

## Audit & Governance Committee – Recommendations Tracker

13 September 2023

### ACTIONS

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update
A4/23	8 March 2023	Statement of Accounts 2021/22	The Committee will be provided with information concerning the detailed review on areas for improvement and action plan produced following the debrief meeting next month between the Council and Grant Thornton.	Chief Accountant (Corporate) / Strategic Finance Business Partner  / Grant Thornton	The External Audit Plan report for the July Committee included an outline of the actions put in place by the Corporate Finance team for the 2022/23 statements to ensure continuous improvement and to ensure the external audit timetable can be met. Any further recommendations and lessons learned from the 2021/22 audit will be reported as part of the updated Audit Findings Report, due in November.
A6/23	5 June 2023	Questions and Petitions	The Director of Law and Governance will note the member of the public's suggestion of consideration to be given to positive feedback of nil return, as part of the report to be received later in the year concerning Members' and officers' declarations of gifts and hospitality.	Director of Law and Governance	

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A7/23	5 June 2023	Annual Complaints Performance Report	<p>The Customer Relations Manager, the Head of Customer Engagement and System Development and the Director of Law and Governance will take Committee member's comments and suggestions away and will report back at November's meeting where the LGSC Annual Letter and Complaints Update, and Council Complaints – Half Yearly Update items are scheduled; areas to cover:</p> <ul style="list-style-type: none"> <li>a) comparative complaints figures with other local authorities.</li> <li>b) whether a similar internal investigator appointment will be beneficial for ASC and having more internal investigator roles in Education Services.</li> <li>c) consider whether the Corporate category can be renamed to 'Other' and explore whether it can be broken down by the services they related to as soon as possible; to liaise with Committee members on the services to be listed.</li> <li>d) consider how non-formal complaints information such as around highways that residents direct to Members, can be incorporated in future reports or provided to the Committee in another form.</li> <li>e) explore the suggestion with database providers of a response box being added to</li> </ul>	<p>Customer Relations Manager / Head of Customer Engagement and System Development / Director of Law and Governance</p>	
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			<p>formal complaints indicating the residents' borough or district.</p> <p>f) provide a report on the customer services steering group, identifying the problems, where those were occurring and what was being done.</p> <p>g) provide an update on the Customer and Communities Directorate's mapping exercise of the Council's communication touch points and whether those were user friendly.</p> <p>h) consider a similar approach of having a central email address for residents when communicating with the Council around reporting a defect or complaint and issues to be allocated to the relevant officers for a response within an agreed timeline.</p> <p>i) provide an update on dovetailing residents' formal complaints with concerns raised to Members if they were about the same issue, as well as where concerns should be referred to the formal complaints process.</p>		

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A8/23	12 July 2023	Counter Fraud Annual Report 2022/23	The Audit Manager – Counter Fraud will find out whether a check had been undertaken across all schools in Surrey to make sure that all the business managers were on the right salary level.	Audit Manager – Counter Fraud	
A9/23	12 July 2023	Counter Fraud Annual Report 2022/23	The Audit Manager – Counter Fraud will ensure that next year’s Counter Fraud Annual Report includes an NFI results section summarising the major areas identified in the cases.	Audit Manager – Counter Fraud	
A10/23	12 July 2023	Update on the Surrey Forum and the Four Associated Strategic Partnership Boards	The Director – Corporate Strategy and Policy will liaise with the chairs of the Surrey Forum and the non-statutory boards: One Surrey Growth Board, Greener Futures Board, and Thriving Communities Board, asking whether the agendas, minutes and membership lists could be made available to all Members.	Director – Corporate Strategy and Policy	
A11/23	12 July 2023	Update on the Surrey Forum and the Four Associated Strategic Partnership Boards	The Director – Corporate Strategy and Policy will check whether there had been a report to the Council on the establishment of the Surrey Forum and non-statutory boards collectively.	Director – Corporate Strategy and Policy	
A14/23	12 July 2023	Draft Statement of Accounts 2022/23	Committee members will feedback any queries on the Narrative Report within the Statement of Accounts in due course.	Committee members	

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A15/23	12 July 2023	External Audit Plan 2022/23	The External Audit Update Report scheduled for November will include a separate report on the Value for Money (VfM) arrangements.	Grant Thornton representative	
A16/23	12 July 2023	External Audit Plan 2022/23	The Grant Thornton representative will confirm whether PSAA has approved the proposed audit fee for 2022/23.	Grant Thornton representative	
A17/23	12 July 2023	Whistleblowing Annual Report	<p>The two recommendations for improvement made by the Committee will be incorporated into next year's Whistleblowing Annual Report.</p> <ul style="list-style-type: none"> <li>• That existing employees alongside new employees would be asked to sign the Code of Conduct too.</li> <li>• That the headcount figures regarding the whistleblowing cases be updated to include other employees such as those in schools and contractors.</li> </ul>	Head of Insight, Programmes and Governance	
A18/23	12 July 2023	Whistleblowing Annual Report	The Head of Insight, Programmes and Governance will ensure that next year's Whistleblowing Annual Report includes the comparison of how other councils track their grievances as well as their whistleblower cases.	Head of Insight, Programmes and Governance	

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

A5/23	8 March 2023	Risk Management	The Head of Strategic Risk will provide an update in September on the Constitution Review Group's consideration of delegated approval to the Committee on the Risk Management Strategy.	Head of Strategic Risk	The Head of Strategic Risk has included an update on the delegated authority/approval within the Risk Management update at September's Committee.  Work plan updated for September 2023.
A12/23	12 July 2023	Draft Statement of Accounts 2022/23	The Chief Accountant will include a note in the final version of the Statement of Accounts 2022/23 explaining that the schools grant is included in the Council's gross expenditure of just over £2 billion.	Chief Accountant	The narrative wording has been updated to say that schools grants are included in the Council's gross expenditure. This wording has been added to the draft statement of accounts for 2022/23 that has been published on the council's website.
A13/23	12 July 2023	Draft Statement of Accounts 2022/23	The Chief Accountant will ensure that the draft Statement of Accounts 2022/23 on the Council's website would be updated to include the final draft Annual Governance Statement 2022/23.	Chief Accountant	The final annual governance statement for 2022/23 as approved has been included in the draft statement of accounts and uploaded onto the Council's website.