

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

Audit Report	Recommendation/Agreed Action	Priority Scoring	Responsible Officer	Target Date	Progress	RAG Status
Health & Safety	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	Specialist – Health and Safety	31/8/22	Risk scoping exercises have been completed and Risk Assessments Action Plans have been produced for each Directorate. Health and Safety Business Partners consult with and advise each Directorate on their risk assessments and review the Risk Assessments Action Plans to identify additional risk mitigation requirements. A Risk Assessment Statistic spreadsheet is also maintained to provide an overview of completed and outstanding risk assessment for each department within each Directorate. The action plans are actively monitored through each Tier 2 and 3 Sub-committee meeting and feed through to the Consolidated Action Plan. There is now a health and safety page on SharePoint for all staff to access, which contains risk profiling information. An audit framework has been implemented, with reporting to Audit and Governance Committee including information on H&S performance/KPI data overview, and an update/overview of the H&S improvement programme progress.	COMPLETED
Purchasing Cards	The policy and guidance are being reviewed and updated. This will include tighter rules including usage to be limited to named cardholder only. Training and guidance will be provided to all cardholders as part of a card scheme 're-launch'. [Note: Card holders will only be allowed to receive / hold cards with confirmed acceptance and understanding of policy and guidance.	2	Corporate Finance Manager	31/8/22	New Policy and Guidelines and agreed next steps including relaunch with training approved at SMT 31/08/22. This will now be promptly rolled out. Action can be closed with roll out now in train.	COMPLETED
Purchasing Cards	Process to manage registration of card and policy acceptance to be reviewed and implemented. Recent agreement with bank that opportunity to be taken to replace all cards with new Mastercard debit cards; this will ensure cards will only be provided following declaration of acceptance by prospective card holder.	2	Corporate Finance Manager	31/8/22	New cardholder declaration form approved by SMT with new Policy and Guidelines on 31/08/2022. Approach to implement new cards clarified with the bank. Action can be closed with roll out now in train.	COMPLETED
Purchasing Cards	The policy and guidance are being reviewed and updated. This will tighten rules and clarify that usage shall be limited to the named cardholder only, with misuse subject to card blocking and/ or disciplinary action. In meantime, cardholders will be reminded they are responsible for all transactions on their cards; and requested to cease sharing details or allowing others to use their card pending the policy review that is underway. Departments will be required to nominate a co-ordinating officer who may make on-line purchases on behalf of colleagues so that card details are not passed to other officers; those transactions will be verified by originating officers.	1	Corporate Finance Manager	31/8/22	Actions reinforced through new Policy and Guidelines approved by SMT 31/08/2022. It is clear that sharing of card details is prohibited. Reminders not to share details issued to cardholders in April 2022. Action can be closed.	COMPLETED

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Purchasing Cards	Process to be reviewed to include confirmation of card administrator/ co-ordinator within cardholders' service areas prior to cards being issued. To ensure independent checks are in place, this may either require card holders to administer their transactions with a nominated second officer verifying, or a nominated administrator administering all department transactions (not same as cardholder). New guidance to include requirement for cardholder to identify budget and coding in advance of purchase, or in timely manner post purchase when used under urgency, and good practice for maintaining logs and coding after each transaction.	2	Systems and Project Accountant	31/8/22	New Policy and Guidelines approved by SMT 31/08/2022, includes details of process and controls that will mitigate the issues highlighted. Actions therefore completed. Action can be closed with roll out now in train.	COMPLETED
Material Supplies Management	Management should restructure and reallocate responsibilities so that only skilled team leaders are approving orders and payments, and this should include the reintroduction of separation of duties in the process.	2	Assistant Director – Housing Property	30/11/22	A process to ensure separation of duties for purchase, goods receipt and invoice payment has been implemented.	COMPLETED
Material Supplies Management	Management should ensure that suppliers only fulfil orders that are supported by an approved requisition, in advance of supply.	2	Assistant Director – Housing Property	30/11/22	Suppliers have been advised that they may only fulfil orders that are supported by an approved requisition, in advance of supply, to ensure payment can be made.	COMPLETED

There are a further 5 actions listed below where the due date is further ahead and detailed updates will be reported nearer the time.

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GDPR	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	31/12/22	In Progress
Housing Rents	The Housing Service has an established process to maximise uptake of capital works by tenants. This includes major contracts including specifications for tenant liaison as part of the implementation by contractors. This tenant liaison will include attempts at written and phone contact to persuade the tenant to participate. Where this is unsuccessful, the Tenancy Management team will also try and advocate the case to the tenant to allow access to undertake the works. We will investigate the option to bring in a bespoke Resident Liaison Officer into the structure, if this is affordable, to improve uptake of major works – particularly for tenants who are vulnerable and anxious about disruption.	2	AD (Housing Property) & AD (Housing & Communities)	28/02/23	In Progress
Material Supplies Management	Management should ensure a physical count of all stock levels is performed on an annual basis to ensure that records are bought up to date.	1	Assistant Director – Housing Property	30/04/23	In Progress
Material Supplies Management	Management should introduce a process for vans to be stocked with basic supplies, which are recorded on a van inventory and that it is maintained by operatives, with any surplus stock recorded.	2	Assistant Director – Housing Property	30/11/22	In Progress
SWT Regeneration Projects Governance	To introduce a risk register for the regeneration programme and ensure all new and ongoing projects have a risk register in place managed by the Council. To ensure a requirement to produce and maintain a risk register is included in the PMO How To documentation.	2	Programme Manager - Regeneration	31/3/23	In Progress