



Havering
LONDON BOROUGH

ANNUAL REPORT 2010-2011

ADULT SOCIAL CARE

Complaints, Comments And Compliments

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1. Executive Summary

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

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

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

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

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

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

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

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2. Introduction

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

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

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

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

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

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

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3. Complaints received

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4. Complaint Response Times

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

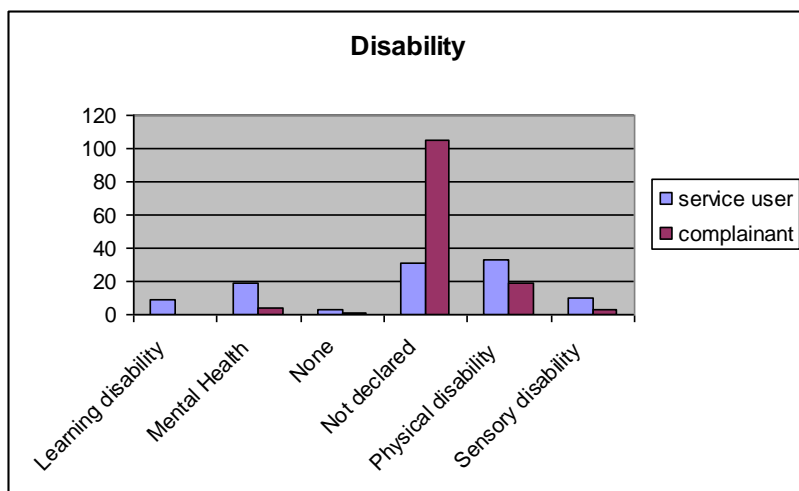
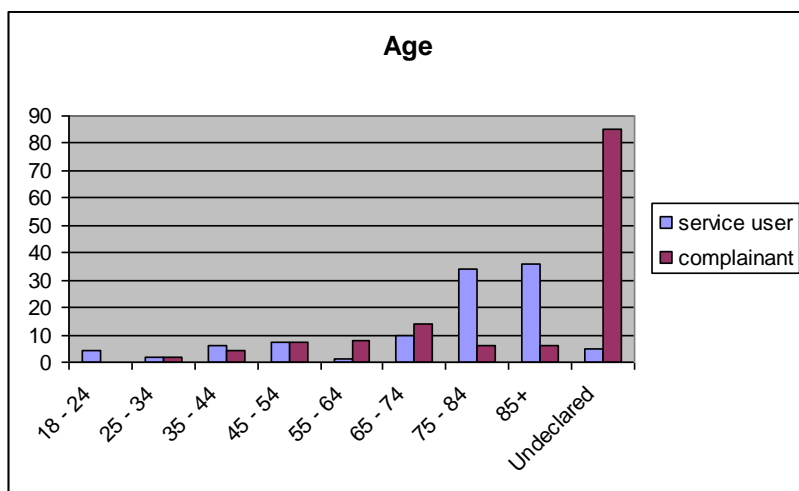
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It should be noted that 65% of complaints responded to over 20 days involved external agencies, who operate under different timescales. The Complaints, Information and Communications Team will continue to work with the Quality Team and these providers,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

