

Notice of Meeting

Audit & Governance Committee



Date & time
Monday, 2
September 2013
at 10.00 am

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

Contact
Cheryl Hardman
Room 122, County Hall
Tel 020 8541 9075

Chief Executive
David McNulty

cherylh@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 cherylh@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Cheryl Hardman on 020 8541 9075.

Members

Mr Nick Harrison (Chairman), Mr W D Barker OBE (Vice-Chairman), Mr Denis Fuller, Mr Tim Evans, Mr Will Forster and Mr Tim Hall

Ex Officio:

Mr David Hodge (Leader of the Council), Mr Peter Martin (Deputy Leader), Mr David Munro (Chairman of the County Council) and Mrs Sally Ann B Marks (Vice Chairman of the County Council)

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING: 24 JUNE 2013

(Pages 1
- 18)

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 (*27 August 2013*).
2. The deadline for public questions is seven days before the meeting (*26 August 2013*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER

(Pages
19 - 34)

To consider and comment on the Committee's recommendations tracker.

6 BABCOCK 4S LIMITED - ANNUAL REPORT AND FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 MARCH 2013

(Pages
35 - 66)

The draft annual report and financial statements of Babcock 4S (formally VT4S) for the year ended 31 March 2013 are presented to the Audit & Governance Committee.

(Following the original publication of the agenda, the signed Annual Report and Financial Statements of Babcock 4S were provided to the Committee and are attached).

- 7 2012/13 SURREY COUNTY COUNCIL ACCOUNTS AND EXTERNAL AUDIT FINDINGS REPORT** (Pages 67 - 266)
- The purpose of this report is to inform the Committee of the result of the external audit of the council's 2012/13 Statement of Accounts, to receive the external auditor's Audit Findings Report and to approve the council's letter of representation from the Chief Finance Officer & Deputy Director for Business Services.
- 8 SURREY PENSION FUND LOCAL GOVERNMENT PENSION SCHEME ACCOUNTS 2012/13 AND GRANT THORNTON AUDIT FINDINGS FOR SURREY PENSION FUND REPORT** (Pages 267 - 340)
- Grant Thornton, as the Council's external auditor, has completed its audit and the Pension Fund financial statements are being re-presented to this Committee to be approved prior to publication.**
- 9 2012/13 FINANCIAL RESILIENCE REPORT** (Pages 341 - 388)
- The purpose of this report is to inform the Committee of the results of the external auditors review of the Council's arrangements for securing financial resilience.
- 10 RISK MANAGEMENT UPDATE REPORT** (Pages 389 - 414)
- This risk management update report supports the committee's responsibilities for monitoring the development and operation of the council's risk management arrangements.
- 11 LEADERSHIP RISK REGISTER** (Pages 415 - 422)
- 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.
- 12 COMPLETED INTERNAL AUDIT REPORTS** (Pages 423 - 434)
- 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 June 2013.
- 13 WHISTLE BLOWING UPDATE** (Pages 435 - 438)
- Audit and Governance Committee have requested an update on whistle blowing every six months.
- 14 ETHICAL STANDARDS ANNUAL REVIEW** (Pages 439 - 452)
- To report on the operation of the Council's Code of Conduct for its members, training on the Code of Conduct and the Council's arrangements for dealing with complaints that members have breached the Code of Conduct***

15 **COMPLAINTS PERFORMANCE REPORT FOR 2012/13**

(Pages
453 -
460)

The purpose of this report is to give the Audit & Governance Committee an overview of the council's complaint policy, procedures and performance in 2012/13.

16 **DATE OF NEXT MEETING**

The next meeting of Audit & Governance Committee will be on 2 December 2013.

David McNulty
Chief Executive

Published: 21 August 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