



# Havering

LONDON BOROUGH

## ADJUDICATION AND REVIEW COMMITTEE AGENDA

**7.00 pm**

**Tuesday  
20 February 2018**

**Town Hall**

Members 10: Quorum 4

**COUNCILLORS:**

**Conservative**

**(4)**

Garry Pain  
(Chairman)  
Roger Westwood  
(Vice-Chair)  
Meg Davis  
Joshua Chapman

**Residents'**

**(2)**

Julie Wilkes  
Barbara Matthews  
(Vice-Chair)

**East Havering  
Residents'**

**(2)**

Alex Donald  
Gillian Ford

**UKIP**

**(1)**

David Johnson

**Independent  
Residents'**

**(1)**

Michael Deon Burton

**For information about the meeting please contact:  
Richard Cursons Tel: 01708 432430  
e-mail:richard.cursons@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:-

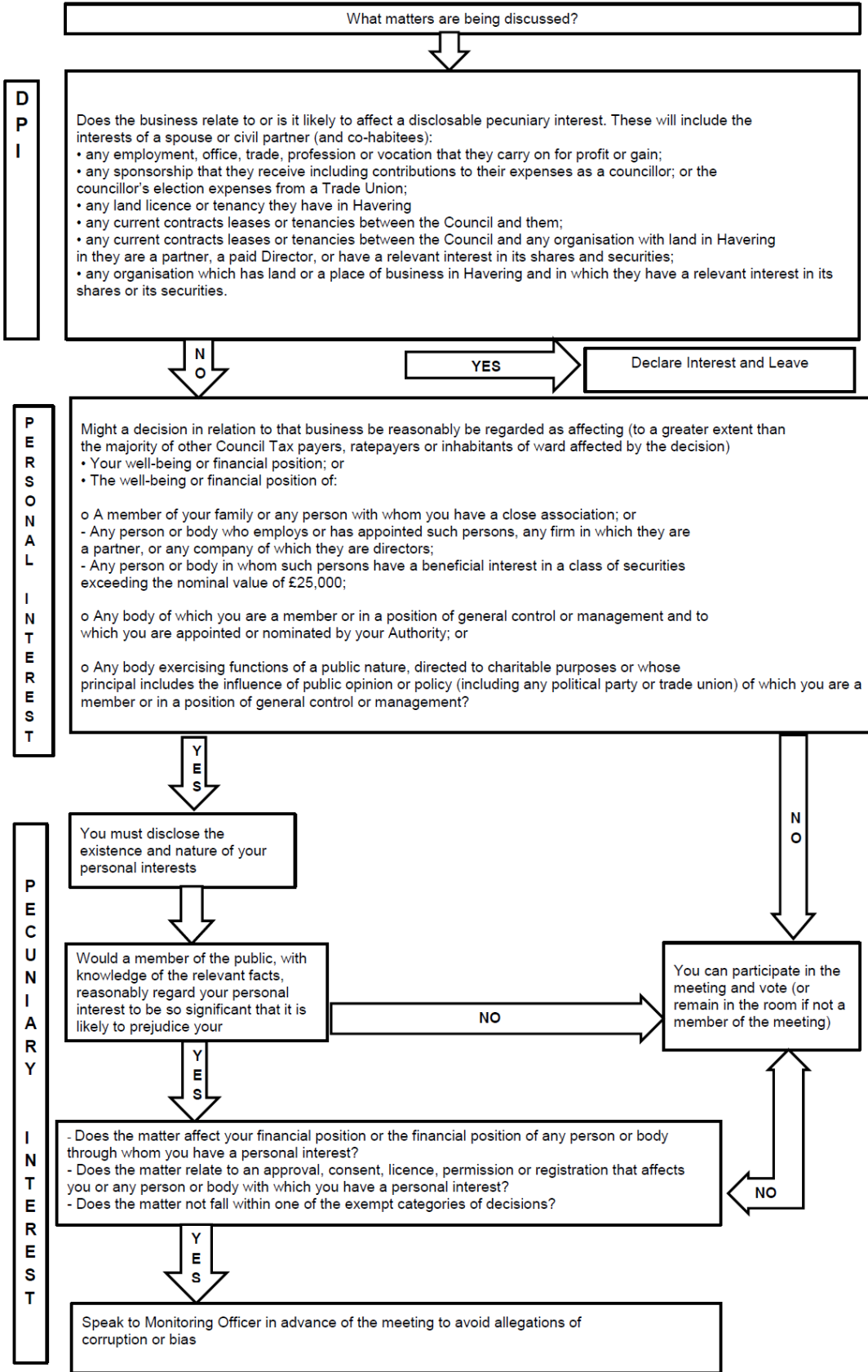
- filming, photographing or making an audio recording of the proceedings of the meeting;
- using any other means for enabling persons not present to see or hear proceedings at a meeting as it takes place or later; or
- reporting or providing commentary on proceedings at a meeting, orally or in writing,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

**DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF**



## **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 - 4)**

To approve as correct the minutes of the meeting of the Adjudication and Review Committee held on 23 November 2017 and to authorise the Chairman to sign them.

### **5 UPDATE ON CORPORATE COMPLAINTS (Pages 5 - 24)**

### **6 UPDATE ON PERFORMANCE ON MEMBER ENQUIRIES (Pages 25 - 32)**

### **7 ADULT SOCIAL CARE COMPLAINTS ANNUAL REPORT (Pages 33 - 56)**

### **8 CHILDREN'S SERVICES COMPLAINTS ANNUAL REPORT (Pages 57 - 78)**

### **9 EDUCATION SERVICES COMPLAINTS ANNUAL REPORT (Pages 79 - 92)**

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

**MINUTES OF A MEETING OF THE  
ADJUDICATION AND REVIEW COMMITTEE  
Committee Room 3A - Town Hall  
23 November 2017 (7.00 - 7.33 pm)**

**Present:**

**COUNCILLORS**

**Conservative Group** Garry Pain (Chairman), Roger Westwood (Vice-Chair) and Melvin Wallace

**Residents' Group** Julie Wilkes

**East Havering  
Residents' Group** Gillian Ford

**8 CHAIRMAN'S ANNOUNCEMENTS**

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

**9 APOLOGIES FOR ABSENCE & SUBSTITUTE MEMBERS**

Apologies for absence were received from Councillors Joshua Chapman, Alex Donald and David Johnson. Councillor Melvin Wallace was in attendance at the meeting as a representative for Councillor Joshua Chapman.

**10 DECLARATIONS OF INTERESTS**

There were no declarations made at the meeting.

**11 MINUTES**

The minutes of the meeting held on the 15 August 2017 were agreed as a correct record and signed by the Chairman.

**12 UPDATE ON CORPORATE COMPLAINTS**

The Committee considered a report which provided an update on complaint handling performance, across all Council services.

The Council received 393 Stage 1 complaints during the period July to September 2017. 94% of which were responded to within 15 days, a slight increase compared to the Quarter 1 performance of 92%. The Council received 73 requests for escalation to Stage 2 of the process, 96% of which were dealt within 20 days, compared to 94% for the previous quarter. This equated to an escalation request rate of 18%, however this was reduced to 3% when the number of cases that were not escalated to Stage 2 were considered. During the last Quarter, performance and quality had reduced and was a focus for the Council. Although there had been a slow start to the Quarter, performance had improved throughout the period, bringing achievement rates in line with corporate standards. Due to the complexity of some complaints, their response times had not been met. It was requested for clarification, that reasons for any delay be provided in future reports to the Committee.

With regards to Contact Type, there had been no increase since the last quarter in the percentage of complaints raised via the online form. There had been an increase in complaints raised by phone from 15% to 21%, and a decrease of 2% in the number of complaints raised via email. It was requested that the previous quarter comparables be presented in future reports to highlight the direction of travel.

Concern was expressed that there had been 74 complaints recorded against staff attitude or competence, however it was accepted that this could partly be due to customer perception.

Data on complaint reasons by service was presented and the Committee accepted that the data may not be reflective as the reasons could be subjective, although the importance of ensuring staff are trained in managing complaints was raised.

The Committee challenged the improvement in housing complaints moving forward and requested that a report detailing Adult Social Care complaints, be presented quarterly to the Committee.

**The Committee RESOLVED to note as follows:**

- **The Corporate Complaints Performance Statistics for Quarter 2 (July – September 2017).**
- **The results following the Quarter 2 Audit of complaints.**
- **Decisions made by both the Local Government and Housing Ombudsmen throughout the quarter.**

13 **UPDATE ON PERFORMANCE ON MEMBER ENQUIRIES**

The Committee considered a report that provided an update on Member Enquiries handling performance, across all the Council services.

Members expressed concern that the members / MP Enquiries Quarter 1 data presented was not an accurate reflection as often members approach officers directly, therefore by-passing the CRM process. It was requested that officers be reminded to log all enquiries onto the complaints system. Issues with CRM system had been identified and would be investigated and an officer would attend the next meeting to respond to technical questions in relation to the system.

Further concern was expressed that members were not predominantly making enquiries via the online form and highlighted some difficulties experienced when registering certain issues via the portal.

The Committee **noted** the Member Enquiries Statistics for Quarter 2 (July – September 2017).

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**Chairman**

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**ADJUDICATION AND REVIEW  
COMMITTEE**

20 February 2018

<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

**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 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.

This report attaches written information for Members to consider on complaint statistics for Quarter 3, 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 3 (October – December 2017).
2. The results following the Quarter 3 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 has been in place since 1st April 2015. This report summarises the performance under the Council's complaints handling process, through audit results, which identify Services with increased quality in responses and turnaround times, together with those areas in need of additional attention.

**Corporate Complaints Performance Statistics**

The 3<sup>rd</sup> quarter performance statistics for all complaints under the procedure is attached as **Appendix 1**.

In short, the council received 362 Stage 1 complaints during the period October to December 2017. 91% of them (330) were responded to within 15 days. A slight decrease compared to Quarter 2 performance of 92%

The council received 76 requests for escalation to Stage 2 of the process, 90% (68) of them dealt with within 20 days. A slight dip in performance compared to Quarter 2 performance of 96%. This is due to a number of complex complaints which covered a long time span and the depth to which the investigations were taken.

This equates to an escalation request rate of 21% however, this is reduced to 5.5% when considering the number of cases that were not escalated to Stage 2.

## Adjudication and Review Committee – 20<sup>th</sup> February 2018

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

	<b>October</b>	<b>November</b>	<b>December</b>
Stage 1 percentage to time	93%	94%	85%
Stage 2 percentage to time	86%	96%	86%
Cumulative percentage Stages 1 & 2	92%	95%	85%

There were no requests for Stage 3 escalations during the period.

### **Audit of Complaints**

The table below shows the breakdown of cases audited during Quarter 3. 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 Q3 complaints</b>	<b>Percentage of total</b>
Chief Operating Officer	4	10	40%
Neighbourhoods	24	321	7.5%
oneSource	6	21	28.5%
Adult Services	0	0	0%
Children's Services	2	1	50%
Public Health	0	0	0%
Totals	36	353	

The results of the audit for Quarter 2 are attached as **Appendix 2**. Selection of the cases for audit is carried out on a random basis. Disappointingly, following an improvement in results during Quarter 2, there has been a slip across all services during the period October to December 2017.

### **Ombudsmen Decisions**

During Quarter 3 there were 20 decisions by Local Government and Housing Ombudsmen, as follows:

10 x Closed after initial enquiries: No further action

*Housing(4); Planning & Building Control (2); Traffic & Parking (3); Adult Social Care (1)*

4 x Not upheld: No maladministration

*Housing*

2 x Premature complaint

*Housing*

1 x Upheld: Maladministration, injustice with penalty  
*Housing*

3 x Upheld: Maladministration, injustice, no penalty  
*Housing (2); Traffic & Parking (1)*

Background information is given in Appendix 3 for significant Ombudsman decisions, where maladministration has been found.

### **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 three appendices:

Appendix 1 – Quarter 3 Complaints statistics

Appendix 2 – Audit results for Quarter 3

Appendix 3 – Ombudsman Activity Report for Quarter 3

**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 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  
 Cumulative complaint figures for both Stage 1 and Stage 2 complaints from April 2016 until March 2017

Page 9

Performance for October to December 2017 (Quarter 3) in short is therefore:

Stage 1 percentage to time overall	91% (330/362)
Stage 2 percentage to time	89% (68/76)
Stage 3 percentage to time	0% No cases
Stage 1 & 2 cumulative score	91%

Senior Leadership Complaints team  
 12th February 2018

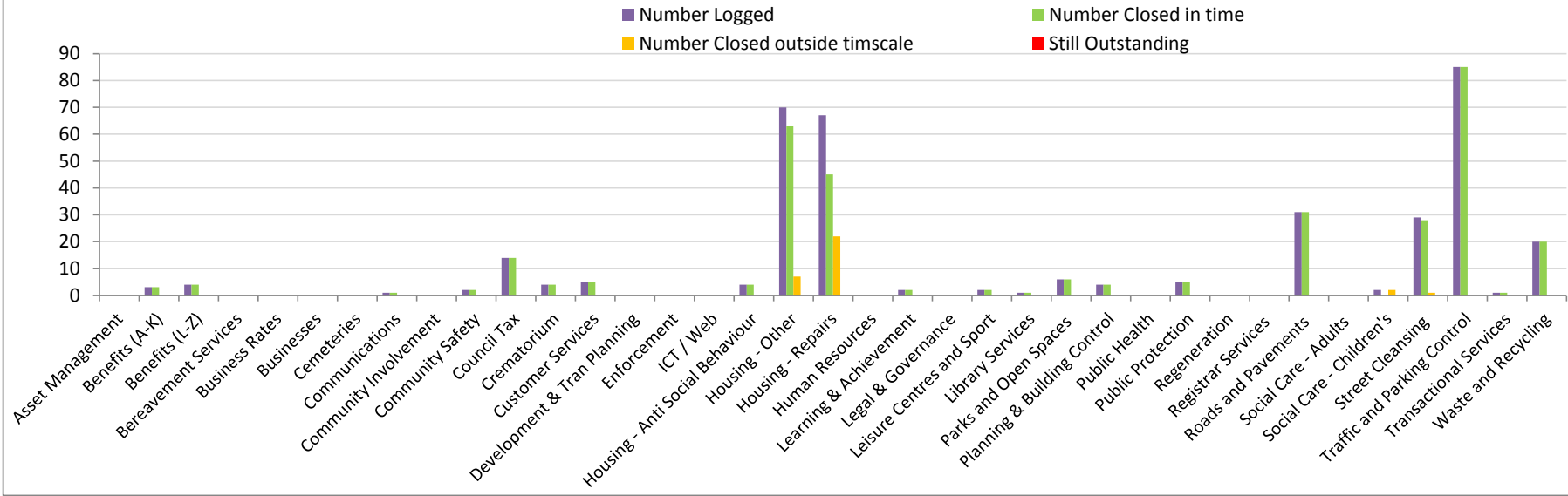


Corporate Complaints Quarter 3 Report October to December 2017

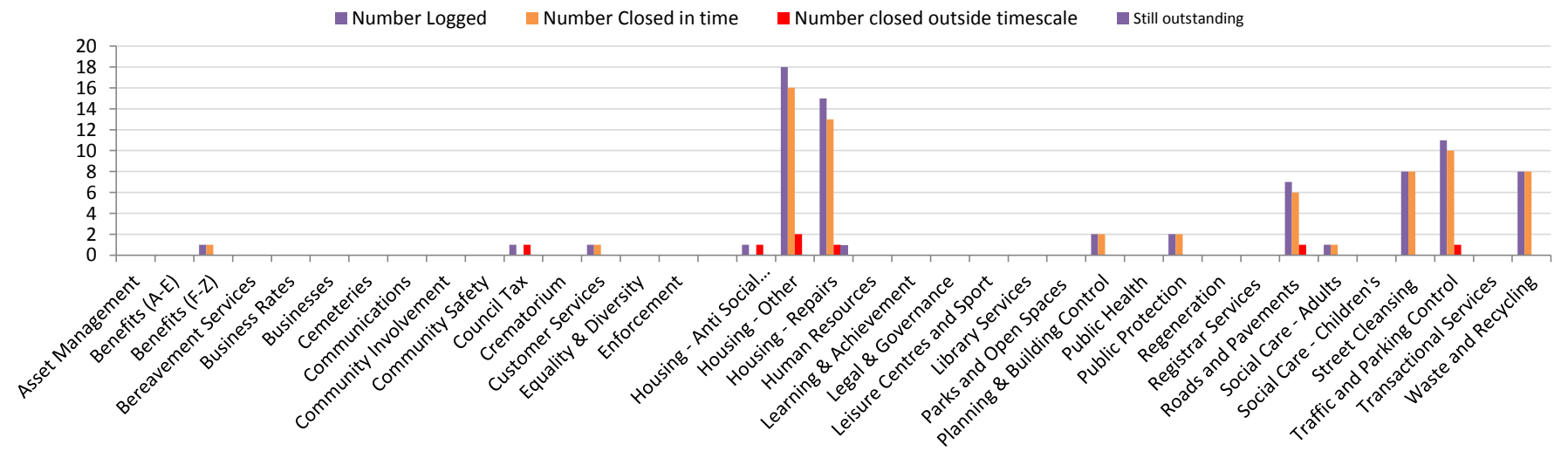
	Stage 1					Stage 2				
	Number Logged	Closed in 15 days	Closed in 15 days (%)	Closed over 15 days	Over 15 days and still open	Number Logged	Closed in 20 days	Closed in 20 days (%)	Closed over 20 days	Over 20 days and still open
Art Services										
Asset Management										
Benefits (A-K)	3	3	100%							
Benefits (L-Z)	4	4	100%			1	1	100%		
Bereavement Services										
Business Rates										
Businesses										
Cemeteries										
Communications (Inc Living Magazine)	1	1	100%							
Community Involvement (Inc Volunteers)										
Community Safety	2	2	100%							
Council Tax	14	14	100%			1	0	0%	1	
Crematorium	4	4	100%							
Customer Services	5	5	100%			1	1	100%		
Development & Trans Planning										
Enforcement										
Housing - Anti Social Behaviour	4	4	100%			1	0	0%	1	
Housing - Other	70	63	90%	7		18	16	89%	2	
Housing - Repairs	67	45	67%	22		15	13	87%	1	1
ICT / Web team										
Learning & Achievement	2	2	100%							
Legal & Governance										
Leisure Centres and Sport	2	2	100%							
Library Services (Inc Having Museum)	1	1	100%							
Parks and Open Spaces (Inc allotments)	6	6	100%							
Planning & Building Control	4	4	100%			2	2	100%		
Public Health										
Public Protection (Inc Trading Standards, Environmental Health & Noise Nuisance)	5	5	100%			2	2	100%		
Regeneration										
Registrar Services (Inc Birth, Death and Marriages)										
Roads and Pavements (Inc Street Lighting)	31	31	100%			7	6	86%	1	
Social Care Adults						1	1	100%		
Social Care Children's	2	0	0%	2						
Street Cleansing (Inc Trees)	29	28	97%	1		8	8	100%		
Traffic and Parking Control	85	85	100%			11	10	91%	1	
Transactional Services	1	1	100%							
Waste and Recycling	20	20	100%			8	8	100%		
<b>Total</b>	<b>362</b>	<b>330</b>	<b>91%</b>	<b>32</b>	<b>0</b>	<b>76</b>	<b>68</b>	<b>89%</b>	<b>7</b>	<b>1</b>



