

**Action Log**

<b>Action Number</b>	<b>Date of Meeting</b>	<b>Title</b>	<b>Action</b>	<b>Action Owner</b>	<b>Status/ Outcome</b>	<b>To be completed by</b>	<b>Completed</b>
8	07/02/23	LGA Recommendations Report	That the Council undertake a three year review reporting to the Audit and Governance Committee to review the Council's performance against the ten recommendations outlined by the LGA and to report on the progress of Member training	Claire Foale	Officers reviewing how to operate the review and would bring proposals to the first meeting of the Committee post the upcoming local elections. This was due to be reported at the A&G meeting on 29 November 2023 but was then deferred to 28 Feb 2024 and now to May 2024, due to the recommendations from the LGA Peer Challenge not being ready for the report.	31-May-24	No
14	19/07/23	Review of the Constitution	The Committee requested that Officers drafted a procedure for how budget amendment proposals are considered by Council for inclusion to the Constitution, as part of the Constitution review	Bryn Roberts	Ongoing as part of the Constitution review	Ongoing	No
16	19/07/23	Review of the Constitution	That Members of the Committee contact the Monitoring Officer about any areas of the Constitution they believe requires a review	Committee Members	Ongoing as part of the Constitution review	Ongoing	No
19	12/09/23	Minutes	That the full Key Performance Indicator range, discussed at the 19 July meeting, be split by directorates and circulated to Committee Members.	Lorraine Lunt	Will include updated format and content of KPI range in next report due on 28 February 2024 for further comment and feedback	28-Feb-24	No
27	08/11/23	Corporate Governance Performance Report	The Information Commissioners Office had confirmed the council had complied with their enforcement notice and this result would be published on their website. Once available, officers to share the uniform resource locator (URL) link with Members.	Lorraine Lunt	The ICO group manager confirmed that they will not publish until the end of the 6 month period of the Enforcement Notice. However, they did acknowledge that we had complied fully with the requirements of it i.e. send responses and publish plan. An update will be provided at the end of the 6 month period (13th March 2024)	13-Mar-24	No

28	08/11/23	Corporate Governance Performance Report	Following the covert surveillance training provided to Members of the A&G committee, on 8 November, Members to provide any feedback on the content of the annual report.	Committee Members			No
29	08/11/23	Corporate Governance Performance Report	That the delay in disclosing the Freedom of Information backlog position be discussed with the Information Commissioners Office Group Manager and reported back to Members.	Lorraine Lunt	An update will be included in the next report on 28 February 2024	28-Feb-24	No
30	08/11/23	Corporate Governance Performance Report	The Improvement Plan to be revised to ensure Members could monitor the progress of any improvements and completed outcomes.	Lorraine Lunt	An updated improvement plan has been published on the council website with progress and it will also be included in the next report on 28 February 2024. This has also been discussed with the ICO Group Manager.	28-Feb-24	No
31	08/11/23	Corporate Governance Performance Report	The Chair to explore the open data platform, relating to corporate performance reports, with the business intelligence team	Chair		TBC	No
32	08/11/23	Corporate Governance Performance Report	The stretch target set by the ICO was 95% or above, further analysis to be included in future updates to clarify the council's position.	Lorraine Lunt	This will be included in the next report due on 28 February 2024 and review for future reports from comments and feedback at the next Committee.	28-Feb-24	No
33	08/11/23	Report of the Monitoring Officer on suggested Constitutional Changes	That a cross party working group be established to consider the Constitutional changes for onward endorsement by the Audit and Governance Committee on 28 February 2024 then Full Council on 21 March 2024	Bryn Roberts		Ongoing	No
34	08/11/23	Publication of Internal Audit Reports	To include details in a public summary report that highlights the key points and an overall conclusion of assurance levels for completed reports.	Veritau/Bryn Roberts	This will be ongoing. The information will be provided as part of all future internal audit & counter fraud progress reports brought to the committee. The next is scheduled for February 2024.	Ongoing	No

