

Scrutiny Board

21 July 2015

Time 6.00 pm **Public Meeting?** YES **Type of meeting** Scrutiny
Venue Committee Room 3 - Civic Centre, St Peter's Square, Wolverhampton WV1 1SH

Membership

Chair Cllr Stephen Simkins (Lab)
Vice-chair Cllr Barry Findlay (Con)

Labour

Cllr Ian Angus
Cllr Philip Bateman
Cllr Alan Bolshaw
Cllr Paula Brookfield
Cllr Craig Collingswood
Cllr Dr Michael Hardacre
Cllr Lorna McGregor
Cllr Peter O'Neill
Cllr Rita Potter
Cllr Jacqueline Sweetman

Conservative

Cllr Arun Photay

Quorum for this meeting is four Councillors.

Information for the Public

If you have any queries about this meeting, please contact the democratic support team:

Contact Jonathan Pearce
Tel/Email 01902 556162 or jonathan.pearce@wolverhampton.gov.uk
Address Democratic Support, Civic Centre, 2nd floor, St Peter's Square,
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

Item No. *Title*

MEETING BUSINESS ITEMS

- 1 **Apologies for absence**
- 2 **Declarations of interest**
- 3 **Minutes of the previous meeting (30 June 2015)** (Pages 3 - 6)
[To approve the minutes of the previous meeting as a correct record.]
- 4 **Matters arising**
[To consider any matters arising from the minutes.]

DISCUSSION ITEMS

- 5 **Corporate Performance Report Quarter 4 and Year End 2014/15** (Pages 7 - 24)
[To consider amber rated performance indicators, and suggest which indicators should be prioritised to prevent under-performance in the future.]
- 6 **Complaints Report Quarter 4 2014/15** (Pages 25 - 46)
[To review complaints management and performance for the period April 2014 to March 2015.]
- 7 **Information Governance Quarter 4 Performance and Year End Report** (Pages 47 - 54)
[To review and comment on the quarter four and year end performance for Information Governance, and recommend any further necessary actions.]

Scrutiny Board

Minutes - 30 June 2015

Attendance

Members of the Board

Cllr Ian Angus
Cllr Philip Bateman
Cllr Alan Bolshaw
Cllr Paula Brookfield
Cllr Craig Collingswood
Cllr Barry Findlay (Vice-Chair)
Cllr Arun Photay
Cllr Rita Potter
Cllr Stephen Simkins (Chair)
Cllr Jacqueline Sweetman

Employees

Adam Hadley	Group Manager - Democracy
Charlotte Johns	Head of Transformation
Mark Taylor	Director of Finance

Part 1 – items open to the press and public

Item No. *Title*

- 1 **Apologies for absence**
Cllr Simkins welcomed those present to the new Board and outlined a proposal for Scrutiny Chair and Vice-Chair meetings. He also welcomed Cabinet Member participation for future meetings.

Apologies for absence were received from Cllr Hardacre, Cllr O'Neill, Cllr McGregor, Cllr Johnson, Keith Ireland and Kevin O'Keefe.
- 2 **Declarations of interest**
Cllr P Bateman declared a pecuniary interest for his works in transport. Cllr Sweetman also declared a pecuniary interest due to her consultancy work.
- 3 **Minutes of the previous meeting (28 April 2015)**
Resolved:
 That the minutes of the meeting held on 28 April 2015 be approved as a correct record and signed by the Chair.
- 4 **Matters arising**
Adam Hadley, Group Manager – Democracy, explained to the Board that the Annual Scrutiny Report will be presented to Council in July.

5 **Election of Scrutiny Board Vice-Chair**

Cllr Simkins proposed and Cllr Bolshaw seconded, and it was resolved that Cllr Findlay be elected as Vice-Chair for Scrutiny Board for the 2015/16 municipal year.

6 **The Corporate Plan and Wolverhampton Way**

Charlotte Johns, Head of Transformation, presented an overview of the Corporate Plan and Wolverhampton Way documents. The Corporate Plan is a 'plan on a page' document that gives high level summaries of service area priorities. It identifies key deliverables that are evidence based as well as performance measures that can be monitored at committee meetings. The plan has been considered by the Cabinet and will be presented at Full Council on 15 July 2015. The Wolverhampton Way outlines officer values and key behaviours of employees.

Cllr Bateman stated the importance of the document, particularly its reference to the Combined Authority.

Cllr Bateman raised some additional areas he felt the document should cover. Firstly, he observed that it does not mention promoting the City's history and culture. The Head of Transformation explained that this is referenced implicitly throughout the document and that there is a work stream dedicated to monitoring visitor usages of cultural sites. Secondly, he outlined that there was no mention of promoting fire safety. This was not explicitly mentioned in the document as this workstream is addressed by the City Board; however, it was agreed this would be discussed with the Leader. Finally, Cllr Batemen commented that the use of public transport and coaches should be highlighted as it was financially beneficial to the City. He was assured that coaches are a key part of the transportation plan, but that this could also be put forward as an amendment in the final draft.

Cllr Brookfield voiced concern about the drop in fire station numbers and praised the preventative work the service organises with schools. She also noted that smaller issues such as grass cutting and street cleaning should not be overlooked by the plan. Mark Taylor, Director of Finance, reassured the Board that for the 2015/16 financial year the Council is confident it can balance its books. He noted that future governmental cuts could affect the Council and there would be greater challenges in future years.

Cllr Collingswood echoed comments about fears for the future of fire stations. He also praised the document by commenting that it looked stylish, but noted that some of the targets were vague. The Head of Transformation explained that 'underneath' the plan on page there is robust methodology to agree how data will be documented to benchmark and monitor progress. She added that the plan provides an overview and that there are other indicators that will sit in service level layer of the plan. Dashboards will be prevalent to allow people to easily monitor data. She also clarified that the Wolverhampton Way will promote core values with tangible workstreams, but that this will be a gradual change.

Cllr Sweetman voiced concern that there was no direct mention in the plan of how the Council will examine voids in retail offer. She noted this would be easy to monitor and that was important as the plan will be a PR document for prospective businesses wanting to invest in the region. She was complimentary about the rest of the document. Cllr Photay also approved of the corporate feel of the document, but

called for work to be done in the communities, such as improving the signage, to ensure that the document's fresh feel is supported by practice.

Cllr Bolshaw requested that the changes in how children are assessed at school are also taken into account when monitoring school performance. He also called for the Council to support schools where possible, but noted the current circumstances

Cllr Findlay also praised the feel of the document, but commented that more should be done to ensure local businesses receive support from the Council. The Director of Finance agreed and explained how the new Procurement Strategy will aim to ensure more contracts go to local businesses. He noted the challenges of this, but stated it was important for the Council to be more accessible to businesses.

Cllr Potter raised the issue of employability for an older generation who are skilled, but unemployed. The Corporate Plan identified key areas for how to get people back into work such as the skills commission, adult education and retraining packages. Cllr Brookfield related this issue to the Goodyear site and wanted to know how the Council had addressed job losses in the area. In response the Board was assured that the Strategic Director for Place is in regular contact with businesses in the area and had held meetings with the Leader and MPs to discuss the outcomes of the situation. A briefing note can be shared with the Board to keep them informed of developments. Cllr Sweetman added that better communications would be beneficial for sharing Council success stories. It was agreed that the Council should use as many channels as possible to communicate with external parties and the public.

Resolved:

- 1) To feedback the comments made by the Board to the Leader of the Council for consideration.
- 2) To circulate a briefing note to the Board explaining the situation at Good Year and the strategy for getting people back into employment.

7 ICT Strategy and Digital Strategy

Andy Hoare, Head of ICT, presented the ICT and Digital Strategy reports together. He explained these strategies are linked, with the Digital Strategy being outward facing document and the ICT Strategy being inward facing.

The Head of ICT explained the previous ICT strategy was based on replacing the mainframe and needed renewing as technology has changed significantly over the last five years. The strategy needs to be flexible and cost effective, and will cover a shorter, three year period. It will prioritise Council communication with customers allowing services to be accessible whenever and wherever people want. Better use of technology will also save money as processes become more efficient.

Cllr Bolshaw raised the issue of employees working from home. The Head of ICT explained the strategy will enable employees to work smarter and give them more choice. Some of these plans include: office 365, a new customer relationship management system, and live chat on the Council homepage. These will be digitally inclusive and support will be provided to community centres and libraries to ensure people are able to access the technology. The Head of ICT also noted that whilst the technology was important, there was a fundamental need for policy to support the changes being made.

Cllr Angus praised the papers' intentions and made a suggestion for the documents to be written in a manner that would make them accessible to people with limited ICT knowledge. There was a consensus that the strategies were welcome and technology should be embraced. There was also agreement that the Council should aim to use more of the features on the packages to ensure best value for money.

Cllr Bateman noted that there is an issue that superfast broadband is not provided in the key commercial area of the City and that this needs addressing. In response, Councillors were assured the Council is unable to access a voucher scheme for this coverage support, but is finding alternative ways to achieve coverage.

Resolved:

- 1) That the ICT and Digital Strategy documents incorporate more user friendly language.
- 2) That Councillors receive an updated copy of the draft and make comments.

9

Work programme

Adam Hadley, Group Manager – Democracy, presented the work programme. Officers will work with Scrutiny Chairs to formulate a plan for the year, which will be shared at the September meeting. The three proposed reviews for the year were:

- Child sexual exploitation
- City volunteering
- Electoral engagement and registration

Cllr Brookfield clarified a point she had made at one of the planning events that she wanted to consider safeguarding with relation to GP performance. This was added to the Adults and Safer City Scrutiny Panel work programme.

Cllr Simkins thanked the Scrutiny Team for their work preparing the planning events. He then explained that next year these sessions will run before purdah, so inquiries and work plans can be active as soon as possible. He also encouraged panel chairs to run task and finish groups on the proviso that they had tangible outcomes. The Group Manager – Democracy explained that panels have recourse to call external bodies, such as the police, in to meetings and make recommendations for them to respond to.

Cllr Simkins drew the meeting to a close by thanking Cllr O'Neill for the previous year's work and foundations he had set for the Board.

