

Appendix 1 – Mid-Year (2023/24) Complaints and Information Governance Activity

1. Complaints/enquiries activity and performance (based on top 10 complaint areas)

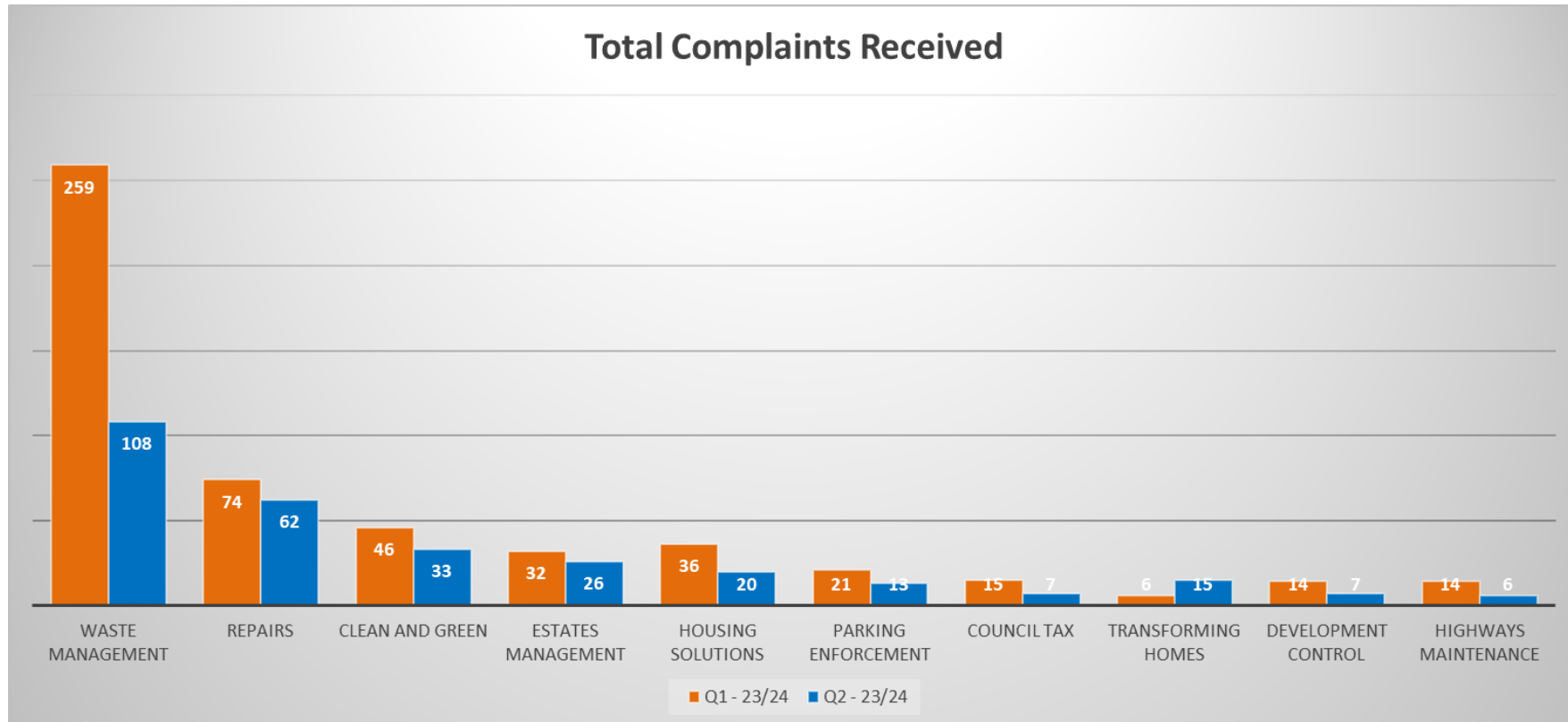
Note – Timeframes are as follows:

- MP and Cllr Enquiry - 10 working days
- Complaint – Timeframes 10 working days (stage 1)

