



One Council Overview and Scrutiny Committee

Wednesday, 8 December 2010 at 7.30 pm
Committee Room 3, Brent Town Hall, Forty Lane,
Wembley, HA9 9HD

Membership:

Members

Councillors:

Castle (Chair)
Colwill (Vice-Chair)
Beckman
Chohan
Lorber
McLennan
Sheth
Van Kalwala

first alternates

Councillors:

Brown
BM Patel
Long
Hirani
Matthews
Harrison
Kabir
Denselow

Second alternates

Councillors:

Beck
HB Patel
Mashari
Hossain
Brown
Hector
Kataria
Gladbaum

For further information contact: Toby Howes, Senior Democratic Services Officer
020 8937 1307, toby.howes@brent.gov.uk

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www.brent.gov.uk/committees

The press and public are welcome to attend this meeting

Agenda

Introductions, if appropriate.

Apologies for absence and clarification of alternate members

Item	Page
1 Minutes of the previous meeting	1 - 6
2 Matters arising (if any)	
3 Deputations (if any)	
4 Direct Services Transformation Project	To follow

At the last meeting the committee asked to see the proposals that were being put forward to the Executive prior to the Executive meeting.

Ward Affected: All Wards **Contact Officer:** Alison Elliott, Adult Social Care

Tel: 020 8937 4230

alison.elliott@brent.gov.uk

5 One Council Programme Update	7 - 18
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The One Council Programme has been designed to target reductions in the operating costs of the council so that we can deliver efficiency savings while minimising the impact on front line services to the public.

This report introduces two draft documents on the One Council Programme:

- One Council Portfolio Structure
- One Council Programme – Projects Register including current project stage

Ward Affected: All Wards **Contact Officer:** Phil Newby, Director of Strategy, Partnerships and Improvement

Tel: 020 8937 1032

phil.newby@brent.gov.uk

6 Complaints Annual Report	19 - 62
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This report provides members of the One Council Overview & Scrutiny Committee with an executive summary of the key issues contained in the complaints annual report 2009/10 also attached.

Ward Affected: All Wards **Contact Officer:** Director of Strategy, Partnership and Improvement

7 Carbon Management Programme (Tranche 3)

63 - 68

The Carbon Management Programme (Tranche 3) will reduce the Council's CO2 emissions across all Council operations; reduce costs associated with carbon; take advantage of opportunities for generating income from the 'Feed in Tariff'; and contribute to mitigating the effects of climate change. This report outlines the project to achieve this.

Ward Affected: All Wards

Contact Officer: Jeff Bartley,
Environmental Projects and Policy

Tel: 020 8937 5535

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8 Any Other Urgent Business

Notice of items to be raised under this heading must be given in writing to the Democratic Services Manager or his representative before the meeting in accordance with Standing Order 64.

9 Date of Next Meeting

The next scheduled meeting of the committee is on 8 February 2011.



- Please remember to **SWITCH OFF** your mobile phone during the meeting.
- The meeting room is accessible by lift and seats will be provided for members of the public.
 - Toilets are available on the second floor.
 - Catering facilities can be found on the first floor near the Paul Daisley Hall.
 - A public telephone is located in the foyer on the ground floor, opposite the Porters' Lodge

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MINUTES OF THE ONE COUNCIL OVERVIEW AND SCRUTINY COMMITTEE Wednesday, 13 October 2010 at 7.30 pm

PRESENT: Councillor Colwill (Vice-Chair, in the Chair) and Councillors Beckman, Brown (for Castle), Colwill, Lorber, Beckman and Van Kalwala

Apologies were received from: Councillors Castle, McLennan and Sheth

1. **Terms of reference**

RESOLVED:

that the terms of reference of the committee as agreed by Full Council on 13 September 2010 be noted.

2. **Declarations of personal and prejudicial interests**

None made.

3. **Direct Services Transformation - Learning Disabilities (wave 1)**

Alison Elliott (Assistant Director, Community Care) introduced the report which set out progress on the learning disabilities direct services transformation which aimed to bring a significant change to the provision of Adult Social Care direct or in-house day services. A report to the Executive in July 2010 sought permission to consult on proposals for changes, reflective of the personalisation agenda, and this was the third of a three month consultation period. Alison Elliott stated that discussions had taken place with carers, staff and service users and the report to the Executive in December was expected to put forward a number of options. The direct services transformation project was based on reducing the number of social care premises and introducing differences in the way in which services were provided and accessed. The associated financial benefits were expected to come from the number of service users that would become more independent and the council was working with carers to offer suitable alternatives.

The committee heard from Ms Manek speaking on behalf of carers. She expressed concerns over the numbers of day care service users seen to be involved which she felt should be far higher, requested clarity over the analysis process for assessments and more information on allocation of personal budgets. Ms Manek also had concerns over how the private and third sector would be managed. She expressed support for the transformation programme, including the proposed move to new premises on the John Billam site but had concerns over what would be offered and how costs would be reduced. Ms Manek also asked whether there were any contingency plans should the new strategy not be successful. She referred to the Stonebridge Day Centre which was in need of considerable repair and regretted that this had resulted in additional problems for carers and service

users. Ms Manek stated that generally, she wished for greater transparency throughout the process.

The Assistant Director in response, acknowledged concerns over previous assessments and assured of greater involvement by carers in future. She put that the numbers had remained consistent and that personal budgets were indicative and were now being calculated. The council would be willing to involve carers in commissioning should they so wish. Planning was taking place for a range of options. The council was committed to the transformation and ensuring the effective use of resources, working with carers to ensure the best for service users.

Members requested information on day care proposals to include detailed information on the numbers currently attending centres and costs, the cost of current direct payment and future projections to allow more in-depth scrutiny of the comparative costs of using existing centres compared to the cost of personalised support. The proposal to replace a number of centres and replace them with one centre in the north of the borough on the John Billam playing fields site was also questioned in particular the impact on distances travelled to which the Assistant Director responded that some travelling currently took place in transporting users to themed centres. It was noted that further information would be available on proposals so that views can be submitted to the Executive in December.

On the construction of the day centre on the John Billam site, the committee noted that a contractor had been appointed but work had not yet started. The Assistant Director advised that wave two would involve older people, on which consultation would also take place.

In response to members' request for advance consideration of the format of the assessment, Alison Elliott advised that this would be dependent on the outcome of the Personalisation - Customer Journey project and the number of users for whom services would need to be provided. Members requested a report on the numbers expected to be involved in direct payments as a percentage of the total.

Ms Manek concluded that the carers group wished to be constructive and suggested the establishment of a board of trustees with carers representatives to oversee developments and be able make timely contributions.

The committee noted the report.

4. Personalisation - Customer Journey Project

Alison Elliott (Assistant Director, Community Care) introduced the report which set out the aims of the Personalisation – Customer Journey project which included improving the whole process of adult social care. It built on work which started in 2009 and aimed to deliver the personalisation agenda, responding to demand in a timely way, minimising 'hand-offs' and the movement of clients between service teams. She outlined problems that had been experienced with information technology which needed to be redesigned and simplified. Savings were based on the ability to manage demand and having appropriate staff in place to make early decisions. Meetings would take place with service user groups and work would be completed by March 2011.

On the numbers likely to be affected the Alison Elliott advised that currently approximately 50 users required assessments weekly. Effective screening should allow at least 75-85% to be assessed and allocated care packages within the 28 day timescale.

The report was noted.

5. **Performance and Finance Review Quarter 1, 2010/11**

The committee considered the report from the Directors of Finance and Corporate Resources and Policy and Regeneration which summarised Brent Council's spending, activity and performance in the first quarter of 2010/11 and highlighted key issues and solutions. It took a corporate overview of financial and service performance and provided an analysis of high risk areas. The report was accompanied by appendices providing budget, activity and performance data for each service area, the Local Area Agreement, ring fenced budgets and the capital programme. Vital Signs trend data and graphs were also provided along with the council's overall budget summary.

The Director of Policy and Regeneration, Phil Newby, advised that the finance elements of the report had already been discussed by the Budget Panel and members could therefore confine themselves to the performance aspects of the report. He stated that performance management system across the council was under review due in part to changes introduced by central government. The Director referred to concerns over the performance figures for the quarter, mainly due to lack of data and changes taking place within the health service. He drew members' attention to new indicators, some of which were to be reported on an annual basis although this could be reviewed. Phil Newby summarised concerns over particular targets including knife crime figures which had increased following changes in the method of calculation and domestic violence as grants to support initiatives had been reduced. Employment figures were being monitored in particular for women as there was evidence of reductions in the availability part time jobs and also recycling figures which hopefully would be addressed with the new contract. There was also a rise in the number of looked after children. The Director noted with concern that there was an increase in the number of complaints not being dealt with at stage one. In summary, he acknowledged the concerns and hoped for a reformed performance package in which the council could have confidence.

The Chair referred to additional grant funding that had been received for social care reform and sought assurances that it would be reserved for this purpose. Concern was also expressed over the level and pattern of complaints and the Director suggested that the Head of the Complaints Team attend a future meeting to answer questions.

The report was noted.

6. **Order of business**

The committee agreed to change the order of business to take earlier in the meeting an item for which members of the public were present.

7. **Motions referred from Full Council - 13 September 2010**

The committee considered a motion referred by Full Council on 13 September 2010 regarding car repair and paint spraying garages expressing concern at the problems caused to residents and calling on this committee to set up a task group to consider how such activity could be regulated and where possible and prevented.

Members agreed that car repair and paint spraying garages caused problems in a number of locations around the borough despite best endeavours. It was hoped that a task group could identify the stumbling blocks, in particular those relating to legal, financial and planning issues and recommend changes. It was agreed that all councillors should be made aware of the task group so that they could identify sites in the wards. It was also suggested that the issue be broadened to take in road-side selling.

The committee agreed to establish the task group, nominations for membership to be made through the political group offices.

8. The Corporate Strategy 2010 - 2014 - Brent Our Future

The Director of Policy and Regeneration introduced the Corporate Strategy 2010-2014 – Brent Our Future which set out the vision and strategic objectives for the borough which, he commented, were in line with the current financial position. Phil Newby advised that the consultation had taken place with partners and agreement had been reached on a combined document which incorporated the Community Plan.

In response to comments on the extent to which the strategy could have been more radical, the Director advised that the strategy was about outcomes and that the question of delivery would be dealt with separately.

The committee noted the Corporate Strategy.

9. One Council Overview and Scrutiny Committee Work Programme

The report before the committee set out options for inclusion in the One Council Overview and Scrutiny work programme which included issues raised at the One Council, Many Voices event held on 28 September 2010 and other issues that related to council priorities.

In response to the proposal that procurement be included as a topic for consideration, Phil Newby suggested that procurement was currently under review under the One Council programme and he would be in a better position to advise on when this should be timetabled for consideration after progress had been made. Members commented that it would be helpful to have in advance details of programme projects so that objectives could be challenged where appropriate. It was agreed to receive at the next meeting a progress report on tranches which would include information on objectives and targets and that the status of each project be a standing item on future agendas. Members also requested an update on the Civic Centre project include timescales, delivery and projected costs.

RESOLVED:


that the work programme as amended be agreed.

10. **Date of Next Meeting**

The meeting closed at 8.55 pm

R COLWILL
Vice Chair, in the Chair

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	<p>Overview and Scrutiny Committee 8 December 2010</p> <p>Report from the Director of Strategy, Partnerships & Improvement</p>
<p style="text-align: right;">Wards Affected: ALL</p>	
<p>The One Council Programme</p>	

1.0 Summary

- 1.1 The One Council Programme has been designed to target reductions in the operating costs of the council so that we can deliver efficiency savings while minimising the impact on front line services to the public.
- 1.2 The One Council Programme provides a robust framework to deliver complex change quickly and effectively, by undertaking fundamental change projects across the council.
- 1.3 Currently, there are 24 projects in the Programme and the individual projects are at different stages. The projects are grouped in four tranches.
- 1.4 This report introduces two draft documents on the One Council Programme:
 - One Council Portfolio Structure
 - One Council Programme – Projects Register including current project stage

2.0 Recommendations

- 2.1 Overview & Scrutiny committee is asked to note and discuss the contents of this report.

3.0 Detail

Background to the One Council Programme

- 3.1 The council launched the Improvement and Efficiency Strategy in September 2008. The document set out the strategic framework for realising improvements in the performance, quality and value for money to be achieved by all council services over the coming four years.
- 3.2 The Strategy focused on eight key elements for cutting costs not services:
- Service transformation and reviews
 - Civic Centre and improved property management
 - Better procurement and contract management
 - Delivering One Council proposals for internal support services
 - New flexible ways of working
 - Stopping lower priority activities
 - Increased income generation
 - Independent review of staffing and structure
- 3.3 In September 2009, the Improvement and Efficiency Action Plan 2010 – 2014 was launched. The Action Plan is a coherent, planned response to the current financial challenge, designed to simplify, standardise and share to avoid waste and duplication and inefficiency. The outcomes include an increased proportion of staff in frontline service delivery roles, reductions in our operating costs and a smaller more effective organisation.

