

# Public Document Pack



## **OVERVIEW & SCRUTINY COMMITTEE**

Tuesday, 23 July 2019 at 7.30 pm  
Conference Room, Civic Centre, Silver  
Street, Enfield, EN1 3XA

Contact: Elaine Huckell  
Scrutiny Officer  
Direct: 020-8379-3530  
Tel: 020-8379-1000

E-mail: [elaine.huckell@enfield.gov.uk](mailto:elaine.huckell@enfield.gov.uk)  
Council website: [www.enfield.gov.uk](http://www.enfield.gov.uk)

Councillors : Susan Erbil (Chair), Tolga Aramaz, Guner Aydin, Sinan Boztas,  
Bernadette Lappage, Achilleas Georgiou (Vice-Chair), Edward Smith and Lee David-  
Sanders

Education Statutory Co-optees: 1 vacancy (Church of England diocese  
representative), Simon Goulden (other faiths/denominations representative), Tony  
Murphy (Catholic diocese representative), Alicia Meniru & 1 vacancy (Parent  
Governor Representative).

Enfield Youth Parliament Co-optees (2)  
Support Officer – Susan O’Connell (Governance & Scrutiny Officer)  
Elaine Huckell (Governance & Scrutiny Officer)

## **AGENDA – PART 1**

### **1. WELCOME & APOLOGIES**

### **2. DECLARATIONS OF INTEREST**

Members of the Council are invited to identify any disclosable pecuniary,  
other pecuniary or non-pecuniary interests relevant to the items on the  
agenda.

### **3. COMPLAINTS AND INFORMATION ANNUAL UPDATE (Pages 1 - 30)**

To receive the following reports from Dionne Grant, Complaints & Access to  
Information Manager:

- Adults Statutory Complaints Annual Report 2018-19
- Children’s Statutory Complaints Annual Report 2018-19
- Corporate Annual Complaints and Information Report 2018-19

### **4. MINUTES OF MEETING 18 JUNE 2019 (Pages 31 - 38)**

To agree the minutes of the meeting 18 June 2019.

**5. WORK PROGRAMME 2019/20** (Pages 39 - 42)

To review and agree the Overview & Scrutiny Committee Work Programme for 2019/20.

**6. DATES OF FUTURE MEETINGS**

To note the dates of future meetings as follows:

Business meetings of OSC

- Wednesday 4 September 2019
- Thursday 7 November 2019
- Wednesday 15 January 2020
- Thursday 13 February 2020
- Thursday 2 April 2020

Provisional Call-In dates

- Thursday 8 August 2019
- Thursday 19 September 2019
- Thursday 31 October 2019
- Thursday 28 November 2019
- Thursday 19 December 2019
- Thursday 30 January 2020
- Thursday 6 February 2020
- Wednesday 4 March 2020
- Thursday 26 March 2020
- Tuesday 28 April 2020

**REPORT TO: OSC****DATE:** 23 July 2019**REPORT TITLE:** Complaints and Information team annual update**REPORT AUTHOR/S:**

Dionne Grant

Dionne.grant@enfield.gov.uk

**PURPOSE OF REPORT:** To present 2018/19 annual complaints and information reports and update on future changes**SUMMARY:** There are 3 documents attached setting out the Council's performance in handling its casework (Complaints, FOIs and SARs) and action plan for lessons learnt and service improvements**1. BACKGROUND**

The following 3 documents are attached to this report for Cabinet's attention before they are made available to the public:

- Adults Statutory Complaints Annual Report 2018-19
- Children's Statutory Complaints Annual Report 2018-19
- Corporate Annual Complaints & Information Report 2018-19

**2. ISSUES AND CHALLENGES**

The centralised team has been through restructure and implemented new processes and procedures for improving case handling across the Council. There are now two separate team structures (one dealing specifically with complaints and information requests namely FOIs, EIRs, SARs; whilst the other details with all Member Enquiries). The complaints policy has also been revised as from 1 July 2019 whereby the final review stage now involves greater focus to ensure providing more detailed and quality assured response.

**3. RECOMMENDATIONS**

The following recommendations and action is required by the Committee:

- Note/receive the report for information

**4. NEXT STEPS**

These reports will now be made available for public access.

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## Adult Social Care

# Statutory Complaints Annual Report 2018-19

### Author

Dionne Grant  
Complaints and Access  
to Information Manager  
(Statutory and Corporate)

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## Executive Summary

More complaints are being resolved as part of early resolution; this year 56 concerns were resolved locally; an increase from 36 concerns resolved locally last year. There has also been an increase in formal complaints where 53 were completed during this period in comparison to 43 completed last year. Although complaint volumes are increasing, less complaints are being upheld. During this reporting year 34% of complaints were upheld whilst last year 40% were upheld. 91% of formal complaints were completed within the agreed timescale which is an increase from the 73% achieved last year. There were 14 enquiries from the Local Government and Social Care Ombudsman which has slightly increased from 12 last year. There have also been 40 compliments received during this period which has praised adult social care services; this has increased from 14 compliments received last year.

## 1. Introduction and Context

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This annual statutory complaint report covers complaints and compliments received by Adult's Social Care Services during the period 1 April 2018 to 31 March 2019. It highlights how the Directorate has performed against statutory timescales; organisational learning and service improvements that have been made from a result of listening and responding to complaints and plans for future development.

The Adult Social Care Statutory Complaints Procedures stipulate that an annual report must be produced for complaints made under the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (the Regulations).

The regulations dictate that the report should cover:

- The number of complaints received
- The issues highlighted
- Whether the complaints have been upheld or not
- Response times
- The number of cases referred to the Ombudsman's service

There is also a corporate requirement that all complaints made against the Council are recorded, responded to and that, as an organisation, we learn from complaints.

Information relating to the statutory complaint procedure is published on the Council's website and those wishing to complain can do so online. The Council encourages complaints to be made online however where this is not possible, complaints can also be made by email, telephone, letter and by post, including using the complaints leaflet.

## 2. Overview of the Service

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There is a dedicated team that manages complaints concerning Adult Social Care. The Complaints Team works in partnership with the National Health Service and Barnet, Enfield and Haringey Mental Health Trust to ensure that a single response is provided to cross-boundary complaints. These complaints, along with complaints concerning Adult Social Care are managed under the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (the Regulations).

Concerns relating to home care service providers are dealt with as service issues by the relevant social care teams and as such do not form part of this annual report. Complaints regarding concessionary travel are also dealt with outside of the statutory complaints process and therefore have not been included within this annual report.

