

## Notice of Meeting

# Audit & Governance Committee



**Date & time**  
**Monday, 16**  
**February 2015**  
**at 10.30 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 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: 1 DECEMBER 2014**

(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 (*10 February 2015*).
2. The deadline for public questions is seven days before the meeting (*9 February 2015*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### **5 RECOMMENDATIONS TRACKER**

(Pages  
19 - 38)

To review the Committee's recommendations tracker.

### **6 GRANT THORNTON: AUDIT & GOVERNANCE COMMITTEE UPDATE**

(Pages  
39 - 62)

This paper provides the Audit & Governance Committee with a report on Grant Thornton's progress in delivering their responsibilities as the Council's external auditors. The paper also includes a summary of emerging national issues and developments.

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|-----------|--|-------------------------|
| <b>7</b>  | <b>RIISING TO THE CHALLENGE: THE EVOLUTION OF LOCAL GOVERNMENT</b>   | (Pages<br>63 - 100)     |
|           | To brief the Committee on the findings of Grant Thornton's most recent report on financial resilience in local government.   |                         |
| <b>8</b>  | <b>ASSURANCE MAPPING</b>   | (Pages<br>101 -<br>108) |
|           | This report sets out the background and planned approach to Assurance Mapping.   |                         |
| <b>9</b>  | <b>COMPLETED INTERNAL AUDIT REPORTS</b>  | (Pages<br>109 -<br>120) |
|           | 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 December 2014.  |                         |
| <b>10</b> | <b>LEADERSHIP RISK REGISTER</b>  | (Pages<br>121 -<br>134) |
|           | The purpose of this report is to present the Leadership Risk Register as at 31 January 2015 and update the committee on any changes made since the last meeting to enable the committee to keep the council's strategic risks under review.  |                         |
| <b>11</b> | <b>TREASURY MANAGEMENT 2015/16: BRIEFING</b>   | (Pages<br>135 -<br>176) |
|           | The Treasury Management policy, strategy statement and prudential indicators report is required to be adequately scrutinised before being recommended to the full County Council. This briefing provides explanation as to the proposed changes to the 2015/16 Treasury Management Strategy. |                         |
| <b>12</b> | <b>AUDIT &amp; GOVERNANCE COMMITTEE: ANNUAL REPORT 2014</b>  | (Pages<br>177 -<br>190) |
|           | For Members to consider and comment on the 2014 annual report of the Audit & Governance Committee.   |                         |
| <b>13</b> | <b>STATUTORY RESPONSIBILITIES NETWORK</b>  | (Pages<br>191 -<br>194) |
|           | The Audit & Governance Committee Effectiveness Review recommended that the committee develops a protocol for working with the newly established Statutory Responsibilities Network.  |                         |
| <b>14</b> | <b>DATE OF NEXT MEETING</b>  |                         |
|           | The next meeting of Audit & Governance Committee will be on 9 April 2015.  |                         |

**David McNulty**  
**Chief Executive**  
Published: 5 February 2015

### **MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE**

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It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

*Thank you for your co-operation*