



# Havering

L O N D O N   B O R O U G H

## ADJUDICATION AND REVIEW COMMITTEE AGENDA

<b>7.00 pm</b>	<b>Thursday 24 November 2016</b>	<b>Town Hall</b>
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Members 10: Quorum 4

### COUNCILLORS:

#### **Conservative ( 4 )**

Garry Pain (Chairman)  
Roger Westwood (Vice-Chair)  
Meg Davis  
Michael White

#### **Residents' ( 2 )**

John Mylod (Vice-Chair)  
Julie Wilkes

#### **East Havering Residents' ( 2 )**

Alex Donald  
Linda Van den Hende)

#### **UKIP ( 1 )**

David Johnson

#### **Independent Residents' ( 1 )**

Michael Deon Burton

**For information about the meeting please contact:  
James Goodwin Tel: 01708 432432  
e-mail: [james.goodwin@onesource.co.uk](mailto:james.goodwin@onesource.co.uk)**

## **Protocol for members of the public wishing to report on meetings of the London Borough of Havering**

Members of the public are entitled to report on meetings of Council, Committees and Cabinet, except in circumstances where the public have been excluded as permitted by law.

Reporting means:-

- filming, photographing or making an audio recording of the proceedings of the meeting;
- using any other means for enabling persons not present to see or hear proceedings at a meeting as it takes place or later; or
- reporting or providing commentary on proceedings at a meeting, orally or in writing, so that the report or commentary is available as the meeting takes place or later if the person is not present.

Anyone present at a meeting as it takes place is not permitted to carry out an oral commentary or report. This is to prevent the business of the meeting being disrupted.

Anyone attending a meeting is asked to advise Democratic Services staff on 01708 433076 that they wish to report on the meeting and how they wish to do so. This is to enable employees to guide anyone choosing to report on proceedings to an appropriate place from which to be able to report effectively.

Members of the public are asked to remain seated throughout the meeting as standing up and walking around could distract from the business in hand.

## **AGENDA ITEMS**

### **1 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.

### **2 APOLOGIES FOR ABSENCE & SUBSTITUTE MEMBERS**

(if any) – receive.

### **3 DECLARATIONS OF INTERESTS**

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 - 10)

To approve as correct the minutes of the meeting held on 16 August 2016 and authorise the Chairman to sign them.

### **5 ADULT SOCIAL CARE COMPLAINTS AND COMPLIMENTS REPORT** (Pages 11 - 32)

Report attached.

### **6 CHILDREN AND YOUNG PEOPLE SERVICES COMPLAINT AND COMPLIMENTS ANNUAL REPORT** (Pages 33 - 56)

Report attached.

### **7 LEARNING AND ACHIEVEMENT COMPLAINT AND COMPLIMENTS ANNUAL REPORT** (Pages 57 - 70)

Report attached.

### **8 UPDATE ON CORPORATE COMPLAINTS** (Pages 71 - 100)

Report attached.

### **9 MEMBERS / MP ENQUIRIES QUARTER 2 REPORT - (JULY TO SEPTEMBER 2016)** (Pages 101 - 106)

Presentation attached.

**Andrew Beesley**  
**Head of Democratic Services**

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**MINUTES OF A MEETING OF THE  
ADJUDICATION AND REVIEW COMMITTEE  
Town Hall, Main Road, Romford  
16 August 2016 (7.00 - 7.40 pm)**

**Present:**

**COUNCILLORS**

<b>Conservative Group</b>	Roger Westwood (Vice-Chair, in the Chair) and Meg Davis
<b>Residents' Group</b>	John Mylod (Vice-Chair) and Julie Wilkes
<b>East Havering Residents' Group</b>	Alex Donald and Linda Van den Hende
<b>UKIP Group</b>	David Johnson
<b>Independent Residents Group</b>	Michael Deon Burton

Apologies were received for the absence of Councillors Garry Pain.

All decisions were taken with no votes against.

The Chairman reminded Members of the action to be taken in an emergency.

**19 MINUTES**

The Minutes of the Meeting held on 12 May 2016 were accepted and signed by the Chairman.

**20 CORPORATE COMPLAINTS QUARTERLY UPDATE**

Members were provided with a presentation from the Senior Complaint and Investigation Officer. The number of complaints dealt with at Stages One and Two of the Corporate Complaints process to 30 June 2016 was 604 with 594 (98%) completed within the 15 working days allowed. This compared with 814 complaints to 30 June 2015 of which 674 (83%) were completed within 15 working days. There were no escalations to Stage Three.

The Committee was provided with a number of charts with data showing how these statistics were apportioned across the Council's services and these are appended to the Minute.

The Senior Complaint and Investigation Manager informed Members that changes had been made to the way in which complaints were recorded and

this had had some impact on the figures. Members expressed their satisfaction with the way in which the process appeared to be working.

In response to a question from a member, the Senior Complaint and Investigation Officer confirmed that all requests for a complaint to be escalated to Stage Two was reviewed by the Chief Executive (CE) and if he considered that the response at Stage One had addressed the matter, the complainant was informed that their request had been declined and that the complaints process had been completed. If they remained dissatisfied, they could approach the appropriate Ombudsman. She also confirmed that the CE checked every response at Stage Two before it was sent and this ensured that the matter remained consistent and compliant with the procedure – as evidenced recently when the LGO complimented the Council on its complaints procedure.

The Committee thanked the Senior Complaint and Investigation Officer for her presentation.

## **21 MEMBER ENQUIRIES QUARTERLY UPDATE**

The Senior Complaint and Investigation Manager provided the Committee with a presentation concerning MP and Member enquiries for the period 1 April – 30 June 2016. She emphasised that the figures only represented those enquiries received and posted on CRM and added that since the previous year efforts had been made to identify and strip out complaints so that only enquiries were recorded. These efforts would continue.

Members were informed that during the quarter there had been 882 enquiries of which 855 had received answers within the 15 working days and this compared with 504 enquiries for the same period in 2015 of which 433 (86%) had been completed within the response period. The low figure for enquiries during the previous year could – in part – be attributed to a good number of them being recorded as “complaints” and whilst Members could – and did – complain on behalf of their constituents, mixing them with enquiries skewed both data sets.

Members expressed their satisfaction with the efforts being made to ensure that the information being provided was as accurate as possible and were pleased that the direction of travel of completions was positive.

The Committee thanked the Senior Complaint and Investigation Manager for her presentation.

## **22 LGO AND HOUSING OMBUDSMAN ANNUAL REVIEW UPDATE**

The Senior Complaint and Investigation Manager provided Members with a presentation concerning the Annual Statement from the LGO.

Members were informed that during the year 1 April 2015 – 30 March 2016, the LGO had recorded 97 complaints against the Council. Of these 23 resulted in an investigation. Of the 23 investigations, 14 were upheld. This represented 61%, but only 14% of the total recorded by the Ombudsman.

To put this into a broader perspective, Members were informed that neighbouring boroughs – such as Barking and Dagenham (147 cases with 30% upheld), Newham (248 cases of which 63% were upheld) and statistical neighbours: Croydon (212 – 51% upheld) and Bromley (169 – 60% upheld).

In more detail, Members were informed that of those cases upheld, five were for Adult Care Services – and in answer to a question, this was focused primarily on charging and care home provision. Housing Services (not covered by the jurisdiction of the Housing Ombudsman but more to do with homelessness etc.) had three complaints upheld, Highways had two and Environmental Services, Planning, Education/Children's Services and Benefits and Tax each had one case upheld. In answer to an enquiry from Members, the Senior Complaint and Investigation Manager stated that the education complaints were mostly from parents dissatisfied with the results of school appeals whilst the benefits/tax issues were largely to do with the involvement of bailiffs or NNDR matters.

In conclusion, Members were informed that a recent training day with the LGO had been very well received. Positive relations were being developed with the staff there and that the LGO had been very complimentary, not only about the Council's complaints procedure, but of its persistent and vexatious complaints policy (modelled on its own guidelines) and that this positive relationship augured well for the future.

The Committee thanked the Senior Complaint and Investigation Manager for her presentation, noting the positive application of the processes under her management and the encouraging feed-back from the LGO. The Committee urged her and her team to continue developing and refining the process and felt confident that this would be done.

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**Chairman**

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## Quarter 1 Overview Corporate Complaints and Members/MP Enquiries

Carol Ager  
16<sup>th</sup> August 2016

## Corporate Complaints April to June 2016

### How many complaints have we received?

#### From 1<sup>st</sup> April to 30<sup>th</sup> June 2016


604 complaints were logged (Stage 1 and Stage 2)  
Of those 594 (98%) were completed in 15 working days

#### From 1<sup>st</sup> April to 30<sup>th</sup> June 2015


814 complaints were logged (Stage 1 and Stage 2)  
Of those 674 (83%) were completed in 15 working days

### Service breakdown - April to June 2016


	Stage 1	No in time	%	Stage 2	No in time	%
Asset Management	1		100%			
Benefits (A-K)	2		100%			
Benefits (L-Z)	9					
Business Rates	2	1	50%			
Businesses	1		100%			
Communications	5		100%			
Council Tax	25		100%	1		100%
Crematorium	4		100%			
Customer Services	42		100%			
Development & Trans Planning	1		100%			
Enforcement	0			1		100%
Housing - Anti social behaviour	2		100%			
Housing - Other	114		100%	8	7	88%
Housing - Repairs	35		100%	6	5	83%
Learning & Employment	6	4	83%			
Legal & Governance	2		100%			
Leisure Centres and Sport	2		100%			
Library Services	13		100%	2		100%
Parks and Open Spaces	16		100%			
Planning & Building Control	13	9	69%	3		100%
Public Health	0					
Public Protection	16	14	88%	1		100%
Regeneration	1		100%			
Registrar Services	7		100%			
Roads and Pavements	36		100%	7		100%
Social Care Adults	1		100%			
Social Care Children's	1		100%	1		100%
Street Cleansing	34		100%	7		
Traffic and Parking Control	87		100%	5		100%
Transactional Services	1		100%			
Waste and Recycling	78		100%	5		100%
<b>Totals</b>	<b>557</b>			<b>47</b>		

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Complaints escalated to Stage 2 between April and June 2016			
	Stage 1 Complaints Logged	Stage 2 Complaints Logged	Escalated to Stage 2 (%)
April	148	11	7.43%
May	188	10	5.31%
June	221	26	11.76%
Total	557	47	8.44%

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Lessons learned	
Situation	Lesson learned
Very late reporting of missed green waste collection by customer who does not have internet access.	Information on Council's web page clearly advises missed green waste collections are to be reported no later than 4.30pm the day after a scheduled collection day. This information is not available anywhere other than on the internet.
Neighbours were not included in advisory letters of a planned development next door to them.	Whilst the Planning decision is likely not to have been any different if the complaint had the opportunity to make their objections, the Service has been asked to review the checking process when sending notices to neighbouring properties.
Customer was cutting a tree on behalf of a neighbour and was visited by an enforcement officer following a complaint.	Customer did have a letter from the Council allowing him to carry out maintenance on the tree, but officers were unable to trace it at the time of the visit. Detailed procedures have now been put in place to ensure records are available to those investigating allegations of unauthorised work on trees.
Customer signed an authority for the Council to deal with a 3 <sup>rd</sup> party but only for one of our services. Delays were then caused when the customer's representative wanted to discuss issues within other service areas and information could not be given without further signed authority.	One joined up authority form should be used by all services across the Council. SLT team to lead on the design and implementation of this in liaison with the Access to Information team.

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What Next?	
<ul style="list-style-type: none"> <li>• Continue working with service areas, especially those experiencing increased requests for Stage 2 complaints</li> <li>• Promote use of the Complaint Forum for staff to use as a vehicle for sharing working practices, issues etc</li> <li>• Continue to identify and challenge through audits</li> <li>• Review the Corporate Complaints Policy in October/November</li> <li>• Build and develop relationships with Ombudsmen – recent training from LGO was well received</li> </ul>	


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Questions / Comments ?	
Carol Ager	

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## Member/MP Enquiries

### April to June 2016


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## How many enquiries have we received?

**From 1<sup>st</sup> April to 30<sup>th</sup> June 2016**  
 882 Member / MP enquiries were received (those logged on CRM)  
 Of those 855 (97%) were completed in 15 working days

**From 1<sup>st</sup> April to 30<sup>th</sup> June 2015**  
 504 Member / MP were logged  
 Of those 433 (86%) were completed in 15 working days


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### Number of enquiries logged per service (April to June 2016)

	Number Logged	Closed in 15 days	Closed in 15 days (%)
Asset Management	1	0	0%
Business Rates	2	1	50%
Community Safety	1	1	100%
Council Tax	2	2	100%
Culture	1	1	100%
Customer Services	4	3	75%
Environmental Health	36	36	100%
Finance	1	0	0%
Housing – Management	7	7	100%
Housing – Retained Services	242	242	100%
Learning & Achievement	15	15	100%
Legal & Governance	3	2	67%
Leisure Centres & Sport	1	1	100%


	Number Logged	Closed in 15 days	Closed in 15 days (%)
Licensing	6	6	100%
Planning & Building Control	60	56	93%
Property Services	1	1	100%
Public Health	5	5	100%
Public Protection (Inc Trading Standards, Environmental Health & Noise Nuisance)	7	7	100%
Regeneration	2	2	100%
Registrar Services (Inc Birth, Death and Marriages)	1	1	100%
Roads and Pavements (Inc Street Lighting)	159	158	99%
Social Care Adults	30	19	63%
Social Care Children	11	6	55%
Street Cleansing (Inc Trees)	115	115	100%
Trading Standards	4	4	100%
Traffic and Parking Control	117	117	100%
Waste and Recycling	48	48	100%
<b>Total</b>	<b>882</b>	<b>855</b>	<b>97%</b>

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## Thank you for listening

## Questions?


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## Local Government Ombudsman Annual Review Letter 2016


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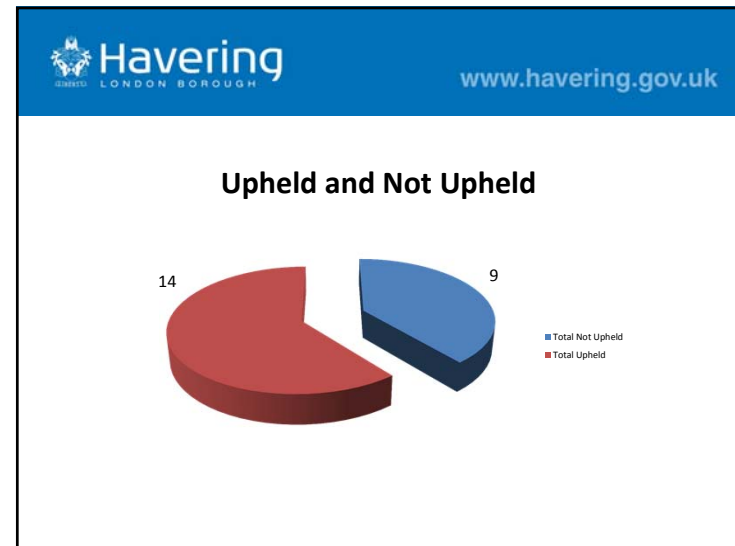
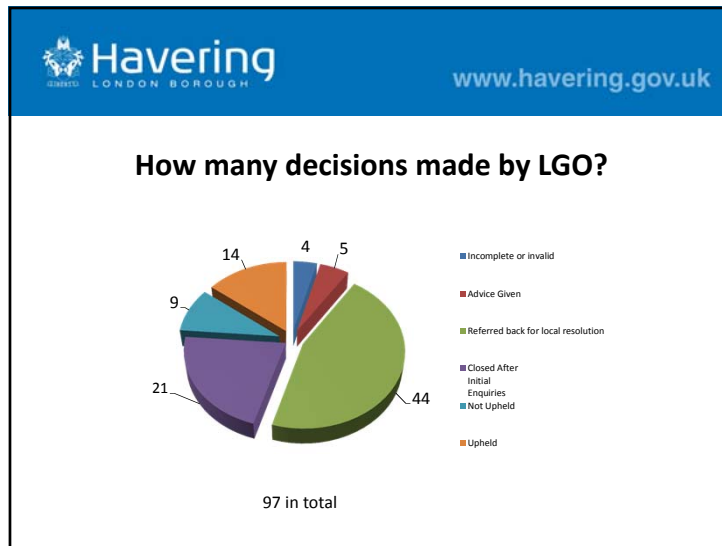
### Stats in short

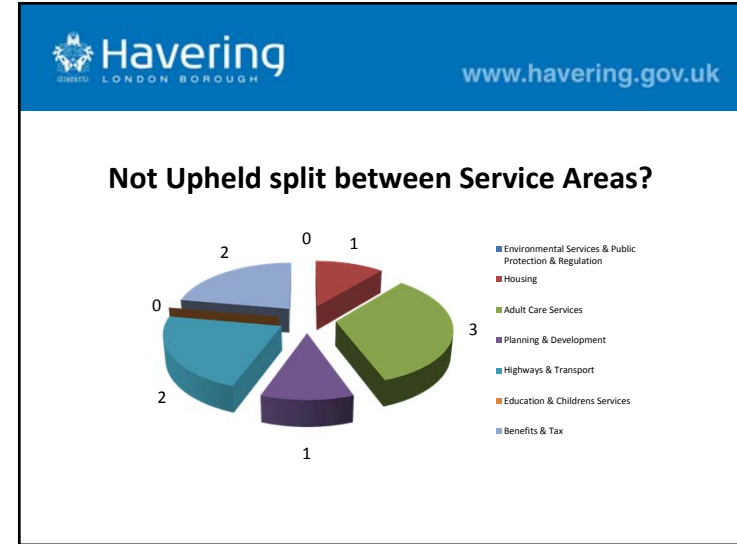
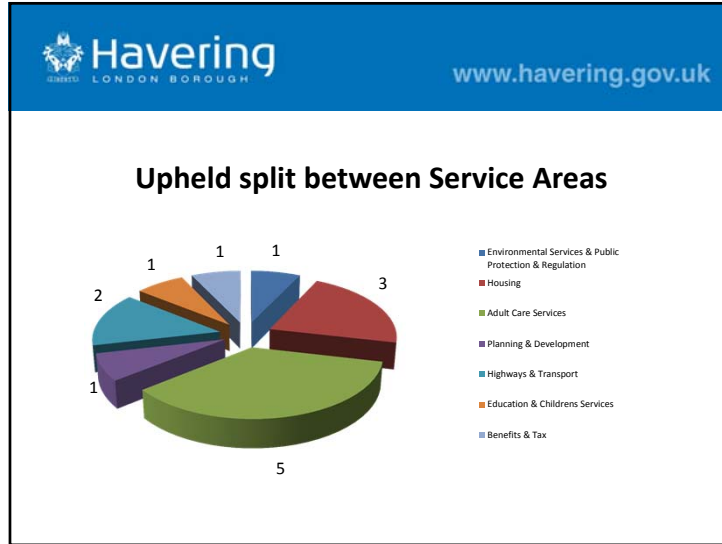
97 cases considered  
 23 detailed investigations  
 Of those 14 were upheld

LGO uphold rate = 61% (14 of 23)      But 14 of 97 = 14%

Compared to other London Boroughs:

Barking & Dagenham 147 (30% upheld)  
 Croydon 212 (51% upheld)  
 Newham 248 (63% upheld)  
 Bromley 169 (60% upheld)





**Background to LGO stats**

- SLT team took over as liaison with LGO/HO mid year (October 2015). Recording methods differ slightly.
- Charts reflect the LGO records of the cases they have investigated for us.
- As in most years, for a number of reasons, it is difficult to tie these figures up with the numbers logged on the Council's records.
- Overall we can agree the figures LGO have supplied.

**What Next?**

- Local Government changes in recent years have resulted in a review of the way LGO structure their casework teams.
- Assistant Ombudsmen responsible for specific local authorities – giving greater opportunities for relationship building.
- Potentially a joined up Public Service Ombudsman for England, joining up Local Government Ombudsman, Housing Ombudsman and Public Health Services Ombudsman.
- Recent training from LGO was well received. The Council was complimented on it's Corporate Complaints Policy & Procedure, Persistent and Unreasonable Policy, use of LGO guidelines for goodwill payments.

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**ADJUDICATION & REVIEW COMMITTEE**  
**24 NOVEMBER 2016**

<b>Subject Heading:</b>	Adult Social Care Complaints Annual Report 2015/16
<b>SLT Lead:</b>	Barbara Nicholls
<b>Report Author and contact details:</b>	Veronica Webb, Senior Complaints & Information Officer, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	Quality and High Customer Satisfaction

**SUMMARY**

This report is for information and refers to the reports presented to Individuals Overview & Scrutiny Committee on 1 November 2016.

**RECOMMENDATIONS**

Members to note the reports and contents.

**REPORT DETAIL**

Please see attached report

**IMPLICATIONS AND RISKS**

**Financial implications and risks:**

Please see attached report

**Legal implications and risks:**

Please see attached report.

**Human Resources implications and risks:**

Please see attached report.

**Equalities implications and risks:**

Please see attached report.

**BACKGROUND PAPERS**

None



**INDIVIDUALS OVERVIEW AND SCRUTINY  
SUB-COMMITTEE  
1 NOVEMBER 2016**

<b>Subject Heading:</b>	Adult Social Care Annual Complaints Report 2015/16
<b>SLT Lead:</b>	Barbara Nicholls
<b>Report Author and contact details:</b>	Veronica Webb, 01708 433589 Veronica.webb@havering.gov.uk
<b>Policy context:</b>	Quality and high customer satisfaction

**SUMMARY**

The Adult Social Care Annual Complaints Report 2015-16 attached as Appendix 1 is for consideration and outlines the complaints, enquiries, compliments and Members correspondence received during the period April 2015 – March 2016.

Adult Social Care Annual Complaints fall within the remit of the 'The Local Authority Social Services and National Health Service Complaints (England) Regulations with a requirement to publish the annual report.

