



INDIVIDUALS OVERVIEW & SCRUTINY COMMITTEE AGENDA

7.30 pm

**Tuesday
19 July 2011**

**Havering Town Hall,
Main Road, Romford**

Members 6: Quorum 3

COUNCILLORS:

Wendy Brice-Thompson (Chairman)
Jeffrey Brace
Pam Light
Keith Wells

Linda van den Hende (Vice-Chair)
June Alexander

**For information about the meeting please contact:
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What is Overview & Scrutiny?

Each local authority is required by law to establish an overview and scrutiny function to support and scrutinise the Council's executive arrangements. Each overview and scrutiny committee has its own remit as set out in the terms of reference but they each meet to consider issues of local importance.

They have a number of key roles:

1. Providing a critical friend challenge to policy and decision makers.
2. Driving improvement in public services.
3. Holding key local partners to account.
4. Enabling the voice and concerns of the public.

The committees consider issues by receiving information from, and questioning, Cabinet Members, officers and external partners to develop an understanding of proposals, policy and practices. They can then develop recommendations that they believe will improve performance, or as a response to public consultations.

Committees will often establish Topic Groups to examine specific areas in much greater detail. These groups consist of a number of Members and the review period can last for anything from a few weeks to a year or more to allow the Members to comprehensively examine an issue through interviewing expert witnesses, conducting research and site visits. Once the topic group has finished its work it will send a report to the Committee that created it and it will often suggest recommendations to the executive.

Terms of Reference

The areas scrutinised by the Committee are:

- Personalised services agenda
- Adult Social Care
- Diversity
- Social inclusion

AGENDA ITEMS

1 **APOLOGIES FOR ABSENCE AND ANNOUNCEMENT OF SUBSTITUTE MEMBERS**

(if any) – received.

2 **CHAIRMAN'S ANNOUNCEMENTS**

The Chairman will announce details of the arrangements in case of fire or other events that might require the meeting room or building's evacuation.

3 **DECLARATIONS OF INTEREST**

Members are invited to declare any interests in any of the items on the agenda at this point of the meeting. Members may still declare an interest in an item at any time prior to the consideration of the matter.

4 **MINUTES** (Pages 1 - 12)

To approve as a correct record the Minutes of the meetings held on 12 April 2011 and 15 June 2011 (special) and authorise the Chairman to sign them.

5 **LIBRARY SERVICES DVD**

Presentation on how Library Services support people with Physical and Learning Disabilities.

6 **IMPACT OF PERSONALISATION ON THE VOLUNTARY SECTOR** (Pages 13 - 20)

Overview Presentation.

7 **SCOPE OF SCRUTINY REVIEW: DAY OPPORTUNITIES FOR LEARNING DISABILITIES** (Pages 21 - 22)

The Committee are asked to approve the scope of the scrutiny review.

8 **ADULT SOCIAL CARE COMPLAINTS ANNUAL REPORT** (Pages 23 - 42)

Report attached.

9 **COMMITTEE'S WORK PROGRAMME REPORT** (Pages 43 - 46)

The Committee are asked to consider and agree the work programme for the next municipal year.

10 FUTURE AGENDAS

Committee Members are invited to indicate to the Chairman, items within this Committee's terms of reference they would like to see discussed at a future meeting. Note: it is not considered appropriate for issues relating to individuals to be discussed under this provision.

11 URGENT BUSINESS

To consider any other items in respect of which the Chairman is of the opinion, by reason of special circumstances which shall be specified in the minutes, that the item should be considered at the meeting as a matter of urgency.

**Ian Buckmaster
Committee Administration &
Member Support Manager**

MINUTES OF A MEETING OF THE INDIVIDUALS OVERVIEW AND SCRUTINY COMMITTEE

Tuesday 12 April 2011 (7.30pm – 8:30pm)
Havering Town Hall, Romford

Present:

Councillors Wendy Brice-Thompson (Chairman), Linda Van Den Hende, Barry Oddy (Substitute for Councillor Jeff Brace), Eric Munday (Substitute for Councillor Lynden Thorpe) Keith Wells and Ron Ower

Apologies were received from Councillor Jeff Brace, Councillor Lynden Thorpe and Andrew Ireland

David Cooper, Head of Adult Social Care was also in attendance

There were no declarations of interest.

The Chairman announced the arrangements to be followed in the event of the building needing to be vacated as the result of an emergency.

31. MINUTES OF PREVIOUS MEETING

The minutes of the meeting of the Individuals Overview and Scrutiny Committee held on 2 March 2011 were agreed as a correct record and signed by the Chairman.

32. SOCIAL WORK TASK FORCE (ADULTS/ CHILDREN)

The Committee received an update report on the National Social Work Taskforce (NSWTF) Social Work Reform Board (SWRB) from the Head of Adult Social Care. This provided the recommendations of the National Social Work Taskforce as reported in December 2009 and endorsed by the Government and the likely impact of these recommendations on the Council, the work undertaken by Havering so far, and the actions required in relation to the first published reports from the successor body to the NSWTF.

The Committee was informed that the NSWTF was formed following further and wide spread criticism of the profession during and after the public enquiry into the death in Haringey of Baby P. At the time a full review of social work was carried out for both adult and children's social care services, with a view to making a comprehensive reform. The group was chaired by Moira Gibb, the Chief Executive of Camden, and included sixteen other officers from a selection of organisations across the country representing social care.

The Committee was informed that the NSWTF made fifteen recommendation, which had been endorsed by the Government. The Group Director (Social

Individuals Services Overview & Scrutiny Committee, 12 April 2011

Care & Learning) and the People Strategy Manager, Social Care and Learning, presented a briefing report to CMT in August 2010. The purposes of the briefing report were to set out the main issues identified from the work of the NSWTF, summarise the recommendations it made and to explain the subsequent expectations on employers in relation to the implementation of the fifteen recommendations.

The Committee was informed that the SWRB had identified five areas of reform, directly linked to the National Social Work Taskforce recommendations. These areas were around the competencies and capability of the core social work roles. It also ensured that there were training and development opportunities in place, and that there was more focus on how training is delivered and the development of social workers monitored.

The Committee discussed their views on how social workers are perceived and were informed that compared to the medical profession, social work was a fairly new profession. The Committee was informed that nationally the average turnover of social workers was around 7 years, which was high compared to the medical profession. This in part reflects the relatively "new status" of social work as a profession. Many of the changes recommended by the NSWTF can be seen as part of the strengthening of the profession, e.g. strengthening the screening of people who enter social work training, and ensuring that the training is more robust. The Reform Board was very wide ranging and also looked at the practices that work well.

The Committee noted that the Local Authority provided work placements for trainees from local colleges. This was a good way of getting feedback from managers on the skills of new staff, and any issues that needed addressing. The Local Colleges had asked Adult Social Care officers to sit in on the interviews for the social care courses.

Members asked if there was any counselling in place for social workers. The officer stated that this is dealt with through supervision. Supervisors ensure that the social workers are doing the job properly, are interacting with the clients, monitoring the practices being carried out and assist with managing workloads etc. If however the social worker was struggling, and counselling was thought to be necessary, the service would arrange for this to take place.

The Committee noted the update report

33. SECTION 75 PARTNERSHIPS REVIEWS – LEARNING DISABILITIES/ MENTAL HEALTH

The Committee received an update of the current Section 75 Partnership Arrangements operating in Adult Social Care. This covered the Section 75 agreements between the London Borough of Havering and North East London NHS Foundation Trust (NELFT) to provide services for adults with mental health problems and the Section 75 agreement between NHS Havering and the London Borough of Havering to provide support to Adults with Learning Disabilities. The Committee were informed that the progress of the partnerships was going well in that they were both within budget. There was however pressure on the Learning Disabilities budget.

