

Audit & Governance Committee – Recommendations Tracker

22 January 2025

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update	Target date for Completion
2024						
A10/24	13 March 2024	Ethical Standards Annual Review 2023-24	The Committee will receive the report on gifts and hospitality, interests and whistleblowing at a senior officer level alongside the annual report on Members.	Interim Director - Law and Governance, and Monitoring Officer / Head of Insights, Systems and Governance	<p>The Committee received an item on July's agenda concerning officers' gifts and hospitality: Officers and Employees Annual Gifts and Hospitality Report 2023/24.</p> <p>The Head of Insights, Systems and Governance has noted on 28 August 2024 that: we will be tracking the Declaration of Interests for officers this year and will produce an annual report in April/May time for scrutiny.</p> <p>Extract from draft minutes, 10 July 2024:</p> <p><i>A Committee member referred to A10/24 asking when there would be an update regarding officers' Declaration of Interests as that was noted as to be confirmed (TBC).</i></p> <p>The Head of Insights, Systems and Governance has noted that the Declaration of Interests report will follow later once the reporting on Unit4 functions to a satisfactory level. The developer team in IT & Digital are supporting with it.</p>	<p>(completed = July 2024 - officers' gifts and hospitality)</p> <p>June 2025 - officers' Declaration of Interests</p>
A20/24	10 July 2024	Draft Statement of Accounts 2023/24	The Interim Executive Director - Finance and Corporate Services, and Strategic Finance Business Partner (Corporate) will follow up the request for a Member Development Session on SEND/Safety Valve Agreement; and for	Interim Executive Director - Finance and Corporate Services / Strategic Finance Business Partner (Corporate)	<p>Extract from draft minutes from 20 November 2024 meeting: <i>the Chairman noted that he would respond to the Chair of the Children's Families, lifelong learning and Culture Select Committee, who had invited him to sit on the relevant Task Group.</i></p> <p>28 October 2024 update: A SEND/Safety Valve Agreement Member Development Session took place on</p>	January 2025

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Page 1			the Committee to receive an update from the service in terms of meeting the Council's requirements regarding the capital side of the Safety Valve Agreement.		<p>4 November 2024. Members had the opportunity to engage with key officers involved in the delivery of the Safety Valve Agreement, ask questions, and discuss how Surrey is addressing both the financial challenges and service improvements within the SEND framework.</p> <p>The Chair of the Children, Families, Lifelong Learning and Culture Select Committee has invited the A&G Committee's Chairman to sit on the relevant Task Group and is awaiting a response.</p> <p>Update provided by the Strategic Finance Business Partner (Corporate) on 21 August 2024: It has been requested that members of the A&G Committee are invited to join Members of the CFLL Select Committee to receive an update on the SEND Programme and Safety Valve Agreement.</p>	
27/24	10 July 2024	Officers and Employees Annual Gifts and Hospitality Report 2023/24	<p>The Director of People and Change, Interim Head of Paid Service, and Monitoring Officer will consider the comments made regarding:</p> <ul style="list-style-type: none"> a) a threshold to be set over which officers and employees must declare gifts and hospitality. b) to review the guidelines to be clearer about what is really a gift or hospitality offer, focusing on where a gift or hospitality offer is perceived by a member of the public to skew an officer's opinion about 	Director of People and Change / Interim Head of Paid Service / Monitoring Officer	<p>Update from the Head of Insights, Systems and Governance on 30 October 2024:</p> <p>A report outlining the SCC Gifts & Hospitality policy versus other councils is being produced for consideration, along with a recommendation of an annual zero return requirement for senior officers, to ensure compliance.</p> <p>30 August 2024 update: Officers are considering the comments made by the Committee, the policy is being reviewed.</p>	March 2025

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A29/24	11 September 2024	Internal Audit Progress Report - Quarter 1	Management will provide a report on the actions being undertaken regarding the two follow-up audits on Tree Management, and Social Value In Procurement.	Management in relevant services	<p>Item added to the Committee's Work Plan for 12 March 2025:</p> <p>New item UPDATE ON Q1 PARTIAL ASSURANCE OPINIONS; TREE MANAGEMENT, AND SOCIAL VALUE IN PROCUREMENT AUDITS</p> <p>Update, 7 January 2025: The Audit Manager flagged the action with the Chief Internal Auditor to liaise with the Deputy Chief Executive and Executive Director - Resources about a report to be provided by management at March's Committee meeting.</p>	March 2025

