

Notice of Meeting

Audit & Governance Committee



Date & time
Thursday, 12 April
2018
at 10.30 am

Place
Committee Room C,
County Hall, Kingston
upon Thames, Surrey
KT1 2DN

Contact
Joss Butler
Room 122, County Hall
Tel 020 8541 9702
joss.butler@surreycc.gov.uk

Chief Executive
Joanna Killian

We're on Twitter:
[@SCCdemocracy](https://twitter.com/SCCdemocracy)

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 joss.butler@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Joss Butler on 020 8541 9702.

Members

Mr David Harmer (Chairman), Mr Keith Witham (Vice-Chairman), Mr Edward Hawkins, Mr Ernest Mallett MBE, Dr Peter Szanto and Mrs Fiona White

Ex Officio:

Mr David Hodge CBE (Leader of the Council), Mr John Furey (Deputy Leader, Cabinet Member for Economic Prosperity), Mr Peter Martin (Chairman of the Council) and Mr Tony Samuels (Vice-Chairman of the Council)

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING - 22 JANUARY 2018

(Pages 1
- 6)

To agree the minutes as a true record of the meeting.

3 DECLARATIONS OF INTEREST

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter

- (i) Any disclosable pecuniary interests and / or
- (ii) Other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

NOTES:

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest
- As well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner)
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

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 (*6 April 2018*).
2. The deadline for public questions is seven days before the meeting (*5 April 2018*)
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER AND BULLETIN

(Pages 7
- 50)

To review the Committee's recommendations tracker and bulletin.

6 ETHICAL STANDARDS ANNUAL REVIEW

(Pages
51 - 56)

To enable the Committee to monitor the operation of the Members' Code of Conduct and to consider recommendations from the Monitoring Officer about ethical standards training to be offered to Members during 2018.

- 7 MEMBERS' ALLOCATION FUNDING OF EDUCATION COSTS - MOTION FROM FULL COUNCIL** (Pages 57 - 60)
- At the Audit and Governance Committee meeting on 22 January 2018, Members requested a short report detailing the educational-related costs that cannot be funded from the Members' Allocation grant.
- 8 EXTERNAL AUDIT - AUDIT PLAN** (Pages 61 - 78)
- This report provides the Audit & Governance Committee with the Audit Plan for the external audit of the 2017/18 financial statements of the Council.
- 9 GRANT THORNTON: 2017/18 EXTERNAL AUDIT PLAN - PENSION FUND ACCOUNTS** (Pages 79 - 96)
- This report provides the Audit & Governance Committee with the Audit Plan for the external audit of the 2017/18 financial statements of the Surrey Pension Fund.
- 10 UPDATE ON DEPRIVATION OF LIBERTY SAFEGUARDS** (Pages 97 - 102)
- This report provides Members of the Audit and Governance Committee with an update on assessments and authorisations in relation to Deprivation of Liberty Safeguards (DOLS).
- 11 INTERNAL STRATEGY AND ANNUAL AUDIT PLAN 2018/19** (Pages 103 - 132)
- The purpose of this report is to present the Internal Audit Strategy and Annual Internal Audit Plan for 2018/19 to the Committee.
- 12 COMPLETED INTERNAL AUDIT REPORTS** (Pages 133 - 140)
- The purpose of this report is to inform Members of the Internal Audit reports that have been completed since this Committee last considered a Completed Internal Audit Reports item on 22 January 2018 - as attached at Annex A of the report.
- 13 LEADERSHIP RISK REGISTER** (Pages 141 - 150)
- The purpose of this report is to present the Leadership risk register as at 31 March 2018 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.
- 14 DATE OF NEXT MEETING**
- The next meeting of Audit & Governance Committee will be on 24 May 2018.

Joanna Killian
Chief Executive
Published: 03 April 2018

MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE

Those attending for the purpose of reporting on the meeting may use social media or mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. To support this, County Hall has wifi available for visitors – please ask at reception for details.

Anyone is permitted to film, record or take photographs at council meetings. Please liaise with the council officer listed in the agenda prior to the start of the meeting so that those attending the meeting can be made aware of any filming taking place.

Use of mobile devices, including for the purpose of recording or filming a meeting, is subject to no interruptions, distractions or interference being caused to the PA or Induction Loop systems, or any general disturbance to proceedings. The Chairman may ask for mobile devices to be switched off in these circumstances.

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