



Audit and Risk Management Committee

Date: TUESDAY, 12 MARCH 2019
Time: 2.00 pm
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

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

Enquiries: Chloe Rew
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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. **MINUTES OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 15 January 2019.

For Decision
(Pages 1 - 8)

4. **OUTSTANDING ACTIONS OF THE COMMITTEE**
Members are asked to note the Committee's Outstanding Actions List.

For Information
(Pages 9 - 12)

5. **COMMITTEE WORK PROGRAMME**
Members are asked to note the Committee's Work Programme.

For Information
(Pages 13 - 14)

Internal Audit

6. **2019-20 TO 2021-22 INITIAL DRAFT INTERNAL AUDIT PLAN**
Report of the Head of Audit and Risk Management.

For Decision
(Pages 15 - 42)

7. **INTERNAL AUDIT UPDATE REPORT**
Report of the Head of Audit and Risk Management.

For Information
(Pages 43 - 56)

8. **INTERNAL AUDIT OF CITY OF LONDON POLICE ACCOMMODATION PROGRAMME - RESOLUTION FOR CONSIDERATION**
To consider a resolution of the Performance and Resource Management Sub (Police) Committee regarding the Internal Audit of the City of London Police Accommodation Programme.

For Information

Risk Management

9. DEEP DIVE RISK REVIEWS

a) **CR02: Loss of Business Support for the City**

Report of the Director of Economic Development.

For Information
(Pages 57 - 64)

b) **CR26: Brexit - Organisational Impact**

Report of the Town Clerk and Chief Executive.

For Information
(Pages 65 - 70)

10. ORGANISATIONAL CHANGE MANAGEMENT RISK

Joint report of the Director of HR and the Head of Corporate Strategy and Performance.

For Information
(Pages 71 - 76)

11. HEALTH AND SAFETY ACCIDENT/ INCIDENT DATA REPORT

Report of the Director of Human Resources.

For Information
(Pages 77 - 82)

Governance

12. ANNUAL GOVERNANCE STATEMENT - METHODOLOGY

Joint report of the Town Clerk and the Chamberlain.

For Decision
(Pages 83 - 88)

13. GENERAL DATA PROTECTION REGULATION (GDPR/ DATA PROTECTION ACT 2018 (DPA))

Report of the Comptroller and City Solicitor.

For Decision
(Pages 89 - 100)

Financial Statements and External Audit

14. **MID-YEAR TREASURY MANAGEMENT REVIEW 2018-19**
Report of the Chamberlain.

For Information
(Pages 101 - 108)

15. **AUDIT PLANNING: YEAR ENDING 31 MARCH 2019**
Report of BDO LLP.

For Decision
(Pages 109 - 166)

External Inspections

16. **OFSTED FOCUSED VISIT ON CARE LEAVERS**
Report of the Director of Community and Children's Services.

For Information
(Pages 167 - 176)

17. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
19. **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.

Item:	Paragraph:
20	3
21	3&5

For Decision

Part 2 - Non-Public Agenda

20. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the non-public minutes of the meeting held on 15 January 2019.

For Decision
(Pages 177 - 178)

Anti-Fraud and Corruption

21. **APPENDICES FOR CORPORATE RISK REGISTER - UPDATE (FROM PUBLIC SESSION A.O.B.)**
Report of the Chamberlain.

For Information

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