35	08/11/23	Publication of Internal Audit Reports	That the Access to Information procedure rules be included in the Constitution review, particularly around Members rights to information.	Bryn Roberts		Ongoing	No
38	08/11/23	Update on No Purchase Order No Pay Process	More analysis in future reports, particularly relating to the: Exemption list, Value of invoice, PO invoice dates/approvals , Retrospective POs and the Action Plan.	Helen Malam	This will be included in the next report	28-Feb-24	No
40	31/01/24	Report of the Monitoring Officer	That the Monitoring Officer enquires if feedback can be provided to central government in relation to the process undertaken to approve a draft Constitution for the York and North York Combined Authority.	Bryn Roberts			No
42	31/01/24	Statement of Accounts	Provide members with a breakdown of the 2021/2022 and 2022/2023 member allowances and expenses.	Helen Malam Bryn Roberts	Will be emailed to Members	29/02/24	No
43	31/01/24	Key Corporate Risks	The officers working on the Local Plan be asked to provide an update on the risks to committee members.	Helen Malam	This will come as part of the KCR monitor 4 update	31/05/24	No
44	31/01/24	Key Corporate Risks	Officers to consider if there were any key corporate risks associated with accessing and utilizing additional resources through the York and North Yorkshire Combined Authority.	Helen Malam	This will come as part of the KCR monitor 4 update	31/05/24	No
45	31/01/24	Key Corporate Risks	1) The major metric risk definition used in the gross impact score for KCR 1, Financial Pressures be reconsidered. 2) The original risk scores could be included above the matrix that categorises the KCRs according to their net risk evaluation.	Helen Malam	This will come as part of the KCR monitor 4 update	31/05/24	No
46	31/01/24	Statement of Accounts and Work Plan	That the committee receives a summary of all the assets the council owns and officers consider the best way for this to be reviewed	Helen Malam/Bryn Roberts	Will be emailed to Members	29/02/24	No
48	31/01/24	Work Plan	That the workplan be populated to include the 2024/25 finance reports	Debbie Mitchell	This action will completed as soon as the committee meetings calendar for 2024/25 has been finalised.	31/03/24	No

49	31/01/24	Work Plan	That an update report be received on the Member Induction Programme including feedback from the Joint Standards Committee	Claire Foale		31/05/24	No
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### Completed Actions Archive

Action Number	Date of Meeting	Title	Action	Action Owner	Status/ Outcome	Completed by	Completed
1	29/06/22	Issuing of Parking Permits	That the Committee request that CCSMC review how the Council issues parking permits.	Bryn Roberts	This has been referred to the Scrutiny Work Planning meeting, with a request that it be considered for inclusion on the forward work plan.	Bryn Roberts	Yes

2	07/09/22	KCR updates	<p>Updates to the Committee be provided on:</p> <p><b>KCR 1 (financial pressures):</b> Information was requested on the impact of inflation on business rates and council tax payments, the potential impact of the care cap, and any indications of additional government support.</p> <p><b>KCR 9 (communities):</b> A suggestion was made to include relationships with parish councils in this KCR.</p> <p><b>KCR 12 (major incidents):</b> It was suggested that an explanatory note be added against the new risk (relating to commercial power outages).</p>	Debbie Mitchell	Information requested has been included in the KCR3 report being presented to A&G on the 18th January.	Helen Malam	Yes
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3	07/09/22	Code of Conduct Training	That Members' comments regarding the training programme currently in preparation by officers be fed into the process, and that the committee have sight of the programme prior to the election period.	Bryn Roberts	Members' comments have been taken into account, and a report outlining the Members Induction Programme is to be considered by the Committee on 18 January 2023.		Yes
4	30/11/22	Final Statement of Accounts	Delegated authority to the Chair in consultation with the Vice Chair to approve and sign the final Statement of Accounts	Debbie Mitchell	We are awaiting the outcome of technical discussions before the	Emma Audrain	Yes

5	18/01/23	KCR updates	That report be added to the Committee work plan to review KCRs 8 The Local Plan and 12 Major Incidents.	Bryn Roberts/ Debbie Mitchell	Added to work plan - 8th November, KCR Monitor 2 report, including review of KCR12 Major incidents and 31st January KCR Monitor 3 report including review of KCR 8 Local Plan. This will then complete that action.	Helen Malam	Yes
6	18/01/23	KCR updates	That KCR 2 Governance include a control that the Committee will make recommendations to a meeting of Council following the Local Governance Association's report.	Debbie Mitchell	This has been actioned, with a control added to the latest version of the risk register.	Helen Malam	Yes
9	07/02/23	LGA Recommendations Report	To recommend to the Chief Operating Officer and the Leader of the Council to engage the LGA about initiating a Corporate Peer Review	Bryn Roberts	Taking place w/c 5 Feb 2024	Bryn Roberts Jan 2024	Yes



10	19/07/23	Internal Audit Reports	That a report be brought to the Committee outlining the Council's process for determining what information should be kept exempt from the press and public in relation to internal audit reports.	Bryn Roberts	To close following the next meeting	Bryn Roberts on 08/11/2023	Yes
11	19/07/23	Corporate Governance Report	That Q4 2022/23 data be included within the next Corporate Governance update report	Lorraine Lunt	Included in the report on 8th Nov	Lorraine Lunt on 08/11/2023	Yes
12	19/07/23	Corporate Governance Report	That Officers provide an update to Committee Members via email into the progress on responding to Adult and Children's Social Care complaints.	Lorraine Lunt	Update provided in the report on 8th Nov	Lorraine Lunt on 08/11/2023	Yes
13	19/07/23	Corporate Governance Report	That Officers review the ombudsman decisions and share with the Committee any additional decisions If not included within annex 3 to the report as intended.	Lorraine Lunt	Included in report on 8th Nov- confirming duplicate case in Annex 3 of July report and no additional decisions to include for that reporting period	Lorraine Lunt on 08/11/2023	Yes