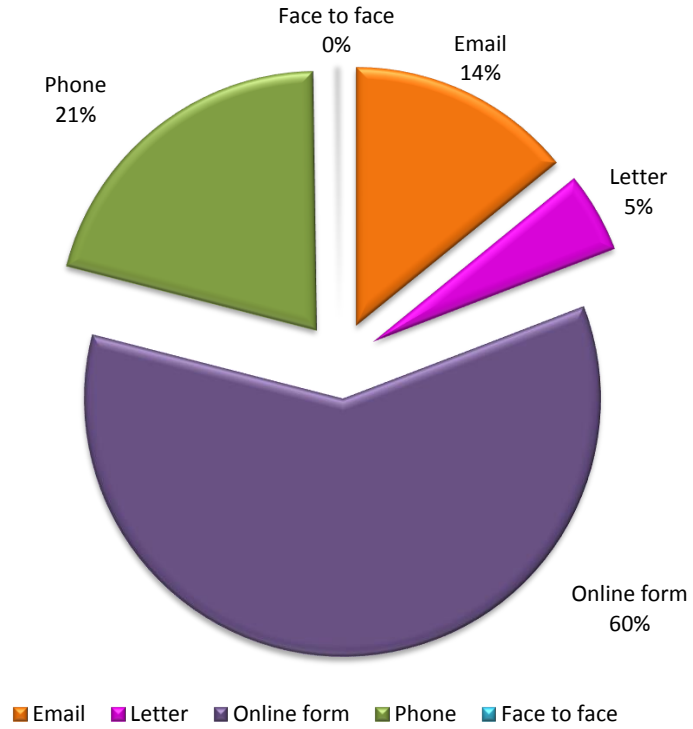
### Stage 1 by Topic



### Stage 2 by Topic



**Contact Type (October to December 2017)**





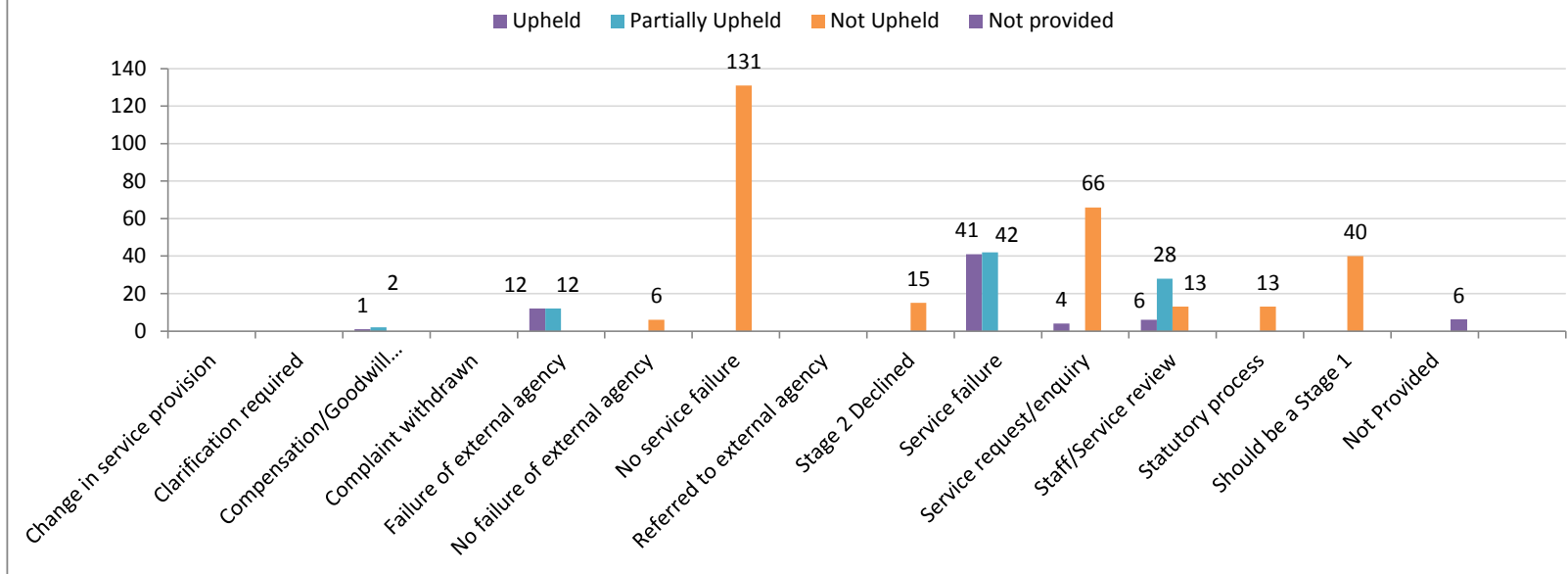
Corporate Complaints Quarter 3 Report October to December 2017

	Carry Over	October				November				December				Total
	Cumulative (Apr - Sept)	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 (%)	Cumulative*
Arts	0													0
Asset Management	5				100%									5
Benefits (A-K)	2	1	100%							2	100%			5
Benefits (L-Z)	6	1	100%			1	100%	1	100%	2	100%			10
Bereavement Services	0				100%									0
Business Rates	0													0
Businesses	0													0
Cemeteries	1													1
Communications	5	1	100%											6
Community Involvement	0													0
Community Safety	3	1	100%			1	100%						100%	5
Council Tax	44	7	100%	1	0%	5	100%			2	100%		100%	58
Crematorium	4	1	100%			2	100%			1	100%			8
Customer Services	23	1	100%	1		2	100%			2	100%			28
Development & Trans Planning	0													0
Enforcement	0													0
Housing - Anti social behaviour	12	1	100%	1		2	100%			1	100%		100%	16
Housing - Other	153	26	92%	6	100%	22	95%	7	100%	22	82%	5	60%	223
Housing -Repairs	114	26	73%	4	100%	22	77%	5	80%	19	47%	6	83%	181
Human Resources	0													0
ICT / Web team	0													0
Learning & Achievement	3	2	100%		100%									5
Legal & Governance	5													5
Leisure Centres and Sport	3	1	100%			1	100%							5
Library Services	7	1	100%		100%								100%	8
Parks and Open Spaces	23	3	100%		100%	2	100%			1	100%			29
Planning & Building Control	27	1	100%		100%	2	100%	1	100%	1	100%	1	100%	31
Public Health	0													0
Public Protection	28	2	100%		0%	3	100%	2	100%					33
Regeneration	0													0
Registrar Services	4													4
Roads and Pavements	74	10	100%	2	50%	10	100%	3	100%	11	100%	2	100%	105
Social Care Adults	2							1	100%					2
Social Care Children's	5	1	0%			1	0%							7
Street Cleansing	49	13	100%	4	100%	6	100%	2	100%	10	90%	2	100%	78
Traffic and Parking Control	172	28	100%	3	67%	35	100%	4	100%	22	100%	4	100%	257
Transactional Services	1					1	100%							2
Waste and Recycling	97	9	100%	6	100%	4	100%	1	100%	7	100%	1	100%	117
<b>Stage 1 Logged (Total)</b>	<b>872</b>	<b>137</b>				<b>122</b>				<b>103</b>				<b>1234</b>
<b>Completed in 15 days (%)</b>	<b>93%</b>		93%				94%				85%			
<b>Stage 2 logged (Total)</b>	<b>170</b>			<b>28</b>				<b>27</b>				<b>21</b>		<b>246</b>
<b>Completed in 20 days (%)</b>	<b>95%</b>				86%				96%				86%	

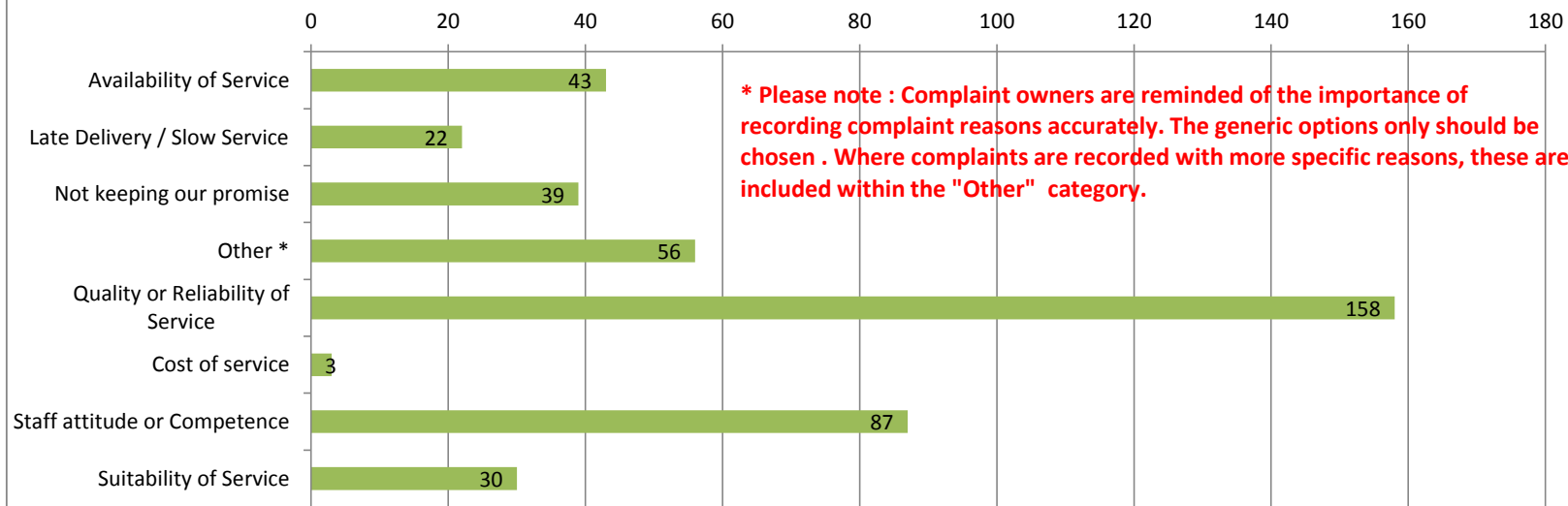
\* Annual cumulative count does not include Stage 2 as these complaints will have been counted as Stage 1 at some point during the year.



### Complaint Outcomes (October to December 2017)

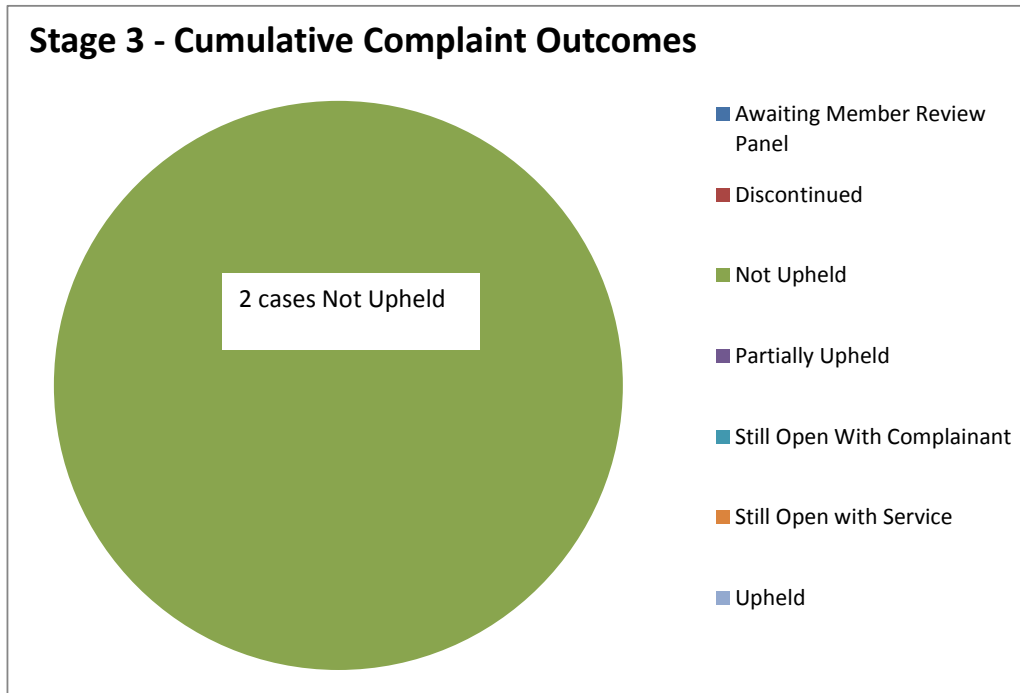
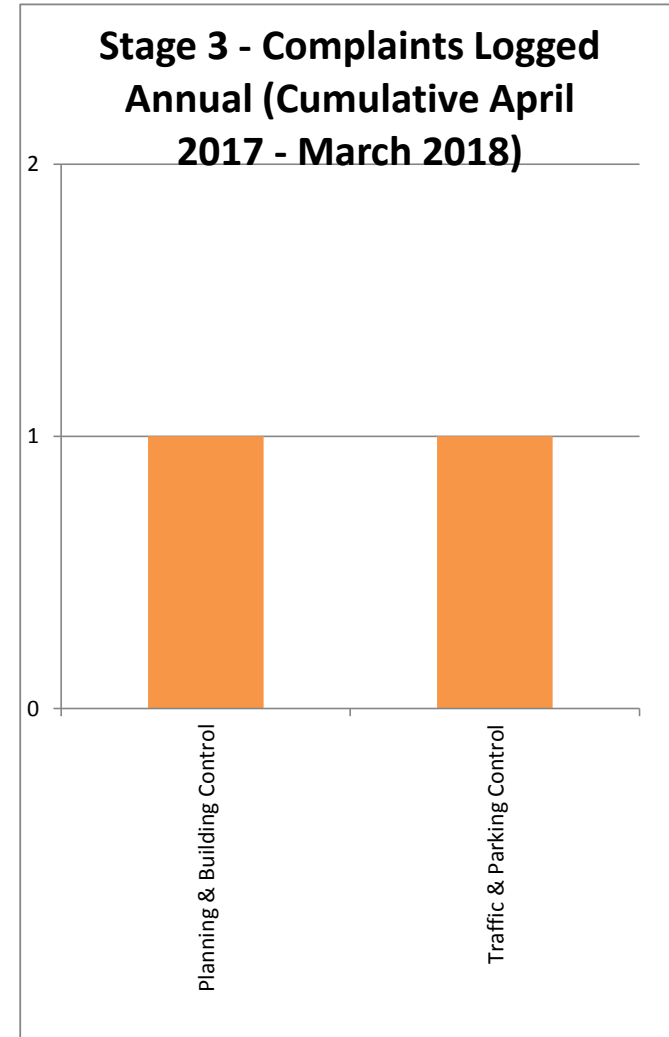


### Complaint Reasons (October to December 2017)



### Detailed Summary of Stage 3 Complaints recorded for October to December 2017

	Cumulative April-September	Oct-17	Nov-17	Dec-17	Total	Achieved within 31 Calendar days %
Planning & Buliding Control	1	0	0	0	1	100%
Traffic & Parking Control	1	0	0	0	1	0%
<b>Total Logged</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	



### Cumulative complaint figures April 17 - March 18

Table below shows all corporate complaint stage 1 & 2 figures logged between April '17 and March '18

	Cumulative numbers logged April 16-March 17 (Stage 1&2)	% of total	April '17	May '17	June '17	July '17	August '17	September '17	October '17	November '17	December '17	January '18	February '18	March '18
Arts	0	0.00%	0	0	0	0	0	0	0	0	0			
Asset Management	6	0.41%	0	1	1	2	1	1	0	0	0			
Benefits (A-K)	5	0.34%	0	1	1	0	0	0	1	0	0			
Benefits (L-Z)	12	0.81%	0	2	1	2	1	1	1	2	2			
Bereavement Services	1	0.07%	0	0	0	1	0	0	0	0	0			
Business Rates	0	0.00%	0	0	0	0	0	0	0	0	0			
Businesses	0	0.00%	0	0	0	0	0	0	0	0	0			
Cemeteries	1	0.07%	0	0	0	0	1	0	0	0	0			
Communications	6	0.41%	0	1	1	2	1	0	1	0	0			
Community Involvement	0	0.00%	0	0	0	0	0	0	0	0	0			
Community Safety	5	0.34%	0	1	3	0	0	0	1	0	0			
Council Tax	77	5.20%	16	18	9	7	4	8	8	5	2			
Crematorium	8	0.54%	0	1	2	0	0	1	1	2	1			
Customer Services	29	1.96%	5	5	4	2	3	4	2	2	2			
Development & Trans Planning	1	0.07%	0	0	0	0	0	0	0	1	0			
Enforcement	0	0.00%	0	0	0	0	0	0	0	0	0			
Housing - Anti Social Behaviour	19	1.28%	4	2	2	1	3	2	2	2	1			
Housing - Other	273	18.45%	31	32	35	23	32	32	32	29	27			
Housing -Repairs	218	14.73%	12	30	33	24	22	15	30	27	25			
Human Resources	0	0.00%	0	0	0	0	0	0	0	0	0			
ICT / Web team	0	0.00%	0	0	0	0	0	0	0	0	0			
Learning & Achievement	6	0.41%	0	0	0	2	1	1	2	0	0			
Legal & Governance	6	0.41%	1	0	2	1	2	0	0	0	0			
Leisure Centres & Sport	7	0.47%	0	4	0	0	1	0	1	1	0			
Library Services	10	0.68%	1	2	1	1	0	4	1	0	0			
Parks and Open Spaces	35	2.36%	7	4	1	5	5	7	3	2	1			
Planning & Building Control	37	2.50%	8	3	10	7	1	2	1	3	2			
Public Health	0	0.00%	0	0	0	0	0	0	0	0	0			
Public Protection	37	2.50%	4	8	6	5	3	4	2	5	0			
Regeneration	0	0.00%	0	0	0	0	0	0	0	0	0			
Registrar Services	4	0.27%	0	3	0	1	0	0	0	0	0			
Roads and Pavements	130	8.78%	13	20	19	16	12	12	12	13	13			
Social Care Adults	3	0.20%	0	0	0	1	1	0	0	1	0			
Social Care Children's	7	0.47%	1	2	2	0	0	0	1	1	0			
Street Cleansing	90	6.08%	8	11	9	11	8	6	17	8	12			
Traffic & Parking Control	303	20.47%	32	39	36	43	32	25	31	39	26			
Transactional Services	2	0.14%	0	0	0	1	0	0	0	1	0			
Waste and Recycling	142	9.59%	23	28	14	20	18	11	15	5	8			
<b>Total Complaints logged</b>	<b>1480</b>		<b>166</b>	<b>218</b>	<b>192</b>	<b>178</b>	<b>152</b>	<b>136</b>	<b>165</b>	<b>149</b>	<b>124</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Overall % of complaints 1&amp;2 completed within time</b>				<b>92%</b>		<b>94%</b>		<b>91%</b>						



## Complaint Reasons





	Availability of Service	Late Delivery/Slow Service	Not keeping our promises	Quality or reliability of service	Cost of Service	Staff attitude or competence	Suitability of Service	Other	Total
Asset Management	0	0	0	0	0	0	0	0	0
Benefits (A-K)	0	0	2	0	0	0	1	0	3
Benefits (L-Z)	0	0	0	4	0	0	0	1	5
Business Rates	0	0	0	0	0	0	0	0	0
Cemeteries	0	0	0	0	0	0	0	0	0
Communications (Inc Living Magazine)	0	0	0	1	0	0	0	0	1
Council Tax	0	0	1	6	0	6	1	1	15
Crematorium	0	0	0	0	0	0	0	4	4
Customer Services	0	2	0	3	0	0	0	1	6
Community Safety	0	1	0	1	0	0	0	0	2
Housing - Anti Social	0	0	2	2	0	0	0	1	5
Housing - Other	7	3	10	22	0	18	6	23	89
Housing - Repairs	7	7	5	33	1	9	5	14	81
Learning & Achievement	0	0	0	2	0	0	0	0	2
Legal & Governance	0	0	0	0	0	0	0	0	0
Leisure Centres and Sport	0	0	0	0	1	0	1	0	2
Library Services (Inc Having Museum)	0	0	0	0	1	0	0	0	1
Parks and Open Spaces (Inc allotments)	1	0	1	0	0	1	3	0	6
Planning & Building Control	1	0	0	3	0	1	1	0	6
Public Health	0	0	0	0	0	0	0	0	0
Public Protection (Inc Trading Standards, Environmental Health & Noise Nuisance)	1		0	4		2	0	0	7
Registrar Services (Inc Birth, Death and Marriages)	0	0	0	0	0	0	0	0	0
Roads and Pavements (Inc Street Lighting)	5	4	6	11	0	4	8	1	39
Social Care Adults	0	0	1	0	0	0	0	0	1
Social Care Children's	0	0	0	2	0	0	0	0	2
Street Cleansing (Inc Trees)	6	2	5	15	0	5	1	2	36
Traffic and Parking Control	13	3	5	35	0	33	1	6	96
Transactional Services	0	0	0	1	0	0	0	0	1
waste and Recycling	2	0	1	13	0	8	2	2	28
<b>Total:</b>	<b>43</b>	<b>22</b>	<b>39</b>	<b>158</b>	<b>3</b>	<b>87</b>	<b>30</b>	<b>56</b>	<b>438</b>

This table shows the breakdown of complaint reasons for each Service Area for Stages 1 and 2



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## Qtr 3 Audit Scores

Service Potential Score	Time 3			1 <sup>st</sup> time 4			Compliance 8			Learning 3			Quality 17			Overall 35			
	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q3	Q1	Q2	Q4	Q1	Q2	Q3	Q1	Q2	Q3	DoT from Q2
Chief Operating Officer	1	2	3	3	4	4	6	6	6	3	3	2	8	10	8	20	24	22	
Neighbourhoods	3	2	2	3	4	4	7	7	6	2	3	2	11	12	9	25	27	23	
oneSource	2	2	3	3	4	3	6	7	5	2	2	2	7	9	7	19	23	20	
Adult Services	<b>No cases audited</b>																		
Children's Services	2	3	3	4	4	4	5	6	6	3	3	3	13	15	14	26	31	30	
Public Health	<b>No cases audited</b>																		

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.

