

Corporate Operations High and Medium rated actions outstanding

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
21/22	High	13.21/22 Council Tax	The Council will restrict the ability of staff to place markers on accounts. This may include limiting such action only to relevant managers or requiring all markers to be approved by a relevant manager before being placed. As part of this, guidance and instructions will be prepared and shared with all staff with access to place markers on council tax accounts. This may form part of an existing or new procedure note and will include why, how and when markers should be used.	Chris Boylett	21/12/2021	Overdue	Processes currently being reviewed and instructions on codes being used will be issued but cannot be closed down or restrict codes until review below completed. Target date likely to be Sep 22.
21/22	Medium	13.21/22 Council Tax	The Council Tax team will complete a review of all accounts with circumstance codes (markers) on a quarterly basis, which will be checked for accuracy by a relevant manager. This will include confirming markers are appropriate (and providing the reasons why) and rectifying those that are not appropriate (and commencing recovery action where required).	Chris Boylett	21/12/2021	Overdue	Currently underway but limited resource available at present due to other priorities. Priority cases being dealt with first. Target date likely to be Sep 22
21/22	High	13.21/22 Council Tax	The Revenues Manager will undertake a review of current Council Tax arrears cases in order to identify cases where debts are	Chris Boylett	31/03/2022	Not due	This work is underway but is not likely to be completed by 31.3.22. A business case has been submitted for additional

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			not considered economically viable to be chased. These cases will be recommended for write off.				resource to complete this work. Statute barred debts are currently being identified and work to write these off will commence as soon as resource available. Additional actions will be needed to reconcile debts against enforcement agent actions before further work can be undertaken.
21/22	Medium	15.21/22 Housing Benefits	The Housing Benefit Team will complete an exercise to determine the reporting arrangements for housing benefit related performance information, covering the following: • The agreement of key performance indicators (KPIs) that will be reported on, such as timeliness of decisions and quality checks; • The forum at which these KPIs will be reported; • The frequency that this forum will meet to discuss the reports; • The service-level representation at these meetings; and • How matters will be escalated within the Council's governance structure.	Chris Boylett	31/03/2022	Not due	
21/22	Medium	15.21/22 Housing Benefits	Reconciliations will be reviewed in a timely manner following their completion. If the individual responsible for carrying out the reconciliations is unavailable, the	Chris Boylett	31/03/2022	Not due	

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			task will be delegated to another individual for completion.				
21/22	Medium	4.21/22 - Rent Arrears Recovery – partial	Following the exercise to review the reports prepared detailing housing services performance, a decision will be made as to how and where these reports will be presented and scrutinised. This will include consideration for the monthly housing performance and rents reports.	Chris Boylett	31/03/2022	Not due	With the implementation of the new NES system testing has just started. Expected action complete date is 30.6.22 following system implementation.
21/22	Medium	14.21/22 Whistleblowing	As part of the next Whistleblowing update provided to the Audit and Corporate Governance Committee, a comprehensive update will be provided against all actions agreed as part of the 2021/22 Whistleblowing Internal Audit Report.	Angela Wakefield	09/12/2021	Overdue	The draft Whistleblowing Audit was referred to in the report taken to the 09/12/21 meeting of the Audit & Corporate Governance Committee and the final version will now go to the March 2022 meeting of the Committee and this will confirm that the outstanding 2021/22 actions have been implemented or superseded – see Appendix C in the final report
21/22	High	14.21/22 Whistleblowing	The Council will devise a Whistleblowing Culture Improvement Plan to ensure actions are taken to improve confidence around the Council's whistleblowing function. Progress against the plan will be monitored thereon by an appropriate forum	Angela Wakefield	31/03/2022	Not due	

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			(for example, the Executive Board), periodically.				
21/22	Medium	5.21/22- IT Business Continuity - Advisory* Critical	The Council will update the Business Impact Analysis template to cover areas such as: <ul style="list-style-type: none"> •Recovery Point Objective (RPO); •Maximum Tolerable Periods of Disruption (MTPD); •quantitative/qualitative impacts; and •process prioritisation in the event of an incident. Following this, it will be ensured that BIA's are fully completed prior to sign off.	Alexander Cowen	31/12/2021	Overdue	This links to work IT is doing on Business Impact Assessments (BIAs). BIAs are being updated by service areas and completion of this work will be done by March 2022.
21/22	Medium	5.21/22- IT Business Continuity - Advisory* Critical	The Council will document a formal "lessons learnt" process for IT business continuity and disaster recovery. This will include the use of a template report and action plan.	Alexander Cowen	31/12/2021	Overdue	This links to work IT is doing on Business Impact Assessments (BIAs). BIAs are being updated by service areas and completion of this work will be done by March 2022.
21/22	Medium	5.21/22- IT Business Continuity - Advisory* Critical	The Digital & Strategic IT Business Continuity Plan will be updated to cover areas such as: <ul style="list-style-type: none"> •backup staff for staff in key roles; •task lists according to scenario with timeframes, responsible staff and backup staff; •arrangements in place for diverting telephone calls as required; •contact details of department specific contractors and suppliers; •critical periods/dates; 	Alexander Cowen	31/3/2022	Not due	The plan will be reviewed once the BIAs are complete.

