

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

Number	Meeting Date	Item	Recommendation / Action	Action by whom	Action update	Target date for Completion
<b>2024</b>						
A10/24	13 March 2024	Ethical Standards Annual Review 2023-24	The Committee will receive the report on gifts and hospitality, interests and whistleblowing at a senior officer level alongside the annual report on Members.	Interim Director - Law and Governance, and Monitoring Officer / Head of Insights, Systems and Governance	<p>The Committee received an item on July's agenda concerning officers' gifts and hospitality: Officers and Employees Annual Gifts and Hospitality Report 2023/24.</p> <p>The Head of Insights, Systems and Governance has noted on 28 August 2024 that: we will be tracking the Declaration of Interests for officers this year and will produce an annual report in April/May time for scrutiny.</p> <p><u>Item is scheduled for July 2025's Committee meeting – included in the Work Plan.</u></p> <p>Extract from draft minutes, 10 July 2024:</p> <p><i>A Committee member referred to A10/24 asking when there would be an update regarding officers' Declaration of Interests as that was noted as to be confirmed (TBC).</i></p> <p>The Head of Insights, Systems and Governance has noted that the Declaration of Interests report will follow later once the reporting on Unit4 functions to a satisfactory level. The developer team in IT &amp; Digital are supporting with it.</p>	<p><b>(completed</b> = July 2024 - officers' gifts and hospitality)</p> <p>July 2025 - officers' Declaration of Interests</p>
A20/24	10 July 2024	Draft Statement of Accounts 2023/24	The Interim Executive Director - Finance and Corporate Services, and Strategic Finance Business Partner (Corporate) will follow up the request for a	Interim Executive Director - Finance and Corporate Services / Strategic Finance Business Partner (Corporate)	<p>24 February 2025: The Chairman noted that he would progress his actions.</p> <p>Extract from minutes from 22 January 2025 meeting:</p>	March 2025

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

Page 14			Member Development Session on SEND/Safety Valve Agreement; and for the Committee to receive an update from the service in terms of meeting the Council's requirements regarding the capital side of the Safety Valve Agreement.		<p><i>The Chairman noted that he would progress his actions: A20/24, A30/24, A40/24.</i></p> <p>Extract from minutes from 20 November 2024 meeting: <i>the Chairman noted that he would respond to the Chair of the Children's Families, lifelong learning and Culture Select Committee, who had invited him to sit on the relevant Task Group.</i></p> <p>28 October 2024 update: A SEND/Safety Valve Agreement Member Development Session took place on 4 November 2024. Members had the opportunity to engage with key officers involved in the delivery of the Safety Valve Agreement, ask questions, and discuss how Surrey is addressing both the financial challenges and service improvements within the SEND framework.</p> <p>The Chair of the Children, Families, Lifelong Learning and Culture Select Committee has invited the A&amp;G Committee's Chairman to sit on the relevant Task Group and is awaiting a response.</p> <p>Update provided by the Strategic Finance Business Partner (Corporate) on 21 August 2024: It has been requested that members of the A&amp;G Committee are invited to join Members of the CFLL Select Committee to receive an update on the SEND Programme and Safety Valve Agreement.</p>	
A30/24	11 September 2024	Internal Audit Progress Report - Quarter 1	CLT will formally address the Partial Assurance opinions - not specifically MySurrey as there is significant work on that elsewhere. The Chairman will write to CLT to express the Committee's concerns, sharing that letter in advance, inviting a member	Chief Executive and CLT / Chairman	<p>24 February 2025: The Chairman noted that he would progress his actions.</p> <p>Extract from minutes from 22 January 2025 meeting:</p> <p><i>The Chairman noted that he would progress his actions: A20/24, A30/24, A40/24.</i></p>	<p>Letter - March 2025</p> <p>CLT attendance - March 2025</p>