Mental Health Services

The Committee was informed that there was active engagement with service users of the mental health service, and the service users had reported that they receive responses from any concerns which they raise with the service. Service users had indicated that the service is easy to deal with and they are open to criticism. The Committee was also informed that NELFT were a three-star performing organisation and that monthly performance reports were produced.

Learning Disabilities Services

The transfer of resource and funds for this service came across to the Local Authority on 1 April 2010. The Local Authority were then financially responsible for those patients in relation to mental health. The Committee was informed that the Local Authority had needed to ensure that the funding met the client's needs. Work was currently under way with care providers to ensure best value for money.

Members asked if given the current financial climate, whether constraints on the budget would continue. Officers stated that budget management had proved difficult in light of the increase in demand, and also due to the demographics of the borough e.g. large number of people placed in residential care, many outside the borough. Officers informed the Committee that nationally over the past 5-10 years most social workers and commissioners had been aware of the financial constraints, and were taking steps to address this through market management.

The Committee was informed that the service works closely with clients on the Autistic Spectrum, who also had learning disabilities. Officers stated that where possible clients with learning disabilities were encouraged, and supported into, employment. The service looked for particular jobs dependent on the person's learning disability, and there was evidence that the people remained in employment. Obviously this would be more challenging in the current financial climate.

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The Committee was informed that through the Learning Disabilities Partnership Board, work had been undertaken with hospital staff to ensure that they were able to support patients who had learning disabilities. The background to this work nationally had come about following the "6 lives report" produced by the Local Government Ombudsman, which had investigated cases of abuse involving people with learning disabilities. Officers informed the Committee that all clients with learning disabilities were provided with an information pack which they could keep with them, and which explained their situation should they be admitted to hospital.

The Committee noted that all clients with learning disabilities are entitled to have a yearly health check up with their GP and, whilst there was progress in this area, there was still room for improvement. Engagement with GPs and the Consortia was being planned.

The Committee **noted** the update.

34. LIBRARY SERVICES DVD – HOW THEY SUPPORT PEOPLE WITH PHYSICAL AND LEARNING DISABILITIES

The Committee decided that since there was no officer available to present this item, it should be deferred to the next meeting.

35. DEMENTIA STRATEGY JOINT TOPIC GROUP REPORT

The Committee received a report on the Dementia Strategy Joint Topic Group. The Committee felt that the report was very comprehensive and **agreed** to refer the recommendation to Cabinet, the North East London NHS Foundation Trust (NELFT) or other bodies as appropriate.

36. ANNUAL REPORT OF THE COMMITTEE

The Committee received a report summarising the Committee's activities during its year of operation ended May 2011.

The Committee **noted** the Annual Report and authorised the Chairman to **agree** the final version; and **agreed** that the report be referred to full Council.

37. REALLOCATION OF WORKLOAD OF PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE

The Committee received a report on the reallocation of workload of the Partnerships Overview and Scrutiny Committee. Following the announcement by the Leader of the Council that the Partnerships Overview and Scrutiny Committee would be abolished at the end of the financial year the report invited

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the relevant Overview and Scrutiny Committees to consider adding to their work programmes items that were due to be considered in the future by the Partnerships Overview and Scrutiny Committee.

The Individuals Overview and Scrutiny Committee was therefore asked to scrutinise the "Impact of Personalisation of Social Care on Voluntary Sector". The Committee **agreed** to add this to their work programme for the next municipal year.

38. FUTURE AGENDAS

The Committee discussed items they wished to review in the next municipal year. These included:

- Review of the Dementia Strategy report within 12 months
- Update on the situation with the Dial-a-Ride service

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Chairman

19 July 2011

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**MINUTES OF A SPECIAL MEETING OF THE INDIVIDUALS
OVERVIEW AND SCRUTINY COMMITTEE**

**Wednesday 15 June 2011 (7.30pm – 9:45pm)
Havering Town Hall, Romford**

Present:

Councillors Wendy Brice-Thompson (Chairman), Linda Van Den Hende, June Alexander, Jeff Brace, Pam Light, and Dennis Bull (substitute for Keith Wells)

Apologies were received from Councillor Keith Wells and Andrew Ireland

There were no declarations of interest.

The Chairman announced the arrangements to be followed in the event of the building needing to be vacated as the result of an emergency.

**1. REVIEW OF DAY OPPORTUNITIES FOR PEOPLE WITH LEARNING
DISABILITIES**

The Committee were informed that at its meeting on 18 May 2011, Cabinet had considered a report updating on the position on day opportunities for people with learning disabilities and recommended a way forward in modernising the services and achieving improved value for money.

The changes were complex and far reaching and it was proposed that a consultation was carried out over the summer period on the recommended proposals for change before final decisions were made.

The recommendations were:

That a two month public consultation be undertaken on the options set out in the Cabinet Report on the basis that the Council's preferred option is to:

- close St Bernard's Day Centre and work with individual users and their carers in order to ensure that they continue to receive appropriate support either through external provision or an Individual Service budget
- Amalgamate the day care provision with Nason Waters Day Centre and Western Road Day Centre on a redesigned Nason Waters site which will entail the closure of Western Road.
- provide a remodelled service at Nason Waters providing for:
 - legacy users
 - a resource to invite in new provision (pre employment; learning opportunities; activities etc.)

Individuals Services Overview & Scrutiny Committee, 12 April 2011

- as well as working with all service users on their future individual service plans.
- transform provision of transport by
 - a reassessment of all users' needs for transport (including the changes that may be required as a result of the potential closures above)
 - considering the imposition of a charge for use of transport.
- To authorise officers to engage with the local private and voluntary sector market to provide mapping and evaluation of current opportunities as well as stimulating new opportunities.
- To note that Carers Assessments and Person Centred Plans would be undertaken in respect of all Day Care Service Users.
- That the Cabinet report be referred to the Individuals Overview and Scrutiny Committee for their comment as part of the consultation.
- On completion of consultation the Lead Member would be authorised, to make a final decision on the proposals in this Report in consultation with the Group Director Social Care & Learning.
- To note that officers would investigate remodelling of the Nason Waters site as set out in paragraph 5.4 of the Cabinet Report, and dependent on the decision made by the Lead Member in the light of the consultation, the Lead Member would be authorised to take any necessary decisions to implement any specific proposals to remodel provision at Nason Waters in consultation with the Group Director Social Care & Learning and Group Director Finance & Commerce.

The decision was requisitioned for the following reasons:

1. There was a lack of detail in the report to Cabinet about the two month public consultation process.
2. The report to Cabinet lacked clarity about future transport arrangements which would impact adversely on service users particularly those residing in the north of the Borough.
3. The future of "remodelled" services at Nason Waters appeared uncertain.
4. That detailed consideration should be given to enhanced marketing of the Council's services to encourage greater take up.
5. To consider greater involvement of users, carers and the voluntary sector before options were considered in the proposed public consultation.
6. To reconsider the recommendation that the Lead Member be authorised to make the final decision relating to the proposals and preferred options for decisions to be made by Cabinet as a whole.

Individuals Services Overview & Scrutiny Committee, 12 April 2011

7. To consider national and or regional data on the impact of Direct Payments on the future provision of day opportunities for people with learning difficulties.

A member commented that a description of an Individual Service Budget would be relevant in the understanding of the report. The Committee were informed that over the last two and a half years, service users had decided to use Self Directed Support to purchase their own care packages to suit their own needs i.e. Direct Payments, Personal Budgets etc. The Committee were informed that there were safeguarding measures in place to ensure that the funds were used in a managed and supportive place, and there was also a reconciliation process for all monies spent. All officers working with Self Directed Support arrangements were experienced on what the needs of users were.

A member stated that the detailed timetable of remodelling work would include temporary accommodation, and asked if this would disrupt Nason Waters whilst the work was being carried out? The Committee were informed that at present Nason Waters was essentially a "warehouse" type structure, with no supporting walls. A surveyor would be involved with any remodelling, and would work with staff and users to develop the area of the current footprint, as well as possible extension to the centre. The Committee were informed that the remodelling also included the support and provision from other providers coming into the centre, and they had already had approaches from the local college and other voluntary sector organisations. This would allow users to make choices about what they use in the future, and to access services outside of the centre.

