

## 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> <p>On 6 March 2014, Adults Social Care Select Committee reviewed the Social Care Debt: Credit Balances Internal Audit report as part of a wider look at social care debt.</p>

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R2/13	24/06/13	2012/13 Annual Governance Statement (37/13)	That the draft Annual Governance Statement be <b>COMMENDED</b> 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
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. The Committee was invited to attend a presentation being given on 30 January 2014 to Council Overview and Scrutiny Committee on the Finance Dashboard. Given the small numbers who were able to attend the presentation, a further presentation has been arranged for 31 March 2014.</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	A report is scheduled for the 29 May 2014 meeting.
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.
A35/13	02/12/13	Recommendations Tracker	The Chairman agreed to write to the Leader of the Council about concerns over the sharing of data on Council Tax and Business Rates collection	Chairman	A letter was sent to the Leader of the Council, dated 19 December 2013.  A response was received dated 7 January 2014.

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Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A46/13	02/12/13	Risk Management Half Year Report	The risk descriptions and controls for Risk L1 (Medium Term Financial Plan), Risk L4 (IT Systems) and Risk L7 (Waste) to be developed.	Risk and Governance Manager	The Risk and Governance Manager to update the Committee on 24 March 2014.
A49/13	02/12/13	Progress Report – Property Asset Management System (PAMS)	To receive a final update on PAMS once fully implemented in May 2014.	Performance Manager	Scheduled for 29 May 2014.

### Completed Recommendations/Referrals/Actions

#### *Recommendations – to be deleted*

R4/13	02/12/13	Audit & Governance Committee: Annual Report 2012/13	To endorse the 2012/13 annual report of the Committee and to commend it to Council on 11 February 2014.	Council	On 11 February 2014, Council noted the annual report of the Committee.
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 &amp; 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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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) updated 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	At the meeting on 24 June 2013, the Chairman requested a progress note to be circulated to the Committee.  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.  An update and demonstration was provided on 2 December 2013
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 was provided on 2 December 2013. A further action is listed as A35/13.
A34/13	02/12/13	Recommendations Tracker	The Committee agreed to hold an informal meeting to consider the draft Treasury Strategy early in 2014.	Strategic Manager – Pension Fund & Treasury	This was held on 20 January 2014.
A36/13	02/12/13	Grant Thornton 2012-13 Annual Audit Letter and 2013-14 Annual Fee Letter	The Chairman agreed to share a list of proposed immaterial or superfluous information within the financial statements with a Member.	Chairman	The Chairman circulated the list from Grant Thornton on 2 January 2014.

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A37/13	02/12/13	Grant Thornton 2012-13 Annual Audit Letter and 2013-14 Annual Fee Letter	A report to be brought to Committee on how the financial statements could be simplified.	Finance Manager (Assets, Investment and Accounting)	On the agenda for March 2014.
A38/13	02/12/13	Internal Audit Half Yearly Report 2013/14	Audit & Governance Committee to receive a further report on the Transport for Education MAP in March 2014, inviting officers from the service to attend the meeting.	Chief Internal Auditor	On the agenda for March 2014.
A39/14	02/12/13	Internal Audit Half Yearly Report 2013/14	The Chairman agreed to write about his concerns with regard to the Transport for Education MAP to the Chairman and Vice-Chairman of the Children and Education Select Committee, asking them to monitor the situation.	Chairman	<p>A letter was sent to the Chairman and Vice-Chairman of the Children &amp; Education Select Committee, dated 19 December 2013.</p> <p>An interim response was received, dated 7 January 2014.</p> <p>The Chairman is attending the meeting of Audit &amp; Governance Committee on 24 March 2014.</p>
A40/13	02/12/13	Internal Audit Half Yearly Report 2013/14	The Chairman agreed to write to the Cabinet Member for Transport, Highways and the Environment to query the Council's policy on tree stumps.	Chairman	<p>A letter was sent to the Cabinet Member for Transport, Highways and the Environment, dated 19 December 2013.</p> <p>A response was received, dated 8 January 2014.</p>

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A41/13	02/12/13	Half Year Summary of Internal Audit Irregularity Investigations and Anti-Fraud Measures April – September 2013	Officers to review Babcock 4S' guidance to schools, particularly with regard to fraud, to ensure references to the police are sufficiently robust.	Audit Performance Manager	The officer response was included in the February 2014 edition of the Committee bulletin (attached as annex 2 of this item).
A42/13	02/12/13	Completed Internal Audit Reports	The Chief Internal Auditor to include details of the audit opinion and the number of high priority recommendations for each audit considered by the Audit & Governance Committee in her regular email to all councillors.	Chief Internal Auditor	The new process has been initiated.
A43/13	02/12/13	Completed Internal Audit Reports	The Chairman agreed to write to the Cabinet Member for Children and Families about the Committee's concerns over the audit of Children in Care – Health and Dental Checks.	Chairman	A letter was sent to the Cabinet Member for Children & Families, dated 19 December 2013.  An initial response was received on 19 December 2013 and a final response was received on 13 January 2014.
A44/13	02/12/13	Completed Internal Audit Reports	The Chairman agreed to write to the Cabinet Member for Adult Social Care about the Social Care Debt audit.	Chairman	A letter was sent to the Cabinet Member for Adult Social Care, dated 19 December 2013.  A response was received, dated 8 January 2014.
A45/13	02/12/13	Risk Management Half Year Report	The Risk and Governance Manager agreed to circulate the attendance figures for the Council Risk and Resilience Forum to the Committee.	Risk and Governance Manager	Circulated in the February Committee bulletin (attached as annex 2 of this item).

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A47/13	02/12/13	Review of the Investment Panel	The officer report to Council Overview and Scrutiny Committee to include a process flow chart and the remits of all groups mentioned eg the Productivity & Efficiency Panel and the Models of Delivery Board.	Finance Manager – Funding & Planning	The officer report to Council Overview and Scrutiny Committee on 30 January 2014 incorporated the amendments suggested by Audit & Governance Committee.
A48/13	02/12/13	Review of the Investment Panel	Audit & Governance Committee to report its findings to the Council Overview & Scrutiny Committee	Chairman	The Audit & Governance Committee reported its findings to Council Overview and Scrutiny Committee on 30 January 2014.
A50/13	02/12/13	Date of Next Meeting	To schedule a workshop to develop understanding of complaints handling in Children's Service.	Regulatory Committee Manager	This was held on 20 January 2014.