

List of Outstanding audit actions
New Chart

APPENDIX 1

	Location	Action Required	Management Actions	Recommendation Rating	Implementation Status	Target Date	Person Responsible	Completion Notes
Title: Schools Financial Value Standard								
	Finance and Resources	We identified instances where the SFVS return had been submitted without an appropriate signature from the Chair of the Governing body.	Each of the schools identified as not submitting a signed SFVS return (Chalvey Early Years Centre; Lea Nursery; Slough Centre Nursery; St Anthony's Catholic Primary School; St Joseph's Catholic High School; and St Mary's CE Primary School) will be contacted and requested to re-submit their return, duly signed by the Chair of the Governing Body / Management Committee of the school.	Medium	No Action Taken	31/12/16		Follow up audit finding that this action was not complete
	Finance and Resources	5 We noted not all schools produced action plans to address areas of non-compliance. Where action plans were produced, we identified these either did not cover all areas of non-compliance or actions were not time-bound and/or assigned	Refer to management action regarding the review of SFVS returns by the Council's Schools Finance team.	Medium	Partially Completed	31/12/16	George Grant	Neil advised that he would raise this with George Grant and Coral Miller in February 2017 Advised by George Grant 17th Aug 2017
	Finance and Resources	A reminder will be issued to the Chair of the Governing Body of Khalsa Primary School highlighting the importance of ensuring SFVS responses accurately reflect the arrangements within the school. The Council will also ensure that any other schools found to have a lack of accuracy with their SFVSs will be sent a reminder as actioned in the point above.	A reminder will be issued to the Head Teachers of the schools identified with exceptions regarding the narrative provided within their SFVS returns (Arbour Vale School; Chalvey Early Years Centre; Lea Nursery; Slough Centre Nursery; St Anthony's Catholic Primary School; St Ethelbert's Catholic Primary School) of the need to provide sufficient narrative to evidence the basis for their responses to each standard.	Medium	No Action Taken	28/02/17	George Grant	Completed as per George Grant 17/08 Amended as per q2 follow up
	Finance and Resources	We noted that the main reason for the above actions not being completed properly was because no action plan template had been used. Where Cippenham Nursery had used an action template, we confirmed all actions were appropriately SMART (Specific, Measurable, Attainable, Realistic and Time-bound).	The Council will create a tailored best practice guide that will be provided to all the maintained schools annually. This will include: <ul style="list-style-type: none"> • The minimum amount of narrative expected to satisfy each of the 25 standards • A breakdown of key SFVS criteria expected of the school • A link to the detailed SFVS 'Support Notes' and 'Additional Resources' guidance provided by the Education Funding Agency. 	Medium	Partially Completed	30/09/17	Nic Barani	There are plans in progress and will be completed shortly
Title: Contract Management Change								
	Finance and Resources	To ensure contracts are managed in a consistent and robust manner, a Council wide contract management framework should be applied to manage contracts across the Council.	This recommendation will be addressed as part of the contract management guidance which is currently being developed.	Medium		31/12/17	Neil Wilcox	

	Finance and Resources	The Council should establish a Corporate Contract Management function regardless of the decision around the contract management model i.e. centralised, de-centralised and hybrid; and A Head of Contracts post should be created to implement and manage the CCM.	This will be taken forward as part of the overall Council restructure. The Head of Contract Management will report to the Service Lead Governance.	Medium		31/12/17	Neil Wilcox	
	Finance and Resources	All Council contracts should be categorised as High, Medium or Low based on a comprehensive criterion. The process of categorising contracts should start during the commissioning stage and the final decision should be ratified by the Commissioning, Procurement and Contract Management (CPC) board.	This recommendation will be addressed as part of Contract Management Guidance which is currently being developed. The recommendation around ratification of contract categorisation will need to be considered as part of the new governance team.	Medium		31/12/17	Neil Wilcox	
Title: Business Continuity & IT Disaster Recovery								
	Finance and Resources	Whilst data backup and replication services have been designed to provide a secure copy of data, no servers are provided as part of the data copy provision for recovery.	Management will ensure that arvato provide recovery time profiles for key systems as soon as the DR infrastructure has been implemented, which will include the provision of recovery servers.	Medium	No Action Taken	31/03/17	Simon Pallett	No Action
	Finance and Resources	The Council does not have a documented BCP policy that sets the framework for the Business Continuity Management (BCM) Programme.	The Council will ensure that a BCP policy is provided.	Medium	Partially Completed	31/03/17	Joe Carter	Follow up audit
	Finance and Resources	No IT DR testing strategy has been designed and no testing of DR arrangements has been undertaken for a number of years. In addition, no process is in place regarding the assessment of BCP performance and no related	The Council will ensure that a test strategy is formulated and a test plan put in place and ensure that it is tested regularly	Medium	No Action Taken	31/03/17	Simon Pallett	No action yet
	Finance and Resources	Recovery time objectives for SBC systems and data have not been formally agreed increasing the risk that in the event of an incident incorrect recovery decisions could be made impacting operational capability.	Management will ensure that arvato provide recovery time profiles for key systems as soon as the DR infrastructure has been implemented, which will include the provision of recovery servers.	High	No Action Taken	31/03/17	Simon Pallett	Follow audit amended findings
	Finance and Resources	arvato have documented a Business Continuity plan but it has not been linked to the SBC corporate Business Continuity plan increasing the risk that Arvato could operate different recovery practices that SBC may not be aware of.	The Council Business Continuity / IT Disaster Recovery plan will be linked to the arvato Business Continuity / IT Disaster Recovery plan as soon as possible	Medium	No Action Taken	31/03/17	Simon Pallett	No action
Title: Procurement								
	Finance and Resources	We were informed by the Procurement and Contracts Analyst that the contract management functionality within Intend was no longer utilised and that the contracts data on the system had not been updated in the last two years.	The Council will undertake an exercise to populate the contracts register with complete and accurate details for all contracts. Once complete, the register will be maintained and kept up to date at all times.	Medium	No Action Taken	31/12/17	Frederick Narmh	No Action Taken

