

Overdue Audit actions

High & Medium Overdue Internal Audit actions

Title	Management Actions	Recommendation Rating	Implementation Status	Target Date	Completion Notes
Person Responsible: TBa					
Governance	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: <ul style="list-style-type: none"> • 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	
Person Responsible: Alexander Cowen					
Adult Safeguarding	The Council will agree the timing to phase out the use of the safeguarding spreadsheet once the IAS reporting function goes live.	Medium	No Action Taken	31/03/18	No Action Taken
Person Responsible: Tina Tushingham					
Holy Family Catholic School	The School will ensure where a DBS check confirmation is not obtained prior to an employee start date, an appropriate risk assessment is undertaken on the employee to ensure they are fit for service.	Medium	No Action Taken	31/07/17	Completed as per Tina q3 17/18 Follow up - No action taken
Holy Family Catholic 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	Asset tags to be added to equipment in half term Also looking at bespoke asset register systems but this is dependent on costs
Person Responsible: Ian Blake					
Neighbourhood ASB Enforcement	The Council will review and update the ASB categories and types on both Capita and Flare to ensure these are aligned and reflect the categories and types defined within Fact Sheet 6 - ASB Case Management Systems. Training will subsequently be provided to Team Leaders and Officers on definitions of categories and types to ensure correct assignment and consistent application.	Medium		31/03/18	
Person Responsible: TBA					
Health & Safety	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 target dates will be set.	Medium	Partially Completed	30/04/17	In progress
Health & Safety	A Health and Safety Report will be produced to replace the action plan. This will include: <ul style="list-style-type: none"> 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	In progress
Health & Safety	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	No Action
Health & Safety	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	No Action
Person Responsible: Frederick Narmh					

Procurement	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	No Action Taken	31/08/17	As Per F N - First draft by the end of September Then needs to go through a consultation process Est Implementation mid Oct 2017 Covered in 1819 Contract Procedure Rules Audit - not implemented - raised again so this action needs to link to the one below - action raised: Timescales should be set for the review of the Procurement Operating Procedures and should be reported to the Finance DMT until complete, and then formally communicated to all staff.30th Oct 2018
Procurement	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	As per FN - This will be undertaken by Fixed Term contract post
Creditors	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	This issue has been sent to the agresso project team and will form part of the implementation plan. Been sent to Agresso project team but won't be done until after HR system has been implemented 09/07/2018 F&R DMT agreed that Simon PO would take this forward
Capital Expenditure	The Terms of Reference for the Procurement Review Board need to be updated, and meetings of the group will be recommended to ensure there is sufficient control over compliance with the Financial Procedure Rules.	Medium	No Action Taken	31/03/18	This is impossible to do until the review of the Constitution and re-structure have been completed
Person Responsible: Joe Carter					
Business Continuity Planning Arrangements	"A formal group will be established to oversee the Council's business continuity agenda. The group's remit will be defined within Terms of Reference which will include; • Responsibilities; • Membership and quoracy; • Meeting frequency; and • Accountability and reporting.	High	No Action Taken	31/03/18	Amended as per follow up audit April 2017 Amended as per q1 follow up
Business Continuity Planning Arrangements	"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	31/03/18	Not Complete
Business Continuity Planning Arrangements	"A formal programme of business continuity training will be developed and delivered to staff covering, but not limited to; • 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	31/03/18	No action taken as per follow up Audit

Business Continuity Planning Arrangements	<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). 	High	Partially Completed	30/09/16	Partially Complete as per Follow Up audit 04/17
Business Continuity Planning Arrangements	<p>The Council will develop an overarching Business Continuity Management (BCM) Policy covering the framework for BCM in the organisation. The policy will set out;</p> <ul style="list-style-type: none"> Scope, aims and objectives of BCM in the Council; The Council's commitment to BCM; The activities that will be required to deliver these; and Roles and responsibilities of staff in relation to BCM. <p>Version control to state approval details and next planned review date.</p> <p>Once finalised, the policy will be subject to verification by CMT and communicated to staff.</p>	High	Partially Completed	31/08/16	Completed as per Joe Carter RHR SMT
Person Responsible: Trevor Costello					
Voids	<p>The Capita system will record where recharges have been made and collected.</p> <p>A new post has been created of Clienting Recharges Officer within the Clienting Team so that the preinspection outcome notification letters and subsequent recharge requirements (both from voids and responsive repairs) can be administered consistently across the service.</p> <p>The Clienting Recharges Officer will receive regular reports from Osborne and the Clienting Voids Inspectors in order to raise notification and issue of recharges to tenants and</p>	Medium	No Action Taken	31/07/18	not due yet
Person Responsible: Phil Brown					
Risk Management	<p>The Council will ensure future Risk Management Strategy updates will include the following:</p> <ul style="list-style-type: none"> 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 Intellex 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 <p>Guidance on identifying target risk ratings and documenting actions required to address any gaps in control to mitigate the risks.</p>	Medium	No Action Taken	30/04/17	<p>The Council will ensure future Risk Management Strategy updates will include the following:</p> <ul style="list-style-type: none"> 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.
Person Responsible: Rhian Richards					