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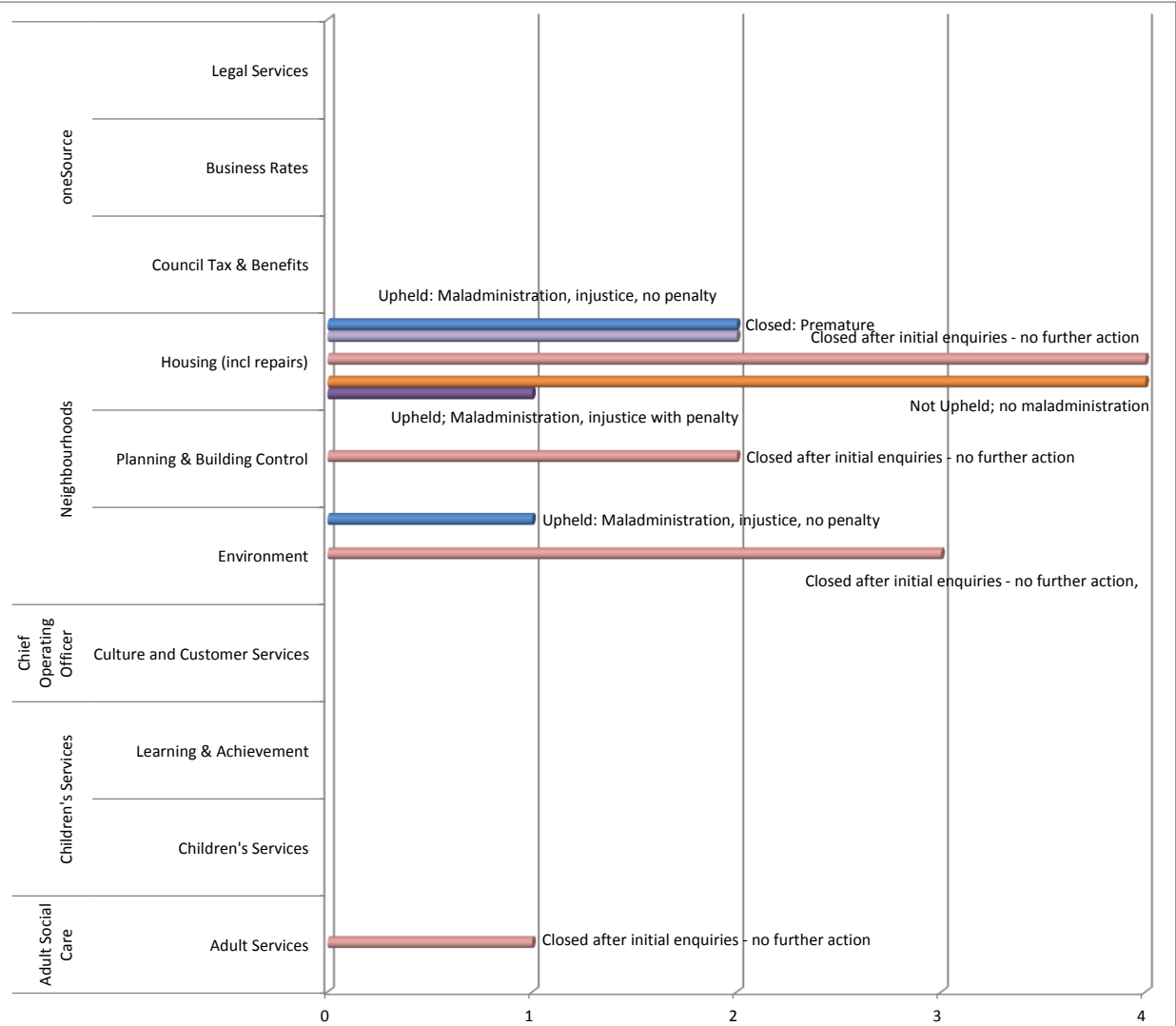
### Complaints determined:

		Report issued: Upheld; maladministration and injustice	Report issued: Upheld; maladministration, no injustice	Report issued: Not upheld; no maladministration	Upheld; Maladministration, injustice with penalty	Upheld; Maladministration, injustice, no penalty	Upheld ; Maladministration, no injustice	Upheld: No further action	Not Upheld; no maladministration	Closed after initial enquiries - out of jurisdiction	Closed after initial enquiries - no further action	Closed: Premature	HO: No maladministration	HO: No further action	HO: Resolved locally - No further action	Not upheld: No further action	
Adult Social Care	Adult Services										1						1
Children's Services	Children's Services Learning & Achievement																0
	Culture and Customer Services																0
Chief Operating Officer																	0
Page 21 Neighbourhoods	Environment Planning & Building Control					1					3						4
	Housing (incl repairs)				1	2			4		4	2					13
																	0
oneSource	Council Tax & Benefits																0
	Business Rates																0
	Legal Services																0
	<b>Total :</b>	0	0	0	1	3	0	0	4	0	10	2	0	0	0	0	20

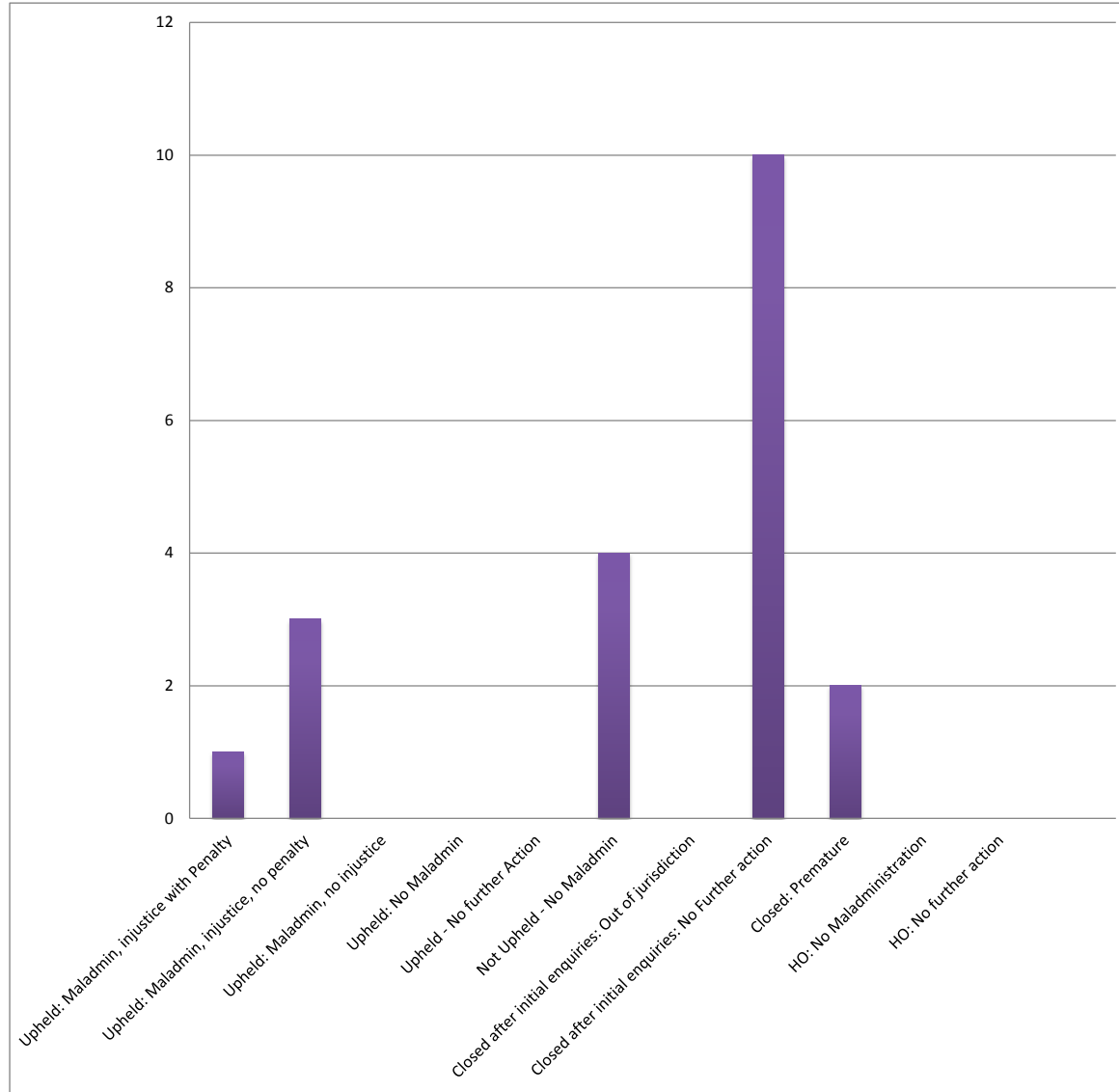
# Decisions

Directorate/Service Area

- Upheld: Maladministration, injustice, no penalty
- Closed: Premature
- Not upheld: No further action
- Closed after initial enquiries - no further action
- Closed after initial enquiries - out of jurisdiction
- Not Upheld; no maladministration
- Upheld; Maladministration, injustice with penalty



# Outcomes



## Significant decisions from Local Government or Housing Ombudsmen

### 1. Miss J

The customer complained that the council had offered her a property that was not suitable for her needs; failed to inform her about its discharge of duty decision and unreasonably refused to help when she made an approach for housing assistance.

The council offered to reinstate Miss J's right to request a review of its decision. In addition, it agreed to carry out the review within 28 days rather than the statutory 56 days and to assist her with the Homelessness Prevention fund to find alternative accommodation.

**Ombudsman decision: Upheld - Maladministration, Injustice, No penalty**

### 2. Mr A

Mr A complained the council had failed to consult with residents living adjacent to an area subject to parking restrictions made under a Public Space Protection Order; also about the way his complaint about the matter had been handled.

The LGO found there was some fault in its communication with Mr A, but the injustice caused was not significant enough to warrant further investigation of the complaint.

**Ombudsman decision: Upheld - Maladministration, Injustice, No penalty**

### 3. Ms E

Ms E is a council tenant; she complained the council failed to repair the boiler in her home, in a timely manner. She also complained that the boiler was faulty and should have been replaced.

The Housing Ombudsman found the Council's responses adequately addressed the concerns raised by Ms E and its goodwill offer of £25 appropriately reflected the inconvenience caused by its failure. It was also determined that while the council was responsible for the upkeep of the boiler, it is not obliged to replace it when ongoing maintenance issues arise.

**Ombudsman decision: Upheld - Maladministration, Injustice, No penalty**

### 4. Ms B

Ms B complained the council had not done enough to support her with re-housing since March 2015. The Ombudsman found there were errors in the service provided by the council when responding to contacts from the complainant after March 2015, when she first approached it for help as she had been threatened with homelessness.

The council agreed, within 20 days of the Ombudsman Decision, to offer an apology to Ms B and to pay her £500 in recognition of the distress caused. Following the Decision, an offer of accommodation was made to Ms B.

**Ombudsman decision: Upheld - Maladministration, Injustice with penalty**

**ADJUDICATION AND REVIEW  
COMMITTEE**

20 February 2018

<b>Subject Heading:</b>	Update on performance on Member Enquiries
<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>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 Member Enquiries handling performance, across all Council services.

A Member Enquiry represents a request for information from a Councillor or Member of Parliament, and which is not a Service Request.

The Corporate Complaint Policy and Procedure was introduced on 1<sup>st</sup> April 2015. At that time it was agreed that turnaround times on Member Enquiries 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 ensure Member Enquiries were handled in the same manner as Corporate Complaints, enabling a fulsome reply to Members and therefore ensuring a higher quality response.

Statistics are reported to Committee on a quarterly basis. Since April 2015, there have been notable improvements in the handling of Member Enquiries.

This report attaches written information for Members to consider on Member Enquiries statistics for Quarter 3, indicating numbers received and performance.

**RECOMMENDATIONS**

That the Committee consider and discuss any further action required on the Member Enquiries Statistics for Quarter 3 (October – December 2017).

**REPORT DETAIL**

**Member Enquiries Performance Statistics**

The 3<sup>rd</sup> quarter performance statistics for all Member Enquiries is attached as **Appendix 1**.

In short, Members made 727 enquiries of Services during the period October to December 2017. 98% of them (714) were responded to within time; compared to the previous Quarter when 926 enquiries were received and 904 responded to within time.

For the same period in the previous year, 2016, 768 were received and 744 (97%) were dealt with in time.

The following table provides an easy view of Member Enquiries completed for each month.

	<b>October</b>	<b>November</b>	<b>December</b>	<b>Total</b>
<b>Total No of Enquiries</b>	288	274	165	727
<b>No. completed in time</b>	285	268	161	714
<b>% completed in time</b>	99%	98%	98%	<b>98%</b>

**IMPLICATIONS AND RISKS**

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

**BACKGROUND PAPERS**

Appendix 1 – Quarter 2 Member Enquiries statistics.

## Members / MP Enquiries Quarter 1 Report (October - December 2017)

**This report shows the volume of Member and MP Enquiries received by services for the 3rd Quarter, October to December 2017.**

Definition of a Member Enquiry: An enquiry from a Councillor or MP which requires the Service Area to provide a piece of information; this does not include requests for service such as 'Please fill the pothole in Main Road.'

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 3 (in short) is therefore:  
727 enquiries logged  
98 % closed on time (714)

Performance for Quarter 1:

702 enquiries logged  
96% closed on time (672)

Performance for Quarter 2:

926 enquiries logged  
98% closed on time (904)

Senior Leadership Support Team  
12th February 2018

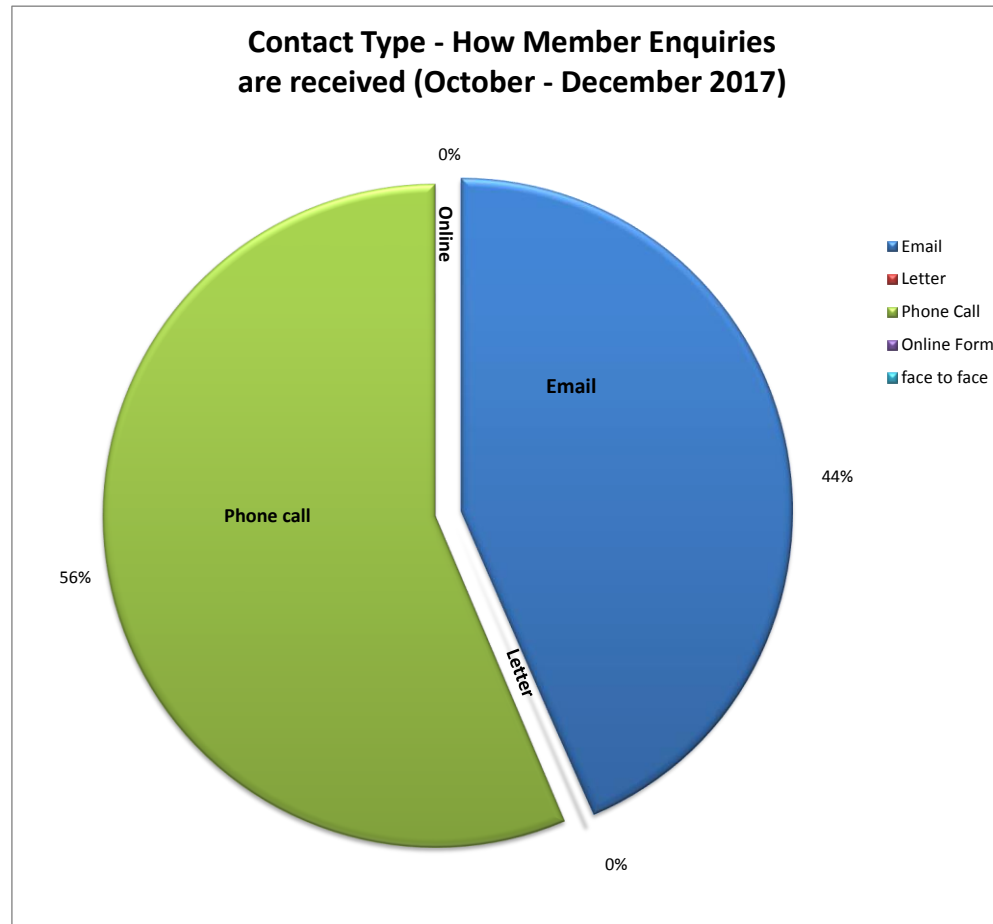
## Members / MP Enquiries Quarter 1 Report (October - December 2017)

	Member / MP Enquiries by Service – October to December 2017				
	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					
Crematorium					
Facilities Management					
Customer Services					
Development & Trans Planning	1	1	100%		
Environmental Health	29	29	100%		
Housing - Management	1	1	100%		
Housing - Retained Hsg Services	263	254	97%	9	
Human Resources					
Learning & Achievement	4	4	100%		
Legal & Governance					
Leisure Centres and Sport					
Library Services					
Licensing	1	1	100%		
Parks and Open Spaces	17	17	100%		
Planning & Building Control	66	66	100%		
Policy & Partnerships					
Property Service					
Public Health					
Public Protection	2	2	100%		
Regeneration					
Registrar Services					
Roads and Pavements	118	118	100%		
Social Care Adults	4	4	100%		
Social Care Children	10	6	60%		
Street Cleansing	50	50	100%		
Trading Standards					
Traffic and Parking Control	153	153	100%		
Transport	1	1	100%		
Waste and Recycling	7	7	100%		
<b>Total</b>	<b>727</b>	<b>714</b>	<b>98%</b>	<b>9</b>	<b>0</b>





Members / MP Enquiries Quarter 1 Report  
(October - December 2017)

