

No.	H C Ref.	Title	Recommendation	Feedback / Comments / Update	Timescale	Ownership	Resolution	Minute Ref.	Status
1	3.1	Standing Orders	SO 2.18.0 Financial controls & procurement needs to be amended to ensure compliance with the Public Contracts Regulations 2015, which impose detailed statutory obligations on councils when procuring and awarding contracts with an estimated value of £25,000 or more (LTN 87: Procurement, January 2016).	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP. 12.10.17 - Redraft to F&GP on 18.10.17	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
2	3.1	Standing Orders	The implications for Sub Committee meetings should be considered for mention within SO 2.3.0 Meetings Generally.	12.10.17 - Redraft to F&GP on 18.10.17	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
3	3.1	Standing Orders	The quorum at SO 2.3.21 should look to increase from four to five i.e. one-third of the Council.	12.10.17 - Redraft to F&GP on 18.10.17	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
4	3.1	Standing Orders	Reference to 'SO 9' within SO 2.7.1 should be amended to read 'SO 2.9.0'.	12.10.17 - Redraft to F&GP on 18.10.17	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
5	3.1	Standing Orders	There are older versions of UTC's SOs available on its website and consideration should be given to removing these previous versions.	Website cleansed of old versions from document folder.	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
6	3.1	Standing Orders	That SOs are reviewed at least every two years and additionally as soon as possible when legislation changes which would amend the orders.	12.10.17 - seeks views from F&GP on 18.10.17 preferred month for it to be reviewed.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
7	3.2	Scheme of Delegation	That a resolution list be compiled for regular distribution to members that highlights the recording of all Council and delegated Committee decisions.	Establish a spreadsheet to hold all decisions so that it is easy for members of the public, members of council and officers to search for past records. Load the document to the website. Potentially make a reference document for council meetings to be used by the Clerk.	Oct-17	Fin & General Purposes	Committee Rec		Ongoing
8	3.3	Ethical Framework	Member signatures should be redacted and consideration should be given to uploading the completed form with the signature of the Rutland County Council's Monitoring Officer, also redacted.	Action taken to amend all records published on the website.	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
9	3.3	Ethical Framework	The register of members' interests form for recently co-opted Claire Crowley requires upload on UTC's website as well as an associated councillor profile.	Action taken and member record updated.	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
10	3.3	Ethical Framework	A specific code of conduct for staff should be created for adoption.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
11	3.4	Transparency Code	That UTC publishes on its website, on a dedicated page, the applicable information listed in the DCLG Local Government Transparency Code which was published in February 2015 and is available via this link; http://www.local.gov.uk/practitioners-guides-to-publishing-data	TC to set up separate action tracker and screen shot to satisfy members that the work has been completed in accordance with practitioners guide.	Nov-17	Fin & General Purposes	TC in Progress		Ongoing
12	3.5a	Policies, Protocols & Statements	That a guidance note based on s25(2) of the Localism Act 2011 is issued to all members.	To be issued to members in packs.	Nov-17	Full Council	TC in Progress		Ongoing
13	3.5c	Policies, Protocols & Statements	That the policy be reviewed during 2017 with reference to NALC legal topic note 9E dated June 2014, titled "Handling Complaints".	Complaints Policy be re-drafted for review by members.	Nov-17	Full Council	FC Resolution		Ongoing
14	3.5d	Policies, Protocols & Statements	That a policy on expenses, stating the rates that apply and when they may be claimed, is raised for members and staff. This would make it clear to members, staff and the public of the council's policy on expenses.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
15	3.5f	Policies, Protocols & Statements	That the Leicester, Leicestershire & Rutland Local Resilience Forum be contacted to establish what emergency plan exists on file for the locality of Uppingham. The plan could also be extended to include business continuity and a disaster recovery plan and linked to the risk management policy at referenced at section 6.1 below.	TC to make contact and understand what plan is currently in place to ensure consistency of approach. Share findings with F&GP at next opportunity.	Sep-17	Fin & General Purposes	Committee Rec		Ongoing