**RECOMMENDATIONS**

1. That Members note the contents of the report and the continued work in resolving and learning from complaints and the future challenges faced by the service.
2. That Members note the actions identified to improve services and the continued monitoring to ensure actions are implemented to evidence service improvements.
3. That Members note the positive feedback to services by way of compliments received.

**REPORT DETAIL**

4. Adult Social Care has experienced increased demand with 3707 clients coming into the service in 2015/16. This has been reflected in the number of formal complaints which has increased by 17%. Informal complaints, mainly involving external provider agencies i.e. home care and residential/nursing homes, have decreased by 18%.
5. Ombudsman complaints have remained at the same level in 2015/16 as in 2014/15, with three decisions of 'maladministration (no injustice)' and one decision of 'maladministration with injustice'.
6. External home care complaints although remain the highest number of complaints, has dropped by 6% in 2015/16 compared to 2014/15, which has been a continuing trend. There have been increases across Adult Community Team North (ACT North), Financial Assessment & Benefits Team (FAB), Joint Assessment & Discharge Team (JAD).
7. 'Level of service' and 'dispute decision' was the main reasons for complaint in 2015/16, and showed an increase of 21% and 16% respectively from 2014/15. There has been a continuing trend in complaints relating to charges, which was also linked to level of service provided and incorrect information being given. 'Behaviour/attitude of staff' which has increased by 53% from 2014/15 was also quite high for 2015/16, however these related to the actions/decision of the social worker, rather than the behaviour, for example lack of communication with family or incorrect information.
8. The main outcome from complaints is either an 'explanation and apology given' or 'explanation and information provided'.
9. Complaint response times have improved in 2015/16 for formal complaints, although there remains the need to work much hard at ensuring timely responses. However it should be noted that complaints have become more complex and challenging, and may involve a number of agencies.
10. There has been an increase in complaints across 18-24; 55-64 and 65-74 age ranges. The total number of clients coming into the service (3,707) for 2015/16 showed 13% of those were between ages 18-64 and 87% aged over 65. Complaints involving people with learning disabilities have increased by 44% in 2015/16 compared to 2014/15 and those with hearing/sensory or vision impairment have been evident in 2015/16, compared to none in 2014/15. There has been little movement across all ethnic minorities, with a small increase in those that are 'White British'.
11. Complainants continue to prefer to contact by letter, email or telephone. It should be noted that complaints leaflets are also received, however due to reporting this is included within letter category.

12. Expenditure was incurred in 2015/16 with a refund payment and time and trouble payment amounting to £12,300.
13. Compliments have decreased overall in 2015/16 by 32% in 2015/16 (51) compared to 2014/15 (75), although within JAD and Learning Disabilities teams there has been an increase, with also some of the new external provider agencies also receiving compliments.
14. Member enquiries have dropped by 34% in 2015/16 (56) compared to 2014/15 (85), with 73% responded to within timescale, compared to 80% in 2014/15.
15. Complaints continue to play an important role in providing management with useful information to help shape the service. It is noted that complaints are continuing a trend of complexity and therefore response times suffer as a result, but this will need to be addressed by looking at improving the processes within the Complaints Team.

## **IMPLICATIONS AND RISKS**

### **Financial implications and risks:**

There are no specific financial implications to this report, which is for information only. Costs incurred through complaints will be contained within Adult Social Care allocated budgets. However, the increased volumes of complaints highlighted in the report also increases the risks of consequential compensation payments, which is being managed in the service by ensuring lessons are learned and procedures reviewed to minimise the risk of future complaints that may result in compensation.

### **Legal implications and risks:**

There are no apparent direct legal implications arising from noting of this report

### **Human Resources implications and risks:**

Adult Social Care continues to support a personalised approach to customer needs in the Havering community. Training and development opportunities for staff will focus on the skills that are essential for effectively undertaking this responsibility. It is of vital importance that existing, and potential, customers receive the highest quality of service delivery possible. The needs of Adult Social Care staff in relation to implementation of the Care Act, with greater integrated working with health services, have been captured within the new Workforce Development Strategy and Plan.

The Council uses monitoring data from the complaints process as an indicator of how well Adult Social Care is delivering its services to the community. To ensure that there is significant continuity, and consistency in advice, along with other

areas of delivery, frontline and support staff across the service teams need to be part of a stabilised workforce that is able to meet service and quality standards. Relevant outcomes from the complaints process have been incorporated into the new Plan in order to aid learning and improve staff performance.

**Equalities implications and risks:**

We are regularly monitoring the equalities profile of our customers and it is encouraging that disclosure is improving year on year.

The most recent monitoring information has evidenced that the number of ethnic minorities accessing the complaints process is reflective of the population within Havering and therefore accessing information about our Complaints, Comments and Compliments Policy and Procedure or the facilities available to make a complaint/compliment is available to these groups. Monitoring data shows that there has been a significant increase in complaints made by service users with physical disabilities and this has been linked to the increase in disabled freedom pass complaints, however this will need continued monitoring.

We will continue to ensure that our communication is clear, accessible and written in Plain English, and that translation and interpreting services or reasonable adjustments are provided upon request or where appropriate. We will need to ensure accurate and comprehensive monitoring data is maintained to cross-tabulate complaints data against protected characteristics. This will provide us with more detailed information on gaps/issues in service provision and barriers facing people with different protected characteristics, and will enable us to take targeted actions and make informed decisions on service improvement and future service provision.

<b>BACKGROUND PAPERS</b>
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None

# **ANNUAL REPORT 2015/16**

## **ADULT SOCIAL CARE**

### **Complaints, Comments and Compliments**

**Prepared for: Barbara Nicholls, Director Adult Social Care**

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

# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

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# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

## 1. Executive Summary

There has been a very slight increase in the number of complaints received within Adult Social Care, and not as high as may have been expected. However what has been noted is that there is still a continuing trend of increased complaints regarding disputing charges. As a result of this, a working group was set up to look at ensuring that correct and consistent information was provided. This group produced a financial checklist and a financial charging case note. Use of this and the impact will be monitored through 2016/17.

The increase in the complaints around 'level of service' could reflect the increasing demand on resources that Adult Social Care are having to work within. Closer working with providers has been reflected in the number of complaints involving providers that has shown a decline over the last two years and this is encouraging.

There is room for improvement in relation to response times and this is being considered by the Complaints Manager when reviewing the team and to see how best to ensure managers are meeting the timescales.

With the implementation of the Care Act the indication is that more service users are challenging the level of service provided, which is reflective of the increase in this complaint category. The impact on the number of complaints has been minimal in 2015/16, however this may impact in future years. The implementation of part two of the Care Act involving the finance aspects and the Appeals Panel process has been deferred until 2020 and it is not clear what the impact will be.

The number of new clients coming into the service during 2015/16 was 3,707 and this will be monitored in future years against the number of complaints received.

## 2. Introduction

Adult Social Care collects information about contacts where the nature of the communication does not meet the threshold to be a statutory complaint and where informal resolution resolves the enquiry. These are counted as 'Enquiries'.

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 involves a regulated service, or is a minor concern which can be dealt with within 5 working days, or where a complainant does not wish to take it through the formal process.

## ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

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



# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

## 3. Complaints Received

### 3.1 Ombudsman referrals

Ombudsman enquiries have remained at the same level in 2015/16, with a slight increase in those investigations that found maladministration but no injustice, and one maladministration and injustice. Premature/informal enquiries have remained the same as in 2014/15. Although not shown below, there is also one Ombudsman investigation which is still awaiting a decision.

	Apr 15- Mar 16	Apr 14- Mar 15	Apr 13- Mar 14
Maladministration (no injustice)	3	2	
Maladministration & Injustice	1		
No maladministration after investigation	3		3
Ombudsman discretion			
-Cases under investigation/ongoing		2	1
-Investigation not started/discontinued		1	3
No evidence of maladministration/service failure		2	
Cases completed not premature			
Premature/Informal enquiries	3	3	1
<b>Total</b>	<b>10</b>	<b>10</b>	<b>8</b>

### 3.2 Total number of complaints

The total complaints (formal and informal) have slightly increased in 2015/16 compared to 2014/15, although remain lower than 2013/14.

Total Number of complaints		
2015/16	2014/15	2013/14
93	92	108

### 3.3 Stages

Informal complaints have decreased by 18%, and formal complaints have increased by 17%, with the service noting an increase in the complexity of the issues that have resulted in the complaint. Enquiries have increased slightly by 8%.

	Enquiry	Formal	Informal	Joint health and adult social care formal complaint
<b>Apr 15 – Mar 16</b>	<b>24</b>	<b>64</b>	<b>29</b>	
<b>Apr 14 - Mar 15</b>	<b>22</b>	<b>54</b>	<b>36</b>	<b>2</b>

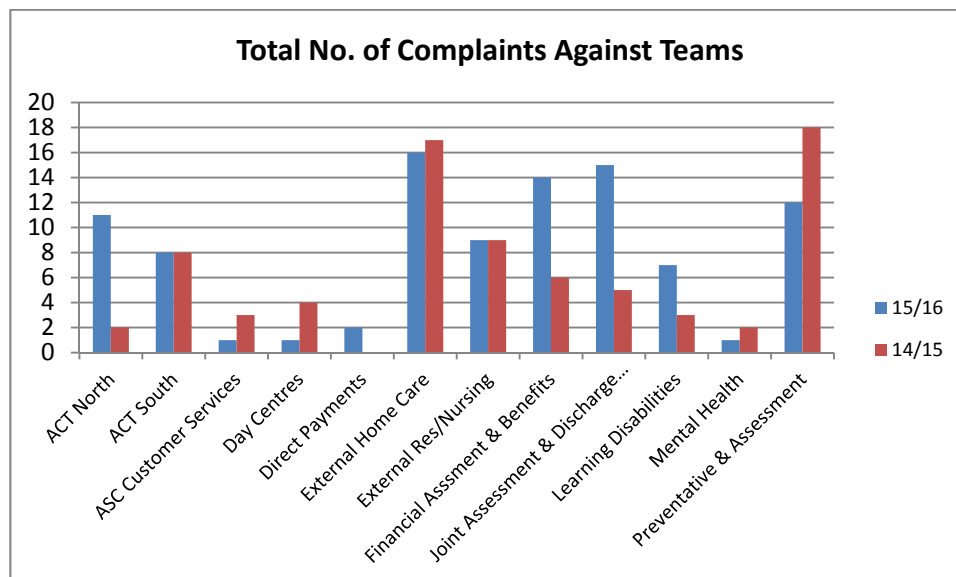
### 3.4 Teams

Adult Social Care has undergone a major transformation during 2015/16 (and has continued through 2016/17) as the front line staff have moved into localities to foster closer working with NHS colleagues and work to have a 'single view' of the resident. Over time this will impact on how we compare 'Complaints by Team' from one year to the next, however the table below sets out the comparison of 2014/15 to 2015/16 by team

ASC ANNUAL REPORT for 15 - 16 final

# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

External home care complaints have dropped slightly from the previous year by 6%, but this area continues to receive the highest number of complaints. However the total commissioned hours for home care for 2015/16 totalled 654,024, with the total commissioned hours for those that complained (16) totalling 8132 which accounts for 1% of the total care provided.



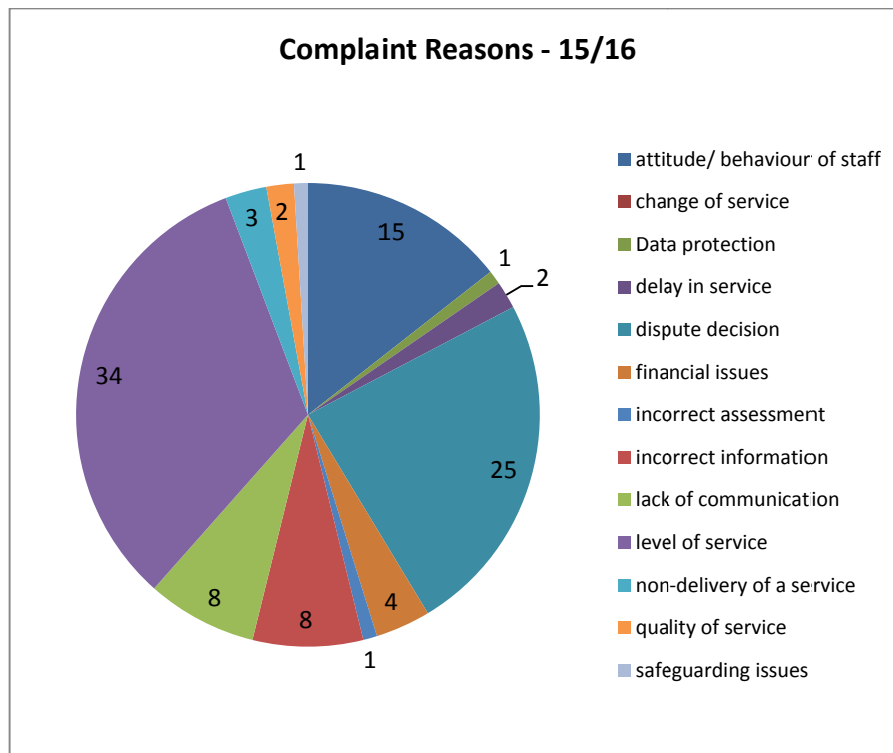
Colum	ACT North	ACT South	ASC Customer Services	Day Centres	Direct Payments	External Home Care	External Res/ Nursing	Financial Assment & Benefits	Joint Assessment & Discharge (JAD)	Learning Disabilities	Mental Health	Preventative & Assessment
15/16	11	8	1	1	2	16	9	14	15	7	1	12
14/15	2	8	3	4	0	17	9	6	5	3	2	18

We have also seen an increase in the number of complaints from residents known to the Community Team North, Financial Assessment & Benefits Team, and Joint Assessment and Discharge Team. The reasons for complaints within each team is set out in the next section.

## 3.5 Reasons

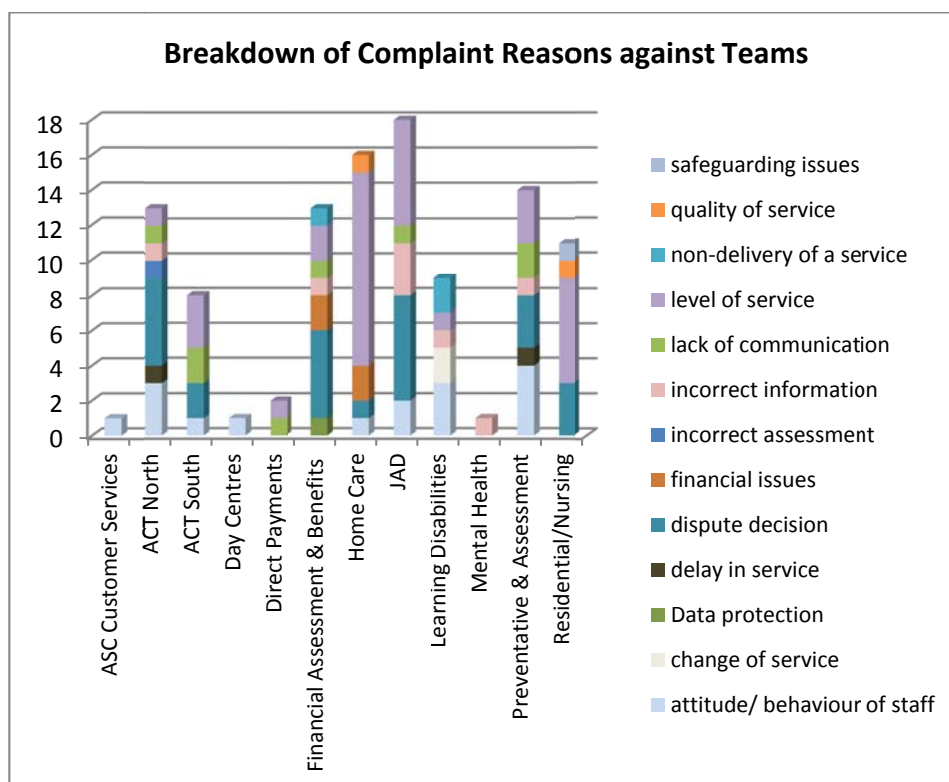
The breakdown of complaint reasons are shown below which shows that 'level of service' and 'dispute decision' are the main reasons for complaint. 'Attitude/behaviour of staff' is also quite high, although when investigated the underlying reason behind the complaint, is that complainants are not happy with the actions/decisions of the adult social care worker, rather than their attitude/behaviour. We do note however some adult social care staff were identified as not providing enough support/information/advice.

# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016



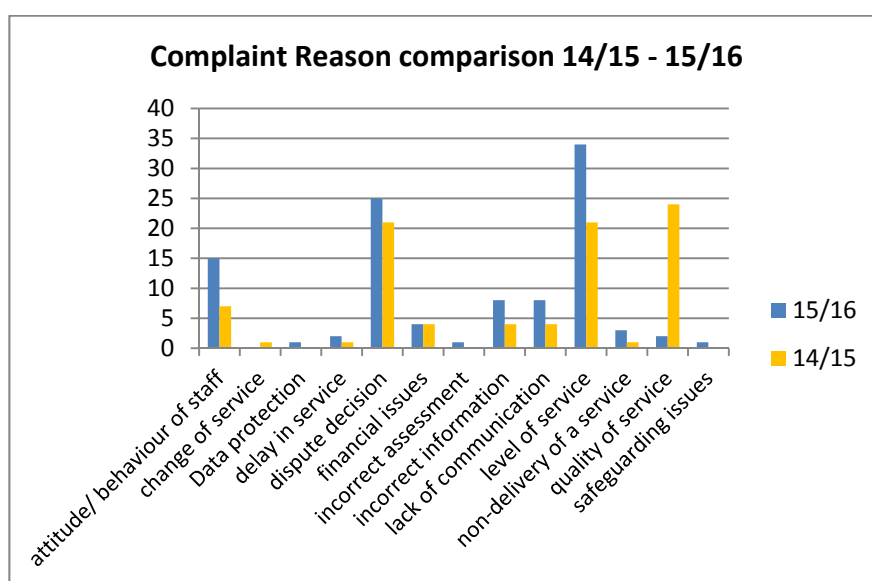
The breakdown below shows the complaint reasons against the teams during 2015/16. There can be multiple complaint reasons for one complaint.

'Level of service' and 'dispute decision' are the main complaints against teams. An underlying theme identified through the complaint investigation process is that complainants describe receiving a dissatisfactory level of service, linked to a dispute about a decision reached by Adult Social Care. Many of these decisions have been about charges for either homecare or residential care.



## ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

Below shows the complaint reasons comparison between 2015/16 and the previous year. There have been increases from 2014/15 across 'level of service' (21%); attitude/behaviour of staff (53%); lack of communication and incorrect information (50%) and 'dispute decision' (16%). This could be reflective of the structure and location changes implemented between December 2015 and September 2016 and the resulting way that resources within Adult Social Care has been arranged. The Service plans a review of the configuration of teams and resources by the end of 2016/17, in particular because of the changes across health and social care that are coming because of our partnership working across Barking & Dagenham, Havering and Redbridge on the Accountable Care System/Organisation. Impact assessments of any future changes will need to be undertaken.



Column	attitude/behaviour of staff	change of service	Data protection	delay in service	dispute decision	financial issues	incorrect assessment	incorrect information	lack of communication	level of service	non-delivery of a service	quality of service	safeguarding issues
15/16	15		1	2	25	4	1	8	8	34	3	2	1
14/15	7	1	0	1	21	4	0	4	4	21	1	24	0

### 3.6 Outcome and Learning

Due to the changeover of the complaints handling system the categories for outcome are not comparative to previous categories (in previous years) and therefore the breakdown has been shown as below. This will be addressed to ensure that the relevant information is captured.

Complaint Withdrawn/referred to different procedure	Explanation and Apology	Explanation/Information provided	Financial assistance awarded	No action/further action required	Reassessment/Review	Change in process	Services re-instated	Training identified
5	24	53	1	4	4	3	1	1

# **ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016**

## **3.6.1 Learning from complaints**

Complaints provide senior managers with useful information in respect of the way that services are delivered and how customers perceive services. In order to learn from complaints and actually deliver improvements in service delivery and business processes, the service is required to monitor the operation and effectiveness of the complaints procedure and to identify how information is being used to improve service delivery.

Complaints information captured from this monitoring is used in a number of ways including:

- The dissemination of this information to line managers
- Its use as a measure of performance and means of quality control; and
- Information derived from complaints about services subject to Statutory Regulation, or where services purchased under contract are concerned, to the person responsible for monitoring the contract.

Complaints monitoring is a standard quarterly item for the Directorate Management Meeting

The information collected during the monitoring of process and individual complaints provide invaluable feedback on performance management and operational matters such as how policies are interpreted by staff and service users. It also highlights how effective communication is within the authority and to the public, where staff training is required and whether resources are targeted correctly. This is fed back into the system in order to facilitate and drive improved policy and practice

As in previous years, the main two outcomes of complaints has been to provide an explanation and apology for action taken by the service. The general theme identified as per previous years is around providing the right information and advice early in the contact with the resident and/or their family. Meetings with residents/families who have complained continue to be a key way of resolving issues, and have assisted both the complainant understand processes and the decisions made and the Service in understanding from the complainant's perspective.

Getting it right at the beginning of a contact from a resident/family member will be a key priority for Adult Social Care in 2016/17. A redesign of the 'front door' is being planned to ensure the right skill mix of staff are available to deal with initial enquiries from residents, and the final planned changes will be implemented in early 2017.

Regardless of any planned changes, staff are reminded to ensure they are providing clear and concise information (and that this is recorded appropriately), through supervision, team meetings and at Directors Briefings .

## **3.6.2 Learning from the Ombudsman**

The council has a positive and open relationship with the Local Government Ombudsman and regular contact is made to seek advice and review operational approaches and outcomes.

