

Appendix C – 2018/19 Complaints Root Cause Summary & Improvement Actions by Department

Data caveat – The summary below is based on cause of complaints as recorded on iCasework for corporate and statutory cases closed in 19/20 with the root cause identified on the system. Each case can have multiple root causes (instances). The table below captures instances by Service.

Community Wellbeing Department - Housing Directorate (776 instances)

Root Cause	Actions
<p>Repairs – 191 instances; 137 upheld/partly upheld</p> <ul style="list-style-type: none"> • Delay in job completion/ jobs being raised – 75 • Service no up to standard/ as agreed – 31 • Service not provided – 18 • Poor communication - 17 • Unfinished works/repairs - 13 • Third party failure - 13 • Policy or procedure – 10 • Quality of workmanship – 8 • Appointments – 6 <p>Customer Care– 184 instances; 112 upheld/partly upheld</p> <ul style="list-style-type: none"> • Delay in contacting customer- 37 • Inaccurate information provided / recorded – 29 • Attitude - 22 • Third party communication failure – 22 • Poor communication – 22 • Service failure – 21 • Letters / Emails / Phones not answered - 20 • Incorrect Action – 6 • Other - 5 <p>Housing Options – 51 instances; 20 upheld/partly upheld</p> <ul style="list-style-type: none"> • Policy or procedure – 17 • Delay in processing application/ completing review – 12 • Communication – 9 	<p>HMS – Property Services</p> <ul style="list-style-type: none"> ▪ HMS - Property Services carries out over 30,000 repairs a year. ▪ The service has introduced the following measures to help improve service delivery: <ul style="list-style-type: none"> - Integrated Assessment Management Contact Improvement plan focused on rectifying service issues identified in customer satisfaction surveys; - Access policy covering access to council and leaseholder properties to fix leaks and other repairs; - Scaffolding protocol for all scaffolding contracts and weekly management of scaffolding arrangements (Wates ceased using two scaffolding sub-contractors because of poor performance). ▪ Customer service training rolled out for service staff from October 2018. ▪ New IT installed in February 2019 ▪ New operational strategy in place to improve customer satisfaction ▪ This includes: <ul style="list-style-type: none"> ▪ Training to diagnose repairs more accurately at source ▪ Contact centre trained in managing demand and resource ▪ Making 400 appointments for repairs a week ▪ 90% of repairs completed within two weeks of telephone call

Root Cause	Actions
<ul style="list-style-type: none"> • Service provided not up to standard/as agreed – 7 • Suitability of accommodation – 5 • Third party failure – 1 <p>Public Realm – 49 instances; 41 upheld/partly upheld</p> <ul style="list-style-type: none"> • Service failure – 20 • Internal / External cleaning – 16 • Communal trees – 5 • Parking – 5 • Third party failure – 2 • Policy or procedure – 1 <p>Tenancy – 46 instances; 30 upheld/partly upheld</p> <ul style="list-style-type: none"> • Policy or procedure – 18 • Service not up to standard/ as agreed - 12 • Service not provided – 6 • Third party failure - 6 • Service delayed – 4 <p>TA Support – 39 instances; 14 upheld/partly upheld</p> <ul style="list-style-type: none"> • Suitability of TA - 20 • Length of time in B&B/TA - 8 • Officer conduct - 6 • Service not up to standard – 2 • Band Assessment – 1 • Policy or procedure – 1 • Service delayed - 1 <p>Private Housing Services – 39 instances; 12 upheld/partly upheld</p> <ul style="list-style-type: none"> • Enforcement – 18 • Service failure – 9 • Housing advice – 5 • Quality of work – 4 • Policy or procedure – 3 	<p>HMS - Customer Service</p> <ul style="list-style-type: none"> ▪ HMS - Customer Service manages over 12,000 tenants and leaseholders in Brent. ▪ Service improvements include: <ul style="list-style-type: none"> - Review of operational interface between Brent Housing Management and the Community Protection Team (CPT) completed. This has improved the responsiveness of ASB cases referred to the CPT. Together with improving collaboration and communication between both teams - Introduction of case huddles which are being used to manage complex cases across the housing department. This has enabled rapid resolution to complex and cross-departmental work - Customer friendly writing course rolled out across the Housing Department. This has equipped staff more accessible written communication to residents - Clear customer service performance standards incorporated in annual appraisals, including a range of quantitative outputs and a set of behavioural standards <p>Housing Needs</p> <ul style="list-style-type: none"> ▪ The Housing Needs service receive over 5,000 homelessness approaches per year. ▪ A review of homelessness services has been conducted, and a draft Homelessness and Rough Sleeping Strategy has been produced. ▪ One of the proposed commitments of the strategy is to fully understand the challenge of homelessness in Brent and how it is experienced by individuals so we can develop informed, targeted solutions, and continually improve the quality of the services we deliver. ▪ We will measure residents’ perception of the services we provide, ensuring they are empathetic and supportive. We intend to achieve a 2% year on year improvement

