

## AUDIT & GOVERNANCE COMMITTEE: WORK PLAN 2021-2022

29 November 2021		
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 – Corp Finance
INTERNAL AUDIT PROGRESS – Q2	To report on Internal Audit progress during quarter 2.	Audit Manager
CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk ST23.	Strategic Risk Business Partner Dir. Public Health
EXTERNAL AUDIT PROCUREMENT	We have a choice on whether our external audit is procured directly by SCC; e.g. we approach the market directly, or whether we take part in a national process run by Public Sector Audit Appointments LTD (A subsidiary of the LGA) where they commission external audit on behalf of the sector and allocate us an auditor. <b>Decision to go to full council</b>	Chief Accountant Strategic Finance Business Partner
ANNUAL GOVERNANCE STATEMENT HALF YEAR UPDATE	This report provides an update on progress on the improvement areas identified in the 2020/21 Annual Governance Statement.	Dir. Law & Governance
APPOINTMENT OF INDEPENDENT MEMBER	following the recruitment exercise, a report be presented to the Audit and Governance Committee at its November meeting to make recommendations to Council at the 14 December 2021 meeting, to agree the necessary changes to the Audit and	Dir. Law & Governance

	Governance Committee's membership, and formally appoint the Independent member.	
PENSIONS TURNAROUND PROGRAMME	Briefing requested at September meeting.	Neil Mason
COUNTER FRAUD STRATEGY	This will be an update to Surrey's Counter Fraud Strategy for the Committee to approve,	Simon White

## WORK PLAN 2022

<b>24 January 2022</b>		
BUSINESS CONTINUITY	Report to be considered following external audit with bsi on the council's business continuity plans / emergency management. Along with this, if possible, a debrief to be noted on business continuity aspects of COVID-19.	Head of Emergency Management
COUNCIL COMPLAINTS UPDATE	To receive a report on the operation of the Council's complaints procedures.	Customer Relations & Service Improvement Manager
TREASURY STRATEGY	This report sets out the council's treasury management strategy for 2021/22, as required to ensure compliance with CIPFA's Code of Practice for Treasury management.	Finance Manager
CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk XXXX	Strategic Risk Business Partner
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>28 March 2022</b>		
INTERNAL AUDIT PROGRESS Q3	The purpose of this progress report is to inform Members of the work completed by Internal Audit during Q3.	Audit Manager
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.	Audit Manager/Engagement Lead (Grant Thornton)

INTERNAL AUDIT PLAN FOR 2022/23		Audit Manager
ETHICAL STANDARDS ANNUAL REVIEW	To enable the Committee to monitor the operation of the Members' Code of Conduct over the course of the last year.	Monitoring Officer
CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk XXXX.	Strategic Risk Business Partner

**13 June 2022**

DRAFT ANNUAL GOVERNANCE STATEMENT	This report presents the draft Annual Governance Statement, which summarises the council's governance arrangements for the financial year.	CEX to present Service Improvement and Risk Manager, Finance
COUNCIL COMPLAINTS	To receive a report on the operation of the Council's complaints procedures.	Customer Relations & Service Improvement Manager
INTERNAL AUDIT & COUNTER FRAUD ANNUAL REPORT AND OPINION (including IA 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.	Audit Manager
DRAFT ANNUAL GOVERNANCE STATEMENT	This report presents the draft Annual Governance Statement, which summarises the council's governance arrangements for the financial year.	CEX to present (cc in Joanna/Hanna flutter on request) Service Improvement and Risk Manager, Finance
TREASURY MANAGEMENT OUTTURN REPORT	This report summarises the council's treasury management activity, as required to ensure compliance with CIPFA. The report will	Strategic Finance Manager

	include the latest risk register for Treasury Management.	
SURREY COUNTY COUNCIL ACCOUNTS AND EXTERNAL AUDIT'S AUDIT FINDINGS REPORT  SURREY PENSION FUND LOCAL GOVERNMENT PENSION SCHEME ACCOUNTS	The purpose of this report is to receive the Council's Statement of Accounts, as well as to inform the Committee of the result of the external audit of the council's Statement of Accounts, to receive the external auditor's Audit Findings Report and to approve the council's letter of representation.	Strategic Finance Manager – Corporate  Audit Manager/Engagement Lead (Grant Thornton)  Senior Manager (Mamon Zaman)
CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk XXXX.	Strategic Risk Business Partner

**18 July 2022**

CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk XXXX.	Strategic Risk Business Partner
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**12 September 2022**

COUNCIL COMPLAINTS UPDATE	To receive a report on the operation of the Council's complaints procedures.	Customer Relations & Service Improvement Manager
CORPORATE RISK UPDATE	To receive an update on the overall corporate risks and a more detailed review on the Covid risk XXXX.	Strategic Risk Business Partner
EXTERNAL AUDIT: ANNUAL AUDIT LETTER	The Council's external auditors present their Annual Audit Letter	Director – Corp Finance

		Grant Thornton
EXTERNAL AUDIT PERFORMANCE	To report back on performance against KPIs agreed in September 2018.	Director – Corp Finance
INTERNAL AUDIT PROGRESS – Q1	The purpose of this progress report is to inform Members of the work completed by Internal Audit during Quarter 1.	Grant Thornton Chief Internal Auditor/ Audit Manager

**28 November 2022**

<b>28 November 2022</b>		
ANNUAL GOVERNANCE STATEMENT HALF YEAR UPDATE	This report provides an update on progress on the improvement areas identified in the 2020/21 Annual Governance Statement.	Dir. Law & Governance/Cex
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