



Audit and Risk Management Committee

Date: TUESDAY, 9 SEPTEMBER 2014
Time: 2.15 pm ** PLEASE NOTE START TIME **
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

Members: Alderman Nick Anstee (Chairman)
Nigel Challis (Deputy Chairman)
Jamie Ingham Clark
Oliver Lodge
Hilary Daniels (External Member)
Kenneth Ludlam (External Member)
Caroline Mawhood (External Member)
Alderman Timothy Hailes
Alderman Charles Bowman
Revd Dr Martin Dudley
Alderman Ian Luder
Graeme Smith
Roger Chadwick (Ex-Officio Member)
Jeremy Mayhew (Ex-Officio Member)
Hugh Morris (Ex-Officio Member)

Enquiries: Julie Mayer
tel. no.: 020 7332 1410
julie.mayer@cityoflondon.gov.uk

Lunch will be served in the Guildhall Club at 1pm

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 22 July 2014.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS OF THE COMMITTEE**
Report of the Town Clerk.

For Information
(Pages 9 - 10)
5. **MITIGATION OF CR11 - HAMPSTEAD HEATH PONDS PROJECT - RISK UPDATE**
Report of the Director of the Built Environment.

For Information
(Pages 11 - 22)
6. **CORPORATE RISK REVIEW - CR18 - WORKFORCE PLANNING**
Report of the Director of HR.

For Information
(Pages 23 - 28)
7. **CORPORATE RISK REVIEW - CR16 - INFORMATION SECURITY AND GOVERNANCE**
Report of the Chamberlain.

For Information
(Pages 29 - 40)
8. **RISK MANAGEMENT UPDATE**
Report of the Chamberlain.

For Information
(Pages 41 - 64)
9. **INTERNAL AUDIT PROGRESS REPORT**
Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 65 - 82)

10. **INTERNAL AUDIT RECOMMENDATIONS FOLLOW-UP REPORT**

Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 83 - 90)

11. **INVESTIGATIONS UPDATE REPORT**

Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 91 - 96)

12. **SOCIAL HOUSING TENANCY FRAUD - ANTI-FRAUD AND PROSECUTION
POLICY AND DELEGATED AUTHORITY TO AUTHORISE CRIMINAL
PROCEEDINGS**

Report of the Chamberlain.

For Information
(Pages 97 - 108)

13. **COMMITTEE WORK PROGRAMME**

Report of the Town Clerk.

For Information
(Pages 109 - 112)

14. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

15. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

16. **EXCLUSION OF THE PUBLIC**

RESOLVED: That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

For Decision

Part 2 - Non-Public Agenda

17. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the Non-Public minutes of the meeting held on 22 July 2014.

For Decision
(Pages 113 - 114)

18. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

19. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

Part 3 - Confidential Agenda

20. **RISK MANAGEMENT CHALLENGE SESSION**
Report of the Chamberlain.

For Discussion
(Pages 115 - 126)