

Audit Title	Rating	Target Date	Person Responsible	Management Response	Update Detail
Asset Register	Medium	31/7/2019	Stuart Aislabie	The Principle Asset Manager will produce a work programme to ensure that all updates to assets are brought up to date. Following this, the Principal Asset Manager together with the Service Lead for Finance to ensure that the Terrier system and CIPFA asset register are updated with details of all new assets acquired by the Council as they occur.	

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Asset Register	Medium	30/9/2019	Stuart Aislabie	<p>The Principle Asset Manager will undertake a review of the current Asset Management Procedure to clearly outlines the responsibilities of all involved departments and staff. The procedures will clearly outline:</p> <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; - 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; and - 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 	

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Capital Expenditure (26.18/19)	Medium	28/2/2019	Sushil Thobhani	<p>The Council will put in place a joint Capital and Procurement Business Case.</p> <p>Prior to being utilised, the new Business Case will be formally reviewed by both the PMO and Procurement team to ensure it captures all necessary information.</p> <p>Following approval, the Business Case will be made available for use via the Staff Intranet and will be used in the approval process of all capital projects.</p>	This is now part of the Gate One Transformation project
Conflicts of Interest (13.18/19)	Medium	31/10/2019	Sushil Thobhani	<p>We will ensure that any declarations made at meetings are recorded on the Slough Borough Council website and in the meeting minutes.</p> <p>In addition, we will ensure that all council members profiles are present on the Slough Borough Council website and fully up to date.to the extent notified by Members</p>	

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Conflicts of Interest (13.18/19)	Medium	31/10/2019	Sushil Thobhani	<p>We will ensure that the six weekly reminders sent to members clarify that “Office” in the definition of disclosable pecuniary interests includes directorships which are for profit or gain and should be declared as interests on the declaration of interest form, with the website to be updated promptly where any new interests have been declared.</p> <p>As part of this, consideration will be given to amending the form to provide clarity of the declaring of directorships.</p>	
Debtors Management	Medium	31/10/2019	Barry Stratfull	<p>The Council will produce a revised Debt Recovery Policy.</p> <p>The Policy will be reviewed and approved via appropriate forums which include the Operations Board as to ensure oversight from arvato.</p> <p>The policy will be designed to provide guidance to staff chase debt in a systematic manner.</p>	<p>Target date changed to: 31/10/2019 Original target date: 30/06/2019</p>

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Debtors Management	Medium	30/6/2019	Barry Stratfull	<p>The Accounts Receivable team will enquire with the Agresso Support Team as to how the faulty reminder run may have occurred.</p> <p>The outcomes of this enquiry will be used to provide the team with assurance that reminder runs distribute reminders to all relevant debtors.</p> <p>Following the production of a Debt Recovery Policy, the Head of Transactional Finance, will undertake monthly spot checks to confirm compliance against the stipulated debt recovery procedures.</p>	Still in progress
Governance - Overview & Scrutiny	Medium	31/10/2018	Dean Tyler	<p>As best practice, all relevant interests should be declared by Councillors at the Overview and Scrutiny Committee and recorded.</p> <p>As part of this, the Council will carry out a cost benefit analysis of the Council subscribing to a database (Tracker) which will enable the Council to check periodically if Members are failing to register relevant interests in the Register of Members' Interests or to instruct Internal Auditors to make these checks periodically and to report to the Monitoring Officer on interests not declared in the Register.</p>	Management action re-assigned to user: Dean Tyler

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Governance - Overview & Scrutiny	Medium	30/4/2019	Dean Tyler	As part of the Overview and Scrutiny Committee annual report process, the report will explicitly review the Committee's own effectiveness against the group's objectives, and this will feed into a 'Lessons learnt' action plan that will better enable the Council to review and comment on the report to provide feedback.	Management action re-assigned to user: Dean Tyler
Health and Safety	Medium	31/5/2019	Neil Wilcox	We will ensure that the Health and Safety Board are provided with oversight of the progress of actions on directorate action plans at each meeting to ensure that satisfactory progress is made, and any significant issues are promptly escalated to the Corporate Management team.	
Holy Family Catholic School	Medium	31/7/2017	Tina Tushingham	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.	Completed as per Tina q3 17/18 Follow up - No action taken
Holy Family Catholic School	Medium	30/9/2017	Tina Tushingham	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.	Asset tags to be added to equipment in half term Also looking at bespoke asset register systems but this is dependent on costs

