

Number	Issue	Action	Outcome	Responsible officer	Date completed	Update April - September 2013	Position
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	Sep-13	Financial Regulations have been updated to reflect the relationship with the LLPs and these have been approved by Council.	Recommended closure
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	Jun-14	Work on revised Business Plans is progressing , in line with the anticipated approval process.	ongoing
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	Corporate Director – Resources		BRG are reviewing the financial position of the LLPs in September, and The Corporate Affairs and Performance Scrutiny Committee will be reviewing the progress against MKSP Service Reviews in October. Additional member communication is currently being planned in light of these meetings.	ongoing

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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	Sep-13	The Service Reviews are still continuing and an updated report will be delivered to Cabinet in October 2013.	Recommended time extension
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	Sep-13	Financial sub-groups are in place for both LLPs which include both Council and LLP representatives. The format of financial reporting has been agreed and the first financial update is planned, alongside the Council's quarter 2 Budget Monitoring Report	Recommended closure
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	Dec-13	A report has been prepared for consideration by the Constitution Commission	ongoing

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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 - Director Resources	Sep-13	The Action plan has been agreed taking into account the amendments requested by the Audit Committee. Actions are currently being implemented and progress monitored. An audit follow up will be undertaken later in the year.	Recommended amendment to outcome and extension to time limit
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 - Director Resources	Sep-13	Amended Health check process has been agreed by CLT and is currently being implemented.	Recommended closure

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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 - Director Resources	Sep-13	Tariff resource and spend approval processes have been set and formal Cabinet approval is obtained through the Revisions to Capital Programme Reports. Monitoring of schemes and overall management of risks is taking place and will be incorporated into Budget Monitoring Reports from quarter 2.	Recommended closure
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 - Director Resources	Apr-14	Budget Review Group are receiving a briefing on the Tariff at the September meeting, a briefing note on the wider issues will be produced alongside this meeting for all members. In addition the Infrastructure Scrutiny Review Group considered CIL, S106 and Tariff in considerable detail. The need for further briefing will be	ongoing

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						considered following the planned briefings and alongside announcements on the consultation outcomes for CIL.	
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 Audit and Risk Management	Mar-14	ToR for the audit has just been issued. On target	ongoing
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	Jun-14	Training on the Code of Conduct for MKC Members to be undertaken on 12 and 26 September 2013 with training for parishes taking place in October. No complaints have been referred for investigation in this financial year.	ongoing

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13		New arrangements for the determination of complaints be embedded	Agreement of effectiveness of the process by the Standards Committee	Interim AD Law and Governance	01-Jun-14	Report taken to the Standards Committee on 11 September 2013 to consider current resolution processes. Monitoring Officer delegation to remain, however further changes made regarding the use of informal resolution and these will require further embedding.	ongoing
14	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	Sep-13	Member Development Group Champions agreed that no further Personal Development Plans would be scheduled for 2013/14 but that a bigger (enhanced) induction and development programme would be developed for 2014 following the all out elections in May 2014.	

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15		Member role profiles to be finalised	Role profiles agreed for appropriate roles	Director of Strategy	Jun-14	Member role profiles have been finalised and are awaiting agreement from Member Development Champions	
16	Greater consistency of services keeping ward members informed of developments affecting their wards, and ensure compliance. Ensuring that changes in ward boundaries are taken into account	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	Jun-14	New guidance has been issued in this area and any issues etc will be raised through the performance management and appraisals of employees.	ongoing
		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	Dec-13	New Guidance for officers; "Working with Ward Councillors" has been issued to ensure that these issues can be addressed. Communications are planned to ensure that officers are kept informed of boundary changes.	ongoing

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17	The Authority is currently undertaking a programme of Organisational Change, which may impact on governance processes in the Authority	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.	Updates provided on a quarterly basis.	Corporate Director for Children and Families	Apr-14	OTP progress reports were provided to the April and July Cabinet meetings. The July meeting also received an outline of the proposal to commence the transition of the OTP to an enhanced business as usual environment.	ongoing



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	It has been identified that there is a need to raise awareness and understanding of the OTP among both Members and staff	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	Apr-14	Corporate Affairs and Performance Committee received in depth presentations from Strand 6 (New & Alternative Sources of Funding) in April and Strand 5 (People, Processes and Performance). Both meetings also received an overview of OTP progress. In September a special meeting received a report and presentation of the Highway's Contracting project (Strand 4). Staff and Members received a communication update in May and in August the Chief Executive's blog included information about the transition of the programme.	ongoing

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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	Audit showing satisfactory compliance	Head of Internal Audit	Jun-14	A follow up will be scheduled for completion by Dec 13.	ongoing
19	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	Aug-13	New CPR's have been agreed at Council on 10 July 2013. This action has been completed	Recommended closure

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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	Agreed position on the provision of IT equipment reached.	Assistant Director Public Access	May-14	Members agreed that there would be no change to the current arrangements	ongoing
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	Sep-13	Post of Assistant Director Legal & Democratic Services (ADL&DS) covered on an interim basis. Report scheduled to Full Council 11 September 2013 to appoint to the Monitoring Officer role pending a permanent appointment to the post of ADL&DS. Appointment agreed.	Recommended closure
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	Oct-13	Guidance issued to staff in August 2013, ongoing communications are training is in place.	ongoing

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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	Jun-14	Separate report presented to the Committee	ongoing
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	Nov-13	Separate report presented to the Committee	ongoing
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	Mar-14	A review is being undertaken of the client side management	ongoing

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26	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	Nov-13	Data cleansing and transfer of data to a new database has been more difficult than anticipated and other agreed actions are reliant on the data. Internal Audit has agreed to undertake the follow-up in January 2014.	Recommended time limit extension
27	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-14	A review of Debt management is underway, including a period of data gathering for services across the Council. A new project manager is currently being recruited to review the evidence base and progress the development of recommendations.	ongoing

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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	Dec-13	All schools audited in 12/13 and remaining within MKC were followed-up and all except Stantonbury Campus were at least satisfactory at follow-up. A letter was sent to Stantonbury highlighted the implications of non action and a further follow up will be undertaken in the autumn term.	ongoing
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	Dec-13	An email will be sent in September to all schools to be audited this financial year.	ongoing