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

			of CLT to March's Committee to provide an update on the actions being addressed.		<p>Following item added to the Work Plan (UPDATE ON Q1 PARTIAL ASSURANCE OPINIONS; TREE MANAGEMENT, AND SOCIAL VALUE IN PROCUREMENT AUDITS).</p> <p>Extract from draft minutes from 20 November 2024 meeting:</p> <p><i>the Chairman noted that he would draft the letter to CLT and invite officer(s) to attend to provide an update.</i></p>	
Page 15	A34/24 20 November 2024	Centre for Governance and Scrutiny Review of Council Governance Action Plan Update	The Interim Director of Law and Governance and Monitoring Officer will review a future date to be agreed with the Committee after the local elections, for the CfGS to visit the Council to see whether any other areas could be improved.	Interim Director of Law and Governance and Monitoring Officer	The Monitoring Officer to progress in due course.	Item paused due to Devolution and Local Government Reorganisation
	A35/24 20 November 2024	Centre for Governance and Scrutiny Review of Council Governance Action Plan Update	The Interim Director of Law and Governance and Monitoring Officer will liaise with the Chief Executive and CLT regarding the request for a workshop for the Committee with CLT, to see what can be done better.	Interim Director of Law and Governance and Monitoring Officer	<p>Extract from minutes from 22 January 2025 meeting:</p> <p><i>the Deputy Chief Executive and Executive Director - Resources noted that he had met with the Monitoring Officer and the Chief Executive and the Monitoring Officer would arrange that meeting with Committee members.</i></p> <p>Update - 10 January 2025: The Monitoring Officer is liaising with the Chief Executive, and the Deputy Chief Executive and Executive Director - Resources.</p>	Item paused due to Devolution and Local Government Reorganisation
	A36/24 20 November 2024	6 Month Complaints Update Report 2024/25	The Strategic Director - Customer Service Transformation and relevant officers will incorporate Committee members' comments to revise how the information is presented	Strategic Director - Customer Service Transformation and relevant officers	Update - 6 February 2025: Officers are putting this action into practice and have considered how to address this recommendation. The next report to the Audit and Governance Committee (Annual Complaints Report – September 2025) will highlight the context and provide evidence of improvement to residents regarding the Customer Transformation Programme, and areas for	September 2025

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

			going forward around the complaints statistics. Complaints reports to the Committee should highlight the context and provide evidence of improvement to residents regarding the Customer Transformation Programme, and areas for further development; to provide the Committee with a more complete picture of the situation going forward.		further development; to provide the Committee with a more complete picture of the situation going forward.	
A37/24 Page 16	20 November 2024	6 Month Complaints Update Report 2024/25	The Committee will be regularly informed of the trajectory of parents' satisfaction and how it is being managed, including more granular detail around parents' overall satisfaction with their interaction with the Council, learning from both positive and poor experiences.	Strategic Director - Customer Service Transformation and relevant officers	Update - 6 February 2025: Officers will ensure that the Committee is informed as a part of the routine analysis (mid-year and full year reports from Customer Service). This will commence with the next report due to the Audit and Governance – Annual Complaints Report September 2025.	September 2025
A38/24	20 November 2024	6 Month Complaints Update Report 2024/25	Regarding the portal for parents in development to go live in April 2025, the impact will reported to the relevant committees.	Strategic Director - Customer Service Transformation and relevant officers	Update - 8 January 2025: Officers note the recommendation will take proactive steps to ensure that this is reported as required/requested by the Children, Families, Lifelong Learning and Culture Select Committee supported by Democratic Services to hold discussions with the relevant CFLLC Chair.	After April 2025 / By the end of July 2025 (subject to the committee's plan and requirements)
A40/24	20 November 2024	6 Month Complaints Update	The Chairman will write to CLT and the select committees, noting the Committee's dissatisfaction	Chairman	24 February 2025: The Chairman noted that he would progress his actions.  Extract from minutes from 22 January 2025 meeting:	March 2025

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

		Report 2024/25	with the complaints performance so far; its concerns to be highlighted to the Cabinet via the Cabinet Member for Finance and Resources.		<i>The Chairman noted that he would progress his actions: A20/24, A30/24, A40/24.</i>	
Page 17	A1/25 22 January 2025	Treasury Management Strategy Statement 2025/26	The Executive Director - Highways, Infrastructure and Planning will map out the process of what the local Member engagement process should be regarding the Capital Programme, that should be uniform across teams and he will communicate that process with all Members and will provide a report to the Committee.	Executive Director - Highways, Infrastructure and Planning	Update 28 February 2025: The Programme Management Office – Manager, HIP and EPG has noted that he has shared details of the local Member engagement process with the Executive Director - Highways, Infrastructure and Planning. Subject to his feedback it can then be shared with A&G Committee members.	March 2025
A2/25	22 January 2025	Statement of Accounts 2023/24	The Strategic Finance Business Partner (Corporate) will bring an update on the plan and dates for achieving EY's recommendations, alongside the External Audit Plan for the Statement of Accounts 2024/25.	Strategic Finance Business Partner (Corporate)	Action in progress for June's Committee meeting.	June 2025
A3/25	22 January 2025	Unit 4/MySurrey Stabilisation Board Report	A report on the Unit4/MySurrey Optimisation Phase will be added to the Committee's Work Plan.	Strategic Director - Customer Service Transformation / Committee Manager	The Committee Manager has liaised with the Chairman and has scheduled the report for the July Committee meeting.	July 2025