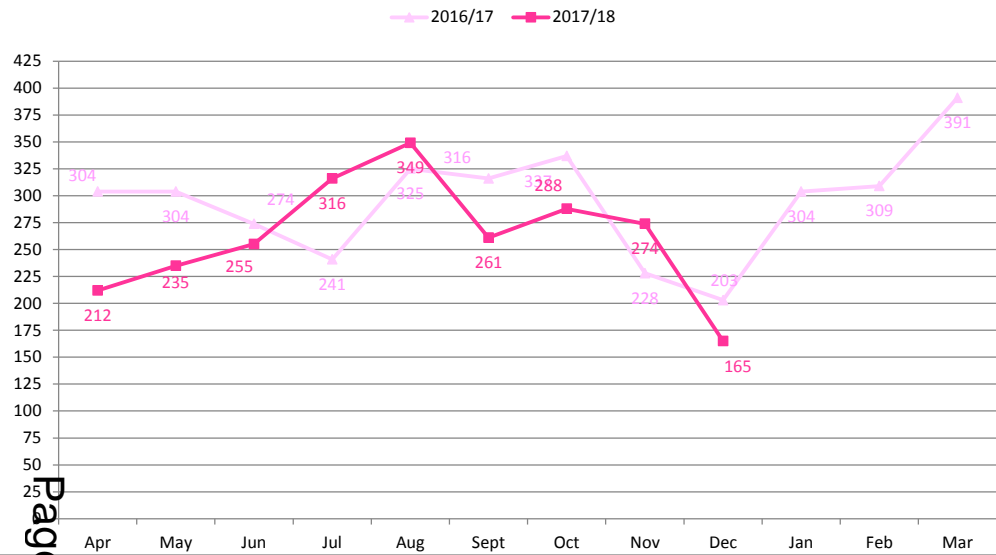


## Members / MP Enquiries Quarter 1 Report (October - December 2017)

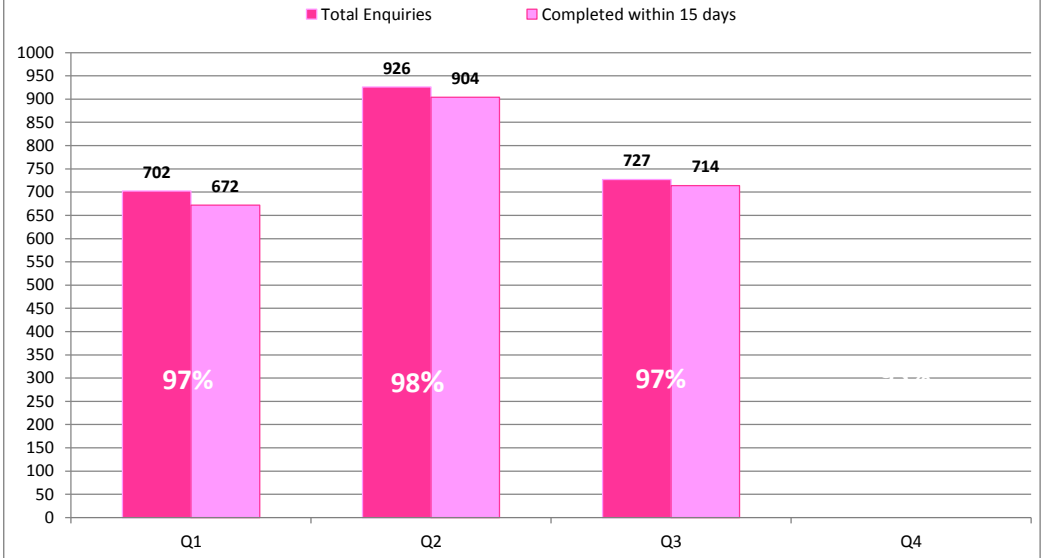
	Oct-17			Nov-17			Dec-17			Annual	
	Cumulative	Number Logged	Closed in 15 days	Closed in 15 days (%)	Number Logged	Closed in 15 days	Closed in 15 days (%)	Number Logged	Closed in 15 days	Closed in 15 days (%)	Cumulative (Apr 17 - Mar 18)
Art Services	0										0
Asset Management	0										0
Benefits (A-E)	0										0
Benefits (F-Z)	0										0
Bereavement Services	0										0
Business Rates	2										2
Businesses	0										0
Cemeteries	0										0
Communications	0										0
Community Involvement	0										0
Community Safety	0										0
Council Tax	4										4
Crematorium	2										2
Customer Services	5										5
Facilities Mangement	1										1
Develop. & Trans Planning	0				1	1	100%				1
Environmental Health	34	8	8	100%	9	9	100%	12	12	100%	63
Housing Management	10			100%	1	1	100%				11
Housing Retained Hsg Services	603	141	139	99%	76	73	96%	46	42	91%	866
Human Resources	0										0
Learning & Achievement	14	1	1	100%	2	2	100%	1	1	100%	18
Legal & Governance	0										0
Leisure Centres and Sport	0										0
Library Services	1										1
Licensing	6	1	1	100%							7
Parks and Open Spaces	50	4	4	100%	7	7	100%	6	6	100%	67
Planning & Building Control	68	13	13	100%	35	35	100%	18	18	100%	134
Policy & Partnerships	0										0
Property Services	0										0
Public Health	0										0
Public Protection	5				2	2	100%			100%	7
Regeneration	1										1
Registrar Services	0										0
Roads and Pavements	267	42	42	100%	47	47	100%	29	29	100%	385
Social Care Adults	47			94%	4	4	100%				51
Social Care Children's	34	3	2	67%	6	3	50%	1	1	100%	44
Street Cleansing	136	23	23	100%	17	17	100%	10	10	100%	186
Trading Standards	3										3
Traffic and Parking Control	287	49	49	100%	63	63	100%	41	41	100%	440
Transport	1				1	1	100%			100%	2
Waste and Recycling	47	3	3	100%	3	3	100%	1	1	100%	54
<b>Total no. of enquiries logged</b>	<b>1628</b>	<b>288</b>			<b>274</b>			<b>165</b>			<b>2,355</b>
<b>Total completed in 15 days</b>	<b>1576</b>		<b>285</b>			<b>268</b>			<b>161</b>		<b>2,290</b>
<b>Total completed in 15 days (%)</b>	<b>97%</b>		<b>99%</b>			<b>98%</b>			<b>99%</b>		<b>97%</b>
<b>Target</b>	<b>95%</b>		<b>95%</b>			<b>95%</b>			<b>95%</b>		<b>95%</b>

# Members / MP Enquiries Quarter 1 Report (October - December 2017)

### Member/MP Enquiries Logged - Monthly (April 2017 - March 2018)



### Member/MP Enquiries (by Quarter)



## Members / MP Enquiries Quarter 1 Report (October - December 2017)

Appendix 1

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

	Cumulative	Oct-17	Nov-17	Dec-17	TOTAL
Alex Donald	17	1	5	0	23
Barbara Matthews	3	1	1	0	5
Barry Muggleston	24	4	2	1	31
Brian Eagling	3	3	3	1	10
Carol Smith	12	0	1	1	14
Clarence Barrett	20	1	7	5	33
Damian White	304	98	31	25	458
Darren Wise	15	2	2	1	20
David Durant	6	4	3	2	15
David Johnson	2	0	1	1	4
Denis O'Flynn	13	4	1	0	18
Dilip Patel	27	3	5	1	36
Fredrick Thompson	22	3	3	1	29
Garry Pain	2	0	0	0	2
Gillian Funn	40	4	8	3	55
Graham Williamson	10	6	5	3	24
Ian Duvvurton	0	0	0	0	0
Jason Frost	40	11	8	8	67
Jeffery Tucker	35	5	5	2	47
Jody Ganly	23	1	3	4	31
John Crowder	18	4	6	3	31
John Glanville	7	0	1	0	8
John Mylod	9	1	4	1	15
John Wood	31	3	7	1	42
Joshua Chapman	56	14	13	2	85
Julie Wilkes	12	5	2	0	19
June Alexander	2	1	3	0	6
Keith Darvill	6	2	5	1	14
Keith Roberts	11	1	2	1	15
Lawrence Webb	3	0	0	1	4
Linda Hawthorn	46	5	7	9	67
Linda Trew	10	0	0	1	11
Sub Total	829	187	144	79	1239

	Cumulative	Oct-17	Nov-17	Dec-17	TOTAL
Linda Van Den Hende	9	1	0	0	10
Margaret Davis	2	0	0	0	2
Melvin Wallace	24	5	2	2	33
Michael Deon Burton	15	4	5	0	24
Michael White	1	0	0	0	1
Nic Dodin	8	0	3	0	11
Osman Dervish	29	5	7	1	42
Patricia Rumble	10	3	1	1	15
Philip Martin	6	0	0	1	7
Philippa Crowder	7	2	1	2	12
Ray Best	15	2	0	6	23
Ray Morgon	92	6	17	13	128
Reg Whitney	0	0	0	0	0
Robby Misir	7	0	0	0	7
Robert Benham	37	5	4	3	49
Roger Ramsey	107	14	12	8	141
Ronald Ower	45	7	8	9	69
Roger Westwood	1	0	0	0	1
Stephanie Nunn	39	4	7	5	55
Steven Kelly	0	0	1	0	1
Viddy Persaud	52	7	4	7	70
Wendy Brice-Thompson	24	1	3	1	29
Andrew Rosindell MP	140	14	27	13	194
Angela Watkinson MP	4	0	0	0	4
Jon Cruddas MP	63	7	13	8	91
Margaret Hodge MP	0	0	0	1	1
Julia Lopez MP (Dockerill)	49	13	14	4	80
Blanks / Out of Borough/other	13	1	1	1	16
					0
					0
SubTotal	799	101	130	86	1116
Grand Total	1,628	288	274	165	2,355

**ADJUDICATION & REVIEW COMMITTEE - 20  
FEBRUARY 2018**

<b>Subject Heading:</b>	Adult Social Care Annual Complaints Report 2016/17
<b>SLT Lead:</b>	Barbara Nicholls
<b>Report Author and contact details:</b>	Veronica Webb, Complaints & Information Team Manager, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	An annual report is required as part of the remit of 'The Local Authority Social Services & NHS Complaints (England) Regulations 2009 and Health and Social Care (Community Health and Standards) Act 2003.
<b>Financial summary:</b>	There are no financial implications

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

Communities making Havering	X
Places making Havering	[]
Opportunities making Havering	[]
Connections making Havering	[]

**SUMMARY**

This report is for information and refers to the reports presented to Individuals Overview & Scrutiny Committee on 29 November 2017.

**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



## INDIVIDUALS OVERVIEW & SCRUTINY COMMITTEE – 29 NOVEMBER 2017

<b>Subject Heading:</b>	Adult Social Care Annual Complaints Report 2016/17
<b>SLT Lead:</b>	Barbara Nicholls
<b>Report Author and contact details:</b>	Veronica Webb, 01708 432589 <a href="mailto:Veronica.webb@havering.gov.uk">Veronica.webb@havering.gov.uk</a>
<b>Policy context:</b>	An annual report is required as part of the remit of 'The Local Authority Social Services & NHS Complaints (England) Regulations 2009 and Health and Social Care (Community Health and Standards) Act 2003.
<b>Financial summary:</b>	There are no financial implications as this report is for information purposes and is required as part of the statutory complaints regulations

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

Communities making Havering	<input checked="" type="checkbox"/>
Places making Havering	<input type="checkbox"/>
Opportunities making Havering	<input type="checkbox"/>
Connections making Havering	<input type="checkbox"/>

### SUMMARY

The Adult Social Care Annual Complaints Report 2016-17 attached as Appendix 1 is for consideration and outlines the complaints, enquiries, compliments and Members correspondence received during the period April 2016 – March 2017.

Adult Social Care Annual Complaints fall within the remit of the 'The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 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 challenges faced by the service with increasing demands.
2. That Members note the actions identified to improve services and the continued monitoring by the Service and the Complaints & Information Team to ensure these are implemented evidencing service improvements and with a view to reduce similar complaints.
3. That Members note the positive feedback to services by way of compliments received and highlighting good practice.

**REPORT DETAIL**

4. Adult Social Care has seen an increase in the number of complaints in 2016/17 of 30% from 93 in 2015/16 to 121 in 2016/17, although there has been a decrease in the number of service users from 7,684 in 2015/16 to 7,519 in 2016/17. Complaints escalating to the Ombudsman, although decreased overall from 10 in 2015/16 to 8 in 2016/17, four decisions were for maladministration injustice with no penalty, which related to charging disputes.
5. Increases in formal and informal complaints were reflected across all teams and particularly within the community teams who had the most notable increases. The community teams, Adult Community Team (ACT) North and ACT South, went through a major relocation programme during 2016/17, moving into locality areas in partnership with North East London Foundation Trust (NELFT). This impacted on the level of service, which was the main reason for complaint.
6. External provider complaints for home care and residential/nursing homes, increased slightly in 2016/17 by 19% and 11% respectively. Home care commissioned hours increased from 654,024 in 2015/16 to 711,679 in 2016/17 with the number of hours relating to home care complaints accounting for 1% of total care provided. For those within residential/nursing placements, the number of complaints accounted for 1% of the total number (1,098) using these provisions.
7. Information and explanation given still remains the main outcome and Adult Social Care, through learning from complaints, have taken steps to improve these areas, in particular information regarding charging which formed the majority of complaints received. A financial charging case note was



implemented in May 2016 to ensure that staff provides accurate and relevant information at the earliest opportunity. This is being monitored monthly and reported to the Operational Management Team with senior managers reiterating to staff the importance of recording what financial information and advice has been given and when. Although this started with only 10% being completed appropriately recorded in June 2016, by the end of March 2017 this had increased to 58.5%.

8. Continued involvement by the Complaints Team within Quality & Safeguarding meetings and providing support to external providers in dealing and responding to complaints, is anticipated to contribute to the reduction of complaints regarding quality of service, which had risen from 1 in 2015/16 to 9 in 2016/17 for home care and from 1 in 2015/16 to 8 in 2016/17 for residential/nursing placements.
9. Although some complaints relating to quality of service were linked to charging, there was an increase in those relating to the quality of care provided. Adult Social Care recognised the increasing pressures, through increased demand, budget pressures and difficulties in having a sustainable workforce and therefore agreed an uplift for both home care and residential/nursing homes.
10. Response times had not improved as anticipated, however of the 121 complaints received, 78 (64%) involved external agencies. Adult Social Care and the Complaints Team will be exploring how best to work with providers to improve response times.
11. Those aged 85+ showed a 46% increase from 37 in 2015/16 to 54 in 2016/17 which may be reflective of the increase in nursing home placements. Also increases were across ages 18-24 and 35-44. Those with a physical disability showed a significant increase from 8 in 2015/16 to 80 in 2016/17 which includes physical support – personal care and access and mobility. White British remains the highest and increased from 84 (20%) in 2015/16 to 101 in 2016/17. Representations from Asian-Indian and Asian Pakistan in 2016/17 with an increase of Black/Black British African from 1 in 2015/16 to five in 2016/17.
12. Monitoring information for age, disability and ethnicity will in future reports reflect the categories being reported on through the Performance Team.
13. Email was the preferred method of contact in 2016/17, with letter being the next preferred method.
14. Expenditure incurred for 2016/17 was a time and trouble payment of £250.
15. Compliments increased by 22% in 2016/17 and related to help and support, professionalism and quality of service and were across many teams. Some examples of compliments are given in Appendix 1.

16. Member enquiries increased from 56 in 2015/16 to 91 in 2016/17 with 71% being responded to within timescale compared to 73% in 2015/16.
17. Complaints continue to be used by senior management to highlight and identify areas for improvement, along with compliments highlighting good practice within teams.

## **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.

**BACKGROUND PAPERS**

There are no background papers

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# **ANNUAL REPORT 2016/17**

## **ADULT SOCIAL CARE**

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

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

**Prepared by: Veronica Webb  
Complaints & Information Team Manager**

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## 1. Executive Summary

Adult Social Care has seen an increase in complaints and member enquiries and a slight decrease in general enquiries in 2016/17. Again, as in previous years a number of complaints are related to financial assessment for care and support provided. Continued efforts are being made to ensure that financial charging information is provided at the first point of contact, or as soon as services are being considered.

Although we saw an increase in complaints and a slight drop in enquiries, there has been a 2% decrease in 2016/17 of the total number of service users within Adult Social Care from 7,684 in 2015/16 to 7,519 in 2016/17. Across home care services and residential home placements there has been a decrease of 2% and 1% respectively in 2016/17, however there has been an increase of 26% in nursing home placements from 326 in 2015/16 to 411 in 2016/17. However there was an increase in complaints across both home care (19%), 16 in 2015/16 to 19 in 2016/17 and residential/nursing placements (11%) 9 in 2015/16 to 10 in 2016/17.

It has been highlighted that efforts will need to be made to improve response times within Adult Social Care, however many of those over timescale involved external agencies where information is required to reach decisions around charging disputes. Consideration needs to be given on how to improve response times, and also how the Complaints & Information Team and Adult Social Care can work more effectively with external agencies, to ensure timescales are met.

## 2. Introduction

Under the Local Authority Social Services and NHS Complaints Regulations 2009, made under powers in Sections 113 to 115 of the Health and Social Care (Community Health and Standards) Act 2003, 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, 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.

**Formal - Local resolution** – where the complaint is considered low-medium risk, we aim to respond within 10 working days where possible. Where a complaint is considered medium–high risk, we aim to respond within 10-20 working days. Where a complaint is considered complex and may require an independent investigation, we 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.



### 3. Complaints Received

#### 3.1 Ombudsman referrals

The number of Ombudsman enquiries dropped slightly to 8 in 2016/17 compared to 10 in 2015/16. These enquiries recorded as maladministration injustice with no penalty related to charging disputes in 2015.

	Apr 16 - Mar 17	Apr 15 - Mar 16	Apr 14 -Mar 15
Maladministration (no injustice)		3	2
Maladministration Injustice		1	
Maladministration injustice no penalty	4		
No maladministration after investigation		3	
Ombudsman discretion			
-Cases under investigation/ongoing			2
-Investigation not started/discontinued	1		1
No evidence of maladministration/service failure	1		2
Cases completed not premature			
Premature/Informal enquiries	2	3	3
<b>Total</b>	<b>8</b>	<b>10</b>	<b>10</b>

#### 3.2 Total number of complaints

The number of complaints (formal and informal) increased in 2016/17 by 30% from 93 in 2015/16 to 121.

Total Number of complaints		
2016/17	2015/16	2014/15
121	93	92

#### 3.3 Stages

Both informal and formal complaints have increased in 2016/17, formal by 34% from 64 in 2015/16 to 86 and informal by 9% from 29 in 2015/16 to 35, whereas the number of enquires decreased slightly.