16	3.5h	Policies, Protocols & Statements	That a training plan for each year is produced along with a medium term plan, for example when re-training, updating or refresher training is required.	Part of the brief to Personnel Advice & Solutions Ltd	Nov-17	Fin & General Purposes	FC Resolution		Ongoing
17	3.5i	Policies, Protocols & Statements	That during the 12-month period leading up to an election, articles explaining the councillor role, what it entails and how to stand is widely publicised to attract and encourage residents to stand and that the Democratic Officer at Rutland County Council be encouraged to arrange election workshops for members of the community wanting to learn more.	Clerk to set out a plan of approach including a succession plan and work with the Chairman and members to understand the likely turnover and gaps in 2019.	Nov-17	Full Council	FC Resolution		Ongoing

18	3.5j	Policies, Protocols & Statements	That UTC considers arranging a refresher training session with the Monitoring Officer at Rutland County Council where members' interests are concerned in an attempt to help clarify the decision-making process for members where these varying partnership organisations are concerned. The same opportunity could also be taken with the Monitoring Officer to review the existing list of UTC representatives on partnership organisations and the current complication of Director status where some members are concerned to refine and protect UTC and its individual members.	TC has contacted the Monitoring Officer and will look to convene dates before the end of 2017. 12.10.17 - Need to follow up with Monitoring Officer and could build this into a plan for succession and recruitment of councillors ahead of May 2019.	Nov-17	Full Council	FC Resolution			Ongoing
19	3.5j	Policies, Protocols & Statements	That UTC considers the implementation of a policy statement that focuses upon partnership working and the associated subject of members' interests.	Community and Community Partnership Engagement Policy to be drafted and reviewed. Policy to issued to community partnerships to seek feedback and completion of a memorandum of understanding if a representative is required.	May-17	Fin & General Purposes	FC Resolution			Complete
20	3.5j	Policies, Protocols & Statements	That UTC considers including within its Annual Report (for distribution to its electorate) an article about its responsibilities as well as those of other partnership organisations to help local understanding by removing any possible confusion surrounding the perceived powers held by unofficial bodies. This article can then be consistently referred to as and when the need may arise. Further referenced at section 4.12 Annual Report.		Mar-18	Fin & General Purposes				
21	3.5k	Policies, Protocols & Statements	That the community engagement strategy be reviewed in accordance with the policy statement for partnership working highlighted at 3.5(j) above.	Community and Community Partnership Engagement Policy to be drafted and reviewed. Policy to issued to community partnerships to seek feedback and completion of a memorandum of understanding if a representative is required.	May-17	Fin & General Purposes	FC Resolution			Complete
22	3.5n	Policies, Protocols & Statements	That UTC considers implementing an investment policy that includes appropriate information regarding legislation.	Investment Policy draft to be socialised in F&GP ahead of being recommended and resolved at FC. 12.10.17 - First draft produced and to be socialised ahead of F&GP in Nov	Nov-17	Fin & General Purposes	FC Resolution			Ongoing
23	3.5o	Policies, Protocols & Statements	That a policy be created with reference to NALC legal topic note 40 dated November 2016, titled "Local Councils' Documents and Records".	Draft Document & Records Policy to include 'Cloud Based' solution for back up as per internal auditor recommendations in May 2017	Sep-17	Fin & General Purposes	TC Actioned	070/17		Complete
24	3.5p	Policies, Protocols & Statements	That the policy be reviewed annually and consideration be given to requesting applicants to provide receipts to evidence that the money granted has been put to the purpose for which it was obtained.	All grant recipients be written to seeking confirmation that monies provided have been used for their intended purpose.	Jun-17	Fin & General Purposes	FC Resolution			Complete
25	3.5q	Policies, Protocols & Statements	That UTC considers producing an environmental policy to include a section on bio-diversity.	Draft Environmental Policy including specific reference to bio-diversity.	Mar-18	Fin & General Purposes	FC Resolution			Ongoing
26	3.5r	Policies, Protocols & Statements	That UTC considers producing a statement which demonstrates knowledge of the law and includes ways of reminding councillors of the duties and examples of how they are implemented.		Dec-17	Full Council	FC Resolution			Ongoing