The primary reasons for people contacting the Ombudsman, were in relation to a lack of provision of information about financial assessment (assessment of the individual's client contribution for contributing to the cost of their care), and about issues with third party

## ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

providers (residential and nursing homes) where adult social care had is funding the care. Of the three LGO complaints upheld, the LGO concluded maladministration on the part of the Council

Complaints about lack of information about financial assessment had been a trend noted in 2014/15. In learning from these Ombudsman investigations (and other similarly themed complaints), from Summer 2015 the Senior Complaints Officer led a Task & Finish group to review the procedures used by operational staff in providing and recording information to residents and their families about charging. A number of changes have been introduced in 2016/17 to ensure that residents understand their financial responsibilities when in receipt of a service.

### 3.7 Response times

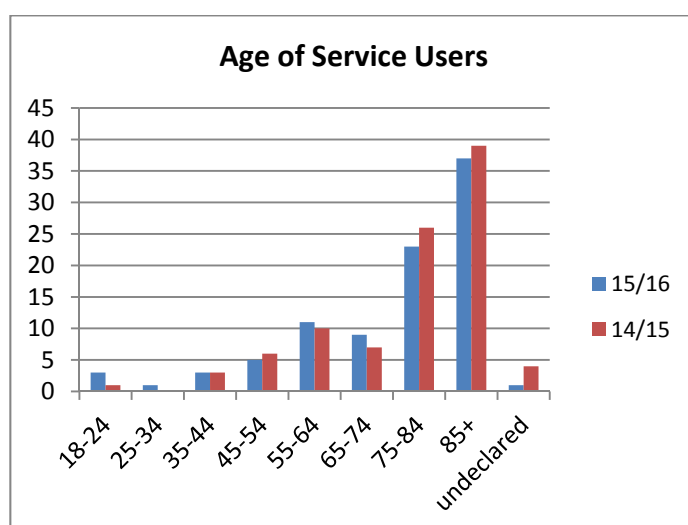
Complaints responded to within 20 days has improved in 2015/16, but work still needs to be done to improve response times. However it should be noted that complaints have become more complex and many of the complaints involving level of service linked to disputing charges are those that have taken longer to respond to. The low response rate for informal complaints involved external agencies.

	Within 10 days		11-20 days		Over 20 days	
	Apr15– Mar16 %	Apr 14 –Mar15 %	Apr15– Mar16 %	Apr14– Mar 15 %	Apr15– Mar16 %	Apr14– Mar15 %
<b>Informal</b>	<b>27</b>	<b>50</b>	<b>17</b>	<b>25</b>	<b>56</b>	<b>25</b>
<b>Formal</b>	<b>34</b>	<b>33</b>	<b>28</b>	<b>20</b>	<b>38</b>	<b>47</b>
<b>External agencies</b>	<b>24</b>	<b>62</b>	<b>4</b>	<b>21</b>	<b>72</b>	<b>17</b>

### 3.8 Monitoring information

#### 3.8.1 Age

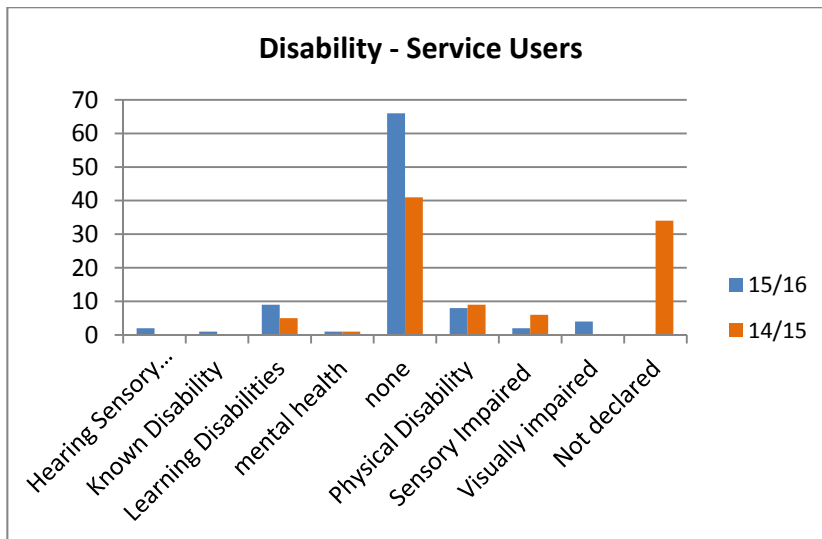
The age ranges are similar from 2014/15 with increases of those between the ages of 18-24; 55-64 and 65-74. The total population for age groups 55-64 and 65-74 within Havering has increased by 1%, whereas age group 18-24 has dropped by 1%. It should be noted that of the 3,707 new clients coming into the service 475 (13%) were between the ages of 18-64 and 3,232 (87%) were aged 65+.



# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

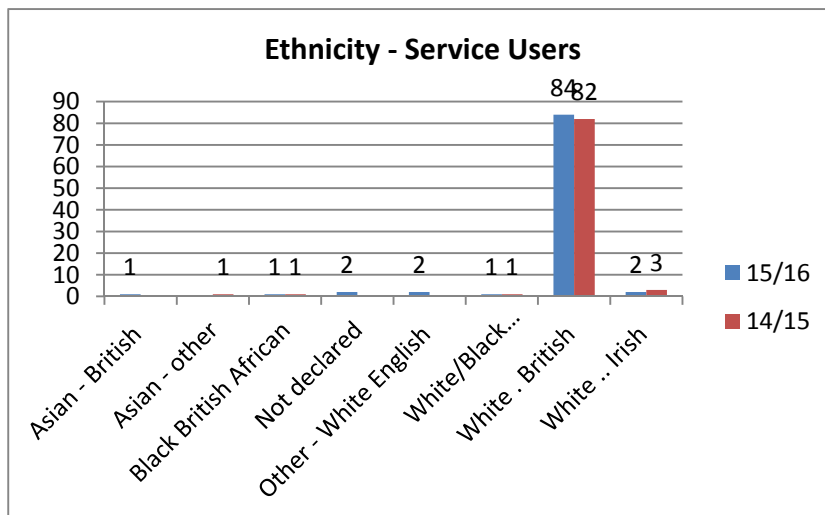
## 3.8.2 Disability

There has been an increase in those that did not have a disability and those with a learning disability. It will be necessary to ensure that this information is recorded and captured within the CRM reporting system for future reports.



## 3.8.3 Ethnicity

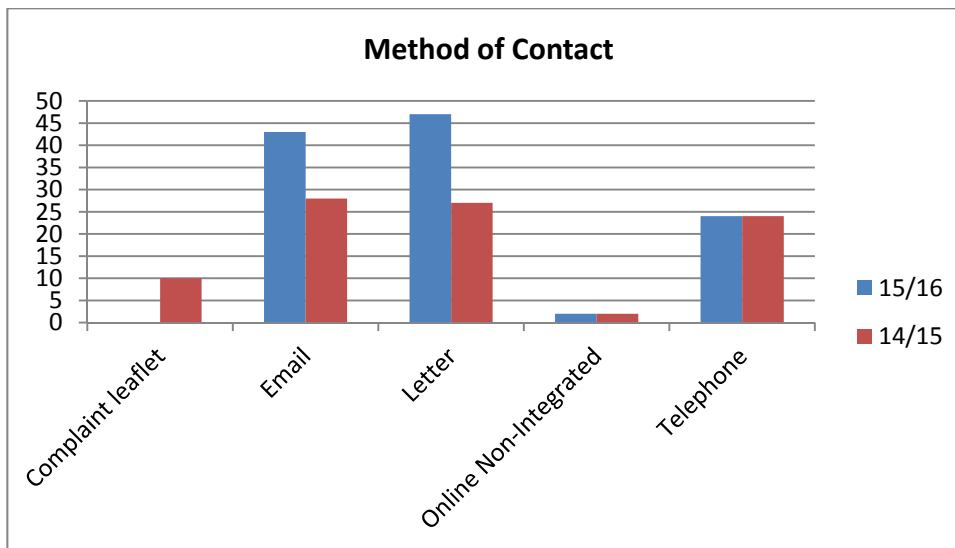
There is little movement across all ethnic minorities in 2015/16 compared to 2014/15, with just a slight increase in 'White British'.



## 4 How we were contacted

Note although complaints were received via complaints leaflets the CRM system does not have this as an option and therefore has been recorded as 'letter' and are included within this figure.

## ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016



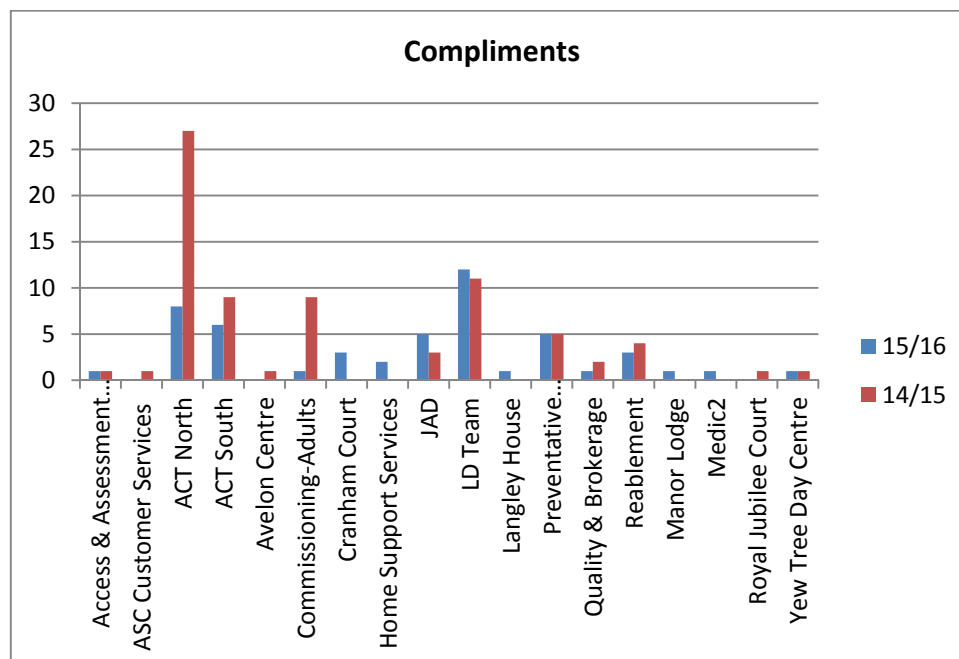
### 5 Expenditure

Expenditure was incurred during 2015/16 and is shown in compensation column. This refers to a refund and time and trouble payment.

	Compensation	Independent investigators
Apr 2015- Mar 2016	<b>12,300</b>	
Apr 2014- Mar 2015	-	-

### 6. Compliments

Compliments have decreased by 32% in 2015/16 (51) compared to 2014/15 (75), which is across most services. There has been increases in compliments for Learning Disabilities, Joint Assessment & Discharge Team(JAD). It is encouraging to see some of our providers, in particular the new providers being complimented.





## ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

Below are some examples of the compliments received across the different areas.

Everything done in a professional manner and more assistance given than expected – **ACT North**

Thank you for all your time, patience and all your help in respect of my Aunt' – **ACT South**

A mother placed on End of Life care – 'she was kept safe, warm and clean and was treated kindly and with respect. Even when she was at her most difficult, the patience of the nursing/support staff was outstanding.' – **Cranham Nursing Home**

'your carers were invariably courteous, helpful and tolerant and their good spirits, cheerfulness and good humour helped to get us through some very difficult and trying times' – **Community Care Line**

'felt like you were listening to him and supporting him to make discharge easier on his aunt and this, he feels has led to a well-controlled discharge.' – **JAD**

'Thank you for all your support and care over the last 15 years. Thank you for listening to all our problems and seeing us through some very tough times.' – **Learning Disabilities**

'expressed that the carers have so far been lovely and that she feels well supported and enjoys their company.' – **Medic2**

Following a relative who died intestate a family member writes in - 'I very much wanted the opportunity to give you feedback regarding the amazing way she has helped my family... You are extremely fortunate to have her managing this work, she really is a rare person in the busy world we live in' – **Client Finance**

'Thanks to each and everyone of you, have made it possible for me to have the time and the great support to get my confidence back to return home.' – **Royal Jubilee Court/Reablement**

'The manager of the day centre has improved it in every way... it is my second home and everyone is my extended family.' – **Yew Tree Day Centre**

### 7 Members Enquiries

Members' enquiries have dropped by 34% from 2014/15 (85) to 56 in 2015/16. Enquiries responded to within timescale dropped to 73% for 2015/16, compared to 80% in 2014/15. The service acknowledges this is not an acceptable position and has taken remedial action in 2016/17, including weekly meetings with the Head of Service to review all outstanding members enquiries (and other complaints) to ensure responses are timely.

### 8 Conclusion

Complaints have continued to provide a good source of information to help form and shape the service by identifying those areas where there needs improvement and looking at options to resolve issues from reoccurring.

## **ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016**

In 2015/16 actions have been taken to improve information being provided to service users and their families especially around charging, which has caused confusion and has led in some cases to waiver of fees. It is with this in mind that the actions identified are being implemented and that these are also being monitored to look at what the impact will be on these type complaints. This will be reported in the 2016/17 annual report.

The close working between Complaints, Quality and Brokerage has also shown that complaints involving provider agencies have been steadily decreasing and this is a positive step. This should be continued.

Response times still need improvement and this will be addressed through the review of the processes within the Complaints Team.

All learning will continue to be fed back into the service to enhance and develop our service delivery.

## 9. Complaints Action Plan

### 9.1 Addressing issues identified through complaints

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
Better clarity about services, eligibility and so on at the start of contact with residents and family	<ul style="list-style-type: none"> <li>Providing the right information at the start of an intervention reducing the likelihood of distress and misunderstanding</li> </ul>	<ul style="list-style-type: none"> <li>Review operation of Front Door and other initial points of contact such as the hospital</li> </ul>	<ul style="list-style-type: none"> <li>Front Door and JAD</li> <li>Service Manager Integrated Services</li> </ul>	31/3/2017 and ongoing	Planning underway (October 2016)
Clear information on charges where self-funders become part funded by local authority	<ul style="list-style-type: none"> <li>Improved recording of information given on charges</li> </ul>	<ul style="list-style-type: none"> <li>Social workers/staff to be reminded of recording practices through 1:1 supervisions/PDRs.</li> </ul>	<ul style="list-style-type: none"> <li>All</li> </ul>	Ongoing	<p>Working group concluded, and new process implemented early 2016. Impact in terms of number of complaints received to be monitored in 2016/17</p> <p>Financial Assessment &amp; Benefits Team and Complaints Team attends team meetings on a regular cycle.</p>
Clarity of information regarding respite/reablement/rehabilitation	<ul style="list-style-type: none"> <li>Clear understanding by staff of differences in charging arrangements for services</li> </ul>	<ul style="list-style-type: none"> <li>Staff to be reminded of the differences and what is chargeable and what is not.</li> </ul>	<ul style="list-style-type: none"> <li>All</li> </ul>	Ongoing	<p>Working group concluded, and new process implemented early 2016. Impact in terms of number of complaints received to be monitored in 2016/17</p> <p>Financial Assessment &amp; Benefits Team and Complaints Team attends team meetings on a regular cycle.</p>

### 9.2 Complaints Process

Issues Identified	Action to be taken	Department	Timescale	Review
Management information about complaints and timeliness of response to members enquiries	<ul style="list-style-type: none"> <li>Review of Complaints/Service interface to ensure improved ownership of complaints</li> </ul>	<ul style="list-style-type: none"> <li>Head of Business Management</li> <li>Head of Integrated Services,</li> </ul>	31/10/2016 and ongoing	Review underway (started July 2016)

# ADULT SOCIAL CARE ANNUAL REPORT 2015 -2016

and complaints		Head of Adult Commissioning		
Review ASC Quality Assurance Framework to ensure more robust approach to learning from Complaints	<ul style="list-style-type: none"> <li>Review of QA process</li> </ul>	<ul style="list-style-type: none"> <li>PSW</li> <li>All</li> </ul>	31/03/2017	Inaugural Adults Week Practice Week planned for late November 2016

## **ADJUDICATION & REVIEW COMMITTEE 24 NOVEMBER 2016**

<b>Subject Heading:</b>	Children & Young People's Services Annual Complaints Report 2015/16
<b>SLT Lead:</b>	Tim Aldridge
<b>Report Author and contact details:</b>	Veronica Webb, Senior Complaints & Information Officer, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	Quality and High Customer Satisfaction

### **SUMMARY**

This report is for information and refers to the reports presented to Children & Learning Overview & Scrutiny Committee on 8 November 2016.

### **RECOMMENDATIONS**

Members to note the reports and contents.

### **REPORT DETAIL**

Please see attached report

**IMPLICATIONS AND RISKS**

**Financial implications and risks:**

Please see attached report

**Legal implications and risks:**

Please see attached report.

**Human Resources implications and risks:**

Please see attached report.

**Equalities implications and risks:**

Please see attached report.

**BACKGROUND PAPERS**

None

## **CHILDREN & LEARNING OVERVIEW AND SCRUTINY SUB-COMMITTEE – 8 NOVEMBER 2016**

<b>Subject Heading:</b>	Children & Young People's Services Annual Complaints Report 2015/16
<b>SLT Lead:</b>	Tim Aldridge
<b>Report Author and contact details:</b>	Veronica Webb, 01708 433589 Veronica.webb@havering.gov.uk
<b>Policy context:</b>	Quality and high customer satisfaction

### **SUMMARY**

The Children & Young People's Services Complaints Annual report, attached as Appendix 1 provides information about the numbers and types of complaints handled by the Children and Young People's Service during 2015/16, as well as Members' correspondence. It is a requirement under the Children Act 1989 Representations Procedure (England) Regulations 2006 that the complaints annual report be published.

### **RECOMMENDATIONS**

1. That Members note the contents of the attached report and the continued efforts made by the service to learn from complaints with the increasing demands on the service with the number of children having some involvement with Children and Young People's Services.
2. That Members note the recommendations identified from complaints and continued monitoring of these to ensure that actions are implemented to evidence service improvements.

### **REPORT DETAIL**

3. There has been a slight increase in the number of complaints of 6% in 2015/16 (74) compared to 70 in 2014/15 and Ombudsman enquiries in 2015/16 (5) compared to 3 in 2014/15,). The majority of complaints were made by parents with 14% (10) being made by children directly or via an advocate. There has been a continuing trend with Stage 1 complaints increasing, however Stage 2 complaints are reducing with the positive outcomes achieved through meeting with complainants. Although some requests for Stage 2 could not be progressed due to Court proceedings.
4. There have been increases in complaints across Fostering, Over 12's, 'Triage/MASH & Assessment' and 'Safeguarding & Service Standards Unit'(SSSU). These are reflective of the increased number of fostering enquiries during 2015/16 (four times that of the previous year), those children on Child Protection Plans, 25% increase, and the increased activity experienced by Children & Young People's Services.
5. With the changes in Children & Young People's Services, this may have impacted on the level of service provided, as the number of complaints relating to the 'level of service' increased from 11 in 2014/15 to 28 in 2015/16.. Although there was a decrease in the number of children coming into care, there was an increase in activity across the Service which may have also impacted on this.
6. During 2015/16 the Children with Disabilities Team moved to Learning & Achievement becoming Children & Adults Disabilities (CAD) Team, therefore recording of these complaints are reported within the Learning & Achievement Annual Complaints report.
7. The increase of 25% in complaints regarding 'attitude/behaviour of staff', were mainly in relation to the decisions made, although there were also issues around 'lack of communication'.
8. There are still some difficulties experienced with the recording and reporting of outcomes for social care complaints, however 'explanation/information provided' has the highest number and may also be a result of the changes within the Service and turnover of staff.
9. Response times have been impacted due to the complexity of complaints, with a drop of 11% in those responded to within 10 working days and those responded to over 20 working days have doubled. It should be noted that within the statutory framework it allows for an extension to 20 working days. Where this is required holding letters are provided. Steps have been taken to see how this can be addressed by the Complaints Team through improved monitoring.
10. There were no Stage 2 or Stage 3 Review Panels for 2015/16, which could be reflective of the face-to-face meetings undertaken to de-escalate complaints.



11. Although there was expenditure incurred for 2015/16 for independent investigators, this was related to a Stage 2 investigation from the previous year 2014/15.
12. Complainants continue to prefer the use of email and letter to make their complaints, along with telephone contact. Online complaints were made for 2015/16.
13. There have been increases of complaints across age ranges 6-9 and 10-14 and this could be reflective of the activity and the number of children on Child Protection Plans within these age ranges. Children with a learning disability have remained at the same level in 2015/16 as 2014/15. The highest increase has been among children that are 'Mixed White and Black African' in 2015/16 (88%), with a reduction in those that come from 'White British' backgrounds (14%).
14. Members correspondence remains at the same level (24) in 2015/16 as 2014/15 with 58% being responded to within timescale, which has dropped from the previous year where there was a 78% response rate.
15. Compliments have increased by 94% (35) in 2015/16 compared to 2014/15 (18), which is mainly contributable to feedback evaluation forms from the Family Intervention Team. Teams are encouraged to continue to send compliments to the Complaints Team to be logged.
16. With the changes in the Service, it is important to ensure that complaints continue to play a role in providing a good source of information to help identify areas for improvement. The Service are taking steps towards the retention of staff through their 'Face to Face' vision. Also have introduced an app for children to express their wishes/views and concerns called MOMO (Mind of My Own), which the Complaints Team have linked into and will be monitoring through 2016/17 in relation to concerns/complaints raised by children.

## **IMPLICATIONS AND RISKS**

### **Financial implications and risks:**

There is a Complaints & Information team within the Directorate. This team addresses complaints received and manages associated resource implications, which are funded from within overall service budgets.

There are no new financial implications or risks arising from this report, which is for information purposes.

**Legal implications and risks:**

There are no apparent legal implications from noting this Report. The complaints process is governed by the Children Act 1989 Representations Procedure (England) Regulations 2006.

**Human Resources implications and risks:**

The Children's Services department have identified actions to be followed through with the qualified workforce to ensure that the learning from the complaints received is firmly embedded into the training and supervision of social work staff and also addressed through the Council's Performance Development Review (PDR) process

**Equalities implications and risks:**

The report demonstrates that there is a transparent and structured (both informal and formal) route for concerns or complaints, including those relating specifically to bullying, harassment, unfair treatment and/or discrimination against young people, guardians, parents or carers, to be registered for review and action where required.