The One Council Programme

- 3.4 The One Council Programme:
- is a robust framework to deliver complex change quickly and effectively
 - is underpinned by strong programme and project management disciplines
 - gives consistent management of all change activity across the organisation
 - provides the leadership of the council with the information required for strategic governance
 - has a strong focus on the capture and realisation of the desired benefits
 - creates accountability within the organisation to deliver and make a difference at all levels
- 3.5 The One Council Programme is founded on five key principles:
- Strong and interventionist leadership
 - Effective programme and project management
 - Evidence based decision-making
 - An inclusive and open change process
 - A planned and people-focussed approach

Projects within the One Council Programme

- 3.6 The One Council Programme currently consists of 24 change projects grouped in tranches.
- 3.7 Tranche 1 Projects (5 projects)
- Staffing & Structure – Wave 1
 - Staffing & Structure - Wave 2
 - Finance Modernisation
 - Customer Contact
 - Strategic Procurement Review
- (The Strategic Property Review is a Tranche 1 project that is currently being reconfigured).*
- 3.8 Tranche 2 Projects (8 projects)
- Civic Centre
 - Brent Business Support
 - Review of Employee Benefits
 - Income Generation/Maximisation
 - Children’s Social Care Transformation
 - Waste & Street Cleansing
 - Adult Social Care – Customer Journey
 - Adult Social Care – Direct Service (Learning Disability Day Services)
- 3.9 Tranche 3 Projects (10 projects)
- Total Place
 - Carbon Management
 - Public Protection
 - Willesden Green
 - Move to the Civic Centre
 - Fundamental Review of Activities
 - Libraries Transformation
 - Transitions into Adult Life (children with disabilities)
 - SEN Review
 - Services to the Young
- 3.10 Tranche 4 Project (1 project)
- Adult Social Care - Commissioning
- 3.11 A five-stage project lifecycle has been developed as the approach to project delivery within the Programme. The five project lifecycle stages are as follows:
- Stage 1 - Concept
 - Stage 2 - Start up
 - Stage 3 - Initiate
 - Stage 4 - Delivery
 - Stage 5 - Evaluate

- 3.12 **Appendix A - Projects Register** provides a current list of projects and also sets out the key project aims, current project stage and the forecasted end dates for each project.

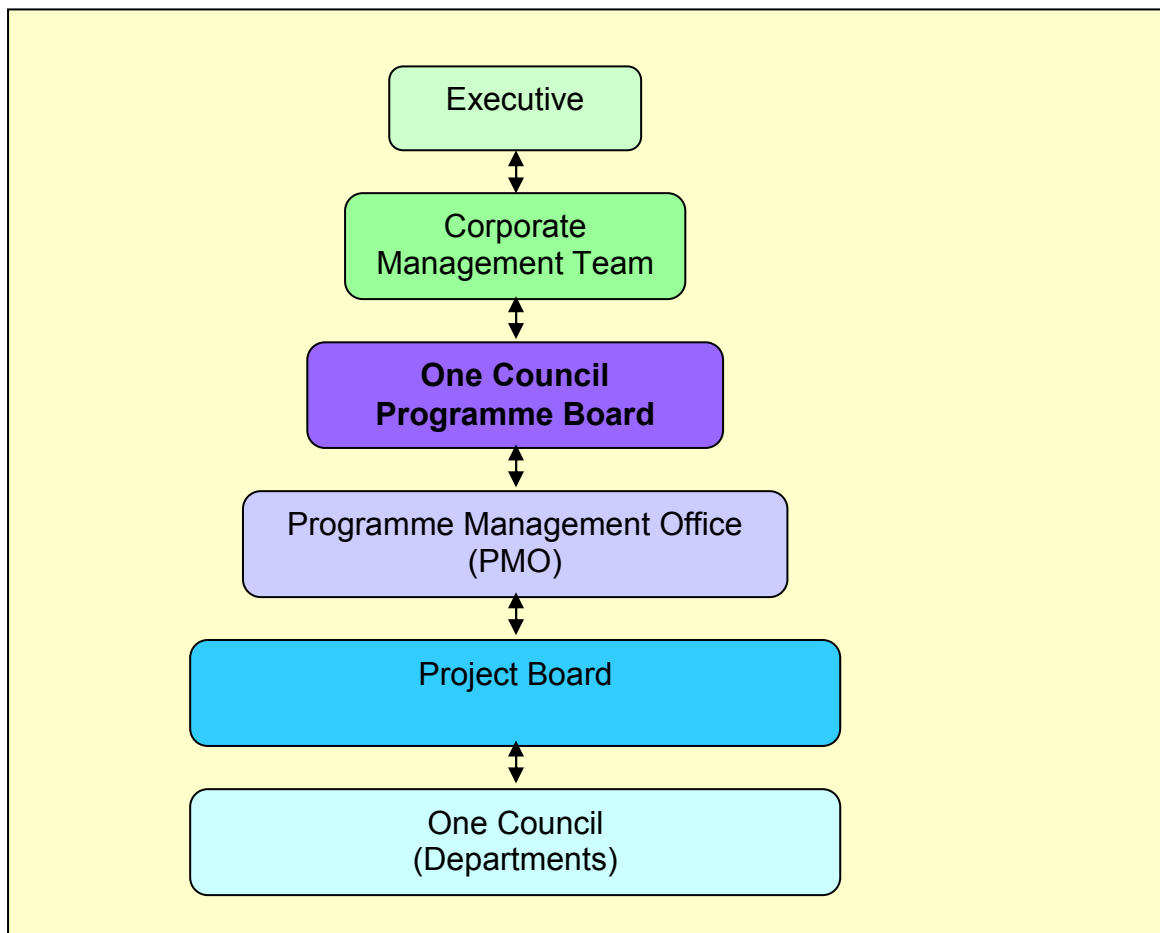
One Council Programme Portfolio Structure

- 3.12 The governance of the One Council Programme/projects is arranged around a project portfolio structure.

- 3.13 **The Portfolio Structure diagram (Appendix B)** sets out the Executive Member and CMT Member portfolio of projects

One Council Programme Governance

- 3.14 The governance structure keeps projects on track, drives accountability and delivery of outcomes.



4.0 Financial Implications

Programme Financial Summary

- 4.1 The 2010/11 budget included a total of £6.729m net savings from the One Council Programme and related items. The budget included the assumption

that £1.8m of Performance Reward Grant would be used to meet the costs of the programme. Despite removal of Performance Reward Grant, the programme is forecast to deliver broadly in line with the net savings in the budget.

4.2 The One Council Programme savings forecast for the next four years:

All figures shown are compared to 2010/11)	Cumulative savings			
	2011/12 £m	2012/13 £m	2013/14 £m	2014/15 £m
One Council savings	22.2	34.3	42.7	42.7
One Council costs	-0.9	1.7	2.8	2.8
Net One Council savings	21.3	36.0	45.5	45.5

5.0 Legal Implications

5.1 There are no current legal implications at an overall Programme level. Legal implications may arise within individual change projects in the mainstream services or support services. Each project is required to identify any legal implications in the preliminary stages and address any legal issues with appropriate legal advice and CMT/Member approval where applicable.

6.0 Diversity Implications

6.1 Each project is expected to undertake a predictive Equalities Impact Assessment at the start of the project. Any negative people impact of change should be monitored and managed appropriately in line with council policy and the financial/service constraints of the project. A retrospective Equalities Impact Assessment should then be completed at the end of the delivery stage of the project to review the actual people impact of the change.

6.2 The diversity implications of each project will vary according to the nature of the project and its objectives.

7.0 Staffing/Accommodation Implications (if appropriate)

7.1 None

Background Papers

- **Appendix A** - One Council Programme – Projects Register including current project stage
- **Appendix B** - One Council Portfolio Structure

Contact Officer

Phil Newby
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Appendix A - One Council Programme - Projects Register

Updated: 26/11/2010

Tranche	Project Name	Project Aims	Current Project Stage	End Date	Portfolio/Project Sponsor	Project Manager
T1	Structure & Staffing Review (Wave 1)	Ensure that the organisational structure of the council meets the council's future needs more efficiently and effectively, building on the recommendations of the recent review.	Delivery	Dec-10	Gareth Daniel Chief Executive	Frank Dick (external PM)
T1	Structure & Staffing Review (Wave 2)	Create structures that: align the organisation with the new Administration's corporate priorities; move towards the OC structural model, as well as contributing to the wider OC Programme of service improvement; streamline the organisation and deliver substantial financial savings while protecting frontline services as far as possible.	Delivery	Jun-11	Gareth Daniel Chief Executive	Frank Dick (external PM)
T1	Finance Modernisation	Incorporates the SAS and AEP projects, aims to transform the Finance function to deliver: 1) one common approach - standardised policies, processes and systems; 2) improved, efficient and effective service supporting Finance's customers and stakeholders; 3) Finance Service Centre and 4) a Business Partnering model	Delivery	Nov-11	Clive Heaphy Director of Finance & Corporate Services	Mick Bowden Dep. Director, F&CS
T1	Customer Contact	The aim of the project is to increase efficiency and effectiveness of the customer contact and eligibility processes across the Council by June 2013	Start up	Mar-13	Toni Mcconville Director of Customer & Community Engagement	Jenny Dunne Internal Project Manager Kevin Harnett Deloitte Project Manager
T1	Strategic Procurement Review	To undertake a root and branch change to procurement within Brent ranging from staffing and structure through the Council's spending across all suppliers with a view to contribute to the Council's savings targets over the next 3 years and to improve procurement practices.	Delivery	Mar-14	Fiona Ledden Director of Legal & Procurement	Derry O'Neill Interim Head of Procurement
T2	Civic Centre	To build a high quality office and community building for Brent Council by 2013 that is the base for 'One Council' by housing all depts in one building, facilitating flexible ways of working, realising efficiency savings and income generation.	Delivery	Jun-14	Gareth Daniel Chief Executive	Aktar Choudhury AD - Civic Centre
T2	Brent Business Support	Currently being redefined	Concept	TBC	Clive Heaphy Director of Finance & Corporate Services	Frank Dick (external PM)
T2	Review of Employee Benefits	To harmonise and reduce expenditure on staff remuneration to ensure a 'one council' approach to remuneration and associated terms and conditions	Delivery	2014	Clive Heaphy Director of Finance & Corporate Services	Gerri Green Strategic HR Manager
T2	Income Generation/ Maximisation	The aim of the project is to identify and ensure the implementation of options to increase council net revenue income per annum.	Delivery	TBC	Clive Heaphy Director of Finance & Corporate Services	Michael Read AD - Policy & Regulation
T2	Children's Social Care Transformation	Manage increasing service demands, improve outcomes, maximise resources and meet identified savings targets.	Initiate	Mar-14	<u>Portfolio:</u> Krutika Pau Director of Children & Families <u>Project:</u> Graham Genoni Asst. Director - Children's Social Care	Ros Morris Head of Planning and Resources

Tranche	Project Name	Project Aims	Current Project Stage	End Date	Portfolio/Project Sponsor	Project Manager
T2	Waste & Street Cleansing Review	The review's aim to deliver efficiency savings in waste collection and disposal and in street cleansing related services.	Delivery	Jul-11	Sue Harper Director of Environment & Neighbourhoods	David Pietropaoli Waste Policy Manager
T2	Adult Social Care - Customer Journey	Address a number of operational problems identified in the Community Care department, and significantly improve the end to end assessment process for ASC. Scope includes all staff who are part of the end-to-end Customer Journey for all client groups in Learning Disability, Older People / Physical Disability and Hospital Discharge. Planned to become operational on 31/03/2011.	Delivery	Nov-11	<u>Portfolio:</u> Martin Cheeseman Director of Housing & Community Care <u>Project:</u> Alison Elliot AD - Community Care	Helen Woodland Interim Project Manager (Ernst & Young)
T2	Adult Social Care - Direct Services - Transformation of Day Service Provision for Learning Disability	To improve service outcomes for users and reduce costs. Achieved through consolidating all current day centres into the purpose-built John Billam Resource Centre (JBC), and re-designing the service model to support users to access services in the community more independently.	Delivery	Nov-11	<u>Portfolio:</u> Martin Cheeseman Director of Housing & Community Care <u>Project:</u> Alison Elliot AD - Community Care	Nancy Alleyne Special Projects Manager
T3	Total Place	Looking for economies and economies of scale by delivering services or using facilities with our partners	Start up	TBC	Cathy Tyson Asst. Director - Corporate Policy	Jo McCormick Partnerships Coordinator
T3	Carbon Management	Series of workstreams - aimed at achieving our carbon emissions reduction target and avoiding incurring penalties	Start up	TBC	Clive Heaphy Director of Finance & Corporate Services	Jeff Bartley Environmental Projects & Policy Manager
T3	Public Protection	Forensic review of spending and activities to do with Public Protection and Community Safety	Concept	TBC	Phil Newby Director - Strategy, Partnerships & Improvement	Genny Renard Interim Head of Community Safety
T3	Willesden Green	Development of Willesden Green Library into a core building for the Council, with the potential to provide for both cultural functions and a major service presence in the south of the borough	Start up	TBC	Andy Donald Director of Regeneration & Major Projects	Abigail Stratford Regeneration Officer - Major Projects
T3	Move to the Civic Centre	Getting the organisation ready, prepared to occupy the Civic Centre	Start up	Jun-13	Gareth Daniel Chief Executive	Aktar Choudhury AD - Civic Centre Programme
T3	Fundamental Review of Activities	Root and branch review of all council activities. Ensure that we are redirecting resources to the highest priority services and that these service are being run as efficiently as possible	Start up	TBC	Phil Newby Director - Strategy, Partnerships & Improvement	Mary Stein Corporate Policy Manager
T3	Libraries Transformation	Improving the quality of library services by delivering from fewer, higher quality locations and developing a clear core offer to residents	Start up	TBC	Sue Harper Director of Environment & Neighbourhoods	Sue Mckenzie Head of Libraries, Arts & Heritage
T3	Transitions into Adult Life	Improving outcomes, reducing the cost of care, budget containment	Start up	TBC	Rik Boxer Asst. Director - Achievement and Inclusion	TBC (Contacts - Ros Morris, Marion Rodin, Alison Elliot)
T3	SEN Review	To expand local specialist educational provision for children and young people with high level special educational needs; in response to rising demand and budgetary pressures	Start up	TBC	Krutika Pau Director of Children & Families	TBC
T3	Services to the Young	Improvements and efficiencies in our provision to young people	Concept	TBC	Rik Boxer Asst. Director - Achievement and Inclusion	TBC

