

**AUDIT AND RISK MANAGEMENT
COMMITTEE**

Thursday, 5 March 2020 at 7.00 pm
Room 1, Civic Centre, Silver Street, Enfield,
EN1 3XA

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MEMBERS: Councillors Mahym Bedekova (Chair), Tim Leaver (Vice-Chair), Dinah Barry, Birsen Demirel, Charith Gunawardena, James Hockney, Lee David-Sanders, Claire Stewart, Yasemin Brett and Peter Nwosu (Independent Member)

Officers: Fay Hammond (Acting Executive Director of Resources), Jeremy Chambers (Director of Law & Governance), Gemma Young (Head of Internal Audit & Risk Management), Gareth Robinson (Head of Corporate Finance) and Matt Bowmer (Director of Finance).

Also attending: David Eagles (External Audit - BDO), Lucy Trevett (External Audit – BDO) and Roopal Bakarania (External Audit - BDO)

AGENDA – PART 1

1. **WELCOME AND APOLOGIES FOR ABSENCE**
2. **DECLARATION OF INTERESTS**
3. **MINUTES** (Pages 1 - 22)

Audit & Risk Management Committee

- a. To receive and agree the minutes of the Audit Committee meeting held on Thursday 16 January 2020 as a correct record.
- b. To note the update on actions identified at the last meeting.

4. **BDO - EXTERNAL AUDIT PROGRESS REPORT - 10 MINUTES**

To receive a report from BDO (External Auditors) presenting the external audit progress report.

(TO FOLLOW)

5. STATEMENT OF ACCOUNTS - CLOSEDOWN UPDATE - 10 MINUTES
(Pages 23 - 34)

To receive a report from the Acting Executive Director Resources presenting the Statement of Accounts Closedown Update.

6. CONTRACT PROCEDURE RULES - WAIVERS REPORT AND UPDATE ON PROCUREMENT SPEND - 10 MINUTES

To receive a report from the Acting Executive Director Resources presenting the Contract Procedure Rules – Waivers Report and Update on Procurement Spend.

(TO FOLLOW)

7. CYBER AND TECHNOLOGY SECURITY - 10 MINUTES

To receive a report on Cyber and Technology Security.

(TO FOLLOW)

8. COMMISSIONING (BROKERAGE) FOLLOW UP AUDIT REPORT 2019/20 - 10 MINUTES (Pages 35 - 48)

To receive the report of the Director of Law and Governance providing an explanation of the Internal Audit Report on Commissioning (Brokerage) and actions taken.

9. HOUSING DEVELOPMENT APPROACH TO IDENTIFYING RISK AND MANAGEMENT - 10 MINUTES (Pages 49 - 60)

To receive a report from the Director of Housing and Regeneration presenting the Housing Development approach to identifying Risk and Management.

10. ANTI - MONEY LAUNDERING POLICY & GUIDANCE (ANNUAL REVIEW) - 10 MINUTES (Pages 61 - 78)

To receive a report from the Director of Law and Governance presenting the Anti-Money Laundering Policy & Guidance.

11. WHISTLE BLOWING POLICY (ANNUAL REVIEW) - 10 MINUTES (Pages 79 - 90)

To receive a report from the Director of Law and Governance presenting the Whistle Blowing Policy (Annual Review).

12. CORPORATE RISK REGISTER - 10 MINUTES (Pages 91 - 102)

To receive a report from the Director of Law and Governance providing a

Corporate Risk Registers update.

13. DRAFT INTERNAL AUDIT PLAN 20/21 & INTERNAL AUDIT CHARTER - 10 MINUTES (Pages 103 - 122)

To receive a report from the Director of Law & Governance presenting the Draft Internal Audit Plan 20/21 and the Internal Audit Charter.

14. AUDIT AND RISK MANAGEMENT SERVICE PROGRESS REPORT - 10 MINUTES (Pages 123 - 156)

To receive a report from the Director of Law and Governance presenting the Internal Audit Progress Report.

15. AUDIT & RISK MANAGEMENT COMMITTEE WORK PROGRAMME 2020/21

As this is the last Committee meeting in this Municipal Year, a new Work Programme is being prepared for the 2020/21 Municipal Year.

16. DATES OF FUTURE MEETINGS

Members are asked to note:

- (a) that this is the last ordinary meeting of the Audit & Risk Management Committee scheduled for the 2019/20 Municipal Year;
- (b) that a new programme of dates for the 2020/21 municipal year are currently being prepared for inclusion and approval as part of the Council's 2020/21 calendar of meetings, which is due to be considered and approved at the Annual Council meeting on 13 May 2020.

17. EXCLUSION OF THE PRESS AND PUBLIC

If necessary, to consider passing a resolution under Section 100A(4) of the Local Government Act 1972 excluding the press and public from the meeting for any items of business moved to part 2 of the agenda on the grounds that they involve the likely disclosure of exempt information as defined in those paragraphs of Part 1 of Schedule 12A to the Act (as amended by the Local Government (Access to Information) (Variation) Order 2006).

There are no items currently listed for consideration in Part 2.