Resolved:

- 1) That safeguarding issues at GP surgeries be added to the Adults and Safer City Scrutiny Panel work programme, and GP performance to be added to the Health Scrutiny Panel.
- 2) That the work programme be agreed
- 3) That the child sexual exploitation, city volunteering and electoral engagement and registration reviews be agreed.



Scrutiny Board

21 July 2015

Report title	Corporate Performance Report – Quarter 4 2014/15	
Cabinet member with lead responsibility	Councillor Roger Lawrence Leader	
Wards affected	All	
Accountable director	Keith Ireland, Managing Director	
Originating service	Policy	
Accountable employee(s)	Adam Hadley Tel Email	Group Manager - Democracy 01902 555043 Adam.hadley@wolverhampton.gov.uk
Report to be/has been considered by	Cabinet (Performance Management) Panel Members of Senior Executive Board	15 Jun 2015 2 Jun 2015

Recommendation(s) for action or decision:

The Scrutiny Board is recommended to consider the two indicators within this report rated amber, and suggest which indicators should be prioritised to prevent under-performance in the future.

1.0 Purpose

- 1.1 To report on the performance of all corporate performance indicators for Quarter four 2014/15 (January – March 2015).

2.0 Background

- 2.1 For 2014/15 a single set of 36 performance indicators has been identified that focus on monitoring progress towards delivery of the Corporate Plan. These are broken down by corporate theme as follows:

- Encouraging Enterprise and Business – nine Indicators
- Empowering People and Communities – 14 Indicators
- Re-Invigorating the City – seven Indicators
- Confident, Capable Council – six Indicators

- 2.2 Data for 25 indicators has been reported up to and including Quarter four 2014/15 and is included in this report.

3.0 Changes to report structure and content

- 3.1 The format for the quarterly performance report has been revised for 2014/15 and now includes the following sections:
- **City Scorecard** – A benchmarking report covering high level outcome indicators for the City and setting out the quartile position of Wolverhampton relative to other English local authorities
 - **Exception Report** – Analysis and commentary of performance indicators rated red, signifying that they are under-performing
 - **Performance of corporate indicators** – Detailing the performance of corporate performance indicators against targets, and where applicable highlighting the direction of travel compared with the same period, 12 months previously.

4.0 Summary of performance

- 4.1 **City Scorecard:** All of the seven indicators included in the benchmarked City Scorecard are ranked in the bottom quartile of all English local authorities.
- 4.2 **Exception Report:** The following three measures (8% of the total) are currently rated as Red, and therefore under-performing:

- Rate of Looked after Children (LAC) (per 10,000 population)
- Average number of working days lost due to sickness absence
- Percentage of employees who have a current appraisal

Two of these measures were rated as Red in the previous Corporate Performance Reports (Quarter three) and are covered in more detail in the exception report section.

4.3 Performance of corporate indicators: In Quarter four, data has been reported for 25 (69%) of the 36 indicators. The remaining eleven indicators are either reported at greater intervals than quarterly, or the data is not yet available.

Overall, three (8%) indicators are rated Red and are off-target; six indicators (17%) are Amber and are therefore of concern, and twelve (33%) are rated Green and therefore on-target. Of the remaining indicators, four (11%) are base-lining in 2014/15. A summary of indicator performance by corporate plan theme is included in the report.

5.0 Financial implications

5.1 Monitoring of the performance indicators highlighted in this report is integral to the monitoring of the budget. Where there are areas of underperformance there is often a direct impact on the budget and medium term financial strategy. The impact is assessed and monitored on a case by case basis and fed in to the budget process.

[GE/29062015/D]

6.0 Legal implications

6.1 There are no direct legal implications arising from this report.

[RB/29062015/W]

7.0 Equalities implications

7.1 Most of the performance measures in this report have equalities implications, however there are no equality implications relating to this report.

8.0 Environmental implications

8.1 Some performance measures relate to services and outcomes with implications for the local environment. There are however, no specific environmental implications arising from this report.

9.0 Human resources implications

- 9.1 Some of the performance measures incorporate human resource information, but there are no direct financial implications arising from this report.

10.0 Corporate landlord implications

- 10.1 There are no corporate landlord implications arising from this report

11.0 Schedule of background papers

Cabinet (Performance Management) Panel 15/09/14
Cabinet (Performance Management) Panel 17/11/14
Cabinet (Performance Management) Panel 23/02/15

Corporate Performance Report Quarter 4 2014/15: City Scorecard

This section sets out the quartile position of Wolverhampton's performance relative to all other English local authorities for the following outcome indicators. Data and graphics are sourced from the Local Government Association's [LG Inform](#) system.

Employment rate (working age population)*



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Latest DoT
63.4% (Q3 2014) ↑ 2.1%

The employment rate measures the number of people in employment against the working age population (WAP) (WAP 151,900 – number in employment 94,300). Changes can be caused by a number of factors including; fluctuations in population, the levels of economically inactive residents such as students and those not looking for work, and variations in the labour market. This is likely to be the case in Wolverhampton as the numbers of Job Seekers Allowance claimants has decreased.

Activities during the quarter:

- Working well week – a range of 40 events aimed at assisting people into work and training, as well as helping them to live healthier lives. As part of the week, a jobs fair was held at the Molineux attended by nearly 2,500 local residents
- Wiggle – announcement that major sports retailer will be locating at Citadel junction in Bilston bringing 300 jobs. Recruitment support via City Council
- Smyths Toys plans to open new store in Bilston – creating 30 jobs

Percentage of children in low-income families



Latest DoT
29.2% (2012) ↓ 4.6%

A summary of activity is as follows:

- Financial Inclusion – Public Health Replacement Fund monies secured to fund a pilot testing personal budgeting support in advance of the rollout of universal credit, employment and skills.
- Employment and Skills – see above. Community enterprises team actively engaging with targeted communities. Family poverty is a priority within European investment strategy.
- Educational attainment. Early intervention and skills – Children and Young People's Plan launching 25th February 2015.
- Housing and Neighbourhoods – Inclusion Board is developing a fuel poverty pilot.

*Indicators are also City Strategy top-tier indicators

Key

- Top quartile performance
- Second quartile performance
- Third quartile performance
- Bottom quartile performance

Corporate Performance Report Quarter 4 2014/15: City Scorecard

Life expectancy at birth (male)*



Latest **DoT**
77.4 Yrs (2010/12) ↑ 0.1%

The latest data indicates a marginal improvement in male life expectancy in Wolverhampton – 77.4 years (2010-12). However, this is 1.8 years less than the England average of 79.2 years.

Whilst it is encouraging that life expectancy is increasing, a male in Wolverhampton can expect to live just over 58 years free of any disability which is three years less than the national average of 61 years. This means that males in Wolverhampton may have up to 19 years of increasing disability before death. Therefore, action is required to increase both disability free life expectancy as well as overall life expectancy.

The top three causes contributing to death before the age of 75 years in Wolverhampton are: Infant mortality, heart disease and alcohol. Public Health priorities to address smoking, alcohol and obesity will address these major causes of local mortality and will also impact on increasing disability free life expectancy.

Life expectancy at birth (female)*



Latest **DoT**
81.7 Yrs (2010/12) ↑ 0.1%

The latest data indicates a marginal improvement in female life expectancy in Wolverhampton – 81.7 years (2010-12). However, this is 1.3 years less than the England average of 83.0 years.

Whilst it is encouraging that life expectancy is increasing, a female in Wolverhampton can expect to almost 61 years free of any disability which is two years less than the national average of 61 years. This means that females in Wolverhampton may have over 20 years of increasing disability before death. Therefore, action is required to increase both disability free life expectancy as well as overall life expectancy.

The major causes contributing to death before 75 years listed for males and the Public Health priorities are equally applicable for females to improve both disability free and overall life expectancy.

*Indicators are also City Strategy top-tier indicators

Key

- Top quartile performance
- Second quartile performance
- Third quartile performance
- Bottom quartile performance

Corporate Performance Report Quarter 4 2014/15: City Scorecard

Adult prevalence of excess weight



Latest DoT
58% (2012) N/A

Poor dietary choices and physical inactivity are the main contributors to the high estimated prevalence of excess weight in adults in Wolverhampton. The Director of Public Health Annual Report on obesity has triggered a series of work streams known as the Call to Action Programme, following the obesity summit held in November 2014:

- Workplace health
- Communication and engagement
- Community call to action – working well week
- Weight management and physical activity pathway

The obesity summit also launched the million miles for Wolverhampton and the millions pound for Wolverhampton challenge. These work streams and initiatives which alongside organisational pledges, alongside local organisational pledges will inform an action plan to begin to tackle the issue of excess weight within the population.

Obesity in primary school age children in year 6



Latest DoT
26.2% (2013/14) ↓ 7.4%

The weight management and physical activity pathway of the Call to Action programme will be a life course approach to tackling obesity and will include children. Currently there is a weight management programme for children aged 5-7 years that are identified as obese through the National Childhood Measurement Programme. Work is underway to commission a weight management programme for children aged 8-11 years.

These programmes address both healthy eating and physical activity, working with families. Implementation of the school food standards and the school food plan may impact on healthy eating within the school setting and the promotional work through the Call to Action Programme will aim to address healthy eating within the community.

*Indicators are also City Strategy top-tier indicators

Key

- Top quartile performance
- Second quartile performance
- Third quartile performance
- Bottom quartile performance

Corporate Performance Report Quarter 4 2014/15: City Scorecard

Achievement of 5 or more A*-C at GCSE or equiv.



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Latest
46.4% (2013/14)

DoT
↓ 23.9%

These figures are for end of academic year i.e. summer 2014 results. Key stage 4 is not directly comparable with 2013 because of changes made to the calculation of what counts as a GCSE.

The early entry rule:

“On 29 September 2013 the Secretary of State announced that, from this date, only a pupil’s first entry to a KS4 qualification counts towards their school’s performance measures. The early entry rule will apply even where qualifications are taken with one exam board and then re-taken with another. Although this new rule does not prevent schools from entering pupils for examinations before the end of key stage 4, it aims to focus attention on whether pupils have been sufficiently prepared to achieve the very best possible outcome in that subject. Pupils can sit an examination more than once but it will be their first certificated grade in that subject that will be used for performance measures.”

