

12 January 2023

Time 2.00 pm **Public Meeting?** Yes **Type of meeting** Advisory group

Venue Council Chamber - 4th Floor - Civic Centre

Membership

Chair Cllr John Reynolds (Lab)
Vice Chair Cllr Jonathan Crofts (Con)

Labour

Cllr Dr Paul John Birch J.P.
Cllr Celia Hibbert
Cllr Louise Miles
Cllr Phil Page
Cllr Milkinderpal Jaspal
Cllr Rita Potter

Conservative

Cllr Simon Bennett
Cllr Wendy Thompson

Quorum for this meeting is three Councillors.

Information for the Public

If you have any queries about this meeting, please contact the Democratic Services team:

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Wolverhampton WV1 1RL

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Some items are discussed in private because of their confidential or commercial nature. These reports are not available to the public.

Agenda

Part 1 – items open to the press and public

- | <i>Item No.</i> | <i>Title</i> |
|-----------------|---|
| 1 | Apologies for absence |
| 2 | Declarations of interest |
| 3 | Minutes of the previous meeting (Pages 3 - 6)
[To approve the minutes of the previous meeting held on 24 November 2022 as a correct record]. |
| 4 | Matters arising
[To discuss any matters arising from the minutes of the previous meeting]. |
| 5 | Preparations for May 2023 Local Elections (Pages 7 - 18)
[To note and provide feedback on the preparations for the May 2023 elections]. |
| 6 | Evaluation of Annual Canvass 2022 (Pages 19 - 24)
[To provide feedback on the 2022 annual canvass]. |
| 7 | Quarter One and Two 2022-2023 - Social Care, Public Health, Corporate Complaints & Compliments Report (Pages 25 - 62)
[To note the contents of the Annual Social Care Public Health Complaints and Compliments Report]. |
| 8 | Information Governance - Progress update - 1 April 2022 to 31 December 2022 (Pages 63 - 84)
[To note the contents of the Information Governance progress update report]. |

Attendance

Members of the Governance and Ethics Committee

Cllr John Reynolds (Chair)
Cllr Jonathan Crofts (Vice-Chair)
Cllr Dr Paul John Birch J.P.
Cllr Celia Hibbert
Cllr Louise Miles
Cllr Phil Page
Cllr Milkinderpal Jaspal
Cllr Rita Potter
Cllr Simon Bennett
Cllr Wendy Thompson

Employees

David Pattison	Chief Operating Officer
Jai Ghai	Head of Digital and IT
Laura Gittos	Head of Governance
Donna Cope	Democratic Services Officer

Part 1 – items open to the press and public

Item No. *Title*

- 1 Apologies for absence**
Apologies for absence were received from Jaswinder Kaur and Laura Noonan.
- 2 Declarations of interest**
There were no declarations of interest.
- 3 Minutes of the previous meeting**
That the minutes of the previous meeting held on 20 October 2022 be approved as a correct record.
- 4 Matters arising**
There were no matters arising from the minutes of the previous meeting.
- 5 Changes to the Constitution - Rules of Debate**
David Pattison, Chief Operating Officer, presented the report: Changes to the Constitution - Rules of Debate. The report detailed the proposed amendments to the constitution to ensure continuing lawfulness and effectiveness.

The Chief Operating Officer provided an overview of the proposed changes and explained the rationale for these changes as detailed in section three of the report.

The report was debated by Committee, and it was agreed that the following amendments should be made:

1. **Leader's report – right of reply** - That there be an amendment to introduce a 2-minute right of reply from the Leader; that the Leader's report be reduced from 10 minutes to 8 minutes; that the opposition response remains at 5 minutes, thus ensuring the whole item remains at 15 minutes.
2. **Extensions of time of the meeting** – That the meeting be extended by a fixed time with no further extension under rule 8.1.
3. **Voting** – That unless the constitution provides otherwise, any matter will be decided by a simple majority of those Councillors voting and present at the time the question was put – *for the avoidance of doubt in the event that a named vote is called (or required) only those Councillors present at the start of the named vote will be entitled to vote.*

Resolved:

1. That Council be recommended to make changes to the Constitution as set out above.

6 **Appointing an Independent Member**

David Pattison, Chief Operating Officer, presented the report: Appointing an Independent Member. The report outlined the proposal to appoint at least two additional Independent Persons and the rationale behind it.

The report was debated by Committee, and the Chief Operating Officer responded to questions asked.

Resolved:

That Council be recommended to:

1. Agree to the advertisement of two additional Independent Persons to ensure that the Council has at least two Independent Persons in line with best practice, and to delegate responsibility for agreeing the advertisement process to the Chair of the Committee.

7 **Local Authority Companies - Linked Bodies**

David Pattison, Chief Operating Officer, presented the report: Local Authority Companies - Linked Bodies. The report provided clarity on the approach taken regarding Linked Bodies – namely those bodies that the Council had ownership (or part ownership) of.

Councillor John Reynolds moved the recommendation in the report. Councillor Jonathan Crofts seconded the recommendation.

The report was debated by Committee, and the Chief Operating Officer responded to questions asked. It was clarified that a Councillor would not be a director of a Linked Body, and therefore to avoid confusion, it was agreed that paragraphs 10.11 and

10.12 of the '*Code of Practice - Governance of Council involvement in linked bodies*' found at Appendix 2 of the report be removed.

It was noted that relevant officers and Councillors would receive the necessary guidance, and that the list of Linked Bodies on the council website would be updated.

Members of the Committee welcomed the report and thanked the Chief Operating Officer for his work.

Resolved:

1. Endorsed the approach taken in the Governance of Linked Bodies paper and advice for Councillors/Officers.

8 **Introduction of Paperless Committee Meetings**

Laura Gittos, Head of Governance, presented the report: Introduction of Paperless Committee Meetings. The report provided an update on how Councillors accessed committee papers, the implications associated with receiving paper copies, and set out a proposed paperless approach.

The report was debated by Committee, and a number of key issues were raised. The Head of Governance responded to questions asked and it was noted that:

- Councillors with an accessibility issue (medical reasons/visual impairments/hidden disabilities) would be supported and provided with paper copies.
- Chairs and Vice Chairs would be provided with paper copies if required.
- A high standard of support would be provided to Councillors, and a support programme would be developed between now and the end of the municipal year to ensure Councillors were confident with the transition to paperless meetings.

Resolved:

1. Approved that Council adopted a "paperless" approach to meetings i.e. that Council approved the electronic delivery, by default, of all Council and Committee / Panel meeting papers with paper copies being provided only by exception (e.g. medical reasons/visual impairments/hidden disabilities, these requirements would be catered for.). Chairs and Vice Chairs could also opt to receive paper copies.
2. Approved that Councillors could use their Council issued devices and the functionality of Modern.Gov to access papers.
3. Approved that Councillors who received posted paper copies for Scrutiny meetings collect papers from their pigeonholes on the third floor.
4. Approved that papers were only posted to members of committees and panels who were external to the organisation – if requested, otherwise they would be shared electronically.
5. Approved that the Council have two hard copy agendas for viewing by the public at any such meeting.
6. Noted that officers continued to support Councillors in the understanding and operation of their devices and the Modern.Gov app.
7. Noted that officers would create online user guides and video tutorials in the new year for Councillors to access via the Councillor Portal to use Modern.Gov efficiently in readiness for the next municipal year.

9 **2023 Parliamentary Boundary Review Update**

Laura Gittos, Head of Governance, presented the report: 2023 Parliamentary Boundary Review Update. The report provided an update on the Parliamentary Constituencies Boundary Review and shared the Returning Officers draft response to the consultation.

Councillor John Reynolds moved the recommendation in the report. Councillor Jonathan Crofts seconded the recommendation.

The report was debated by Committee, and in response to concerns raised it was agreed that paragraph 5.1 of the report be amended to:

I understand that the review is based on the wards in place as of 1 December 2020, but to have one local government ward (St Peters) that is split across all three parliamentary constituencies creates significant administrative challenges for designating polling districts and polling stations in these areas.

Resolved:

1. Endorsed the Returning Officer response to the consultation subject to the above amendment.
2. Noted that the consultation closes on 5 December.

CITY OF WOLVERHAMPTON COUNCIL	Governance and Ethics Committee 12 January 2022
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Report title	Preparations for May 2023 Local Elections	
Cabinet member with lead responsibility	Councillor Paula Brookfield Cabinet Member for Governance and Ethics	
Accountable director	David Pattison, Chief Operating Officer	
Originating service	Electoral Services	
Accountable employee	Laura Noonan	Electoral Services and Scrutiny Manager 01902 55 4939 Laura.Noonan@wolverhampton.gov.uk
Report to be considered by	Election Board	16 January 2022

Recommendation for action:

The Governance and Ethics Committee is recommended to:

1. Note and provide feedback on the preparations underway for the May 2023 elections.

1.0 Purpose

- 1.1 To provide an update on preparations underway for the local elections taking place on 4 May 2023.

2.0 Background

- 2.1 On Thursday 4 May 2023, Local Elections are taking place in Wolverhampton, where all 60 Councillor seats are up for election following the Local Government Boundary Commission review. These elections will be conducted on the new ward boundaries which come in to force on 4 May 2023.

- 2.2 All out elections are where all councillors are elected to office once every four years. Election by thirds is the current system in place in Wolverhampton, where one third of the councillors are elected to office in three years out of four years. In the fourth year, there are no elections, which is known as a fallow year. The Department for Levelling Up Communities and Housing has now confirmed that following the all-out election in May 2023 the fallow year will remain in 2025 and will not be moved to 2024 as requested. This means that we will have an all-out election in 2023, election by thirds in 2024, fallow in 2025 and then election by thirds in 2026. The current electoral timetable is as follows

- 2023 – City Council Elections (all out elections)
- 2024 – City Council Elections, Police and Crime Commissioner Elections, West Midlands Combined Authority Mayoral Elections and UK Parliamentary Election
- 2025 – None (fallow year)
- 2026 – City Council Elections
- 2027 – City Council Elections
- 2028 – City council Elections, Police and Crime Commissioner Elections and Combined Authority Mayoral Elections

- 2.3 These are also the first elections to be held since the introduction of the Elections Act 2022. The measures that will be in force for the May 2023 elections are:

- Electors will be required to show Photo ID at polling stations before a ballot paper is issued.
- Electoral Registration Officers based in local authorities to issue free voter identification documents to those without a valid form of photo ID.
- Extend accessibility to elections including requiring Returning Officers to take all reasonable steps to provide support for those with a disability in polling stations.

- 2.3 The local arrangements in place in relation to Voter ID and Accessibility have been provided below.

3.0 Voter ID

3.1 Voter ID regulations passed through both the House of Commons and House of Lords in mid-December 2022.

3.2 Acceptable forms of photographic identification will include:

- A passport issued by the UK, any of the Channel Islands, the Isle of Man, a British Overseas Territory, an EEA state or a Commonwealth country
- A driving licence issued by the UK, any of the Channel Islands, the Isle of Man or an EEA state
- A biometric immigration documents
- An identity card bearing the Proof of Age Standards Scheme hologram (a PASS card)
- Ministry of Defence Form 90 (Defence Identity Card)
- A Blue Badge
- A national identity card issued by an EEA state
- An Older Person's Bus Pass
- A Disabled Person's Bus Pass
- An Oyster 60+ Card
- A Freedom Pass
- A Scottish National Entitlement Card issued in Scotland
- A 60 and Over Welsh Concessionary Travel Card issued in Wales
- A Disabled Person's Welsh Concessionary Travel Card issued in Wales
- A Senior SmartPass issued in Northern Ireland
- A Registered Blind SmartPass or Blind Person's SmartPass issued in Northern Ireland
- A War Disablement SmartPass or War Disabled SmartPass issued in Northern Ireland
- A 60+ SmartPass issued in Northern Ireland
- A Half Fare SmartPass issued in Northern Ireland
- An Electoral Identity Card issued in Northern Ireland
- A Voter Authority Certificate or a temporary Voter Authority Certificate

3.3 If an electors photo ID has expired, it will still be accepted as long as the photo is still a good likeness of the elector.

3.4 With the final legislation now agreed, the Electoral Commission is now in the process of finalising the official guidance. The voter authority certificate design has not yet been shared with EROs

3.5 The free voter authority certificate application process is due to launch on 16 January 2023.

3.6 The Business Change Team at the Department for Levelling Up, Housing and Communities (DLUCH) delivered the first training session on the ERO portal for electoral services administrators on 14 December. The ERO portal is where Electoral Services will be able to download elector's voter authority certificate applications. This will not be fully integrated to the Electoral Services Management System by design.

- 3.7 The Government have agreed to review the effect of Voter ID on turnout at May 2023 polls. This review will be run by an independent organisation and published by November 2023, with results scrutinised by Select Committee.
- 3.8 The national campaign to promote Voter ID ('Note to Self') will launch in January 2023, and Local Authorities will be issued with a communications pack. Amongst other things it is proposed that a leaflet will be included in the council tax bills to all households to advise on the new requirements for photo ID in polling stations. The Communications Team will lead the communications for elections, including Voter ID. A Councillor Briefing is booked for the 19 January 2023 to update all Councillors on the proposed approach.

4.0 Accessibility

4.1 Returning Officers will have a general responsibility to take all reasonable steps to support voters with disabilities. The Electoral Commission will produce guidance (final version expected end of January 2023) to aid Returning Officers in providing reasonable support to aid disabled people to vote in polling stations. The Commission's guidance will recommend a range of support that should be made available to voters with disabilities, and this will be developed in conjunction with organisations representing disabled voters and those from the electoral sector. The draft guidance states that polling stations should provide the following as a minimum:

- Chair/seating – this provides a place to rest for voters who cannot stand for long periods and a seat for voters who would like to take some time to think before entering the polling booth
- Magnifiers – these increase the size of the text on a document providing support for voters who are visually impaired to vote independently
- Tactile voting device –this provides support for voters who are visually impaired to mark their vote on the ballot paper in the correct place.
- Polling booth at wheelchair level –helps to ensure that voters who use a wheelchair are able access a lower writing surface to ensure they can cast their vote in secret in a booth that is accessible
- Staff name badges – these help voters more easily identify that a person is a member of staff in the polling station and is someone they can approach for assistance
- Pencil grip – these can help voters with dexterity impairments to more easily hold and use a pencil independently
- Ramps (for buildings with steps) – these support access to a polling station for voters who use a wheelchair or have difficulty using steps
- Temporary alerters or doorbells for any doors that are required to remain shut during the day (for example, fire doors) – these provide a way for voters to let polling station staff know that they need assistance to open the door so they can access the polling station
- Appropriate lighting – some polling station venues have good lighting but others may need additional lighting at the desk; to ensure that voters can clearly see the faces of staff, and in the polling booths; to support voters with visual impairments to be able to read and complete the ballot paper.
- Reserved parking spaces reserved for voters with disabilities (where parking is available at the venue) – this ensures that disabled voters can park as close as possible to the polling station.

- 4.2 Wolverhampton aims to go further than the minimum and has set up a working group with representatives from Electoral Services, Equalities, Occupational Health, Zebra Access, Beacon Centre for Blind and NHS Learning Disability.
- 4.3 The working group is currently reviewing additional provision. One idea that is being implemented is a polling station support request where electors can hand over their request to polling station staff on arrival. A draft copy has been provided in Appendix 1.
- 4.4 An accessibility event is currently in the planning stages for early March where electors with disabilities will be invited to attend to experience a polling station ahead of polling day and receive information on the support available to them in the station.

5.0 Candidates and Agents

- 5.1 The Returning Officer will be holding a candidates and agents briefing on Monday 6 March 2023 at 5.30pm for prospective candidates and agents. There will also be a candidates and agents briefing held after the nomination period on Wednesday 12 April 2023 at 5.30pm for all candidates standing for elections.
- 5.2 The Notice of Election will be published at 9am on Thursday 27 March. The nomination period will run weekdays from 10am on 27 March 2023 until 4pm on 4 April 2023.
- 5.3 Candidates will be required to book an appointment with Electoral Services to hand in their nomination papers in person. Candidates are strongly encouraged to also book an appointment for an informal check of the nomination paper before handing it in.

6.0 Registration

- 6.1 A registration and postal vote campaign will take place ahead of the critical deadline dates for this election primarily using all available online communication channels:
- Deadline to register to vote: Monday 17 April 2023
 - Deadline to apply to vote by post: 5pm Tuesday 18 April 2023
 - Deadline to apply to vote by proxy: 5pm 25 April 2023

7.0 Polling stations

- 7.1 The designated polling stations were agreed by Full Council in November 2022. There are a total of 125 polling stations, 106 venues, 19 double stations, 6 temporary stations and 15 schools. Any decision to change the designated polling station can be made by the Returning Officer, in consultation with the Leader and the Leader of the Opposition.
- 7.2 Booking letters have been sent to all 106 polling station venues in December and 12% (12) of these venues have confirmed so far. All polling stations must be finalised by 1 March 2023 in readiness for poll cards to be prepared.

7.3 Polling Station Venues have been asked to provide the following further information this year to assist with preparations for checking Photo ID in polling stations including the size of the room to see if it could accommodate a privacy screen or whether they have a separate room that can be used to check Photo ID in private if required.

8.0 Postal Vote Opening

- 8.1 There will be daily opening sessions in the City Suite, Civic Centre every weekday from Tuesday 25 April until election day.
- 8.2 The final opening session will take place from 8pm at Aldersley on Thursday 4 May in the fitness suite on the first floor.
- 8.3 Candidates and agents are required to notify Electoral Services of attendance at sessions at least 24 hours in advance.
- 8.4 Candidates and agents will be provided with the number of postal pack outer envelopes received for each ward on a daily basis, however they will be advised that this is only intended as an estimation. It will not directly translate to the number of votes at the count because some votes will not be taken forward if they do not pass the personal identifier verification.
- 8.5 One of the main areas for improvement identified at the May 2022 local election was the time taken to finalise postal vote opening (finished by 1am). Many count tables had finished verification at 11.30pm.
- 8.6 There has been a 60% increase in the number of postal voters since 2019 following the mail out to all non-postal voters offering them the opportunity to vote by post during the pandemic. This level has been sustained which has also contributed to the time it takes to process the postal votes.
- 8.7 The following improvements will be implemented in 2023 which will aim to significantly reduce the time it takes to process postal votes. As the count is taking place the next day, the final postal vote opening session will not impact the count start time, but the aim is to finish between midnight and 12.30am as a trial for when the count returns to an overnight count in future years:
- Change timing of the Royal Mail Sweep delivery to 8pm instead of 9.45pm so these postal votes can be processed well before the close of poll. This will enable the postal vote opening team to then just focus on the final postal votes handed in from the polling stations during the ballot box drop off.
 - Hold an additional postal vote opening session between 10am – 12pm to deal with the postal votes received that morning. The usual afternoon session will start at 2pm until 5pm to process votes that have been handed in the Polling Station Inspectors and that have come in the earlier royal mail sweep and that day's post

- Start the final postal vote opening session an hour earlier - the session will start at 8pm to receive the royal mail sweep and postal votes that have been handed in by the Polling Station Inspectors.
- A new postal vote pack design will be implemented - this will be a one-piece mailer removing the additional envelopes and labels that elector would need to complete. This will help to reduce the number of mismatches that are returned that need to be matched up at the final opening sessions.

9.0 Verification and Count

- 9.1 Presiding Officers will drop off ballot boxes at Aldersley after the close of poll on Thursday 4 May 2023. It is anticipated that this will be completed by 1am. The postal votes that have been handed in at the polling station will be processed during the final opening session.
- 9.2 All ballot boxes will be stored at each count table ready for counting the next day. Security will be employed to ensure the safety and security of the ballot boxes overnight.
- 9.3 The verification of all wards will start at 10am on Friday 5 May 2023. Once each ward is verified, the count will start for that ward.
- 9.4 Three candidates will be elected for each ward. This is a more complicated method of counting involving the following two stages:

Stage 1: Block Count

There is often a pattern of voting along political party lines. Count Assistants will be provided with the combination of candidates in the counting trays in front of them. They will extract all votes in likely patterns for the main parties. For example, if an elector gives their three votes to candidates from the same party this will be counted as a vote for each candidate, so one batch of 20 votes will be counted as 20 for all three candidates. The other combinations will be dealt with on the counting board in stage 2.

Stage 2: Counting Board

This involves placing the ballot papers in the counting board from left to right so that they overlap, leaving only the 'X's visible for each candidate. These rows of votes will be counted, and any unused votes also counted for reconciliation.

- 9.5 All count assistants and count supervisors will be trained with a mock count prior to polling day.
- 9.6 When each ward count has been finished, the provisional results will be shared with candidates and agents. Once agreed, the Returning Officer will announce the declaration of results for each ward. Candidates will be then invited to sign the declaration of office with Councillor Support and can then attend the media zone for pictures.

10.0 Financial implications

- 10.1 The cost of running local elections to the Council in any year is dependent on whether they are standalone or combined with Parliamentary, Police and Crime Commissioner or Combined Authority Mayoral elections. Combined elections costs are effectively shared, part funded by Government or the Combined Authority.
- 10.2 There is a £192,000 budget currently set aside to cover the cost of local elections each year. In the event of combined elections or fallow years significant underspends against the local elections budget are expected and provide scope for contributions to the Elections Reserve. Standalone election costs are conversely expected to exceed the local elections budget. In these years the additional costs are to be funded from the Elections Reserve.
- 10.3 The funding strategy outlined above has been very effective over the last few years, but a significant permanent increase in elections costs is now anticipated. This follows an analysis of elections spend in 2022 coupled with a review of estimated costs for the forthcoming 2023 elections. This exercise has highlighted a range of emerging cost pressures. These include increased polling station costs due to greater use of private venues and temporary polling stations in place of schools, increases in polling station hire against a background of rising energy prices, Royal Mail postage charge increases, higher poll letter costs compared to poll cards and increases in staffing fees in line with national living wage rates.
- 10.4 There are other cost pressures in addition to these associated with the all-out election in 2023 and the implementation of the Elections Act. The former costs relate to the additional count equipment and training required for an all-out election and are expected to be just in excess of £10,000. The latter include anticipated increases in polling staff fees for the additional responsibilities associated with the Elections Act, increases in the number of polling staff, privacy screens in polling stations and additional equipment to ensure compliance with accessibility requirements.
- 10.5 New burdens funding associated with the implementation of Election Act was announced in December 2022, with the Council awarded a total of just under £104,000 spanning the 2022-2023 and 2023-2024 financial years.
- 10.6 Further work now needs to be undertaken as part of planning for the 2023 elections to determine how the new burdens funding will be allocated. When this review is completed a clearer view of future elections costs and funding will emerge. The funding strategy of combining a local elections budget with an Elections Reserve is set to continue, but the early indications are that the annual budget will have to be increased significantly. When this budget pressure is clearly established it will be incorporated in the preparation of 2023-2024 budgets and the Medium Term Financial Strategy.

[GE/20122022/F]

11.0 Legal implications

11.1 All preparations outlined in this report are in line with the statutory provisions covering the delivery of local elections. [DP/0401203/A]

12.0 Equalities implications

12.1 Planning for these elections complies with the Public-sector equality duty and the new accessibility arrangements set out in the Elections Act 2022. Reasonable adjustments to vote are made available for electors with disabilities in the polling stations, and staff working election duties receive substantial training on this.

12.2 A communications campaign will be launched in January up until May to continue to advise electors on the options that they have available to them to vote – either in the polling station, by post or by proxy.

13.0 All other Implications

13.1 There are no other implications arising from this report at the current time.

14.0 Schedule of background papers

14.1 None listed.

15.0 Appendices

15.1 Polling Station Support Request

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What other people can do:

- Explain the voting options to me.
 - Use their knowledge of my communication methods to understand who I want to vote for.
 - Come into the polling booth with me if on the permission of the Polling Station staff.
 - Mark the ballot paper with my decision, if I permit them to do so.
-

What other people can't do:

- Make a decision for me.
- Mark the ballot paper against my wishes.
- Stop me from voting because I have a learning disability.

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Contact Information:

Electoral.Services@wolverhampton.gov.uk

01902 55 1177

More information on elections and acceptable forms of Photo ID can be found on our website: www.wolverhampton.gov.uk/elections

Polling Station Support

CITY OF
WOLVERHAMPTON
COUNCIL

At the Polling Station

- Firstly, you will be asked for your name and address.
- You will be asked for your Photo ID or Voter Authority Certificate.
- You can provide this polling station support form to the staff if you need help.
- If you have a companion to help they will need to complete a form.

Don't forget

- To bring your Photo ID (passport, driving licence, various concessionary travel passes and photocard parking permits issued as part of the Blue Badge scheme) or your Voter Authority Certificate.
- You can bring your own pen or pencil if you wish

About me

My name is:

I am autistic and/or have a disability. I need reasonable adjustments to support me to vote in the election.

Please speak clearly and be patient.

I need: *(tick any that apply)*

- Someone to read out the candidates on the ballot paper
- To be shown a large print ballot paper
- To be able to lip read instructions
- Someone to help mark the ballot paper with my decision:-
(please select)
- Support from who is over 18
- The Presiding Officer at the polling station
- A tactile voting device
- Extra light in the polling booth
- A pencil grip
- A magnifier glass

CITY OF WOLVERHAMPTON COUNCIL	Governance and Ethics Committee 12 January 2023
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Report title	Evaluation of Annual Canvass 2022	
Cabinet member with lead responsibility	Councillor Paula Brookfield Cabinet member for Governance and Ethics	
Accountable director	David Pattison, Chief Operating Officer	
Originating service	Electoral Services	
Accountable employee	Alice Peacock Tel Email	Deputy Electoral Services Manager 01902 55 0551 Alice.Peacock@wolverhampton.gov.uk
Report to be considered by	Election Board	16 January 2023

Recommendation for action or decision:

The Governance and Ethics Committee is recommended to:

1. Provide feedback on the 2022 annual canvass.

1.0 Purpose

1.1 To provide an evaluation of the 2022 annual canvass.

2.0 Background

2.1 It is a legal requirement for the Electoral Registration Officer (ERO) to carry out an annual canvass to ensure that the electoral register is up to date.

2.2 This is the third year of the reformed annual canvass. The annual canvass started with a national data match of the electoral register with Department for Work and Pension (DW) records to categorise properties into route one – matched properties (indicating no change in household composition), or route two – no match (indicating a change in household composition). This allows the ERO to take a flexible approach and target resources on properties where there is a change.

2.3 Route one properties receive a ‘light touch’ canvass, where they are sent a canvass communication but only need to respond if there is a change. The route two properties must respond and are sent multiple different types of communications including a door knock to elicit a response. There is also a route three for properties with a senior responsible officer who can respond on behalf of the residents. In Wolverhampton, Care Homes with a senior responsible officer are assigned to route three.

2.4 The earliest the annual canvass can start by 1 July and conclude by 1 December for the publication of the revised register. Wolverhampton started contacting electors as part of the annual canvass on 12 July 2022.

3.0 Overall Evaluation

3.1 On 1 July 2022, there was an electorate of 184, 048. The national and local data match took place in July using the same approach as last year, and there was a positive increase compared to last year as 2% more properties matched, so there were fewer properties that needed to be canvassed via route two. The following table shows the number of properties and responses by route for 2021 and 2022.

Canvass	Route one	Route two	% response to route two	Overall completion rate
2021	79% (92, 227)	21% (23, 283)	67.1% (15, 623)	93.4%
2022	81% (93, 805)	19% (22,420)	69.3% (15, 549)	94.1%

3.2 Evaluation by the Electoral Commission in 2021 revealed that nationally 75% of properties were allocated to Route one, so Wolverhampton was higher than the average both in 2021 and 2022, and higher than the West Midlands average of 77.5%. The Electoral Commissions’ evaluation for 2022 had not been produced at the time of this report.

- 3.3 The overall canvass completion rate was higher than last year at 94.1% compared to 93.4%. This could be attributed to a higher match rate to begin with, and the additional responses gained from canvassers conducting the door knock. A total of 6,871 properties were outstanding a response at the end of the canvass. All of these properties received two written communications, two door knocks and a leaflet through the door encouraging them to respond to the canvass communications.
- 3.4 The annual canvass concluded on 1 December 2022, when the revised register was published. There are 185, 399 electors on the electoral register and 34, 442 postal voters.

4.0 Route one evaluation

- 4.1 Properties in route one only needed to respond if there was a change, except for those who received an initial email as they were required to respond to ensure that the communication had reached the property.
- 4.2 Emails were sent to 42, 838 properties this year compared to 15, 507 in 2021, and there was a 29.7% response rate (12, 735), which was an increase on the 27% (4,198) response rate at this stage in 2021. In 2021 there were some queries from residents checking whether the email was legitimate as they had not been contacted in this way before. There were minimal queries this year and more communications were put out in residents' newsletters and on the website to inform residents that they may receive this email.
- 4.3 Households without email addresses and those who did not respond to the email were sent a Canvass Communication Form A which was a two-sided A4 letter without a pre-paid envelope showing the names of people registered at this address and to invite them to respond online only if there were changes required. The table below shows the outcome of the route one contacts:

	2021	2022
Properties	92, 227	93, 805
Full responses	10, 705 (11.6%)	25, 446 (27.18%)
Changes (electors added/deleted)	30	76
No changes	10, 679	25,394

- 4.4 Properties in this route only need to respond if there is a change. The vast majority of those who responded reported no change. Overall, there was a positive outcome as there were much fewer changes made compared to last year, indicating a more accurate and up to date register at the beginning of canvass. The following table shows the contact methods electors used to respond, which shows a sustained channel shift towards more online responses:

	2021	2022
Post	280 (2.6%)	86 (0.3%)
Internet	9, 827 (91.8%)	22, 176 (87.1%)
Phone	83 (0.8%)	1,779 (7%)
Text	38 (0.4%)	740 (2.9%)
Email	21 (0.2%)	84 (0.3%)
Phone call to customer services/electoral services	454 (4.2%)	460 (1.8%)

4.5 An area of improvement for the 2023 Annual Canvass for route one properties will be to further increase the number of emails being sent out and responded to, to reduce the cost of printing and postage. Data mining and data matching options with other council databases were used as part of this year's data match which led to a higher percentage of properties in route one. It is recommended to explore using additional databases to see if more email addresses can be imported into the electoral register.

