

COMPLETED ACTIONS WILL BE MOVED TO 'REPORTED COMPLETE' 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 AT THE LAST MEETING				
Action Number	Meeting Date	Agenda item	Action	Owner	Directorate	Progress Update	Due date	Reported complete
91	16 March 2021	Corporate risk register	Consider how corporate centre will look at the aggregation of similar risks in or across directorates.	Head of Corporate Performance / Director of Strategy	Corporate Services	<p>A process to define the approach to aggregation of risks, both horizontal and vertical, needs further definition and testing. This was planned as part of the annual refresh of the Risk Management Plan, which has been delayed due to staffing issues and the desire to incorporate any findings from the Risk Management Maturity Assessment.</p> <p>This will be picked up following the appointment of a new Head of Corporate Performance.</p> <p>At the meeting on 27 June 2022, it was requested that consideration be given to the earlier completion of this action. Due date now identified as September 2022.</p> <p>This should be picked up as part of the work being taken forward by the Director of Strategy in looking at the council's approach to risk.</p> <p style="color: red;">At the meeting on 30 January 2023, with reference made to the Corporate Risk Register report (agenda page 44), it was noted 'The Director of Strategy will bring a report to the committee's meeting in March that sets out the principles and approach that the Council is taking to managing corporate risks strategically.'</p>	<p>01/11/2021</p> <p style="color: red;">31 May 2022</p> <p style="color: red;">November 2022</p> <p style="color: red;">September 2022</p> <p style="color: red;">October 2022</p> <p style="color: red;">March 2023</p>	<p>Reported complete</p>
94	04 May 2021	Update on internal audit recommendations	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 Services	<p>Internal audit recommendations are now included in service business plans, which are updated on a regular basis. Reports will be presented quarterly to directorate leadership teams, commencing from July. This should remove the potential for recommendations to be 'missed' in the event of a lead officer leaving, as well as increasing visibility of progress.</p> <p>At the meeting on 27 June 2022, it was requested that an example of a service business plan be provided in order to evidence completion.</p> <p>At the committee meeting on 12 October 2022, committee members confirmed that they wished to receive a briefing on the incorporation of audit recommendations in service business plans.</p> <p>At a briefing on 7 November 2022, an overview of the process was provided to committee members and a further briefing was requested to evidence that audit recommendations were being considered at meetings of directorate leadership teams.</p> <p style="color: red;">To be circulated to committee members during the week commencing 6 March 2023: Example screenshots to demonstrate this activity by directorate leadership teams.</p>	<p>01/09/21</p> <p style="color: red;">30 April 2022</p> <p style="color: red;">July 2022</p> <p style="color: red;">September 2022</p> <p style="color: red;">October 2022</p> <p style="color: red;">January 2023</p> <p style="color: red;">March 2023</p>	<p>Yes (subject to circulation)</p> <p style="color: red;">13 March 2023</p>
99	04 May 2021	Corporate risk register	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 / Director of Strategy	Corporate Services	<p>Discussed at the Risk Management Plan review session with committee on 25 June 2021.</p> <p>To be confirmed as part of Risk Management plan review.</p> <p>This will be picked up following the appointment of a new Head of Corporate Performance.</p> <p>At the meeting on 27 June 2022, it was requested that consideration be given to the earlier completion of this action. Due date now identified as September 2022.</p> <p>This should be picked up as part of the work being taken forward by the Director of Strategy in looking at the council's approach to risk.</p> <p style="color: red;">[Update as per action 91] At the meeting on 30 January 2023, with reference made to the Corporate Risk Register report (agenda page 44), it was noted 'The Director of Strategy will bring a report to the committee's meeting in March that sets out the principles and approach that the Council is taking to managing corporate risks strategically.'</p>	<p>25/06/2021</p> <p style="color: red;">30 April 2022</p> <p style="color: red;">November 2022</p> <p style="color: red;">September 2022</p> <p style="color: red;">October 2022</p> <p style="color: red;">March 2023</p>	
