

Audit Committee Report

Risk	Control	Control Description	Effectiveness	Residual Risk Level	Action Plan Title	Action Plan Description	Action Plan Date Added	Action Date	Risk Appetite	Comments
------	---------	---------------------	---------------	---------------------	-------------------	-------------------------	------------------------	-------------	---------------	----------

Items in Group: 5

Adult Social Care and Health

Ability to meet the demand within the existing resource	MTFP	Medium Term Financial Planning - to match activity cost and demographic Includes demand led reserves	Good	9					9	
	Activity Planning by doing thing differently	Planned in year savings of £5.6M	Good							
	Early intervention	Focus on intervention measures to reduce longer term issues. (E.g Health and wellbeing)	Good							
	Savings	Savings tracker and robust financial management processes in place	Good							
	Income Generation	Review charging policy Reduce debt Welfare Benefits advisor role	Good							
	Council Tax Precept	2% Council Tax Precept provides £3M income	Good							
Maintaining acceptable level of services	Rolling recruitment	HR working on a active recruitment Conversion of agency workers to full time	Good	12	Micro site	Creating a new, more efficient method of employing staff	08/03/2017	31/12/2017	9	Action plan date extended as currency work in progress.
	Weekly staff interventions		Good							
	Staff Training	Targeting cohorts of staff to train and obtain additional qualifications	Good							
Partnership working - Provision of NHS services	Joint Working	Current levels of joint working arrangements	Reasonable	12					9	
	MKC CEO attends meetings of NHS Trust every two weeks	Ability to influence decision made by the Board	Good							
	Appoint of Director of Integration and Partnership Working	Jill Wilkinson appointed to post to ensure level of partnership working	Good							
Structural safety and security of buildings	Business Continuity Planning	Each property has carried out a Business Impact Analysis and Business Continuity Plan	Good	12	Project ASC & HC03	Relocation of daycare centres	04/01/2017	31/03/2018	8	
	Building Closures	Review of properties and closure/disposal as necessary (e.g Cripps Lodge)	Good							
Sustainability of commissioned services	CQC	As part of the CQC role under the Care Act will monitor "hard to replace" providers and work with LA	Reasonable	12					12	
	Accounts	Financial assessment of accounts	Good							

Items in Group: 3

Children's Social Care

Coping with the increase in demand	Resources Panel	Monthly budget monitoring	Good	16	Main stream schooling	Review developing inclusions in main stream schooling	27/02/2017	01/04/2018	9	
	Government funding	An additional £127,000 Central Government funding received	Good							
Resources to provide the level of services expected	Partnerships	Close working relationship with Policy & Health	Good	9					9	
	Recruitment & Retention policy	Market supplements and conversion of Agency staff to directly employed staff Staff Helpline and Clinical supervision website	Good							

ANNEX B

	Absenteeism	MKC Absenteeism policy	Good						
Serious Service Failure	Staffing	Staff supervision	Good	16				16	
	MASH	Multi-Agency Safeguarding Hub provides a fastemore coordinated and consistent responses to safeguarding	Good						
	Action Plan	Action plan following Ofsted report	Good						

Items in Group: 3

Education

Balancing the school system in a way that is sufficient and economic	Monitoring	Continuous monitoring of system to respond to change	Good	9	School Place Planning Framework		09/11/2016	31/11/2017	6	The Forward View 17/18 and it's on the MKC website (Schools and Lifelong Learning). We are currently waiting for the Education Board to approve an update to this which should go live by the end of November.
	Agile approach	Ability to deal with sudden changes in predicted demograhic	Good							
		High quality relationship with partners	Good							
Budget implications of "Home to School" transport	Project Board	Project Board set up to oversee improvements to the service whilst delivering within resource envelope	Good	15	Project	START document and Highlight reports	09/11/2016	31/03/2018	12	
	Taskforce	Taskforce set up January 2017 to address any inefficiencies in the delivery of the service	Good							
Raising education standards across the Local Authority	Targeting	Targeting areas/schools who require assistance	Good	12					12	
	Relationships	Maintain and enhance relationships with Training schools and MKET	Good							
	Quality assurance	Ensure that where the Schools source their own support this is of sufficient standard	Good							

