

## Audit & Governance Committee Recommendations Tracking

### Recommendations (ACTIONS)

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A18/15	09/04/15	SEND Strategy	Assistant Director for Schools and Learning to share a summary work programme for developing the SEND Strategy with the committee.	Assistant Director for Schools and Learning	<p>On 27 July 2015, the Chairman informed the committee that an officer had been seconded to lead on the development of the SEND Strategy. The redrafted Strategy was shared with the Education and Skills Board on 22 October 2015. On 7 December, the Vice-Chairman stated that he wouldn't give feedback on the Board's findings at this stage. At the meeting on 22 February 2016, the Vice-Chairman reported that he had circulated an email to Committee Members from the Chairman of the Education &amp; Skills Board outlining the Board's proposals for its review of the SEND Strategy. This was on the Education Skills Board agenda for 24 March 2016.</p> <p>On 11 April 2016, the Chief Internal Auditor reported that she would be working with, and supporting, the Head of Service over the coming year.</p>

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A20/15	28/05/15	Completed Internal Audit Reports	The Chairman to write to the Leader of the Council and relevant Cabinet Members recommending that the function of record keeping for accounts relating to individuals' care charges be moved from Adult Social Care to Business Services.	Chairman	<p>A letter was sent to the Leader of the Council and relevant Cabinet Members on 12 June 2015. A response from the Cabinet Member for Adult Social Care, Wellbeing and Independence was tabled at the meeting on 27 July. The Chairman undertook to meet with the Cabinet Member and reported back on 28 September. The Chairman further undertook to meet the Head of Resources in Adult Social Care and reported back on 7 December 2015. A further update was received in February 2016, and the Chairman will report back at the meeting in April 2016.</p> <p>There was a concern with collection of long term outstanding balances – Finance was talking with Business Services on how to collect balances due. Direct debit is now the default collection method for new users. This would be rolled out to existing customers.</p> <p>This was discussed in conjunction with A43/15 at the Committee meeting on 11 April 2016.</p>
A43/15	07/12/15	Internal Audit Half Year Report 2915/16	The Chairman to write to the new Strategic Director of Adult Social Care and Public Health, copying in the Cabinet Member and Scrutiny Board Chairman, regarding the management response to an Internal Audit recommendation regarding outstanding assessments.	Chairman	<p>A signed letter was sent dated 17 December 2015, and a response from the Strategic Director for Adult Social Care and Public Health was tabled at the meeting. The Strategic Director was invited to attend the meeting on 11 April 2016 with the project manager and someone from the client side to discuss the Committee's continuing concerns.</p> <p>An Annual Report was to go to the SCS Board in June 2016. Work had been undertaken to identify areas that were slowing up the collection process. These areas were being worked on and communication between the different teams of staff involved was being improved.</p>

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A45/15	07/12/15	Half Year Risk Management Report	The Chairman to raise the issue of front desk security with the Chief Executive.	Chairman	A response has been received from the Chief Executive, explaining that this was discussed at the Statutory Responsibilities Network meeting on Monday 25th January. A review is currently being carried out with our property and community safety colleagues and the Chief Executive will write to the Chairman again once this review has been completed. <b>(Response to be chased – once received this item is resolved)</b>
A1/16	22/2/16	2014/15 Audit Findings Report for Surrey Choices	The Surrey Choices Annual Business Plan to be shared with the Committee after it has been approved by the Shareholder Board.	Strategic Finance Manager	The Annual Business Plan for Surrey Choices is being presented by the company to the Shareholder Board in March/April 2016. To be a formal item on the agenda for May 2016. A&G to consider any proposals for additional funding before decision made by Cabinet/Cabinet Member. At the 11 April 2016 meeting it was recommended that the Committee's role would be to ensure that the Audit Action Plan had been undertaken and that the Committee could make recommendations to the Council Overview Board to look at specific areas of concern. A letter from Chairman was sent to Chairman of Council Overview Board on 19 April 2016. <b>To be on COB agenda for 1 June 2016.</b>
A2/16	22/2/16	2014/15 Audit Findings Report for Surrey Choices	That a financial expert from the Council be appointed to serve on each of the boards of the Council's trading companies in a non-executive capacity.	Director of Finance	At the 11 April 2016 Committee meeting the Director of Finance explained that it was not appropriate for her staff to provide the financial expertise on the Council's trading companies. That it was vital that each had the right financial capacity and her staff were not necessarily skilled in commercial business accounting.

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A4/16	22/2/16	Completed Internal Audit Reports	That the effectiveness of drainage work carried out under the Highways Contract be added to Internal Audit's programme of work, and that Members be asked to provide feedback to Internal Audit if they felt that highways repair work in their Divisions was not being completed as claimed.	Chief Internal Auditor	The draft internal audit plan included on the agenda for the April 2016 meeting of the Committee includes a review of the Highways Contract. This will look at the effectiveness of drainage work carried out.

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### COMPLETED RECOMMENDATIONS/REFERRALS/ACTIONS – TO BE DELETED

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A26/15	28/05/15	2014/15 Annual Governance Statement	That the Committee COMMENDS the draft AGS to the Cabinet, subject to additional amendments, for publication with the council's Statement of Accounts and Annual Report.	Cabinet	On 23 June 2015, 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.
A41/15	07/12/15	Treasury Management Half Year Report 2015/16	Officers to write to schools with cash balances incorporated within the council's balances to explain that they would receive 0% interest under present arrangements.	Strategic Manager (Pensions & Treasury)	At the meeting on 22 February 2016 it was noted that information about the current 0% interest rate on schools' cash balances held with the Council had been drafted by the Strategic Manager (Pensions & Treasury) for inclusion in the next Schools' Bulletin. It was suggested that this information should also be included in the clerks' briefing note which is sent to school governors. Some bursars had expressed concern about the 0% interest rate, and this would be discussed further with the Chairman of the Committee. A form of words had been passed to responsible officers and queries from schools would be dealt with as and when received.
A3/16	22/2/16	Completed Internal Audit Reports	The Director of Finance to report back to the Committee on the balance of transactions on the General Ledger.	Director of Finance	Briefing note distributed to Members in March 2016

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A5/16	22/2/16	Completed Internal Audit Reports	That the Chairman of the People, Performance and Development Committee (PPDC) be sent a copy of the audit report, and that PPDC be requested to look into the high number of cancellations for classroom-based training.	Democratic Services	Report sent to Chair, PPDC in March 2016
A6/16	22/2/16	Statutory Responsibilities Network	That the Audit & Governance Committee Chairman continues to meet with the Chief Executive, as Statutory Responsibilities Network Chairman, in order to keep up-to-date with Network activity.	Chairman	The Chair had meeting arranged in the next quarter – to feed back in May 2016.