Also raised was the reason for inviting new providers into the centre, when the number of users had been falling over a number of years, and whether this was linked to Direct Payments. The Committee were informed that new providers would increase the choice for individuals, make changes needed in order to meet the needs of the individuals and market the provisions to younger people in a transitional process. Officers stated that take up of provisions thus far had been low, but they were looking at further marketing.

A member stated that whilst the report did not give sufficient information on the provision of proposed transport costs, it did give current costs and it was a concern that an individuals could spend over half a day on transport. The Committee were informed that this was a concern, but with the rationalisation of services this would help with the transport options and the reduction in the length of routes. At the present time, all centres were used by people all over the borough. There were two routes which served Nason Waters, one from the South and one from the centre of the borough. The new proposals would give the opportunity to rationalise journey's, and the average route would be reduced.

The Committee also asked why a mapping exercise had not been carried out before taking the decision. Officers informed the committee that mapping had been carried out in the past, however this did not allow for users to rate services and needed to be put into more accessible formats. There was also a

Individuals Services Overview & Scrutiny Committee, 12 April 2011

Members enquired about the demographics and trends, and asked for information as to why there was such an imbalance between providing services with Learning Difficulties in the Community, however there was a higher number of individuals in Nursing or Residential Care. The Committee was informed that this imbalance reflected an historic national position regarding the provision of service for adults with Learning Disabilities. Where a significant number of people had been placed in residential and nursing care (including specialist hospital provision) outside London. This was something that Officers in Havering and other local authorities were aiming to address through Supported Living. Officers stated that residential care was very costly to the authority, however with Direct Payments the funds could be used for Supported Living etc. Officers informed the Committee that across the borough the largest groups using Direct Payments were individuals with Sensory or Physical Disabilities, followed by individuals with Learning Disabilities and then Older Persons.

The Committee were informed that the Joint Strategic Needs Assessment had evidenced a growth in the numbers of people with Learning Disabilities for whom the Council has a duty to provide day opportunities over the next ten years

Members raised concerns about the centres struggling to provide personalised services. Officers stated that due to restrictions on budgets, staff were also restricted, this was due to the finance challenges overall, and partly attributed to sickness absence, however the change in culture and management approach had improved the sickness absence level in the last year. The remodelled service would be better equipped to provide a personalised service.

The comparison between the external and council provisions was also raised. Officer informed the Committee that all the figures for this comparison were given in the report. Officers added that if all provisions were private, then the cost could rise if there was not a sufficient market, and therefore they would have concerns if any service held a monopoly of the provision. A Member asked if the Day Centres were subject to inspections. Officers stated that whilst there was no legal requirement to undertake a formal inspection by the CQC. However, Adult Social Care's Quality Assurance Team, did ensure that providers were monitored, and that information from individual social work reviews and performance information was used to identify any issues. The Committee were informed that arrangements for such monitoring would be included in the Annual Safeguarding Report, which would be presented to a future OSC meeting

At the request of the Chairman, a member of the public spoke on behalf of the public present to express the views of users and carers. The spokesperson stated that they wished the consultation to be meaningful to the users and carers, and wished to be involved in the designing of the consultation document. They felt that the consultation document was not user friendly. They also endorsed the requisition put forward by Members.

Individuals Services Overview & Scrutiny Committee, 12 April 2011

The Committee discussed the issues around the timescale of the consultation and members asked for consideration to be given to lengthening the period so that all issues could be looked at.

After further discussions, the matter was put to a vote.

The proposal that the requisition be upheld (and therefore that the matter be referred back to Cabinet for further consideration) was LOST (by 4 votes to 2), and it was therefore **RESOLVED:**

That the requisition of the Cabinet decision held on 18 May 2011 not be upheld.

The voting was as follows:

Councillors Alexander and Van Den Hende voted for the requisition
Councillors Brace, Brice-Thompson, Bull and Light voted against the requisition.

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Chairman

19 July 2011



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Personalisation and the Voluntary Sector

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Joe Coogan – Assistant Director Commissioning

Agenda Item 6



Personalisation and the Vol Sector

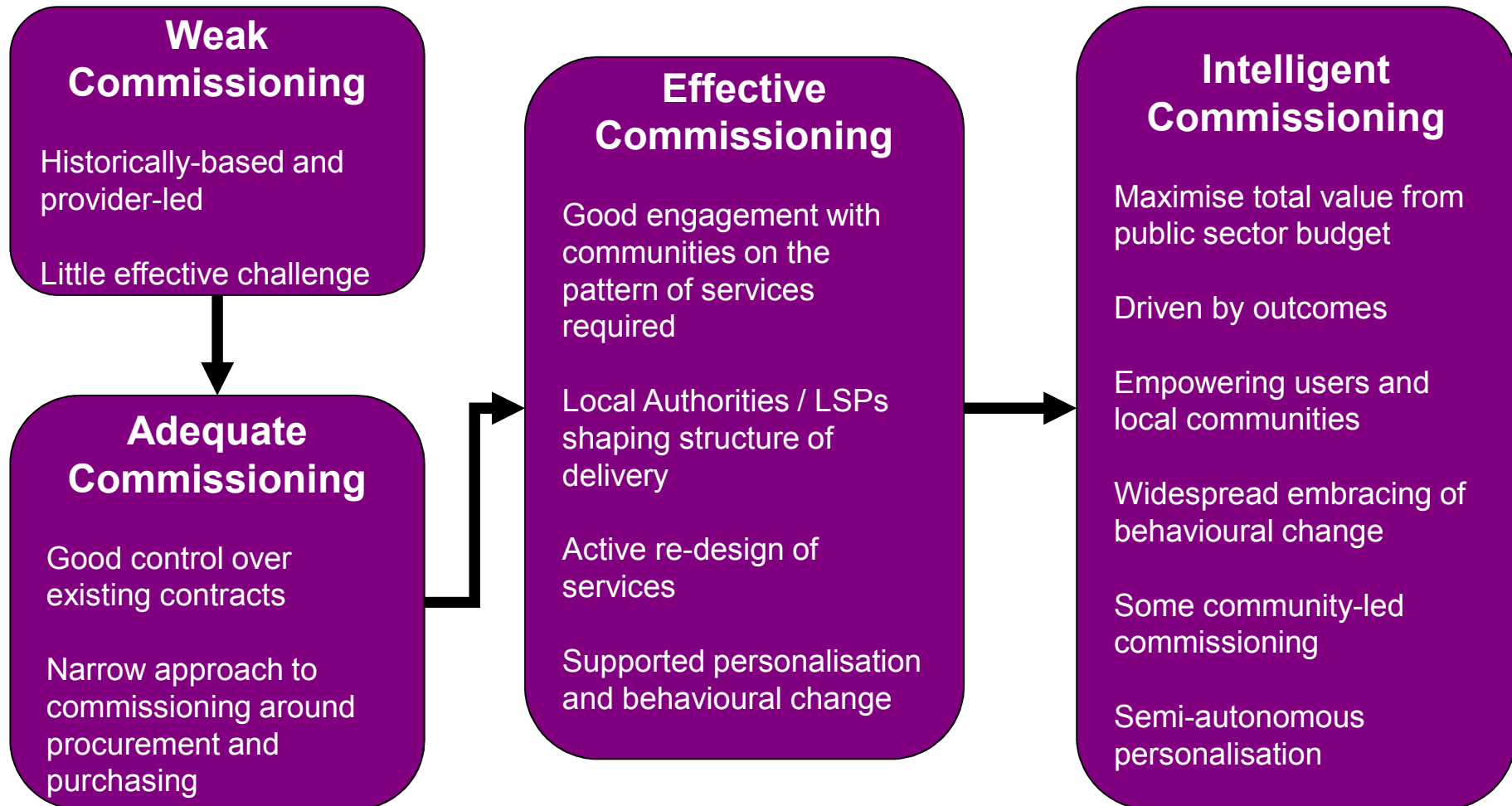
- The flow of funding is changing, customers are empowered to choose services they want and value
- The Council now directly provides very few services, this presents opportunities for the voluntary sector
- The voluntary sector is evolving to adapt to the changing environment
- Increasing pressure on funding, but Havering has managed to minimise the impact so far



