



Notice of a public meeting of

Customer and Corporate Services Scrutiny Management Committee

- To:** Councillors Williams (Chair), Galvin (Vice-Chair), Ayre, S Barnes, D'Agorne, Fenton, Flinders, Gates and K Myers
- Date:** Monday, 22 January 2018
- Time:** 5.30 pm
- Venue:** The George Hudson Board Room - 1st Floor West Offices (F045)

AGENDA

1. **Declarations of Interest**

At this point, Members are asked to declare:

- any personal interests not included on the Register of Interests
- any prejudicial interests or
- any disclosable pecuniary interests

which they may have in respect of business on this agenda.

2. **Minutes** (Pages 1 - 4)

To approve and sign the minutes of the meeting held on 13 December 2017.

3. **Public Participation**

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Friday 19 January 2018**. Members of the public can

Speak on agenda items or matters within the remit of the Committee. To register to speak please contact the Democracy Officer for the meeting, on the details at the foot of the agenda.

Filming, Recording or Webcasting Meetings

Please note that, subject to available resources, this meeting will be filmed and webcast, or recorded, including any registered public speakers who have given their permission. The broadcast can be viewed at <http://www.york.gov.uk/webcasts> or, if sound recorded, this will be uploaded onto the Council's website following the meeting.

Residents are welcome to photograph, film or record Councillors and Officers at all meetings open to the press and public. This includes the use of social media reporting, i.e. tweeting. Anyone wishing to film, record or take photos at any public meeting should contact the Democracy Officer (whose contact details are at the foot of this agenda) in advance of the meeting.

The Council's protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/download/downloads/id/11406/protocol_for_webcasting_filming_and_recording_of_council_meetings_20160809.pdf

4. Schedule of Petitions (Pages 5 - 12)

This report provides information on new petitions received and details of those considered by the Executive or relevant Executive Member/Officer since the Committee's last meeting. Members are asked to consider the petitions received and agree an appropriate course of action in each case.

5. Update Report on Attendance and Wellbeing Project (Sickness absence) (Pages 13 - 18)

This report provides an update on work being undertaken to address staff sickness absence with a focus on attendance management and employee wellbeing. Members are asked to note and comment on the contents of the report and consider receiving future updates and a specific report in six months.

6. Annual Review of Complaints (Pages 19 - 58)

This report provides Members with the annual reports covering April 2016 to March 2017 in respect of adults social care, children's social care, and the corporate complaints policy. Members are asked to note the information within the reports and the ongoing work required to ensure the Council meets its responsibilities.

7. Update on Implementation of Recommendations from One Planet York Scrutiny Review (Pages 59 - 72)

This report provides the first update of the recommendations arising from the One Planet York Scrutiny Review. Members are asked to sign off any recommendations that have been fully implemented.

8. Update Report on Consultation on Draft ICT Policy (Pages 73 - 86)

This report provides an update on progress against the ICT Strategy including the detailed delivery of digital projects and outcomes. The Committee is asked to consider and note the information included and to consider receiving further updates as part of their future work plans.

9. Scrutiny Review Support Budget (Pages 87 - 94)

This report sets out the current position in relation to available Council funding for research in support of scrutiny review work. Members are asked to consider what recommendations they may wish to make to the Executive prior to the Council's budget setting process for 2018/19.

10. Work Plan 2017/18 and discussion on further potential scrutiny topics (Pages 95 - 96)

Members are asked to consider the Committee's draft work plan for the remainder of the municipal year and discuss any further potential scrutiny topics.

11. Any Other Business

Any other business that the Chair decides is urgent.

Democracy Officer:

Name: Becky Holloway
Telephone: (01904) 553978
E-mail: becky.holloway@york.gov.uk

For more information about any of the following please contact the Democratic Services Officer responsible for servicing this meeting:

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports and
- For receiving reports in other formats

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

এই তথ্য আপনার নিজের ভাষায় দেয়া যেতে পারে। (Bengali)

Ta informacja może być dostarczona w twoim własnym języku. (Polish)

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

یہ معلومات آپ کی اپنی زبان (بولی) میں بھی مہیا کی جاسکتی ہیں۔ (Urdu)

 **(01904) 551550**

City Of York Council

Committee Minutes

Meeting	Customer and Corporate Services Scrutiny Management Committee
Date	13 November 2017
Present	Councillors Williams (Chair), Galvin (Vice-Chair - present until 6.30pm, prior to the vote in minute item 31), Ayre, S Barnes, D'Agorne, Fenton, Flinders, Gates and K Myers

26. DECLARATIONS OF INTEREST

Members were asked to declare any personal interests not included on the Register of Interests, any prejudicial interests or any disclosable pecuniary interests which they had in respect of business on this agenda. No additional interests were declared.

27. MINUTES

Resolved: To approve and sign the Minutes of the meetings held 31 July 2017 and 4 September 2017.

28. PUBLIC PARTICIPATION

It was reported that there had been no registrations to speak under the council's scheme of public participation.

29. SCHEDULE OF PETITIONS

Members considered the report and had the opportunity to ask questions of the officer. The report provided information on two new petitions which had been received and on petitions considered by Executive Members since the previous meeting.

The two new petitions were:

- 88. A petition requesting inclusion in the R7 Residential Parking Zone of St John's Place and Chestnut Court
- 90. A petition to restore the full service of the Citizens Advice York.

It was confirmed that at the time of agenda publication there had been no update on the progress of the Lowther Street petition.

Resolved: To note receipt of the petitions and the proposed action.

Reason: To ensure the Committee carries out its requirements in relation to petitions.

30. 2017/18 FINANCE AND PERFORMANCE MONITOR 2

Members considered the 2017/18 Finance and Performance Monitor Report for Quarter Two which provided high level financial and performance of Customer and Corporate services. The following points were discussed:

- Customer satisfaction with engagement in council processes had been maintained and good performance had been demonstrated in the speed with which calls were answered.
- Loss of staff time due to sickness had increased and a report on this would be presented to the committee's January meeting.
- Work to encourage use of digitalised council services continued to progress.
- The number of complaints received by the council had slightly reduced but the council's response rate to these had increased. Work was underway to understand this trend with initial suggestions being a greater staff emphasis on resolving complaints at stage one in order to minimise escalation to stages two and three. It was agreed to bring a report on this to the January meeting of the committee for their consideration.

Officers agreed to obtain answers for Members questions relating to the use of premium rate phone numbers, and the reasons for unexpected income from the bereavement service and wider under-spends across the council.

Resolved: (i) To receive and note the report.

(ii) To request a report be brought to the committee on 22 January regarding council procedures for dealing with and responding to complaints.

- Reason:
- (i) To update the Committee on the forecast position for 2017/18
 - (ii) To undertake their scrutiny function regarding the Council's complaints procedure.

31. ELECTORAL ARRANGEMENTS SCRUTINY REVIEW DRAFT FINAL REPORT

Members considered the report of the scrutiny task group set up to review electoral arrangements in the city. The review had considered the volume of voter registrations and the turnaround speed of election results. During discussion of the review's findings the following points were made:

- The registration of voters including postal voters, following changes in electoral registration administration in 2005 and legislation regarding student registrations within a recent Higher Education Research Bill.
- The ambition of the council to improve the speed of counts and the size of the count venue which had been cited as a key challenge in achieving this.
- Comparisons with other local authorities with regards to speed of counts and staff to ballot paper ratios.
- The training and ongoing development of election staff outside of election periods.
- The review group felt a level of frustration with the responses they had received and felt the management of the counting process could have been covered more fully within the review. It was agreed not to reconvene the Task Group but to include additional recommendations to the existing report to encompass questions regarding the management process.

Members were reminded that all scrutiny review reports were circulated to members of the working group prior to their wider circulation and that this provided a good opportunity to ensure they appropriately reflected the group's conclusions.

Following a motion from the Chair, seconded by Cllr Fenton, it was

Resolved: To endorse the Task Group's recommendations arising from the review as shown in paragraph 114 of the report and to recommend additionally that the Returning Officer:

- i. Reviews count procedures including the process of managing the count, reducing downtime and the training and instruction of count staff
- ii. Reviews the resources available for the organisations of elections.
- iii. Examines a targeted response time for the receipt of postal votes.

Reason: To conclude the work of this review in line with scrutiny procedures and protocols.

32. WORK PLAN 2017/18

Members considered the Committee's draft work plan for the remainder of the municipal year. It was agreed to add two items to the January meeting: performance management of the council's complaints procedures; and a discussion on future topics for scrutiny review groups.

It was also agreed to move the next meeting from 15 January to 22 January 2018 to accommodate a scheduling clash with another committee.

33. ANY OTHER BUSINESS

There were no other items of business.

Councillor D Williams, Chair

[The meeting started at 5.30 pm and finished at 6.40 pm].



**Customer & Corporate Services Scrutiny
Management Committee**

22 January 2018

Report of the Assistant Director - Legal and Governance

Schedule of Petitions**Summary**

1. Members of this Committee are aware of their role in the initial consideration of petitions received by the Authority. The current petitions process was considered by the Audit and Governance Committee on 2 October 2014 and endorsed by Council on 9 October 2014. This process aims to ensure scrutiny of the actions taken in relation to petitions received either by Members or Officers.

Background

2. Following agreement of the above petitions process, Members of the Corporate and Scrutiny Management Policy and Scrutiny Committee (CSMC) had been considering a full schedule of petitions received at each meeting, commenting on actions taken by the Executive Member or Officer, or awaiting decisions to be taken at future Executive Member Decision Sessions.
3. However, in order to simplify this process Members agreed, at their June 2015 meeting, that the petitions annex should in future be provided in a reduced format in order to make the information relevant and manageable. At that meeting it was agreed that future petitions reports should include an annex of current petitions and agreed actions, but only following consideration of the petitions by the Executive or relevant Executive Member or Officer.
4. This was agreed, in the knowledge that the full petitions schedule was publicly available on the Council's website and that it was updated and republished after each meeting of the Committee.
<http://democracy.york.gov.uk/ecCatDisplay.aspx?sch=doc&cat=13020&path=0>

5. **Current Petitions Update**

A copy of the reduced petitions schedule is now attached at Annex A of the report which provides a list of new petitions received to date together with details of those considered by the Executive or relevant Executive Member/Officer since the last meeting of the Committee in June. Further information relating to petitions which have been considered by the Executive Members/Officers since the last meeting are set out below:

Petition Number:

86. Petition for a Push Button Crossing on Bishopthorpe Road at Butcher Terrace to improve pedestrian and cycle safety

This petition containing 192 signatures was handed over at Full Council by Cllr Crawshaw on 20 July 2017. The petition was considered by the Executive Member for Transport and Planning at a decision session on 14 December 2017.

The Executive Member agreed to undertake a detailed review of the Bishopthorpe Road which would include the assessment of the Bishopthorpe Road and Butcher Terrace / Southbank Avenue junctions, Bishopthorpe and Balmoral Terrace junction as well as the Bishopthorpe Road and Campleshon Road junction, with possible recommendations to be brought to a future meeting. The review would be undertaken as soon as the results of the new residents' parking zones on Bishopthorpe Road and the side roads could be considered.

89. Petition to be excluded from proposed R58C extended Residential Parking zone 177 – 211 (odd) Bishopthorpe Road and 230-274 (even) Bishopthorpe Road.

This petition containing 28 names was received via email during the objection period. It was considered by the Executive member for Transport and Planning at a decision session on 16 November 2017.

The Executive Member agreed to implement the advertised proposals to amend York Parking, Stopping and Waiting Traffic Regulation Order to extend three existing Residents Priority Parking Areas including: Bishopthorpe Road area within R58C with an amendment to the advertised boundary and with a view to carrying out a formal consultation with further residents on Bishopthorpe Road (part) after the agreed amended scheme has been implemented.

6. **The Process**

There are a number of options available to the Committee as set out in paragraph 7 below, however these are not exhaustive. Every petition is, of course, unique, and it may be that Members feel a different course of action from the standard is necessary.

Options

7. Having considered the reduced Schedule attached which provides details of petitions received and considered by the Executive/Executive Member since the last meeting of the Committee; Members have a number of options in relation to those petitions:

- Request a fuller report, if applicable, for instance when a petition has received substantial support;
- Note receipt of the petition and the proposed action;
- Ask the relevant decision maker or the appropriate Executive Member to attend the Committee to answer questions in relation to it;
- Undertake a detailed scrutiny review, gathering evidence and making recommendations to the decision maker;
- Refer the matter to Full Council where its significance requires a debate;

If Members feel that appropriate action has already been taken or is planned, then no further consideration by scrutiny may be necessary.

8. Following this meeting, the lead petitioner in each case will be kept informed of this Committee's consideration of their petition, including any further action Members may decide to take.

Consultation

9. All Groups were consulted on the process of considering more appropriate ways in which the Council deal with and respond to petitions, resulting in the current process. Relevant Directorates are involved and have been consulted on the handling of the petitions outlined in Annex A.

Implications

10. There are no known legal, financial, human resource or other implications directly associated with the recommendations in this report. However, depending upon what, if any, further actions Members agree to

there may, of course, be specific implications for resources which would need to be addressed.

Risk Management

- 11. There are no known risk implications associated with the recommendations in this report. Members should, however, assess the reputational risk by ensuring appropriate and detailed consideration is given to petitions from the public.

Recommendations

- 12. Members are asked to consider the petitions received on the attached Schedule at Annex A and as further outlined in this report, and agree an appropriate course of action in each case.

Reason: To ensure the Committee carries out its requirements in relation to petitions.