The Council monitors the diversity profile of complainants and service users against relevant protected characteristics such as age, disability, ethnicity, etc. This data is captured on the CRM system and forms part of the Complaints Annual Report.

In line with the Council's corporate policy on translation and interpreting services, this service also offers information in other languages and alternative formats on request.

We will continue working towards raising awareness on equality and diversity related issues and improving the access to our Complaints, Comments and Compliments policy and procedure.

<b>BACKGROUND PAPERS</b>
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None

## APPENDIX 1

# Children, Adults & Housing: Children and Young People's Services

## Annual Report 2015 – 2016 Complaints and Compliments

**Prepared for:**

**Tim Aldridge, Director Children and Young People's Services**

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

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

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<b>9</b>	<b>Compliments</b>	<b>14-15</b>
<b>10</b>	<b>Conclusion</b>	<b>15</b>
<b>11</b>	<b>Action Plan</b>	<b>16-17</b>

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

## 1. Executive Summary

This report provides information about complaints made in the twelve months between 1<sup>st</sup> April 2015 and 31<sup>st</sup> March 2016.

Havering Children's Services takes all complaints seriously and employs a thorough tracking system to ensure responses are timely and robust. Whilst complaints can be framed negatively, Havering strives to learn from every encounter with its users. Complaints are used to improve and progress the service, whilst providing a direct response to the user by trying to resolve the issue in the first instance. In 2015/16, Havering Children's Services received 94 complaints (including enquiries). Each complaint is scrutinised individually but also forms a thematic annual report to help the organisation learn, develop, and improve services.

Children's Social Care noted a significant increase in the number of complaints received throughout 2014/15, however complaints in the reporting year covered by this report have remained steady, at about the same level. The service has also noted that complaints have become increasingly complex. The sustained increase in the number of children on Child Protection Plans that started in 2014/15 has contributed to the type and complexity of complaints, and is reflective of some of the complaints in relation to attitude/behaviour of staff - which were mainly around decision making.

It is clear with Children Social Care complaints that there are sensitivities around most children's cases and with the decisions regarding whether a child is taken into care or made subject to a Child Protection Plan and it is necessary for social workers to provide families with the information to understand these processes.

In 2015/16 Children's Social Care began making major changes to its structure to work more closely with families and to build up those relationships through its 'Face to Face' vision and it is anticipated this will lead to better outcomes for families and lead to continuous improvement in the level of service provided. As part of this vision, the MOMO (Mind of My Own) app has been introduced to obtain children's wishes and views and also their concerns. Enabling children to raise issues through the use of technology is key to ensuring they feel their voice is heard, and will support the service in delivering better outcomes for children.

## 2. Introduction

Children Social Care collects information about contacts where the nature of the communication does not meet the threshold to be a statutory complaint and where informal resolution resolves the enquiry. These are counted as 'Enquiries'.

### 2.1 Regulations

The Local Authority Social Services Complaints (England) Regulations 2006' govern complaints, representations and compliments received about children and young people's services.

There are three stages covered within the regulations as set out below, with Havering Complaints Team also collecting information about enquiries that come through to the complaints service.

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

## Stage 1 – Local Resolution

This is the most important stage of the complaints process, with an expectation that the service (and its external contractors) works to resolve as many complaints as possible at this initial stage. Response times are 10 working days with a further 10 working days if required. If a young person requires an advocate this should be sought for them. If the complainant is not happy with the response at Stage 1 they can request to progress to Stage 2 within 20 working days of receiving the response.

## Stage 2 – Formal Investigation

Response times are 25 – 65 working days. An Independent Investigator and Independent Person are appointed at this stage. The Independent Person must be external to the organisation. Following the independent investigation, the investigation report will be sent to the complainant, along with the adjudication letter giving the decision of the Head of Service. If the complainant is not happy with the response at Stage 2, they can request their complaint to be heard by a Review Panel within 20 working days of receiving the response.

## Stage 3 – Review Panel

The Review Panel is managed independently of the Complaints, Information & Communication Team via Democratic Services. The Panel must consist of three independent people, one of whom is the Chair. The Panel must be held within 30 working days from request. Following the Panel Hearing, the recommendations will be issued to the complainant, independent people, advocate and Director within 5 working days. The Director must issue their decision within 15 working days of receiving the recommendations.

## Local Government Ombudsman

A further option for complainants is the Local Government Ombudsman (LGO) who is empowered to investigate where it appears that a Council's own investigations have not resolved the complaint. Complainants can refer their complaint to the LGO at any time, although the LGO normally refers the complaint back to the Council if it has not been considered in full under the Council's statutory procedure first.

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

## 3. Complaints Received

### 3.1 Ombudsman referrals

Ombudsman enquiries have increased in 2015/16 with one maladministration with injustice and four premature/informal enquiries.

	Apr15- Mar16	Apr14- Mar15	Apr 13- Mar14
Maladministration (no injustice)			
Maladministration & Injustice.	1		
No maladministration after investigation			
Ombudsman discretion			
Investigation with Local settlement			
Outside Jurisdiction			1
Investigation Discontinued			1
Premature/Informal enquiries	4	3	1
<b>Total</b>	<b>5</b>	<b>3</b>	<b>3</b>

### 3.2 Total number of complaints

The total number of stage 1 complaints remained at about the same level as 2014/15 (a slight increase of 6%), as compared to the significant increase experienced from 2013/14 to 2014/15 (26% increase). Of the total number of complaints received, 10 (14%) were made by children directly or via an advocate.

	Enquiries	Stage 1	Stage 1 escalated to Stage 2
2015/16	20	74	
2014/15	27	70	1
2013/14	36	42	5

Enquiries do not form part of the statutory process, therefore these figures are not included elsewhere in this report. Children Services collects information about Enquiries, as it is important as a learning tool, to understand how to prevent complaints escalating, and resolve at an early stage.

### 3.3 Stages

There has been a slight increase of nearly 6% in Stage 1 complaints in 2015/16 compared to 2014/15 seeing an increase to 74 from 70 for the respective counting years. There were no Stage 2 investigations, although there were 6 requests for Stage 2 that were not granted, for example, because the case was within Court proceedings, the complainant was not acting in the best interest of the child, or did not progress following meetings with complainants. When a complainant requests Stage 2, they are offered a meeting with the Senior Complaints Officer and other relevant officers in an attempt to seek early resolution. This approach has been successful in getting resolution (in 3 of the 6 cases) to the satisfaction of the complainant, and with a good outcome for the child.

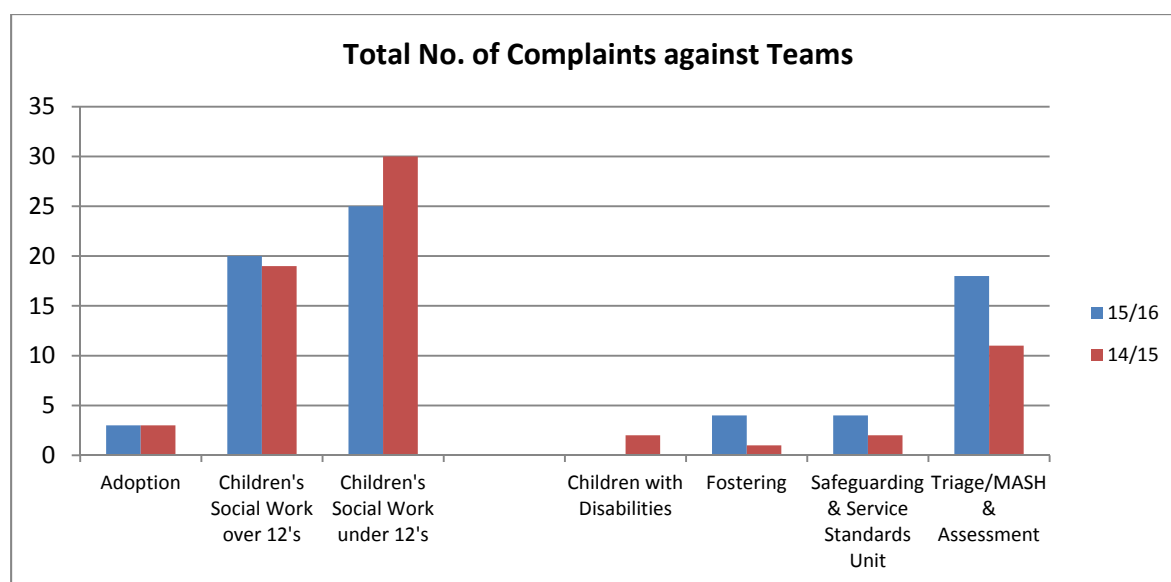
# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

## 3.4 Teams

Stage 1 Complaints have increased in 2015/16 across 'Over 12s'; 'Fostering'; 'Triage/MASH & Assessment' and the 'Safeguarding & Service Standards Unit'(SSSU). Fostering had the largest percentage increase - four times that of the previous year, although the actual number of complaints is low. SSSU has doubled (although the actual number remains low), with Triage/MASH & Assessment experiencing a 64% increase. 'Under 12s' service received the highest number of complaints, although the number received had reduced from the previous year.

During 2015/16, Children's Services began a process of transformation, starting with a review and pilot of changes in the MASH (and now implemented) in the last quarter of 2015/16. Over this period, there was no apparent impact on the number of complaints received (with 5 of the 18 complaints received in this period).

The service noted throughout 2015/16 an increased number of children on Child Protection (CP) Plans of 25% from the beginning of April 2015 to the end of March 2016. Given these higher activity levels within the service in terms of CP plans, complaints as a *proportion* of these, is showing a downward trend.



Year	Adoption	Children's Social Work over 12's	Children's Social Work under 12's	Children with Disabilities	Fostering	Preventative Team	Safeguarding & Service Standards Unit	Triage/ MASH & Assessment
15/16	3	20	25		4		4	18
14/15	3	19	30	2	1	2	2	11

The Children with Disabilities Team moved to Learning & Achievement in September 2014, becoming the Children & Adults Disabilities (CAD) Team. The new CAD Team brought together children with disabilities social workers and education staff (including specialist staff such as educational psychology) to improve the experience of children and young people with disabilities in mainstream and specialist education provision up to the age of 25. The two services are not 'like for like', therefore comparison of complaints

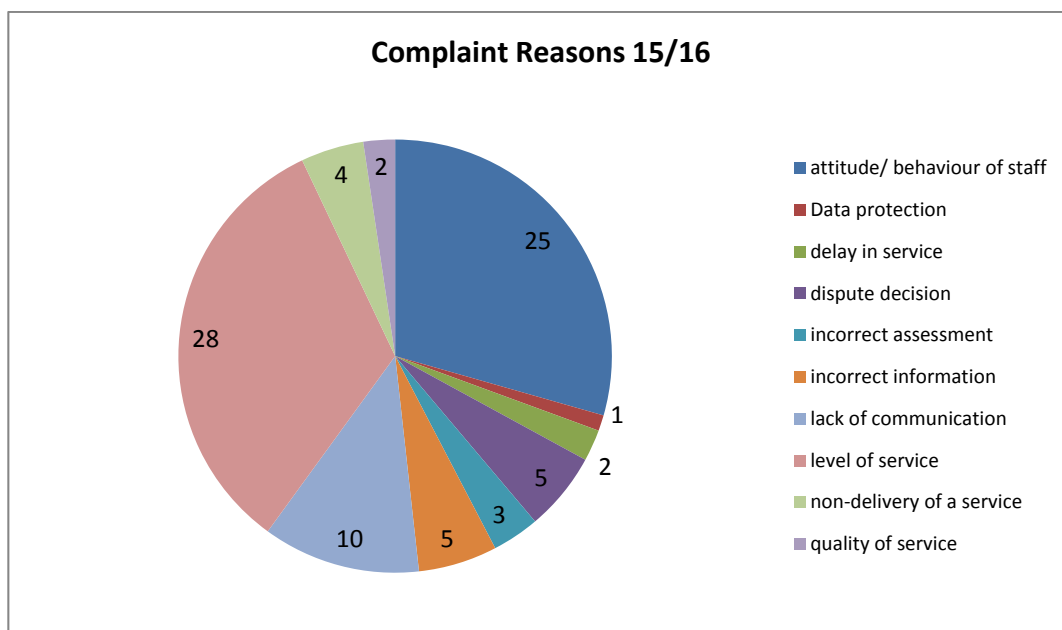


## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

reporting is problematic. Complaints for this service in 2014/15 were recorded under Children's Services, however the recording was moved to Learning & Achievement in 2015/16. The number of complaints received in 2015/16 for the Children & Adults Disabilities Team was 13.

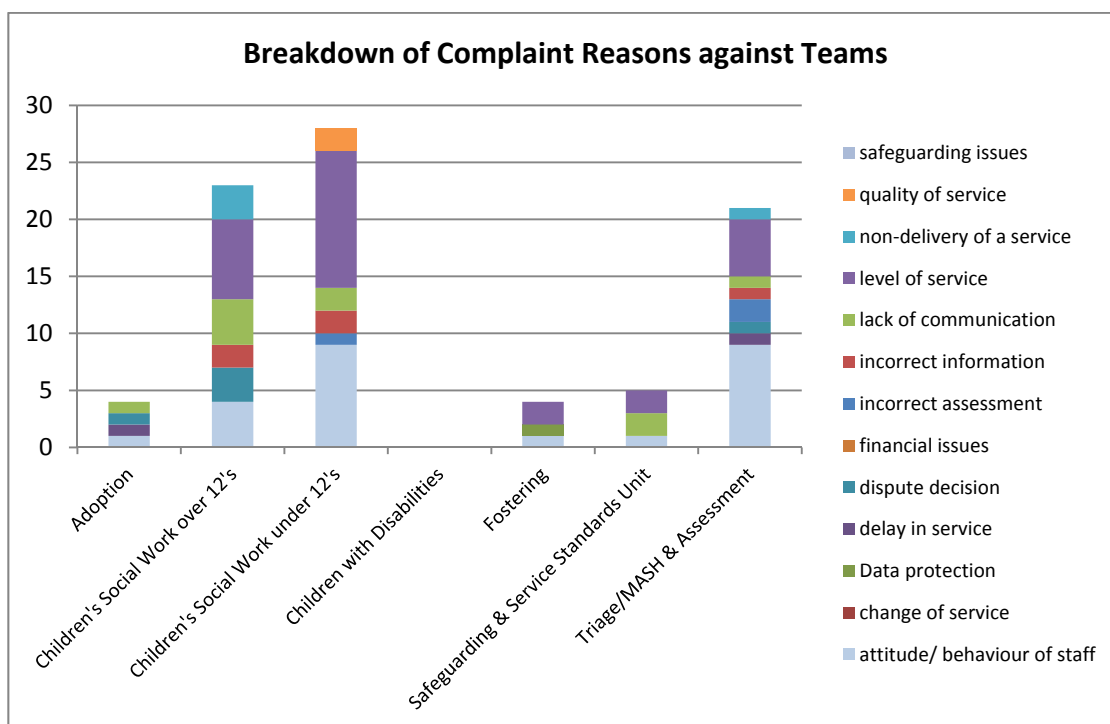
### 3.5 Reasons

Below is the breakdown of complaint reasons in 2015/16. It should be noted that a number of complaints had more than one reason. 'Level of Service' and 'Attitude/Behaviour of staff' are the main reasons for complaint.



The Service has noted the number of complaints that are in relation to 'attitude/behaviour of staff' which is across all teams. Although the majority of these types of complaints were more about the decisions that families were unhappy about, some were also linked to lack of communication by the social worker with the families.

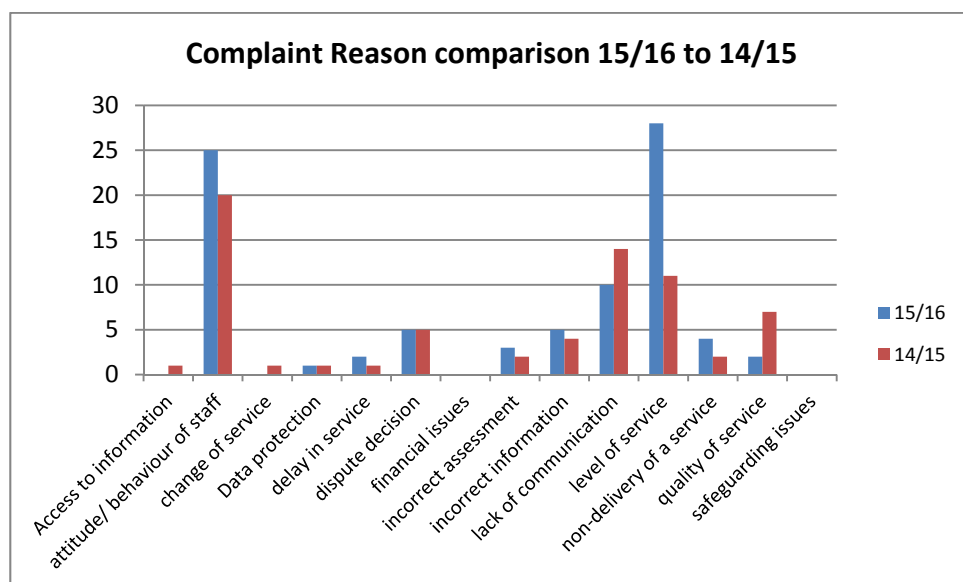
## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16



Column1	attitude/behaviour of staff	change of service	Data protection	delay in service	dispute decision	financial issues	incorrect assessment	incorrect information	lack of communication	level of service	non-delivery of a service	quality of service	safeguarding issues
Adoption	1			1	1				1				
Children's Social Work over 12's	4				3			2	4	7	3		
Children's Social Work under 12's	9						1	2	2	12		2	
Children with Disabilities													
Fostering	1		1							2			
Safeguarding & Service Standards Unit	1								2	2			
Triage/MASH & Assessment	9			1	1		2	1	1	5	1		

The comparison below shows the significant increase (increasing from 11 to 28) in 2015/16 regarding 'level of service' compared to 2014/15. 'Attitude/Behaviour of Staff' also showed a 25% increase in 2015/16 compared to 2014/15. As highlighted above, the majority were in relation to the decision as opposed to the actual behaviour of staff.

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16



## 3.6 Outcomes and Learning

As per 'complaint reason', for some complaints, there are multiple outcomes. A breakdown has been shown as below.

Of the complaints received, 38 were upheld, 26 not upheld, 8 withdrew and 2 resulted in no further action. This also would include those categories below, for example, upheld with an explanation/apology given.

Apology	Complaint withdrawn	Explanation/ Apology given	Explanation/ Information provided	No further action required	Reassessment/ Reallocation	Report provided
3	7	22	56	3	2	1

### 3.6.1 Looked After Children Complaints 2015/16

Whilst all complaints are thoroughly considered, particular attention is provided to complaints for Looked after Children (LAC) as they are the most dependant on the good delivery of our services. In 2015/16 there were 33 complaints made and the common themes that emerged within these complaints are about communication with staff members (42%) and the decisions made about their case (39%). The senior management team of Children's Services has reflected on these complaints, and other feed-back that has been received from Children in Care. A key element of the transformation of Children's services is an effort to improve the levels of communication between social workers and Children in Care through the Face-to-Face Programme. This programme also includes the adoption of innovative ways to allow the child's voice to be heard. An example of this is supporting staff and LAC to use Mind of My Own (MOMO) which allows children to communicate with wishes and feelings when they want to via a medium that most of them are comfortable with. Havering has also developed a recruitment and retention strategy in order to decrease the percentage of agency workers within the service. Reducing the number of agency social workers will enable more stability and provide greater consistency, with the aim of Children in Care experiencing fewer changes of social worker. An independent advocacy service is available to Children in Care who may wish to complain about the service that they have received.

## 3.6.2 Leaving Care Complaints 2015/16

Within the Leaving Care team there were 7 complaints in 2015/16, 85% of these related to the delivery of the service. In order to provide a better service, Havering has submitted a bid to the DfE Innovation Fund to support successful transitions to adulthood. There is recognition that these complaints suggest that the level of service provided to this group could be improved. Havering has decided to create a pathway for care leavers in order to provide them with wrap around support as they progress to adulthood. In the event that the Innovation bid is unsuccessful, there is a contingency to work with partners to adopt the principles of the bid.

## 3.6.3 General Themes and Trends 2015/16

Overall in Children's Services the highest number of complaints was about the level and quality of the service provided (40%). This is a wide-reaching category which covers many different areas of complaint such as the standard of assessment, the care provided to children that are looked after by the local authority and the decisions made by social workers with regards to case direction. We acknowledge that as a service it is vital to always deliver the best possible outcomes, at the same time we must accept that there will always be issues raised and unpopular decisions made, especially given the nature of our work.

32% of complaints received were with regards to the behaviour of staff and communication whilst data protection and incorrect information accounted for 10%. The relatively low level of complaints relating to incorrect information demonstrates that our social work staff are working conscientiously and diligently. In terms of communication, new tools such as MOMO have also been introduced to encourage children and young people to share their views in a secure and confidential environment. The remaining 18% of responses were miscellaneous comments.

50% of all the complaints made were not upheld but learning was noted and attributed against them. No complaints for this period progressed past stage one. This suggests that the level and type of response from the management team is effective in resolving complaints swiftly.

## 3.6.4 Summary

- Each complaint that we receive is taken seriously, analysed and responded to appropriately at source.
- Many of the changes proposed through the Face-to-Face programme aim to address the issues raised by complaints in the last 12 months – specifically in relation to communication.
- Havering CYPS is currently undertaking a wide-ranging programme of transformation, which will change the way we practice and enable social workers to tailor their intervention on a case by case basis.

