

To: All Members of the AUDIT COMMITTEE  
(Other Members for Information)

When calling please ask for:

Amy McNulty, Trainee Democratic Services Officer  
**Policy and Governance**

E-mail: [amy.mcnulty@waverley.gov.uk](mailto:amy.mcnulty@waverley.gov.uk)

Direct line: 01483 523492

Calls may be recorded for training or monitoring

Date: 7 November 2014

### Membership of the Audit Committee

Cllr Richard Gates (Chairman)

Cllr Wyatt Ramsdale (Vice Chairman)

Cllr Jenny Else

Cllr Tony Gordon-Smith

Cllr Stephen Hill

Cllr Peter Isherwood

Cllr Stewart Stennett

Dear Councillors

A meeting of the AUDIT COMMITTEE will be held as follows:

DATE: WEDNESDAY, 19 NOVEMBER 2014

TIME: 5.00 PM **(PLEASE NOTE TIME OF MEETING)**

PLACE: COMMITTEE ROOM 1, COUNCIL OFFICES, THE BURYS,  
GODALMING

The Agenda for the meeting is set out below.

Yours sincerely

ROBIN TAYLOR

Head of Policy and Governance

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## NOTE FOR MEMBERS

Members are reminded that contact officers are shown at the end of each report and members are welcome to raise questions etc in advance of the meeting with the appropriate officer.

## AGENDA

### 1. MINUTES

To confirm the Minutes of the Meeting held on 17 September 2014 (to be laid on the table half an hour before the meeting).

### 2. APOLOGIES FOR ABSENCE

To receive apologies for absence.

### 3. DISCLOSURE OF INTERESTS

To receive from Members, declarations of interests in relation to any items included on the Agenda for this meeting, in accordance with the Waverley Code of Local Government Conduct.

### 4. QUESTIONS BY MEMBERS OF THE PUBLIC

The Chairman to respond to any questions received from members of the public of which notice has been duly given in accordance with Procedure Rule 10.

### 5. ANNUAL AUDIT LETTER 2013/14 (Pages 5 - 10)

To receive the Annual Audit Letter, produced by Grant Thornton.

#### Recommendation

**It is recommended that the Audit Committee receives and notes the Annual Audit Letter.**

### 6. PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS (Pages 11 - 20)

To inform the Audit Committee of Senior Management's progress in implementing the recommendations raised by Internal Audit following a review in their service areas. This report will enable the Committee to consider what action is required in respect of those that are overdue or appear likely to be implemented later than the target date.

#### Recommendation

**It is recommended that the Committee:**

- 1. considers the information contained in Annexe 1 and identifies any action it wishes to be taken; and**

2. **notes the progress made on the recommendations raised by the External Auditors, Grant Thornton.**

7. PROGRESS ON THE INTERNAL AUDIT PLAN FOR 2014/15 (Pages 21 - 26)

The Committee's terms of reference include provision for the Committee to comment on the progress made in the Audit Plan. This report updates the committee on the current position of the Internal Audit reviews detailed in the 2014/15 Audit Plan presented.

Recommendation

**It is recommended that the Audit Committee notes the progress for the Internal Audit Plan 2014/15 as attached at Annexe 1.**

8. REVISED GOVERNANCE POLICIES (Pages 27 - 72)

To obtain Committee endorsement of the revised policies enabling these to be published on the website and cascaded to all members of staff, members, partners, the Council's suppliers, thus reinforcing Waverley's stance of zero tolerance to Fraud, Corruption and Bribery.

Recommendation

**It is recommended that the Committee:**

1. **recommends to Council the revised policies set out in Annexe 1, 2, 3 and 4; and**
2. **agrees that officers cascade and publicise these documents to all staff.**

9. RISK MANAGEMENT UPDATE (Pages 73 - 98)

This report presents the latest corporate risk registers as updated by heads of service following comments from the Audit Committee at the June meeting.

Recommendation

**It is recommended that the Audit Committee considers the revised corporate risks register included at (Exempt) Annexe 1 and passes comments and observations to officers.**

10. EXCLUSION OF PRESS AND PUBLIC

To consider the following recommendation on the motion of the Chairman:

Recommendation

That pursuant to Procedure Rule 20 and in accordance with Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following item(s) on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the item(s),

there would be disclosure to them of exempt information (as defined by Section 1001 of the Act) of the description specified in paragraph 7 of the revised Part 1 of Schedule 12A to the Local Government Act 1972, namely:

Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

11. INTERNAL AUDIT INVESTIGATION - UPDATE

To receive a verbal update from the Director of Finance and Resources.

12. ANY OTHER ISSUES TO BE CONSIDERED IN EXEMPT SESSION

To consider any matters relating to aspects of any reports on this agenda which, it is felt, may need to be considered in exempt session.

**For further information or assistance, please telephone  
Amy McNulty, Trainee Democratic Services Officer, on 01483 523492  
or by email at [amy.mcnulty@waverley.gov.uk](mailto:amy.mcnulty@waverley.gov.uk)**