	Finance and Resources	Through review of the Council's website and intranet, we noted the Procurement Strategy published was last reviewed in March 2012. A management action was agreed as part of our 2014/15 Procurement audit regarding the need to update the Strategy to ensure it is reflective of and aligned to the Council's Five Year Plan.	The Procurement Strategy will be updated to ensure it is aligned to the strategic priorities set out within the Five Year Plan. The strategy will then be issued to CMT and Cabinet for approval, published on both the Council website and intranet and then reviewed annually thereafter.	Medium	Partially Completed	31/08/17	Frederick Narmh	As Per F N - First draft by the end of September Then needs to go through a consultation process Est Implementation mid Oct 2017
	Finance and Resources	We were informed by the Head of Procurement that there is no reporting on procurement activity to senior management or Members. We noted the now out-of-date Procurement Strategy included a set of KPIs for monitoring progress against achieving the objectives within the strategy.	As part of the review and update of the Procurement Strategy, a set of KPIs will be developed and agreed to monitor procurement activity and progress against the strategy, and quarterly reporting to the PRB, CMT and Cabinet will be put in place.	Medium	Partially Completed	31/08/17	Frederick Narmh	As Per F N - First draft by the end of September Then needs to go through a consultation process Est Implementation mid Oct 2017
	Finance and Resources	Through review of the CPR, we noted it made numerous references to the POP being the operational guidance document for procurement, and directs staff to this for process guidance. However, the POP was last updated in November 2014 and there were, therefore, a number of elements that did not reflect current legislation and were not aligned to the CPR.	Aligned to the review of the CPR, the POP will also be reviewed and updated, and maintained thereafter to ensure it is consistent with the CPR and reflective of current legislation and thresholds, and provides sufficient guidance to staff on procurement procedures. The updates will incorporate use of the current Intend system or any subsequent system implemented in relation to procurement and clearly set out the roles and responsibilities of the Procurement team and wider Council staff, including the Legal team, in procurement. The updated POP will then be made accessible to staff on the intranet, together with relevant forms/templates.	Medium	Partially Completed	31/08/17	Frederick Narmh	As Per F N - First draft by the end of September Then needs to go through a consultation process Est Implementation mid Oct 2017
	Finance and Resources	We reviewed the current version of the CPR, which was last reviewed as part of the review of the Constitution on 17 May 2016 and accessible on the Council's website. We noted the CPR still referenced the PCR 2006 despite this being replaced by the PCR 2015 in February 2015.	The CPR will be reviewed and updated to ensure it is reflective of current legislation and thresholds. The amendments will then be either approved by Council as part of the 2017 annual review of the Constitution or presented to the Constitution Panel for approval.	Medium	Partially Completed	31/08/17	Frederick Narmh	As Per F N - First draft by the end of September Then needs to go through a consultation process Est Implementation mid Oct 2017
	Finance and Resources	We were informed by the Head of Procurement that there was currently no monitoring and analysis undertaken of procurement expenditure.	The Procurement team will undertake monthly monitoring and analysis of expenditure by supplier and by type of expenditure to monitor compliance with the Council and EU procurement thresholds requiring formal contracts to be awarded and to identify any potential efficiencies and savings that could be delivered through consolidation of contracts.	Medium	Partially Completed	30/06/17	Frederick Narmh	As per FN - This will be undertaken by Fixed Term contract post

Title: **Capital Expenditure**

	Finance and Resources	<p>If the Terms of Reference are not subject to an annual review, there is a risk that the document may not be up to date which could prevent the CSB to function effectively</p> <p>We noted that the ToR makes reference to the Housing and Environment Assistant Director as a core member, however the role has not been in place for over 12 months. Through further inspection of the June, July and September 2017 CSB minutes, we noted that key members outlined within the Terms of Reference were not present and had not sent replacements as required.</p> <p>There is a risk that the CSB is not representatively fulfilling their functions as not all departments across the council are being represented. This could result in inappropriate decision making.</p>	<p>The Terms of Reference for the Capital Strategy Board will be reviewed on an annual basis by the Board to ensure it is kept up to date.</p> <p>Additionally, the membership will be updated to reflect the current structure and latest Financial Procedure Rules, including those members required for decision making and those in attendance, and the reporting arrangements.</p>	Medium	Partially Completed	31/12/17	Andrew Pate	There are ToR's but Treasury Management group future is not certain
Title: Adult Safeguarding								
	Adults & Communities	The Council will ensure that all triages for referrals received are undertaken by a DSM.	The Council will ensure that all triages for referrals received are undertaken by a DSM.	Medium	Partially Completed	30/04/17	Simon Broad	ASC SMT advised hat this is complete
	Adults & Communities	No multi agency audits have taken place during the year and from the meeting minutes of the SAB Performance Sub Group; it is not clear whether any lessons from the previous year's audit have been addressed. Further, meeting minutes of the SAB Performance Sub Group indicated that the group had not been attended in full consistently.	The Council will agree the work plan, terms of reference and membership of the SAB Performance Sub Group.	Medium	Partially Completed	30/06/17	Simon Broad	SMT 26th July advised will be completed in Nov 2017 This date has now pushed back to Jan 2018
	Adults & Communities	In relation to action reference 1.4 from our previous year's report, we confirmed that the Quality Management Framework and Terms of Reference for the Care Governance Board will be revised once the Adult Social Care reorganisation is complete in April 2017. The revision will reflect the new structure and connection with the new East Berkshire Care Home Quality Group. The sign off process will be to Care Governance Board and then to Adult Social Care DMT, which is a new management body created following the restructuring of the top tier within the Council. The new Framework will be subject to regular review. Due to the above, we have reiterated our action from last year's report.	The Council will ensure that the Quality Management Framework is updated to ensure that it is reflective of the governance and reporting structures within Adult Social Care, including frequency of reporting. In addition, the Terms of Reference for the Care Governance Board will be updated to correctly reflect the remit of Board and its responsibility to the Slough Safeguarding Adults Partnership Board and the Adult Social Care DMT. The Framework will be subject to approval by the Adult Social Care DMT, detail a next review date and be subject to regular review thereafter. Once approved, the Framework will be circulated to all relevant staff and made accessible via the intranet.	Medium	Partially Completed	30/09/17	Craig Brewin	As per follow up
Title: Delayed Transfers of Care								

