

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 1 2017/18

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Housing Benefit & Council Tax Reduction – 30 June 2017		
Standards of documentation supporting the RBV process should be clarified and relevant staff instructed to observe them.	<p><i>Benefits & Fraud Manager:</i></p> <p>It is not a requirement to retain CIS checks as the information should be capable of being retrieved at any point from CIS. However, an issue was identified in respect of tax credit checks by external audit and these are now copied to the claim as std practice. Staff will be reminded of the need to complete the RBV evidence check sheet and we will ensure that this is incorporated in to the accuracy checking regime.</p> <p>PID: 5 July 2017.</p>	<p>Recommendation implemented 5 July 2017.</p> <p>Further advice was sought from DWP in respect of the issue identified by external audit, DWP accepted that no further testing was required and there was no effect to subsidy. However as a precaution all tax credit checks undertaken are copied to the claim as standard practice. In addition, accuracy checks include checking completion of RBV evidence check sheets.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Training – 30 June 2017		
HR should request SMT to remind Heads of Service and senior managers of the role of the PDP in the appraisal process and the importance of providing them with completed copies.	<p><i>HR Manager:</i></p> <p>Each year emails are sent to SMTplus regularly between May to July to update them on the numbers of PDPs received and asking them to remind their managers to forward these to HR Training. We also remind managers to send in blank PDP's where no development needs are identified. Managers have until end July to send in the PDP's which is a month after Appraisals should be completed.</p> <p>PID: Not applicable.</p>	Recommendation implemented. No further response required.
The Procurement Manager should be consulted on the application of the Code of Practice.	<p><i>HR Manager:</i></p> <p>The council, along with 31 other local authorities, belongs to the West Midlands Employers Organisation, a not-for-profit organisation, which, amongst other things, offers services to support individual and organisational performance improvement. They source training using their own procurement rules and then offer it to members at a discounted rate. This satisfies the requirement of the Code of Procurement Practice to obtain value for money.</p> <p>PID: Not applicable.</p>	Recommendation implemented. No further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Lone Worker Arrangements – 30 June 2017		
The Lone Worker policy should be publicised to all staff.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with HR:</i></p> <p>Policy to be reviewed to ensure it is fit for purpose and made available. PID: Sept 2017</p> <p>To deliver to all staff through Meta Compliance. To be added to work programme to ensure delivery. PID: To follow the policy review</p>	<p>The final draft of the lone worker policy is to be signed off in April. This will be rolled out via meta compliance.</p> <p>Service areas have undertaken work to review and raise awareness of lone worker activities since the audit.</p>
A review should be undertaken to identify other lone working system to ascertain whether they are better suited to the needs of the Council with trials being performed as necessary.	<p><i>Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator:</i></p> <p>Review the current pros and cons of the systems in place (formal and informal), review the needs of individual service/teams and evaluate the market for products which fit the needs of the organisation. PID: Jan 2018</p>	The review of the current and market available products continues in order to identify suitable products.

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Formal instructions should be drawn up to advise staff when the lone worker system should be used. These should then be publicised to relevant staff.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with HR:</i></p> <p>Instructions to be established and made available.</p> <p>PID: Current arrangements – September 2017 / New arrangements – January 2018</p>	Existing procedures have been clarified in each service area. The new lone worker policy updates and formalise many of the informal service area procedures.
Staff within each section should be nominated to contact staff that have not returned to the office as expected.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with HR:</i></p> <p>Staff will be nominated in each section of the organisation to contact staff who have not returned as expected.</p> <p>PID: August 2017</p>	This has been completed in each service area.

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Staff should be advised of the need to keep their details up-to-date on self-serve.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with HR:</i></p> <p>To investigate how self-serve can provide this information in a suitable/timely manner. To investigate who requires what permission in order for this to occur.</p> <p>I.C.E lists to be maintained within service areas to ensure staff access to I.C.E details.</p> <p>Annual/Bi annual big button message to prompt staff to update their personal details and emergency contact details.</p> <p>PID: August 2017</p>	<p>It was determined that the self-serve system does not provide/display the information required. Therefore a decision was taken by SMT to use ICE lists (in case of emergency). These are held in each service area.</p> <p>A big button message has been pushed out to encourage staff to update details on self-serve.</p>
A consistent format should be agreed for the use of any 'informal' systems.	<p><i>Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator:</i></p> <p>As part of the actions of 4.3.12</p> <p>PID: January 2018</p>	<p>This is contained within the new draft policy.</p>

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Staff on the Transforming Our Workplace team should consider what (informal) systems should be employed to track lone workers once staff move to the new HQ.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with TOW:</i></p> <p>To be reviewed following outcome of 4.3.12.</p> <p>PID: June 2018</p>	To be reviewed with the change partner in due course
The lone worker training should be promoted to those that undertake lone working.	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>In partnership with HR</i></p> <p><i>All Managers / Supervisors:</i></p> <p>Lone worker courses provided through HR.</p> <p>All officers requiring this training to be identified and provided the opportunity to attend.</p> <p>New course dates to be published once known.</p> <p>PID: October 2017 & ongoing</p>	Lone worker training has been provided and is included in the learning and development programme for 2018/19. Also included is conflict management, IOSH working safety and IOSH managing safety.

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<p>Managers should review AssessNet to ascertain whether there are relevant assessments for their team and undertake assessments as necessary.</p>	<p><i>Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator</i></p> <p><i>All Managers / Supervisors:</i></p> <p>Risk assessments review to be undertaken to ensure relevant RA's include lone working.</p> <p>To deliver IOSH training for supervisors to improve RA skills.</p> <p>PID: November 2017</p>	<p>Audits to be undertaken following the publication of the Lone worker policy to ensure compliance with the new policy and confirm risk assessment reviews have taken place.</p>