



Audit and Risk Management Committee

Date: TUESDAY, 23 MAY 2017

Time: 2.00 pm

Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

Members:	Randall Anderson	Deputy Jamie Ingham Clark (Ex-Officio Member)
	Alderman Nick Anstee	
	Chris Boden	Alderman Ian Luder
	Alderman Charles Bowman	Kenneth Ludlam (External Member)
	Henry Colthurst	Paul Martinelli
	Hilary Daniels (External Member)	Caroline Mawhood (External Member)
	Sheriff & Alderman Peter Estlin	Jeremy Mayhew (Ex-Officio Member)

Enquiries: Julie Mayer
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Lunch will be served in 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. **ORDER OF THE COURT**
To note the Order of the Court dated 27th April 2017.
For Information
4. **ELECTION OF CHAIRMAN**
To Elect a Chairman in Accordance with Standing Order 29.
For Decision
5. **ELECTION OF DEPUTY CHAIRMAN**
To Elect a Deputy Chairman in Accordance with Standing Order 30.
For Decision
6. **MINUTES OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 7th February 2017.
For Decision
(Pages 1 - 8)
7. **POLICE PERFORMANCE AND RESOURCES MANAGEMENT SUB COMMITTEE**
To Co-opt Two Members to the Police Performance and Resources Management Sub Committee.
For Decision
8. **COMMITTEE WORK PROGRAMME**
Members are asked to note the Committee's Work Programme for 2017/18.
For Information
(Pages 9 - 10)
9. **HMIC - CITY OF LONDON POLICE INSPECTION -UPDATE**
Report of the Commissioner – City of London Police.
For Information
(Pages 11 - 16)
10. **CARE QUALITY COMMISSION INSPECTION - REABLEMENT SERVICES**
Report of the Director of Community and Children's Services.
For Information
(Pages 17 - 22)

11. **EXTERNAL QUALITY ASSESSMENT - AN EXTERNAL REVIEW OF INTERNAL AUDIT IN THE CITY OF LONDON CORPORATION**
Report of the Head of Internal Audit and Risk Management.
- For Decision**
(Pages 23 - 30)
12. **INTERNAL AUDIT CHARTER - UPDATE 2017**
Report of the Head of Internal Audit and Risk Management.
- For Decision**
(Pages 31 - 40)
13. **HEAD OF INTERNAL AUDIT OPINION AND ANNUAL REPORT 2016/17**
Report of the Head of Internal Audit and Risk Management.
- For Information**
(Pages 41 - 46)
14. **INTERNAL AUDIT PLAN 2017/18**
Report of the Head of Internal Audit and Risk Management.
- For Decision**
(Pages 47 - 52)
15. **RISK UPDATE**
Report of the Chamberlain.
- For Decision**
(Pages 53 - 96)
16. **DEEP DIVE RISK REVIEW: CR09 - CORPORATE HEALTH AND SAFETY**
Report of the Director of HR.
- For Information**
(Pages 97 - 104)
17. **DEEP DIVE RISK REVIEW: CR16 - INFORMATION SECURITY**
Report of the Chamberlain.
- For Information**
(Pages 105 - 128)
18. **EXTERNAL AUDIT PLANS FOR THE CITY FUND AND PENSION FUND FOR THE YEAR ENDED 2017**
Reports of the External Auditor.
- For Information**
(Pages 129 - 170)

19. **DECISIONS TAKEN UNDER DELEGATED AUTHORITY SINCE THE LAST MEETING OF THE COMMITTEE**
Report of the Town Clerk.

For Information
(Pages 171 - 172)

20. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
21. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
22. **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

23. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**

To agree the Non-Public minutes of the meeting held on 7 February 2017.

For Decision
(Pages 173 - 174)

24. **WAIVER REPORT - NON-LOCAL AUTHORITY FUNDS EXTERNAL AUDIT SERVICES.**

Report of the Chamberlain.
This report was approved by the Finance Committee on 2nd May 2017.

For Information
(Pages 175 - 184)

25. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
26. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

Part 3 - Closed Session

for Members of the Audit and Risk Management Committee with the External Auditors, BDO