	Adults & Communities	Through discussion and review with the Adult Social Care Programme Manager, we confirmed that a review of the (Recovery, Rehabilitation and Reablement (RRR) pathway had been recently undertaken by the Interim Business Analyst, covering an 'as is' analysis, weaknesses and their root causes, and areas for improvement. We were informed by the Adult Social Care Programme Manager that the review also involved interviews with key stakeholders within the process and the output of the review had been presented to these stakeholders, including managers and senior practitioners, by the Interim Business Analyst.	The output from the review of the RRR service will be formalised into an action plan with owners and due dates assigned against actions, and implementation of actions monitored as part of the Adult Social Care (ASC) Departmental Management Team (DMT) meetings.	Medium	No Action Taken	31/12/17	Simon Broad	The action has not been implemented as per RSM Follow up Jan 2018
Title: Allocations								
	Place & Development	Through discussion with the Lettings and Voids Manager we confirmed that the implementation of this process has stalled due to ongoing IT issues. It was originally intended to begin in January 2015 however to date renewal requests have still not been sent out.	The IT issues regarding sending out renewal letters will be addressed to ensure these are being sent out on an annual basis.	Medium	Partially Completed	30/09/17	Colin Moone	9/11/2017 - P&D SMT - This is an IT issue IT have told us that the Renewal Letters part of the system will be available in January 2018.
	Place & Development	Through review of the Housing Strategy 2016 - 2021 that was presented to the Cabinet in April 2017 for approval we confirmed that there are plans in place under Theme 4; Homelessness and Housing Need to review the Allocation Scheme to ensure it is appropriate and up to date adequately covering their duties.	The Housing Allocation Scheme will be reviewed and updated with consideration of amendment to the: · Five year residency requirement; · Lack of home ownership requirement; and · The working household's additional preference criteria.	Medium	Partially Completed	30/09/17	Colin Moone	The new scheme will be going live at the beginning of April 2018.
Title: General Ledger								
	Finance and Resources	We were informed that although Agresso has the functionality to implement a requirement for the changing of passwords on a regular basis, this was not currently being utilised by the Council.	The Council will implement a password policy and activate password control within Agresso, requiring passwords to be changed on a quarterly basis.	Medium	Partially Completed	31/08/17	Kim Bryant	Implementation date change Advised that this was easily done i
	Finance and Resources	We were unable to obtain the Council's contract with Trustmarque and therefore were unable to establish the agreement in place for the back-up of the General Ledger and any disaster recovery procedures and test whether these occur. In addition, further review with key staff within the organisation identified that no assurance is currently received from Trustmarque that backups are undertaken or tested.	The Council will ensure that the frequency of backups is stated within the contract with Trustmarque and that assurance is received that backups are conducted regularly and disaster recovery arrangements are tested for the ledger.	High	No Action Taken	30/06/17	Vijay McGuire	cannot complete it without Finance involvement and we have asked for copies of the contract with Trustmarque which are not yet been made available. I have asked again and copied you into the request This issue is now between Barry and Simon Barry Stratfull will talk to Trustmarque to see who our contract is with and take matters further
Title: Information Governance								

	Finance and Resources	<p>The Information Governance Policy was last reviewed and updated in 2012; however the arrangements and processes documented within it had not been fully established.</p> <p>The policy was therefore not fully reflective of the current IG environment within the Council.</p>	<p>The Information Governance Policy will be reviewed and updated to ensure it reflects the arrangements and processes within the Council, in line with the HSCIC guidance, including;</p> <ul style="list-style-type: none"> •Roles and responsibilities, covering senior IG roles (Caldicott Guardian, SIRO and IG Lead), other key staff roles in relation to IG as well the responsibilities of the wider workforce; •The specific resources within the Council to fulfil these roles. •The key policies underpinning the overarching Information Governance Policy; •Governance arrangements for overseeing the IG agenda within the Council; •Processes for delivering training and awareness programmes to staff; and •Arrangements for reporting, escalating and monitoring IG incidents and breaches. <p>Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff and made accessible via the intranet.</p> <p>The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.</p>	High	Partially Completed	31/03/17	Simon Pallett	In progress
	Finance and Resources	An annual dataprotection work programme had not been documented nor established.	<p>An annual data protection work programme will be developed to identify the work necessary to ensure the Council meets its data protection and confidentiality obligations. Clearly defined timescales and responsible owners will be assigned for all actions identified.</p> <p>The work programme will be reviewed and set on an annual basis and will be subject to approval by CMT. Progress will be monitored at each meeting of the IT and IG Board, with progress updates reported to CMT periodically.</p>	Medium	Partially Completed	31/03/17	Simon Pallett	In progress

	Finance and Resources	The Data Protection and Privacy Policy was last reviewed and updated in 2012, however did not include any details regarding a Caldicott function within the Council.	The Data Protection and Privacy Policy will be reviewed and updated to ensure it details; <ul style="list-style-type: none"> •The requirement for the Council to have in place a Caldicott function; •The specific resources within the Council to fulfil the roles within the function, including the Caldicott Guardian, Data Protection Officer as well as those staff at directorate level with responsibility for supporting the Caldicott Guardian; •The additional training requirements for staff within the function; •The mechanisms for ensuring the effectiveness of the function, including the development and monitoring of an annual data protection work programme which identifies the work necessary to ensure the Council meets its data protection and confidentiality obligations; and •The governance arrangements for monitoring the effectiveness of the function. Once updated, the policy will be presented to CMT for approval, and then subsequently circulated to staff and made accessible via the intranet. The roles will be formally assigned to the relevant staff and details published via the staff intranet. The role of Caldicott Guardian will also be communicated on the Council website.	Medium	No Action Taken	31/03/17	Simon Pallett	No Action
	Finance and Resources	A formalised process for managing information security incidents was not in place. The Information Security Incident Reporting Policy was last reviewed and updated in 2012; however the processes documented within it had not been established.	A formalised process will be implemented for reporting, recording, investigating and managing information security incidents, which will be reflected within the Information Security Incident Reporting Policy. Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff, made accessible via the intranet and communicated to third party providers and partner organisations. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.	Medium	Partially Completed	31/03/17	Simon Pallett	Partially complete