## 3. Statistical information

### 3.1 Adult Social Care

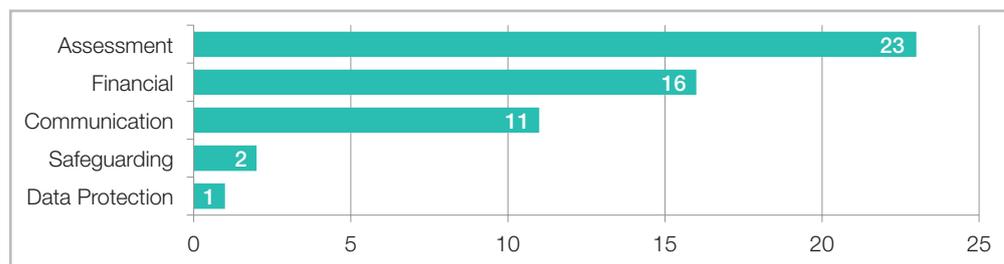
#### 3.1.1 Complaints received

The complaints policy promotes early resolution of complaints so we initially aim to address issues informally. If matters cannot be resolved locally with services, complainants may then progress matters through the formal complaints procedure. The Complaints and Access to Information Team supported operational teams to resolve 56 customer concerns before they became formal statutory complaints; this has increased from the 36 resolved last year.

During this reporting year, there were 53 formal complaints about adult social care services which is a relatively low number in comparison to the number of contacts that the Council has. Between 1 April 2018 and 31 March 2019, 7,045 people were in receipt of statutory Adult Social Care support services so complaints for this reporting period equates to only 0.75% of those receiving support. The volume of formal complaints has increased from last year where there were 43 formal complaints recorded.

The following chart shows a breakdown of issues for the formal complaints; most matters continue to relate to financial and social care assessments which is expected due to the nature of social work.

**Figure 1: Breakdown of formal complaint issues**



The following table shows breakdown of formal complaint volume and performance for each team.

**Table 1: Breakdown for formal complaints by team**

Team	Number of complaints completed	Not upheld	Response times		
			< 20 days	< 6 mths	> 6 mths
Care Management Services	12	10	11	1	0
Safeguarding Adults & Quality	2	2	1	1	0
Financial Assessment	5	3	2	3	0
Brokerage	6	2	3	3	0
Learning Disabilities	2	2	2	0	0
Hospitals/Enablement/Access/OT	26	16	18	8	0
<b>Total</b>	<b>53</b>	<b>35</b>	<b>37</b>	<b>16</b>	<b>0</b>

34% of the formal complaints investigated (18 of 53) were upheld. This upheld rate has decreased in comparison to last year where 40% of complaints had been upheld.

### 3.1.2 Response times

The Adult Social Care regulations specify that complaints should be acknowledged within three working days, by telephone or in writing. Complaints were generally acknowledged within this timeframe.

The regulations do not stipulate timescales but recommend that matters should be addressed within a six-month period. All complaints were resolved within the six-month period; the same performance as last year.

The regulations also require agreed response times based on the complexity and seriousness of the complaint. Response times were agreed for all the formal complaints. Of the 53 formal complaints, 51 (96.2%) were completed within the agreed response timescale. Our aim is to resolve 90% of formal complaints within the agreed timescale. This has been achieved and is also a significant improvement in comparison to last year where the agreed timescale was met for 73% of complaints.

## 4. Ombudsman Contact

If a complainant remains dissatisfied, they can ask for the Local Government and Social Care Ombudsman (LGSCO) to review the Council's final response.

During 2018/19, the LGSCO contacted the Council regarding 14 cases concerning adult care services. This has slightly increased from last year when there was contact for 12 cases. Five cases resulted in a full investigation which is the same as last year. 4 of the 5 investigations were upheld, equating to a 80% uphold rate. This uphold rate has increased in comparison to last year where there was a 60% uphold rate. The following table shows breakdown of the cases.

**Table 2: Breakdown of Ombudsman cases regarding adult care services**

Number of cases	Decision
1	Not upheld
4	Upheld
4	Closed after initial enquiries
5	Referred to the Council to investigate
<b>Total: 14</b>	

Apologies were given and remedies agreed for all the upheld complaints. Learning from these three cases resulted in the following action:

- Financial remedies
- Review of policies and procedures

## 5. Customer groups

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The complaint team encourages vulnerable adults to access independent advocacy to support them through the complaints process whenever appropriate to do so. During this reporting year, the customer groups who submitted complaints were as follows:

- 1 from advocate
- 1 from spouse
- 2 from parents
- 6 from vulnerable adults (service users)
- 43 from relatives

## 6. Learning from complaints

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The Council welcomes feedback about its services as this provides valuable information about customers' experiences of the services that they use. We publicise details of how to complain on the Council's website and in areas where the public has access. We also provide information on how to comment or complain whenever a new service commences.

Complaints are taken seriously, investigated and responded to with appropriate redress. The Council can address complaints in several ways and, at times, it is appropriate for meetings to take place between the complainant and the relevant manager to facilitate resolution.

Feedback from complaints is used for organisational learning and reports on complaint themes and actions taken are regularly presented to senior managers. Complaint action points are identified and monitored to ensure that any practice or service improvements are implemented, and that information is shared across the Council.

### 6.1 Actions taken from complaints

As shown earlier in this report, 34% of complaints were upheld. Apologies were given to all the complainants and learning from these 18 cases has resulted in the following summarised action points:

- Officers given feedback and reflected on customer experience and lessons learnt
- Amendments to internal processes
- Guidance clarified and issued to staff
- Officers reminded of importance to give accurate information; to share information with families in accessible and meaningful ways and to communicate in a clear and sensitive manner
- Waived charges/Recalculations of contributions/Accounts credited

## 7. Quality Assurance

The Complaints Team have systems in place to ensure that response timescales are met. This includes sending reminders of the deadline for responses to the assigned managers; escalating to a senior manager if there is no response within the specified timeframe; reporting to Directors regularly and highlighting to staff the importance of compliance in training programmes. The Complaints Team also monitor and assist with complaint responses to ensure that standards are met, and all aspects of the complaint are addressed. The support offered by the Complaints Team includes:

- Quality checking responses
- Arranging and chairing complaint meetings
- Liaising with complainants regarding timescales and desired outcomes
- Identifying key themes from complaints, devising action plans and ensuring organisational learning is implemented
- Regularly providing management and performance information
- Service development to improve how we respond to and learn from complaints

## 8. Compliments

The Council welcomes compliments from its users. Compliments help to highlight good quality service and give staff encouragement to continue delivering service of the highest standard. The following chart shows a breakdown of the 40 compliments received during 2018/19; an increase to the 14 compliments received in 2017/18. The following chart shows breakdown of cases.