Root Cause	Actions
<p>Planned Maintenance – 27 instances; 11 upheld/partly upheld</p> <ul style="list-style-type: none"> • Service not up to standard/ as agreed - 9 • Third party failure – 9 • Service delayed – 5 • Policy or procedure – 3 • Service not provided – 1 <p>Anti-Social Behaviour – 25 instances; 18 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Service not provided/ up to standard/ as agreed – 10 • Third party failure - 6 • Policy or procedure – 5 • Service delayed – 4 <p>Leasehold Services – 24 instances; 12 upheld/partly upheld</p> <ul style="list-style-type: none"> • Tenants / Leaseholders - 6 • Section 20 notice - 5 • Service charge – 5 • Repairs – 2 • Incorrect action – 2 • Service failure – 2 • Right to buy – 1 • Communal upkeep -1 <p>Building Services – 21 instances; 13 upheld/partly upheld</p> <ul style="list-style-type: none"> • Delays in job completion – 11 • Service failure – 8 • Policy or procedure - 1 • Insurance claims – 1 <p>Member / General Enquiry – 20 instances; 7 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Service not up to standard/ as agreed – 7 • Policy or procedure – 5 • Third party failure – 4 	<p>Private Housing Services (PHS)</p> <ul style="list-style-type: none"> ▪ Private Housing Services (PHS) manages 12,500 licenced properties, carries out 1,500 enforcement inspections annually, and carries out approximately 450 Small Works Grants and 400 Major adaptations grants each year ▪ Feedback from customer satisfaction surveys is used to improve service delivery. ▪ The service has ISO 9001:2015 quality system accreditation and complaints are discussed regularly with individuals and at team meetings.

Root Cause	Actions
<ul style="list-style-type: none"> • Service delayed – 3 • Service not provided – 1 <p>Mechanical & Electrical – 19 instances; 7 upheld/partly upheld</p> <ul style="list-style-type: none"> • Third party failure – 9 • Disagreement with policy or procedure – 5 • Service not provided/ up to standard – 4 • Service delayed – 1 <p>Single Homelessness Team – 16 instances; 9 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Officer conduct – 9 • Suitability of private sector offer – 3 • Application delay – 2 • Policy or procedure – 1 • Service not up to standard - 1 <p>Rehousing – 12 instances; 2 partly upheld</p> <ul style="list-style-type: none"> • Application – delays/progress - 5 • Band assessment – 4 • Communication – 2 • Policy or procedure – 1 <p>Rent Income – 10 instances; 5 upheld/partly upheld</p> <ul style="list-style-type: none"> • Tenants / Leaseholders– 4 • Eviction – 2 • Arrears dispute - 2 • Service not provided - 2 <p>Lettings – 3 instances; 3 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Viewing arrangements – 3 	

Community Wellbeing Department – Adult Social Care Directorate (58 instances)