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			<ul style="list-style-type: none"> •minimum equipment and supplies required to carry on functioning; •logging of decision making (time, what the decision was, who made this etc.); <p>As part of this update, the Council will also review the Recovery Plan for Digital and Strategic IT to ensure consistency and prevent overlap.</p>				
21/22	Medium	5.21/22- IT Business Continuity - Advisory* Critical	The Council will outline the key responsibilities of each area of The Incident Hub as part of the IT Business Continuity Plan. In addition, roles and responsibilities will be formally defined in relation to Disaster Recovery and training will be introduced for relevant staff accordingly.	Alexander Cowen	31/3/2022	Not due	The plan will be reviewed once the BIAs are complete.
21/22	High	5.21/22- IT Business Continuity - Advisory* Critical	<p>The Council will document a Disaster Recovery (DR) Policy, independent of the DR Plan, covering areas such as:</p> <ul style="list-style-type: none"> •aims/objectives/principles; •relevant legal and regulatory requirements (if relevant); •roles and responsibilities and ownership of the policy, including who can declare and escalate/de-escalate a disaster; •what constitutes a disaster; •governance arrangements (including a dedicated forum for overseeing disaster recovery 	Alexander Cowen	31/3/2022	Not due	The plan will be reviewed once the BIAs are complete.

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			<p>arrangements);</p> <ul style="list-style-type: none"> •testing requirements i.e. how often the plan is to be tested (should be at least annually), and what will actually be tested as a minimum (or a schedule of tests). This should include testing of backups; •training requirements; •the use of an applications list, including prioritising applications in terms of order of recovery following a disaster; •process for carrying out and approving Business Impact Analyses (BIA)s which include RTO's (Recovery Time Objectives) and RPO's (Recovery Point Objectives) for each application. This should inform backup arrangements; •multiple contact details of relevant staff; and •where the plan and emergency contact information is to be made available (on-site, off-site, online, offline etc.); and •review frequency and version control (the policy should be reviewed at least annually, and each time there is a major change or incident at the organisation). 				
21/22	Medium	5.21/22- IT Business	The Council will ensure that a central register of all applications is retained with priority of recovery for	Alexander Cowen	31/3/2022	Not due	The plan will be reviewed once the BIAs are complete.

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		Continuity - Advisory* Critical	applications, either individually or by group.				
21/22	Medium	5.21/22- IT Business Continuity - Advisory* Critical	The Council will implement a formal approach/schedule for the testing of IT business continuity and disaster recovery, including the testing of data backups. This will be undertaken on at least an annual basis.	Alexander Cowen	31/3/2022	Not due	Awaiting a solution for testing.
21/22	Medium	8.21/22 Business Continuity and Disaster Recovery - Minimal	Testing schedules will be agreed upon for emergency incidents and included as part of the Major Incident Plan. Once the plan has been finalised and agreed, testing of expected processes will commence in-line with the schedule. Outcomes of tests will be noted, and appropriate updates made to the plan	Anthony Mario Montana	31/12/2021	Overdue	Due to a change of personnel the Major Incident Plan is being finalised to progress to the approval governance process through Corporate Leadership Team (CLT). Once this is approved the testing schedule will be developed and added to the work stream of the EP team to action. A new debrief document has been created. With clear areas for highlighting: <ul style="list-style-type: none"> • what did go well • what did not go well, • with an area for a list of recommendations The format of the document has changed to a more formal format. The format is in keep with Slough's document governance Working in conjunction with the Incident Situation Report

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21/22	Medium	8.21/22 Business Continuity and Disaster Recovery - Minimal	<p>The Council will develop, agree and implement a testing schedule in order to assess the effectiveness and robustness of the preparations outlined in the plan for ensuring business continuity.</p> <p>The following will be considered as part of the development of testing schedules:</p> <ul style="list-style-type: none"> •Paper walk-through testing, which involves working through the plans and identifying areas that have been overlooked or processes that may not work; •Component testing, which involves testing different sections or stages of the plan for practicableness, such as restore procedures, backup procedures and contacting stakeholder; •Full testing, which involves running through the plan in its entirety so as to assess its effectiveness in recovering lost information and continuing business as usual; •The intervals at which the above types of testing will be conducted; and •The reporting of outcomes and lessons learned. 	Anthony Mario Montana	31/12/2021	Overdue	<p>Regular testing of the Business Continuity Plans will commence as soon as each Service Business Continuity Plans have been completed and the overarching Business Continuity Plans completed.</p> <p>Once all plans are completed is at this point a testing schedule will be created.</p> <p>Currently this is dependent on the exercise that is being carried out where managers need to sign off the BIA's with the IT elements included.</p> <p>Following receipt of BCP's from services, the information will be used to prepare the overarching BCP for the Council. Target date - June 2022</p>
21/22	Medium	8.21/22 Business Continuity and	The draft major incident plan will be completed, with all updates made	Surjit Nagra	31/12/2021	Overdue	• All aspects that need rectification will have

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		Disaster Recovery - Minimal	<p>including the finalisation of the 'Contact Lists', the 'Cascade call out' and the addition of contact numbers for individuals/ teams involved in the major incident response process.</p> <p>The plan will also include consideration over the debrief process when the plan is enacted. The plan will then be subject to appropriate formal review, followed by the Executive Management Team. Review will occur at least every two years.</p> <p>This plan will be shared with relevant staff members via the Resilience Direct Portal, digitally and in hard copy.</p>				<p>amendments made following the completion of the Major Incident Plan and the Business Continuity Plans This includes the individual Business Continuity Plans.</p> <ul style="list-style-type: none"> • Currently the review of the BIA's for the individual Services have begun <p>Note: The Major Incident Plan and the Business Continuity Plans are two separate plans that work both independently or jointly. The first draft was written presented and approved by the Corporate Management Team. Recommendations and amendment directions were given.</p> <p>Currently work has started on the Second draft to include the recommended amendments and to reflect the changes following the Council restructure.</p>
21/22	High	8.21/22 Business Continuity and Disaster Recovery - Minimal	The Council's Business Continuity Plan will be updated to reflect the Council's restructure, the Council's relationship with Slough Children First, with all sections of the plan completed.	Anthony Mario Montana	28/2/2022	Not due	Currently the BIA's individual Services including that of Children's First are being collated, after which the BIAs will all be reviewed.