	Finance and Resources	The Data Protection and Privacy Policy was last reviewed and updated in 2012, however did not include any details regarding a Caldicott function within the Council.	The Data Protection and Privacy Policy will be reviewed and updated to ensure it details; <ul style="list-style-type: none"> •The requirement for the Council to have in place a Caldicott function; •The specific resources within the Council to fulfil the roles within the function, including the Caldicott Guardian, Data Protection Officer as well as those staff at directorate level with responsibility for supporting the Caldicott Guardian; •The additional training requirements for staff within the function; •The mechanisms for ensuring the effectiveness of the function, including the development and monitoring of an annual data protection work programme which identifies the work necessary to ensure the Council meets its data protection and confidentiality obligations; and •The governance arrangements for monitoring the effectiveness of the function. Once updated, the policy will be presented to CMT for approval, and then subsequently circulated to staff and made accessible via the intranet. The roles will be formally assigned to the relevant staff and details published via the staff intranet. The role of Caldicott Guardian will also be communicated on the Council website.	Medium	Partially Completed	31/03/17	Simon Pallett	In progress
	Finance and Resources	Initial work had taken place to develop an Information Governance Improvement Plan in 2012; however this had not been finalised and established.	The Council will develop and finalise the IG Improvement Plan to identify the actions necessary to embed robust IG arrangements and ensure compliance with the HSCIC IG toolkit requirements. Each action will be assigned a responsible owner and completion deadline. The plan will be reviewed and revised on an annual basis and will be subject to approval by the IT and Information Governance Board. It will drive the IG agenda within the Council and progress against the plan will be monitored at each meeting of the IT and Information Governance Board, with progress updates reported to CMT periodically	Medium	No Action Taken	31/01/17	Simon Pallett	No Action Taken
	Finance and Resources	The contracts database did not include fields for evidencing the review of contracts for appropriate IG clauses.	The Council will ensure that, as part of the review and re-scoping of the contracts database, fields are included for evidencing the review of contracts for appropriate clauses relating to; <ul style="list-style-type: none"> •Data protection; and •Requirements for reporting information governance incidents. 	Medium	No Action Taken	31/03/17	Simon Pallett	No Action Taken

	Finance and Resources	The Council has not undertaken a data flow mapping exercise and there was also no documented plan to undertake such an exercise.	The Council will undertake a data flow mapping exercise to ensure all flows, both inbound and outbound, of person identifiable and sensitive information in all service areas have been identified mapped and recorded. The information flows will be risk assessed, with necessary actions identified to address risks highlighted. The outcome of the mapping exercise and the risks identified will be reviewed by the IT and Information Governance Board, prior to subsequently being reported to CMT.	High	No Action Taken	30/09/17	Simon Pallett	No action taken
Title: Asset Management								
	Regeneration	The Council does not have in place an Asset Management Procedure which details the roles, responsibilities, and key processes in ensuring that asset management is effectively managed; including maintenance of an up-to-date asset register.	The Principal Asset Manager, Principal Accountant for Capital & Treasury and Group Property & Regeneration Solicitor should oversee the preparation of an Asset Management Procedure that clearly outlines the responsibilities of all involved departments and staff. The procedures will clearly outline: •How to identify assets; •Responsibility of staff in reporting new assets and disposals to the finance team, the legal team and the asset management team; •Documentation to be held for assets owned by the Council; •Responsibility in recording all assets into the Land Terrier and the Asset Register; •Timeliness and responsibility of reconciliations between the asset values in the asset register and the general ledger; •Timeliness and responsibilities for all involved teams within the asset revaluation process and updating of results. •Formal written verification procedures covering how regular reconciliations are to be completed against the asset register and the Councils property management records. The policy and procedure will be approved by CMT and communicated across all directorates.	Medium		31/03/17	Neil Wilcox	
Title: Management of Housing Stock								

	Place & Development	Of a sample of 10 mutual exchanges/transfers selected for review, the documentation could not be located on DIP for four of the cases, while only the application form could be located for two cases. We were therefore unable to provide assurance for these six cases that the correct procedures were followed or regarding the timeliness of the decisions.	A procedure to track the completion of scanning and correct indexing of files by the DIP section will be produced by Housing and agreed with arvato. This will include a requirement for the originator to confirm the documentation has been successfully scanned and indexed prior to being destroyed.	High	No Action Taken	31/12/17	Kamal Lalian	<p>"We are in the process of transferring our DIP indexing to the Logistics team, this will involve:</p> <ul style="list-style-type: none"> • Logistics scanning and sending documents that need to be actioned to the relevant officer • The officer will then action and make any notes on DIP. Once completed the officer would complete the document. • All completed documents to be indexed into correct account on W2. <p>The Logistics team at Arvato have now been trained on how we index our items, and we are currently awaiting confirmation of the date when Arvato will commence this function.</p> <p>Training will also be delivered to all neighbourhood services staff on how to use DIP w2, this will include:</p> <ul style="list-style-type: none"> • Worktray • How to search items correctly, • How to send completed documents to the Logistics properly. <p>Training dates to be confirmed with Logistics Team.</p> <p>Unfortunately we have been advised that Arvato are now unable to take on this work for several months - this has been escalated to the Arvato Contract Management Team and we await their response. (emails attached)"</p>
	Place & Development	We reviewed the Tenancy Strategy and Policy 2013-2018, accessible via the Council's website, and confirmed that this covered in sufficient detail the areas required by the Act. However, we noted that it still made reference to the Sustainable Community Strategy and the Corporate Plan, which have since been replaced by the Five Year Plan, and the Slough demographic and housing context data referred to within the document was from 2012.	The Tenancy Strategy and Policy will be reviewed and updated to ensure it is aligned to the strategic priorities set out within the Five Year Plan. The strategy will then be issued to CMT and Cabinet for approval, and subject to the required consultation. Once finalised, it will be updated on the Council website and then reviewed annually thereafter.	Medium	Partially Completed	31/03/17	Karen Lewis	The Strategy is waiting on finalisation of the Allocations Scheme before it can be completed. A rough draft has been developed pending confirmation on allocations, rents etc.

Title: Management of the Pupil Premium

	Children's Learning & Skills Service	Claycots Through review of the school's website, we noted the school had published a Pupil Premium Policy and a separate spend statement for 2016/17. We reviewed the documents against the DfE requirement to publish a pupil premium strategy and the detail that must be included by schools. We confirmed; • The school's pupil premium allocation had been outlined within the spend statement for 2016/17; • The Pupil Premium Policy covered the school's identified priorities for pupil premium spend, and the spend statement identified which priority each area of spend fell under; and • The spend areas were in line with the conditions of the grant.	As part of the review of its pupil premium strategy for 2017/18, the school will ensure that it details; • How the school will measure the impact of the pupil premium by identifying measures and setting targets; and • The date of next review of the school's pupil premium strategy. For clarity and to align it to the DfE guidance, the documents will be amalgamated and renamed 'Pupil Premium Strategy'.	Medium	No Action Taken	31/12/17	Johnny Kyriacou	Amended recommendation
	Children's Learning & Skills Service	Through review of the school's website, we noted it had published a document titled 'Pupil Premium Funding 2016/17'. We reviewed the document against the DfE requirement to publish a pupil premium strategy and the detail that must be included by schools. We confirmed the school's pupil premium allocation had been outlined within the document.	Wexham School As part of the review of its pupil premium strategy for 2017/18, the format of the current document published on its website will be updated to ensure the following is covered as per the DfE requirements: • A summary of the main barriers to educational achievement faced by eligible pupils at the school; • How the school will spend the pupil premium, the reasons for that approach and how the expenditure areas are aligned to address each of the identified barriers; • How the school will measure the impact of the pupil premium by identifying measures and setting targets; and • The date of approval and next review of the school's pupil premium strategy.	Medium		31/12/17	Johnny Kyriacou	
	Children's Learning & Skills Service	We confirmed through review of the school's website that it had published a document titled 'Pupil Premium Funding 2015/16' which set out how the pupil premium funding for 2015/16 had been spent. As noted in the findings above, while we also identified through review and discussion with the Deputy Headteacher and Assistant Headteacher (PP lead) that impact and attainment data is reviewed regularly, this was not covered in the document as per the DfE requirement to publish this information.	Wexham School The school will ensure its published pupil premium strategy outlines the impact of its pupil premium spend in the previous year; through specific measures to track and assess the overall effectiveness of pupil premium spend.	Medium		31/12/17	Johnny Kyriacou	