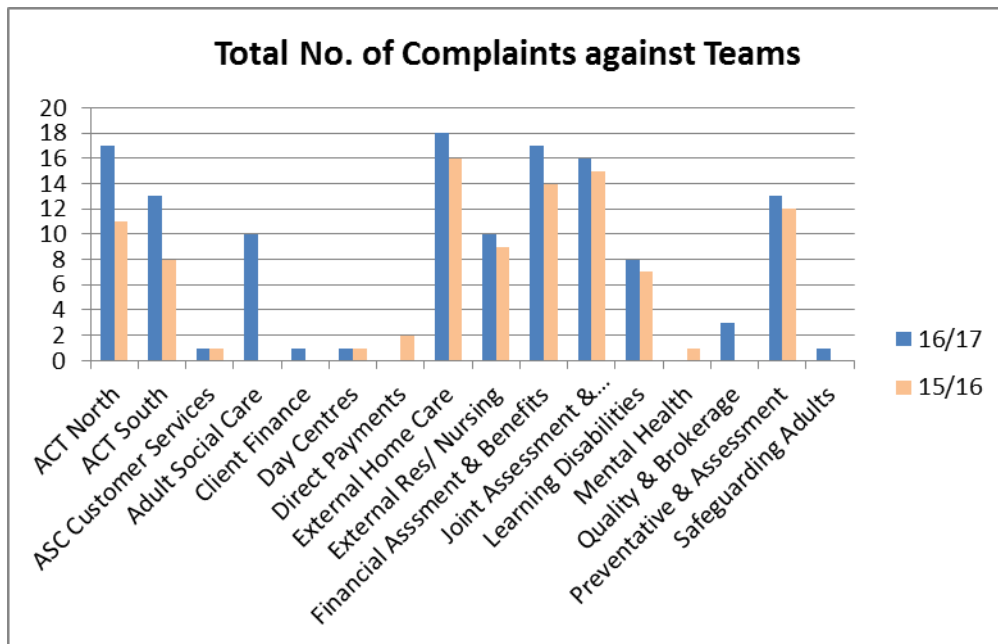
	Enquiry	Formal	Informal	Joint health and adult social care formal complaint
Apr 16 - Mar 17	18	86	35	
Apr 15 – Mar 16	24	64	29	

#### 3.4 Teams

Complaints have increased across all teams, with notable increases within the community teams, i.e. Adult Community Team (ACT) North and ACT South. During 2016/17 community teams went through a major relocation programme in which social care teams

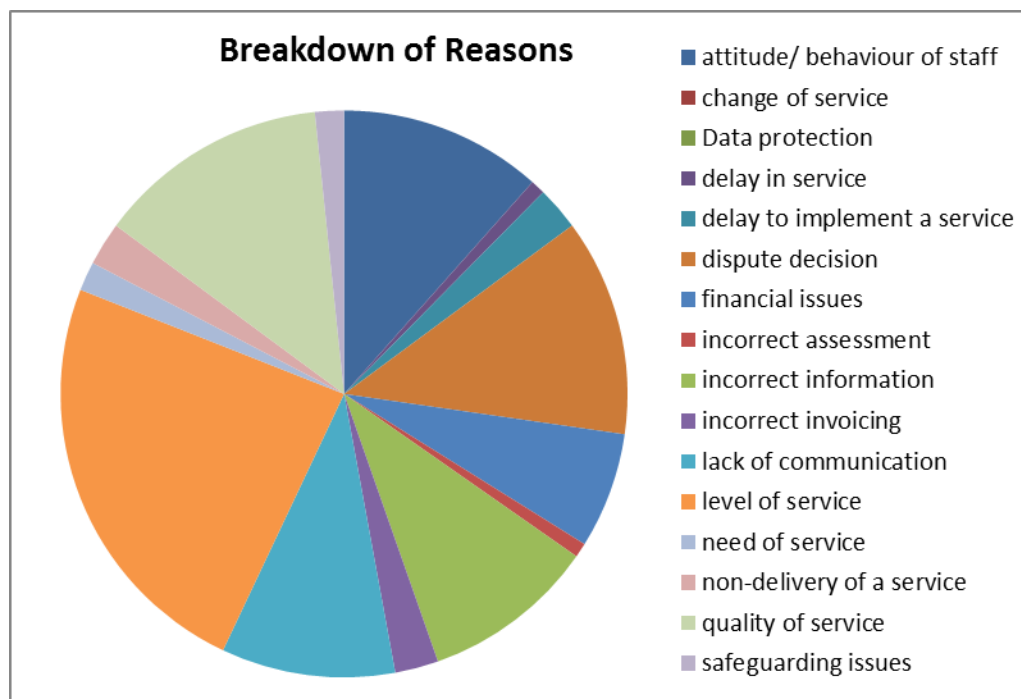
moved into locality areas in partnership with the North East London Foundation Trust (NELFT). Complaints falling within ‘Adult Social Care’ are those that required a decision at Head of Service or Director level, involving charging disputes.

External home care and residential/nursing care complaints have increased slightly in 2016/17 by 19% and 11% respectively. The total number of home care hours commissioned during 2016/17 was 711,679, increased from 654,024 in 2015/16. The total commissioned hours relating to home care complaints was 5,308, accounting for 1% of total care provided. For those within residential/nursing placements the number of complaints (10) accounts for 1% of the total number of people (1,098) who used these provisions.



### 3.5 Reasons

In 2016/17 complaints mainly related to the ‘level of service’, followed by ‘quality of service’ and ‘dispute decision’. The majority of these type complaints (32) involved complaints on charging or funding linked to either the level or quality of service, or disputing the charges. Although level of service is the highest it has dropped from 34 in 2015/16 to 29 in 2016/17.

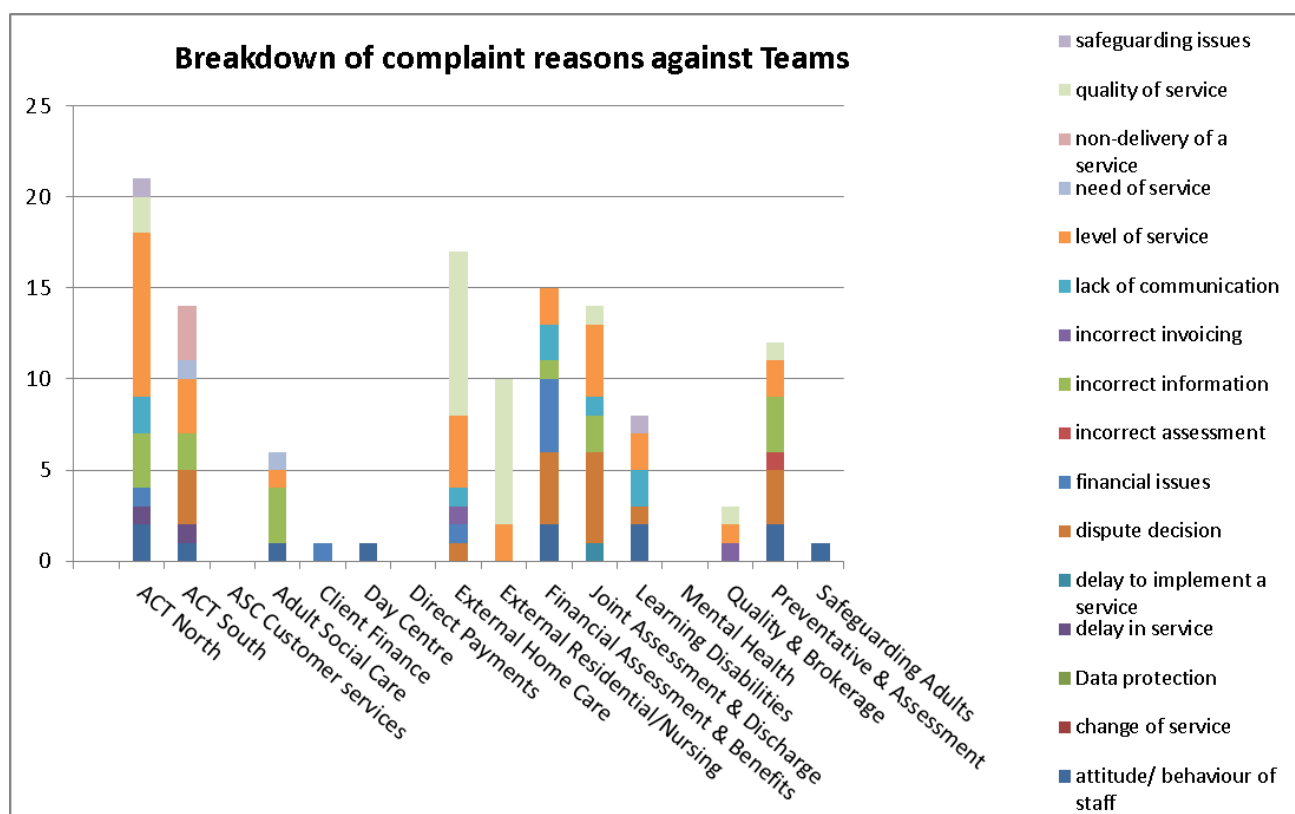


In 2016/17 ‘incorrect information’ and ‘lack of communication’ has increased at the same level from 2015/16 from 8 in 2015/16 to 12 in 2016/17 and the Service will need to take note to ensure that staff are providing accurate information and are communicating with service users and their families at first point of contact. As indicated above, Adult Social Care went through locality changes during 2016/17, which may have attributed to this increase.

It is noted that ‘quality of service’ has increased in the year covered by this report, after this had dropped to 2 in 2015/16. It has now risen to 17 in 2016/17, and mainly covers home care and residential/nursing homes, as shown in the breakdown below:

	attitude/ behaviour of staff	change of service	Data protection	delay in service	delay to implement a service	dispute decision	financial issues	incorrect assessment	incorrect information	incorrect invoicing	lack of communication	level of service	need of service	non-delivery of a service	quality of service	safeguarding issues
<b>16/17</b>	14	0	0	1	3	15	8	1	12	3	12	29	2	3	17	2
15/16	15	0	1	2	0	25	4	1	8	0	8	34	0	3	2	1

From the breakdown below against teams, ‘level of service’ and ‘dispute decision’, was across most teams. It also highlights that ‘quality of service’ within external home care and residential/nursing homes were main reasons for complaints in these areas. Although as highlighted above, ‘quality of care’ is linked in the main to a dispute in relation to charges and would not always have been raised prior to an invoice being raised.



### 3.6 Outcome & Learning

The main outcome for most complainants was for an explanation and/or information to be provided. As in previous years many of these related to charges and further explanation could have been required, or more information provided to prevent the complaint from occurring. The financial charging case note/checklist and information on paying for home care or residential care should help reduce these type of complaints over time.

	Change in process/worker	Complaint Withdrawn/referred to different procedure	Explanation and Apology	Explanation/Information provided	Financial assistance awarded	No action/further action required	Reassessment/Review	Reimbursement	Services re-instated	Training identified
16/17		2	6	31	60	4	3		2	
15/16			5	24	53	1	4	4		1

#### 3.6.1 Learning from Complaints

Complaints continue to play an important source of feedback for the service, highlighting areas for improvement; whether it is the way processes are undertaken, how and what information is communicated to those using the service and their families, and just as importantly, through compliments identifying and highlighting good practice.

As identified over the past few years, lack of or incorrect financial information has been a major reason for complaints, resulting in service users/families disputing charges.

The introduction of the financial charging case note in May 2016 has helped and is increasingly being used by staff across teams. This is monitored on a monthly basis to determine how teams and individual staff are providing the necessary financial information at the earliest stage possible. Information reports are presented to the Operational Management Team and senior managers continue to reiterate to staff the importance of

recording what financial information and advice has been given and when. By the end of March 2017, 58.5% of financial case notes were completed appropriately by staff as opposed to 10% in June 2016.

It has been well publicised that care provision within both the home care sector and residential/nursing home sector experiences difficulties with recruitment of carers and the sustainability of their workforce, with the increased demands and the pressures on budgets being contributing factors. Adult Social Care, through working with their provider agencies, agreed an uplift to both home care and residential/nursing homes to help alleviate some of those pressures, and to help sustain good quality care.

Continued involvement of complaints within the Quality & Safeguarding Team and support provided to external agencies on dealing and responding to complaints is anticipated to contribute to the reduction in the type of complaints regarding quality of service, which rose in 2016/17 compared to 2015/16 from 1 in 2015/16 to 9 for home care and 1 in 2015/16 to 8 in 2016/17 for residential/nursing homes.

### 3.6.2 Learning from the Ombudsman

Complaints investigated by the Ombudsman in 2016/17 were related to charges, and highlighted (in conjunction with previous complaints) around the disparities of information on financial charges. This is being addressed through the measures put in place around financial information, with regard to improved provision of information and advice and recording this as a case note, which is still being embedded in the service.

### 3.7 Response times

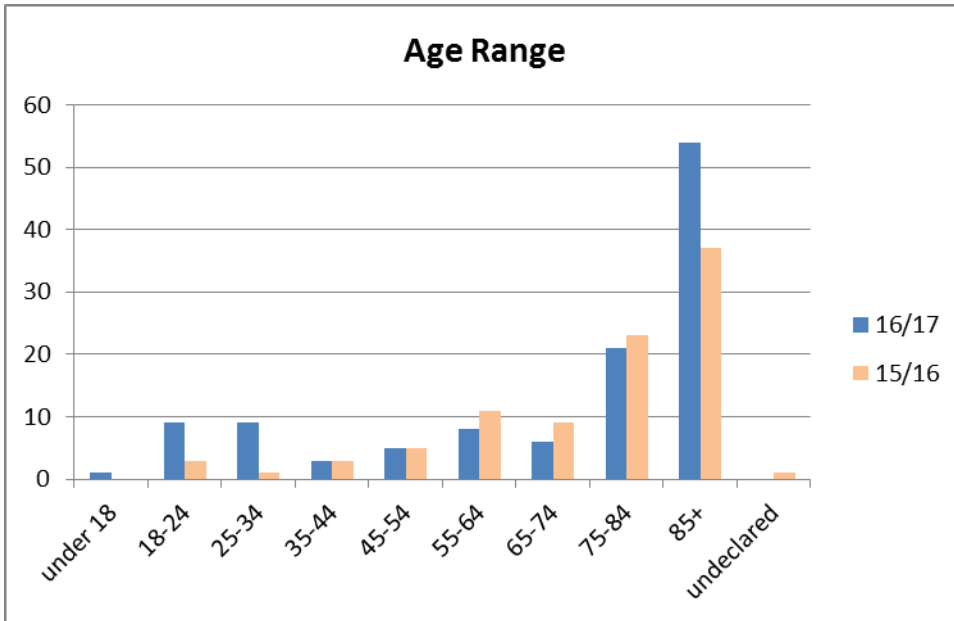
Response times for complaints in 2016/17 have not improved as had been anticipated when compared to 2015/16. However a number of complaints have involved external agencies, which has impacted on response times. For those responded to involving external agencies, there were two within 10 working days; 23 within 11-20 working days and 35 of those responded to over 20 working days.

	Within 10 days		11-20 days		Over 20 days	
	Apr16- Mar17 %	Apr15- Mar16 %	Apr16- Mar17 %	Apr15- Mar16 %	Apr16- Mar17 %	Apr15- Mar16 %
Informal	24	27	9	17	67	57
Formal	5	34	34	28	62	38
External agencies	3	24	38	4	58	72

### 3.8 Monitoring information

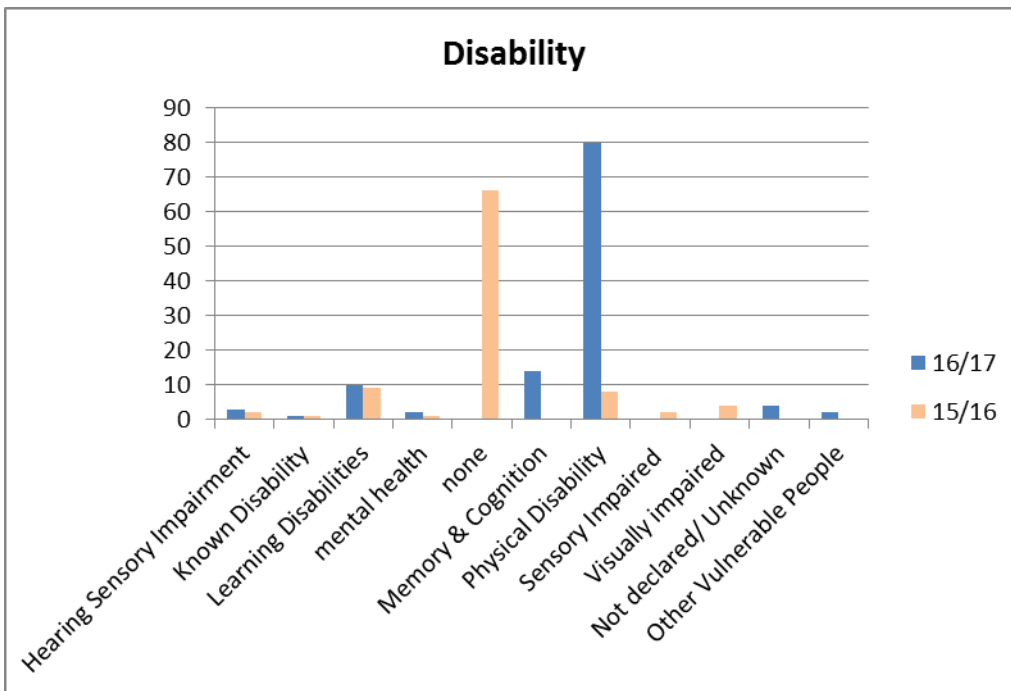
#### 3.8.1 Age

There has been an increase in complaints involving those aged 85+ which has increased from 37 in 2015/16 to 54 in 2016/17 (46%) which could be reflective of the increase shown in nursing home placements. Also there were significant increases in 2016/17 for those aged 18-24, from 3 in 2015/16 to 9 in 2016/17, and for those aged 35-44 from 1 in 2015/16 to 9 in 2016/17. Population statistics for mid-2016 showed an increase in those aged 85+ within Havering of 6%.



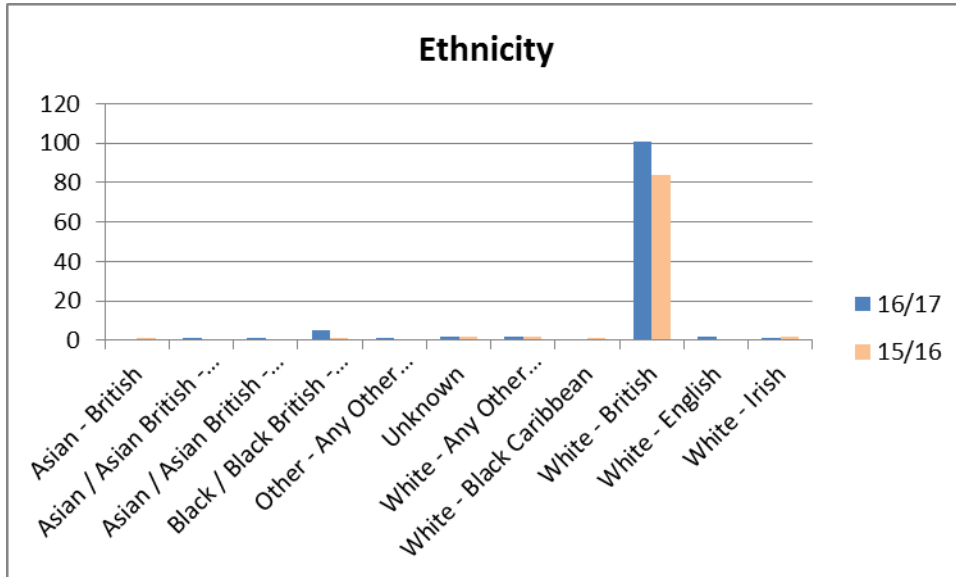
### 3.8.2 Disability

There is little difference in terms of numbers of those complaints involving people with a learning disability. Complaints involving those with a physical disability in 2016/17 have shown a significant increase from 2015/16 from 8 to 80. The figure for 2016/17 includes those who have physical support –personal care; access and mobility and physical disability. Collection of this data for 2016/17 obtained from the Performance Team includes additional categories, i.e. ‘memory and cognition’ and ‘other vulnerable people’ and future reports will reflect the same categories.



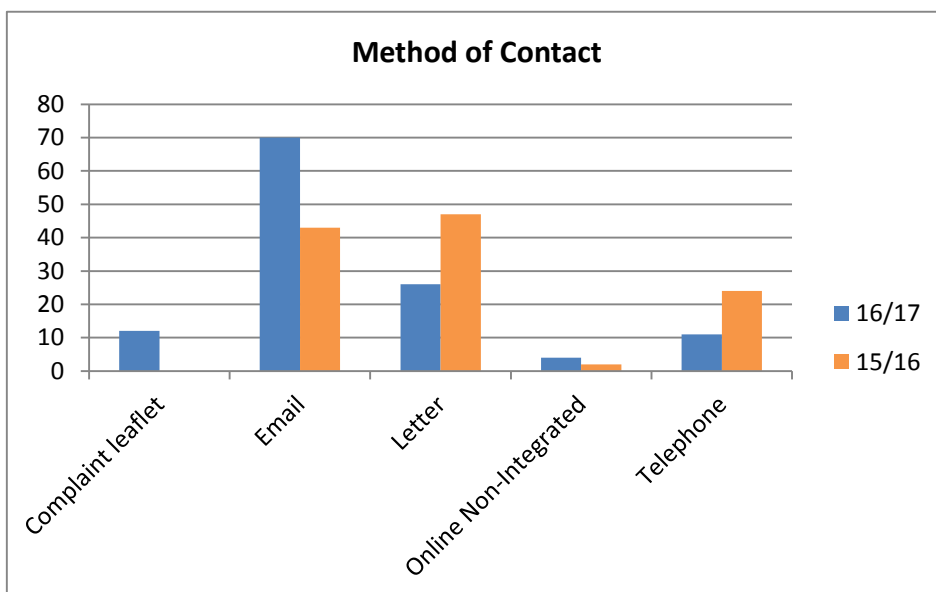
### 3.8.3 Ethnicity

Complaints involving those that are 'White British' represent the highest and have increased by 20% from 84 in 2015/16 to 101 in 2016/17. This is representative of the population within Havering, where there is a majority of 'White British'. Those of 'Black/Black British African' has increased from one in 2015/16 to five in 2016/17, There is also representation from those with an 'Asian – Indian' and 'Asian – Pakistan' in 2016/17, where there were none in 2015/16. It is encouraging that various ethnic minorities are accessing the complaints process.