Contact Details:

Author:
Steve Entwistle
Scrutiny Officer
Tel No. 01904 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:
Andrew Docherty
AD Legal and Governance

Report
Approved



Date

9 January 2018

Wards Affected:

All



Background Papers: None

Annexes:

Annex A – Extract from schedule of petitions received and action taken to date

<p>86. Petition for a Push Button Crossing on Bishopthorpe Road at Butcher Terrace to improve pedestrian and cycle safety</p>	<p>Handed over at Full Council on 20-7-17 by Cllr Crawshaw</p>	<p>192</p>	<p>Passed to Neil Ferris via Sarah Butcher 21/7 Officer Tony Clarke / Andrew Bradley</p>	<p>Executive Member for Transport and Planning</p>	<p>14-12-2017</p>	<p>The Executive Member agreed to undertake a detailed review of the Bishopthorpe Road which would include the assessment of the Bishopthorpe Road and Butcher Terrace / Southbank Avenue junctions, Bishopthorpe and Balmoral Terrace junction as well as the Bishopthorpe Road and Campleshon Road junction, with possible recommendations to be brought to a future meeting. The review would be undertaken as soon as the results of the new residents' parking zones on Bishopthorpe Road and the side roads could be considered.</p>	
<p>87. Petition for a Clean Air Zone – a request for implementation of the Air Quality Action Plan, a Clean Air Zone for the City Centre and targeted enforcement action.</p>	<p>Handed over by Cllr D'Agorne at a Decision Session – Executive Member for Environment held on 7-8-2017</p>	<p>600</p>	<p>Mike Southcombe /Andrew Bradley</p>	<p>Executive Taken as part of “A Clean Air Zone for York report”.</p>	<p>25-01-2018</p>		
<p>89. Petition to be excluded from proposed R58C extended ResPark zone 177 – 211 (odd) Bish Rd</p>	<p>Email received during objection period</p>	<p>28</p>	<p>Annemarie Howarth</p>	<p>Executive Member for Transport & Planning</p>	<p>16-11-2017</p>	<p>The Executive Member agreed to implement the advertised proposals to amend York Parking, Stopping and Waiting</p>	

and 230-274 (even) Bish Rd						Traffic Regulation Order to extend three existing Residents Priority Parking Areas including: Bishopthorpe Road area within R58C with an amendment to the advertised boundary and with a view to carrying out a formal consultation with further residents on Bishopthorpe Road (part) after the agreed amended scheme has been implemented.	
91. Petition requesting a puffin crossing (or otherwise) on Lowther St in the vicinity of Park Grove Primary School	Presented by Cllr Flinders at Full Council on 26 October 2017	220	Andy Vose	Executive Member for Transport & Planning	18-01-2018		
93. Provision of a left filter lane at the Hopgrove Lane South/ Malton Road junction.	Presented to Executive Member for Transport and Planning	172	Tony Clarke/ Alistair Briggs	<i>Executive Member of Transport and Planning</i>	15-02-2018		
94. “To remove the £40 fee for safeguarding training” (for taxi drivers in reference to taxi licensing)	Emailed to Licensing team	286	Lesley Cooke	<i>Refer to Joint Executive Member Decision Session Housing & Safeguarding & Education, Children’s & Young People</i>	tbc		
95. “To support the motion for City of York Council to restrict out	Handed in at Gambling, Licensing and	1353	Lesley Cooke	<i>Refer to Joint Executive Member Decision Session</i>	tbc		

<p>of town working in our city. And do not want UBER licence to be renewed. UBER area a danger to vulnerable members of the public, they seek to take advantage by plying for hire without bookings, charge excessive surcharges and have individuals working for them whom have no knowledge of our city. We would like all drivers who work in York to be registered with a local private hire company or be a Hackney driver. We do not want UBER in York</p>	<p>Regulatory Committee on 12 December 2017</p>			<p><i>Housing & Safeguarding & Education, Children's & Young People</i></p>			
<p>96. Petition from Osbaldwick residents calling for 'The removal of the 20mph signs in Osbaldwick'.</p>	<p>Handed in at Council on 14 December 2017 by Cllr Warters</p>	<p>157</p>	<p>Alistair Briggs</p>	<p><i>Executive Member for Transport and Planning</i></p>	<p>15-02-2018</p>		
<p>97. Petition from Residents of Strensall objecting to proposal for waiting restrictions on Barley Rise, advertised as part of the Annual Review Process on the 15th December</p>	<p>Emailed In on the 2nd January 2018</p>	<p>39</p>	<p>Sue Gill <i>to be considered along with other objections received within the Annual Review Process</i></p>	<p><i>Executive Member for Transport and Planning –.</i></p>	<p>To be decided</p>		

This page is intentionally left blank



Customer & Corporate Services Scrutiny Management Committee

22 January 2018

Report of the Director of Customer & Corporate Services

Attendance & Wellbeing Project – Update

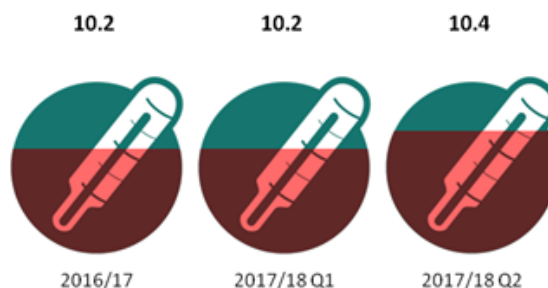
Summary

1. This report provides an update on work being undertaken to address sickness absence with a focus on attendance management and employee wellbeing.

Background

2. Following committee meeting in September 2017, committee members requested that progress of the project would be reported back and to outline the specific work activity underway to reduce the levels of sickness absence across the organisation.
3. The 12 month rolling average of sickness days per FTE (excluding schools) has increased slightly from 10.2 days at the end of June, to 10.4 days at the end of September. This also remains higher than the CIPD Public Sector average of 8.7 days.
4. The 12 month rolling average for stress related absence was 2.5 days per FTE at the end of Q1 but this has increased slightly in September to 2.8 days.

Average sickness days per FTE – CYC
(Excluding Schools) – (Rolling 12 Month)



5. As previously reported, the priority for the second year is a focus on attendance management and to also concentrate on the council's wellbeing priority. The key activities in 2018 in relation to attendance and staff wellbeing include:
 - The implementation of self service absence reporting into iTrent which will reduce the reporting burden for managers and assist with more accurate reporting and improved management information.
 - The delivery of a suite of learning for managers including attendance management training, disability awareness and support with difficult conversations.
 - Specific communication to ensure all employees have a shared understanding of their roles and responsibilities regarding application of policy.
 - A review of the role of Occupational Health and counselling service.
 - An engagement campaign to promote an understanding of the benefits of proactive management of absence and help support managers and staff to deal with sensitive issues (e.g. mental health, support with cancer and terminal illness) and promotion of flexible working and work life balance to ensure staff have an understanding of wellbeing initiatives and how they access them.
 - Review of the current attendance management toolkit to consider improvements and determine if there are any recommendations to revise policy.

Current Position

Implementation of self service absence reporting

6. The iTrent Absence Management module is an extension of the People Manager module already widely used by managers across the council to authorise time and expense claims for staff. Managers will use it to record all sickness absence and other absence reasons, for example dependent care, unpaid leave. This will provide an improved absence history.
7. Work has been undertaken by HR colleagues from October 2017 to December 2017 to finalise the existing build work of the Absence module. This work has taken longer than expected due to issues identified in the testing phase and capabilities of the system which required some additional redesign work. The system is now developed and will go to the internal Corporate ICT board for sign off on the 10th

January 2018.

8. Final structural changes are required within iTrent to ensure the system accurately reflects the current organisational structure. The completion of this work will ensure that all sickness absence can be reported and is on track to support a roll out during February and March 2018.
9. To support the launch, drop-in sessions will be run by HR to ensure managers are familiar with the absence function of iTrent People Manager. Detailed guidance and communications for all staff will also be rolled out.

Management Information

10. Currently sickness is reported to all managers in the organisation through a variety of mechanisms; within quarterly Finance and Performance Reporting; reports to Corporate and Directorate Management Teams; self service through the KPI machine; and requested exception reporting.
11. Since the last report, detailed work has been carried out by the Business Intelligence Team and Human Resources to make available additional information for managers (via the KPI machine), about employees under the managers supervision. It provides full establishment information including personalised data on incidents of absence, for team managers to see both individual and team absence in “real” time.
12. The management information is enabling the organisation to identify ‘hot spots’ and to target particular teams who require support with managing attendance. This project will complement the introduction of the iTrent absence reporting and will be launched at the same time as the self-service absence reporting functionality.

HR Support

13. Across the Council there are many areas with good attendance and good practice however, there are some areas that require focused interventions as high levels of absence have been identified within these areas.
14. The management information has identified a ‘hot spot’ in Economy and Place. Additional HR resource has been provided to assist the directorate to address the particularly high levels of sickness absence and is providing intensive support, working alongside managers to understand the specific challenges within those areas of work.

15. The HR Officer supporting the project is based at Hazel Court on a regular basis and is providing bespoke training and support for the teams, proactively working with senior and operational managers, the HR advisory team and HR Occupational Health Advisor to identify areas of concern and possible solutions. This includes musculoskeletal disorders and potential interventions to improve the wellbeing of the workforce and improved attendance.
16. HR drop in sessions have been introduced for managers with the aim of supporting employee wellbeing whilst providing proactive, preventative interventions for specific absence cases.
17. In addition, drop in sessions will be available to ensure all employees have a shared understanding of their roles and responsibilities regarding application of policy. These will be open to all staff, but initially will be targeted to the areas with high levels of sickness absence.

Learning and Development

18. A suite of learning for managers has now been developed and includes attendance management training, disability awareness and support with difficult conversations.
19. Following attempts at raising awareness across the organisation, the courses to date have been well attended and positively received. Due to demand for the training, the programme has been extended to ensure learning needs are fulfilled and by the end of March, the number of managers attending courses overall will exceed 200. See table below:

October 2017 - March 2018 Course Title	Number of courses	Number of delegates
Attendance Management	10	108
Disability Awareness (in employment)	4	46
Having Difficult Conversations	4	36
Total	18	190

20. Bite-size Disability Awareness training for all staff is also available and from February 2018 our current Occupational Provider will deliver training to support managers in Occupational Health processes.
21. Dedicated Communication and Engagement support is now in place in HR. The officer is developing a campaign to promote an understanding of the benefits of proactive management of absence and help support managers and staff to deal with sensitive issues (e.g mental health,

support with cancer and terminal illness) and promotion of flexible working and work life balance. This will support staff in their understanding of wellbeing initiatives and how they access them.

22. The council's intranet pages have been refreshed to enable staff to easily access information to support them in the workplace. Further work to develop the intranet and reach those staff that do not have easy access to the intranet is ongoing.
23. The review of the role of Occupational Health and counselling service is ongoing.
24. The attendance management toolkit has been reviewed and will be re-launched alongside the roll out of the iTrent Absence Module.

Consultation

25. Trade Union colleagues continue to be part of the project team. Staff will be involved in focus groups throughout the project. Any proposed changes to policy will be consulted upon as required.

Council Plan

26. The information outlined in this report is in line with the Council Plan and the People Plan which has health and wellbeing as a priority.

Implications

27. **Financial:** There are direct costs associated with absenteeism in some areas due to the use of agency. Indirect costs are associated in relation to potential loss of productivity.
 - **Human Resources (HR):** If sickness absence is not tracked and managed appropriately, the implications for staff members could be significant if appropriate support or responses are not put into place, either through worsening absence or symptoms, or through litigation action taken against the council.
 - If absence reasons and volumes recorded in iTrent are not accurate, they cannot be relied upon to inform decision making and subsequent actions.
 - **Equalities:** The poor recording of sickness absence reasons and related management action could result in reasonable adjustments or occupational health advice not being provided where staff are covered by the Equalities Act in relation to disability.
 - **Legal:** See HR implications

- **Crime and Disorder:** None
- **Information Technology:** Matters relating to the HR system are covered in the report
- **Property:** None

Risk Management

28. The main risks continue to relate to failure to record, track, monitor and put into place actions to monitor sickness, which may cause sickness levels to not be accurate, and in turn cause actions to be put in place that are not proportionate or in line with policy. Mitigations will be put in place as detailed in the main body of the report.

Recommendations

29. Members are asked to:

- a. Note and comment on the contents of the report.

Reason: To understand the key issues and response to the recommendations to secure improvements in control arrangements around sickness absence.

- b. Consider receiving future updates and a specific report in six months.

Reason: To review the progress and impact of the project and the impact on attendance and wellbeing across the Council.

Contact Details

Author **Chief Officer responsible for the report**

Claire Waind **Ian Floyd**

HR Manager **Corporate Director, Customer & Corporate Services**
01904 554519

Report Approved **Date** 8 Jan 2018

Specialist Implications Officer(s) None

Wards Affected: **All**

For further information please contact the author of the report



**Customer and Corporate Service Scrutiny 22nd January 2018
Management Committee**

City of York Council – Annual Complaints Report 2016 - 2017

1. Summary

1.1 This report provides Members with the annual reports covering April 2016 to March 2017 in respect of:

- Adults social care
- Children's social care
- Corporate complaint policy

1.2 It includes:

- Ombudsman investigations
- Performance levels
- Themes
- Costs of delivering the complaints service and procedures

2. Consultation

Not relevant for the purpose of this report.

3. Options

Not relevant for the purpose of this report.

4. Analysis

Not relevant for the purpose of this report.

5. Council Plan

5.1 The council's customer feedback and complaints policies and procedures offers assurance to its customers, employees, contractors, partners and other stakeholders that complaints are dealt with in accordance with legislation and regulations and confidentiality, integrity and availability are appropriately protected.

6. Implications

Relevant implications are set out in the body of the annex.

7. Risk Management

The council may face financial and reputational risks if complaints are not managed effectively. For example, the Ombudsman can find maladministration with injustice against the council, including awarding compensation to individuals.

The failure to identify and manage complaints appropriately may diminish the council's overall effectiveness.

8. Recommendations

Members are asked:

- To note the performance levels.
- To note how the Monitoring Officer and Customer Feedback Team will report Ombudsman cases going forward
- To note the ongoing work required to ensure the Council meets its responsibilities under the relevant legislation for adults and children social care complaints and the corporate complaints policy and procedures.

Reason: To inform Members of the Council's complaints policy and procedures.

Contact Details

Author:

Lorraine Lunt
Information Governance &
Feedback Team Manager
Telephone: 01904 552247

Chief Officer Responsible for the report:

Andy Docherty
Assistant Director
Telephone: 01904 551004

Report Date 10th January
Approved 2018

Wards Affected: List wards or tick box to indicate all All

For further information please contact the author of the report

Annexes

Annex 1 – City of York Council Annual Complaints Report 2016 -2017

Background Information

Not applicable



City of York Council Annual Complaints Report 2016 - 2017

Andy Docherty
Assistant Director, Legal & Governance
Cath Murray
Complaints and Feedback Manager

Index

Title	Section
Introduction	1
Ombudsman Investigations and Annual Review Letter	2
What is a complaint	3
Effectiveness of the Procedure	4
Themes	5
Cost of delivering the complaints procedure	6
Children's Social Care Complaints	
Context	7
Who can make a complaint	8
Grading of Complaints	9
Activity	10
Total Complaints Made	11
Comparison with the preceding year	12
Outcomes of complaints	13
Response Times	14
Detail of complaints	
Stage One	15
Stage Two	16
Stage Three	17
Percentage Escalation	18
Equalities Monitoring Information	19
Who made the complaints	20
Payments	21
Alternative Dispute Resolution	22
Learning Lessons/Practice Improvements	23
Adult Social Care Complaints	
Context	24
Who can make a complaint	25
Grading of Complaints	26
Activity	27
Total Complaints Made	28
Comparison with the preceding year	29
Outcomes of complaints	30
Response Times	31
Detail of complaints	
Green	32
Amber	33

Red	34
Equalities Monitoring Information	35
Who made the complaints	36
Payments	37
Alternative Dispute Resolution	38
Complaints dealt with by The Local Authority and NHS Bodies	39
Learning Lessons/Practice Improvements	40
Corporate Complaints Procedure	
Context	41
Who can make a complaint	42
Grading of Complaints	43
Response Times	44
Detail of complaints	
Stage One	45
Stage Two	46
Stage Three	47
Outcome of Investigations by the Ombudsman	48
Payments	49
Alternative Dispute Resolution	50
Learning Lessons/Practice Improvements	51

1 Introduction

Complaints and Feedback are managed for all council areas through the Complaints and Feedback Team (CFT) to ensure that comments, complaints, concerns and compliments are dealt with in an independent and consistent way across the council.

