



## **Audit and Risk Management Committee**

**Date:** TUESDAY, 7 MAY 2019  
**Time:** 2.00 pm  
**Venue:** COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

**Members:** Randall Anderson  
Alderman Nick Anstee  
Alexander Barr  
Chris Boden  
Hilary Daniels (External Member)  
Anne Fairweather  
Alderman John Garbutt  
Alderman Ian Luder  
Kenneth Ludlam (External Member)  
Paul Martinelli  
Caroline Mawhood (External Member)  
Andrien Meyers  
John Petrie  
Chairman of the Finance Committee (Ex-Officio Member)  
Deputy Chairman of the Finance Committee (Ex-Officio Member)  
Representative of the Policy and Resources Committee (Ex-Officio Member)

**Enquiries:** Chloe Rew  
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[chloe.rew@cityoflondon.gov.uk](mailto:chloe.rew@cityoflondon.gov.uk)

**N.B. Part of this meeting may be subject to audio-visual recording.**

**Lunch will be served in the Guildhall Club at 1.15pm.**

**John Barradell  
Town Clerk**

# AGENDA

## Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **COURT ORDER**  
To receive the Order of the Court of Common Council appointing the Committee dated 25 April 2019.  

**For Information**  
(Pages 1 - 2)
4. **ELECTION OF THE CHAIRMAN**  
To elect a Chairman in accordance with Standing Order No. 29.  

**For Decision**
5. **ELECTION OF THE DEPUTY CHAIRMAN**  
To elect a Deputy Chairman in accordance with Standing Order No. 30.  

**For Decision**
6. **APPOINTMENT OF SUBCOMMITTEES**  
Report of the Town Clerk.  

**For Decision**  
(Pages 3 - 8)
7. **MINUTES OF THE PREVIOUS MEETING**  
To agree the public minutes and non-public summary of the meeting held on 12 March 2019.  

**For Decision**  
(Pages 9 - 18)
8. **OUTSTANDING ACTIONS OF THE COMMITTEE**  
Members are asked to note the Committee's Outstanding Actions List.  

**For Information**  
(Pages 19 - 20)
9. **COMMITTEE WORK PROGRAMME**  
Members are asked to note the Committee's Work Programme.  

**For Information**  
(Pages 21 - 24)

## **Governance**

10. **ANNUAL GOVERNANCE STATEMENT 2018/19**  
Joint report of the Town Clerk & the Chamberlain.

**For Decision**  
(Pages 25 - 48)

### **Internal Audit/ Corporate Anti-Fraud**

11. **HEAD OF INTERNAL AUDIT OPINION AND ANNUAL REPORT 2018/19**  
Report of the Head of Audit and Risk Management.

**For Information**  
(Pages 49 - 56)

12. **INTERNAL AUDIT RECOMMENDATIONS FOLLOW-UP**  
Report of the Head of Audit & Risk Management.

**For Information**  
(Pages 57 - 82)

13. **INTERNAL AUDIT CHARTER - UPDATE 2019**  
Report of the Head of Audit and Risk Management.

**For Decision**  
(Pages 83 - 100)

### **Risk Management**

14. **RISK MANAGEMENT UPDATE - TO FOLLOW**  
Report of the Chamberlain.

**For Decision**

15. **PLANNING AND TRANSPORTATION COMMITTEE RESOLUTION REGARDING  
CR20: ROAD SAFETY**  
To consider a resolution of the Planning and Transportation Committee regarding  
CR20: Road Safety.

**For Decision**  
(Pages 101 - 102)

16. **DEEP DIVE RISK REVIEW**

- a) **CR17 Safeguarding**  
Report of the Director of Community and Children's Services.

**For Information**  
(Pages 103 - 112)

b) **CR10 Adverse Political Developments - TO FOLLOW**

Report of the Remembrancer.

**For Information**

17. **REFERENCE FROM THE STANDARDS COMMITTEE - TO FOLLOW**

To receive a reference from the Standards Committee meeting of 3 May 2019.

**For Information**

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

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

20. **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.

<b>Item</b>	<b>Paragraph</b>
21	3
22	3 & 5
23	3

**Part 2 - Non-Public Agenda**

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

To agree the non-public minutes of the meeting held 12 March 2019.

**For Decision**  
(Pages 113 - 114)

22. **CR28: ACTION FRAUD RISK - TO FOLLOW**

Report of the Chamberlain.

**For Information**

23. **NON-PUBLIC APPENDIX FOR DEEP DIVE: CR17 SAFEGUARDING**

Appendix to be read in conjunction with Agenda Item 16a Deep Dive: CR17 Safeguarding.

**For Information**  
(Pages 115 - 120)

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