102	28 June 2021	Progress report on internal audit activity	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.	Lead Development Manager Director of Resources and Assurance	Environment and Economy	<p>The review of the spreadsheet is complete and this will be circulated to committee members shortly.</p> <p>At the committee meeting on 12 October 2022, the Director of Resources and Assurance advised that details of the Section 106 spreadsheet had been shared through a number of member briefings and would check with the Portfolio Manager whether this action could now be marked as complete.</p> <p>The Portfolio Manager has shared details of the Section 106 Spreadsheet through a number of Member briefings. This action is now complete.</p> <p>At the meeting on 21 November 2022, the committee noted that information on Section 106 monies held by ward had been provided to councillors but specific information on 'the value of unspent money which exceeds the payment dates' had not yet been circulated.</p> <p style="color: red;">At the meeting on 30 January 2023, the Director of Resources and Assurance offered to circulate a list outlining the current position with 'timed out' contributions.</p> <p style="color: red;">Update being sought via the action owner.</p>	<p>30/09/2021</p> <p style="color: red;">30 April 2022</p> <p style="color: red;">October 2022</p> <p style="color: red;">March 2023</p>	
106	28 June 2021	Progress report on internal audit activity	That follow-up audits completion be captured in action tracking by the head of corporate performance.	Head of Corporate Performance	Corporate Services	As per Action 94 above.	<p>24/11/2021</p> <p style="color: red;">30 April 2022</p>	
110	30 July 2021	2019/20 external audit findings report	A briefing note on the management of council estate be provided to committee members	Interim Head of Property Services / Director of Resources and Assurance	Corporate Services	<p>At the meeting on 12 April 2022, the committee noted the linkage to the Annual Governance Statement action plan (i.e. 'Produce the estates strategy for the use of council buildings'). A report is being prepared for Cabinet on the Strategic Asset Management Plan.</p> <p style="color: red;">At the meeting on 30 January 2023, the Director of Resources and Assurance said that the report was being drafted and had not yet been reported to Cabinet; it was noted that the report would focus on operational assets and investment assets.</p> <p style="color: red;">It was noted that details of Council land and property assets were published on the website: https://www.herefordshire.gov.uk/council/open-data-principles/3</p> <p style="color: red;">To be circulated to committee members during the week commencing 6 March 2023: Property services new ways of working - informal brief.</p>	<p>30 April 2022</p> <p style="color: red;">Report to Cabinet in Autumn 2022</p> <p style="color: red;">March 2023</p>	<p>Yes (subject to circulation)</p> <p style="color: red;">13 March 2023</p>

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115	27 September 2021	Corporate risk register	The Head of Corporate Performance to consider the increase of housing developments in rural areas and the impact these may have on the risk register	Head of Corporate Performance / Director of Strategy	Corporate Services	Feedback on potential impact on rural housing provided to the service for their consideration. This will also feed in to the Strategic Risk sessions due for Management Board. This will be picked up following the appointment of a new Head of Corporate Performance. At the meeting on 27 June 2022, it was requested that consideration be given to the earlier completion of this action. Due date now identified as September 2022. This should be picked up as part of the work being taken forward by the Director of Strategy in looking at the council's approach to risk. [Update as per action 91] At the meeting on 30 January 2023, with reference made to the Corporate Risk Register report (agenda page 44), it was noted 'The Director of Strategy will bring a report to the committee's meeting in March that sets out the principles and approach that the Council is taking to managing corporate risks strategically.'	24/11/2024 November-2022 September-2022 October-2022 March 2023	
126	27 October 2021	Audit and governance committee effectiveness and performance, skills matrix	A date to be set for a workshop after the full Council meeting seeking agreement for the new constitutional changes.	Director of Governance and Law	Corporate Services	At the meeting on 12 April 2022, it was noted that it would be appropriate to action this following Annual Council on 20 May 2022. Discussed at Group Leaders meeting on 8 June 2022 and agreed this would be implemented as soon as possible. Training to be scheduled. At the meeting on 27 June 2022, it was confirmed that two skills matrixes were being developed, a specific one for the Audit and Governance Committee and a broader one for all councillors. It was requested that the matrix for the committee be circulated to committee members (to be circulated with other action updates, week commencing 18 July 2022). A Members' Development Working Group meeting is to be scheduled for September 2022. The Director of Governance having considered the time remaining until the next election believes that a members skill questionnaire would be best introduced as part of the members' induction after the next local election.	May-2022 July-2022 September-2022 June 2023	