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			Following update, the plan will be submitted for formal approval, before being made available to relevant members of staff.				Once the view is completed they would be returned to the Service BC Lead. This will inform the Leads on building their Service's BC Plan
21/22	Medium	8.21/22 Business Continuity and Disaster Recovery - Minimal	The Emergency Planning and Business Continuity Lead will complete an exercise to update BIAs in conjunction with area leads to ensure these are reflective of the Council's corporate structure.	Anthony Mario Montana	31/3/2022	Not due	Work has continued to collate this information with IT colleagues. Services are in the processes of updating their BIA's Following which a review and prioritisation will be undertaken which will ultimately form the basis of the council wide ECP.
21/22	Medium	8.21/22 Business Continuity and Disaster Recovery - Minimal	Once the roles and responsibilities for emergency planning and business continuity matters have been formally agreed and assigned, the Council will review the current skills and knowledge of its workforce in light of these expectations. Where training needs are identified, the Council will ensure that training is administered to relevant individuals to ensure that staff have the necessary understanding and capability to	Anthony Mario Montana	31/3/2022	Not due	This has been assessed in terms of the levels. Bronze levels requirement are in place Silver Level is BCEP MANAGER / AD's and LALO' on the ground. Gold Level – training is being arranged for the EB that have not undertaken this training – date being finalised.

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			appropriately undertake their duties.				
21/22	High	13.21/22 Council Tax	The Council will resume the preparation of council tax reconciliations. This will include investigating and resolving the £2,516,195 variance identified in 2019/20 and retrospectively completing reconciliations for 2020/21 and 2021/22.	Ade Adewumi	31/03/2022	Not due	
21/22	High	17.21/22 Rent Accounts	The Council will assign responsibility within Finance for uploading the rental, council tax, business rates and benefits postings to Agresso. This will then be uploaded to the reconciliations documents on a daily basis for June to September 2021 and then each month thereafter, allowing the reconciliations to be completed.	Ade Adewumi	31/03/2022	Not due	
21/22	High	17.21/22 Rent Accounts	The Council will complete the stock reconciliations for 2018/19 2019/20 and 2020/21. Once complete, the reconciliation will be passed to the Housing Finance team for completion on a quarterly basis. Evidence will be retained to confirm that the variances identified by any reconciliations have been resolved	Benedict Falegan	31/03/2022	Not due	
21/22	Medium	16.21/22 General Ledger	The Council will prepare a schedule of Agresso finance system functions/processes to be documented. Help cards will then be prepared and uploaded to the	Ade Adewumi	30/06/2022	Not due	

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			'Knowledge Base' section of the Freshdesk page.				
21/22	Medium	16.21/22 General Ledger	Following the completion of all reviews (of financial information, records and statements), the Council will retrospectively roll-over the periods to 2021/22. Where there have been significant changes to balances or reported information, relevant staff and Council Members will be made aware of this.	Liton Rahman	30/06/2022	Not due	The review is in progress and we are expecting the roll-over to be completed by the target date of 30/06/2022.
21/22	High	16.21/22 General Ledger	The Finance Team will assign an appropriate individual to complete the monthly reconciliations of control accounts, as well as a second individual to check these. The preparation of the reconciliations will resume, including retrospectively completing all for 2021/22.	Ade Adewumi	30/04/2022	Not due	
21/22	High	16.21/22 General Ledger	The Finance Team will assign an appropriate individual to review and manage all suspense accounts, including identifying those entries that can be cleared and action this. The clearing of suspense accounts will resume.	Ade Adewumi	30/04/2022	Not due	
21/22	High	16.21/22 General Ledger	An exercise will be completed to identify all tasks to be completed as part of the month end process. A full month end timetable will be prepared and tasks will be assigned to appropriate staff	Ade Adewumi	30/04/2022	Not due	

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			members. The completion of tasks will be confirmed each month to a relevant manager responsible for overseeing the closedown process.				
21/22	High	16.21/22 General Ledger	The Council will review and clear the 73,629 unposted journals currently in batch input maintenance. This approach will account for transaction dates and values.	Ade Adewumi	30/04/2022	Not due	
21/22	Medium	16.21/22 General Ledger	The Council will review the possibility of adding a notification functionality to Agresso, alerting staff of errors, directing them to the check maintenance of ordered reports and advising them that revisions are required to ensure journals are posted.	Ade Adewumi	30/04/2022	Not due	
21/22	High	16.21/22 General Ledger	A periodic checking mechanism will be introduced for unposted journals in batch input maintenance. This will include identifying those that need to be corrected (and communicating this to relevant staff) and those that can be deleted.	Ade Adewumi	30/04/2022	Not due	
21/22	High	16.21/22 General Ledger	The Council will complete an exercise to identify those roles/positions requiring access to Agresso finance functions and the access/functions required. Based on this the Council will implement a training programme covering finance functions on Agresso.	Ade Adewumi	30/04/2022	Not due	

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			Training will be a requirement before system access is granted and will focus on the processes required as part of job roles.				
21/22	Medium	16.21/22 General Ledger	The Council will complete a six monthly review of general ledger user access to confirm: <ul style="list-style-type: none"> • Starters for the period have been suitably added; • Leavers for the period have been suitably removed; and • Access and access levels are appropriate for staff 	Ade Adewumi	30/06/2022	Not due	
21/22	Medium	Debtors Management 18.21/22	The Council will review all current accounts receivable guidance available to staff, including the manual and Freshdesk help cards. Out of date guidance will be updated, whilst further documents will be prepared where there are gaps in available information.	Ade Adewumi	30/06/2022	Not due	
21/22	Medium	Debtors Management 18.21/22	The Council will consider how best to revise the process for raising invoices to minimise errors. This may include: <ul style="list-style-type: none"> • Designating invoice preparation to a specific team; • Designating invoice review and approval to a specific team; or • Setting up a workflow process requiring cost centre managers to review and approve invoices. 	Jasvinder Dalvair	31/12/2022	Not due	
21/22	Medium	Debtors Management 18.21/22	An exercise will be completed to identify and update all current cost codes without a suitable chain of	Ade Adewumi	30/06/2022	Not due	