Housing Regulation	The eight-week target timescale from receipt of a HMO application to decision to grant or refuse the licence will be incorporated into the Housing Regulation Procedure to be developed and published on the HMO licensing page on the Council website. Compliance against the target will then be monitored by the Housing Regulation Manager	Medium	Partially Completed	31/03/18	This is under review as we are expanding the HMO Licensing Scheme. We are due to go to Cabinet in September with the proposal to introduce a new Scheme which will include new fee structure as well KPIs.
Housing Regulation	A Housing Regulation Procedure will be developed to cover the processes for dealing with and managing housing regulation cases Flare system templates will be reviewed in conjunction with the development of the overarching procedure and use of these will be incorporated into the document, aided by the use of flow charts.	Medium	Partially Completed	31/03/18	Some work has been done in this area but this need to be expanded to covers all areas This work will be done in parallel to the overall system improvement we rolling out
Person Responsible: Colin Moore					
Management of Housing Stock	The Tenancy Management Policy and Fact Sheet 9 (Mutual Exchange/Transfer) will be updated to include: • A requirement to set submission deadlines when requesting information from the tenant or external landlords; • The timescales to be given; and • Refusal as the consequence for missing the deadline. Once approved, this will then be communicated to relevant staff and implemented to ensure effective management of applications, with compliance will be monitored as a KPI.	Medium	No Action Taken	31/03/18	Change of resp
Allocations	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	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.
Allocations	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	The new scheme will be going live at the beginning of April 2018.
Homelessness	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	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.
Homelessness	A policy around incentives will be drafted which includes detail on the standard incentives, the situations when these can be inflated, the required approval to increase an incentive, as well as the tenancy length requirement (12 month minimum) to ensure consistency of approach.	Medium	Partially Completed	30/09/17	9/11/2017 Advised that this is now complete q3 2017/18 Follow Up found that authorisation is not only required when incentive amount is agreed
Homelessness	The Deposit Guarantee information for Landlords will be reviewed and updated. This will be provided and a signature required along with the safety check information whenever a new private landlord is used for a Deposit Guarantee Scheme client of the Council.	Medium	No Action Taken	30/09/17	9/11/2017 P&D SMT This action is now complete q3 follow up The deposit guarantee information has not been reviewed
Person Responsible: Liz Jones					
Voids	Pre-inspections will be carried out prior to the tenant moving out, where notice is given. This will be recorded on the CAPITA system. Attempts to arrange pre-inspections will also be recorded on CAPITA by the Housing Officer. An information pack will be included with the appointment letter detailing how to leave a council property and the possibility of recharges for damage or clearance of possessions. A confirmation letter following the preinspection visit will be sent confirming identified reports to be completed before vacation, which will be recorded on the CAPITA system.	Medium		31/07/18	
Person Responsible: Andrew Pate					