Complaints about adult and children's social care services are dealt with under two separate pieces of legislation:

- The Children Act 1989 Representations Procedure (England) Regulations 2006
- The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009

Complaints about other council services are dealt with under the council's Corporate Complaints and Feedback procedures and these have been designed using the guidance and good practice specified in the statutory procedures and by the Local Government and Social Care Ombudsman (LGSCO) formerly known as the Local Government Ombudsman (LGO).

It is essential that all teams delivering services (including the contractors or providers of services on our behalf) formally capture and record complaints. It is only by doing so that complaints can be tracked and where things have gone wrong managers can ensure that matters are put right. Senior managers and the CFT therefore regularly encourage teams to recognise complaints and report these to the CFT.

2 Ombudsman Investigations and Annual Review Letter

The LGSCO is the council's regulator and following the conclusion of the internal complaints procedure, is able to investigate complaints about council services.

The exception to this is that the Housing Ombudsman Service (HOS) is the regulator for most housing related services and the Information Commissioner's Officer (ICO) is the regulator for all information governance complaints, including complaints about data breaches, and responses to requests under the Data Protection Act, Freedom of Information Act and Environmental Information Regulations.

The LGSCO provides an annual review letter about the council covering April to March each year. This includes tables presenting the number of complaints and enquiries received about the council and the decisions the LGSCO has made during the reporting period. This is to help us assess our performance in

handling complaints. It includes the number of cases where the LGSCO's recommendations remedied the fault and the number of cases where they decided we had had offered a satisfactory remedy during our local complaints process. In these latter cases the LGSCO provides reassurance that we had satisfactorily attempted to resolve the complaint before the person went to them.

This year, the LGSCO chose not to include a 'compliance rate' which indicated a council's compliance with their recommendations to remedy a fault. This is because from April 2016, the LGSCO established a new mechanism for ensuring the recommendations they make to councils are implemented, where they are agreed to. This has meant the LGSCO's recommendations are more specific, and will often include a time-frame for completion. These are then followed up with the council and we have to provide evidence that recommendations have been implemented. As a result of this new process, the LGSCO plans to report a more sophisticated suite of information about compliance and service improvement in the future.

The LGSCO dealt with 57 cases about the council in April 2016 to March 2017 and their decisions are shown below:

LGSCO decision	How many?	%* rounded down to whole number
Closed after initial enquiries	19	33%
Referred back for local resolution	13	23%
Advice given	3	5%
Incomplete/invalid	1	1%
Not upheld	14	24%
Upheld	8	14%
Total	57	100%

The LGSCO's 8 upheld decisions had the following remedies

Apology, Financial Redress, Procedure Change
Financial Redress, Procedure Change
Apology
Apology, Reimbursement/unquantified payment
Financial Redress
Financial Redress
New appeal/review
Null

Whilst the annual review letter raised the LGSCO's concerns about the council's use of the Local Government Act section 32(3) confidentiality notices, we pursued meeting with the Assistant Ombudsman and the region/area relationship

co-ordinator on this topic and they have gone on to review their position on the use of this section, including possible discussions with the Information Commissioner's Office.

We were also successful in gaining an amendment to the initial annual review letter to remove an incorrect reference and comments about a case from the previous year.

The Ombudsman clarified in all annual review letters, how the statutory duty to report Ombudsman findings and recommendations should be discharged. This was after receiving several enquiries from authorities to ask how this should be done. The statement was

"The Ombudsman is comfortable with, and supportive of, a flexible approach to how this duty is discharged. The Ombudsman does not seek to impose a proscriptive approach, as long as the Parliamentary intent is fulfilled in some meaningful way and the authority's performance in relation to Ombudsman investigations is properly communicated to elected members."

This significant statutory duty is triggered in most authorities every year following findings of fault by the LGSCO and it applies to all Ombudsman complaint decisions, not just those that result in a public report.

Using this clarification, the Monitoring officer supported by the CFT, will:

- Where there are findings of maladministration/fault in regard to routine mistakes and service failures, and we have agreed to remedy the complaint by implementing the recommendations made following an investigation, the Monitoring Officer will make a periodic/annual report to the council and members, summarising the findings on all upheld complaints over a specific period.
- Where an investigation has wider implications for council policy or exposes a more significant finding of maladministration, perhaps because of the scale of the fault or injustice, or the number of people affected, the Monitoring Officer will consider whether the implications of that investigation should be individually reported to members.
- In the unlikely event that the council is minded not to comply with the LGSCO's recommendations following a finding of maladministration, the Monitoring Officer will report this to members under section five of the Local Government and Housing Act 1989. This is an exceptional and unusual course of action for any council to take and should be considered at the highest tier of the authority.

These duties set out above in relation to the Local Government and Housing Act 1989 are in addition to, not instead of, the pre-existing duties placed on all councils in relation to Ombudsman reports under The Local Government Act 1974. Under those provisions, if the LGSCO were to issue us with a formal,

public report, we are obliged to lay that report before the council for consideration and respond within three months setting out the action that we have taken, or propose to take, in response to the report.

3 What is a Complaint?

A complaint is an expression of dissatisfaction or disquiet about the actions, decisions, or apparent failings of a local authority's social services provision which requires a response. If it is possible to resolve the complaint immediately this does not need to be logged through the complaints procedure.

4 Effectiveness of the Procedure

The CFT offer and proactively encourage all staff and managers to participate in regular training and awareness raising regarding the complaints and feedback procedures. There were a number of sessions held across the different service areas through attendance at directorate management teams, service or team meetings.

In addition to this guidance is provided to assist managers with completing thorough investigations and comprehensive responses.

When managers have provided a response to a complaint they are asked to record what will be done to resolve complaints, what lessons have been learnt and what action will be taken to improve services and avoid problems being repeated. The CFT proactively monitor the completion of actions.

A summary of the information received regarding the lessons learnt and action taken is included at the end of this report.

5 Themes

Although the main themes are about inappropriate or lack of action, this is more often about communication issues in all areas, including returning people's calls, keeping people up to date when there are unavoidable delays and how changes in services are explained to people.

Communication issues are a key theme discussed with staff in the training and awareness raising sessions offered and provided by the CFT, which assists staff in understanding how to improve customer experience and avoid unnecessary or the escalation of complaints.

6 Cost of delivering the complaints procedure including the corporate procedure:

There are ongoing costs attached to delivering an effective complaints service. These costs should be seen against the inherent costs of not providing this service. These may include customer dissatisfaction escalating, financial remedies being recommended by the LGSCO, increased judicial reviews and non-compliance with legislation.

The total actual spend for the full service including the Information Governance provision, salary and on-costs was £256,510.

The payments made as part of the three different complaints procedures are provided later in this report.

Annual Children's Social Care Complaints and Representations Report for Period 2016 - 2017

7 Context

The following information relates to complaints made during the twelve months between 1st April 2016 and 31st March 2017 for children under the Children Act 1989 Representations Procedure (England) Regulations 2006.

All timescales contained within this report are for working days.

In addition, the numbers of compliments are also recorded and these are:

10/11	11/12	12/13	13/14	14/15	15/16	16/17
5	8	6	8	3	23	6

The CFT are aware that many more compliments are received and actively work to encourage staff and teams to forward these to ensure they are recorded. This is to ensure that we are able to provide a true picture of our customers' experiences of the services they receive.

The compliments received include:

- Being supported to achieve being able to be a family
- Being supported to have breaks from caring
- Being a lifeline
- Being the best ever social worker
- For support during a short term health problem

The legislation makes it clear that people should be able to provide feedback and have this responded to, without this being seen as a complaint. Therefore concerns, comments and requests are also logged.

The number of concerns, comments and requests received in this period were:

10/11	11/12	12/13	13/14	14/15	15/16	16/17
9	5	12	13	6	14	11

An example of what may be raised as a concern is where a grandparent wants to let us know about concerns they may have about grandchild(ren) when parents have split up.

8 Who can make a Complaint?

- Any child or young person (or a parent, or someone who has parental responsibility) who is being looked after by the local authority or is not looked after by them, but is in need.
- Any local authority foster carer (including those caring for children placed through independent fostering agencies).
- Children leaving care
- Special Guardians
- A child or young person (or parent) to whom a Special Guardian order is in place.
- Any person who has applied for an assessment under section 14F(3) or (4).
- Any child or young person who may be adopted, their parents and guardians.
- Persons wishing to adopt a child.
- Any other person whom arrangements for the provision of adoption services extend.
- Adopted persons, their parents, natural parents and former guardians and such other person as the local authority consider has sufficient interest in the child or young person's welfare to warrant their representations being considered by them.

Where a complaint is received from a representative on behalf of a child or young person, the council authority will, where possible, confirm that the child or young person is happy for this to happen and that the complaint received reflects their views.

The complaints manager in consultation with relevant operational managers will decide whether the person is suitable to act in this capacity and has sufficient interest in the child's welfare. If it is decided that a person is not suitable to act as a representative for a child, they will be informed of the decision in writing by the complaints manager. The complaint will then fall outside the statutory procedure. They will however be able to complain through the corporate complaints procedure.

Complaints may also be made by adults relating to a child or young person, but are not being made on their behalf. The complaints manager in consultation with operational managers will decide whether the person has sufficient interest in the child's welfare for the complaint to be considered. The child may also be consulted as part of the decision making process.

9 Grading of Complaints

Stage One. This is the most important stage of the complaints procedure. The teams and external contractors providing services on our behalf are expected to resolve as many complaints as possible at this stage.

The legislation requires complaints at stage one to be responded to within 10 working days. This can be extended for a further 10 working days in some circumstances where further time is needed to arrange an advocate, or where staff may be away from work. This can only be extended with the agreement of the complainant.

Stage Two. This stage is usually implemented where the complainant is dissatisfied with the findings of stage one. Certain cases may though be escalated straight to stage two. Stage two is an investigation conducted by either an internal manager who has not had any previous involvement in the complaint and has no line management responsibility for the area being complained about, or an external investigating officer. The Assistant Director adjudicates on the findings, although on occasions, this can be delegated to a group manager, where an Assistant Director is not available.

The council must appoint an independent person to oversee the investigation process for all stage two complaints. Stage two complaints falling within the social services statutory complaints procedures should be dealt with in 25 days, although in certain cases this can be extended to 65 days.

Stage Three. The third stage of the complaints process is the review panel. Where complainants wish to proceed with complaints about statutory social service functions, the council is required to establish a complaints review panel. The panel makes recommendations to the Director who then makes a decision on the complaint and any action to be taken.

Complaints review panels must be made up of 3 independent panellists. There are various timescales relating to stage three complaints. These are:

- setting up the panel within 30 working days;
- producing the panel's report within 5 working days of the panel; and
- producing the local authority's response within 15 days following receipt of the report.

A further option for complainants is the LGSCO who is empowered to investigate where it appears that a council's own investigations have not resolved the complaint. Complainants can refer their complaint to the LGSCO at any time, although the Ombudsman normally refers the complaint back to the

council if it has not been considered under our procedure first. The council will usually agree to a complaint being considered by the Ombudsman without the third stage of the internal process having been completed.

10 Activity

The complaints service recorded 30 complaints under the children's social care procedure during the year, compared with a total of 34 last year.

An additional 10 complaints were received about children's social care services under the corporate complaints procedure, compared to 4 in the previous year.

The LGSCO has since instructed the council to investigate one of the corporate complaints at stage 2 of the social care procedure.

There were 4 complaints investigated under the corporate complaints procedure regarding Special Educational Needs services. Three were at stage 1 and one at stage 2.

11 Total complaints made:

Of the 30 complaints dealt with 26 were investigated at stage one of the social care procedures, 1 progressed to stage two. There were though 4 complaints in total heard at stage two of the social care procedure. 3 of these were moved straight to stage 2 due to their complexity and or severity.

No complaints were considered at stage three.

The team is aware that 5 people contacted the LGSCO in relation to children's services. The following outcomes were reached.

- 1 was upheld as maladministration with injustice without a report
- 3 were closed after initial enquiries with no further action.
- 1 was not upheld and no further action

12 Comparison with the preceding year

The numbers of complaints being received are small in number and typically fluctuate each year and this is typical of social care complaints received across Yorkshire and Humberside. Accordingly, while the figures show a 13.3% decrease in complaints from last year, it is dangerous to accord too much weight to this and it should be noted that this is in the context of a 56% increase last year from the previous year.

13 Outcomes of complaints:

	2014-2015	2015-2016	2016-2017
upheld	1	3	0
partly upheld	9	15	9
not upheld	7	8	14
not proved	0	0	0
not pursued	2	4	3
no response	2	0	1
ongoing	1	4	1
Total	22	34	28

14 Response Times

A key requirement of complaints procedures is to ensure that service users are informed of the outcome of their complaints, in an appropriate time frame.

The timescales in working days for the procedure are:

- 10 days at Stage 1 (with a further 10 days for more complex complaints or additional time if an advocate is required);
- 25 days at Stage 2 (with maximum extension to 65 days);
- 20 days for the complainant to request a Review Panel;
- 30 days to convene and hold the Review Panel at Stage 3;
- 5 days for the Panel to issue its findings; and
- 15 days for the local authority to respond to the findings.

Details of Complaints

15 Stage One Complaints

There were 26 stage one complaints compared to 24 last year. These have been categorised as follows:

Stage One Nature of complaint

	2014 - 2015	2014 - 2015	2016 - 2017
Attitude of staff	-	3	2
Disagree with Policy	-	-	1
Disagree with Assessment	1	2	4
Discrimination	-	-	0
Inappropriate Action	6	10	12
Lack of Action	7	5	6
Quality of Advice/ Communication	3	4	1
TOTAL	17	24	26

You will note that inappropriate action and lack of action have consistently been the main themes with the highest numbers of recorded complaints.