The new GCSE equivalency rule is:-

From 2014 qualifications will only be included if they are the same size as a GCSE or larger and each qualification will count as one in the tables, irrespective of size. A maximum of two non-GCSE qualifications will be included in the performance tables and measures. Previously a BTEC (for example) could count as 4 GCSE equivalents but now only counts as one.

*Indicators are also City Strategy top-tier indicators

Key

- Top quartile performance
- Second quartile performance
- Third quartile performance
- Bottom quartile performance

Corporate Indicators: Summary of performance indicators by Corporate Plan theme

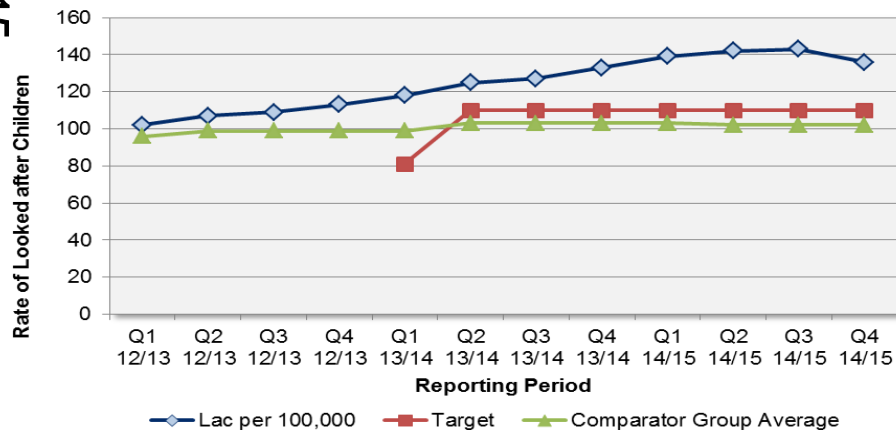


Indicator Name: Rate of Looked after Children (LAC) (per 10,000 population)

Performance: 136

Current rating: ▲

Period	Qtr. 1 2012/13	Qtr. 2 2012/13	Qtr. 3 2012/13	Qtr. 4 2011/13	Qtr. 1 2013/14	Qtr. 2 2013/14	Qtr. 3 2013/14	Qtr. 4 2013/14	Qtr. 1 2014/15	Qtr. 2 2014/15	Qtr. 3 2014/15	Qtr. 4 2014/15
Actual	102	107	109	113	118	125	127	133	139	142	143	136
Target					81	110	110	110	110	110	110	110
Benchmark	96	99	99	99	99	103	103	103	103	102	102	102



Commentary:

While the number of looked after children remains above target, there has been a noted decline in numbers throughout the year. Analysis has evidenced that the Families R First programme has significantly slowed down the rate of increase and therefore prevented approximately 128 children becoming looked after when compared to rates for 2013-2014. Using this method, it is estimated that (if Families R First hadn't been in place) there would have been circa 900 children in care in Wolverhampton by March 2015.

Further detailed planned projections for reducing LAC are in place for 15/16 and are being monitored monthly. In addition, a whole system review is currently in development which should impact significantly on reducing demand.

Corporate Indicators: Summary of performance indicators by Corporate Plan theme



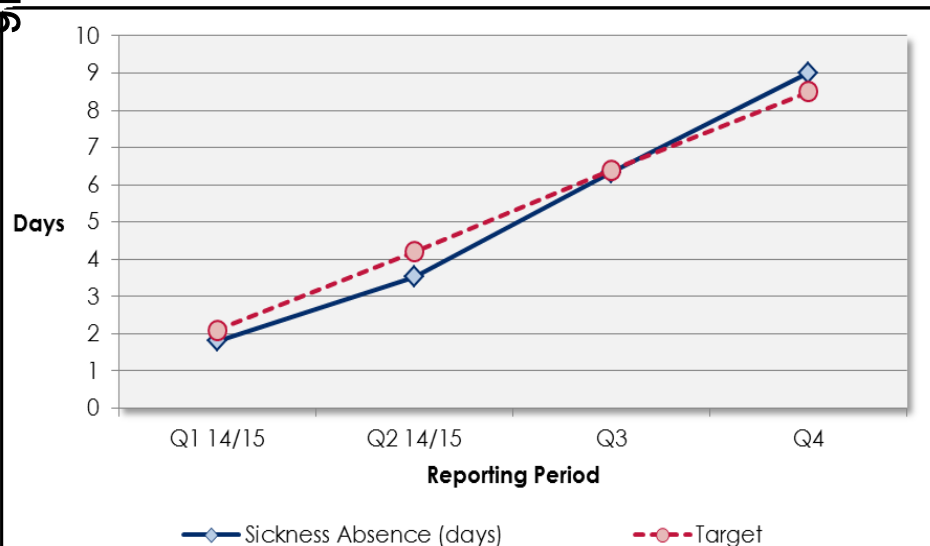
Indicator Name: Average number of working days lost due to sickness absence

Performance: 9 days

Current rating: ▲

Period	Qtr. 1 2014/15	Qtr. 2 2014/15	Qtr. 3 2014/15	Qtr. 4 2014/15
Actual	1.81 days	3.53 days	6.33 days	9 days
Target	2.1 days	4.2 days	6.4 days	8.5 days

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Commentary:

New reporting procedures for management of attendance were implemented in April 2013, and since that date significant work has taken place to improve the quality of our data around sickness reporting. Any potential under reporting of sickness has been addressed with managers and further communications have taken place to ensure that all employees are aware of the correct process to undertake when they are phoning in sick. This has resulted in more occurrences of sickness being recorded than previously.

The issue is being monitored at the sickness management board, and initiatives such as Occupational Health call backs initiated. Workplace health is also included in the council's new Organisational Development Strategy.

Corporate Indicators: Summary of performance indicators by Corporate Plan theme

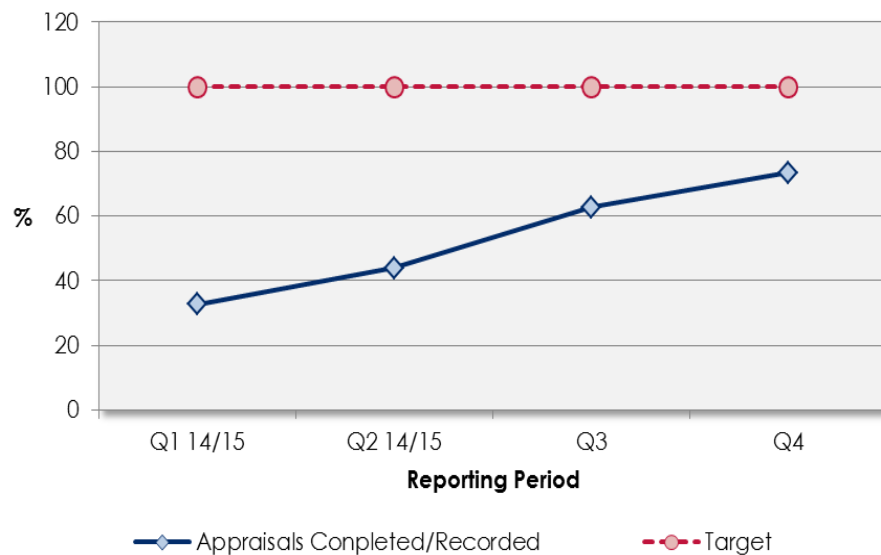


Indicator Name: Percentage of employees who have a current appraisal

Performance: 73.4%

Current rating: ▲

Period	Qtr. 1 2014/15	Qtr. 2 2014/15	Qtr. 3 2014/15	Qtr. 4 2014/15
Actual	32.63%	43.90%	62.69%	73.4%
Target	100%	100%	100%	100%







Commentary:

If an appraisal is not undertaken within the 12 month rolling period, it will appear as an employee not having had an appraisal within that year. It may be that the manager has undertaken the next appraisal, but it may have been after 12 months and one week of the previous appraisal, and so is not showing as 'complete' within the data.

Also employees on maternity leave or extended sick leave may not have had an appraisal within this period, and will reduce the numbers of appraisals undertaken.

Following an internal audit, an action plan is in place to review and monitor this indicator, including rolling out a simplified appraisal system and reviewing the methodology and methods of recording.

Corporate Indicators: Summary of performance indicators by Corporate Plan theme

Corporate Plan Theme	On Target 		Of Concern 		Off Target 		Not available 		Baselining	
	Number	%	Number	%	Number	%	Number	%	Number	%
Encouraging Enterprise and Business	2	22%	0	0%	0	0%	6	67%	1	11%
Empowering People and Communities	7	50%	4	29%	1	7%	2	14%	0	0%
Re-Invigorating the City	2	29%	0	0%	0	0%	3	42%	2	29%
Confident, Capable Council	1	17%	2	33%	2	33%	0	0%	1	17%
Total	12	33%	6	17%	3	8%	114	31%	4	11%

Corporate Indicators: Encouraging Enterprise and Business

Indicator	Target 2014/15	Previously Reported Data	Latest Reported Data	Direction of travel (Compared with Qtr. 4 2013/14)	RAG Status
Hectares of readily available employment land	Annually reported in Quarter 2				
% pupils leaving primary school with level 4 in reading, writing and maths	Annually reported in Quarter 3				
% pupils leaving secondary school with 5+ A*-C GCSEs (including Maths and English)	Annually reported in Quarter 3				
% of residents of working age with no qualifications	21.9%	22.9% Quarter 4 2013/14	19.6% Quarter 4 2014/15	↓	16.9% ★
% of residents of working age qualified to NVQ level 4 or equivalent	21.0%	20.0% Quarter 4 2013/14	23.6% Quarter 4 2014/15	↑	18.0% ★
% of 16 to 17 year olds in education, work based learning or employment with training	Annually reported in Quarter 2				
Businesses assisted	Baseline Year – No Targets Set	16 Quarter 3 2014/15	123 Quarter 4 2014/15	↑	50.0% N/A
No. of young people starting an apprenticeship	Annually reported in Quarter 2				
No. of young people participating in apprenticeships	Annually reported in Quarter 2				