**Figure 2: Breakdown of Compliments for Adult Social Care Services**





## Children Social Care

### Statutory Complaints

# Annual Report

## 2018-19

#### Author

Dionne Grant  
Complaints and Access  
to Information Manager  
(Statutory and Corporate)

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## Executive Summary

Complaints are continuing to be resolved as part of early resolution; this year 16 concerns were resolved locally; a slight decrease from 18 concerns resolved locally last year. There has been an increase in formal complaints where 43 were completed during this period in comparison to 33 completed last year. Although complaint volumes are increasing, less complaints are being upheld. During this reporting year 28% of complaints were upheld whilst last year 39% were upheld. Overall, 81.4% of formal complaints were completed within timescale which is an increase from the 78.8% achieved last year. There were 3 enquiries from the Local Government and Social Care Ombudsman which has slightly decreased from 4 last year. There have also been 55 compliments received during this period which has praised children social care services; this has increased from 31 compliments received last year.

## 1. Introduction and Context

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This annual statutory complaint report covers complaints and compliments received by Children's Social Care Services during the period 1 April 2018 to 31 March 2019. It highlights how the Directorate has performed against statutory timescales; organisational learning and service improvements that have been made from a result of listening and responding to complaints and plans for future development.

The Children's Social Care Statutory Complaints Procedures stipulate that an annual report must be produced for complaints made under the *Children Act 1989 Representations Procedure (England) Regulations 2006* and in line with published guidance 'Getting the Best from Complaints'.

The regulations dictate that the report should cover:

- The number of complaints received
- The issues highlighted
- Whether the complaints have been upheld or not
- Response times
- The number of cases referred to the Ombudsman's service
- Which customer groups have made complaints
- Advocacy services provided
- Statistical data relating to the age, gender, disability, ethnicity and sexual orientation of the complainant

There is also a corporate requirement that all complaints made against the Council are recorded, responded to and that, as an organisation, we learn from complaints.

Information relating to the statutory complaint procedure is published on the Council's website and those wishing to complain can do so online. The Council encourages complaints to be made online however where this is not possible, complaints can also be made by email, telephone, letter and by post, including using the complaints leaflet.

## 2. Overview of the Service

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There is a dedicated team that manages complaints concerning Children's Social Care. The statutory complaints procedure involves a 3-stage escalation process. Stage 1 is addressed by the relevant service; Stage 2 is an in-depth independent investigation (usually by an external investigator) and Stage 3 involves the complaint being heard by a review panel of independent members.

## 3. Statistical information

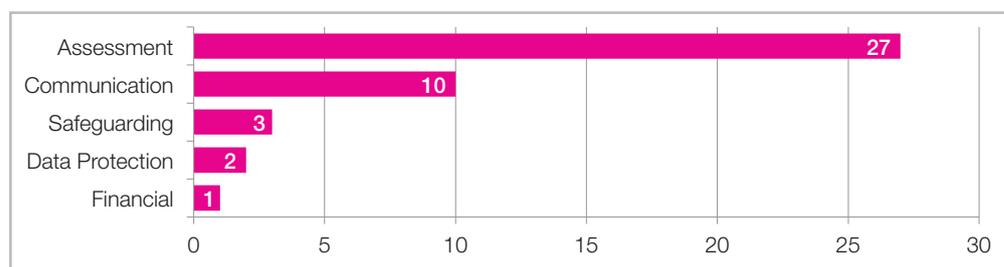
### 3.1 Complaints received

The complaints policy promotes early resolution of complaints so we initially aim to address issues informally. If matters cannot be resolved locally with services, complainants may then progress matters through the formal complaints procedure. The complaints team supported operational teams to resolve 16 customer concerns before they became formal statutory complaints; slight decrease from the 18 resolved last year.

During this reporting year, there were 43 formal complaints about children's social care services which is a relatively low number in comparison to the number of contacts that the Council has. As at 31 March 2018, Enfield Council was responsible for 374 looked-after-children and each year the Council carries out over 6,000 assessments so complaints for this reporting period equates to only 0.7% of assessment contacts. The 43 complaints related to 37 different families and involved a total of 72 children. The volume of formal complaints has increased from last year where there were 33 formal complaints recorded.

The following chart shows a breakdown of issues for the formal complaints; most common issue continues to be complaints about social care assessments which is expected due to the nature of social work.

**Figure 1: Breakdown of formal complaint issues**



The following table shows breakdown of formal Stage 1 complaints across team areas.

**Table 1 Breakdown of Children social care stage 1 complaints by team**

Team	Number of complaints completed	Not upheld	Response times		
			< 10 days	< 20 days	> 20 days
Child Protection & Family Support	8	5	0	6	2
Safeguarding & Quality	4	4	1	3	0
Fostering	1	1	0	1	0
Joint Service for Disabled Children	7	5	1	5	1
Assessment Service	14	11	3	10	1
Looked After Children	5	5	1	3	1
<b>Total</b>	<b>39</b>	<b>31</b>	<b>6</b>	<b>28</b>	<b>5</b>

During 2018/19, 3 complaints were investigated at Stage 2; two of which were upheld. There were also 12 escalation requests which did not progress to formal Stage 2 investigation as matters were resolved through various ways including further resolution with service areas; complaint resolution meetings and further explanations given.

During 2018/19, there was one stage 3 complaint completed, which was partially upheld.

28% of all the formal statutory complaints investigated (12 of 43) were upheld. This upheld rate has decreased in comparison to last year where 39% of complaints had been upheld. The following table reflects the outcome of formal stage 1 complaints.

## 3.2 Response times

39 complaints were completed under stage 1 of the statutory complaints procedure and 87.2% of these were resolved within time. This has increased from last year where 79% of complaints were completed within time. Those cases where responses were late had taken services longer to resolve cases due to the in-depth investigations and liaising across various departments.

Three complaints were completed under stage 2 of the statutory complaints procedure. These were completed out of timescale due to external investigators requiring additional time. The Stage 3 complaint was completed within timescale.

Overall compliance with response timescale was 81.4% (35 of 43). Our aim is to resolve 90% of all formal complaints with time. Whilst this has not yet been achieved, services had made significant improvements in comparison to last year where, overall, 78.8% of complaints were responded to within time. Work is ongoing to meet future target. The central complaints team is currently restructuring which will allow for more internal scrutiny and support services for departments in dealing with complaints.

## 3.3 Statistical data of complainants

In line with regulations, the Council must report statistical data relating to the age, gender, disability, ethnicity and sexual orientation of the complainant. The Council has focused on providing statistical data for the 72 children/young people who are the subjects of the complaints made.

### 3.3.1 Age

Of the 72 children/young people who were subjects of the complaints made, 59 (81.9%) were under 16. The remaining 13 children/young people (18.1%) were aged 16-25. There have been more complaints relating to older children/young people as during last reporting year, 86.6% were aged under 16 and 13.4% were aged 16-25.

### 3.3.2 Gender

According to 2011 census, 52% of Enfield's residents are female and 48% are male. Of the 72 children/young people who were subjects of the complaints, 28 (38.9%) were females and 44 (61.1%) were males. Complaints relating to females has increased from last year where there was 33% and 67% had related to males.