Items in Group: 5

Growth, Economy and Culture (SD)

If health and safety requirements not met then MKC are liable for prosecution	Robust monitoring of status of assets		Good	8					8	
	Contract Management	Regular contract management of organisations that manage MKC stock to ensure they are following Health and Safety procedures	Good							
	Management of expectations regarding service levels		Good							
	Early warning system in place for early flagging of staff shortages which could impact this area, allowing mitigation packages to be put in place.		Good							
	Early flagging of service requirements and prioritising with IT so services can continue and longer term improvements can progress.		Good							
If service income, budgets and funding are not adequate then we will not meet requirements of service delivery	Management of expectations	If income, budgets and financial constraints mean that we are not able to deliver the service as we have previously then management of stakeholder expectations takes place.	Good	6					6	
	Continuing the conversation with Government agencies and developers to ensure that alternative ways of delivering are explored and considered.		Good							
	Budget management		Good							
If the service is unable to effectively deliver key programmes and projects then benefits will not be realised	Robust project management and following the MK Approach		Good	6					6	
	Management of expectations	Adjustment of Programmes according to circumstances.	Good							
If there are changes in legislation and / or national policy then this may adversely impact on service delivery	Monitor Government announcements and publications	Anticipate and put in place measures to respond to changes	Reasonable	10					10	
	Training for staff and members	Awareness of change and appropriate modification to practice	Reasonable							
	Introduction of planning performance agreements (PPA) + other measures to allow extensions to time limits/bespoke programmes.		Good							
	Discussion at Team and Group meetings, briefings for members		Reasonable							

	Regular review of publications and other sources of information		Reasonable		
	Bought in Professional Services	Contract professional expertise, where necessary, to assist with meeting statutory duties.	Good		
If there is inadequate succession planning, capacity and retention then there may be service disruptions/non-delivery	Exploration of self funding mechanisms for staff through charging for delivery of non-statutory services.		Good	3	3
	Early flagging with CLT any potential recruitment issues that we have.		Good		
	Prioritisation between urgent/non-urgent work if staffing becomes so reduced that we are no longer able to do both.	Can make use of Functions Analysis within our Business Continuity Plan.	Good		
	Use of temporary staff in the interim.	This control does have associated additional costs to the service.	Reasonable		

Items in Group: 5

Housing and Community (SD)