★ on target ● of concern ▲ off target ■ not available ↑ improving ↓ worsening ➡ no change

Corporate Indicators: Empowering People and Communities

Indicator	Target 2014/15	Previously Reported Data	Latest Reported Data	Direction of travel (Compared with Qtr. 4 2013/14)	RAG Status
Number of Families in Focus whose situation is improved	403	167	810	N/A	★
Rate of looked after children (per 10,000 population)	110	139 Quarter 3 2014/15	136 Quarter 4 2014/15	↑	▲
Rate of children subject to a child protection plan (per 10,000 population)	47	42 Quarter 3 2014/15	51 Quarter 4 2014/15	↓	●
Number of years of healthy life expectancy (Males)	59.5	59.3 2009/11	58.3 2010/12	↑	★
Number of years of healthy life expectancy (Females)	58.2	58.0 2009/11	58.1 2010/12	↓	★
Number of years of life expectancy (Males)	77.6	77.4 2010/12	77.5 2011/13	↓	★
Number of years of life expectancy (Females)	81.8	81.7 2010/12	82.0 2011/13	↓	★
% of older people who were still at home 91 days after leaving hospital	89.5%	85.8% Quarter 4 2013/14	80.6% Quarter 4 2014/15	↓	●
% of people using social care receiving self-directed support, and receiving direct payments	90%	80% Quarter 3 2014/15	78% Quarter 4 2014/15	↓	●






★ on target ● of concern ▲ off target ◆ not available ↑ improving ↓ worsening ◆ no change

Corporate Indicators: Empowering People and Communities







Indicator	Target 2014/15	Previously Reported Data	Latest Reported Data	Direction of travel (Compared with Qtr. 4 2013/14)	RAG Status
% of primary schools judged to be good or outstanding	Annually reported in Quarter 3				
% of secondary schools judged to be good or outstanding	Annually reported in Quarter 3				
Permanent admissions to care homes per 100,000 population – younger adults	24	20 Quarter 3 2014/15	24.1 Quarter 4 2014/15	↓	85.4% ★
Permanent admissions to care homes per 100,000 population – older people	723	723 Quarter 3 2014/15	650.1 Quarter 4 2014/15	↑	11.6% ★
Average time between a child entering care and moving in with their adoptive family, for children who have been adopted (days)	548	673 Quarter 3 2014/15	621 Quarter 4 2014/15	↑	17.5% ●

Page 21

Corporate Indicators: Re-Invigorating the City

Indicator	Target 2014/15	Previously Reported Data	Latest Reported Data	Direction of travel (Compared with Qtr. 4 2013/14)	RAG Status	
% of properties in the City empty for 3 months to 2 years	Baseline Year – No Targets Set	0.4% Quarter 3 2014/15	0.4% Quarter 4 2014/15	N/A	N/A	
% of properties in the City empty for over 2 years	Baseline Year – No Targets Set	0.3% Quarter 3 2014/15	0.3% Quarter 4 2014/15	N/A	N/A	
Gross affordable housing completions as % of gross housing completion target	Annually reported in Quarter 1					
% of retail units vacant in Wolverhampton City Centre	Annually reported in Quarter 2					
Recorded incidents of crime	Year on Year Reduction	12,850 Quarter 3 2014/15	16,884 Quarter 4 2014/15		0.1%	 2013/14 outturn = 16,903
Number of council homes made decent	500	509 Quarter 2 2014/15	775 Quarter 3 2014/15		33.9%	 This measure is reported one quarter in arrears, due to time-lag.
Number of visitors to cultural venues	No Target Set	410,420 Quarter 3 2014/15	98,863 Quarter 4 2014/15		55.5%	N/A

Corporate Indicators: Confident, Capable Council

Indicator	Target 2014/15	Previously Reported Data	Latest Reported Data	Direction of travel (Compared with Qtr. 4 2013/14)	RAG Status
% of information requests (FOI and EIR) processed in time	100%	96.34% Quarter 3 2014/15	94.9% Quarter 4 2014/15	N/A	
% of information requests (SAR) processed in time	Baseline Year – No Targets Set	87.97% Quarter 3 2014/15	82.52% Quarter 4 2014/15	N/A	N/A
Average number of working days lost due to sickness absence	8.50 days	6.33 days Quarter 3 2014/15	9.00 days Quarter 4 2014/15	 18.4%	
% of total debt collected in year	92.5%	78.78% Quarter 3 2014/15	82.34% Quarter 4 2014/15	N/A	
Percentage of employees who have a current appraisal	100%	62.69% Quarter 3 2014/15	73.4% Quarter 4 2014/15	N/A	
% of complaints responded to in time	95%	100% Quarter 3 2014/15	99.6% Quarter 4 2014/15	N/A	

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Scrutiny Board

21 July 2015

Report title	Annual Complaints Report	
Cabinet member with lead responsibility	Councillor Andrew Johnson Resources	
Wards affected	All	
Accountable director	Keith Ireland, Managing Director	
Originating service	Customer Services	
Accountable employee(s)	Sarah Campbell Tel Email	Complaints Manager 01902 551901 sarah.campbell@wolverhampton.gov.uk
Report to be/has been considered by	N/A	

Recommendation(s) for action or decision:

The Scrutiny Board is recommended to:

1. Review complaints management and performance for the period April 2014 to March 2015.
2. Note the 'summary of complaints' on page 5 of this report; the Customer Feedback Team has received an increase in complaints received at Stage 1 during 2014-15, this indicates that customers have a greater awareness of the complaints process. The Council also has a more open and transparent approach to listening to feedback and use complaints as an earlier indicator of potential issues.

1.0 Purpose

- 1.1 The purpose of this report is to provide a summary of the complaints, compliments, Local Government Ombudsman and Housing Ombudsman enquiries received by the Council during the period April 2014 to March 2015.
- 1.2 Complaints, compliments and Ombudsman enquiries are considered as a form of customer feedback. They are recorded and monitored by Customer Services Customer Feedback Team within the Corporate Directorate. Monitoring customer feedback provides details about the types of complaints that are received by the authority and highlights any improvements or amendments made to service provision or delivery.

2.0 Complaints

- 2.1 During April 2014 to March 2015, the Council received 460 stage one complaints; all complaints are assessed as to whether they are justified or not by the Complaints Manager/Complaints Assistant. Of the complaints received during this period 54 (12%) were upheld. (Appendix 3). As result of continuous monitoring with services managers the issues have been identified from the upheld complaints and have been addressed; remedies have been provided to the customers by apologising and informing them of the improvements that have been made.
- 2.2 During April 2014 to March 2015 Revenues and Benefits received the highest number of complaints (86), followed by Waste Management (65) (Appendix 3).
- 2.3 Revenues and Benefits and Waste Management dealt with the highest number of complaints; however, they completed investigations into their complaints within an average of 12 days. This has contributed significantly to achieving an average overall response timescale of 13 days for April 2014 to March 2015 (Appendix 3).
- 2.4 The Performance Indicator for stage one complaints responded to within 21 calendar days is 90%. Response times are monitored on a monthly basis; during April 2014 and March 2015 on average 457 (99%) of our complaints were responded to within timescale. The Council has therefore achieved its target of responding to 90% of complaints within 21 calendar days during April 2014 to March 2015.
- 2.5 The customer feedback team provide support to investigating officers to ensure that they meet response deadlines by making contact with them by phone and email regarding impending deadlines, and ensuring customers are kept updated when delays are unavoidable. Response reminders are sent to investigating officers by the complaints team on a weekly basis.

3.0 Stage two complaints

- 3.1 During April 2014 to March 2015 the Council received 44 stage two stage complaints; (10%) of the stage one complaints progressed to stage two of the complaints procedure. Two (5%) of the stage two complaints were upheld and one partially upheld; the upheld

complaints related to an invoice incorrectly issued to a customer by the Council's Debt Recovery department on two occasions and customer services from Bereavement Services; the partially upheld complaint related to failure by Housing Benefit to inform the complainant of the decision to suspend a claim for housing benefit.

- 3.2 All recommendations from the outcome of the upheld stage two complaints have been agreed and will be implemented. There were no further concerns or issues with other complaints that progressed to stage two.

4.0 Local Government Ombudsman enquiries

- 4.1 During April 2014 to March 2015 the Council received 36 Local Government Ombudsman (LGO) enquiries; Community (10), Education and Enterprise (eight), Delivery (eight) and Office of the Chief Executive (nine); Wolverhampton Homes (one); five LGO cases were upheld (14%).
- 4.2 With regards to Community, five enquiries were received about Adult Social Care, two enquiries about Child Social Care, two enquiries about Senstart (All Age Disability) and one enquiry about Social Care. Two enquiries in relation to Senstart (All Age Disability) and four Adult Social Care cases are still open and an update will be provided within Quarter 1 report (April to June 2015). One enquiry relating to Adult Social Care was upheld due to maladministration and injustice for faults identified regarding the Council's care in a nursing home. The LGO recommended a suitable remedy for the injustice caused. As a remedy the Council has agreed the recommendations. One enquiry relating to Child Social Care was upheld due to maladministration and injustice for faults identified within the Looked After Children's Service. The LGO recommended a suitable remedy for the injustice caused. As a remedy the Council has agreed the recommendations.
- 4.3 With regards to Education and Enterprise, two enquiries were received about Schools Skills and Learning; one enquiry about Housing Options; three enquiries about Regulatory Services and two enquiries about Private Sector Housing. One enquiry relating to Schools Skills and Learning was upheld due to maladministration and injustice for faults and delays in hearing a school appeal, and failure to provide a school place. The LGO recommended that the Council review procedures for school admissions. As a remedy the Council has agreed the recommendations set out by the LGO.
- 4.4 With regards to Delivery, five enquiries were received about Public Realm Services, one enquiry about Operational Finance, one enquiry about Revenues and Benefits and one enquiry about Waste Management.
- 4.5 With regards to Office of the Chief Executive, nine enquiries were received about Democratic Support; these enquiries related to school admission appeals. Two of these enquiries relating to school admission appeals were upheld; both enquiries were upheld and the LGO recommended that the Council offer a fresh appeal with new panel members and a new clerk as a suitable remedy for the injustice caused. The LGO also

outlined areas for improvement; as a remedy the Council has agreed the recommendations as set out by the LGO.