Root Cause	Actions
<p>Commissioning, Contracting and Market Management – 22 instances; 9 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Poor service – 14 • 3rd party contractor issues – 4 • Service not provided – 3 • Correspondence issues – 1 <p>Adult Services - Complex Care – 18 instances; 7 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Poor service – 8 • Assessments - 7 • Communication - 2 • Service not provided – 1 <p>Adult Services - Urgent Care – 10 instances; 3 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Service failure - 5 • Communication - 2 • Vulnerable adults – protection - 1 • Investigation - 1 • Discharge – 1 <p>Partnerships & Integration – 4 instances; 2 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Poor service - 1 • Poor attitude - 1 • Correspondence Issue - 1 • Day Centres - 1 <p>Central North West London (CNWL) – 4 instances; 4 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Correspondence issues – 2 • Poor service/ attitude – 2 	<p>Adult Social Care</p> <ul style="list-style-type: none"> ▪ ASC received 3,958 contacts from individuals with at least one contact through Brent Customer Services (BCS) or the Duty Team. ▪ ASC assessed 2,440 service users for homecare services and 923 were assessed for residential / nursing services. ▪ There were 2,515 individuals who received section 5 hospital discharge assessments. ▪ Service improvements include the reduction of waiting times for non-urgent care needs and assessments from 16 weeks to one week. ▪ The feedback/learning from complaints is discussed with individual staff members, at team meetings and management meetings to help improve service delivery. ▪ Information on learning from complaints can also be found in Appendix A.

Community Wellbeing Department - Culture Directorate (71 instances)

Root Cause	Actions
<p>Libraries – 48 instances; 26 upheld/partly upheld</p> <ul style="list-style-type: none"> • Customer service – 20 • Other customers – 7 • Premises / environment - 5 • Computer provision – 4 • events and exhibitions - 3 • Fees, charges and payments - 3 • Heritage service - 2 • Online access - 2 • Reservations – 1 • Stock and loans - 1 <p>Sports facilities – 23 instances; 16 upheld/partly upheld</p> <ul style="list-style-type: none"> • Staff / Customer service - 6 • Showers/ toilets and changing facilities – 5 • Activity room – 4 • Gym – 3 • Payments – 1 • Car park – 1 • Health suite - 1 • Café/ vending - 1 • Information - 1 	<p>Culture Service</p> <p>Libraries</p> <ul style="list-style-type: none"> ▪ In 18/19 the library service had over 35,500 active borrowers and over 2,500,000 visits. The service also underwent a staffing restructure which introduced new roles and staff into the service. There was also a change in the library management system – the core software providing customer account management and public catalogue access which caused some disruption to users during the transition. ▪ Actions taken to mitigate and reduce complaints include: <ul style="list-style-type: none"> - Staff inductions, training and performance management - Regular discussion of complaint issues with individual staff, teams and management teams - Policy reviews and clarifications in relation to customer access - Changes and improvements to the library management system - Refurbishment works are also in process at Ealing Road and Kingsbury Libraries to address complaints and issues regarding the premises and facilities on those sites - A project is also underway to replace the library public computer network to address the performance issues there <p>Sports Facilities</p> <ul style="list-style-type: none"> ▪ Actions taken to mitigate and reduce complaints include: <ul style="list-style-type: none"> - Leisure Client Officer meets regularly with the centre managers to discuss performance - Leisure Client Officer attends performance meetings with Performance, Improvement and Insight Team - Complaints are directed back to the sports centre managers - Schedule of works for maintenance at centres - Staff training – e-learning modules and In house training

Regeneration & Environment Department (522 instances)