**Audit & Governance Committee – Recommendations Tracker**  
12 March 2025

A4/25	22 January 2025	Audit and Governance Committee - Effectiveness Review 2024	The identified areas for improvement and suggested actions will be implemented by the Committee and officers, to be reported in a progress update.	Committee / officers	A progress update has been added to the Committee's Work Plan.	June 2025
-------	-----------------------	---	---	-------------------------	---	-----------

**Audit & Governance Committee – Recommendations Tracker**  
12 March 2025

2024

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

A27/24	10 July 2024	Officers and Employees Annual Gifts and Hospitality Report 2023/24	<p>The Director of People and Change, Interim Head of Paid Service, and Monitoring Officer will consider the comments made regarding:</p> <ul style="list-style-type: none"> <li>a) a threshold to be set over which officers and employees must declare gifts and hospitality.</li> <li>b) to review the guidelines to be clearer about what is really a gift or hospitality offer, focusing on where a gift or hospitality offer is perceived by a member of the public to skew an officer's opinion about the way they were performing their work.</li> <li>c) benchmarking to be undertaken with other organisations.</li> <li>d) Members' not having to declare gifts and hospitality offers on the register under the £50 threshold.</li> <li>e) removing some of the bureaucracy, considering the timing of the gift and amount.</li> </ul> <p>keeping the officer and employees' policy separate to Members' policy or combining the two; to review the implications and any</p>	Director of People and Change / Interim Head of Paid Service / Monitoring Officer	<p><u>Item is scheduled for March 2025's Committee meeting – included in the Work Plan.</u></p> <p>Update from the Head of Insights, Systems and Governance on 30 October 2024:</p> <p>A report outlining the SCC Gifts &amp; Hospitality policy versus other councils is being produced for consideration, along with a recommendation of an annual zero return requirement for senior officers, to ensure compliance.</p> <p>30 August 2024 update: Officers are considering the comments made by the Committee, the policy is being reviewed.</p>
--------	--------------	--	--	---	--



**Audit & Governance Committee – Recommendations Tracker**  
12 March 2025

			regulations that apply to Members as opposed to officers.		
--	--	--	---	--	--

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

A29/24	11 September 2024	Internal Audit Progress Report - Quarter 1	Management will provide a report on the actions being undertaken regarding the two follow-up audits on Tree Management, and Social Value In Procurement.	Management in relevant services	<p>Item added to the Committee's Work Plan for 12 March 2025:</p> <p><b>New item</b> UPDATE ON Q1 PARTIAL ASSURANCE OPINIONS; TREE MANAGEMENT, AND SOCIAL VALUE IN PROCUREMENT AUDITS</p> <p>The Committee Manager is liaising with the Deputy Chief Executive and Executive Director – Resources on the reports to be prepared by management, 24 January 2025. Update provided by the Audit Manager regarding Internal Audit's position, 19 February 2025:</p> <p><b>Tree Management</b> We have this week received evidence from the service (Natural Capital Group Manager) to give us some confidence that the two outstanding actions have been completed. These were:</p> <ol style="list-style-type: none"> <li>(1) Producing a report from Karbontech to the Executive Director – Environment, Property and Growth and the Director – Environment on outstanding tree management tasks within the countryside estate, based on their priority P1-P6 rating; and</li> <li>(2) Clarifying through Legal advice that there is a suitable clause in the lease agreements with academies to put the responsibility for tree management at those sites onto the academy, not the Council. All academies are to be written to in order to clarify this position early next week, I understand.</li> </ol> <p>We will have a report finalised before the end of Q4: Q4 Progress Report will come in June's agenda. However, as the actions are addressed</p>
--------	-------------------------	--	---	---------------------------------------	--

**Audit & Governance Committee – Recommendations Tracker**  
 12 March 2025

					<p>and we are likely to have a draft report out before 12 March Committee, I am happy to update Members as above if helpful in conjunction with whatever management report is forthcoming. I think it highly likely we will finally be able to raise the assurance level from Partial into Reasonable (at least).</p> <p><b>Social Value in Procurement</b>                  The final due date for actions to be implemented falls in March 2025 so Internal Audit is not planning to do any work itself until Q1 of 2025/26.</p> <p>Update provided by the Audit Manager regarding Internal Audit’s position, 22 January 2025:</p> <p><b>Tree Management:</b> We have been working with the service to revisit agreed actions, and produced a briefing note for the Executive Director and S151 Officer in December to appraise them of findings. We are planning to turn this briefing note into a formal report to issue to management within Q4, ahead of which we will need to double-check the current position of progress of implementation to ensure the most up to date position is reflected.</p> <p><b>Social Value in Procurement:</b> the follow-up report issued in May agreed actions with management, one of which had an implementation date by April 2025. We have therefore scheduled the next follow-up review for Q1 of financial year 2025/26.</p> <p>Extract from minutes from 22 January 2025 meeting:</p> <p><i>the Committee member added that it was meaningless if the Council did not respond to the</i></p>
--	--	--	--	--	---

