



Audit and Risk Management Committee

Date: TUESDAY, 6 NOVEMBER 2018

Time: 2.00 pm

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

Members:

Alderman Ian Luder (Chairman)	Deputy Jamie Ingham Clark (Ex-Officio Member)
Alexander Barr (Deputy Chairman)	Kenneth Ludlam (External Member)
Hilary Daniels (Deputy Chairman, External Member)	Paul Martinelli
Randall Anderson	Caroline Mawhood (External Member)
Alderman Nick Anstee	Jeremy Mayhew (Ex-Officio Member)
Chris Boden	Andrien Meyers
Anne Fairweather	John Petrie
Marianne Fredericks	
Alderman John Garbutt	

Enquiries: Julie Mayer
tel. no.: 020 7332 1410
julie.mayer@cityoflondon.gov.uk

PLEASE NOTE THAT LUNCH IS SERVED IN THE COMMITTEE ROOM AT 12.45 PM
PRIOR TO THE CHIEF OFFICER RISK CHALLENGE SESSION AT 1PM,
ALSO IN THE COMMITTEE ROOM

Please note that part of the Committee Meeting (at 2pm) may be subject to audio/visual 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 25 September 2018.

For Decision
(Pages 1 - 6)

4. **COMMITTEE WORK PROGRAMME**

Member are asked to note the Committee's Work Programme.

For Information
(Pages 7 - 8)

Financial Statements and External Audit

5. **CITY'S CASH FINANCIAL STATEMENTS 2017/18**

Report of the Chamberlain.

Please note that Annexe 3 to this report – Moore Stephens Audit Management Report is appended to Agenda item 6.

For Decision
(Pages 9 - 80)

6. **CITY'S CASH FUNDS AND SUNDRY TRUST FUNDS ANNUAL REPORTS AND FINANCIAL STATEMENTS 2017/18**

Report of the Chamberlain.

For Decision
(Pages 81 - 116)

Internal Audit

7. **INTERNAL AUDIT UPDATE REPORT**

Report of the Head of Internal Audit and Risk Management.

For Information
(Pages 117 - 130)

Risk Management

8. DEEP DIVE RISK REVIEWS

For Information

a) **Air Quality** (Pages 131 - 144)

Report of the Director of Markets and Consumer Protection.

b) **Health and Safety** (Pages 145 - 156)

Report of the Director of Human Resources.

9. NEW CORPORATE RISK - BREXIT

Report of the Chamberlain.

For Decision
(Pages 157 - 162)

Governance

10. GENERAL DATA PROTECTION REGULATION (GDPR) AUDIT

Report of the Comptroller and City Solicitor

For Information
(Pages 163 - 202)

Anti-Fraud and Corruption

11. ANTI FRAUD AND CORRUPTION - HALF YEARLY UPDATE

Report of the Chamberlain.

For Information
(Pages 203 - 214)

12. LONDON COUNTER FRAUD HUB - ONBOARDING

Report of the Chamberlain.

For Decision
(Pages 215 - 218)

External Inspections

13. FIRE SAFETY REVIEW - UPDATE ON THE RISK ASSESSMENTS AND ACTION PLAN.

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

For Information
(Pages 219 - 236)

- 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 25 September 2018.

For Decision
(Pages 237 - 238)

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