

## Notice of Meeting

# Audit and Governance Committee

**Date & time**

Monday, 28  
November 2022  
at 10.30 am

**Place**

Council Chamber,  
Surrey County  
Council, Woodhatch  
Place, 11 Cockshot  
Hill, Reigate, Surrey,  
RH2 8EF

**Contact**

Angela Guest  
[angela.guest@surreycc.gov.uk](mailto:angela.guest@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, e.g. large print or braille, or another language please either call 07929 724773 or email [angela.guest@surreycc.gov.uk](mailto:angela.guest@surreycc.gov.uk).**

**This meeting will be held in public. If you would like to attend, please contact Angela Guest on 07929 724773**

**Members**

Stephen Cooksey, Victor Lewanski (Vice-Chairman), Joanne Sexton, Richard Tear, Mark Sugden and Vacancy

**Independent Member:**

Terry Price

## **AGENDA**

### **1 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS**

### **2 MINUTES OF THE PREVIOUS MEETING [28 SEPTEMBER 2022]**

(Pages 1  
- 4)

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 (22 November 2022).
2. The deadline for public questions is seven days before the meeting (21 November 2022).
3. The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### **5 RECOMMENDATIONS TRACKER AND WORK PLAN**

(Pages 5  
- 14)

To review the Committee's recommendations tracker and work plan.

### **6 UPDATE ON THE SURREY COUNTY COUNCIL LEARNING POINTS FOR THE BUSINESS CONTINUITY ASPECTS OF THE COVID-19 RESPONSE AND RECOVERY**

(Pages  
15 - 24)

This report has been submitted to the Audit & Governance Committee to the progress against the main learning points from a Surrey County Council organisation resilience perspective to the COVID-19 Pandemic.

<b>7</b>	<b>INTERNAL AUDIT PROGRESS - Q2</b>	(Pages 25 - 44)
	This progress report is to inform members of the work completed by Internal Audit between 1 July 2022 and 30 September 2022.	
<b>8</b>	<b>HIGHWAY &amp; TRANSPORT BUDGETS - FOLLOW UP REPORT</b>	(Pages 45 - 96)
	This report provides more in-depth information surrounding the governance and process for decision making for Highway budgets in the Capital Maintenance Programme (Horizon) and Integrated Transport Schemes (ITS).	
<b>9</b>	<b>ANNUAL COMPLAINTS PERFORMANCE REPORT</b>	(Pages 97 - 130)
	To give the Audit & Governance Committee an overview of the Local Government and Social Care Ombudsman's annual letter for the year 2021/22 and an update on complaint handling across the council.	
<b>10</b>	<b>MID-YEAR REPORT - REVENUE EFFICIENCIES</b>	(Pages 131 - 134)
	This report provides an update on the County Council's 2022/23 forecast revenue position as at 30 September 2022, specifically an update on progress in delivery of the revenue efficiencies included in the 2022/23 budget.	
<b>11</b>	<b>CAPITAL PROGRAMME GOVERNANCE</b>	(Pages 135 - 140)
	This report is to provide an overview of governance arrangements around the planning and development of the Council's Capital Programme, the measures that are in place to monitor progress and the work undertaken to deliver continuous improvement to governance structures, processes and procedures.	
<b>12</b>	<b>TREASURY MANAGEMENT MID YEAR REPORT 2022/23</b>	(Pages 141 - 156)
	This report summarises the Council's treasury management activity during the first half of 2022/23, as required to ensure compliance with CIPFA's Code of Practice for Treasury Management.	
<b>13</b>	<b>ANNUAL GOVERNANCE STATEMENT HALF YEAR UPDATE</b>	(Pages 157 - 162)
	This report provides an update on progress on the improvement areas identified in the 2021/22 Annual Governance Statement.	
<b>14</b>	<b>EXTERNAL AUDIT PROGRESS REPORT 2021/22</b>	(Pages 163 - 180)
	The Statement of Accounts has been deferred and therefore this report provides an update by the Council's External Auditor, Grant Thornton, on the status of the external audit for 2021/22.	
<b>15</b>	<b>DATE OF NEXT MEETING</b>	
	The next meeting of Audit & Governance Committee will be on 18 January 2023.	

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

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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*