27	3.5s	Policies, Protocols & Statements	Staff Handbook Content: Anti-fraud, anti-bribery and corruption.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
28	3.5t	Policies, Protocols & Statements	Staff Handbook Content: Disciplinary and grievance.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
29	3.5u	Policies, Protocols & Statements	Staff Handbook Content: Whistle blowing / raising concerns including internal reporting policy.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
30	3.5v	Policies, Protocols & Statements	Staff Handbook Content: Bullying and Harassment / Dignity at Work.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
31	3.5w	Policies, Protocols & Statements	Staff Handbook Content: Absence.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
32	3.5x	Policies, Protocols & Statements	Staff Handbook Content: Health and Safety policy.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing
33	3.5y	Policies, Protocols & Statements	Staff Handbook Content: Staff retention policy.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution			Ongoing

34	3.5z	Policies, Protocols & Statements	Staff Handbook Content: Computer, email, internet and telephone use.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
35	3.5aa	Policies, Protocols & Statements	Staff Handbook Content: Member and Staff relationship policy.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
36	3.5bb	Policies, Protocols & Statements	Staff Handbook Content: Equality (2010 act).	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
37	3.5	Policies, Protocols & Statements	Staff Handbook Content: That UTC looks to create an Employee Handbook that should include mention of all the above.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
38	3.6	Powers	That an information sheet on the GPC, including any risks and limitations, is produced and made freely available to all members and staff.	Provided to members in packs	Apr-17	Full Council	TC Actioned	N/A	Complete
39	4.1	Strategic Plan	That UTC commences development of a 3 to 5 year strategic plan and also offers it to staff and the public for comment/feedback to create a clearly defined future vision for Uppingham that incorporates the themes already identified within the Neighbourhood Plan.	Discuss with Chair & Deputy Chair an approach ahead of socialising with F&GP and then FC. 12.10.17 - First draft framework completed by TC which will be socialised ahead of inclusion in F&GP in Nov as first draft for feedback.	Nov-17	Fin & General Purposes	FC Resolution		Ongoing
	4.2	Service Agreements & Contracts	This is an area that needs strengthening to ensure compliance with the Public Contracts Regulations 2015 (PCR2015)	Incorporate and update Financial Regulations to ensure a clear understanding of the approach to be taken by TC and that it meets PCR 2015. Asked for this to be part of the review with F&GP Chair. 12.10.17 - TC has established process and set out changes to Financial Regs and Standing Orders to make this live and to adhere to +£25k procurement. <£25k procurement process is robust and just requires further update of information recorded. F&GP Oct to consider under item 6 a) & 6b)	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
41	4.4	Committees	That consideration is given to the resources that UTC requires to drive the necessary activity of the Council as currently the Town Clerk has approximately 7 hours of administration support per week and this limits the potential for delegation.	Matter discussed at Staffing Committee with the action being on the Clerk to set out the work demands which should then be reviewed by Personnel Advice & Solutions to validate what has been provided ahead of a discussion at Full Council. 12.10.17 - Operational document now nearing final version ahead of validation and support from HR Personnel Advice & Solutions Ltd.	Dec-17	Full Council	FC Resolution		Ongoing
42	4.6	Members	That the Mayor and Deputy Mayor of the Council, along with Committee Chairmen are offered the opportunity to attend Chairman's Training sessions.	LRALC weekly round robin note provides details of all training opportunities for members and shared as it arrives most Fridays. Members to book any training via TC.	Feb-17	Full Council	TC Actioned	N/A	Complete
43	4.6	Members	That a skills audit is undertaken now for all members and one is also undertaken following each election or co-option of a member and any skills are utilised by the Council where possible.	In conjunction with action '17' this work is incorporated into a plan ahead of 2019 and to be used when considering co-options and casual vacancies. 12.10.17 This should be brought into the work being done on councillor succession planning and recruitment.	Jan-18	Full Council	TC in Progress		Ongoing
44	4.6	Members	That a copy of the 'being a good employer' guide be included within the information packs that are allocated to members upon their appointment.	Completed in March/April packs	Apr-17	Full Council	TC Actioned	N/A	Complete