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			level one, two and three approvers. Consideration will also be made for implementing escalating approvals. This may include also adding level three approvers as approvers for lower levels (such as level three approvers also being level two and one approvers) or having the system escalate approvals (such as escalate to level three where there is no level two approver)				
21/22	Medium	Debtors Management 18.21/22	The Agresso system will be set up to require supporting evidence to be attached to all credit notes prior to credit notes being processed.	Ade Adewumi	30/06/2022	Not due	
21/22	High	Debtors Management 18.21/22	The Interim Group Manager Revenues Benefits and Charges will prepare a debt recovery policy which will be subject to formal review and approval. Once approved, the policy will be shared with and made available to all relevant staff, including the AR Team	Peter Robinson	31/05/2022	Not due	
21/22	Medium	Debtors Management 18.21/22	Managers will be asked to review and provide comments on current parked invoices relating to their cost centres. The Financial Technical Advisor will review responses and take suitable action (maintain a record of appropriately parked	Ade Adewumi	30/06/2022	Not due	

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			amounts or unpark amounts to enable recovery action)				
21/22	High	Debtors Management 18.21/22	The ability to park invoices will be restricted to the AR Team and the Finance Manager. Following this new control, the Finance Manager will review parked invoices on a quarterly basis and report outcomes to an appropriate finance manager.	Ade Adewumi	30/04/2022	Not due	
21/22	High	Debtors Management 18.21/22	An appropriate member of the Finance Team will be assigned to complete monthly accounts receivable reconciliations, as well as a second staff member to check and sign these off. The preparation of the accounts receivable reconciliations will resume, including retrospectively completing all for 2021/22.	Ade Adewumi	31/03/2022	Not due	
21/22	High	Debtors Management 18.21/22	The Council will implement a training programme covering accounts receivable functions on Agresso. Training will be a requirement before system access is granted.	Ade Adewumi	30/06/2022	Not due	
21/22	Medium	IA Follow Up Q1	The Council will ensure that a 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	Vijay McGuire	30/06/2022	Not due	The ICT Restructure design has been developed The consultation document has been drafted Job descriptions are now being prepared - 70% completion. Once these have all been signed off we will

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			per NHS Digital guidance are formally assigned.				progress the proposed restructure through the correct governance boards to seek sign off before launch.
21/22	Medium	IA Follow Up Q1	The Council will assess the current training arrangements in place for budget holders and develop a programme of training to ensure that all budget holders are sufficiently skilled/ trained to perform their function	Archa Campbell / Peter Worth	30/09/2022	Not due	The training needs/gaps will be assessed by the end of March 2022 and have all budget holders/managers trained by end September 2022, with a programme in place to capture new starters as on-going refresh training courses.
20/21	Medium	General Ledger (21.20/21)	The Agresso Project Team will agree the timescales regarding the General Accounting Handbook's review and will monitor the progress of this. The Handbook will be updated to remove outdated references to arvato, outdated positions (following the restructure) and will include the process and rules relating to the setup, amendment and removal of budget codes After completion, the handbook will become available to staff via the Council's e-learning site and its location will be communicated to all staff.	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	James Elliman Homes (11.20/21)	The chair of the JEH Board will ensure that the SLA is formally signed by authorised	C Booth	31/12/2021	Overdue	The SLA has been produced and is operational – it has not been signed by a Director.

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			representatives from the company and the Council.				The SLA will be reviewed and updated as part of the forthcoming Options Review.
20/21	Medium	Rent Accounts (30.20/21)	The Group Accountant will ensure that an investigation is completed to identify the reason for the stock reconciliation variance. The relevant system(s) will be updated to reflect the outcome of the investigation.	Benedict Falegan	31/03/2022	Not due	Stock variance to be reported on Monthly Housing Report and any variance pursued by the Group Manager Accommodation.
20/21	Medium	Rent Arrears Recovery (14.20/21)	Periodic updates will be made to both CMT and the Neighbourhoods and Community Services Scrutiny Panel with these outlining levels of current and former arrears, supporting narrative as well as relevant KPIs.	Trevor Costello	31/10/2021	Overdue	Reporting to the Customer and Community Scrutiny panel with further clarification on the information being reported - meeting took place in January 2022
20/21	Medium	Rent Arrears Recovery (14.20/21)	The Council will develop an approach to monitoring and managing former tenant arrears case which are below £3,000 in value.	David Asquith	30/11/2021	Overdue	The team have been systematically going through all pre 2017 tenancy end cases, and those over six months old where death was the reason and assess the chances of getting repayment and put for `write off` those with little chance of success. This was partially successful in reducing cases and debt. The Service lead monitors all arrears over £2500`'s while the FTA officer (30 hours) concentrates on the lower debt. The process of write offs is also under

