



## **Audit and Risk Management Committee**

**Date:** TUESDAY, 16 JULY 2019  
**Time:** 2.00 pm  
**Venue:** COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

**Members:**

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

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**Lunch will be served in Guildhall Club at 1:15 PM**  
**NB: Part of this meeting could be the subject of audio or video 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 of the meeting held on 7 May 2019.

**For Decision**  
(Pages 1 - 8)

4. **OUTSTANDING ACTIONS OF THE COMMITTEE**  
Report of the Town Clerk.

**For Information**  
(Pages 9 - 10)

5. **COMMITTEE WORK PROGRAMME**  
Report of the Town Clerk.

**For Information**  
(Pages 11 - 12)

## **Financial Statements and External Auditor Reports**

6. **2018-19 CITY FUND AND PENSION FUND FINANCIAL STATEMENTS - TO FOLLOW**  
Report of the Chamberlain.

**For Information**

7. **BRIDGE HOUSE ESTATE ACCOUNTS - TO FOLLOW**  
Report of the Chamberlain.

**For Information**

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

8. **INTERNAL AUDIT UPDATE**  
Report of the Head of Audit & Risk Management.

**For Information**  
(Pages 13 - 28)

9. **ANTI-FRAUD AND INVESTIGATIONS - 2018/19 ANNUAL REPORT**

Report of the Head of Audit and Risk Management.

**For Information**  
(Pages 29 - 38)

**Risk Management**

10. **CORPORATE RISK UPDATE**

Report of the Chamberlain.

**For Decision**  
(Pages 39 - 90)

11. **DEEP DIVE RISK REVIEW**

- a) CR20 - Road Safety  
Report of the Director of the Built Environment.

**For Information**  
(Pages 91 - 98)

- b) CR16 - Information Security  
Report of the Chamberlain.

**For Information**  
(Pages 99 - 118)

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

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

14. **EXCLUSION OF THE PUBLIC**

**MOTION** – 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
15	3
16	3 & 7
17	2 & 3
18	3
21	2 & 3
22	2 & 3

**For Decision**

## **Part 2 - Non-Public Agenda**

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

To agree the non-public minutes of the meeting held on 7 May 2019.

**For Decision**  
(Pages 119 - 120)

16. **DEEP DIVE CR24 - OPERATIONAL SECURITY**

Report of the Town Clerk & Chief Executive.

**For Information**  
(Pages 121 - 128)

17. **APPENDIX 3 TO ANTI-FRAUD AND INVESTIGATIONS - 2018/19 ANNUAL REPORT**

Non-public appendix to be read in conjunction with the report of the Head of Audit & Risk Management: Anti-Fraud and Investigations – 2018/19 Annual Report.

**For Information**  
(Pages 129 - 132)

18. **APPENDIX 4 TO CORPORATE RISK UPDATE**

Non-public appendix to be read in conjunction with the report of the Chamberlain: Corporate Risk Update.

**For Information**  
(Pages 133 - 134)

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**

## **Part 3 - Confidential Agenda**

21. **CONFIDENTIAL MINUTES**

To agree the confidential minutes of the previous meeting held on 7 May 2019.

**For Decision**

22. **APPENDIX 4 TO ANTI-FRAUD AND INVESTIGATIONS - 2018/19 ANNUAL REPORT**

Confidential appendix to be read in conjunction with the report of the Head of Audit and Risk Management: Anti-Fraud and Investigations – 2018/19 Annual Report.

**For Information**

23. **CONFIDENTIAL QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
24. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED DURING THE CONFIDENTIAL SESSION**