



Leicester
City Council

MEETING OF THE AUDIT AND RISK COMMITTEE

DATE: WEDNESDAY, 18 SEPTEMBER 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 Pantling (Chair)
Councillor O'Donnell (Vice-Chair)
Councillors Bajaj, Joshi, Kaur Saini, Dr. Moore and Rahman

One Non-Group vacancy (to be notified)

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,
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: Jason Tyler, Democratic Support on (0116) 454 6359 or email Jason.Tyler@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
(Pages 1 - 8)

The Minutes of the previous meeting of the Audit and Risk Committee held on 24 July 2019 are attached and Members will be asked to confirm them as a correct record.

4. DRAFT OF THE COMMITTEE'S ANNUAL REPORT TO COUNCIL 2018-19

Appendix B
(Pages 9 - 14)

The Director of Finance submits a report, which will be presented to Council as an annual report of the Committee, setting out the achievements over the municipal year 2018-19.

5. ANNUAL AUDIT LETTER

Appendix C
(Pages 15 - 28)

The External Auditor (Grant Thornton) submits the Annual Audit Letter, which summarises the key findings arising from the work carried out at the Council for the year ended 31 March 2019.

6. ANNUAL REPORT ON THE NATIONAL FRAUD INITIATIVE **Appendix D**
(Pages 29 - 32)

The Director of Finance submits a report, which provides information on the National Fraud Initiative (NFI) exercises currently underway.

7. REVIEW OF THE ANTI-FRAUD, BRIBERY AND CORRUPTION POLICY AND STRATEGY **Appendix E**
(Pages 33 - 50)

The Director of Finance submits a report, which requests the Committee to review and approve the Council's Anti-Fraud, Bribery and Corruption Policy.

8. CORPORATE COMPLAINTS (NON STATUTORY) 2018/19 **Appendix F**
(Pages 51 - 58)

The Director of Finance submits a report, which provides an update on corporate non-statutory complaints in 2018/19.

9. RISK MANAGEMENT UPDATE REPORT **Appendix G**
(Pages 59 - 128)

The Director of Delivery, Communications and Political Governance submits a report, which presents an update on the Strategic and Operational Risk Registers and Claims data and Health & Safety data.

10. 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).

The following reports concern 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.

Item 11

INTERNAL AUDIT – PROGRESS REPORT

11. INTERNAL AUDIT UPDATE REPORT

Appendix H
(Pages 129 - 140)

The Internal Auditor submits a report, which to provides a summary of progress against the 2018-19 and 2019-20 Internal Audit Plans, including information on resources used to progress the plans and a summary on high importance recommendations and progress with implementing them.

12. ANY OTHER URGENT BUSINESS