Treasury Management & Cash Handling	The Group Accountant will ensure that all reconciliation between Agresso and Logotech is completed in a timely manner - within the following month	Medium		31/07/18	
Asset Register	The Group Accountant Capital, Treasury and SUR will develop an Asset Management Procedure that clearly outlines the responsibilities of all involved departments and staff. The procedures will clearly outline: <ul style="list-style-type: none"> • 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. • The process for disposals and acquisitions of assets. • The requirement for the Principal Asset Manager to oversee the preparation and implementation of a physical asset inspection process which will allow the Council to take assurances on the integrity of asset details maintained in asset managed records. Once developed the procedure will be approved by the Capital Strategy Board and communicated across all service lines 	Medium	No Action Taken	31/03/18	No update received
Asset Register	The Principal Asset Manager together with the Group Accountant Capital, Treasury and SUR will ensure that the Terrier system and CIPFA asset register are updated with details of all new assets acquired by the Council as they occur.	Medium	No Action Taken	31/03/18	No update received
Purchasing Cards	As part of the Councils Transparency code, the Council will publish expenditure on purchase cards, broken down by merchant, on its public internet site.	Medium		31/03/18	
Purchasing Cards	Spot checks by Finance on a sample of submissions each month will be conducted and recorded to ensure that that expenditure on the detailed receipts provided are for official Council purchases and in line with the Purchasing Card Policy.	Medium		31/03/18	
Purchasing Cards	The Council will ensure that for all purchase cards in use, a Purchasing Card Agreement Form will be maintained centrally by the Finance team. Financial Limits will be recorded on Cardholder Agreement forms.	Medium		31/03/18	
Person Responsible: Simon Broad					
Adult Safeguarding	The Council will agree the work plan, terms of reference and membership of the SAB Performance Sub Group.	Medium	Partially Completed	30/06/17	SMT 26th July advised will be completed in Nov 2017 This date has now pushed back to Jan 2018
Adult Safeguarding	The Council will ensure that all triages for referrals received are undertaken by a DSM.	Medium	No Action Taken	30/04/17	ASC SMT advised hat this is complete
Person Responsible: Surjit Nagra					
Health & Safety	The following will be included as standing agenda items for each Directorate Health and Safety Committee to ensure that relevant matters are regularly discussed and monitored: <ul style="list-style-type: none"> Update from Service Lines; Review of high level risks and actions arisen from risk assessments and self-audits; Compliance of risk assessments and self-audits; Accident and Incident Reports/Statistics; and Training compliance. 	Medium	Partially Completed	31/03/18	H&S discussed at SMT and CMT's
Health & Safety	High risks identified in Health and Safety Risk Assessments will be reported up from service lines to their respective Directorate Health and Safety meeting for monitoring. Higher level risks will also be reported up from the Directorate Health and Safety meeting to the Corporate Health and Safety Committee for regular review.	High	Partially Completed	31/03/18	Health & Safety now a standing Item on Agenda for CMT and SMT's Project team chaired by Strategic Directorate of RHR to review the entire H&S process Amended as per q1 follow up
Information Governance	The Data Protection Awareness training will be updated to provide guidance in line with GDPR prior to regulations going live. A review will be undertaken to ensure the additional training needs of staff within specialist IG roles are identified and the training needs document will be updated with the identified training requirements.	Medium	Partially Completed	31/03/18	E-learning courses revised March 2018. New GDPR module launched April 2018 Note - Remaining action - reports to CMT re training stats should be reassigned to HR (Surjit Nagra) - not an Alex Cowen responsibility
Information Governance	Training reports will be discussed at DMT quarterly and CMT half-yearly and details of the discussion will be recorded in the minutes.	Medium		31/03/18	

Matrix Management of Agency Staff	The Council will formally assign a Contract Manager who will have responsibility for managing the Matrix contract.	High	Partially Completed	31/05/16	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. HR to manage. Contract is up for tender - interim to be appointed to manage all HR contracts As per FN A fixed term contract person will be appointed to manage
Tax - Temporary staff arrangements, in-house VAT return completion process and follow up	Implement the IR35	Medium	No Action Taken	31/08/17	No action Taken
Person Responsible: Sanjay Dhuna					
Governance	The Council will publish parking account information to comply with the Local Government Transparency Code. The information will include: • A breakdown of income and expenditure on the authority's parking account. The breakdown of income must include details of revenue collected from on-street parking, off-street parking and Penalty Charge Notices • A breakdown of how the authority has spent a surplus on its parking account	Medium	Partially Completed	31/03/18	Completed as per email from Kam Hothi amended a sq1 follow up
Person Responsible: Ranvir Chahal					
Special Educational Needs Funding	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	
Person Responsible: Sushil Thobhani					
Governance	The transactions list for expenditure exceeding £500 will be updated and the latest version will be uploaded and maintained on a quarterly basis.	Medium	Partially Completed	31/03/18	Completed as per Fred Narmh Amended as per q1 follow up
Person Responsible: Nic Barani					
Schools Financial Value Standard	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	31/03/18	Follow up audit finding that this action was not complete
Schools Financial Value Standard	For the 2017/18 submissions, submitted SFVS returns will be subject to review by the Council's Schools Finance team to ensure; • The SFVS return has been fully completed, with a response, supported by sufficient narrative, provided against all the standards within the SFVS return template; • The return has been appropriately signed off by the Chair of the Governing Body of the school; • An action plan with time-bound and assigned actions has been included to address all areas of reported partial or non-compliance. • Where exceptions are identified, schools will be requested to address these and re-submit their return.	Medium	No Action Taken	28/02/18	No action
Schools Financial Value Standard	The Council will create a tailored best practice guide that will be provided to all the maintained schools annually. This will include: • 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	There are plans in progress and will be completed shortly
Person Responsible: Diane Lister					

