



Audit and Risk Management Committee

Date: TUESDAY, 6 MARCH 2018

Time: 2 PM

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

Members:

Alderman Ian Luder (Chairman)	Deputy Jamie Ingham Clark (Ex-Officio Member)
Alderman Nick Anstee (Deputy Chairman)	Kenneth Ludlam (External Member)
Randall Anderson	Paul Martinelli
Alexander Barr	Caroline Mawhood (External Member)
Chris Boden	Jeremy Mayhew (Ex-Officio Member)
Alderman Charles Bowman	Hugh Morris (Ex-Officio Member)
Henry Colthurst	
Hilary Daniels (External Member)	1 x vacancy
Alderman Peter Estlin	

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**PLEASE NOTE: A WORKING LUNCH WILL BE AVAILABLE IN
THE COMMITTEE ROOM FROM 12.45 PM**

THEE RISK CHALLENGE SESSION WILL COMMENCE AT 1 PM

THE COMMITTEE MEETING WILL START AT 2PM

**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 16th January 2018.

For Decision
(Pages 1 - 8)

4. **OUTSTANDING ACTIONS OF THE COMMITTEE**

Report of the Town Clerk.

For Information
(Pages 9 - 12)

5. **COMMITTEE WORK PROGRAMME**

Report of the Town Clerk.

For Information
(Pages 13 - 16)

6. **DEEP DIVE RISK REVIEWS**

For Information

a) **CR10 Adverse Political Consequences** (Pages 17 - 20)
Report of the Remembrancer.

b) **CR16 Information Security** (Pages 21 - 38)
Report of the Chamberlain.

7. **FIRE SAFETY UPDATE**

Report of the Director of Community and Children's Services.

For Information
(Pages 39 - 44)

8. **INTERNAL AUDIT UPDATE**

Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 45 - 56)

9. **2018/19 TO 2020/21 - DRAFT INTERNAL AUDIT PLAN**

Report of the Head of Internal Audit and Risk Management.

Please note – Appendix 1 to this report is fairly long and detailed. It will therefore be provided electronically, separate to the main agenda, and printed copies will be available at the meeting.

For Decision
(Pages 57 - 64)

10. **INTERNAL AUDIT CHARTER - UPDATE 2018**

Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 65 - 82)

11. **ANNUAL GOVERNANCE STATEMENT - METHODOLOGY**

Report of the Town Clerk.

For Decision
(Pages 83 - 88)

12. **BRIDGE HOUSE ESTATES, CITY'S CASH, CITY'S CASH TRUSTS, THE CORPORATIONS SUNDRY TRUSTS & OTHER ACCOUNTS EXTERNAL AUDIT STRATEGY & PLANNING REPORT ON THE 2017-18 FINANCIAL STATEMENTS**

Report of the External Auditors, Moore Stephens. TO FOLLOW

13. **CITY FUND AND PENSION FUND ACCOUNTS EXTERNAL AUDIT STRATEGY & PLANNING REPORT ON THE 2017-18 FINANCIAL STATEMENTS**

Report of the External Auditors, BDO.

For Information

- a) **City Fund** (Pages 89 - 110)
- b) **Pension Fund** (Pages 111 - 128)
- c) **Grant Claims and Returns Certification** (Pages 129 - 134)

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 16th January 2018.

For Decision
(Pages 135 - 136)

18. **CITY OF LONDON POLICE PROGRAMME MANAGEMENT AUDIT**

Report of the Head of Internal Audit and Risk Management.

Please note: this report has been added at the request of Member of this Committee, who also serves on the Police Performance and Resource Management Sub Committee.

For Information
(Pages 137 - 170)

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**

At the end of the meeting, Members will have an opportunity to speak to the External Auditors, in closed session