

## 1. Summary

Below is a summary of all identified actions/recommendations and the progress made across these. Next steps or actions due to be completed shortly have also been noted. Where previous audits have been aligned to the Ad Hoc Scrutiny recommendation, this has been noted within the table – including the Robust Management System Review (RMS) and Mazars (MA).

## 2. Overview of Progress

Please note, a RAG (red, amber, green) rating has been added to the 'Current Position' column. This has been added to show likelihood of the action achieving completion (red – at risk, amber – potential for delay, green – on track).

Ad Hoc Scrutiny Recommendation	Current Position (and RAG)	Progress Updates (Dec 22 – July 23)	Actions Outstanding/Next Steps
<p><i>1. The acquisition of suitable IT systems should be a top priority to ensure that the data collected is of good quality and can provide the necessary assurance in respect of compliance.</i></p>	<p>In progress</p> <p>RMS - R9 &amp; R10 (91% complete)</p> <p>RMS - R31 (85% complete)</p> <p>(Amber due to the potential of slippage across IT system implementations)</p>	<p>H&amp;N is currently replacing its housing management system with a planned implementation date of December 2023 – February 2024. Upon completion, scoping definition will begin across Assets and Repairs for user requirements for system replacements across both areas. Capital expenditure has been allocated for both systems. This is reliant on additional resource being recruited within the Improvement &amp; Assurance Team (Business Analyst role to be recruited to). Repairs system scoping will begin in October 2022, as part of the planned repairs process redesign. Repairs &amp; Assets systems are planned for implementation within 2-3 years following the implementation of Cx (housing management system).</p>	<p>Repairs replacement IT system user requirements scoping October 2023. This will also incorporate requirements from Assets aligned to repairs.</p> <p>Define options for an IT system dedicated to compliance (RMS actions R9 &amp; R10). C365 currently being explored.</p> <p>Implement asset on/off protocols (RMS action R31). Implement controls to ensure that the status of properties where H&amp;N have management responsibility are regularly checked with the Housing Management System and servicing and inspection programmes fulfil landlord requirements. In particular, the 411 properties from the core list not accounted for in the programmes should be validated.</p>
<p><i>2. The policies for all six compliance areas should be updated, at the earliest opportunity.</i></p>	<p>In progress</p>	<p>H&amp;N recently commissioned Savills to produce Management Plans for fire, lifts and asbestos, with the H&amp;N Assets Team working through plans for water, gas and electric. The</p>	<p>Progress and completion dates as taken from the Savills Management Plans Project Scope.</p> <p><b>Fire</b></p>

	<p>RMS – R3 1. Fire Procedures &amp; workflows (90% complete)</p> <p>Data Validation (Savills) (90% complete)</p> <p>Fire Safety – reviewing assurance requirements between internal and external suppliers (70% complete)</p>	<p>Management plans will be followed by redesigned processes and procedures, and these will be used to strengthen reporting and assurance to the Council. A project has been initiated to oversee progress, with a dedicated Project Manager. The commission has also incorporated a data validation exercise – reviewing data held across compliance and the accuracy/quality of data.</p> <p>(RMS R.3.3) Asbestos ‘as is’ process maps have been collated and BSAB have approved the format for policies and procedures across Building Safety. Asbestos and Water are currently being designed in the new format. Plans in place for auditors to meet with front-line engineers to discuss how to complete electrical paperwork.</p> <p>Quality control processes to be implemented for Lift Management (RMS – R3.2) with sample inspections to be conducted by a third party and quality process maps to be created. Overall assurance and reporting is being reviewed.</p> <p>Fire Safety Management Plans have identified review standards for reporting and accreditation of internal and external contractors. Overall reporting is being reviewed and competencies are also being reviewed within the competency framework.</p>	<p>Management Plan – Complete  Gap Analysis – Complete  Process Redesign – Expected completion October 2023  Process Launch – Expected completion August 2023  New Process Embedded – Expected completion November 2023</p> <p><b>Lifts</b>  Management Plan – Complete  Gap Analysis – Complete  Process Redesign – Expected completion August 2023  Process Launch – Expected completion August 2023  New Process Embedded – Expected completion November 2023</p> <p><b>Asbestos</b>  Management Plan – Complete  Gap Analysis – Expected completion September 2023  Process Redesign – Expected completion October 2023  Process Launch – Expected completion October 2023  New Process Embedded – Expected completion January 2024</p> <p><b>Water</b>  Management Plan – Expected completion July 2023  Gap Analysis – Expected completion July 2023  Process Redesign – Expected completion August 2023  Process Launch – Expected completion September 2023</p>
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<p><i>3. There should be clear delineation between those officers that produce the performance data and the Compliance Team to demonstrate independence and better ensure integrity of data. Consideration should also be given to the addition of sampling of data, by an independent source, to the validation process to add another layer in respect of quality assurance.</i></p>	<p>In progress.</p> <p>Implementation of independent '3 lines of defence' assurance mechanisms (90% complete)</p>	<p>This recommendation also incorporates Mazars action MA1 – Carry out regular reconciliation of communal areas, plus RMS action R11 – cleansing of system information.</p> <p>Internal audit was completed in March 2023 and this issued 'adequate assurance'.</p> <p>Savills have recently been commissioned a data validation exercise which will address most recommendations raised, the results are due shortly. As mentioned above, this will be followed by a 'deep dive' data flow exercise across all 6 areas of Building Safety. Savills have identified properties with communal areas that will require a survey. Further output is due (checks whether reports are present and recorded on the system). A landlord compliance data management plan is also expected from Savills, with data elements then being</p>	<p>Savills Data Validation exercise due to be completed August 2023.</p> <p>Data &amp; Insight data flow mapping exercise due completion September 2023.</p> <p>Staff structures and capabilities in relation to data focused capacity are also being explored within Assets, Building Safety and the Improvement and Assurance Team.</p>