Stage One Social Care Response Times

	2014 - 2015	%*	2015 - 2016	%*	2016 - 2017	%*
Within 10 days	9	53%	13	54%	19	73%
Within 20 days	5	29%	6	25%	2	8%
Over 20 days	2	12%	2	8%	2	8%
Not Pursued	1	6%	3	12%	3	11%
TOTAL	17		24		26	

*% figures are rounded to the nearest whole number

You will note that there has been an improvement of 19% for responses due within the 10 days timeframe from last year. Where there has been a need to extend the response time, as per the legislation and guidance, we have agreed this with the complainant.

Stage One Outcomes

	2014 - 2015	%*	2015 - 2016	%*	2016 - 2017	%*
Upheld	1	6%	2	8%	0	-
Partially Upheld	7	41%	11	46%	7	27%
Not Upheld	6	35%	8	33%	15	58%
Not Proven	0	-	0	-	0	-
Not Pursued	1	6%	3	12%	3	11%
No response	2	12%	0	-	1	4%
TOTAL	17		24		26	

*% figures are rounded to the nearest whole number

You will note that there has been a significant improvement in the number of complaints upheld or partially upheld at stage one, than in previous years.

16 Stage Two Complaints

Stage Two Nature of Complaint

	2014 -2015	2015 -2016	2016 -2017
Attitude of staff	-	-	-
Disagree with Policy	-	-	-
Disagree with Assessment	-	1	--
Discrimination	-	-	
Inappropriate Action	2	6	3
Lack of Action	1	2	1
Quality of Advice/ Communication	2	1	-
TOTAL	5	10	4

You will note that there has been a 60% reduction in the number of stage 2 complaints compared to last year.

Stage Two Response Times

	2014 - 2015	%*	2015 - 2016	%*	2016 - 2017	%*
Within 25days	1	20%	2	20%	1	25%
Within 65 days	1	20%	-	-	2	50%
Over timescale	1	20%	7	70%	1	25%
Not Pursued	1	20%	1	10%	-	-
ongoing	1	20%	-	-	-	-
TOTAL	5		10		4	

You will note that there has been a significant improvement in the number of complaints going over the timescale for response at stage 2. However it is important to remember that reasons for extending up to the 65 days may include arranging advocates and appointments with both staff and complainants, particularly at adjudication. The CFT ensure that complainants are kept updated in these cases.

Stage Two Outcomes

	2014 - 2015	%*	2014 - 2015	%*	2016 – 2017	%*
Upheld	-	-	1	10%	-	-
Partially Upheld	2	40%	4	40%	2	50%
Not Upheld	1	20%	-	-	-	-
Not Pursued	1	20%	1	10%	-	-
No response sent	-	-	-	-	1	25%
ongoing	1	20%	4	40%	1	25%
TOTAL	5		10		4	

17 Stage Three Complaints

There were no children's stage 3 complaints, which is the same as last year.

The process at stage three of the Children's Social Care Complaints Procedure does not include a further investigation. An independent review panel considers whether the investigation, findings and recommendations at stage two, were thorough logical and fair. The Panel then provides a report to the Director of Children's Services with their conclusions and any recommendations considered appropriate. The Director would then respond confirming whether they agree with the conclusions and any recommendations made.

Where someone remains unhappy following a stage two response, the complaints advisors assess whether the council has been given sufficient opportunity to consider and respond to the complaint and whether a review is likely to lead to a different outcome.

Where it is not considered a different outcome is likely to be achieved through this process, people are made aware the council has an obligation to hold a Review Panel if requested. However confirmation will be provided in writing that it is considered the council has had sufficient opportunity to consider and respond to the complaint that further consideration by the council is unlikely to lead to a different outcome and the complainant is able to contact the LGSCO for an independent view of their complaint. This is to avoid any delay in people being able to seek an independent view from the Regulator.

In addition to the information given above for complaints made through the children's' social care complaints procedure, three complaints were received as a corporate stage one. Complaints are dealt with under the corporate procedure when the complainant is not complaining with the consent of the customer, or it may be considered they are not complaining in the customer's best interest. None of these complaints were escalated within the complaints procedure.

18 Percentage escalation

The following table indicates how many complaints in children's services have been escalated. By measuring these figures as a percentage, we are able to gauge the implied customer satisfaction levels.

	Number	% escalated to next stage	% implied customer satisfaction
Stage 1 to Stage 2	1 of 26	3.8%	96.2%
Stage 2 to Stage 3	0	0%	100%

19 Equalities Monitoring Information

Following the guidance produced by the Department of Health and the Department for Education and Skills, we have to seek to identify who is making complaints to get a greater understanding of them. The following information was provided:

Gender

	2013 -2014	2014 - 2015	2015 - 2016	2016 - 2017
Male	9	7	5	11
Female	14	15	29	16
Male & Female	1	-	-	3
Not stated	-	-	-	-

Ethnic origin

0 comments were made about ethnicity

Age

4 people were between 16 – 24.

20 Who made the complaints

- 3 complaints were made by a child or young person via an advocate.
- 1 complaint was made direct by a child or young person.
- 1 complaint was made by an adult via an advocate.
- 6 complaints were made by family or friends on behalf of a child or young person.
- 19 complaints were made by adults about the service provided to them.

The Complaints Manager is aware the majority of complaints about Children's Services are not made by children or young people receiving a service. To ensure that children are aware of and are supported to use the complaints and feedback procedure, the team works closely with the Children's Rights team and where appropriate, other support and advocacy services and others making a complaint on behalf of a child or young person.

The council has a statutory obligation to offer advocacy support to any child or young person making a complaint and the Children's Rights team make people aware of the options available for raising comments, concerns, complaints and compliments and provide advocacy support to assist with this where requested.

The CFT are also available to attend meetings with staff members, children and young people and on occasions foster carers to raise awareness of and understanding about how people can use the procedure.

21 Payments

The council has an obligation to ensure independence in the children's social care complaints procedure. This includes a requirement for:

- A person independent of the council to oversee all complaints at stage two made by children and young people.
- To ensure the investigator at stage two has not had any involvement in the complaint or line management responsibility for the services being complained about.
- To have a panel of 3 independent people at stage three.

The costs of this in the reporting period 2016- 2017 were:

	£
Investigating Officers & Independent People	£17,176.25 This was for 6 cases some of which were started and recorded in the previous reporting period, but completed and paid in this period.
Review Panel	0
IP contract	£6636.42

In addition to this the council provides financial recompense if, after a complaint has been investigated or as part of an LGSCO's investigation, it is concluded that:

- the LGSCO would find that there has been maladministration by the council causing injustice to the complainant; and
- the LGSCO would recommend that financial recompense should therefore be paid to the complainant.

One amount of £1,460.00 was made for time trouble and delays and to pay for an agreed service.

An additional amount of £400 has been offered for time, trouble and upset on a case that was initially received in this reporting period, but is being considered by the Ombudsman and is currently ongoing.

22 Alternative Dispute Resolution

It is important to note that the Department for Education and Skills Guidance makes it clear that nothing in the procedure should preclude Alternative Dispute Resolution and that if agreed by both complainant and the Complaints Manager the council should explore this option.

Possible alternatives which may be considered by the Complaints Manager include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

23 Learning Lessons/Practice Improvements

The council is always happy to consider appropriate ways of resolving a customer's complaint. Some of the types of action the council has undertaken to resolve complaints have been issuing apologies, meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place. This has been particularly relevant in the case of communicating effectively with customers and putting strategies into place to ensure that people are kept up to date. The council also offers a re-assessment of needs where possible, to ensure that nothing has been missed or that circumstances have not changed.

Complaints provide senior managers with useful information in respect of the way that services are delivered. The consideration of complaints has resulted in agreement to undertake the following actions, in addition to apologies and financial recompense:

- Agreement to update people about outcome of Local Authority Designated Officer (LADO) referrals. For information: The role of the LADO is set out in Working Together to Safeguard Children (2015) and is governed by the Authorities duties under section 11 of the Children Act 2004 and MKSCB Inter-Agency Policy and Procedures (Ch 2.8). This guidance outlines procedures for managing allegations against people who work with children who are paid, unpaid, volunteers, casual, agency or anyone self employed. The LADO must be contacted within one working day in respect of all cases in which it is alleged that a person who works with children has:
 - behaved in a way that has harmed, or may have harmed a child;
 - possibly committed a criminal offence against or related to a child; or
 - behaved towards a child or children in a way that indicates they may pose a risk of harm to children.
- Improved quality assurance arrangements for reports to child protection case conferences from one team
- Review and reminder of medicines procedure
- Review of communication when re-scheduling respite care

Annual Adult Social Care Complaints Report for Period 2016 - 2017

24 Context

This report provides information about complaints made during the twelve months between 1st April 2016 and 31st March 2017 for adults under the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.

All timescales contained within this report are for working days.

In addition the numbers of compliments are also recorded. These were:

	12/13	13/14	14/15	15/16	16/17
adult services	53	47	44	31	19
occupational therapy	1	4	2	2	-
Commissioning and Purchasing (C&P)					
/mental health	-	6	2	20	28
learning disability services	14	7	1	0	4
public health	-	-	-	-	0

The CFT are aware that many more compliments are received and actively work to encourage staff and teams to forward these to ensure they are recorded. This is to ensure that we are able to provide a true picture of our customers' experiences of the services they receive.

The compliments received included:

- The help and support received to find the right home, giving peace of mind
- Couldn't wish for anyone better to represent the relative, made a massive difference to the quality of relative's life, helping them to stay at home for as long as possible, which were what they always wanted and where they were happy. Helped to give some very special memories to treasure & will always be grateful.
- Taking a truly person centred approach which is positively impacting on quality of life.
- Heartfelt appreciation for wonderful care to relative. It has been a tonic to witness patience and care for well being, relative flourished under superb care.
- Everyone did such an outstanding job on assisting relative when needed, when they couldn't help themselves. They were indeed fortunate when the City of York Council took them under their wing. Everyone provides such professional and valuable services.

- Formal thanks to the Council for its support in the past. Support and encouragement within the Council's framework has always been very much appreciated.

The legislation makes it clear that people should be able to provide feedback and have this responded to without this being seen as a complaint. Therefore concerns, comments and requests are also logged.

The number of concerns, comments and requests received in this period were:

	12/13	13/14	14/15	15/16	16/17
adult services	12	31	54	11	6
occupational therapy	-	-	1	1	-
C&P/ mental health	3	4	-	-	5
learning disability services	-	-	-	-	-
Public Health	-	-	-	-	3

25 Who can make a Complaint?

Someone who:

- The local authority has a power or duty to provide or secure the provision of a social service for him/her and
- His/her need for such a service has (by whatever means) come to the attention of the Authority.

This definition also applies to a person acting on behalf of someone who meets the above requirements.

A complaint can be made by a representative where the Complaints Manager receives permission from the eligible person, usually in writing, giving their permission for the representative to make the complaint on their behalf. A representative will also be able to make a complaint where the eligible person is not capable of making the complaint themselves, this includes when they have died.

The Complaints Manager will decide if a person is suitable to act as a representative, if it is decided they are not acting in the eligible person's best interests, they will inform them in writing of the reasons for this.

If a customer is not eligible under the terms of the Act, they will always be able to have their complaint looked at under the council's corporate complaints procedure.

26 Grading of Complaints

The department of health designed the following tool to assess the seriousness of complaints and decide the relevant action:

Step 1: Decide how serious the issue is

Seriousness	Description
Low	Unsatisfactory service or experience not directly related to care. No impact or risk to provision of care. OR Unsatisfactory service or experience related to care, usually a single resolvable issue. Minimal impact and relative minimal risk to the provision of care or the service. No real risk of litigation.
Medium	Service or experience below reasonable expectations in several ways, but not causing lasting problems. Has potential to impact on service provision. Some potential for litigation.
High	Significant issues regarding standards, quality of care and safeguarding of or denial of rights. Complaints with clear quality assurance or risk management issues that may cause lasting problems for the organisation, and so require investigation. Possibility of litigation and adverse local publicity. OR Serious issues that may cause long-term damage, such as grossly substandard care, professional misconduct or death. Will require immediate and in-depth investigation. May involve serious safety issues. A high probability of litigation and strong possibility of adverse national publicity.

Step 2: Decide how likely the issue is to recur

Likelihood	Description
Rare	Isolated or 'one off' – slight or vague connection to service provision.
Unlikely	Rare – unusual but may have happened before.
Possible	Happens from time to time – not frequently or regularly.
Likely	Will probably occur several times a year.
Almost certain	Recurring and frequent, predictable.

Step 3: How to categorise the risk

Seriousness	Likelihood of recurrence				
	Rare	Unlikely	Possible	Likely	Almost Certain
Low	Low				
		Moderate			
Medium					
			High		
High				Extreme	

The CFT grades the complaints as:

Low = Green - Can be resolved locally
Medium = Amber - Needs a response from the Director
High = Red - Needs a response from the Director

Complainants are contacted by the CFT to design a complaints plan and agree an appropriate response timescale. This is often done through an acknowledgment letter requesting the complainant to confirm the council's understanding of the complaint and the timescale for response.

Following the response, a complainant can ask the Local Government and Social care Ombudsman (LGSCO) to investigate if they remain dissatisfied.

27 Activity

The CFT recorded 50 complaints under the adult social care procedure during the year 2016 – 2017, compared with a total of 47 the previous year. An additional 9 complaints were received about adult social care services under the corporate complaints procedure, compared to 3 in the previous year.

28 Total complaints made:

The CFT are aware that 3 people contacted the LGSCO in relation to adult services.

Of the 3 received in this reporting period the following outcomes were reached:

- 1 Closed as not upheld, no maladministration
- 1 Closed as not upheld with no further action
- 1 closed after initial enquiries with no further action

29 Comparison with the preceding year

The figures show a slight increase in the number of complaints received in 2016 – 2017. However numbers do typically fluctuate each year as shown in the table below and whilst this is typical of adult social care complaints received across Yorkshire and Humberside, the total figure for 2016/2017 is close to the average of the past 4years.

30 Outcomes of complaints:

	2014-2015	2015-2016	2016-2017
upheld	5	6	9
partly upheld	21	16	12
not upheld	7	17	26
not proved	0	0	2
not pursued	5	5	1
no response	0	3	0
ongoing	0	0	0
Total	38	47	50

31 Response Times

A key requirement of the reform of complaints procedures is the importance of informing service users of the outcome of their complaints, in an appropriate time frame.

