

Notice of Meeting

Audit & Governance Committee



Date & time
Monday, 2
December 2013
at 10.00 am

Place
G30, 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 9122, 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: 2 SEPTEMBER 2013

(Pages 1
- 16)

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 (*26 November 2013*).
2. The deadline for public questions is seven days before the meeting (*25 November 2013*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER

(Pages
17 - 48)

To review the Committee's recommendations tracker. The Committee information bulletin is attached as Annex A.

6 GRANT THORNTON 2012-13 ANNUAL AUDIT LETTER AND 2013-14 ANNUAL FEE LETTER

(Pages
49 - 70)

The Council's external auditors are presenting their Annual Audit Letter ('the Letter') in respect of the audit year 2012/13. The Letter has been shared with all Members of the Council.

The Council's external auditors will also present their planned audit fee for 2013/14.

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| 7 | TREASURY MANAGEMENT HALF YEAR REPORT 2013/14 | (Pages
71 - 86) |
| | <p>This report summarises the council's treasury management activity during the first half of 2013/14, required by CIPFA's Code of Practice for Treasury Management. This report also covers the council's Prudential and Performance Indicators for the first half of 2013/14, in accordance with the requirements of the Prudential Code.</p> | |
| 8 | INTERNAL AUDIT HALF YEARLY REPORT 2013/14 | (Pages
87 - 118) |
| | <p>This interim report summarises the work of Internal Audit during the first six months of 2013/14. The purpose of this report is to enable the Committee to consider the activities of Internal Audit during the six month period to 30 September 2013 and determine whether there are any matters that they wish to draw to the attention of the Cabinet and/or the County Council.</p> | |
| 9 | HALF YEAR SUMMARY OF INTERNAL AUDIT IRREGULARITY INVESTIGATIONS AND ANTI FRAUD MEASURES APRIL - SEPTEMBER 2013 | (Pages
119 -
126) |
| | <p>The purpose of this report is to inform members of the Audit and Governance Committee about irregularity investigations and anti-fraud measures undertaken by Internal Audit in the first half of this financial year from 1 April to 30 September 2013</p> | |
| 10 | COMPLETED INTERNAL AUDIT REPORTS | (Pages
127 -
146) |
| | <p>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 September 2013.</p> | |
| 11 | RISK MANAGEMENT HALF YEAR REPORT | (Pages
147 -
158) |
| | <p>This half-year risk management report has been produced to enable the committee to consider the risk management activity from April 2013 to date. It also presents the latest Leadership risk register.</p> | |
| 12 | REVIEW OF THE INVESTMENT PANEL | (Pages
159 -
168) |
| | <p>To review the new structure, membership and procedures of the Investment Panel and report to Council Overview & Scrutiny Committee on findings.</p> | |
| 13 | GOVERNANCE UPDATE REPORT | (Pages
169 -
174) |
| | <p>The purpose of this report is to provide a half year update on the internal control environment areas within the 2012/13 Annual Governance Statement and the governance arrangements during 2013/14.</p> | |
| 14 | AUDIT & GOVERNANCE COMMITTEE: ANNUAL REPORT 2012/13 | (Pages
175 -
188) |
| | <p>For Members to consider and comment on the 2012/13 annual report of the Audit & Governance Committee.</p> | |

15 PROGRESS REPORT - PROPERTY ASSET MANAGEMENT SYSTEM (PAMS) (Pages
189 -
196)

The purpose of this report is to provide an update on progress of the implementation of the Property Asset Management System (PAMS) that was introduced to the Committee in February 2013.

16 DATE OF NEXT MEETING

The next meeting of Audit & Governance Committee will be on 24 March 2014.

David McNulty
Chief Executive

Published: 21 November 2013

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- Interrupt presentations and debates
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