Chalvey Early Years Centre	The School will ensure that for any purchases exceeding £5000, (either as a single purchase or within a single financial year) the appropriate quotation/tendering process is undertaken with evidence retained to ensure that value for money of purchases is being given adequate consideration.	Medium	Partially Completed	30/06/17	Aware & will do but no purchases over £5000 have been made since June 2017
Person Responsible: Vijay McGuire					
Income and Debtors Management	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	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. Person under Jacky A's supervision will have policy completed and signed off by end of Financial year Paula Bass will get Adult Social care to advise arvato what to do with the various debts The updated Policy is a Finance action which remains outstanding - Neil Wilcox is aware. Arvato have requested Finance
Person Responsible: Barry Stratfull					
Debtors Management	The Council will ensure the debt collection policies and procedures are updated to reflect current practices and ensure debt collection expectations are being met. These will be relayed to arvato to ensure policies are agreed and followed.	Medium	Partially Completed	31/03/18	This is in progress This is in progress - and a first draft has been completed but due to resource issues this is still awaiting finalisation
Council Tax	The Council, in liaison with arvato, will instigate a process for checking a sample of discounts on an annual basis to ensure that residents in receipt of a discount are still eligible.	Medium	Partially Completed	31/03/18	All discounts except Single Person discount were checked during 2016/17 - the contractor issued a change control for SPD on 26th January 2017 to excuse a SPD for 2016/17 on the basis that the major system to check against was Electoral registration and this was considerably out of date, which made doing an SPD review virtually impossible. A plan is in place to complete an SPD review in 2017/18 as the Electoral registration database is now in a much better state. The implementation meeting for this review is scheduled for 27th June 2017 amended as per q1 follow up
Creditors	All amendments to supplier standing data (including changes to email addresses and bank details) will be supported by a fully completed and authorised form (with any relevant correspondence), clearly evidencing the verification checks undertaken and uploaded to Agresso.	High	No Action Taken	31/05/18	No update received
Creditors	We will review all accesses set up on the Agresso system to confirm that they are appropriate for the role allocated to ensure that all expenditure has been appropriately approved.	Medium		31/07/18	

Creditors	The Council will reject invoices received that do not have an associated purchase order. The supplier can then be contacted to resend an invoice with an associated purchase order number (evidencing that the cost has been agreed and authorised appropriately).	Medium		31/07/18	
Budgetary Control & Financial Reporting	Finance will undertake a review and update all budget holders within Agresso, including Level 1 staff to ensure: <ul style="list-style-type: none"> • That the budget holder is a current member of staff • That the relevant email details are held for each budget holder That all active cost centres are checked to ensure they are assigned. <ul style="list-style-type: none"> • Where cost centres are no longer relevant, that these are deleted in line with procedures. 	Medium	No Action Taken	31/12/16	The Council will ensure that adequate assurances are received from arvato to ensure that the Agresso system is being kept up to date and leavers are being removed from the system promptly. The Council will ensure that adequate assurances are received from Freshdesk to ensure that the Agresso system is being kept up to date and leavers are being removed from the system promptly. Raised in 17/18 Budgetary Control Audit as not complete - following Medium action raised A.K. July 2018 Accountants will undertake a review of budget holder information held on the system and any discrepancies corrected to ensure cost centres are correctly assigned on the system and email address details are held for each budget holder. If any there are
Payroll	On termination of employment for payroll staff, the T-HR & Payroll Service Manager will inform the SBC Agresso Support Team via email, copying the Financial Systems Accountant so access is removed.	Medium	No Action Taken	31/03/18	This is to be actioned
Asset Management	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: <ul style="list-style-type: none"> •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. 	Medium	No Action Taken	31/03/17	We confirmed that a procedure had not been defined which outlined responsibility of all departments involved in asset management. We further identified following discussions with the Principal accountant that the processes were well known within the staffing structure however, there was no documented procedure. As such we have restated the action.
General Ledger	The Council will implement an appropriate password policy that requires passwords to be changed on first sign on from a new user, and that also sets passwords to automatically expire and require changing on a periodic basis.	High		31/07/18	
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.	Medium	Partially Completed	31/07/17	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
Person Responsible: Jacqueline Laver					
Special Educational Needs Funding	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	
Person Responsible: Simon Pallatt					

