



Audit and Risk Management Committee

Date: MONDAY, 8 DECEMBER 2014
Time: 1.45 pm
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

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

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Lunch will be served in the Guildhall Club at 1pm
NB: Part of this meeting could be the subject of audio video recording

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 4th November 2014.
For Decision
(Pages 1 - 6)
4. **OUTSTANDING ACTIONS OF THE COMMITTEE**
Members are asked to note the Committee's outstanding actions list.
For Information
(Pages 7 - 8)
5. **THE CARE QUALITY COMMISSION (CQC) ROUTINE INSPECTION OF ADULT SOCIAL CARE REABLEMENT SERVICE**
Report of the Director of Community and Children's Services.
For Information
(Pages 9 - 30)
6. **MOORE STEPHENS ANNUAL AUDIT PLAN FOR THE NON-LOCAL AUTHORITY FUNDS**
Report of the External Auditors.
For Information
(Pages 31 - 50)
7. **INTERNAL AUDIT UPDATE REPORT**
Report of the Head of Internal Audit and Risk Management.
For Information
(Pages 51 - 68)
8. **INTERNAL AUDIT RECOMMENDATIONS FOLLOW-UP REPORT**
Report of the Head of Internal Audit and Risk Management.
For Information
(Pages 69 - 76)
9. **ANTI FRAUD AND INVESTIGATION UPDATE REPORT**
Report of the Chamberlain.
For Information
(Pages 77 - 84)
10. **RISK MANAGEMENT UPDATE**
Report of the Chamberlain.
For Information
(Pages 85 - 120)

11. **TERMS OF REFERENCE AND FREQUENCY OF MEETINGS OF THE AUDIT AND RISK MANAGEMENT MEETING**
Report of the Town Clerk.

For Decision
(Pages 121 - 126)

12. **COMMITTEE WORK PROGRAMME**
Members are asked to note the Committee's Workplan (*updates are shown in italics*).
For Information
(Pages 127 - 130)

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

14. **ANY OTHER BUSINESS WHICH THE CHAIRMAN CONSIDERS URGENT**

15. **EXCLUSION OF THE PUBLIC**

MOTION: 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

16. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To approve the non-public minutes of the meeting held on 4th November 2014.

For Decision
(Pages 131 - 132)

17. **SERVICE BASED REVIEW**
Joint report of the Chamberlain and the Head of Internal Audit and Risk Management.

For Decision
(Pages 133 - 156)

18. **HAMPSTEAD HEATH PONDS PROJECT - PRE-AUTHORITY TO START WORK - ISSUE REPORT**
Report of the Director of the Built Environment.

This report was approved by the Hampstead Heath, Highgate Wood and Queens Park Committee on 24 November 2014 and will be considered at the Projects Sub Committee on 9th December 2014.

For Decision
(Pages 157 - 168)

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

20. **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

21. **CHIEF OFFICER FLEXIBLE RETIREMENT**
Report of the Director of HR.

This report was received at the Establishment Committee on 18th September 2014.
For Information