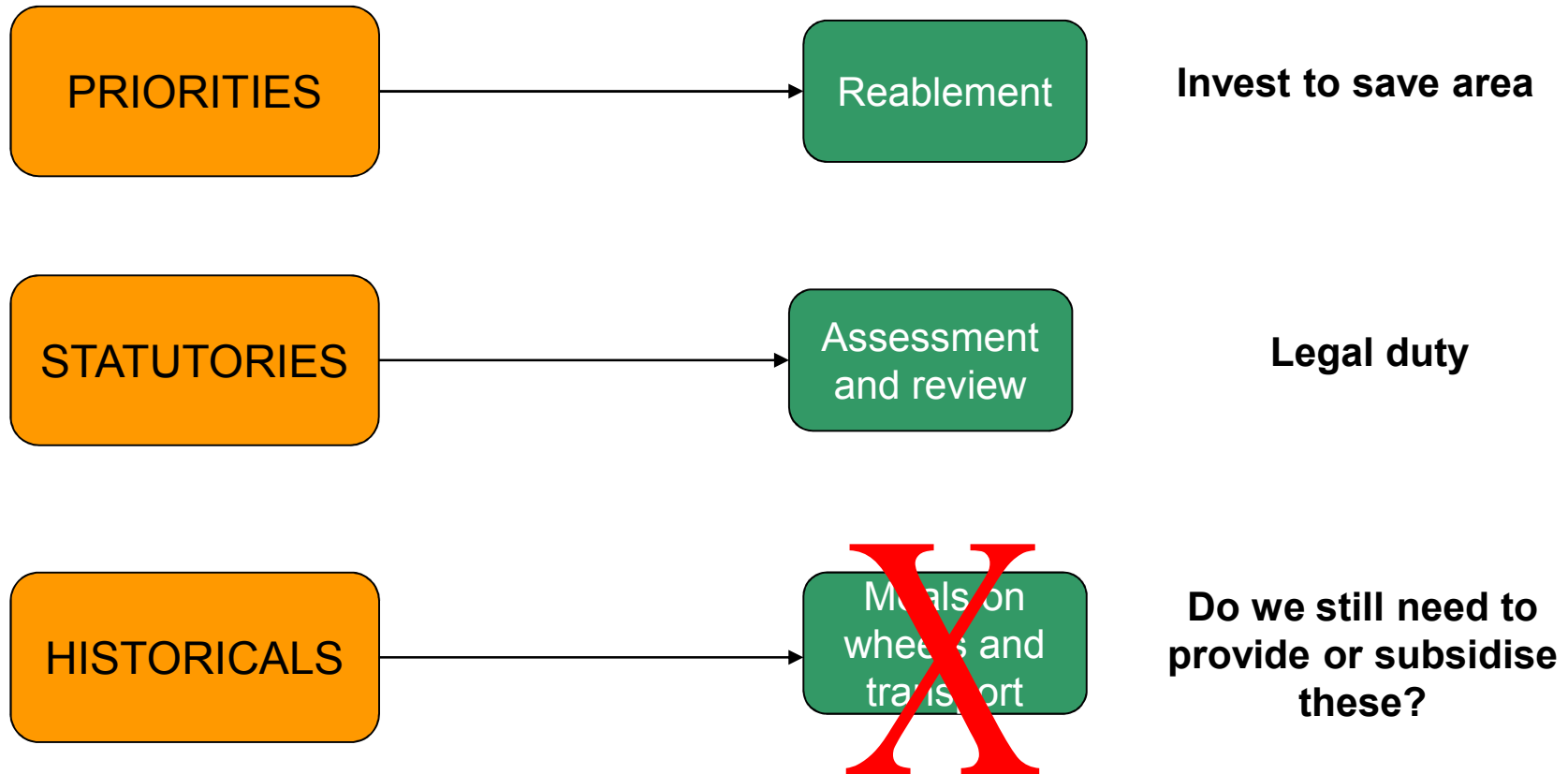
Prevention and Personalisation

- More choice – for example older peoples day opportunities
- More innovation – providers developing new services to sell to customers with personal budgets and self payers
- Better Outcomes – Now 31% have control of budgets
- “Now my care fits around my life, not my life around my care” Havering Customer 2010
- Less contracting and grants, more market stimulation, support with some regulation

Intelligent Commissioning- What Havering Needs to do



Shifting Resource to Prevention





The Voluntary Sector – New Ways of Working

- New social enterprise established 'People 4 People'
- Dragons Den – to stimulate new services, especially day opportunities for people with a learning disability
- User Led Organisation – in progress
- Support and advice to assist gradual shift from grants to attracting personal budgets and self payers



Growth Opportunities

- Joint Health and Social Care Funding, £3m+ for two years
- Advice and Information- new integrated approach
- Harnessing the power of volunteers for prevention and low level support – bid submitted
- Day Opportunities for L/D- (subject to consultation)
- Transport
- Brokerage

The Voluntary Sector- Summary

- Challenges but also opportunities
- The % spend from Social Care and Learning with the Voluntary Sector will increase
- The most adaptable with the best products will prosper
- Clear direction and leadership needed, doing nothing probably isn't an option



INDIVIDUALS OVERVIEW AND SCRUTINY COMMITTEE

DAY OPPORTUNITIES FOR PEOPLE WITH LEARNING DISABILITIES

- **Objectives**

To look at the consultation process regarding the Council's Review of Day Opportunities for People with Learning Disabilities.

- **Setting parameters**

The group had its first meeting on 11 July 2011, and discussed the details of the consultation. There were a series of meetings and events that had been carried out since the start of the consultation, and a number of meetings/ events for future dates.

It was agreed that individual members would visit locations and event as they felt necessary and the group would meet again at the end of the consultation.

- **Target date for completion**

The date of the next meeting is 23 August 2011. This meeting will be to conclude the group and to establish that the consultation process had been carried out effectively.

There will be no formal report following this meeting although it is hoped to brief the OSC on progress at a future meeting of the full committee.

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INDIVIDUALS OVERVIEW & SCRUTINY COMMITTEE

REPORT

19 July 2011

Subject Heading:

ADULT SOCIAL CARE COMPLAINTS,
COMMENTS AND COMPLIMENTS
ANNUAL REPORT 2010-2011
Andrew Ireland

CMT Lead:

Report Author and contact details:

Veronica Webb
Senior Complaints & Information Officer
Scimitar House, Romford RM1 3NH
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Adult Social Care Statutory Complaints
Policy & Procedures

Policy context:

Financial summary:

There are no specific financial implications, as costs are contained within the Adult Social Care budget.

The subject matter of this report deals with the following Council Objectives

- Clean, safe and green borough
- Excellence in education and learning
- Opportunities for all through economic, social and cultural activity
- Value and enhance the life of every individual
- High customer satisfaction and a stable council tax

SUMMARY

1. It is a requirement for the annual report to be considered by Members and to be published under The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.
2. This report covers Adult Social Care complaints for the period between April 2010 – March 2011.

RECOMMENDATIONS

3. That Members note the contents of the annual report for 2010-11 regarding Adult Social Care complaints and the continued efforts to resolve complaints at an early stage.
4. That Members note the important role of complaints in identifying service improvements.