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							<p>review - see Benefits and Council Tax agreed and implemented</p> <p>There are a number of issues around temporary housing, given the large turnover of occupants many of whom do not go on to permanent housing , arrears for a much smaller group of properties are disproportionately high.</p>
20/21	Medium	31.20/21 - Discretionary Business Grants	Owners of active grant funds will be reminded of their responsibilities in relation to compliance with the corporate standard. In particular, to respond to communications within ten working days.	Mike Thomas	31/03/2022	Overdue	A general review of all grant activities is being undertaken which will emphasise the need to comply with corporate standards including the response times.
20/21	Medium	Creditors - 23.20/21	An exercise will be completed to review and remove all potential duplicate supplier accounts as identified via our data analytics testing.	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	Creditors - 23.20/21	The Council will ensure that the handbook is updated to reflect current processes by the Agresso Team and to provide step-by-step	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems

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			instruction for raising requisitions and receipting goods. This will be then be uploaded onto the intranet and staff informed of its location via all staff email.				Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	Creditors - 23.20/21	Slough Borough Council will ensure that the Agresso Finance and Procurement training is updated and made available to staff. Furthermore, a training register will be introduced to monitor all Agresso training completed. Where training is overdue, this will be communicated to line management to ensure training is completed by staff.	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	General Ledger (21.20/21)	The Council will review the password functions within Agresso to ensure that they: •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.	A Adewumi	31/10/2021	Overdue	Single Sign on functionality will address this and is due to be complete as part of the current systems development work by the end of March 2022.

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20/21	Medium	General Ledger (21.20/21)	The Group Accountant will date and sign the Control Account Reconciliations (including the clearing of the suspense account) within the reconciliation spreadsheet to evidence that they have been reviewed. The reconciler, the Accountancy Assistant, will also sign and correctly date the reconciliations. A digital signature will be applied when hard copy reconciliations are not possible.	A Adewumi	31/10/2021	Overdue	This is complete for the AP & AR Control accounts, bank, suspense and major account reconciliations are being addressed as a project with a current scheduled end date of 31st March 2022.
20/21	Medium	General Ledger (21.20/21)	The Financial Systems Accountant will correct erroneous journals identified as part of this audit, where both capital and revenues codes have been used for the same transaction. Following this, on a monthly basis a report of such journals will be produced, with these rectified in a timely manner. This activity will also be included within the Month-end Closedown Timetable.	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
19/20	Medium	Debtors Management (28.19/20)	The Council will explore the possibility of adding approval requirements to the Agresso system when parking and unparking invoices. In lieu of this, access to park invoices will be the sole responsibility of the Accounts	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade

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			Receivable team. Staff requiring invoices to be parked will contact the team and a decision will be made as to whether this is a valid request or if additional information/approval is required.				requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	Council Tax (17.20/21)	The Revenues Manager will undertake a review of current Council Tax arrears cases in order to identify cases where debts cannot be chased. These cases will be recommended for write off.	Chris Boylett	31/03/2022	Not due	A project has commenced to complete this activity once this is done the service will be in a position to complete this review
20/21	Medium	Creditors - 23.20/21	The Council will introduce a process for logging amendments made to supplier accounts. This may include: <ul style="list-style-type: none"> •Maintaining a separate record of changes made; •Enabling the amendment logging function on Agresso; •Restricting supplier account changes to specific individuals; or •Requiring evidence to be uploaded onto Agresso for all changes made. 	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	High	Council Tax (17.20/21)	The Council will undertake an investigation into the £2,516,195 unreconciled difference identified via the Council Tax Direct Debit reconciliations, in order to identify reasoning for this. The Council will also ensure that all variances are completed and	A Adewumi	31/12/2021	Overdue	Major account reconciliations are being addressed as a project with a current scheduled end date of 31 st March 2022. The NNDR & Housing Benefit Accounts have been reviewed, processes documented, and

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			investigated within a timely manner and completed reconciliations are shared with Finance.				systems enhancements proposed. The Council Tax reconciliation has been delayed due to the fact that all staff involved have left the Council and various systems deficiencies which are being addressed with a view to finalisation by the end of February.
20/21	Medium	Risk Management (6.20/21)	Training sessions will be provided to SMT (made up of Directors and Service Leads) periodically. The sessions will focus on the following areas: <ul style="list-style-type: none"> •Risk descriptions and consequences; and •Residual and target risk scoring. 	Clare Priest	30/11/2021	Overdue	Review of training options has been undertaken and a report went to Risk and Audit board on 9th September. Agreed to implement solution on Cornerstone which has been purchased and installed. Work with HR/OD is being undertaken to ensure it aligns with the Council's risk management strategy. Module is being quality reviewed in December for launch in January
20/21	Medium	9.20/21 - Safety Advisory Group	The information provided on the Slough Borough Council website will be updated to cover the following: <ul style="list-style-type: none"> •The process of organising events, including the advanced notice to be provided to the Council and the timescale of the SAG process; •Links to the SAG Policy; and 	Kate Pratt	31/03/2021	Overdue	SAG and all events were cancelled in 2020 due to COVID and is now being restarted to respond to requests to hold community events. Further updates will be received once the group re-forms

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			•Access to event booking form, event plan and risk assessment templates.				
20/21	High	31.20/21 - Discretionary Business Grants	In the event that the LADGF is reopened, the Council will devise a points-based system to prioritise applicants and fairly disseminate available funds based on a formally agreed criteria.	Mike Thomas	31/03/2022	Not due	The grants system did re-open and was completed before this action could be put in place. The discretionary grants application process closed on 18 February 2022. Consideration will be given to implementing a points-based system if further grants are made available.
20/21	Medium	Debtors Management (25.20/21)	The new finance training manual will be introduced in April 2021 and all staff using Agresso self-service finance functions are to undertake relevant training, with completion rates reported to 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.	A Adewumi	31/10/2021	Overdue	The development work on Agresso is scheduled to be completed in March 2022 for the HR. Payroll & Systems Upgrade Work. On completion a board will be constituted to review Finance & Procurement upgrade requirements as well as systems documentation, training plans, authorisation hierarchies and internal team workflows.
20/21	Medium	Debtors Management (25.20/21)	The Council will complete a review of parked invoices on a periodic basis, validating the reasons for parking amounts through the issuing of a parked debt report to relevant cost centre managers. The outcome of the reviews will be	A Adewumi	31/10/2021	Overdue	The review is ongoing and will be completed by 31 st March 2022.