The Department of Health guidance on deciding how long it should take to respond to a complaint states:

“If someone makes a complaint, your organisation has to acknowledge it within three working days. The person making the complaint will want to know what is being done – and when. However, accurately gauging how long an issue may take to resolve can be difficult, especially if it is a complex matter involving more than one person or organisation. To help judge how long a complaint might take to resolve, it is important to:

- *address the concerns raised as quickly as possible*
- *stay in regular contact with whoever has complained to update them on progress*
- *stick to any agreements you make – and, if for any reason you can’t, explain why.*

It is good practice to review any case lasting more than six months, to ensure everything is being done to resolve it.”

Details of Complaints

32 Green Complaints

There were 43 complaints graded as Green in adult services compared to 36 last year and these were categorised as follows:

Green Nature of complaint

Social Care Service	Adults Delivery	Assess & Safe - guarding	Finance	OT	C&P	Mental Health	Learning Disability	Public Health	Total
Attitude of staff	-	-	-	-	-	-	-	-	-
Disagree with Policy	-	-	1	-	-	-	-	-	1
Disagree with Assessment	-	1	4	-	1	-	-	-	6
Discrimination	-	-	-	-	-	-	-	-	-
Inappropriate Action	4	2	5	-	3	1	1	1	17
Lack of Action	1	7	3	-	1	2	1	-	15
Quality of Advice/ Communication	-	2	-	-	1	-	1	-	4
TOTAL	5	12	13	0	6	3	3	1	43

It is not uncommon for inappropriate action or lack of action to be the category receiving the most complaints.

Green Response Times

	Adults Delivery	Assess & Safe - guarding	Finance	OT	C&P	Mental Health	Learning Disability	Public Health	Total
Within 10 days	3	11	13	-	5	3	1	1	37
Within 25 days	1	-	-	-	-	-	1	-	2
Over 25 days	-	-	-	-	1	-	1	-	2
Not Pursued	1	1	-	-	-	-	-	-	2
TOTAL	5	12	13	0	6	3	3	1	43

It is important to remember that the legislation and guidance for adults does not prescribe actual timescales for responses however we do manage and monitor performance in this area using best practice across the different complaints legislation and guidance. The above table highlights that we are responding to 86% of green complaints within the shortest timescale.

33 Amber Complaints

There were 7 complaints graded as Amber in adult services compared to 9 in the last year.

Amber Nature of Complaint

Social Care Service	Adults Delivery	Assess & Safe-guarding	OT	C&P	Mental Health	Learning Disability	Public Health	Total
Attitude of staff	-	-	-	-	-	-	-	-
Disagree with Policy	-	-	-	-	-	-	-	-
Disagree with Assessment	-	-	-	-	-	-	-	-
Discrimination	-	-	-	-	-	-	-	-
Inappropriate Action	-	2	-	-	-	1	1	4
Lack of Action	-	-	-	1	-	1	-	2
Quality of Advice/ Communication	1	-	-	-	-	-	-	1
TOTAL	1	2	-	1	-	2	1	7

Amber Response Times

	Adults Delivery	Assess & Safe-guarding	OT	C&P	Mental Health	Learning Disability	Public Health	Total
Within 25days	-	2	-	1	-	2	1	6
Within 65 days	1	-	-	-	-	-	-	1
Over timescale	-	-	-	-	-	-	-	-
Not Pursued	-	-	-	-	-	-	-	-
TOTAL	1	2	-	1	-	2	1	7

Amber Outcomes

	Adult Delivery	Assess & Safeguarding	OT	C&P	Mental Health	Learning Disability	Public Health	Total
Upheld	-	1	-	-	-	-	-	1
Partially Upheld	-	-	-	1	-	1	1	3
Not Upheld	1	1	-	-	-	1	-	3
No Response	-	-	-	-	-	-	-	-
Not Pursued	-	-	-	-	-	-	-	-
TOTAL	1	2	-	1	-	2	1	7

34 Red Complaints

There were 0 complaints graded as Red in adult services compared to 2 in the last year.

In addition to the information given above for complaints made through the adult social care complaints procedure, 3 complaints about adult social care services were made under the corporate complaints procedure – there were 2 at stage one and 1 at stage two.

Complaints are dealt with under the corporate procedure when the complainant is not complaining with the consent of the customer, or it may be considered they are not complaining in the customer's best interest.

35 Equalities Monitoring Information

Following the guidance and best practice, it is important to understand who is making complaints and so we seek to identify who is making complaints. Only the following information was provided:

Gender

Male: 21

Female: 29

Age

1 person stated they were over 75 years old

36 Who made the complaints

- 31 complaints were received directly from a customer
- 18 complaints were made by a family member
- 1 complaint was made by an advocate on behalf of a customer

37 Payments

The council provides financial recompense if, after a complaint has been investigated or as part of an LGO's investigation, it is concluded that the LGO would find that there has been maladministration by the council causing injustice to the complainant; and would recommend that financial recompense should therefore be paid to the complainant.

There were no complaints requiring financial recompense in this reporting period.

38 Alternative Dispute Resolution

It is important to note that the complaints regulations and guidance for adult social care complaints are that a plan needs to be agreed between the complainant and the Complaints Manager about how the complaint will be dealt with and responded to, what outcomes are wanted and can be realistically achieved.

Possible alternatives which may be considered by the Complaints Manager include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

39 Complaints dealt with by the local authority and NHS Bodies

The CFT works with contracted agencies and statutory agencies to identify the main themes concerned in a complaint. Informal agreements are in place to provide the customer with a co-ordinated response with the agency responsible for the provision of the main areas of complaint taking the lead with co-operation from the other agencies as required.

40 Learning Lessons/Practice Improvements

The council is always happy to consider appropriate ways of resolving a customer's complaint. Some of the types of action the council has undertaken to resolve complaints have been issuing apologies, meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place. This has been particularly relevant in the case of communicating effectively with customers and putting strategies into place to ensure that people are kept up to date. The council also offers a re-assessment of needs where possible, to ensure that nothing has been missed or that circumstances have not changed.

Complaints provide senior managers with useful information in respect of the way that services are delivered. The consideration of complaints has resulted in agreement to undertake the following actions, in addition to apologies and financial recompense:

- Review of policy and procedure
- Discussion with contracted agency about providing more considered responses
- Agreement to commission an independent assessment of needs
- Staff training on the importance of clear, effective and honest communication

Annual Corporate Complaints Procedure Report for Period 2016 - 2017

41 Context

This is the first time an annual report has been produced about complaints considered under the Corporate Complaints Procedure. This procedure covers all complaints about services provided by the council where no statutory procedure exists.

All timescales contained within this report are for working days.

In addition the numbers of compliments are also recorded and these are shown below for the directorates as they were known during the reporting period.

Directorate	Total number of compliments
CAN	292
CBSS	88
CES	54
CEX	0

The CFT are aware that many more compliments are received and actively work to encourage staff and teams to forward these to ensure they are recorded. This is to ensure we are able to provide a true picture of our customers' experiences of the services they receive.

The compliments received included thanks for:

- Support in granting of license
- Prompt clearance of dog fouling
- Prompt response to fly tipping
- Marriage being arranged so quickly in bereavement suite
- First aid administered in calm, confident and competent manner in Yearsley Pool
- Manhole issue has now been thoroughly and professionally rectified, was very impressed with the reinstatement operation / thorough excavation / back fill / base course / hot roll and clear up ... very slick operation carried out by a professional team'
- Making last 4 months bearable with help & kindness – to the flood team
- Prompt change of name on Minster Badge
- Cutting back grass making area a safer place to ride bike and cross road
- Prompt response to collecting waste
- Flowers make York look lovely
- Excellent emergency housing repairs service at weekend

- Congratulations to roofers on a job well done, cleaning out the guttering, removing moss to prevent birds picking it up and dropping it back into the guttering.
- Manner of processing and handling Council Tax Exemption request, and the questions. Whilst very professional, also very personable.

The good practice from the statutory processes is clear that people should be able to provide feedback and have this responded to without this being seen as a complaint. Therefore concerns, comments and requests are also logged in the corporate procedure and these are shown below:

Directorate	Total number of concerns, comments and requests
CAN	1453
CBSS	287
CES	202
CEX	9

42 Who can make a Complaint?

Someone who:

- The local authority has a power or duty to provide or secure the provision of a service for him/her and
- His/her need for such a service has (by whatever means) come to the attention of the Authority.

This definition also applies to a person acting on behalf of someone who meets the above requirements.

A complaint can be made by a representative where the Complaints Manager receives permission from the eligible person, usually in writing, giving their permission for the representative to make the complaint on their behalf. A representative will also be able to make a complaint where the eligible person is not capable of making the complaint themselves, this includes when they have died.

The Complaints Manager will decide if a person is suitable to act as a representative, if it is decided they are not acting in the eligible person's best interests they will inform them in writing of the reasons for this.

43 Grading of Complaints

The CFT assess the appropriate stage to investigate a complaint taking account of issues such as:

- risk to the customer and the authority
- severity of the risk
- whether the issues in question are a one off, are a reoccurrence and likelihood of reoccurrence.

Following the response a complainant can ask LGSCO to investigate if they remain dissatisfied.

44 Response Times

It is considered good practice that a key requirement of a complaints procedure is the importance of informing service users of the outcome of their complaints in an appropriate time frame.

The time limits for the council's corporate complaints procedure has been set at:

- Stage One 5 working days
- Stage Two 15 working days
- Stage Three 20 working days

Details of complaints

45 Stage One Complaints

Primary theme by directorate

	Staff attitude	Disagree with assess	Disagree with policy	discrimination	Inappropriate action	Lack of action	Quality of advice, communication /work	TOTAL
CAN	25	12	75	3	200	503	56	874
CBSS	1	35	13	0	83	35	16	183
CES	0	5	2	0	13	13	5	38
CEX	0	0	1	0	2	0	0	3
TOTAL	26	52	91	3	298	551	77	1098

Outcome by directorate

	upheld	Not upheld	Partly upheld	Not pursued	No response	Not proven	TOTAL
CAN	345	159	87	5	185	93	874
CBSS	54	79	36	3	6	4	183
CES	4	19	4	3	6	2	38
CEX	1	2	0	0	0	0	3
TOTAL	404	259	127	11	197	99	1098

Response by directorate

	In time	Out of time	Not pursued	TOTAL
CAN	594	275	5	874
CBSS	163	16	4	183
CES	24	12	2	38
CEX	3	0	0	3
TOTAL	784	303	11	1098

46 Stage Two Complaints

Primary theme by directorate

	Staff attitude	Disagree with assess	Disagree with policy	discrimination	Inappropriate action	Lack of action	Quality of advice, communication /work	TOTAL
CAN	2	3	9	0	41	83	13	151
CBSS	0	5	2	0	12	3	1	23
CES	2	5	1	0	15	9	1	33
CEX	0	0	0	0	0	0	0	0
TOTAL	4	13	12	0	68	95	15	207

Outcome by directorate

	upheld	Not upheld	Partly upheld	Not pursued	No response	Not proven	TOTAL
CAN	58	40	29	4	12	8	151
CBSS	4	10	3	2	3	1	23
CES	3	18	5	1	6	0	33
CEX	0	0	0	0	0	0	0
TOTAL	65	68	37	7	21	9	207

Response by directorate

	In time	Out of time	Not pursued	TOTAL
CAN	118	29	4	151
CBSS	17	4	2	23
CES	14	18	1	33
CEX	0	0	0	0
TOTAL	149	51	7	207

47 Stage Three Complaints

Primary theme by directorate

	Staff attitude	Disagree with assess	Disagree with policy	discrimination	Inappropriate action	Lack of action	Quality of advice, communication /work	TOTAL
CAN	0	0	0	0	5	2	2	9
CBSS	0	0	0	0	0	1	0	1
CES	0	0	0	0	1	0	0	1
CEX	0	0	0	0	1	0	0	1
TOTAL	0	0	0	0	7	3	2	12

Outcome by directorate

	upheld	Not upheld	Partly upheld	Not pursued	No response	Not proven	TOTAL
CAN	2	4	1	0	0	2	9
CBSS	0	0	1	0	0	0	1
CES	0	1	0	0	0	0	1
CEX	0	0	1	0	0	0	1
TOTAL	2	5	3	0	0	2	12

Response by directorate

	In time	Out of time	Not pursued	TOTAL
CAN	8	1	0	9
CBSS	1	0	0	1
CES	1	0	0	1
CEX	0	1	0	1
TOTAL	10	2	0	12

48 Outcome of Investigations by the Ombudsman

	Closed Out of Jurisdiction	Closed NFA	Not Upheld	Upheld Malad, & injustice	Upheld Malad, no injustice	Report Issued Not upheld, no malad	Report Issued Malad & injustice	Report Issued, Malad, no injustice
Tenancy Services	0	0	1	0	0	0	0	0
Housing Options	0	1		0	0	0	0	0
Housing Registration	0	0	1	0	0	0	0	0
Projects & Tenants Choice	0	1	0	0	0	0	0	0
Repairs	0	1	1	1	0	0	0	0
Highways Maintenance	0	1	1	0	0	0	0	0
Neighbour - hood Management	0	1	0	0	0	0	0	0
Benefits	1	0	0	1	0	0	0	0
Council tax	0	2	1	0	0	0	0	0
ICT	0	0	1	0	0	0	0	0
Development Management	0	1	4	0	0	0	0	0
Highways & Network Management	0	2	0	0	0	0	0	0
Parking policy	0	0	2	0	0	0	0	0

Whilst the council is committed to transparency, we have not included details about the individual cases with the finding of “upheld maladministration with injustice” as this may not be in the complainant's interest or anonymity may be compromised.

This is similar to how the LGSCO determines which decisions to publish. For the decisions they do publish, they do not use real names. You can search the LGSCO’s published decisions on the following link :

<http://www.lgo.org.uk/decisions>

49 Payments

The council provides financial recompense if, after a complaint has been investigated or as part of an LGSCO’s investigation, it is concluded that the LGSCO would find that there has been maladministration by the council causing injustice to the complainant; and would recommend that financial recompense should therefore be paid to the complainant.

The following payments were made in this reporting period :

- £400 for distress and inconvenience due to delay in carrying out work and not keeping customer updated, following an Ombudsman investigation.
- £44.50 to refund cost of new bin due to delays, time and trouble and inconvenience, following stage 3 recommendation.
- £180 to repay bank charges and time and trouble for wrong processing of council tax forms, following Ombudsman investigation.
- £250 for injustice caused by delays to repair a wall, following Ombudsman investigation.
- £69.72 reimbursement for costs of having asbestos removed due to delays and time and trouble following stage 1 complaint investigation.

