

Annual Governance Statement Action Plan 2012-2013

	Issue	Action	Outcome	Responsible officer	Date completed
<b>New Governance Structures</b>					
1	New LLPs in place require embedding into the Council's governance processes	Financial Regulations and other rules to be updated to reflect LLPs	Updated Financial Procedure Rules agreed by Council	Corporate Director – Resources	September 2013
2		Interim business plans are currently in place and full business plans to be submitted to the Cabinet	Business plans agreed by the Cabinet	Corporate Director – Resources	June 2014
3	Communication in respect of LLP's to be strengthened so that members and officers better understand the governance relationship	Briefing provided for members and officers on the LLP's and their links with the authority	Satisfactory briefing as evidenced by positive feedback		
4	Review LLP services to ensure that the current MKSP structure is the best possible structure going forward.	Review of the interface between MKSP and the Council to be undertaken	Full review undertaken and reported to CLT and Cabinet	Partnership Director - MKSP	September 2013
5		Confirm the governance arrangements for MKDP and MKSP in relation to the Council and commence regular reporting, as set out in the members agreements	Council has appropriate governance arrangements in place to oversee the LLPs	Corporate Director – Resources	September 2013
6	The Localism Act has introduced new possible governance models for local authorities.	New governance processes agreed by the Council via the Constitution Commission or existing governance processes reconfirmed	Appropriate Governance models agreed by Council	Chief Executive	December 2013
<b>Managing risk</b>					
7	The Wolverton Station overspend highlighted a number of weaknesses in procurement/project management processes	Action plan currently being implemented.	Action plan to be completed and signed off by the Audit Committee	CLT	September 2013
8	Following the Wolverton Station review, project Health Checks to be considered regarding depth and scope	Review of the Health Check process	Reviewed health check process submitted to CLT and agreed for use.	CLT	September 2013

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9	Management of the Tariff Risk Management Plan	Risks in the Tariff regularly reviewed and actively managed, with a forecast financial position being incorporated into the Budget Monitoring Report and risks and issues highlighted through this existing reporting framework.	Reports to CLT on a quarterly basis	CLT	September 2013
10		Briefing for members on the Tariff, Community Infrastructure Levy and s106 agreements and the associated risks	Members understanding of these matters improved, evidenced by positive feedback.	CLT	April 2014
11	Review of GRACE (the Council's risk management system) as part of the next Risk Management audit to ensure that the system is fit for purpose with respect to project management risks	Audit undertaken and reported to the Audit Committee	A report to the Audit Committee providing appropriate assurances.	Assistant Director Internal Audit and Risk Management	March 2014
<b>Operational Issues</b>					
12	Changes to the Standards Regime made by the Localism Act 2011 require the Authority to consider the discharge of its duty to promote and maintain high standards of conduct	Effective training delivered to all members on the Code of Conduct	Numbers of complaints regarding councillors of MKC progressing to hearing to remain at 0.	Interim AD Law and Governance	June 2014
13	Greater support required generally in respect of Member development	New arrangements for the determination of complaints be embedded Member Personal Development Plans finalised	Agreement of effectiveness of the process by the Standards Committee All members in receipt of Personal Development Plans	Interim AD Law and Governance Director of Strategy	12 June 2014 September 2013
14	Greater consistency of services keeping ward members informed of developments affecting their wards,	Member role profiles to be finalised Guidance for officers to be issued on support for members in terms of ward councillor work and to be	Role profiles agreed for appropriate roles Appraisals showing positive working with members.	Director of Strategy CLT	June 2014 June 2014