129	24 November 2021	Update on internal audit recommendations	That information on relevant internal audit recommendations be circulated regularly to scrutiny committee members.	Head of Corporate Performance	Corporate Services	In progress to be aligned to proposed new arrangements for scrutiny committees. This will be picked up following the appointment of a new Head of Corporate Performance with the Interim Statutory Scrutiny Officer. At the meeting on 27 June 2022, it was requested that consideration be given to the earlier completion of this action given that there were interim officers in place for the Head of Corporate Performance and the Statutory Scrutiny Officer positions. Due date now identified as September 2022. This has not been progressed. A meeting will be held with the Statutory Scrutiny Officer to agree the approach so that internal audit recommendations can be more widely shared. At the meeting on 30 January 2023, it was noted that the permanent Statutory Scrutiny Officer was expected to be in position by the end of February 2023.	31-March-2022 November-2022 September-2022 October-2022 April 2023	
143	25 January 2022	Annual report on code of conduct	The number of complaints referred to the police, even if nil, be included in the complaints received table in future reports.	Director of Governance and Law	Corporate Services	Information will be included in the next annual report. The annual report is due to be presented to the committee at its January meeting. This report will now be presented to the 13 March 2023 meeting.	September-2022 30-January-2023 13 March 2023	
146	12 April 2022	Corporate risk register	Where corporate or departmental risks have an integral component supplied by partnerships, consideration be given to identifying those partnerships in the relevant risk entries.	Head of Corporate Performance	Corporate Services	This will be picked up following the appointment of a new Head of Corporate Performance. At the meeting on 27 June 2022, it was requested that consideration be given to the earlier completion of this action. Due date now identified as September 2022. Not yet progressed. To be picked up in discussion between Head of Corporate Performance and Performance Lead (E&E and Corporate Services). At the meeting on 30 January 2023, the committee invited officers to consider the inclusion of third parties in risk registers where appropriate.	November-2022 September-2022 October-2022 March 2023	
147	12 April 2022	Corporate risk register	A workshop be arranged in October or November 2022 to consider the first iteration of the strategic risk register and to examine one or two strategic risks in greater detail.	Head of Corporate Performance	Corporate Services	This will be picked up following the appointment of a new Head of Corporate Performance. This should be picked up as part of the work being taken forward by the Director of Strategy in looking at the council's approach to risk. At the committee meeting on 12 October 2022, it was suggested that the action owners be invited to identify a date for the workshop on the strategic risk register. At the meeting on 30 January 2023, the committee suggested that a workshop be progressed in the new municipal year. [Also see Action 184 below]	November-2022 June 2023	
149	10 May 2022	Re-thinking governance	In the further review of the constitution and for the purposes of clarity, the presentation of the audit and governance functions be considered, in order to separate them from the 'Other functions'. Plus updates on progress with the operational delivery of outstanding actions arising from the Re-thinking Governance Working Group.	Director of Governance and Law	Corporate Services	To be included alongside other amendments to Planning Functions as set out in the constitution. At the committee meeting on 12 October 2022, it was requested that the action be expanded to include updates on progress with the operational delivery of outstanding actions arising from the Re-thinking Governance Working Group; the chair of the working group was to liaise with the clerk to identify the key elements to include in this action.	October-2022 [Date to be confirmed]	
