

COMPLETED ACTIONS WILL BE MOVED TO THE 'REPORTED COMPLETE' TAB ONCE THEY HAVE BEEN NOTIFIED AT AUDIT AND GOVERNANCE COMMITTEE MEETING				RED TEXT INDICATES UPDATES MADE SINCE THE LAST MEETING BLUE TEXT INDICATES NEW ACTIONS ADDED FOLLOWING THE LAST MEETING			
Action Number	Meeting Date	Action	Owner	Directorate	Progress Update	Due date	Reported complete
74	17 November 2020	The chief finance officer and monitoring officer consider that the Hereford city centre transport governance review undertaken by internal audit be circulated to the committee.	Solicitor to the Council	Corporate support centre	Matter still under consideration by solicitor to the council. Documents circulated to committee members on 22 July 2021.	01 July 2021	Yes
87	26 January 2021	Further work be undertaken to provide clarity when the council needed technical assistance in developing a tender and whether or not the organisation who had assisted could or could not bid on the work being tendered.	Head of corporate services	Corporate support centre	Work in progress	01 June 2021	
89	16 March 2021	That the wording for EP19 [planning applications validating and registering in time] and EP23 [planning applications at committee against officer recommendation] be reworded to appropriately reflect the risks.	Head of corporate performance	Corporate support centre	Escalated with E&P directorate This has been re-challenged, with a view to being updated by the end of July risk register.	04/05/2021 01 August 2021	
90	16 March 2021	That consideration be given to the inclusion of a risk in connection with the River Lugg position statement which may mean that there is a potential impact of disproportionate housing allocation in certain parts of the county.	Head of corporate performance	Corporate support centre	Escalated to E&P directorate, awaiting confirmation. Risks in relation to the Lugg condition and housing supply across the county are already held at directorate level risk registers. This has again been escalated to the directorate to consider the risk.	01 June 2021	Yes
91	16 March 2021	Consider how corporate centre will look at the aggregation of similar risks in or across directorates.	Head of corporate performance	Corporate support centre	A process to define the approach to aggregation of risks, both horizontal and vertical, needs further definition and testing. This will be included as part of the refreshed Risk Management Plan, tested with AGC recently, due, as planned, for sign off in Autumn by Solicitor to the Council.	01 November 2021	
92	16 March 2021	Changes in the risk registers to be highlighted to aid the committee in identifying when changes have been made.	Head of corporate performance	Corporate support centre	A table to show changes to directorate risk registers was included within the May report to committee (as per original due date). The next report to committee (due September) will ensure that changes on the Corporate Risk Register (at appendix A) are clearly marked	04/05/2021 30 September 2021	
94	04 May 2021	The head of corporate performance and interim deputy monitoring officer agreed to look at the processes for ensuring internal audit actions are brought to the attention of new post holders.	Head of corporate performance and interim DMO	Corporate Support Centre	An updated process is currently being developed which will ensure regular review of internal audit actions, as part of directorate DLTs. This will escalate the importance and delivery of audit recommendations due to regular review by SMTs, and ensure staff recognise where they transfer between officers.	28/06/21 01 September 2021	
95	04 May 2021	The committee suggested that a discussion with internal audit take place at the next meeting with regard to sampling of priority 3 actions are followed up by internal audit in line with the same way as priority 1 or 2 recommendations.	SWAP internal audit services	Corporate support centre	To be discussed at committee meeting to be held on 28 June 2021. SWAP advises 'Internal Audit follow up the significant findings priority 1 and 2. Priority 3 are through self-assessment from officers. The Council provides a report every 6 months on progress against all actions which includes priority 3 actions'	28/06/21 30 September 2021	
97	04 May 2021	The deputy S151 officer also explained that performance and budget were reported to Cabinet on a quarterly basis but that consideration would be given to the role of the audit and governance committee.	S151	Corporate support centre	Being considered To be explored further with the S151 officer and the Monitoring Officer	28/07/2021 30 September 2021	
98	04 May 2021	The committee indicated that they would welcome further training on the risk framework, either as a joint session with the Leadership Team or just for the committee.	Head of corporate performance	Corporate support centre	Suggest that options could be considered at the Risk Management Plan review session on June 25th. This was picked up at the meeting (on 25/06), and options provided. These have been shared with Democratic Services for consideration as part of member training and development programmes.	25 June 2021	Yes
99	04 May 2021	The committee agreed that there would be need to be further consideration of identifying 1 or more risks in the directorate risk registers and undertake a deep dive to provide assurance that the risk management framework was being applied appropriately.	Head of corporate performance	Corporate support centre	Suggest that options could be considered at the Risk Management Plan review session on June 25th. Options considered as part of meeting (25/06), exploring the possibility of inviting directors for next risk management report at AGC.	25 June 2021	
100	04 May 2021	Whistleblowing report to be scheduled for committee meeting on 30 July	Solicitor to the Council	Corporate support centre	Scheduled for 30 July meeting; rescheduled to the September 2021 meeting	28/06/21 30 September 2021	
101	28 June 2021	That training be arranged for councillors in relation to Section 106, including the facility to access publicly available information and the processes involved.	Assistant director for regulatory environment and waste	Economy and place	Training on s.106 will be provided to members in accordance with the dates reserved for member training. This will include training on how to access the information held by the council.	31 December 2021	
102	28 June 2021	Information on the position with Section 106 monies held, including timelines and quantification of the value of unspent money which exceeds the repayment dates be circulated to committee members.	Assistant director for regulatory environment and waste	Economy and place	A report will be circulated to members detailing this.	30 September 2021	
103	28 June 2021	Information on the treatment of Section 106 monies for transport / highways be circulated to committee members.	Assistant director for regulatory environment and waste	Economy and place	Work is ongoing with the Programme Management Office to provide resource for the transport/highways service so that s.106 monies for the public realm can be more effectively processed.	31 December 2021	
104	28 June 2021	Appropriate details of the deduction of £172k for expenditure paid on behalf of the council in relation to Maylord shopping centre be circulated to committee members.	Assistant director for technical services	Corporate support centre	The information is being collated in an appropriate format for circulation.	30 July 2021	
105	28 June 2021	That it be made clear in future internal audit plan progress reports which specific audits the follow-ups relate to.	SWAP internal audit services	Corporate support centre	To be incorporated into the next internal audit progress report.	30 September 2021	
106	28 June 2021	That follow-up audits completion be captured in action tracking by the head of corporate performance.	Head of corporate performance	Corporate support centre	As per line 94, a refreshed process for consideration of Internal Audit recommendations is being pulled together. These recommendations should also be included within this process, and subsequently in to the November AGC meeting	24 November 2021	
107	28 June 2021	That the number of lines of the capital programme and proportion of capital spend being managed through Verto be circulated to committee members.	Capital portfolio manager	Corporate support centre	An analysis has been provided and will be circulated to committee members shortly.	30 July 2021	Yes