	Children's Learning & Skills Service	We confirmed through review of the school's website that it had published a document titled 'Pupil Premium 2015/16' which set out how the pupil premium funding had been spent in the previous year. As noted in the findings above, while we also identified through review and discussion with the Director of Inclusion & Wellbeing that impact and attainment data is reviewed regularly, this was only covered briefly in the document and was not linked to specific measures identified to track and assess the overall effectiveness of pupil premium spend.	Claycots The school will ensure its published pupil premium strategy outlines the impact of its pupil premium spend in the previous year; through specific measures to track and assess the overall effectiveness of pupil premium spend.	Medium		31/12/17	Johnny Kyriacou	
Title: Matrix Management of Agency Staff								
	Finance and Resources	The Employment and Appeals Committee's Terms of Reference did not detail key information such as meeting frequency.	We will ensure that the Employment and Appeals Committee's Terms of Reference is updated to ensure it makes reference to all areas, such as: <ul style="list-style-type: none"> • Meeting frequency; • Membership; and • Last and next review date. 	Medium	Partially Completed	31/07/16	Surjit Nagra	Surjit advised in progress
	Finance and Resources	Staff were not inputting sufficient notes into the Matrix system when approving staff, for instance, whether sufficient budget is available.	We will ensure that all staff approving new agency workers or approving the extension of existing agency contracts on the Matrix system input relevant notes of checks that have been carried out, for instance: <ul style="list-style-type: none"> • Whether adequate budget is available for the post; • The post was required urgently out of hours and therefore, there is only authorisation from one member of staff; or • The reason why the contract has been extended. If this information is not detailed then the approval will be refused.	High	No Action Taken	31/05/16	Neil Wilcox	No Action
	Finance and Resources	We noted that the Council did not have an assigned Contract Manager for Matrix.	The Council will formally assign a Contract Manager who will have responsibility for managing the Matrix contract.	High	Partially Completed	31/05/16	Frederick Narmh	Corporate procurement will continue to manage the Matrix contract on an interim basis till the contract expires. Following the eminent expiry of the Matrix contract in 2018, it is anticipated that HR will actively manage the new service contract with a dedicated resource. HR to assist in Managing this contract that has been extended for a further year. As per FN A fixed term contract person will be appointed to manage Matrix by mid Oct 2017
	Finance and Resources	We were advised by the Procurement & Contracts Analyst that these reports are not presented at a more senior Committee, such as the Corporate Management Team (CMT).	This will be achieved by OD/HR BPs sharing with SMTs the quarterly spreadsheet produced by Procurement and Commercial Services listing all agency staff engaged by the Council and demonstrating why these agency staff are required.	Medium	No Action Taken	30/09/16	Surjit Nagra	No Action

Title: Legal Services Part 1								
	Finance and Resources	We also found some of the actions were not specific, and actions were not supported by specific measures and targets that would enable an objective assessment of the department's performance at the end of the year.	The 2017/18 Service Plan for Legal Services will be reviewed and updated to ensure identification of clearly defined, measurable actions with specific targets that are clearly linked to specific actions within five year plan outcome plans.	Medium	Partially Completed	31/08/17	Sushil Thobhani	In progress
	Finance and Resources	Through review of the Service Plan for 2017/18 and discussion with the Acting Head of Legal Services, we identified that the department has had a number of unfilled vacancies for some time. At the time of the audit, the department had 15 full time posts; however 8 of these were unfilled. We confirmed through discussion with the Acting Head of Legal Services that, although the department uses the IKEN time recording system to record chargeable time, there are no targets and no monitoring is undertaken in respect of the level of staff chargeability.	As part of the review of the 2017/18 Service Plan, a review of the current level of staff chargeability will be undertaken to inform the level of current resource gaps within the department. Following this, a clear delivery model will be agreed, with either a recruitment action plan put in place to address identified gaps or alternatively the level of outsourcing of legal work required to meet these gaps clearly defined and agreed.	Medium	Partially Completed	31/10/17	Sushil Thobhani	In Progress
Title: Neighbourhood ASB Enforcement								
	Place & Development	Through discussion with two of the Enforcement Team Leaders, we identified that monthly supervisions were not being held monthly. There is therefore the risk that cases may not be appropriately responded to without regular oversight from Team Leaders. Through review with the Tenancy Team Leaders, we confirmed existence of a system control within Capita requiring Team Leaders to review cases at monthly intervals. However, following review of the ASB Policy, Team Leaders must ensure that, as part of this review, consistent application of the policy is monitored, and non-compliance flagged for corrective action.	Team Leaders will ensure that ASB cases are reviewed monthly, and following review and approval, and subsequent dissemination of the ASB Policy, that consistent application of the policy is monitored.	Medium		31/10/17	Michelle Isabelle	
	Place & Development	We reviewed the ASB Policy and confirmed it adequately detailed the strategy and overarching aims of the Council with regards to managing ASB. We noted there were a total of 14 Fact Sheets which were split between 'ASB Policy and Procedure' and 'ASB Legislation'.	The Policy and Fact Sheets will be re-circulated to all relevant staff, and they will be required to confirm that they have read and will comply with it. Training covering policy application will be provided to ensure consistent understanding and application.	Medium		31/10/17	Michelle Isabelle	