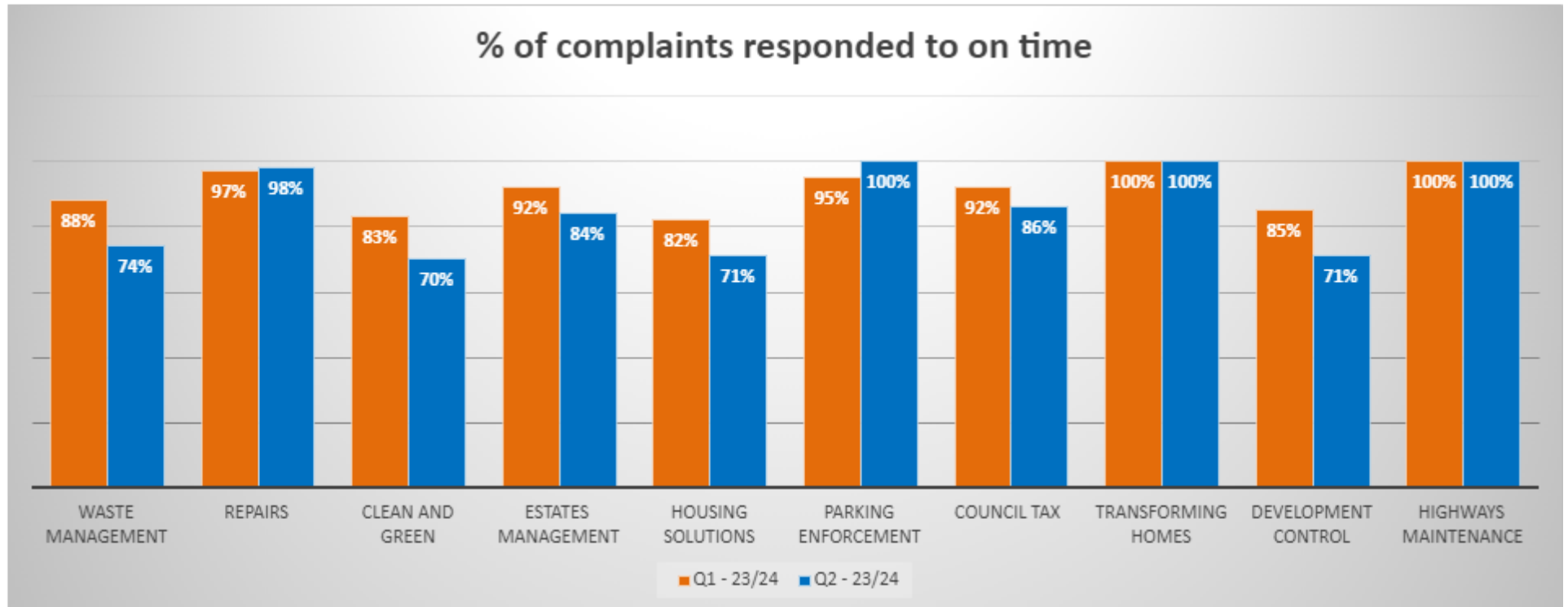
Area	Complaints Received	Closed complaints	% of closed complaints responded within timeframe	Cllr Enquiries Responded to	% of Cllr Enquiries Responded to within timeframe	MP Enquires responded to	% of MP Enquiries Responded to within timeframe	Breakdown of overdue/late cases by issue nature
Waste Management	367	351	82% (289)	204	92% (187)	5	60% (3)	81 Missed deadlines: <ul style="list-style-type: none"> • 62 Complaints • 17 Cllrs • 2 MP
Repairs	136	125	97% (121)	113	98% (111)	3	100% (3)	6 Missed deadlines: <ul style="list-style-type: none"> • 4 Complaints • 2 Cllrs
Clean & Green	79	73	77% (56)	394	92% (364)	6	100% (6)	47 Missed deadlines: <ul style="list-style-type: none"> • 17 Complaints • 30 Cllrs
Estates Management	58	50	86% (43)	159	87% (139)	13	85% (11)	29 Missed deadlines: <ul style="list-style-type: none"> • 7 Complaints • 20 Cllrs • 2 MP
Housing Solutions	56	53	81% (43)	100	89% (89)	33	91% (30)	24 Missed deadlines: <ul style="list-style-type: none"> • 10 Complaints • 11 Cllrs • 3 MP

Parking Enforcement	34	32	97% (31)	83	95% (79)	3	100% (3)	5 Missed deadlines: <ul style="list-style-type: none"> • 1 Complaint • 4 Cllrs
Council Tax	22	22	86% (19)	17	88% (15)	3	100% (3)	5 Missed deadlines: <ul style="list-style-type: none"> • 3 Complaints • 2 Cllrs
Transforming Homes	21	17	100% (17)	16	100% (16)	2	50% (1)	1 Missed deadline: <ul style="list-style-type: none"> • 1 MP
Development Control	21	21	76% (16)	159	91% (144)	8	87% (7)	21 Missed deadlines: <ul style="list-style-type: none"> • 5 Complaints • 15 Cllrs • 1 MP
Highways Maintenance	20	19	100% (19)	207	96% (199)	7	100% (7)	8 Missed deadlines: <ul style="list-style-type: none"> • 8 Cllrs
Totals	1030	1022	85% (867)	2209	92% (2028)	144	86% (124)	
Note – Totals shown are based on all activity therefore over and above the top 10 areas								

The chart below shows complaints received compared with the previous quarter:



The chart below shows complaints performance compared with the previous quarter:



2. Trends based on top 10 areas for complaints/enquiry activity

Area	Cllr Enquiry Trends	Complaint Trends
Waste Management	<ul style="list-style-type: none"> • Reports regarding missed bins for all waste streams • Reports of bins not being returned to the point of collection 	<ul style="list-style-type: none"> • Missed collection of bins – all waste streams • Removal of brown bin collections • Assisted waste collections not being carried out • Bins not returned to the point they were collected from • Lack of collection for side waste • Complaints regarding changes to frequency of food/recycling waste collections
Repairs	<ul style="list-style-type: none"> • Reports of damp & mould in properties • Reports of blown windows to be actioned for repair • Reports in relation to boiler repairs (leaks or water temperature) 	<ul style="list-style-type: none"> • Delays in actioning or completing works to be carried out by Mears • Delays in actioning or completing works to be carried out by Aaron Services
Clean & Green	<ul style="list-style-type: none"> • Requests for grass cutting to address overgrown areas • Reports of overflowing litter bins • Reports regarding Cemeteries not being correctly maintained with regards to weeding • Reports of overgrown trees 	<ul style="list-style-type: none"> • Litter bins overflowing • Grass cuttings not cleared following attendances to cut grass • Complaints regarding a lack of grass cutting and removal of weeds
Estates Management	<ul style="list-style-type: none"> • Reports of fly tips on housing land • Reports of Anti-Social Behaviour 	<ul style="list-style-type: none"> • Concerns regarding caretaking standards
Housing Solutions	<ul style="list-style-type: none"> • Requests for updates on Housing Allocations cases • Requests for support with Homelessness cases • Requests for support with overcrowded properties 	<ul style="list-style-type: none"> • Lack of contact or updates from Staff • Time taken to find a suitable property on the housing allocations list