5.0 Route 2 evaluation

5.1 All households in this route are required to respond and the ERO is required to contact these households three times and one of these must be a personal canvass such as a telephone call or door knock

5.2 All 22, 425 properties received a Canvass Communication Form B letter which was an A4 double sided letter without a pre-paid envelope and electors were encouraged to respond online. Properties who did not respond at this stage were then sent an A3 double sided Canvass Form with a pre-paid envelope. Properties who did not respond to the canvass form then received 2 door knocks and a leaflet posted through the door. The table below shows the outcome of the route two contacts:

	2021		2022	
	Properties contacted	Response rate	Properties contacted	Response rate
Stage 1: CCB letter	23, 283	32% (7, 530)	22, 425	33 % (7, 471)
Stage 2: Telephone canvass	0	N/A	2, 297	28 % (637)
Stage 2: Canvass Form	15, 753	20% (3, 217)	12, 656	8.5 % (1078)
Stage 3: Door knock	12, 536	39% (4, 876)	10, 671	60% (6, 354)

- 5.3 In 2021 there was a software glitch with the Elections Management System which meant that the telephone canvass option could not be utilised that year. The provider, Civica resolved the issue for this year's canvass allowing an additional contact stage to be trialled for the 2022 annual canvass. Telephone canvassing further reduced the amount of Canvass forms sent out in stage 2.
- 5.4 Due to industrial action the delivery of the stage 2 canvass forms was delayed resulting in a timetable crossover of stage 2 and 3. This led to a reduced response rate for stage 2 but an increased response to canvassers door knocking in stage 3. An area of improvement for 2023 would be to examine the canvass timetable to account for possible disruption in future.
- 5.5 The following table shows the contact methods electors used to respond, which shows a sustained channel shift towards more online responses and less by post:

	2021	2022
Post	11.5% (1, 804)	3.1% (694)
Internet	51.9% (8, 107)	35.6% (7, 993)
Phone	4.9% (773)	2.4% (543)
Text	1.1% (172)	0.4% (82)
Email	0.08% (12)	0.04% (9)
Door knock	18.8% (2, 951)	22.1% (4, 951)
Phone call to customer services/electoral services	11.5% (1, 801)	3.1% (686)

- 5.6 The door knock was trialled at a later stage in the annual canvass so that canvassers worked right up to the register publication date. Canvassers worked from the beginning of October up until end of November. In previous canvasses they have worked from the beginning of September up until the end of October. The feedback from canvassers was that they preferred working September – October due to the weather and daylight hours. This will be accommodated in next year's canvass timetable.

6.0 Route 3 evaluation

- 6.1 Electoral Services contacted 76 care homes by emailing and calling senior responsible offices up to three times. After the third contact, they were sent a canvass form in the post with a pre-paid return envelope. 41% (31) of care homes responded to the canvass communication, which was higher than last year when 20% of care homes responded to a single member of staff canvassing properties.

7.0 Financial implications

7.1 Against the background of a high data matching rate the cost of the annual canvass has been met from the £375,000 budget set aside for electoral registration in 2022-2023. The costs of future canvass operations will continue to be closely monitored as inflationary increases in postage costs are anticipated. Forecasts will be incorporated in quarterly revenue monitoring reports and any emerging budget pressures highlighted as part of that process. [GE/20122022/K]

8.0 Legal implications

8.1 The statutory provisions for the annual canvass have been met by the ERO. [DP/04012023/B]

9.0 Equalities implications

9.1 Due to the nature of population turnover in each ward, each ward does have a different percentage of properties that are allocated to each route. The nature of the reformed Annual Canvass enables Electoral Registration Officers to focus resources on the wards where the data indicates that there has been a change in household composition.

10.0 All other Implications

10.1 There are no other implications arising from this report at the present time.

CITY OF WOLVERHAMPTON COUNCIL	Governance and Ethics Committee 12 January 2023
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Report title	Quarter 1 and 2 Social Care, Public Health, Corporate Complaints & Compliments Report 2022-2023
Cabinet member with lead responsibility	Councillor Paula Brookfield Cabinet Member for Governance and Equalities
Accountable director	David Pattison, Chief Operating Officer
Originating service	Information Governance, Customer Feedback
Accountable employee	Sarah Campbell Customer Engagement Manager Tel 01902 551090 Email sarah.campbell@wolverhampton.gov.uk
Report to be/has been considered by	Leadership Team Meetings – Finance, Governance, Regeneration, Joint Adult, Children’s & Education, December 2022 Public Health, City Housing & Environment, City Assets, People and Change

Recommendations for noting:

The Governance and Ethics Committee is asked to note:

1. The contents of the Annual Social Care Public Health Complaints and Compliments Report for the period 1 April 2022 to 30 September 2022, including:
 - a. The Statutory Complaints Activity for Children’s Services, Education Services, Adult Services and Public Health, as detailed in Appendix 3 (Section 1).
 - b. All the other complaints activity governed by the Corporate Complaints Policy as detailed in Appendix 3 (Section 2).

1.0 Purpose

1.1 This report provides an overview of the complaints, including Local Government and Social Care/Housing Ombudsman enquiries received during 1 April 2022 to 30 September 2022.

2.0 Background

2.1 The Council's Customer Feedback Team handles complaints, compliments and service enquiries from members of the public. Those relating to children's, adults and public health matters fall under a statutory framework, while the remainder are handled under the council's corporate complaints policy.

3.0 Complaint Training

3.1 The Customer Feedback Team has compiled mandatory corporate complaint training and children's and adults complaint handling for council officers, which is available via the council's learning hub.

4.0 Managing Unreasonable Customer Behaviour Procedure

4.1 The management of unreasonable complainant behaviour procedure has been active since February 2015. During this period, the Customer Feedback Team has managed a total of three cases in line with this procedure.

5.0 Complaint Policy/Procedures

5.1 The customer feedback team carries out regular reviews of the council's corporate complaints policy and Children's, Adults and Public Health complaint procedures to reflect current working practices and legislation. All policies and procedures are presented to the relevant leadership teams and democratic panel/board for approval.

6.0 Financial implications

6.1 There are no financial implications associated with the recommendation in this report. [GE/28112022/Y].

7.0 Legal implications

7.1 The statutory complaints procedure must comply with various statutes. These include:

- Children and Family Services - The Children Act 1989, Representations
- Procedure (England) Regulations 2006. The Local Authority functions covered include services provided under Parts III, IV and V of the Children Act 1989
- Adult Social Care – The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009; which came into force on 1 April 2009.

- Public Health - The NHS Bodies and Local Authorities (Partnership Arrangements, Care Trusts, Public Health and Local Healthwatch) Regulations 2012.

Legal Code: [SZ/27112022/P].

8.0 Equalities implications

- 8.1 There are no concerns with the data analysis, equality implications or evidence of any groups being disproportionately affected associated with this report. The Council, being under the Public-Sector Equality Duty must, on an on- going basis, consider how its policies are working for the diverse communities a Council serves.

9.0 Health and Wellbeing Implications

- 9.1 The complaints element of the social care and corporate procedure is part of a wider assurance process supporting quality in service delivery standards. This can then be a positive experience for customers and contribute to their health and well-being. For those occasions where the experience which has led to a complaint is a less positive one, then there is an opportunity for appropriate action or redress so that the health and well-being of the complainant and/or relevant others is secured. The compliments process allows customers to note great practice by the Council; positive experience of officers working in many different settings will support improved experience of health and well-being for individuals as well as for staff who can be satisfied that their work is appreciated.

10.0 Covid Implications

- 10.1 A number of complaint cases were implicated by Covid-19 Pandemic.

11.0 All other Implications

- 11.1 There are no other implications arising from the report at the current time.

12.0 Schedule of Background Papers

- 12.1 None for consideration.

13.0 Appendices

- 13.1 Appended to this covering report are the following documents:

Appendix 1 – Statutory Social Care Customer Feedback Dashboard

Appendix 2 – Corporate Customer Feedback Dashboard, Local Government and Social Care Ombudsman (LGSCO) and Housing Ombudsman (HO)

Appendix 3 – Notes to the dashboard – Statutory (Section 1); Corporate (Section 2), Local Government and Social Care Ombudsman (LGSCO) and Housing Ombudsman (HO)

Appendix 4 – Learning from stage one complaints, LGSCO and compliments (corporate, social care and public health)

Select a service:

Adults | **Children's** | Corporate | Public Health

Select a year:

2019/2020 | 2020/2021 | 2021/2022 | **2022/2023**

Select a quarter:

Q1 | Q2 | Q3 | Q4

Stage 1 Complaints

15

Stage 1 complaints received

7

Stage 1 complaints not upheld (council is not at fault)

5

Stage 1 complaints part upheld (council is partly at fault)

3

Stage 1 complaints upheld (council is at fault)

Corporate complaints procedure

11 | **26**

Complaints received | Average response days (calendar days)

Statutory complaints procedure

4 | **14**

Complaints received | Average response days (working days)

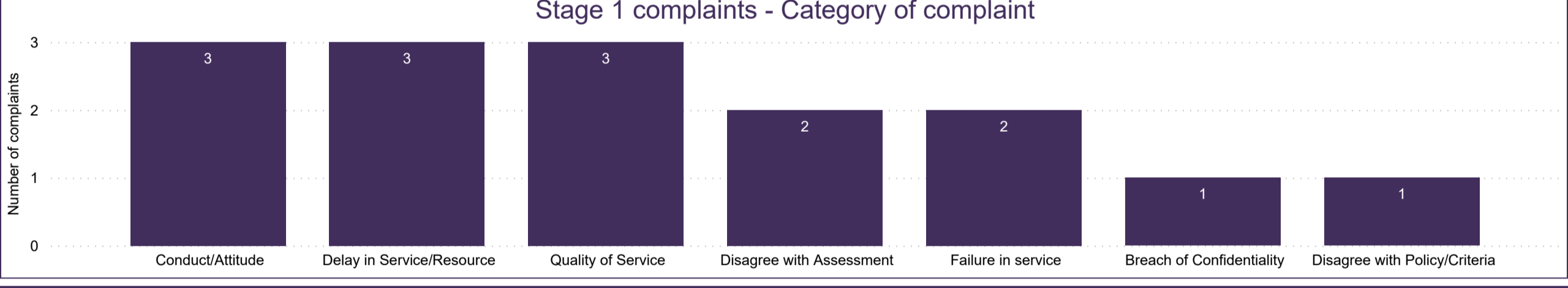
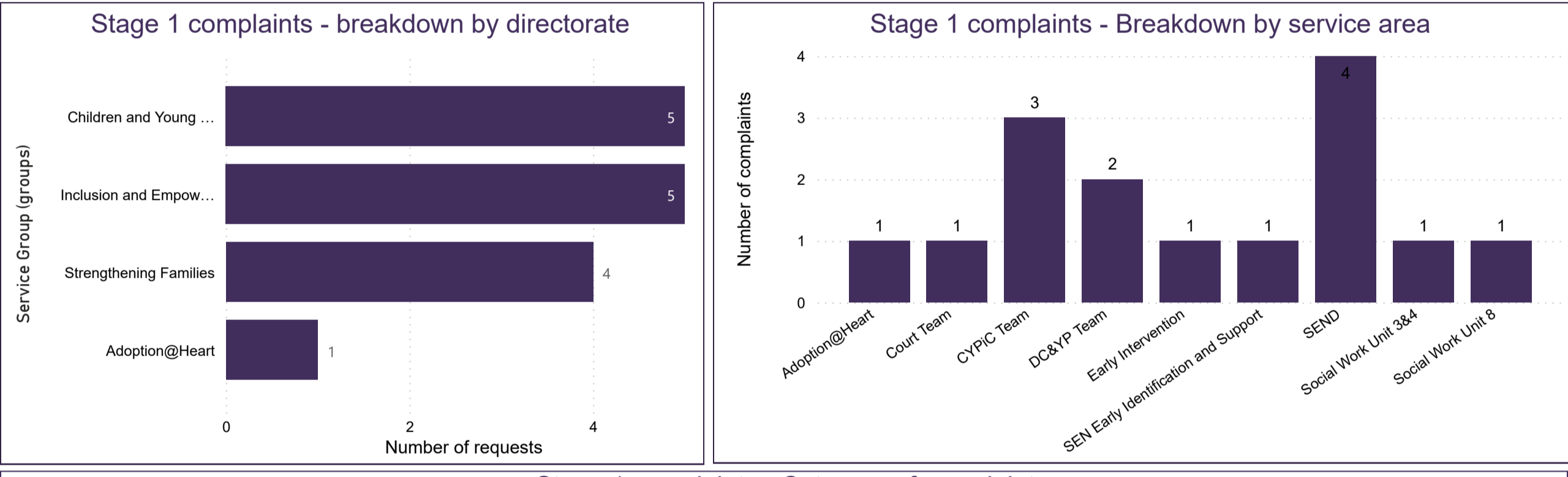
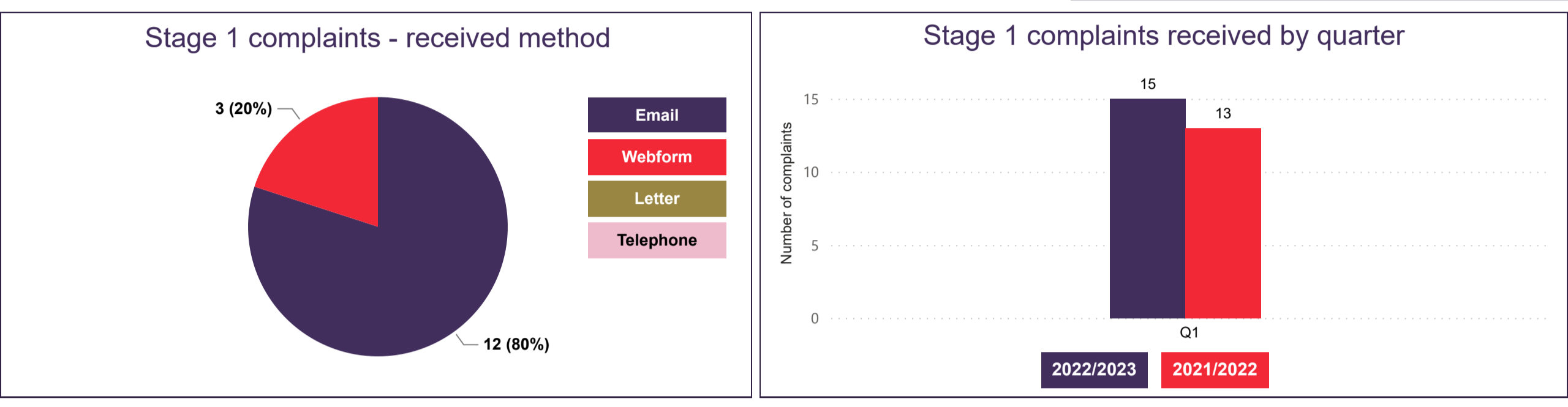
Comparison to previous year

2022/2023: 15

2021/2022: 13

Difference: 2

In comparison to 2021/2022 an increase has been seen in the number of stage 1 complaints received



Stage 2 Complaints

2

Stage 2 complaints received

0

Stage 2 complaints not upheld (council is not at fault)

2

Stage 2 complaints part upheld (council is partly at fault)

0

Stage 2 complaints upheld (council is at fault)

Corporate complaints procedure: **1**

Statutory complaints procedure: **1**

Comparison to previous year

2022/2023: 2

2021/2022: 1

Difference: 1

In comparison to 2021/2022 an increase has been seen in the number of stage 2 complaints received

Stage 2 complaints received by quarter

Year	Number of complaints
2022/2023	2
2021/2022	1

Compliments, Informal Complaints and Stage 3 Complaints

Informal complaints received

17

Compliments received

35

0 Corporate complaints procedure

0 Statutory complaints procedure

2022/2023: 0

2021/2022: 0

Difference: 0

In comparison to 2021/2022 no change has been seen in the number of stage 3 complaints received.

Select a service:

Adults | **Children's** | Corporate | Public Health

Select a year:

2019/2020 | 2020/2021 | 2021/2022 | **2022/2023**

Select a quarter:

Q1 | **Q2** | Q3 | Q4

Stage 1 Complaints

9

Stage 1 complaints received

2

Stage 1 complaints not upheld (council is not at fault)

6

Stage 1 complaints part upheld (council is partly at fault)

1

Stage 1 complaints upheld (council is at fault)

Corporate complaints procedure

6

Complaints received

20

Average response days (calendar days)

Statutory complaints procedure

3

Complaints received

21

Average response days (working days)

Comparison to previous year

2022/2023

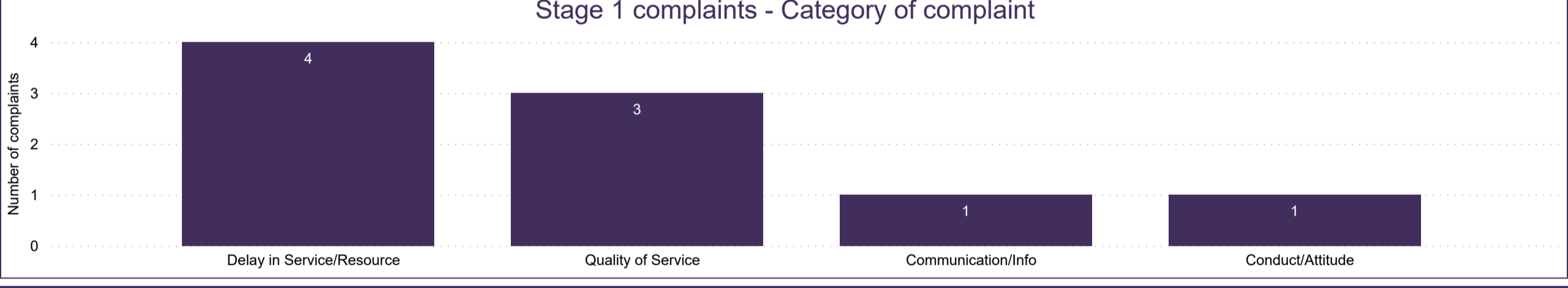
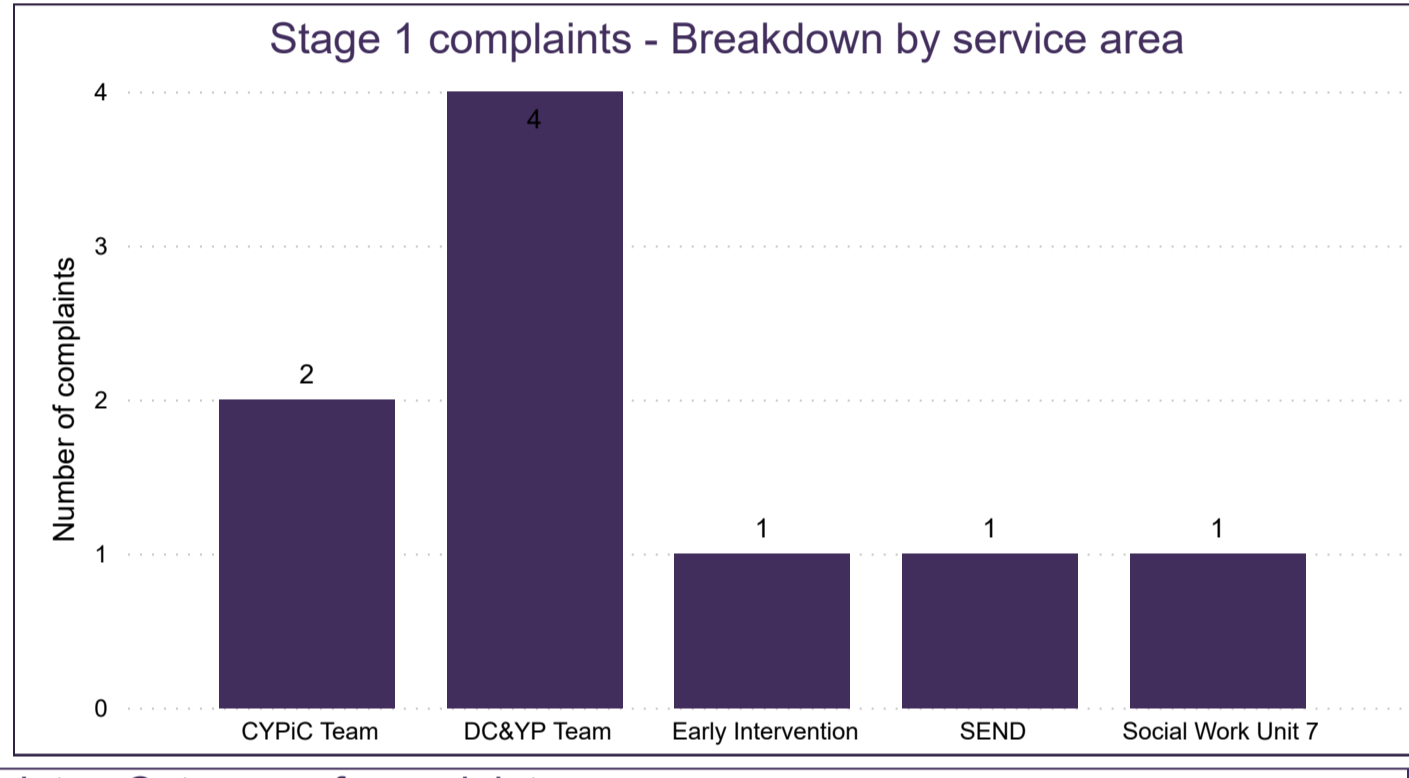
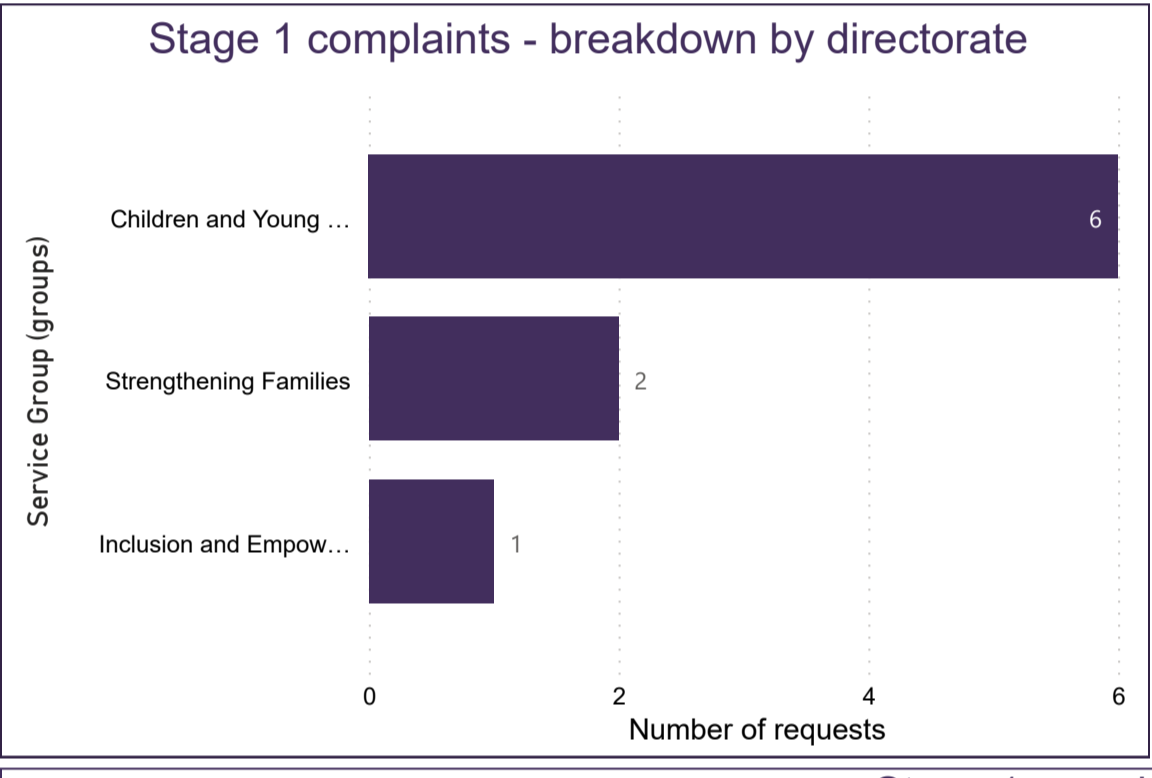
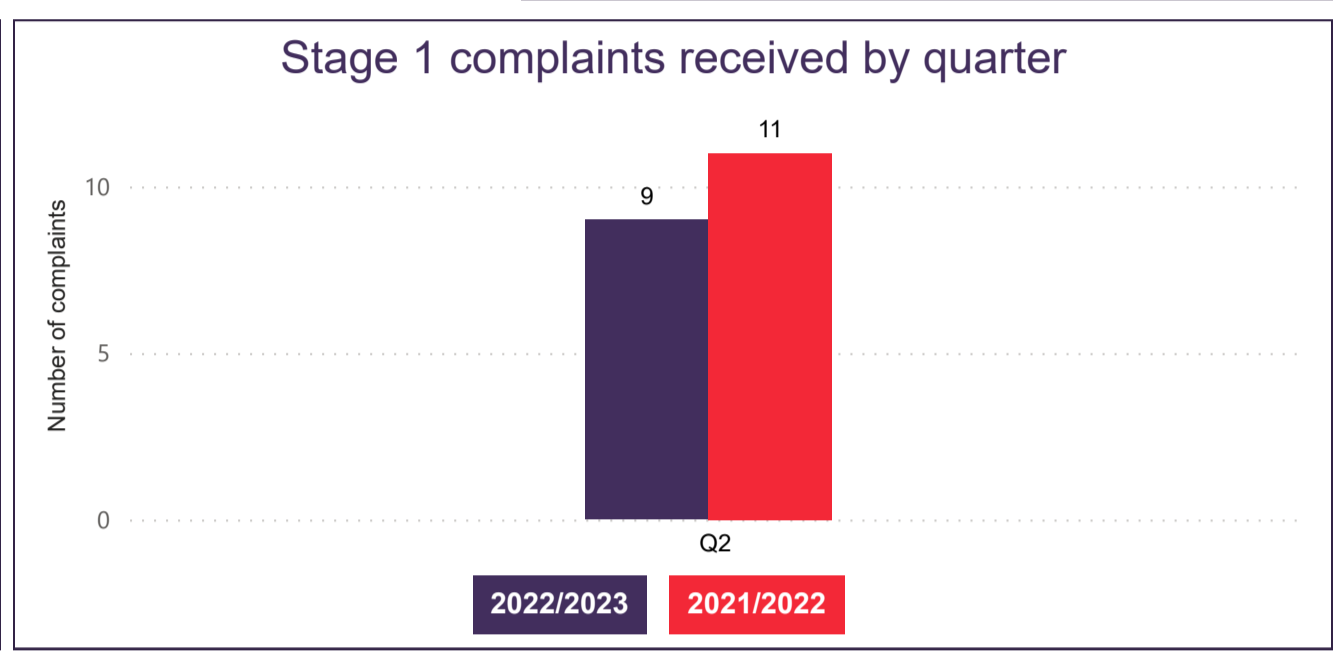
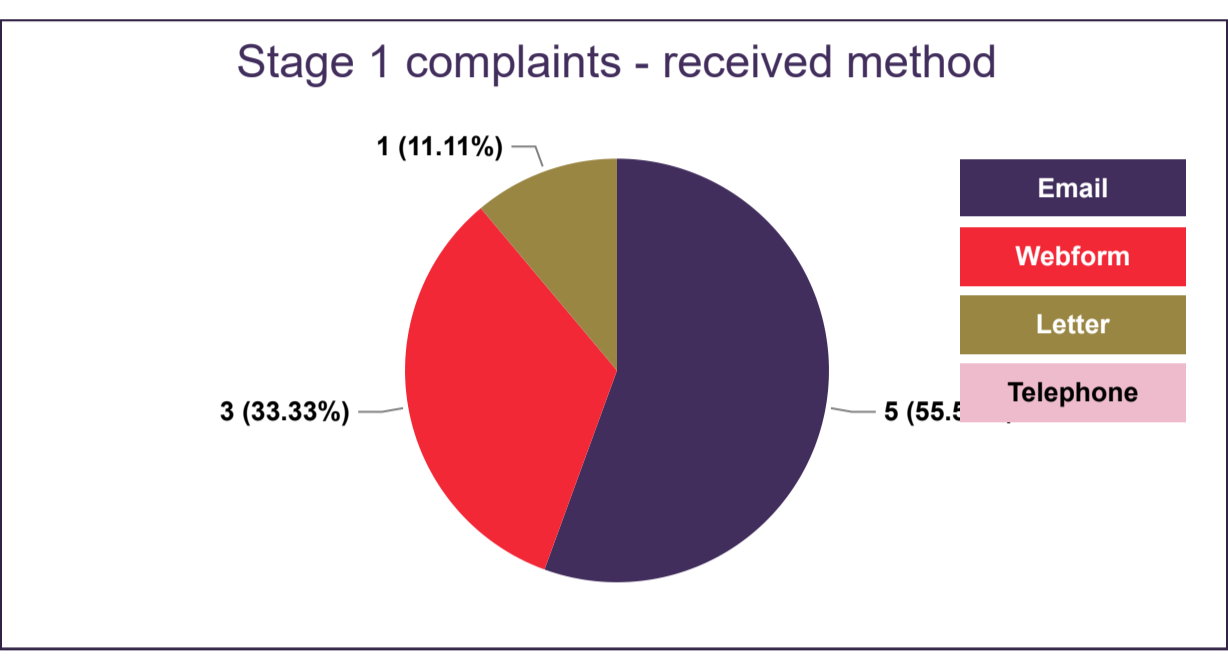
9

2021/2022

11

Difference: -2

In comparison to 2021/2022 a decrease has been seen in the number of stage 1 complaints received



Stage 2 Complaints

1

Stage 2 complaints received

0

Stage 2 complaints not upheld (council is not at fault)

1

Stage 2 complaints part upheld (council is partly at fault)

0

Stage 2 complaints upheld (council is at fault)

Corporate complaints procedure

0

Statutory complaints procedure

1

Comparison to previous year

2022/2023

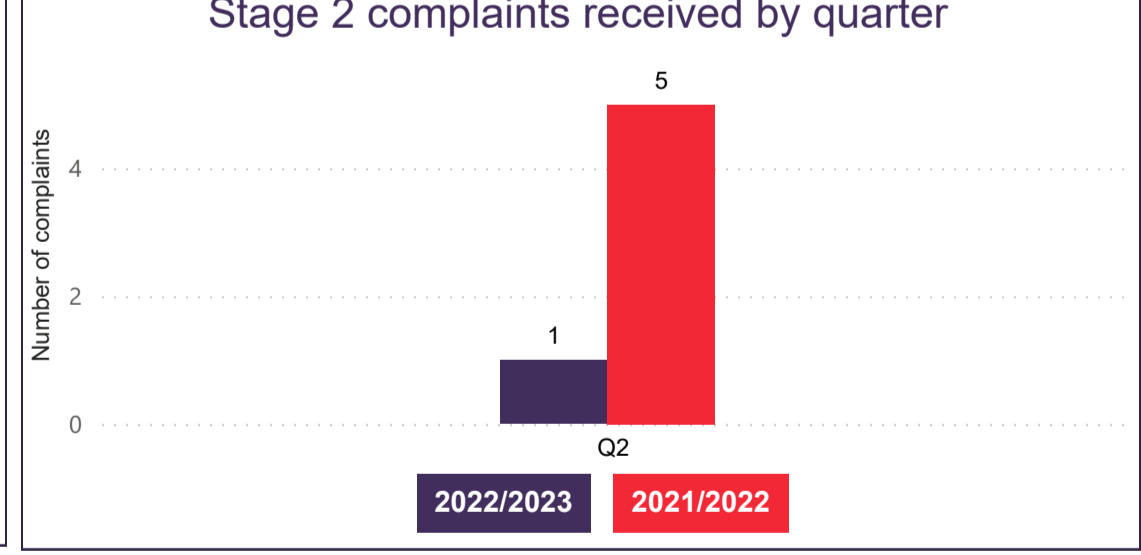
1

2021/2022

5

Difference: -4

In comparison to 2021/2022 a decrease has been seen in the number of stage 2 complaints received



Compliments, Informal Complaints and Stage 3 Complaints

Informal complaints received

17

Compliments received

19

Stage 3 complaints received

Corporate complaints procedure

0

Statutory complaints procedure

0

Comparison to previous year

2022/2023

0

2021/2022

0

Difference: 0

In comparison to 2021/2022 no change has been seen in the number of stage 3 complaints received.