Information Governance	The Council will ensure that the draft Digital and IT team structure is approved by the IG Board and the recruitment process is undertaken to ensure that sufficient resources are in place to appropriately oversee information governance arrangements and responsibilities per the Health and Social Care Information Centre guidance are formally assigned.	Medium		31/07/18	
General Ledger	We will request regular backup reports from the supplier to provide assurance on the daily back up process and on the results of disaster recovery plans.	Medium		31/07/18	
Creditors	The Council will investigate and resolve the 'Amendment Logging' issue on Agresso. Changes in supplier details will then be able to be monitored and reviewed.	Medium		31/07/18	
Business Continuity & IT Disaster Recovery	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	Partially Completed	31/03/17	Follow up audit - may 2017 - no action taken Restores tested on individual system level. Not on whole enterprise yet. To be scheduled post dual site resilience
Information Governance	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	Partially Completed	31/03/18	Initial draft completed March 2018. Updating May 2018 from Data Mapping Workshops

Person Responsible: **Neil Wilcox**

Matrix Management of Agency Staff	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	No Action
Asset Management	The Legal Department will ensure that completion memorandums are communicated and obtained on file for all asset acquisitions made.	Medium	No Action Taken	31/03/17	We were advised by the Principal Accountant that this action had been implemented, however we were not provided with the evidence to confirm this and therefore have not agreed this action as implemented as we have not seen the evidence. Following review with the Assistant Director Finance and Audit, it was accepted that the actions within the report would be reassigned for completion by the end of March 2017.
Five Year Plan Outcomes	The Five Year Plan information reporting in the performance reports will be improved upon to ensure: <ul style="list-style-type: none"> •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	No action taken Completed as per 2017/18 q4 follow up A.K. July 2018 - Q1 1819 Follow Up confirms this was not implemented - information in Intelix for this is incorrect - awaiting new completion date

Person Responsible: **Johnny Kyriacou**

Management of the Pupil Premium	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	
Management of the Pupil Premium	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	
Management of the Pupil Premium	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	Amended recommendation
Management of the Pupil Premium	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	
Person Responsible: George Grant					
Schools Financial Value Standard	Refer to management action regarding the review of SFVS returns by the Council's Schools Finance team.	Medium	Partially Completed	31/12/16	Neil advised that he would raise this with George Grant and Coral Miller in February 2017 Advised by George Grant 17th Aug 2017
Schools Financial Value Standard	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	Completed as per George Grant 17/08 Amended as per q2 follow up
Schools Financial Value Standard	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 <u>within the school</u> .	Medium	No Action Taken	31/03/18	Change of resp. Amended as per q2 follow up
Treasury Management & Cash Handling	The Finance team will develop an Authorised Signatory Database for petty cash expense forms and this will be implemented by the Cash Office	Medium	No Action Taken	31/07/18	Action reformatted
Person Responsible: David Askwith					
Rent Accounts	The Policy and Procedure Monitoring Spreadsheet will be updated to reflect the correct policy and procedure review dates. Moreover, the Spreadsheet will be reviewed on a quarterly basis to ensure policies and procedures are subject to regular review as required.	Medium	No Action Taken	31/03/18	change of res
Person Responsible: Karen Lewis					
Management of Housing Stock	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	The government will be publishing a "wide ranging" Social Housing Green Paper imminently (Spring 2018). The Strategy will need to take account of what are anticipated to be fairly radical changes to the way social housing is developed and managed.

Location: Slough Borough Council
Monday, August 20, 2018 10:03:04 AM (UTC+00:00) Dublin, Edinburgh, Lisbon, London by Phil Brown