

SLOUGH BOROUGH COUNCIL

REPORT TO: Audit & Corporate Governance Committee

DATE: 20th September 2018

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WARD(S): All

PART I **FOR COMMENT & CONSIDERATION**

AUDIT & RISK MANAGEMENT UPDATE – QUARTER 2 2018-19

1. **Purpose of Report**

The purpose of this report is to:

- Report on the progress of finalising draft Internal Audit reports
- Report on the progress of the implementation of Internal Audit recommendations

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

That 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**

The [Slough Joint Wellbeing Strategy](#) (SJWS) is the document that details the priorities agreed for Slough with partner organisations. The SJWS has been developed using a comprehensive evidence base that includes the Joint Strategic Needs Assessment (JSNA). Both are clearly linked and must be used in conjunction when preparing your report. They have been combined in the Slough Wellbeing Board report template to enable you to provide supporting information highlighting the link between the SJWS and JSNA priorities.

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 Community Strategy 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 & Risk 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

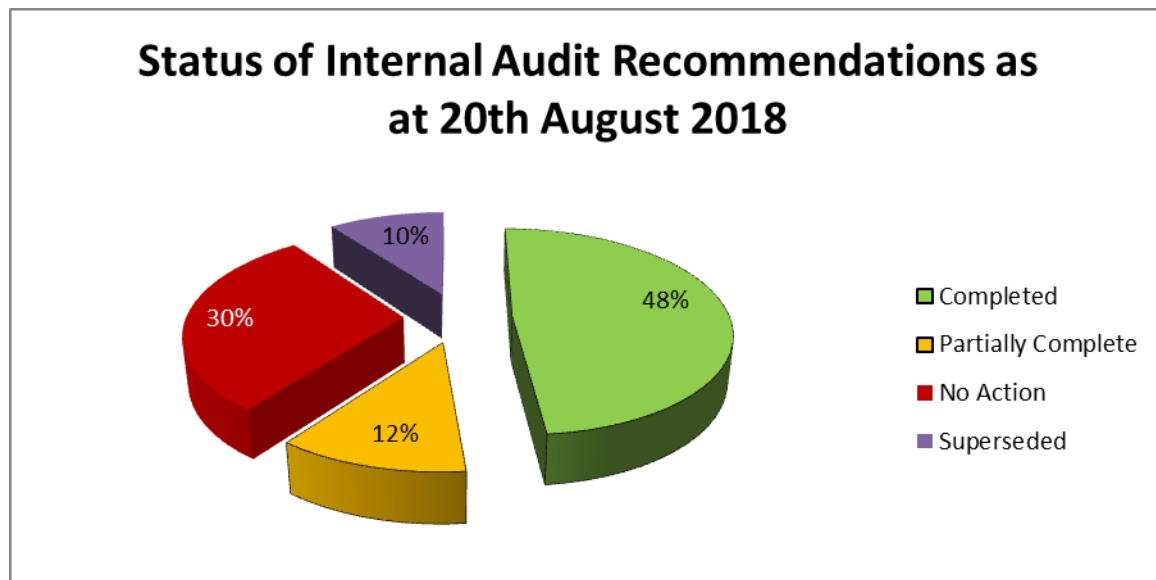
5.1.1 The table below shows those "Assurance" Internal Audits that remain in draft and are yet to be finalised as at 12th June 2018

Audit	Audit Plan Year	Audit Sponsor	Assurance Level	Date to be Finalised by	Comments
Children's Centres	18/19	Cate Duffy	Reasonable Assurance	16 th August	Finalisation meeting booked for 23 rd August
Council Tax	17/18	Neil Wilcox	Reasonable Assurance	16 th Dec 2017	Awaiting re-issue of draft
Claycots School	18/19	Cate Duffy	Partial Assurance	22 nd June 2018	Awaiting to be finalised.
St Bernard's Catholic School	17/18	Cate Duffy	Reasonable Assurance	25 th July 2018	With Children's Learning and

Audit	Audit Plan Year	Audit Sponsor	Assurance Level	Date to be Finalised by	Comments
					Skills Service
Overview & Scrutiny Committee Effectiveness	18/19	Neil Wilcox	Reasonable Assurance	29 th June 2018	With RSM to finalise
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 The percentage of completed actions has risen to 48% from last quarters 45%

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	4	4

5.3 **Corporate Risk Register**

5.3.1 Attached at Appendix 3 is the Corporate Risk Register and Members comments are invited on this.

6. **Comments of Other Committees**

There are no comments from other Committees

7. **Conclusion**

Members are requested to consider details of and comment on the progress of finalising draft Internal Audit reports and on the progress of the implementation of Internal Audit recommendations.

8. **Appendices Attached**

Appendix 1 – Outstanding High & Medium risk internal Audit actions

Appendix 2 – Details of High Rated Recommendations

9. **Background Papers**

None