Root Cause	Actions
<p>Parking & Lighting– 225 instances; 85 upheld/partly upheld</p> <p><i>Parking – 194 instances; 73 upheld/ partly upheld</i></p> <ul style="list-style-type: none"> • Parking enforcement – 97 instances • Parking Permit - 41 • Parking Other – 39 • Parking Bays – 11 • Car Parks – 6 <p><i>Trees and Lighting - 31 instances; 12 upheld/ partly upheld</i></p> <ul style="list-style-type: none"> • Trees – 20 • Lighting – 9 • Highways – 2 <p>Environmental Improvement – 118 instances; 42 upheld/partly upheld</p> <ul style="list-style-type: none"> • Service not up to standard/ as agreed - 28 • Waste and recycling collection – 27 • Policy or procedure – 17 • Service delayed – 8 • Street cleaning/ litter bins – 11 • Communication – 8 • Third party failure – 7 • Service not provided – 6 • Pest Control – 3 • Contractor conduct – 3 	<p>Parking & Lighting</p> <ul style="list-style-type: none"> ▪ During the year the Parking & Lighting Service issued approximately 192,000 penalty charge notices (PCNs), processed over 38,000 parking permits and administered 250,000 visitor parking bookings ▪ Service area improvements include: <ul style="list-style-type: none"> - review of Enforcement plan and targeted enforcement activity put in place to address hotspots; - a specific issue last year caused by a change in the Notice Processing IT system has been fully resolved - parking contractor given clear timetable of parking suspensions and signage required and related PCN review process in place; - permit complaints addressed by system changes and/or customer advice; - tree maintenance requests/complaints considered against a planned schedule of tree maintenance across the borough and budget consideration <p>Environmental Improvement</p> <ul style="list-style-type: none"> ▪ The Environmental Improvement service responsibilities include Council parks, open spaces and cemeteries; and management of refuse and recycling services for approximately 120,000 households in the borough. ▪ Neighbourhood Management - including the Neighbourhood Managers and Environmental Enforcement is the lead service for responding to customer contact and response for concerns over missed collections, street cleaning or waste crime such as dumping or littering. ▪ With the Public realm contractor struggling over the summer period to maintain adequate staffing resource and the removal of street bins and litter picking in Zone 5's as part of the savings program for this year there have been some issues regarding service delivery and levels of street litter. ▪ Overall these issues were relatively low in number and have been largely contained, addressed or otherwise dealt with and the Public Realm Contractor is now actively recovering service delivery to the required standard.

Root Cause	Actions
<p>Highways and Infrastructure – 73 instances; 26 upheld/partly upheld</p> <ul style="list-style-type: none"> • Dropped Kerbs/Illegal Drop Kerbs – 19 • Footway Defects /Information / Relay Schemes - 10 • Carriageway Defects & Potholes– 8 • Service failure - 8 • Road Signs & Markings – 5 • Parking scheme issues - 5 • Highways information and advice – 5 • Disabled parking bays – 4 • Flooding – 3 • Policy or procedure - 4 • Utility Companies/Works – 2 <p>Planning, Transport and Licensing and– 69 instances; 19 upheld/partly upheld</p> <ul style="list-style-type: none"> • Planning Application – 28 • Planning enforcement - 19 • Decision made – 10 • Service not provided/ up to standard – 5 • Policy or procedure - 3 • Communication – 2 • Service delayed - 2 <p>Community Safety and Public Protection – 22 instances; 11 upheld/partly upheld</p> <ul style="list-style-type: none"> • Nuisance – 11; Service – 1; Customer Care – 4; Member / General Enquiry – 2; CCTV – 2; ASB – 2 <p>Employment, Skills and Enterprise – 6 instances; 4 upheld</p> <p>Building Control – 5 instances; 0 upheld</p> <p>Food standards and safety – 2 instances; 1 partly upheld</p> <p>South Kilburn Programme – 2 instances; 0 upheld</p>	<p>Planning, Transport and Licensing</p> <ul style="list-style-type: none"> ▪ The Planning service processed over 5,300 planning applications during 2018/19. ▪ The main causes of complaints were planning applications, decisions, or enforcement (57 instances). ▪ It is recognised that planning decisions can be unpopular or controversial at times and complaints about planning decisions are managed through a separate appeals process. Service errors in the administration of planning applications are discussed at an individual and team level to help improve service delivery standards. <p>Highways and Infrastructure</p> <ul style="list-style-type: none"> ▪ The Highways & Infrastructure service is responsible for roads and pavements in Brent. ▪ Complaints related to highways defects is always contentious as not all reported defects are programmed for repair. This is dependent on intervention levels and priority. ▪ Expectation for addressing illegal vehicle crossings has increased with the establishment of an Environmental Enforcement team. ▪ Further work is required to improve performance on efficient processing and programming of vehicle crossings. A restructure of the service will address this issue.