- 4.6 With regards to Wolverhampton Homes, one enquiry was received about repairs to a Council tenant's property. This case was closed after initial enquiries as it was out of the LGO jurisdiction.

5.0 Housing Ombudsman enquiries

- 5.1 During April 2014 and March 2015 the Council received four Housing Ombudsman enquiries. The enquiries related to dissatisfaction with the outcome of a complaint, unhappy with how a complaint has been handled, difficulties sustained in progressing towards a resolution and delays in repairs and tenancy termination.
- 5.2 Two enquiries in relation to Wolverhampton Homes are currently still open and an update will be provided with Quarter 1 report (April to June 2015).

6.0 Summary of complaints

- 6.1 During 2014-15 the Council received 460 stage one complaints, compared to 326 in 2013-14. Therefore, stage one complaints received by the Customer Feedback team have increased by 41% (Appendix 3). Our findings show that customers are more aware of their rights and have a greater understanding of the complaints process and how to complain. Council officers are also more aware of the complaints procedure and steer customers towards the correct reporting channel. The Council's complaints procedure is now more accessible, open and transparent. During 2014-15 stage two complaints have remained consistent whereas LGO complaints have decreased.
- 6.2 The LGO state that a higher volume of complaints does not necessarily mean poorer standards of service; this indicates a Council's open approach to listening to feedback and using complaints as an early indicator of potential issues. The Council aims to seek a resolution to complaints at stage one; if complaints are upheld, a service improvement report is issued to the service group with recommendations for changes to service delivery.

7.0 Compliments

- 7.1 During April 2014 to March 2015, the Council received 185 compliments from customers. The Planning Department accounted for the highest number of compliments (76) following by Housing Options Team (39), Legal Services (17) and Customer Services (City Direct) (13). The Customer Feedback team are currently promoting compliments via City People to ensure all officers are aware that we record compliments as part of our quarterly monitoring.
- 7.2 All compliments are recorded, acknowledged and each service areas are updated on compliments received.

8.0 Monitoring Information

- 8.1 There are no concerns with the data analysis, and there is no evidence of any groups being disproportionately affected. The equalities data is based upon what complainants have provided and therefore there are no concerns of any groups being disproportionately affected. This is reflected in Appendix 1.

9.0 Focus Group

- 9.1 During April 2014 to March 2015 three customer feedback focus groups have taken place. The aim of the focus groups is to discuss trends and concerns and suggest service improvements as a result of complaints. All focus group notes have been circulated to participants and to the relevant service groups. The focus group findings are presented to the Service Improvement Group to drive service delivery and to ensure that improvements are customer led.

10.0 Service Improvements

- 10.1 The Complaints Team produce service improvement reports for upheld complaints where the recommendations are for a change to policy or service delivery. The recommendations are agreed with Heads of Service and shared with the relevant Service Director and Strategic Director, and the Managing Director.
- 10.2 The production of service improvement reports commenced in January 2014. During April 2014 and March 2015 service improvement reports have been produced for all upheld complaints and agreed with the head of service. Recommendations will be delivered by the service group as appropriate.

11.0 Ward Data

- 11.1 During April 2014 to March 2015 ward complaint data has been collated. Monitoring ward data provides details about the types of complaints per ward that we receive as an authority and highlights trends in ward areas. January – March 2015 data is outlined in Appendix 1, pages 10 – 19 and Appendix 2 Corporate Complaints Quarter 4, 2014-15.

12.0 Corporate complaint handling improvements

- 12.1 The corporate complaints procedure was reviewed in 2013 to improve the handling of complaints. One of the improvements made to the procedure was to reduce the response timescale from 28 calendar days to 21 calendars days. During April 2014 to March 2015 the average time taken to respond to complaints was 13 calendar days.
- 12.2 A change of name from complaints to 'Customer Feedback' has been implemented during March 2015. The term 'Customer Feedback' will cover complaints, compliments and suggestions for both internal and external customers.

- 12.3 Response timescales are currently under review with a view to further improve service delivery; this is subject to approval of a separate report which will also consider the centralisation of all corporate complaints.
- 12.4 A policy on the management of unreasonable complainant behaviour has been approved and implemented during March 2015. The aim of the policy is to support the Council's overall aim of dealing with all complainants in ways which are demonstrably consistent, fair and reasonable. It sets out how we will decide which complainants will be treated as unreasonable or unreasonably persistent, and what employees should do in those circumstances. The policy is for the information of Council employees and employees within Wolverhampton Council's partner organisations and Councillors as well as customers.
- 12.5 A report has been drafted to recommend the introduction of a corporate procedure for Councillor enquiries. It is proposed that Customer Services and Councillor Support will be a single point of contact for Councillor enquiries. The procedure will allow Councillors to make their enquiries through a single point of contact, with no restrictions in the way they choose to make their enquiry. This procedure will enable the performance of Councillor enquiries to be monitored and highlight themes, trends and concerns.
- 12.6 During April 2014 the Regulators' Code has been implemented; this came into statutory effect on 6 April 2014 under the Legislative and Regulatory Reform Act 2006, replacing the Regulators' Compliance Code. It provides a clear, flexible and principles-based framework for how regulators should engage with those they regulate. The code states that regulators should publish, on a regular basis, details of their performance against their service standards. This includes feedback received from those they regulate, such as customer satisfaction surveys; data relating to complaints about them; and appeals against their decisions.

13.0 Updates from Quarter Three Report

13.1 Service Improvement Report

This related to a complaint received from the LGO about Children Young People and Families (Looked After Children Service). A final report has now been received from the LGO. The complaint was upheld by the LGO due to maladministration and injustice for faults identified and unreasonable delays incurred in resolving the customer's complaints. The Council has apologised to the customer for the delays incurred, and agreed to pay a financial remedy as set out in the recommendations from the LGO. The Council will also review the recommendations for changes to service processes and procedures and social care complaints procedure within this service area. A service improvement report has been issued to the service group with recommendations for changes to service delivery.

14.0 Financial implications

14.1 There are no financial implications associated with the recommendation in this report.

[MK/07072015/P]

15.0 Legal implications

15.1 There are no legal implications associated with this report.

[RB/06072015/X]

16.0 Equalities implications

16.1 There are no equalities implications associated with this report.

17.0 Environmental implications

17.1 There are no environmental implications associated with this report

18.0 Human resources implications

18.1 There are no human resource implications associated with this report.

19.0 Corporate landlord implications

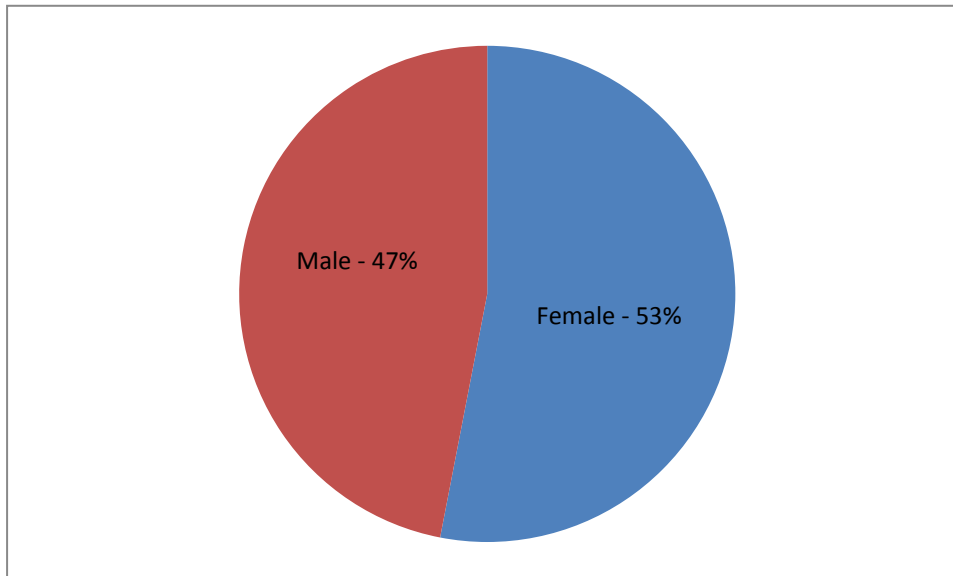
19.1 There are no corporate landlord implications associated with this report.

20.0 Schedule of background papers

20.1 Confident Capable Council Scrutiny Panel, 10 October 2014 – Annual Complaints Report; Scrutiny Board 27 January 2015 - Complaints Report Quarter 2; Scrutiny Board 17 March 2015 - Complaints Report Quarter 3.