As a landlord if our income stream is less than expected then this will negatively impact on service delivery	Developing on-line access to rent accounts to assist customers to manage their account more effectively	Customer Access Project to deliver online services for customers	Reasonable	16	Review of Tenancy Agreement	Include more robust approach to payment responsibilities and collection methods	07/10/2015	31/12/2017	9	Remove flexible tenancies as per HMM and JR. Discuss Comms and prepare cabinet	
	Review and improve Leaseholders / Shared owners service charge processes		Good		L/H Leases	Home Ownership team have been looking into how all the leases can be reviewed. These should form part of that larger project. However, Derek Beaumont now leading on subletting and sales policy, so should be included with that.	19/10/2015	31/12/2017		Ongoing as part of wider housing and regeneration restructure	
	Maximise collection of Leasehold / Shared Owners income and reduce debt		Good								
	review and improve leaseholder income collection process		Good								
	Monthly Monitoring of arrears		Good								
	Relationship with Revs and Bens to gain info and early warnings		Good								
	Staff awareness and focus on income		Good								
	Universal Credit Income Team Progress Meeting	Action plan for UC & debt. Communications plan actioned. Monthly Rent progress meetings with HoS	Good		Income action plan	Plan of further Income Team improvements	19/10/2015	31/12/2017		Ongoing as part of wider housing and regeneration restructure and changes to working practices to reflect changes in legislation and benefits (UC)	
	Computer system	Computer system holds service charge data billed (estimated & Actual) and backed up	Good								
	New rents calculation	Finance set new rent calculations and figures automatically updated to Northgate reducing human error (inputting error)	Good								
	S/O Service charge calculation	Finance create service charges and statements for shared owners. This is checked by Officers before issue.	Good								
	L Drive	Service areas to keep records of calculation on corporate drives to enable back up and reference	Good								
	Communication Campaigns	Tenants continued awareness to pay charges and of debts. Website updated and improved Christmas campaign DWP literature	Good								
	Homeswapper	Revs and Bens literature. Allowing tenants to register with arrears. Code used for officers to see, that have registered. Auto generated letter created with details of arrears and MX - info saying no exchange with arrears.	Good								
	Management moves (Exceptional decisions)	New forms created to allow consistent and transparent process	Good								
	NEP	To assist people to find work	Good								
Relationship with DWP	key contact points with UC with regards claims and DPA	Good									
Update of tenants arrears procedures	Update 20/2/16 - procedures still with legal. Update, with legal and has been chased. Update rent collection procedures and guides to ensure law and MKC requirements met to maximise recovery.	Good									

	On-line access to rent accounts	Developing on-line access to rent accounts to assist customers to manage their account more effectively. Ratesh Sharma (IT) now leading corporately.	Good							
If MKC does not have adequate Emergency preparedness, then we will be unable to robustly respond to civil emergencies	Working relationships	R&BC officer supporting, with assistance with EOC Head of Regulatory Services forms part of the OOH response team FWP to consider needs for Crisis Management Working with FM to ensure CCTV	Reasonable	15	Training and Recruitment to EP response roles	Training programme for key emergency personnel to be developed. Programme held up by lack of staff and everyday commitments to be covered. Looking at wider, Local Resilience Forum packages being developed.	18/11/2016	30/03/2018	5	
	Thames Valley Local Resilience Forum (TVLRF) multi-agency plans for emergency capabilities	These documents form part of the MKC emergency plans library. These documents are validated and supported through TVLRF training and exercising programme	Reasonable							
	Horizon Scanning and Risk Management	MKRG undertake localised risk assessment from TVLRF. Some risks are excluded as not applicable to MK and others amalgamated into broader risks. MK Risk List produced for MKRG and includes current and identified control measures for multi-agencies TVLRF Community Risk Register Reasonable TVLRF CRR based on National Risk Register, with localised assessment of risks. Some risks (e.g. coastal flooding) excluded.	Reasonable							
	Emergency Operations Centre	Current control measure is to use the Emergency Planning Unit desks. (These are due to be lost under the Agile Working Programme)	Good							
	Access to 'Resilience Direct'	Resilience Direct is a secure website for Government agencies and emergency responders that enables messages to be passed between all participants. Connectivity between agencies enhanced. Generic plans include the need to send a MKC representative to the Tactical Co-Ordination Group (TCG) or 'Silver Control' when established in order to liaise with partner agencies.	Good							
	MK Multi-Agency Mass Fatalities Plan. Financial recording and request to Bellwin Scheme	Plan detailing how MK will respond and manage a mass fatalities incident. Details of Bellwin Scheme passed to MKC Finance Director.	Good							
Emergency Plans and Procedures to be validated through desktop exercises	Training programme being developed to include regular desktop exercises for a range of scenarios	Good								
If we are unable to reduce the use of B&B accomodation then we may not meet the target as set out in the Council Plan	Discharge of duty via the private sector	Decision to be made by Cabinet on 30/1/13	Reasonable	9	Implementation of Homeless Strategy Action Plan	Implement action plan	30/08/2016	01/04/2018	6	START workshop facilitated. Action plan tasks being allocated Ongoing Action, some actions have been completed others, including recruitment of additional staff, to reflect additional homelessness legislative requirements
	Developed successor scheme to Home Bond (EPSL)	Extended Private sector Leasing scheme now in place.	Reasonable							
	Explore and develop alternatives to B&B	Establish, and where feasible implement, short, medium and long term options offering alternatives to B&B provision.	Good							
	Homeless Applications Monitoring	Monitoring those in B&B without a decision Manager monitors officers case work each week	Reasonable							
	Reducing B&B use through alternatives	Sourcing alternative solutions rather than B&B	Good							
	Performance Plus % decisions on time	Create P+ of % of reviews and decisions made on time, and report via P+ monthly Update, reviews now outsourced, need agreement on how performance will be managed.	Good							
	Homelessness Partnership	Multi agency approach to tackling non statutory homelessness	Good							
Implementation of Homeless Strategy Action Plan agreed by cabinet	Needs agreement with Cabinet.	Good								