50 Alternative Dispute Resolution

Based on the good practice guidance in the statutory complaints procedures, the council also considers whether there would be an appropriate alternative way of resolving complaints, in the corporate procedure, rather than completing an investigation.

Possible alternatives which may be considered by the Complaints Manager include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

51 Learning Lessons/Practice Improvements

The council is always happy to consider appropriate ways of resolving a customer's complaint. Some of the types of action the council has undertaken to resolve complaints have been issuing apologies, meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place.

This has been particularly relevant in the case of communicating effectively with customers and putting strategies into place to ensure that people are kept up to date.

Complaints provide senior managers with useful information in respect of the way that services are delivered. The consideration of complaints has resulted in agreement to undertake the following actions, in addition to apologies and financial recompense:

- Reminder to update the customer if there are going to be delays in completing agreed actions
- Information about eviction appeals process updated

- Introduction of new registrars booking procedure to ensure full names and titles are collected to avoid assumptions being made
- Reminders to staff about appropriate customer care and service
- Reminders and clarification to staff of procedures
- Change in procedures for new bin deliveries to increase capacity for timely delivery



**Customer and Corporate Services Scrutiny
Management Committee****22 January 2018**

Report of the Assistant Director – Legal & Governance

**Update of Implementation of Recommendations from One Planet York
Scrutiny Review****Summary**

1. This report provides the Customer and Corporate Services Scrutiny Management Committee (CSMC) with its first update of the recommendations arising from the previously completed One Planet York Scrutiny Review and asks Members to sign off those recommendations considered to be fully implemented.

Background

2. In early May 2016 the former Corporate & Scrutiny Management Policy & Scrutiny Committee considered a Council motion on a proposed Transatlantic Trade and Investment Partnership (TTIP) which had been referred to that Committee for further consideration. The Committee agreed that parts of the motion be referred back to Council but that more local implications included in the TTIP should be considered for cross-party scrutiny.
3. In June 2016 this was considered as a potential topic for review and Members discussed elements of the TTIP motion to support the work of One Planet York (OPY). It was agreed that rather than focus solely on one aspect of One Planet York the review should look at a framework to help achieve the objectives of the strategy.
4. In early September 2016 the committee considered a scoping report on One Planet York and Members agreed there would be value in undertaking a scrutiny review to support this work and appointed a Task Group to carry out this work on its behalf.
5. The committee agreed the review should focus on specific topic areas suggested in the scoping report, namely:

- Ensuring a balance between economic, social and environmental needs that is right for York and delivery reflects best practice;
 - Ensuring key decisions and strategic plans take account of economic, social and environmental factors;
 - Ensuring decisions and strategic plans are informed by both short term priorities and anticipated longer term impacts.
6. To help formulate the topic areas above CSMC agreed that the Task Group should:
- i. Review what leading sustainable cities and those similar to York are doing in seeking to balance economic, social and environmental needs
 - ii. Explore potential of the One Planet York framework to:
 - Enable benchmarking with other cities through a new One Planet York 'city scorecard' (basket of measures)
 - Increase understanding and wider awareness about what makes cities sustainable and resilient
 - iii. Review statutory and local decision making tools, engagement and collaboration methods to help cities best balance economic, social and environmental needs
 - iv. Explore how the city's Urban Living Pilot project – 'York City Environment Observatory' – could bring new knowledge and insight regarding economic, social and environmental interdependencies.
7. The former Corporate & Scrutiny Management Policy & Scrutiny Committee endorsed the review recommendations at a meeting in May 2017 and the Executive agreed to approve the recommendations at a meeting in late June 2017.
8. The Committee needs to be mindful that recommendation (e) in Annex A involves reconvening the Task Group to review the impact of the Council's emerging service plans within the One Planet Council framework; how Key Performance Indicators align to the One Planet

principles and to gauge the efficiency and effectiveness of internal communications. However, two original Task Group members are no longer available to undertake this work as one has resigned from the Council and another is now an interim Executive Member. Rather than finding two replacements for the Task Group with the time to commit to understanding the original brief and carry out this further work, a better option might be to consider the implementation of this recommendation via an update report to the full committee.

Options

9. In light of the update information provided in Annex A (column 2) and at this meeting, members may chose to:
 - a. Sign off those recommendations which have been fully implemented;
 - b. As some recommendations cannot be signed off until July 2018, request a further update on any outstanding recommendations, and the attendance of relevant officers, at the same time.
 - c. Consider recommendation (e) in Annex A as part of this update report to the full committee.

Council Plan

10. The OPY Scrutiny Review links to the focus on frontline services, a council that listens to residents and a prosperous city for all elements of the Council Plan 2015-19. The OPY programme directly supports the Council Plan's aims to embed sustainability into everything we do and work towards 'One Planet' living. It has direct links to ambitions to enhance York's economy, improve health and wellbeing, protect York's green spaces, increase the percentage of waste recycled, cut carbon emissions, improve air quality, focus on cost and efficiency and make the most of commercial opportunities.

Implications

11. There are no financial, human resources, equalities, legal, crime and disorder, information technology or property implications arising from the recommendations in this report.

Risk management

12. There are no risks attached to the recommendations in this report. However, a failure to press the One Planet York message may lead to missed opportunities to build value into new work across the council and city, to reduce the city's carbon footprint and generate financial savings.

Recommendations

13. Members are recommended to:
- i. Note the implementation update information detailed in Annex A
 - ii. Sign off any recommendations that have been fully implemented.
 - iii. Reconsider any outstanding recommendations by way of an update report to the full committee as suggested at paragraph 8 of the report in order to progress this work effectively without requiring replacements to and a reconvening of the Task Group.

Reason: To conclude this review in line with scrutiny procedures and protocols

Contact Details

Author:

Steve Entwistle

Scrutiny Officer

Tel: 01904 554279

steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty

Assistant Director – Legal & Governance

Tel: 01904 551004

Report Approved **Date** 10/01/2018

Wards Affected:

All

For further information please contact the author of the report

Annexes

Annex A – Update on One Planet York Scrutiny Review recommendations

Customer and Corporate Services Scrutiny Management Committee

Update of implementation of recommendations from One Planet York Scrutiny Review

Recommendation	Implementation as of January 2018
<p>a) The Council fully utilises the opportunities presented by the One Planet York framework to drive organisational efficiency and effectiveness through the principles of a One Planet Council and further mobilise the wider city towards a more sustainable and resilient One Planet York future.</p>	<p>One Planet York</p> <p>Examples of actions taken to mobilise the wider city towards a more sustainable and resilient future include:</p> <ul style="list-style-type: none"> • Develop and publish a One Planet York city scorecard: This provides a comprehensive assessment of city progress across the economic, social and environmental domains and enables comparison with 324 other local authority areas. York is currently within top quartile performance (see further comments below). • Publish a refreshed One Planet York Prospectus – showcasing 20 examples of practical action and leadership across the 10 One Planet principles. • Grow the One Planet York network: Around 70 organisations have publicly pledged to support the One Planet York vision and actively work towards it.

This includes most of York's major employers and a large number of innovative SMEs and third sector organisations.

- Organise a successful One Planet York conference and Expo' as part of York Festival of Ideas 2017: This was another sold-out event involving 200 delegates and 30+ organisations. Keynote address was the Mayor of Muenster – officially recognised as the world's most liveable city.
- Coordinate and develop the One Planet York City Leadership Group: The group has been meeting for over a year. It comprises organisations like City of York Council, University of York, First York, JRF, NHS Hospital Trust, York Bike Belles, Novalux LED, St Nicks, Edible York and York Racial Equality Network.
- Attend various Ward Committees to outline how the One Planet York framework can be utilised at local/area level to guide thinking about what makes good 'place'.
- Implement a One Planet York Communications Plan, including a regular bi-monthly newsletter and Face book and Twitter feeds to support city networking and news sharing.

- Identify and submit funding applications to support One Planet York objectives: A key focus for One Planet York in 2018 will be ‘Sustainable Food’ and ‘Healthy City’. The network has given rise to two new groups working to promote a sustainable food economy, including tackling food waste and food poverty. Good Food York and York Food Poverty Alliance have recently secured a £10,000 national grant to further these objectives.

One Planet Council

Examples of actions taken to make City of York Council a more efficient and effective ‘One Planet’ organisation include:

- We are currently working with the procurement team to develop a One Planet Council Social Value Policy. The policy will set out our commitment to deliver additional social, environmental and local economic benefits through the goods and services we buy. This relates to the requirements set out in the Social Value Act (2013) and is being taken forward alongside partner local authorities within the LCR/WYCA. It builds on the work that procurement is already doing in relation to the Living Wage and Employment and Skills Plans, amongst other things.
- A further focus has been the development of a Draft

	<p>Carbon Management Plan, which sets out the Council’s resource usage across its operations. The plan makes recommendations on the most effective future interventions, which will help us reduce our environmental impact and make financial savings. The plan is currently under review.</p> <ul style="list-style-type: none">• We have also sought to integrate the One Planet York framework (10 principles) into key council projects, policies and strategies, by running a pilot of the Better Decision Making Tool. The tool has helped officers identify and balance the social, economic, environmental, and equalities implications of their decisions.• Resource was also committed to ensuring that the policies in the emerging Local Plan align with the sustainability aims of One Planet Council. The Climate Change section of the Local Plan was revised to promote development that uses low and/or zero carbon energy sources and adopts sustainable design and construction principles.• The Community Facilities section of the Local Plan was also significantly revised to have a much stronger focus on health and wellbeing, and was renamed accordingly. The policies contained within this section cover the protection and expansion of
--	---

	<p>community, sport, and healthcare facilities, as well as the promotion of physical activity, time spent outdoors, and community cohesion, through good design principles. These are fundamental components of creating happy, healthy and resilient communities—a central aspiration of One Planet Council.</p> <ul style="list-style-type: none"> • We are currently reviewing how One Planet Council can be more effectively mainstreamed into the council’s wider placemaking role.
<p>b) Communication of the One Planet York framework, vision and 10 principles are sustained across all media platforms and that widespread use of the One Planet York or One Planet Council logos is encouraged to demonstrate a united commitment in the One Planet York principles by City of York Council and our city partners.</p>	<p>One Planet York</p> <p>One Planet York has been widely promoted through:</p> <ul style="list-style-type: none"> • A number of Buzz articles • Bi-monthly One Planet York news updates to subscribers • Regular OPY mingles — social events which provide an informal networking and skills share opportunity • Presentations at a number of ward committees • The One Planet York Twitter feed and Facebook page.

- Discussion on the 2 Rivers community radio by the OPY chair

- The annual One Planet York Expo

Several organisations are now using the OPY logo (e.g. University of York's annual OP Week / St Nicks / York Environment Forum / Public Health).

One Planet Council

One Planet York has been promoted through:

- A number of Buzz articles
- A display board, encouraging staff engagement
- A stall at the annual One Planet York Expo

We are currently reviewing how we mainstream One Planet Council into the council's operations and an essential part of this will be to make the One Planet Council vision central to the council's narrative. As part of this, the programme has moved into the centralised Corporate Strategy and City Partnerships team.

We are also looking at how to ensure that One Planet Council's social and economic sustainability aims receive the same prominence as its environmental aspirations.

<p>c) That progress towards the One Planet York vision is measured via a new city scorecard and that the One Planet Council objectives are measured via a new council scorecard.</p>	<p>One Planet York</p> <p>A One Planet York ‘city scorecard’ was developed by the OPY leadership group and was used as the basis of telling York’s story at the OPY annual event in June 2017. The city scorecard uses data from the Grant Thornton Index which in turn utilises data we collect/supply. The scorecard will be updated on a yearly basis, as and when Grant Thornton Index is updated.</p> <p>A OPY ‘city scorecard map’ has also been developed, mapping key city agendas and showing linkages and alignments.</p> <p>One Planet Council</p> <p>A One Planet Council scorecard has been developed, and currently focuses on a number of environmental key performance measures. We will be revising this to incorporate measures of social and economic sustainability and cover all ten One Planet Principles. Progress on these measures will be monitored and reported in the One Planet Council annual report.</p>
<p>d) As the city scorecard will be based on the Grant Thornton Vibrant Economy Index, which includes a basket of measures across a range of economic, social and environmental themes,</p>	<p>The Grant Thornton Index is updated every March. We will update the CSMC after this point, and present it at the anniversary of the scrutiny review (July 2018).</p>

<p>this scorecard is formally reported to CSMC on an annual basis to coincide with the Grant Thornton refresh in November each year.</p>	
<p>e) That the One Planet York Task Group is reconvened in 12 months' time to review the impact of the Council's emerging service plans within the One Planet Council framework; how Key Performance Indicators align to the One Planet principles and to gauge the efficiency and effectiveness of internal communications.</p>	<p>The One Planet narrative will be incorporated into service plans over the coming months. Relevant KPIs will be reported in the One Planet Council annual report. Progress in relation to this will be reported back in time for the review which is due in July 2018.</p> <p>We are also in discussion with the Communities and Equalities team to see how the common outcome frameworks, which are currently being developed, may align with the One Planet principles.</p>
<p>f) City of York Council supports the full integration of the Better Decision Making Tool in the key decision making process.</p>	<p>The 6 month pilot of the Better Decision Making Tool has now ended. We are currently reviewing the tool's efficacy and making changes to it based on officer feedback and the quality of responses provided.</p> <p>During the pilot, the tool was used exclusively with reports going before Executive in the assigned six-month period. Following the review, the tool will be applied at an earlier stage in the decision-making process, in order to maximise the tool's impact. We are also looking to roll it out for a wider range of decisions. How this will be achieved will be set out in an upcoming CMT / Executive Member report.</p>

<p>g) Alongside the full integration of the BDMT, a plan is developed to support officers in the understanding and use of the tool to ensure its effectiveness.</p>	<p>Guidance has been developed and is included within the tool itself. Officers have been provided with support on a per proposal basis.</p>
<p>h) CSMC review progress on embedding and implementing the BDMT in 12 months' time.</p>	<p>See response to f) (due July 2018)</p>
<p>i) A specific heading relating to resilience and sustainability is added to the risks and implications section of CYC report templates.</p>	<p>A "One Planet Council / Equalities" heading is now included in Executive report templates. The same heading will be added to other report templates, when the tool is more widely rolled out.</p>
<p>j) The Council makes the BDMT available to partner organisations aligned to the One Planet York framework and explores whether a simplified version of the BDMT can be developed to assist ward committees when they consider the allocation of devolved budgets.</p>	<p>The Better Decision Making Tool will be made available to partner organisations, in order for them to tailor it to their own organisational processes. We are currently working with the Communities and Equalities Team to explore how the tool may usefully be adapted to assist ward committees when determining the projects they fund.</p>
<p>k) One Planet York notice boards, literature and static presentations are made available for ward committees interested in utilising the framework to further mobilise neighbourhoods / communities to get behind the OPY vision and to stimulate new neighbourhood conversations.</p>	<p>A variety of One Planet resources have been developed and are available for ward committees to utilise. We are currently in discussion with the Communities and Equalities Team and different officer groups across the council, to look at how best to promote the One Planet Framework within communities.</p>

<p>l) An elected member toolkit / resource pack is developed to assist ward committees, and is made available to community and voluntary groups to assist in making informed decisions within the One Planet York framework.</p>	<p>A practical OPY toolkit is currently available for individuals and for businesses and can be found on the OPY web pages. Ward committees will be directed towards this resource.</p>
<p>m) The Council arranges training for ward teams / committees to deliver One Planet York presentations to spread the One Planet message at local level.</p>	<p>We will provide materials and guidance to ward teams / committees, which may then be utilised at ward team and committee meetings. We are also exploring whether there is an interest in training.</p>
<p>n) That CSMC request a report on the Urban Living Pilot Project once this work has been completed.</p>	<p>The Urban Living Pilot is due to end in July 2018, at which point an update will be provided.</p>



**Customer & Corporate
Scrutiny Management Committee**

22nd January 2018

Report of the Assistant Director of Customer & Digital Services

DELIVERY OF THE ICT STRATEGY

Summary

1. This report further updates the progress against the ICT Strategy (presented to this Committee on 4th September 2017) in terms of the detailed delivery of digital projects and outcomes. The work towards agreement of those more detailed plans and timescales is ongoing and will be a focus of imminent and future discussions at strategic officer level in the council.