Select a service:

Adults | Children's | Corporate | Public Health

Select a year:

2019/2020 | 2020/2021 | 2021/2022 | **2022/2023**

Select a quarter:

Q1 | Q2 | Q3 | Q4

Stage 1 Complaints

7 Stage 1 complaints received	2 Stage 1 complaints not upheld (council is not at fault)	0 Stage 1 complaints part upheld (council is partly at fault)	5 Stage 1 complaints upheld (council is at fault)
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Corporate complaints procedure

1 Complaints received | 54 Average response days (calendar days)

Statutory complaints procedure

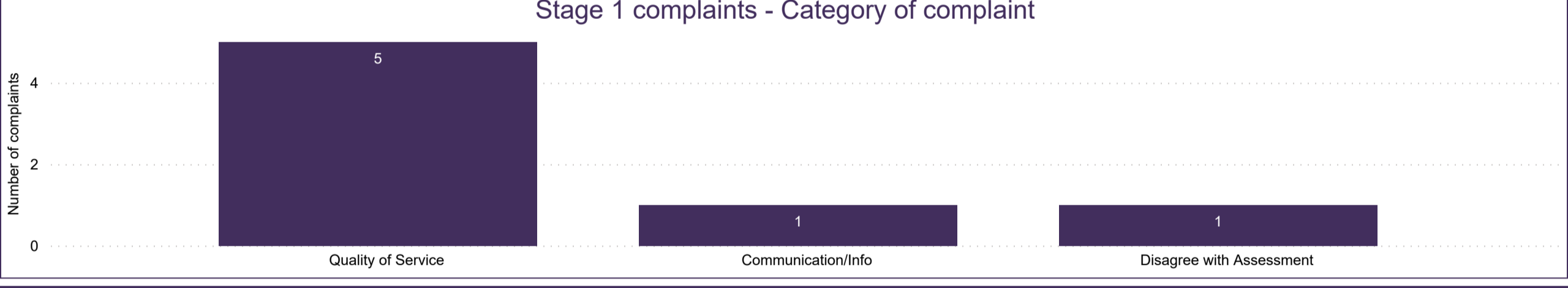
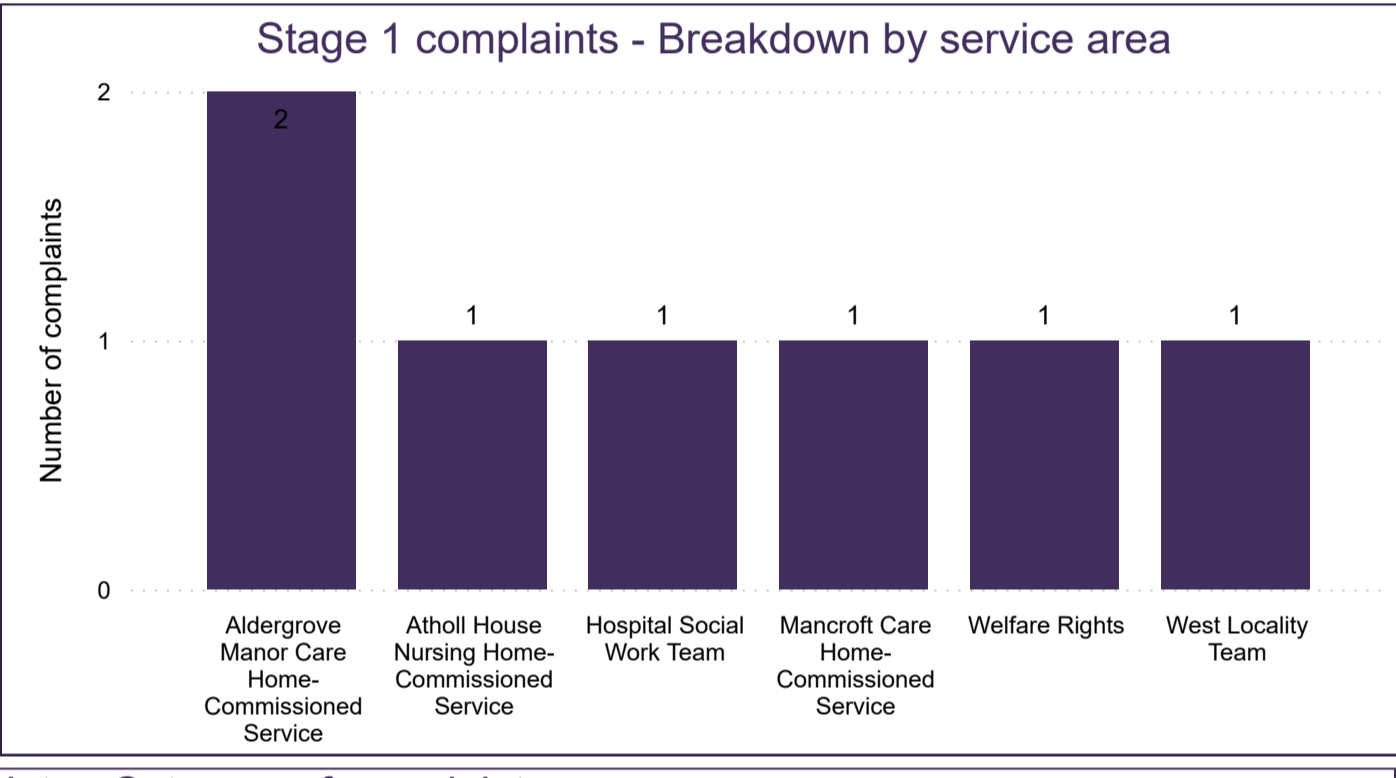
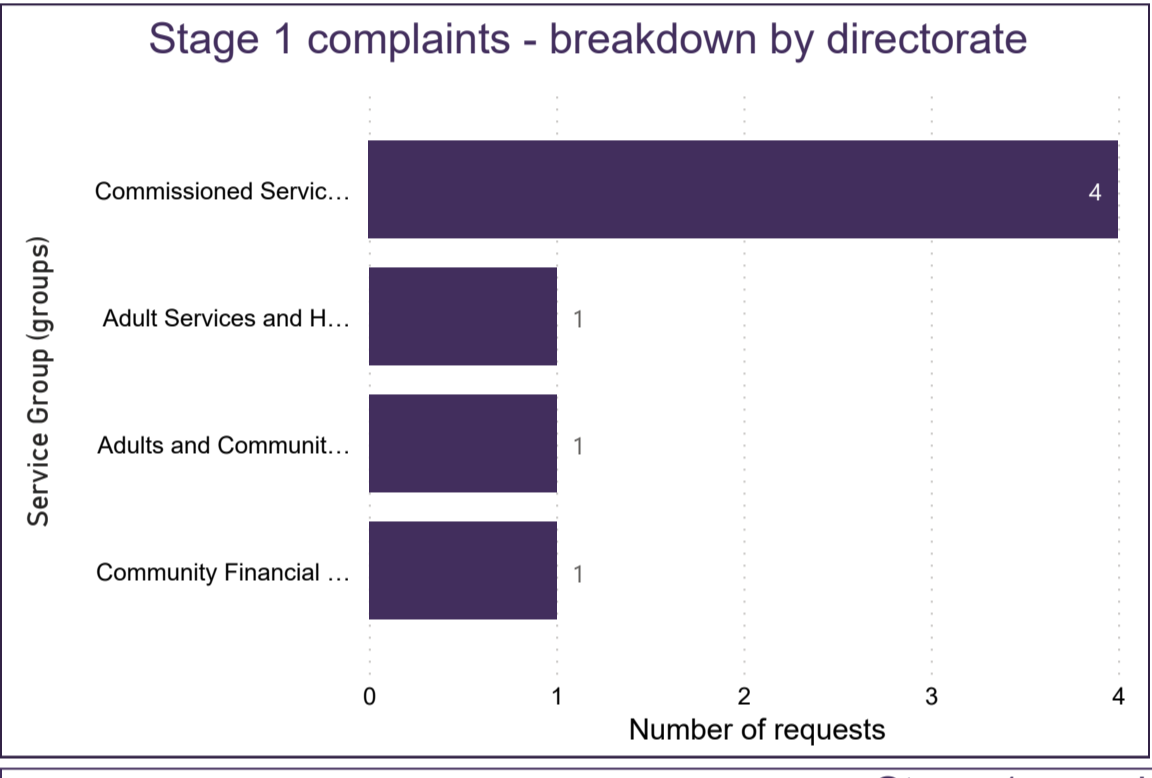
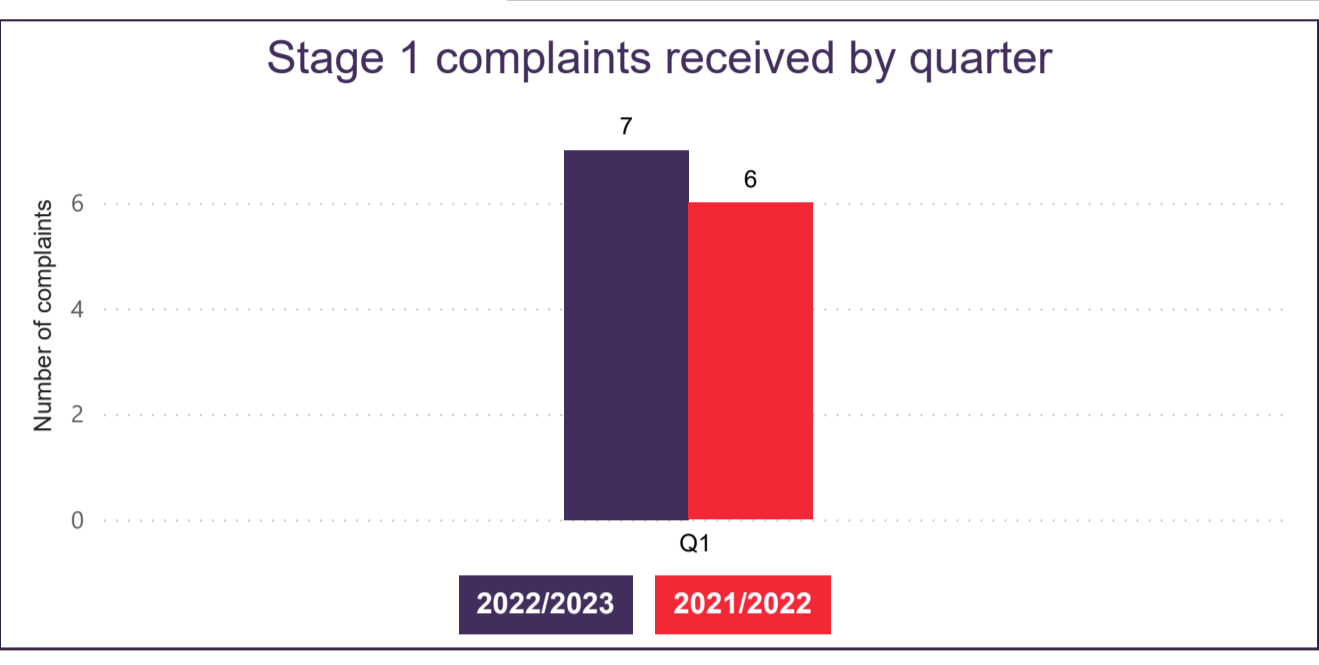
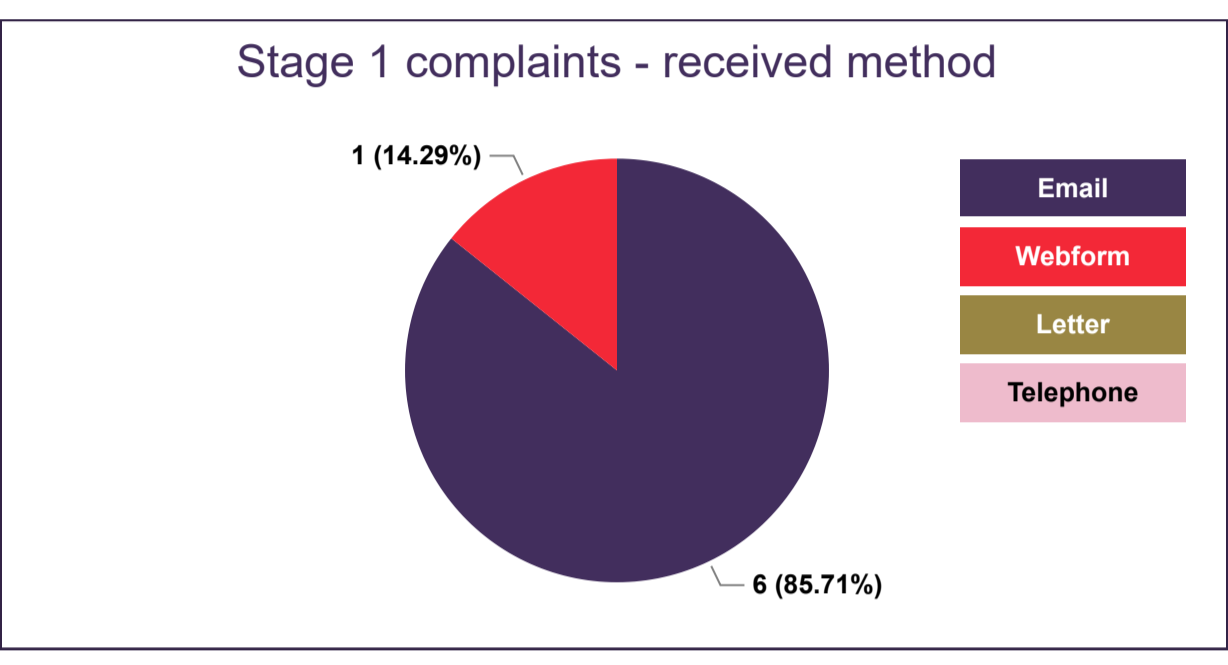
6 Complaints received | 17 Average response days (working days)

Comparison to previous year

2022/2023	7
2021/2022	6

Difference: 1

In comparison to 2021/2022 an increase has been seen in the number of stage 1 complaints received



Stage 2 Complaints

0 Stage 2 complaints received	0 Stage 2 complaints not upheld (council is not at fault)	0 Stage 2 complaints part upheld (council is partly at fault)	0 Stage 2 complaints upheld (council is at fault)
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Corporate complaints procedure

0 Complaints received

Statutory complaints procedure

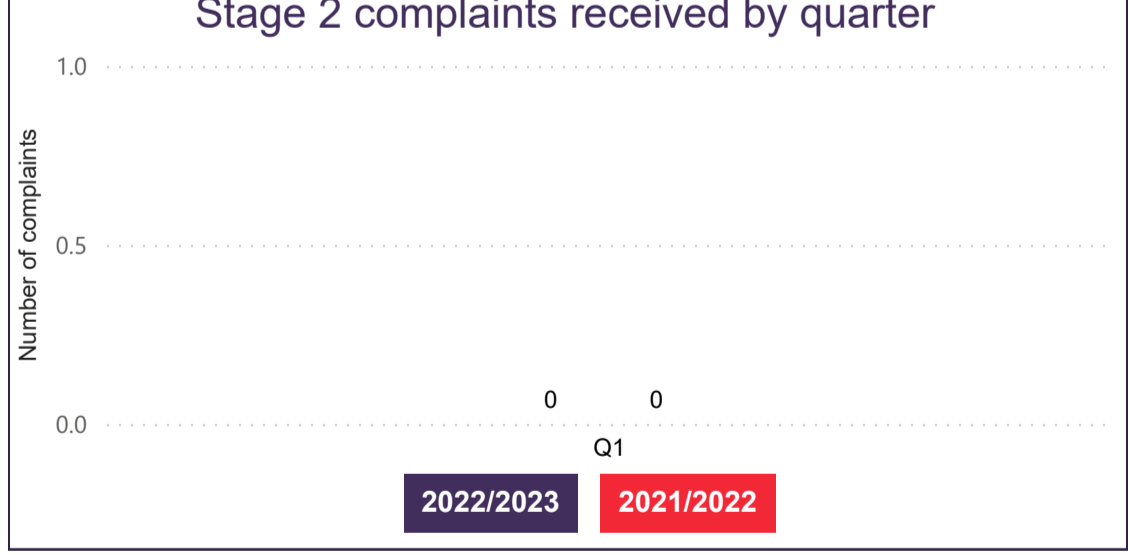
0 Complaints received

Comparison to previous year

2022/2023	0
2021/2022	0

Difference: 0

In comparison to 2021/2022 no change has been seen in the number of stage 2 complaints received



Compliments and Informal Complaints

Informal complaints received

16

Compliments received

120

Select a service:

Adults | Children's | Corporate | Public Health

Select a year:

2019/2020 | 2020/2021 | 2021/2022 | **2022/2023**

Select a quarter:

Q1 | **Q2** | Q3 | Q4

Stage 1 Complaints

4 Stage 1 complaints received	1 Stage 1 complaints not upheld (council is not at fault)	3 Stage 1 complaints part upheld (council is partly at fault)	0 Stage 1 complaints upheld (council is at fault)
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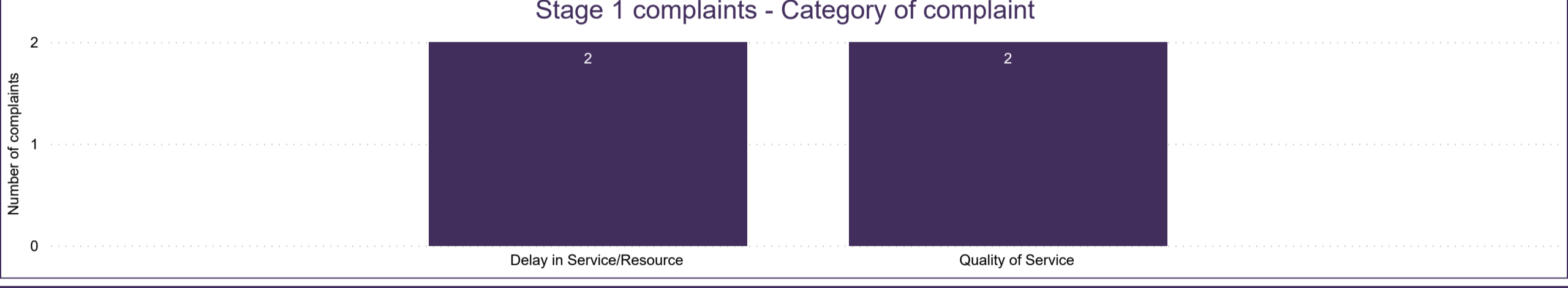
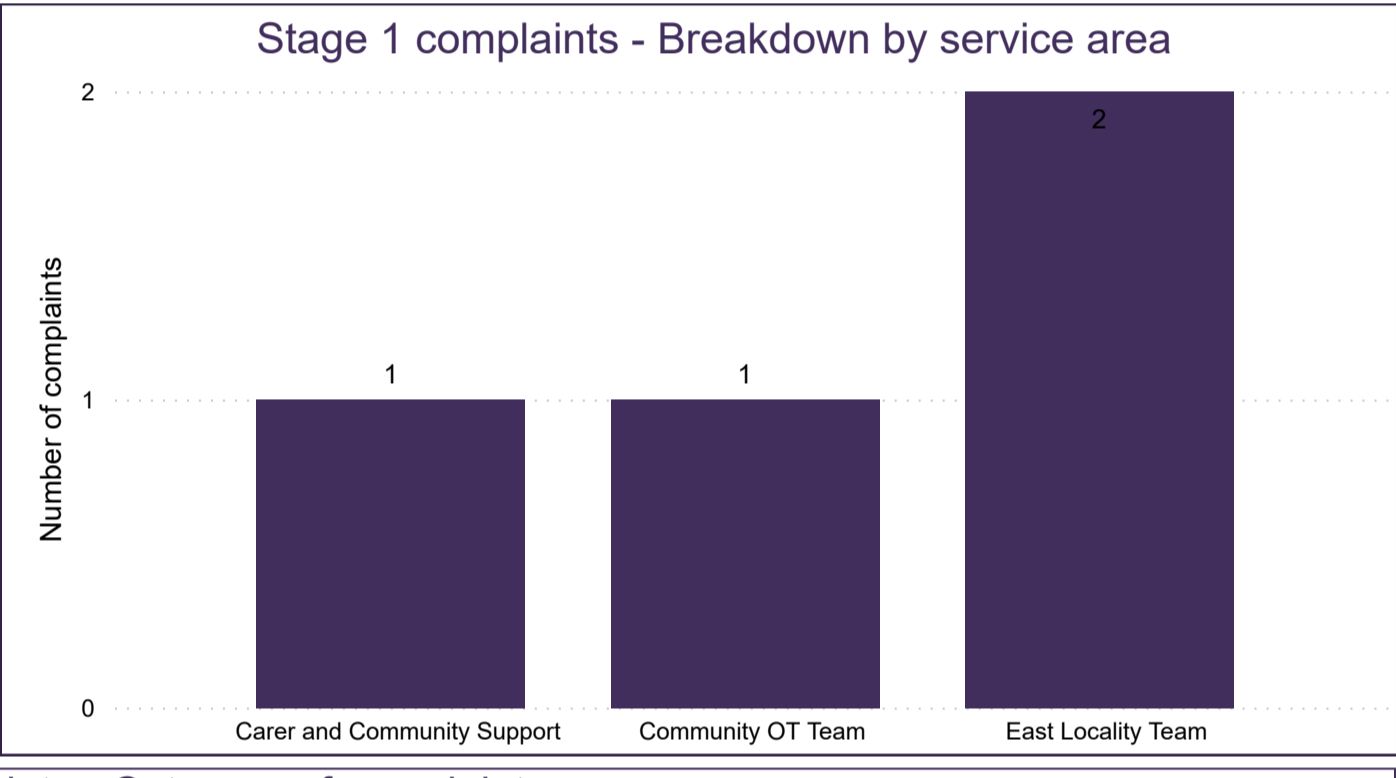
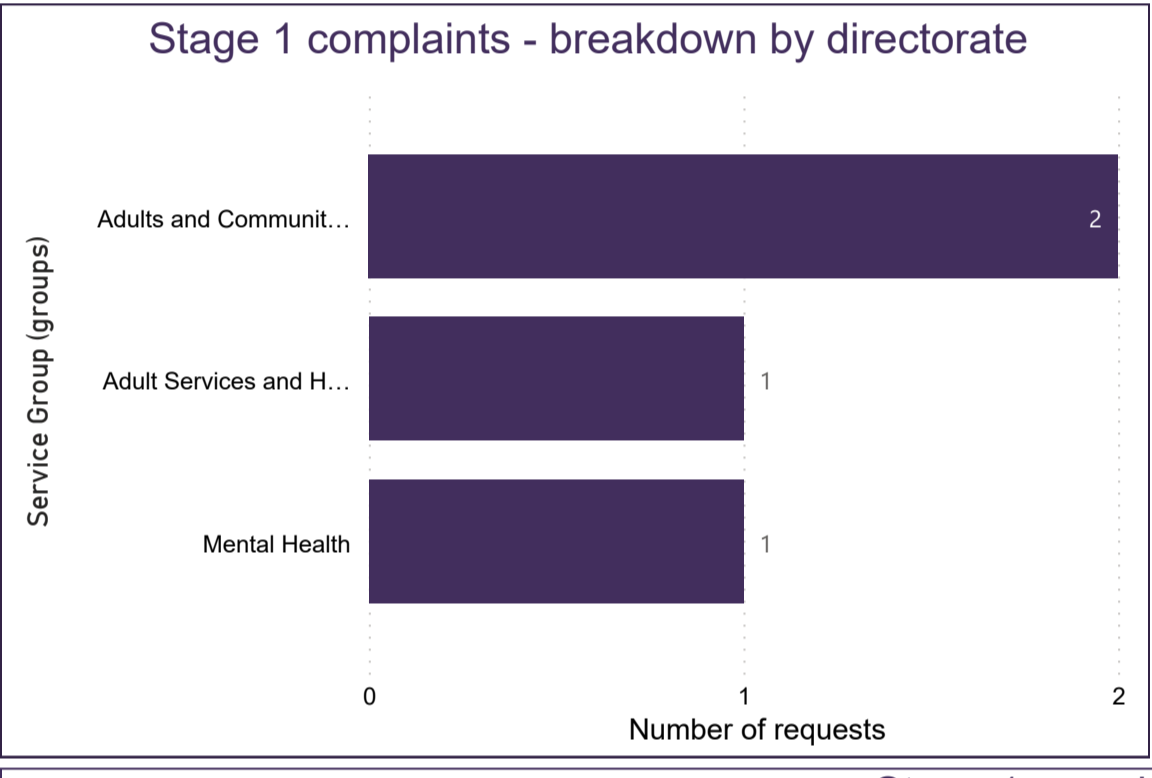
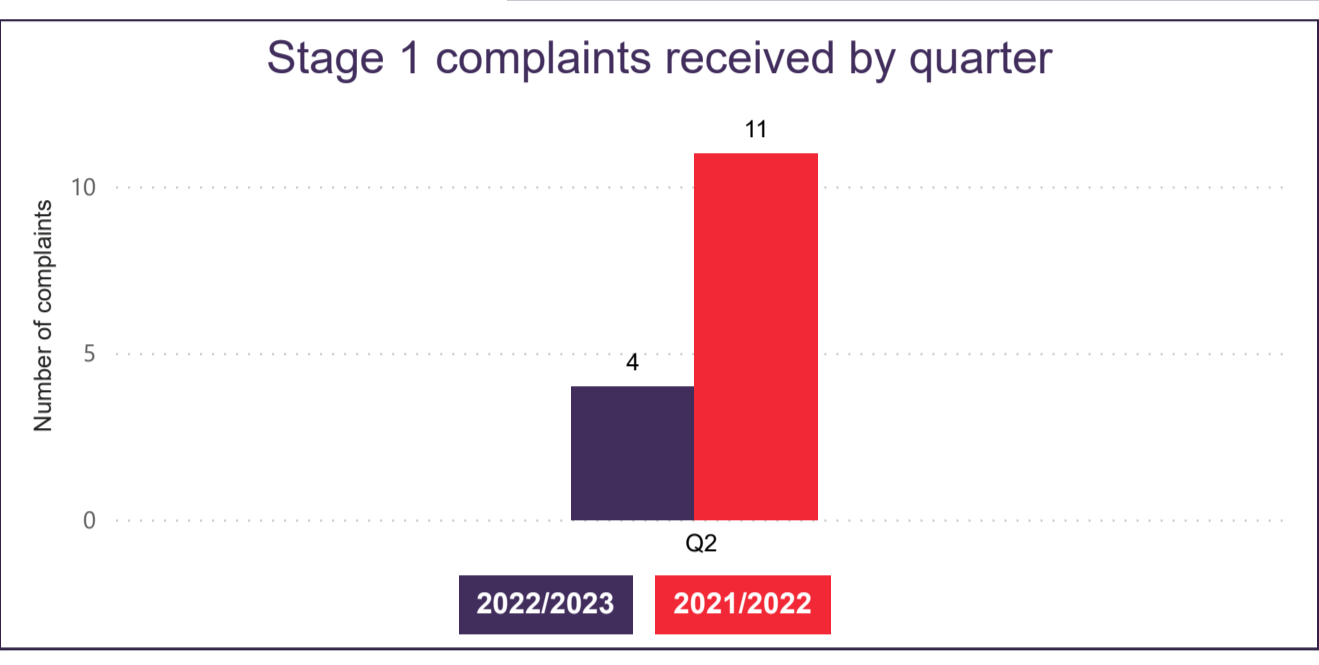
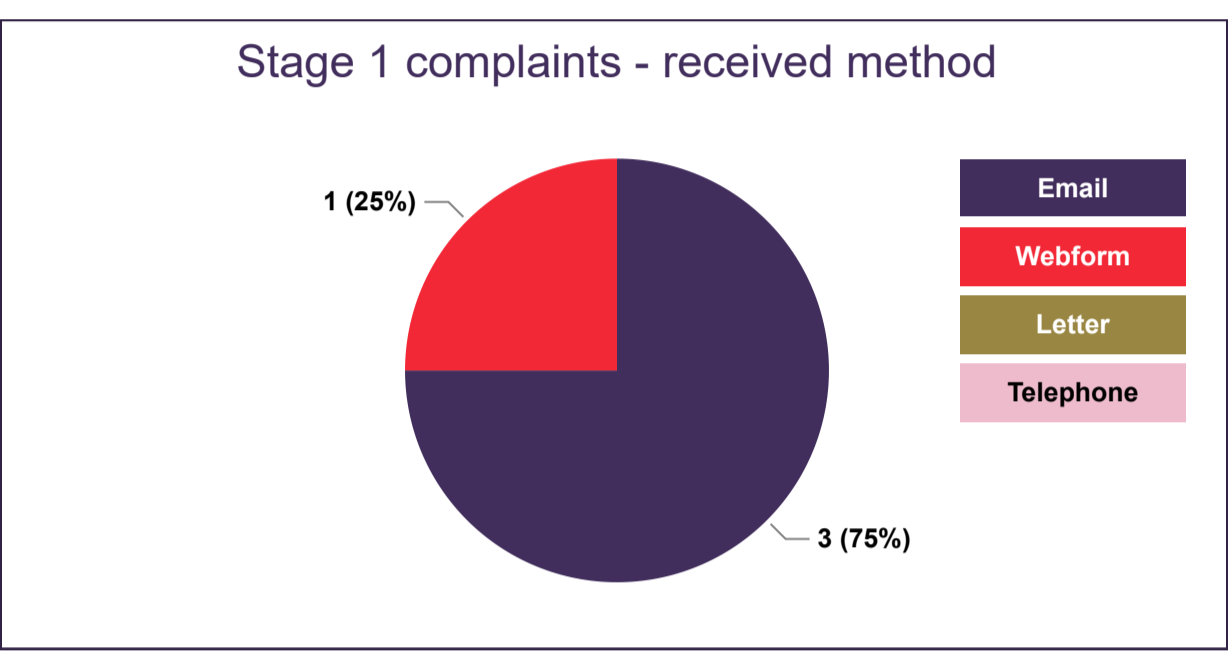
Corporate complaints procedure	
1 Complaints received	82 Average response days (calendar days)
Statutory complaints procedure	
3 Complaints received	26 Average response days (working days)

Comparison to previous year

2022/2023	4
2021/2022	11

Difference: **-7**

In comparison to 2021/2022 a decrease has been seen in the number of stage 1 complaints received