#### 4 How we were contacted

In 2016/17 emails were the preferred method of contact which was a shift from letter being the preferred method in 2015/16. Complaints being received by letter and telephone in 2016/17 have almost halved, with a slight increase in those using complaint leaflets and online forms.



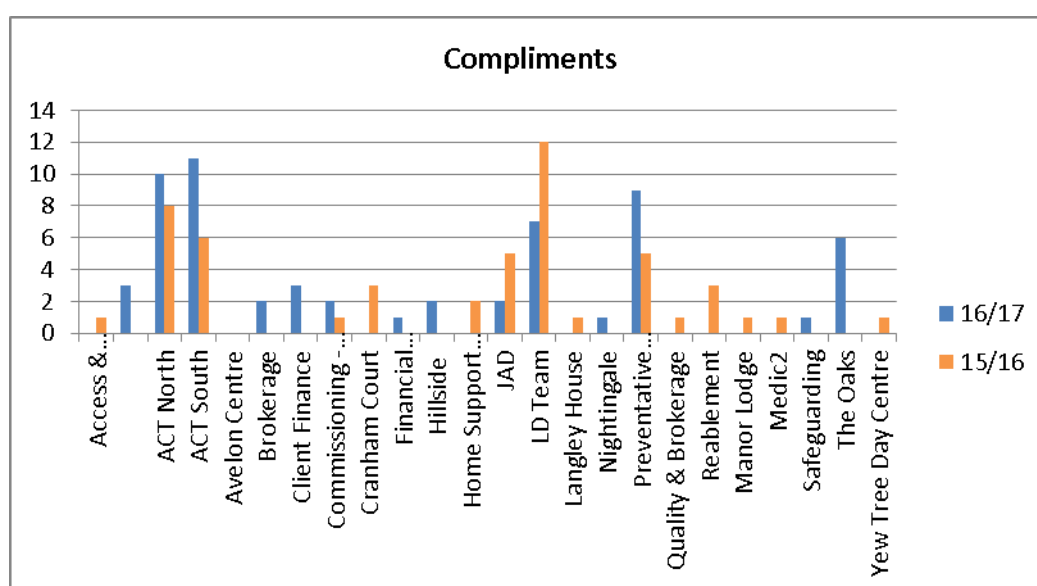
#### 5 Expenditure

Expenditure was incurred during 2016/17 and is shown in the compensation column for a time and trouble payment.

	Compensation £	Independent investigators £
Apr 2016- Mar 2017	250	0
Apr 2015- Mar 2016	12,300	0

## 6. Compliments

The total number of compliments received in 2016/17 was 62, an increase of 22% from 51 in 2015/16, with the majority of those being for help and support, professionalism and quality of service. There have been increases in the number of compliments received across many teams and in particular ACT North, ACT South and Preventative Teams, with some teams such as Brokerage, Commissioning and Client Finance receiving compliments in 2016/17.



Examples of compliments received are as follows:

A service user writes about a home visit from a social worker in which he states 'her visit and input had a reassuring effect and I would like to pass on my thanks for a job well done.; - **ACT North**

A granddaughter writes 'huge thanks for all your hard work and efforts to make nan's life a bit more comfortable...' – **ACT South**

A daughter writes 'thank you so much for what you did for us in arranging such good care for our dear dad this year.' – **Preventative & Assessment**

A family member expresses her thanks for their relative who the local authority is responsible for looking after their finances - 'I'm so grateful that he has your help, the daily carers and more. It is a weight off our minds in that respect. The worry never fully goes away....' – **Client Finance**

A sister writes to a residential/nursing home 'Thank you so much for your caring ways regarding my sister; I do not feel any concern for her peace with you all.; - **The Oaks**



A provider writes about a social worker who has given 'so much support to help all the new service users settle into a facility. I understand social workers role to ensure our service users are safe and happy. I really do feel ... this time has gone beyond her duty, has always put time aside to assist me with matters in which I am unsure, ...manner always remains calm and professional even increased frustrating situations; ... cares about her role and her duty and is genuinely always looking out our service users best interest, which I'm sure our service users know and understand as they all truly respect and love .... I felt .... hard work and efforts should be noted as she has helped us improve our service giving us constructive input when necessary, which has helped us to improve the quality of our service for our service users.' – **Learning Disability**

A son writes – 'Thank you for your time yesterday and for your help with how my mum's care would be financed. You certainly resolved some of my misconceptions!' – **Financial Assessment & Benefit Team**

A daughter writes - thanking for the help to get her dad in a care home – 'you have been so helpful and friendly, but always very professional, always there to answer my numerous questions when no one else was, I don't know where we would have been without you. – **Brokerage**

Alzheimer's Society writes – thank you for your time and care in receiving Councillor A this week. I know he really enjoyed both aspects of the visit and no doubt he will refer to the brilliant work you are doing in the future on the Prime Minister's Challenge Group on Dementia steering group. Thank you very much for your time and effort. It is much appreciated. – **Commissioning (Dementia Liaison Officer)**

## **7 Members Enquiries**

The number of member enquiries has increased in 2016/17 to 91 compared to 56 in 2015/16, with 71% (64) responded to within timescale. The Complaints & Information Team is working closely with the Head of Service who has taken responsibility for ensuring responses are done in a timely manner and from March 2017 this had already shown signs of improving with 100% being responded to, although this may fluctuate throughout the year.

## **8 Conclusion**

Complaints are used by senior management to highlight areas of concern and identify improvements in processes, information or communication required. This has continued to be a very useful management information resource. Also compliments highlight good practice within teams and are positive feedback for staff.

During 2016/17 Adult Social Care did go through changes within social work teams, with the move to localities, and this has impacted on the number of complaints relating to level of service for those teams that were affected. Steps need to be taken to ensure that staff are able to provide the level of service that is expected at times of disruption as far as possible.

There has been quite a significant increase in the number of complaints received in 2016/17 and efforts by the Complaints & Information Team to work with the service areas should improve, following a restructure of the team to help meet the increased demands.

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## 9 Complaints Action Plan

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
Information about financial assessment process and potential client contribution reportedly not properly conveyed	<ul style="list-style-type: none"> <li>Improved recording of information given on financial assessment and charges</li> </ul>	<ul style="list-style-type: none"> <li>Financial assessment case note implemented in 2016/17.</li> <li>Forms introduced to be signed by service user/financial representative (JAD only)</li> <li>Compliance with completion monitored by:               <ul style="list-style-type: none"> <li>Monthly performance reporting</li> <li>1-1 supervision</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>All</li> </ul>	Ongoing	Case note to continue to be used to record information on advice and guidance given, including date. Ensure form signed by service user. Senior management to meet with individuals where case note recording identified as an ongoing concern.
Incorrect or lack of information about adult social care more generally leading to complaints about level of service / incorrect information	<ul style="list-style-type: none"> <li>Relocation of staff teams to NELFT sites</li> </ul>	<ul style="list-style-type: none"> <li>Locality model under review</li> <li>New arrangements at adult social care 'front door' being planned, with strengthened information and advice provision planned at first point of contact.</li> </ul>	<ul style="list-style-type: none"> <li>Head of Integrated Care</li> <li>Head of Joint Commissioning Unit</li> </ul>	March 2019  April 2018	Redesigned locality model to include other Council departments and external agencies on virtual or co-located basis.
Percentage of complaints responded to within timescales has declined	<ul style="list-style-type: none"> <li>Response times require improvement</li> </ul>	<ul style="list-style-type: none"> <li>Complaints involving other NHS agencies – adult social care element to be responded to within 20 days. Noted that NHS timescales for response are longer than 20 days.</li> <li>Commissioning to support Complaints Team in getting information from external social care providers back within timescale</li> </ul>	<ul style="list-style-type: none"> <li>All</li> <li>Head of Integrated Care</li> <li>Head of Joint Commissioning Unit</li> </ul>	Ongoing	Quarterly presentation to senior management team on complaints performance.  Head of Integrated Care reviews all members enquiries weekly to ensure response within timescale..
Quality and level of service received		<ul style="list-style-type: none"> <li>Proactive work with providers via Quality and Safeguarding Team</li> </ul>	<ul style="list-style-type: none"> <li>Head of Joint Commissioning</li> </ul>	Ongoing	Engagement with care home providers:

DRAFT ADULT SOCIAL CARE ANNUAL REPORT 2016 -2017

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
from commissioned providers continue to be affected by recruitment and retention		work and provider forums to identify issues and support resolution, including supporting sustainability of market. <ul style="list-style-type: none"> <li>• Overview &amp; Scrutiny Individuals sub-committee Topic Group established to examine recruitment and retention issues affecting home care workers</li> </ul>	Unit. <ul style="list-style-type: none"> <li>• O&amp;S Individuals Subcommittee</li> </ul>	November 2017 to March 2018	“Working with Care Homes to Understand Costs”  Topic Group recommendations to be considered when available.
Home care charges need to be ratified	<ul style="list-style-type: none"> <li>• Confidence that invoices reflect actual delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Brokerage to ensure that invoices provide evidence of actual service delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Brokerage Team</li> </ul>	Ongoing	New Active Homecare Framework established January 2017. Improved use of CM2000 by providers on the framework

**ADJUDICATION & REVIEW COMMITTEE - 20  
FEBRUARY 2018**

<b>Subject Heading:</b>	Children’s Services Complaints Annual Complaints Report 2016/17
<b>SLT Lead:</b>	Tim Aldridge
<b>Report Author and contact details:</b>	Veronica Webb, Complaints & Information Team Manager, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	An annual report is required as part of the remit of the Children Act 1989 Representations Procedure (England) Regulations 2006’
<b>Financial summary:</b>	There are no financial implications

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

Communities making Havering	X
Places making Havering	[]
Opportunities making Havering	[]
Connections making Havering	[]

**SUMMARY**

This report is for information and refers to the reports presented to Children & Learning Overview & Scrutiny Committee on 28 November 2017.

**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



## CHILDREN & LEARNING OVERVIEW & SCRUTINY COMMITTEE – 28 NOVEMBER 2017

**Subject Heading:**

Children's Services Annual Complaints  
Report 2016-17

**SLT Lead:**

Tim Aldridge

**Report Author and contact details:**

Veronica Webb, 01708 432589  
[Veronica.webb@havering.gov.uk](mailto:Veronica.webb@havering.gov.uk)

**Policy context:**

An annual report is required as part of the  
remit of the Children Act 1989  
Representations Procedure (England)  
Regulations 2006'

**Financial summary:**

There are no financial implications as this  
report is for information purposes and is  
required as part of the statutory  
complaints regulations

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

Communities making Havering	<input checked="" type="checkbox"/>
Places making Havering	<input type="checkbox"/>
Opportunities making Havering	<input type="checkbox"/>
Connections making Havering	<input type="checkbox"/>

**SUMMARY**

The Children's Services Complaints Annual report for 2016/17, attached as Appendix 1 provides information about the numbers and types of complaints handled by the Children's Service during 2016/17, 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 and enable young people to engage with the complaints process.
2. That Members note the recommendations identified from complaints and continued monitoring of these to ensure that actions are implemented to evidence service improvements.
3. That Members note the positive feedback to services received through compliments, highlighting good practice.

**REPORT DETAIL**

4. Children's Services have made changes in its structure to strengthen its overall functioning and performance over the course of the last 18 months. In addition, the focus of the Service. The focus of social care activity is implementing a systemic family therapy approach which includes professionals spending more "face to face" time with children and families and working in partnership 'with' and not doing 'to' service users. The introduction of this approach, is intended to deliver increasing opportunities for intensive direct work with children, young people and families who access a wide range of services including Early Help (including Edge of Care), Child in Need, Looked After Children or Child Protection.
5. Although Ombudsman enquiries have increased from five in 2015/16 to six in 2016/17, there was one decision for maladministration injustice relating to SEN support, falling within the Children & Adults Disabilities Team coming under the responsibility of the Director of Children's Services.
6. Complaints increased from 74 in 2015/16 to 92 in 2016/17, with 15 of these complaints coming directly from young people, using the MOMO app. One Stage 1 complaint progressed to Stage 2 with no complaints progressing to Stage 3. Enquiries that fall outside the statutory process, has more than doubled in 2016/17.
7. Changes within the structure of Children's Services are designed to support and actively promote the systemic approach and direction of the service. The former configuration of an under 12's team, which now falls under the Intervention & Support Service, saw complaints more than double from 25 in 2015/16 to 52 in 2016/17. The structural change could have been a contributory factor to the increase, although referrals leading to assessments had increased by 13% from 1,937 to 2,194 and also those looked after increased on average by 5%.



8. However, the main reasons for complaint were in relation to level of service, lack of communication and behaviour of staff, although it should be noted that level of service and behaviour of staff have more than halved from 28 to 13 and from 25 to 11 respectively. As in previous years, complaints relating to behaviour resulted from interventions by social workers following concerns raised about a child(ren).
9. Explanation and information provided were the main outcomes arising from complaints. Children's Services has taken steps to provide information leaflets explaining the process for children and young people on child protection or being looked after. Continued efforts around clear information for parents/carers to give them a clear understanding of the duties and responsibilities of social workers when they intervene are still needed. However face to face complaint meetings have played a part in providing parents/carers with better understanding of why certain actions are taken.
10. In addition, it is clear that a significant improvement in the recruitment and retention of permanent social work staff over the past 12 months (from 40% to 70% permanent workforce) has minimised changes in allocated social workers, which is often a significant contributory factor to dissatisfaction levels
11. The use of the Mind Of My Own (MOMO) participation app by young people is increasing and it is encouraging that young people are using the app to raise their concerns, although email or telephone were alternative methods also used to make their complaints. The main theme was lack of support/advice for those leaving care and in particular the early part of 2016/17 related to the transfer of savings on turning 18. Children's Services acted quickly by identifying those that were soon to be 18 and taking responsibility for ensuring savings were paid.
12. Response times had not improved as anticipated, with the increase in numbers and complexity. The Complaints & Information Team is working with Children's Services to review processes to improve response times.
13. Expenditure incurred for 2016/17 was £9,432 resulting from the Stage 2 investigation, due to the complexity and length of the investigation undertaken.
14. The preferred method of contact during 2016/17 was by email (33), although this was slightly down from 2015/16 (35), with those using the telephone more than doubling from 11 in 2015/16 to 28 in 2016/17. Online complaints more than doubled in 2016/17 which includes those complaints received via the MOMO app.
15. There was an increase across complaints received for children 0-5 years and 18-24 years. Children on a Child in Need Plan under the age of one almost doubled with an average of 12 in 2015/16 to an average of 22 in

201/617, which may have contributed to the increase in this age group. Complaints regarding savings may have contributed to the increase in those aged 18-24. Information regarding disability shows a high number unknown and CYPS will need to explore the reasons for this. There were increases shown across White British, Mixed White & Asian and Mixed White & Black.

16. Member enquires almost trebled in 2016/17 with 75% being responded to within timescale.
17. Compliments have decreased from 35 in 2015/16 to 16 in 2016/17. The Complaints & Information Team will need to remind and encourage staff to send this to the team for recording.
18. There is a continued trend of increased complaints, member enquires and general enquires for Children's Services which has impacted on response times. Children's Services continue to use complaints as an important feedback resource and enabling young people to play a more active part in developing the service.

## **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. It should be noted however that any material increase in investigations following on from complaints could result in additional costs to the authority, which is being managed as part of the overall financial management responsibilities of the service.

### **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.

**BACKGROUND PAPERS**

There are no background papers

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## APPENDIX 1

# Children's Services

# Annual Report 2016 – 2017 Complaints and Compliments

**Prepared for: Tim Aldridge,  
Director Children's Services**

**Prepared by: Veronica Webb,  
Complaints & Information Team Manager**

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## **1. Executive Summary**

Complaints to Children's Services have increased gradually over the last few years, which is reflective of the increased activity by way of referrals to Children's Services.

Furthermore, Children's Services have made significant changes not only in structure but also its direction in providing a systemic family therapy approach across the Service, with training workshops being offered to all staff within the Service during 2016/17. The introduction of this approach, is intended to deliver increasing opportunities for intensive direct work with children, young people and families who access a wide range of services including Early Help (including Edge of Care), Child in Need, Looked After Children or on Child Protection.

Emerging changes to the structure, management and practice model appear to have influenced an increase in young people raising concerns and making complaints. Although still relatively low, this constitutes encouraging progress. With the implementation of the Advocacy Service and the introduction of the Mind Of My Own (MOMO) electronic participation app, it is hoped that this will continue to encourage children and young people to actively engage and feel confident and supported to work with social care staff and other key colleagues to resolve barriers.

The 2 year Face to Face Pathways innovation programme funded by the Department for Education will provide the Local Authority with a wide range of co-produced activity with young people to actively promote feedback loops from individuals and groups. The focus of this programme is to improve outcomes for young people in care aged 11-17, as well as those leaving care aged 14-24. By cultivating a supportive care system that allows us to spend more "face to face" time with children and families and working 'with' and not doing 'to' service users we plan to foster increasingly open lines of communication.

## **2. Introduction**

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 follows:

### **Stage 1 – Local Resolution**

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 Complaint & Information 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.



### 3. Complaints Received

#### 3.1 Ombudsman referrals

Although there has been an increase in the number of LGO enquiries, it should be noted that three referred to the LGO were outside their jurisdiction. Maladministration and injustice was found in relation to special needs. This has been included within this report as Children and Adults with Disabilities Team transferred back under the responsibility of the Director of Children's Services.

	Apr16- Mar17	Apr15- Mar16	Apr14- Mar15
Maladministration (no injustice)			
Maladministration & Injustice	1	1	
No maladministration after investigation			
Ombudsman discretion			
Investigation with Local settlement			
Outside Jurisdiction	3		
Investigation Discontinued			
Premature/Informal enquiries	2	4	3
<b>Total</b>	<b>6</b>	<b>5</b>	<b>3</b>

#### 3.2 Total number of complaints

	Enquiries	Stage 1	Stage 1 escalated to Stage 2
2016/17	43	92	1
2015/16	20	74	
2014/15	27	70	1
2013/14	36	42	5

There has been an increase of 20% in complaints in 2016/17 compared to 2015/16. Of the 92 complaints received 15 (16%) of these were directly from young people. Continued efforts are being made to encourage complaints directly from young people and the introduction of the MOMO app is working towards this.

Enquiries do not form part of the statutory process and therefore these figures are not included further in this report. However enquiries increased significantly and more than doubled in 2016/17 compared to 2015/16.