Parking Enforcement	<ul style="list-style-type: none"> • Reports of parking contraventions • Questions in relation to issued fixed penalty notices 	<ul style="list-style-type: none"> • Concerns regarding the introduction of fees for parking permits • Concerns regarding the parking permit application process and system not being clear
Council Tax	<ul style="list-style-type: none"> • Requests for supporting residents with paying their outstanding council tax debt • Requests for supporting residents with possible council tax reductions 	<ul style="list-style-type: none"> • Delays in responding to queries • Concerns regarding the conduct of members of staff in handling telephone calls
Transforming Homes	<ul style="list-style-type: none"> • Requests for updates in relation to transforming homes works 	<ul style="list-style-type: none"> • Concerns regarding timeframes for transforming homes works to be progressed
Development Control	<ul style="list-style-type: none"> • Reports of potential planning breaches • Requests for updates on enforcement cases • Queries in relation to existing planning applications 	<ul style="list-style-type: none"> • Concerns regarding lack of action taken to address planning concerns • Delays in providing updates and responses to contact • Complaints regarding action taken on enforcement cases
Highways Maintenance	<ul style="list-style-type: none"> • Requests for potholes to be repaired • Reports of overflowing drainage • Reports of faded road markings • Requests for pavement repairs • Reports of missing drain covers 	<ul style="list-style-type: none"> • Concerns regarding state of roads • Delays and lack of updates

3. Upheld complaints and learning/outcomes based on top 10 areas:

Area	Closed Complaint Volumes	% Complaints Upheld	High level Learning and/or outcomes from upheld complaints
Waste Management	351	79% (277)	<ul style="list-style-type: none"> • Regular toolbox talks held to inform crews of the importance of keeping pathways and driveways clear of bins

			<ul style="list-style-type: none"> • Written instructions have been issued to crews due to failures on waste collections, including bins not being collected, failures with assisted collections and/or bins not being returned to the point they were collected from
Repairs	125	48% (60)	<ul style="list-style-type: none"> • Mears informed of the service standards, with regards to ensuring appointments are managed correctly and in a timely manner, to prevent resident dissatisfaction as a result of delays • A boundary check spreadsheet has been implemented, to streamline the process for repairs in relation to progressing fencing works • Mears Supervisors have been informed, that emails received are to be reviewed and responded to in a timely manner and that residents are kept updated in relation to any works • Mears staff have been informed that where works are required following attendance, these are raised and progressed in a timelier manner ensuring that residents are also kept updated where required. • Aaron services engineers have been informed of the correct process for reporting follow on works. This was also discussed in a toolbox talk
Clean and Green	73	49% (36)	<ul style="list-style-type: none"> • It has been made clear to the team responsible for grass cutting, that they must collect and clear cuttings after an attendance • Schedules for clearing litter bins to be reviewed, in order to minimise the occurrence of overflowing bins • Grass cutting team spoken to regarding the importance of remaining on schedule with works
Estates Management	50	18% (9)	<ul style="list-style-type: none"> • Staff informed of the need to keep residents updated, with regard to handing over keys for a property move and ensuring that contact from residents is acknowledged, even if no updates are available at the time • Caretaking staff spoken to ensure they understand the importance of acting in a respectful manner when dealing with individuals
Housing Solutions	53	23% (12)	<ul style="list-style-type: none"> • Staff informed of the importance of ensuring they remain in contact with residents regarding their cases, to ensure residents have clear lines of contact and are kept updated • All staff have been informed of the process for referring residents to Safeguarding if necessary

Parking Enforcement	32	16% (5)	<ul style="list-style-type: none"> • Technical issues with the process for renewal of parking permits have been addressed with the provider (being unable to renew permit ahead of renewal date and the system not notifying residents if a vehicle swap submission is rejected)
Council Tax	22	41% (9)	<ul style="list-style-type: none"> • Training provided to staff regarding the issuing of debt recovery notices, to ensure that these notices are not issued when a pause on recovery action is in effect • Staff reminded of the importance of scanning all correspondence received in a timely manner to avoid delays
Transforming Homes	17	24% (4)	<ul style="list-style-type: none"> • A quality check process has been implemented, to ensure that letters sent to residents are accurate • To review communications sent to residents in relation to works being carried out on their property, to ensure they are provided with timely updates
Development Control	21	14% (3)	<ul style="list-style-type: none"> • Support services staff in the team have been provided with additional training, to ensure that any emails relating to website access or decision making on applications are responded to in a timely manner • Planning Officers informed of the importance of keeping residents updated in relation to enforcement matters
Highways Maintenance	19	37% (7)	<ul style="list-style-type: none"> • Officers reminded that in the event a vehicle crossing application potentially exceeding the 12-week target period, then this must be escalated with managers in advance • The team to review the use of generic email accounts to ensure communications are acted upon in a timely manner
Totals	1022	49% (505)	
<p>Note – Totals shown are based on all upheld complaints therefore over and above the top 10 areas</p>			

4. Statutory Social Care Complaints:

Area	Complaints received	Closed complaints	% of closed complaints responded within timeframe	% of closed complaints upheld	Learning from upheld complaints
Adult Social Care	26	20	85% (17)	65% (13)	<p>Complaint 1 (The Homesteads)</p> <p>Complaint raised that the social worker had visited the service user for a day out, without any money for the day to cover costs.</p> <p>Learning/Outcome A new process was implemented with the service users family where they will provide the social worker with money on visits for days out with the service user.</p> <p>Complaint 2 (Romis Care)</p> <p>Staff did not attend for a scheduled visit and a call to the scheduled worker was not answered.</p> <p>Learning/Outcome It was made clear to Staff to inform management if there are any instances of sickness or lateness.</p> <p>Complaint 3 (Romis Care)</p> <p>Complaint that the service user’s family were not informed that the service user was unwell in a timely manner.</p> <p>Learning/Outcome It has been made clear to staff of the importance of timely communications with a service users' family.</p>