Appendix 1

Equalities data for stage 1 complaints - April 2014 - March 2015



Service Group	Female	Male
Corporate Services	7	8
Governance	2	3
Schools, Skills & Learning	1	3
Chief Executive's Office		1
The Hub	3	
Regeneration	30	28
Central Services	32	27
Partnerships Economy and Culture	3	2
Health and Well Being and Disability	3	
Older People and Personalisation	19	3
Environment and Leisure	58	61
Finance	46	40
Children Young People and Families	1	1
Pensions Service	1	2
Public Health		1
City Assets	7	8
City Environment	18	17
Customer Services	8	7
Older People	2	3
Children and Young People	1	
Education	2	1
Total	244	216

Complaint Ward Data Quarter 4 – January – March 2015

Key
G=Gender
E=Ethnicity
D=Disability
A=Age

Ward	Number of Complaints Received	Number of Complaints Upheld	Equalities Data	Nature of complaint
Bilston East	6		G=Male	Complaint regarding procedures and lack of communication from Council Tax re: unpaid council tax
			G=Female E-White British D= No A=25-44	Complaint regarding rescheduled box fit class at Leisure Centre
			G=Female	Complaint regarding updating of mine entries by WCC to the coal authority 2013
			G=Female	Complaint regarding school swimming lessons at Leisure Centre
			G=Female E-White British D= No A=25-44	Complaint regarding online booking system for leisure centre
		1	G=Female	Complaint regarding electoral services

Bilston North	4		G=Female	Complaint regarding officer conduct in 24 hour control centre
			G=Female E=British D=No A=25/44	Complaint regarding membership card
			G=Female E=White British D= No A=25-44	Complaint regarding bin contamination and customer service for refuse collection
			G=Male	Complaint regarding customer service at Leisure Centre
Bushbury North	5		G=Female	Complaint regarding erection of keep clear sign/markings
			G=Male	Complaint regarding keep clear sign and marking
			G=Female	Complaint regarding delays in issuing Blue Badge
			G=Male A=45-PA E=White/British	Complaint regarding none receipt of council tax direct debit details
			G=Female	Complaint regarding conflicting information from two public sector housing officers
Bushbury South and Low Hill	2		G=Female	Complaint regarding lack of action for litter removal

		1	G=Male A=45-PA E=White/British D=No	Complaint regarding bin contamination and officer conduct by refuse officer
East Park	3	1	G=Female	Complaint regarding assisted bin collection
			G=Female	Complaint regarding over payment of Housing Benefit and conduct of dept mgt officer
			G=Male	Complaint regarding letters sent from Housing Options
Ettingshall	5		G=Female E-White British D= No	Complaint regarding non collection of additional recycling items in clear bags
			G=Male	Complaint regarding missed black bin - customer alleges presented bin but no collection
			G=Male	Complaint regarding reminder letters from electoral
			G=Male	Complaint regarding officer conduct
			G=Male	Complaint regarding recycling bin not being emptied
Fallings Park	2		G=Female	Complaint regarding customer service provided re: Housing Benefit
			G=Male	Complaint regarding protocol at 24 control centre
Graiseley	6		G=Female	Complaint regarding maladministration

				during processing of housing benefit
			G=Female	Complaint regarding incorrect information provided by City Direct in connection with housing benefit payments
			G=Female	Complaint regarding customer service by refuse officers
		1	G=Female	Complaint regarding officer conduct
			G=Female	Complaint regarding delays in response to planning and property contracts
			G=Female	Complaint regarding claim for council tax benefit
Merry Hill	3	1	G=Female	Complaint regarding refuse officer conduct
			G=Male	Complaint regarding response delays in responding to request for reductions on Council Tax and Housing Benefit
			G=Male	Complaint regarding lack of communication, customer service and officer conduct
Oxley	6		G=Female E-White/other A=25-44	Complaint regarding conduct of transport support staff
			G=Male	Complaint regarding ongoing issue with tree needing cutting back and lack of response

				from previous enquiry
			G=Male	Complaint regarding Wolverhampton Music School Service
			G=Female	Complaint regarding council tax debt
			G=Female	Complaint regarding delays with bulky collection
			G=Female	Complaint regarding overgrown trees on green area
Park	5		G=Male A=45-PA E=White/British D=No	Complaint regarding lost appeal letter causing delays to benefits
			G=Male A=45-PA E=Asian/British D=No	Complaint regarding Council Tax failing to transfer details of DD resulting in missing payment
			G=Female A=25-44 E=White/other D=No	Complaint regarding HB Officer/HB reception staff customer service
			G=Female	Complaint regarding customer service from Welfare Rights Service
			G=Male	Complaint regarding officer conduct in property services
Penn	5	1	G=Female A=25-44 E=White/other D=No	Complaint regarding unable to contact via telephone Leisure Centre re: swimming lessons
			G=Male	Complaint regarding officer conduct in City Direct

			G=Male	Complaint regarding no action for collection of asbestos in field
			G=Female A=25-44 E=Asian/Indian D=No	Complaint regarding conflicting information provided by two officers
			G=Male	Complaint regarding lack of communication regarding council tax reminder
Spring Vale	2		G=Male	Complaint regarding Leisure Centre - maintenance of building structure
			G=Male	Complaint regarding dissatisfaction with process for booking a squash court at Leisure Centre
St Peter's	6		G=Male	Complaint regarding rent not being fully backdated
			G=Male	Complaint regarding alleged customer service/officer conduct in library
			G=Male	Complaint regarding officer conduct of Parking Enforcement Officer
			G=Male A=45-PA E=Black/Caribbean D=Yes	Complaint regarding bedroom tax
			G=Female	Complaint regarding customer service from independent living service
			G=Male	Complaint regarding incorrect information provided by FOI Team

Tettenhall Regis	4		G=Male	Complaint regarding conduct of refuse officers
			G=Male	Complaint regarding lack of response to emails from council tax
			G=Male	Complaint regarding delays with blue badge
			G=Male	Complaint regarding decision to not carry out dropped kerb
Tettenhall Wightwick	2		G=Male	Complaint regarding customer service from housing team
			G=Female	Complaint regarding homeless application
Wednesfield North	6		G=Male	Complaint regarding delays and lack of communication from transportation
			G=Male	Complaint regarding Legal Services
			G=Male	Complaint regarding height of trees - request to prune and reduce height
			G=Female	Complaint regarding one week delay to bid on properties - homeless application
			G=Female A=45-PA E=White/British D=No	Complaint regarding advise provided with regards to Housing Benefit for elderly relative
			G=Female A=25-44 E=White/British D=No	Complaint regarding missed council tax payment

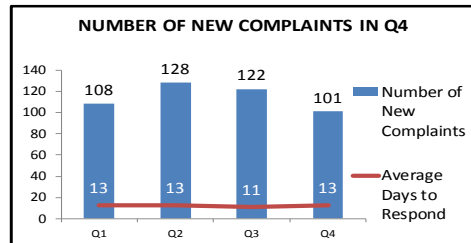
Wednesfield South	4		G=Male A=25-44 E=White D=No	Complaint regarding housing benefit reception wait time
			G=Male	Complaint regarding error in collection of business rates
			G=Female A=25-44 E=White D=No	Complaint regarding housing options
			G=Female	Complaint regarding delays with blue badge application
Unknown	25		G=Female	Complaint regarding appointment for registering a birth with registrars
			G=Female A=45-PA E=White/British D=No	Complaint regarding Crematorium sound system working incorrectly
			G=Male	Complaint regarding call wait times for Leisure Centres
			G=Male A=45-PA E=White/British D=NO	Complaint regarding increase in swimming costs at Leisure Centres
		1	G=Male A=PA-74 E=White/British D=No	Complaint regarding outstanding invoice
			G=Female A=25-44 E=White/British D=No	Complaint regarding new timetable at Leisure Centre
			G=Female A=25-44 E=Asian/Indian D=No	Complaint regarding conduct of education welfare support officer

			G=Female A=45-PA E=White/British D=No	Complaint regarding maintenance and cleanliness of Leisure Centre
			G=Male	Complaint regarding advice provided by Bereavement and Registration Services
			G=Female	Complaint regarding staff conduct in housing options team
			G=Male	Complaint regarding Leisure Centre - various issues with facilities
			G=Male A=45-PA E=White/Other D=Yes	Complaint regarding grave at Cemetery
		1	G=Female	Complaint regarding member of staff at the Healthy Living Centre
		1	G=Male A=25-44 E=White/British D=No	Complaint regarding customer service at leisure centre
			G=Female	Complaint regarding closure of swimming pool at Leisure Centre
			G=Male	Complaint regarding unhappy with closure of swimming pool at Leisure Centre
			G=Female	Complaint regarding school admissions team
			G=Male	Complaint regarding voice recognition machine for Estates Office

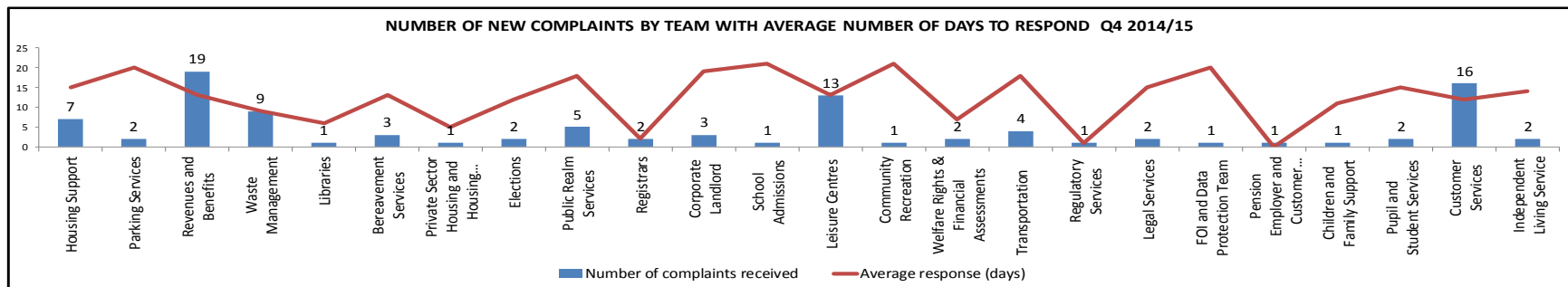
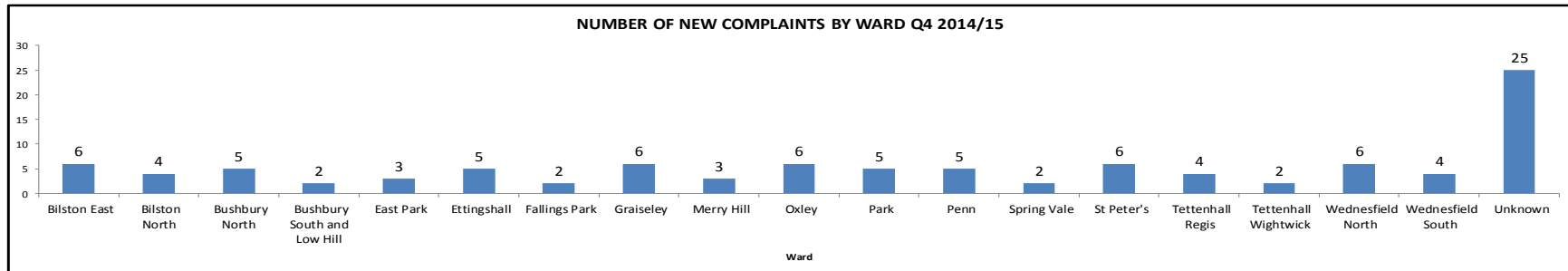
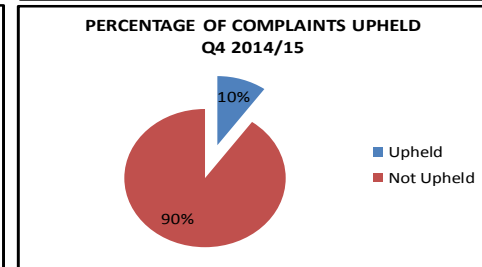
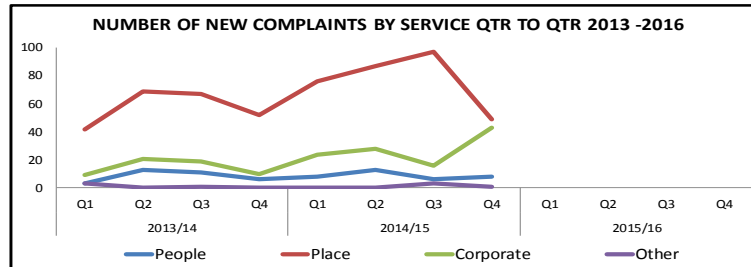
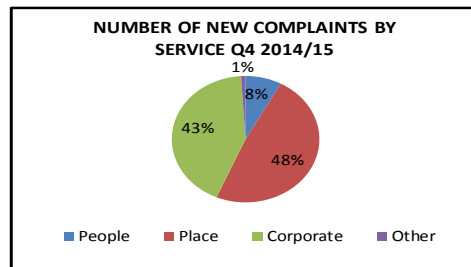
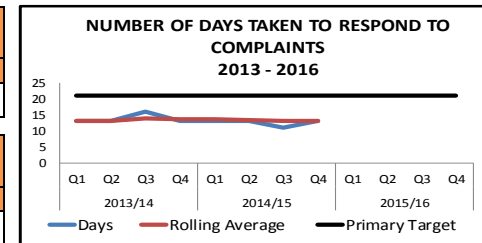
			G=Male	Complaint regarding unable to submit nomination form on system
			G=Male	Complaint regarding incorrectly billed for business rates
		1	G=Male	Complaint regarding refused entry to Cemetery
			G=Male	Complaint regarding officer conduct in housing options team
			G=Female	Complaint regarding officer conduct
			G=Male	Complaint regarding officer conduct public realm
			G=Female A=25-44 E=White/British	Complaint regarding WV Active classes at Leisure Centre
Total	101	10		

