

Notice of Meeting

Audit & Governance Committee



Date & time
Monday, 18 March
2013
at 10.00 am

Place
Ashcombe Suite,
County Hall, Kingston
upon Thames, Surrey
KT1 2DN

Contact
Helen Rankin
Room 122, County Hall
Tel 020 85419 126

Chief Executive
David McNulty

helen.rankin@surreycc.gov.uk

If you would like a copy of this agenda or the attached papers in another format, eg large print or braille, or another language please either call 020 8541 9068, write to Democratic Services, Room 122, County Hall, Penrhyn Road, Kingston upon Thames, Surrey KT1 2DN, Minicom 020 8541 8914, fax 020 8541 9009, or email helen.rankin@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Helen Rankin on 020 85419 126.

Members

Mr Nick Harrison (Chairman), Mr W D Barker OBE (Vice-Chairman), Mr Stephen Cooksey, Mr Tony Elias, Mr Mel Few and Denis Fuller

Ex Officio:

Mr David Hodge (Leader of the Council), Mr Peter Martin (Deputy Leader), Mr David Munro (Vice Chairman of the County Council) and Mrs Lavinia Sealy (Chairman of the County Council)

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING [21 FEBRUARY 2013]

(Pages 1
- 10)

To agree the minutes as a true record of the meeting.

3 DECLARATIONS OF INTEREST

To receive any declarations of disclosable pecuniary interests from Members in respect of any item to be considered at the meeting.

Notes:

- In line with the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, declarations may relate to the interest of the member, or the member's spouse or civil partner, or a person with whom the member is living as husband or wife, or a person with whom the member is living as if they were civil partners and the member is aware they have the interest.
- Members need only disclose interests not currently listed on the Register of Disclosable Pecuniary Interests.
- Members must notify the Monitoring Officer of any interests disclosed at the meeting so they may be added to the Register.
- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest.

4 QUESTIONS AND PETITIONS

To receive any questions or petitions.

Notes:

1. The deadline for Member's questions is 12.00pm four working days before the meeting
2. The deadline for public questions is seven days before the meeting
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER

(Pages
11 - 24)

To review the Committee's recommendations tracker.

6 EFFECTIVENESS REVIEW OF THE SYSTEM OF INTERNAL AUDIT

(Pages
25 - 52)

This report sets out the findings and recommendations from the 2012/13 review of the effectiveness of the system of internal audit in Surrey County Council.

7 EXTERNAL AUDIT - AUDIT PLAN

(Pages
53 - 86)

Please see attached 2 reports from the Council's external auditors, Grant Thornton:

- a) This paper provides the Audit and Governance Committee with a report

on progress in delivering our responsibilities as your external auditors. The paper also includes a summary of emerging national issues and developments that may be relevant to you as a County Council.

b) the external auditor's annual audit plan for year ended 31 March 2013

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| 8 | PENSION FUND Q3 | (Pages 87 - 92) |
| | To receive the latest report on Pension Fund investments. | |
| 9 | SELF ASSESSMENT ON ISSUES RAISED IN 'FINANCIAL SUSTAINABILITY OF LOCAL AUTHORITIES' | (Pages 93 - 168) |
| | This report summarises two recent publications on financial sustainability and good governance in local authorities. It analyses Surrey County Council's performance and highlights some areas for improvement. | |
| 10 | INTERNAL AUDIT PLAN | (Pages 169 - 192) |
| | To receive the Internal Audit plan for 2013/14. | |
| 11 | COMPLETED INTERNAL AUDIT REPORTS | (Pages 193 - 198) |
| | The purpose of this report is to inform Members of the Internal Audit reports that have been completed since the last meeting of this Committee in February 2013. | |
| 12 | LEADERSHIP RISK REGISTER | (Pages 199 - 206) |
| | The purpose of this report is to present the latest Leadership risk register and update the committee on any changes made since the last meeting. | |

David McNulty
Chief Executive

Published: 8 March 2013

MOBILE TECHNOLOGY – ACCEPTABLE USE

Use of mobile technology (mobiles, BlackBerries, etc.) in meetings can:

- Interfere with the PA and Induction Loop systems
- Distract other people
- Interrupt presentations and debates
- Mean that you miss a key part of the discussion

Please switch off your mobile phone/BlackBerry for the duration of the meeting. If you wish to keep your mobile or BlackBerry switched on during the meeting for genuine personal reasons, ensure that you receive permission from the Chairman prior to the start of the meeting and set the device to silent mode.

Thank you for your co-operation