

External Audit Scope Housing Compliance

October 2022

South Kesteven District Council self-referred to the Regulator of Social Housing regarding a breach of the Home Standard in 2021.

Since that point in time we have been working towards a compliant position and require an external audit to be undertaken on our compliance related activities to present to the Regulator to enable the removal of the Regulatory Notice.

Objectives and Scope of the review:

To provide assurance on the data integrity, procedures and controls established to ensure that all of the landlord mandatory and good practice health and safety compliance functions are operating as intended and that this is sufficient to meet the Regulator of Social Housing's regulatory standards and there is a clear direction of travel to excellence.

The audit will examine and evaluate the procedures and controls established by management, to include: -

Governance structures – Suitable governance structures are in place to scrutinise statutory compliance, ensuring management reporting is received and reviewed on a regular basis, and to a sufficient depth to understand the state of compliance. Where any performance metrics/KPIs/reported data are insufficient, these are interrogated, and action plans put in place where necessary.

Policies and procedures – An up to date, and accurate set of policies and procedures are in place to ensure that the rolling programme of health and safety compliance checks is completed as planned.

Completion and recording of health and safety compliance checks – To provide assurance on the data integrity of the rolling programme of inspections for all six health and safety compliance areas is fully embedded and that these inspections are completed in accordance with the improvement plan, and documented policies and procedures. The scope is to also include compliance with the Smoke and Carbon Monoxide Alarm (Amendment) Regulations 2022. The outcomes are fully recorded on the centralised database and are the basis of the KPIs and management reporting with documentation being available to evidence completion and any remedial actions identified.

Remedial actions – To provide assurance on the data integrity of any remedial actions identified by the rolling programme of inspections ensuring they are risk assessed in accordance with documented policies and procedures. We will undertake detailed sample testing to confirm these are recorded on the centralised database, followed up on, completed to the required standard to ensure these do not become recurring issues, and in accordance with documented and regulatory timeframes.

<p>Contractor management – Contractors are in place to undertake completion of the health and safety compliance checks and remedial actions. Contract monitoring is completed and reported to senior management, including key KPIs. Where statutory timescales are not met, the contractor is required to act immediately, and any necessary action is taken through the contract.</p> <p>Management reporting – Performance metrics/KPIs have been established that are regularly and accurately reported and followed up to document the performance of the housing health and safety compliance checks programme. Where identified performance deficits are escalated in line with the policies and procedures. Testing will seek to confirm the accuracy of the KPI's being reported.</p>			
<p>Timescale</p> <p>The proposed start date for the audit is the 1st of December 2022.</p>			
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Scope agreed with:			
Auditor: TBC		Date appointed:	