

SLOUGH BOROUGH COUNCIL

REPORT TO: Audit & Corporate Governance Committee **DATE:** 18th July 2018

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WARD(S): All

PART I **FOR COMMENT & CONSIDERATION**

AUDIT & RISK MANAGEMENT UPDATE – QUARTER 1 2018-19

1. **Purpose of Report**

The purpose of this report is to:

- Report to Committee on the progress of finalising draft Internal Audit reports
- Report to Committee on the progress of the implementation of Internal Audit recommendations
- Note and comment upon the Corporate Risk Register
- Note the minutes of the latest Corporate Risk Management Board

2. **Recommendation(s)/Proposed Action**

The Committee is requested to comment on and note the attached reports.

3. **The Slough Joint Wellbeing Strategy, the JSNA and the Five Year Plan**

3a. **Slough Joint Wellbeing Strategy Priorities –**

The actions contained within the attached reports are designed to improve the governance of the organisation and will contribute to all of the emerging strategic priorities.

Priorities:

- *Economy and Skills*
- *Health and Wellbeing*
- *Regeneration and Environment*
- *Housing*
- *Safer Communities*

3b. **Five Year Plan Outcomes**

The actions contained within this report will assist in achieving all of the five year plan outcomes

4. **Other Implications**

(a) Financial

There are no financial implications of proposed action

(b) Risk Management

<i>Recommendation</i>	<i>Risk/Threat/Opportunity</i>	<i>Mitigation(s)</i>
<i>That Audit & Corporate Governance Committee is requested to comment on and note the attached reports</i>	<i>This report concerns risk management across the Council</i>	

(c) Human Rights Act and Other Legal Implications

There are no Human Rights Act or other legal implications in this report

(d) Equalities Impact Assessment

There is no identified need for an EIA

5. **Supporting Information**

5.1 **Finalising Internal Audit Reports**

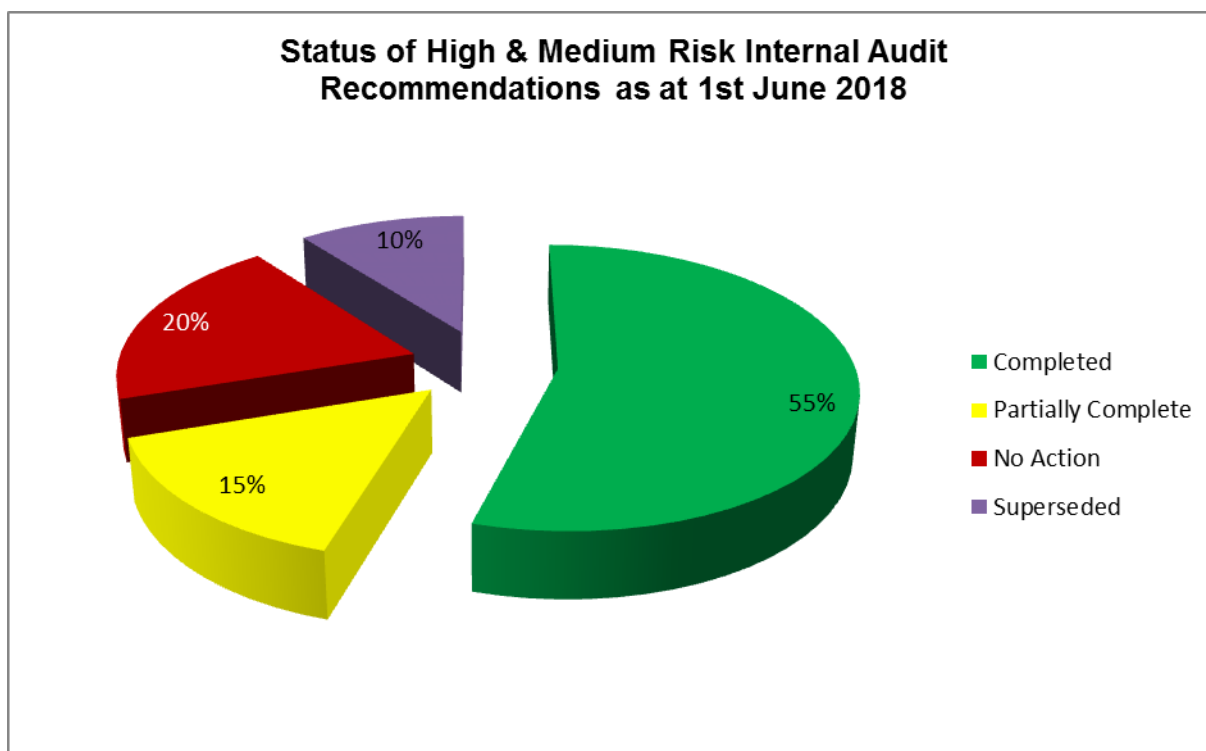
5.1.1 The table below shows those “Assurance” Internal Audits that remain in draft and are yet to be finalised as at 12th June 2018

Audit	Audit Plan Year	Audit Sponsor	Assurance Level	Date to be Finalised by	Comments
Budgetary Control	17/18	Neil Wilcox	Partial Assurance	4 th Jan 2018	On going discussion between RSM and Neil Wilcox
Council Tax	17/18	Neil Wilcox	Reasonable Assurance	20 th December 2017	Awaiting submission of amended draft
Debtors	17/18	Neil Wilcox	Partial assurance	6 th February 2018	Sent to RSM to finalise 6 th June
Priory School	17/18	Cate Duffy	Substantial Assurance		With Children’s Learning and Skills Service
Fixed Penalty Enforcement	17/18	Joe Carter	Partial assurance	5 th February 2018	With Neighbourhood Services to be finalised

5.2 **Monitoring Management Actions**

5.2.1 The Risk and Insurance Officer regularly monitors the progress of the implementation of made following Internal Audit reports. Below is a graph that

shows the percentage of High and Medium risk recommendations that have either been implemented, are in progress, no action has been taken, or the recommendation has been superseded.



5.2.2 Attached at Appendix 1 is a list of outstanding High and Medium actions that are outstanding

5.2.3 To give a more informed view of the status of the Internal Audit recommendation it has been decided to only include recommendations made within the last two years

This has meant that the percentage of completed recommendations has fallen to 55%

5.2.4 Attached at Appendix 2 is a list of the “High” Recommendation Actions that remain Outstanding past the target date.

Current Position		Previous Audit Committee	
No Action	Partially Complete	No Action	Partially Complete
4	4	6	4

5.3 Corporate Risk Register

5.3.1 A copy of the Corporate Risk Register is attached at Appendix 3

5.3.2 At the recent Risk Management Board the Adults & Communities departmental risk register was reviewed. The Board were of the opinion that CMT should consider whether the issue of serious injury or death resulting from a failure of safeguarding should be added to the Corporate Risk Register

5.3.3 A copy of the minutes of the latest available Risk Management Board meeting are attached at Appendix 4

6. **Comments of Other Committees**

This report has not been considered by any other committees.

7. **Conclusion**

The Committee is requested to note and comment on any aspect of the attached reports.

8. **Appendices Attached**

Appendix 1 – Outstanding High & Medium risk internal Audit actions

Appendix 2 – Details of High Rated Recommendations

Appendix 3 – Corporate Risk Register

Appendix 4 – Risk Management Board Minutes

9. **Background Papers**

None