

Notice of Meeting

Audit & Governance Committee



Date & time
Thursday, 29 May
2014
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

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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 MARCH 2014

(Pages 1
- 20)

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 (22 May 2014).
2. The deadline for public questions is seven days before the meeting (22 May 2014).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER

(Pages
21 - 40)

To review the Committee's recommendations tracker.

6 EXTERNAL AUDIT - AUDIT PLAN SURREY PENSION FUND

(Pages
41 - 56)

Grant Thornton's Audit Plan outlines its audit strategy and plan to deliver the audit of the Pension Fund's 2013/14 financial statements.

7 COMPLETED INTERNAL AUDIT REPORTS

(Pages
57 - 98)

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 March 2014.

- 8 INTERNAL AUDIT ANNUAL REPORT 2013/14** (Pages 99 - 154)
- This report summarises the work of Internal Audit for the period 1 April 2013 to 31 March 2014, identifying the main themes arising from the audit reviews and the implications for the County Council. The Chief Internal Auditor reports key findings and recommendations arising from audits undertaken as part of regular reporting to this Committee on completed audits.
- 9 FULL-YEAR SUMMARY OF INTERNAL AUDIT IRREGULARITY INVESTIGATIONS AND ANTI-FRAUD MEASURES (APRIL 2013 - MARCH 2014)** (Pages 155 - 174)
- 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 between 1 April 2013 and 31 March 2014. This report complements and builds upon the half-year irregularity report presented to Audit and Governance Committee on 2 December 2013.
- 10 RISK MANAGEMENT ANNUAL REPORT** (Pages 175 - 200)
- This annual risk management report enables the committee to meet its responsibilities for monitoring the development and operation of the council's risk management arrangements. It also presents the latest Leadership Risk Register.
- 11 CODE OF CORPORATE GOVERNANCE** (Pages 201 - 220)
- The purpose of this report is to provide the Committee with an update on the changes made to the Code of Corporate Governance.
- 12 2013/14 ANNUAL GOVERNANCE STATEMENT** (Pages 221 - 228)
- This report presents the Annual Governance Statement, which provides an assessment of the council's governance arrangements for the financial year ending 31 March 2014.
- The annual review of governance and publication of an Annual Governance Statement is a statutory requirement of the Accounts and Audit Regulations 2011.
- 13 PROPERTY ASSET MANAGEMENT SYSTEM IMPLEMENTATION UPDATE** (Pages 229 - 234)
- The purpose of this report is to update the committee on progress with the joint Surrey CC and Hampshire CC implementation of the Manhattan Atrium Property Asset Management System (PAMS).
- 14 BRIEFING ON CIPFA'S 2013 EDITION OF AUDIT COMMITTEES: PRACTICAL GUIDANCE FOR LOCAL AUTHORITIES AND POLICE** (Pages 235 - 244)
- This briefing asks the committee to note the publication of CIPFA's revised and updated 2013 edition of *Audit Committees: Practical Guidance for Local Authorities and Police* and recommends that the committee undertakes a self-assessment of its effectiveness and a training needs analysis.

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