Stage 2 Complaints

0 Stage 2 complaints received	0 Stage 2 complaints not upheld (council is not at fault)	0 Stage 2 complaints part upheld (council is partly at fault)	0 Stage 2 complaints upheld (council is at fault)
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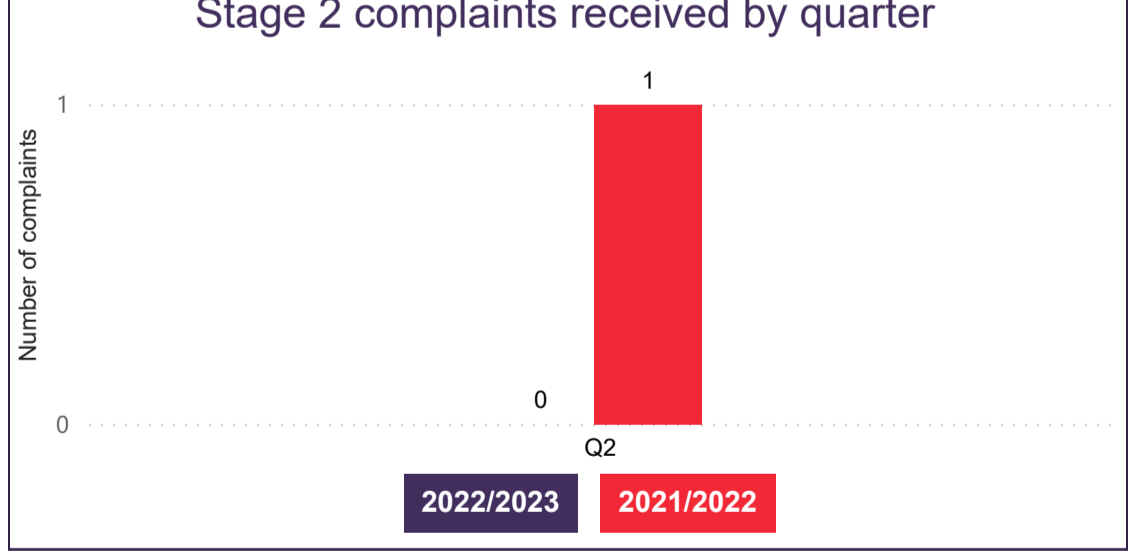
Corporate complaints procedure	0
Statutory complaints procedure	0

Comparison to previous year

2022/2023	0
2021/2022	1

Difference: **-1**

In comparison to 2021/2022 a decrease has been seen in the number of stage 2 complaints received



Compliments and Informal Complaints

Informal complaints received

17

Compliments received

133

Select a service:

Adults | Children's | Corporate | **Public Health**

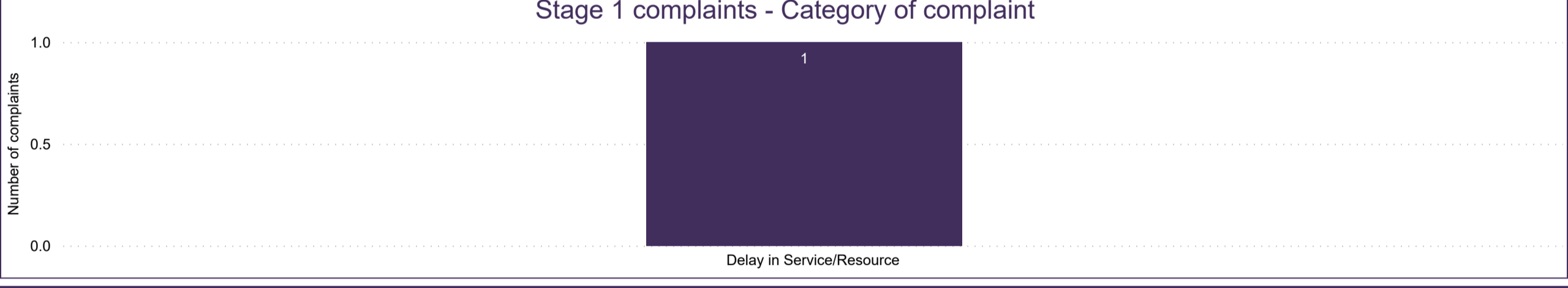
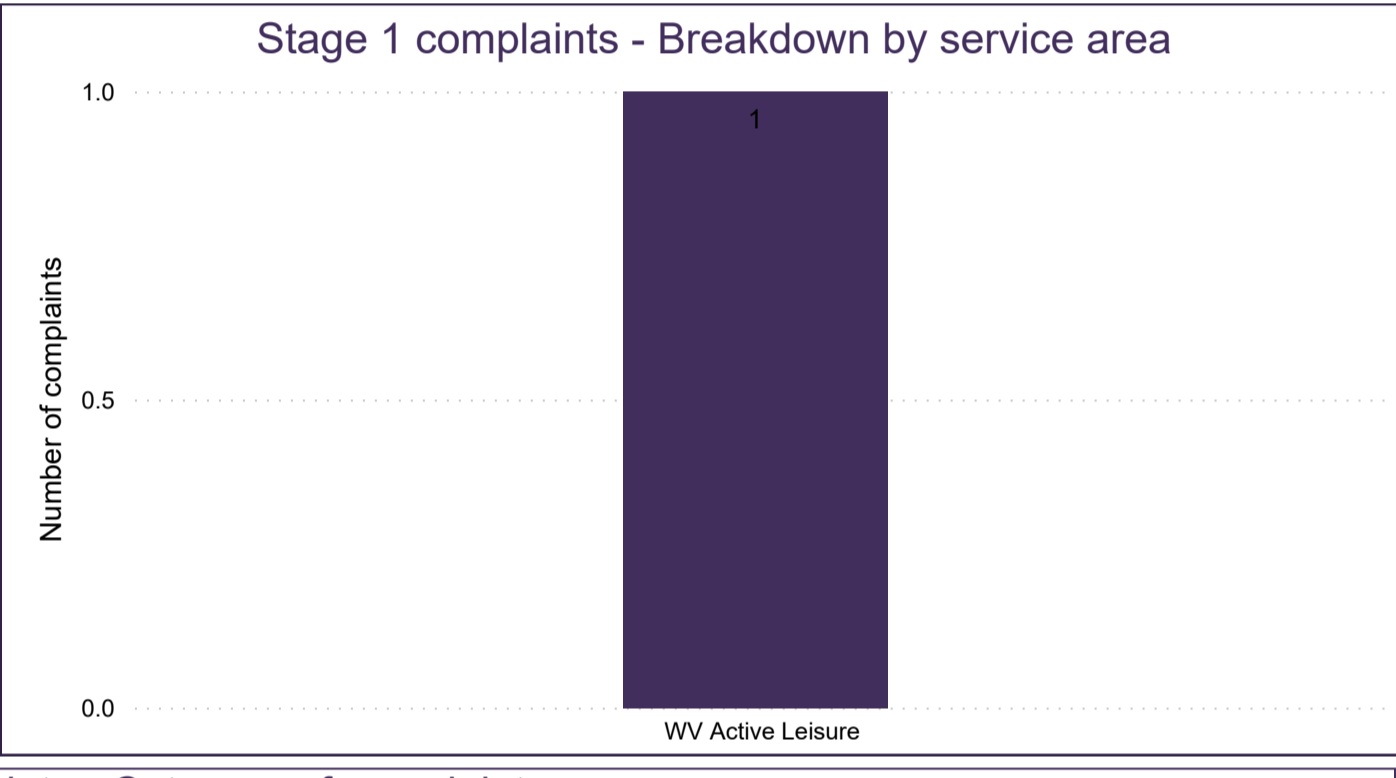
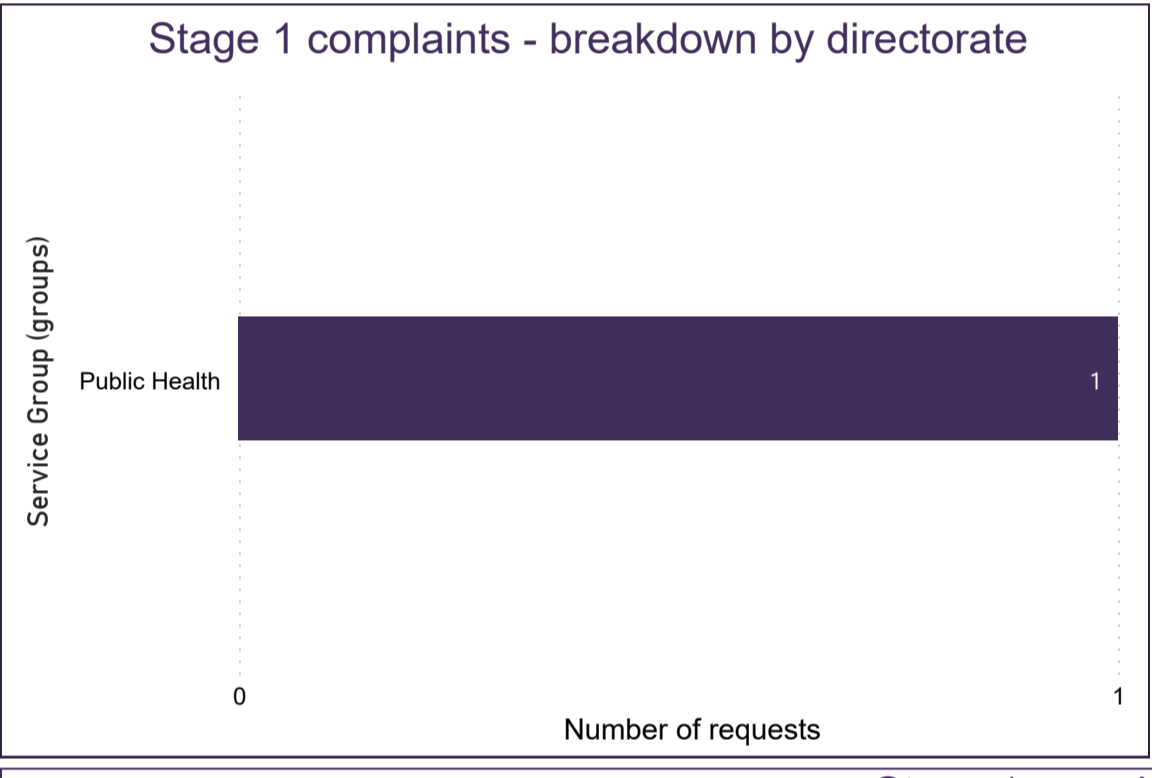
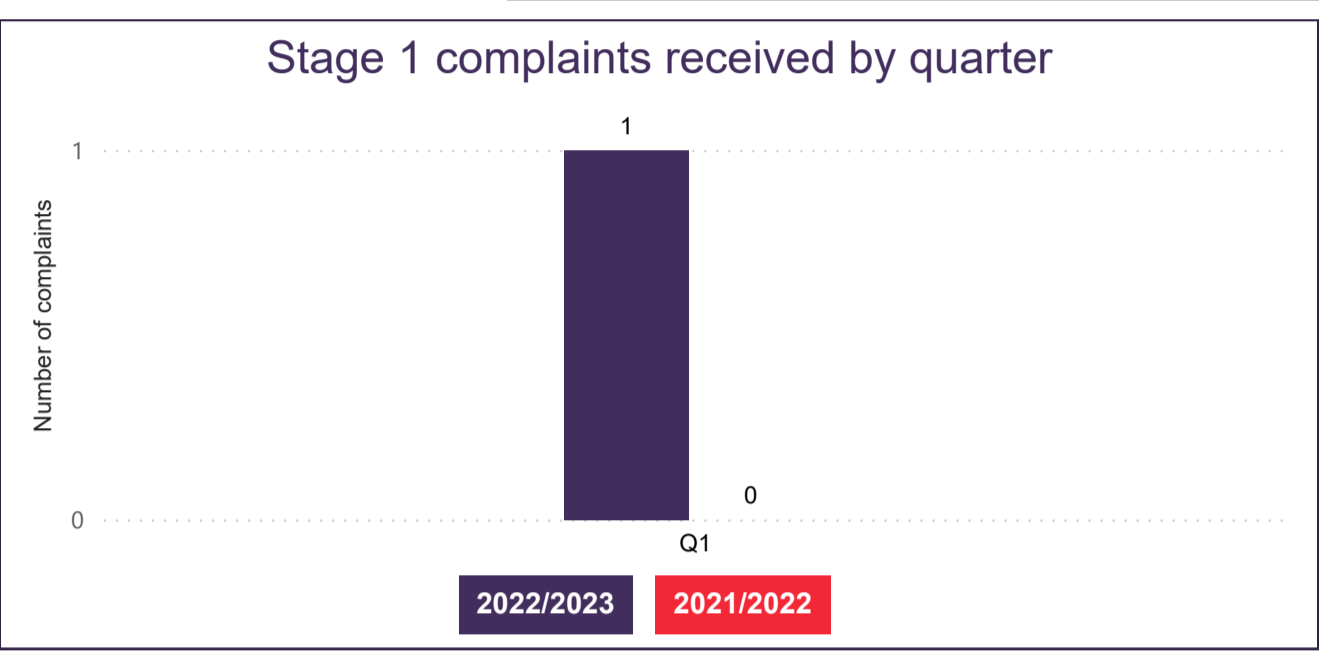
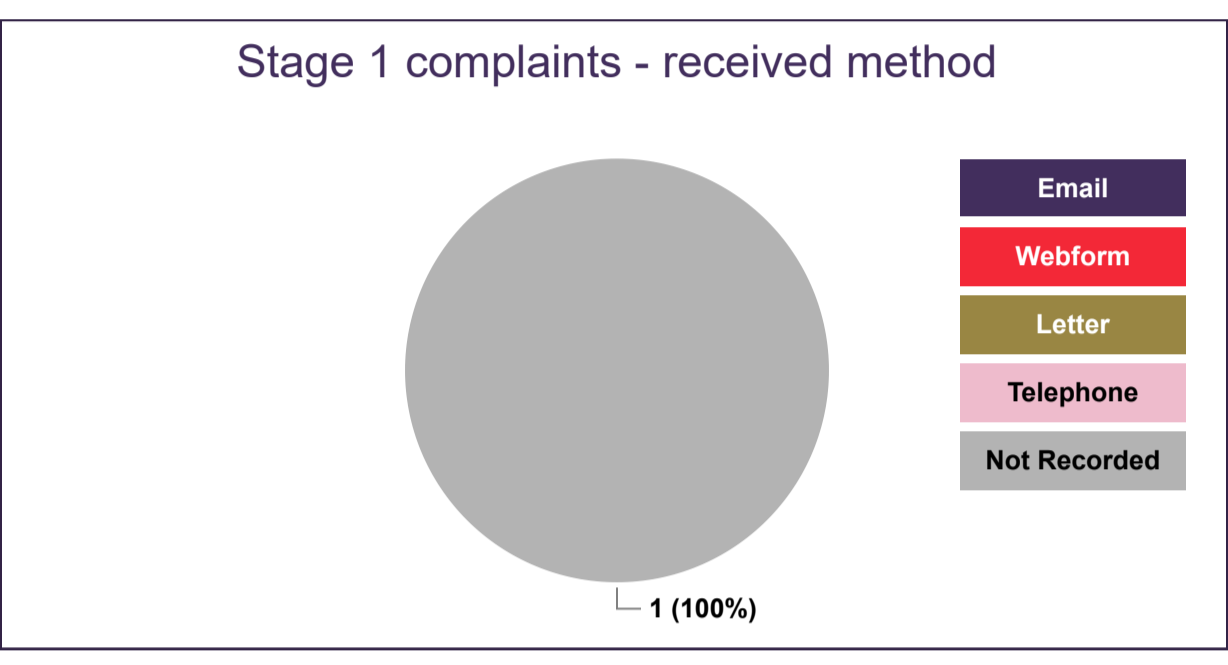
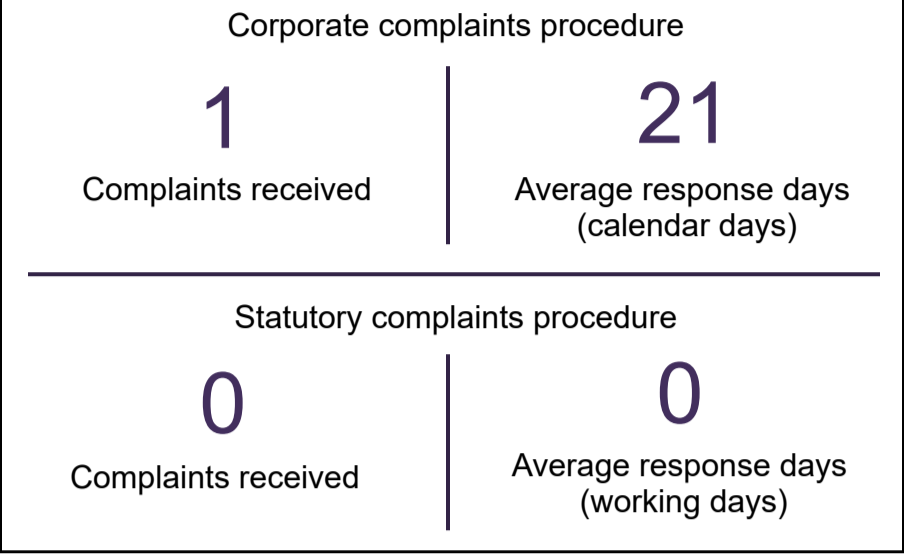
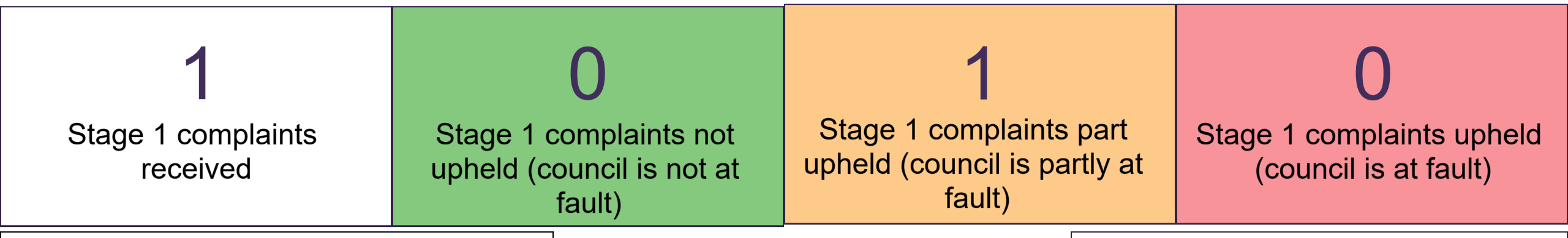
Select a year:

2019/2020 | 2020/2021 | 2021/2022 | **2022/2023**

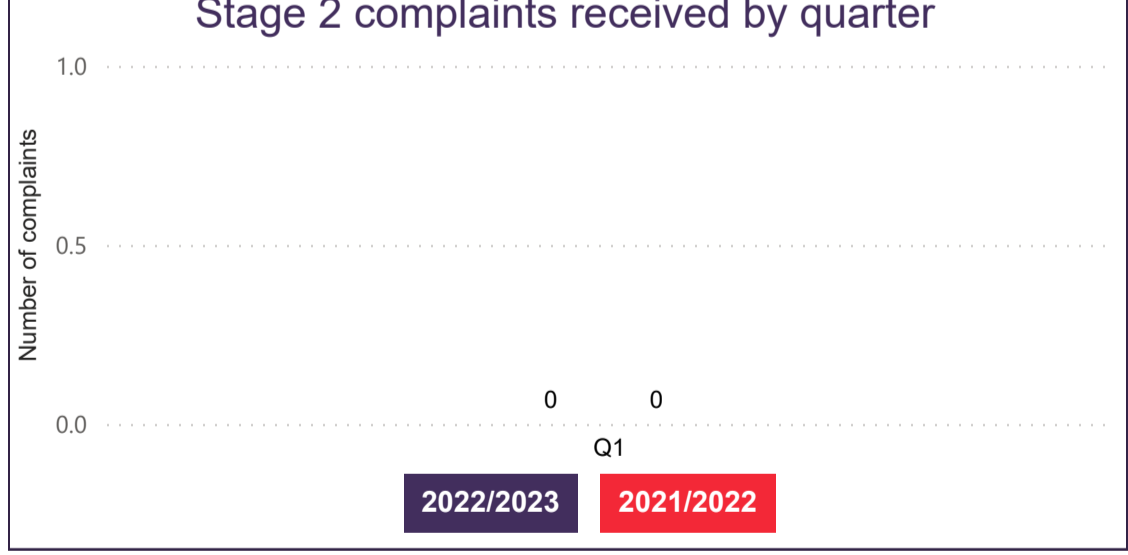
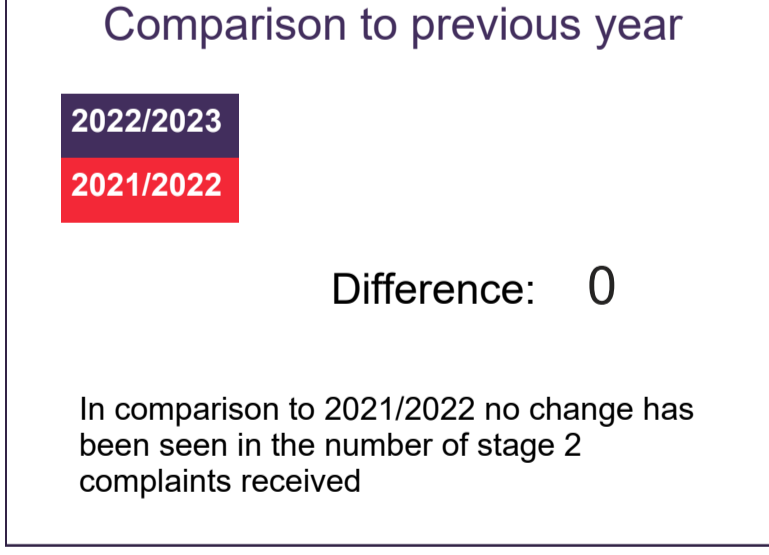
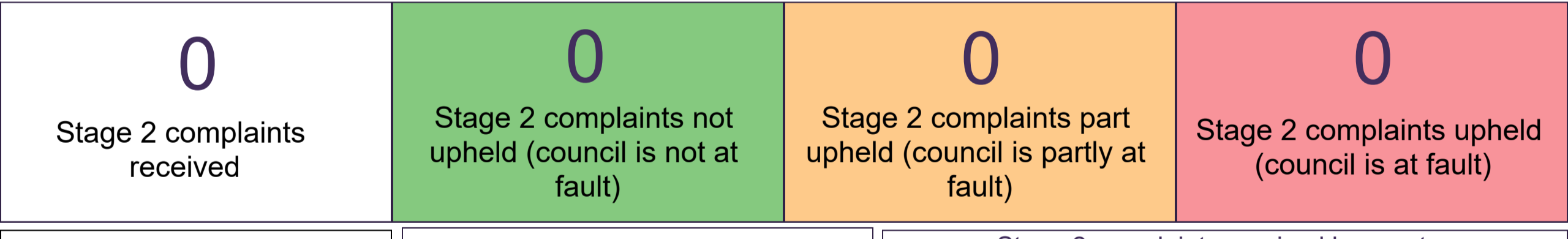
Select a quarter:

Q1 | Q2 | Q3 | Q4

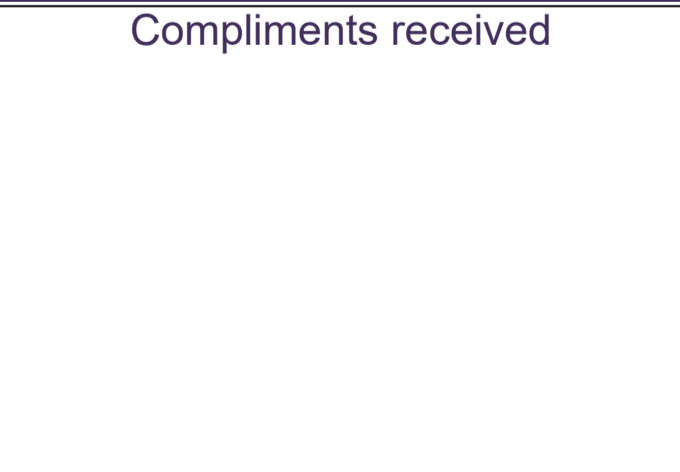
Stage 1 Complaints



Stage 2 Complaints



Compliments and Informal Complaints



Select a service:

- Adults
- Children's
- Corporate
- Public Health**

Select a year:

- 2019/2020
- 2020/2021
- 2021/2022
- 2022/2023**

Select a quarter:

- Q1
- Q2**
- Q3
- Q4

Stage 1 Complaints

<h1>0</h1> <p>Stage 1 complaints received</p>	<h1>0</h1> <p>Stage 1 complaints not upheld (council is not at fault)</p>	<h1>0</h1> <p>Stage 1 complaints part upheld (council is partly at fault)</p>	<h1>0</h1> <p>Stage 1 complaints upheld (council is at fault)</p>
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Corporate complaints procedure	
<h1>0</h1> <p>Complaints received</p>	<h1>0</h1> <p>Average response days (calendar days)</p>
<hr/>	
Statutory complaints procedure	
<h1>0</h1> <p>Complaints received</p>	<h1>0</h1> <p>Average response days (working days)</p>

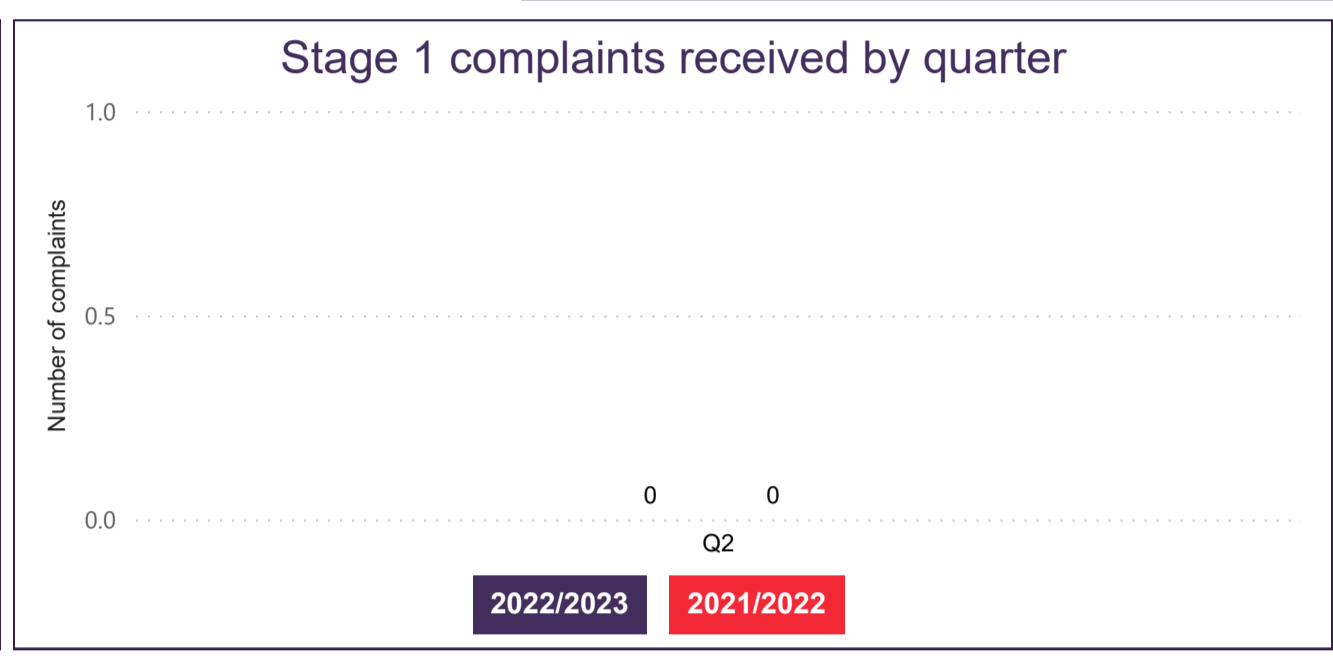
Comparison to previous year

2022/2023	2021/2022
Difference: 0	

In comparison to 2021/2022 no change has been seen in the number of stage 1 complaints received

Stage 1 complaints - received method

- Email
- Webform
- Letter
- Telephone



Stage 1 complaints - breakdown by directorate

Service Group (groups)

Number of requests

Stage 1 complaints - Breakdown by service area

Number of complaints

Stage 1 complaints - Category of complaint

Number of complaints

Stage 2 Complaints

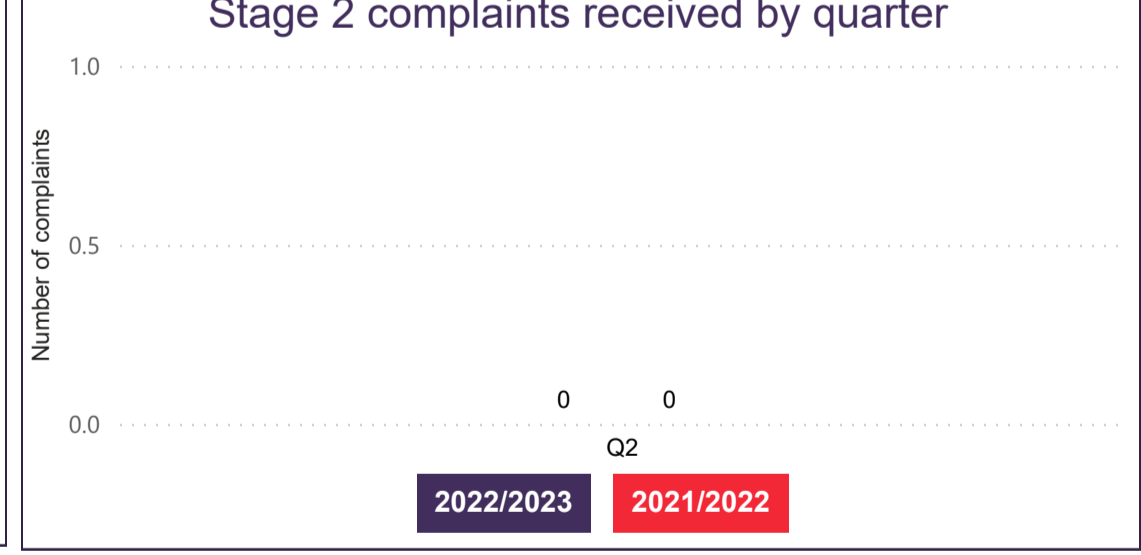
<h1>0</h1> <p>Stage 2 complaints received</p>	<h1>0</h1> <p>Stage 2 complaints not upheld (council is not at fault)</p>	<h1>0</h1> <p>Stage 2 complaints part upheld (council is partly at fault)</p>	<h1>0</h1> <p>Stage 2 complaints upheld (council is at fault)</p>
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<h1>0</h1> <p>Corporate complaints procedure</p>
<hr/>
<h1>0</h1> <p>Statutory complaints procedure</p>

Comparison to previous year

2022/2023	2021/2022
Difference: 0	

In comparison to 2021/2022 no change has been seen in the number of stage 2 complaints received



Compliments and Informal Complaints

Informal complaints received

1

Compliments received

Select a service:

Adults
Children's
Corporate
Public Health

Select a year:

2019/2020
2020/2021
2021/2022
2022/2023

Select a quarter:

Q1
Q2
Q3
Q4

Stage 1 Complaints

29

Stage 1 complaints received

20

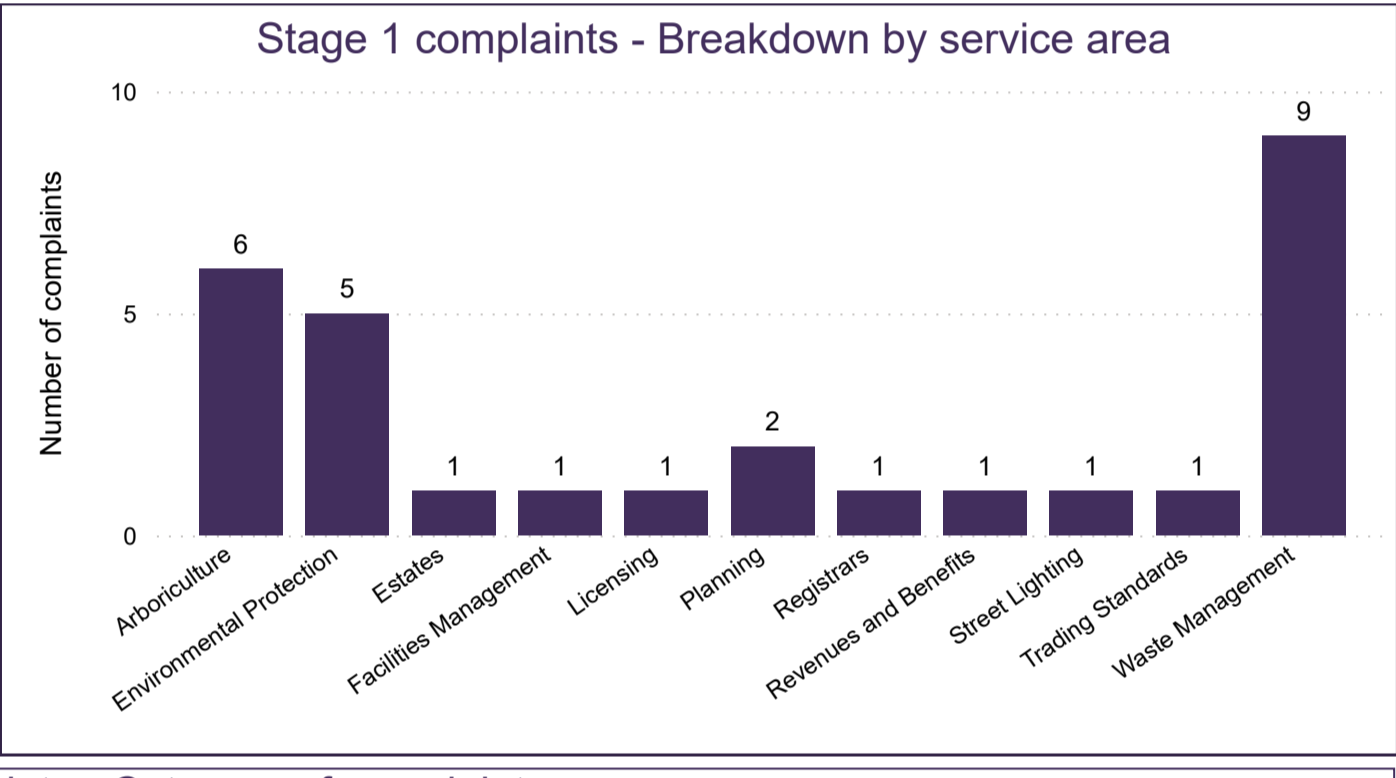
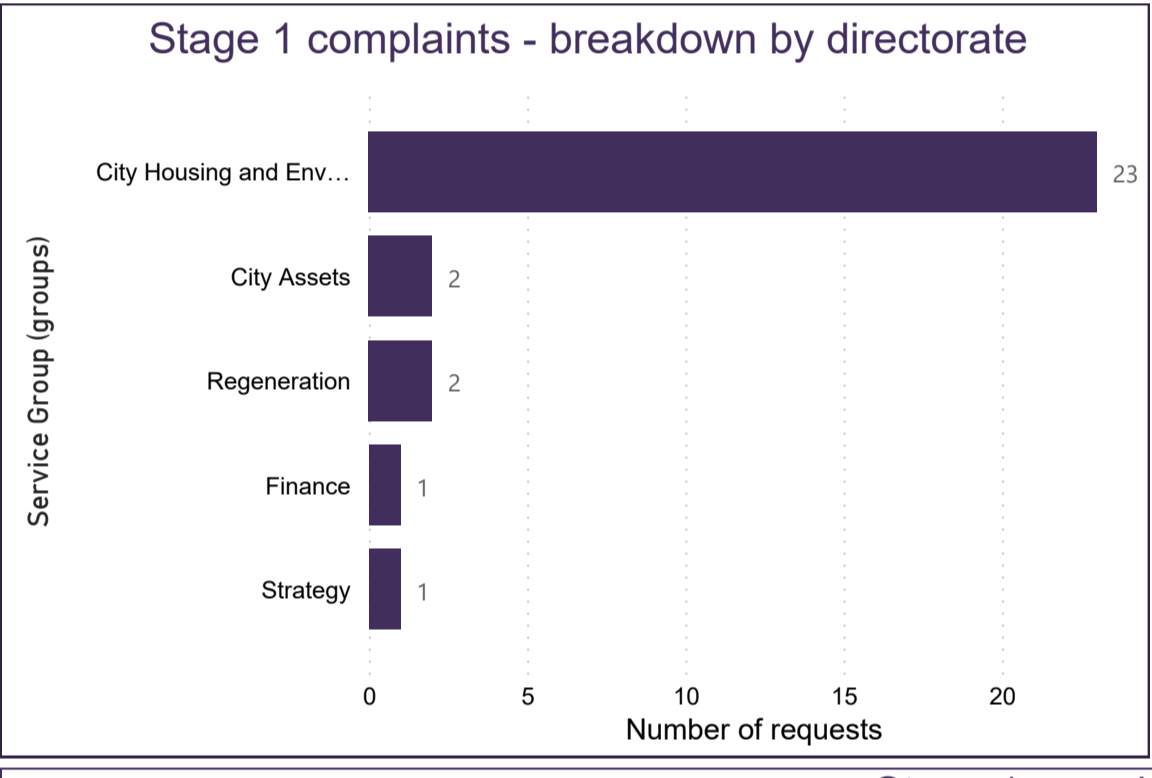
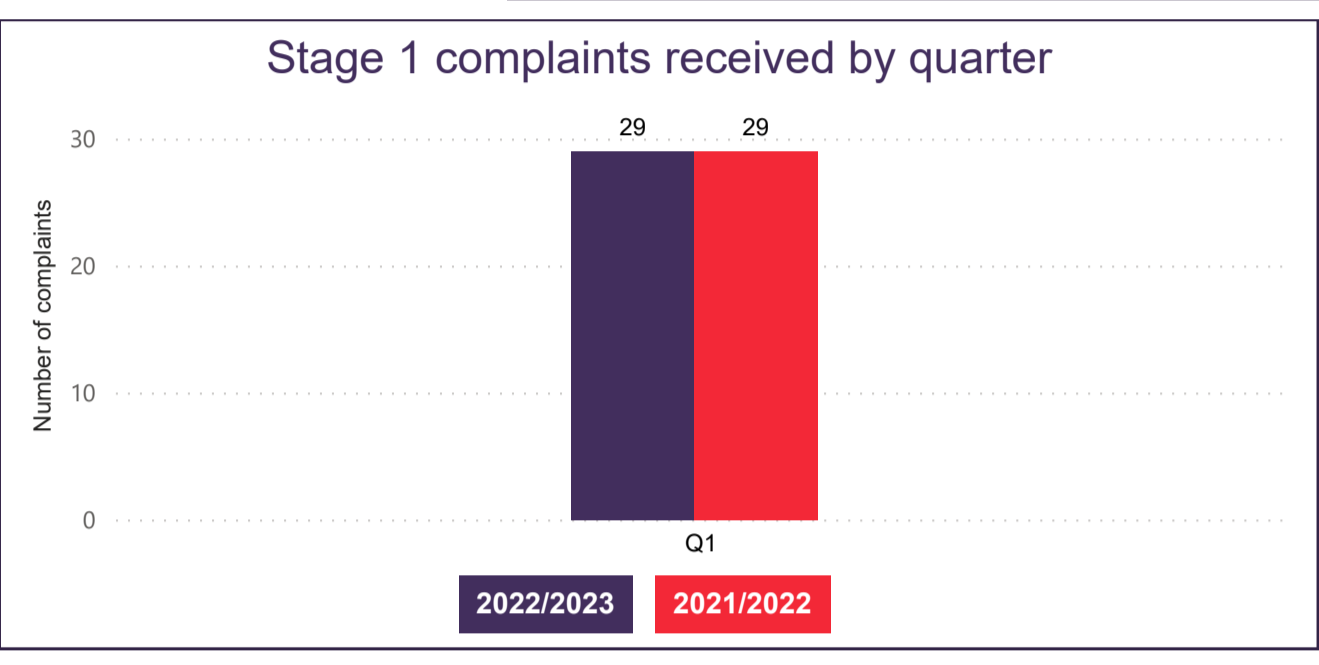
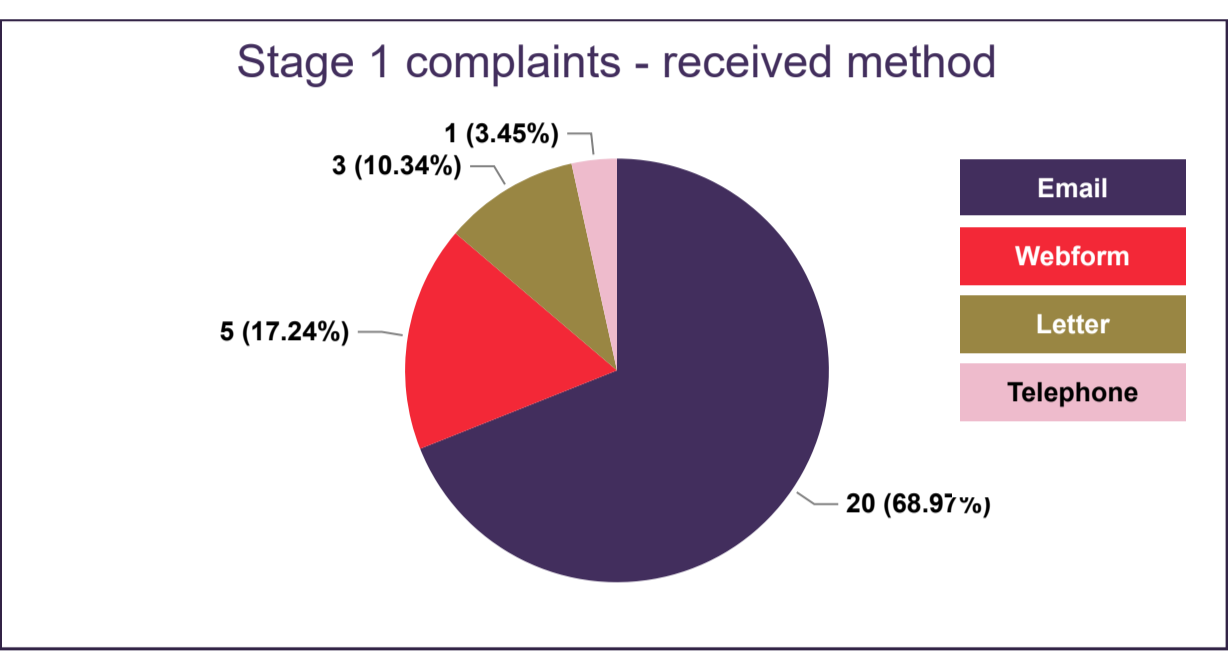
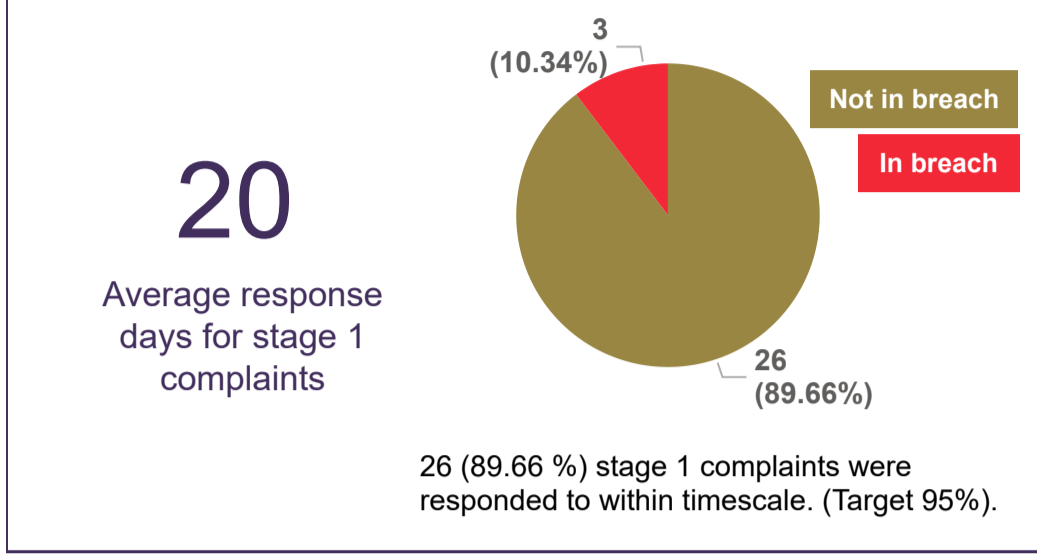
Stage 1 complaints not upheld (council is not at fault)

4

Stage 1 complaints part upheld (council is partly at fault)

5

Stage 1 complaints upheld (council is at fault)



Stage 2 Complaints

3

Stage 2 complaints received

2

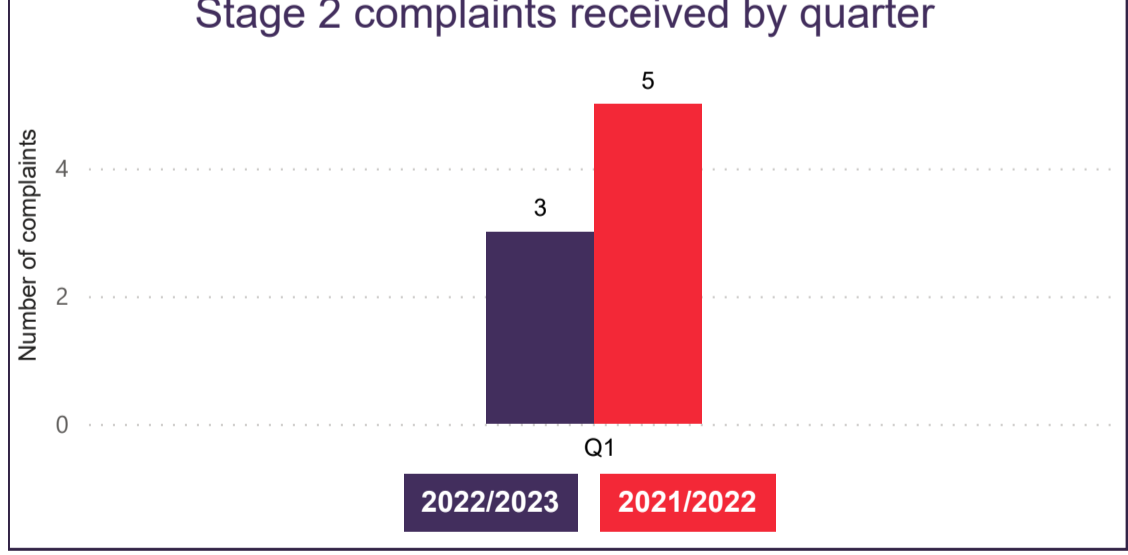
Stage 2 complaints not upheld (council is not at fault)

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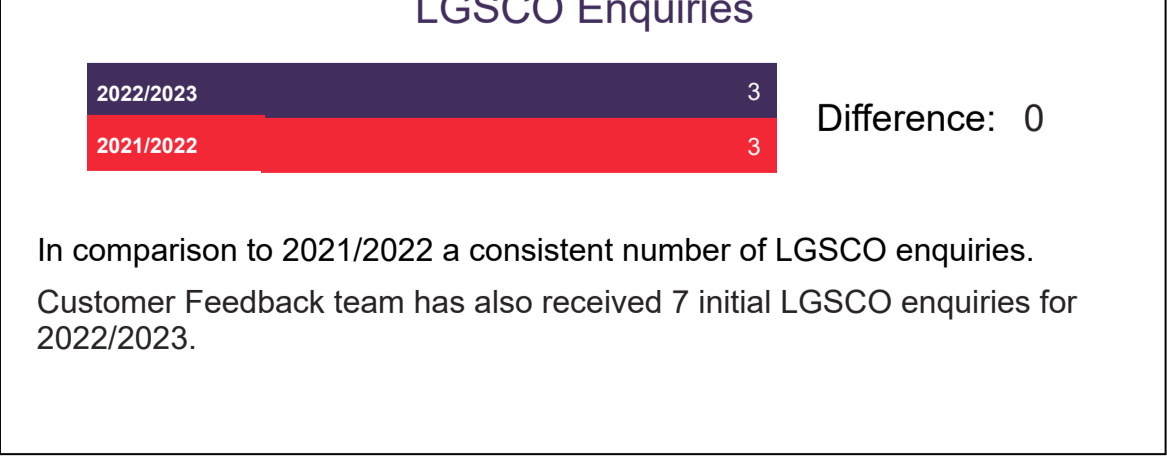
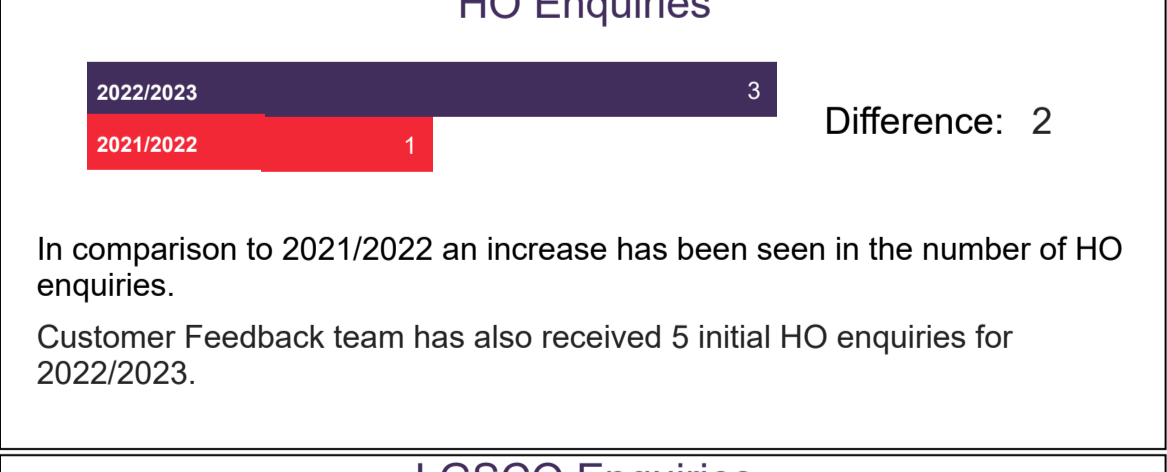
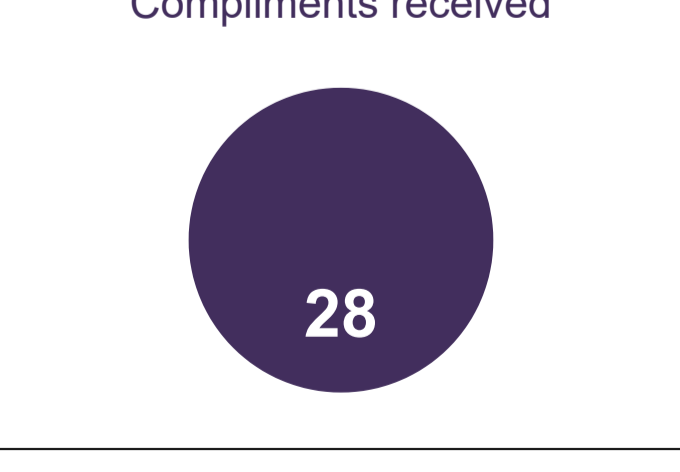
Stage 2 complaints part upheld (council is partly at fault)

0

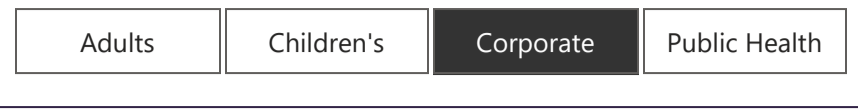
Stage 2 complaints upheld (council is at fault)



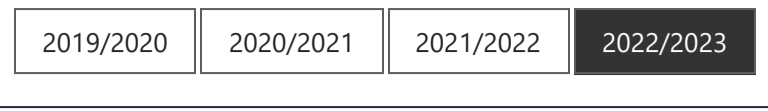
Compliments, Service Requests, HO and LGSCO Enquiries



Select a service:



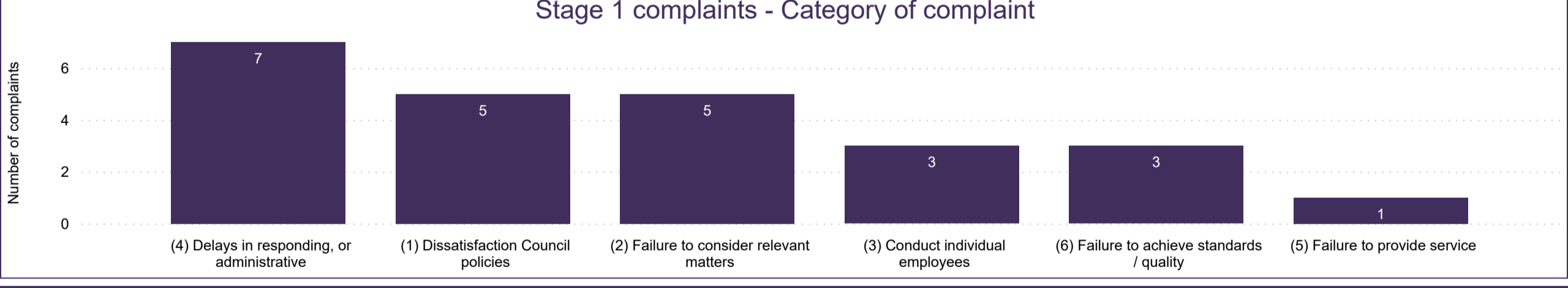
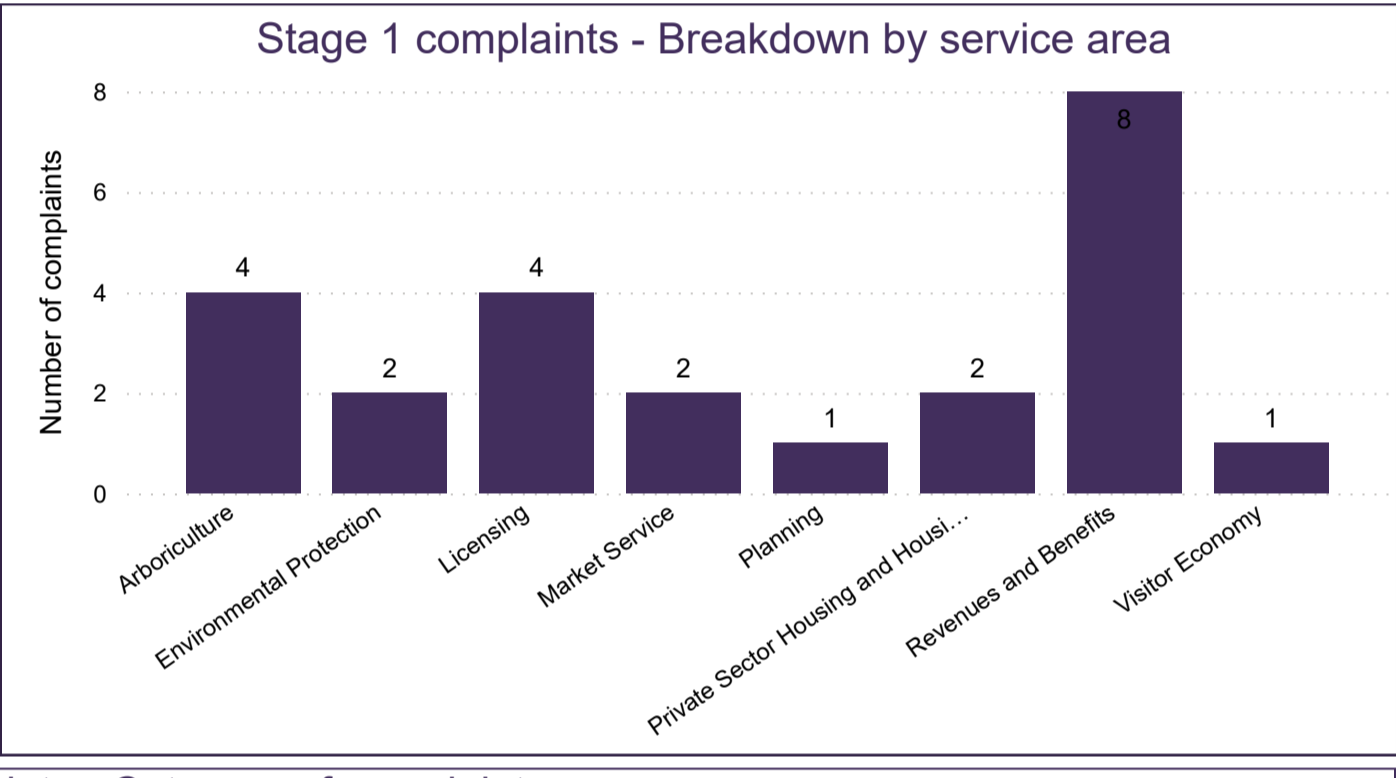
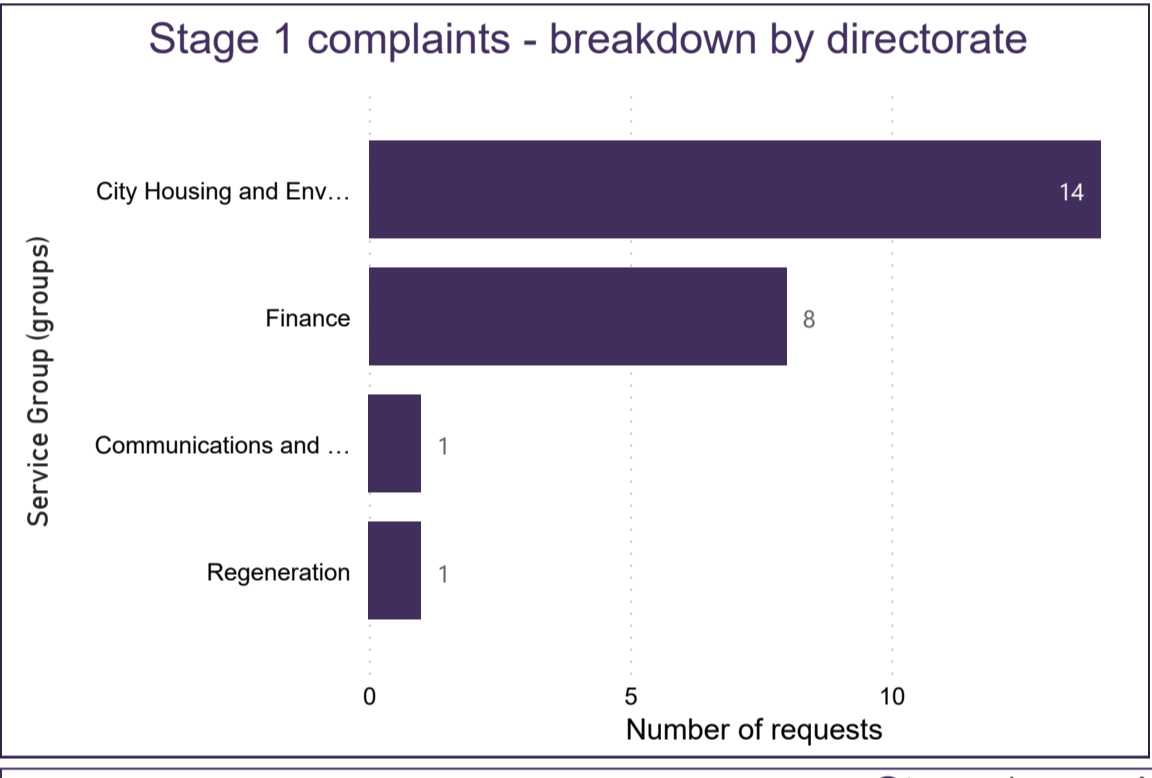
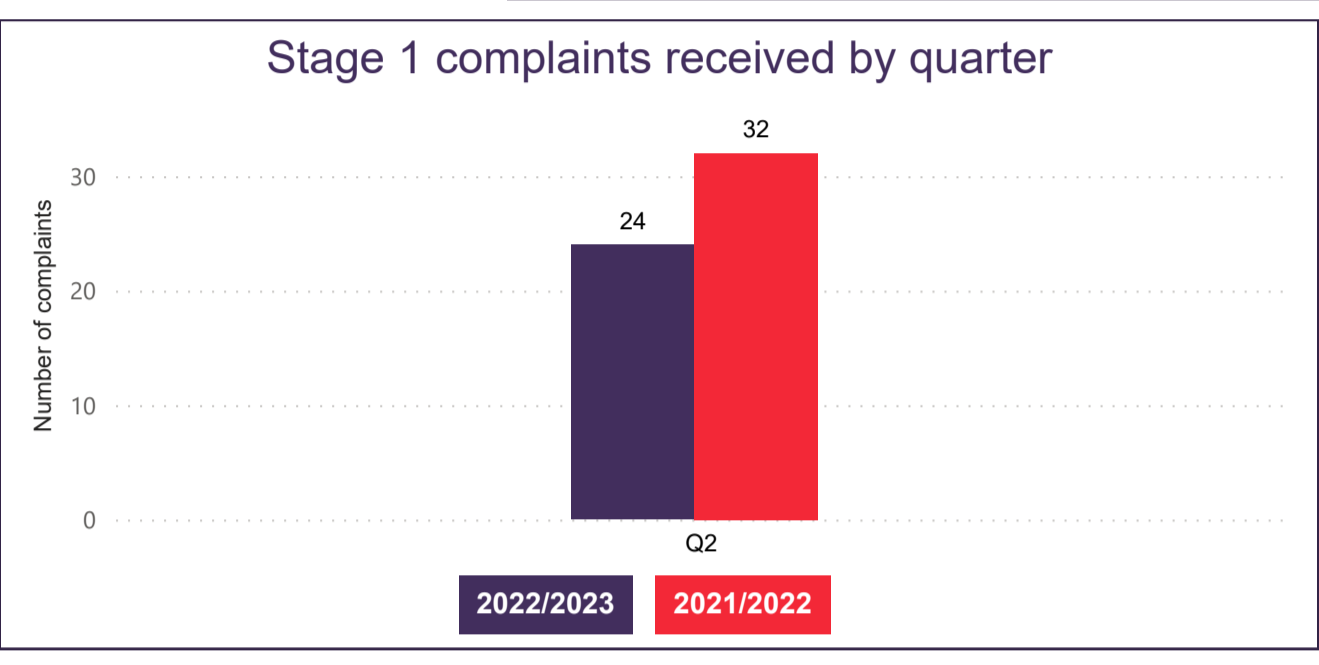
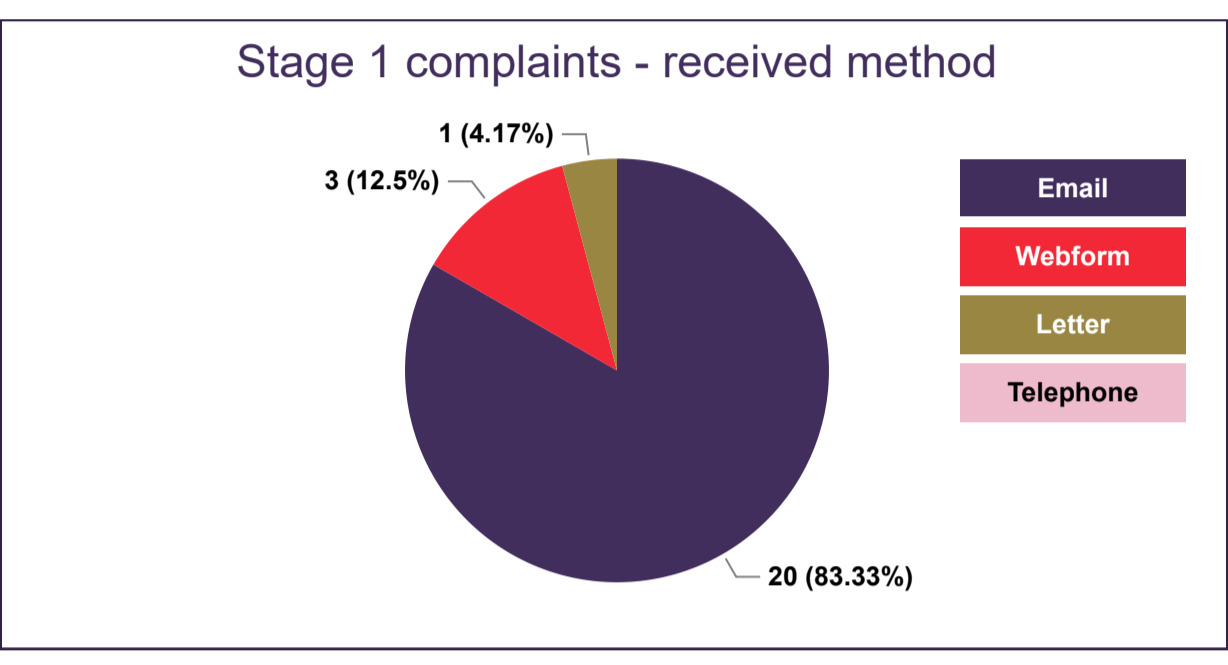
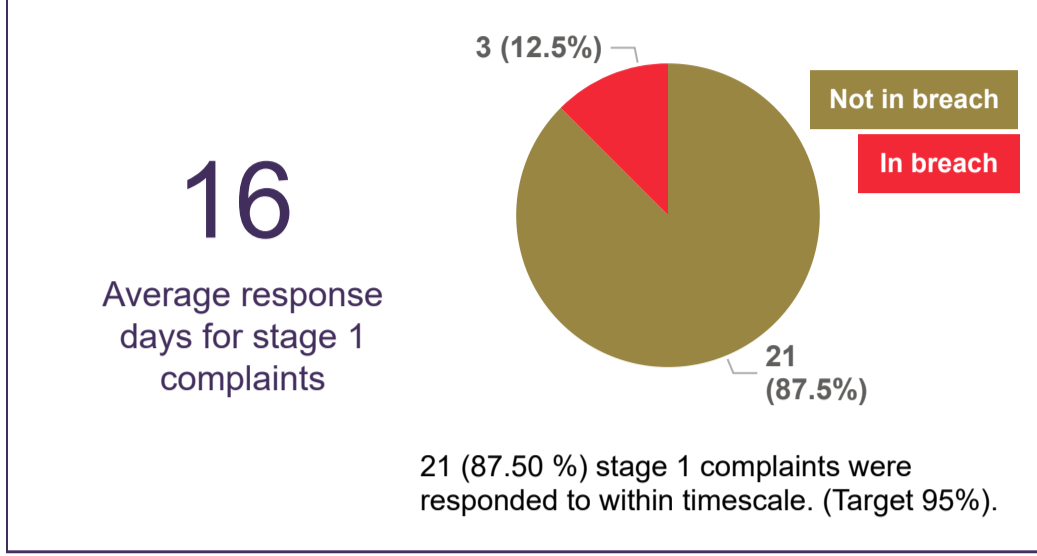
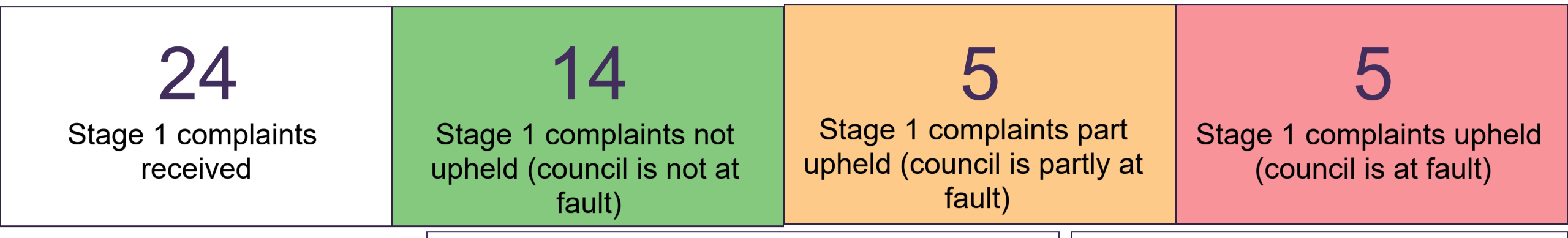
Select a year:



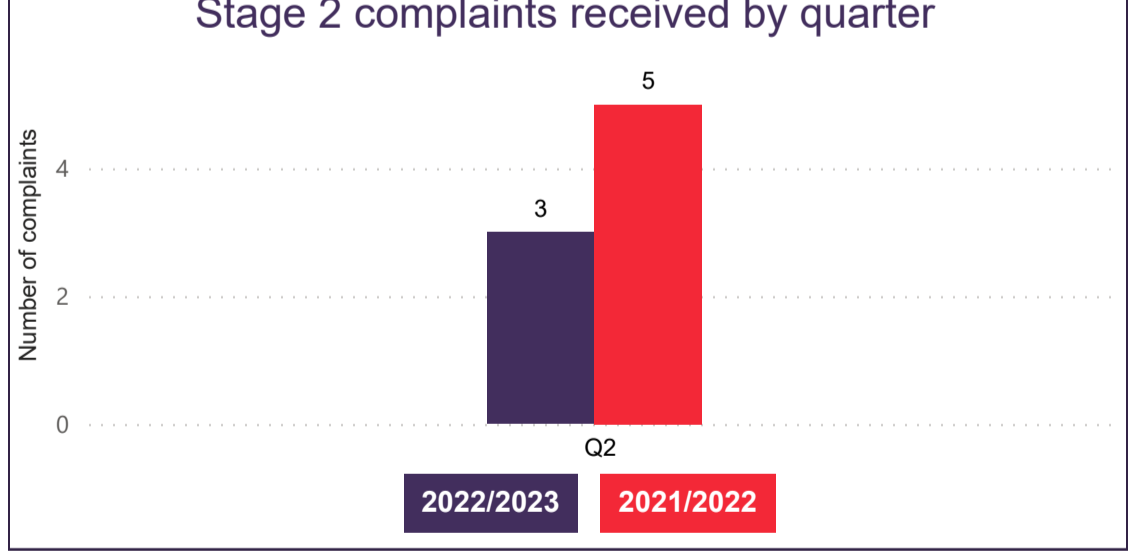
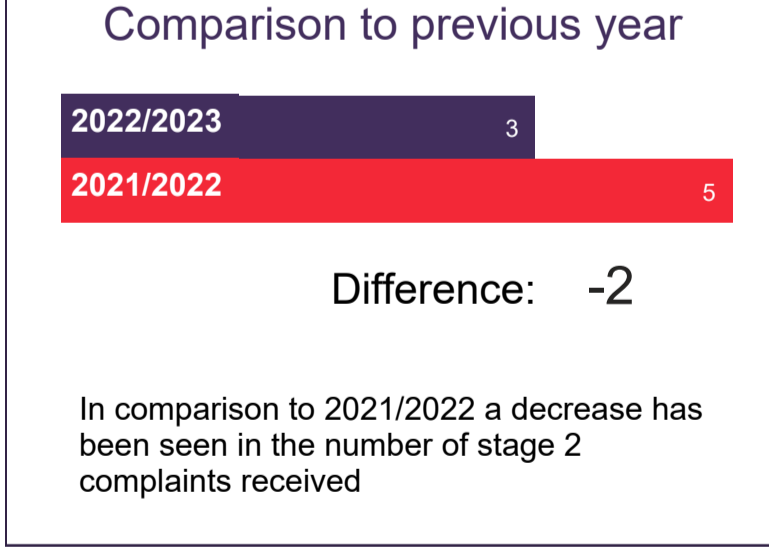
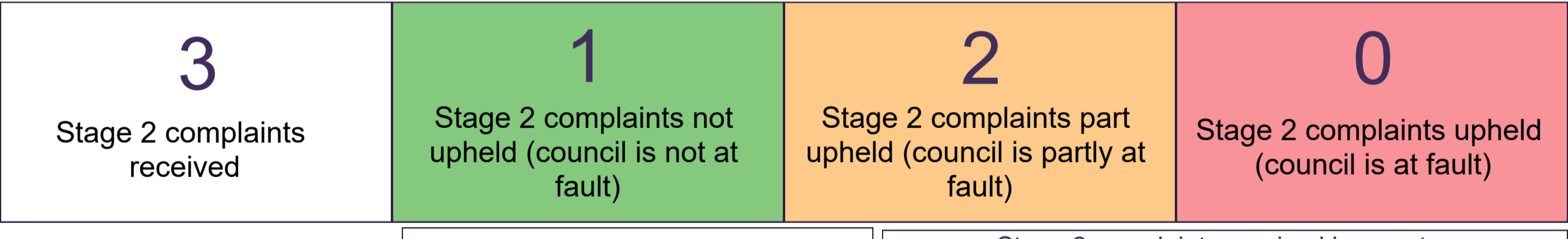
Select a quarter:



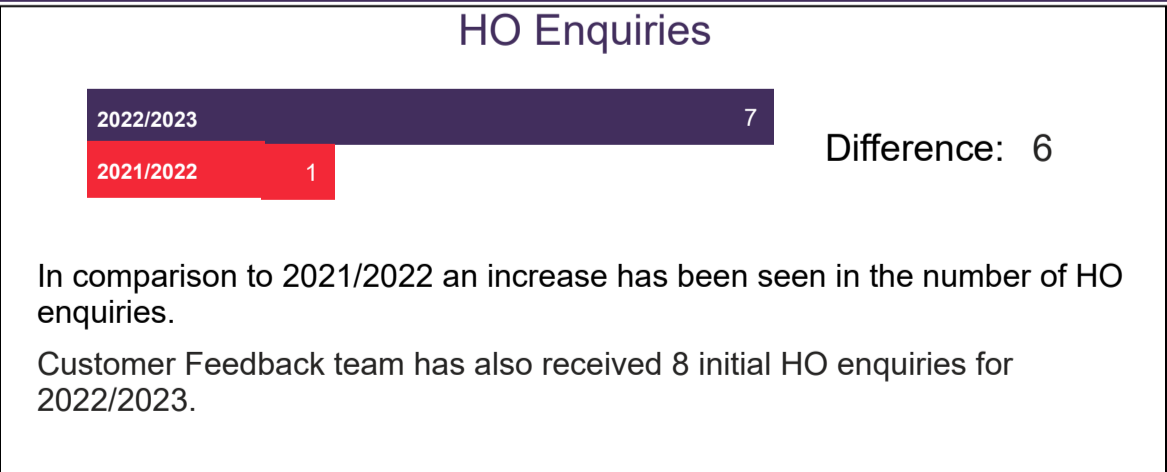
Stage 1 Complaints



Stage 2 Complaints



Compliments, Service Requests, HO and LGSCO Enquiries



APPENDIX 3

SECTION 1:

Children's, Education, Adults, Public Health Services Complaints Activity 1 April 2022 to 30 September 2022

1.0 Children's and Education Services – Complaint Activity

1.1 Informal Complaints

The complaint regulations provide an opportunity for young people/children, parents, advocates and carers to raise issues of concern without those matters being treated as formal complaints, as long as they are effectively addressed and resolved in a timely manner. These are referred to as informal complaints.

Quarter one - 17 informal complaints were received during 1 April 2022 to 30 June 2022 compared to 20 informal complaints received during 1 April 2021 to 30 June 2021; a decrease of three cases. Out of the 17 informal complaints, no enquiries were received via an advocacy service.

Quarter two – 17 informal complaints were received during 1 July 2022 to 30 September 2022 compared to 25 informal complaints received during 1 July 2021 to 30 September 2021; a decrease of eight cases. Out of the 17 informal complaints, no enquiries were received via an advocacy service.

1.2 Stage One Complaints

Quarter one - During 1 April 2022 to 30 June 2022 the council received 15 stage one Children's and Education Services complaints compared to 13 during 1 April 2021 to 30 June 2021, an increase of two cases received. The 15 complaints received during this period refer to nine separate service areas. The highest figure of four cases referred to the SEND Team. In some cases, this has followed extensive but unsuccessful attempts to resolve some of those complaints informally. The following customer groups submitted complaints to the council; 11 parents, two advocates, one relative and one foster carer. Out of the 15 complaints logged and investigated 12 were submitted via email and three were submitted via an online form. Two stage one complaints were received via an advocacy service. Out of the 15 complaints logged and investigated during this period, three cases were upheld (at fault), five cases were partially upheld (partially at fault) and seven cases not upheld (not at fault). The three cases upheld were for the following service areas; CYPiC Team (1), Strengthening Families (1) and SEND Team (1).

Quarter two - During 1 July 2022 to 30 September 2022 the council received nine stage one Children's and Education Services complaints compared to 11 during 1 July 2021 to 30 September 2021, a decrease of two cases received. The nine complaints received during this period refer to five separate service areas. The highest figure of four cases referred to the Disability and Young People in Care Team (D&YPiC Team). In some cases, this has followed extensive but unsuccessful attempts to resolve some of those complaints informally. The following customer groups submitted complaints to the council; parents (9). Out of the nine complaints logged and investigated five were submitted via email, three were submitted via an online form and one via letter correspondence. No stage one complaints were received via an advocacy service. Out of the nine complaints logged and investigated during this period, one case was upheld

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(at fault), six cases were partially upheld (partially at fault) and two cases not upheld (not at fault). The one case upheld was for the following service area; CYPiC Team (1).

1.3 Timescales

Quarter one - Out of the 15 complaints logged and investigated during this period, four complaints were dealt with in accordance with the Children's Act with a response timescale of 10 working days; the average timescale for statutory complaint responses was 14 days. 11 complaints were dealt with in accordance with the corporate complaints policy (Non-Children's Act) with a response timescale of 21 calendar days; the average timescale for corporate complaint responses was 26 days.

Quarter two - Out of the nine complaints logged and investigated during this period, three complaints were dealt with in accordance with the Children's Act with a response timescale of 10 working days; the average timescale for statutory complaint responses was 21 days. Six complaints were dealt with in accordance with the corporate complaints policy (Non-Children's Act) with a response timescale of 21 calendar days; the average timescale for corporate complaint responses was 20 days.

The customer feedback team regularly reviews response times with Children's Services to improve timescales and complainants are regularly updated on the progress of their complaint, whilst providing realistic timescales.

1.4 Stage Two Complaints

Quarter one - During this period 1 April 2022 to 30 June 2022 the council received two stage two complaint cases. One statutory stage two complaint in accordance with our statutory children's procedure; this is in comparison to no complaint cases received during 1 April 2021 to 30 June 2021. The council received one corporate stage two complaint in accordance with our corporate complaints policy; this is in comparison to one case received during 1 April 2021 to 30 June 2021.

Stage two complaints are as follows:

- CYPiC Team received one statutory stage two complaint in relation to delays with processing request for an extra bedroom at a foster carers and special guardianship; outcome partially upheld as follows: upheld in relation to delays incurred for processing request for an extra bedroom and not upheld in relation to special guardianship; appropriate remedies and learning have been carried out
- SEND team received one corporate stage two complaint in relation to EHCP/information, support received from social care and lack of multi-agency working; outcome partially upheld; appropriate remedies and learning have been carried out

Quarter two - During this period 1 July 2022 to 30 September 2022 the council received one stage two complaint case. One statutory stage two complaint in accordance with our statutory children's procedure; this is in comparison to no statutory complaint cases received during 1 July 2021 to 30 September 2021. The council received no corporate stage two complaint in accordance with our corporate complaints policy; this is in comparison to five cases received during 1 July 2021 to 30 September 2021.

Stage two statutory complaint is as follows:

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- CYPiC Team received one statutory stage two complaint in relation to the service not acting in children's best interests; outcome five elements of complaint, one upheld, two partially upheld and two not upheld; appropriate remedies and learning have been carried out

1.5 Stage Three Complaints

Where a statutory children's stage two complaint investigation has been carried out and the complainant remains dissatisfied, they have the right to request matters proceed to the final stage of the statutory complaints procedure; a stage three Independent Complaint Review Panel. During 1 April 2022 to 30 June 2022 and 1 July 2022 to 30 September 2022 no complaints escalated to a stage three panel during this period; this is in comparison to no stage three cases during 1 April 2021 to 30 June 2021 and 1 July 2021 and 30 September 2021.

1.6 Complaint Category

These are the headings under which we register the complaint against, based on the complaint details received – see attached Dashboards.

1.7 Compliments

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process.

Quarter one - During 1 April 2022 to 30 June 2022, 35 compliments were received for Children's Services, compared to nine received during 1 April 2021 to 30 June 2021. Early intervention received eight, Fostering Team received five followed by CYPiC receiving four. See Appendix 4 for compliments.

Quarter two - During 1 July 2022 to 30 September 2022, 19 compliments were received for Children's Services, compared to 48 received during 1 July 2021 to 30 September 2021. C&YPiC received five, Court Team received three followed by Safeguarding and Exploitation received three.

2.0 Public Health – Complaint Activity

2.1 Regionally and nationally councils receive very few complaints in relation to Public Health Services. A typical complaint would be where a council has commissioned a service for local people through a Clinic or GP practice. Complaints in relation to GP's and Hospitals are dealt with through a separate complaint process managed by Health Services.

Informal complaints

Quarter one and two - two informal complaints were received during 1 April 2022 to 30 June 2022 and one informal complaint was received for 1 July 2022 to 30 September 2022.

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Stage one complaints

Quarter one – In relation to Public Health complaints, there has been one complaint received during 1 April 2022 to 30 June 2022; outcome partially upheld; appropriate remedies and learning have been carried out. This is in comparison to no complaints received during 1 April 2021 to 30 June 2021.

Quarter two – In relation to Public Health complaints, there has been no complaints received during 1 July 2022 to 30 September 2022; this is in comparison to no complaints received during 1 July 2021 to 30 September 2021.

3.0 Adult Services – Complaint Activity

3.1 Informal Complaints

The complaint regulations provide an opportunity for adult complaints to be resolved informally utilising a number of resolution methods as long as they are effectively addressed and resolved in a timely manner.

Quarter one - During 1 April 2022 to 30 June 2022 the council received 16 informal complaints which were resolved at service level without going through the formal route. This was compared to 13 informal complaints received during 1 April 2021 to 30 June 2021, an increase of three cases.

Quarter two - During 1 July 2022 to 30 September 2022 the council received 17 informal complaints which were resolved at service level without going through the formal route. This was compared to 17 informal complaints received during 1 July 2021 to 30 September 2021, which is consistent for the number of cases received.

3.2 Stage One Complaints

Quarter one - During 1 April 2022 to 30 June 2022 the council received seven formal complaints compared to six during 1 April 2021 to 30 June 2021, representing an increase of one case during this period. The seven complaints received covered six separate service areas. Six complaints were received via email and one complaint via an online form. In some cases, this has followed extensive but unsuccessful attempts to resolve some of those complaints informally. During this period, four complaints received were in relation to commissioned services – see Appendix 1. Out of the seven cases logged and investigated during this period, five cases were upheld, no cases partially upheld and two cases not upheld. The five cases upheld were for the following service areas; Commissioned Service (4) and Adults and Communities (1).

Out of the seven complaints cases received, six cases were investigated under our statutory procedure and one case was investigated under our corporate complaints policy.

Quarter two - During 1 July 2022 to 30 September 2022 the council received four formal complaints compared to 11 during 1 July 2021 to 30 September 2021, representing a decrease of seven cases during this period. The four complaints received covered three separate service areas. Three complaints were received via email and one complaint via letter correspondence. In some cases, this has followed extensive but unsuccessful attempts to resolve some of those complaints informally. During this period, no

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complaints received were in relation to commissioned services – see Appendix 1. Out of the four cases logged and investigated during this period, no cases were upheld, three cases partially upheld and one case not upheld.

Out of the four complaints cases received, three cases were investigated under our statutory procedure and one case was investigated under our corporate complaints policy.

3.3 Complaint Category

These are the headings under which we register the complaint against, based on the complaint details received – see attached Dashboards.

3.4 Timescales

Quarter one - Out of the seven complaints logged and investigated during this period, six cases were dealt with in accordance with the Statutory Adults procedure with a response timescale of 10 working days; the average response time was 17 days. One case was investigated under our corporate complaints policy with a response timescale of 21 calendar days; the average response time was 54 days. Cases responded to outside of the organisational timescales are due to various reasons for example, complex cases, availability of resources. In these circumstances, complainants are regularly updated on the progress of their complaint.

Quarter two – Out of the four complaints logged and investigated during this period, three cases were dealt with in accordance with the Statutory Adults procedure with a response timescale of 10 working days; the average response time was 26 days. One case was investigated under our corporate complaints policy with a response timescale of 21 calendar days; the average response time was 82 days. Cases responded to outside of the organisational timescales are due to various reasons for example, complex cases, availability of resources. In these circumstances, complainants are regularly updated on the progress of their complaint.

3.5 Compliments

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process.

Quarter one - 120 compliments were received during 1 April 2022 to 30 June 2022 relating to Adult Services compared to 100 during 1 April 2021 to 30 June 2021. 93 compliments were received for Wolverhampton and Shropshire Macmillan WRS, Welfare Rights receiving seven compliments followed by Health and Social Work Team received five. See Appendix 4 for compliments.

Quarter two – 133 compliments were received during 1 July 2022 to 30 September 2022 relating to Adult Services compared to 105 during 1 July 2021 to 30 September 2021. 112 compliments were received for Welfare Rights, West Locality received five and Bradley Reablement, East and North Locality Team received three each. See Appendix 4 for compliments.

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3.6 Areas of Learning from Complaints

See Appendix 4 for stage 1 learning.

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SECTION 2: Corporate Complaints Activity, Local Government and Social Care Ombudsman and Housing Ombudsman Complaints Activity 1 April 2022 to 30 September 2022

4.0 Corporate Complaints Activity, Local Government and Social Care Ombudsman and Housing Ombudsman

4.1 Informal complaint enquiries/service requests

The customer feedback team works alongside the service involved and the customer complaining to resolve the complaint informally, preventing it becoming a formal complaint.

Quarter one - 443 informal complaints and service request enquiries were logged with the customer feedback team in line with our corporate complaints policy during 1 April 2022 to 30 June 2022, compared to 249 received during 1 April 2021 to 30 June 2021.

Quarter two - 392 informal complaints and service request enquiries were logged with the customer feedback team in line with our corporate complaints policy during 1 July 2022 to 30 September 2022, compared to 262 received during 1 July 2021 to 30 September 2021.

These types of enquiries are varied, for example, missed bin collection, contaminated bins, appeals, parking enquiries, litter or enquiries that fall outside of the corporate complaints policy jurisdiction. All enquiries were logged and resolved informally or sign posted to the correct process without going through the corporate complaints policy; this provides a swift outcome and resolution for the customer by resolving concerns at service level.

4.2 Corporate stage 1 complaints

Quarter one - During 1 April 2022 to 30 June 2022 the council received 29 stage one corporate complaints compared to 29 received during 1 April 2021 to 30 June 2021; a consistent number of complaints received. Out of the 29 cases logged and investigated, five cases were upheld (at fault), four partially upheld (partly at fault) and 20 not upheld (not at fault). The five cases upheld were for the following service areas; Waste Management (2); Street Lighting (1); Revenues and Benefits (1); Registrars (1). The 29 complaints cover 11 separate service areas, the highest figure of nine complaints refer to Waste Management Team, followed by Arborcultural Team receiving six cases and Environmental Protection receiving five cases. Out of the 29 stage one complaints received, 20 cases were submitted via email, five cases via webform, three cases via letter correspondence and one case via telephone.

Quarter two – During 1 July 2022 to 30 September 2022 the council received 24 stage one corporate complaints compared to 32 received during 1 July 2021 to 30 September 2021; a decrease of 8 complaints received. Out of the 24 cases logged and investigated, five cases were upheld (at fault), five partially upheld (partly at fault) and 14 not upheld (not at fault). The five cases upheld were for the following service areas; Revenues and Benefits (5).

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The 24 complaints cover eight separate service areas, the highest figure of eight complaints refer to Revenue and Benefits, jointly followed by Licensing and Arboricultural Teams both receiving four. Out of the 24 stage one complaints received, 20 cases were received via email, three cases via telephone and one case via webform.

4.3 Corporate Complaint Category

These are the headings under which we register the complaint against, based on the complaint details received – see attached Dashboards.

4.4 Corporate Timescales

Quarter one - The average response time for responding to each complaint is 20 days for this period; this is in comparison to 18 days for 1 April 2021 to 30 June 2021. The response timescale for stage 1 complaints responding within 21 calendar days (corporate complaints policy) is 90%. Out of the 29 cases logged and investigated during this period, 26 cases were responded to within 21 calendar days and three cases responded to outside of this timescale. The target of 95% response time has therefore not been achieved; the Customer Feedback Team will continue to monitor this response time and work with service groups to improve this timescale.

Quarter two - The average response time for responding to each complaint is 16 days for this period; this is in comparison to 15 days for 1 July 2021 to 30 September 2021. The response timescale for stage 1 complaints responding within 21 calendar days (corporate complaints policy) is 87.5%. Out of the 24 cases logged and investigated during this period, 21 cases were responded to within 21 calendar days and three cases responded to outside of this timescale. The target of 95% response time has therefore not been achieved; the Customer Feedback Team will continue to monitor this response time and work with service groups to improve this timescale.

Cases responded to outside of the timescale are due to various reasons for example, complex cases, availability of resources. In these circumstances, complainants are regularly updated on the progress of their complaint.

4.5 Stage 2 corporate complaints

Quarter one - During 1 April 2022 to 30 June 2022 the council received three stage two corporate complaints compared to five cases for 1 April 2021 to 30 June 2021, an increase of two cases in comparison to the previous year. Out of the three cases received, no cases were upheld (at fault) and one case was partially upheld (partially at fault) and two cases not upheld (not at fault).

Stage two complaints received are as follows:

City Housing and Environment received three cases as follows:

- Arboricultural Team received one case in relation to tree pruning not carried out, overhanging branches and loss of light; outcome not upheld
- Waste Management received one case in relation to disabled access and service at HWRC and disability rights; outcome not upheld

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- Waste Management, Highways and Environmental Services received one joint complaint in relation to service received and actions carried out; outcome partially upheld; appropriate recommendations and remedies have been carried out

Quarter two - During 1 July 2022 to 30 September 2022 the council received three stage two corporate complaints compared to five cases for 1 July 2021 to 30 September 2021, a decrease of two cases. Out of the three cases received, one case was not upheld and two cases partially upheld.

Stage two complaints received are as follows:

City Housing and Environment received three cases as follows:

- Environmental Health received one case in relation to conduct of compliance officer; outcome partially upheld; appropriate recommendations and remedies have been carried out
- Environmental Health received one case in relation to officer conduct and conflict of interest during a site visit; outcome partially upheld; appropriate recommendations and remedies have been carried out
- Arboricultural Team received one case in relation to overgrown trees affecting neighbours properties and wellbeing; outcome not upheld

4.6 Corporate Compliments

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process.

Quarter one - During 1 April 2022 to 30 June 2022 the council received 28 compliments; this is in comparison to 56 received during 1 April 2021 to 30 June 2021. Planning Department received 17, Waste Management received three followed by Banking and Payments receiving two. See Appendix 4 for compliments.

Quarter two - During 1 July 2022 to 30 September 2022 the council received 34 compliments; this is in comparison to 57 received during 1 July 2021 to 30 September 2021. Planning received 11, Customer Services received six followed by Waste Management receiving five. See Appendix 4 for compliments.

4.7 Area of Learning for Corporate Complaints

See Appendix 4 for stage one learning.