REPORT DETAIL

5. The number of complaints have decreased by 13% from last year and efforts will need to be made to ensure that publicity and accessibility is explored.
6. External providers are receiving the highest number of complaints, however this has continued to decrease from previous years, with a 44.8% decrease in homecare complaints and 22.2% decrease in complaints involving residential/nursing homes..
7. Adult Social Care Teams have had a slight increase in complaints from last year across most services.
8. The report has highlighted the increase in the complaints raised around quality, level and need of a service as well as behaviour of staff. This will need to be closely monitored over the following year.
9. Response times for complaints and member enquiries need to be improved, however it should be noted that where these have gone over the timescale, they have usually involved other factors, i.e. involvement of other external agencies or recording practices.
10. The monitoring information will be reviewed and will be focussing on service users as complainants monitoring information has been unreliable.

11. Compliments have increased in some areas, however the new teams need to be encouraged to provide this information. With no Provider Forums taking place this year, there has been a decrease in the number received from provider agencies.
12. The changes across Adult Social Care and Complaints will help to develop and lead to improvements in service delivery.

IMPLICATIONS AND RISKS

Financial implications and risks:

There are no specific financial implications to this report. Costs of providing the Adult Social Care Complaints, Comments and Compliments Services were contained within the 2010/11 Adult Social Care allocated budgets.

Legal implications and risks:

There are no apparent direct legal implications arising from noting of the Annual Report

Human Resources implications and risks:

With the introduction of the new structure in Adult Social Care to support a personalised approach to customer needs in the Havering community, targeted training around the required skills to effectively undertake this new focus will be important in ensuring that existing customers and potential customers receive the highest quality of service delivery possible.

As monitoring data from the complaints process will be used as an indicator of how well Adult Social Care is delivering its services to the community, continued upskilling of frontline and support staff in the new teams will be a key requirement to maintaining, and improving on, service standards. This will be an area included in the new workforce development plan for Adult Social Care staff and will be delivered with support from HR professionals from Internal Shared Services (ISS).

Equalities implications and risks:

Continued efforts will need to be made to interrogate the monitoring information to ensure that there is equal access to the complaints process and how this can be improved.

BACKGROUND PAPERS

1. Annual Report 2010-2011 Adult Social Care Complaints, Comments and Compliments

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ANNUAL REPORT 2010-2011

ADULT SOCIAL CARE

Complaints, Comments And Compliments

**Prepared for: Director of Social Care & Learning
Andrew Ireland**

**Assistant Director Transformation (Commissioning)
Joe Coogan**

**Head of Adult Social Care
David Cooper**

**Prepared by: Veronica Webb
Senior Complaints & Information Officer**

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

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ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

1. Executive Summary

There has been a major restructure within Adult Social Care with changes across all service areas, which came into effect from 1 April 2011. Adult complaints merged with Children's complaints, bringing together Information and Communications under one team from 1 March 2011. In that respect there will be changes to the annual report for next year, with a joint report covering both Children's and Adults.

It is noted that there has been a decrease in the number of complaints from last year. This will need to be explored and revisited in terms of publicity, training and accessibility.

This year again External Homecare and External Nursing/Residential Homes have the highest number of complaints. The overall number of complaints continues to decrease, with a decrease in the number of complaints about homecare of 44.8%. However, residential/nursing home complaints have increased by 24.1% from last year.

The report shows that there has been a significant increase in 'quality of service' and 'behaviour of staff' as complaint reasons from last year, which mainly have been attributed to the external provider agencies. Through the Quality and Suspension meetings a number of home care agencies and nursing/residential homes were suspended until standards were brought up to an appropriate level. It was found that where changes in management occurred, this had impacted negatively on the service. The Quality Team and the Complaints Manager work closely with the home care agencies and the residential/nursing homes, providing advice and guidance. In addition the Local Government Ombudsman issued guidance on complaints relating to self-funders, which was circulated to all provider agencies.

The changes to Adult Social Care will help to deliver a new more efficient and effective system of delivering adult social care services. The new system is arranged around four key stages:

- Front Door (Access)
- Reablement (Prevention)
- Assessment, Reassessment, Support Planning and Brokerage (purchasing support and managing budget)
- Review, Quality Assurance, Safeguarding and best use of resources.

The new system involves the creation of an enlarged Front Door team, offering prompt and accurate information, advice and services to people at the first point of contact. There will also be further development of the Reablement Service to widen the offer to more new and existing service users.

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

2. Introduction

Under the National Health Service and Community Care Act 1990 and Children Act 2004, it is a requirement for local authority Adult Social Care and Children's Services to have a system of receiving representations by, or on behalf of, users of those services. Havering Adult Social Care welcomes all feedback, whether this is a comment on improving the service, complaint on what has gone wrong with the service or compliment about how well a service or individual has performed.

Havering has adopted the statutory guidelines for complaints management as outlined by the Department of Health and good practice principles of the Local Government Ombudsman and has encompassed this within its new procedures as follows:

- Informal - where a complaint does not fit into the statutory process; is being dealt with by a provider agency; or is a minor concern which can be dealt with within 5 working days.
- Formal - **Local resolution** – where the complaint is considered low-medium risk aim to respond within 10 working days where possible. Where a complaint is considered medium – high risk aim to respond within 10-20 working days. Where a complaint is considered complex and may require an independent investigation, aim to respond within 25-65 working days. Timescales may vary in agreement with the complainant.

Although there is no longer a Stage 3 Review Panel in the regulations, it has been agreed within Havering to have an option for complaints to be reviewed by a Hearings Panel.

Complainants who remain dissatisfied will have the right to progress to the Local Government Ombudsman.

The time limit for complaints to be made has remained at 12 months.

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3. Complaints received

3.1 The number of complaints for 2010/11 has dropped by approximately 13% from the previous year and is the lowest number for four years. The Complaints, Information and Communication Team will continue to publicise the complaints processes to service users, to minimise the proportion of any reduction that can be attributed to lack of awareness about the process.

Total Number of Complaints			
2010/11	2009/10	2008/9	2007/8
141	192	217	197

3.2 The table below shows the Ombudsman referrals. The number of Ombudsman referrals is the lowest for four years. 'Ombudsman discretion' is where the Ombudsman decides not to pursue an investigation. 'Case completed not premature' means the local authority has responded to the Ombudsman and the provisional view from the Ombudsman has not yet been received .

	Apr10- Mar11	Apr09 - Mar10	Apr08 - Mar09	Apr07 – Mar08
Local settlement with penalty		3		
No maladministration after investigation		1		
Ombudsman discretion	1	1	2	1
Cases under investigation/ongoing			2	3
Maladministration			1	
Cases completed not premature	1			
Premature				1

3.3 The table overleaf shows the breakdown of complaints for teams, which takes into account complaints that may involve more than one team.

3.3.1 External home care, although receiving the highest number of complaints, as at 31 March 2011 had 1,497 clients receiving home care on average per week, with 12,840 hours being provided. This means that for every 42 clients and for 366 hours of care there is just one complaint. Of those complaints involving external home care agencies, there were six (20.67%) on Individual Service Funds (ISF); two (6.90%) on Direct Payments and two (6.90%) on Personal Budgets. The remainder are from clients continuing to use traditional services.

3.3.2 Across Adult Social Care Teams there has been a slight decrease from last year, for Care Management & Review, Mental Health and Physical Disability Teams, with a slight increase for Learning Disability Team. The number of complaints involving Occupational Therapy has significantly decreased by 48%.