If we don't manage stakeholder expectation re. crime & community safety people may feel let down as crime rates increase	Responding through JATAC and other partnership mechanisms		Good	6	Safer neighbourhood review	Looking at how we engage with the community and exploring sustainable approaches to neighbourhood crime	12/01/2017	31/03/2018	4	
	Maintaining ASB complex cases panel		Good							
	CCTV business proposal and action plan for implementation in partnership with TVP		Good							
	Revised Community Safety Plan (CSP) to reflect surveys, strategic assessment and consultations with the public.		Good							
	Review performance framework and ensure it aligns with the revised CSP Plan and priorities		Good							
	Intelligence meeting established in partnership with Safeguarding to review external issues and peer groups coming in to MK		Good							
	Action Plan - Preventing Gang Development in MK	part of Op Stronghold	Good							
	Peer Group Intelligence Meeting (PGIM)	PGIM meets multi-agency, discusses relevant concerns of areas and individuals and refers appropriately	Good							
Regular communication with stakeholders to raise awareness and manage expectations.		Good								
YourMK LLP does not succeed	Governance	Governance suite established and agreed	Good	10					10	
	Council Committee	Purpose and Group representation agreed	Good							
	Communications and engagement	Plan developed and agreed with Mears on behalf of the Partnership	Good							
	Partnership Management	A regeneration partnership to deliver repairs, maintenance & capital investment function ensuring continued compliance	Good							
	Implementation of the Homelessness Strategy Action Plan	Cabinet approved implementation plan	Good							
	Implementation of the Homelessness Strategy Action Plan	Cabinet approved implementation plan	Good							
	Implementation of the Homelessness Strategy Action Plan	Cabinet approved implementation plan	Good							
	Implementation of the Homelessness Strategy Action Plan	Cabinet approved implementation plan	Good							

Items in Group: 4

Policy and Performance (Director)

If Council messages do not reach all audiences or not fit for purpose, then residents and stakeholder will be put at risk	Social Media and Online Comms	Greater use of online and social media, and other direct channels.	Good	8					8	
	Media Protocol	Maintain media protocol signed by all political groups	Reasonable							
	Communications strategy	Maintain communications strategy. with priorities set annually by Council Leader.	Good							
	Other First responders	Regularly provide contact details to, and requests from, other First responders, to ensure up to date records and ensure they inform the media office and HoS in the case of an incident.	Good							
	Out of hours phone and rota	Put in place a generic phone number for use on the contact list. Investigate opportunity of putting in place an out of hours rota for media staff.	Good							
If effective oversight is not maintained, then awareness and ability to manage programmes and policy change will be lost	Effective horizon scanning	Portfolio Office team manage programmes and projects and keep an effective oversight of managers and sponsor progress	Reasonable	12					12	
	Communication	including PM Network	Good							
If Information Security and Governance are not managed effectively then its integrity and assurance cannot be guaranteed	ICT Security policies in place		Good	8	Information Governance Audit	Implement actions from information governance audit meeting with David Lamb next week and the audit will get finalised for the IG board on 2/5/17. More actions are expected to follow this	14/09/2012	21/11/2017	6	Follow up date for Audit Report. Follow up to occur post IGB meeting 21/11/17
	Development of enhancing technologies to further safeguard data transfer		Good							
	MKC has signed up to National information audit of Adult Social Care data		Good							
		Review of Iron Mountain storage				Work with Noreen Meynan, contract manager for Iron Mountain	13/03/2017	27/02/2018		