## 3.7 Response times

Complaints have become more complex and response times reflect this as shown below. The number of responses within 10 days and 11-20 days has declined by 11% and 4% respectively, and those responded to over 20 days has doubled. As previously noted, the

## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

complexity of complaints has increased and this has impacted on response times. However it should be noted that within the statutory framework it allows for extension of up to 20 days and where this is required holding letters are sent to the complainants. Improved monitoring is now in place to address response times.

	Within 10 days		11-20 days		Over 20 days		Withdrawn	
	Apr 15 Mar16	Apr14 Mar15	Apr 15 Mar 16	Apr14- Mar15	Apr 15 Mar 16	Apr14- Mar15	Apr 15- Mar 16	Apr14- Mar15
Stage 1	25	28	25	26	23	11	2	3
%	34		34		32			

### 3.8 Stage 2 Complaints

There were no Stage 2 investigations during 2015/16, although there were requests for Stage 2 that did not progress.

### 3.9 Stage 3 Review Panels

There were no Stage 3 Review Panels during 2015/16 compared to two in 2014/15.

	2015/16	2014/15
Stage 2 request for a Stage 3 with no Review Panel		
Stage 3 Review Panel		2

## 4 Corporate Complaints

Corporate complaints do not form part of the statutory process, but are shown to have dropped considerably from 20 in 2014/15 to 7 in 2015/16. For those received, 67% were responded to within the target timescale. Corporate complaints are reported on separately.

## 5. Expenditure

Expenditure was incurred for 2015/16, which related to a Stage 2 investigation from 2014/15 and one Stage 2 in 2015/16 which did not escalate to investigation and has reduced from 2014/15.

	Publicity/ leaflets	Independent investigators	Total
Apr 2015 – Mar 2016		£2,614.20	£2,614.20
April 2014 – March 2015	£796.25	£2,210.72	£3,006.97

## 6. How Complaints were received

There has been an increasing trend that complainants' preference is either email or letter.

	Letter or Complaint Form	E-mail	Telephone	In Person	Online
2015/16	21	35	11	2	4
2014/15	20	24	26	0	-

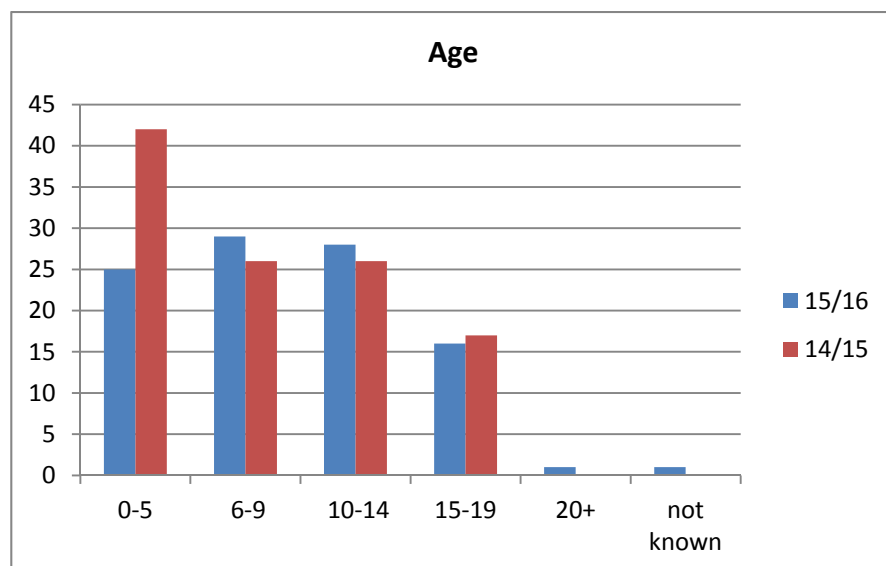
## 7. Monitoring Information

### 7.1 Age

Children's complaints sometimes involve a number of children within the family unit and therefore the breakdown of ages shown includes all children, which will show a larger number than the number of complaints received.

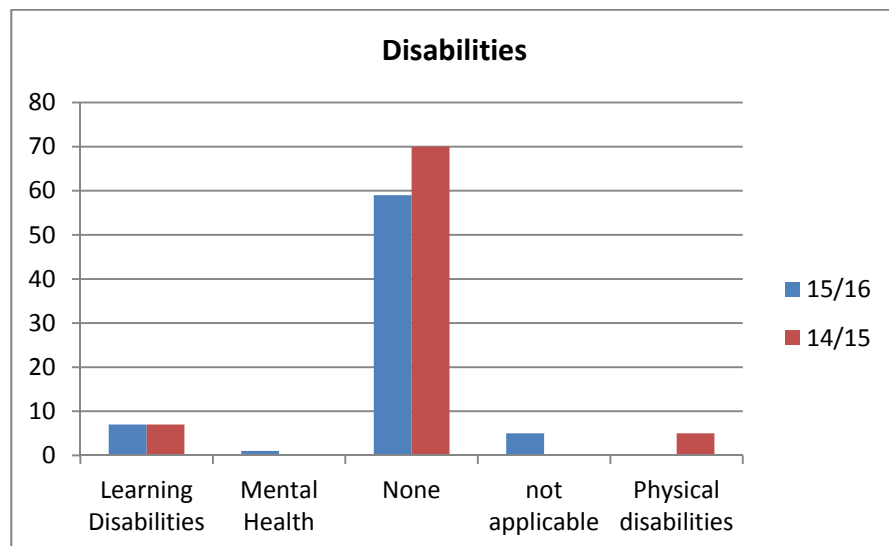
There has been an increase in the number of children on a Child in Need Plan between the ages of 5-9 where there was an average of 51 for 2015/16 as opposed to an average of 25 in 2014/15. It is noted that statistics are not reflective of the complaints data categories and discussions will be needed on how best to capture monitoring information data so that it is consistent to meet legislative requirements.

Within Havering there has been an increase in the number of children in the borough to the end of 2015/16 as compared to 2014/15. The change in population was 3% for ages 0-5 and 6-9 with a 1% increase in ages 10-14. Ages 15-19 has shown a reduction of 1%.



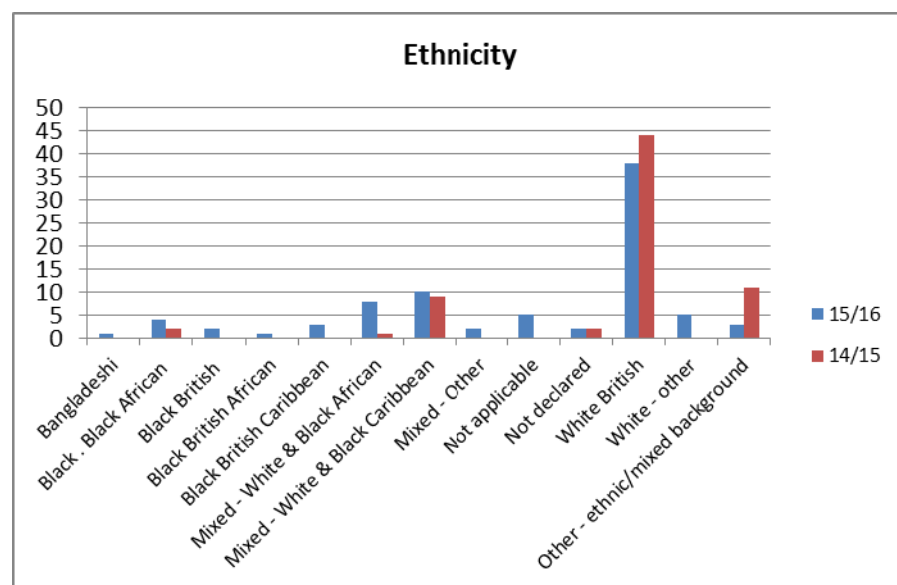
## 7.2 Disability

Complaints relating to those with learning disabilities have remained at the same level in 2015/16 as 2014/15 and there has been a reduction in complaints involving children with physical disabilities compared to 2014/15 (there were none in 2015/16).



## 7.3 Ethnicity

The highest increase of 88% has been in children of 'Mixed White and Black African' ethnicity in 2015/16 compared to 2014/15, with other slight increases across the other ethnic backgrounds. 'White British' has fallen by 14%



## 8. Members Correspondence

Members' correspondence has remained at the same level in 2015/16 as 2014/15, with 58% being responded to within timescale. The first two quarters of 2015/16, there were only 4 members enquiries into the service, with 8 in quarter 3 and 12 in quarter 4. This increase in volume in the latter part of the year affected response times, with 25%

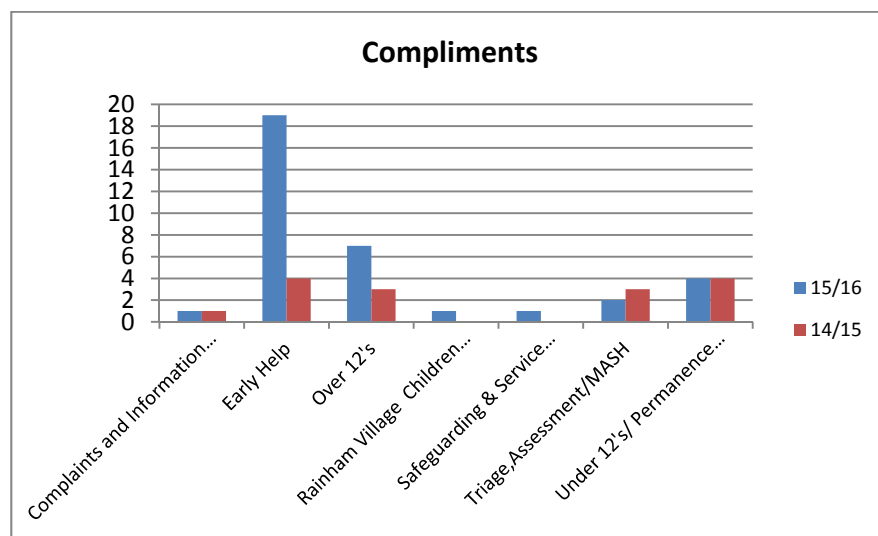
## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

responded to on time in quarter 3, although this had increased to 67% in quarter 4. The Service recognises the need to improve response times and more practice monitoring systems have been introduced. Members' correspondence is reported on separately

	2015/16	2014/15	2013/14
Members Correspondence	24	24	27

### 9. Compliments

Compliments increased by 94% in 2015/16 (35) compared to 2014/15 (18). The increase is mainly attributable to the Family Intervention feedback evaluation forms received during this period for Early Help. This is shown in the breakdown of compliments received by teams below.



Some examples of compliments received are shown below:

A family write in about the support from a worker and the change in their child's life – 'he is becoming more sociable towards family members and my family have noticed this, especially nan and grandad .... I get so much support and understanding...' – **Early Help**

A Mum feels that the social worker 'has always listened to me, and the kids like the social worker'

'Things are starting to turn around, social worker will go into college and she will speak to young person and the girls, other social workers didn't do that'

'The kids feel like they have a voice now' – **12+/Leaving Care**

A family grateful for help said 'it made such a difference to have their concerns listened to'. – **Rainham Children's Centre**

Parents write in regarding the support for their son by the worker 'your professionalism was quite apparent and your support for us.... to find a mutually acceptable solution actually went beyond the call of duty.' – **Triage/MASH & Assessment**

A mother gives her feedback – 'I've had more than enough support - she has been amazing - she tells me I'm doing a great job - she's spoken to my family and answered their questions



## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

every time I need her she is there- and she always lets me know what is going on.' – **Under 12s**

### 10. Conclusion

Complaints have continued to play an important part in providing a good source of information to the Service. The increasing number of complex complaints across Children's Services has had an impact on the response times, however continued efforts in face to face meetings have again resulted in a reduction in Stage 2 investigations.

Due to the changing demography and increasing demand for services, Children's services have experienced a number of different pressures and challenges throughout this period. In addition, a number of structural and organisational changes have taken place. This is likely to be reflected in the number of complaints that are attributable to the level of service received.

It has also been noted throughout 2015/16 that the majority of complaints were made by parents and not by children. Children's Services have taken this on board and has introduced the Mind of My Own (MOMO) app to allow children to make their views and wishes known, and raise concerns. The Complaints Team is linked into MOMO and will be monitoring this throughout 2016/17.

In Havering we aspire to continually improve the quality of our service. Going forward, the Face-to-Face programme strives to provide the tools to work in an analytical and reflective way which will in turn produce purposeful and evidence-based intervention through systemic practice.

The systemic family therapy training will equip social workers with the confidence to reflect on their decisions as well as explore alternative ways of meeting need. By encouraging this diversity in practice we will enable our social workers to tailor their intervention to each family, resulting in a more personalised service.

As a result of these changes and improvement to our practice we would expect to see a fall in the number of complaints regarding the level and quality of the service that is delivered as well as the behaviour and communication from staff. Complaints will continue to be monitored stringently and the complaints tracker will be reviewed fortnightly by the senior leadership team.

All learning will continue to be fed back into the service to enhance and develop our service delivery.

# CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

## 11. Complaints Action Plan

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
Communication between social workers and parents/families relating to decisions made	<ul style="list-style-type: none"> <li>Improve the way decisions about children are communicated.</li> <li>Better communication around contact arrangements and case progression</li> <li>Ensure when there is a change in social worker (e.g. following staff departure), this is communicated effectively.</li> </ul>	Introduction of the 'Face to Face' programme	All	31 <sup>st</sup> March 2017 and ongoing	'Face to Face' programme started Summer 2016
Children are not able to make their voice heard through the complaints process	<ul style="list-style-type: none"> <li>Increase understanding of outcomes sought by children in relation to their CP plans</li> </ul>	Introduction of 'Mind Of My Own' (MOMO), allowing children to communicate their wishes and feelings.	All	Ongoing	MOMO introduced Summer 2016
Children Leaving Care not feeling supported into adulthood	<ul style="list-style-type: none"> <li>Improve service offer for children who are care leavers, to better support them making successful transition to adulthood.</li> </ul>	<p>Review of pathway for care leavers, including developing a holistic programme in collaboration with Adult and Mental Health Services.</p> <p>One of the BHR ACO pilots for Havering will be focussed on children services.</p>	<p>Leaving Care</p> <p>Adult Services</p> <p>Mental Health Services</p>	31 <sup>st</sup> March 2017 and ongoing	Bid submitted to DfE Innovation Fund August 2016 to support development of approach.
Standard of delivery and level of service to be reviewed to ensure children and their families understand	<ul style="list-style-type: none"> <li>S20 – parents not clear about process and implications – clear explanation and information needs to be at an early stage</li> </ul>	<p>Social workers to give clear and concise information about process.</p> <p>Managers to ensure that communication is addressed</p>	Triage/MASH & Assessment	Ongoing	Work ongoing. Leaflets about processes in final stages of design.

## CHILDREN'S SOCIAL CARE ANNUAL COMPLAINTS REPORT 15-16

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
decisions made.	<ul style="list-style-type: none"> <li>S47 – parents not given sufficient information about process – consistent determination needed and clear information about process</li> </ul>	<p>through the PDR process.</p> <p>Process already in place that two senior managers sign off S47s.</p>			
Important information is not always recorded appropriately	<ul style="list-style-type: none"> <li>Information leading to an action/decision should be recorded in detail.</li> <li>Information needs to be recorded accurately</li> </ul>	<p>Work is already being undertaken to look at improved recording across the service.</p> <p>Assessments to identify clearly fact from opinion and identify the source of the information.</p>	All	On-going	<p>Managers continue to carry out case file audits to ensure recording is appropriate. Practice weeks, led by Director and Principal Social Worker, ongoing throughout the year.</p> <p>Admin Team developed and embedded as part of the recent service restructure in order to improve the quality and completeness of case recording. Regular data quality reports are sent out by the Policy and Performance service to Children and Young People's Services, identifying where case records are incomplete and / or inconsistent.</p>

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**ADJUDICATION & REVIEW COMMITTEE**  
**24 NOVEMBER 2016**

<b>Subject Heading:</b>	Learning & Achievement Complaints Annual Complaints Report 2015/16
<b>SLT Lead:</b>	Tim Aldridge/Sue Imbriano
<b>Report Author and contact details:</b>	Veronica Webb, Senior Complaints & Information Officer, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	Quality and High Customer Satisfaction

**SUMMARY**

This report is for information and refers to the reports presented to Children & Learning Overview & Scrutiny Committee on 8 November 2016.

**RECOMMENDATIONS**

Members to note the reports and contents.

**REPORT DETAIL**

Please see attached report

**IMPLICATIONS AND RISKS**

**Financial implications and risks:**

Please see attached report

**Legal implications and risks:**

Please see attached report.

**Human Resources implications and risks:**

Please see attached report.

**Equalities implications and risks:**

Please see attached report.

**BACKGROUND PAPERS**

None

**CHILDREN & LEARNING OVERVIEW AND SCRUTINY  
SUB-COMMITTEE  
8 NOVEMBER 2016**

<b>Subject Heading:</b>	Learning & Achievement Complaints Annual Report
<b>SLT Lead:</b>	Tim Aldridge/Sue Imbriano
<b>Report Author and contact details:</b>	Veronica Webb, 01708 433589 Veronica.webb@havering.gov.uk
<b>Policy context:</b>	Quality and high customer satisfaction

**SUMMARY**

1. The Learning & Achievement report attached as Appendix 1 provides information on the complaints received during 2015/16. It should be noted that Maintained Schools and Academies have their own complaints procedure which are dealt with through their Governing Bodies and are not included within this report. Schools admissions and exclusions are dealt with through a statutory appeals process and also not included in this report.

**RECOMMENDATIONS**

2. That members note the content of the attached report for information.

**REPORT DETAIL**

3. The number of Ombudsman enquiries decreased slightly in 2015/16 with two of these being premature/informal enquiries and one where no investigation was warranted. The number of complaints overall has more than doubled with the majority of these resulting from school expansions and the introduction of the new Children and Families Act. This was reflected in those teams dealing with these areas, i.e. Education Provision & Commissioning Service and Children & Adults with Disabilities Team (CAD).

Enquiries, which are complaints about school related matters that were referred to the school/academy or college dropped by 27%.

4. The main reasons for complaint were 'suitability of the service' and 'quality an reliability' relating to the school expansion programme and also to SEN transport and Special Educational Needs.
5. For those enquiries that were referred back to either the school/academy or college the main reason for complaint was 'level of service' relating to bullying and how the relevant school/academy or college dealt with this. Some of these type complaints also linked to safeguarding, however it should be noted that following robust investigations, were identified as perceived risks to either an individual child or children's safety within a school/academy or college rather than actual risks. Complaint reason 'behaviour of staff' was in relation to childminders' behaviour within education premises.
6. The majority of complaints were 'not upheld', and for those partially upheld involved new provision being agreed, increased or changes to practice and provision.
7. Response times continue to be at a very high rate within Learning & Achievement with 97% corporate complaints being responded to within timescale. Learning & Achievement have also responded well to Members enquiries with 93% being responded to within timescale.
8. Complainants continue to prefer making complaints via email or letter which has shown an increase in 2015/16 of 79% and 59% respectively.
9. Compliments have decreased by 58% in 2015/16, although there were increases across Admissions, CAD and Governing Body Support relating to help and support provided. Learning & Achievement will need to ensure that compliments continue to be forwarded to the Complaints Team to be logged.
10. During 2015/16 there has been structural changes within Learning & Achievement as a result of SEND and also within schools, in particular the schools expansion programme which impacted on the number of complaints received. However, Learning & Achievement continue to have a high response rate to complaints and member enquiries.

## **IMPLICATIONS AND RISKS**

### **Financial implications and risks:**

There are no financial implications or risks arising from this report, as it only notes details of previous complaints.



**Legal implications and risks:**

There are no apparent legal implications from noting this Report.

**Human Resources implications and risks:**

There are no direct HR implications or risks to the Council, or its workforce, that can be identified from the recommendation or contents of this report.

**Equalities implications and risks:**

The report demonstrates that there is a transparent and structured (both informal and formal) route for concerns or complaints, to be registered for review and action where required.

The Council is working towards improving the monitoring of the diversity profile of complainants and service users against relevant protected characteristics such as age, disability, ethnicity, etc, The Governing Body Support Unit is providing complaints training within schools and can explore how information can be obtained. In line with the Council's corporate policy on translation and interpreting services, this service also offers information in other languages and alternative formats on request.

The Service will continue to look at ways in which information can be obtained from schools in order to identify areas for improvement through the Governing Body Support Unit, as well as exploring other options.

The Service will be looking to possible inclusion of an overview or analysis for any equality and diversity complaints in future reports

<b>BACKGROUND PAPERS</b>
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None.



## APPENDIX 1

# Children, Adults & Housing: Learning & Achievement

## Annual Report 2015 – 2016 Complaints and Compliments

**Prepared for:**

**Mary Phillips, Assistant Director, Learning & Achievement**

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

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## Executive Summary

Learning & Achievement have faced challenges during 2015/16 with the embedding of the Children & Families Act and the new SEND process, along with the increased school place pressures, resulting in a number of schools having to expand to accommodate the increased numbers. This has shown how these areas have been impacted in relation to the increase in complaints received, which has more than doubled in 2015/16.

### 1. Ombudsman referrals

There was three Ombudsman enquiries, with two being premature/informal, and one where no investigation was warranted.