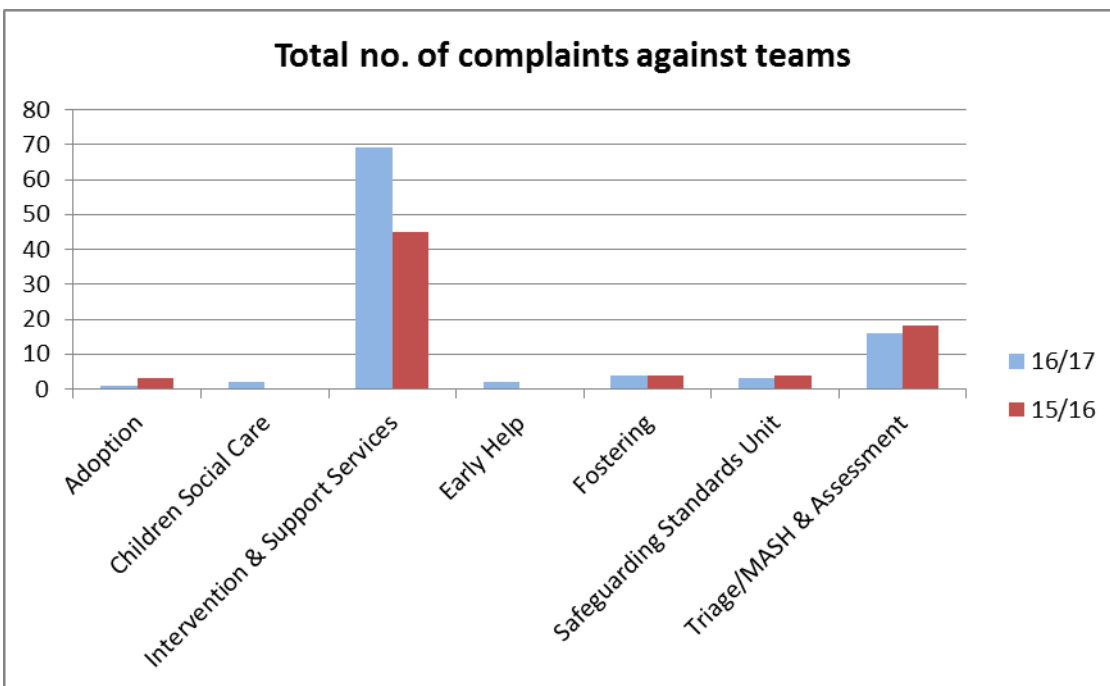
#### 3.3 Stages

Stage 1 complaints increased by 20% in 2016/17 with 92 received in 2016/17 compared to 74 in 2015/16, with one Stage 1 complaint progressing to Stage 2. In 2016/17 four requests to progress to Stage 2 were not progressed as these did not reflect young persons' wishes. A continued trend over the last few years has shown that complaints have not progressed to Stage 3 with no Stage 3 complaints in 2016/17.

### 3.4 Teams

A restructure within Children’s Services resulted in a number of teams merging and changing to reflect the direction as the Service adapted to a more systemic family approach. Team names are therefore not reflective of the current Children’s Services Structure. Comparisons are shown where possible below.

The Children’s Social Work under 12s showed a significant increase from 25 in 2015/16 to 52 in 2016/17 more than double. Under the restructure this area falls within the Intervention and Support Services. Although the number of children looked after in the borough increased on average by 5% in 2016/17(228 to 239) and those on child protection plan decreased slightly on average from 290 in 2015/16 to 285 in 2016/17, the number of referrals to Children’s Services that led to assessments increased by 13% (1,937to 2,194) in 2016/17.

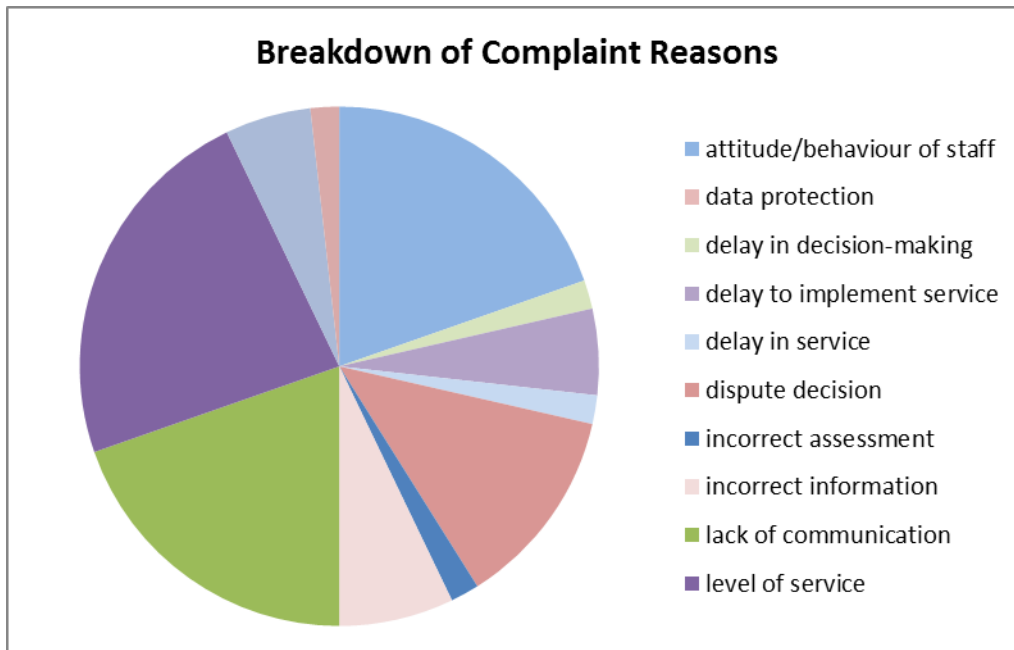


Column1	Adoption	Children Social Care	Intervention & Support Services	Early Help	Fostering	Safeguarding & Service Standards Unit	Triage/ MASH & Assessment
16/17	1	2	69	2	4	3	16
15/16	3		45		4	4	18

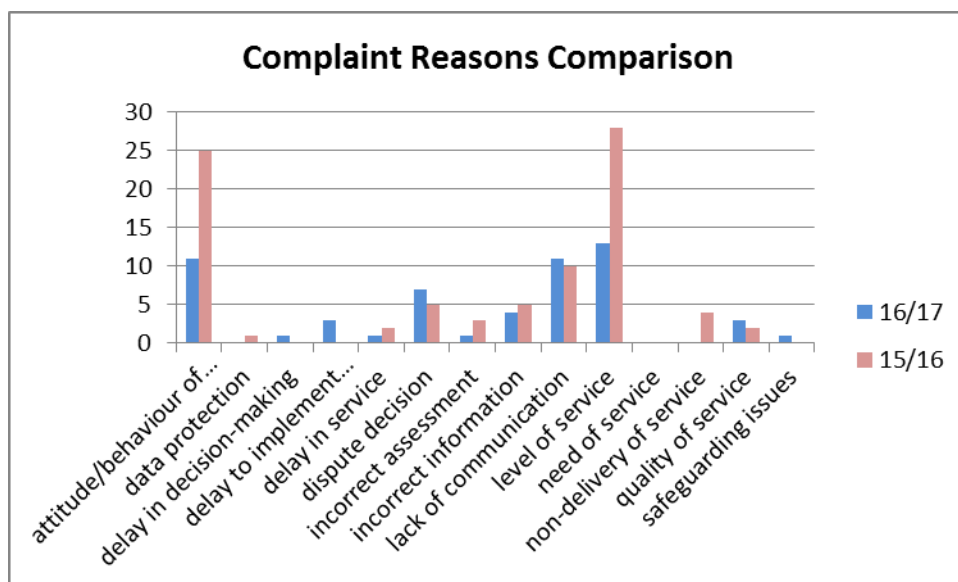
### 3.5 Reasons

The breakdown of complaint reasons below shows ‘level of service’, ‘lack of communication’ and ‘behaviour of staff are the main reasons for complaint. Complaints regarding behaviour of staff covered issues around lateness for meetings, insufficient or late information, decisions made on cases, communication and lack of financial support. This is also linked to

the unwelcomed intervention by Children’s Services and social workers that have a duty to carry out initial enquiries following concerns raised about a child(ren). Some of these complaints were parents who were angry about what they perceived as bias towards one parent to another particularly where they are estranged, or grandparents who did not agree with the decisions regarding their grandchildren.



There has been a decrease in the number of complaints regarding behaviour of staff, and this is due to the scrutiny of recording practices, to ensure that the reason is correctly reflected. It does still remain one of the main reasons for complaints, and is still linked to the unwelcomed intervention by Children’s Services rather than staff’s behaviour.



### 3.6 Outcomes & Learning

The highest outcomes were ‘explanation or information provided’ which again shows that clarity is needed when intervention by Children’s Services occurs. It is always a very emotive time for those going through a process where a child is taken into care or there is a child protection process to be followed. The Service has taken positive steps in providing clear

information leaflets for children/young people on child protection and being a looked after child, which explains these processes. Continued efforts needs to be taken to ensure parents/carers also have a clear understanding of the duty and responsibility of social workers when they do intervene. With this in mind, there has been a steady increase in complaint meetings with parents/carers which has proven successful and provided helpful feedback for managers, but also more importantly a better understanding for the parent/carer of why a certain course of action is required.

Of those complaints received, 40 of the 92 (43%) were not upheld and 37 (40%) were upheld. Of the remaining 17% complaints were either withdrawn, no action/no further action was required.

It should be noted that there can be more than one outcome resulting from a complaint, which is shown in the table below.

Changes to assessment	Change to Practice	Complaint withdrawn	Explanation & Apology given	Explanation given	Financial assessment/award	Information provided	No further action required
2	1	8	27	48	2	48	2

### 3.6.1 General Themes and Trends 2016/17

Complaints during 2016/17 showed that the number of young people that are making complaints directly has increased since the previous year. The use of the MOMO app is taking effect, although there are a number of young people that have made their complaints by email or by telephone. The general themes around young people’s complaints are lack of support/advice for those leaving care. In the early part of the year complaints were about young people’s savings on turning 18. The Service acted quickly to alleviate further complaints and distress for young people by adjusting the protocol for the management of savings and taking proactive action to resolve and/or prevent anticipated difficulties in this area.

There is a continued theme regarding communication between workers and families, where they are not always provided with adequate notice for changed arrangements for meetings, and in particular notification regarding changes of social worker. Structural changes to the service and significant improvement with the recruitment and retention of permanent staff over the past 12 months (from 40% to 70% permanent workforce) has minimised changes in allocated social workers, which is often a significant contributory factory to dissatisfaction levels.

Regular meetings held between complainants and the Service continued to be more successful and helpful to the complainants and provides them with a platform to be heard and also better understand the reasons for intervention. This will continue to be factored into Service planning..

### 3.7 Response times

Response times have not improved as hoped, however there is a continuation of increased numbers and complexity to complaints, with more time being spent on ensuring responses are appropriate and addressing all the issues so that complaints are resolved more effectively. The recent Complaints & Information Team restructure will hopefully lead to a strengthening of the complaints functions to reflect the increasing demands. Continued efforts are being made to review processes along with Children's Services to improve response times.

	Within 10 days		11-20 days		Over 20 days		Withdrawn	
	Apr 16 Mar17	Apr 15 Mar16	Apr16 Mar17	Apr 15 Mar 16	Apr16 Mar17	Apr 15 Mar 16	Apr16 – Mar 17	Apr15- Mar 16
<b>Stage 1</b>	21	25	30	25	41	23	8	2
<b>%</b>	23	34	33	34	45	32		

#### 4. Expenditure

Expenditure was incurred for 2016/17 which related to one Stage 2 complaint. The resultant costs were due to the increased rates in appointing independent people, along with the complexity and length of the investigation that was undertaken.

	Publicity/ leaflets	Independent investigators	Total
Apr 2016 – Mar 2017		£9,432.00	£9,432.00
Apr 2015 – Mar 2016		£2,614.20	£2,614.20

#### 5. How Complaints were received

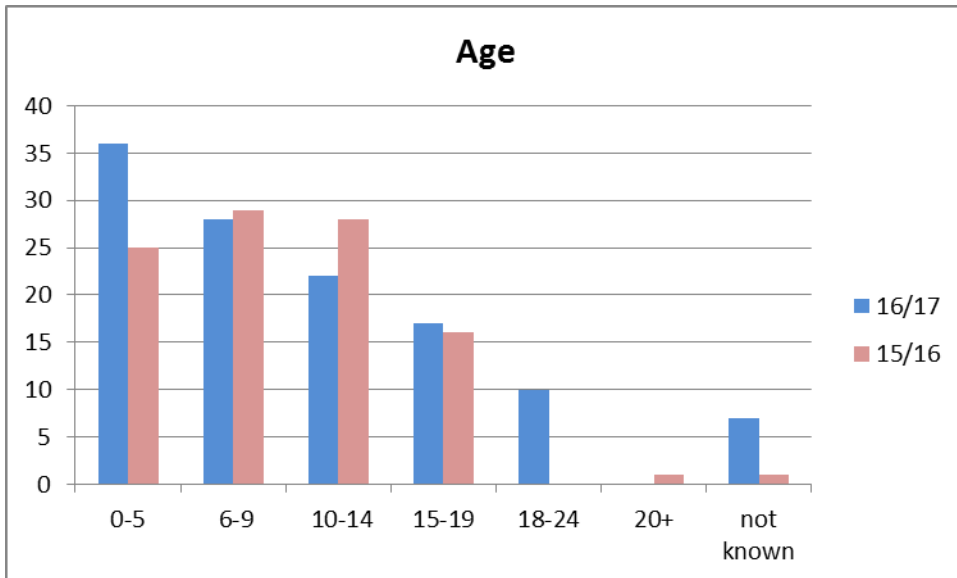
Complainants preference has continued to be either by email or by telephone contact and in particular telephone contact has increased more than double in 2016/17 compared to the previous year. It should also be noted that there has been an increase in complainants using the online facility, however four of these were via the MOMO app which enabled young people to make complaints directly.

	Letter	E-mail	Complaint Form	Telephone	In Person	Online
2016/17	16	33	4	28	1	9
2015/16	21	35		11	2	4

#### 6. Monitoring Information

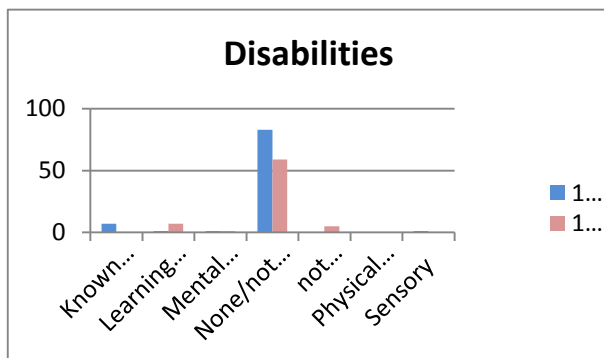
##### 6.1 Age

The number of complaints involving children aged 0-5 increased in 2016/17 compared to 2015/16. Children's Services had an increase in the number of children on a Child in Need (CIN) Plan in 2016/17 with an average of 321 compared to an average of 267 in 2015/16. The number of children on CIN Plan under the age of 1 was almost double with an average of 12 in 2015/16 compared to an average of 22 in 2016/17, which may have contributed to the increase in age 0-5. As age categories differ i.e. age range 15 – 24 within this report there is an overlap, however this will need to be looked at for future reports.



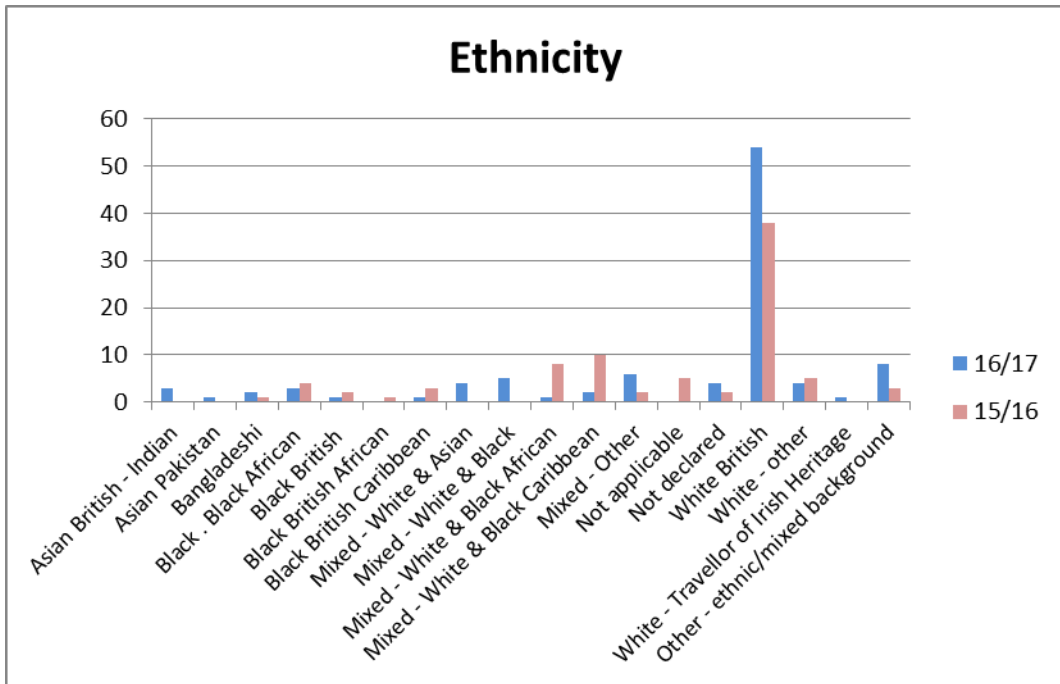
## 6.2 Disability

It has not been possible to be clear on those that either do not have a disability or it is not known. However there were seven with a 'known disability', a decrease in those with a learning disability from seven in 2015/6 to one in 2016/17 and one with a sensory disability in 2016/17. Ways in which disability information is captured will need to be explored further.



## 6.3 Ethnicity

There was an increase across some ethnic backgrounds, such as 'White British'; and particularly across 'other mixed ethnic backgrounds', 'mixed White & Asian' and 'mixed White & Black'. It is encouraging that differing ethnic backgrounds have accessed the complaints process.



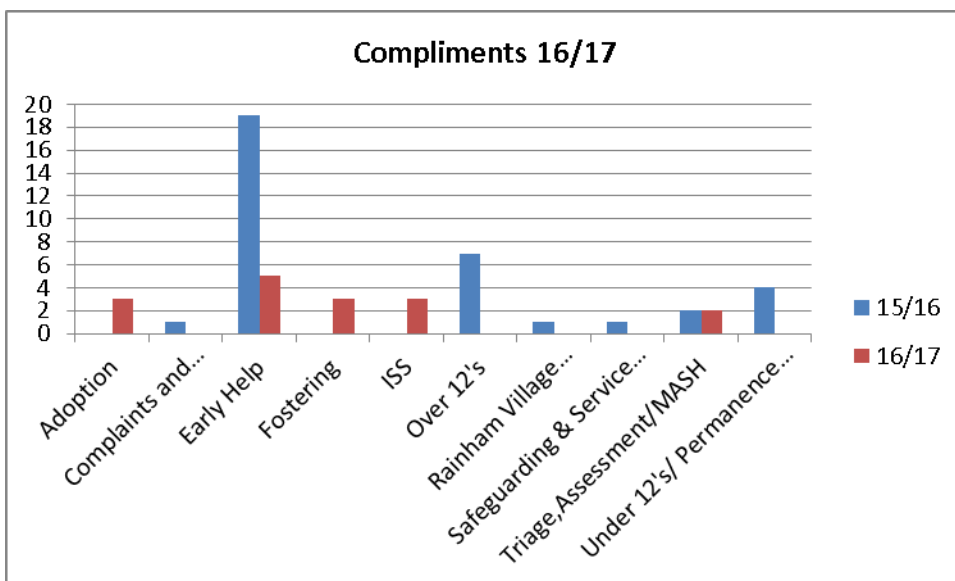
## 7. Members Correspondence

Members' enquiries have almost trebled in 2016/17 compared to 2015/16 with 75% being responded to within timescale.

	2016/17	2015/16
Members Correspondence	61	24

## 8. Compliments

The number of compliments received has decreased in 2016/17 to 16 compared to 35 in 2015/16. With changes in the Children's Services structure the Complaints and Information Team will need to ensure that teams are aware and reminded that compliments should be forwarded to the team to be logged.



Some examples of compliments received are shown below:

An expat living abroad wrote in about the social worker assigned to her, although did not remember her name 'I was horrible to her at the beginning but she stuck with me through thick and thin. On one of the most terrible days of my life she was with me and cried with me as I signed away the rights to my daughter. I would like to thank her for her kindness ...' –

**Adoption**

A young person sends a thank you card saying 'thank you for being there to listen and help me and my mum. With your help you showed us many support places which will benefit us.'

**- Early Help**

A foster carer thanks the service and writes how happy and proud to have been able to know and able to share our lives with so many young people.' – **Fostering**

Parents write to the manager who investigated their complaint thanking her 'for the thorough response to our complaint. We very much appreciate the time taken to fully investigate the situation. We also appreciate the understanding shown and the apologies that were given for all the matters that were raised.' – **Intervention & Support**

A mother writes to a social worker 'thank you for the sensitive way in which you handled speaking to our boys and for the advice and support you offered.'