	Place & Development	We reviewed our sample of 10 Capita and 10 Flare cases to confirm whether initial contact had been made with the complainant / referring agency via telephone or a face-to-face visit within the required time-frame. Of the 10 Flare cases, we noted one was notified to the Council anonymously, so could therefore not be followed up and responded to. Of the remaining nine cases, we identified; • Two had not been responded to and the cases were closed without any action; • The remaining seven had not been responded to within the required time-frame. The initial contact took on average 13 working days; and • Of these seven cases, the complainant had not been contacted in one case, while contact had not been made via telephone / face-to-face visit in two cases.	The Council will review the current structure and resources within Neighbourhood Enforcement teams, and assess whether additional resources are required to ensure ASB cases are responded to in a timely manner. As part of this, the role of the Resilience and Enforcement Team in coordinating ASB activity will be reinforced.	High	No Action Taken	31/01/18	John Griffiths	No action taken
	Place & Development	For the four Capita cases highlighted above where the method of notification had not been recorded, we were unable to confirm the accuracy of the date of notification logged on the system. For the remaining six cases, the notification was either face-to-face or via telephone, and as such, there was no supporting evidence to cross-reference the date of notification to.	Council staff will be reminded of the need to record details of the notification on Flare within the notes for all ASB cases, to ensure a clear audit trail exists for reported ASB cases. This will be reviewed by the Resilience and Enforcement Team Assistance when assigning cases to ensure the date of notification has been accurately recorded.	Medium		31/10/17	Michelle Isabelle	
Title: Risk Management								
	Finance and Resources	At the time of our audit, and following the go-live of Intelex in November 2016, the system had not been rolled out at a Directorate level.	The Council will agree the roll out of Intelex to record directorate level risks with each directorate. This will include agreement of responsibilities at directorate level to update risks on a regular basis.	High	Partially Completed	30/06/17	Phil Brown	The Risk and Insurance Officer will meet with the Children's, Learning and Skills directorate to ensure the responsibilities at directorate level to update risks on a regular basis are agreed.
	Finance and Resources	The RMS can be improved in the following areas: 1. The process for escalation of Directorate and Project level risks to the Corporate Risk Register. 2. The guidance on 'how to populate the risk register' does not mention the requirement for identified risks to be linked to strategic objectives. 3. The Strategy did not include guidance on identifying target risk ratings and documenting actions required to address any gaps in control to mitigate risks; 4. The Strategy did not state when is it due next for review.	The Council will ensure future Risk Management Strategy updates will include the following: •Next review date and requirement for it to be reviewed annually; •'How to populate the risk register' guidance to be updated to ensure it is specific to the Intelex risk system •Inclusion of the requirement for risks to be linked to strategic objectives, •Escalation of Directorate and Project risks to the Corporate Risk Register, and •Guidance on identifying target risk ratings and documenting actions required to address any gaps in control to mitigate the risks.	Medium	No Action Taken	30/04/17	Phil Brown	The Council will ensure future Risk Management Strategy updates will include the following: • Next review date and requirement for it to be reviewed annually; • 'How to populate the risk register' guidance to be updated to ensure it is specific to the 4risk system • Inclusion of the requirement for risks to be linked to strategic objectives, • Escalation of Directorate and Project risks to the Corporate Risk Register; and • Guidance on identifying target risk ratings and documenting actions required to address any gaps in control to mitigate the risks.

	Finance and Resources	The RMS includes a definition of risk appetite and states that the Cabinet's responsibilities include determining whether the Council is 'risk taking' or 'risk averse'. As the RMS had not been signed off by the Cabinet, the risk appetite has not been yet determined. Once determined, and as per out previous year's audit findings, the targets for the Corporate Balanced Scorecard should be set in line with the Council's risk appetite.	On Cabinet approval of the Risk Management Strategy, the Cabinet will determine the Council's risk appetite. Following this, targets for the Corporate Balanced Scorecard will be set in line with the Council's risk appetite as defined within the updated Risk Management Strategy.	Medium	No Action Taken	30/06/17	Phil Brown	No Action
Title: Homelessness								
	Place & Development	If the suitability of accommodation check is not being undertaken completely as laid out in the Private Rented Sector Toolkit there is the risk that the Council is placing clients in unsuitable accommodation and discharging their duty inappropriately which could open the Council up to legal action. The DGS referral spreadsheet was obtained and a sample of five cases that had a referral in 2016/17 were picked. These five cases were viewed on Capita and in all cases we confirmed that a DGS referral form as laid out in the Private Rented Sector Toolkit was completed appropriately providing assurance as to the process and that applicants are being assessed correctly and approved prior to the assistance being given.	A review will be carried out to assess the staffing levels in the teams responsible for completing the suitability of accommodation checklist to determine if these need to be adjusted to provide the manpower to complete the suitability of accommodation checklists.	Medium	Partially Completed	30/09/17	Colin Moone	The Housing Standards Team have drafted a new procedure to deal with this area. It is currently being consulted on and will be agreed in January 2018.
Title: Health & Safety								
	Finance and Resources	We found that procedures in relation to Health and Safety had not been formally reviewed or updated since 2011 for some procedures reviewed.	An exercise will be undertaken to update all procedural documents (Codes of Practice) regarding Health and Safety to ensure that they include areas of best practice. Once updated, procedures will be approved by the Corporate Health and Safety Committee.	Medium	Partially Completed	30/06/17	Robin Pringle	No Action The Policy has been updated but needs final sign off by CCF (we haven't had one in months) and the Codes of Practice are being reviewed and should finished by end Sept.
	Finance and Resources	We found that we could not obtain at the time of the audit, the risk assessments or self-audits for the Chief Executive Directorate as well as self-audits and action plan for Adult Social Care.	As per the H&S Policy, H&S leads will ensure that risk assessments and self-audits are readily available and stored securely.	Medium	No Action Taken	30/04/17	tba	No Action
	Finance and Resources	We identified that compliance with mandatory Health and Safety training across directorates (with the exception of the Chief Executive's Directorate) up to the end of August 2016 was between 40-60% compliant.	An exercise will be carried out to identify all staff eligible for the mandatory and optional training courses regarding health and safety along with staff that have already completed this training. Following this, a Health and Safety Compliance Report will be presented and challenged at the Corporate Management Team and the Senior Management Team. This report will include the compliance rates of health and safety training for all levels of staff across all directorates.	Medium	No Action Taken	30/06/17	tba	No Action