Tranche	Project Name	Project Aims	Current Project Stage	End Date	Portfolio/Project Sponsor	Project Manager
T4	Adult Social Care Commsioning	To redesign the commissioning function to deliver the full potential of the customer journey, and to deliver financial savings through accelerated procurement	Start up	TBC	<u>Portfolio:</u> Martin Cheeseman Director of Housing & Community Care <u>Project:</u> Alison Elliot AD - Community Care	TBC

N.B. The Strategic Property Review is a Tranche 1 project that is currently being reconfigured

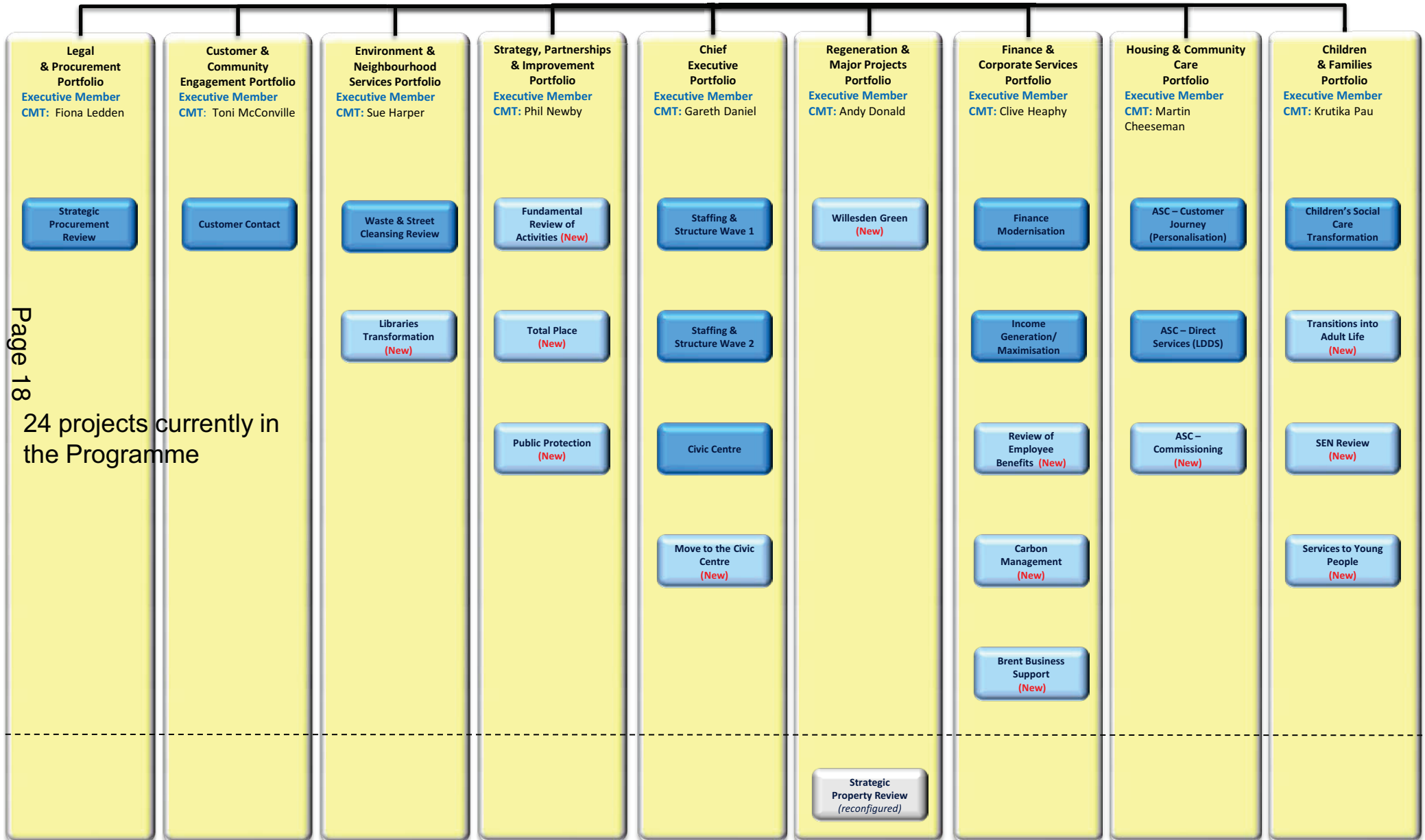
DOCUMENT NOTES:	
Document Name:	One Concil Programme - Projects Register and Organisation
First Created:	Sep-10
Purpose	<p>1. Central record of all projects in the programme (including projects closed or reconfigured)</p> <p>2. Master record of changes to project sponsors, managers for audit and control!</p> <p>3. Please do not delete projects because they have closed or have been withdrawn from the Programme</p>
Location:	PMO Shared Drive
Circulation:	<p>1. Printed copies provided to Prog. Board as and when required (N.B. Make a copy and edit as required for Prog. Board eg only show live projects, hide Project aims, Start date columns)</p> <p>2. To be circulated to Programme Support services when agreed</p>
Updated by:	PMO officers when changes occur
Special Instructions:	<p>1. This is the master document, copies for Prog. Board and other stakeholders should be made separately and edited accordingly</p> <p>2. Significant project changes should be recorded in the Notes column of the Register</p>

Appendix B - The One Council Programme Portfolio Structure

- Portfolio Sponsorship – Executive Members and CMT Directors
- One Council Projects currently in the Programme


26 November 2010

One Council Programme - Portfolio Structure



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24 projects currently in the Programme

	<p>One Council Overview and Scrutiny Committee 8 December 2010</p> <p>Report from the Director of Strategy, Partnership & Improvement</p>
<p>For Information Wards Affected: ALL</p>	
<p>Complaints Annual Report 2009/10</p>	

1.0 Summary

- 1.1 This report provides members of the One Council Overview & Scrutiny Committee with an executive summary of the key issues contained in the complaints annual report 2009/10 (attached)

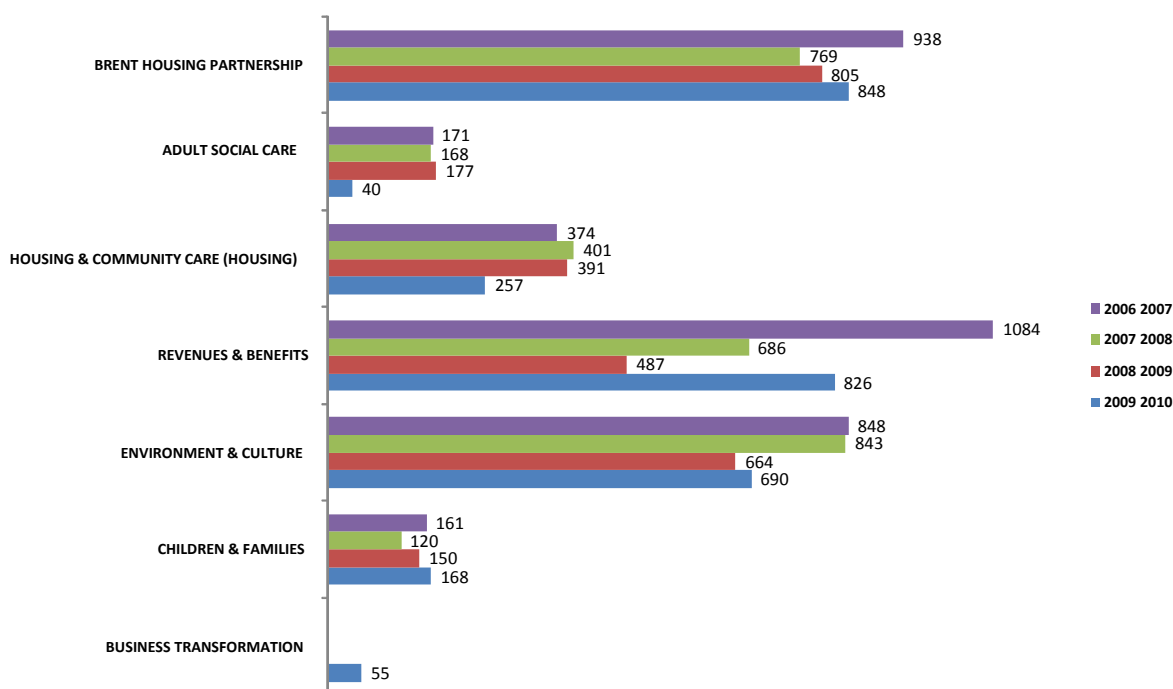
2.0 Recommendation

- 2.1 That members of the committee comment on the complaints annual report 2010/11

3.0 Detail

- 3.1 The following table provides a service area overview of the total corporate and social care complaints received during 2009/10 and compares this figure with the three previous years. Corporate complaints represent by far the majority of complaints received by the Council. The balance is made up of adults and children and families social care complaints.

Comparison of Stage 1 complaints received between 2006/07 and 2009/10



3.2 Brent Housing Partnership (BHP) and Revenues and Benefits saw a significant increase in complaints received. In the case of BHP it is worth noting that based on the numbers received in the first two quarters of 2010/11 the overall number is expected to reduce by 25%.

3.3 In the case of Revenues and Benefits the increase in complaint numbers was in part due to the significant increase in the number of new or change in circumstance claims dealt with rising from 11,332 claims in 2008/09 to 14,456 in 2009/10. The service has witnessed major improvements over the past year which has contributed to a projected 70% decrease in complaint numbers in 2010/11.

Percentage of complaints not resolved at the first stage

3.4 The Council’s target is that no more than 15% of complaints will escalate beyond stage 1. Performance against this target was patchy with Housing, Adults Social Care and BHP’s rates of escalation being in excess of the target. The target escalation rate from stage 2 to 3 is 20%. None of the service areas achieved the target. The Corporate Complaints Manager will be working closely with departments to improve performance in this area.

Local Government Ombudsman (LGO) complaints

3.5 77 were investigated – the same number as in 2008/09. Continuing the trend of recent years, just over 40% related to Housing matters with Environment and Culture service (25%) and Revenues and Benefits (18%) representing the other main areas.

3.6 For the third year running, the LGO did not issue any formal reports against the Council. Seven complaints resulted in local settlements. This is when the

ombudsman asks the Council to carry out a specific action in order to remedy the complaint. In all other cases (70 in total) the LGO found no reason to criticise the Council's actions. This represents one of the lowest local settlement rates in London.

How quickly did we respond to complaints?

- 3.7 The target is to respond to stage 1 and stage 2 complaints within 15 and 20 working days respectively. The corresponding response rates were 77% and 75%. Figures for the first two quarters of 2010/11 indicate that there has been across the board improvements in response time.

Developments in complaint handling

- 3.8 With effect from April 2009 a simplified one-stage complaint process was introduced for adult social care complaints. The previous process had been three stages. The new process also required the Council and the NHS to ensure that complaints that cut across both organisations were investigated in a coordinated way with the complainant receiving one comprehensive response.

3.9 ***Looking towards 2011/12***

- In recognition of the policy and service improvement role that complaints management has within the organisation, and as part of the wider Council reorganisation, the departmental complaints teams reporting line changed to the Corporate Complaints Manager within the Strategy, Partnerships and Improvement Department with effect from October 2010. The Corporate Complaints Manager will be working with departmental colleagues on a range of projects to promote consistent joined up complaints management across the Council.
- More work will be done to focus on ensuring that service improvements arising from complaint investigations are properly recorded and implemented.
- With effect from October 2010 the areas that the Ombudsman can investigate was extended to include complaints about self-funded care provision in respect of adult social care complaints. The next complaint report will comment on the impact that this has had.

4.0 Financial Implications

- 4.1 None

5.0 Legal Implications

- 5.1 None

6.0 Diversity Implications

- 6.1 None

7.0 Staffing/Accommodation Implications (if appropriate)

7.1 None

Background Papers

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Executive
18 October 2010

**Report from the Director of
Policy and Regeneration**

For Information

Wards Affected:
ALL

Annual Complaints Report 2009/2010

1.0 Summary

- 1.1 This report provides information about complaints against Brent Council considered by the Local Government Ombudsman, comments on the Council's performance under its own corporate complaints procedure, and reports on developments in the Council's complaint handling. The annual reports on the operation of the statutory children's and adult social care complaints process are presented with this report to give Members a comprehensive picture of complaints made against the Council.

2.0 Recommendations

- 2.1 This report is for information only.

3.0 Detail

Complaints made to the Local Government Ombudsman

- 3.1 In total the Local Government Ombudsman's Advice Team received 147 enquiries and complaints about Brent Council in 2009/10. Over a third of them related to housing matters. Of those, 74 were accepted for investigation. The rest were either referred back to the Council to be dealt with under our internal complaints process ('premature complaints'), or general advice was given to the complainant.
- 3.2 The Local Government Ombudsman (LGO) made decisions on 77 complaints, the same number as in 2008/09.

The following table shows the outcomes of the complaints decided by the LGO with a definition of each category.

Formal report: None issued	0
Local settlement: Decisions by letter discontinuing investigation because	7

action has been agreed by the authority and accepted by the LGO as a satisfactory outcome for the complainant	
No maladministration: Decisions by letter discontinuing investigation because the LGO has found no, or insufficient, evidence of maladministration	33
Ombudsman's discretion: Decisions by letter discontinuing an investigation in which the LGO exercises discretion not to pursue the complaint, typically because there is no, or insufficient, injustice to warrant pursuing the matter further.	24
Outside jurisdiction: Cases which were outside the LGO's jurisdiction	14
Total: excluding premature complaints	77
Premature complaints: Complaints referred back to the council to consider under our own procedure	36

3.3 Complaints to the LGO have fallen year on year and are now only a quarter of the number dealt with by the LGO in 1999/2000 – demonstrating a significant and sustained improvement both in service delivery and customers' satisfaction with the Council's complaint handling. The following table shows the steady decrease over past decade

	Complaints decided by the LGO	Complaints referred back as premature	Total
1999/00	286	42	328
2000/01	238	128	366
2001/02	98	124	222
2002/03	83	104	187
2003/04	95	102	197
2004/05	110	72	182
2005/06	104	82	186
2006/07	131	61	192
2007/08	112	63	175
2008/09	77	44	121
2009/10	77	36	113

3.4 Continuing the trend of recent years, just over 40% of the complaints investigated by the LGO were housing matters. The other main categories of complaint were those about the Environment and Culture service (25%) and Revenues and Benefits (18%).