Background

2. In February 2017 a process was started to develop a new strategy for ICT, based directly on the experiences and aspirations of internal and external customers. The consultation approach was presented to this committee in September 2017. This and other consultation feedback contributed to the revised strategy which is available at: <https://cycictstrategy.com/> .
3. The Digital Council/Digital workforce themes within the Strategy have been further developed by the Digital Strategy Group (DSG) which consists of all Corporate Directors, the Head of ICT, and Assistant Director of Customer & Digital Services to drive Digital Programme themes which are shown and described in Annex A. These themes are:
 - Digital City
 - Digital Process
 - Digital Staff
 - Digital Customer
4. Underpinning these themes is the ICT Strategy guiding principle around user experience to ensure that all related work involves the user in all aspects of the development. Also at the core of the model is customer

and management data which should represent 'one source of the truth', allowing the council to know its customers better and support sharing and collaboration.

5. To inform and align directorate ICT/digital project planning with the strategic vision, a structured interview process was undertaken by the ICT Business Engagement and Implementation Manager between September and December 2017 with all Directors and Assistant Directors across each directorate (16 in total).
6. This has directly fed into the attached Draft ICT Digital Strategic Delivery Plan at Annex B. This is the first draft version of a 12-18 month plan shown under the strategic themes. ICT planning has always existed and has driven the ICT capital programme for example, but it is the first time plans have been presented in this way with the plan encompassing the feedback from the interviews described at paragraph 6.
7. The plan does not provide details of the extensive programme of ICT network renewals, maintenance and refreshes which provides the backbone for all council ICT service provision relating to the support, maintenance, storage, management and security of all data, systems and assets. It focuses on the significant digital programmes and projects delivering major change to the way the city infrastructure, council processes, staff based systems and critically provision of services to customer are delivered going forward.
8. Neither does the plan reflect the significant work delivered over recent years and reported to this Committee previously, around the nationally recognised digital infrastructure in the city and other digital projects delivered, details of which and imminent contract procurement plans can be found in a recent report to Executive (December 7th 2017) at:

<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=733&MId=10194&Ver=4>
9. Real achievements can be seen in relation to digitalising customer systems in recent years, an example being Revenues and Benefits systems which have been progressively automated since mid 2016. Aside from financial savings, the outcomes from this work include:

- for Revenues - digital transactions account for nearly 5,000 transactions per month with approximately 60% of those fully automated, providing easy to access services and quicker transactions for customers; and
 - digital solutions introduced into Benefits have resulted in the service becoming the best performing regionally with nearly 100% of all new claims and change of circumstances completed digitally.
10. The plan does include ongoing work including further features of the Revenues & Benefits digitalisation work and specific projects such as the implementation of the Registrars system. The Registrars system, for example, will enable customers to book appointments, services and ceremonies online and pay for them. The go live date for this system is imminent in the back office and due by the end of February 2018 for customers. This work is anticipated to shift at least 55% of customer interactions to digital, if not more. Front line phone contact will also move into the Customer Services customer centre, improving both the online offer and phone contact experience.

Delivering the plan

11. The draft plan and future phases are due to be discussed at DSG in the next few weeks in order to review prioritisation in a cross-cutting way, to ensure that resources are directed appropriately to achieve the greatest return on investment in terms of deliverables and benefits to users and customers. The DSG will review the plan and priorities over time as drivers influencing each theme change – for example a recent successful bid for transport funding has meant that the STEP Transport Technology Programme is now a priority under the Digital City theme.
12. The strategic delivery plan will be continually monitored communicated and delivered over time by a Digital Services Steering Group (Assistant Directors) feeding into Directorate Management Teams (DMTs) and project delivery mechanisms (eg project boards). Resource allocation (people and finance) to support the delivery of projects remains the responsibility of the existing ICT Board chaired by the Corporate Director of Customer & Corporate Services which include representatives from ICT, Finance and Business Intelligence.

13. Highlight reports to all officer groups going forward will be themed in the same way as shown in Annex B, and reflecting any changes as determined by the DSG.

Options and Analysis

14. This is a report which seeks to update on detail against the ICT strategy as requested in September 2017.

Council Plan

15. The ICT Strategy and digital ambitions should underpin all of the Council Plan 2015-19 priorities and related key change programmes.

Implications

16. The main implications relate to 'Information Technology' and are outlined in the report.

Risk Management

17. There are risks relating to the delivery of the ICT Strategy work plan which are directly related to skills, capacity and financial resources. To mitigate these risks ICT programme management, robust financial business plans and skills/resource planning are a necessary priority for the service.

Recommendations

18. The Committee is asked to:
 - a. consider and note the information contained in this report;
 - b. consider receiving future updates as part of future committee work plans.

Reason: To ensure that scrutiny members have the opportunity to monitor work against a key strategy that will influence the future delivery of frontline services.

Contact Details

Author: **Chief Officer Responsible for the report:**

Author's name **Chief Officer's name**

Roy Grant/Amanda Clarke
ICT Service

Pauline Stuchfield
Assistant Director of Customer and Digital Services

Dept Name

Tel No. 01904 551966

Report **Date** 8th January 2018
Approved

Specialist Implications Officer(s) None

Wards Affected: List wards or tick box to indicate all **All**

For further information please contact the author of the report

Background Papers:

Report to Customer & Corporate Scrutiny Management Committee on the Draft ICT Strategy (4th September 2017) can be found at:

<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=144&MId=10203&Ver=4>

Report to Executive on the Procurement of ICT Managed Services (7th December 2017) can be found at:

<http://modgov.york.gov.uk/ieListDocuments.aspx?CId=733&MId=10194&Ver=4>

Annexes

Annex A ICT Digital Services Programme

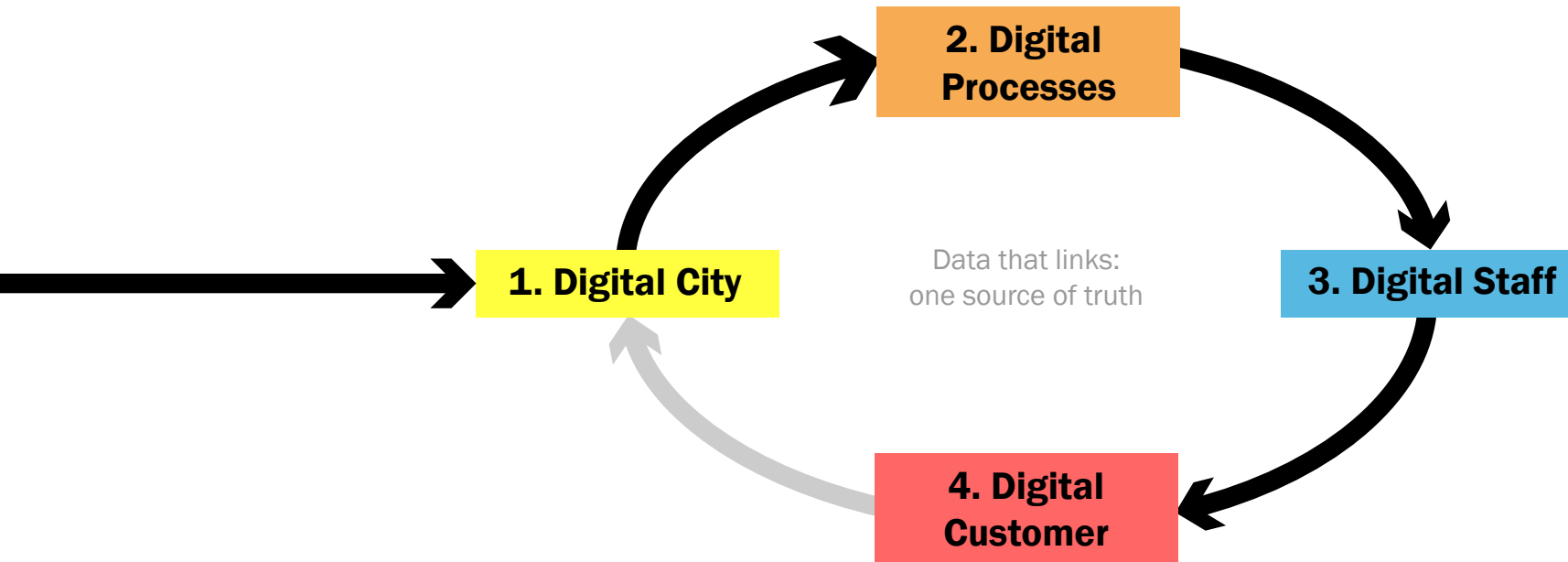
Annex B Draft ICT Strategic Digital Delivery Plan

List of Abbreviations Used in this Report

All abbreviations used throughout the report should be listed here in full eg

CYC	City of York Council
ICT	Information & Communication Technology
DSG	Digital Strategy Group
DMTs	Directorate Management Teams
HR	Human Resources
NYCC	North Yorkshire County Council
CRM	Customer Relationship Management System

The ICT Digital Services Programme



Themed throughout: User Design / User Interface / User Experience

1 Digital City

Provide a city wide digital infrastructure to supporting staff, customers, visitors and residents enabling uptake of developments and technology solutions.

2 Digital Processes (Maximise Use - Current Capability)

Deliver efficiencies through digitising (automating) business processes, using existing capability in current systems. Any new investment will aim to rationalise the number of systems in operation to deliver efficiencies throughout the Service Area and ICT Support.

3 Digital Staff

Deliver efficiencies through avoiding duplicate data entry and wasted time for employees who work remotely by giving them access to back office systems and processes wherever they are. Supports workforce culture change, efficient working patterns and improvements in wellbeing by offering more flexible working models.

4 Digital Customer

Deliver an enhanced digital experience for the customer and realise efficiency savings through improving self service. We will improve the customer perception of CYC through providing an alternative and additional way of interacting with the council at a time and method of the customers choosing and convenience.

This page is intentionally left blank

Draft ICT Strategic Digital Delivery Plan

January 2018

This is a summary of High Value or High Profile ICT related activities supporting the delivery against the ICT Strategic themes

Within it we seek to

- Simplify our offer – ensure it responds to key issues highlighted during business planning while also aligning to the ICT Vision & Strategy
- Re-align our resources to avoid re-work
- Work with service areas to agree priorities further.

The activities are themed in line with the Digital Services programme:

Digital Services Programme
Digital City
Digital Processes
Digital Staff
Digital Customer

Digital City: Sub Programmes / Projects:	Directorate	Highlight Detail
Infrastructure	All	Developing a city wide digital infrastructure to support businesses, visitors and residents. Includes the provision of superfast fibre and wifi.
STEP	Economy and Place	Transport Technology Programme. Includes Parking and transport innovation.

Digital Processes: Sub Programmes / Projects:	Directorate	Highlight Detail
Housing Project	Health, Housing & Adult Social Care	Seeks to replace and consolidate a large number of disparate systems into an integrated and rationalised systems architecture.
HR Establishment Control Project	Customer & Corporate Services	Process improvement benefiting all staff and HR colleagues with a efficient and rationalised process supported by initially a small amount of technology but aiming to incorporate into a larger technology systems change in the medium term future.
Learner Management System Including Metacompliance	Customer & Corporate Services	Delivering a range of mandatory training and courses including the option to offer training outside of the Authority to other organisations. Includes the replacement of an outdated and poorly received compliance training offer.
Health & Safety	Customer & Corporate Services	Provides automated and digital processes for all staff to access the staff warning register, report and manage safety related incidents and provision of Lone Working technology. Working with NYCC to ensure the shared service reflects CYC digital needs and aspirations.
Flare System Review	Various	Training for 'Super Users' alongside transitioning support into ICT Business Analysis will commence investigating opportunities to rationalise and improve processes. Expected to align and transition some into the CRM project deliverables.

Digital Processes: Sub Programmes / Projects:	Directorate	Highlight Detail
Concessionary Fares – NYCC System	Customer & Corporate Services	Supplier determined, procurement in progress, to monitor and support throughout implementation phase.
School Governance – Minute Taking Calendar	Children, Education & Communities	Pilot to provide digital capability for what was a paper based and bureaucratic process. This product has the ability to support other processes of this nature. Exploring the opportunities for adoption panels in 2018.
Historic Environment Records – New System	Economy and Place	Provides a digital system to manage the records of historic assets.
Systems Architecture – Rationalisation	Various	Monitoring and providing directorates with the information on systems, longevity, contract, efficiency and cost information to attempt rationalisation and integration opportunities.
York Learning	Children, Education & Communities	Working with NYCC executives to explore options for joint delivery and system procurement.
Registrars	Customer & Corporate Services	New system to provide a digital service to benefit both the business operation and customers, this will replace an entirely paper based process and delivery efficiencies and a much enhanced experience for customers whilst freeing up capacity for commercial activities.
Web Hosting Contract / Web Search Engine	Customer & Corporate Services	Analysis of all contracts has concluded. Research is underway to align end dates to ensure any supplier transition is easier due to the number of separate contracts in place. Market assessment underway for more cost effective solutions for future needs.
Vehicle Tracking	Economy & Place	Providing consolidation and rationalisation of the number of existing vehicle tracking solutions. Will delivery greater efficiency both technologically and operationally allowing managers to manage vehicles and resources for effectively.
CRIS Review	Health, Housing & Adult Social Care	Digital solution (internally written) that provides a digital interface between social care finance and care providers, improving the previous paper based process of invoicing and payment.