Root Cause	Actions
<p>Housing Benefit/Council Tax Scheme – 108 instances; 64 upheld/partly upheld</p> <ul style="list-style-type: none"> • Change of circumstances – 48 • Reconsiderations/appeals – 20 • Overpayments & decisions – 20 • New claims – 11 • My Account portal - 5 • Discretionary housing payment - 4 <p>Council tax/recovery - 94 instances; 19 upheld/partly upheld</p> <ul style="list-style-type: none"> • Council tax – recovery – 40 • Billing, payments, discounts & exemptions – 32 • Account set up & enquiries – 14 • Enforcement Agents – 8 <p>BCS Contact Centre – 39 instances; 17 upheld/partly upheld</p> <ul style="list-style-type: none"> • Contact Centre - waiting times – 12 • Contact Centre - officer behaviour - 8 • Contact Centre - information and advice – 9 • Contact Centre - enquiry handling – 6 • Customer services – signposting – 4 <p>Customer Care – 23 instances; 14 partly upheld</p> <ul style="list-style-type: none"> • Customer service / Attitude – 9 • Contact Issues – 2 • Correspondence issues – 11 • Incorrect action taken – 1 	<p>Brent Customer Service (BCS)</p> <ul style="list-style-type: none"> ▪ BCS includes the Customer Contact Centre, Customer Service Centre, Revenues & Benefits service, Registration & Nationality service, Client Affairs Team, Debt Recovery and Concessionary Travel teams. The scale of BCS operations during 2018/19 included: 164,000 Contact Centre phone calls; 68,000 Contact Centre emails/web chat/tweets; over 121,000 live council tax accounts; over 25,000 live Council Tax Support claims and over 6,000 new Housing Benefit claims with more than 110,000 changes in circumstances in the year; 3,200 social care financial assessments; over 5,400 Blue Badge/Taxi Cards/Freedom pass applications. ▪ A significant proportion of Housing Benefit complaints are about the benefit calculations and appeals are then dealt with through a separate statutory process. We have noticed an increase in “outside of jurisdiction” complaints whereby some customers are using the complaints route instead of going through the correct (i.e. appeal) channels ▪ We have also seen an increase in the number of complaints related to the introduction of Universal Credit (UC) (despite this not being administered by the Council). There is sometimes confusion over whether claimants should be claiming Housing Benefit or UC (or, in certain circumstances, for instance when residents are in Temporary Accommodation), both. ▪ Council Tax recovery complaints stem significantly from an exercise chasing historical debt, in addition to complaints about billing, discounts and exemptions, which are all statutory functions but nevertheless likely to produce complaints, even though these are often not upheld. ▪ Client Affairs Team complaints have significantly reduced mainly because of concerted efforts to improve telephone and email answering, while Concessionary Travel Team complaints have also reduced significantly following the clearance of backlogged applications on the team ▪ There was an increase in staff turnover during 2018/19. As a result, a number of new staff joined the team. The Management Team have been coaching and developing new recruits to demonstrate the right behaviours to address the root causes of complaints upheld.

Root Cause	Actions
<p>Concessionary Travel – 21 instances; 14 upheld/partly upheld</p> <ul style="list-style-type: none"> • Blue badge service – 14 • Blue badge communication – 3 • General enquiry - 2 • Policy or procedure – 1 • Freedom pass – 1 <p>Service – 16 instances, 7 upheld/partly upheld</p> <ul style="list-style-type: none"> • Poor Service – 8 • Service not provided – 3 • Service not up to standard – 4 • Contractor issues - 1 <p>Client Affairs – 13 instances; 4 upheld/partly upheld</p> <ul style="list-style-type: none"> • Invoicing/ payments – 8 • Assessments – 6 • Policy or procedure – 1 <p>Registration and Nationality – 11 instances; 10 upheld/ partly upheld Communication – 7 Service no up to standard – 4</p> <p>Overpayments/SD/AR – 9 instances; 4 partly upheld</p> <ul style="list-style-type: none"> • Recovery – 8 • Invoicing / Billing – 1 <p>Contractor Issues – 8 instances; 0 upheld General – 6 instances; 6 upheld/ partly upheld Client FM – 5 instances; 1 upheld Legal services – 3 instances; 1 upheld Business rates – 1 instance; not upheld Finance – 3 instances; 0 upheld</p>	