		incorporated into the Management Plans identified above.	
<i>4. The Building Safety Assurance Board should consider using the effective compliance system matrix and should ensure that the policies are regularly reviewed to ensure that they remain fit for purpose.</i>	Completed	Compliance system matrix was presented to BSAB and this was adopted.	Completed.
<i>5. That consideration be given to the need for wider political oversight of the work being undertaken by Housing Advisory Board.</i>	Completed	<p>The H&amp;N governance arrangements have been reviewed by David Tolson Partnerships. The review recommended the establishment of a H&amp;N Improvement Board, with this board including a political constituent to strengthen the political oversight of the service.</p> <p>Board has been established and a Chair recruited. The Board has its first meeting in June 2023, and now has a regular monthly reporting cycle and assurance activities aligned. The Board recently completed a 'strategy away day' in July 2023.</p>	Completed.
<i>6. That progress updates be provided to the Cabinet on a regular basis whilst the current compliance recovery programme is ongoing.</i>	In progress (on-going action).	Progress report provided to Cabinet (this report) in October 2023 (report written in August 2023). Regular progress updates continue to be provided to BSAB and the H&N Improvement Board (monthly) which has councillor representation and feeds into Cabinet.	Ongoing action.
<i>7. Whilst it is recognised that there is a balance to be achieved between the transparency required for</i>	In progress (on-going action).	There is currently an activity ongoing focused on enabling wider Councillor visibility on progress and actions, with suggestions this would be	In progress (ongoing action)

<p><i>scrutiny and the maintenance of confidentiality in certain circumstances, consideration be given to the wider visibility of the work of both the Building Safety Assurance Board and the Housing Advisory Board.</i></p>		<p>more appropriate for Ward Members as opposed to senior leaders in the Groups.</p> <p>Further consideration to be given to how visibility is most appropriately delivered. Options to consider:</p> <p>Existing Cllr Newsletter; Specific periodic briefings on progress, whether reporting to the Cabinet suffices.</p>	
<p><i>8. That consideration be given to whether the Authority currently has sufficient project management and risk management expertise for the scale of the recovery programme and to a more systematic and detailed assessment of risk likelihood.</i></p>	<p>In progress (50% complete)</p> <p>(Amber due to uncertainty within recruitment in current financial climate)</p>	<p>H&amp;N have reviewed the resource across Building Safety in relation to risk, project management and operational/strategic oversight.</p> <p>A risk manager (Assurance Manager) was seconded from the service and this secondment has recently ended. The position is currently out to permanent recruitment with the role expected to be appointed in September/October 2023.</p> <p>A Service Manager for Programme and Performance in Building Safety was successfully recruited and has been in post since 3 April. The first round of recruitment for a General Manager position (Quality and Compliance) was unsuccessful. A second round has been undertaken and an offer made to an internal candidate, pre-appointment checks are now being made.</p> <p>A Project Manager has been recruited within the Improvement and Assurance Team, with this resource primarily focused on the Management Plans and Voids Redesign.</p>	<p>Assurance (risk) Manager recruitment – expected completion October 2023.</p> <p>General Manager recruitment – at pre-employment checks stage.</p> <p>PMO Development – expected completion September 2023, with any recruitment expected in September/October 2023.</p> <p>Improvement &amp; Assurance Team restructure (including project, change and data resource) – expected completion – Spring 2024.</p>

