

Report Date	Audit	Last Follow/up	Latest position	RAG
Feb-12	Heritage PVR (Feb 12)	<p>Three Amber rated actions reported to A&G Committee in Dec 2012:</p> <ul style="list-style-type: none"> • Review of Heritage Enterprise (HE) staffing model • Recommend a larger annual operating surplus to ensure the team delivers a cost zero operation • PVR to provide clarity of purpose and expectation for HE 	<p>Revised structure for Heritage (including Heritage Enterprise) in process of being decided.</p> <p>Heritage Enterprise to report to Communities Select Committee in June 2013 on income achieved in 2012/13, and options for the future.</p>	A
Feb-12	Social Care Debt (Feb 12)	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	Pensions Administration	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	EBulk CRB	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	Data Centre Operations	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	SAP Applications and Controls	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	School Governors' Financial Skills	Reported as Green to A&G Committee in Dec 2012.		G
Feb-12	Review of Rental Income	One Amber rated action (related to the need for PAMS	PAMS implementation is in phases with the first phase on Reactive Maintenance going live on 2 April 2013. The	A

		to hold details of all areas generating income) reported to A&G Committee in Dec 2012.	Rental Income module is currently being tested and is expected to go live in July 2013.	
Feb-12	Disposals and Acquisitions	One Amber rated action (related to the need to update the Asset Management Plan) reported to A&G Committee in Dec 2012.	Adopted and issued per Property Services.	G
Feb-12	Review of Utility Payments	One Amber rated action (related to the need to ensure utility payments are authorised by EMT before payment and the need for reconciliation between Systems Link and SAP data) reported to A&G Committee in Dec 2012.	Utility invoices are checked and approved (except for schools and direct debit accounts) by the EMT prior to paying and recording on the energy database, SystemsLink. This validation process has been fully operational since Q4 2012/13. The link between SystemsLink and SAP data is part of an ongoing discovery project with IMT due for completion in July 2013. The commissioning of the PAMS software has made provision for a link with SystemsLink to transfer key energy data.	G A
Feb-12	Children in non-maintained /independent SEN provision	No Red or Amber rated actions reported to A&G Committee in Dec 2012.		G
Mar-12	Project Management - Walton Bridge	Reported as Green to A&G Committee in Dec 2012.		G
Mar-12	Follow-up of Section 76 arrangements audit	No Red or Amber rated actions reported to A&G Committee in Dec 2012.		G
Mar-12	Traffic Signal Management	One Amber rated action (related to the completeness of risks identified for traffic signal management) reported to A&G Committee in Dec		G

		2012.		
Mar-12	Children's Service's Deep Dive Process	Reported as Green to A&G Committee in Dec 2012		G
Mar-12	Schools – Benchmarking Information	Reported as Green to A&G Committee in Dec 2012		G
Mar-12	AIS/SWIFT Systems	Reported as Green to A&G Committee in Dec 2012		G
Mar-12	Pension Fund Investments	Reported as Green to A&G Committee in Dec 2012		G
Mar-12	ASC Commissioning	One Amber rated action (related to the new framework for monitoring arrangements) reported to A&G Committee in Dec 2012	The number of individual schemes has been reduced by 15% and over 70% of grants and contracts are now subject to regular monitoring. This is prioritised based on strategic value and size of the schemes. Further, a new Contract Management System is being piloted over the summer and, if successful, this will be rolled out for all grants and contracts.	G
Mar-12	Revenue Budgetary Control	Reported as Green to A&G Committee in Dec 2012		G
Apr-12	Accounts Receivable	Reported as Green to A&G Committee in Dec 2012		G
Apr-12	Direct Payments	Two Amber rated actions reported to A&G Committee in Dec 2012: <ul style="list-style-type: none"> • Comply with stated policy regarding annual social care review • Install a reasonable/ achievable reconciliation system 	A follow up audit review of the initial report was carried out in Nov 2012. Audit testing indicated that progress has been made in reducing the number of overdue Social Care Reviews (732 reduced to 292) although the impact of amendments to the reconciliation procedure had not yet been felt as these remained at a similar level (40-50% of service users failing to provide reconciliations in a timely manner). A further follow up is planned Qtr2 2013/14	A
Apr-12	Payroll	Reported as Green to A&G		G