	Apr 15 Mar16	Apr14- Mar15	Apr13- Mar14
Maladministration		1	
No investigation	1		
No maladministration after investigation			
Ombudsman discretion			
Investigation with Local settlement			1
Outside Jurisdiction		1	
Investigation Discontinued			
Premature/Informal enquiries	2	2	
<b>Total</b>	<b>3</b>	<b>4</b>	<b>1</b>

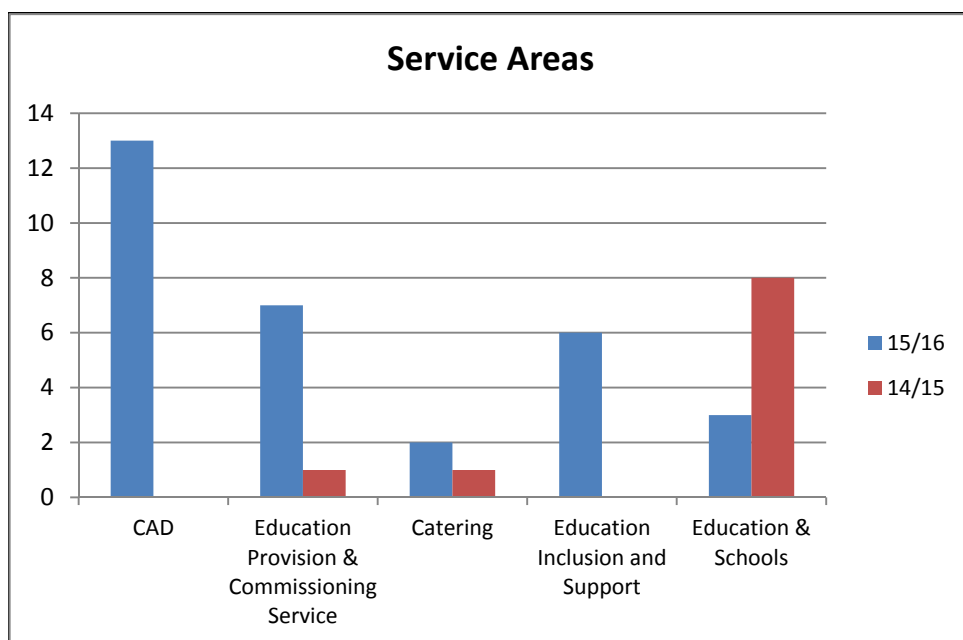
### 2. Total number of complaints

The number of complaints has more than doubled in 2015/16 compared to 2014/15, although the number of enquiries have dropped by 27%. Enquiries are those complaints that are in relation to school matters that are referred to the relevant school/college to be taken through their own complaints procedure.

	Corporate Complaint	Enquiry	Total
<b>2015/16</b>	<b>31</b>	<b>35</b>	<b>69</b>
<b>2014/15</b>	<b>13</b>	<b>48</b>	<b>61</b>
<b>2013/14</b>	<b>27</b>	<b>14</b>	<b>41</b>

#### 2.1 Service Areas

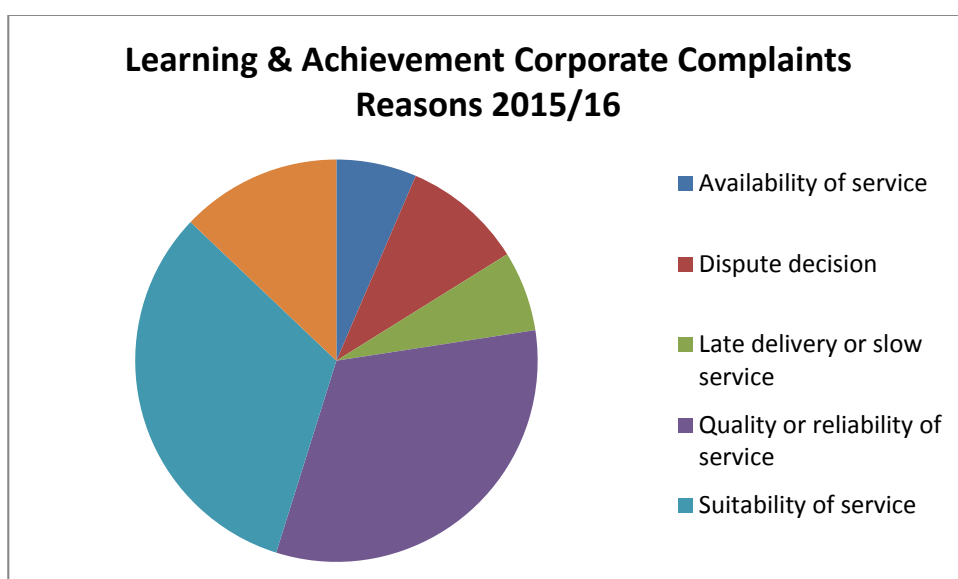
Service areas within Learning & Achievement changed during 2015/16 with the introduction of the Children and Families Act 2014 with the bringing together of Children and Adults with Disabilities (CAD) into one team to reflect the seamless service from birth to death and the introduction of the Special Educational Needs (SEND) process. Therefore a high number of complaints related to the implementation of the Children and Families Act. Also the 86% increase for Education Provision & Commissioning Service resulted from a number of complaints in relation to school expansions.



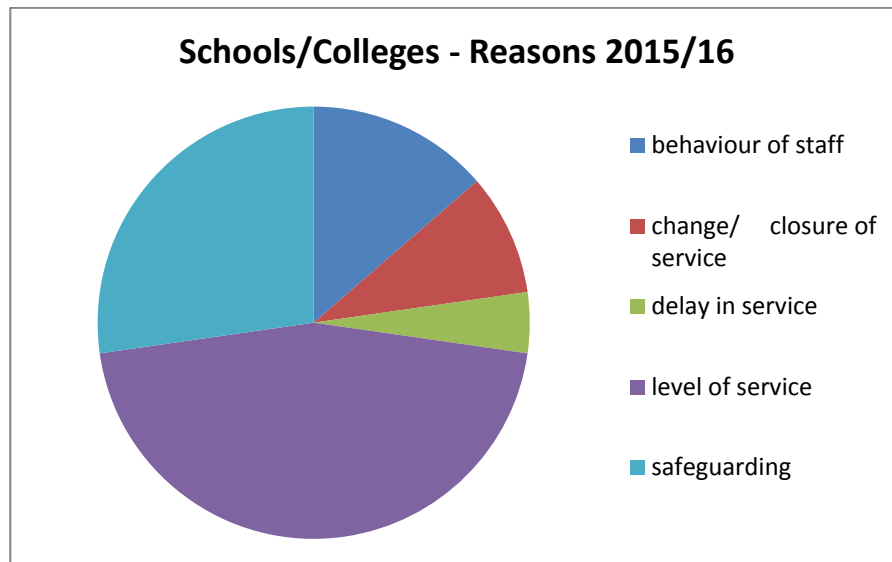
Column1	15/16	14/15
CAD	13	0
Education Provision & Commissioning Service	7	1
Catering	2	1
Education Inclusion and Support	6	0
Education & Schools	3	8

## 2.2 Reasons

Due to the change in recording of Corporate complaints and the categories, it is not comparable to previous year's data and therefore can only show the breakdown of the complaint reasons for 2015/16. 'Quality and reliability' and 'Suitability of service' were the main reasons for complaint during 2015/16 and related to school expansion programme, provision regarding SEN transport and special educational needs.

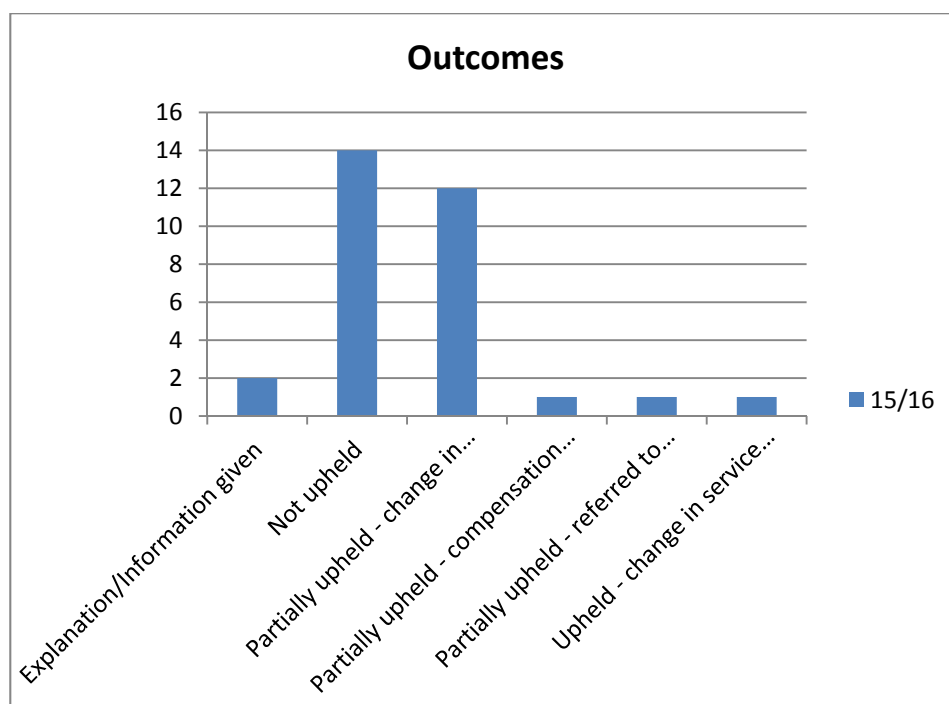


Below shows the breakdown of the reasons of those enquiries that were referred to either schools or colleges. The highest is in relation to 'level of service' and the majority of these were in relation to bullying and how the school/college dealt with it. Linked to this was 'safeguarding, the next highest. Again some of this was in relation to bullying incidents within the school where concerns were raised which, following robust investigations, were identified as perceived risks, rather than actual risk to an individual child or safety of children within the school/college. Those that were around 'behaviour of staff', the majority were in relation to perceived childminders' behaviour within education premises.



## 2.3 Outcome

Although reporting for outcomes has been done retrospectively, it will enable the Service to see comparable data in future years. Below shows that the majority of the complaints were 'not upheld', with the next highest outcome being 'partially upheld – change in service provision'. These may have included provision being agreed or increased, or changes to practice in relation to provision.



## 2.4 Response times

There were 31 Corporate complaints received during 2015/16, more than doubled, compared to 2014/15 with 97% being responded to within timescale. This improved from 2014/15 where 77% were responded to within timescale. It should be noted that corporate timescales had changed in 2015/16 to 15 days as opposed to 10 days. Learning & Achievement continue to have a high response rate.

	Within 15 days		Outside of timescale	
	Apr15-Mar16	Apr14-Mar15	Apr15 – Mar16	Apr14-Mar15
Corporate Complaints	30	10	4	3

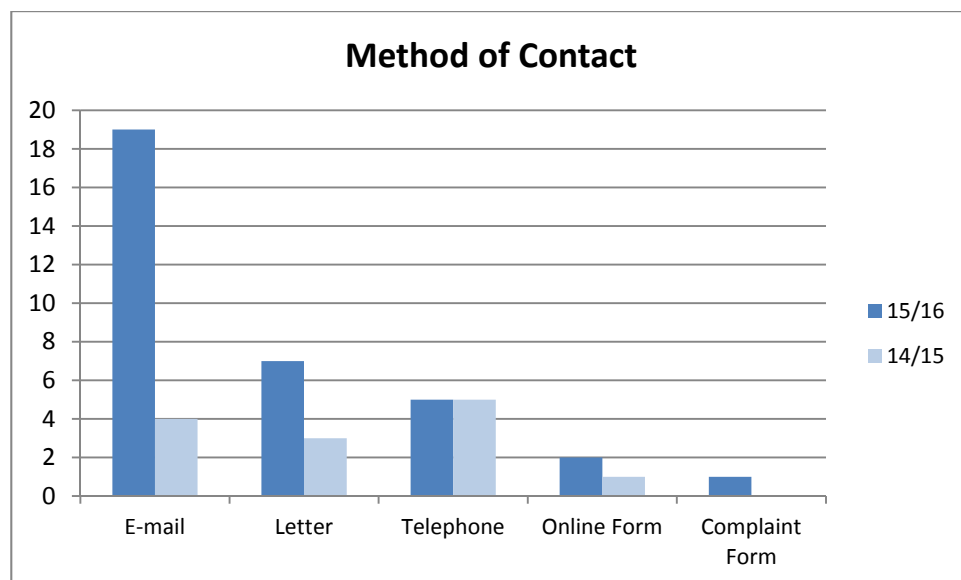
## 3. Members' Correspondence

Members enquiries have increased by 13% in 2015/16 with 93% responded to within timescale. Learning & Achievement continue to have a high response rate.

	2015/16	2014/15	2013/14
Members Correspondence (from MP's & Cllrs)	54	47	62

## 4. How Complaints were received

Complainants continue to prefer making their complaint either by email or letter which has shown an increase of 79% and 57% respectively in 2015/16 compared to 2014/15. Telephone contact remains at the same level, and there has been a slight increase in those using the online form.

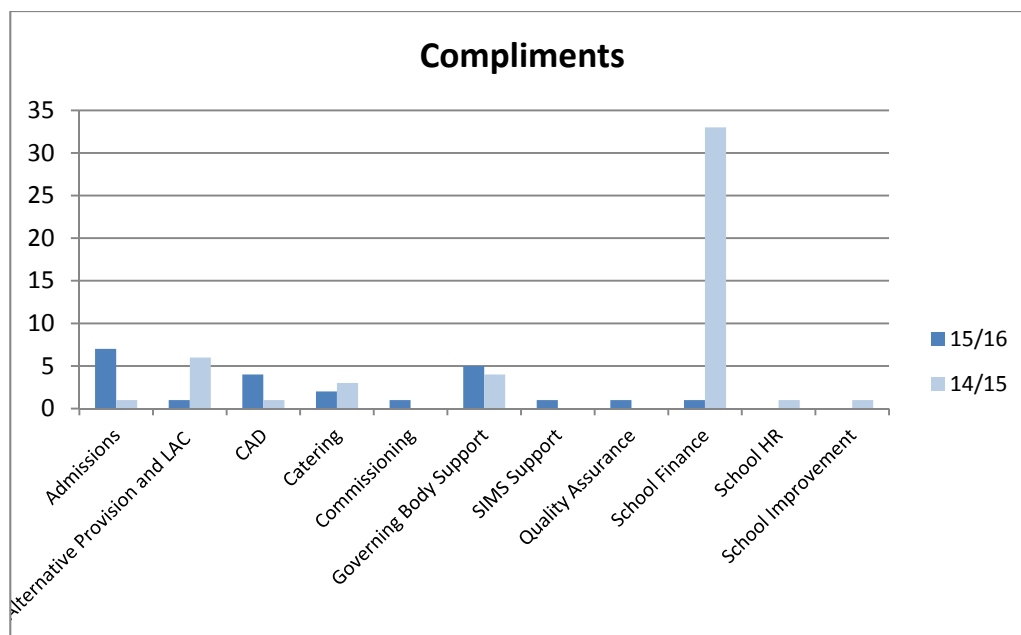


## 5. Compliments

Compliments have decreased by 58% in 2015/16 from 2014/15, however in 2014/15 a survey resulted in the high number during this period. There have been increases across Admissions, CAD and Governing Body Support with Quality Assurance and SIMS Support



receiving compliments during 2015/16. The majority of compliments were in relation to the help and support provided.



Some examples of compliments received are given below:

A mother feedbacks on a worker ‘ she is absolutely brilliant fabulous, I can’t fault her. From the very beginning when she came to see the child she was very thorough in checking things out for him. She keeps you informed through phone calls back & forth always phones you back.’ Totally different changed our lives so (she) should keep doing what she is doing.’ – **Children & Adults with Disabilities (CAD)**

A headteacher writes ‘I am writing to express my appreciation and thanks on behalf of the GoverningBody for the help and support you have given to the school since my appointment in 2012. You have always conducted our meetings in a very professional and approachable manner, for which we would like to thank you.’ – **Governing Body Support**

A Director of an Academy’s Trust writes about a worker ‘Just a personal note to thank you and your department for all of your work, support and advice which has been of enormous help to us throughout the year. The improvements made since you have been in post have been considerable, and have enabled us to carry out our whole admissions process with greater knowledge, confidence and efficiency.’ – **Admissions**

A headteacher writes ‘I just want to say a huge personal thank you to all of you, for all the thought and support you put into helping me with the alteration of the Pastoral Structure. Please pass on my thanks to all the team, ..... who showed amazing patience and kept me sane...’. – **School Information Management System (SIMS)**

## 6. Conclusion

Complaints data for Learning & Achievement in relation to Corporate complaints is limited, as the categories differ from that within Adults and Children’s Social Care. Data in relation to enquiries is based on reports within Children’s Social Care, and therefore is reflective of this.

There has been an increase in the number of complaints for Learning & Achievement, based on the changes, not only within the Service but also changes within Schools, in particular the schools expansion programme and the change with the bringing together of Children and Adults with Disabilities under Learning & Achievement.

Learning & Achievement continue to have a good response rate on complaints and may need look at schools and their bullying policies/practices. The service continues to challenge schools in relation to their practice around bullying.

## ADJUDICATION AND REVIEW COMMITTEE

24 NOVEMBER 2016

<b>Subject Heading:</b>	Update on Corporate Complaints
<b>SLT Lead:</b>	Andrew Blake-Herbert
<b>Report Author and contact details:</b>	Carol Ager <a href="mailto:carol.ager@havering.gov.uk">carol.ager@havering.gov.uk</a> 01708 434389
<b>Policy context:</b>	Corporate Complaint Policy and Procedure 1st April 2015
<b>Financial summary:</b>	There are no financial implications to this report.

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

Havering will be clean and its environment will be cared for	[ ]
People will be safe, in their homes and in the community	[ ]
Residents will be proud to live in Havering	[X]

### SUMMARY

This report updates Members of Adjudication and Review on complaint handling performance, across all Council services.

The Corporate Complaint Policy and Procedure was introduced on 1<sup>st</sup> April 2015. As part of the new Policy, it was agreed that turnaround times be increased from 10 days to 15 days. It was further agreed that the percentage of cases responded to within time be increased from 90% to 95%. The purpose of the changes was to enable a full and proper investigation into a complaint, therefore ensuring the council response was right first time, most of the time; to ensure a higher quality response; that the Policy & Procedure was fully complied with and importantly, that Services learned from their complaints.

Statistics are reported to Committee on a quarterly basis. Since April 2015, there have been notable improvements in complaint handling performance.

This report attaches written information for Members to consider on complaint statistics for Quarter 2, indicating numbers received and performance on timeliness and quality.

## **RECOMMENDATIONS**

That the Committee consider and discuss any further action required on the following:

1. The Corporate Complaints Performance Statistics for Quarter 2 (July – September 2016)
2. The updated results following the Quarter 2 Audit of complaints
3. Decisions made by both the Local Government and Housing Ombudsmen throughout the quarter.

## **REPORT DETAIL**

The Corporate Complaints Policy and Procedure came into effect 1st April 2015. This report summarises the improvements being made, and maintained, under the Council's complaints handling process, through audit results which show increased quality in responses and turnaround times.

### **Corporate Complaints Performance Statistics**

The 2<sup>nd</sup> quarter performance statistics for all complaints under the procedure is attached as **Appendix 1**.

In short, the council received 519 Stage 1 complaints during the period July to September 2016. 99% of them (510) were responded to within 15 days.

The council received 82 requests for escalation to Stage 2 of the process, 96% (79) of them dealt with within 20 days.

This equates to an escalation request rate of 16%, however, this is reduced to 6% when considering the number of cases that were not escalated to Stage 2.

The following table provides an easy view of complaints completed at Stages 1 and 2.

	<b>July</b>	<b>August</b>	<b>September</b>
Stage 1 percentage to time	99%	98%	98%
Stage 2 percentage to time	95%	97%	97%
Cumulative percentage Stages 1 & 2	99%	98%	97%

## **Audit of Complaints**

The table below shows the breakdown of cases audited during Quarter 2. Generally, the aim is to audit approximately ten percent of the total number of complaints received. For some services, this computes to a much higher percentage, as they have broad ranging, diverse service elements, and the dip test seeks to cover all areas.

	<b>No. of files audited</b>	<b>No. of Q2 complaints</b>	<b>Percentage of total</b>
Communications	3	10	30%
Community Safety	1	6	17%
Culture & Customer Access	7	26	27%
Economic Development	1	1	100%
Environment	24	226	11%
Housing	16	176	9%
oneSource	10	35	29%
Regulatory Services	12	29	41%
Social Care / L&A	3	9	33%
Totals	77	518	15%

The comparison of audit results between Quarters 1 and 2 is attached as **Appendix 2**. The RAG status can be affected by the individual cases audited, which is carried out randomly.

## **Ombudsmen Decisions**

During Quarter 2 there were fifteen decisions by Local Government and Housing Ombudsmen, as follows:

- 2 x Closed after initial enquiries: No further action  
(*Housing and Environment Services – Roads, Pavements & Street Lighting*)
- 5 x Closed after initial enquiries: Out of jurisdiction  
(*Council Tax, Children's Social Care (2), Environment Services (2) – Traffic & Parking and Roads, Pavements & Street Lighting*)
- 2 x Not upheld: No maladministration  
(*Housing and Planning & Building Control*)
- 4 x Premature complaints  
(*Housing (3) and Children's Social Care*)
- 1 x Upheld: No further action  
(*Planning & Building Control*)
- 1 x Upheld: Maladministration, injustice with penalty  
(*Adults Social Care*)

**IMPLICATIONS AND RISKS**

There are no financial, legal, human resource or equality implications or risks from this report.

**BACKGROUND PAPERS**

The Corporate Complaints Policy and Procedure is published on the internet and as it has been mentioned previously, may provide background to the information in this report.