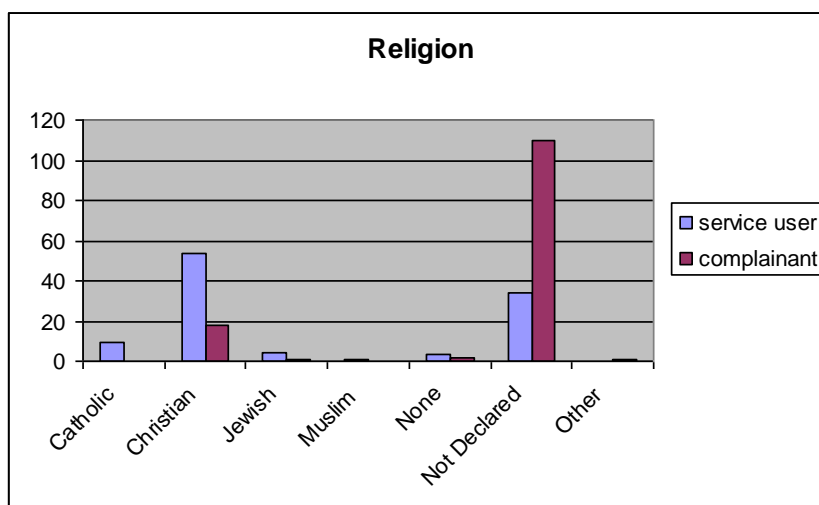
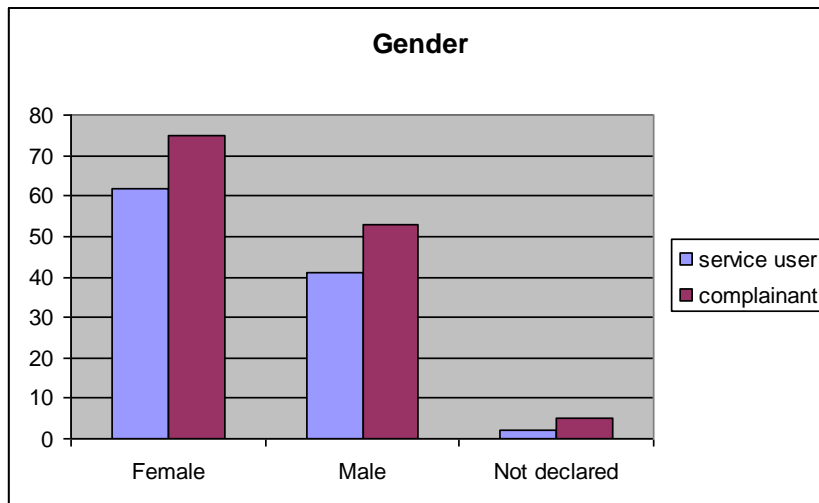
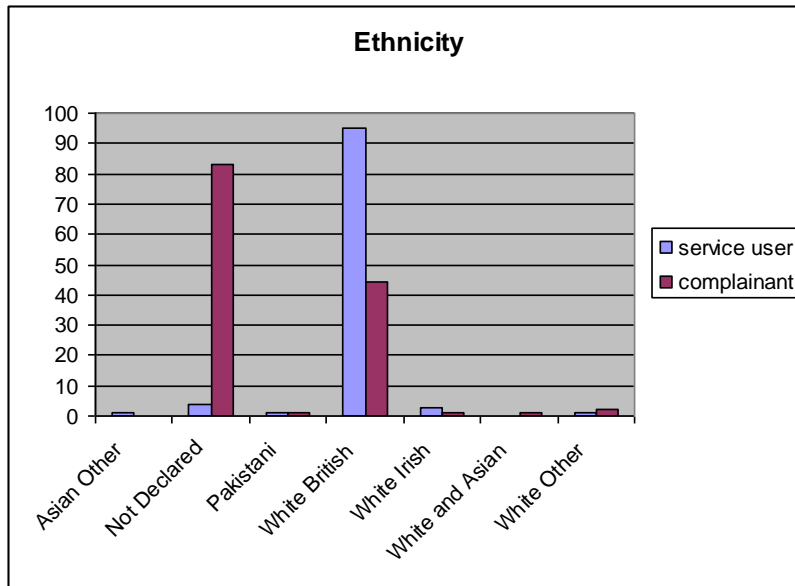
	Within 10 days		10-20 days		Over 20 days	
	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10
Informal	50.00%	57.2%	21.95%	17.9%	26.83%	24.8%
Formal	20.41%	22.9%	24.49%	22.9%	46.94%	54.2%