### 3.3.3 Disability

Of the 72 children/young people who were subjects of the complaints made, 9 (12.5%) related to children who had disabilities (3 developmental; 1 mobility; 3 physical; 1 sensory and 1 unknown). The remaining 63 children/young people (87.5%) did not have a disability. In comparison to last year where most complaints (99%) related to children/young people who did not have any disability, we have dealt with more complaints relating to children who have disabilities.

### 3.3.4 Ethnicity

Enfield is among the most ethnically diverse areas in the country. According to 2011 census, the highest groups in Enfield's population are:

- 'White UK' (English/Welsh/Scottish/Northern Irish and British) – 41%
- 'White Other' (Greek and Turkish Cypriots and Turkish) – 18%
- 'Black' (African/Caribbean and Other) – 17%

The ethnicity groups for the 72 children/young people who were subjects of the complaints made, were:

- 'White UK' – 10 individuals (13.9%)
- 'White Other' – 6 individuals (8.4%)
- 'Black' – 18 individuals (25%)
- Unknown – 5 individuals (6.9%)
- Mixed British – 9 individuals (12.5%)
- Mixed Black (Black & White or Black & Asian) – 8 individuals (11.1%)
- Other – 16 individuals (22.2%)

Generally, ethnicity groups are consistent with last year; there has been small increase in the number of complaints relating to 'White UK' and 'White Other' groups.

## 4. Ombudsman Contact

If a complainant remains dissatisfied, they can ask for the Local Government and Social Care Ombudsman (LGSCO) to review the Council's final response.

During 2018/19, the LGSCO contacted the Council regarding 3 cases concerning Children's Services; this has slightly decreased from last year when there was contact for 4 cases. In one case, the LGSCO was satisfied appropriate action was taken by the Council and the remaining two were referred to the Council for consideration. The following table shows breakdown of the cases.

**Table 2: Breakdown of Ombudsman cases regarding Children Social Care Services**

Number of cases	Decision
1	Closed after initial enquiries
2	Referred to the Council to investigate
<b>Total: 3</b>	

## 5. Customer Groups

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Advocacy frequently enables speedy resolution of issues without escalation to the complaint procedure. In all cases the complaint team encourages children and young people to access independent advocacy to support them through the complaints process and will always put a child or young person in touch with an advocacy service where appropriate to do so. If an adult makes a complaint on behalf of a child or young person, the complaints team also ensures that all reasonable steps are taken to seek the views of the child/young person whenever a complaint is made on their behalf. The customer groups who submitted complaints were as follows:

- 2 from advocates representing child/young person
- 2 directly from child/young person (service users) without advocate involved
- 33 from parents
- 6 from relative

## 6. Learning from complaints

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The Council welcomes feedback about its services as this provides valuable information about customers' experiences of the services that they use. We publicise details of how to complain on the Council's website and in areas where the public has access. We also provide information on how to comment or complain whenever a new service commences.

Complaints are taken seriously, investigated and responded to with appropriate redress. The Council can address complaints in several ways and, at times, it is appropriate for meetings to take place between the complainant and the relevant manager to facilitate resolution.

Feedback from complaints is used for organisational learning and reports on complaint themes and actions taken are regularly presented to senior managers. Complaint action points are identified and monitored to ensure that any practice or service improvements are implemented and that information is shared across the Council.

### 6.1 Actions taken from complaints

As shown earlier in this report, 28% of complaints were upheld. Apologies were given to all the complainants and learning from these 12 cases has resulted in the following summarised action:

- Records updated to reflect accurate information
- Officers reminded of need to share information appropriately; to clearly record action taken; to communicate promptly with service users and of the expected standard of quality of letters
- Contribution towards extension adaptations
- Officers given feedback and reflected on customer experiences/lessons learnt
- Local Authority considered including parents and carers in delivery of training as appropriate

## 7. Quality Assurance

The Complaints Team have systems in place to ensure that response timescales are met. This includes sending reminders of the deadline for responses to the assigned managers; escalating to a senior manager if there is no response within the specified timeframe; reporting to Directors regularly and highlighting to staff the importance of compliance in training programmes. The Complaints Team also monitor and assist with complaint responses to ensure that standards are met and all aspects of the complaint are addressed. The support offered by the Complaints Team includes:

- Quality checking responses
- Arranging and chairing complaint meetings
- Liaising with complainants regarding timescales and desired outcomes
- Identifying key themes from complaints, devising action plans and ensuring organisational learning is implemented
- Regularly providing management and performance information
- Service development to improve how we respond to and learn from complaints

## 8. Compliments

The Council welcomes compliments from its users. Compliments help to highlight good quality service and give staff encouragement to continue delivering service of the highest standard. The following chart shows a breakdown of the 55 compliments, specifically for Children's Social Care Services, received during 2018/19; a significant increase comparing to 31 received during 2017/18. The following table shows breakdown of the cases.

**Figure 2: Breakdown of Compliments for Children's Social Care Services**



# Notes

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# Corporate Complaints and Information Annual Report 2018-19

**Author**

Dionne Grant  
Complaints and Access  
to Information Manager  
(Statutory and Corporate)

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## Executive Summary

Complaints are continuing to be resolved as part of early resolution; this year 2,131 concerns were resolved locally; an increase from 2,114 concerns resolved locally last year. There were 450 formal complaints which is consistent volume to last year where 451 formal complaints were addressed. More formal complaints, 65.6%, have been resolved within timescale which has increased from 65.4% achieved last year. There has also been a rise in ombudsman cases; 123 cases during this reporting year compared to 77 during 2017/18. There has also been a large increase in the volume of information requests, but more casework is being responded to within time. During 2018/19, compliance with responses timescales was 77.7% for Subject Access Requests, 72.7% for Freedom of Information Requests and 74.3% for Member Enquiries. Additionally, 133 compliments were received praising services across the Council.

## 1. Introduction and Context

This annual corporate report covers the period 1 April 2018 to 31 March 2019. It highlights how the Directorate has performed against corporate timescales; organisational learning and service improvements that have been made from a result of listening and responding to complaints and plans for future development.