					<p>A communication log-book has been put in place to ensure that this happens, and a family portal app will be implemented to help with communications going forward.</p> <p>Complaint 4 (Romis Care)</p> <p>Complaint that staff are leaving without feeding the service user.</p> <p>Learning/Outcome It has been made clear to Staff to ensure that they encourage the service user to eat and make sure they eat before their visit ends.</p> <p>Complaint 5 (Romis Care)</p> <p>Concern that staff did not give tablets to the service user on their visit.</p> <p>Learning/Outcome Inclusion of record taking via an electronic system (NurseBuddy E-Marr chart) is now in place as an additional method of recording any medication that is administered.</p> <p>Complaint 6 (Sunnyside House)</p> <p>Staff member was found to be sleeping whilst in attendance at a weight watchers group, when they were in attendance to support service users.</p> <p>Learning/Outcome A disciplinary case took place.</p> <p>Complaint 7 (Manor Way House)</p>
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					<p>Member of staff who was working nights was found sleeping</p> <p>Learning/Outcome Staff member was found to be working too many overnight shifts; therefore, the duty rota was adjusted accordingly.</p> <p>Complaint 8 (Clarity Homecare)</p> <p>Concerns that staff were not carrying out tasks in an acceptable manner and were not encouraging the service user to eat meals that are provided.</p> <p>Learning/Outcome Staff informed of the expected standards with regards to the care provided to service users.</p> <p>Complaint 9 (Clarity Homecare)</p> <p>Service user complained that carer was not engaging with them during visits and was instead scrolling on their phone.</p> <p>Learning/Outcome Staff member spoken to and advised to ensure that they sit and talk with service user if all tasks for attendance are completed, instead of updating their attendance notes on their phone.</p> <p>Complaint 10 (Clarity Homecare)</p> <p>Carer visited service user for scheduled visit too early.</p> <p>Learning/Outcome</p>
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				<p>Member of staff was not following the rota correctly and was reminded to ensure they arrive at scheduled times.</p> <p>Complaint 11 (Caring for Thurrock)</p> <p>Service user complained that not all carers are reading his care plan in relation to applying creams and that not all carers are signing the Medication Administration Record (MAR) chart to mark when cream has been applied.</p> <p>Learning/Outcome</p> <p>Carers informed that they must update the MAR chart when cream is applied to ensure there is a log/record. The completion of the MAR chart for the application of non-prescribed creams has also been added to the training programme.</p> <p>Complaint 12 (Caring for Thurrock)</p> <p>Complaint that the carer makes the service users feel uncomfortable in their own home, due to time spent on their personal phone.</p> <p>Learning/Outcome</p> <p>Carer spoken to and informed of the expected standards. A letter of expectation was issued. A new carer was also put in place.</p> <p>Complaint 13 (Caring for Thurrock)</p> <p>Concerns regarding care calls to apply medication not being carried out at scheduled times or being cancelled.</p> <p>Learning/Outcome</p>
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					A new role was created to ensure consistency in monitoring and operating the electronic care call system. This will ensure greater accuracy and assurances that any medication care calls that are time specific are given priority.
Children Social Care	6	6	50% (3)	50% (3)	<p>Complaint 1 (Disabled Children) Parent was concerned that the Social worker did not listen to them when they raised concerns and feels that the relationship with them has broken down.</p> <p>Learning/Outcome A change of social worker was actioned, and a new social worker is now in place.</p> <p>Complaint 2 (Aftercare) Service user felt that they were not being fully supported. They requested financial support with obtaining a refrigerator for a new property they had moved into. They were left without a fridge whilst waiting for the new fridge to be delivered.</p> <p>Learning/Outcome Going forward the service will ensure that in the event of a similar situation, a fridge will be sourced (loaned) until the new one is delivered.</p> <p>Complaint 3 (Fostering Team) Concerns that new beginnings are not meeting the basic needs of the service user. Such as with access to toiletries and sanitary items, religious and cultural needs, travel costs.</p> <p>Learning/Outcome</p>

					<p>The service will aim to be clearer with the young person and the care provider at the outset of a placement what the young person allowance is meant to cover. Therefore, this information is now included in the care specification that is given to the provider.</p> <p>When a contract is resubmitted, it will also be reviewed to account for cost of living increases. It will also be explicit in how the allowance should be spent. An additional clause will also be added to the specification to cover cultural and religious practices in order to ensure that the young person is given the appropriate support to participate in these activities, should they wish to do so.</p>
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5. Complaints - Closed Ombudsman cases/decisions from the Housing Ombudsman (HO) or Local Government and Social Care Ombudsman (LGSCO)

Area	Issue Nature	Ombudsman Type – E.G Housing Ombudsman (HO) or Local Government and Social Care Ombudsman (LGSCO) and their findings	Financial Remedy	Learning where relevant	Did the council respond to the LGSCO or HO timeframes
Adult Social Care	Complaint that the Council failed to provide consistent care for a service user, after support from their previous provider ended in July 2021	LGSCO Not upheld: No Fault.	N/A	N/A	Yes
Housing Allocations	Resident complained about the Council’s decision to refuse their application to join the housing register	LGSCO	N/A	The service area recognised it had not considered any medical	Yes

