



Audit and Risk Management Committee

Date: TUESDAY, 13 MAY 2014

Time: 1.45pm

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

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

Enquiries: Julie Mayer
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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. **ORDER OF THE COURT OF COMMON COUNCIL**
To receive the Order of the Court of Common Council from 1 May 2014.
For Information
(Pages 1 - 4)
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 4 March 2014.
For Decision
(Pages 5 - 14)
7. **OUTSTANDING ACTIONS OF THE COMMITTEE**
Report of the Town Clerk.
For Decision
(Pages 15 - 18)
8. **CORPORATE RISK 2 - SUPPORTING THE BUSINESS CITY**
Report of the Director of Economic Development.
For Decision
(Pages 19 - 24)
9. **CORPORATE RISK 16 - INFORMATION SECURITY**
Report of the Chamberlain.
For Information
(Pages 25 - 36)
10. **RISK MANAGEMENT UPDATE**
Report of the Chamberlain.
For Decision
(Pages 37 - 122)
11. **ANTI FRAUD AND INVESTIGATION UPDATE**
Report of the Chamberlain.
For Information
(Pages 123 - 142)

12. **USE OF ON-LINE TRAINING AND LESSONS LEARNT**
Joint report of the Chamberlain and Director of HR.
For Information
(Pages 143 - 146)
13. **REPLACEMENT WHISTLEBLOWING POLICY**
Joint Report of the Chamberlain and the Director of HR.
For Decision
(Pages 147 - 160)
14. **INTERNAL AUDIT UPDATE REPORT**
Report of the Chamberlain.
For Information
(Pages 161 - 170)
15. **INTERNAL AUDIT RECOMMENDATIONS FOLLOW-UP REPORT**
Report of the Chamberlain.
For Information
(Pages 171 - 180)
16. **PUBLIC SECTOR INTERNAL AUDIT STANDARDS - PEER REVIEW**
Report of the Chamberlain.
For Information
(Pages 181 - 192)
17. **HEAD OF INTERNAL AUDIT OPINION AND ANNUAL REPORT - TO FOLLOW**
Report of the Head of Internal Audit and Risk Management.
18. **ANNUAL GOVERNANCE STATEMENT 2013/14**
Report of the Town Clerk.
For Decision
(Pages 193 - 220)
19. **COMMITTEE WORK PROGRAMME**
Report of the Town Clerk.
For Decision
(Pages 221 - 222)
20. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
21. **ANY OTHER BUSINESS WHICH 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.

Part 2 - Non-Public Agenda

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

To agree the Non-Public minutes of the meeting held on 4 March 2014.

For Decision
(Pages 223 - 224)

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**

Part 3 - Confidential Agenda

26. **PRIVATE MEMBER MEETING WITH THE HEAD OF INTERNAL AUDIT**