5.0 Local Government and Social Care Ombudsman/Housing Ombudsman

5.1 Local Government and Social Care Ombudsman Enquiries (LGSCO)

Quarter one - During 1 April 2022 to 30 June 2022 the council received three Local Government and Social Care Ombudsman (LGSCO) enquiries as follows:

Adult Services received two complaints as follows:

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- Adult Services and Health Partnership and Commissioned Services received one complaint in relation to respite care received by care home; outcome not upheld, no maladministration
- Adult Services Mental Health Team received one complaint in relation to service and support received in supporting living accommodation and interruptions to schedule causing stress and anxiety; outcome upheld, fault and injustice; appropriate recommendations and remedy have been carried out

Finance received one complaint as follows:

- Revenues and Benefits received one complaint in relation to tenants' applications for housing benefit; outcome upheld, fault and injustice; appropriate recommendations and remedy have been carried out

Quarter two - During 1 July 2022 to 30 September 2022 the council received three Local Government and Social Care Ombudsman (LGSCO) enquiries as follows:

City Housing and Environment received one complaint as follows:

- Licensing received one complaint in relation to council's delays in dealing with private hire vehicle driver's licence; outcome upheld: no further action, LGSCO has confirmed that the council has already remedied

Children's Services received one complaint as follows:

- SEND and Children in Need Services received one complaint in relation to failure to issue an amended Education Health and Care plan within the required time limit; failure to complete a social care reassessment and refusal to arrange or attend the latest annual review meeting; outcome, upheld, fault and injustice; appropriate recommendations and remedy have been carried out

Adult Services received one complaint as follows:

- Safeguarding/MASH Team received one complaint in relation to safeguarding enquiry at care home/care provider; outcome awaiting draft report decision from the Ombudsman

5.2 Housing Ombudsman (HO) Enquiries

Quarter one - During 1 April 2022 to 30 June 2022 the council received three enquiries from the Housing Ombudsman for Wolverhampton Homes as follows:

- One enquiry received in relation to the landlord's handling of the resident's concerns relating to an invoice for work undertaken; outcome awaiting draft decision
- One enquiry received in relation to the landlord's handling of reports of a leaking sewage pipe and handling of follow-on works; outcome, service failure by the landlord in the way it handled the resident's reports of a leaking sewage pipe; outcome appropriate recommendations and remedy have been carried out
- One enquiry in relation to the landlord's handling of the removal of rubble in the garden and response to reports of pests in the garden; outcome maladministration in relation to the response to the resident's report of rubble in the garden, rodent

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infestation and complaint handling; no maladministration in relation to concerns about the landlord's officers attending unannounced and request for a property transfer; appropriate recommendations and remedy have been carried out

Quarter two - During 1 July 2022 to 30 September 2022 the council received seven Housing Ombudsman (HO) enquiries for Wolverhampton Homes as follows:

- One enquiry in relation to the landlord's handling of adaptations to the resident's home and handling of the resident's reports of delays and lack of communication; outcome awaiting HO final report
- One enquiry in relation to the landlord's handling of repairs to the internal door; response to the conduct of a staff operative; response to a gas safety check; handling of reports about not having window keys, along with concerns about safety; handling of reports of a leak affecting the property; landlord's level and method of communication and landlord's handling of reports of anti-social behaviour; outcome awaiting HO final report
- One enquiry in relation to the landlord's handling of repairs to the resident's bathroom and the resident's request for rehousing; outcome service failure and maladministration; appropriate recommendations and remedy have been carried out
- One enquiry in relation to the landlord's handling of works to disconnect communal facilities from the electricity supply and handling of repairs needed in the property, including works to address damp, mould, water ingress, and structural issues; outcome awaiting HO final report
- One enquiry in relation to the landlord's handling of drainage issues at the property; outcome maladministration; appropriate recommendations and remedy have been carried out
- One enquiry in relation to the landlord's handling of the resident's reports concerning damp and mould and the response to the resident's request for a permanent decant; outcome awaiting HO report
- One enquiry in relation to the resident's concerns related to the ownership of the footway crossing and dropped kerb at their property; their concerns relating to neighbours using the dropped kerb they paid for and their request to be refunded for the installation of rear fencing at their property; outcome awaiting HO report

5.3 Local Government and Social Care Ombudsman (LGSCO) assessment enquiries

Quarter one - During 1 April 2022 to 30 June 2022 the council received seven Local Government and Social Care Ombudsman assessment enquiries as follows:

Children's Services received three enquiries as follows;

- Children and Young People in Care received one case in relation to actions of social workers; outcome, closed after initial enquiries, out of jurisdiction
- Adoption@heart received one case in relation to handling of adoption application; outcome, closed after initial enquiries, no further action
- SEND and Children and Young People in Care Team received one case in relation to failure to issue an amended EHCP within timeframe, failure to complete a social care assessment within timeframe and refusal to arrange/attend an annual review; outcome passed to investigation team for further consideration

City Housing and Environment received one enquiry as follows:

APPENDIX 3

- Waste Management received one enquiry in relation to access and location of refuse bin, harassment by officers and damage to garden wall; outcome closed after initial enquiries, no further action

Regeneration received one enquiry as follows:

- Planning received one enquiry in relation to failure to take enforcement action at site development; outcome closed after initial enquiries, no further action

Finance received one enquiry as follows:

- Revenues and Benefits received one enquiry in relation to tenants' applications for housing benefit; outcome passed to investigation team for further consideration

One enquiry received was in relation to a personnel matter; outcome the LGSCO will not investigate this case

Quarter two - During 1 July 2022 to 30 September 2022 the council received eight Local Government and Social Care Ombudsman (LGSCO) assessment enquiries as follows:

Children Services received four enquiries as follows:

- Children and Young People in Care team received one enquiry in relation to foster carer retainer; outcome closed after initial enquiries - out of jurisdiction
- Strengthening Families received one enquiry in relation to alleged failure to action court orders; outcome closed after initial enquiries, out of jurisdiction
- Strengthening Families received one enquiry in relation to actions of the social worker and court matters; outcome closed after initial enquiries out of jurisdiction
- Commissioned Service Base 25 received one enquiry in relation to service received from Base 25; outcome awaiting response from the LGSCO

Adult Services received one enquiry as follows:

- Adults Services and Communities received one enquiry in relation to safeguarding issues at care home; outcome closed after initial enquiries, no further action

City Housing and Environment received two enquiries as follows:

- Environmental Protection received one enquiry in relation to noise nuisance; outcome premature complaint
- Parking Services received one enquiry in relation to parking fine and signage; outcome closed after initial enquiries - no further action

City Housing and Environment/Wolverhampton Homes received one enquiry as follows:

- Housing and Wolverhampton Homes received one enquiry in relation to priority and bidding for a housing allocation; outcome passed to investigation team for further consideration

APPENDIX 3

5.4 Housing Ombudsman assessment enquiries

Quarter one - During 1 April 2022 to 30 June 2022 the council received five Housing Ombudsman assessment enquiries as follows:

Wolverhampton Homes received five enquiries as follows:

- One enquiry in relation to reports of anti-social behaviour; outcome premature complaint
- One enquiry in relation to the landlord's response to residents reports of ongoing anti-social behaviour; outcome premature complaint
- One enquiry in relation to not receiving a response from the landlord outlining its assessment of a discretionary succession application and why it was declined; outcome premature complaint
- One enquiry in relation to anti-social behaviour, parking on grass verge, outstanding repairs to property, grass cutting and rent arrears; outcome premature complaint
- One enquiry in relation to drainage to the property; outcome instructed to progress to stage two of Wolverhampton Homes' complaints procedure

Quarter two - During 1 July 2022 to 30 September 2022 the council received eight Housing Ombudsman (HO) assessment enquiries as follows:

- One enquiry in relation to the landlord's handling of anti-social behaviour, loud music and threats from a neighbour; outcome premature complaint
- One enquiry in relation to damage to carpet by officers; outcome premature complaint
- One enquiry in relation to noise issue in the property; outcome premature complaint
- One enquiry in relation to the landlord's handling of an ongoing issue with damp and mould; outcome premature complaint
- One enquiry in relation to the landlord's handling of reported sewage and toilet leaks; outcome premature complaint
- One enquiry in relation to the resident's request to remove contact restrictions in place; outcome premature complaint
- One enquiry in relation to the landlord scheduling appointments for identified work to be carried out at the property; outcome premature complaint
- One enquiry in relation to landlord's handling of a repair to kitchen units; outcome premature complaint

6.0 Learning/Action Plans

Where complaints highlight that things have gone wrong, heads of service, managers and the customer feedback team are required to identify these areas, implement remedies and review processes/procedures where necessary. Customer Feedback Team and Directorates are committed to learning and require the completion of a tracking form/learning log from each complaint investigated at stage one. When a complaint is upheld/partially upheld (council at fault) and the findings of a subsequent investigation is for a financial remedy, change to policy or service delivery at stage 2 and 3 of the complaints process or at Ombudsman stage, the Customer Feedback Team produce an action plan report. Recommendations within these reports are agreed with

APPENDIX 3

appropriate Heads of Service and shared with the relevant Service Manager/Director to ensure appropriate remedies and changes to policy/service delivery are implemented and compliant with any Ombudsman's recommendations and remedies. The Customer Feedback Team also attend regular quality assurance meetings for Adults and Children's Services and Waste Liaison Meetings to ensure they use the learning from complaints to drive service improvements and implement learning into their practice improvement plans.

See attached Appendix 4, Learning dashboard

Complaint details	Learning
<p>Children’s Services – Stage one complaint learning Complaint in relation to delay with obtaining passport for YP</p>	<p>Learning – partially upheld on the grounds that correspondence in relation to this matter was not being addressed following the resignation of the previous Social Worker, and this is likely to have led to delays in issues being addressed with the application. However once we were made aware of issues, we have acted upon and completed all we can to expedite the passport application, despite some circumstances outside of our control.</p>
<p>Children’s Services – Stage one complaint learning Complaint in relation delays with issuing EHCP</p>	<p>Learning – This matter was addressed directly with the SEND officer and as a result an alternative officer was allocated who has since finalised the EHCP</p>
<p>Adult Services – Stage one complaint learning Complaint in relation to the quality of care provided by Care Home</p>	<p>Learning - Our Quality & Assurance team will continue to work with the care home and ensure they fulfil the requirements of their obligations and also monitor the support they are providing. The care home has agreed the following: All the carers to have their refresher training in Infection Control & Catheter Care annually, manager to monitor the electronic systems to ensure that the carers log in and log out at correct times, staff supervision and spot checks to be done regularly and the lessons from this concern to be shared with other staff during meetings as a learning tool.</p>

Complaint details	Learning
<p>Adult Services – Stage one complaint learning Complaint in relation to delays with communication</p>	<p>Learning – we have established we would benefit from a formal route of information sharing with all our families and we will therefore be introducing a monthly newsletter that will be shared with all families that will offer an insight into the previous month’s activities and events that have taken place. This is not intended to replace any other significant updates but will enhance information sharing with all families</p>
<p>Corporate Complaints – Stage one complaint learning Street Lighting – Complaint in relation to LED street light placed outside property causing light issues with property</p>	<p>Learning - A shield was installed by the service to prevent the light from shining into the property; the service also contacted the customer and provided an explanation in relation to the complaint and the resolution</p>
<p>Revenues and Benefits – Complaint in relation to Council Tax account and lack of response from the service</p>	<p>Learning - the service are carrying out investigations to establish why the bills were not being produced on the council’s system</p>
<p>Registrars - Complaint in relation to errors with death registration appointment resulting in long wait times.</p>	<p>Learning – a reminder has been issued to all officers regarding moving appointments in the electronic diary system and making suitable booking notes so that it is clear for the receptionist officer to see the contact and audit trail</p>

Quarter 1 LGSCO Learning	Complaint details	Ombudsman Outcome/Requirement	Lessons/Action Timeframe
Quarter 1 Page 53	<p>Adult Services Mental Health Team received one complaint in relation to service and support received in supporting living accommodation and interruptions to schedule causing stress and anxiety</p>	<p>Outcome upheld, fault and injustice.</p> <ul style="list-style-type: none"> Provide a written apology to complainant which acknowledges the quality of support received due to staff absence was not to standard. Pay £300 to acknowledge the impact on the support he received 	<ul style="list-style-type: none"> Apology sent to complainant Payment of £300 to complainant <p>Note: Staff absences were due to Covid 19 impact and staff isolating in accordance with national guidelines</p>
Quarter 1	<p>Adult Services and Health Partnership and Commissioned Services received one complaint in relation to respite care received by care home;</p>	<p>Outcome not upheld</p> <ul style="list-style-type: none"> no maladministration 	<p>N/A</p>
Quarter 1	<p>Revenues and Benefits received one complaint in relation to tenants' applications for housing benefit; -</p>	<p>Outcome upheld, fault and injustice; appropriate recommendations and remedy have been carried out - remedy</p> <ul style="list-style-type: none"> appeals to be passed to Tribunal without delay (within 4wks) 	<ul style="list-style-type: none"> Appeals staff informed of implications Appeals to be submitted within four weeks Direction from the Tribunal should be requested if we considered that further evidence was required.

Compliments

Children's and Education Services – Compliments

"I just wanted to say how heart-warming it is to have a senior manager that is so child focused and knows our children so well. You always take an interest in all of the children and it is clear that you genuinely care about our children and wanting the best possible outcomes for them. I just wanted to pass my thoughts on as I think it is really special for a Local Authority to have senior management that genuinely know, care and nurture their children rather than children being cases or statistics. Thank you for all you do".

"I would like to say thank you so much for everything you have done for XX and my family. XX is like a different child now and it's all thanks to your hard work. You have helped her in so many ways and the biggest thing is how close she has become with her mom. She can now see how far she went off the rails and she understands how it affected us all and I'm so proud of her. You really went above and beyond to see that they all got the help they needed at home and school. I really do appreciate everything you have done. You did a fantastic job, so thank you so much"

Adult Services – Compliments

"All the staff are a credit to you, my stay was short but enjoyable I will be keeping up the good work that you did with me. Thank you once again for all your help and kindness".

"I would like to take this opportunity to say a huge thank you for all your professionalism and to compliment your persistence to get things in place in order to get dad home ASAP. I would not have known what to do or who to speak to, if it was not for you. Your kindness, knowledge and genuine concern has exceeded my expectations. You are a credit to the profession and the profession should be proud to have you as an employee. You are a true ambassador"

Compliments

Customer Services – Compliment - *I called the registry office and spoke to a really lovely, kind and helpful officer. I was in a complete spin over my son's passport application & needed some help as to whether the certificates we had were the correct ones to send to the passport office. The officer went the extra mile to help me, when she really didn't have to. These days people are quick to criticise, but never to compliment. She was very knowledgeable and answered all my questions. She is a credit to your team*

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Planning – Compliment - *Thank you for your email and approval. This is my first time dealing with Wolverhampton and the experience has been a joy with the free pre app and proactive dialogue compare to other local authorities that I have and currently dealing with. If I can give a rating this will be 9 out of 10. Based on communication, advise and proactive engagement and speed of the decision*

Visitor Economy – Compliment - *Congratulations to the team that has put on 'The Food and Drink Festival' in Tettenhall. It was such a success and far more stalls than last year - really well placed on the Upper Green within the village itself, and it appeared to be pulling in the crowds from far and wide. Well done everyone – a super event*

Complaint details	Learning
<p>Adult Services – Stage one complaint learning <i>Complaint in relation to delays for adaptations application</i></p>	<ul style="list-style-type: none"> <i>We do have some delays within the service which we have apologised for and can assure that we are working hard to rectify this, however the request to review an alternative property has added to this delay</i>
<p>Adult Services – Stage one complaint learning <i>Complaint in relation to not having a allocated worker</i></p>	<ul style="list-style-type: none"> <i>Partly upheld due to no-one responded to calls or messages. XXXXX acknowledges and apologises for missing this message, however XXXXXX made contact the following day and an increase in support was agreed on the 8 September 2022. Also After discussing the situation in depth, apologised that the situation at home has reached crisis point and I acknowledge that was not ideal for the XXXX to be supporting the XXXXX to that level</i>

Complaint details	Learning
<p>Children’s Services – Stage one complaint learning <i>Complaint in relation to the way we have been treated by Children’s Services</i></p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 57</p>	<ul style="list-style-type: none"> <i>The S47 process caused a lot of anxiety in this case - we need to ensure that potential adopters understand these processes and are reassured throughout</i> <i>It would have been beneficial for an earlier looked after children’s review to take place at the point where concerns had been raised. Oversight is required to ensure that decision making is balanced and fair</i> <i>To ensure that at the point of concern an updated assessment is completed which clearly outlines concerns as well as expectations to address these</i>
<p>Children’s Services – Stage one complaint learning <i>Complaint in relation to the quality of care provided to XX by the agency care staff</i></p>	<ul style="list-style-type: none"> <i>A new social worker has been allocated, XXX is actively involved in XXX Care Plans. Twice weekly meetings are scheduled and there are active logs in place to report any incidents whilst in the care of the provider of services</i>

Complaint details	Learning
<p>Corporate Complaints – Revenues and Benefits - Complaint in relation to Business Rates liability dispute</p>	<p><i>Learning - Reminder issued to staff and customer services to escalate calls where multiple contact has been made</i></p>
<p>Corporate Complaint – Revenues and Benefits - Complaint in relation to council overcharging for council tax 30 years ago; refund has been provided but requests compensation to be offered for this mistake</p>	<p><i>Learning - Processes for this type of situation have been reviewed and amended</i></p>
<p>Corporate Complaint – Revenues and Benefits - Complaint in relation to energy support payment was paid into an old bank account that is now 7 years old.</p>	<p><i>Learning - This was a one off energy support payment to eligible households in Wolverhampton. Customer changed her bank details at the point the data was extracted and payment was made to an old account</i></p>

Quarter 2 LGSCO Learning	Complaint details	Ombudsman Outcome/Requirement	Lessons/Action Timeframe
Quarter 2	<p>City Housing and Environment Licensing received one complaint in relation to council's delays in dealing with private hire vehicle driver's licence</p>	<p>Outcome upheld: no further action, LGSCO has confirmed that the council had already remedied –</p> <ul style="list-style-type: none"> No investigation by LGSCO 	<ul style="list-style-type: none"> Timescales for replying to licencing application reviewed by the service to ensure further delays not incurred
Quarter 2 Page 59	<p>Children's Services: SEND and Children in Need Services received one complaint in relation to failure to issue an amended Education Health and Care plan within the required time limit;</p> <p>LGSCO satisfied with how the service shares amended EHC plans following tribunal</p>	<p>Outcome, upheld, fault and injustice;</p> <ul style="list-style-type: none"> Apologise to complainant for delays and poor communication Review how the service monitors and arranges social care assessments for disabled children to ensure it completes these within a reasonable period of time Pay £250 to recognise the delays 	<ul style="list-style-type: none"> Service to review the arrangement of social Care assessment for disabled children – by February 2023 Apology and payment of compensation issued to complainant
Quarter 2	<p>Adult Services: Safeguarding/MASH Team received one complaint in relation to safeguarding enquiry at care home/care provider</p>	<p>Outcome awaiting draft report decision from the Ombudsman</p>	<p>Live case – awaiting draft</p>

Compliments

Children's and Education Services – Compliments

C&YPIc Team – *The worker was amazing and although she probably had lots of other children to support, we felt like they got a personal service from her and felt that she was just our SW as she was always available. SW does what she says she will and keeps her promises and that she is the best SW we have ever had*

Strengthening Families - *Children at XXXXXX have sent in a Thank you card to say thanks for giving them a really positive summer of fun and activities – canal boat trip, canoeing and also a sports day at the other site to have a competition. Some of the young people have also attended the 4-6 activities in XXXXXX which is amazing that they wanted to engage even more. Well done to everyone involved!*

Adult Services – Compliments

Carer and Community Support- *Brilliant to get this and your staff are lovely caring and the Council should be proud that XXXXXX and the others are an asset to you.*

Community OT Team - *I would like to send positive feedback in relation to XXXXXX. XXXX came to chat with my mum and myself about additional support for my mum's hearing impairment. XXXX was perfectly approachable and so well informed on the subject. She really made such us both feel at ease and that we could ask her anything. And I did! She is a wonderful ambassador for your team and I do hope XXXXX receives the credit she deserves*

Welfare Rights- *There is no need for improvement, your help is amazing. Thank you so much.*

Compliments

Customer Services - *I have been in contact with the officer from the customer services department of taxi Licensing who has helped me with my query and has strived beyond my expectations to resolve my problem pertaining to licensing. I have been unsuccessful in the past resolving simple questions; so naturally I was reluctant to call. However, after speaking today with this officer, I have to say my mind was put at ease due to her striving and reaching out to the relevant parties with whom my query concerned (more than one). I am pleased with her exemplary manner, her motivation for resolution and excellent etiquette. I congratulate the management for having such an excellent staff member. I kindly urge you post this officer into a senior trainers position so that her etiquette and customer relations principles can be passed down onto subordinate trainees. Having management experience I feel it is important to show recognition on the occasion when one is greeted with such a hospitable interaction*

Planning - *Thank you very much and really appreciate your hard work and prompt replies. You really are an asset to Wolverhampton City Council. The process with yourself has been really smooth and you have been extremely helpful in this process*

Waste Management- *Customer called to say thank you for completing the refuse collections on his street after the entire street was missed last week. He would like to pass on his thanks for the fantastic work the team do*

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CITY OF WOLVERHAMPTON COUNCIL	Governance and Ethics Committee 12 January 2023	Agenda Item No: 8
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Report title	Information Governance – Progress Update Report – 1 April 2022 to December 2022	
Cabinet member with lead responsibility	Councillor Paula Brookfield Cabinet Member for Governance and Equalities	
Wards affected	All	
Accountable Director	David Pattison	
Originating service	Information Governance, People and Change	
Accountable employee	Anna Zollino-Biscotti	Information Governance Manager & DPO
	Tel	01902 555166
	Email	Anna.zollino-biscotti@wolverhampton.govuk
Report has been considered by	Strategic Executive Board	13 December 2023

Recommendation for noting:

The Governance and Ethics Committee is recommended to:

1. Note the contents of the Information Governance progress update report for the period April 2022 to December 2022 which provides a summary of the work carried out under the Information Governance function for the period.

1.0 Purpose

- 1.1 To provide an update on progress of the work carried out by the Information Governance function for the period April to December 2022.

2.0 Background

- 2.1 The Council has had a robust information governance framework in place for many years following the initial consensual audits with the regulator, the Information Commissioner's Office (ICO) which took place in 2011 and 2012.
- 2.2 Work has continued since the conclusion of the audits and a strategic approach to information governance has been adopted to ensure that the Council appropriately manages its information assets; this includes managing data protection as a corporate risk and monitoring the risk via the Council's Strategic Risk Register.
- 2.3 This report provides an update relating to the responsibilities of the Council's Senior Information Risk Owner (SIRO) and outlines information governance activity and performance during the period April 2022 to December 2022. It provides assurances that information risks are being effectively managed, highlighting any key risks and areas to focus on throughout the year as well as an overview of progress in general.

3.0 Summary Statement

- 3.1 A slide set, detailing progress for the period can be found in appendix 1; along with accompanying statistics in appendix 2
- 3.2 In the aftermath of the Covid pandemic and the unprecedented challenges it placed upon the whole Council, the Information Governance (IG) team has continued to maintain its exemplary seven-year record of ensuring the Council meets its statutory compliance deadlines in relation to Data Protection and Freedom of Information legislation.
- 3.3 The IG team have continued to forge stronger working relationships with leadership teams, resulting in earlier engagement, better integration, and a more robust compliance platform for each individual leadership area.
- 3.4 Information risks have in most cases been reduced across the period or maintained at an acceptable level. Any residual risk rated amber, or red have been transferred to the 2022- 2023 IG risk register where they will continue to be monitored and managed.
- 3.5 In summary, it is the consideration of the Council's Statutory Data Protection Officer (DPO) that the Council has complied with its duties under UK GDPR, Data Protection and Freedom of Information legislation.

4.0 Financial implications

- 4.1 There are no financial implications associated with this report as Councillors are requested only to note the progress update report summarising the work undertaken by the Information Governance function for the period April 2022 to December 2022. All of

the work associated with meeting information governance requirements is undertaken utilising existing budgeted resources.

- 4.2 It is worth noting, however, that a failure to effectively manage information governance carries a financial risk. Inaccurate and out of date information can lead to poor decision making and a potential waste of financial resources. Following the implementation of the General Data Protection Regulation (GDPR), a two-tiered sanction regime with higher financial penalties is in place. Lesser information incidents can now be subject to a maximum fine of either €10 million or 2% of an organisation's global turnover, whichever is greater. More serious violations could result in fines of up to €20 million or 4% of turnover.

[SR/02122022/A]

5.0 Legal implications

- 5.1 The Council has a legal duty under the UK General Data Protection Regulation (UK GDPR), the Data Protection Act 2018, the Freedom of Information Act 2000 and Environmental Information Regulations 2004 to appropriately manage and protect information assets.
- 5.2 Failure to effectively manage information governance could increase risk of exposure to fraud and malicious acts, reputational damage, an inability to recover from major incidents and potential harm to individuals or groups due to inappropriate disclosure of info.
- 5.3 The Information Commissioner has the legal authority to:
- Fine organisations for breaches of Data Protection 2018 or Privacy & Electronic Communication Regulations. Following the implementation of the UK GDPR a two-tiered sanction regime was introduced and higher financial penalties are being adopted by the ICO.
 - Conduct assessments to check organisations are complying with the Act.
 - Serve Enforcement Notices and 'stop now' orders where there has been a breach of the Act, requiring organisations to take (or refrain from taking) specified steps to ensure they comply with the law.
 - Prosecute those who commit criminal offences under section 170 of the DPA 2018
 - Conduct audits to assess whether organisations processing of personal data follows good practice.
 - Report issues of concern to Parliament.
- 5.4 Demonstration of the Council's compliance with the current Data Protection Law protects it from legal challenges for alleged breaches of individuals' rights.

- 5.5 It is worth noting that as part of the UK's National Data Strategy and in line with its proposal to reform the UK's data protection laws, the government launched its consultation "Data: a new direction" in September 2021. The government response to the consultation was published in June 2022 and initial observations noted; however, a watching brief is to be maintained on the upcoming Data Reform Bill to ensure the Council is conscious of any impending statutory changes.

[TC/02122022/A]

6.0 Equalities implications

- 6.1 No equalities implications have been identified, either through actions or recommendations of this progress update report or from the data presented within it.

7.0 Digital

- 7.1 Collaborative work is already in place with Digital and IT and any new work initiatives identified from this progress report will be programmed into the IG work plan for the upcoming year. This will assist in ensuring that the Council has in place the appropriate technical measures outlined under data protection legislation and to ensure continued compliance.

8.0 Human Resources

- 8.1 There are no new direct human resource implications identified. As part of their operational management duties, Managers will continue to monitor and encourage take up of the mandatory refresher IG training and take necessary action accordingly.

9.0 All other Implications

- 9.1 There are no other implications arising from this report.

10.0 Schedule of background papers

- 10.1 None for Consideration

11.0 Appendices

- 11.1 Appendix 1: Information Governance – Progress Update April to December 2022
11.2 Appendix 2: Information Governance – Info-graph - April to November 2022

Information Governance

12 January 2023

Update to Governance and Ethics

Committee –

Progress April 2022 to December

2022

Purpose – Agenda

Governance and Ethics Committee are being asked to receive an update on progress for the period April 2022 to December 2022 covering the following:

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- Summary Statement for the nine month period
- Performance update for the period (April to November 2022 only)
- Update on identified risks
- Forward Plan – Work plan 22/23 - 23/24

This report was received by the Information Governance Board/SEB on 13 December 2022



Eight Month Summary Statement April – November 2022

For the reporting period April to December 2022, we can confirm the following :

- Continued compliance with statutory duties under UK GDPR, Data Protection and Freedom of Information legislation
- Improved performance – now back above 97% across both regimes (up to November 2022)
- Met our 21/22 Data Security and Protection Toolkit (DSPT) standards – no action plan required
- Information risks and incidents have been managed and mitigated as usual. Only two incidents were reported to the ICO; both no further action (NFA)
- Continuous support and collaborative work with Leadership teams
- Continued support to traded services – schools, WH, TMOs and WV Living



IG Performance - 1 April 2022 to November 2022



97.4 %
780 requests
received and
processed



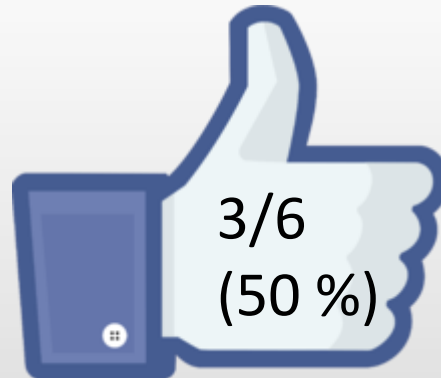
53 Information incidents reported, recorded, assessed and managed –
2 escalated to ICO – Outcome – 2 NFA

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496 Data Protection requests received and processed

98.8 %



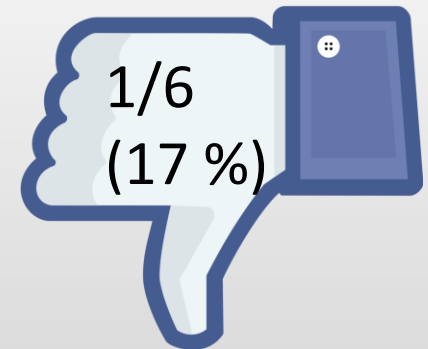
3/6
(50 %)



6/1329 (<0.5 %)



2/6
(33 %)

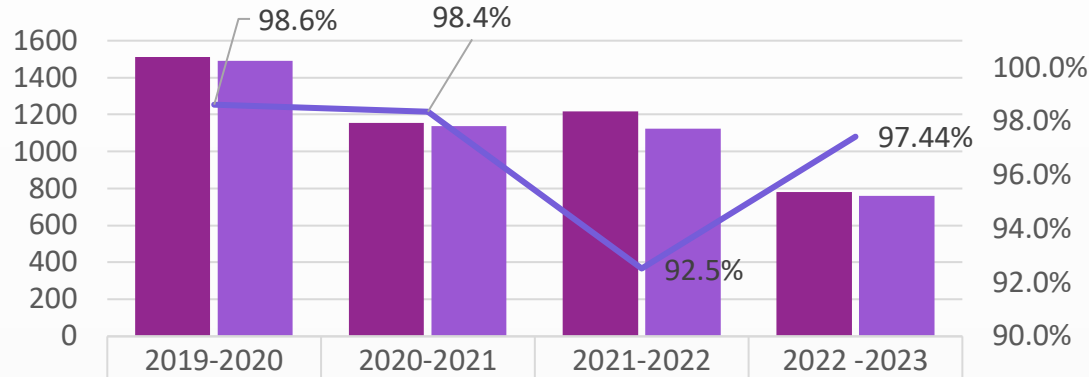


1/6
(17 %)

Performance - Information Requests



FOI Performance - Annual Comparison

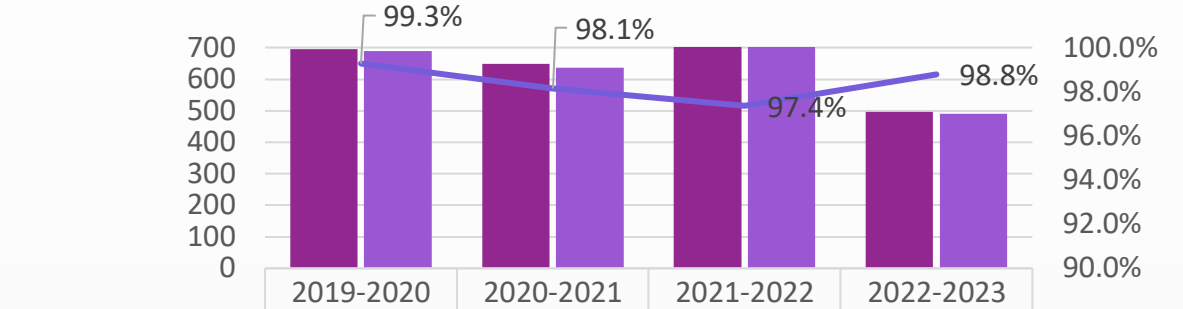


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FOI received	1513	1155	1216	780
FOI in time	1492	1136	1125	760
% Response rate	98.6%	98.4%	92.5%	97.44%

FOI received FOI in time % Response rate

DP Requests Performance - Annual Comparison



Received	695	648	756	496
Responded	690	636	736	490
Responded %	99.3%	98.1%	97.4%	98.8%

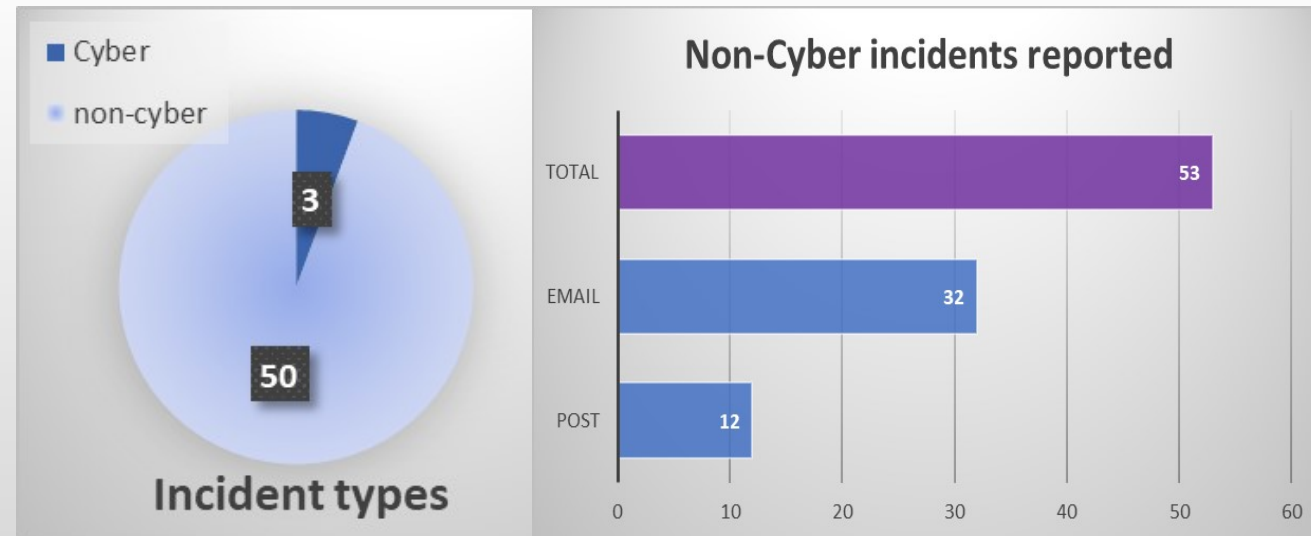
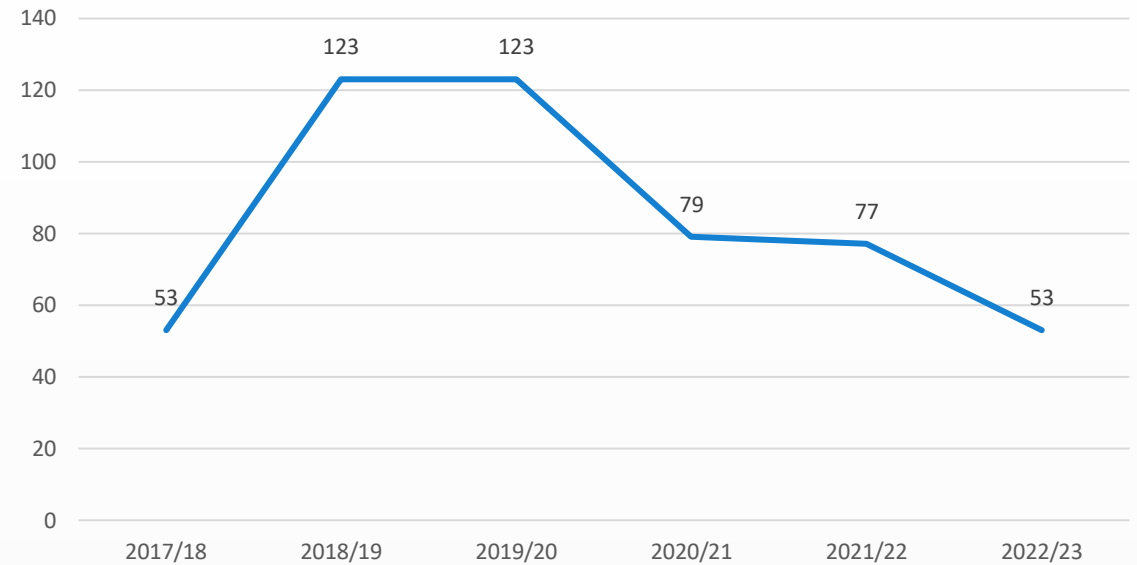
Received Responded Responded %

- Performance has improved since this point last year; now back to above 97% performance rate across both regimes. Mid term mitigations have proved to have a positive effect – resource in place until May 23
- Combined statistics – this year - (DP & FOI) 98.% compared to last years combined figures of 94.3%. This equates to a 3.5% increase.
- Projected received figures for both regimes is estimated to be 15-20% lower than previous years – the reason for this is unknown.