		Not upheld: No further action.		needs as part of its decision and offered to review this decision as a remedy. The housing allocations team were made aware of the error and further training was provided to avoid repeat issues	
Temporary Accommodation	Resident complained the Council failed to provide suitable accommodation in 2019 and failed to fulfil its duties when it terminated their accommodation in 2020.	LGSCO Closed after initial enquiries - out of jurisdiction	N/A	N/A	Yes
Business Rates	Complaint regarding a retrospective business rates bill the Council issued back in August 2021. The complainant disputes the amount paid and requested a refund.	LGSCO Closed after initial enquiries - out of jurisdiction.	N/A	N/A	Yes
Planning	Complaint regarding the Council's decision to refuse a planning application, on the basis that the council has granted permission for similar applications in the area.	LGSCO Closed after initial enquiries - out of jurisdiction.	N/A	N/A	Yes
Allocations	Complaint received from an individual as they cannot join the Council's Housing Register	LGSCO Closed after initial enquiries - no further action.	N/A	N/A	Yes
Planning	Complaint received regarding the Council's assessment of a neighbour's planning application for an extension. The	LGSCO Upheld: Fault and injustice.	N/A	It has been made clear to Staff how to distinguish between correct/incorrect guidance going forward.	Yes

	complaint is that the Council did not ask the applicant to correct inaccurate plans and that the neighbour's planning application did not comply with the 45 and 60 degree guidance in the council's design guidance for residential Extensions.				
Caretaking	Complaint regarding standard of cleaning to communal areas, level of service charge for caretaking services and complaint handling.	HO Maladministration regarding the response to concerns about cleaning and complaint handling. Service failure in regard to record keeping.	£425	New 'block inspection form' introduced, rating standards of caretaking, outlining actions if required and date of re-inspection. Digital solution for record keeping to be implemented.	Yes
Benefits	Resident complains that the Council wrongly recovered an overpayment of housing benefit (HB) and did not deal with their appeal request properly.	LGSCO Upheld: Fault and Injustice.	N/A	Team to update its guidance for staff on handling late appeals and the requirement to pass disputed appeals to the tribunal. Training will be provided to Staff.	Yes
Clean & Green	The complainant represents a management company for a block of flats and complained that the boundary fence has been damaged by overgrown vegetation which the council refuses to cut back. The complainant wants the Council to cut back the vegetation at least once a year.	LGSCO: Closed after initial enquiries - out of jurisdiction.	N/A	N/A	Yes

Housing / Allocations	Complaint regarding the Council's decision regarding a housing application that was ineligible under its housing allocations policy.	LGSCO Closed after initial enquiries - no further action	N/A	N/A	Yes
Childrens	The complainant related to the Council refusing to accept a complaint regarding its actions towards the family of a third party.	LGSCO Closed after initial enquiries - no further action	N/A	N/A	Yes
Housing / Allocations	Resident complains the Council refused their housing application. This prevented them from bidding for social housing within Thurrock where their child will have support.	LGSCO Upheld: no further action, organisation already remedied.	N/A	In line with LGSCO recommendations, the service area to consider the need to use discretion when assessing applications	Yes
Property Transformation	Complaint received regarding the handling of a resident's concerns in relation to subsidence and the request for a full structural survey to be completed.	HO No maladministration	N/A	N/A	Yes
Education, Health and Care Plan (EHCP)	Resident complained about the Council's failure to provide their son with suitable education, a school place or provision as set out in his Education, Health and Care Plan (EHCP), since moving to the area.	LGO Fault & Injustice	£3,200	It has been made clear to Staff of the requirement to inform a parent within 6 weeks of the transfer of an EHCP when the Council intends to complete a review of the plan and whether it intends to conduct a review of the child's needs. Staff also informed of the requirement to issue a	Yes

				final EHCP within 8 weeks of a draft being issued	
Children's Services	Resident complaints about the Council's involvement with their children's case and raised concerns about bias towards their father	LGSCO Closed after initial enquiries - no further action.	N/A	N/A	Yes
Housing Repairs	A complaint regarding the handling of a resident's reports of structural issues at their property	HO No maladministration	N/A	N/A	Yes
Housing Repairs	Resident complains about the Council's decision to repair a boundary fence for their property, as opposed to replacing it.	LGSCO Closed after initial enquiries - out of jurisdiction	N/A	N/A	Yes
Allocations	Resident complained about the Council's assessment of their housing application, as their current Council property is unsuitable, due to having stairs and its location to other members of their family who have caused problems in the past.	LGSCO Closed after initial enquiries - no further action	N/A	N/A	Yes
Childrens	Resident complained that the Council delayed sorting out their immigration status while they were in care and failed to deal with their complaint properly.	LGSCO Upheld: Fault and Injustice.	£1,000	Council to obtain relevant documentation and information from parents, about a child's immigration status, at the time a child becomes looked after. Provide training for staff on the importance of ensuring that the immigration status of a looked after child is	Yes

				identified and actioned as soon as possible.	
Waste	Resident complained the Council has persistently failed to collect their garden waste since October 2022, and has failed to monitor their waste collections despite agreeing to a previous Ombudsman decision.	LGSCO Upheld: Fault and Injustice.	£400	The Council has committed itself to the delivery of leaflets to every household when it makes changes to the refuse collection service. Monitoring to be completed to ensure collections take place as scheduled	Yes
Allocations	The complainant disagreed with the Council's decision that they cannot join the housing register on financial grounds and complained the Council had not considered them for sheltered housing	LGSCO Closed after initial enquiries – no further action.	N/A	N/A	Yes
Repairs	Complaint regarding repairs works to bathroom floor and a sewage leak in the garden	HO Maladministration by the landlord in the way it handled the repairs to the resident's bathroom floor.	£100	All staff have been informed of the importance of keeping residents updated and booking in follow on works in a timelier manner.	Yes
Waste	Resident complained that the Council has persistently failed to collect their kitchen and garden waste since October 2022	LGSCO Upheld: Fault and Injustice.	£200	The service has now committed to the delivery of leaflets to every household when it makes changes to the refuse collection service.	Yes