## 2. Overview of the Service

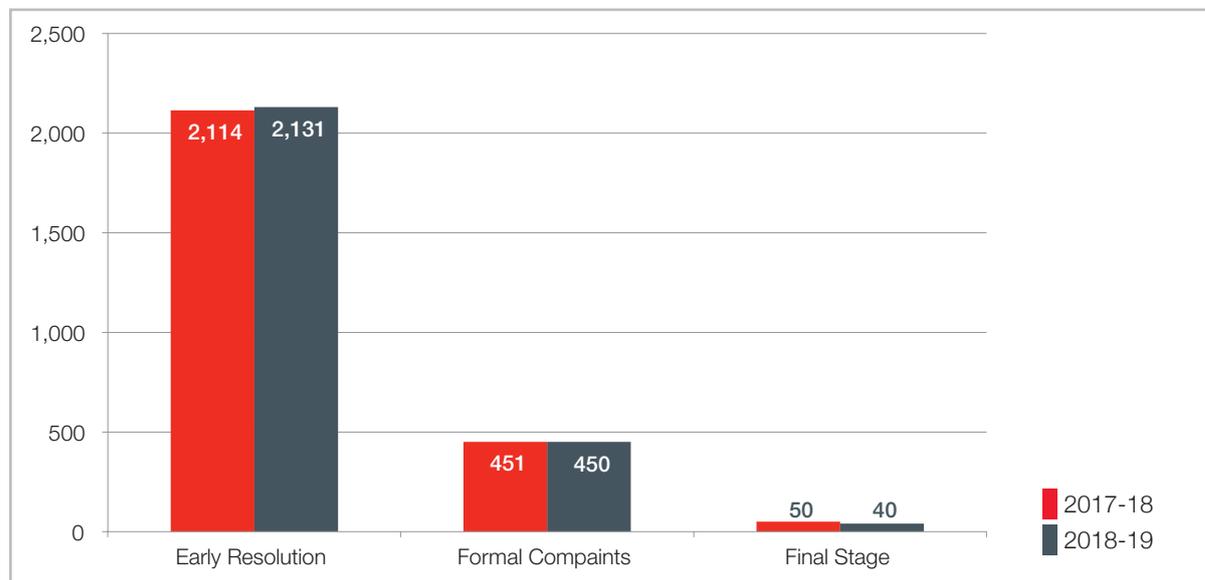
There is a dedicated team that works with departments and manages complaints and information requests, ensuring a central record and consistency across the Council.

## 3. Complaints Summary

The complaints policy promotes early resolution of complaints so we initially aim to address issues informally. If matters cannot be resolved locally with services, complainants may then progress matters through the formal complaints procedure.

The following chart shows a breakdown of complaint stages against each year.

**Figure 1: Breakdown of complaint stages**



Overall 65.6% (295 of 450) of formal complaints were completed within timescale; similar performance to previous 2017/18 year where 65.4% (295 of 451) formal complaints were completed within timescale.

## 4. Ombudsman contact

If a complainant remains dissatisfied, they can ask for the Local Government and Social Care Ombudsman (LGSCO) or the Housing Ombudsman (HO) to review the Council's final response.

During this 2018/19 reporting period, the LGSCO contacted the Council regarding 87 cases and the HO made contact for 36 cases. This has significantly increased in comparison to last year where the LGSCO contacted on 67 cases and the HO made contact on 10 cases.

The following table provides a breakdown of ombudsman cases for this reporting period.

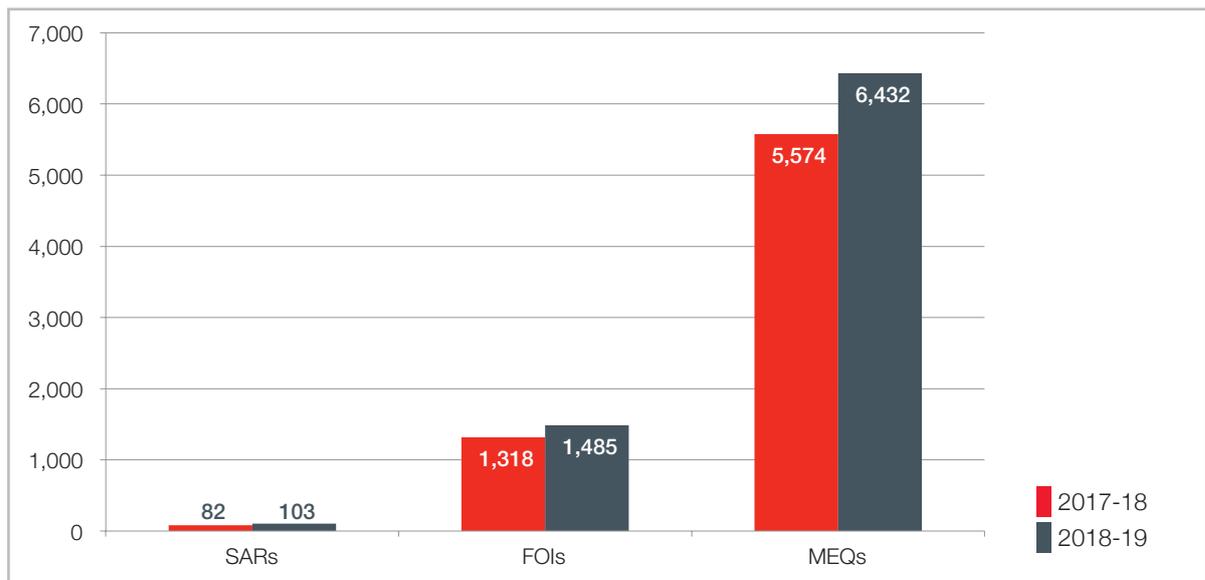
**Table 1: Breakdown of all 2018/19 Ombudsman cases**

	Not Upheld	Upheld	Closed after initial enquiries	Referred to the Council to investigate	Total
LGSCO	6	23	20	38	87
HO	3	7	2	24	36
<b>Total</b>	<b>9</b>	<b>30</b>	<b>22</b>	<b>62</b>	<b>123</b>

## 5. Information Requests (SARs, FOIs, MEQs)

The following chart shows a breakdown of the Subject Access Requests (SARs), Freedom of Information Requests (FOIs) and Member Enquiries (MEQs) each year.

**Figure 2: Volume comparison of SARs, FOIs and MEQs**



The following chart summaries compliance with response timescale and shows improving performance; as a higher volume of cases with more responses in time.

**Table 2: SARs, FOIs and MEQs response times**

	2017/18	2018/19
SARs	95.1% (78 of 82)	77.7% (80 of 103)
FOIs	65.8% (867 of 1,318)	72.7% (1,080 of 1,485)
MEQs	74.3% (4,142 of 5,574)	74.3% (4,781 of 6,432)

## 6. Learning from complaints

The Council welcomes feedback about its services as this provides valuable information about customers' experiences of the services that they use. We publicise details of how to complain on the Council's website and in areas where the public has access. We also provide information on how to comment or complain whenever a new service commences.

Complaints are taken seriously, investigated and responded to with appropriate redress. The Council can address complaints in several ways and, at times, it is appropriate for meetings to take place between the complainant and the relevant manager to facilitate resolution.

Feedback from complaints is used for organisational learning and reports on complaint themes and actions taken are regularly presented to senior managers. Complaint action points are identified and monitored to ensure that any practice or service improvements are implemented and that information is shared across the Council.

### 6.1 Actions taken from complaints

38% (15 of 40) of the final stage corporate complaints were upheld and 24.4% (30 of the total 123) of all ombudsman cases were upheld.