Attached are two appendices:

Appendix 1 – Quarter 2 Complaints statistics

Appendix 2 – Audit comparison between Quarters 1 and 2

**The Council defines a complaint as any expression of dissatisfaction about the Council's provision of, or failure to provide, a service for which it has responsibility and when it has not put right any service failure in a reasonable timescale.**

In line with the Corporate Complaints Policy and Procedure, the timescales in which we have to respond to a complaint are 15 days for a Stage 1, 20 days for a Stage 2 and 31 calendar days for Stage 3 (Adjudication and Review). The target to achieve for both Stages 1 and 2 is 95% to time

**The information on the following pages shows:**

The number of complaints logged at Stage 1 and Stage 2 against the service area and the response times  
 A graphic of Stage 1 and Stage 2 by topic showing those logged, closed or still open  
 The specifics of complaints that are outside the corporate target and remain open that need attention  
 The method of contact by our customers  
 The cumulative total of complaints from the previous quarter and the build up to this quarter  
 The complaint outcomes  
 The reasons for complaints  
 Stage 3 complaints and the outcome  
 Cumulative complaint figures for both Stage 1 and Stage 2 complaints from April 2016 until March 2017

Performance for July to September 2016 (Quarter 2):

Stage 1 percentage to time overall	98% (510/519)
Stage 2 percentage to time	96% (79/82)
Stage 3 percentage to time	No cases
Stage 1 & 2 cumulative score	98%

Performance for April to June 2016 (Quarter 1):

Stage 1 percentage to time overall	99% (550/557)
Stage 2 percentage to time	96% (45/47)
Stage 3 percentage to time	No cases
Stage 1 & 2 cumulative score	98%

Performance for April to September 2016 (Quarter 1 & 2):

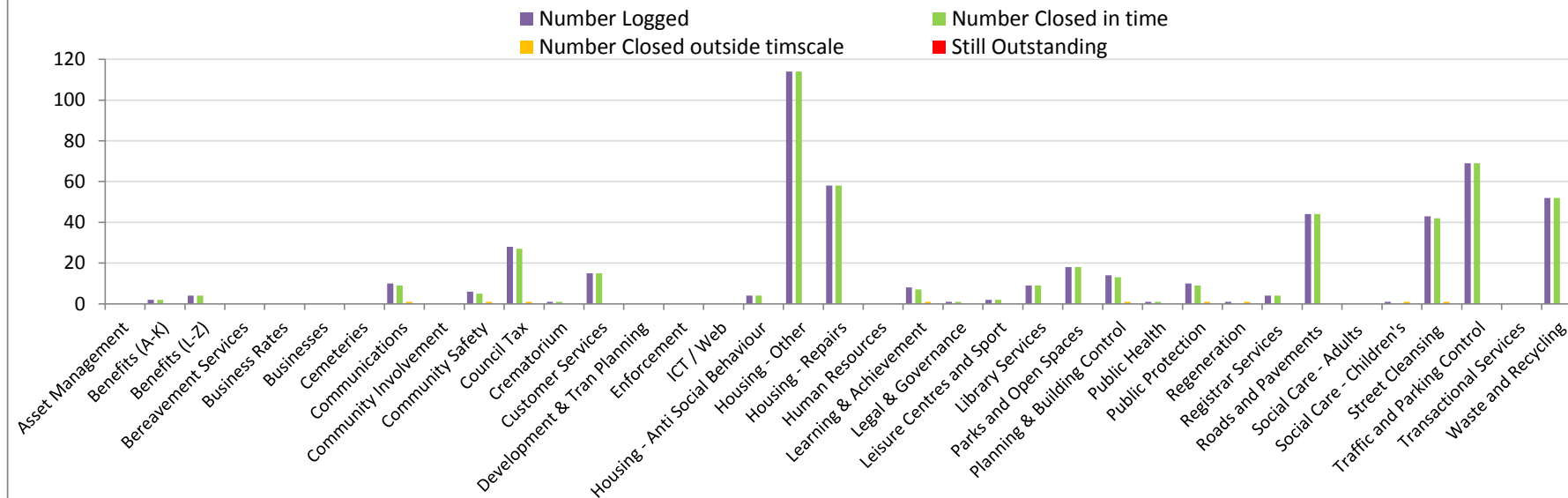
Stage 1 percentage to time overall	98% (1060/1076)
Stage 2 percentage to time	96% (124/129)
Stage 3 percentage to time	No cases
Stage 1 & 2 cumulative score	98%

Senior Leadership Complaints team  
 4th November 2016

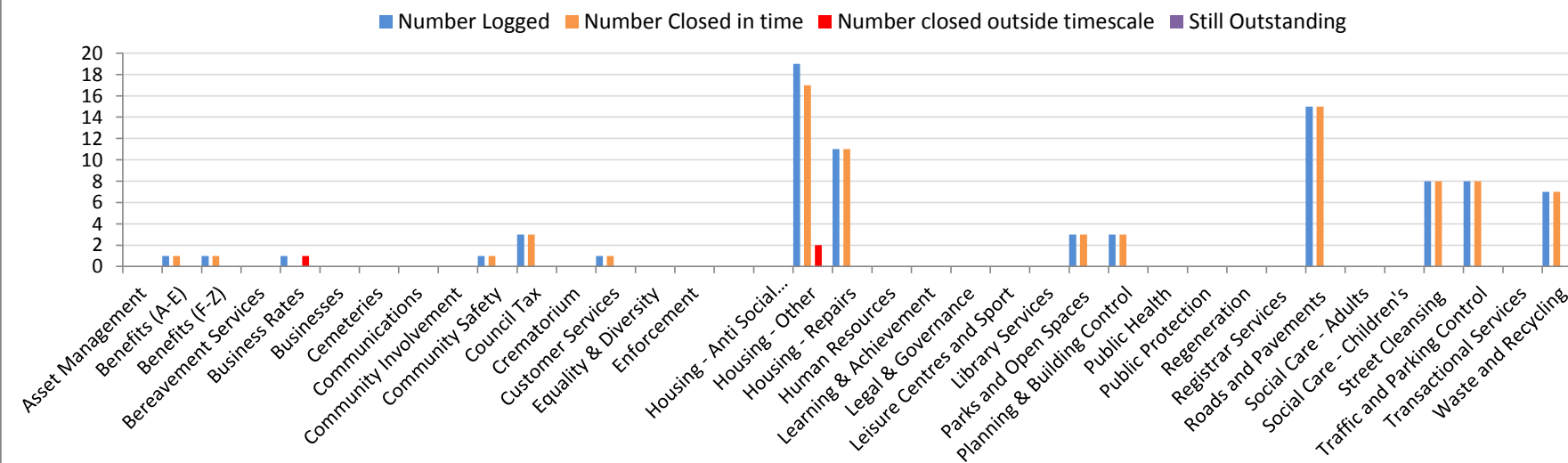
	Stage 1					Stage 2					Explanation of late response to Stage 1&2
	Number Logged	Closed in 15 days	Closed in 15 days (%)	Closed over 15 days	Over 15 days and still open	Number Logged	Closed in 20 days	Closed in 20 days (%)	Closed over 20 days	days and still open	
Art Services											
Asset Management											
Benefits (A-K)	2	2	100%			1	1				
Benefits (L-Z)	4	4	100%			1	1				
Bereavement Services											
Business Rates						1	0	0%	1		
Businesses											
Cemeteries											
Communications (Inc Living Magazine)	10	9	90%	1							
Community Involvement (Inc Volunteers)											
Community Safety including ASB	6	5	83%	1		1	1				
Council Tax	28	27	96%	1		3	3				
Crematorium	1	1	100%								
Customer Services	15	15	100%			1	1				
Development & Trans Planning											
Enforcement											
Housing - Anti Social Behaviour	4	4	100%								
Housing - Other	114	114	100%			19	17	89%	2		
Housing - Repairs	58	58	100%			11	11	100%			
ICT / Web team											
Learning & Achievement	8	7	88%	1							
Legal & Governance	1	1	100%								
Leisure Centres and Sport	2	2	100%								
Library Services (Inc Having Museum)	9	9	100%								
Parks and Open Spaces (Inc allotments)	18	18	100%			3	3	100%			
Planning & Building Control	14	13	93%	1		3	3	100%			
Public Health	1	1									
Public Protection (Inc Trading Standards, Environmental Health & Noise Nuisance)	10	9	90%	1							
Regeneration	1	0		1							
Registrar Services (Inc Birth, Death and Marriages)	4	4	100%								
Roads and Pavements (Inc Street Lighting)	44	44	100%			15	15	100%			
Social Care Adults											
Social Care Children's	1	0	0%	1							
Street Cleansing (Inc Trees)	43	42	98%	1		8	8	100%			
Traffic and Parking Control	69	69	100%			8	8	100%			
Transactional Services											
Waste and Recycling	52	52	100%			7	7	100%			
<b>Total</b>	<b>519</b>	<b>510</b>	<b>98%</b>	<b>9</b>	<b>0</b>	<b>82</b>	<b>79</b>	<b>96%</b>	<b>3</b>	<b>0</b>	



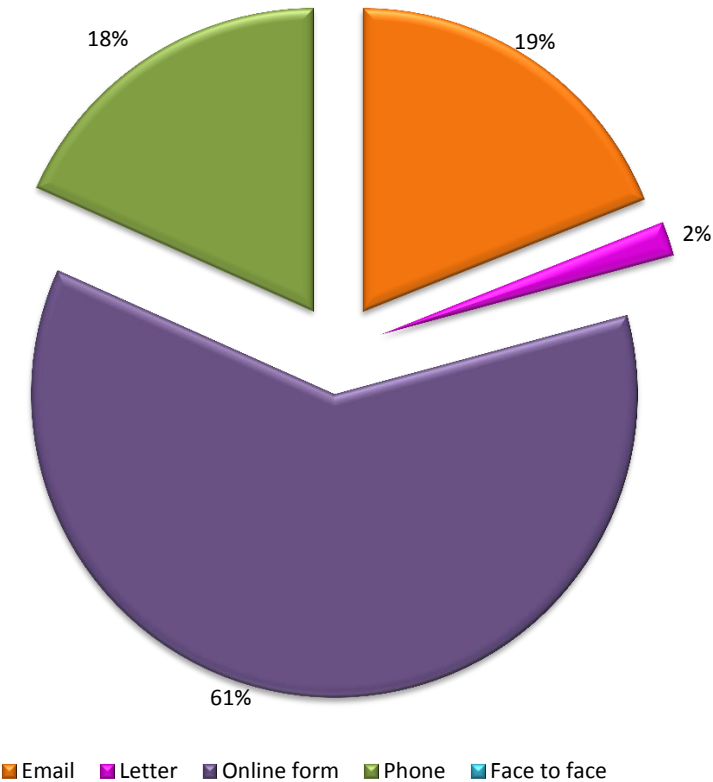
### Stage 1 by Topic



### Stage 2 by Topic



Contact Type - July to September



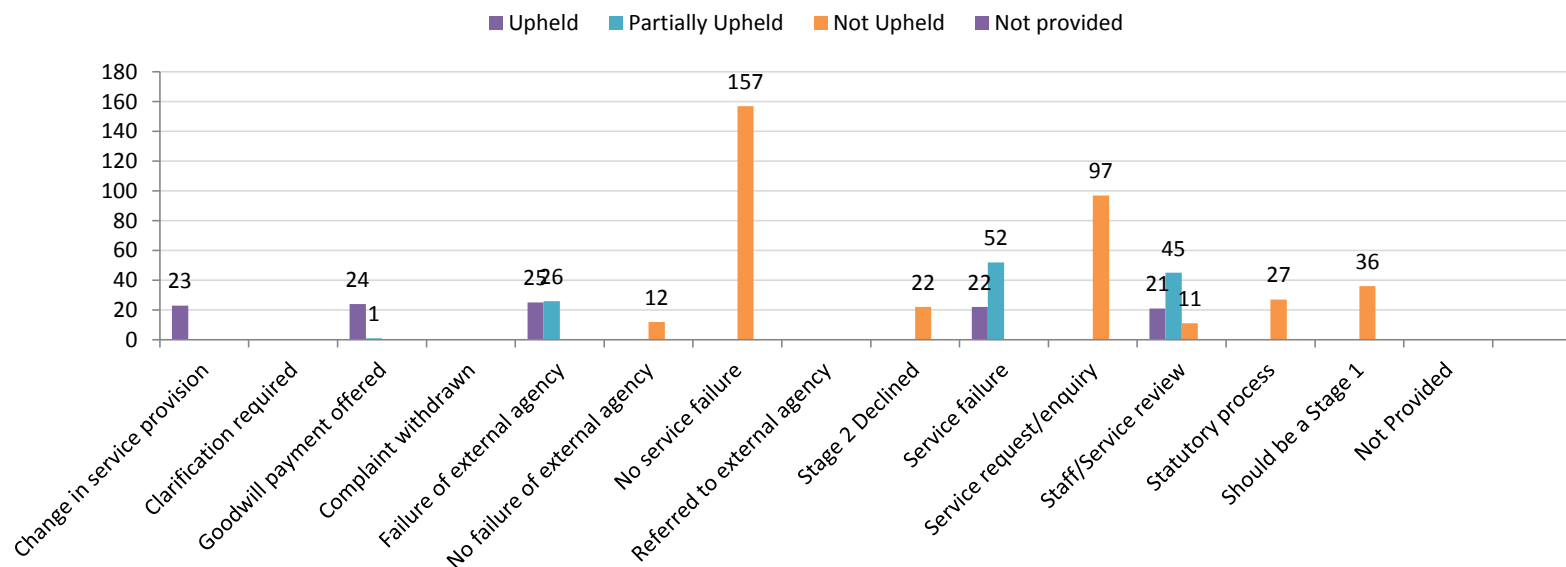
## Corporate Complaints Qtr2 Report - July to September 2016

Appendix 1

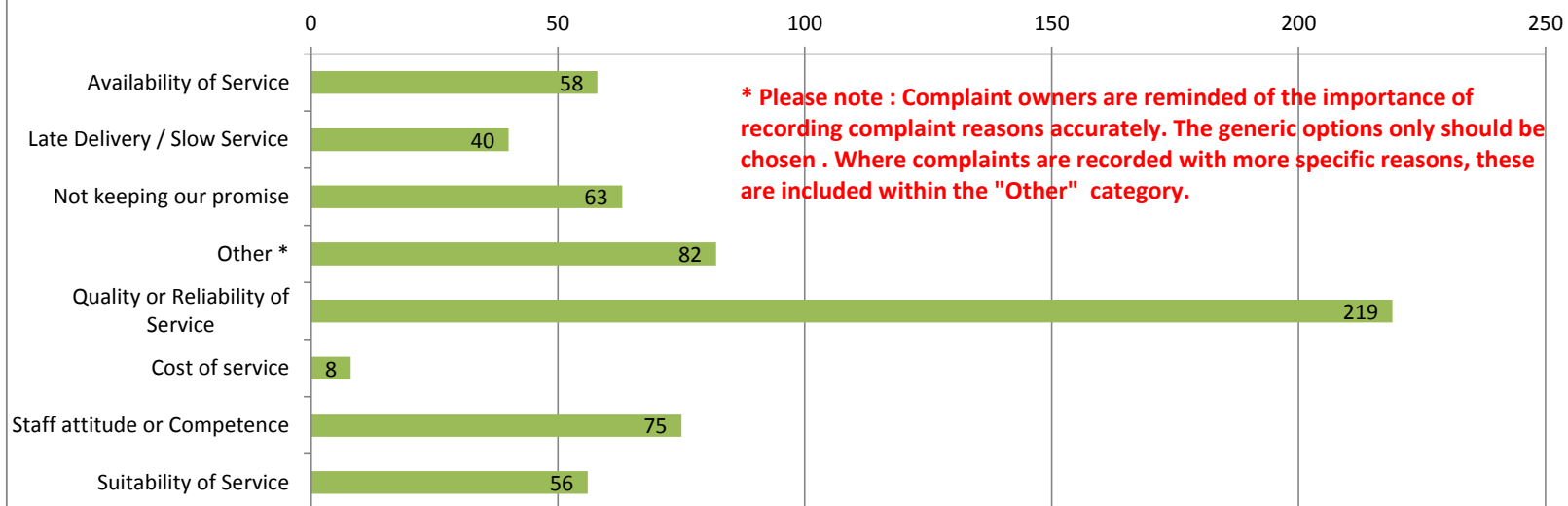
	Carry Over	July				August				September				Total
	Cumulative (Apr - Jun)	Stage 1 logged	In 15 days (%)	Stage 2 Logged	In 20 days (%)	Stage 1 logged	In 15 days (%)	Stage 2 Logged	In 20 days (%)	Stage 1 logged	In 15 days (%)	Stage 2 Logged	In 20 days (%)	Cumul ative*
Arts														0
Asset Management	1													1
Benefits (A-K)	2	1	100%					1	100%	1	100%			4
Benefits (L-Z)	9	2	100%			1	100%	1	100%	1	100%			13
Bereavement Services														0
Business Rates	2			1	0%									2
Businesses	1													1
Cemeteries														0
Communications	5	4	100%			3	67%			3	100%			15
Community Involvement														0
Community Safety including ASB		2	50%			1	100%	1	100%	3	100%			6
Council Tax	25	6	100%	1	100%	12	92%			10	100%	2	100%	53
Crematorium	4					1	100%							5
Customer Services	42	4	100%			1	100%			10	100%	1	100%	57
Development & Trans Planning	1													1
Enforcement														0
Housing - Anti social behaviour	2	2	100%							2	100%			6
Housing - Other	114	43	100%	5	100%	36	100%	5	80%	35	100%	9	89%	228
Housing -Repairs	35	19	100%	5	100%	18	100%	1	100%	21	100%	5	100%	93
Human Resources														0
ICT / Web team														0
Learning & Achievement	6	2	100%			3	100%			3	67%			14
Legal & Governance	2					1	100%							3
Leisure Centres and Sport	2	2	100%											4
Library Services	13	4	100%			4	100%			1	100%			22
Parks and Open Spaces	16	4	80%			7	100%	2	100%	7	100%	1	100%	34
Planning & Building Control	13	5	80%	1	100%	2	100%	1	100%	7	86%	1	100%	27
Public Health						1	100%							1
Public Protection	16					5	80%			5	100%			26
Regeneration	1					1	0%							2
Registrar Services	7	1	100%			2	100%			1	100%			11
Roads and Pavements	36	11	100%	2	100%	13	100%	8	100%	20	100%	5	100%	80
Social Care Adults	1													1
Social Care Children's	1									1	0%			2
Street Cleansing	34	10	100%	1	100%	21	100%	4	100%	12	92%	3	100%	77
Traffic and Parking Control	87	20	100%	2	100%	23	100%	3	100%	26	100%	3	100%	156
Transactional Services	1													1
Waste and Recycling	78	17	100%	4	100%	19	100%	2	100%	16	100%	1	100%	130
Stage 1 Logged (Total)	557	159				175				185				1076
Completed in 15 days (%)	99%		99%				98%				98%			
Stage 2 logged (Total)	47			22				29				31		129
Completed in 20 days (%)	96%				95%				97%				97%	

\* Annual cumulative count does not include Stage 2 as these complaints will have been counted as Stage 1 at some point during the year.

### Complaint Outcome (September 2016)



### Complaint Reason (September 2016)



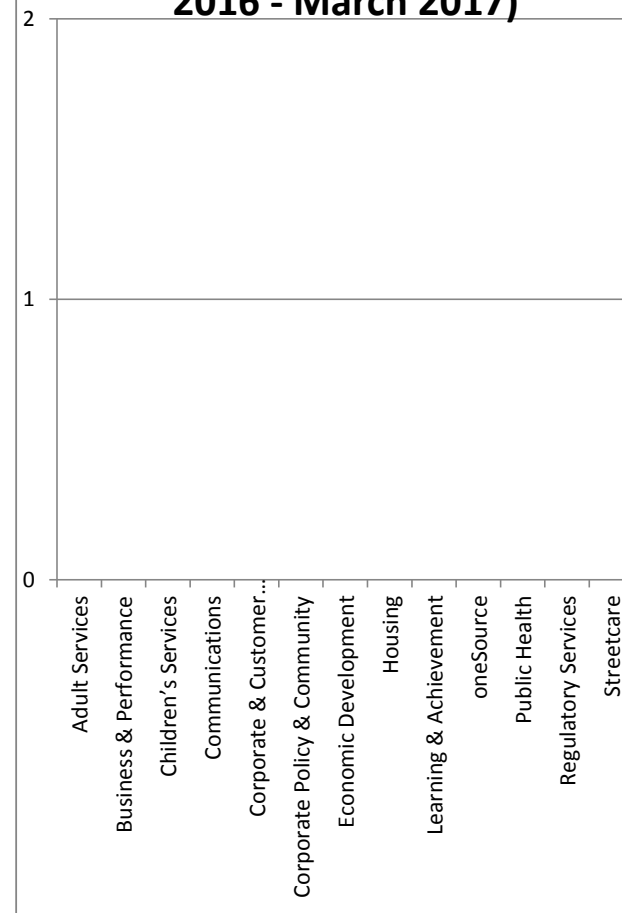
## Detailed Summary of Stage 3 Complaints - None recorded for September 2016

	Cumulative (April-June)	Apr-16	May-16	Jun-16	Total	Achieved within 31 Calendar days %
Business & Performance	0	0	0	0	0	
Children's Services	0	0	0	0	0	
Communications	0	0	0	0	0	
Corporate & Customer Transformation	0	0	0	0	0	
Corporate Policy & Community	0	0	0	0	0	
Culture & Leisure	0	0	0	0	0	
Economic Development	0	0	0	0	0	
Housing	0	0	0	0	0	
Learning & Achievement	0	0	0	0	0	
oneSource	0	0	0	0	0	
Public Health	0	0	0	0	0	
Regulatory Services	0	0	0	0	0	
Streetcare	0	0	0	0	0	
Total Logged	0	0	0	0	0	

### Stage 3 - Cumulative Complaint Outcomes

- Awaiting Member Review Panel
- Discontinued
- Not Upheld
- Partially Upheld
- Still Open With Complainant
- Still Open with Service
- Upheld

### Stage 3 - Complaints Logged Annual (Cumulative April 2016 - March 2017)



## Cumulative complaint figures April 16 - March 17

Table below shows all corporate complaint stage 1 &amp; 2 figures logged between April '16 and March '17

	Cumulative numbers logged April 16- March 17 (Stage 1&2)	% of total	April '16	May '16	June '16	July '16	August '16	September '16	October '16	November '16	December '16	January '17	February '17	March '17
Arts	0	0.00%												
Asset Management	1	0.08%			1									
Benefits (A-K)	5	0.41%	2			1	1	1						
Benefits (L-Z)	14	1.16%	3	3	3	2	2	1						
Bereavement Services	0	0.00%												
Business Rates	3	0.25%	2			1								
Businesses	1	0.08%	1											
Cemeteries	0	0.00%												
Communications	15	1.24%		4	1	4	3	3						
Community Involvement	0	0.00%												
Community Safety	7	0.58%				2	2	3						
Council Tax	57	4.73%	11	9	6	7	12	12						
Crematorium	5	0.41%	1	1	2		1							
Customer Services	58	4.81%	14	16	12	4	1	11						
Development & Trans Planning	1	0.08%		1										
Enforcement	1	0.08%			1									
Housing - Anti Social Behaviour	6	0.50%	1	1		2		2						
Housing - Other	255	21.16%	29	32	61	48	41	44						
Housing -Repairs	110	9.13%	19	17	5	24	19	26						
Human Resources	0	0.00%												
ICT / Web team	0	0.00%												
Learning & Achievement	14	1.16%	1	4	1	2	3	3						
Legal & Governance	3	0.25%		2			1							
Leisure Centres & Sport	4	0.33%	1		1	2								
Library Services	24	1.99%	4	7	4	4	4	1						
Parks and Open Spaces	37	3.07%	4	5	7	4	9	8						
Planning & Building Control	33	2.74%	5	8	3	6	3	8						
Public Health	1	0.08%					1							
Public Protection	27	2.24%	1	12	4		5	5						
Regeneration	2	0.17%	1				1							
Registrar Services	11	0.91%	2	2	3	1	2	1						
Roads and Pavements	102	8.46%	11	10	22	13	21	25						
Social Care Adults	1	0.08%		1										
Social Care Children's	3	0.25%	1		1			1						
Street Cleansing	92	7.63%	7	8	26	11	25	15						
Traffic & Parking Control	169	14.02%	26	30	36	22	26	29						
Transactional Services	1	0.08%		1										
Waste and Recycling	142	11.78%	12	24	47	21	21	17						
Total Complaints logged	1205		159	198	247	181	204	216	0	0	0	0	0	0
Overall % of complaints 1&2 completed within time			98%			98%								

## Audit Comparison

Service Potential score	Time 3		1 <sup>st</sup> time 4		Compliance 8		Learning 3		Quality 17		Overall 35		
	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	Q1	Q2	DoT
Communications	3	2	3	4	5	6	3	3	3	12	18	27	↑
Culture & Customer Access	2	3	3	4	5	6	2	2	8	9	21	24	↑
Environment	3	3	3	4	7	7	2	3	12	12	28	29	↑
Housing	3	2	4	3	7	5	2	2	12	10	28	23	↓
oneSource	2	2	3	2	6	4	3	2	11	7	26	24	↓
Regeneration	0	0	0	4	4	3	0	3	1	9	5	19	↑
Regulatory	2	2	4	4	6	5	3	3	14	11	30	24	↓
Social care/L&A	3	3	3	4	7	6	3	3	15	13	31	28	↓

Note: The overall score is not the total of all columns. It will be the average of all cases audited, and is due to spreadsheet roundings. Cases are audited on a purely random basis using raw data from CRM. No other information used in selection process. Scores are RAG colour coded to indicate where improvements made.