				Property also placed under monitoring	
Allocations	Resident complains the Council failed to award them a correct banding under its housing allocation scheme despite all the medical evidence they provided and as a result, they remain in accommodation that does not meet the family's needs.	LGSCO Upheld: Fault and Injustice	N/A	It has been made clear to Staff who make decisions regarding medical priority requests, to ensure decisions are supported by reasons and refer to evidence considered. Review guidance on housing allocations to consider exercising discretion on requests for separate space areas based on medical grounds.	Yes
Allocations	Resident complains about the Council's decision to remove their daughter from its housing register.	LGSCO Closed after initial enquiries - no further action.	N/A	N/A	Yes
Special Education Need (SEN)	Resident complains the Council failed to provide suitable alternative education when their child could not attend school, delayed finalising an Education, Health and Care Plan and discriminated against their child by not providing suitable education.	LGSCO Invalid/Forwarded Decisions.	£8,075	The service to ensure staff have clear guidance about the use of unregistered provisions, including consideration and/or decision making of non-approved settings, instead of using a 'blanket approach' to assess cases.	Yes
Enforcement	Resident complained about the Council's decision to issue them a	LGSCO	N/A	N/A	Yes

	fixed penalty notice after they parked their car at the rear of their property.	Closed after initial enquiries - out of jurisdiction.			
Council Tax	Complaint that the Council wrongly charged council tax without applying a Single Person Discount.	LGSCO Not upheld: no further action.	N/A	N/A	Yes
Repairs	The complaint is about the Council's response to the resident's reports of repairs and associated damp and mould.	HO Maladministration with regard to the landlord's response to the resident's reports of repairs and associated damp and mould	£1,675	To undertake a review of this complaint to identify any lessons to be learnt from the handling of this case. Ensure that the service maintains oversight of the actions of its repairs contractor in response to repair requests and that it has access to the records of the actions taken by the contractor.	Yes

6. Compliments Data (based on top 10 areas where compliments were received)

Compliments - The council received 1170 external compliments within the reporting period compared to 514 for the same period last year. A breakdown is shown below:

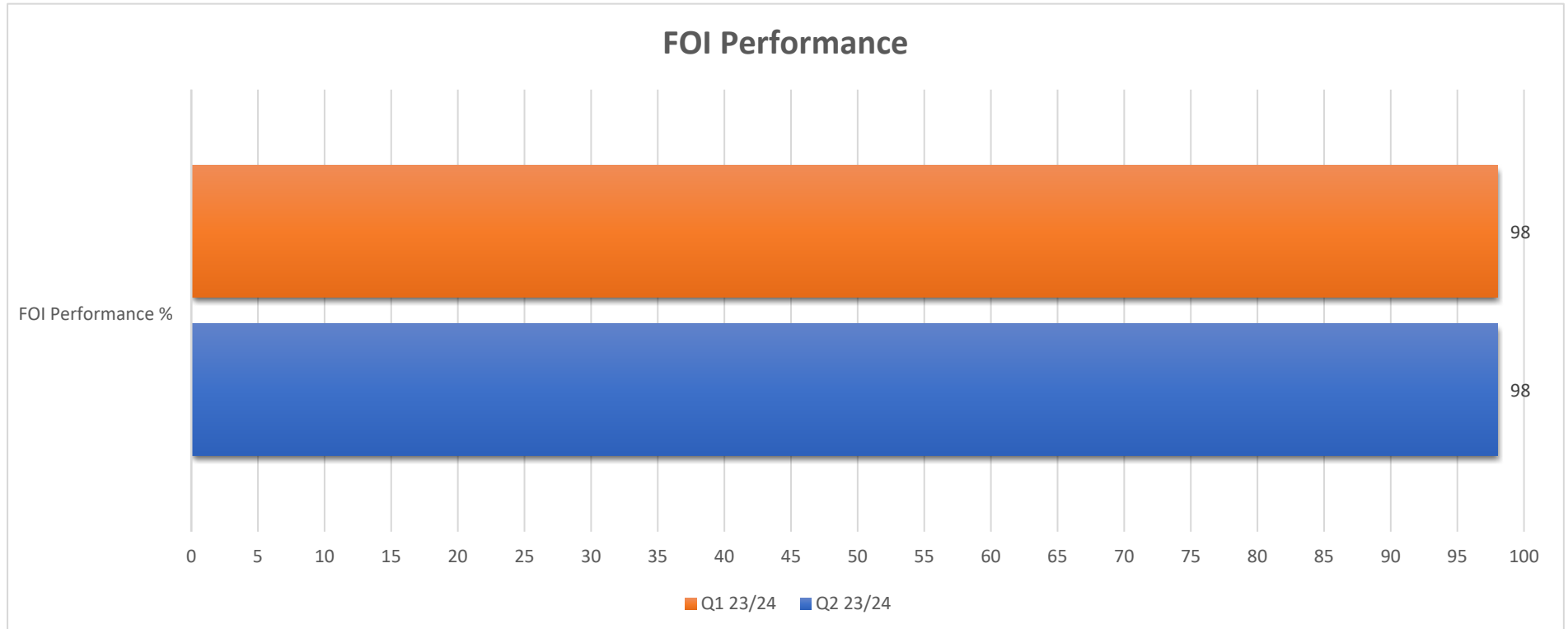
Area	Volume
Contact Centre	925
Repairs	20
Special Education Need	18
Waste Management	14
Thurrock First	9
Transforming Homes	9
Family Support Team 2 (Childrens)	9
Contract Compliance (Adults)	8
Libraries	7
Sheltered Housing	7
Development Control	7
Disabled Facilities Grant (Adults)	7
Total	1170
Note – Totals shown are based on all compliment activity therefore over and above the top 10 areas	

