

Audit & Governance Committee Recommendations Tracking

Recommendations (ACTIONS)

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A2/18	22/01/2018	Business Continuity	To discuss timings for future reports once training for Members has taken place on Business Continuity.	Chairman	<p>April 2018 – Member Development session titled ‘Introduction to Emergency Planning’ took place on 30 April 2018. The session provided Members with an overview of the response structures in place for emergency situations, as well as some of the key risks facing both Surrey County Council and local authorities more widely.</p> <p>July 2018 – The Chairman highlighted that he intended to request a report on business continuity and emergency management towards the end of the Council’s transformation.</p> <p>July 2019 – The Committee agreed to keep this item ongoing until further information is received.</p>
A2/19 (reinstated)	07/02/19 (originally marked as complete at the April 2019 Committee)	Internal Audit Progress Report - Quarter 3 (01/10/18 - 31/12/18)	The Committee to receive an update on the findings and the progress on agreed actions for the Children’s Families & Learning Care Assessments audit at the Committee meeting in September 2019.	Audit Manager	<p>August 2019 – The Audit Manager reported that the follow-up audit to the CFLC Care Assessments audit would not be ready for September’s meeting. However a verbal update would be provided in due course.</p> <p>18/11/2019 - The Audit Manager to update the Committee.</p> <p>17/12/2019 - Audit Manager informed the Committee that the follow-up audit was in its draft phase and officers hoped to circulate a final version by February or March 2020. Members noted that there had been improvements in the service and that the follow-up audit was expected to be positive. The Chairman asked that the action remain on the Actions Tracker.</p>

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A11/19	26/09/2019	Levels of risk maturity - Interviews	Findings on the levels of risk maturity assessed through a series of interviews with stakeholders across the organisation, would be collated at the end of November with the aim of reporting back to the Committee's December meeting.	Cath Edwards, Service Improvement and Risk Manager	17/12/19 - The Interim Strategic Finance Manager informed Members that the risk review was completed in November 2019 and conducted by Gallagher Bassett. A final report was in the process of being collated and officers expected it to be part of the April 2020 committee agenda. This would follow consideration by the Council's Corporate Leadership Team.
A15/19	26/09/2019	Select Committee meetings – Members to attend	When possible, Members to attend and/or watch the webcast of the four select committee meetings as part of their governance review over scrutiny.	Members	October- The Chairman and Mr Hawkins attended the Resources and Performance Select Committee. December – the Chairman attended the Resources and Performance Select Committee and the Children, Families, Lifelong Learning and Culture Select Committee. Mr Szanto attended a Task Group of the Resources and Performance Select Committee
A16/19	17/12/19	Actions Tracker	The Chairman agreed to speak to the Cabinet portfolio holder responsible for Local and Joint Committees to ensure Local Committees reviewed risks when appropriate.	Chairman	

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COMPLETED RECOMMENDATIONS/REFERRALS/ACTIONS – TO BE DELETED

A8/19	29/07/2019	Management system performance	As part of the Committee's governance role, the Chairman and Vice-Chairman in agreement with Members and officers will raise the issue of the performance of the management system which tracked high priority actions, to Cabinet.	Chairman Vice-Chairman	17/12/19 - the Chairman informed the Committee that the issue had been reported to the Select Committee Chairman's Group and no concerns were raised. The Committee agreed the mark the action as completed.
A17/19	17/12/19	Action Tracker	The Committee Manager to circulate confirmation on whether a non-Select Committee Member was able to join a Select Committee's Task Group.	Committee Manager	Confirmation was circulated to Members that non-Select Committee Members are able to join Task Groups although it is at the discretion of the Task Group Chairman.
A18/19	17/12/19	External Audit Update Report	Members asked whether the Committee would have an opportunity to review the Council's Statement of Accounts before publication. The Strategic Finance Business Partner agreed to provide a response outside of the meeting.	Strategic Finance Business Partner	Private Member Briefing on Statement of Accounts scheduled for 29 May 2020.
A13/19	26/09/2019	Follow-up audit - Surrey Pension Fund Administration	The Audit Manager notified the Committee that a verbal update relating to the follow-up audit for Surrey Pension Fund Administration could be reported to the Committee in December.	Audit Manager	17/12/19 - The Audit Manager informed Members that the actions agreed from the last Pensions Administration audit were still not fully implemented due to the complexity and scale of the task. As a result, rather than a follow-up audit being started in December as planned, it had been agreed with the service and with Finance that a position statement to assess the current position of implementation of agreed actions would provide appropriate assurance. This work will be started in January.

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