## Audit & Governance Committee – Recommendations Tracker

12 March 2025

					<p><i>actions highlighted by Internal Audit. The Deputy Chief Executive and Executive Director - Resources explained that a report on Tree Management would be presented at March's Committee meeting.</i></p> <p>Update, 7 January 2025: The Audit Manager flagged the action with the Chief Internal Auditor to liaise with the Deputy Chief Executive and Executive Director - Resources about a report to be provided by management at March's Committee meeting.</p>
A33/24	20 November 2024	Centre for Governance and Scrutiny Review of Council Governance Action Plan Update	The Interim Director of Law and Governance and Monitoring Officer will follow up the suggestion that all Members be alerted to those new officers that would work closely with Members when they join with their photo and role through the communications to Members via the newsletter.	Interim Director of Law and Governance and Monitoring Officer	<p>Update - 20 February 2025: The Director - People and Change, agreed that she will liaise with Communications colleagues to ensure that any future Chief Officer appointments are flagged to members, with a photo of the individual, a short bio and confirmation of their new role.</p> <p>Update - 10 January 2025: The Monitoring Officer is liaising with the Director - People and Change, and the Deputy Chief Executive and Executive Director - Resources.</p>
A39/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Director - Education and Lifelong Learning will follow up the request to track back two years and circulate to the Committee a summary of the progress made regarding communications.	Director - Education and Lifelong Learning	<p>Update - 21 February 2025: The Director Education and Lifelong Learning has signed off the summary (see Appendix 1).</p> <p>Update - 8 January 2025: The Director Education and Lifelong Learning has followed up with Democratic Services to understand more about the request and previous deep dive referenced.</p>

**Audit & Governance Committee – Recommendations Tracker**  
 12 March 2025

A41/24	20 November 2024	6 Month Complaints Update Report 2024/25	The Assistant Director - Customer Experience will consider the suggestion regarding whether there should be a risk added to the Strategic Risk Register on poor complaints handling.	Assistant Director - Customer Experience	<p>Update from the Assistant Director - Customer Experience - 3 February 2025:</p> <p>At mid-year there has been a slight decrease in the volumes of complaints. The Resources Complaints Team continually reviews the position with an associated risk regarding complaints handling and performance within the Customer Services Risk Register to ensure it remains actively managed, tracking mitigating actions and impact. Improved outcomes include increasing agreement from LGSCO (Local Government &amp; Social Care Ombudsman) with our decisions rising quarter-on-quarter during 2024/25 from 47% to 73%. The highest singular area of complaint volumes is within the Children’s Families &amp; Lifelong Learning (CFLL) Directorate where there is also a specific risk around complaints in their Directorate risk register. CFLL service performance, including complaints, is also shared and scrutinised by the Children, Families, Lifelong Learning and Culture Select Committee. The risk position continues to be monitored and discussed with the Council’s Head of Strategic Risk. In-year improvements include successful reduction of Children’s Social Care complaint escalations from first to second stages, with no escalations in November &amp; December 2024. At this stage, and in relation to other top risks facing the Council, it was concluded the risk does not yet need to be added to the Corporate Risk Register and that the Directorate level provides sufficient oversight and management.</p> <p>Update - 8 January 2025: Discussion options with the Head of Strategic Risk is ongoing.</p>
--------	------------------	--	--	--	---

**Audit & Governance Committee – Recommendations Tracker**  
12 March 2025

A42/24	20 November 2024	Annual Governance Statement - Half Year Update	The Deputy Chief Executive and Executive Director - Resources will reflect the comments in the updated report, adding more detail on the work underway including timescales, referring to the work underway by Internal Audit.	Deputy Chief Executive and Executive Director - Resources	<p>Update 4 March 2025: A progress update has been shared with the Committee via email. The Deputy Chief Executive, and Executive Director Resources has included Committee members' comments into the AGS progress update.</p> <p>Extract from minutes from 22 January 2025 meeting:</p> <p><i>the Deputy Chief Executive and Executive Director - Resources noted that he was liaising with the Monitoring Officer to ensure that Committee members' comments on the Annual Governance Statement - Half Year Update are reflected, particularly concerning Unit 4/MySurrey.</i></p>
--------	------------------	--	--	---	---