

Appendix 4

Current Implementation Position for Recommendations Due for Completion by End of Quarter 3 2021/22
(including those not previously followed up under the previous process)

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Responding to Complaints & FOI Requests				
The effectiveness of the complaints allocation rota and the process of allocating an officer should be reviewed.	Officers to be notified by email they are next on the list (including details of the exemption process). Then telephoned as soon as it is their turn.	October 2021	Not applicable.	This has now been implemented.
	JMT to discuss the challenges faced on workload and the importance of responding to complaints in a timely manner keeping complainants informed with their officers who undertake complaints investigations.	November 2021	Not applicable.	JMT noted the much improved response times now that a new monitoring system was in place. No further action was considered necessary at this point but Heads of Service would monitor the situation closely.
	The Chief Executive to personally write to all Stage 2 investigators on the importance of their work and supporting that if stage 2 complaint comes in for them he knows other work will have to wait.	November 2021	Yes – revised to 24 December 2021	It will be done by the Christmas break. The work required on the report for the proposed merger has had to take priority over a range of other tasks.
		24 December 2021	Not applicable.	The Chief Executive has written to JMT and all investigating officers.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The process of allocating complaints should be reviewed to ensure the responder has received the email and is able to complete the investigation.	Officers to be notified by email they are next on the list (including details of the exemption process). Then telephoned as soon as it is their turn.	October 2021	Not applicable.	This has now been implemented.
The process of the management of the timeliness of complaints should be reviewed to ensure that they are acknowledged and resolved within the Councils specified timeframes.	JMT to discuss the challenges faced on workload and the importance of responding to complaints in a timely manner keeping complainants informed.	November 2021	Not applicable.	JMT noted the much improved response times now that a new monitoring system was in place. No further action was considered necessary at this point but Heads of Service would monitor the situation closely.
Service area managers should be aware of complaints within their area and manage them effectively to reduce the number of late responses.	Ensuring that complaints that identify repair issues are logged promptly on receipt of the complaint to be actioned / investigated.	When Received (Follow up at the end of the quarter)	Not applicable.	The procedure in place to be reviewed and a feedback loop to be included to ensure the service managers are aware. In addition education of the process to raise awareness amongst staff and managers.
Statutory Monitoring Functions				
Ensure that the website links to the appropriate set of fees.	Environmental Protection Team Leader to arrange that this is set up with the Website Service Manager.	30 November 2021	Not applicable.	The website has now been amended accordingly.

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Test and Trace				
The Council should establish a communications strategy to share the details of the Test and Trace support scheme as widely as possible.	Agreed.	19 November 2021		No response received despite several prompts.
All data relating to applications should be saved in the Test and Trace database.	I do not have the resource to go back and save all the information in the database. (I have contacted ICT to check that the same level of security exists on all servers where T and T information is held.) However, a team member has attended a surgery with the DHSC and, coincidentally, this is a question that the senior policy advisor for the test and trace scheme, raised with his managers. His view is the same as ours i.e. that we should be able to delete the evidence once the claims have been audited and just retain the applications. The Senior Policy Advisor will update us as soon as he receives a response. I will therefore be able to update this recommendation to reflect that - hopefully by the end of the calendar year.	December 2021		No response received despite several prompts.

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Utilities Management				
The budgets should be reviewed frequently to monitor variances and to allow for fluctuation in utility prices.	Should be reviewed on an ongoing basis at Finance budget meetings.	Completed	No further response sought.	
Housing Repairs and Maintenance				
The Council's finances could be adversely impacted due to funding unnecessary or sub-standard repair work.	Agreed – post is currently vacant but seeking to recruit in near future.	December 2021	Yes – revised to 30 April 2022	Data Coordinator post has been recruited to. They start on 14/02/2022. The target date has been extended to allow them to undertake the task.
The Council could be held in breach of legislation arising from failure to repair, sub-standard work or unsafe practices.	Records available of jobs closed down as part of COVID restrictions and these will be cross checked against new jobs raised.	December 2021	Yes – revised to 30 April 2022	Letters to be sent in batches to those residents where new jobs have not been raised. To be completed by end of April 2022
The Council could be held in breach of legislation arising from failure to repair, sub-standard work or unsafe practices.	Review of those individuals and services that have access to ActiveH and change access as appropriate.	December 2021	Not applicable.	To mitigate this risk we have implemented the CRM module within ActiveH which enables notifications and tasking to be generated and sent to other users across the platform.

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Housing Benefit and Council Tax Reductions (Discretionary Housing Payments)				
Sample testing of changes to universal credit should be undertaken to ascertain if the DHPs need to be amended.	The Benefits and Customer Services Manager will request that the Benefits Team Leaders undertake a percentage check for accuracy. The results should be reviewed after three months to determine whether more in-depth checking is required.	Three months checking takes until December.	No response received despite several prompts.	
Car Parking				
Evidence of staff training should be collected in advance of the new Learning Management System being implemented so that managers can confirm all staff have the requisite training and qualifications.	Training to be recorded appropriately.	1 December 2021	Not applicable.	The new Learning and Development Manager has been launched since 10/01/22 and should enable individual employees to input information on their own training record.
Information Governance				
A review of relevant contracts should be performed where contractor staff have access to Riverside House or other relevant Council properties to ensure that appropriate reference is made to data security.	Contract managers will be asked to review their contracts to ensure that the need for data security has been appropriately considered in each case.	Initial: September 2021 Revised (Q2): 31 December 2021	Yes – further revised to 28 February 2022	Other priorities have meant that the exercise has not achieved the initial target date for all Services and a revised completion date of 28/02/22 has been agreed.