7. Freedom of Information (FOI) and Environment Information Regulation (EIR) – Based on top 10 areas

Note – Timeframes to respond to FOI's and EIR's is 20 working days

Area	FOIs received	% FOI responded within timeframe	Reasons for missed deadlines
Childrens Services	48	100% (48)	Not Applicable
Education	45	98% (44)	1 x FOI deadline missed: <ul style="list-style-type: none"> Late return of information by the service area
Finance	40	95% (38)	2 x FOI deadlines missed: <ul style="list-style-type: none"> Late approval by the service area lead Late return of information by the service area
Housing	40	98% (39)	1 x FOI deadline missed: <ul style="list-style-type: none"> Late return of information by the service area
Human Resources	31	97% (30)	1 x FOI deadline missed: <ul style="list-style-type: none"> Late return of information by the service area resulted in late approval
Highways Maintenance	27	100% (27)	Not Applicable
Adult Social Care	25	100% (25)	Not Applicable
IT	24	96% (23)	1 x FOI deadline missed: <ul style="list-style-type: none"> Late approval of information by the service area lead
Waste & Recycling	22	100% (22)	Not Applicable
Planning	21	95% (20)	1 x FOI deadline missed: <ul style="list-style-type: none"> Late return of information by the service area resulted in late approval
Totals	483	98% (474)	
Note – Totals shown are based on all FOI requests therefore over and above the top 10 areas			

The chart below shows FOI performance compared with the previous quarter:



Environmental Information Regulations Requests:

These requests could be for information about land development, pollution levels, energy production, and waste management etc.

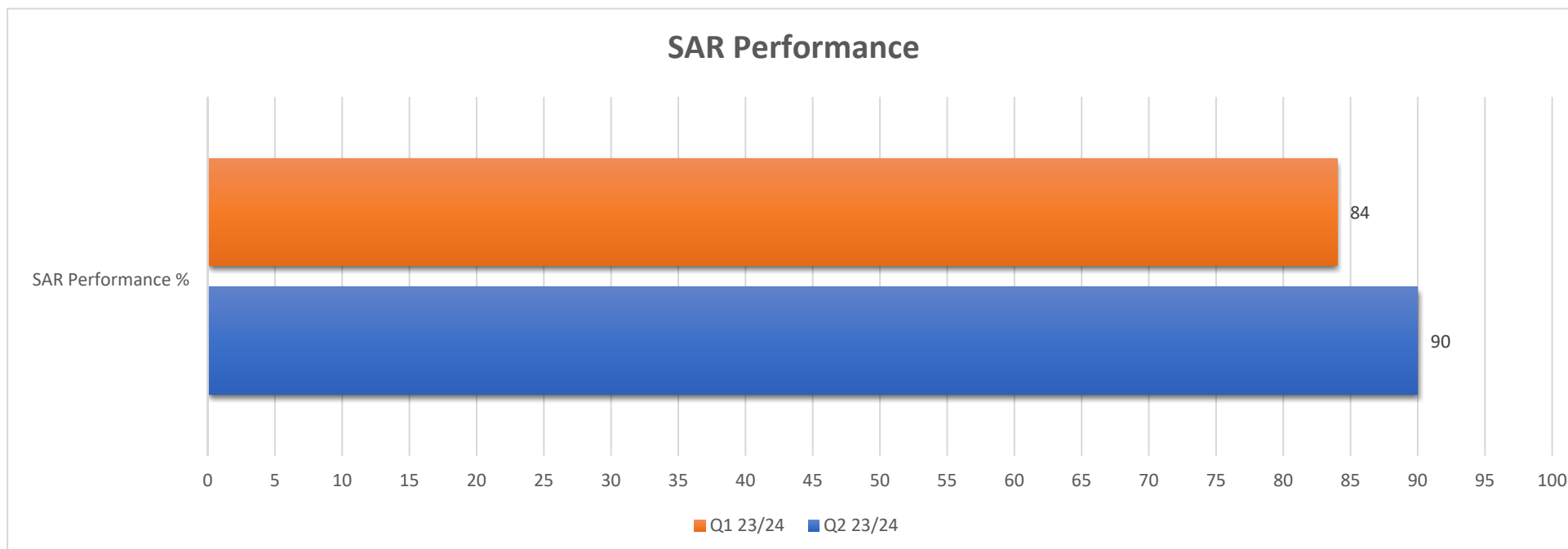
Requests Received	% Responded to within timeframe	Reasons for missed Deadlines
5	100%	Not Applicable

8. Subject Access Request (SAR):

SARs are requests from individuals to the Council asking to be provided with information the Council hold on them. Requests can range from very specific records such as council tax, benefits claim history, social care records or to all information held by the Council. The legal deadline to respond is 1-month.

Numbers Received	% Responded to within timeframe	Reasons for missed Deadlines
67	87% (58)	9 x SARs missed the deadline: <ul style="list-style-type: none">• 7 x Phased disclosures were provided due to large volumes of data in scope of the request• 2 x Late return of information from service areas (CCTV team & Housing)

The chart below shows SAR performance compared with the previous quarter:



9. Information Commissioners Office (ICO) activity based on closed cases for FOI and/or Data Protection complaints:

Area	FOI complaints received	Data Protection complaints received	Details
Highways, Fleet & Logistics	1		FOI complaint: Individual complained to the ICO that the Council had not supplied the requested information.