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	Apr10- Mar11	Apr09- Mar10
Adult Protection Team	1	0
Appointee and Receivership	1	0
Commissioning	3	1
Day centres	2	1
Direct Payments	2	1
External Homecare	35	44
External Nurs/Res	29	22
Havering Direct	11	13
Hospital Discharge Team	16	16
In House Homecare	0	0
LD 62 Western Road	0	0
LD Nason Waters	0	2
LD St Bernards	0	0
LD Team	8	6
MH CMHT Romford	1	0
MH MHAIT Team	0	1
MH Mental Health Provider Team	4	5
Meal on Wheels	2	0
Non Social Services	4	13
OP Care Assessment & Review	17	19
OT Team	16	31
PD Team	2	4
PD Yew Tree Lodge DC	1	2
Reablement	1	1
Royal Jubilee Court	0	1
St Georges ICAT Team	0	4
Transport	3	2
Welfare Rights Unit	0	1

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3.4 The table below shows the breakdown of complaints by resolution stages. Complaints are again this year being dealt with at an early stage, preventing escalation. It should also be noted that informal complaints also include provider agency complaints. There were two joint health and social care complaints this year.

	Enquiry	Formal	Informal	Joint health and adult social care formal complaint
Adult Protection Team			1	
Appointee and Receivership		1		
Commissioning	1	1		
Day Centres			2	
Direct Payments			2	
External Homecare	1	8	21	
External Nurs/Res	2	8	19	
Havering Direct		4	1	
Hospital Discharge Team		4	9	2
LD Team		4	4	
MH CMHT Romford			1	
MH Mental Health Provider Team		3	1	
Meal on Wheels			2	
Non Social Services	1	1	1	
OP Care Management & Review	2	9	5	
OT Team		5	10	
PD Team			1	
PD Yew Tree Lodge DC	1	1	1	
Reablement Service			1	
Transport	1		2	

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3.5. The table below shows the reasons for complaints. Complaints about 'Quality of Service' have increased by 96.9% from last year, as well as 'Behaviour of Staff' (81.8%), which will need to be closely monitored. Complaints about 'Level of Service' and 'Need of Service' have also increased from last year. This may be representative by the number of reviews that have taken place over the year resulting in changes in service provision. Adult Social Care is also driving to increase service users' independence where possible. This may involve the withdrawal or reduction of an existing service, where a detailed assessment has found that level of service to be contrary to promoting the service user's independence.

	Access to Information	Behaviour of Staff	Change of Service	Closure of Service	Data protection	Delay in Decision Making	Delay to implement a Service	Dispute decision
Apr10-Mar11	4	22	4	2	1	2	11	16
Apr09-Mar10	3	4	2	0	0	0	2	23
	Eligibility	External to Social Services	Financial Issues	Incorrect Information	Incorrect Invoicing	Incorrect assessment	Lack of Communication	Level of Service
Apr10-Mar11	5	4	14	4	1	5	24	27
Apr09-Mar10	8	4	7	2	0	2	17	7
	Need of Service	Non Delivery of a Service	Quality of Service	Safeguarding Issues	Welfare Concerns			
Apr10-Mar11	27	7	33	3	19			
Apr09-Mar10	15	8	1	1	7			

3.6 The chart below shows the complaint outcomes. Where compensation was offered this was in relation to external providers. As last year, 'Explanation Given' is the main outcome. This reinforces the need to ensure that information is clear, precise and accurate.

	Apology given	Assessment to be carried out	Assistance to find alternative services	Change in Practices	Change in Procedures	Change of Provider	Change of Social Worker
Apr10-Mar11	29	13	4	5	1	1	2
Apr09-Mar10	30	16	3	2		1	0
	Compensation Offered	Complaint Withdrawn	Explanation given	Financial Assistance awarded	Hours increased	Information given	
Apr10-Mar11	2	1	43	0	7	1	
Apr09-Mar10	0	3	58	1	0	0	
	No further action required	Progressed to Formal	Re-Imbursement	Services Reinstated	Training Identified	Other	
Apr10-Mar11	5	0	0	1	1	12	
Apr09-Mar10	5	2	1	0	7	30	

4. Complaint Response Times

Efforts continue to increase performance in meeting response deadlines. There has been a slight improvement from last year on responses between 10-20 days and over 20 days, but improvement is needed on responding within 10 days.

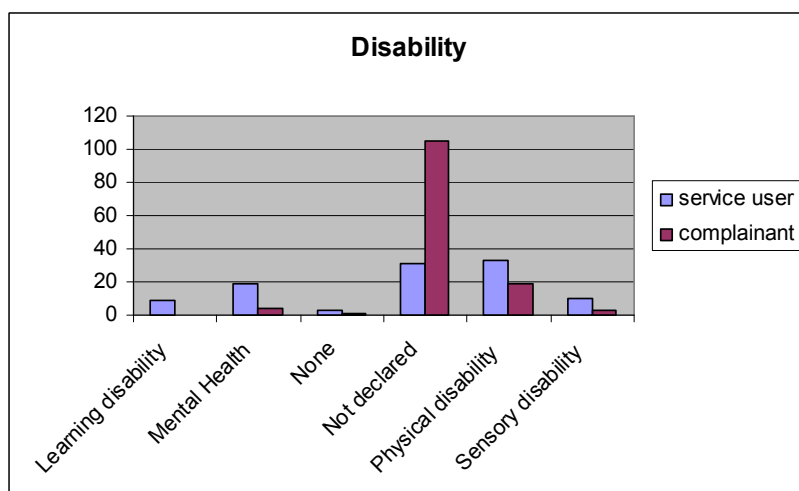
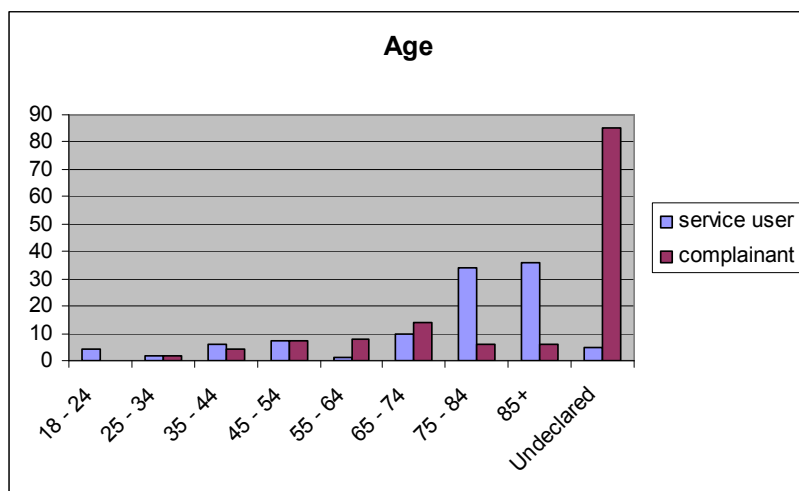
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It should be noted that 65% of complaints responded to over 20 days involved external agencies, who operate under different timescales. The Complaints, Information and Communications Team will continue to work with the Quality Team and these providers, to emphasise the importance of responding swiftly and effectively to service users' complaints or enquiries.