	IC1 Security Policies	Maintain, review and enhance policies where appropriate - SG and PW have joint responsibility	Good		Network shared drive reorganisation	Underway, and on a phased reorganisation	13/03/2017	31/08/2018		
	Offsite storage - iron mountain	Corporate storage of records, some with retention periods	Reasonable		Records retention guidance for staff	communicated to staff	20/04/2017	31/08/2018		
	Electronic storage of records	Information@work for electronic records	Poor							
	Shared network drives used for the storage of electronic documents		Reasonable							
	Record Retention guidelines	Corporate record retention guidelines created and new section developed on Intranet	Good							
If service resilience isn't strengthened, then service delivery will not be achieved				12	Train other resource on software	Train other resource in auto CAD software and wider service delivery To be able to fulfil post though this requires substantial expertise	13/03/2017	31/12/2017	8	

Items in Group: 5

Resources and Commercial Development (Director)

Funding of the Buck County Council Pension scheme	Annual valuation		Good	6					6	
	Bucks County Council Pension Board		Good							
	Annual independent audit of the Pension Fund		Good							
LGSS meeting the MKC objectives and performance delivery	Management Board	MKC representatives on the LGSS Management Board who can influence process	Good	9					9	
	Service Standards	Services standards agreed in advance within the Outline Business Case	Reasonable							
MKDP delivering as expected as a development company	monitoring from MKC to MKDP via MKDP board.		Good	8					8	
	Joint representation from MKC and MKDP on both MKDP board and operations group		Good							
	Elected members on MKDP board		Good							
	Financial monitoring		Good							
	CEO of MKDP in place July 2013		Good							
	AD Public Access appointed MKC client to MKDP		Good							
	Review of purpose	Clear remit and governance arrangements	Good							
	Business Plan	Performance monitoring through the business plan	Good							
Options for Saxon Court when the move to Civic Office is completed	Current lease	University of Bedford lease has a break clause in place due June 2018	Good	12					12	
Successful implementation and development of the ERP system to meet the Council's needs	ERP Project Board and working groups		Good	12					12	

Items in Group: 3

Youth and Community

Ability to minimise offending and reoffending	Assetplus	AssetPlus is a comprehensive end-to-end assessment and planning framework for use with children and young people by youth offending teams. Identifies strengths, needs, risks and issues and to facilitate the planning of appropriate interventions for young people who have offended or are at risk of offending.	Good	9	Structural review	Consider options for alternative delivery	04/11/2016	31/12/2017	9	Update 15/11/2017: Options considered and referred to the Strategic Board. Smarter working is more pressing as budgets reduce. National review of youth justice led by Charlie Taylor in 2016 did not enforce the need for structural change to youth justice services at a local level.
	MK YOT	Agreed health contribution from MKYOT	Good							
	Contributions	Confirm contributions from NPS, YJB and PCC	Good							
Making the changes to the Children's Centre Services	Advisory Boards	Review the role	Good	9	Transition of leadership of Children's Centres to schools		04/11/2016	Ongoing	9	Update 15/11/2017: Six schools now share the leadership of their local children's centre with the authority with authority with another 2-3 showing interest.

Providing access to outstanding community learning	Matrix Standard NVA Quality Mark	Achieve Matrix standard for CLMK	Good Good	6					6	
--	-------------------------------------	----------------------------------	--------------	---	--	--	--	--	---	--