

Audit & Governance Committee Recommendations Tracking

Recommendations (REFERRALS)

Number	Meeting Date	Item	Recommendation / Referral	To	Response
R3/14	29/05/14	2013/14 Annual Governance Statement	To COMMEND the draft Annual Governance Statement, subject to the amendments outlined above, to the Cabinet for publication with the council's Statement of Accounts.	Cabinet	On 24 June 2014, Cabinet approved the Annual Governance Statement for inclusion within the Statement of Accounts and Annual Report. Audit & Governance Committee is to continue to monitor the governance environment and report to Cabinet as appropriate.

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.

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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> <p>On 29 May, the Director of Finance assured the committee that the Surrey Treasurers' Association was keeping this issue on the agenda. The Chairman responded that the Audit & Governance Committee would continue to monitor the situation.</p>
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.
A9/14	29/05/14	Completed Internal Audit Reports	The Vice-Chairman to review the background papers to the audit of Officer Interests and report back to the committee.	Vice-Chairman	The Vice-Chairman has reviewed the papers and the Chief Internal Auditor has undertaken to do a piece of work.

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A12/14	29/05/14	Internal Audit Annual Report 2013/14	The Chief Internal Auditor to consider the need for an audit of recovery rates following damage to Council property.	Chief Internal Auditor	A relevant note has been added to the Audit Universe to highlight this as an area to consider as part of the 2015/16 annual planning process.
A13/14	29/05/14	Risk Management Annual Report	Risk L15 (Central Government policy development) to be developed to have a greater focus on the Care Act.	Risk and Governance Manager	The Risk and Governance Manager to report back.
A17/14	29/05/14	Property Asset Management System Implementation Update	The committee to be made aware of the results of any evaluation of the delivery of expected benefits through the information bulletin.	Performance Manager, Property Services	To be scheduled for future bulletins.

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Completed Recommendations/Referrals/Actions – to be deleted

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
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>
R1/14	29/05/14	Risk Management Annual Report	The Committee approved the Risk Management Policy Statement and Strategy for inclusion in the Constitution.	Council	The Risk Management Policy and Statement was approved by Council for inclusion in the Constitution on 15 July 2014.

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R2/14	29/05/14	Code of Corporate Governance	The Committee approved the updated Code of Corporate Governance and recommended it to the County Council for inclusion into the Constitution.	Council	The updated Code of Corporate Governance was approved by Council for inclusion in the Constitution on 15 July 2014.

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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 This additional wording was considered by the Schools Forum on 3 July. The proposed changes were approved. The next stage is to formally amend the scheme and advise schools that this has been done (we must legally advise schools of the date from which changes to the Scheme are effective). This will be done in the first Schools Bulletin of the Autumn 2014/15 school term.</p>

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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	On 29 May 2014, the Chief Internal Auditor informed the committee that she had discussed the issue with the Chief Executive who would raise it with the Leader of the Council.
A10/14	29/05/14	Completed Internal Audit Reports	The Democratic Services Lead Manager to discuss with IMT the need to consider the Modern Councillor as part of the Modern Worker project and to chase to establish what progress has been made with being able to print from iPads	Democratic Services Lead Manager	IMT has confirmed that the Modern Worker project includes a Modern Councillor dimension. IMT has also confirmed that it is actively assessing two solutions for printing from ipads.
A11/14	29/05/14	Completed Internal Audit Reports	The Finance Manager – Assets & Accounting to prepare a briefing on the GR/IR balance for the Committee's next information bulletin.	Finance Manager – Assets & Accounting	A briefing was included within the July 2014 edition of the Committee bulletin, which is also attached as an appendix to this tracker.
A14/14	29/05/14	2013/14 Annual Governance Statement	The schools place programme to be addressed within the Annual Governance Statement.	Risk and Governance Manager	This was addressed in the final version of the Annual Governance Statement as agreed by Cabinet on 24 June 2014.
A15/14	29/05/14	2013/14 Annual Governance Statement	An emphasis on making physical assets work harder to be set out more strongly under Transparency and Stewardship.	Risk and Governance Manager	This was addressed under Purpose and Outcome in the final version of the Annual Governance Statement as agreed by Cabinet on 24 June 2014.

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A16/14	29/05/14	2013/14 Annual Governance Statement	The Minute of the Corporate Parenting Board relating to improvements to the Children in Care Health and Dental Checks to be circulated to the Committee.	Head of Countywide Services	<p>The Minute of the Corporate Parenting Board was circulated by email on 5 June 2014.</p> <p>An addition to the Annual Governance Statement was subsequently agreed between the Chairman and the Chief Internal Auditor. Under <i>Children in Care Health and Dental Checks</i>, the sentence 'Further work is required to clear a backlog of health assessments for children placed outside Surrey' was added.</p>