CORPORATE COMPLAINTS QUARTER 4 2014-15

ANALYSIS Q4 2014/15



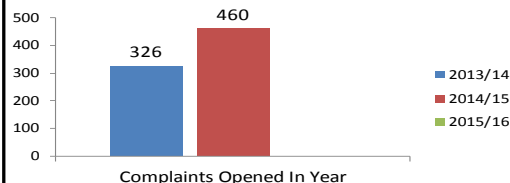
NUMBER OF NEW COMPLAINTS IN THE YEAR	AVERAGE NUMBER OF DAYS TO RESPOND TO COMPLAINTS
2014/15	2014/15
101	13 DAYS



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CORPORATE COMPLAINTS 1ST APRIL - 31ST MARCH 2014-15

NUMBER OF NEW COMPLAINTS IN THE YEAR



NUMBER OF NEW COMPLAINTS IN THE YEAR

2014/15	2014/15
460	13 DAYS

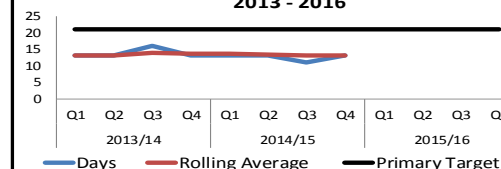
AVERAGE NUMBER OF DAYS TO RESPOND TO COMPLAINTS

NUMBER OF COMPLAINTS UPHELD

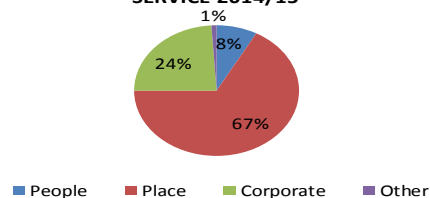
2014/15	2014/15
54 (12%)	99.35%

% OF COMPLAINTS RESPONDED TO WITHIN TARGET

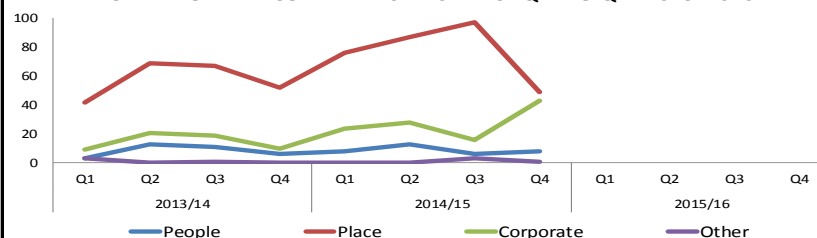
NUMBER OF DAYS TAKEN TO RESPOND TO COMPLAINTS 2013 - 2016



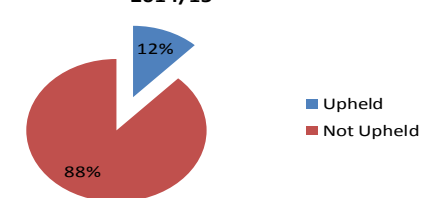
NUMBER OF NEW COMPLAINTS BY SERVICE 2014/15



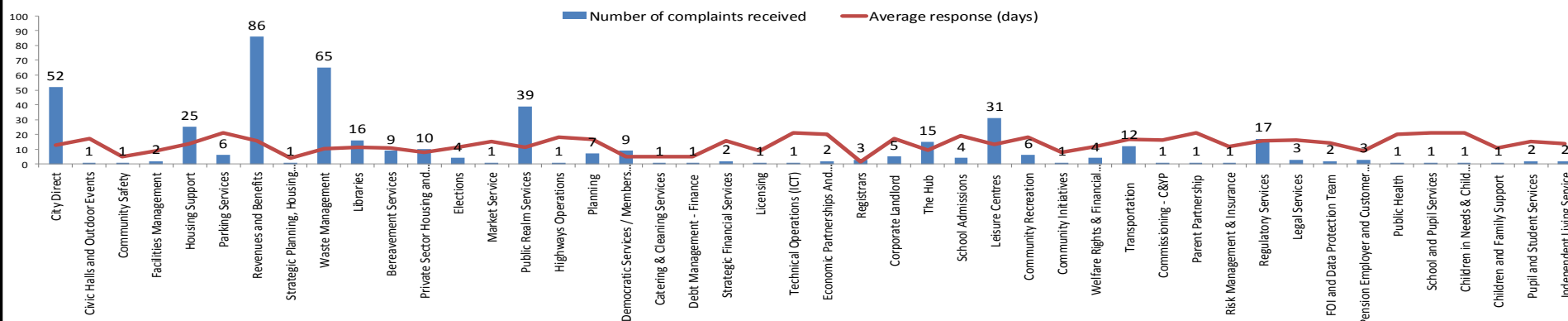
NUMBER OF NEW COMPLAINTS BY SERVICE QTR TO QTR 2013 - 2016



PERCENTAGE OF COMPLAINTS UPHELD 2014/15



NUMBER OF NEW COMPLAINTS BY TEAM WITH AVERAGE NUMBER OF DAYS TO RESPOND 2014/15



ANALYTICAL NOTES

- New complaints increased by almost 41% on the previous year from 326 in 2013/14 to 460 in 2014/15
- Only 7 complaints in the whole year were not responded to within the 21 day target
- During the year there has been a steep increase in the amount of complaints in the Place directorate (34%). There was however a decline in complaints in the Q4 2014/15

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Scrutiny Board

21 July 2015

Report title	Information Governance performance – quarter four 2014/15 and year end		
Cabinet member with lead responsibility	Councillor Paul Sweet Governance		
Wards affected	All		
Accountable director	Kevin O’Keefe, Governance		
Originating service	Democracy		
Accountable employee(s)	Adam Hadley	Group Manager - Democracy	
	Tel	01902 555043	
	Email	Adam.Hadley@wolverhampton.gov.uk	
Report to be/has been considered by	Information Governance Board	28 May 2015	
	SEB	2 June 2015	
	Cabinet (Performance Management) Panel	15 June 2015	

Recommendation(s) for action or decision:

The Scrutiny Board is recommended to:

1. Review and comment on the quarter four and year end performance for Information Governance
2. Recommend any further action that may be necessary

1.0 Purpose

- 1.1 To report on the performance of Information Governance for quarter four (January – March 2015) and year end.

2.0 Background

- 2.1 The Information Commissioner's Office (ICO) conducted consensual audits of the Council in October 2011 and July 2012.
- 2.2 The October 2011 audit covered requests for personal data and requests made under the Freedom of Information Act 2000 (FOI). The ICO's subsequent overall opinion was that there was a very limited assurance that processes and procedures were in place and being adhered to.
- 2.3 The ICO carried out a further audit on 19 July 2012 to measure the extent to which Wolverhampton City Council had implemented the agreed recommendations and identify any subsequent change to the level of assurance previously given. This was based on a update provided in March 2012 and subsequent management information. The ICO raised the Council's status from Red "Very Limited Assurance" to Amber "Limited Assurance" as an acknowledgement that progress had been made.
- 2.4 The Council provided a final management update to the ICO on 20 December 2012, after which the ICO confirmed that the audit process has been brought to a conclusion. Throughout 2013, work has continued to ensure that a strategic approach is adopted to how the Council manages information assets.
- 2.5 In February 2014 the ICO has asked for further updates on our progress, as a result of information incidents the Council is managing. The Council was then placed under an enforcement notice to achieve 100% of employees having undertaken the mandatory 'protecting information training'.
- 2.6 In June 2014 the Council complied with the enforcement notice and achieved 100% of employees completing the 'protecting information' training.
- 2.7 In order to ensure ongoing improvements with information governance this report outlines current performance for Information Governance. This report reflects the previous Council structure and future performance reports will reflect the new Council structure.