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			reported to the Service Lead Finance and escalated as appropriate.				
20/21	Medium	Debtors Management (25.20/21)	The Council will complete the Income Collection and Debt Recovery Policy which will be subject to formal review and disseminated to relevant staff, including the Accounts Receivable team.	A Adewumi	31/10/2021	Overdue	This will be addressed by the end of March 2022.
20/21	Medium	Debtors Management (25.20/21)	The dates that reconciliations have been reviewed by the Group Accountant will be recorded within the reconciliation spreadsheet. In addition to this, where hard copy reconciliations are unable to be signed off a digital signature will be applied to the reconciliation spreadsheet once it has been reviewed by the Group Accountant.	A Adewumi	31/10/2021	Overdue	This is complete for the AP & AR Control accounts, bank, suspense and major account reconciliations are being addressed as a project with a current scheduled end date of 31 st March 2022.
20/21	Medium	Treasury Management (33.20/21)	The Group Accountant-Corporate (Capital, Treasury & SUR) will liaise with Logotech to produce a report including forecasted and actual cashflows. This report will then be monitored to identify significant variances.	Liton Rahman	31/10/2021	Overdue	Liaised with Logotech who will be providing the report and it will be used to estimate the cashflows for the next financial year. The estimates will be peer reviewed.
20/21	Medium	Treasury Management (33.20/21)	We will review the level of training offered to Councillors with regards to treasury management, with a focus on ensuring this is provided to members of the Cabinet Commercial Sub-Committee as a minimum requirement.	Peter Worth	31/03/2022	Overdue	The Audit and Corporate Governance Committee received a report on member training at its Extraordinary Meeting on 18 January 2022. This included an indication of the first three sessions that

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
							would be provided. The first session is on Local Government Finance and includes Treasury Management. These training sessions will be made available to all members including members of the Cabinet Commercial Sub-Committee.
20/21	Medium	Health & Safety (22.20/21)	Directorates will ensure that health and safety self-audits are completed across all service lines on an annual basis. The completion of these audits will be reported to the health and safety team and a log of self-audits completed will be maintained	Vicki Swift / Vijay McGuire	31/12/2022	Not Due	Audits are not currently occurring due to COVID as team risk assessments are the priority for highlighting the change of operation. Risk assessments are being reviewed by the Health & Safety (H&S) team as part of Workforce Safety Group. H&S Team looking at an alternative format to auditing Health & Safety.
20/21	Medium	Asset Management (19.20/21)	The Group Accountant Corporate will fully document the verification / valuation process performed on Council assets. This will include documentation around the frequency with which various asset classes are verified / revalued, roles and responsibilities of key individuals as well as any other asset verification processes.	Peter Worth	31/01/2022	Overdue	This will be progressed as part of the work related to the Council's Statement of Accounts

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
20/21	Medium	Follow Up Quarter 3	Conflicts of Interest - The establishment list utilised within the Declarations of Interest Monitoring spreadsheet will be escalated to CMT where responses are not received.	Surjit Nagra	31/03/2022	Not Due	Constitution to be reviewed and guidance/processes to be updated if required
20/21	Medium	Council Subsidiary Companies Review- James Elliman Homes - JEH	SLA For Support Staff - Conduct a budget profiling exercise to ensure accurate alignment between budget and actual outturn.	C Booth	31/10/2021	Overdue	A revised SLA was presented to the JEH Board in January however this was not approved by the Board and requires further changes to be incorporated. It also needs to align with the outcomes of the housing service team review and the outcome of the Options Review. The Board has requested that as a minimum, the SLA should be updated to provide more clarity on a number of critical before the end of FY 21/22. However, it is recognised that the SLA may require updating again in early FY 22/23 based upon the Options Review and housing services review.
20/21	Medium	Council Subsidiary Companies Review- James Elliman Homes - JEH	Management should develop a Scheme of Delegation and accompanying set of Standing Financial Instructions based upon information contained within the	C Booth	31/03/2022	Not Due	A new draft SoD with FIs has been prepared and discussed by the JEH Board in January 2022 however the Board has requested further revisions to provide more

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			ToR's, SLA, Articles of Association and Financial Procedure Note.				clarity in a few critical areas (including rent setting, bad debt write-off and service levels). The SLA will be updated and approved by the Board before the end of this FY. The SLA will also require further revision in FY 22/23 to reflect the outcome of the housing services review and the Options Review.
20/21	Medium	Subsidiary Companies Review - DISH (Development Initiative for Slough Housing Company)	Management should develop a Scheme of Delegation to clarify the financial authority delegated to key members of DISH such as the Company Secretary and Board of Directors.	C Booth	31/12/2021	Overdue	An Options Review is planned for early 2022/23 which will consider the ongoing rationale for the separation of these properties from the Council's HRA and a lease review. The review will consider whether the DISH properties should remain in a separate entity, be transferred into the HRA or an alternative course of action. If it is agreed that the company should continue, a Scheme of Delegation will be developed. This work will be completed in early 2022/23 in line with the Options Review.
20/21	Medium	Subsidiary Companies Review - DISH	Management should develop a set of Standing Financial Instructions to complement the Scheme of	C Booth	31/12/2021	Overdue	An Options Review is planned for early 2022/23 which will consider the