The following table shows the breakdown of LGO complaints across departments.

	Local settlement	Normal	Ombuds discretion	Outside jurisdiction	Total excl premature complaints	Premature complaints
Bus Trans	0	0	0	3	3	0
Central	0	0	1	0	1	0
C & F	0	5	2	0	7	0
E & C	0	10	5	4	19	5
BHP	2	5	6	1	14	10
Housing	2	7	5	3	17	8
Comm care	1	1	0	0	2	0
Rev & Bens	2	5	4	3	14	11
Total	7	33	23	14	77	36

3.5 For the third year running, the LGO did not issue any formal reports against the Council. Seven complaints resulted in local settlements. This represents just 11% of the complaints decided by the LGO which were within his jurisdiction and reflects extremely well on the effectiveness of the Council's complaints procedure in providing prompt and suitable redress when things go wrong. (The average local settlement rate nationally was 26.9 %.) Only £1,370 compensation was paid as a result of these seven complaints. In all other cases the LGO found no reason to criticise the Council's actions.

3.6 The complaints which resulted in local settlements were as follows:
Homelessness

The complaint was from a resident who approached the Council as homeless just before going into hospital, saying that he would be homeless on discharge. The issue was whether the Council should have treated the man as homeless and potentially in priority need. The Council's stage 3 investigations relied on an officer's recollection that the complainant had said that he could go to stay with friends, but there was no written record of that statement and the complainant denied making it. The LGO concluded that the Council should have decided that the person was homeless and in priority need and therefore offered him interim accommodation. The LGO asked the Council to pay £300 compensation and to remind officers of the need to ensure that the Council's homeless prevention strategies did not stand in the way of people being able to make formal homeless applications. The Housing Resource Centre introduced new procedures to prevent a recurrence.

Council house repairs

Two complaints resulting in local settlements came about as a result of Brent Housing Partnership's delays in rectifying leaks. In one case the LGO asked the Council to increase the compensation already paid from £580 to £750 to reflect the fact that the tenant had had to live in temporary accommodation longer than necessary. In the other case Brent Housing Partnership offered to replace carpets and floor covering in recognition of the excessive delay in carrying out refurbishment work. The LGO found that to be a suitable outcome.

Housing benefit

The Council failed to send the complainant (a landlord) £750 to which he was entitled and which represented several months housing benefit for his tenant. The LGO asked the Council to pay £50 compensation.

Council Tax recovery

Two local settlements resulted from the Council's failure to deal with complainants' requests to repay arrears by instalment, contrary to the policies contained in the anti-poverty strategy. The LGO acknowledges that the strategy itself is a good one but he has previously issued two formal reports in 2007, criticising the Council for not having regard to its own strategy when recovering Council Tax debts. In one case the LGO asked the Council to pay £300 compensation and, in the other, to pay £50 in addition to the £350 already awarded. Given that the LGO has already issued two formal reports finding maladministration causing injustice because of the Council's failure to have regard to its own policy designed to protect the vulnerable, the Revenues and Benefits service needs to be vigilant in ensuring that the anti-poverty strategy is observed in order to avoid further adverse findings by the LGO.

Adult social care services

The complainant was going through a severe crisis and the Council agreed, exceptionally, to store his possessions at an office. However there was no proper procedure in place and no inventory was taken. A year before the complainant approached the LGO, the Council offered £500 compensation for items that the complainant claimed had been lost, but the complainant refused to accept the money. The LGO asked the Council to offer the complainant the compensation again. Another complaint, investigated under the Council's internal complaint procedure, highlighted the inadequate procedures which were in place and the Director of Housing and Community Care was asked to review them.

- 3.7 The LGO made formal written enquiries into 46 complaints and the Council replied in an average 21.9 days, well within the LGO's timescale of 28 calendar days.

The Local Government Ombudsman's Annual Review

- 3.8 Each year the LGO publishes an Annual Review commenting on each authority's performance on complaints made to his office and on general complaint handling arrangements.
- 3.9 In his Review for 2009/10 the LGO once again commented positively on the Council's continued prompt and thorough responses to his enquiries and on the Council's complaint handling generally. The LGO said "*The Council continues to respond well to our enquiries on complaints and we obtain local settlements at a rate far below the average across all authorities. In my view this reflects very well on the Council's complaint handling arrangements.*"
- 3.10 The full text of the LGO's Annual Review can be found on the LGO's website www.lgo.org.uk or the Council's Intranet and Internet sites www.brent.gov.uk/complain.

Comparison with other London councils

3.11 Brent Council was 19th among the 32 London boroughs in terms of the raw number of complaints decided by the LGO. However only two councils (Sutton and Merton) had a lower percentage of local settlement decisions (10.5% and 10.7% against Brent's 11.1% and a national average of 26.9%). Eight London councils achieved a shorter average response time than Brent but none of those matched Brent's achievement in terms of outcomes. The Council's response times has improved year on year since 2006 but further gains could be made if all responses were sent electronically to the LGO's office.

Complaints considered under the Council's complaints procedure

3.12 The table below shows the numbers of complaints received at each stage of the Council's corporate complaints procedure. (* figure includes OSS)

	Stage 1		Stage 2		Stage 3		Total	
	08/09	09/10	08/09	09/10	08/09	09/10	08/09	09/10
Housing	391*	257	87*	81	30*	37	508	375
Comm Care	177	40	16	2	3	3	196	45
BHP	805	848	180	181	43	55	1028	1084
Rev & Bens	487	826	82	70	32	30	601	926
E & C	664	690	93	83	37	35	794	808
C & F	150	168	22	10	6	4	178	182
Central services	0	0	0	0	0	2	0	2
Bus Trans	n/a	55*	n/a	4*	n/a	1*	n/a	60*
Total	2674	2884	480	431	151	167	3305	3482

The increase in complaints received reverses the downward trend of the past two years. The most marked increases are in the numbers of Stage 1 complaints received about Brent Housing Partnership – a 5.3% increase, largely about repair issues, and a 69.6% increase in Stage 1 complaints received about the Revenues and Benefits service following increased Housing Benefit applications at a time when the service was being restructured. However, the effectiveness of the complaint handling arrangements in those two services in resolving matters for customers is demonstrated by the fact that the number of stage 2 complaints did not increase.

3.13 The Council has a target of replying to 85% of all complaints within the relevant timescale. The following table shows the percentage of complaints responded to at each stage within this target:

	Stage 1 Within 15 working days		Stage 2 Within 20 working days		Stage 3 Within 30 working days	
	2008/09	2009/10	2008/09	2009/10	2008/09	2009/10
Housing	80	74	68	64	* the small numbers of complaints dealt with at Stage 3	
Community Care	63	50	50	*100		
BHP	88	94	68	86		
Revenues and Benefits	94	84	96	76		

Environment & Culture	79	79	71	68	make comparison between service areas meaningless	
Children & Families	62	60	75	31		
Central services	n/a	n/a	n/a	n/a		
Business Transformation	n/a	95	n/a	100		
All	78	77	71	75	*50	*36

Performance is very patchy across departments and between units within departments. Only Brent Housing Partnership and Business Transformation met the target at Stages 1 and 2. Performance in every other department fell since 2008/09. The performance at Stage 3 deteriorated considerably over previous years. This was in part the result of a reduction of 0.5 posts in the corporate complaints team but reflects the amount of work necessary to investigate a complaint thoroughly at Stage 3. It is in everybody's interests that complaints are dealt with promptly. Delays in responding make it more likely that the complainant will be dissatisfied with the outcome, and more likely to escalate their concerns to the next level. Crucially, the LGO considers that twelve weeks is sufficient for a council to consider a complaint through all stages of its complaint procedure, and is more likely to accept a complaint for investigation if this timescale is exceeded. Measures to improve performance in this area are being introduced.

- 3.14 The next table shows the percentage of complaints escalating through the stages of the complaints procedure. The target at Stage 1 was reduced to 15% as from 1 April 2010 to encourage greater emphasis on resolving matters at the earliest possible opportunity. That initiative has had limited success and alternative approaches are being considered

NB. There is a problem with escalation percentages in that they can make the problem appear greater than it is – eg. 1 out of 3 Stage 2s going to Stage 3 is 33% but only 1 complaint. This comment also applies to para 3.15 below – 1 complaint goes to Stage 3 and is upheld is 100%

	% complaints escalating from Stage 1 to Stage 2 (Target: 20% 008/09 15% 2009/10)		% complaints escalating from Stage 2 to Stage3 (Target 20%)
Housing	08/09	22	33
	09/10	33	35
Comm Care	08/09	9	19
	09/10	35	n/a
BHP	08/09	22	24
	09/10	21	29

	% complaints escalating from Stage 1 to Stage 2 (Target: 20% 008/09 15% 2009/10)		% complaints escalating from Stage 2 to Stage3 (Target 20%)
Rev & Bens	08/09	15	39
	09/10	17	47
E & C	08/09	14	40
	09/10	12	41
C & F	08/09	15	27
	09/10	7	38

Central	08/09	n/a	n/a
	09/10	n/a	n/a
Bus Trans	08/09	n/a	n/a
	09/10	6	29

3.15 The rate of escalation between complaint stages needs to be considered together with the percentage of complaints upheld at each stage, which is illustrated in the next table.

	Stage 1		Stage 2		Stage 3	
	2008/09	2009/10	2008/09	2009/10	2008/09	2009/10
Housing	32	21	24	24	46	32
Comm Care	49	33	60	33	0	39
BHP	68	69	43	66	39	45
Rev & Bens	42	49	38	45	42	62
E & C	47	50	37	45	24	5
C & F	59	57	75	50	33	50
Central	n/a	n/a	n/a	n/a	n/a	n/a
Bus Trans	n/a	74	n/a	100	n/a	100

A relatively high percentage of complaints about housing and revenues and benefits matters are upheld to some extent at all stages of the procedure. **This contrasts with the pattern for complaints about Environment and Culture** where very few are upheld. This reflects the higher proportion of complaints about the merits of decisions, for example on planning applications, rather than about administrative and service failures.

3.16 The final table shows the compensation paid under the complaints procedure.

Compensation	Year	Stage 1	Stage 2	Stage 3	LGO	Total
Housing	2008/09	1,567	6,445	3,068	1,650	12,730
	2009/10	1,470	4,818	8,880	350	15,518
Comm Care	2008/09	13,458	3,050	0	0	16,508
	2009/10	24,673	1,500	0	500	25,273
BHP	2008/09	32,058	20,666	4,455	375	57,554
	2009/10	26,558	15,010	7,360	170	49,098
Rev & Bens	2008/09	6,600	9,916	1,125	0	17,641
	2009/10	7,594	6,360	5,399	350	19,703
E & C	2008/09	505	2,792	1,475	1,000	5797
	2009/10	535	955	400	0	1890
C & F	2008/09	525	350	1,000	0.00	1,857
	2009/10	23,538	20,472	0	0	44,010

Compensation	Year	Stage 1	Stage 2	Stage 3	LGO	Total
Central	2008/09	0	0	500	0	500
	2009/10	0	0	0	0	0
Business Transformation	2008/09	n/a	n/a	n/a	n/a	n/a
	2009/10	610	275	212	0	1097
Total All services	2008/09	54,173	43,219	11,623	3,025	112,587
	2009/10	84,978	49,390	22,251	1,370	157,989

- Overall, the amount of compensation has increased by 40% over last year. However, this includes a small number of large payments made by the Children and Families and Community Care services to recompense complainants for services or financial support which ought to have been provided. It is better that such compensation payments are made as a result of the Council's investigation of the complaint rather than following an investigation by the LGO or costly legal proceedings.
- 3.17 The complaints procedure remains a relatively quick and cheap method of resolving grievances, avoiding the attendant high costs of court proceedings and the office time needed to deal with LGO complaints.
- 3.18 The Council's policy remains to provide redress at the earliest possible stage of the complaints procedure and, to support that policy, we adopted a target of paying 60% of all compensation at Stage 1. Other than the Community Care service where one large payment was made at Stage 1, no department achieved the target. Brent Housing Partnership, Business Transformation and Children and Families paid over 50% at the first stage, whereas the figures for the Housing, Environment and Culture and Revenues and Benefits services achieved only 9.4%, 28.8% and 38.5% respectively. The approach to settling complaints at the earliest stage is being reviewed in the light of this performance.
- 3.19 The cost of investigating complaints is high, particularly at the second and third stages of the process as increasingly senior managers become involved. Ways of reducing costs by improving performance at the first stage of the complaints procedure are being developed as part of the Council's restructuring strategy. This has also been the focus of the training provided during the year.
- 3.20 Increasingly, complaints are being made on line or by email – for example almost half of all complaints about the Environment and Culture department were made electronically. Complaint management is more streamlined, quicker and cheaper when complaints can be handled electronically. The Council should continue to encourage customers to use this channel wherever possible, whilst retaining a high quality personal service for people who do not have internet access or, through vulnerability, need to be able to speak directly to an officer
- 3.21 It has remained difficult to capture equalities information about complainants as many complainants prefer not to provide this personal monitoring information. Online complaints provide the highest return. Without this data it is impossible to profile complainants, and to identify accurately whether any sections of the community are either under- or over-represented. Work is continuing to try and improve the collection rate and also to plot complaints by post code in conjunction with the work being done on the Council's evidence base.
- 3.22 Overall, the increase in complaints made under the Council's process coupled with the patchy performance against targets is a cause for concern and is being addresses as part of the Council's restructuring strategy.