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A30/24	11 September 2024	Internal Audit Progress Report - Quarter 1	CLT will formally address the Partial Assurance opinions - not specifically MySurrey as there is significant work on that elsewhere. The Chairman will write to CLT to express the Committee's concerns, sharing that letter in advance, inviting a member of CLT to March's Committee to provide an update on the actions being addressed.	Chief Executive and CLT / Chairman	See above new item added to the Work Plan. Extract from draft minutes from 20 November 2024 meeting: <i>the Chairman noted that he would draft the letter to CLT and invite officer(s) to attend to provide an update.</i>	Letter - January 2025 CLT attendance - March 2025
A33/24	20 November 2024	Centre for Governance and Scrutiny Review of Council Governance Action Plan Update	The Interim Director of Law and Governance and Monitoring Officer will follow up the suggestion that all Members be alerted to those new officers that would work closely with Members when they join with their photo and role through the communications to Members via the newsletter.	Interim Director of Law and Governance and Monitoring Officer	Update - 10 January 2025: The Monitoring Officer is liaising with the Director - People and Change, and the Deputy Chief Executive and Executive Director - Resources.	TBC
A34/24	20 November 2024	Centre for Governance and Scrutiny Review of Council Governance	The Interim Director of Law and Governance and Monitoring Officer will review a future date to be agreed with the Committee after the local elections, for the CfGS to visit the Council to see	Interim Director of Law and Governance and Monitoring Officer	The Monitoring Officer to progress in due course.	After May 2025 county elections

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		Action Plan Update	whether any other areas could be improved.			
A35/24	20 November 2024	Centre for Governance and Scrutiny Review of Council Governance Action Plan Update	The Interim Director of Law and Governance and Monitoring Officer will liaise with the Chief Executive and CLT regarding the request for a workshop for the Committee with CLT, to see what can be done better.	Interim Director of Law and Governance and Monitoring Officer	Update - 10 January 2025: The Monitoring Officer is liaising with the Chief Executive, and the Deputy Chief Executive and Executive Director - Resources.	TBC
A36/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Strategic Director - Customer Service Transformation and relevant officers will incorporate Committee members' comments to revise how the information is presented going forward around the complaints statistics. Complaints reports to the Committee should highlight the context and provide evidence of improvement to residents regarding the Customer Transformation Programme, and areas for further development; to provide the Committee with a more complete picture of the situation going forward.	Strategic Director - Customer Service Transformation and relevant officers	Update - 8 January 2025: Officers are putting this action into practice and have considered how to address this recommendation. The next report to the Audit and Governance Committee (Annual Complaints Report – June 25) will highlight the context and provide evidence of improvement to residents regarding the Customer Transformation Programme, and areas for further development; to provide the Committee with a more complete picture of the situation going forward.	June 2025
A37/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Committee will be regularly informed of the trajectory of parents' satisfaction and how it is being managed, including	Strategic Director - Customer Service Transformation and relevant officers	Update - 8 January 2025: Officers will ensure that the Committee is informed as a part of the routine analysis (mid-year and full year reports from Customer Service). This will commence with the next report due to the Audit and Governance – Annual Complaints Report June 2025.	June 2025

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			more granular detail around parents' overall satisfaction with their interaction with the Council, learning from both positive and poor experiences.			
A38/24	20 November 2024	6 Month Complaints Update Report 2024/25	Regarding the portal for parents in development to go live in April 2025, the impact will reported to the relevant committees.	Strategic Director - Customer Service Transformation and relevant officers	Update - 8 January 2025: Officers note the recommendation will take proactive steps to ensure that this is reported as required/requested by the Children, Families, Lifelong Learning and Culture Select Committee supported by Democratic Services to hold discussions with the relevant CFLLC Chair.	After April 2025 / By the end of July 2025 (subject to the committee's plan and requirements)
A39/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Director - Education and Lifelong Learning will follow up the request to track back two years and circulate to the Committee a summary of the progress made regarding communications.	Director - Education and Lifelong Learning	Update - 8 January 2025: The Director Education and Lifelong Learning has followed up with Democratic Services to understand more about the request and previous deep dive referenced.	TBC
A40/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Chairman will write to CLT and the select committees, noting the Committee's dissatisfaction with the complaints performance so far; its concerns to be highlighted to the Cabinet via the Cabinet Member for Finance and Resources.	Chairman		TBC
A41/24	20 November 2024	6 Month Complaints Update	The Assistant Director - Customer Experience will consider the suggestion regarding whether there	Assistant Director - Customer Experience	Update - 8 January 2025: Discussion options with the Head of Strategic Risk is ongoing.	March 2025