		<p>Further exploration is currently underway to design and implement a PMO within Assets – implementing a project/programme approach to capital delivery plans. This will also include cyclical programmes of work aligned to Building Safety. It is likely that additional recruitment of project-focused roles will be required.</p> <p>The resource required to strengthen data and performance is also being reviewed and will potentially include a restructure of roles already in place within H&amp;N. This is being reviewed in collaboration with the Corporate Data &amp; Insight Team.</p>	
<p><i>9. That the Authority should ensure it remains cognisant of the ongoing risks to work programmes associated with the pressure on supply chains and challenges in recruitment and retention and regularly reviews its priorities accordingly.</i></p>	<p>In progress (on-going action)</p>	<p>This is aligned to RMS Action - Evaluate training, qualifications and accreditations for Competent Persons and establish controls.</p> <p>The H&amp;N Assets and Building Safety teams are regularly reviewing supply chain challenges and adjusting programmes accordingly. They are also developing an approach to engage contractors in a regular forum where pipelines and the council's approach can be shared.</p> <p>The most recent rounds of recruitment have generally yielded higher numbers of applications and suitable applicants. The current recruitment activity will be reviewed to look at success rates and quality of applicants.</p> <p>Officers are aware of the pressures on supply chains and are monitoring these on a project-by-project basis, as well as across the wider sector. The implementation of a PMO and governance structure for capital projects will provide oversight of the pipeline of procurement and</p>	<p>Ongoing</p> <p>The Capital Programme Board will commence meeting in September 2023. The Board will continually review the procurement strategy to ensure it is fit for purpose, as pipelines and scheme details are developed.</p>

		<p>delivery activity and provide strategic management of this. A procurement strategy is being developed and the Capital Programme Board will have representation from Procurement, Finance and Risk to ensure that delivery of this can be achieved.</p>	
<p><i>10. Mandatory training in respect of implementing and maintaining a robust compliance regime and the responsibilities arising from this, for all Cabinet Members, other Councillors, and existing and new members of staff within the relevant disciplines, refreshed at regular intervals. Appropriate training for members of the Tenants Advisory &amp; Grants Panel and the Housing Advisory Board.</i></p>	<p>In progress (50% complete)</p>	<p>New and existing staff are required to undertake a range of compulsory building safety and health and safety compliance training dependant on their job role. Training is delivered to statutory requirements and at recommended intervals.</p> <p>A wider review of competencies required across the whole of Homes and Neighbourhoods to deliver the building safety agenda and ensure compliance has started and is looking first at fire safety requirements. The Savills' training video has been uploaded to MyLearning and Councillors are encouraged to view this.</p> <p>An overarching skills and competencies framework has been developed to manage activity across three levels (strategic, operational and delivery). Once agreed, the framework will be used to develop assessments for each role in the building safety management chain. All roles have been assigned a set of overarching requirements for specific competencies required.</p>	<p>Skills and competencies framework and organisational structure of roles and responsibilities is expected to be reviewed in August 2023 by the Head of Service, Service Managers and General Managers. This will be followed by a skills gap analysis.</p> <p>Expected completion – October 2023.</p> <p>Mazars Recommendation – MA2 – Central filing system to be developed for all certifications. This is still required and awaiting completion by the Learning &amp; Organisational Development Team.</p>
<p><i>11. The importance of the pivotal role of Councillors within their communities should be recognised and stronger communication links established to ensure that they are aware of any</i></p>	<p>In progress (on-going action).</p>	<p>H&amp;N recognises the role that ward councillors play in both representing their communities and the council's services of which H&amp;N is a part. Wherever major building safety projects or initiatives are planned H&amp;N will engage with councillors as key community stakeholder and representatives of the Council to ensure a</p>	<p>In progress (on-going).</p>

