

## AUDIT & GOVERNANCE COMMITTEE - WORK PLAN 2023

18 January 2023		
EXTERNAL QUALITY ASSESSMENT BY THE CHARTERED INSTITUTE OF INTERNAL AUDITORS	To update the committee on the outcome of the assessment.	Chief Internal Auditor
<b>Deferred from Nov</b> REPORT OF CENTRE FOR GOVERNANCE AND SCRUTINY – BEHAVIOURAL AND CULTURAL GOVERNANCE REVIEW	To receive the report.	Director - Law & Governance
CAPITAL, INVESTMENT & TREASURY MANAGEMENT STRATEGY 2023/24	This report sets out the council's treasury management strategy for 2023/24, as required to ensure compliance with CIPFA's Code of Practice for Treasury management.	Finance Manager
HOME TO SCHOOL TRANSPORT – AUDIT UPDATE	Requested at September 2022 meeting – to invite service manager (Gerry Hughes) to give service update whilst awaiting for Audit report.	Strategic Finance Business Partner /Head of Business Support
<b>Deferred from Nov</b> EXTERNAL AUDIT FINDINGS REPORT FOR ALL SCC TRADING COMPANIES	Dec 2016 Committee requested that annual accounts also be presented.  To include Surrey Choices as well as Halsey Garton & S E Business Services.	Grant Thornton
<b>Deferred from Nov</b> EXTERNAL AUDIT: ANNUAL AUDIT LETTER	The Council's external auditors present their Annual Audit Letter	Director - Corporate Finance Grant Thornton
<b>Deferred from Nov</b> STATEMENT OF ACCOUNTS 2021/22	To receive the report.	Chief Accountant

<b>8 March 2023</b>		
STATEMENT OF ACCOUNTS 2021/22	To approve the 2021/22 Statement of Accounts.	Chief Accountant (Corporate)
INTERNAL AUDIT PROGRESS REPORT - QUARTER 3	The purpose of this progress report is to inform Members of the work completed by Internal Audit during Q3.	Audit Manager
INTERNAL AUDIT STRATEGY AND ANNUAL AUDIT PLAN 2023/24	To receive the strategy and the plan for 2023/24.	Audit Manager
ETHICAL STANDARDS ANNUAL REVIEW 2022-23	To enable the Committee to monitor the operation of the Members' Code of Conduct over the course of the last year.	Director - Law & Governance
RISK MANAGEMENT	To receive an update on Risk Management (Mar & Sept)	Strategic Risk Business Partner
REVISED FINANCIAL REGULATIONS	To review the changes to the Financial Regulations, to be approved by the Council.	Senior Finance Business Partner

<b>5 June 2023</b>		
2022/23 TREASURY MANAGEMENT OUTTURN REPORT	This report summarises the council's treasury management activity, as required to ensure compliance with CIPFA. The report will include the latest risk register for Treasury Management.	Strategic Finance Business Partner
ANNUAL COMPLAINTS PERFORMANCE REPORT	To give the Audit & Governance Committee an overview of the Council's complaint handling performance in 2022/23 and to demonstrate how feedback from customers has been used to improve services.	CFLL Customer Relations Manager Assistant Director - Registrations, Coroner's Service & Customer Strategy
<b>New item</b> CONSTITUTION REVIEW 2023	The Committee to review the proposals of the Constitution Review Group, prior to submission to the Council.	Director of Law and Governance / Senior Manager - Regulatory & Appeals

12 July 2023		
DRAFT ANNUAL GOVERNANCE STATEMENT	This report presents the draft Annual Governance Statement, which summarises the council's governance arrangements for the financial year.	Director of Law and Governance / Senior Finance Business Partner
WHISTLEBLOWING REPORT - TBC	The Committee to receive the report for information.	Director of Law and Governance / Head of Insight, Programmes and Governance
DRAFT STATEMENT OF ACCOUNTS 2022/23	To receive the report.	Chief Accountant (Corporate)
EXTERNAL AUDIT: ANNUAL AUDIT LETTER – six-monthly update	The Council's external auditors to present a six-monthly update on their Annual Audit Letter – see minutes 18/1/23 (regarding item: External Audit: Annual Audit Report 2021/22)	Director - Corporate Finance/ Grant Thornton
Deferred from March and June EXTERNAL AUDIT – AUDIT PLAN	The Council's external auditors to present their Audit Plan in respect of Surrey County Council and for the Surrey Pension Fund.	Chief Accountant (Corporate) / Grant Thornton
INTERNAL AUDIT ANNUAL REPORT AND OPINION (including Quarter Four progress report)	This report summarises the work of Internal Audit, identifying the main themes arising from the audit reviews and the implications for the County Council.	Chief Internal Auditor/Audit Manager
COUNTER FRAUD ANNUAL REPORT	To receive the annual report.	Chief Internal Auditor/Audit Manager - Counter Fraud
SURREY FORUM AND STRATEGIC BOARDS	Requested item from A&G Committee in June 2022 to look at the governance around the forum and the strategic boards once they had matured.	Principal Strategy and Policy Lead/Exec Dir Prosperity, Partnerships & Growth/Leader
REPORT OF CENTRE FOR GOVERNANCE AND SCRUTINY – BEHAVIOURAL AND CULTURAL GOVERNANCE REVIEW	Update report on actions going forward – see minutes 18/1/23	Director of Law and Governance

<b>13 September 2023</b>		
RISK MANAGEMENT	To receive an update on Risk Management (Mar & Sept), to include: - An update on the Constitution Review Group's consideration of delegated approval to the Committee on the Risk Management Strategy.	Head of Strategic Risk
HOME TO SCHOOL TRANSPORT - UPDATE	Update requested at the January 2023 committee.	Strategic Finance Business Partner /Head of Business Support
INTERNAL AUDIT PROGRESS – Q1	The purpose of this progress report is to inform Members of the work completed by Internal Audit during Quarter 1.	Chief Internal Auditor/ Audit Manager

<b>22 November 2023</b>		
LGSC ANNUAL LETTER AND COMPLAINTS UPDATE	To give the Audit & Governance Committee an overview of the Local Government and Social Care Ombudsman's annual letter for the year 2022/23 and an update on complaint handling across the council.	Head of Customer Strategy
COUNCIL COMPLAINTS – HALF YEARLY UPDATE	To receive a half year update report on the operation of the Council's complaints procedures.	Customer Relations & Service Improvement Manager
ANNUAL GOVERNANCE STATEMENT HALF YEAR UPDATE	This report provides an update on progress on the improvement areas identified in the 2021/22 Annual Governance Statement.	Director - Law & Governance/CEX
EXTERNAL AUDIT UPDATE REPORT	To receive an update from the council's external auditors.	Grant Thornton
TREASURY MANAGEMENT HALF YEAR REPORT	This report summarises the council's treasury management activity.	Director - Corporate Finance
INTERNAL AUDIT PROGRESS – Q2	To report on Internal Audit progress during quarter 2.	Audit Manager