

Audit & Governance Committee Recommendations Tracking

Recommendations (REFERRALS)

Number	Meeting Date	Item	Recommendation / Referral	To	Response
R3/12	21/05/12	(38/12) Completed Internal Audit Reports	<p>The Committee recommends that the Adult Social Care Select Committee:</p> <p>Review the Direct Payments audit report and monitor the situation until the policy commitment for annual reviews of the social care needs of the recipients of direct payments is met.</p>	Adult Social Care Select Committee	<p>An officer working group reported to the Adult Social Care Select Committee on 30 November 2012. The Assistant Director for Transformation reported to the Committee that the intention was that the review process would be embedded within the Locality Teams in the future, rather than responsibility of a dedicated team.</p> <p>A Member Reference Group of the Adult Social Care Select Committee was set up to review whether AIS meets the needs of the directorate. It recommended and pushed for a Rapid Improvement Event on the whole assessment process. This was done in April and the team are currently in the process of implementing the new, more streamlined, less bureaucratic system. As the follow up audit of Direct Payments also received a 'Major Improvement Needed' opinion, it is intended that the Adult Social Care Select Committee will review this again in the Autumn.</p> <p>On 2 September 2013, the Chief Internal Auditor confirmed that social care debt is on the Audit Plan for 2013/14. The Chairman requested to review the issue at a future meeting.</p>

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R2/13	24/06/13	2012/13 Annual Governance Statement (37/13)	That the draft Annual Governance Statement be COMMENDED to Cabinet for publication with the Council's Statement of Accounts.	Cabinet	The Annual Governance Statement was presented to Cabinet on 23 July 2013. The Cabinet approved the content and authorised the Leader and Chief Executive to sign for inclusion in the Statement of Accounts. The Committee will continue to monitor the governance environment and report to Cabinet where appropriate.

Recommendations (ACTIONS)

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A39/12	3/09/12	2011/12 Surrey County Council accounts and external audit annual governance report (63/12)	Recommended that Environment & Transport Select Committee should be considering the outcome of the MAXIMO internal audit report	Projects & Contracts Group Manager (Surrey Highways)	<p>A six-month review of the May Gurney contract was considered by the Environment & Transport Select Committee in February 2013. Members were satisfied with the performance figures and supported proposals to improve the highways maintenance programme.</p> <p>On 11 September 2013, the Committee considered a review of achievements and challenges for the May Gurney/Kier Highways maintenance contract over the past 12 months.</p>

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A55/12	06/12/12	Completed Internal Audit Reports (95/12)	Further update to be provided on the recommendation that finance staff continue to develop reports for budget holders to analyse all additional payroll costs.	Chief Internal Auditor	<p>Implementation of the Finance Dashboard would enable these reports to be developed but implementation has been delayed due to issues with the suppliers.</p> <p>At the meeting on 24 June 2013, the Deputy Chief Finance Officer confirmed that work on the finance Dashboard was on-going and that the system would go live in July 2013.</p> <p>On 2 September 2013, the Chairman confirmed that the Finance Dashboard had gone live and that Members would receive a presentation once the system had bedded down.</p>
A1/13	12/02/13	Business Planning 2013 – 2018 (4/13)	The recommendations from the 1 February Council Overview & Scrutiny Committee to the Cabinet include follow up action by the Committee (see Annex A)	Chairman of the Committee.	The Strategic Manager (Pension Fund and Treasury) will update the Committee on 2 December 2013.
A3/13	21/02/13	PAMS (13/13)	The Committee to receive a further update and demonstration of the system once it is implemented	Chief Property Officer/Performance Manager	<p>At the meeting on 24 June 2013, the Chairman requested a progress note to be circulated to the Committee.</p> <p>An update and demonstration is scheduled for December 2013.</p> <p>On 2 September, an update was requested for circulation on whether the system was fully up and running. This was emailed to the Committee on 7 October and was also included in the November 2013 edition of the Committee bulletin (which is attached to this recommendations tracker as appendix 1).</p>

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A11/13	18/03/13	Self Assessment on Issues Raised in 'Financial Sustainability of Local Authorities' (25/13)	The Committee to consider progress on the areas for improvement.	Chief Finance Officer	To be scheduled.
A26/13	24/06/13	Statement of Accounts 2012/13 (41/13)	That an update on Council Tax collection be provided in September	Finance Manager (Assets, Investment and Accounting)	An update will be provided on 2 December 2013.
A32/13	02/09/13	Ethical Standards Annual Review	That the Committee receive an annual report on the operation of the Code of Conduct.	Monitoring Officer	A report will be scheduled for September 2014
A33/13	02/09/13	Ethical Standards Annual Review	That the Committee endorse the Monitoring Officer's view that no further formal training sessions would be required in the next twelve months and that the Monitoring Officer should ensure periodic reminders and guidance to Members are delivered via email starting with a reminder declare gifts and hospitality in the lead up to Christmas.	Monitoring Officer	To review in the new year.