	Finance and Resources	We found that when target dates for actions raised within self-audit had passed, an explanation was not always provided and a revised target date had not been set.	Target dates will be set for all actions identified as a result of self-audits. These will also be added to the Directorate Health and Safety Action Plan. Where the target date has passed for a particular action, explanations will be provided and revised targets dates will be set.	Medium	Partially Completed	30/04/17	tba	In progress
	Finance and Resources	We found that: We could not obtain the risk assessments or the self-audits for the Chief Executive Directorate; Actions raised from risk assessments were not monitored to ensure they had been implemented; We could not obtain the directorate action plan for Adult Social Care; and Accident/incidents were not being monitored within RHR and Chief Executive's Directorate.	A Health and Safety Report will be produced to replace the action plan. This will include: Compliance of risk assessments and self-audits completed. completed Risks and respective actions raised from risk assessments Risks and respective actions raised from self-audits Accident and incident statistics along with detailed of cases and action taken. This report will be completed and updated for each directorate and reviewed at each directorate Health and Safety meeting. This will ensure actions are being monitored and therefore completed in a timely manner.	Medium	Partially Completed	30/06/17	tba	In progress
Title: Special Educational Needs Funding								
	Childrens, Learning & Skills Services	For the Priory School we obtained the 1516 and 1617 SEN information reports. We confirmed these were in an easy to follow format containing the information expected as laid out in the 2014 SEND regulations. The Priory School Head Teacher confirmed that the 1617 report will be sent over to the Council prior to the end of the year for inclusion in the Local Offering for next year.	The Council will ensure the Local Offer is updated annually with the new SEN Information Report for all schools. In line with the above, the Governing Bodies of each school will ensure their schools are annually reviewing the SEN Information Report, and will ensure review dates for SEN funding information are clear.	Medium		31/12/17	Jacqueline Laver	
	Childrens, Learning & Skills Services	For Wexham Court Primary School we obtained the SEN report as currently detailed on their website - this was not a dated document and therefore when reviewing you could not confirm that it was up to date. However through review of June 2017 minutes from the school's Pupil Support and Transforming Learning Committee we did confirm that the Local offer was recently reviewed. The information required as laid out in the 2014 SEND regulations was included making it clear to users the SEN services the school provide.	The Council will ensure the Local Offer is updated annually with the new SEN Information Report for all schools. In line with the above, the Governing Bodies of each school will ensure their schools are annually reviewing the SEN Information Report, and will ensure review dates for SEN funding information are clear.	Medium		31/12/17	Ranvir Chahal	
Title: Treasury Management								
	Finance and Resources	The Treasury Management Group will hold more detailed minutes to evidence effective scrutiny and review of the reports presented, including the cashflow report.	The Treasury Management Group will hold more detailed minutes to evidence effective scrutiny and review of the reports presented, including the cashflow report.	Medium	No Action Taken	30/04/17	Andrew Pate	Completed s per Andrew Pate's email 25th April 2017 Follow Up audit show as partially complete Andrew advised that a p.a. to a Strategic Director will be taking minutes from the August meeting Amended as per q1 follow up This has now happened
Title: Asset Register								

	Regeneration	We obtained a rough two-sided step by step guidance document from the Principal Asset Manager which outlined the process to be followed for the Principal Asset Manager/Management Support Officer for the following; <input type="checkbox"/> Notifications from Legal Services; <input type="checkbox"/> Notifications from Finance; <input type="checkbox"/> Auditing process	The Principal Asset Manager, Principal Accountant for Capital & Treasury and Group Property & Regeneration Solicitor should oversee the preparation of an Asset Management Procedure that clearly outlines the responsibilities of all involved departments and staff.	Medium	Partially Completed	31/07/17	Barry Stratfull	No action has been taken on this Will be completed by Sept 2017 12th Oct 2017 - Barry to send out to ensure this is done
Title: Governance								
	Finance and Resources	In addition, the contracts register does not meet the detailed requirements for each contract to be published. The current information against each contract on the register was limited to: • Title; • Description; • Supplier; • Contract End Date; • Expiry Date; • Contract Extension Date; and • Project Category.	The Council will ensure that the contract register format and information published against each contract will be updated to comply with the requirements stated within Annex A of the Local Government Transparency Code 2015, and include: • Reference number • Title of agreement • Local authority department responsible • Description of the goods and/or services being provided • Supplier name and details • Sum to be paid over the length of the contract or the estimated annual spending or budget for the contract • Value Added Tax that cannot be recovered • Start, end and review dates • Whether or not the contract was the result of an invitation to quote or a published invitation to tender • Whether or not the supplier is a small or medium sized enterprise and/or a voluntary or community sector organisation and where it is, provide the relevant registration number.	Medium	Partially Completed	30/04/17	Frederick Narmh	In progress as per Fred Narmh As per FN this is almost complete - est date of completion
	Finance and Resources	We were unable to identify the publication of a list of grants to voluntary, community and social enterprise organisations.	The Council will meet the requirement to publish details of all grants to voluntary, community and social enterprise organisations on an annual basis. For each identified grant, the following information will be published as a minimum: • Date the grant was awarded • Time period for which the grant has been given • Local authority department which awarded the grant • Beneficiary • Beneficiary's registration number • Summary of the purpose of the grant amount	Medium		30/04/17	Craig Brewin	
Title: Business Continuity Planning Arrangements								

	Regeneration	A Business Impact Analysis (BIA) was last undertaken in July 2013 and has not been reviewed and updated since.	<p>"The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level that;</p> <ul style="list-style-type: none"> • Establishes the context of the assessment and defines the criteria for evaluating the potential impact of a disruptive incident; • Takes into account legal and other commitments; • Includes systematic analysis and prioritisation of risk treatments; • Defines the required output from the business impact analysis and risk assessment; and • Specifies the requirements for this information to be kept up-to-date. <p>The business impact analysis will include;</p> <ul style="list-style-type: none"> • Identifying activities that support the provision of services; • Assessing the impacts over time of not performing these activities; • Setting prioritised timeframes for resuming these activities at a specified minimum acceptable level (RTO - Recovery Time Objective), taking into consideration the time within which the impacts of not resuming them would become unacceptable (MTPD - Maximum Tolerable Period of Disruption); and • Identifying dependencies and supporting 	High	Partially Completed	30/09/16	Joe Carter	Partially Complete as per Follow Up audit 04/17
	Regeneration	A formal programme of training for staff in relation to business continuity management had not been established.	<p>"A formal programme of business continuity training will be developed and delivered to staff covering, but not limited to;</p> <ul style="list-style-type: none"> • The roles and contributions of staff to the effectiveness of BCM within the Council; and • The roles and contributions of staff to the effectiveness of BCM within the Council; and • The implications of non-conformance with the policy. • The implications of non-conformance with the policy. 	Medium	No Action Taken	31/10/16	Joe Carter	No action taken as per follow up Audit