<p><i>issues in their ward, in particular any works proposed, scheduled or ongoing to any Council-owned social housing. Consideration should also be given to the introduction of pre-commencement briefings, for significant projects of work, involving ward councillors, tenants, contractors and housing officers.</i></p>		<p>constructive and active communication is established in a timely manner.</p> <p>Ward Councillors continue to receive copies of the newsletters distributed to all residents living in high rise buildings.</p>	
<p><i>12.Data in respect of no access properties should be fed into the reporting structure to ensure visibility. A weekly report focusing on overdue cases and how long they have been outstanding will aid in workload management.</i></p>	<p>Action complete. Monitoring in line with recommendation is on-going action</p>	<p>A fully detailed report on no-access properties across all building safety compliance workstreams is now part of the BSAB composite report, this was put into place from April 2023. Further work is required to ensure consistency of reporting across each of the big 6 areas.</p> <p>No-access information for gas and electrical inspections is now provided as an Appendix to the BSAB report. No-access information for fire safety delivery and asbestos removals is being reviewed and reformatted for inclusion.</p>	<p>Monitoring in line with recommendation continues as an ongoing activity.</p>
<p><i>13.Independent audit/assessment should be undertaken to confirm completion of the Mazars and RMS recommendations, and an independent external audit of the compliance framework should be programmed at a regular frequency to ensure that</i></p>	<p>In progress</p> <p>Recommendations from Mazars and RMS (79% completed)</p>	<p>79% of the recommendations made by RMS and Mazars are complete. As previously mentioned, an internal audit into the data validation and compliance reporting framework identified in the RMS consultant's report was completed and 'adequate assurance' provided. Additionally, a data validation has recently been completed by external consultants Savills, with results expected shortly.</p> <p>Many of the outstanding RMS/Mazars actions have also now been incorporated into the Ad</p>	<p>In progress.</p>



<p><i>compliance levels remain high and that current best practice is being followed.</i></p>		<p>Hoc Scrutiny action plan to ensure these remain visible and are included within activities.</p>	
<p><i>14. That a 'Service Level Agreement' be established with the Corporate Landlord and Property Team to ensure clarity on roles and responsibilities and to ensure compliance with the relevant health and safety guidance in respect of lifts.</i></p>	<p>In progress (50% complete)</p>	<p>The service is working with colleagues in Corporate Landlord service and has agreed a set of Service Standards for the delivery of passenger lift servicing and repair.</p> <p>A workshop was completed between H&amp;N and Corporate Landlord on 30 June to review contracts and SLAs and further workshops are taking place regularly. As part of this work, the responsibilities for contract ownership and management are being reviewed and separated out between H&amp;N and Corporate Landlord.</p> <p>The SLAs/KPIs are being tailored to align with the new Management Plans for fire, lifts and asbestos. New SLAs/KPIs will be reported on during the next reporting cycle.</p>	<p>In progress.</p> <p>SLAs/KPIs have now been completed in relation to fire, lifts and asbestos and are due to be reported on in the next reporting cycle.</p> <p>Remaining SLAs/KPIs in relation to water, gas and electric will be incorporated in the Management Plans project.</p> <p>Completion expected – December 2023.</p>
<p><i>15. That the effective communication and engagement with tenants be maintained throughout the ongoing programmes of work.</i></p>	<p>In progress (on-going action).</p>	<p>Communication with tenants is crucial to the effective delivery of our compliance programme along with our wider housing management and maintenance services. A dedicated tenant engagement team has been formed to support our fire remediation programme supported by the wider tenant engagement team.</p> <p>The Fire Safety Resident Engagement Team regularly re-engage with tenants living in blocks (door knocking, leaflet drops and short survey). The aim of this work is to reaffirm residents' understanding of the importance of fire safety doors and their role in enabling the council to remain compliant (along with the opportunity to re-assess the impact of the cost of living,</p>	<p>In progress (ongoing action).</p>