Corporate Performance – Information Incidents

- 53 incidents reported since April 22 to November 22 (comparable to previous years)
- Two breaches was risk assessed that required reporting to the ICO – **both confirmed NFA**
 - Failure to use BCC
 - Phishing incident
- Human error in sending emails and post to an incorrect recipient continues to be the main cause. This this equates to 83% of all breaches reported for the period
- Training and awareness continues through leadership updates; where targeted training is identified this is undertaken with each specific service
- IG team is working closely with Digital & IT in relation to Cyber Security

Information Incidents – 2017/2018 to 2022/23



Information Governance Risks

Information governance risks are scored using the RAG matrix which is also used across the council for risk management and data breaches.

- As at November 2022 there is an entry for information governance on the Council's Strategic risk register in relation to operational and technical measures

Likelihood	5					
	4					
	3					
	2					
	1					
		1	2	3	4	5
Impact						

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Areas to monitor – 2022/2023



Records Management & digital continuity

Changing landscape of Cyber security



Monitoring mandatory training compliance



New Data Protection bill



Training - update



Objective

Progress/Next steps

Monitoring & reporting

Develop and implement level 2 & 3 role based training

Page 74



Level 1

Standard Mandatory -
All employees

Level 2

Roles handling special category data –
Social Care,
Legal, HR, ICT,
IG

Level 3

Specialist roles who own or manipulate data –
I&P, PH and Information
Asset Owners (AIO) &
Administrators (IAI),

Progress to date:

- TNA carried out
- Categorised the roles that sit beneath to tier two and three categories
- Identified the training requirements for each tier
- Suggested an approach for reporting and monitoring
- Reviewed offerings from Learning Nexus (current provider); consideration of new provider where applicable
- Sat down and reviewed and agreed approach and requirements with OD

Next steps

- Finalise the individual modules per Tier
- Work with OD to ensure back-end functionality (mandates per role and escalation process)
- Develop a communication plan and roll out plan
- Implement training provision via Learning portal
- Monitor and report and escalation



Start of Q4



By end of Quarter 4

Training – approach in detail



Type	Who & When	Roles Covered	Notes
Tier 1	<p>Mandatory – all staff</p> <p>All staff in Tier 1 to complete every two years</p>	<p>All staff</p> <ul style="list-style-type: none"> • Face to Face • Those with access to ICT - Prior accessing any software mandatory training must be done first (inc. refresher/retraining) 	<p>Basic IG – Confidentiality, Looking after records, identifying and reporting a breach, cyber awareness, keeping information secure – sending/retaining/sharing/access to information</p> <p>Basic ICT (content TBC by D&IT)</p> <p>Currently covered in Protecting Information and Cyber Security Module</p>
Tier 2 Page 75	<p>Targeted – aimed at a select role based audience (effectively anyone who has people reporting to them)</p> <p>All roles identified for Tier 2 to complete interim level IG training every two years</p>	<p>HoS, Managers, Team Leaders, Social Workers, Audit, Customer Services, Elections, HR (non Business partners), Agresso, Rev and Bens, Finance, Insurance, Procurement and Commissioning, Project Team, Licencing, Communications, SEN, The Hub, Lawyers, Emergency Planning, Public Health, ICT, CCTV (Inc control centre)</p>	<p>Intermediate IG –</p> <ul style="list-style-type: none"> • Detailed DP - Confidentiality, SAR Handling, Information Sharing, Data Breaches – identifying and reporting, DPIAs, Privacy Notices, Legal Basis, Disclosure types • Basic FOI- handling and reporting, approvals, basic exemptions • Records Management - retention schedules, asset registers, process
Tier 3	<p>Specialist training for specialist/technical roles</p> <p>Specialist roles – all roles identified to complete the Advanced IG training - every two years</p> <p>Technical training - all roles identified to complete specific training within a timeframe identified for role (e.g. annually)</p>	<p>Technical roles DPO, SIRO, Caldicott, Directors and Asst Directors, Cyber Officer (CIO),</p> <p>Specialist Roles Children and Families Lawyers, Social Care Managers, ICT Specialist (security, Architecture, design etc), Data Analytics, HR business partners, Senior Insurance, RAA, SEN Managers, IG and Customer Liaison, Asset Owners, RIPA Approvals</p>	<p>Advanced IG will cover</p> <ul style="list-style-type: none"> • FOI/DP qualification • Detailing sharing and disclosure training • Information Risk management <p>Technical training – as required for each role</p>

Policy Framework - update



Completed

In progress/next steps

Level 1 – external policy documents

CITY OF
WOLVERHAMPTON
COUNCIL



19



5

Five policies published and live for general public (and employees)

Page 76

Level 2 – Internal procedures

26

Level 2 Procedure document drafted



21

Procedures published on intranet for staff to access



- Continue to collaborate with Digital I& IT on ICT on information security themed initiatives and linked procedures
- Finalise and publish the remaining five linked procedures
- Communicate and signpost employees to the new procedures



5

Procedures still in progress and dependent on Collaboration work with D&IT



Leadership Update



- Continuation of adhoc support and guidance.
- Leadership meetings attended -
 - Update on FOIS/SARS/Breaches/Training
 - Update on trends and themes
 - Priority work discussions
 - Forward planning - Training themes and key projects
- Support on generic IG - DPIAs, Privacy Notices, DPIA support, information sharing and policy development
- Targeted support and contribution to projects and initiatives and delivery of training



Leadership Work – enabling, informing & supporting



Adults – families
Front Door



Children & Education
Adoption Finance T&F
Letterbox A@H T&F



Children & Education
Digital Approach T&F



Children & Education
SWIS



Children & Education
RRR – reducing repeat
removals



Children & Adults –
Integrated Care
Management
Solutions

Page
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Governance –
Staff benefits



Children & Education
ISA with Schools



Children & Education
Sen Transitions



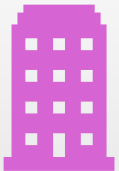
Children & Education
Family Hubs & Start
for Life



Governance –
HR compliance check



Governance –
Electoral Register Portal



City Assets –
Third party
Civic Centre usage



Regeneration –
FOI/EIR guidance &
Engagement process



Digital & IT–
MDM,
Omni Channel
Replacement Contact
Centre



Data & Analytics
LIFT



Governance –
H&S Risk Register



Public Health
Health Checks/DPIA
support



Digital & IT–
Cyber security plan

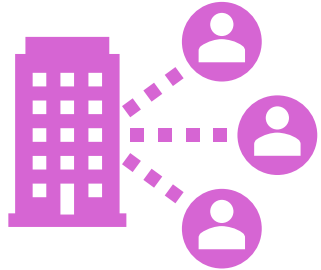


Housing- support – TMOs,
WV Living, WH

Collaborative leadership, council & city wide work

— enabling, informing & supporting

Collaborative Working – once Council



- Digital & IT
- Data & analytics
- Information Governance

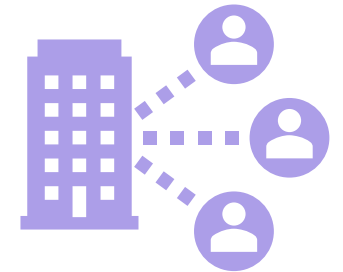
- MS Azure Labels – information rights management
- Bring Your Own Device (BOYD)
- Phishing Campaigns
- MS Teams
- FOI – process improvement
- FOI – transparency agenda – publish data sets
- Supporting the Data Strategy across the council

Forward Planning

- more strategic collaboration and roadmap alignment
- Widen scope

Wider collaborative working & corporate support

Multi-leadership teams



- Youth unemployment 18-24 – project and programme support
- City ideas fund
- Ignite project
- Traded Services (education) programme Board
- PH and Social Care – COPI expiry
- Omni-channel/master data management

City Wide partnership working

Working with local and regional health partners –

- Place Based Partnership One Wolverhampton Governance & Informatics group
- Black Country & West Birmingham IG group
- Information Sharing Gateway



IG Workplan 2022/23 – 2023-2024 – priority areas

Priority Work activities		Period 2022-23/24 Deadline
Information Asset Registers	Continuous Activity: Continuation of review and consolidation of IARs with the updated template with leadership teams; review and update ownership and disposal schedules accordingly.	All year
Training	In progress: Introduce scheduled themed/topic training; scheduled e-bytes; drop-in sessions and surgeries - develop a linked strategy with Organisational Development In progress : tiered training - closely monitor uptake throughout the year. Collaborative work with Digital & Analytics and Operational Development to build a robust monitoring mechanism. In progress : include training progress reporting in leadership quarterly update meetings	Q2 – Q4 Q4 Q1- Q4 2023-24
Policies	Near completion : Finalise remaining five procedure and guidance documents to support framework. Publish on intranet when complete	Q4
IG intranet	Not started: Development and completion of IG intranet pages; include a repository for leadership documents. Governance portal provides a temporary repository	All year
Records Management	In progress: Programme of work to be developed covering digital continuity, records retention and system migration. Potential programme approval to be sought from IGB once developed	Q1-Q4 2023-2024
Collaborative working	In progress: Continued collaborative working with Data & Analytics, Digital and IT, Operational Development. Align road maps and strategies	All year

Key milestone activities only – other work progressed through Leadership working

IG Forward plan – key activities/milestones



Our Assets



Our Data



Our Digital



Our Money



Our People

Q3 2022/23	Q4 2022/23	Q1 2023/24
Quarterly leadership meeting progress update	Quarterly leadership meeting progress update	Year end Round up - Leadership progress report
Level 2 procedure documents completed and published for all staff to access	Training – Tier 2 & Tier 3 training modules implemented Tier 1 performance census	Collaborative working – strategic roadmap alignment with Data & Analytics, Digital & IT approved
Training – Tier 2 & Tier 3 training modules finalised; back-end functionality requirements finalised	Collaborative project/work packets delivered Azure Classification Action plan – rollout	Records management strategy drafted Approval from SIRO & IGB – mid Q2 update
Eight month IG Progress update report to Governance & Ethics 12 Jan 23	Collaborative working – roadmap alignment drafted with Data & Analytics, Digital & IT	2022/23 Annual SIRO report & 6 month progress report – initial draft

KEY

IG Framework

Reports

Projects

Ongoing Compliance

Questions

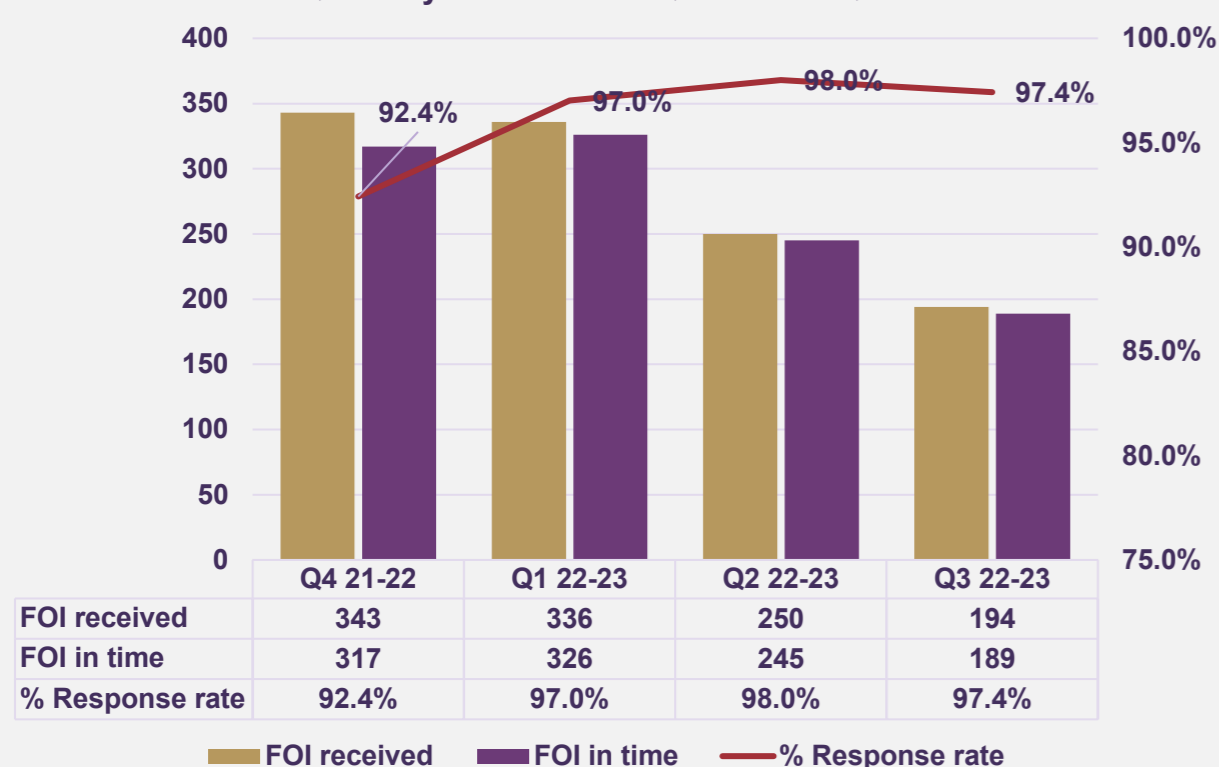


Information Governance

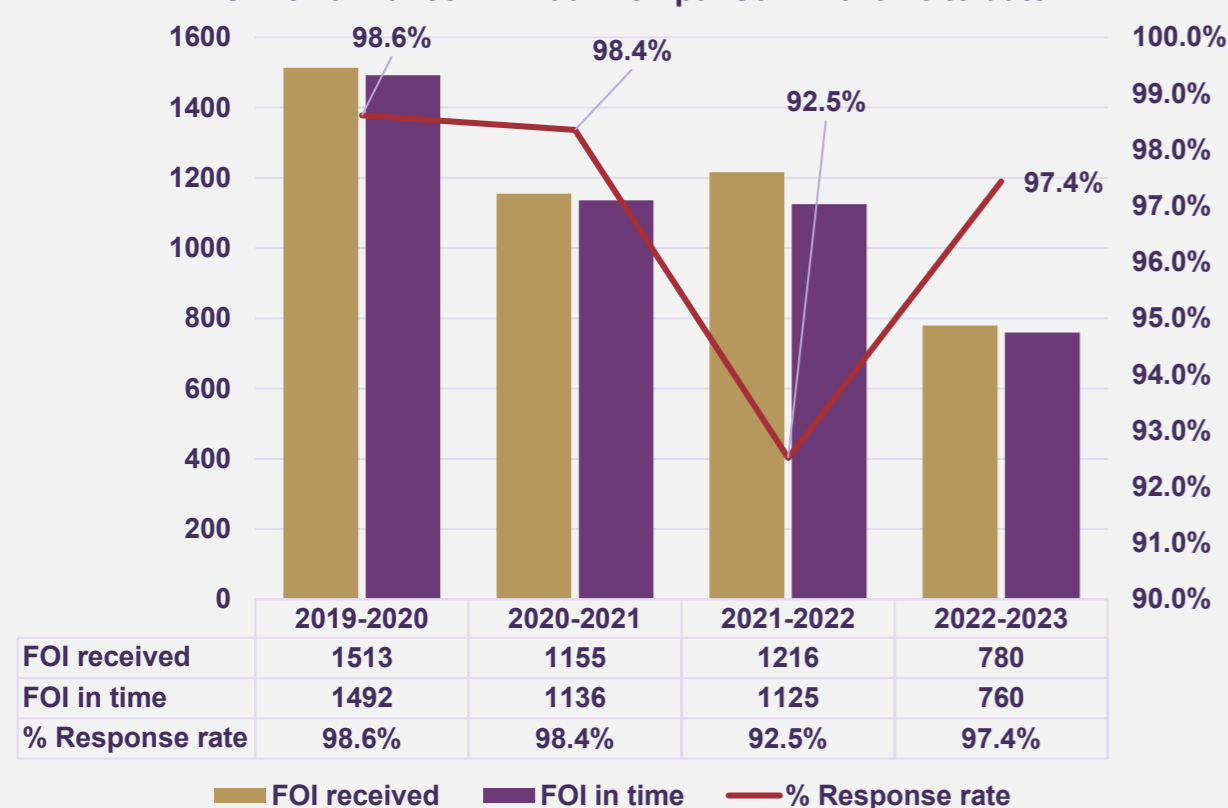
April 2022- November 2022

Freedom of Information

FOI Quarterly Performance Q4 21-22 to Q3 22-23



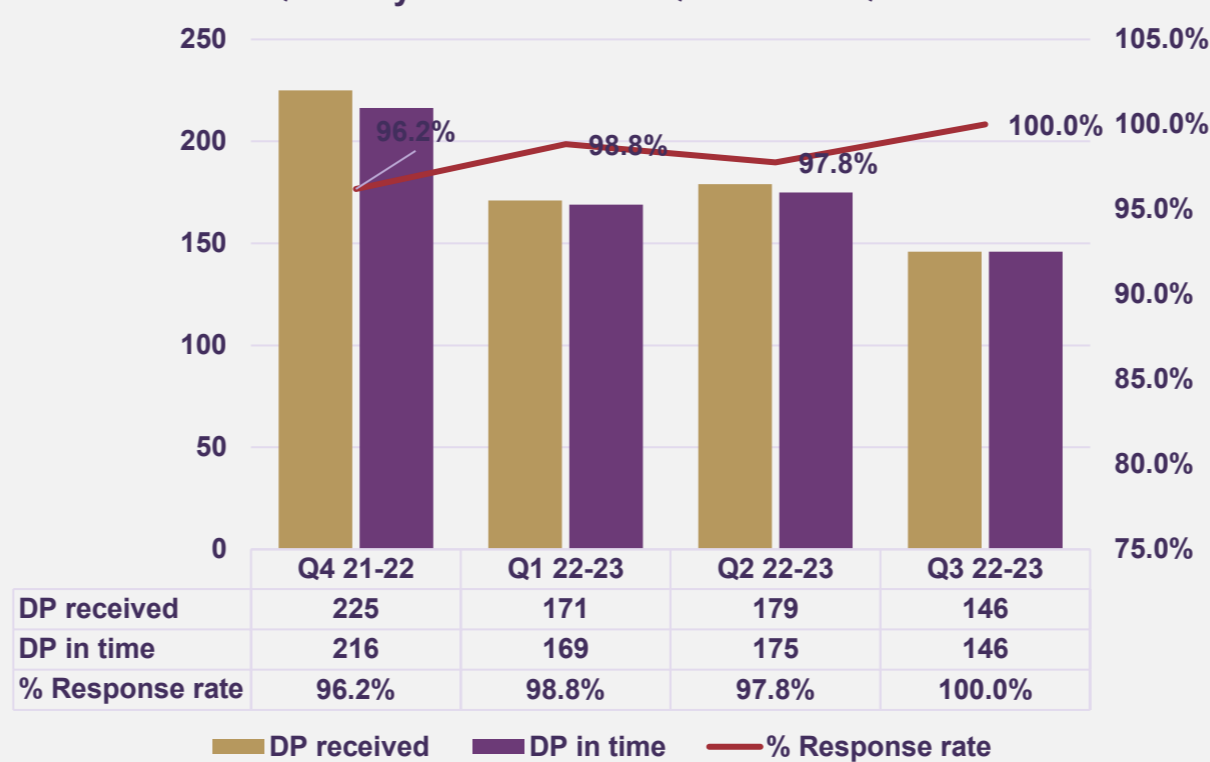
FOI Performance - Annual Comparison - 2019/20 to date



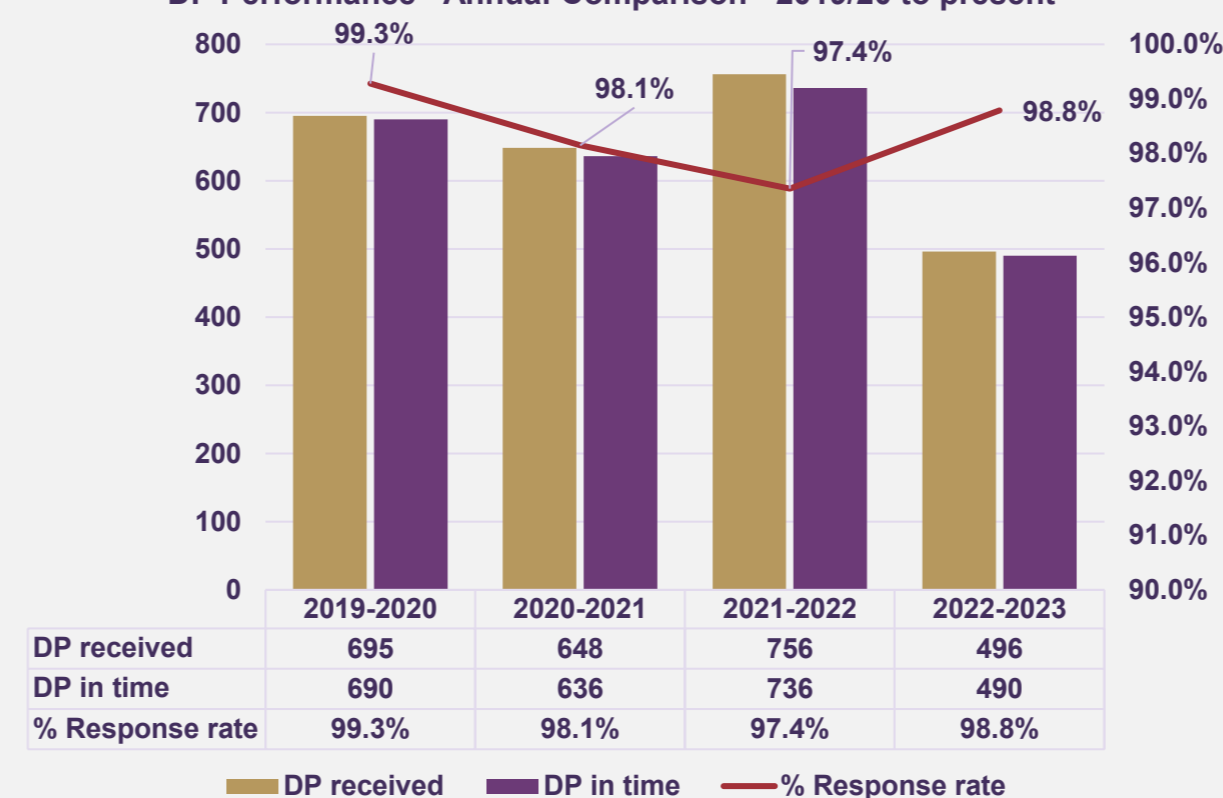
Performance has improved for the period in comparison to the figures at this point last year. The Council continues to exceed the 90% target response rate set by the regulatory authority the ICO. Projected volumes appear to be lower than the previous years - reason unknown.

Data Protection

DP Quarterly Performance - Q4 21-22 to Q3 22-23



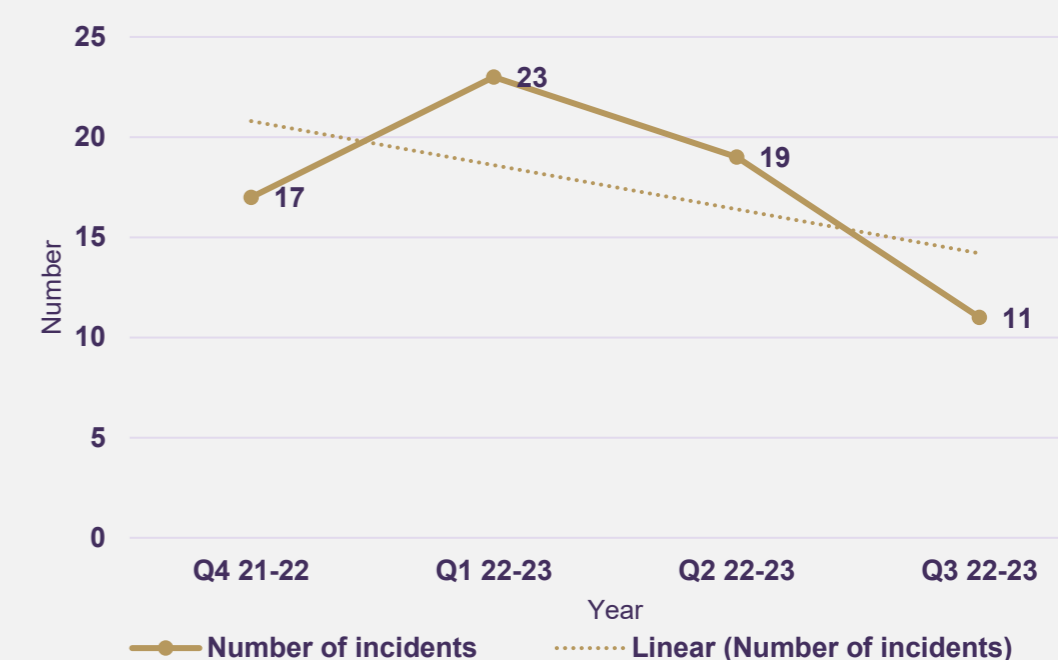
DP Performance - Annual Comparison - 2019/20 to present



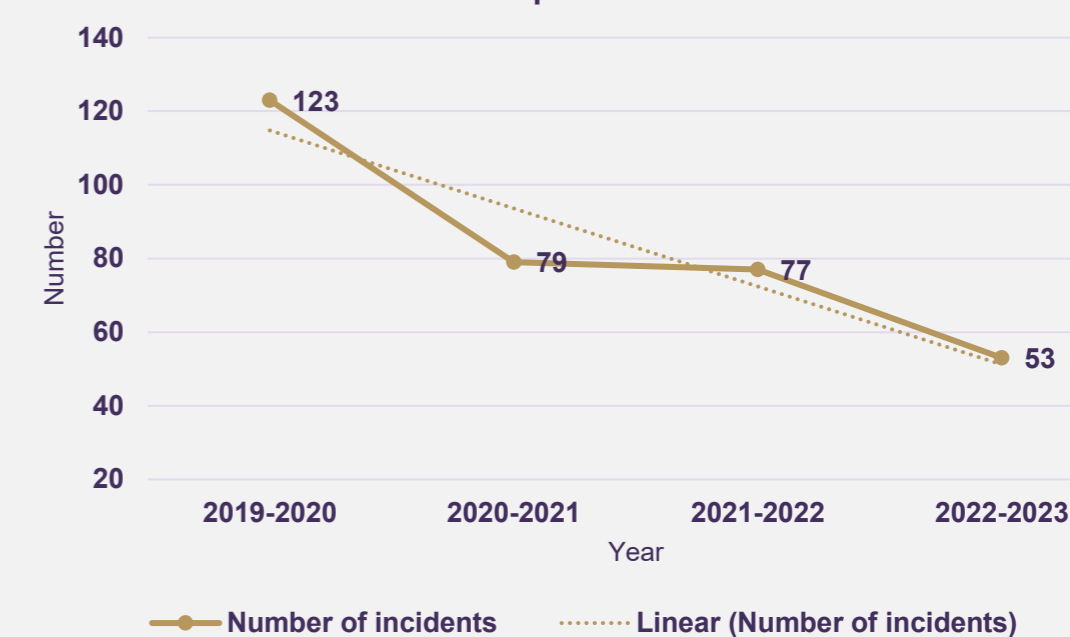
Performance has improved for the period in comparison with the figures at this point last year. For Q3, as at November 22, all requests have been answered within time. Disclosure requests received from other professional bodies (Police, other LAs) continue make up the bulk of requests received. Predicted volumes on the whole appear to be lower than the previous year.

Information Incidents

Number of incidents - Quarterly performance Q4 21-21to Q3 22-23



Number of incidents to Annual Comparison 2019-20 to present



The volumes of incidents reported this year are comparable with the previous year, but are still reduced from those seen pre-pandemic levels. The largest category of breaches occurring continues to be emails or post sent to the wrong recipient. Two cases were of high enough risk to be reported to the ICO.

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