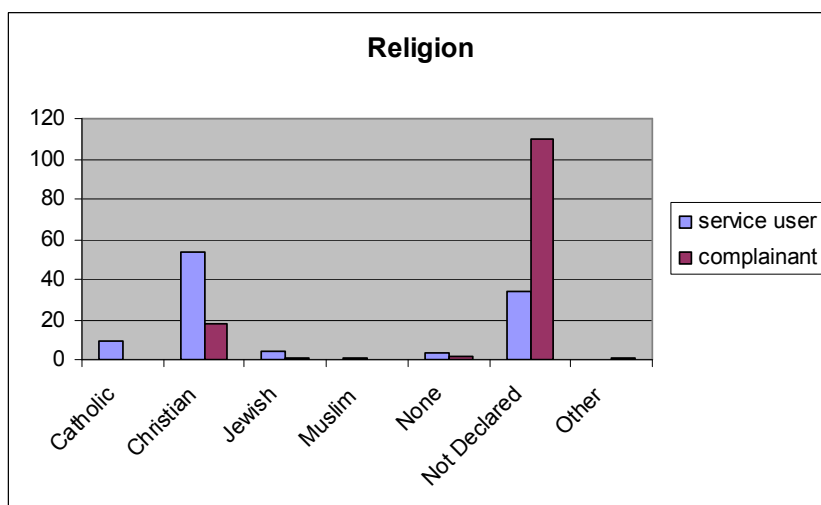
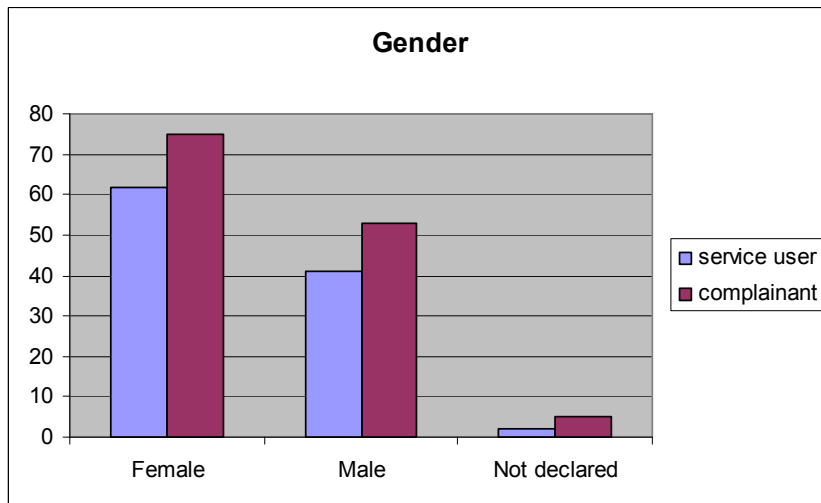
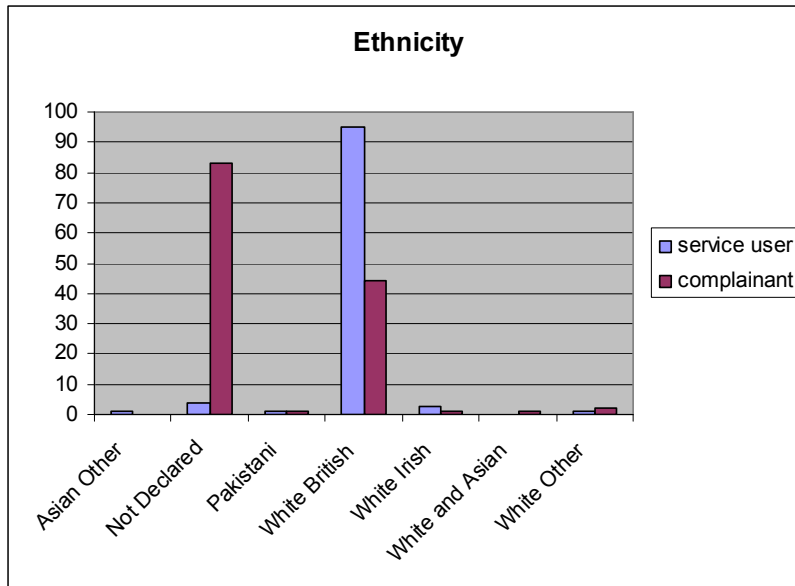
	Within 10 days		10-20 days		Over 20 days	
	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10
Informal	50.00%	57.2%	21.95%	17.9%	26.83%	24.8%
Formal	20.41%	22.9%	24.49%	22.9%	46.94%	54.2%

5. Monitoring Information

The following charts show the breakdown of age, disability, ethnicity, gender and religion for service users and complainants. Monitoring information is to be reviewed, focusing on the service user. Complainant's information is not always reliable, i.e. complainant may complete monitoring information as the service user, not themselves.



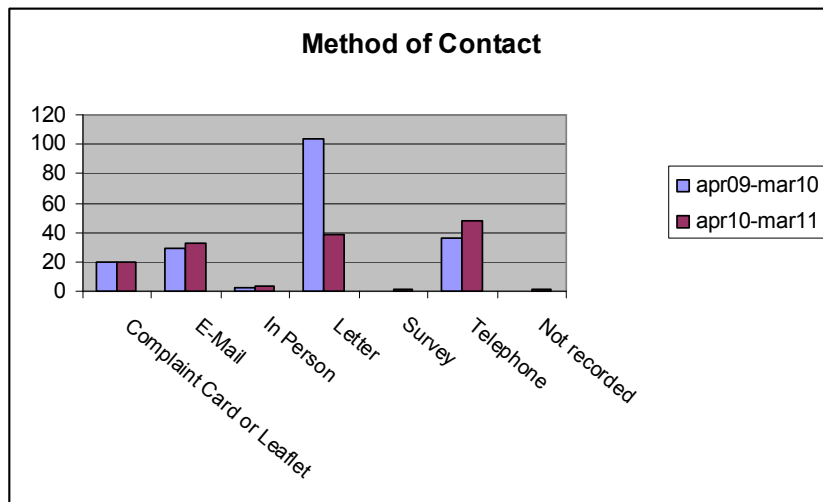
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6. How Complainants Contacted Us

There has been a shift from letter to telephone as being the preferred method of contact this year, with also an increase in those preferring to contact us by e-mail.



7. Expenditure

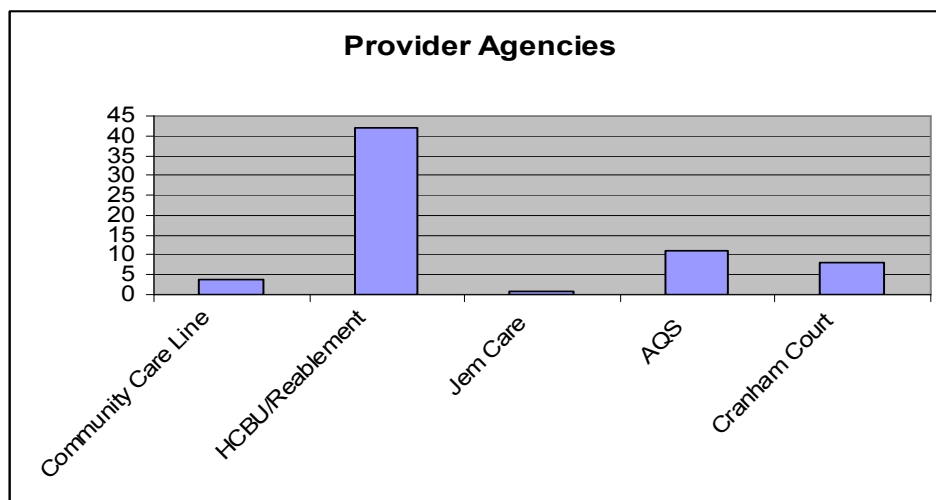
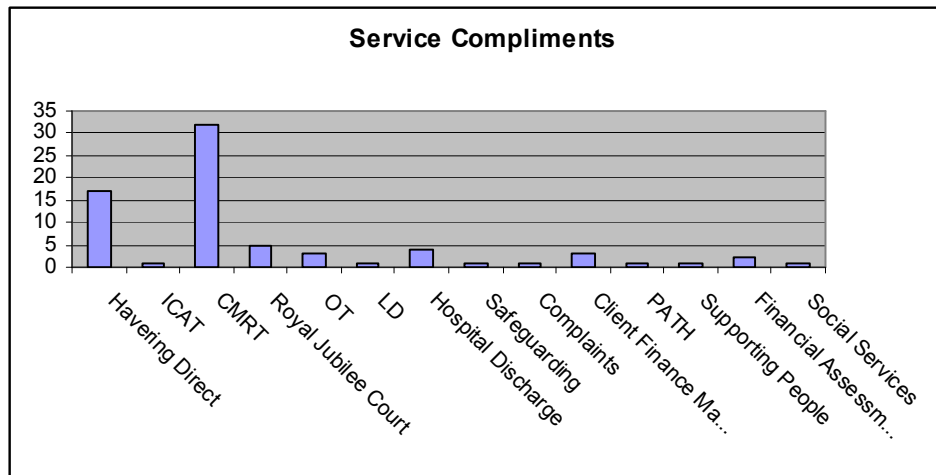
Expenses incurred this year was for the reprinting of the complaints leaflets and contained within the Adult Social Care, Quality & Performance Team budget. With the merging of Children's and Adults Complaints, any future expenses in relation to publicity will be met within the Complaints, Communications & Information Team budget. Expenses incurred for Adult Social Care in relation to independent investigators, reimbursement/compensation will continue to be met through the relevant service area.