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Completed Recommendations/Referrals/Actions

Recommendations – to be deleted

R3/11	05/10/11	(75/11)	That the audit report 'accounts receivable' be referred to the Adult Social Care Select Committee for scrutiny (with a particular focus on the finding that debts had arisen as a result of recipients of direct payments within ASC, using the money for purposes other than to meet their care needs and improvements in the dunning process).	Adult Social Care Select Committee	<p>An audit of Social Care debt was included in the 'Completed Audit reports' item on the agenda (5 April 2012) and an audit of Direct Payments is included on the 'Completed Audit Reports Item' on the 21 May 2012 agenda.</p> <p>An update on Social Care Debt was considered by the Adult Social Care Select Committee at their meetings on 4 July and 30 November 2012. The Audit & Governance Committee will continue to be kept updated on the outcome of the Adult Social Care Committee's debate through the Bulletin.</p> <p>On 18 March 2013, the Chairman highlighted that the level of social care debt would be a topic for discussion when the Audit and Governance Committee looks at the Council's accounts in June 2013. A Member pointed out that the Chairman of Adult Social Care Select Committee had written to the Cabinet with regard to a spike in social care debt.</p> <p>On 24 June 2013, the Committee reviewed the situation when it considered the draft Statement of Accounts.</p> <p>The issues raised by this referral are being monitored via R3/12.</p>
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R1/13	24/06/13	Risk Management Annual Report (35/13)	That the Risk Management Policy Statement and Strategy be APPROVED for inclusion in the Constitution.	County Council	The Risk Management Policy Statement and Strategy was commended to Council for inclusion in the Constitution at its meeting on 15 October 2013.
R3/13	24/06/13	Code of Corporate Governance (40/13)	That the Committee APPROVED the updated Code of Corporate Governance and recommended it to County Council for inclusion in the Constitution.	County Council	The Code of Corporate Governance was commended to Council for inclusion in the Constitution at its meeting on 15 October 2013.
A59/12	06/12/12	Energy Purchasing Contract (99/12)	The Committee to urge the Leader to write to the Council involved to offer support to amending the terms of reference of the governance panel.	Chairman of the Committee	<p>A letter has been sent from the Leader of the Council to the Leader of the local authority in question, to make the recommendations.</p> <p>On 18 March 2013, the Chairman reported some positive soundings from the Leader of the local authority in question but no detailed response.</p> <p>On 24 June 2013, the Chairman reported that the Leader of Surrey County Council had received a response from the Leader of the local authority in question. Surrey County Councillors would be invited to the next scheduled meeting which is in November 2013 but the supplier would be willing to meet Members of Surrey County Council in advance of that meeting.</p> <p>LASER representatives attended a meeting of the Council Overview and Scrutiny Committee's Performance & Finance Sub-Group on 30 September 2013 and members of the Sub-Group were invited to a meeting of LASER members on 22 November.</p>

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A2/13	21/02/13	External Audit Progress Report (12/13)	Members asked the external auditor how reserves should be shown on the balance sheet. The Engagement Lead (Grant Thornton) explained that for long term planning decisions the holding of reserves was beneficial. He agreed to include consideration of this in the interim work undertaken by the external auditor before the final findings were reported.	Engagement Lead (Grant Thornton)	<p>Updates to be provided through the external auditor's progress reports.</p> <p>Grant Thornton has confirmed that reserves were reviewed as part of interim and final accounts work.</p>
A6/13	18/03/13	Recommendations Tracker (21/13)	The Committee agreed to explore whether the expansion of Babcock 4S had any financial benefits for Surrey County Council with the Babcock 4S representative.	Committee	The Committee discussed this with representatives from Babcock 4S on 2 September 2013.
A16/13	24/06/13	Risk Management Annual Report (35/13)	A seminar to be arranged for the Committee on risk management.	Risk & Governance Manager	This seminar was held on 6 November 2013.
A23/13	24/06/13	Statement of Accounts 2012/13 (41/13)	The descriptions of the reserves provided in the Annual Report to be included within the Statement of Accounts.	Finance Manager (Assets, Investment and Accounting)	Completed

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A24/13	24/06/13	Statement of Accounts 2012/13 (41/13)	That under Capital Expenditure in the Explanatory Foreword (page 54 of the Committee papers), the significant capital investment agreed as part of the MTFP be explained by reference to the need for more school places rather than stimulation of the local economic recovery	Finance Manager (Assets, Investment and Accounting)	Completed
A25/13	24/06/13	Statement of Accounts 2012/13 (41/13)	That the Fire Fighters' Pension Fund is mentioned under Pensions Liability in Note 5.	Finance Manager (Assets, Investment and Accounting)	Completed
A27/13	24/06/13	Treasury Management Outturn Report 2012/13 (42/13)	To provide training to the Audit & Governance Committee on gilt markets	Strategic Manager (Pension Fund and Treasury)	Training was held on 24 October 2013.
A28/13	02/09/13	Recommendations Tracker	A Member queried whether PAMS was now fully working and requested a response to be circulated outside the meeting.	Chief Property Officer/Performance Manager	An update was circulated by email on 7 October and was included in the Committee's November bulletin (which is attached to this recommendation tracker as appendix 1). Completed
A29/13	02/09/13	Leadership Risk Register	The Chief Finance Officer to consider Members concerns that while the NHS reorganisation risk had been clearly defined, the partnership working risk was not.	Chief Finance Officer	The Partnership Working risk has been reviewed and additional wording has been included relating to health and social care.

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A30/13	02/09/13	Leadership Risk Register	Members felt that the residual risk for information governance was too high given the mitigating actions being taken. The Chief Finance Officer agreed to raise the issue at Corporate Board.	Chief Finance Officer	This was raised at the Continual Improvement Board on 23 September and it was agreed to keep the residual risk level as 'high.'
A31/13	02/09/13	Completed Internal Audit Reports	The Chairman to write to the Cabinet Member for Transport, Highways and Environment and to the Chairman of Environment and Transport Select Committee with regard to the number of non-compatible databases.	Chairman of Audit & Governance Committee/ Audit Performance Manager	The Chairman wrote to the Cabinet Member for Transport, Highways and Environment and the Chairman of the Environment and Transport Select Committee on 1 November 2013. A copy of the letter was included in the November 2013 edition of the Committee bulletin (which is attached to this recommendation tracker). A response from the Cabinet Member for Transport, Highways and Environment was received on 19 November 2013 and is attached as appendix 2 to this tracker.

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