	Regeneration	We also identified a lack of arrangements for testing the effectiveness of the BCP	"A formal and documented process will be established, implemented and maintained for exercising and testing business continuity procedures in order to assess their effectiveness. This will be documented within the Council's overarching Business Continuity Management Policy. A testing schedule will be defined for the Council BCP as well as the Directorate and Service BCPs which details the intervals at which each element of these will be tested. Exercises/tests will: • Be based on appropriate scenarios with clearly defined aims and objectives to minimise the risk of disruptions; and • Produce formalised post exercise reports that contain outcomes and lessons learnt, recommendations and actions to implement improvements." "	Medium	No Action Taken	30/09/16	Joe Carter	Not Complete
Title: Cash Handling								
	Finance and Resources	During our testing, we found that for petty cash claims, receipts for expenditure and evidence that the claimant had received petty cash was not being retained. We also noted that the authorisation of petty cash claims was not being checked against an authorised signatory list.	A review will be undertaken of the petty cash process to ensure: • Claims are reviewed against an up to date authorised signatory list; • Receipts are retained pertaining to expenditure claimed; and • Evidence is retained of the claimant confirming receipt of the reimbursement of petty cash	Medium	Partially Completed	31/05/17	Vijay McGuire	The receipts are now being retained as is the evidence that the Claimant has received the petty cash - this was a blip as they are usually retained Cashiers have requested an up to date signatory list from Finance on a number of occasions, this has not been provided - I personally escalated this to Neil Wilcox on 21st June 2017 - it is not for Cashiers to develop this list but for Finance to provide it for them to work from, without this list the management action is not achievable. Paula Bass advises that a project group has been set up in ASC to deal with this issue No response from George Grant
Title: Payroll								
	Finance and Resources	It was found that the budget holder listing held by the Transactional Finance Team was not up to date.	Slough Borough Council will provide an up to date listing of budget holders and their associated budget codes and updates will be provided upon any changes being made to budget holders.	Medium		30/09/17	George Grant	
	Finance and Resources	From a sample of 10 leavers for the current financial year, six users had not had their access to the system revoked. There was also no process in place to remove contractor system access.	A list of leavers will be provided to the Agresso Support Team each month which will be used to revoke Agresso access for leavers. A similar process will also be set up for contractors.	Medium		30/09/17	Neil Wilcox	
Title: Creditors								

	Finance and Resources	The Council (i.e. Procurement) does not feature on the current workflow on Agresso to approve amendments to supplier details.	The workflow on the Agresso system will be changed for amendments to supplier details. A comprehensive segregation of duties to approve and verify amendments of supplier details will be implemented between arvato P2P and Council Procurement.	Medium	Partially Completed	31/07/17	Frederick Narmh	This issue has been sent to the agresso project team and will form part of the implementation plan
Title: Holy Family Catholic School								
	Children's Learning & Skills Service	Without a regular inventory checks being completed by relevant staff, there is a risk that assets that have been stolen, are missing, or are damaged will not be picked up to be resolved by the School.	The School will ensure annual inventory checks are taking place with any discrepancies being investigated. Those discrepancies identified over a predetermined sum will be reported to the Governing Body. To coincide with Asset Tagging.	Medium	Partially Completed	30/09/17	Tina Tushingham	Asset tags to be added to equipment in half term Also looking at bespoke asset register systems but this is dependent on costs
Title: Five Year Plan Outcomes								
	Finance and Resources	The Outcomes report table included in the quarterly performance reports was not updated for all outcomes each quarter in 2016/17 and we noted one instance where by the directional arrow used to show change in the RAG rating over the quarter was incorrect showing a favourable movement when in fact it was a negative movement.	The Five Year Plan information reporting in the performance reports will be improved upon to ensure: •All indicators are SMART and measureable; •Performance is updated for all Outcomes quarterly; •Actions to address underperformance are included alongside reasons for underperformance; and •Detail is included to support RAG ratings including the thresholds which constitute the ratings.	Medium	No Action Taken	31/10/17	Neil Wilcox	No action taken
	Finance and Resources	Through review of the Outcome 4 plan, we identified instances whereby actions and performance measures were not specific and measurable, while in some case, timescales were not clear. Furthermore, we noted a lack of clarity around the financial impact of specific actions listed to achieve the outcome. There was no formal approval process for sign-off of outcome plans.	The Outcome Groups will ensure the 2017-2021 detailed action plans and performance measures are SMART including specific measurable actions, clear benchmarking figures, and clear timescales for the work where appropriate. Furthermore all detailed action plans will be reviewed and signed off by the Five Year Plan Board at the beginning of the year.	Medium	Partially Completed	31/10/17	Russell Bourner	Spoke to Russell this action is partially complete
	Finance and Resources	The Five Year Plan Board does not currently have any responsibility for risk management assigned to it in their terms of reference, with no forum involved in the Five Year Plan governance having oversight of identified risks. Furthermore a risk management framework has not been developed that takes into accounts strategic, operational and reputational risks related to the Five Year Plan Outcomes.	The Five Year Plan Board terms of reference will be updated to include their responsibilities around oversight of risk management. A risk management framework will be developed which takes into account strategic, operational and reputational risks related to each of the outcomes and their key actions. This will be discussed with the Board to determine how risk will be reflected and best managed. The framework will identify how the outcome groups will manage and identify their risks.	Medium	No Action Taken	31/10/17	Neil Wilcox	NO Action
Title: Income and Debtors Management								

	Finance and Resources	arvato have not been escalating debt relating to Adult Social Care in line with Slough Borough Council's debt recovery policy.	A review will be undertaken between Finance, arvato and Adult Social Care to identify which of the outstanding debtors should be chased in line with the Income Collection and Debt Recovery Policy. Any decision made will be reflected in an updated policy, to be shared between the above parties and council staff.	Medium	Partially Completed	31/03/17	Vijay McGuire	<p>The collection Policy needs to be updated and this is with Neil Wilcox. There is currently no date for completion. Adult Social Care are made aware by arvato of any large invoices outstanding and instruction requested as to how to proceed - responses are varied and in a large number of cases no responses are received. The first part of this action is with Finance.</p> <p>Person under Jacky A's supervision will have policy completed and signed off by end of Financial year</p> <p>Paula Bass will get Adult Social care to advise arvato what to do with the various debts</p> <p>The updated Policy is a Finance action which remains outstanding - Neil Wilcox is aware. Arvato have requested Finance involvement to assist in reviewing the outstanding debts to date no response has been received. To date arvato have been working with Victoria Tutty in Adults to do the best that they can without the updated policy</p>
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