**Triage/MASH & Assessment**

## **9. Conclusion**

Complaints have continued to rise with a 20% increase in 2016/17. Although enquiries are not included within the figures in the main report, it should be noted that with the increase of enquiries, which more than doubled in 2016/17, and also member enquiries, which tripled in 2016/17, this has impacted on response times and the demands on the Service.

There is still a need for complaints to be embedded in terms of service improvements and this will come with time as the Service settles into its new structure.

The increase in the number of young people making complaints is also encouraging and it is hoped that this will increase year on year as young people feel confident in making a complaint.

Communication between social workers and families still remains a main theme of complaints and this should improve with the move towards a more stable workforce and with the range of training offered to social workers by the Service.

Complaints continue to be a useful information tool and should be used to inform the Service in identifying areas for improvement, whilst also recognising through compliments good practice by the Service.



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## 10. Complaints Action Plan

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
S20 – parents not clear about process and implications	clear explanation/ information on possible implications needs to be given at early stage	<ul style="list-style-type: none"> <li>• Social workers to be reminded to provide concise and clear information.</li> <li>• Managers to ensure that communication is addressed through the PDR process.</li> </ul>	Triage/MASH & Assessment	On-going	Child focussed leaflet was produced explaining the process for looked after children and launched on 3 April 2017,
S47 – parents not given sufficient information about process	<ul style="list-style-type: none"> <li>• Determination of S47 needs to be consistent.</li> <li>• Clear explanation/ information about process</li> </ul>	<ul style="list-style-type: none"> <li>• Process already in place that two senior managers sign off S47s.</li> <li>• Social workers to give clear and concise information about process</li> </ul>	Triage/MASH & Assessment	On-going	Children focussed leaflets were produced on s47, and Looked after Children (LAC) to explain the process and were launched on 3 April 2017
Important information is not always recorded appropriately 78	<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>	<ul style="list-style-type: none"> <li>• Work is already being undertaken to look at improved recording across the service.</li> <li>• Assessments to identify clearly fact from opinion and identify the source of the information.</li> </ul>	All	On-going	Managers continue to carry out case file audits to ensure recording is appropriate.
Better communication around contact arrangements and case progression	<ul style="list-style-type: none"> <li>• Communication around changes in contact with families.</li> <li>• Communication gap when social worker leaves.</li> </ul>	<ul style="list-style-type: none"> <li>• To explore better communication re contact arrangements and case progression</li> </ul>	All	On-going	A further restructure of teams took place in 2016-17 to assist in improving practice overall. Staff retention remains an issue but it is improving and ensuring better communication with families and better handovers is being addressed in supervision and through the Council's Personal Development Review (PDR) process.

**ADJUDICATION & REVIEW COMMITTEE - 20  
FEBRUARY 2018**

<b>Subject Heading:</b>	Learning & Achievement Complaints Annual Complaints Report 2016/17
<b>SLT Lead:</b>	Tim Aldridge
<b>Report Author and contact details:</b>	Veronica Webb, Complaints & Information Team Manager, Mercury House, Mercury Gardens Romford RM1 3SL Telephone: 01708 433589
<b>Policy context:</b>	This report is for information purposes only.
<b>Financial summary:</b>	There are no financial implications

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

Communities making Havering	X
Places making Havering	[]
Opportunities making Havering	[]
Connections making Havering	[]

**SUMMARY**

This report is for information and refers to the reports presented to Children & Learning Overview & Scrutiny Committee on 28 November 2017.

**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



## CHILDREN & LEARNING OVERVIEW & SCRUTINY COMMITTEE – 28 NOVEMBER 2017

<b>Subject Heading:</b>	Learning & Achievement (now Education Services) Annual Complaints Report 2016-17
<b>SLT Lead:</b>	Trevor Cook
<b>Report Author and contact details:</b>	Veronica Webb, 01708 432589 <a href="mailto:Veronica.webb@havering.gov.uk">Veronica.webb@havering.gov.uk</a>
<b>Policy context:</b>	This report is for information purposes only.
<b>Financial summary:</b>	There are no financial implications as this report is for information purposes.

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

Communities making Havering	<input checked="" type="checkbox"/>
Places making Havering	<input type="checkbox"/>
Opportunities making Havering	<input type="checkbox"/>
Connections making Havering	<input type="checkbox"/>

### SUMMARY

1. The Education Services report attached as Appendix 1 provides information on the complaints received during 2016/17. 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. Education Services went through structural changes in 2016/17 resulting in senior management and team changes.
4. There was one Ombudsman enquiry in 2016/17, which did not progress to investigation, decreased from 3 in 2015/16. The number of complaints also decreased from 31 in 2015/16 to 18 in 2016/17. The school expansion programme resulted in the high number of complaints for Education Provision and Commissioning Service, however this dropped significantly for this area in 2016/17 from 7 to 1. Children & Adults with Disabilities Team complaints have almost halved. The number of complaints for Education & Inclusion remained at the same level as in 2015/16.
5. The main reasons for complaint were related to quality and reliability, late delivery or slow service and availability of the service. This referred to delays in completing EHC Plans and implementing provision, placements at special units and general concerns about schools in particular penalty charges for non-attendance.
6. Complaints that were directed to either the relevant school or college were mainly related to level of service which covered concerns by parents on how a school dealt with a particular issue or parents disputing exclusion of their child.
7. Of the complaints received 13 were upheld and 5 being partially upheld.
8. Complaints responded to within timescale was slightly down from 97% in 2015/16 to 72% in 2016/17, which could have been attributed to the structure changes during the year.
9. Member enquiries decreased slightly from 54 in 2015/16 to 49 in 2016/17 with 84% being responded to within timescale, compared to 93% in 2015/16.
10. Email is the preferred method of contact, although this has dropped from last year. The use of online forms has increased slightly from 2 in 2015/16 to 3 in 2016/17.
11. Compliments have decreased from 23 in 2015/16 to 16 in 2016/17. Examples of some compliments are provided in Appendix 1. The Complaints & Information Team will need to remind and encourage staff in the Service to send compliments to the team for recording.
12. Education Services continue to use complaints as a feedback resource for learning and the collection of complaints data relating to schools is to be encouraged to identify particular themes arising within schools. Structure changes have had an impact on response times, however as the Service stabilises this should see a return to the high response rates seen in previous years.

13.  
**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. It should be noted however that any material increase in investigations following on from complaints could result in additional costs to the authority, which is being managed as part of the overall financial management responsibilities of the service.

**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

**BACKGROUND PAPERS**

There are no background papers





## APPENDIX 1

# Children's Services - Education Services

## Annual Report 2016 – 2017 Complaints and Compliments

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Acting Assistant Director for Education Services**

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Complaints & Information Team Manager**

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## Executive Summary

Education Services (previously Learning and Achievement) went through structural changes during 2016/17, resulting in changing senior management arrangements, and the restructuring of some teams. This has impacted on the high rate of response which has shown a slight decrease, not only across complaints, but also member enquiries.

The reduction in the number of complaints also shows that when major changes occur, as in 2015/16 with the school expansion programme and the embedding of the new SEND process, this does reflect on the number of complaints received.

It is important for Education Services to continue to encourage staff to report compliments received, as this has also shown a slight decrease from the previous year.

### 1. Ombudsman referrals

There was one Ombudsman enquiry for 2016/17, which was closed after initial enquiries.

	Apr 16 Mar 17	Apr 15 Mar16	Apr14- Mar15
Closed after initial enquiries no further action	1		
Maladministration			1
No investigation		1	
No maladministration after investigation			
Ombudsman discretion			
Investigation with Local settlement			
Outside Jurisdiction			1
Investigation Discontinued			
Premature/Informal enquiries		2	2
<b>Total</b>	<b>1</b>	<b>3</b>	<b>4</b>

### 2. Total number of complaints

The number of complaints has decreased by 40% for 2016/17 from 31 in 2015/16 to 18. As identified in 2015/16's annual report, the high level of corporate complaints in that year was due to the school expansion programme, which included some controversial proposals.

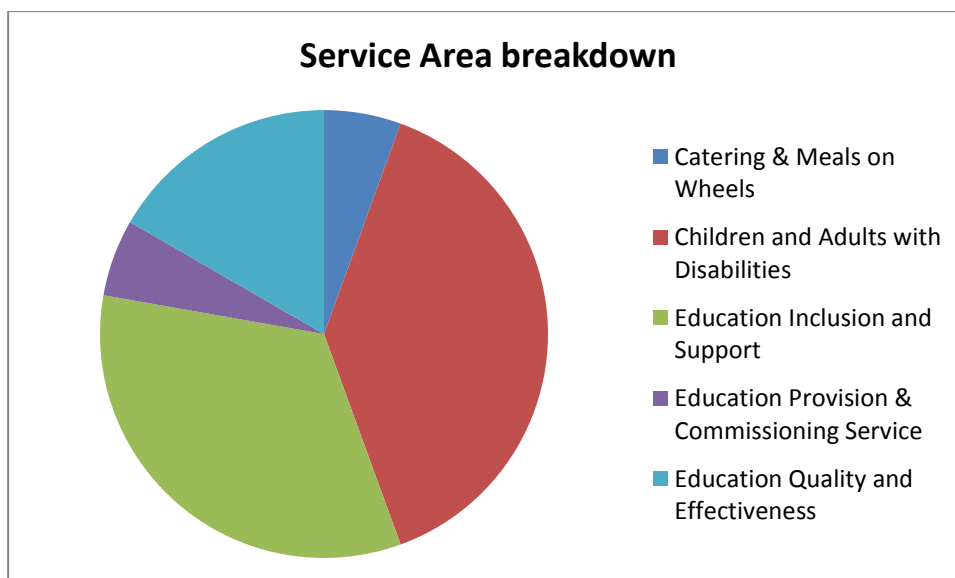
The number of enquiries shown below has increased in 2016/17 to 42 compared to 35 in 2015/16. These relate to complaints received through the local authority relating to schools, which are redirected to be taken through the appropriate school or college complaints procedure. This data is captured to identify the type of complaints that are being made about school and college provision.

	Corporate Complaint	Enquiry	Total
<b>2016/17</b>	<b>18</b>	<b>42</b>	<b>60</b>
<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>

## 2.1 Service Areas

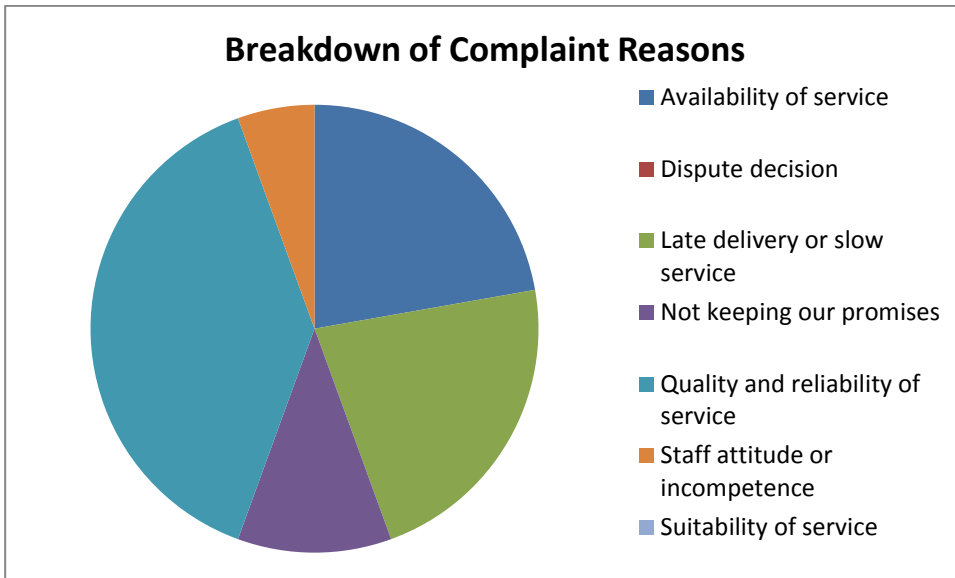
The Children and Adults with Disabilities Team (CAD) had the highest number of complaints in 2016/17 relating to EHCP Plans and SEN provision. However, the total number of complaints for CAD has almost halved compared to the previous year, from 13 in 2015/16 to 7 in 2016/17. This could be reflective of the structure changes being embedded in the service. Education Inclusion and Support had the next highest number of complaints (6) for 2016/17 relating to attendance and alternative provisions. Complaints received for Education Quality and Effectiveness Service were mainly general concerns regarding a school or college.

	Catering & Meals on Wheels	Children and Adults with Disabilities	Education Inclusion and Support	Education Provision & Commissioning Service	Education Quality and Effectiveness
16/17	1	7	6	1	3
15/16	2	13	6	7	3

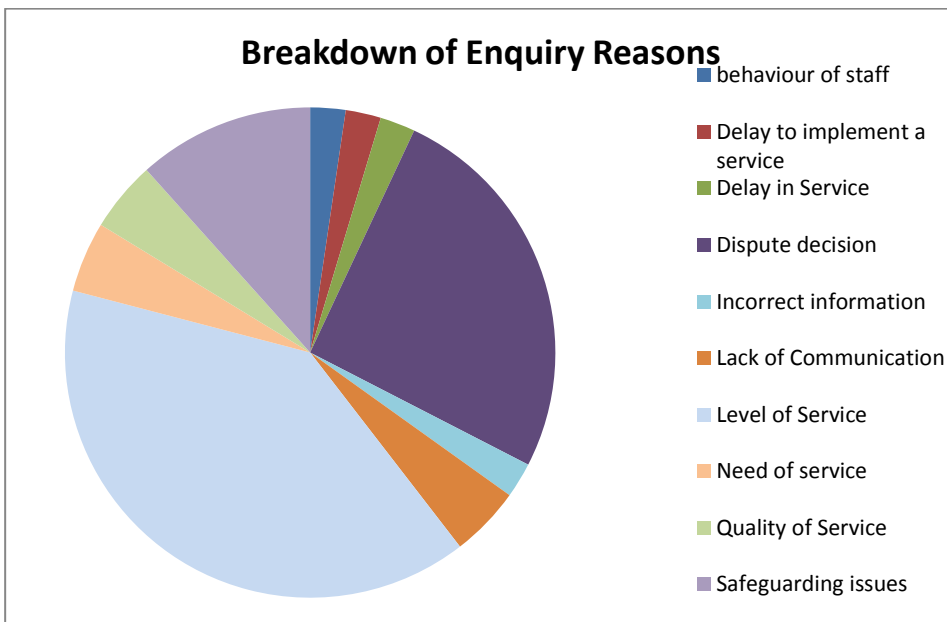


## 2.2 Reasons

The main reasons for complaints are related to the 'quality and reliability of the service', 'late delivery or slow service' and 'availability of service'. The main concerns centred on Educational, Health & Care Plans (EHCP), and in particular the delays in completing EHCPs and actioning provision identified. Placements at special units/schools, general concerns about a school or college, in particular penalty charges incurred for non-attendance, and the withdrawal of funding from a nursery were the type of complaints received.



Below shows the breakdown of the reasons of enquiries referred to either schools or colleges. The highest number of enquiries related to 'level of service' mainly covering concerns from parents on the way they felt their child was treated in school, or how a school dealt with a particular issue. The next highest was 'dispute decision' which included parents disputing the exclusion of their child or attendance resulting in penalty fines.



## 2.3 Outcome

The majority of complaints, 13, were not upheld of those recorded for 2016/17, with 5 complaints being partially upheld.

## 2.4 Response times

There were 18 Corporate complaints received during 2016/17, in which 13 (72%) were responded to within timescale, down from 97% in 2015/16. This could be attributed to the structure changes within Education Services during the year.

	Within 15 days		Outside of timescale	
	Apr 16- Mar 17	Apr15- Mar16	Apr 16- Mar 17	Apr15 – Mar16
Corporate Complaints	13	30	5	4

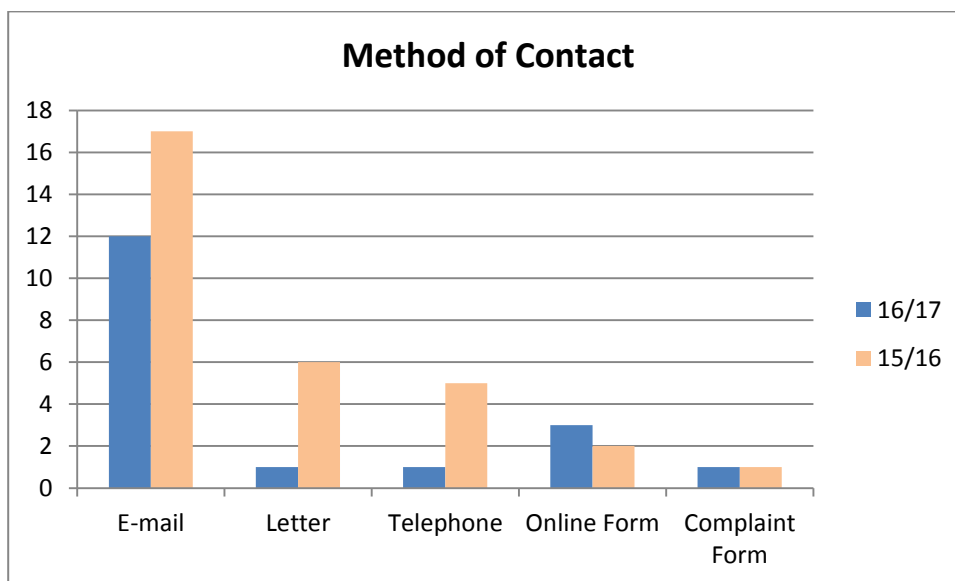
### 3. Members' Correspondence

Members enquiries have decreased slightly in 2016/17 to 49 (9%) compared to 54 in 2015/16, with 84% being responded to within timescale. This is slightly down from 2015/16 where 93% were responded to within timescale.

	2016/17	2015/16
Members Correspondence (from MP's & Cllrs)	49	54

### 4. How Complaints were received

Complainants preferred method of contact is email, followed by online form, which has steadily increased over the last few years. Although there has been a significant decrease across all methods during 2016/17, this is due to the reduced number of complaints, compared to 2015/16.



### 5. Compliments

Compliments have decreased slightly to 16 (30%) in 2016/17 compared to 23 in 2015/16.

Some examples of compliments received are as follows:

A satisfied customer writes 'thanks for all your help in this matter. We have been very impressed by your service **(Catering)**

A mother writes in about a member of staff who 'has been so helpful and understanding...your service so far has been wonderful and you have really helped put my mind at rest... .' **(Education, Inclusion & Support)**

A parent writes 'thank you very much. I am very impressed with the prompt responses I am getting from this office. Thumbs up for efficiency and diligence.' **(School Admissions)**

When staff go above and beyond – 'a grandparent that was collecting at 3pm from Little Rascals, took to the garden to sit. He was very sick and was holding his chest.' Staff at the pre-school called an ambulance aided to the grandfather and arranged the collection of his grandchildren. With their '...quick reactions and rapid response meant others were safe and the grandchildren did not see their grandad suffering. What a fantastic pair.' **(Little Rascals pre-school)**

## **6. Conclusion**

Structure changes impacted on response times in 2016/17, however with the stabilising of the service, this should see a return to the very high response rates seen in previous years. The Complaints & Information Team will need to liaise with and support managers and staff to help the Service achieve this going forward.

Complaints data is to be encouraged in relation to those relating to schools, as this can identify particular areas or themes that may be arising within schools and should continue to be collected.

Recent changes in the way that local authorities should respond to complaints about maintained schools and academies will require the current processes to be reviewed, but this should improve response rates as there are now a limited range of areas that the local authority can intervene in.

The main areas of complaint during 2016/17 involved EHCPs during 2016/17 and the delays in completing these, along with general concerns from parents about schools.

Any future structural changes within Education Services, it will need to be considered how complaints data will be reported on in future.

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