153	10 May 2022	Auditor's Annual Report 2020/21	That further details be provided on the governance and oversight arrangements for the boards referenced in the report (e.g. Hoople Ltd), with an indication of a timeline for any updated arrangements.	Director of Governance and Law / Director of Resources and Assurance	Corporate Services	Work has commenced on updating the contractual arrangements between the council and Hoople. The new arrangements will reflect the broader range of services being delivered by Hoople on behalf of the council and clarity on reporting and oversight. Work is on-going on in producing new contractual arrangements to be entered into between the council and Hoople and it is hoped that the new contract will be ready for approval by the end of November 2022. At the meeting on 30 January 2023, the committee noted that an item on 'Approval of the creation of a new shareholder committee and contractual arrangements with Hoople Limited' was considered by Cabinet on 12 January 2023 (https://councillors.herefordshire.gov.uk/mgIssueHistoryHome.aspx?IId=50043404). It was also noted that an item on 'Governance arrangements for Hoople' had been considered previously by the committee on 19 September 2018 (https://councillors.herefordshire.gov.uk/mgIssueHistoryHome.aspx?IId=50027602). The Director of Resources and Assurance added that an item on 'Hoople Ltd' featured on the work programme for the Scrutiny Management Board (14 March 2023). The Director of Resources and Assurance offered to circulate the business plan for Hoople to committee members. Further update: The business plan for Hoople is currently being updated for approval by the Hoople Board in March and will be circulated to committee members subsequently.	October-2022 November-2022 December-2022 March 2023	

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159 & 166	(155) 10 May 2022 (166) 27 June 2022	(155) Progress report on internal audit activity (166) Anti-Fraud, Bribery and Corruption Policy	(159) The member development team be invited to consider opportunities to enhance training for all members on raising concerns with statutory officers and on initiating call-ins and other scrutiny activity. (166) The Members' Development Working Group be invited to consider the most appropriate means to raise the awareness of councillors to the Anti-Fraud, Bribery and Corruption Policy and the Counter Fraud and Corruption Strategy.	Director of Governance and Law	Corporate Services	A Members' Development Working Group meeting is to be scheduled for September 2022. The Director of Governance having considered the time remaining until the next election believes that this activity should form part of the members' induction after the next local election. At the meeting on 30 January 2023, the committee requested that action 159 and 166 be combined for ease of reference.	September-2022 June 2023	
160	10 May 2022	Progress report on internal audit activity	Further information be provided to committee members on the timeline for moving non-capital items onto the Verto system.	Director of Resources and Assurance	Corporate Services	A paper will be presented to the September 2022 meeting. At the meeting on 30 January 2023, the Director of Resources and Assurance offered to circulate a paper to committee members. Update being sought via the action owner.	September-2022 March 2023	
171	25 July 2022	Update on internal audit recommendations	That an update on work being undertaken on significant partnerships be provided for the next scheduled meeting.	Director of Governance and Law	Corporate Services	Arrangements for the overview of Significant Partnerships are part of the broader work being undertaken in relation to companies to which the council is a shareholder. This work is ongoing. The Council has, for some time now, worked with external lawyers to review external companies in which the Council has shareholdings; Directorships and/or have granted loan finance to. This review has resulted in strengthened and structured arrangements for managing these key partnerships. Cabinet at its meeting on 12th January agreed the creation of a Shareholders Committee, composed of 4 members of Cabinet. This committee will meet publically and the normal rules of open government will apply to it. The Shareholder Committee will be responsible for making decisions on behalf of the Council in its role as shareholder. In addition, the Cabinet also considered and agreed the broad terms of a Services Agreement with Hoople Limited. At the meeting on 30 January 2023, the committee reflected on the limited information on other Significant Partnerships, including governance arrangements, and the action owner was invited to revisit this action. Further update: Work in relation to significant partnerships is ongoing and evolving, and with further discussions to take place with Internal Audit.	December-2022 September 2023	
176	25 July 2022	Update to finance and Contract Procedure Rules	Officers be delegated to make appropriate changes to Section 4.6.28 to reference sustainability considerations and environmental characteristics if this was possible from a technical perspective.	Director of Governance and Law / Director of Resources and Assurance	Corporate Services	At the committee meeting on 12 October 2022, it was confirmed that the updated Contract Procedure Rules had been published but publication of the updated Financial Procedure Rules was pending; links would be provided to committee members in due course. CPRs: https://councillors.herefordshire.gov.uk/documents/s50104260/Part%204%20Section%206%20Contract%20Procedure%20Rules.pdf FPRs: The Financial Procedure Rules and Guidance Notes have been finalised and will be published during the week commencing 6 March 2023.	October-2022 November-2022 March 2023	