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
		(Development Initiative for Slough Housing Company)	Delegation and to ensure financial transactions are compliant with the Councils objectives regarding DISH.				ongoing rationale for the separation of these properties from the Council's HRA and a lease review. The review will consider whether the DISH properties should remain in a separate entity, be transferred into the HRA or an alternative course of action. If it is agreed that the company should continue, a Scheme of Delegation will be developed. This work will be completed in early 2022/23 in line with the Options Review.
20/21	Medium	Subsidiary Companies Review - DISH (Development Initiative for Slough Housing Company)	The Council would benefit from a formal risk register to identify specific risks, assess, prioritise and develop corresponding responses / mitigations associated with the 54 properties.	C Booth	31/10/2021	Overdue	The DISH risk register will be presented at the next Board. In addition, a Council focused risk register will be produced. The same team that are leading the risk register for JEH are responsible for the DISH register. There are similarity of issues.
20/21	Medium	Subsidiary Companies Review - DISH (Development Initiative for Slough Housing Company)	The Council should develop an SLA which includes the support services provided to DISH and the methodology for attributing cost.	C Booth	31/12/2021	Overdue	if DISH is to continue to operate as a separate stand-alone company, an SLA will be produced to set out the service requirements. The new SLA will be based upon the new JEH SLA and will build upon the changes to

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
							the Council's housing services team.
18/19	Medium	Housing Revenue Account (40.18/19)	The Council will ensure that a review of the HRA Business Plan is undertaken to review current practices, including reference to the HRA Asset Management Strategy. Following review, the business plan will be presented to Cabinet for formal review and approval	Benedict Falegan	31/03/2021	Overdue	Work ongoing, the updated HRA Business Plan is used in the setting of 2022/23 HRA budgets

People (Children) High and Medium rated actions outstanding

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
21/22	Medium	2.21/22 - Children Missing Education - Minimal	Upon update of the Elective Home Education webpage, the Council will additionally include consideration over: <ul style="list-style-type: none"> •Exams. •Guidance around curriculum building. •Reintegration into schools and college. 	Anjli Sidhu	31/01/2022	Overdue	Webpage content completed. Content to be uploaded on The Link Website and SBC Website by 28th February 2022 (upon review by comms team) Updated content includes details of policies, procedures specific to EHE as well as a link to FAQs page which contains information on

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
							exams, the curriculum and school reintegration.
21/22	Medium	2.21/22 - Children Missing Education - Minimal	<p>The CME Team will complete a review of the Attendance Service's webpage to ensure comprehensive information and guidance is in place for stakeholders. This will include:</p> <ul style="list-style-type: none"> •Clear information around how a referral can be made and the instances where referrals should be made. •How CMEs can be defined (for example, CME, tracked and home educated). •The responsibilities of local authorities, parents, safeguarding partners and schools in relation to CME. •References to relevant legislation and guidance; and •Updated points of contact. 	Anjli Sidhu	31/01/2022	Overdue	<p>Webpage content completed. Content to be uploaded on The Link Website and SBC Website by 28th February 2022 (upon review by comms team)</p> <ul style="list-style-type: none"> • Updated content includes comprehensive detail on Attendance and CME which includes: <ul style="list-style-type: none"> • Legislation/LA Policies & Procedures • Referral pathways and processes • Responsibilities of LA, schools, partners& parents • FAQs Page • Updated contact details
21/22	Medium	6.21/22 - Schools Audit - Pippins School – Partial	<p>We will liaise with the Council's finance and procurement teams to identify the specific rules and expectations for schools when procuring high value goods/services. The manual will then be updated with clear guidance based on the Council's response.</p> <p>The School Business Manager will review high value expenditures. when placing orders and paying</p>	Katie O'Dwyer - School Business Manager	30/11/2021	Overdue	Action is in progress - manual is being updated - due for completion by March 2022

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			invoices to ensure appropriate approvals have been obtained				
21/22	Medium	6.21/22 - Schools Audit - Pippins School – Partial	The School Business Manager will ensure that timely approval for purchase orders is obtained prior to the placing of orders. This will include ensuring approval from the Headteacher is obtained for any orders exceeding £3,000	Katie O'Dwyer - School Business Manager	30/11/2021	Overdue	Approval for orders over £3,000 is obtained, process for the purchase order being generated is being developed and will be implemented by March 2022
21/22	Medium	6.21/22 - Schools Audit - Pippins School – Partial	The School Business Manager will ensure that the asset register is fully updated and completed following the inventory check to be completed by the IT contractor. This will be checked on an annual basis	Katie O'Dwyer - School Business Manager	31/05/2022	Not due	
21/22	Medium	6.21/22 - Schools Audit - Pippins School – Partial	The School Business Manager will ensure that an annual inventory check is completed once the asset register is fully updated. This will include maintaining a record of the checker, reviewer, completion date and outcomes of investigations for identified discrepancies	Katie O'Dwyer - School Business Manager	30/07/2022	Not due	
20/21	Medium	Our Lady of Peace Catholic Primary School (12.20/21)	The Business Manager will ensure that an annual inventory check is completed via the 'scan and trace' method, with a record maintained of the checker, reviewer and date of completion. The outcomes of the inventory checks will then be included within the Premises Report to be shared	Linda Shoard	31/03/2021	Overdue	Ongoing - Experienced a technical problem with the Asset Management software; unable to complete the check. Full annual check to be undertaken by 30/11/2021 with report update emailed to the F&P committee and reported to the FGB 02/12/2021

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			at the Leadership and Management Committee.				