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		Report 2024/25	should be a risk added to the Strategic Risk Register on poor complaints handling.			
A42/24	20 November 2024	Annual Governance Statement - Half Year Update	The Deputy Chief Executive and Executive Director - Resources will reflect the comments in the updated report, adding more detail on the work underway including timescales, referring to the work underway by Internal Audit.	Deputy Chief Executive and Executive Director - Resources		TBC

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2023

A8/23	12 July 2023	Counter Fraud Annual Report 2022/23	The Audit Manager – Counter Fraud will find out whether a check had been undertaken across all schools in Surrey to make sure that all the business managers were on the right salary level.	Audit Manager – Counter Fraud	<p>Extract from draft minutes from 20 November 2024 meeting:</p> <p><i>the Audit Manager (Counter Fraud) explained that since agenda publication, he had received the final report from Unit 4/MySurrey to allow him to undertake the analysis. He confirmed that no issues had been identified and that reporting would be built into the proactive work undertaken periodically.</i></p> <p>Update provided by the Audit Manager (Counter Fraud) on 12 November 2024:</p> <p>Awaiting a refresh of the Unit4 payroll reports to complete a final check. However, work to date has not identified any issues with School Business Managers grading. A verbal update to be provided at the November committee meeting.</p> <p>Update provided by the Audit Manager (Counter Fraud) on 22 August 2024:</p> <p>The reports have now been built in Unit4 to allow us to extract data for this check. They will shortly be deployed in Production so we should be ok to start the analysis in September. All being well on track for completion by November.</p> <p>Update provided by the Audit Manager (Counter Fraud) on 20 June 2024:</p> <p>The action is ongoing, it is hoped that work would be underway over summer once officers get access to Unit4.</p>
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					<p>Update provided by the Audit Manager (Counter Fraud) on 22 January 2024:</p> <p>We will update the Committee at the November meeting of the results of the data matching on school business managers grades. We plan to complete this exercise in Unit4 in September.</p> <p>(Update provided by the Audit Manager (Counter Fraud) on 2 January 2024:</p> <p>Supporting papers for school staff are held locally, confirmation of SBM paypoints would not be possible without writing out to all schools; the team did perform analysis on payroll records for schools. This included stratified sampling and review of high earners to identify anomalies. The team did not detect any oddities. Further work in this area will be picked up once Unit4 has bedded down and BAU has returned to school payroll.)</p>
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2024					
A43/24	20 November 2024	Annual Governance Statement - Half Year Update	The Deputy Chief Executive and Executive Director - Resources will provide a report for the next Committee meeting on the work of the MySurrey Stabilisation Board, highlighting the problems, its action plan, timelines, and its Terms of Reference.	Deputy Chief Executive and Executive Director - Resources	A report is on January's Committee agenda titled: Unit 4/Mysurrey Stabilisation Board Report.
A44/24	20 November 2024	Internal Audit Progress Report - Quarter 2	Regarding the on-street parking arrangements audit, the Audit Manager will provide a written response concerning how that contract was awarded as part of the tender process when NSL at the outset of the contract was understaffed with civil enforcement officers and had to recruit.	Audit Manager	<p>Email sent to Committee on 22 November 2024:</p> <p>The Audit Manager has liaised with the Parking and Traffic Enforcement Manager and the reply is as follows:</p> <p><i>The issue around provider NSL's staffing numbers arose after the completion of the tendering process and award of the contract. Their business case was based on significant numbers of parking enforcement staff being expected to TUPE over to NSL through separate operational business activity, but in the event (and unexpectedly) most of these staff declined to do so. This meant that NSL were significantly short of parking enforcement officers when the contract with Surrey commenced, and it took a number of months to recruit to positions. The problem was exacerbated by the fact that these newly recruited parking enforcement officers needed training to do the job, and it took time for them to attain competence and get familiar with their new patrol areas.</i></p>

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A45/24	20 November 2024	Internal Audit Progress Report - Quarter 2	The Audit Manager - IT will follow up whether any breaches had been escalated regarding the MySurrey user access and security review.	Audit Manager - IT	Email sent to Committee on 22 November 2024: <i>The Audit Manager has clarified that regarding the separate conversation about MySurrey data breaches, the Council's Corporate Information Governance Manager has confirmed that after evaluation there was no requirement to report any of them to the Information Commissioner's Office.</i>
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