

Audit Title	Person Responsible	Agreed Management Action	Revised Target Date	Update Date Detail
Asset Register (16.19/20)	Stuart Aislabie	<p>The Principle Asset Manager will undertake a review of the current Asset Management Procedure to determine the responsibilities of all involved departments and staff. The procedure will be updated to 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 managed records. <p>Once reviewed, the procedure will be approved by the Capital Strategy Board and communicated across all service lines</p>	30/07/21	Ongoing. Updating of procedures not yet finalized. Subject to input and review by Finance/Legal Team whose procedures form part of this action. Highlighted by RSM at Asset Audit Sept 2020. Original Target Date : 31/5/2020
Budget Setting and Budgetary Control (including Forecasting) (27.19/20)	Jo Knight	<p>The Council will communicate the availability of the Agresso training module to budget holders. Further, the Council will also ensure that all new budget holders complete training available, including the Corporate Induction and the Budget Holder e-learning module.</p>	30/07/21	Started conversation with Agresso project team regarding training Original Target Date: 28/9/20

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Business Continuity and Emergency Planning (8.20/21)	Sing Wai-Yu	The Emergency Planning Team will ensure that a Flood Risk Assessment is completed and integrated into the ERP. The assessments will be subject to update at least every two years.	30/07/21	We have completed the SFRA, the document is currently with our planners for their perusal to make sure that the wording is consistent with the SBC Local Plan to be published. Original Target Date 30/11/2020
Business Continuity and Emergency Planning (8.20/21)	Robin Pringle	An overview of resources expected to be required in the event of specific incidents will be prepared and added to the major incident plan. This will be used by the Council to determine whether it has access to/can access these as part of training exercises. Where resources are physically held by the Council, the frequencies of inventory checks will be agreed. Checks will cover the number of resources and condition.	01/04/21	A new emergency plan is being prepared to take into account the changes in management structure and resources. The Plan will be in place on 1/4/21 Original Target Date 31/12/2020
Cippenham Nursery School (3.20/21)	Christina Vecchio	The Headteacher will amend the Safeguarding and Child Protection Policy to state that new members of staff that work directly with children will not commence employment until an enhanced DBS check has been received (Instead of all staff) The Policy will also include that a risk assessment will be undertaken for any new members of staff who do not work directly with children until an enhanced DBS check has been received, which will determine what additional safeguards are put in place.	30/07/21	No update provided Original target date: 11/06/2020 Target date changed to: 31/12/2020
Cippenham Nursery School (3.20/21)	Christina Vecchio	The Headteacher will amend the starter process to require the line manager to sign the form as well as the Headteacher. Where the line manager and the Headteacher are the same person, an alternative appropriate signature will be obtained, such as the Deputy Headteacher.	30/07/21	No Update provided Original target date: 31/05/2020 Target date changed to: 31/12/2020

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Conflicts of Interest (2.20/21)	Monitoring Officer	We will ensure that the code of confidential Whistleblowing is reviewed and updated to include specific guidance on the process for identifying and raising concerns relating to conflicts of interest and the anonymised publication of the detail of breaches.	31/07/21	Action had not progressed under previous deputy Monitoring Officer. Revised target date agreed under new action owner. Original Target Date 30/07/2020
Creditors (24.19/20)	Jo Knight	The Council will complete an exercise to review user accounts with expenditure permissions on Agresso, ensuring authorising capabilities match job positions. Where it is believed that a user should have increased permissions, evidence from the relevant director will be obtained to confirm this.	30/07/21	This will be implemented as part of the transformation exercise, hence a new target date agreed. Original Target Date 31/7/2020
Debtors Management (28.19/20)	Jo Knight	All finance-based training, including the 'Customer and Sales' and 'Requisitioner' modules, will be reviewed and updated prior to transitioning onto the Cornerstone platform to reflect current practice and expectations. Following this, the Council will ensure that all staff using the Agresso self-service finance functions undertake relevant training, with completion rates reported at an appropriate forum. Exception reports of staff who have not completed the training will be forwarded onto managers with an instruction for relevant staff to complete the trainings. This action will supersede management action six of the Creditors 19/20 review.	30/07/21	Management action re-assigned to user: Jo Knight. On re-assignment a new target date was agreed to allow new action owner to discuss specific finding with Internal Audit. Original Date 31/12/2020

