

## Notice of Meeting

# Audit & Governance Committee



**Date & time**  
**Thursday, 28 May**  
**2015**  
**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](mailto: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](mailto: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 Stuart Selleck (Chairman), Mr Denis Fuller (Vice-Chairman), Mr W D Barker OBE, Mr Will Forster, Mr Tim Hall and Mr Saj Hussain

### **Ex Officio:**

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

## AGENDA

### 1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

### 2 MINUTES OF THE PREVIOUS MEETING: 9 APRIL 2015

(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 (*21 May 2015*).
2. The deadline for public questions is seven days before the meeting (*21 May 2015*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### 5 RECOMMENDATIONS TRACKER

(Pages  
19 - 36)

To review the Committee's recommendations tracker.

### 6 WHISTLE BLOWING UPDATE

(Pages  
37 - 44)

This report provides Audit and Governance Committee with an update on whistle blowing activity, the results of a staff survey about whistle blowing and seeks Committee's comments and agreements on the actions and plans to continue to promote and develop the service.

### 7 OVERVIEW OF IMT PROJECTS

(Pages  
45 - 82)

This report aims to provide the Audit and Governance Committee with an overview of the large projects that IMT have to deliver during 2015 and to consider the adequacy of the control systems and governance in place.

- 8 COMPLETED INTERNAL AUDIT REPORTS** (Pages 83 - 96)
- 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 April 2015.
- 9 INTERNAL AUDIT ANNUAL REPORT 2014/15** (Pages 97 - 150)
- This report summarises the work of Internal Audit for the period 1 April 2014 to 31 March 2015, identifying the main themes arising from the audit reviews and the implications for the County Council.
- 10 FULL-YEAR SUMMARY OF INTERNAL AUDIT IRREGULARITY INVESTIGATIONS AND COUNTER FRAUD MEASURES: APRIL 2014 - MARCH 2015** (Pages 151 - 170)
- The purpose of this report is to inform members of the Audit and Governance Committee about irregularity investigations and proactive counter fraud work undertaken by Internal Audit between 1 April 2014 and 31 March 2015. This report complements and builds upon the half-year irregularity report presented to Audit and Governance Committee on 1 December 2014.
- 11 RISK MANAGEMENT ANNUAL REPORT** (Pages 171 - 198)
- 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.
- 12 CODE OF CORPORATE GOVERNANCE** (Pages 199 - 216)
- The purpose of this report is to provide the Committee with an update on the changes made to the Code of Corporate Governance.
- 13 ANNUAL GOVERNANCE STATEMENT** (Pages 217 - 230)
- This report presents the Annual Governance Statement, which summarises the council's governance arrangements for the financial year ending 31 March 2015.
- The council is required to undertake an annual review of governance and prepare an Annual Governance Statement under the Accounts and Audit Regulations 2011.
- 14 DATE OF NEXT MEETING**
- The next meeting of Audit & Governance Committee will be on 27 July 2015.

**David McNulty**  
**Chief Executive**  
 Published: 19 May 2015

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*Thank you for your co-operation*