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HR Policies and Procedures	Medium	31/3/2019	Dean Tyler	The Council will formulate an overarching procedural document to inform staff on the processes for the creation, approval, review and communication of all Council policies and procedures. This will include the consultation process as part of new/reviewed policies and procedures.	Management action re-assigned to user: Dean Tyler
Information Governance	Medium	31/7/2018	Simon Pallett	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.	This action is still in progress
Management of Housing Stock	Medium	31/3/2017	Karen Lewis	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.	The Social Housing Green Paper was published in August 2018. Work is now underway to analyse the recommendations ahead of significant consultation with tenants, residents, partners and stakeholders as well as internal colleagues to determine the type/s o

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Neighbourhood ASB Enforcement	Medium	31/10/2017	Ian Blake	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.	Email for update
Neighbourhood ASB Enforcement	Medium	31/10/2017	Michelle Isabelle	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.	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 Legis
Neighbourhood ASB Enforcement	Medium	31/3/2018	Ian Blake	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.	Email for update

Appendix 1 Outstanding Medium Risk Actions

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Neighbourhood ASB Enforcement	Medium	31/10/2017	Ian Blake	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.	email for update
Purchasing Cards	Medium	31/3/2018	Sushil Thobhani	As part of the Councils Transparency code, the Council will publish expenditure on purchase cards, broken down by merchant, on its public internet site.	Moved resp to ST

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Rent Accounts (28.18/19)	Medium	28/2/2019	Liz Jones	<p>The Council will ensure that the weekly rental charge for void properties is stopped in a timely manner (the week of the void start date), to avoid the overcharging and subsequent requirement to refund tenants, and as part of this, evidence will be retained to demonstrate that the tenant has been signposted to all documentation that needs to be provided prior to a tenancy being ended.</p>	<p>Please see confirmation email below</p> <p>From: Bird Peter Sent: 18 March 2019 11:23 To: Jones Liz Subject: Rent Audit</p> <p>Hi Liz</p> <p>At present Housing Assistants and Officers are aware of the timely actions of ending a tenancy. However whilst we are starting to use our discretion in cases that do not completely comply with our procedures in these cases the tenancy does not always end promptly and the cancellation of the rent charges has to be backdated. Whilst the tenant does not suffer financial loss in the end there is a period where officers are not making the decision proactively.</p> <p>During April we will be running training with officers involved from notification of termination through to the sign up of properties to reinforce the process.</p>

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School Reviews - St Bernard's Catholic Grammar	Medium	31/3/2019	Paul Kassapain	<p>The School will send guidance to staff to ensure are aware of the desired practices upon receipt of goods that are classified as fixed assets.</p> <p>The School will also perform an exercise to ensure that all assets purchased since the last inventory check (11 April 2017) have been added to the asset register.</p> <p>Additionally, upon receipt of goods that are defined as fixed assets, the School will devise a mechanism that ensures the individual who checks the asset demonstrates when the asset had been added to the register and who by</p>	In progress of changing software.
Special Educational Needs Funding	Medium	31/12/2017	Ranvir Chahal	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.	
Special Educational Needs Funding	Medium	31/12/2017	Jacqueline Laver	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.	

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SUR	Medium	31/1/2019	Joe Carter	The Council will seek assurance that the plans have been approved by JV Partner members prior to the planning of projects. SUR will create a shared drive (restricted to relevant personnel) to enable access to legal documentation.	Email to Joe requesting status
SUR	Medium	31/12/2018	Joe Carter	The Board will ensure that at least two representatives from each Partner will attend Business Board meetings.	
Temporary Accommodation	Medium	31/10/2018	Debra Gilbert	The TA Team will obtain an up to date and accurate list of households within TA, the last date of visit and scheduled future visits and will formalise a plan to visit these households in a timely manner.	This is ongoing. We have a new Officer starting on the 10/12/2018 which will provide us with additional capacity to schedule in visits and update Capita accordingly
Voids	Medium	31/3/2019	Liz Jones	Where possible, Preinspections will be carried out prior to the tenant moving out, where notice is given with the outcomes of this recorded on the CAPITA system. the CAPITA system. Housing Officers will also ensure that 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 pretermination inspection visit will be sent confirming identified reports to be completed before vacation, which will be recorded on the CAPITA system.	Target date changed to: 31/03/2019 Original target date: 31/07/2018

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Voids	Medium	31/3/2019	Trevor Costello	The Capita system will record where recharges have been made and collected to enable sufficient oversight and to enable effective management over the recharges process. The Council will receive regular reports from Osborne in order to raise notification and issue of recharges to tenants and leaseholders.	Target date changed to: 31/03/2019 Original target date: 31/07/2018