		<p>support available etc). There are currently 17 Fire Safety Champions in place. Champions are residents living in high-risk residential buildings and support staff engagement and reinforce important messages about building safety to all residents. Fire Safety Champions also have a key role in identifying and raising issues of concern to the council to be dealt with.</p>	
<p>16. That updates in respect of the information set out below be submitted for scrutiny by an appropriate governance body</p> <p><i>i. The amended policies, including the full range of Key Performance Indicators and underlying procedural documents at the earliest opportunity.</i></p> <p><i>ii The implementation plan and timescales for the installation of smoke and carbon detectors in all properties, to include confirmation that the Regulator has been/will be informed if the Authority will not be compliant by the time the regulations come into force on 1st October 2022.</i></p> <p><i>iii The detailed programme of works to the low rise buildings.</i></p>	<p>In progress</p>	<p>(i) Updates on the development and implementation of amended plans and policies, supporting processes and KPI performance are reported regularly to the Building Safety Assurance Board, that provides officer oversight of the compliance related programme including potential risks to their delivery and recommendations for remedial action. If the Board has any concerns in relation to any programme it currently escalates these to both the Corporate Health and Safety Oversight Group and the Homes and Neighbourhoods Improvement Board (HNIB). HNIB is now established and receives regular updates on progress and issues.</p> <p>These arrangements feed into both the Cabinet Assurance Board and the Cabinet itself and add additional layers of oversight and assurance.</p> <p>(ii) The Regulator has been informed of non-compliance and accepts there are challenges with no access properties. The Regulator has been informed on progress on the installation of CO detectors and the full programme will be completed by June 2023, aligning with the Gas Servicing</p>	<p>(ii) Installation of CO detectors is almost completed. At time of writing (4<sup>th</sup> August), only five are outstanding and these are due to repeated no-access issues. The team are engaging with tenants who are refusing access and plan are in place to install the remaining CO detectors imminently. This work is expected to be completed before the end of August 2023.</p> <p>(iii) Person Centred Fire Risk Assessments (PCFRAs) for vulnerable residents in high-rise blocks are now complete, with the Fire Service actively involved in this activity. The team is now progressing on to Personal Emergency Evacuation Plans (PEEPs). The activity will prioritise high-rise buildings followed by:</p> <ul style="list-style-type: none"> <li>• Residential Living Schemes</li> <li>• Six-storey blocks</li> <li>• Low rise buildings</li> </ul> <p>These are also being completed with support from the Fire Service and this collaboration is working well.</p>

*iv A review of the Fire Safety Champions.*

regime which allows for future servicing and access route through EPA if required.

- (iii) Packages of known FRA (Fire Risk Assessment) actions for the low-rise blocks are being developed for tender. Tenders are due to be issued in August 2023, with a start on site of April 2024. (RMS recommendation – Undertake a PCFRA for identified vulnerable residents in our high rise blocks to ensure the fire service is fully aware of which residents to prioritise in the event of a rescue).

21 Person Centred Fire Risk Assessments (PCFRAs) were completed during May and June 2023, which included 38 follow up visits. These are predominantly with tenants who hoard and involve on-going relationship building and engagement with tenants through the Fire Safety Engagement Team and Housing Officers. The visits also include support in de-cluttering properties. Housing Officers continue to regularly check in with tenants to ensure any reoccurring concerns are addressed early and to ensure relationships are maintained.

- (iv) There are currently 17 Fire Safety Champions in place. Champions are residents living in high-risk residential buildings and support staff engagement and reinforce important messages about building safety to all residents. Fire Safety Champions also have a key role in identifying and raising issues of concern to the council to be dealt with.

<p><i>17. That the Authority ensures that a robust procurement strategy is in place for the remaining packages of fire safety works</i></p>	<p>In progress (50% complete)</p>	<p>Action is also aligned to RMS action – R3.1</p> <p>A procurement strategy has been developed to deal with fire safety remedial works to high-rise, 6-storey, low-rise and RLS blocks. Development of specifications and requirements is ongoing for long term contracts to deal with future actions as they occur. H&amp;N have reviewed the existing contracts register and are working with Procurement to procure works, services and schemes. The strategy will be managed by the Capital Programme Board going forward.</p> <p>Where fire safety works are in relation to leaseholders, the following activities have been identified as priority:</p> <ul style="list-style-type: none"> <li>• Obtaining gas and electrical inspection certificates for leaseholders in high priority blocks. This is an ongoing process.</li> <li>• Amend the leaseholder agreement to ensure it is the responsibility of the leaseholder to provide these annually (gas) and every 5 years (electric).</li> </ul>	<p>The leaseholder agreement has been amended and in use with new leaseholders since March 2023.</p> <p>The development of processes and procedures relating to gaining assurance of leaseholder compliance is part of the Management Plan work and will be completed concurrently with the timescales set out above.</p>
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