3.0 Progress

- 3.1 This is contained in appendix A and B.

4.0 Financial implications

- 4.1 There are no financial implications associated with the recommendation in this report as Councillors are requested to review the progress made on information governance.
- 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. In addition to this, poor information governance can actually result in a fine of up to £500,000 from the ICO.

[GE/07072015/S]

5.0 Legal implications

- 5.1 The Council has a legal duty under the Data Protection Act 1998, Freedom of Information Act 2000 and Environmental Information Regulations 2004 to appropriately manage and protect information assets.
- 5.2 The integration of Public Health into the Council in April 2012 required the Council to provide assurance to the NHS that it had in place suitable Information Governance policies, procedures and processes.
- 5.3 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 information.
- 5.4 The Information Commissioner has the legal authority to:
- Fine organisations up to £500,000 per breach of the Data Protection Act or Privacy & Electronic Communication Regulations
 - 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 in order to ensure they comply with the law
 - Prosecute those who commit criminal offences under section 55 of the Act
 - Conduct audits to assess whether organisations processing of personal data follows good practice
 - Report issues of concern to Parliament.

[RB/08072015/P]

6.0 Equalities implications

- 6.1 There are no equality implications arising from this report and its recommendations.
- 6.2 Existing information governance policies and procedures are due for review and will undergo an initial equality analysis screening and full analysis if appropriate.

7.0 Environmental implications

7.1 There are no environmental implications arising from this report.

8.0 Human resources implications

8.1 All employees are required to comply with Information Governance legislation and are required to complete the mandatory 'protecting information training'.

9.0 Corporate landlord implications

9.1 There are no corporate landlord implications arising from this report.

10.0 Schedule of background papers

10.1 Performance reporting report to Information Governance Board – 15 June 2015.

10.2 Update on Information Governance report to Cabinet – 26 March 2014

Information Governance Summary Quarter Four 2014/15

FOI number received (response rate) by Directorate Q4 2014/15

FOIs Directorate	January		February		March	
	Total	%	Total	%	Total	%
Community	36	81% ▲	32	91% ★	27	89% ★
Delivery	43	100% ★	52	98% ★	53	100% ★
Education and Enterprise	25	100% ★	29	97% ★	19	100% ★
OCE	9	100% ★	5	100% ★	10	100% ★
Overall	113	94% ★	118	96% ▲	109	97% ★

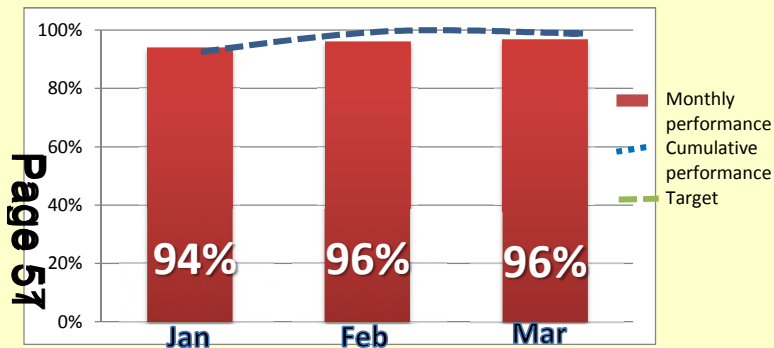
Training Q4 2014/15

New Starters - 73
Completed - 51%
not completed - 49%

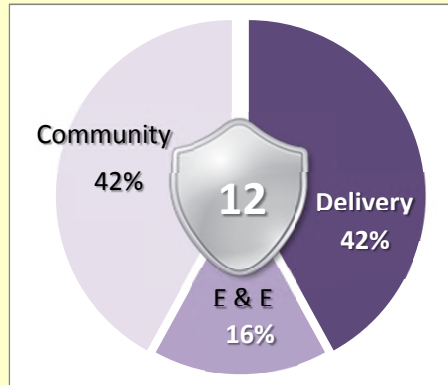
SAR number received (response rate) by Directorate Q4 2014/15

SARs Directorate	January		February		March	
	Total	%	Total	%	Total	%
Community	5	80% ▲	18	56% ▲	15	73% ▲
Delivery	39	100% ★	43	93% ★	21	86% ★
Education and Enterprise	14	86% ★	13	100% ★	10	90% ★
OCE	0	0% ★	0	0% ★	0	0% ★
Overall	69	95% ★	74	85% ★	46	83% ▲

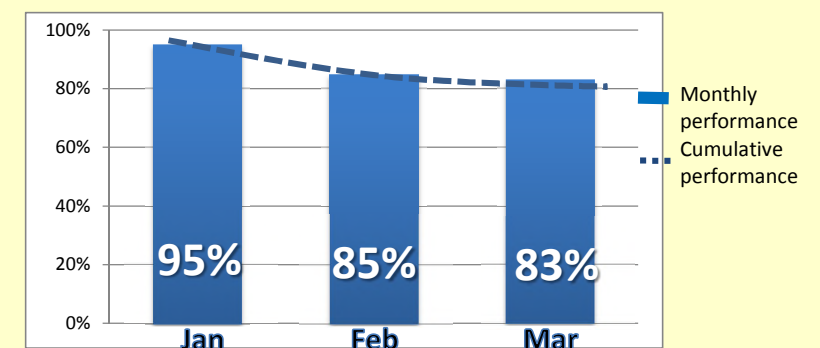
Freedom of Information (FOI) Response Rates Q4 2014/15



Information Incidents Q4 2014/15



Subject Access Request (SAR) Response Rates Q4 2014/15



Quarter 4
2014/15

96%

FOI Response Rate

Quarter 3
2014/15

97%

Quarter 4
2014/15

88%

SAR Response Rate

Quarter 3
2014/15

81%

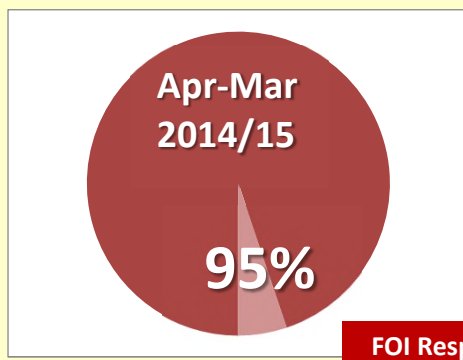
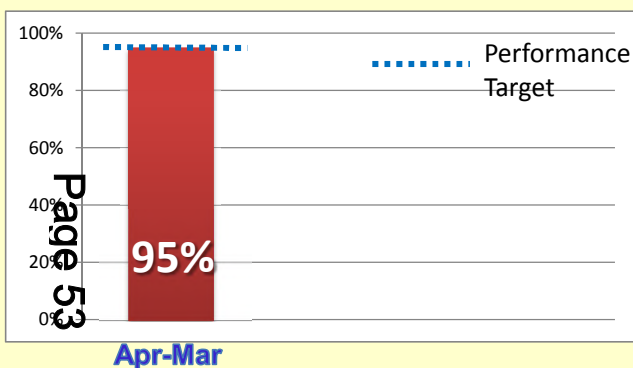
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Information Governance Summary - Year End - 2014/15

FOI number received (response rate) - April-Mar 2014/15

FOIs Directorate	Apr - Mar	
	Total	%
Community	408	86% ▲
Delivery	511	99% ★
Education and Enterprise	260	99% ★
OCE	66	94% ★
Overall	1245	95% ★

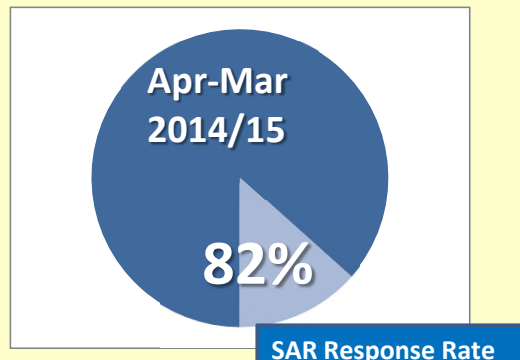
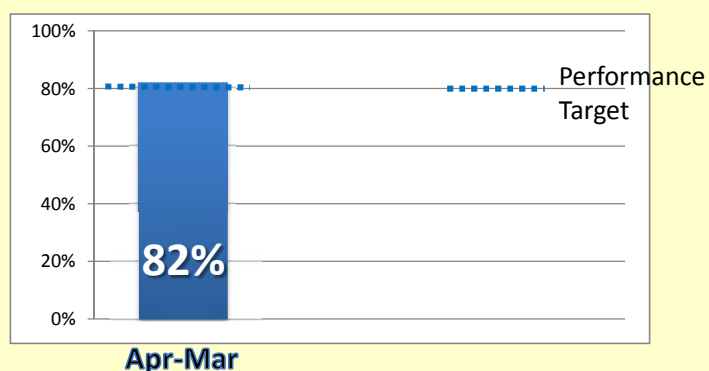
Freedom of Information (FOI) Response Rates Q4 2014/15



SAR number received (response rate) - April-Mar 2014/15

SARs Directorate	Apr - Mar	
	Total	%
Community	155	45% ▲
Delivery	313	95% ★
Education and Enterprise	133	95% ★
OCE	20	80% ★
Overall	621	82% ★

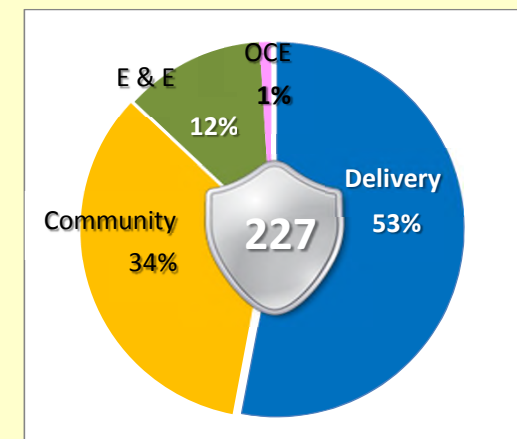
Subject Access Request (SAR) Response Rates Q4 2014/15



Training 2014/15

New Starters - 202
Completed - 80%
not completed - 20%

Information Incidents 2014/15



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