

Notice of Meeting

Audit & Governance Committee

**Date & time**

Tuesday, 23 March
2021
at 10.30 am

Place

Remote

Contact

Joss Butler

joss.butler@surreycc.gov.uk

Chief Executive

Joanna Killian

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

Members

Mr David Harmer (Chairman), Mr Keith Witham (Vice-Chairman), Dr Peter Szanto, Mr Stephen Spence, Mr Stephen Cooksey and Mrs Victoria Young

Ex Officio:

Mr Tim Oliver (Leader of the Council), Mr Colin Kemp (Deputy Leader and Cabinet Member for Infrastructure), Mr Tony Samuels (Chairman of the Council) and Mrs Helyn Clack (Vice-Chairman of the Council)

AGENDA

1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS

2 MINUTES OF THE PREVIOUS MEETING

(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 (*17 March 2021*).
2. The deadline for public questions is seven days before the meeting (*16 March 2021*).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

5 RECOMMENDATIONS TRACKER

(Pages 7
- 10)

To review the Committee's recommendations tracker.

6 RISK MANAGEMENT UPDATE

(Pages
11 - 20)

To provide an update on the strategic risk register and next steps to enable the committee to meet its responsibilities for monitoring the development and operation of the council's risk management arrangements.

- 7 ETHICAL STANDARDS ANNUAL REVIEW** (Pages 21 - 26)
To enable the Committee to monitor the operation of the Members' Code of Conduct over the course of the last year.
- 8 REDMOND REVIEW - LOCAL AUDIT AND LOCAL AUTHORITY FINANCIAL REPORTING** (Pages 27 - 32)
This report updates the Audit and Governance Committee on the recent Redmond Review into the oversight of local audit and the transparency of local authority financial reporting.
- 9 GRANT THORNTON: 2020/21 EXTERNAL AUDIT PLAN** (Pages 33 - 66)
This report provides the Audit & Governance Committee with the Audit Plan for the external audit of the 2020/21 financial statements of the Council and the Surrey Pension Fund.
- 10 INTERNAL STRATEGY AND ANNUAL AUDIT PLAN 2021/22** (Pages 67 - 92)
The purpose of this report is to present the Internal Audit Strategy and Annual Internal Audit Plan for 2021/22 to the Committee.

Under-pinning the work of the Orbis Internal Audit Service in delivering the Annual Internal Audit Plan are the key principles and objectives as set out in the Internal Audit Strategy and Charter. These are presented alongside the Annual Internal Audit Plan for 2021/22 as good practice dictates that these should be updated and reviewed on an annual basis.
- 11 INTERNAL AUDIT PROGRESS REPORT - QUARTER 3 (01/10/20 - 31/12/20)** (Pages 93 - 110)
The purpose of this progress report is to inform members of the work completed by Internal Audit between 1 October 2020 and 31 December 2020.
- 12 DATE OF NEXT MEETING**
The next meeting of Audit & Governance Committee will be on 7 June 2021.

Joanna Killian
Chief Executive
Published: 15 March 2021