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## Members / MP Enquiries Quarter 2 Report (July to September 2016)

This report shows the volume of Member and MP Enquiries received by services for the 2nd Quarter, July to September 2016.

Information on the following pages show:

- The number of Member/MP enquiries logged and closed within 15 working days by service area
- A graphic showing Member/MP enquiries logged and closed within 15 working days by service area
- The method of contact by Members/MPs
- The cumulative total of Member/MP enquiries from the previous quarters and the build up to this quarter's performance
- The comparison with last year's volume
- The volume of Members' enquiries raised by individual Members/MPs

Performance for Quarter 2 (in short) is:

882 enquiries logged  
98% closed on time (869 cases)

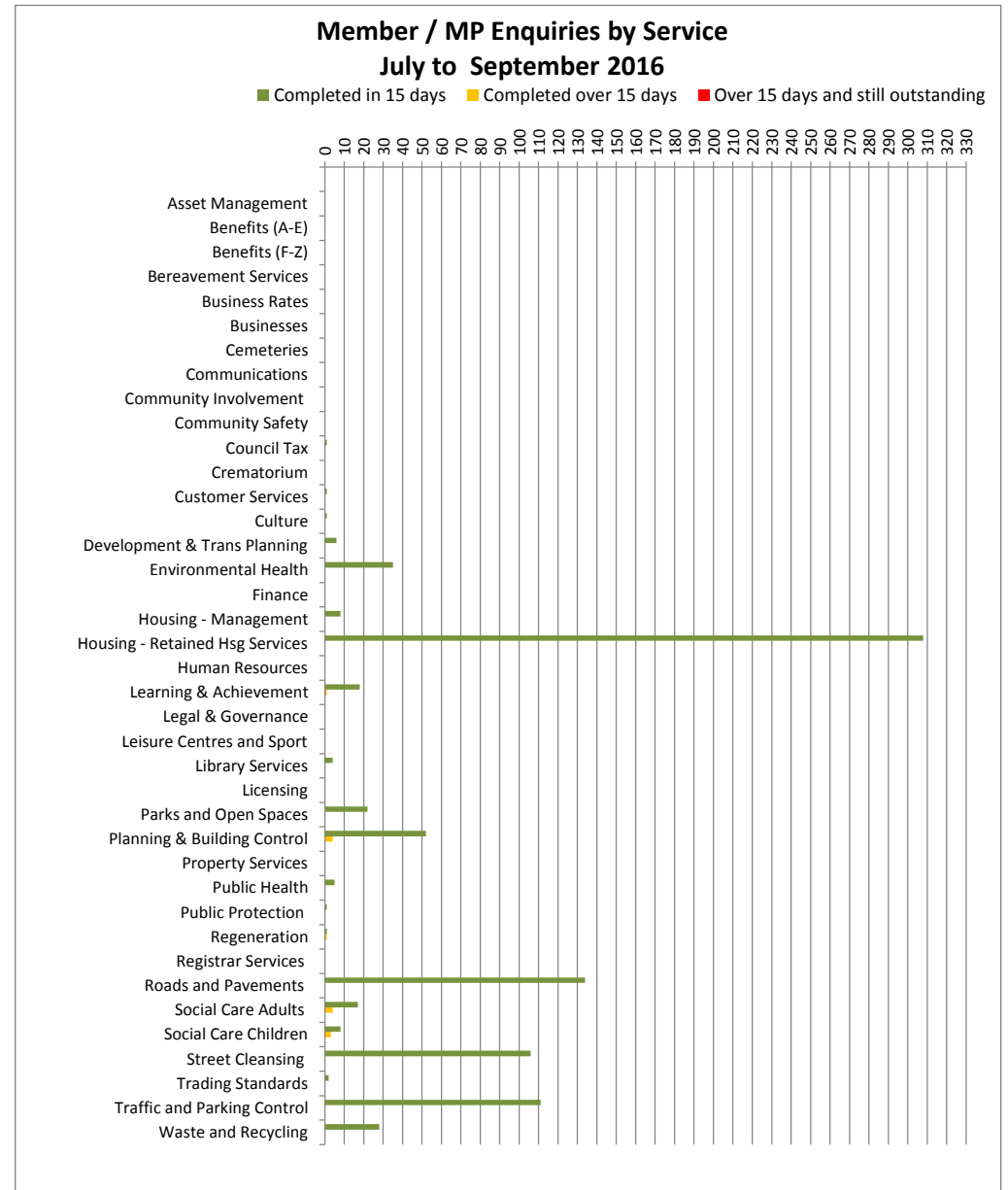
Performance for Quarter 1 (in short) is:

882 enquiries logged  
97% closed on time (855 cases)

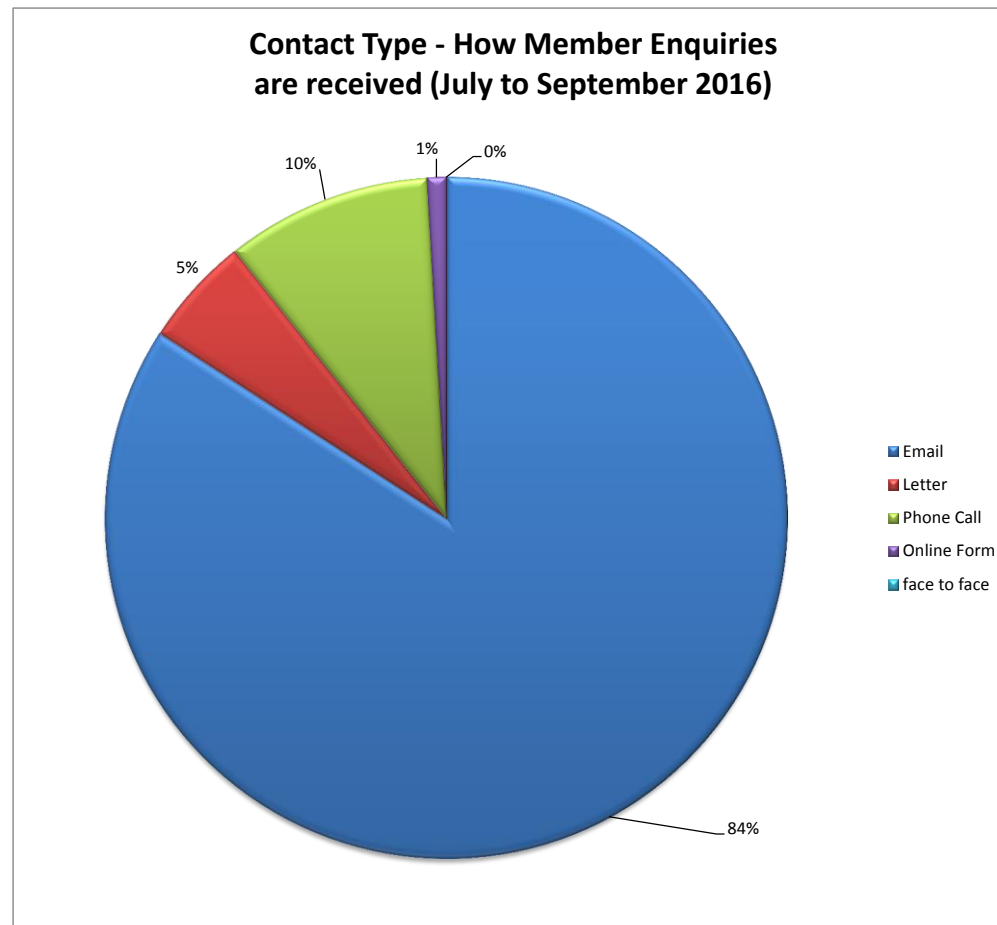
Cumulative Performance for Qtr 1 & Qtr 2: 1764 enquiries logged 98% closed on time (1724 cases)
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## Members / MP Enquiries Quarter 2 Report (July to September 2016)

	Member / MP Enquiries by Service – July to September 2016				
	Number logged	Closed in 15 days	Closed in 15 days (%)	Closed over 15 days	Over 15 days and still open
Asset Management					
Benefits (A-E)					
Benefits (F-Z)					
Bereavement Services					
Business Rates					
Businesses					
Cemeteries					
Communications					
Community Involvement					
Community Safety					
Council Tax	1	1	100%		
Crematorium					
Culture	1	1	100%		
Customer Services	1	1	100%		
Development & Trans Planning	6	6	100%		
Environmental Health	35	35	100%		
Finance					
Housing - Management	8	8	100%		
Housing - Retained Hsg Services	308	308	100%		
Human Resources					
Learning & Achievement	19	18	95%	1	
Legal & Governance					
Leisure Centres and Sport					
Library Services	4	4	100%		
Licensing					
Parks and Open Spaces	22	22	100%		
Planning & Building Control	56	52	93%	4	
Property Service					
Public Health	5	5	100%		
Public Protection	1	1	100%		
Regeneration	2	1	50%	1	
Registrar Services					
Roads and Pavements	134	134	100%		
Social Care Adults	21	17	81%	4	
Social Care Children	11	8	73%	3	
Street Cleansing	106	106	100%		
Trading Standards	2	2	100%		
Traffic and Parking Control	111	111	100%		
Waste and Recycling	28	28	100%		
<b>Total</b>	<b>882</b>	<b>869</b>	<b>99%</b>	<b>13</b>	<b>0</b>



**Members / MP Enquiries Quarter 2 Report  
(July to September 2016)**

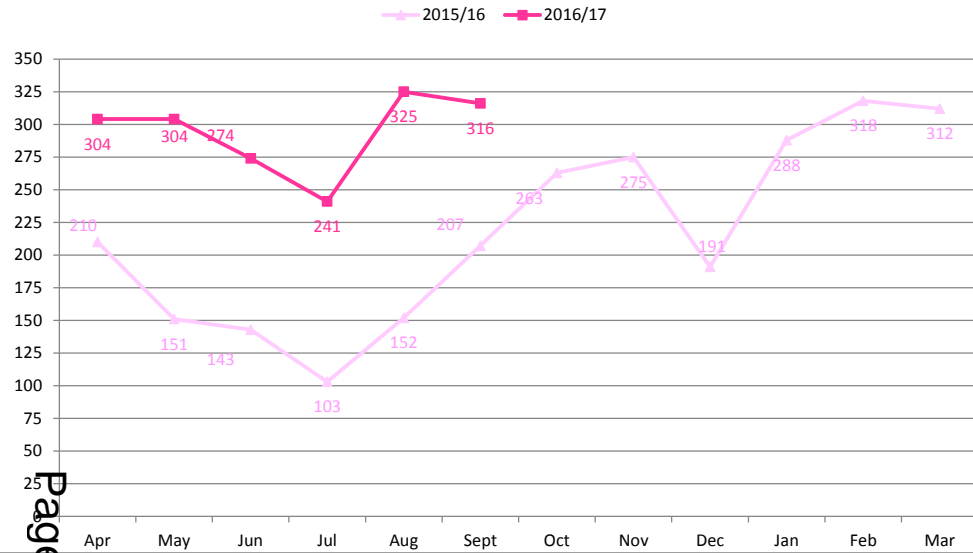


## Members / MP Enquiries Quarter 2 Report (July to September 2016)

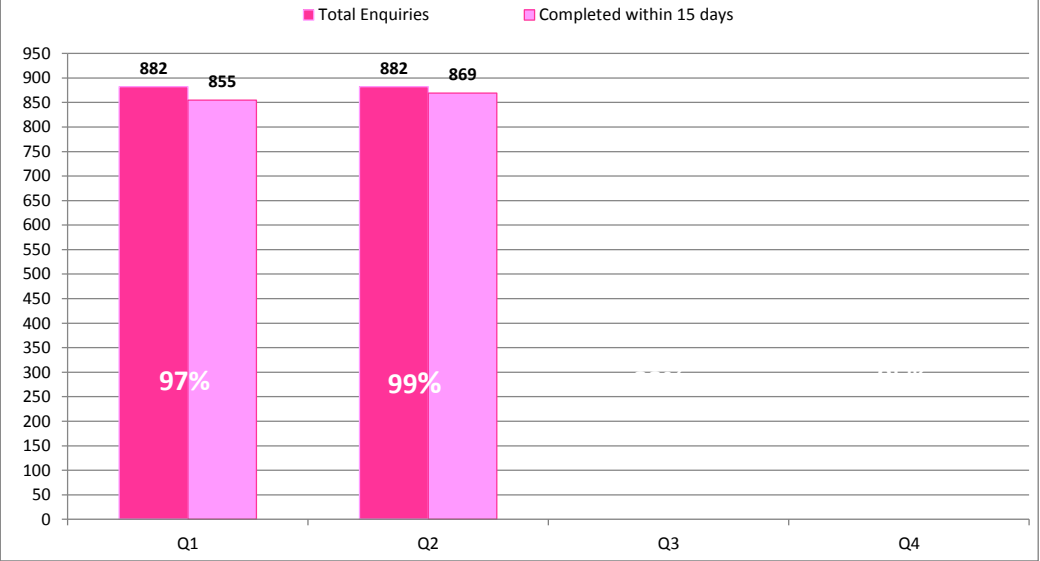
	Carry Over	Jul-16			Aug-16			Sep-16			Annual
	Cumulative (Apr Jun 16)	Number Logged	Closed in 15 days	Closed in 15 days (%)	Number Logged	Closed in 15 days	Closed in 15 days (%)	Number Logged	Closed in 15 days	Closed in 15 days (%)	Cumulative (Apr 16 - Mar 17)
Art Services											0
Asset Management	1										1
Benefits (A-E)											0
Benefits (F-Z)											0
Bereavement Services											0
Business Rates	2										2
Businesses											0
Cemeteries											0
Communications											0
Community Involvement											0
Community Safety	1										1
Council Tax	2	1	1	100%							3
Crematorium											0
Customer Services	4				1	1	100%				5
Culture	1				1	1	100%				2
Develop. & Trans Planning		1	1	100%	2	2	100%	3	3	100%	6
Environmental Health	30	12	12	100%	13	13	100%	10	10	100%	65
Finance	1										1
Housing Management	7	5	5	100%				3	3	100%	15
Housing Retained Hsg Services	242	74	74	100%	124	124	100%	110	110	100%	550
Human Resources											0
Learning & Achievement	15	5	5	100%	6	5	81%	8	8	100%	34
Legal & Governance	3										3
Leisure Centres and Sport	1										1
Library Services					2	2	100%	2	2	100%	4
Licensing											0
Parks and Open Spaces	9	6	6	100%	7	7	100%	9	9	100%	31
Planning & Building Control	63	9	9	100%	22	19	81%	25	24	96%	119
Property Services	1						100%				1
Public Health	5	1	1	100%	4	4	100%				10
Public Protection	7	1	1	100%							8
Regeneration	2	1	0	0%				1	1	100%	4
Registrar Services	1										1
Roads and Pavements	159	36	36	100%	49	49	100%	49	49	100%	293
Social Care Adults	30	4	4	100%	6	4	81%	11	9	82%	51
Social Care Children's	11	1	0	0%	7	5	81%	3	3	100%	22
Street Cleansing	115	31	31	100%	34	34	100%	41	41	100%	221
Trading Standards	4	2	2	100%							6
Traffic and Parking Control	117	39	39	100%	41	41	100%	31	31	100%	228
Waste and Recycling	48	12	12	100%	6	6	100%	10	10	100%	76
<b>Total no. of enquiries logged</b>	<b>882</b>	<b>241</b>			<b>325</b>			<b>316</b>			<b>1,764</b>
<b>Total completed in 15 days</b>	<b>855</b>		<b>239</b>			<b>317</b>			<b>313</b>		<b>1,724</b>
<b>Total completed in 15 days (%)</b>	<b>97%</b>			<b>99%</b>			<b>98%</b>			<b>99%</b>	<b>98%</b>
<b>Target</b>	<b>95%</b>	<b>95%</b>			<b>95%</b>			<b>95%</b>			<b>95%</b>

## Members / MP Enquiries Quarter 2 Report (July to September 2016)

**Member/MP Enquiries Logged - Monthly (April 2016 - September 2017)**



**Member/MP Enquiries (by Quarter)**



## Members / MP Enquiries Quarter 2 Report (July to September 2016)

### Annual rolling total of Member Enquiries by Councillor & MP

	Cumulative (Apr- Jun)	Jul-16	Aug-16	Sep-16	TOTAL
Alex Donald	13	7	8	7	35
Barbara Matthews	21	3	3	1	28
Barry Muggleston	9	3	10	1	23
Brian Eagling	3	5	4	8	20
Carol Smith	6	3	0	0	9
Clarence Barrett	11	7	5	6	29
Damian White	101	33	56	42	232
Darren Wise	17	2	5	11	35
David Durant	7	0	2	2	11
David Johnson	2	1	1	0	4
Denis O'Flynn	13	5	2	3	23
Dilip Patel	13	2	4	5	24
Fredrick Thompson	24	4	8	5	41
Garry Pain	4	0	0	0	4
Gillian Fenn	13	3	6	6	28
Graham Williamson	3	1	1	4	9
Ian Du Puy	1	0	2	0	3
Jason Frost	9	3	8	5	25
Jeffery Tucker	15	4	4	2	25
Jody Ganly	16	3	5	3	27
John Crowder	0	0	0	2	2
John Glanville	1	1	0	0	2
John Mylod	10	3	5	3	21
John Wood	25	4	7	3	39
Joshua Chapman	8	4	4	7	23
Julie Wilkes	10	3	4	13	30
June Alexander	6	1	1	1	9
Keith Darvill	1	0	1	0	2
Keith Roberts	2	1	1	1	5
Lawrence Webb	3	0	0	2	5
Linda Hawthorn	20	17	8	7	52
Linda Trew	7	3	1	4	15
Sub Total	394	126	166	154	840

	Cumulative (Apr - Jun)	Jul-16	Aug-16	Sep-16	TOTAL
Linda Van Den Hende	13	1	4	4	22
Margaret Davis	7	0	2	1	10
Melvin Wallace	3	1	7	2	13
Michael Deon Burton	16	4	7	5	32
Michael White	3	0	2	0	5
Nic Dodin	7	0	3	2	12
Osman Dervish	17	3	3	5	28
Patricia Rumble	11	5	4	1	21
Philip Martin	10	3	2	1	16
Philippa Crowder	5	1	4	1	11
Ray Best	16	1	1	2	20
Ray Morgon	52	18	17	18	105
Reg Whitney	0	0	0	0	0
Robby Misir	4	0	2	1	7
Robert Benham	37	4	6	3	50
Roger Ramsey	25	10	9	16	60
Ronald Ower	20	1	7	3	31
Roger Westwood	0	0	0	1	1
Stephanie Nunn	49	10	4	5	68
Steven Kelly	0	0	0	0	0
Viddy Persaud	14	2	6	8	30
Wendy Brice-Thompson	10	5	3	2	20
Andrew Rosindell MP	73	26	38	57	194
Angela Watkinson MP	45	10	14	15	84
Jon Cruddas MP	44	9	11	8	72
Margaret Hodge MP	0	0	0	1	1
Blanks / Out of Borough/other	7	1	3	0	11
					0
					0
					0
SubTotal	488	115	159	162	924
Grand Total	882	241	325	316	1,764