

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>Direct Payments</p> <p>Adult Social Care Select Committee reviewed the Direct Payments audit report and has continued to monitor the situation and to lead improvements to the assessment process. Internal Audit is also monitoring progress on the Management Action Plan to address the Direct Payments audit findings.</p> <p>Social Care Debt</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. The Chairman reported back to committee on 24 March 2014.</p> <p>A report on social care debt, along with the findings of an ongoing audit of social care debt is on the agenda for 31 July 2014.</p> |

Audit & Governance Committee Recommendations Tracking

Recommendations (ACTIONS)

| Number | Meeting Date | Item | Recommendation / Action | Action by whom | Action update |
|---------------|---------------------|---------------------------------|--|-----------------------|---|
| 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. |
| 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 | <p>A letter was sent to the Leader of the Council, dated 19 December 2013. A response was received dated 7 January 2014.</p> <p>On 24 March 2014, the committee was updated on an officer review of the poor response to the request for monthly data. A new, quarterly format had been developed and would be considered by borough and district revenue managers in April 2014.</p> |

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| A3/14 | 24/03/14 | Recommendations Tracker | References to the police within Babcock 4S' guidance to schools be made more robust, particularly with regard to fraud. | Chief Internal Auditor | <p>Internal Audit have requested that the following two paragraphs be included under the existing information in Section 2.17 Fraud (Surrey Scheme for Financing Schools)</p> <p style="color: blue;">“School staff should notify Surrey County Council Internal Audit (Telephone 020 8541 9190) of any matter coming to their attention that involves or is thought to involve corruption or financial irregularity. In addition the council expects the police are made aware of, and investigate independently, any offence where material financial impropriety may have occurred.</p> <p style="color: blue;">The link to the council's strategy against fraud and corruption and the confidential hotline telephone number for whistleblowing can be found in Section D of the Schools' Finance Manual”.</p> <p>Before amending the Scheme, the LA must consult every maintained school and then seek the approval of the Schools Forum. It is anticipated that this additional wording will be considered by the Schools Forum at their next meeting in early July.</p> |
| A6/14 | 24/03/14 | 2013/14 Review of the Effectiveness of the System of Internal Audit | The Chief Internal Auditor to look at how improvements could be made to the briefing of Cabinet Members about internal audit investigations. | Chief Internal Auditor | The Chief Internal Auditor to report back. |

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|--------|--------------|---|--|--|---|
| A8/14 | 24/03/14 | Transport for Education – Management Action Plan Progress | Officers from Environment & Infrastructure and Children, Schools & Families directorates to jointly conduct a pilot process review of Transport for Education in the South East area after 1 September 2014. | Assistant Director for Schools & Learning Transport Co-ordination Centre Manager | To be scheduled after 1 September 2014. |

Completed Recommendations/Referrals/Actions – to be deleted

| Number | Meeting Date | Item | Recommendation / Action | Action by whom | Action update |
|--------|--------------|---|---|----------------|---|
| 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 | <p>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.</p> <p>The 2013/14 Annual Governance Statement will be considered at the meeting on 29 May 2014.</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. 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 was arranged for 31 March 2014.</p> |
| 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 | The areas for improvement were considered during the discussion on Grant Thornton's Financial Resilience Report on 24 March 2014. Progress on the areas for improvement will also be picked up as part of the annual audit programme. |

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| 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 to declare gifts and hospitality in the lead up to Christmas. | Monitoring Officer | On 24 March 2014, it was suggested that the necessity for further information or reminders to Members be reviewed. This has been done and an email reminder of Member's responsibilities on registering interests was circulated to all Members on 13 May 2014. |
| 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 updated 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 | A report is on the agenda for 29 May 2014. |
| A1/14 | 24/03/14 | Recommendations Tracker | A report on social care debt to be scheduled for 29 May 2014. To include a focus on direct debits. | Strategic Finance Manager, Adult Social Care | A report is on the agenda for 29 May 2014. |

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| A2/14 | 24/03/14 | Recommendations Tracker | To forward the letter from the Cabinet Member for Transport, Highways and the Environment on tree stumps to Hazel Watson. | Chairman | The Chairman forwarded this on 7 April 2014. |
| A4/14 | 24/03/14 | Recommendations Tracker | The Risk & Governance Manager and the Chief Finance Officer to prioritise the improved attendance at Council Risk and Resilience Forum meetings by Priority 1 services and report back to the committee. | Risk & Governance Manager Chief Finance Officer | This is addressed in the Risk Management Annual Report which is on the agenda for 29 May 2014. |
| A5/14 | 24/3/14 | External Audit – Grant Thornton Financial Resilience Report | The Grant Thornton report on alternative delivery models to be circulated to the Committee. | Grant Thornton | The report was circulated to the committee by email on 27 March 2014. |
| A7/14 | 24/03/14 | Completed Internal Audit Reports | The terms of reference for the Environment & Transport Select Committee Member Reference Group which will be looking at the smallholdings (rural estate) audit report to be circulated to Audit & Governance Committee. | Regulatory Committee Manager | The terms of reference for the Member Reference Group was circulated with the May edition of the Committee bulletin. |

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