5. Monitoring Information

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



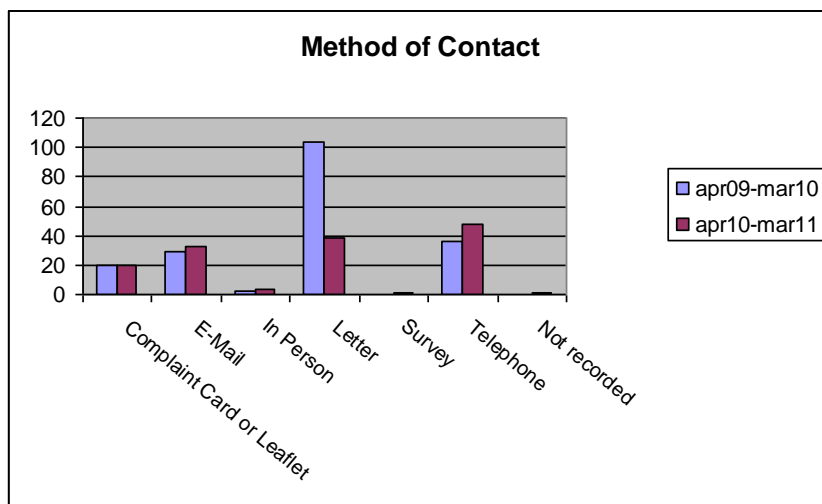
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6. How Complainants Contacted Us

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



7. Expenditure

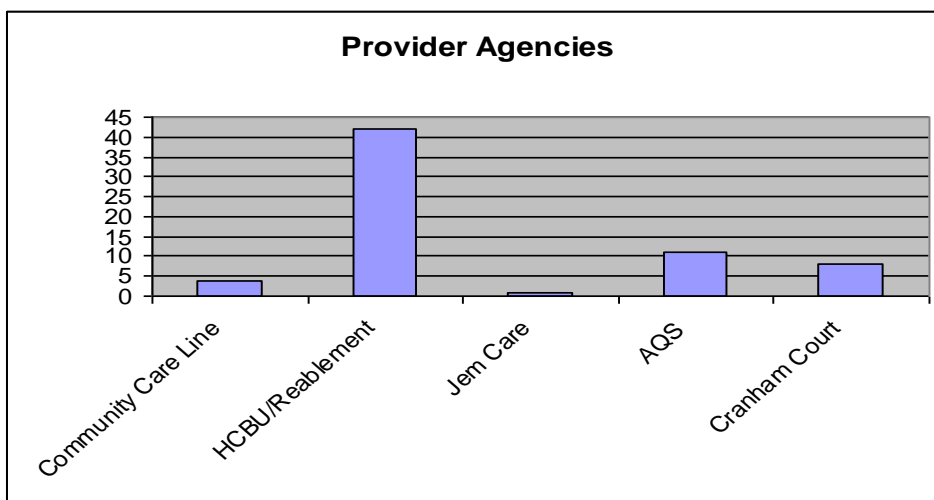
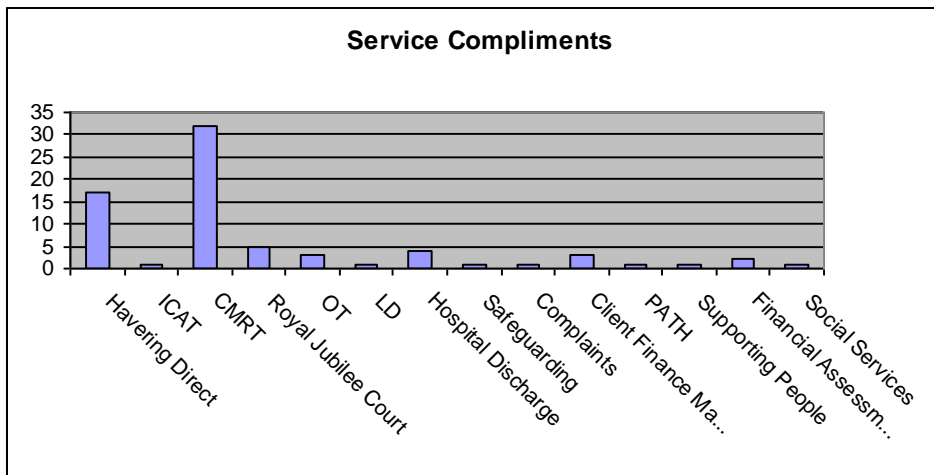
Expenses incurred this year was for the reprinting of the complaints leaflets and contained within the Adult Social Care, Quality & Performance Team budget. With the merging of Children's and Adults Complaints, any future expenses in relation to publicity will be met within the Complaints, Communications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

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

8. Compliments

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

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

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

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

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

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

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

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

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

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

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9. Member Enquiries

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

10. Conclusion

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

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

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

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

11. Complaints Action Plan

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

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