

Appendix 2 – Update on Priority 1 and 2 Audit Recommendations at 31st January 2023

Audit Report	Recommendation/Agreed Action	Priority Scoring	Responsible Officer	Target Date	Progress	RAG Status
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	<p>Site updates:</p> <p>Undercroft - discussing quicker process for on-boarding boxes followed by contents into SCC system. Meeting 30th November.</p> <p>West Somerset House & Roughmoor - to be completed after Undercroft.</p> <p>Wellington Depot - SCC site visit completed and site mapped out and suitability audit complete. Complete Undercroft before starting this site.</p> <p>Flook House - records are still active, no requirement to add to the Archive Records system. Work to be done to reorganise and stabilise the store.</p> <p>Original audit action complete.</p>	COMPLETED
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	30/4/23	A full stock check has been carried out where a number of discrepancies were noted between the stock levels that were expected since the last review and the actual levels found. As a result of this, a report was produced which summarised the discrepancies. The report was approved by the Director of Housing and Communities and was shared with the S151 Officer and the Management Accounting and Reporting Lead. A Stock Taking Implementation Plan has been implemented which set out a programme of checks that are to be undertaken in addition to the annual stock check. A process has been put in place for issuing materials for out of hours works.	COMPLETED
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	Risk Register in place. All project and programme key risks managed in one place. A link or the register itself can be provided if required.	COMPLETED

There are a further 4 actions listed below where the due date is further ahead and detailed updates will be reported nearer the time.

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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 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	31/03/2023	In Progress
Income Collection - Deane helpline	Contracts to be drawn up for all corporate customers.	2	Customer Service Lead	31/03/2023	In Progress
SWT Records Management	Actions in these areas are scheduled to be included as part of the LGR Information Governance Workstream.	2	Records Manager (Somerset Council)	31/12/2023	In Progress