



Audit and Risk Management Committee

Date: WEDNESDAY, 11 DECEMBER 2013

Time: 1.45pm

Venue: COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

Members: Jeremy Mayhew (Chairman)
Alderman Nick Anstee (Deputy Chairman)
Alderman Ian Luder
Nigel Challis
Revd Dr Martin Dudley
Deputy Robin Eve
Jamie Ingham Clark
Oliver Lodge
Jeremy Simons
Hilary Daniels (External Member)
Kenneth Ludlam (External Member)
Caroline Mawhood (External Member)
Roger Chadwick (Ex-Officio Member)
Hugh Morris (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. **MINUTES OF THE PREVIOUS MEETING**
To agree the public minutes and non-public summary of the meeting held on 15 October 2013

For Decision
(Pages 1 - 6)
4. **OUTSTANDING ACTIONS OF THE COMMITTEE**
Report of the Town Clerk

For Information
(Pages 7 - 8)
5. **STRATEGIC RISK 3: FINANCIAL STABILITY, AND STRATEGIC RISK 14: LONGER TERM FINANCIAL UNCERTAINTY**
Report of the Chamberlain

For Information
(Pages 9 - 18)
6. **DELOITTE'S ANNUAL AUDIT LETTER ON THE CITY FUND AND PENSION FUND FINANCIAL STATEMENT**
Report of the External Auditor

For Information
(Pages 19 - 46)
7. **ANTI FRAUD AND INVESTIGATION UPDATE REPORT**
Report of the Chamberlain

For Decision
(Pages 47 - 72)
8. **THE CARE QUALITY COMMISSION (CQC) UNANNOUNCED ROUTINE INSPECTION OF THE ADULT SOCIAL CARE REABLEMENT SERVICE**
Report of the Director of Community and Children's Services

For Information
(Pages 73 - 92)
9. **INDEPENDENT REVIEW OF RISK MANAGEMENT - DEVELOPMENT AND IMPLEMENTATION OF ACTION PLAN**
Report of the Chamberlain

For Information
(Pages 93 - 102)

10. **INTERNAL AUDIT UPDATE REPORT**
Report of the Chamberlain

For Information
(Pages 103 - 122)
11. **INTERNAL AUDIT RECOMMENDATIONS FOLLOW-UP REPORT**
Report of the Chamberlain

For Information
(Pages 123 - 134)
12. **AUDIT AND RISK MANAGEMENT COMMITTEE'S TERMS OF REFERENCE**
Report of the Town Clerk

For Decision
(Pages 135 - 138)
13. **COMMITTEE WORK PROGRAMME**
Report of the Town Clerk

For Information
(Pages 139 - 140)
14. **DECISIONS TAKEN UNDER DELEGATED AUTHORITY/URGENCY**
Report of the Town Clerk

For Information
(Pages 141 - 142)
15. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
16. **ANY OTHER BUSINESS WHICH THE CHAIRMAN CONSIDERS URGENT**
17. **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

18. **NON-PUBLIC MINUTES OF THE PREVIOUS MEETING**
To agree the Non-Public minutes of the meeting held on 15 October 2013.

For Decision
(Pages 143 - 144)

19. **APPOINTMENT OF EXTERNAL MEMBERS OF THE AUDIT AND RISK
MANAGEMENT COMMITTEE**
Report of the Town Clerk

For Decision
(Pages 145 - 158)

20. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE
COMMITTEE**

21. **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

22. **ANTI-FRAUD AND INVESTIGATION UPDATE REPORT**
Report of the Chamberlain

For Information
(Pages 159 - 184)