



Audit and Risk Management Committee

Date: TUESDAY, 19 NOVEMBER 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 - External)
Randall Anderson
Alderman Nick Anstee
Chris Boden
Deputy Jamie Ingham Clark (Ex-Officio Member)
Anne Fairweather
Marianne Fredericks (Ex-Officio Member)
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 & 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 previous meeting held on 24 September 2019.

For Decision
(Pages 1 - 6)

4. OUTSTANDING ACTIONS OF THE COMMITTEE

Members are asked to note the Committee's Outstanding Actions List.

For Information
(Pages 7 - 8)

5. COMMITTEE WORK PROGRAMME

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

For Information
(Pages 9 - 10)

Financial Statements and External Audit

6. CITY'S CASH FINANCIAL STATEMENTS 2018/19

Report of the Chamberlain.

For Decision
(Pages 11 - 18)

7. CITY'S CASH TRUST FUNDS AND SUNDRY TRUST FUNDS ANNUAL REPORTS AND FINANCIAL STATEMENTS 2018/19

Report of the Chamberlain.

For Decision
(Pages 19 - 24)

8. CITY'S CASH ANNUAL REPORT AND FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2019.

Appendix 2 for the report of the Chamberlain at agenda item 6.

* Document can be found in the accompanying appendix pack.

9. BDO CITY'S CASH AND THE SUNDRY TRUST AUDIT FOR THE YEAR ENDING 31 MARCH 2019

Appendix 3 for the reports of the Chamberlain at agenda items 6 and 7.

* Document can be found in the accompanying appendix pack.

10. END OF YEAR TREASURY MANAGEMENT REVIEW 2018/19

Report of the Chamberlain.

For Information

(Pages 25 - 30)

Internal Audit and Corporate Anti-Fraud

11. INTERNAL AUDIT UPDATE REPORT

Report of the Head of Audit and Risk Management.

For Information

(Pages 31 - 56)

12. ANTI-FRAUD & INVESTIGATIONS - 2019/20 UPDATE REPORT

Report of the Head of Audit and Risk Management.

For Information

(Pages 57 - 64)

Risk Management

13. REVIEW OF RISK MANAGEMENT STRATEGY

Report of the Chamberlain.

For Discussion

(Pages 65 - 98)

14. RISK MANAGEMENT UPDATE

Report of the Chamberlain.

For Decision

(Pages 99 - 144)

15. DEEP DIVE RISK REVIEWS

For Information

a) **Deep Dive: CR01 Resilience** (Pages 145 - 152)

Report of the Town Clerk & Chief Executive.

b) **Deep Dive - CR09: Health and Safety** (Pages 153 - 164)

Report of the Director of Human Resources.

16. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
18. **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 |
|-------------|------------------|
| 19 | 3 |
| 20 | 1, 2, 3 |
| 21 | 3 |
| 24 | 1, 2, 3 |

For Decision

Part 2 - Non-Public Agenda

19. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the non-public minutes of the previous meeting held on 24 September 2019.

For Decision
(Pages 165 - 166)
20. **APPOINTMENT OF EXTERNAL MEMBER TO THE AUDIT AND RISK MANAGEMENT COMMITTEE**
Report of the Town Clerk & Chief Executive.

For Decision
(Pages 167 - 170)
21. **RISK MANAGEMENT UPDATE: NON-PUBLIC APPENDIX 3**
To be read in conjunction with the report of the Chamberlain at agenda item 14.

For Information
(Pages 171 - 172)
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**

Part 3 - Confidential Agenda - Circulated Separately

24. CONFIDENTIAL MINUTES OF THE PREVIOUS MEETING

To agree the confidential minutes of the previous meeting held on 24 September 2019.

For Decision

25. CONFIDENTIAL QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE

26. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREE SHOULD BE CONSIDERED DURING CONFIDENTIAL SESSION