Developments in complaint handling

Developments in the Local Government Ombudsman service

- 3.23 There have been two major extensions to the LGO's jurisdiction which will have significant impact on the Council.
- 3.24 The Apprenticeships, Skills, Children and Learning Act 2009 gave the LGO increased jurisdiction to investigate complaints by parents and pupils about state schools. The LGO is piloting the arrangements in a number of authorities with the intention that by September 2011 the LGO's jurisdiction will be extended to all state schools in England.
- 3.25 In preparation for this major change, the Children and Families department have already delivered some training to school governing bodies but more work will be needed once the LGO has issued guidance about the delivery of this new service.
- 3.26 The Health Act 2009 extended the LGO's powers to investigate complaints about privately arranged and funded adult social care. These powers will begin to come into effect in October 2010. Provision of care that is arranged by an individual and funded from direct payments comes within this new jurisdiction and it is expected that many complaints will involve the actions of both the council and the care provider. The LGO is currently developing information-sharing agreements with the Care Quality Commission and with councils in their role as adult safeguarding leads and service commissioners.
- 3.27 This extension of the LGO's powers is likely to have implications for the Council and work is underway to ensure that it is equipped to deal with this new challenge.

Learning and development

- 3.28 The corporate complaints team has continued to provide training and guidance across the Council under the corporate learning and development programme. In the early part of 2009/10 the priority was to prepare staff in the Housing and Community Care department for the changes in the statutory complaint process which were introduced on 1 April 2009. Four briefing sessions for managers were held and the LGO delivered training in Effective Complaint Handling in Adult Social Care to two groups of staff.

In addition the corporate complaints team delivered training on Effective Complaint Handling and Dealing with LGO complaints, as well as continuing to attend every corporate induction day. Take up of training events has been inconsistent and some planned sessions had to be cancelled. The approach to complaints handling training is currently being reviewed.

Learning from complaints

- 3.29 Complaints provide a valuable window on service delivery and many service improvements have been identified in this way in the year, for example:

- strengthening the procedures to deal with removal of untaxed vehicles and the associated complaints process
- introduction of a new protocol for deploying cameras to capture anti-social behaviour
- training for homeless persons officers on how to consider applications from people in permanent accommodation, the need to focus on the Code of Guidance timescales and meet the duty to provide interim accommodation
- advice to housing benefit assessment officers on how to respond when told that a tenant is rent arrears of over eight weeks
- working with Legal Services to devise a suite of model clauses about complaint handling to use in all contracts on procured services

Internal audit of corporate complaints process

- 3.31 The Annual Report for 2008/2009 outlined the key recommendations arising from the internal audit of the corporate complaints procedure. Some of these recommendations have been implemented. Others have been reviewed in the light of events since the audit was carried out.
- 3.32 An updated action plan is attached to this report at Appendix A.

Priorities for 2010/11

- 3.33 The key priority for 2010/11 is to ensure that appropriate complaint management arrangements are in place across departments in line with the Council's restructuring strategy. This will include reviewing the operation of the corporate complaints policy, and the associated targets and service standards, to focus on improving standards and reducing complaints activity by ensuring that service improvements identified are implemented.

4.0 Financial Implications

- 4.1 The corporate complaints procedure remains a relatively quick, cheap and effective way of resolving grievances, avoiding time-consuming investigations by the Local Government Ombudsman or court proceedings with their attendant high costs.
- 4.2 During the rest of 2010/11, the Council's complaints handling arrangements will be restructured with the aim of improving performance and reducing costs. The emphasis will be on improving performance in dealing with complaints at the earliest stage to reduce escalation, and on ensuring that service delivery issues identified are resolved to avoid further complaints and improve the service overall.

5.0 Legal Implications

- 5.1 There are no legal implications arising from this report.

6.0 Diversity Implications

6.1 The Council's complaints procedure covers all areas of the Council's service delivery and is available to everyone who lives in, works in or visits the Borough and all service users.

7.0 Staffing Implications

7.1 There are none at present but the restructuring of the complaints handling arrangements may identify resource issues.

Background Papers

Local Government Ombudsman's Annual Review 2008/09

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Director of Policy & Regeneration

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1. Service area procedures and review of corporate policies and procedures				Priority 1
Recommendation	Actions	Lead officer	Timescale	Comment
1. It is recommended that all Service Areas implement service-specific complaints and handling procedures based on the overarching corporate policies and procedures, and that the procedures specifically address complaints relating to service areas. The procedures should also include guidance on making compensation payments.	All service areas to introduce written procedures by end of December 2009	Departmental complaint managers	To be re-assessed	Pressure of work has meant that this piece of work has not been completed
2. With regards to guidance on making compensation payments, Service Areas may wish to wait until the Corporate Guidance on Remedies and Compensation Payments is reviewed in line with the new Local Government Ombudsman's Remedies Guidance on Good Practice.	No action needed			No need to await further advice from the LGO – the advice is always to follow the current guidelines from the LGO
3. In addition, it is recommended that all relevant policies and procedures regarding complaints should be formally reviewed on at least an annual basis	Review corporate policy and associated guidance	Corporate complaints manager	By end March 2009	Not completed due to corporate complaints manager leaving. In work plan for 2010/11. Annual review is too frequent for policy review. Triennial review more appropriate

2. iCasework support contract and full migration to iCasework				Priority 1
Recommendation	Actions	Lead officer	Timescale	Comment
4. It is recommended that management should liaise with Tagish in order to agree a support contract for iCasework as a matter of priority.	Meet with Tagish to resolve all issues	ITU and corporate complaints manager	Meeting in October 2009	Meetings have taken place but there are unresolved issues of workflow and reporting relating to the Council's development site which it is not feasible to rectify and there is equally no budget to migrate to iCasework's new version which became available during 2009. Revised project plan received March 2010. At the same time, Respond have introduced a web-based option which should be explored and evaluated.
5. It is also recommended that senior management meet with Tagish as soon as possible to reconcile any differences of opinion in the development of the software, and to use that meeting to agree a definitive date for its satisfactory implementation.				
3. Review of stage 1 complaint responses				Priority 1
Recommendation	Actions	Lead officer	Timescale	Comment
6. It is recommended that management should consider putting in place a review system for stage 1 complaint responses, including monitoring of compensation payments. If it is not deemed practical to review all responses prior to these being sent out, consideration should be given to undertaking checks on a sample basis. This may be considered as an area of responsibility for the	Departmental complaint managers to put in place a system to quality check a sample of Stage 1 complaints	Departmental complaint managers	System in place by end March 2010	Pressure of work has meant that this piece of work has not been completed Departmental complaint teams are not resourced to do this, although it is undeniably necessary

Service Area Complaint Managers.				
7. As part of such a review, management should take account of points raised in the stage 3 reviews undertaken by the Corporate Complaints Team, checking to ensure that feedback from those reviews is being addressed.	Departmental complaints managers and service unit heads to ensure that Stage 3 recommendations are addressed	Departmental complaint managers & service unit heads	By end March 2010	Such a system has been in place for some years and no further action
8. In all cases, records of the review / checking process should be maintained and these should be analysed periodically to determine whether there are any common areas of weakness which require addressing, for example through additional training or guidance. This should be fed back to the Corporate Complaints Forum as a standing agenda item.	Departmental complaints managers to analyse recommendations and feed back to corporate complaints forum on common areas of weakness	Departmental complaint managers	By end March 2010	Feedback from service areas has always been a standing item on the corporate complaints forum agenda and can be used for this purpose
4. Monitoring timeliness of complaint acknowledgement				Priority 1
Recommendation	Actions	Lead officer	Timescale	Comment
9. It is recommended that management should consider how best to monitor timeliness of acknowledgment at all stages. Where systems do not generate suitable monitoring information, management should consider undertaking spot checks as a detective control. If delays are identified, as was the case from our sample testing, management should determine an appropriate course of action to address this, for example through the provision of additional training to staff or formal reminders on the importance of meeting the target.	Departmental complaint managers to undertake regular checks to ensure that appropriate and timely acknowledgements are sent to all complaints	Departmental complaint managers for Stages 1 and 2 Corporate complaints manager for Stage 3	With immediate effect	It appears that the major non-compliance is within the Environment and Culture department where initial complaint recording is devolved to service units

5. Appraisals				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment
10. It is recommended that management should consider determining which staff have a significant responsibility for dealing with complaints and have complaint performance monitored as part of their one-to-one meetings and annual appraisals.	Ensure that all staff having significant responsibility for dealing with complaints should have complaint performance included in 1:1s and appraisals	CMT	With immediate effect	Staff working in complaint teams are already have complaint performance included in their appraisals. CMT need to accept that managers responding to complaints on a regular basis also need this fed into their appraisal process.
6. Retaining correspondence from				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment
11. It is recommended that management should formally remind all relevant staff of the importance of scanning all correspondence and relevant supporting documentation in relation to each complaint. In addition, checks should be introduced to monitor compliance with this. In the event that documentation continues to not be consistently scanned in full, management should determine an appropriate course of action to address this.	Corporate complaint manager to seek advice about retaining case records on a complaint database. Departmental complaint managers to ensure that all complaint-related correspondence, as a minimum the complaint and the response, is attached to the electronic record Revise complaints documentation retention policy	Corporate complaints manager	By end March 2009 in course of policy review	Advice was sought which was to the effect that service users' case records should not routinely be attached to complaint databases, as they are not secure. Documentation retention policy and process to be included in review of policy and procedures
		Departmental complaint managers	Within immediate effect	
		Corporate complaints manager	During 2010/11 review of policy	
7. Recording compensation cases and retaining approval documents				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment

12. Staff should be reminded of the need to record all compensation payments on the Respond / iCasework system.	Instructions to be included in departmental procedures	Departmental complaints officers for Stages 1 and 2 Corporate complaint manager for Stage 3 and LGO	Same as for production of procedures	As above, pressure of work has meant that this piece of work has not been completed
13. It is recommended that staff members are reminded of the need to maintain copies of the compensation approval forms in all cases. It is suggested that these should be scanned on to system so as to form part of the electronic audit trail.				This is not considered necessary as the council 's financial management system already requires and retains this documentation
8. Quarterly reports				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment
14. It is recommended that management should determine an approach to enforcing the submission of quarterly complaint return statistics from Service Areas to the Corporate Complaints Team. One option for consideration may be to link appraisal criteria for Service Area Complaints Managers to this requirement. Consideration should also be given to escalating the issue within the Service Areas.		Departmental complaint managers and corporate complaint manager		This has been resolved through the appointment of a complaints performance officer within the corporate complaints team who is responsible for collecting and collating the complaint management information from departments. Of greater importance now is the need for departmental complaint managers to have the ability to report directly and regularly to DMTs/SMTs.
9. Corporate complaints forum to discuss compensation issues				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment
15. It is recommended that a	Standing item on	Corporate complaints	With immediate	This can be addressed

discussion of compensation payments is made a standard item on the Complaints Forum agenda.	Corporate complaints forum	manager	effect	by the CCF considering the quarterly complaints performance digest, particularly with reference to target for paying 60% minimum of all compensation at Stage 1.
10. Survey of customers				Priority 2
Recommendation	Actions	Lead officer	Timescale	Comment
16. It is recommended that the Council should consider the need for ongoing surveys of complainants who have been through the complaints process.	Establish system of regular surveys of Stage 1 complainants	Corporate complaints manager	To begin in year 2010/11	This has been resolved through the appointment of a complaints performance officer within the corporate complaints team who is responsible for devising a questionnaire and then carrying out systematic surveys

CHILDREN AND FAMILIES COMPLAINTS - ANNUAL REPORT 2009/10

1.0 SUMMARY

- 1.1 The annual report for 2009/10 on complaints about Children and Families services is attached.
- 1.2 The report provides information about the context and operation of the complaints procedure, the number and type of complaints made during the year and how these were dealt with.
- 1.3 Key points are:

Numbers of complaints received

- Stage 1 complaints received in 2009/10 increased by 13% - from 150 to 169, with increases in complaints about children in need/care planning and adult education.
- Stage 2 and stage 3 complaints both fell significantly compared to the previous year. Stage 2s fell from 22 to 10 and stage 3s from six to three.

Timescales

- The percentage of stage 1 complaints responded to within timescales this year remained steady at 61%. There were however positive signs of improvement during the last quarter of the year and it is hoped this improvement can be continued.
- Stage 2 timescales were met in four cases - 29%. There were a number of unfortunate delays in the investigation of statutory social care complaints carried forward from the previous year. This was mainly due to the unexpected unavailability of the external investigating officer and/or staff which delayed the completion of the investigation. Complainants were kept informed of progress during the investigation.
- Stage 3 timescales were met in two cases - 50%. The two complaints not reviewed within the timescales were both complex and from the same complainant.

Escalation Rates

- The escalation rate for stage 1 to stage 2 was 6%, compared to 15% and 18% in previous years, and well within of the Council target of 15%.
- The rate for stage 2 to stage 3 was 30% [Council target 20%] – but it should be noted that this is based on low actual numbers.

% Complaints Upheld

- The percentage of complaints fully or partly upheld remained steady at 57% for stage 1 and 71% for stage 2. At stage 3 the percentage was 50% compared to 33% last year.
- Work continues to improve the quality of complaint investigations at stage 1 which should lead to the identification and correction of any service failures at the earliest stage. It should however be noted that additional complaint issues are often raised at later stages.

- 1.4 One of the most important parts of complaint handling is making sure that lessons are learnt and appropriate procedural and practice changes are made if things have gone wrong. Complaints in 2009/10 continued to

provide some important learning points and some key issues are shown in section 13.

2.0 RECOMMENDATIONS

2.1 Report is for information.

3.0 FINANCIAL IMPLICATIONS

3.1 There are no specific financial implications. However better handling of complaints at stage 1 of the complaints procedure, and reducing rates of escalation produces savings as stage 2 complaint investigations and stage 3 reviews incur additional costs, particularly as the social care statutory procedure requires the use of Independent Persons.