45	4.6	Members	That an attendance record for members is published on the UTC website and also included in the annual report where council meetings and committee meetings are concerned.	Workload meant that this was not possible in 2017 but could be included in 2018. Approach to be socialised with members ahead of resolving to progress.	May-18	Full Council	FC Resolution		Ongoing

46	4.7	Staff Internal Communication System	See the recommendation at section 4.4 above about UTC's current resources and capacity going forward.	TC to set out a framework and action plan and share with Staffing Committee	Sep-17	Staffing	TC in Progress	N/A	Ongoing
47	4.8	Building & Asset Management Plan	That the plan includes all buildings and assets along with their value, and a management and maintenance plan which is linked to appropriate budgetary funding.	Agenda item and draft plan to be put on to F&GP agenda for review. In conjunction with action 48	Nov-17	Fin & General Purposes	FC Resolution		Ongoing
48	4.8	Building & Asset Management Plan	That a review of all buildings and assets is carried out to ascertain that they meet the current and will meet the future needs and aspirations of the Council.	Agenda item and draft plan to be put on to F&GP agenda for review. In conjunction with action 47	Nov-17	Fin & General Purposes	FC Resolution		Ongoing
49	4.9	Council Performance Management System	UTC may wish to consider introducing a performance management system if there is an aspiration to achieve the quality gold award under the Local Council Award Scheme as a requirement of that award is to show how the council manages its performance as a corporate body by way of a statement. There is a useful document on the LGA website which could be used as a starting basis. Any results from a system should be published on both the UTC website and in the annual report: http://www.local.gov.uk/documents/10180/7530798/L12_210+performance+mgmt+workbook+final_22210.pdf/ee67942c-67ba-456b-b6f8-9ff17e15c3e2	TC to get current management performance sample reports from Quality Gold Councils to compare and contrast the template on the LGA website. Socialise in F&GP ahead of taking to full council to be in place for 2018/19	Mar-18	Fin & General Purposes	FC Resolution		Ongoing
50	4.10	Council & Committee Meetings	That the Foundation logo from the Local Council Award Scheme be removed from UTC documents as this accreditation has since expired and UTC is in the throes of considering a new application for reaccreditation.	Completed	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
51	4.11	Annual Town Meeting	That UTC grant recipients be invited to attend the Annual Parish Meeting to report on the progress of their projects within the local community in an attempt to generate more attendees at the meetings.	Discuss with current Chair and Deputy any ideas to incorporate into the May 2018 Annual Town Meeting.	May-18	Fin & General Purposes	FC Resolution		Ongoing
52	4.12	Annual Report	That the distribution of the annual report is delivered to all residents and businesses each year to be consistent with the distribution of the UTC newsletter, as referenced at section 7.3 External Communications.	Seeking clarification on this action and will factor into budget round for 2018/19	May-18	Full Council	FC Resolution		Ongoing
53	4.12	Annual Report	That UTC considers including within its Annual Report (for distribution to its electorate) an article about its responsibilities as well as those of other partnership organisations, as referenced at section 3.5(j) above. This article should be included annually for as long as it is considered to help dispel existing public confusion.	Discuss with current Chair and Deputy any ideas for providing an update for the community, how this might be delivered ahead of socialising any draft plans with members.	May-18	Full Council	FC Resolution		Ongoing
54	5.1	Financial Regulations	FR 1.6 should be amended in accordance with MFR 1.6 to provide for the possibility of disciplinary action in the event of breach of the Regulations, rather than a definitive statement as to gross misconduct.	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
55	5.1	Financial Regulations	MFR 5.8 relating to grant payments should look to be included.	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
56	5.1	Financial Regulations	FR 6.4 should be amended in accordance with MFR 6.4 to apply more generally than merely in respect of disclosable interests.	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
57	5.1	Financial Regulations	MFR 6.6 should look to be included.	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
58	5.1	Financial Regulations	FR 11 requires amendment in accordance with MFR 11 to ensure incorporation of the specific requirements of The Public Contracts Regulations 2015 (as explained in detail in LTN 87 and Legal Briefing L05-15 of January 2016).	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing

59	5.1	Financial Regulations	FR 15.3 wording 'affected' should be amended to read 'effected'.	Update UTC Financial Regulations to reflect LTN 87 and take through F&GP for recommendation to FC. 22.6.17 - Drafted new Financial Regulations for Chair of F&GP to review ahead of Sept F&GP.	Oct-17	Fin & General Purposes	FC Resolution		Ongoing
60	5.2	Annual Return	To ensure that the 2016 figures are restated and indicated as such at the 2016-17 annual return in accordance with the 2015-16 External Audit report and to ensure that the Accounts and Audit Regulations 2015 are complied with where the period for the exercise of public rights and the order for approval of the accounts are concerned.	Completed and approved at Annual Council Meeting 24th May 2017 - submitted before 19th June 2017 deadline to Grant Thornton.	May-17	Fin & General Purposes	FC Resolution		Complete
61	5.3	Internal Audit	That UTC ensures that there is a signed engagement letter in place with the internal auditor confirming their independence from the authority.	Redwood Pryor Ltd re-appointed 24th May 2017 and letter of instruction issued.	Jun-17	Fin & General Purposes	FC Resolution		Complete
62	5.4	Budget Setting Process, Monitoring & Precept	That members are offered training on budgets.	LRALC have been asked to support budget setting training for members in Sep/Oct 2017 and open the invite to other Rutland Parishes 12.101.17 - This can form part of succession planning and councillor recruitment	May-18	Fin & General Purposes	TC in Progress		Ongoing
63	5.5	Grants	That the policy is reviewed annually and that future awards now be made in accordance with quoting the General Power of Competence (which is a power of 'first resort') as opposed to Section 137 of the Local Government Act 1972.	This current year awards have been made up to Oct using S137 and then post Nov under GPoC.	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
64	5.5	Grants	That the awards and the policy is publicised more widely using the website and the UTC newsletter.	This features now in UTC Newsletter and is a link on the UTC Homepage for greater visibility.	Feb-17	Fin & General Purposes	TC Actioned	N/A	Complete
65	6.1	(Risk Management) Strategy & Policy	That consideration be given to linking the policy to the emergency plan referenced under the recommendation at section 3.5(f) above.	Subject to response from Action 15 Leic & Rutland Resilience Forum. 12.10.17 Being discussed as part of Item 6d) F&GP 18.10.17	Sep-17	Fin & General Purposes	TC in Progress		Ongoing
66	6.2	(Risk Management) Risk Assessment	That UTC considers the risk assessment training requirements for staff and members. This is also an area highlighted by the External Auditor in that risk assessments should be reviewed and adopted by Council at least annually.	Training completed by NW & AC supported by LRALC resulting in the trialling of an app from Public Sector Software Ltd which will make the risk checks for UTC more robust. Additionally the training has resulted in the development of a separate plan due to the changing nature of use of UTC assets, specifically Tod's Piece. 12.10.17 - H&S Inspection carried out on 28.09.17 by John Dawson Associates, awaiting recommendations.	Dec-17	Staffing	TC in Progress		Ongoing
67	7.3	Community Interaction External Communications	See the recommendation on transparency and the website at section 3.4 above.	To be completed in conjunction with Action 11	Nov-17	Fin & General Purposes	TC in Progress		Ongoing
68	7.4	Councillor Surgeries	That a policy be created for councillor surgeries.	Draft ToR for Surgeries for members to review	Dec-17	Fin & General Purposes	FC Resolution		Ongoing
69	8.1	(Human Resources) Staffing	UTC may wish to consider employing specialist HR advisors, to ensure that all legislative requirements are in place and to implement where needed.	Completed - recommendation made by Staffing Committee and approved by FC that Personnel Advice & Solutions Ltd be appointed.	May-17	Staffing	FC Resolution		Complete
70	8.3	(Human Resources) Training, Staff Development & Appraisals	That appraisals are offered to all staff members on an annual basis and action plans are produced where appropriate, with objectives for staff linked to the strategic plan (see section 4.1 above). All staff should be encouraged to progress with their individual continuous professional development.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing
71	8.4	(Human Resources) Staff Retention	Exit interviews should be completed when staff leave the employment of UTC, to ascertain their reason for leaving and if it is for any specific reason related to their employment with UTC.	Part of the brief to Personnel Advice & Solutions Ltd	Oct-17	Staffing	FC Resolution		Ongoing