

	Issue	Action	Outcome	Responsible officer	Date completed
New Governance Structures					
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	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
4		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
5	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
Managing risk					
6	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
7	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
8	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	Reports to CLT on a quarterly basis	CLT	September 2013

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		issues highlighted through this existing reporting framework.			
9		Briefing for members on the Tariff and the associated risks	Members understanding of the Tariff improved, evidenced by positive feedback.	CLT	April 2014
10	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
Organisational processes					
11	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
12		New arrangements for the determination of complaints be embedded	Agreement of effectiveness of the process by the Standards Committee	Interim AD Law and Governance	12 June 2014
13	Greater support required generally in respect of Member development	Member Personal Development Plans finalised	All members in receipt of Personal Development Plans	Director of Strategy	September 2013
14		Member role profiles to be finalised	Role profiles agreed for appropriate roles	Director of Strategy	June 2014
15	Greater consistency of services keeping ward members informed of developments affecting their wards, and ensure compliance	Guidance for officers to be issued on support for members in terms of ward councillor work and to be linked to the appraisal entries	Appraisals showing positive working with members.	CLT	June 2014
16	The Authority is currently undertaking a programme of Organisational Change, which may impact on governance processes in	OTP programme is in place, and to ensure that any governance issues are addressed, regular updates are to be supplied to all members to	Updates provided on a quarterly basis.	Corporate Director for Children and Families	April 2014

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	the Authority It has been identified that there is a need to raise awareness and understanding of the OTP among both Members and staff	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			
			Receipt of an appropriate report by the Corporate Affairs Committee	Corporate Director for Children and Families	April 2014
17	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	Audit showing satisfactory compliance	Head of Internal Audit	June 2014
18	Procurement processes require further updating with clear roles defined for decision makers	The contract procedure rules are to be finalised	Council to agree Contract Procedure Rules	Assistant Director Audit and Risk Management	August 2013
19	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 to be referred to the Independent Remuneration Panel for further consideration	Agreed position on the provision of IT equipment reached.	Assistant Director Public Access	May 2014
20	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
21	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
22	Compliance with appraisals is at	Ongoing embedding of processes	90% or above compliance for	Head of HR	June 2014

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	82.02%	and monitoring of appraisals to ensure 100% compliance achieved	the end of 2013/14	Strategy	
23	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
24	Taxi Licensing audit has shown weak assurance and has been specifically mentioned in respect of key issues raised by the Head of Internal Audit	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
25	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
26	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
27		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