4.0 STAFFING IMPLICATIONS

4.1 None

5.0 LEGAL IMPLICATIONS

5.1 Complaints about children’s social care are governed by Children Act 1989, The Children Act 1989 Representations Procedure (England) Regulations 2006, and Getting the Best from Complaints [guidance issued under Section 7 of the Local Authority Social Services Act 1970]. The regulations require an annual report to be presented to Committee.

6.0 DIVERSITY IMPLICATIONS

6.1 The Council’s commitment to equalities and diversity is reflected in the complaints procedure and the way that service users’ dissatisfaction is handled. Leaflets and responses will be provided in any language or format on request, and young people and their families and carers encouraged to use interpretation and advocacy support as required.

Ref :	Contents
1	Context
2	Numbers of Complaints Received
3	Number [and %] of Complaints Responded to within Timescales
4	Early Referral to the Ombudsman
5	Local Government Ombudsman’s complaints
6	Escalation Rates
7	Analysis of Complaints by Teams
8	Nature of Complaints
9	Outcomes of Closed Complaints
10	Compensation paid
11	Mediation and Alternative Dispute Resolution
12	Advocacy for Children and Young People
13	Key Service Improvements from Complaints
14	Analysis of Persons Making Complaints
15	How complaints received
16	Payments for Statutory Stage 2 Investigations and Stage 3 Review Panels
17	Training for Staff
18	Information for Children, Young People and their Families

1. Context

This report is made in accordance with requirements in the Children Act 1989, the Representations Procedure (Children) Regulations 2006 [regulation 13 (3)] and related guidance.

The Children & Families department is required to deal with complaints about specified social services functions for children in accordance with the above statutory regulation. Other complaints about non-statutory social service functions and about education responsibilities are handled in accordance with the Council's corporate complaints procedure. This report provides information about all complaints recorded by the Complaints Team during the twelve months between 1 April 2009 and 31 March 2010.

It needs to be noted that some complaints, e.g. about special educational needs assessments and school admissions, have separate appeals procedures and are not dealt with under the complaints procedures. Each school is also required to have its own complaints procedure.

2. Numbers of Complaints Received

There were 169 Stage 1 complaints recorded during the year, compared with 150 in 2008/09. Numbers of stage 2 complaints and stage 3 complaints both fell significantly.

Stage 1				Stage 2				Stage 3			
09 10	08 09	07 08	06 07	09 10	08 09	07 08	06 07	09 10	08 09	07 08	06 07
169	150	120	161	10	22	22	26	3	6	7	2

There has been some fluctuation in the level of stage 1 complaints over the past four years, but it is difficult to identify why this should be. Staff training continues to emphasise the importance of all officers being pro-active in dealing with queries and concerns and that if issues progress to a complaint they should be addressed in timely and comprehensive way in accordance with procedures. The fall in both stage 2 and stage 3 is a result of the increased commitment in social care teams to try and resolve complaints at local level

3. Percentage of Complaints Responded to within Timescales

Stage 1 Corporate 15 working days: Statutory 10 working days

Stage 2 Corporate 20 working days: Statutory 25 working days

Stage 3 Corporate 30 working days: Statutory 50 working days

Division	Stage 1				Stage 2			
	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07
Achievnt & Inclusion	68%	75%	73%	80%	17%	100%	100%	100%
Finance & Perf	80%	81%	76%	73%	100%	80%	50%	60%
Social Care	50%	33%	47%	40%	17%	67%	47%	22%
Strategy & Partnership	25%	80%	100%					
Total	61%	62%	54%	48%	29%	75%	55%	35%

Stage 1

Overall the department's % response rate at stage 1 remained steady at 61%. There are often difficulties in meeting timescales for social care

complaints, where the statutory complaints procedure specifies 10 working days for standard [non-complex] complaints, compared to the corporate timescale of 15 working days. In view of the nature of complaints within social care, managers are encouraged to hold meetings with complainants before responding in writing which inevitably has an impact on percentage responses within timescales. There was however positive signs of improvement during the last quarter of the year and it is hoped this improvement can be continued.

Stage 2

There were a number of unfortunate delays in the investigation of statutory social care complaints carried forward from the previous year, resulting in a departmental figure of only 29% of stage 2 complaints within timescale. This was mainly due to the unexpected unavailability of the external investigating officer and/or staff which delayed the completion of the investigation. Complainants were kept informed of progress during the investigation.

Most stage 2 statutory social care complaints raise multiple and sometimes long-standing issues and the department uses external Investigating Officers. Regulations also require an Independent Person to work alongside the Investigating Officer and to provide oversight of the process of the investigation. The use of two contracted persons, whilst providing a reassuring element of independence for the complainant, does cause some availability issues and delays in scheduling interviews with staff in order to complete the investigation.

Stage 3

Four stage 3 were concluded during the year - 2 under the corporate procedure and 2 under the statutory procedure. Timescales were met in two cases - 50%. The two complaints not reviewed within the timescales were both complex and from the same complainant.

5. Local Government Ombudsman's complaints

The Ombudsman dealt with seven complaints about Children & Families during 2009/10, compared to three in 2008-09 and nine in 2007-08. Five were closed under the category 'No or insufficient evidence of maladministration' and two without further enquiry as 'Ombudsman discretion'.

6. Escalation Rates – percentages based on the number of complaints received at Stage 2 (3) divided by the number of complaints received at Stage 1 (2)

Council target = 20%

Division	Stage 1 to Stage 2				Stage 2 to Stage 3			
	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07
Achievement & Inclusion	19%	15%	36%	20%	25%		25%	
Finance & Perf	4%	11%	12%	23%	50%	40%		
Social Care	5%	18%	17%	15%	33%	33%	40%	8%
Strategy & Partnership			50%					
Total	6%	15%	18%	16%	30%	27%	32%	8%

The overall escalation rate for Stage 1 to Stage 2 at 6% remains within the corporate target of 20% and although the Stage 2 to Stage 3 rate has been higher than the corporate target in recent years actual numbers remain small and outcomes generally are not a cause for concern.

7. Complaints Received - Analysis by Teams

	Stage 1				Stage 2				Stage 3			
	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07
Achievement & Inclusion	(12%)	(19%)	(9%)	(6%)		(23%)	(18%)	(8%)			(14%)	
Disabled Children [previously Social Care]	10	18	[18]	[30]	3	3	[3]	[6]	1		[1]	
Occupational Therapy provided by team in Community Care		2	[1]	[3]		1		[1]				
Special Educational Needs	3	3		2		1		1				
Other Education & Youth Services	8	7	4	5	1							
Total	21	30	11 +19 -7	10 +33 -3	4	5	4 +3 -4	2 +7 -7	1		1 +1 -1	

Finance & Performance	(33%)	(31%)	(14%)	(14%)		(23%)	(9%)	(19%)		(33%)		
School Admissions	10	6	12	13	1		1	4				
Casual Admissions & Support Services	4	5	5	9		1		1		1		
Asset Management + Finance	2	4				1	1			1		
Brent Transport Service [prev Achievement & Inclusion]	9	7	[7]	[3]			[4]	[1]			[1]	
Brent Adult & Community Education [transferred to C&F 1/10/08]	30	24	[28]	[31]	1	[2]	[4]	[0]	1	[0]		
Total	55	46	17 +7	22 +3	2	5	2 +4	5 +7	1	2	+1	

Social Care	(51%)	(45%)	(75%)	(80%)	(54%)	(68%)	(73%)		(67%)	(86%)		(100%)
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Localities	32				3				1			
Care Planning / CIN	36	61	62	81	1	10	11	6		2	4	
Child Protection	6											
Placements	8	4	7	15		1	1	6		2	1	2
Youth Offending	2	1	2									
Commissioning / LAC Reviews	2	1				1						
Total	86	67	90	129	4	12	15	19	1	4	6	2
			-19	-33			-3	-7			-1	

Strategy Partnership	&	(4%)	(5%)	(2%)			(5%)					
Early Years		4	4	2			1					
Children's Centres		1	3									
Integrated Services		2										
Total		7	7	2			1					

Total C&F		169	150	120	161	10	22	22	26	3	6	7	2
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During 2009/10 there was an increase in stage 1 complaints about child protection and services for children in need / looked after children reflecting not only the current higher number of referrals to these services but the inevitable concerns and dissatisfaction such statutory requirements generate for parents. There was a fall however in the number of stage 1 complaints about services for disabled children,

Numbers of complaints about education services remained overall fairly consistent.

8. Nature of Stage 2 complaints received

Nature of Complaints at Stage 2	09/10	08/09	07/08	06/07
Non-Provision of service	1	5	0	6
Level of service	1	1	4	8
Quality of service	1	6	11	1
Delay in service provision	3	4	2	2
Withdrawal, reduction or change in service			1	1
Failure to appropriately consult or involve	1	3	6	1
Other failure to communicate effectively	4	3	6	6
Failure to carry out other required action	1	4	5	8
Inappropriate conduct or attitude of staff	2	5	7	5

[These figures do not equate to the number of complaints at Stage 2, as some complaints cover multiple issues]

Delay in service provision and communication issues continue to be key concerns particularly for complaints about social care services, but the above table reflects that fewer complaints were escalated to stage 2 in 2009/10.

9. Outcomes of Closed Complaints

Some complaints registered in 2009/10 are still live (having entered our monitoring system before 31 March 2010 and not yet concluded) they will be included in the next business year's set of figures).

Outcome	Stage 1				Stage 2				Stage 3			
	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07	09/10	08/09	07/08	06/07
Not Upheld	71	57	50	53	4	4	11	13	2	4	4	3
Partially Upheld	43	28	27	35	6	8	7	4	2	1	1	1
Fully Upheld	50	46	45	44	4	4	4	8		1	1	
Not Pursued*	2	13	7	13	1	1		1				
Total closed	166	131	129	145	15	17	22	26	4	6	6	4

* includes some complaints resolved by action of Senior Manager / progressed straight to Stage 2

10. Compensation paid at Stages 1, 2 and 3 and as a result of Ombudsman recommendations

The Council has a compensation policy that is applied if the investigation concludes that the Ombudsman would:

- find that there has been maladministration by the Council causing injustice to the complainant; and
- Recommend that compensation should therefore be paid to the complainant.

Division	Stage 1 £	Stage 2 £	Stage 3 £	Ombudsman £
Achievement & Inclusion		5972		
Finance & Performance	175			
Social Care	22838	14500		
Strategy & Partnership				
Total =	£43485	23013	20472	

The total figure for 2009-10 includes approx £39K for services / financial support that should have been provided to children in need or disabled and their families. £4K was paid as compensation for distress / time and trouble.

All compensation was paid at stages 1 and 2.

These figures compare to totals of £2K - £6K in previous years, when there were no financial payments for services not provided.

11. Mediation and Alternative Dispute Resolution

The Guidance on statutory complaints supports the use of alternative ways of resolving complaints. Formal mediation or ADR has not been used but the Complaints Manager participates in meetings between complainants and service managers to clarify areas of dissatisfaction, to work towards resolution, and to promote better working relationships.

12. Advocacy for Children and Young People

Children and young people receiving or requesting social care services are entitled to independent and confidential advocacy support, in accordance with guidance in 'Get It Sorted: Providing Effective Advocacy Services for Children and Young People making a Complaint under the Children Act 1989. The Complaints Team explains about advocacy to all young people wishing to make complaints.

During 2009/10 nine young people were supported by advocates under a contracted service. The direct cost of the service was £ 1,800 approximately. All the young persons' complaints were resolved at stage 1. In the previous year advocates assisted five young people at a cost of £2,500 approximately, and one complaint was escalated to stage 2.

13. Key Service Improvements from Complaints

- A number of improvements to processes following child protection conferences, including a letter for parents sent immediately after the conference by the Chair to provide clear information about conference decisions, random quality assurance checks on conference minutes, and regular feedback between Chairs and managers sharing practice issues or concerns raised, including those by service users.
- Inter-service discussions on how young people with disabilities, who do not meet adult community care service criteria, can be provided with on-going leaving care support.
- A new Equalities Impact Assessment for the co-ordination of school admissions and clear instructions to schools to verbally pass on to prospective applicants the details of support available to them.

14. Analysis of Persons Making Complaints

Complaints made by:	2009-10	2008-09 %	2007-08 %	2006-07 %
Child / young person	16 (10%)	12 (8%)	19 (16%)	29 (18%)
Parent / person with parental responsibility	100 (59%)	119 (79%)	81 (68%)	105 (65%)
Foster carer	7 (4%)	7 (5%)	3 (2%)	4 (2%)
Special Guardian				2 (1%)
Person with sufficient interest in the child's welfare	12 (7%)	5 (3%)	4 (3%)	6 (4%)
Others	34 (20%)	7 (5%)	13 (11%)	15 (9%)

The proportion of complaints made directly by young people increased slightly to 10% compared to 2008-09, but remains lower than in earlier years. The Complaints Manager recently met with Brent Community Friends to talk to the young people about how they could raise any concerns or complaints about social care services and to reassure them of the help available to them. Interdepartmental discussion is also continuing with the aim of improving information about and access to the complaints process for young people in respect of all Council services.

The higher proportion of complaints this year made by 'Others' is a reflection of a full years' complaint figures for Brent Adult & Community Education Services, most of whose users are within this category.

Equalities Information

It has not been possible to provide equalities monitoring information for all complainants, but details for the fairly small numbers of children and young people who made complaints themselves about their services are given below.

