCIL'S LOCAL CODE OF CORPORATE GOVERNANCE AND THE COMMITTEE'S TERMS OF REFERENCE [Appendix K](#)

The Director of Finance and the City Barrister & Head of Standards submit a report, which presents for approval updates to the assurance and corporate

governance processes at the City Council and to approve the Local Code of Corporate Governance.

15. PRIVATE SESSION

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.

APPENDIX L - INTERNAL AUDIT UPDATE REPORT

16. INTERNAL AUDIT SERVICE - PROGRESS AGAINST [Appendix L](#) THE 2018-19 PLAN

Leicestershire County Council’s Head of Internal Audit & Assurance Service submits a report, which provides a summary of progress against the Internal Audit Plan 2018-19, and summary information on high importance recommendations and progress with implementing them.

17. ANY OTHER URGENT BUSINESS