Apologies were given to all the complainants and learning from these 45 cases has resulted in the following summarised action:

- Apologies and information given to complainants
- Financial remedies
- Reminders, feedback, guidance and training given to staff
- Review of policies, procedures and systems
- Implementation of new procedures, practice and IT systems
- Updating of published information
- Adjustments of bills to customers
- Recruitment of more staff
- Reassessments of housing applications
- Appointments arranged for repairs and surveys

## 7. Quality Assurance

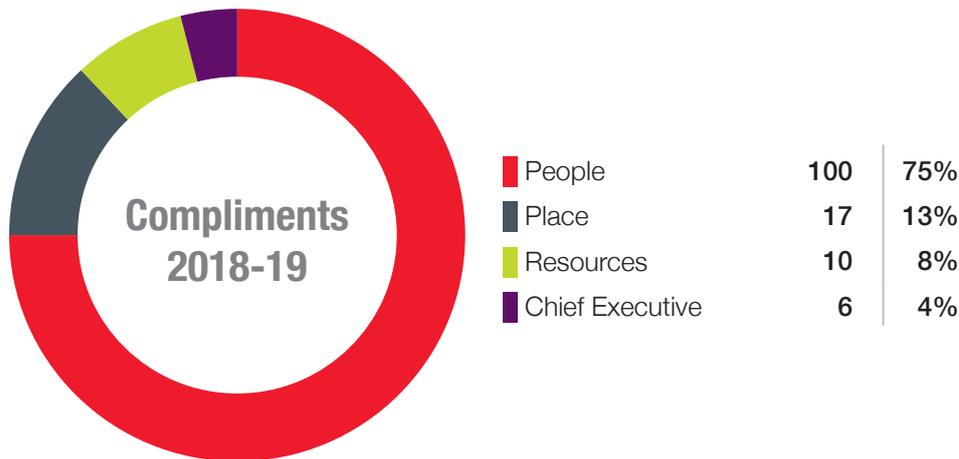
The Complaints Team have systems in place to ensure that response timescales are met. This includes sending reminders of the deadline for responses to the assigned managers; escalating to a senior manager if there is no response within the specified timeframe; reporting to Directors regularly and highlighting to staff the importance of compliance in training programmes. The Complaints Team also monitor and assist with complaint responses to ensure that standards are met and all aspects of the complaint are addressed. The support offered by the Complaints Team includes:

- Quality checking responses
- Arranging and chairing complaint meetings
- Liaising with complainants regarding timescales and desired outcomes
- Identifying key themes from complaints, devising action plans and ensuring organisational learning is implemented
- Regularly providing management and performance information
- Service development to improve how we respond to and learn from complaints

## 8. Compliments

The Council welcomes compliments from its users. Compliments help to highlight good quality service and give staff encouragement to continue delivering service of the highest standard. The following chart shows a breakdown of the 133 compliments received across the Council.

**Figure 3: Breakdown of all Compliments**



## 9. Development plans

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### Key priorities for the year ahead are:

1. Effectively transitioning into two team structures – Complaints and Information team (dealing specifically with complaints, FOIs and SARs) and MEQ team (dealing specifically with all Member Enquiries).
2. ICT development for case management systems.
3. Implementation of FOI Publication scheme.
4. Working with departments to improve compliance with response times.



## OVERVIEW &amp; SCRUTINY COMMITTEE - 18.6.2019

**MINUTES OF THE MEETING OF THE OVERVIEW & SCRUTINY COMMITTEE  
HELD ON TUESDAY, 18 JUNE 2019****COUNCILLORS**

**PRESENT** Susan Erbil (Chair), Tolga Aramaz, Sinan Boztas, Bernadette Lappage, Achilleas Georgiou, Doug Taylor, Edward Smith and Lee David-Sanders

**ABSENT** Guner Aydin

**STATUTORY  
CO-OPTES:** *1 vacancy (Church of England diocese representative), Mr Simon Goulden (other faiths/denominations representative), Mr Tony Murphy (Catholic diocese representative), Alicia Meniru & 1 vacancy (Parent Governor representative) - Italics Denotes absence*

**OFFICERS:** Peter George, Programme Director, Meridian Water  
Doreen Manning, Procurement Manager, Corporate Procurement  
Pauline Albers, Regeneration Officer  
David Duffield, MW Infrastructure & Construction Manager-  
STACE  
Claire Johnson, Head of Governance & Scrutiny  
Stacey Gilmour, Governance & Scrutiny Officer

**91**

**WELCOME & APOLOGIES**

The Chair, Councillor Erbil welcomed all attendees to the meeting. Apologies had been received from Councillor Guner Aydin.

Councillor Doug Taylor was substituting for Councillor Guner Aydin.

**92**

**DECLARATIONS OF INTEREST**

There were no declarations of interest.

**93**

**MW STRATEGIC INFRASTRUCTURE- CONTRACTOR PROCUREMENT  
HIF NON-RAIL**

The Committee received a report from the Programme Director– Meridian Water in consultation with the Director of Law and Governance.

NOTED that this report was considered in conjunction with the information in the part 2 agenda.

**OVERVIEW & SCRUTINY COMMITTEE - 18.6.2019**

All discussion on this item took place in the part 2 section of the meeting.

**94**

**WORK PROGRAMME AND WORKSTREAMS 2019/20**

RECEIVED a copy of the work programme and initial workstreams for 2019/20.

Work Programme

- The Work Programme was flexible and could be added to/amended as the year progressed to consider any issues that may come to light;
- Provisional Call-In dates could also be used for business meetings as and when required.
- The Chair had recently been to a Chairing Skills meeting and pre-decision scrutiny had been a hot topic. Members questioned how the decision was made on what reports came to OSC for pre-decision scrutiny and it was agreed that there needed to be some sort of method in place for deciding what reports OSC looked at and where in the process this happened. It was also felt that reports coming to OSC for pre-decision scrutiny should be in less of a 'draft' format and more 'final'. Claire Johnson, Head of Governance & Scrutiny agreed to discuss this matter with Jeremy Chambers, Director of Law & Governance to discuss the process for pre-decision scrutiny going forward.

**Action: Claire Johnson**

- Some Scrutiny Committees receive and consider petitions and Members felt that this was a good idea. Claire Johnson, Head of Governance & Scrutiny advised that Enfield do have this process and explained that each petition has to meet a threshold (number of signatures) for it to come before OSC and full Council.
- A few changes were made to the Work Programme; reports were moved to earlier/later meetings during the year. The Work programme would be updated accordingly.
- ACMs (Associated Cabinet Members) to be invited to OSC meetings individually to provide an update report on their individual areas. It was suggested that this should be added to the Work Programme for the July, September and November 2019 meetings:
- It was agreed that six-monthly updates from the Chairs of the Crime and Health Scrutiny Panels also be incorporated into the Work Programme. The most appropriate dates would be agreed with the relevant Chairs of the panels and factored into the OSC Work Programme.
- The Work Programme will be managed accordingly to ensure that each meeting date is well balanced.