15	19/07/2023 and 12/09/23	Review of the Constitution	That the Monitoring Officer review, in the Constitution, the Public Participation Protocol, the language used and a specific point regarding incoming new Leaders of the Council, as part of the Constitution review:	Bryn Roberts	To close following the next meeting	Bryn Roberts on 08/11/2023	Yes
17	19/07/23	Internal Audit Reports	That a report be added to the Committee work plan to review the policy and use of payment orders within the Council.	Debbie Mitchell	A report is included on the agenda for the November meeting	Debbie Mitchell	Yes
18	12/09/23	Minutes	That the action log be reviewed to demonstrate a clearer control process.	Bryn Roberts	To also include the completed actions archive in the agenda	Bryn Roberts/Dem Services	Yes
21	12/09/23	Monitor 1 23/24 - Key Corporate Risks	Investigate what processes the council currently had in place for urgent extreme weather incidents and inform the Committee	Helen Malam	Update to be provided by email or at the next meeting	Helen Malam on 08/11/2023	Yes
22	12/09/23	Monitor 1 23/24 - Key Corporate Risks	Consider expanding Key Corporate Risk 12 to include the impacts extreme weather incidents had on communities and people's wellbeing	Helen Malam	Update to be provided by email or at the next meeting	Helen Malam on 08/11/2023	Yes

23	12/09/23	Monitor 1 23/24 - Key Corporate Risks	Investigate if there were any government schemes in place to recover the lost council tax income, due to students being exempt.	Helen Malam	Update to be provided by email or at the next meeting	Helen Malam on 08/11/2023	Yes
24	12/09/23	Monitor 1 23/24 - Key Corporate Risks	Consider the project management of the Castle Gateway Project and York Central to enable improved consultation and engagement with the general public. (KCR 7).	Helen Malam	Update to be provided by email or at the next meeting	Helen Malam on 08/11/2023	Yes
25	12/09/23	Monitor 1 23/24 - Key Corporate Risks	Modify the wording used in relation to the adoption date of the Local Plan. (KCR 8).	Helen Malam	Completed	Helen Malam	Yes
26	12/09/23	Treasury Management Monitor 1	That treasury management be included in the Member training schedule.	Debbie Mitchell	Training to be provided prior to the A&G meeting on 31 January 2024	Debbie Mitchell 31/01/2024	Yes
27	12/09/23	Audit and Governance Work Plan	To receive a report that focused on implementing good practices in transparency, reporting, and audit, to deliver effective accountability.	Bryn Roberts	To close following the next meeting	Bryn Roberts on 08/11/2023	Yes

28	12/09/23	Urgent Business	That an initial response be provided to Committee Members on the strategy to clear the Freedom of Information backlog and then an update, from the Information Governance Team, be provided at the next meeting.	IG Team / Bryn Roberts	Ahead of next CGT report on 8th Nov, the progress and improvement plan has been published on the council website  <a href="https://www.york.gov.uk/freedom-information/information-commissioner's-office-ico-enforcement-notice-improvement-plan">https://www.york.gov.uk/freedom-information/information-commissioner's-office-ico-enforcement-notice-improvement-plan</a>	Lorraine Lunt on 08/11/2023	Yes
36	08/11/23	Treasury Management Mid-Year Review and Prudential Indicators 2022/23	Explore the investment portfolio available on the council's current accounts	Debbie Mitchell	Covered as part of member training	Debbie Mitchell and Tony Clark 31/01/2024	Yes

37	08/11/23	Treasury Management Mid-Year Review and Prudential Indicators 2022/23	Further information to be issued to Committee Members regarding the Public Works Loan Board (PWLB) certainty borrowing rates, (as noted in table 6 at point 42 of Annex 1 to the report)	Debbie Mitchell	Covered as part of member training	Debbie Mitchell 31/01/2024	Yes
39	08/11/23	Monitor 2 2023/24 - Key Corporate Risks	To include an update on the progress of the Local Plan (KCR 8).	Helen Malam	This will be reported at the A&G meeting on 31 January 2024	Helen Malam 31/01/2024	Yes
41	31/01/24	Local Government Association (LGA) Peer Challenge	That Members comments regarding the interviewee list and the LGA engaging with a broader spectrum of stakeholders be fed back to the LGA for consideration.	Claire Foale	Recommendations from Audit and Governance were taken on board with additional workshops arranged for Trade Unions, Elected Members, and Talkabout panel members invited as residents.	ClaireFoale 09/02/2024	Yes

47	31/01/24	Treasury Management Training	The treasury management training recording would be circulated around committee members.	Louise Cook	Completed	Louise Cook 02/02/2024	Yes
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