177	12 October 2022	Draft Annual Governance Statement 2021/22	The new membership of the Audit and Governance Committee receive a briefing on Teckal arrangements and Hoople Ltd in the municipal year 2023/24.	Director of Resources and Assurance	Corporate Services	To be arranged following the appointments to committees by Council in May 2023. At the committee meeting on 21 November 2022, it was requested that the 'briefing on Teckal arrangements and Hoople Ltd' be provided in advance of the Scrutiny Management Board on 14 March 2023, as it was to consider an item on Hoople Ltd on that date. At the meeting on 30 January 2023, the Director of Resources and Assurance advised that the Scrutiny Management Board had requested an all encompassing report. It was noted that councillors had an opportunity to submit questions to or attend the Scrutiny Management Board.	July-2023 March 2023	
178	31 October 2022	Progress report on internal audit activity	The next progress report on internal audit activity include an update on the risk based approach for the audit work on grants and provide an indication of Herefordshire's position relative to other authorities in terms of the effective management of grants.	SWAP Internal Audit Services	SWAP Internal Audit Services	At the meeting on 30 January 2023, the Assistant Director SWAP indicated that this information should be available for the next committee meeting. Further update: It is intended that the Internal Audit progress report will be provided to the next available meeting.	January-2023 March-2023 April 2023	
179	31 October 2022	Progress report on internal audit activity	The scope of the ICT Governance Framework Review be provided to committee members.	SWAP Internal Audit Services	SWAP Internal Audit Services	To be circulated to committee members during the week commencing 6 March 2023: The scope for the framework review.	November-2023 March 2023	Yes (subject to circulation) 13 March 2023
180	31 October 2022	Corporate Risk Register	That it be suggested to the risk owners of EE.28 (Phosphate Pollution in Lugg Catchment) that further consideration be given to wider environmental and economic implications, and also to potential mitigations (e.g. the work of the Cabinet Commission - Restoring the Wye).	Head of Corporate Performance	Corporate Services	The current risk around phosphate pollution EE.28 focuses on the impact on housing development. The service is aware of the committee's observation(s) and the risk will be further developed to better consider the wider environmental and economic implications. This development (and possible new risk) will be available for consideration when the risk registers are next scheduled to be received by this committee.	November-2022 June 2023	

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181	21 November 2022	Annual review of the council's information access and information governance requirements 2021/22	That the Information Governance Team provide further details on the impact of: the mandatory data protection impact assessments for new programmes, projects or systems that involve processing of personal data; and the data protection officer service level agreement for self-funding schools.	Information Governance Manager / Complaints and Childrens Rights Manager	Corporate Services	<p>The IG Team assisted with the completion of 28 Data Protection Impact Assessments (DPIAs) during the municipal year 2021/2022. The awareness within the organisation around the need to complete these assessments appears to be increasing year on year and we are getting some great engagement with officers across the organisation. We have introduced trigger points within both the procurement toolkit and the project management procedures, to ensure that the need to complete an assessment is identified at the earliest possible point. The completion of these assessments not only increases data protection knowledge for officers but it also helps identify other activities that need to be completed as part of the process such as reviewing privacy notices and drafting data sharing agreements. Directors are now required to sign off all DPIAs so that they have oversight of the risks that have been considered and any actions required to mitigate them. The IG team are very pleased with the awareness around DPIAs and the quality of assessments completed by officers.</p> <p>The IG Schools Service was launched in 2019 and the aim was to get as many schools signed up to the SLA as possible. We currently have 52 schools signed up which equates to roughly 50% of school's in Herefordshire. Information Governance and Data Protection can be a complex area with regular changes to legislation and school's often don't have the expertise and knowledge to deal with these matters.