	Apr10-Mar11	Apr09-Mar10	Apr08-Mar09
Independent Investigator	0	£1,800	£5,634.14
Ex-gratia/reimbursement	0	£892	£11,024
Publicity material (leaflets)	530.15	£598	£1,598
TOTAL	£530.15	£3,290	18,256.14

8. Compliments

Overleaf is a breakdown of compliments received by teams and provider agencies. With the introduction of satisfaction surveys being used within Care Management & Review Team, their compliments increased significantly. Provider Forums did not take place this year and this may have resulted in the decrease in the number of compliments received from provider agencies.

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Some examples of the types of compliments received are as follows:

'I appreciate the help and support I was given by the Social Services Teams and London Borough of Havering. Without such help, life would have been very difficult.'
(Care Management & Review Team)

A customer praises the prescription method 'It was lovely to go and choose as it made them feel more involved in the process.'
(Occupational Therapy)

'I would like to thank you very very much for all your help with my father's finances.'
(Appointeeship & Receivership)

'I would like to take this opportunity to thank you and your colleagues.. most sincerely for the first-rate service you have provided me.. like to commend my key worker .. for the excellent manner in which he carried out his duties..' (Community Care Line)

'It has been of considerable comfort to my brother and myself to know that they (parents), and we, have had such efficient and caring support....' (Hospital Discharge Team)

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'... has worked 100% and under these difficult times he is a credit to the social services and the learning disabilities team.' (Learning Disability Team)

'The quality of care, facilities, atmosphere, comfort and surroundings are first class.' (Royal Jubilee Court)

..'nurses and carers for mum were so professional, compassionate and so very caring.' I always felt secure knowing she was being well looked after whilst I could not be with her and that she was safe. ..' (Cranham Court Nursing Home)

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9. Member Enquiries

There have been a total of 67 MP/Councillor enquiries this year for Adult Social Care, with 70% being completed within 10 days and 30% outside 10 days. Although it is recognised that there needs to be improvement to responses outside 10 days, there are two factors that contribute to this. Firstly, a number of those completed outside 10 days have involved external agencies and secondly, the recording on the Customer Relations Management (CRM) system does not take into account the actual response date, but when it is closed on the system. Efforts are underway to address the reasons for delay and how the process can be improved.

10. Conclusion

With the changes across the services within Adult Social Care moving towards a front door approach, the emphasis will be to deal with enquiries, complaints and issues as soon as possible, providing the appropriate support, advice and guidance. The structures were implemented in April 2011, and therefore will need time to be fully embedded. Complaints will play an important role in identifying possible areas for improvement over the next year.

The report has highlighted again the need for clear, accurate, precise and consistent information. The bringing together of Children's and Adult Complaints, Information and Communications functions within one team, will help to achieve this. The developments to the Council website and intranet will also contribute towards improvements in this area.

It will be important to monitor the impact of the new legislation that has given further powers to the Local Government Ombudsman around provider agency complaints and self-funders to see what additional information can be captured through this route.

For the year ahead there needs to be a focus on our new teams to ensure that they are equipped with the training, advice and guidance necessary to ensure that the service provided is of the required standard.

11. Complaints Action Plan

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
Information provided to service users inconsistent	Clarity of service provision to be given in a consistent manner at outset	Induction programme for new and existing staff	Quality & Safeguarding	Currently being developed - review October 2010	Induction and training for staff on the transformation agenda has taken place. The induction pages has been improved and being piloted. Additionally an Adult Social Care website is being developed, which will provide high quality and accessible information for both staff and the public in one place.
Disputes on eligibility criteria for disabled parking bays	Written criteria needed at outset to inform service users.	Information letter outlining criteria will be provided at point of contact	Occupational Therapy	To be implemented July 2010 – review October 2010	This was implemented and there has been no further complaints.
Communication between staff and service users is poor	<ul style="list-style-type: none"> requests for change in social worker not acknowledged Process for notifying service users when key staff leave i.e. via e-mail Service users require updates on progress of their cases, e.g. decisions taken at Panel, outcome of assessments etc. 	<ul style="list-style-type: none"> Change in social worker requests to be responded to in writing. E-mail account identifies or is forwarded to designated person and ICT to be notified of termination 1 month after person has left. Electronic/ manual systems to be explored. 	<p>All Service Areas</p> <p>All Service Areas</p> <p>Performance/ Corporate</p>	<p>Currently being implemented across all service areas – review October 2010</p> <p>Ongoing</p>	<ul style="list-style-type: none"> With the changes across all services within Adult Social Care, this will need to be revisited with the new teams. This also will need to be revisited, not only in light of the changes across Adult Social Care, but also with the introduction of Shared Services. As part of the corporate direction to provide customers access to their information, the website is currently being developed/ updated which will be looking to integrate the CRM database. This is at its first phase.

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INDIVIDUALS OVERVIEW AND SCRUTINY COMMITTEE

Subject Heading:	Committee’s Work Programme
CMT Lead:	Ian Burns, Acting Assistant Chief Executive- Legal and Democratic Services
Report Author and contact details:	Wendy Gough Committee Administration 01708 432441 wendy.gough@havering.gov.uk
Policy context:	To agree the Committee’s work programme for the 2011/12 municipal year.
Financial summary:	None – overview and scrutiny work will be covered by existing resources

SUMMARY

At this stage of the municipal year the Committee is required, so far as is practicable, to agree its work programme for the forthcoming year. This applies to both the work plan for the Committee as a whole and to the subject of any topic group run under the Committee’s auspices.

RECOMMENDATIONS

That the Committee agree its work programme for 2011/12 municipal year.

REPORT DETAIL

Shown in the schedule at the end of the report is a draft work programme for the Committee's four remaining meetings during the municipal year (this does not include the Joint Overview and Scrutiny meeting to consider the Council's budget). This has been drawn up by officers following initial discussions with the Chairman.

Members will note that a significant proportion of the workplan has been left blank at this stage. This is to reflect the fact that Members may well wish to select further issues for scrutiny. In addition, previous experience has shown that it is beneficial to leave some excess capacity for scrutiny in order to allow the Committee to respond fully to any consultations or other urgent issues that may arise during the year.

Additionally, the Committee has the power to select an issue for more in depth scrutiny as part of a topic group review. Council has recommended that, in view of limited resources, only one such topic group is run at any one time. The Committee is therefore requested to consider what should be the subject of its next topic group review, if any.

IMPLICATIONS AND RISKS

Financial implications and risks: None – it is anticipated that the work of the Committee can be supported from existing resources.

Legal implications and risks: None

Human Resources implications and risks: None

Equalities implications and risks: None

BACKGROUND PAPERS

None.

Schedule: Draft Work Programme for Individuals Overview and Scrutiny Committee.

Meeting 1 (27 Sept 11)	Meeting 2 (1 Nov 11)	Meeting 3 (7 Feb 12)	Meeting 4 (11 April 12)
Results of Audit of Skills and Competencies in Mental Health	Customer Services Interface – progress so far	Autism Plan – update	Review of Dementia Strategy Joint Topic Group
Dial-a-Ride Update	Assistive Technologies – presentation	Advice and Information - signposting	Safeguarding and Dignity in Care
Integrated Case Management	Draft Culture Strategy		Budget Variance Report
Budget Variance Report			Annual Report

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