Workstreams

AGREED the initial workstreams for the year as follows:

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- Improving Enfield Shopping Areas – Cllr Tolga Aramaz to Chair
- Exclusions – Cllr Bernadette Lappage to Chair
- Procurement – Cllr Edward Smith to Chair
- Meridian Water – Cllr Achilleas Georgiou to Chair

The memberships and scopes for each workstream would now be agreed.

**95**

**MINUTES OF THE MEETINGS HELD ON THE 1 AND 22 MAY 2019**

AGREED the minutes of the meetings held on 1<sup>st</sup> and 22<sup>nd</sup> May 2019 subject to the following amendments:

OSC- 22 May 2019

Minute No: 9 - page 13 bullet point:13

- It was stated that there were some serious reservations about the proposals. It was pointed out that there had already been significant improvements to the current model, with the number of first-time fixes rising from 26% to 76%. Concerns were also raised that the Council could be hit by extra costs, for example, having to spend money on things such as storage depots. Garry explained that in terms of depots there is a contingency in the business plan to allow for that. He went on to advise that the initial consideration is to use third-party suppliers therefore there will not be the need for significant investment in infrastructure.

Minute No: 9 – page 14 bullet point: 14

- Members were concerned that the Equalities Impact Implications had been omitted from the report and, although the committee welcomed the idea of pre-decision scrutiny, they felt that it was imperative for the committee to receive at least completed draft reports if, as a Scrutiny Committee, it was to hold Cabinet reports to account. Councillor Aramaz reiterated these comments and said that in future he wanted to see full/final reports when they came to the Overview & Scrutiny Committee.

**96**

**DATES OF FUTURE MEETINGS**

NOTED the dates of future meetings as follows:

Provisional Call-Ins

Thursday 20 June, 2019  
Wednesday 3 July, 2019  
Thursday 8 August, 2019

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Thursday 19 September, 2019  
Thursday 31 October, 2019  
Thursday 28 November, 2019  
Thursday 19 December, 2019  
Thursday 30 January, 2020  
Thursday 6 February, 2020  
Wednesday 4 March, 2020  
Thursday 26 March, 2020  
Tuesday 28 April, 2020

NOTED the business meetings of the Overview & Scrutiny Committee will be held on:

Tuesday 18 June, 2019  
Tuesday 23 July, 2019  
Wednesday 4 September, 2019  
Thursday 7 November, 2019  
Thursday 13 February, 2020  
Thursday 2 April, 2020

The Overview & Scrutiny Budget Meeting will be held on:

Wednesday 15 January 2020

It was noted that Councillor Lappage had previously requested that the meeting scheduled for the 23<sup>rd</sup> July 2019 be changed as she was away on this date. Unfortunately, it had not been possible to change this meeting date and Councillor Lappage expressed her frustration that her request could not be accommodated.

**97**

**EXCLUSION OF PRESS & PUBLIC**

Resolved in accordance with the principles of Section 100A (4) of the Local Government Act 1972 to exclude the press and public from the meeting for the following item of business on the grounds that it involved the likely disclosure of exempt information as defined in paragraph 3 of the Part 1 of Schedule 12A to the Act (as amended by the Local Government (Access to Information) (Variation) Order 2006.

**98**

**MW STRATEGIC INFRASTRUCTURE - CONTRACTOR PROCUREMENT  
HIF- NON-RAIL**

Peter George, Programme Director- Meridian Water introduced the report which had come to OSC as part of the pre-decision scrutiny process. The following was noted:

- (i) A procurement of this nature is an unusual undertaking for the Council. Given the high value and complexity Peter advised that he was keen to

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bring this report to the Overview & Scrutiny Committee as early as possible to seek guidance and scrutiny. The Council are also asking the GLA and Government Advisors to undertake a similar review to test the robustness of this procurement.

- (ii) In early December 2018 the GLA submitted, on behalf of Enfield Council, a funding application to Central Government for a total of £156m to build strategic infrastructure in Meridian Water. Confirmation on whether Enfield Council/GLA have successfully secured the HIF funding is expected in summer 2019, although when the announcement will be made is not certain.
- (iii) In order to ensure timely delivery of works ahead of the future deadline, the Council adopted an accelerated programme of design and procurement and is seeking approval to procure a main contractor ahead of finalising the HIF funding agreement.
- (iv) At its meeting on 25<sup>th</sup> July 2018, Cabinet delegated to the Programme Director of Meridian Water (in consultation with the Director of Law and Governance) the decision to authorise the contractor procurement procedure for HIF delivery works to comprise enabling works, utility provisions, flood alleviation works to deliver the Central Spine road as well as remediation and earthworks at the central area of the development for early delivery of homes.
- (v) Following a detailed Options Appraisal, a Competitive Dialogue Process leading to a multiple supplier framework agreement has been identified as the preferred procurement route for the strategic road and flood alleviation works. This process best addresses the key issues that are related to the nature and complexity of the project which is the subject of this report.
- (vi) It is recommended that the Programme Director-Meridian Water in Consultation with the Director of Law & Governance approves the commencement and undertaking of the procurement of a main contractor for the scope of works identified in the main body of this report, subject to sign off, of the procurement documents by the Director of Law and Governance and the Director of Finance. It was noted that a separate report seeking approval to award the contract to the successful tenderer will be taken to Cabinet.

Following Peter's introduction discussions took place and the following questions/issues were raised:

- Members raised their concerns that the Part 2 To Follow Paper had been tabled at the meeting, therefore not allowing them the opportunity to consider the information provided. Members requested that all future reports/papers be circulated well in advance of the meeting to allow sufficient time to read and digest all the relevant information. Peter George explained the reasons for this delay and fully accepted criticism for this. He apologised for the frustration this delay had caused and assured the committee that all future papers would be circulated at the earliest opportunity.
- Should the funding be successfully secured, all capital works must be completed before the delivery deadline of March 2023, but central

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government may agree to extend to March 2024. Enfield Council have requested acknowledgement from central government that the project would require a programme contingency of nine months taking the project completion long stop date to December 2023, which will need to be reflected in the funding agreement.