</p> <p>Herefordshire Council's Information Governance team has specialist knowledge and understand both the local and national context in which schools operate. We use our professional expertise to provide school-focused solutions across the full range of information governance matters (such as policy queries or complex data protection breaches) and individual information casework (such as Subject Access Requests (SARs), and Freedom of Information requests (FOIs)).</p> <p>Our service is primarily an unlimited telephone/email advisory service including the access to a dedicated Information Governance schools adviser. We provide the following services under the SLA which involves regular visits to schools.</p> <ul style="list-style-type: none"> • templates for data protection policies and procedures, contracts, SARs, privacy notices and data impact assessments • assistance with responding to data protection enquiries such as requests to amend inaccurate data • assistance with responding to requests made under data protection legislation such as FOI and SARs • assistance with record retention enquiries • liaison with the Information Commissioner's Office for requests for review, complaints and data breach reporting <p>At present the service is run by 1 FTE IG Officer and we therefore don't have the capacity to take on anymore schools however we are looking to offer a 'pay as you go' option to schools not sign up to the full SLA from April 2023.</p>	February 2023	Yes 13 March 2023
182	21 November 2022	Annual review of the council's information access and information governance requirements 2021/22	That a further breakdown be sought from the Community Safety Partnership about the outcomes in relation to the community trigger and what action had been taken in each instance.	Information Governance Manager / Complaints and Childrens Rights Manager	Corporate Services	<p>It is a requirement to publish information and here it is on the Herefordshire Council website, https://www.herefordshire.gov.uk/community-1/community-trigger. We will shortly be able to publish the 22/23 data.</p> <p>The reply/response letters sent to complainants has the following advice at the end of the letter.</p> <p>"If you wish to appeal against the outcome of this review, you are invited to contact the Chair of Herefordshire Community Safety Partnership, Councillor Ange Tyler via the access to information email address above. An appeal can be submitted within 10 working days of receipt of this letter. It is important to advise you that the Community Trigger does not replace an individual organisation's complaints procedure or your opportunity to complain to the Ombudsman, nor does it override the outcome of the organisations complaints procedure or Ombudsman response."</p> <p>We have only ever had one appeal and we were able to manage that appeal.</p>	February 2023	Yes 13 March 2023
183	21 November 2022	Annual review of the council's information access and information governance requirements 2021/22	The Chairperson write to the Chairperson of the Connected Communities Scrutiny Committee to highlight matters in relation to the community trigger.	Chairperson of the Audit and Governance Committee	-	An email was sent to the Chairperson of the Connected Scrutiny Committee on 10 February 2023.	February 2023	Yes 10 February 2023
184	30 January 2023	Corporate risk register	Further to action 99, opportunities for the committee to undertake a 'deep dive' into selected risks in the directorate risk registers be identified in the work programme for 2023/24.	Head of Corporate Performance / Director of Strategy	Corporate Services	To form part of future work programming for the committee.	June 2023	
185	30 January 2023	Corporate risk register	Consideration be given to the inclusion of the date that each risk was last revised under each reference number.	Head of Corporate Performance / Director of Strategy	Corporate Services	Review dates are included on risk registers, but omitted from the published version for presentational purposes. The dates can be included in future published registers.	June 2023	
186	30 January 2023	Corporate risk register	An explanation be provided of how individual directorates identify and score risks in the next report.	Head of Corporate Performance / Director of Strategy	Corporate Services	The current risk framework is used as the basis for the assessment of risks within each directorate, and further consideration given by the corporate leadership team for those risks that appear on the corporate risk register.	March 2023	
187	30 January 2023	Anti-Fraud, Bribery and Corruption Annual Report	Further details be provided about the treatment of fines arising from Blue Badge fraud cases.	Counter Fraud Manager	Corporate Services	Update being sought via the action owner.	April 2023	