			<p>ICO findings: The ICO agreed that the Council's response was accurate. No action taken by ICO/case closed.</p>
Human Resources	1		<p>FOI complaint: Individual complained to the ICO that the Council had not supplied the requested information.</p> <p>ICO findings: The ICO agreed that the Council's response was accurate. No action taken by ICO/case closed.</p>
Housing Benefit Team		1	<p>Data Protection complaint: Complaint received that the Council shared their data incorrectly with a third party.</p> <p>ICO findings: The Council had already taken steps to improve process internally and the ICO were happy with the Council's explanation. No action taken by ICO/case closed.</p>

10. Data Protection/Information Security Incidents

An information security policy incident is any event that contravenes the principles or procedures laid down within the Information Security Policy (and supporting policies). An incident may occur for a number of reasons:

- Due to negligence
- As the result of an accident
- Due to an intentional act

All incidents that are classified as a serious incident requiring investigation (SIRI), are sent to Human Resources for investigation/consideration.

11. Transparency

The Council are required to publish a number of datasets as part of the Local Government Transparency Code. The table below outlines the latest position.

Dataset	Frequency	Last Publication Due Date	Current Status	Next Publication Due Date
Constitution	Annually	01/08/23	Up to date	30/08/24
Trade Union	Annually	31/07/23	Up to date	31/07/24
Social Housing	Annually	30/04/22 (included data for 2021/22)	Finance have confirmed that the council cannot publish 2022/23 data as the annual accounts have not been approved	Was April 2023 (however this is delayed)
Parking Spaces	Annually	30/04/23	Up to date	30/04/24
Parking Account	Annually	30/04/23	Up to date	30/04/24
Gender Pay Gap & Pay Multiple	Annually	30/04/23	Up to date	30/04/24
Senior Salaries	Annually	30/04/23	Up to date	30/04/24
Org Chart	Annually	30/04/23	Up to date	30/04/24
Local Authority Land	Annually	30/04/23	Up to date	30/04/24
Brownfield sites	Annually	30/04/23	Up to date	30/04/24

Grants	Annually	30/04/23	Up to date	30/04/24
Fraud	Annually	30/04/23	Up to date	30/04/24
Contract Information	Quarterly (although the council publish monthly)	This is published monthly	Up to date	The Information Management Team will check to ensure the council publish at least quarterly in-line with requirements
Expenditure over £500	Quarterly (although the council publish monthly)	This is published monthly	Up to date	The Information Management Team will check to ensure the council publish at least quarterly in-line with requirements
Government Procurement Cards	Quarterly (although the council publish monthly)	This is published monthly	Up to date	The Information Management Team will check to ensure the council publish at least quarterly in-line with requirements

12. Update on the review of Information Governance Policies:

The Council have reviewed a number of its existing Information Governance Policies and are also introducing a new Microsoft Teams Usage Policy. As these policies are staff/employment related policies:

- The policies were shared and agreed via the council's Information Governance Group, our ICT Team, and People Board
- Consultation has taken place with Trade Union Board
- Cabinet Members who have portfolio responsibility for HR and Information Governance have been made aware of the changes, along with the Member of the Shadow Cabinet who has responsibility for Corporate Services

The policy changes are summarised in the table below with only minor changes made to existing policies. The changes made have also been incorporated within existing training programmes, with quiz questions included to help with embedding learning/understanding.

Policy	Summary of changes made
Microsoft Teams Usage Policy	This is a new policy
Information Security Policy	Appendix B - Microsoft Teams Usage Policy included as a supporting policy
Clear Desk Policy	Section 6 - Removed the reference to fixed desk workers as this stated the following <ul style="list-style-type: none"> • Staff who work in flexible work areas – When you have finished using a desk, or expect to be away for longer than 4 hours, you must clear all information from your desk and ensure all paperwork is locked away

	Note – The above has been removed as the number of fixed desk workers has reduced and the risk is the same for all workers, in that all council data must be secured irrespective of worker type
Data Security and Encryption Policy	Section 6 - Removed the reference to ensure staff store files on network drives and replaced with: All files containing personal data must be stored within, Microsoft 365, Objective (up until this is phased out) or the respective line of business system.
Email Policy	Section 1.1 (<i>The Recipient's availability and Speed of Transmission</i>) – Included a reference to the use of Microsoft Teams as a more appropriate method of communication
ICT Usage Policy	<ul style="list-style-type: none"> • Section 5.2 - Included a shadow ICT paragraph making it clear that service areas must not use any unapproved applications (e.g., cloud applications) without the completion and sign off of a Data Protection Impact Assessment • Section 5.4 – Included that staff can enrol their personal mobile into Microsoft Intune to allow them to use email, Teams and to receive 2-factor authentication messages • Section 9.3 – Removed the requirement to connect laptops to the network on a monthly basis
Records Management Policy	No key changes made
Information Requests Charging Policy	<p>Section 3 - Now sets out that under the Data Protection Act, a reasonable fee (based on administrative cost) may be charged for subject access requests:</p> <ul style="list-style-type: none"> • If the request is manifestly unfounded or excessive • For further copies of data which are requested by the data subject following a subject access request. This may happen for example if the data subject wants an additional copy to provide to a third party or has accidentally destroyed the copy which has been provided. <p>If a fee is applied, the council:</p> <ul style="list-style-type: none"> • Will need to justify why costs have been applied and explain these to the individual • Will not process the request until it has received the fee

13. Information Governance related risks:

The Council uses its Records of Processing Activity (ROPA) to manage and control its information assets and this work will identify a range of information governance related risks. In addition to this, information governance risks can also be identified via the general information governance work programme which includes:

- Data Protection Audits
- Data Protection Impact Assessments
- Managing data incidents

The Information Governance Team will work with service areas to manage and/or mitigate information governance risks.