

Risk & Audit Board

Minutes

14th June 18, 10am, Cabinet Meeting Room

Neil Wilcox	Director of Finance & Resources
Phil Brown	Senior Risk & Insurance Officer
Barry Stratfull	Service Lead Finance
Tony Browne	Service Lead Access & Inclusion (cover for Rodney D'Costa)
Ginny De Haan	Service Lead Regulatory Services (cover for Simon Broad)
Stephen Bowen	Programme Management Officer (cover for Clare Priest)
Sushil Thobhani	Service Lead Governance
Adrian Thomas	Property Manager
Amir Kapasi	Internal Audit
Raj Johal	Note Taker

Item	Minutes	Action
1.	<p>Note apologies Rodney D'Costa Clare Priest Simon Pallet</p>	
2.	<p>Matters arising Minutes of the last meeting (17/05/18) agreed as accurate with the following matters arising;</p> <ul style="list-style-type: none"> • PB has added RSM to the Terms of Reference, however the Risk Management Strategy needs to be updated and will bring both documents back to the next meeting. • PMO report – concerns about communications regarding Slough Academy. CP has actioned this point. • Internal Audit report – follow up reports – PB noted there are no further issues and all reports have been finalised. There was an issue with the Fixed Penalty Notices and an assurance report was issued. 	Phil
3.	<p>Review of Departmental Risk Register</p> <p><u>Adults & Communities Risk Register</u></p> <ul style="list-style-type: none"> • PB / AK to amend the colours on the register so they 	Phil/Amir

	<p>are RAG rated colours.</p> <ul style="list-style-type: none"> • RS3: this risk needs to remain on the risk register in case an emergency does occur. Board felt that Impact level 2 was too low. • C&L5: board discussed the likelihood coming down. SB noted that the PMO would undertake a benefits realisation once the project has been closed down to review. AK noted that these should be noted as controls. • C&L2: action plan is in place and an audit will take place this year to provide assurance. • C&L4: board felt this risk needs updating to include the delivery of Slough Academy. This risk will move to People Services under the Finance & Resources risk register. • ACAS1: this risk requires more detail under controls. • RS1: target risk has increased and is close to moving to the Corporate Risk Register. GDH to amend. • C&L1: Ketan Gandhi to update this risk. GDH to take back to A&C DMT • C&L6: board felt this risk may be graded higher then it should. GDH to feed this back to A&C DMT. • RS2: funding is available to transform the service. Restructure will benefit this risk. • ACCom3: board felt this is a risk for A&C and a poor outcome of service review can be damaging. • AK advised that RSM undertook 2 audit reviews in ASC and on one of those reports found that there was poor recording, reporting and accuracy on the IAS system. • Board agreed for the Regeneration Directorate to provide the Risk & Audit report at the next meeting. 	<p>Ginny Ginny</p> <p>Ginny</p>
<p>4.</p>	<p><u>Review of Corporate Register</u></p> <ul style="list-style-type: none"> • CR4: PB to amend scoring. • CR20: risk level to come down. Description / consequence to be amended. • CR1: elections have taken place. In the process of appointing a CE. This risk can be taken off once CE in place. • CR19: CLS DMT to review and an action to be included to show how we will get from residual risk 12 to Priority Risk 9. TB to take back to CLS DMT. • CR16: CLS DMT to review. TB to take back to CLS DMT. • CF18: risk requires some actions. CLS DMT to review. • CR5: residual risk may be lower • CR3: AK advised this risk may need to be split between housing and homelessness and there are actions on 	<p>Phil Phil</p> <p>Tony Tony</p> <p>Tony</p>

	<p>there with Mike England as responsible officer which needs to be amended. PB to take to Regeneration Directorate DMT.</p> <ul style="list-style-type: none"> • CR6: risk title to be amended. • CR8: this is a high risk and board agreed the impact should change to 5. 	Phil
5.	<p><u>PMO Report</u></p> <ul style="list-style-type: none"> • 27 Projects of which 7 are Gold projects. • 69% of the projects are RAG rated as green. • GDPR has been a success: have undertaken 50 workshops and updated the policies. Developed a new DPIA process which is now part of the corporate PMO process. • Hotel development: project manager has reported delays in meeting planning committee deadline. • Grove Academy: preferred contractor has withdrawn from the project. This risk will be monitored regularly to ensure further delays to timescales do not impact on future development on the TVU site. • Risk on the costs with construction projects. Haybrook College capital business case was postponed. At this stage no risks need to be escalated for inclusion on the Council's corporate risk register. • SB to amend wording in the PMO report regarding the Fleet Challenge. 	Stephen
6.	<p><u>Internal Audit Update</u></p> <ul style="list-style-type: none"> • Annual report is going to the next Audit & Risk Committee. • Dates for all the audits were agreed at the beginning of the year. • PB to bring an updated report to the next meeting. • PB is taking a report to CMT next week (20/06/18). 	Phil
7.	<p><u>Annual Governance Statement</u></p> <ul style="list-style-type: none"> • Report went to CMT and some amendments were requested which ST/BS are looking into. • Format of the document is old and can be changed if needed. PB noted that the report needs to map the text back to the 7 principles in the report. • Final AGS report to come back to the next Risk & Audit Board meeting for sign off. • Agreed for the text at the front of the document to come off. 	Sushil/Barry

<p>8.</p>	<p><u>Business Continuity</u></p> <p>PB advised he has met with Dean Trussler and Joe Carter. RSM have produced an action plan to monitor the progress. RSM will provide assurance.</p> <p>NW to clarify with CMT which Board will oversee Business Continuity.</p> <p>Dean Trussler to attend the next meeting in July to provide an update. RJ to invite DT to the next meeting.</p>	<p>Neil</p> <p>Raj</p>
<p>9.</p>	<p><u>Annual Report</u></p> <ul style="list-style-type: none"> • AK noted RSM to provide assurance on compliance/non compliance with policies and procedures. • Section 1.3 of the report on Information Governance advises the council have taken action to address some of the failings identified in the previous report. • AK noted that they will use statistical analysis tools called IDEA test systems to analyse data. • AK to make amendments to page 12 to change the name of the Executive Leads against reports to Joe Carter. 	<p>Amir</p>
<p>10.</p>	<p><u>Insurance Tender</u></p> <p>PB provided a report on the Insurance Tender and advised the underwriters have requested we don't data dump and they will not accept hyperlinks. A list of questions will be sent to each Departmental Representative and response to be sent to PB by mid July.</p>	
<p>11.</p>	<p>AOB None</p>	