Ethnicity of Child or Young Person	2009-10 %	2008-09 %	2007-08 %	2006-07 %
Asian or Asian British	6%		5%	14%
Black or Black British	69%	75%	53%	48%
Black African	6%		10%	
Mixed / Black and White or Mixed / Other	13%			14%
White / British	6%	8%	16%	} 5% }
White / Irish		8%		
White / Other		8%	16%	

15. Method of receipt of complaints at Stage 1 and Stage 2

	Letter/fax		Phone		email		YP/Form		In person	
	Stg 1	Stg 2	Stg 1	Stg 2	Stg 1	Stg 2	Stg 1	Stg 2	Stg 1	Stg 2
09/10	35%	20%	28%	40%	25%	40%	8%	-	4%	-
08/09	44%	18%	21%	18%	27%	64%	5%	-	3%	-
07/08	33%	54%	39%	18%	19%	23%	7%	5%	2%	-

16. Payments for Statutory Stage 2 Investigations and Stage 3 Review Panels £k

	2009-10	2008-09	2007-08	2006-07
External Investigating Officers	19	12	22	19
Independent Persons	7	2	6	6
Review Panellists	5	2		
Total	£31K	£16K	£28K	£25K

Expenditure on Stage 2 investigations was significantly higher in 2009-10, because there were a number of cases that began towards the end of 2008-09 and were carried over to the next year. The higher expenditure for Stage 3 complaints reflects one unusually complex case for which the panel had to re-convene.

17. Training for Staff

Briefing on the basic requirements of the complaints procedure is provided as part of Children & Families Induction for all new staff and a more detailed one-day course on resolving complaints for managers offered as part of the corporate complaints training programme. The Complaints Manager also delivered a number of complaint sessions to various teams and groups to clarify and promote good complaint handling and learning from complaints – including groups of foster carers and school governors.

18. Information for Children, Young People and their Families

Complaint leaflets and posters are available for display in all reception areas and information is also on the Brent Council website. Complainants raising concerns about social care services for children and young people in need are also sent information about the statutory social care complaints procedure and young persons' advocacy.

Gillian Burrows
C&F Complaints Manager
June 2010

HOUSING AND COMMUNITY CARE DEPARTMENT COMMUNITY CARE COMPLAINTS ANNUAL REPORT 2009/2010

1.0 Summary

This report provides information on complaints made about Adult Social Care Services during the period 1 April 2009 – 31 March 2010 as required under

- the Health and Social Care (Community Health and Standards) Act 2003, Local Authority Social Services Complaints (England) Regulations 2006
- Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.

It also contains information about complaints considered under the Council's corporate complaints procedure.

2.0 The new statutory complaints procedure

2.1 New regulations were introduced on 1 April 2009 which has significantly changed the way that statutory complaints about adult social care complaints are dealt with. The previous three stage procedure of local resolution, investigation (frequently by an Independent Investigator), and formal independent review panel has been replaced by a simplified one stage process which applies to all social care and NHS complaints. The emphasis is very much on resolving matters at the first possible opportunity and adopting a flexible approach, appropriate and proportionate to the complaint under consideration.

2.2 The new regulations require that councils put arrangements in place to ensure that:

- a. complaints are dealt with efficiently;
- b. complaints are properly investigated;
- c. complainants are treated with respect and courtesy
- d. complaints receive, so far as is reasonably practical – assistance to enable them to understand the procedure in relation to complaints, or advice on where they may obtain such assistance;
- e. complaints receive a timely and appropriate response
- f. complainants are told the outcome of the investigation of their complaint and
- g. Action is taken if necessary in the light of the outcome of the complaint.

2.3 Within this framework, the new regulations encourage the quick resolution of grievances wherever possible to stop these becoming complaints. So, if a verbal complaint can be resolved satisfactorily directly between a council manager and the complainant within one working day, then it does not need to be recorded as a complaint.

2.4 All written complaints, and those verbal complaints which cannot be resolved immediately, are assessed in order to decide the nature of investigation that

is appropriate. The complainant is at the heart of this process and the regulations require the council to offer the complainant a meeting to discuss the complaint in order to obtain his or her views about what they think has gone wrong, what they think should be done to put matters right, how the complaint will be investigated and what would be a reasonable time scale for responses in the new regulations.

- 2.5 A key element of the new procedure is the preparation of a written complaint plan which is based on an assessment of the seriousness of the complaint, and the risk of its recurrence and the complainant's views.
- 2.6 In most cases the head of service provides a written provisional response to the complaint, although the new arrangements provide the flexibility to appoint an independent investigator or, exceptionally, to convene a review panel in serious and/or complex cases.
- 2.7 The provisional response seeks the complainant's comments. When comments are received, a review is made as to what, if any, further action is called for. This could be further written clarification by the head of service, a meeting, or the appointment of a more senior manager, the corporate complaints team, or an independent investigator, to make a more thorough investigation. The Director of Housing and Community Care sends the final response to the complainant, informing him or her of their right to approach the Local Government Ombudsman if they remain dissatisfied.
- 2.8 The regulations also impose a duty on all partner health and social care agencies who might be involved in a complaint to cooperate in the investigation so as to provide a prompt and comprehensive response.
- 2.9 Complaints which were made before 31 March 2009 under the old regulations continue to be dealt with under the old procedure, so for a while the two very different procedures will operate in parallel.

3.0 Complaint handling arrangements

- 3.1 The Council's Chief Executive has delegated responsibility for ensuring compliance with the regulations to the Director of Housing and Community Care, and in particular for ensuring that action is taken as necessary in the light of the outcome of a complaint. The Housing and Community Care Complaints Manager is responsible for managing the day to day handling of complaints in accordance with the regulations.
- 3.2 In preparation for the new arrangements, the Director of Housing and Community Care, the former Community Care Complaints Manager and the Council's Corporate Complaints Manager attended a number of briefing sessions organised by the Department of Health and the Local Government Ombudsman.
- 3.3 Four in-house well-attended briefing sessions for Housing and Community Care Managers were held in April 2009. The Local Government Ombudsman also provided two training events for the department on Effective Complaint Handling in Adult Social Care Complaints, which were attended by a number of independent investigators in the North West London pool. In addition, the Corporate Complaints Team delivered a number of training workshops on

generic effective complaint handling techniques which were available to all council staff.

- 3.4 The North West London Complaints Managers Group arranged an introductory training session on mediation for the independent investigators in the joint pool.
- 3.5 The Council's Corporate Complaints Manager also attended a workshop organised by the Local Government Ombudsman in March 2010 to review the first year's operation of the new arrangements.
- 3.6 There have been significant changes in the Housing and Community Care Complaints team during the year. Ken Scott, who had been the Community Care Complaints manager since 1992, retired in January 2009, after 43 years service with Brent Council. I would like to pay tribute to Mr Scott, a highly experienced and well-regarded Social Care Complaints manager who was appointed to serve on a number of Department of Health working parties. He worked tirelessly to assist complainants, many of whom he had known since the service was put in place.
- 3.7 In January 2009 the Housing and Community Care complaints teams were brought together into one team which provides an integrated complaints service to the department. The new team has not been able to operate as effectively as we had hoped due to being unable to fill a vacant post. In addition, two staff have been on maternity leave during the year and their posts have been covered by seconded and temporary staff.
- 3.8 After the first year's operation, the new arrangements have bedded in well on the whole. The key advantage is the ability to apply a flexible and proportionate approach to complaints, rather than have to follow the rigid and overly bureaucratic system which was in place previously. This has the added advantage of achieving significant cost savings through not having always to appoint external investigators or convene complaint review panels. Each external investigation will cost £1k and a review panel will cost up to £3k depending on the complexity of the complaint. The two stage 3 panels cost approximately £5k last year.
- 3.9 The ability to resolve some matters informally within a working day and without recording a formal complaint is also welcome. However, it does mean that it is very difficult to check whether a customer has raised a particular issue previously (which would probably indicate that the informal approach would not be suitable a second time) and there is currently no capacity within the departmental complaints team to contact the customer to ensure that he or she is indeed satisfied with the manager's intervention. It also means that some recurring grievances which might indicate a systemic service failure could go unrecognised. Consideration will be given during 2010/11 to ways of recording these 'informal' complaints and of providing some follow-up.

4.0 Performance on complaints

- 4.1 The new complaint arrangements with informal resolved complaints not being recorded at all, no fixed timescales, and one stage as opposed to the previous three make comparisons with previous years' performance virtually impossible. Therefore, this year's report contains statistical information solely on complaints received on 2009/10.

Number of complaints received

4.2 The number of new complaints recorded in the year was 89, including 5 that were dealt with under the Council's corporate complaints procedure. The corresponding figure for 2008/09 was 177. It is reasonable to suppose that this apparent halving of the complaints received is the result of perhaps 80 – 90 grievances being resolved promptly within one working day. However, without any record being made of such matters it is impossible to be certain. As stated above, consideration will be given to ways of capturing this information.

4.3 Two complaints progressed to Stage 2 of the old procedure during the year and two stage 3 complaint review panels were convened, again under the old statutory regulations.

Complaints received by service unit

4.4 The following table shows the distribution of the complaints received across departmental units. The stage 2 and 3 complaints relate to complaints made under the old procedure before the end of March 2009 and which have escalated through the process during the current year.

Service Unit	Stage 1	Stage 2	Stage 3
<i>Care Management review/ Access and Assessment</i>	43	2	
<i>Brent Mental Health Service (BMHS)</i>	11		1
<i>Brent learning & Disability partnership (BLDP)</i>	14		1
<i>Finance</i>	12	1	
<i>Contractor (CC)</i>	6		
<i>Supporting People</i>	1		
<i>Voluntary Sector</i>	2		
TOTAL	89	3	2

Complaints responded to within agreed timescales

4.5 The Council has a target of responding to 85% of all complaints within the relevant timescale. It is very difficult to measure the timeliness of replies under the new complaint arrangements as there are no prescribed timescales and each complaint is planned on a bespoke basis, including the length of time the investigation will take.

4.6 The following table shows the numbers and percentages of complaints responded to *within the timescale agreed for individual complaints*.

Service Unit	Stage 1 responses sent in agreed time	% sent in timescale	Stage 2 responses sent in agreed time	% sent in timescale
<i>Care Management review/ Access and Assessment</i>	14/30	47%	2/2	100%
<i>BMHS</i>	6/11	55%	1/1	100%
<i>BLDP</i>	4/6	67%		
<i>Finance</i>	6/11	55%		
<i>Contracts</i>	4/6	67%		
<i>BLDP</i>	3/11	27%		
<i>BMHS</i>	3/8	44%		
<i>Voluntary Sector</i>	1 /2	50%		
<i>Supporting People</i>	1/1	100%		

Across all service units an average of only 46% of Stage 1 complaints were responded to within the agreed timescale. This is unacceptably poor performance and the Complaints Manager will be working with the Heads of Service over the coming months to improve the timeliness of responses.

Outcomes of complaints

4.7 Of the 69 complaints responded to under the new procedure, 52% were upheld either fully or in part. The following table shows the distribution across service units.

<i>Service Unit</i>	<i>Fully Upheld</i>	<i>Partially Upheld</i>	<i>Not Upheld</i>	<i>Withdrawn</i>
<i>Care Management review/ Access and Assessment</i>	5	10	15	4
<i>Finance</i>	2	2	7	
<i>BMHS</i>	0	2	6	
<i>BLDP</i>	4	6	1	2
<i>Voluntary Sector</i>			2	
<i>Contractor</i>	2	3	1	
<i>Supporting People</i>			1	
<i>TOTAL</i>	13	23	33	6

A very few complaints continued to be considered under the old regulations. None of the three complaints considered at stage 2 was upheld (2 concerned the Access and Assessment teams and 1 the Finance team).

Two stage 3 complaint review panels were held under the old regulations during the year. One of these complaints (involving BMHS) was partially upheld. The other (about BLDP) was not.

Compensation payments

4.8 The Council's general policy is to provide remedies, including paying compensation, in accordance with the guidelines issued by the Local Government Ombudsman. The complaints procedure provides a relatively quick and cheap way of resolving customers' complaints without the attendant delays and high costs of legal proceedings, or the amount of officer time which has necessarily to be devoted to dealing with formal investigations by the Local Government Ombudsman. It is in everybody's interests, therefore, that complaints are resolved and appropriate compensation paid at the earliest opportunity. To underpin and measure that general aim, the Council had adopted a target of paying 60% of all compensation at the first stage of the complaints procedure.

4.9 The following table shows the compensation paid at all stages of the complaints procedure in 2009/10 under both the statutory and corporate procedures.

Stage 1	31943
Stage 2	9459
Stage 3	5250
LGO	500
Total	£47152

4.10 Just less than 68% of the total compensation awarded was paid at Stage 1. However, this figure includes one large payment in recognition of a service that had not been provided as should have.

Complaints made to the Local Government Ombudsman

4.11 In total, the Local Government Ombudsman (LGO) received 147 complaints and enquiries about Brent Council during the year. Of those, ten related to adult social care matters. The LGO's Advice Team gave advice in five cases. The LGO does not provide details of these cases to councils, so we have no means of knowing whether the customers pursued their grievance through the Council's own process.

4.12 The other five complaints were passed to the LGO's investigative team for consideration. The LGO issued two decisions of adult social care complaints during the year. One of these resulted in a local settlement – this is a decision by letter discontinuing an investigation because action has been agreed by the authority and accepted by the LGO as a satisfactory outcome for the complainant.

4.13 The circumstances of the complaint were as follows. The complainant was going through a severe crisis and the Brent Mental Health Service agreed, exceptionally, to store his possessions at a council office. However, there was no proper procedure in place and no inventory was taken. It appears that the articles were lost and the Council awarded the complainant £500 compensation. He refused to accept the cheque. A year later the complainant approached the LGO who asked the Council to offer the complainant the £500 compensation again. The Council's willingness to do this resulted in the local settlement decision.

4.14 Coincidentally, a separate complaint, again about Brent Mental Health Service, about similar issues was investigated under the Council's procedure by the corporate complaints team. The investigation report highlighted the inadequate procedures which were in place to store and protect customers' property and recommended that the Director of Housing and Community Care should review the arrangements. The Brent Mental Health Service has adopted procedures used in other areas of community care.