Digital Processes: Sub Programmes / Projects:	Directorate	Highlight Detail
Crematorium System	Customer & Corporate Services	Replacement system providing a digital solution benefiting both the operation and the customer.
Business Travel Analytics Tool	Customer & Corporate Services	Process improvement for information analysis, seeking an integrated and improved analytics tool.
Integrated Wellness Services	Health, Housing & Adult Social Care	Internally developed system, providing a fully digital system to meet the Health Check obligation. This is a new service and resulted in a system which has commercial viability across a number of other local authorities and possibly beyond.
Information Asset Register	Customer & Corporate Services	Internally developed system which provides a digital record of information assets including owners and other compliance related information. This system has commercial viability both for other Local Authorities but also beyond.

Digital Staff: Sub Programmes / Projects:	Directorate	Status Note
Building Services	Health, Housing & Adult Social Care	Using a fully digital process to provide operational staff with access to jobs and property history, fully digitising the process of building maintenance on devices in the hands of the trades. This benefits both staff and customers.
Adult Social Care	Health, Housing & Adult Social Care	Analysing and identifying teams and processes which would be much improved by the provision of digitised processes and access to mobile devices accessing existing systems.
Child Social Care	Children, Education & Communities	Analysing and identifying teams and processes which would be much improved by the provision of digitised processes and access to mobile devices accessing existing systems.
Highways	Economy and Place	Providing a digital service to enable inspection and management of highways by operational colleagues. Providing mobile devices to colleagues.

Digital Staff: Sub Programmes / Projects:	Directorate	Status Note
HR – Annual Leave Pilot	Customer & Corporate Services	Seeking to replace a paper based system across the entire workforce utilising the existing mobile process automation system we have invested in already.
Environmental Health / Trading Standards	Economy and Place	Enabling the operational staff to undertake their work using mobile devices. Work to rationalise and improve processes prior to digitisation. This will benefit the customer (businesses) and staff.

Digital Customer: Sub Programmes / Projects:	Directorate	Status Note
Revenues & Benefits	Customer & Corporate Services	Finalising automated processes. This will digitise paper based processes for the benefit and efficiency of both staff and customers. This includes a large variety of previous paper based processes which will and have been transitioned to 100% online.
Fully enable CRM functionality	Customer & Corporate Services	Reinvigorate work to enable functionality within the new CRM and transition all old services from the old one. This will provide a number of services which have been rationalised and improved alongside data quality improvements providing a more streamlined process with direct benefits to the customer.
My Account – Link to Back Office	Customer & Corporate Services	Providing a one stop shop to manage and view digital service interactions between the customer and the Authority. Linked to a complimentary product which helps to manage customer data with much improved accuracy and efficiency.
My Business – Link to Back Office	Customer & Corporate Services	Providing a one stop shop to manage and view digital service interactions between businesses and the Authority. This will provide a digital service replacing many paper based processes.

This page is intentionally left blank



**Customer & Corporate Services Scrutiny
Management Committee****22 January 2018**

Report of the Assistant Director – Legal & Governance

Scrutiny Review Support Budget**Summary**

1. This report sets out the current position in relation to available Council funding for research in support of scrutiny review work.
2. Customer and Corporate Services Scrutiny Management Committee (CSMC) has a constitutional right, under its delegated authority to consider and recommend to the Executive a budget for scrutiny. This report seeks to consult Members on any recommendations it may wish to make to the Executive prior to the budget setting process for 2018/19.

Background

3. For the 2010/11 financial year, this Committee decided not to recommend any change to its then existing base scrutiny support budget, which stood at £15k. The Budget Council meeting, however, in February 2011, agreed to cut that support budget, as part of a savings exercise.
4. The then Budget Council decision was taken against an understanding that there had been little spend against the scrutiny support budget for the previous 3 to 4 years. This was with the notable exception of a consultation survey undertaken in relation to a scrutiny review into traffic congestion and its impact.
5. Subsequently, at Budget Council in February 2012 and upon the recommendation of the then Scrutiny Management Committee, Council agreed to reinstate a small support budget for scrutiny research work associated with reviews, in the sum of £5k, and since that time this Committee has allocated £1k annually to each Scrutiny Committee for that purpose.

Analysis

6. In this current financial year to date 2017/18, spend against this budget totals £1,426.40 in respect of the scrutiny training workshops provided by the University of Birmingham for Scrutiny Chairs (as referred to at paragraph 6 below) and including travel and subsistence costs for the trainers, as well as lunchtime refreshments for attendees.
7. In 2015/16, this Committee agreed to allocate the available budget to cover required training costs for Scrutiny Chairs when appointed to reflect new working arrangements following the changes Council agreed to the scrutiny structure which became operational in June 2017. This training also doubled up as refresher training in scrutiny skills and feedback from those Members attending was extremely positive. Total costs for this training are as set out in paragraph 6 above as they materialised in 2017. The only costs recorded therefore in 2015/16 against the budget were £350 in relation to support costs for the Tour De France Scrutiny Review.
8. Members should also be aware that historically, spend against this budget has consistently been very little over the last few years, as follows:
 - 2009/10 - £41 + £17k (agreed by Council for the specific purpose of undertaking a public consultation survey in support of the traffic congestion scrutiny review ongoing at that time)
 - 2010/11 - £380
 - 2011/12 - £0
 - 2012/13 - £1,500 (health work shop facilitation)
 - 2013/14 - £0
 - 2014/15 - £2,500. Following a decision by this Committee in January 2015, the available budget was again used for scrutiny training purposes i.e.:
 - 3 cross party Members (and 2 officers) travelling to and attending the Annual Centre for Public Scrutiny Studies Conference and Awards;
 - £1k contribution to Leeds City Council to cover the cost of running the regional Joint Health & Overview Scrutiny Committee; and
 - Some travel expenses for a Councillor attending an event in London to gather information for an ongoing scrutiny review; and
 - 2 Members attending a Pupil Premium Conference

Despite the comparatively low spend on external research support for scrutiny over the last few years; it does not appear to have had a noticeable impact on Members undertaking scrutiny reviews.

8. At Council in December 2017, a motion was agreed by Councillors as follows:

“Council notes:

- That under the new Schools National Funding Formula, the Government is imposing real term cuts on schools by freezing per-pupil funding while inflation and school costs, such as staff salary costs, employer pension and national insurance contributions, which affect all schools and academies, increase.
- That schools in York are set to remain the lowest funded, when compared to any other local authority area in the country.
- That every child deserves the best possible start in life, and that an excellent education is pivotal to this, yet this Government’s Funding proposals will make it difficult for schools to meet the increasing demand of pupil numbers or address the growing national crisis in teacher recruitment and retention.
- The importance of the York Youth Council in providing a vital link between the Council and young people in facilitating a space where young people can actively engage in decisions which affect their future.
- The excellent contribution of staff and youth councillors to the Youth Council in its activities to support young people across the City, particularly in their campaign efforts to protect and develop mental health support in local schools.

Council resolves:

- To write to the Secretary of State for Education to highlight that York continues to remain the worst funded local authority and ask for her to reconsider York’s position.
- That the Council supports schools as much as possible during the implementation of the new National Funding Formula.

- That we urge the Executive to find ways to increase funding to the York Youth Council, including possibly **using some of the scrutiny budget** which is regularly under spent. York puts the views of young people at the heart of everything it does, therefore giving the Youth Council more resources to increase participation in influencing decision making and events for young people supports this and recognises the excellent efforts of the youth councillors.”
9. This Committee should note that there may be a consequential effect upon the scrutiny research budget should a financial contribution from it during the 2018/19 financial year be required, as approved in the above motion (see 3rd paragraph of under ‘Council resolves’ above). It is not anticipated, at this stage, that the contribution would use up the entire scrutiny research budget.
10. Given the use of IT facilities and the internet in recent years as essential research tools, it is noticeable that there has been less need to ‘buy in’ paid external research in relation to the chosen reviews over the last few years. Where external research has been required in recent years, the specialist consultants used gave their time freely in support of that scrutiny work e.g. on the Bootham Park Hospital review completed by the former Health & Adult Social Care Policy & Scrutiny Committee in September 2016.
11. Work continues on a number of other scrutiny reviews undertaken by the Scrutiny Committees during the current municipal year:

Customer and Corporate Services Scrutiny Management Committee

- One Planet York – completed May 2017
- Electoral Arrangements – completed November 2017

Health, Housing and Adult Social Care Policy & Scrutiny Committee

- Public Health Grant Spending – completed June 2017
- Partner Engagement – ongoing

Children, Education & Communities Policy & Scrutiny

Committee WW1 Commemorations 2018 – completed January 2018

- The Health & Wellbeing of Young People in York (topic currently under consideration for review)

Economy & Place Policy Development Committee Impact of the arts and culture sectors on economic development in the city – completed November 2017

- CYC Fleet Replacement Policy – ongoing

Economy & Place Scrutiny Committee

No specific review yet started

12. In addition, the Committees continue with a range of overview activities, including the statutory overview responsibilities in relation to health, crime & disorder, education, and floods.

Consultation

13. No consultation was required on this report at this stage, given that it provides this Committee with their constitutional opportunity to consider making a recommendation to Executive for a budget for scrutiny.

Options

14. (i) Having regard to the analysis section in this report, to note the position and recommend to Executive not to provide any budget specifically to support external research and consultancy work for scrutiny in 2018/19 onwards; or
- (ii) To recommend Executive retains the current budgetary support for external research and consultancy work, explaining why; or
- (iii) To recommend Executive increases the current budgetary support for external scrutiny research/consultancy, explaining why and suggesting an appropriate figure; and
- (iv) To note the commitment agreed by Council on 15 December 2017 to fund some support to the Youth Council from within this budget should it be necessary.

Council Plan 2015-19

15. Whilst this report does not in itself materially affect how the work of scrutiny can support and develop the Council's overall priorities set out in the Council Plan 2015-2019, how scrutiny organises itself, selects and conducts its reviews could have a significant impact on how it contributes to the Council's development.

Implications

16. **Financial** – There would, of course, continue to be some financial impact should this Committee recommend continuing with a scrutiny research support budget, if the Executive supported that proposal. If funding continues at a comparatively low level as currently provided, then that impact would be minimal in comparison to the potential benefits of receiving support, where required.
17. There are no Human Resources, Equalities, Legal, Information Technology, Crime & Disorder or other implications associated with this report. Constitutionally, this Committee has the right to recommend to Executive an appropriate budget to support scrutiny research.

Risk Management

18. Clearly, this Committee needs to address what it believes the current and future needs of scrutiny may be, taking into account the historical levels of spend in the area concerned and any potential impact on improvements to Council performance. Based on previous years level of spend in this area, there is a continuing risk that any budget allocation made in the future could largely remain unused.

Recommendations

19. Members are asked to:
 - (i) consider what recommendation to make to the Executive in relation to a scrutiny support budget for use on external consultation/market research, for consideration as part of the Council's budget setting process for 2018/19; and
 - (ii) note the commitment given by Full Council at its meeting on 15 December 2017 to fund some support for Youth Council work from within this budget, should it be required.

Reason: To address the Committee's constitutional right to comment to Executive on setting the above scrutiny budget.

Contact Details

Author:

Dawn Steel
Head of Civic &
Democratic Services
Tel No. (01904) 551030

Chief Officer Responsible for the report:

Andy Docherty
Assistant Director
Governance & ICT

Report Approved **Date**

8 January 2018

Specialist Implications Officer(s)

Debbie Mitchell
Principal Accountant
Tel: (01904) 554161

All

Wards Affected:

For further information please contact the author of the report

Background Papers: None

Annexes: None

This page is intentionally left blank

Meeting dates	Customer & Corporate Services Scrutiny Management Committee Work Plan 2017-18
Mon 12 June 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Attendance of Executive Leader (Finance & Performance) - Priorities & Challenges for 2017/18 2. Schedule of Petitions 3. Draft Annual Scrutiny Report 4. Update Report on Customer Relations Management System (CRM) and digital inclusion 5. Draft Work Plan 2017/18 & Discussion re potential topics for 2017/18
Mon 31 July 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Year End Finance & Performance Monitoring Report 3. Police and Crime Commissioner presentation on future governance of North Yorkshire Fire and Rescue Service 4. Update Report on Section 106 Agreements including simplified public report (Deferred until September) 5. Overview Report on CYC Sickness Absence (Deferred until September) 6. Consultation on Draft ICT Policy 7. Work Plan 2017/18
Mon 4 Sept 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. First Qtr Finance & Performance Monitoring Report 3. Consultation on Draft ICT Policy (Deferred from July) 4. Overview Report on Financial Inclusion 5. Update Report on Section 106 Agreements (Deferred from July) 6. Overview Report on CYC Sickness Absence (Deferred from July) 7. Work Plan 2017/18
Mon 13 Nov 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Second Qtr Finance & Performance Monitoring Report 3. Electoral Arrangements Scrutiny Review Draft Final Report 4. Work Plan 2017/18 and discussion on further potential scrutiny topics.

<p>Mon 22 Jan 2018 @ 5:30pm</p>	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Update Report on Attendance and Wellbeing Project (Sickness absence) 3. Annual Review of Complaints 4. Update on Implementation of Recommendations from One Planet York Scrutiny Review 5. Update Report on Consultation on Draft ICT Policy 6. Scrutiny Review Support Budget. 7. Work Plan 2017/18 and discussion on further potential scrutiny topics.
<p>Mon 12 March 2018 @ 5:30pm</p>	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Third Qtr Finance & Performance Monitoring Report 3. Update Report on Section 106 Agreements 4. Overview Report on evidence-based Ward Profiles. 5. Work Plan 2017/18
<p>Tues 8 May 2018 @ 5:30pm</p>	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Draft Work Plan 2018-19

June?: Update on implementation of recommendations from electoral arrangements scrutiny review.