- Members questioned what would happen if the Council is unsuccessful in its bid or secures a materially lower amount of HIF Funding than requested. Peter explained that if this was to happen the scope and phasing of the works will need to be reviewed. The framework approach doesn't commit the Council to instructing any works and in the event of no funding or part funding being secured, some works could still be called off under the framework, subject to available LBE budget.
- Questions were raised regarding timelines and Peter advised that in order to ensure timely delivery ahead of the funding deadline a main contractor needs to be appointed on the framework by early 2020. This requires the Council to start the procurement process for the road and alleviation works ahead of finalising the funding agreement.
- Discussions took place regarding the cost and funding and a breakdown and explanation of the figures was provided. Members felt that the report needed to clearly clarify the figures as it was currently somewhat confusing. Peter thanked Members for their feedback and would ensure that the figures were made clearer in the final report.
- In answer to questions regarding management of the project Peter advised that Stace Project Management had been appointed to manage the design, procurement and delivery of the strategic road and flood alleviation works. The Meridian Water Team will carry out a review of the project management arrangement in place with the aim of strengthening the team and ensuring the right capacity and capability is available to manage the delivery of the works.
- The Council has a comprehensive delivery strategy for bringing forward the infrastructure and a robust governance structure is being put in place to provide oversight and direction for the delivery of the works, including how the Council will work with any other key delivery partners.
- Information was provided on Tendered Scope of Works and a diagram and overview of the infrastructure and associated works proposed for the Housing Infrastructure Fund is attached as Appendix 1.2 of the Part 1 report.
- Further discussions took place regarding the procurement process and contract approach. Information was also provided on the multiple supplier framework agreement and why this had been identified as the preferred procurement route for the strategic road and flood alleviation works.
- The multiple supplier framework approach is suitable for the scope of works, given that the funding, the exact design and the land acquisition will not have been confirmed at the point of procurement. The framework approach allows the Council flexibility to instruct specific works and services as and when they are required and doesn't commit

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the Council to instructing the individual work packages until a call-off contract has been signed.

- The scope of works includes work located on privately owned land. The Council aims to acquire third party land by private treaty, but it is acknowledged that the Council may be required to use its compulsory purchase powers to acquire the necessary parcels of land. A further report will be brought to Cabinet to authorise the making of a compulsory purchase order required to deliver the HIF works.

Following in-depth discussions, the Overview & Scrutiny Committee made the following recommendations for the final report:

- Report to clearly show/clarify figures;
- Clarification of the HIF date. Is this March 2023 or 2024? This is not clear in the draft report;
- There are inconsistencies in the Part 1 and 2 reports with the terminology and phrasing with regards to what will happen if the HIF funding is not forthcoming. This needs to be clarified and consistent in both reports;
- Report to include a detailed breakdown of costs and financial implications;
- Report to clarify who are the responsible officers and how the project will be managed;
- Financial Modelling to come back to OSC as pre-decision scrutiny;
- ELAA numbers (definition/figures and percentages) to be circulated by email to all Members of OSC as soon as possible;
- The report should include a detailed programme for the procurement process and show clearly what the critical timelines are.

The Chair thanked Officers for their informative report and the committee looked forward to receiving further updates as and when they were available.

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# DRAFT OVERVIEW AND SCRUTINY WORK PROGRAMME 2019/20

## The Role of Scrutiny in Meeting the Public Sector Equality Duty

The Overview and Scrutiny Committee has a key role to play in ensuring that the Council meets all the statutory duties under the Public Sector Equality Duty of the Equality Act 2010, particularly in ensuring that the authority has due regard to the needs of diverse groups when designing, evaluating and delivering services in order to –

- eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited by the Act.
- advance equality of opportunity between people who share a protected characteristic and those who do not.
- foster good relations between people who share a protected characteristic and those who do not.

In order to do this, the Overview and Scrutiny Committee will scrutinise the Council's Equality and Diversity Action Plan and Annual Achievement Report each year to monitor the Authority's performance. The OS Committee will be flexible enough to pick up on issues of inequality, wherever they arise in the Council work programme, or to delegate to individual workstreams for investigation. OSC has a key role in providing a 'critical friend' challenge to the Council's strategic equality objectives and scrutinising performance in delivering those objectives.

In addition, as part of their normal work programme, each workstream will (where relevant and proportionate) -

- request information about the equality impact assessments/analyses that have been undertaken whenever discussing proposals for new policies or future plans, or for current services, to inform their comments on those proposals or services
- examine these assessments/analyses of impact in detail to check if they are robust and have been developed based on strong evidence and appropriate engagement
- question and consider whether appropriate people have been involved and engaged in developing equality objectives and plans, and when assessing the impact of policies and proposals.
- when procurement award criteria and contracts are determined, consider whether or not specific equality stipulations are required
- Scrutiny may also wish to investigate the accessibility of equality and other published documents, asking questions such as –
  - what is done to promote these documents?
  - what languages or formats is the information available in?
  - which documents are most regularly required?
  - how aware are the public of the Authority's equality plans and performance?

## DRAFT OVERVIEW AND SCRUTINY WORK PROGRAMME 2019/20

WORK	22 May 19 (Planning)	18 June 19	23 July 19	4 Sept 19	7 Nov 19	15 Jan 20	13 Feb 20	2 Apr 20
<b>Date papers to be with Scrutiny Team</b>								
<b>Specific Topics:</b>								
HR issues- The Council's plan of reducing the number of external consultants and agency staff/ sickness & recruitment/ employment of BAME, gender/ women returning to work							Report	
ACM's to be invited					Report			
Temporary accommodation					Report			
Population Growth & Housing targets								Report
Cultural strategy								
<b>Pre-Decision scrutiny</b>								
Future of Responsive Repairs Service	Report							
HIF infrastructure works- the procurement strategy/ approval to procure		Report						
ICT & Digital Strategy								
<b>Standing Items</b>								
Children's and Young People's Issues			Annual Complaints Report for Adults Social Care and	Fostering & Adoption/IRO/ LADO Pupil Places	Annual social care self assessment Ofsted		SEND places strategy update Educational attainment	

## DRAFT OVERVIEW AND SCRUTINY WORK PROGRAMME 2019/20

WORK	22 May 19 (Planning)	18 June 19	23 July 19	4 Sept 19	7 Nov 19	15 Jan 20	13 Feb 20	2 Apr 20
			Children's Social Care SEND places strategy		Improvement Plan			
<b>Monitoring/Updates</b>								
Scrutiny Involvement in Budget Consultation 19/20					Update Report	Budget Meeting		
Crime Scrutiny & Health Scrutiny Updates					Update Report			Update Report
Annual Corporate Complaints Report			Report					
Customer Experience				Report				
Annual Adults & Children's Safeguarding Report (date to be confirmed)								
<b>Work Programme</b>								
Setting the Overview & Scrutiny Annual Work Programme 2019/20	Agree Work Programme and discuss workstreams	Finalise workstreams						
Selection of New Workstreams for 2019/20	Discuss new Workstreams	Finalise new workstreams						

Note: Provisional call-in dates: 20th June, 3<sup>rd</sup> July, 8th August, 19th September, 31<sup>st</sup> October, 28th November, 19th December, 30th January, 6th February, 4th and 26th March, 28th April. These dates may also be used for pre-decision scrutiny as necessary. Any call-ins received will take precedence at this meeting.

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