		Committee in Dec 2012		
Apr-12	Capital Expenditure Monitoring	One Red rated action (related to profiled spend of Superfast Broadband Project) reported to A&G Committee in Dec 2012	Due to delays in receiving EU approval for State Aid and the lead time between Surveys and the commencement of service delivery, there was minimal delivery of SFBB in 2012/13 and consequentially, very limited spend. However, by April 2013, all the planned surveys will have been complete by the end of May and this means that delivery can begin in Qtr1 of 2013/14.	A
Apr-12	General Ledger	Reported as Green to A&G Committee in Dec 2012		G
Apr-12	Risk Management Arrangements	<p>Two Amber rated actions reported to A&G Committee in Dec 2012:</p> <ul style="list-style-type: none"> • Seek guidance regarding the nature/definition of the council's risk tolerance. • Improve referencing on S:net across Risk Management; Emergency Planning; and; Health & Safety 	<p>A summary of strategic director risk registers has been developed that provides an overview of risk appetite and tolerance across the organisation through showing residual risk levels for directorate risks. This will aid strategic risk discussions and assist with consistent application of risk levels.</p>	G
			<p>There are some document links between the different areas of the S:net but more work is required to improve the content referencing to make it more explicit.</p>	A
May-12	Academies	Reported as Green to A&G Committee in Dec 2012		G
May-12	VCFS Framework	<p>Two Amber rated actions reported to A&G Committee in Dec 2012:</p> <ul style="list-style-type: none"> • Progress against a new framework reported to the 	The VCFS Framework has been refreshed with support and input from the Funding Review Group and the Policy & Public Affairs Group. Progress was reported to the Communities Select Committee in January 2013, and the final Framework published in March 2013. A single set of	

		<p>relevant committee on an annual basis</p> <ul style="list-style-type: none"> • Need for guidance on use of contracts/grants 	<p>outcomes and measures are in the process of being developed to monitor performance through a 'Dashboard' approach.</p> <p>Formal guidance for commissioners to consider when awarding a grant or contract has been produced by Legal Service/Procurement, and went live from April 2013.</p>	G
May-12	Agency Staff Contract	<p>One Red rated action (relating to framework rebates) and</p> <p>One Amber rated action (relating to auto approval of timesheets for payment) reported to A&G Committee in Dec 2012.</p>	<p>Procurement have confirmed receiving around £50k from Manpower for the period January 2011 to September 2012 (in SAP on 13.02.2013) but the figures for the 6 months to 31 March 2013 are still outstanding. Furthermore, these are figures provided by Manpower but not verified as accurate by anyone in SCC.</p> <p>Auto approval statistics is now part of the monthly KPIs sent by Manpower to all the service co-ordinators. The information is broken down by Directorate.</p>	A
May-12	Accounts Payable (AP)	Reported as Green to A&G Committee in Dec 2012.		G
May-12	Highways Contract Management	One Amber rated action (related to improvements to the Maximo system) reported to A&G Committee in Dec 2012.	Audit were advised of improvements made to Maximo as a result of the audit report, however, operational problems with the system at the time of an audit follow up visit precluded testing to confirm this. Will be covered in full Lot 1 follow up report due to be issued in June 2013.	A
May-12	Surrey Fire and Rescue – PVR	<p>Three Amber rated actions due to changed completion dates reported to A&G Committee in Dec 2012:</p> <ul style="list-style-type: none"> • Show costs of changes to governance 	<p>Initial work has been completed on financial arrangements for any change of governance</p> <p>Income from services is being aligned to a regional standard</p> <p>A sponsorship officer has now been appointed to identify</p>	G

		<p>arrangements</p> <ul style="list-style-type: none"> • Maximise income from services provided • Consider implications of shortfall in sponsorship and service charging 	income streams and increase income	
May-12	Treasury Management	Reported as Green to A&G Committee in Dec 2012		G
Jul-12	Arval Fuel Cards	Reported as Green to A&G Committee in Dec 2012		G
Jul-12	Honoraria Payments in Schools	Reported as Green to A&G Committee in Dec 2012		G
Jul-12	Data Protection Compliance	<p>Two Amber rated actions reported to A&G Committee in Dec 2012:</p> <ul style="list-style-type: none"> • Assess take up by locums of data protection training • Develop a performance report on meeting Subject Access Request deadlines 	<p>Internal Audit are advised that this has been actioned.</p> <p>Corporate IG have newly recruited an IG officer post to the team. This task will be allocated to the officer to set up the reporting process in conjunction with IMT.</p>	G
Aug-12	Surrey Education Trust	Reported as Green to A&G Committee in Dec 2012		G
Aug-12	Retiring head teachers' pay	One Amber rated action (related to follow up of a specific example identified as part of the audit) reported to A&G Committee in Dec 2012.	The specific example has been reviewed with the school's governing body and the matter is resolved	G
Aug-12	Babcock4S Contract	Reported as Green to A&G Committee in Dec 2012		G
Aug-12	Fire Station Audits	One Amber rated action	An Asset Management System now in place. A	G

		(related to marking equipment to ease identification) reported to A&G Committee in Dec 2012.	procurement exercise is under way to optimise the system through adding further functionality.	
Aug-12	Health & Safety	Two Amber rated actions reported to A&G Committee in Dec 2012: <ul style="list-style-type: none"> • User training for OSHENS • Deliver a programme of regular fire risk assessments 	Being addressed by additional support where required. Done	G
Aug-12	Carbon Reduction Commitment (CRC) & Green House Gases Annual Report	One Amber rated action (related to the treatment of street lighting energy consumption) reported to A&G Committee in Dec 2012.	This issue is resolved by a change in the rules relating to when a CRC levy is payable on street lighting.	G

This page is intentionally left blank