

Appendix 2 – Update on Priority 1 and 2 Audit Recommendations at 31st January 2022

Audit Report	Recommendation/Agreed Action	Priority Scoring	Responsible Officer	Target Date	Progress	Progress RAG Status
Procurement (26/10/20)	We recommend that the Strategic Procurement Specialist finalises the draft Procurement Strategy as per the Finance and Procurement team's Operational Plan, to ensure the council can be held accountable for the Strategy's adoption and progression. The progress of implementing the Procurement Strategy, together with the adaptation of the CPRs, should continue to be closely monitored by the Assistant Director Finance, to ensure its timely progression in accordance with agreed implementation timeframes.	2	Strategic Procurement Specialist AD for Finance/S151 Officer	Revised target 31/7/21 (previous 31/1/21)	Procurement Strategy: COMPLETE A new Procurement Strategy approved by Executive Committee in March 2021. Contract Procedure Rules: COMPLETE PENDING FORMAL GOVERNANCE APPROVAL – Approval in progress. Updated CPRs agreed by S151 Officer in July 2021. Formal approval by Council now being incorporated into proposed wider constitution updates report to AG Committee (Dec 2021) and Full Council (Feb 2022). Revised CPRs went to Executive for approval w/c 07/02/2022 - COMPLETE	Completed
Health & Safety (2/8/21)	In the short term we will request that an existing Portfolio Holder accepts the responsibility of championing health and safety. In the medium to long term we will look into health and safety being a specific responsibility of Portfolio Holder. We will endeavour to provide an overview of the Health and Safety Management System to Members to enable them to understand the health and safety risks within the organisation and help them to act in their capacity as critical friends. This may be done by video that can be reviewed remotely. We will also provide a quarterly update to Members on the Health and Safety work carried out to keep everyone safe, including performance against key targets set.	2	Health and Safety Specialist	31/8/21	Cllr Ross Henley now identified as H & S sponsor, H & S Report and Improvement Plan communicated to Audit & Governance Committee on 13/12/2021. New H & S Committee structure now in place and functioning. New comms campaign currently being prepared by Cllr Ross/Andrew Pritchard/Kate Lusty to continue to raise the visibility of H & S and to attract new employee representative to the Tier 2 group (Consultative & Reporting). Directorate scorecards have been created and are currently being pulled into a Power BI solution. Work continues (90% complete) on developing a bespoke H & S Induction/refresher for members and will be delivered by 31/03.	In Progress
Health & Safety (2/8/21)	Risk Management Scoping Sessions have been delayed by a Health and Safety Partner leaving. They should now be completed by the end of July 2021. We are continuing with recruitment to fill the vacant post.	2	Health and Safety Specialist	31/8/21	New Tier 3 (Directorate Groups) meet monthly and risk management (progress on action plan) is a standing agenda item. AD's are now aware of their Directorates risk management position and are actively involved in delivering the actions.	In Progress
Health & Safety (2/8/21)	We will investigate the potential of iTrent to record the Training Needs Analysis, Learning and Development Records, develop training plans and produce detailed analysis on the training delivered.	2	Health and Safety Specialist	31/8/21	HR/PEOPLE Team are currently undergoing a review of all 'Must Have' Compliancy training and notifying Task Managers when refreshers are due. As part of this exercise, if any training has been identified as lapsed, the H & S Team will issue a RED/YELLOW Safety Notice to either the team or individual until the training has been delivered.	In Progress

There are a further **9** actions listed below where the due date is further ahead and detailed updates will be reported nearer the time.

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Housing Compliance Governance & Reporting (2020/21)	The Compliance Manager has appointed specialist Contractors to expedite the programme of property inspections for water safety. They expect to have completed this by March 2022.	2	Compliance Manager	31/03/2022	In Progress
Data Centre (2021/22)	To support ICT management oversight of resilience testing, it was agreed that a formal program would be introduced to detail the periodic tests undertaken and results recorded. The frequency of these tests would be determined by management according to the risk arising. These tests would be designed to ensure that all resilient equipment was able to function as expected in the event of a recovery or continuity event arising.	2	Head of ICT	31/03/2022	In Progress
Data Centre (2021/22)	It was agreed to formally document emergency procedures relating to the data centres and that training would be provided to the appropriate staff according to their roles and responsibilities. This would support the Council's compliance with Health and Safety legislation	2	Head of ICT	28/02/2022	In Progress
Data Centre (2021/22)	It was agreed that an examination of the PDC's UPS would be undertaken to confirm that load balancing was in place, and additionally to replace the SDC UPS. The Head of ICT will liaise with Facilities Management to ensure these actions are completed	2	Head of ICT	31/03/2022	In Progress
Data Centre (2021/22)	To improve physical security at the Council's data centre facilities it was agreed to: a) Document the process required to gain entry to the data centres along with details of those that would be required to authorise access. This process could be documented as a distinct policy or absorbed by existing Information Security Policies used by the Council. b) Review and reduce where practicable the number of cards that allow access to the data centres.	2	Head of ICT	28/02/2022	In Progress
Risk Management (2021/22)	We will ensure that services will identify and document key risks. We will look to align this with the Unitary project.	2	Business Intelligence & Performance Manager	31/03/2022	In Progress
Risk Management (2021/22)	We will feed the finding (the need for Service level Risk Registers, better analysis of Risk data and strengthened independent risk management) to the Unitary Project Management Team for consideration as part of the Unitary process.	2	Assistant Director - Customer	31/03/2022	In Progress
GDPR (2021/22)	A final sweep of the paper data held will be completed by the end of January, after which a discussion with Somerset CC to understand their storage system will be held. This is to establish whether paper data that needs to be retained can be incorporated into their storage facility. The overall review of paper data held, and the storage requirements will be completed thereafter.	2	Records Officer	31/12/2022	In Progress
GDPR (2021/22)	The existing Complaints and FOI reporting system will be updated to include an overview of requests received under GDPR, such as SARs, breaches and amendment requests for onward distribution to senior managers.	2	Customer Service Manager	31/03/2022	In Progress