Children & Young People Department (129 instances)

Root Cause	Actions
<p>Social Workers – 33 instances; 15 upheld/partly upheld</p> <ul style="list-style-type: none"> • Service Failure - 20 • Communication – 12 • Policy or procedure - 1 <p>Customer Care – 19 instances; 11 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Delay in contacting customer – 2 • Staff conduct/ behaviour - 5 • Contact Issues - 5 • Inaccurate information provided/ recorded – 2 • Service not up to standard – 4 • Incorrect action taken – 1 <p>Service Failure – 15 instances; 8 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Service not provided – 7 • Not up to standard – 5 • Third party failure – 3 <p>Assessments – 14 instances; 8 partly upheld</p> <ul style="list-style-type: none"> • Service not provided/not up to standard – 9 • Service delayed - 2 • Communication – 3 <p>In year admissions/ transfer admissions – 10 instances; 4 partly upheld</p> <ul style="list-style-type: none"> • Communication - 4 • Service failure – 5 • Policy or procedure – 1 	<p>CYP</p> <ul style="list-style-type: none"> ▪ CYP in 2018/19 received 3,908 referrals and completed 3,874 Child & Family Assessments. As at 31 March 2019 the Council had 2,502 open children in need cases and 298 children were the subject of a child protection plan. There were 299 looked after children for the year and the were 317 care leavers aged 17-21. ▪ Learning points from complaints are discussed with individual staff and in team meetings and there is ongoing work with managers to improve service delivery.

Root Cause	Actions
<p>Leaving Care – 8 instances; 4 partly upheld</p> <ul style="list-style-type: none"> • Service Failure – 6 • Policy or Procedure – 2 <p>Placements – 6 instances; 3 partly upheld</p> <p>Communication – 3</p> <p>Service not up to standard/ as agreed – 3</p> <p>Corporate Parenting – 4 instances; 4 partly upheld</p> <p>Finance/LAC Finance – 4 instances; 2 upheld</p> <p>Family Social Work – 4 instances; 2 upheld/partly upheld</p> <p>Policy or procedure – 2 instances; 1 upheld</p> <p>CIN meetings and family conferences – 2 instances, 2 upheld/ partly upheld</p> <p>Family Support – 2 instances; 0 upheld</p> <p><i>Root cause with only one instance</i></p> <p>Care package – 1, Court reports – 1, Education - 1, Fostering 1, Health and safety – 1,</p>	

Performance, Policy & Partnerships (21 instances)

Root Cause	Actions
<p>Electoral Services – 10 instances; 4 upheld/partly upheld</p> <ul style="list-style-type: none"> • Electoral register - 7 • Communication – 3 <p>Information Governance – 4 instances; 1 partly upheld</p> <ul style="list-style-type: none"> • Policy or procedure – 1 • Service failure – 3 <p>Communications - 3 instances; 3 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Communication – 2 • Service delayed - 1 <p>Performance Improvement – 3 instances; 2 upheld/ partly upheld</p> <ul style="list-style-type: none"> • Policy or procedure – 1 • Communication – 2 <p>Strategy and Partnerships – 1 instance; upheld</p> <ul style="list-style-type: none"> • Service delayed - 1 	<p>Performance, Policy and Partnerships</p> <ul style="list-style-type: none"> ▪ Service improvements resulting from complaints are discussed with managers and raised at team meetings. Complaints are seen as an important part of learning and help to improve the quality of service that is provided.