5.0 Extension of the Local Government Ombudsman's jurisdiction

- 5.1 The Health Act 2009 extended the Local Government Ombudsman's powers to investigate complaints about privately arranged and funded adult social care. These powers come into effect from 1 October 2010 (or when the Care Quality Commission has re-registered all adult care providers undertaking regulated activity). Provision of care that is arranged by an individual and funded from direct payments comes within this new jurisdiction.
- 5.2 Each Ombudsman has set up a team to deal with all adult social care complaints on their behalf. The LGO expects that many complaints from people who have arranged and funded their own care will involve the actions of both the local authority and the private or not-for-profit care provider. The LGO is currently developing information-sharing agreements with the Care Quality Commission and with councils in their role as adult safeguarding leads and service commissioners.
- 5.3 This extension of the LGO's powers is likely to have major implications for the Council and work will be needed to ensure that we are equipped to deal with this new challenge.
- 5.4 The Council's Corporate Complaints Manager has already attended an initial briefing session arranged by the Local Government Ombudsman, from which it was clear that the LGO will have expectations that all contracts for commissioned services must contain adequate provisions for complaint handling.
- 5.5 The Ombudsmen's special report *Local partnerships and citizen redress*, issued in July 2007, made it clear that the LGO expects there to be clear protocols in place for complaint handling in commissioned services, or in situations where functions of the local authority are exercised by another body.
- 5.6 The Council's Corporate Complaints Manager and the Council's Legal Services have been working on developing a suite of model clauses on complaint handling which can be used in all contracts for procured services. Once completed, this will provide robust and consistent requirements which will underpin and support effective contract monitoring.

6.0 Learning from complaints

- 6.1 Complaints provide valuable insights into services which need improving or procedures that need revision. Service managers are expected to consider whether a complaint – even if it is not upheld – highlights a need to review working practices.
- 6.2 Equally important is the need to ensure that identified service improvements are seen through to implementation. We have introduced a more rigorous process of accountability and monitoring to ensure that improvements which have been highlighted and promised to complainants are translated into action with the minimum delay. These will be regularly reported to the Assistant Director of Community Care. Complaints are a standing item on the CCMT agenda and all complaints are reviewed and service improvements actioned as a result.
- 6.3 The following are some of the service improvements identified from complaints considered during the year.

Brent Learning Disabilities Partnership

- 6.4 The need was identified for all assessments to be high-quality and, subject to the effective exercise of the Council's safeguarding responsibilities, agreed where possible with relatives and carers. In circumstances where it is not possible to engage relatives/carers in the assessment process, independent advocacy will be provided. An independent advocacy service is currently being procured.
- 6.5 We have recognised that previous consultation has not been as effective as it should have been and future consultation will be meaningful and outcome focused. Adult Social Care will work closely with the Corporate Consultation Team to ensure this.

Access and assessment

- 6.6 A complaint revealed the need for regular reviews of people in residential care, and the need to work with service users and their families to promote a higher quality of care.

Older people's services

- 6.7 A complaint revealed the need for regular reviews of people in residential care, and the need to work with service users and their families to promote a higher quality of care. Review performance was scrutinised and action put in place to improve performance.
- 6.8 Another complaint highlighted some practice issues around dealing with allegations of abuse, in particular the need for the alleged perpetrator to be spoken to following an initial strategy meeting. The Principal Manager, Safeguarding, has raised the need for guidance on this issue in the context of the Pan London review of the Safeguarding Adults procedures.
- 6.9 The same complainant led to an instruction that the care needs of a person who has been subject to abuse must be reviewed once a Safeguarding Alert has been made. In addition, the Safeguarding investigation needs to be kept separate from ongoing case management

Physical disabilities services

- 6.10 As a result of a complaint where a service user waited for more than a year for an occupational therapy assessment despite being a priority case, a more robust IT management system has been identified as necessary so that all urgent referrals can be captured in a specific folder on the database.
- 6.11 The need for appropriate cover in the event of unforeseen staff absences led to a service user's placement not being arranged as it should have been.
- 6.12 An investigation of a complaint involving both Housing and Community Care services recommended a review of the social services nomination procedure to ensure that it is as streamlined as possible. A review of the nomination procedure has been carried out and a new procedure has been issued to all staff.

6.13 A complaint about the delay in registering a service user as disabled led to the agreement in principle that an occupational therapist should be able to complete the process, rather than having to refer the request to another team. This has led to changes in the organisational structure as well as increasing the range of officers who will be able to initiate and process basic generic service requests through an electronic system.

Brent Mental Health Services

6.14 I have already referred to the review of the procedure for storing clients' property in paragraphs 4.13 and 4.14 above.

6.15 Other identified service improvements included the need for mental health practitioners to be clear about the Council's responsibility to pay service charges when a client is placed in supported accommodation under section 117 of the Mental Health Act.

6.16 A training need was identified for staff to receive additional training on personalisation, including Direct Payments, Individual Budgets and Self-directed Support. A comprehensive training program was put in place.

Finance team

6.17 A complaint identified the need for improvement in the standard of letters sent to customers about their financial contributions, and another highlighted communication issues that need addressing

6.18 A third complaint revealed the need for clarity about interest charges to be levied when a charge is placed on a property. In both these points we are reviewing our correspondence we send to customers and communication between departments.

Contracted services

6.19 One high profile complaint, investigated by an independent investigator, led to a wide-ranging review of the standard care provided by one home care service provider. The Head of Service was to oversee the development of an action plan to monitor the progress in improving services including a defined target for the agency to have a registered manager in place in order to meet Care Quality Commission recommendations. The home care provider now has a manager in place and has achieved a two star rating.

6.20 Other issues arising from this complaint were:

- the need for improvement in the agency's complaint handling
- the need for contract monitoring officers to be fully aware of the need to consider potential Safeguarding issues when concerns were reported about a vulnerable client's needs not being met
- the need for a review of the policies of contracted home care providers relating to the administration of medicines to ensure that systems and arrangements are compatible with advice from the regulator and the Council.

General customer care issues

6.21 A number of complaints revealed failures to observe the Council's customer care policies and standards. For example:

- The importance of following up on service requests made by clients or their representatives
- Training needs in handling difficult situations, dealing with customers' dissatisfaction and complaints
- The need to communicate major decisions in writing to avoid misunderstandings
- Staff and agency workers' attitude and behaviour towards customers
- The need to deal with correspondence in an appropriate and timely way

6.22 The Council's customer care standards and expectations will be reinforced by a mandatory training programme during 2010/11.

7. Priorities for 2010/11

7.01 Our departmental priorities for the year are:

- To ensure all complaints are captured, wherever and however they are received
- To put in place a system of effective follow up to all complainants whose concerns have been passed to a Head of Service to resolve with one working day, and all complainants who have been sent a provisional response
- The Complaint Manager to work with Heads of Service to improve complaint handling in the department and compliance with the Council's targets and standards for complaint handling
- To monitor and review the mechanism for ensuring that recommendations for service improvement are seen through to implementation
- To ensure effective complaint handling protocols and requirements are built into to all contracted services and service level agreements
- To ensure that the department is equipped to respond to the new challenge of the Local Government Ombudsman's extended jurisdiction.

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Housing and Community Care complaints manager July 2010

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Background papers available on the Local Government Ombudsman's website www.lgo.org.uk:

Local Government Ombudsman Annual Review for the year ended 31 March 2010
Local Government Ombudsman Special Report *Local partnerships and citizen redress*



**One Council
Overview and Scrutiny Committee
8 December 2010**

**Report from the Director of Strategy,
Partnerships and Improvement**

For Information

Wards Affected:
ALL

Carbon Management Programme (Tranche 3)

1.0 Outline of the project

- 1.1 The Carbon Management Programme (Tranche 3) will reduce the Councils CO2 emissions across all Council operations; reduce costs associated with carbon e.g. energy use and the new tax levied through the Carbon Reduction Energy Efficiency Scheme (CRC); take advantage of opportunities of generating income from the 'Feed in Tariff'; and contribute to mitigating the effects of Climate Change.
- 1.2 The Programme will build and improve on the Carbon Management Plan 2007 and the Carbon Management Second Review 2009. It adopts a new 2009/10 baseline which is based on CRC requirements, sets out how to meet the 25% CO2 reduction target as stated in the Borough Plan 2010-2014 and shows how the Council is setting an example to others in the borough.
- 1.3 The Programme will;

Carbon reduction

- Reduce CO2 emission across all Council operations
- Embed carbon reduction and encourage behaviour change across the Council and demonstrate to staff and managers that carbon reduction can improve overall performance and provide financial benefits to the Council in the form of cost savings.

Financial savings and income generation

- Save the Council money associated with the CRC tax
- Save the Council money associated with its energy costs.

- Generate income from the 'Feed in Tariff'.

Reputation

- Provide a good performance in the CRC league table.
- Continue to improve the Council's reputation as a 'Green Council' and to be an exemplar organisation.

Strategy

- Implement measures to meet the target in the new Borough Plan, 'Brent Our Future 2010-2014', of a 25% reduction in the Council's CO₂ emissions by 2014.

Climate Change

- Reduce carbon so that the Council can show that it is helping to mitigate the effects of climate change and set an example for the rest of the borough and therefore demonstrate that it is contributing to achieving the borough's Climate Change Strategy.

2.0 What has happened so far

- 2.1 A concept paper has been produced and approved by the One Council Programme Board and the business case is currently under development. Therefore the Programme is still at an early stage and yet to be agreed.
- 2.2 The Council's 2009/10 carbon emissions totals 36,116 tonnes per annum and the breakdown indicates that schools' emissions comprise 47%, Council premises 31%, street-lighting 19%, fleet vehicles 2.7% and business mileage claims 0.3%.
- 2.3 An initial scoping exercise of projects that will deliver the aims of the Programme has been undertaken in the following areas;
- Council property portfolio, including the move to the Civic Centre
 - Council staff behaviour changes
 - Transport/ Travel
 - Street lighting
 - Procurement and Contractors, including purchasing energy efficient equipment
 - Auditing, monitoring and progress
 - Schools' property portfolio
 - Schools' staff and pupil behaviour changes/sustainability programme
- 2.3 As part of developing the business case, the Programme is considering three options in order to address the efficiency savings and meeting the CO₂ reduction target:
- **Option One** - Do nothing

- **Option Two** - Business as usual – no investment beyond current levels
- **Option Three** - Invest to Save and Feed In Tariff

2.4 The first option has been rejected as the CRC tax is a new levy on the Council and the estimated cost will be around £435,240, based on 2009/10 emissions of 36,116 tonnes, payable from April 2012 when the CRC levy is introduced. The levy is expected to increase in future years. The target of reducing CO2 emissions by 25% CO2 by 2014 (9,029 tonnes) would not be met under option one.

2.5 Option two was considered acceptable in the short term as long as CRC tax remained at £12 per tonne and the Council's budget could afford to meet the additional CRC levy when it is introduced. How schools might make a financial contribution to this levy is still under discussion. However, by 2014, this course of action would only deliver part of the 25% CO2 reduction target.

2.6 Option three is considered the best option in delivering long term value for money, reducing the Council's payments under the CRC levy, meeting the 25% CO2 reduction by 2014, generating additional income and helping to meet longer term national targets.

2.4 The projects currently being examined to deliver option three will mainly involve the following areas;

- Council property.
- Schools' property.
- Streetlighting.
- Behaviour change.
- Business travel.
- In future, all councillors, directors, service managers and staff to embed carbon management into all council services, activities, operations and projects.
- To engage with the other 31 'One Council Improvement and Efficiency Projects' in order to identify their potential contribution to saving carbon emissions.
- To liaise with the Carbon Trust, Energy Solutions and schools by using internal and external advice in order to establish which projects will provide the biggest savings to meet the above targets.

3.0 Difficulties and risks

3.1 This programme has long term consequences for the Council and will affect future budgets, particularly from April 2012 onwards (when the CRC levy is introduced), the Council's reputation and the Council's contribution to implementing the borough's Climate Change Strategy. The main risks are:

- A high level of CO2 emissions will incur a higher level of tax.
- A poor position in the CRC league table will harm the Council's reputation.
- Higher energy bills.
- Loss of income from the Feed in Tariff.
- The Council is not perceived as taking measures to mitigate Climate Change
- A lack of budget from 'Invest to Save' in order to make the longer term savings.
- The 25% carbon reduction target is unachievable in the time available.
- Schools' emissions contribute significantly to the Council's total emissions and therefore heavily influence the Council's obligations under the CRC levy. Yet, at present, schools cannot be recharged. Therefore there is a risk of non engagement by schools and no incentives to stabilise or reduce their CO2 emissions. There is a clear need to engage with schools on this issue and to persuade or incentivise them to reduce their use of energy.
- The CO2 emissions from the Council's own business travel and use of its fleet are not reduced. Persuasion and changes in behaviour are intended to address this.

4.0 Next steps

- 4.1 A framework will be prepared for considering the various CO2 saving projects within the Council and schools and included in the business case.
- 4.2 A detailed analysis will be undertaken on each potential CO2 reduction project within the programme by the Service responsible, once an agreed framework is in place.
- 4.3 Once each project has been scoped, further work will be carried out by the Environmental Projects and Policy team, the Programme Management Office, Finance and Corporate Services, Property and Asset Management and the appropriate Service to prepare the 'Invest to Save' case for each project.
- 4.4 Property and Asset Management will be reviewing the schools investment/ maintenance/ plant servicing contracts and will seek to ensure the programme takes explicit account of energy consumption. The consumption data is now available because of the CRC requirements, ongoing work moving schools to centralised energy procurement (Lazer) and that the Display Energy Certificate data is available. These will all help to provide a solid benchmark for measuring outcomes.
- 4.5 An overarching business case will be prepared for implementing the individual projects and to identify the additional resources that will be required in order to minimise the Council's obligations under the CRC levy, to reach the 25% CO2 reduction target by 2014 and to maximise the income from the Feed in Tariff.

Background Papers

Carbon Management Strategy and Implementation Plan 2007 Carbon Management Second Review 2009

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