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	and ensure compliance. Ensuring that changes in ward boundaries are taken into account	linked to the appraisal entries A standard process to be agreed to ensure understanding of how to best interact with individual members and that information is provided at an appropriate time to ensure that members may be appropriately involved in decision making	Process agreed with group leaders	CLT	December 2013
17	The Authority is currently undertaking a programme of Organisational Change, which may impact on governance processes in the Authority  It has been identified that there is a need to raise awareness and understanding of the OTP among both Members and staff	OTP programme is in place, and to ensure that any governance issues are addressed, regular updates are to be supplied to all members to allow consideration of governance and proper process.  A statement of outcomes achieved in 2013/14 to be submitted to the Corporate Affairs and Performance Select Committee in 2014	Updates provided on a quarterly basis.	Corporate Director for Children and Families	April 2014
18	During an Internal Audit, declarations of pecuniary interests by officers were found to be inconsistent	Although reminders have been sent out, a further audit undertaken to establish the effectiveness of the reminders	Receipt of an appropriate report by the Corporate Affairs Committee	Corporate Director for Children and Families	April 2014
19	Procurement processes require further updating with clear roles defined for decision makers	The contract procedure rules are to be finalised	Audit showing satisfactory compliance  Council to agree Contract Procedure Rules	Head of Internal Audit  Assistant Director Audit and Risk Management	June 2014  August 2013
20	Concerns have been raised that IT systems and supporting policies may not be fit for purpose in respect of Member use	The AD Public Access has made some comprehensive recommendations regarding IT provision and if agreed these are	Agreed position on the provision of IT equipment reached.	Assistant Director Public Access	May 2014

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		to be referred to the Independent Remuneration Panel for further consideration			
21	Monitoring Officer role is currently vacant. Although the Deputy Monitoring Officer is currently undertaking duties within the role, the Council is under a legal duty to have a Monitoring Officer in place.	Monitoring Officer post recruited to.	Monitoring Officer in post and providing effective governance to the organisation.	Corporate Director – Resources	September 2013
22	Review in respect of officer and member working relations agreeing necessary changes as identified	To ensure that the member/officer protocol is fit for purpose and that officers and members are given appropriate training and guidance in this area	Agreed position with the group leaders and the head of paid service and changes made and agreed by Council as appropriate.	Chief Executive	October 2013
23	Compliance with appraisals is at 82.02%	Ongoing embedding of processes and monitoring of appraisals to ensure 100% compliance achieved	90% or above compliance for the end of 2013/14	Head of HR Strategy	June 2014
24	The Audit Committee seeks assurance that internal audit outcomes, both positive and negative are considered, where appropriate in respect to team and individuals performance	Human Resources to consider and demonstrate the impact of internal audits and their use in performance management.	Audit committee to accept a report detailing how this will be undertaken.	Head of HR Strategy	November 2013
25	Audits undertaken have identified some weaknesses in contract management	To implement a contract management strategy that delivers a consistent and risk based approach to all contracts being managed.	Corporate overview of contracts provided by a quarterly report to CLT.	Head Of Strategic Procurement	March 2014
26	Taxi Licensing audit has shown weak assurance and has been specifically mentioned in respect of key issues raised by the Head of	An action plan has been developed in respect of the audit report	Internal Audit to undertake a follow up resulting in, at least satisfactory assurance.	Head of Internal Audit	November 2013

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27	Internal Audit Sundry Debtors audit report has shown limited assurance and has been specifically mentioned in respect of key issues raised by the Head of Internal Audit	Continue to progress the Debt Management project to recommend an effective approach to debt collection and ensure that appropriate controls are in place.	A robust system of debt collection is implemented across the Council, with adequate controls to ensure debt is effectively managed and collected.	Corporate Director – Resources	May 2014
28	School audits reports have, in some cases shown limited or weak assurance, particularly with regard to the segregation of duties.	Schools informed of the outcome of the audit and provided with advice on the areas resulting in the limited assurance	All schools with current limited assurance to be at least satisfactory at follow up.	Head of Internal Audit	December 2013
29		Email out to all schools reminding them of the risk and the implications in respect of audit of non segregation of duties.	Reduction in number of schools with limited or weak assurance provided in respect of segregation of duties to 10%	Head of Internal Audit	December 2013