Place & Community High and Medium rated actions outstanding

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
21/22	Medium	17.21/22 Rent Accounts	The Tenancy Commencement and Sign-Up Policy will be reviewed and updated, including the removal of out of date references and processes. This review will also incorporate any significant amendments made to the Fact Sheets. The updated policy will then be approved by an appropriate committee following the restructure and then disseminated to all relevant staff, including the Rent Accounts tea	Liz Jones	31/12/2021	Overdue	
20/21	Medium	Leaseholder Service Charges (16.20/21)	The Council will complete an exercise to ascertain whether costs associated with major works to leasehold properties are recharged to leaseholders.	Liz Jones	31/03/2022	Not due	This will be considered as part of the Options Review. The original Business Plan refers to the requirement for Council "top-up" payments to James Elliman Homes (to be reviewed).

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
20/21	Medium	Leaseholder Service Charges (16.20/21)	The Council will establish an accurate and reliable means of identifying costs associated with grounds maintenance.	Liz Jones	31/03/2022	Not due	This will be considered as part of the Options Review. The original Business Plan refers to the requirement for Council “top-up” payments to James Elliman Homes (to be reviewed).
20/21	Medium	Leaseholder Service Charges (16.20/21)	A formal policy with regards to the apportionment of service charges will be developed. This will include a clear methodology for the apportionment methods to be utilised and when they should be used.	Liz Jones	31/03/2022	Not due	This will be considered as part of the Options Review. The original Business Plan refers to the requirement for Council “top-up” payments to JEH (to be reviewed).
20/21	Medium	Leaseholder Service Charges (16.20/21)	The Council will agree a means of monitoring levels of service charge recovery. This will include periodic review of recovery levels, with action taken as appropriate to rectify any issues identified.	Liz Jones	31/03/2022	Not due	This will be considered as part of the Options Review. The original Business Plan refers to the requirement for Council “top-up” payments to James Elliman Homes (to be reviewed).
20/21	Medium	Leaseholder Service Charges (16.20/21)	As part of the annual billing process (September 20), an exercise will be performed to ensure that all costs incurred relating to leaseholders are billed through service charges.	Liz Jones	31/03/2022	Not due	This will be considered as part of the Options Review. The original Business Plan refers to the requirement for Council “top-up” payments to James Elliman Homes (to be reviewed).
20/21	Medium	Planning – Statutory	The Council will complete a review of their planning consultation methodology, with this including	Daniel Ray	30/09/2021	Overdue	A new updated APAS system should go live in Q1 of 2022 (down to IT

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
		Response Times (36.20/21)	consideration over the communication lines in place between internal and external consultees.				infrastructure and the product and our systems being able to talk to each other); this should have increased functionality in terms of managing and monitoring consultations. Expected completion date 30 /06/2022 to allow for the new system to be up and running.
20/21	Medium	Planning Performance Agreements (28.20/21)	<p>A procedure document will be prepared to outline the expected processes to be followed when preparing PPAs and resourcing agreements. This will include, but not be limited to, the following guidance:</p> <ul style="list-style-type: none"> •The information required from applicants in order to prepare agreements; •The Council services that may need to be contacted and involved, including example situations; •External consultants that may need to be contacted and involved, including example situations; •The agreement of fees and meeting schedules; and •The process for making amendments to agreed terms, including bringing forward or pushing back planned presentation at the Planning Committee. 	Daniel Ray	30/09/2021	Overdue	This is delayed, a new template has already been completed that simplifies the process with the first ones using this template awaiting AD sign off. Once signed off the procedure document shall take its cue from the new template. To be completed by 1st Feb 2022

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update
			Once finalised the document will be shared with the Planning Team.				
20/21	Medium	Rent Accounts (30.20/21)	The Tenancy Commencement and Sign-Up Policy will be subject to review and update, including the removal of out-dated references and processes. This review will also incorporate any significant amendments made to the 'Fact Sheets' (as per finding two). The updated policy will then be approved by an appropriate committee following the restructure and then disseminated to all relevant staff, including the Rent Accounts team.	Liz Jones	31/03/2022	Not due	Reassigned to Liz Jones
20/21	Medium	Temporary Accommodation Strategy (29.20/21)	In line with current plans, the Council will ensure that an up to date Housing Strategy is created. Additionally, progress against the action plan will be periodically monitored by an appropriate forum.	Dean Tyler	01/09/2022	Not Due	Action to be led by Associate Director - Place Strategy and Infrastructure. Periodic monitoring could be by the Customer & Community Scrutiny Panel
20/21	Medium	Temporary Accommodation Strategy (29.20/21)	Following completion of the corporate restructure, a new performance mechanism will be developed to reflect the new service. This will include periodic consideration of Temporary Accommodation related performance indicators.	Ian Blake	30/09/2022	Not Due	Directorate restructure is taking place Feb/Mar 2022. Interim line management arrangements currently exist. Temporary Accommodation service is being rebuilt from the bottom up to include determination of performance mechanism

Year	Rating	Issue	Way Forward	Who	When	Status	Latest Status update and Key Performance Indicators (KPIs)
20/21	High	Temporary Accommodation Strategy (29.20/21)	The timeliness of homelessness decisions will be included within the monthly Housing performance reports. Time periods exceeding 56 days will be highlighted and appropriately reviewed by either the TA Team or the Housing Demand Team.	Ian Blake	31/12/2021	Overdue	Report is generated. GM Accommodation monitors report and intervenes as necessary. Evidenced in monthly 1 to 1s
20/21	Medium	Section 106 Funds (38.20/21)	We will ensure that guidance is reviewed within Infrastructure Funding statements and the Council will take appropriate action to ensure the level of funds are kept under regular review and the Funding Statements will be reviewed by the Planning committee. This will include monitoring of invoices expected to be sent and those actually sent for the year.	Pippa Hopkins	31/03/2022	Not Due	Monitoring being updated and guidance for Infrastructure Funding Statements (IFS) currently under review by technical officers. IFS postponed due to S114 so not clear yet if March deadline will be achieved for this.