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Debtors Management (28.19/20)	Eugene Spellman	<p>The Council will produce an Accounts Receivable Debt Recovery Policy, covering the following:</p> <ul style="list-style-type: none"> •Systematic recovery actions; •Timeframes for actions; and •Exceptions to the policy, including social care cases and how these are approached. <p>The policy will be subject to formal review and disseminated to relevant staff, including the Accounts Receivable team.</p> <p>The Council will explore the feasibility of inputting the recovery actions and timeframes as agreed in the policy onto the Agresso system to allow for invoice flagging and automatic alerts.</p>	30/07/21	<p>Shabana started and will lead on this - will be part of the transformation exercise</p> <p>Original Target Date 31/10/2020</p>
General Ledger (15.19/20)	Alexander Cowen	<p>The Council will review the password functions within Agresso to ensure the following prior to end of the 2019/20 financial year:</p> <ul style="list-style-type: none"> •Passwords automatically expire and require changing on a periodic basis; and •Acceptable passwords will be subject to rules (certain lengths and unique characters to strengthen them and minimise the possibility of a security breach. 	30/07/21	<p>This is tied in with the single sign on functionality, which would enable us to link with the corporate password requirements, I am chasing to see when this will be achieved and whether we need to resolve in the interim.</p> <p>Original Target Date 31/3/2020</p>
Rent Accounts (17.19/20)	Liz Jones	<p>The Tenancy Commencement and Sign Up Policy will be updated to reflect any amendments made to the 'Fact Sheets' which are linked to it (as per finding two).</p> <p>The updated policy will then be approved by the Service Lead (People) Services. Following this, the policy will be disseminated to all relevant staff, including the Rent Accounts team.</p>	30/07/21	<p>This action has been postponed due to Coronavirus halting all ISO work but these will be reviewed and amended for accuracy by September 2020. A new set of fact sheets will be produced by March 2021 to take the new housing management system (Northgate) being introduced which has led to a system redesign.</p> <p>Original Target Date 30/06/2020</p>

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Rent Arrears Recovery (9.19/20)	Jo Knight	<p>The Council will investigate the reason behind using multiple debt collection agencies (DCA) and ascertain whether it is necessary to use multiple agencies.</p> <p>The Council will also complete a tendering exercise to ensure that DCAs used for Former Tenant Arrears represent sufficient value for money.</p> <p>Additionally, the Council will agree a contract in place with the awarded DCA to ensure that the collection methods used by the agency are agreed.</p> <p>Collection success rates will be agreed and monitored through the Rent Recovery Team Meetings.</p>	30/07/21	<p>Management action re-assigned to user: Jo Knight (Jo.knight@slough.gov.uk). Debt collection agencies have not been operating during Covid pandemic, therefore new target date agreed.</p> <p>No update provided</p> <p>Original Target Date 31/3/2020</p>
Rent Arrears Recovery (9.19/20)	Richard West	<p>The narrative section of the Housing Services KPI report will be used to provide explanation for adverse performance of KPIs</p> <p>Additionally, where poor performance is observed, actions to address this will be introduced. The outcome of each action will be measurable, have an action owner and a desired implementation date.</p>	30/07/21	<p>Due to a restructure and re-assignment of responsibilities, this action implementation was on hold. New target date now agreed.</p> <p>Management action re-assigned to user: Colin Moone</p> <p>Original Target Date 31/12/2020</p>
Risk Management (6.20/21)	Neil Wilcox	The COVID-19 Risk Register will be presented and discussed by the Silver group every four weeks.	30/07/21	<p>This action is being addressed via the Risk Board and a new action date agreed.</p> <p>Original Target Date 31/12/2020</p>
Risk Management (6.20/21)	Josie Wragg	<p>Training sessions will be provided to SMT (made up of Directors and Service Leads) periodically. The sessions will focus on the following areas:</p> <ul style="list-style-type: none"> •Risk descriptions and consequences; and •Residual and target risk scoring. 	30/09/21	<p>Council Officers are in discussion with RSM regarding the appropriate content and coverage for this training. A new target date has therefore been agreed. Josie Wragg Original Target Date 31/12/2020</p>