

## **APPENDIX 3**

### **SECTION 1:**

### **Children's Services, Education Services, Adult Services and Public Health Complaints Activity**

**1 July 2021 to 30 September 2021**

#### **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; 25 informal complaints were received during 1 July 2021 to 30 September 2021 compared to nine informal complaints received during 1 July 2020 to 30 September 2020; an increase of 16 cases. Out of the 25 informal complaints, two enquiries were received via an advocacy service.

##### **1.2 Stage One Complaints**

During 1 July 2021 to 30 September 2021 the council received 11 stage one Children's and Education Services complaints compared to eight during 1 July 2020 to 30 September 2020, an increase of three cases. The 11 complaints received during this period refer to six separate service areas. The highest figure of four cases referred to the Children and Young People in Care 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; three parents/two foster carers/two neighbours/one guardian/one family friend/one relative and one adopter. Out of the 11 complaints logged and investigated, ten complaints were submitted via email and one complaint via an online form. No stage one complaints were received via an advocacy service. Out of the 11 complaints logged and investigated during this period, five cases were upheld (at fault), three cases were partially upheld (partially at fault) and three cases not upheld (not at fault).

##### **1.3 Timescales**

Out of the 11 complaints logged and investigated during this period, no complaints were dealt with in accordance with the Children's Act. 11 complaints were dealt with in accordance with the corporate complaints policy and procedure (Non-Children's Act) with a response timescale of 21 calendar days; the average timescale for complaint responses was 25 days. The customer feedback team regularly reviews response times with Children's Services to improve these timescales and complainants are regularly updated on the progress of their complaint whilst providing realistic timescales.

##### **1.4 Stage Two Complaints**

During this period 1 July 2021 to 30 September 2021, the council received no statutory stage two complaints; this is in comparison to no complaint cases received during 1 July 2020 to 30 September 2020.

The Council received five children's and education stage two complaints which were dealt with in accordance with our corporate complaints policy and procedure. This is in comparison to no cases received during 1 July 2020 to 30 September 2020. Out of the

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five cases received, two cases were upheld and three cases not upheld. The corporate children's and education stage two complaints received are as follows:

- Children and Young People in Care, DC&YP Team received one complaint in relation to social worker conduct, request for new worker to be allocated to case and delays in concluding stage one response; outcome not upheld
- Children and Young People in Care, CYPiC Team received one complaint in relation to no progress with contact with children and ongoing letter box contact; outcome upheld; appropriate learning and remedies have been put in place
- Children and Young People in Care, Fostering Team received one complaint in relation to process/procedure of fostering placement and actions of fostering team; outcome not upheld
- Education, SEND team received one complaint in relation to officer conduct; outcome not upheld
- Education, SEND team received one complaint in relation to delays incurred by the team for an EHCP and psychological advice report; outcome upheld; appropriate learning and remedies have been put in place

Several other complaints that could have proceeded down this route were resolved after significant intervention, mediation meetings and problem solving with Children's and Education Services, the complainant and customer feedback team.

### 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 July 2021 to 30 September 2021 no complaints escalated to a stage three panel during this period; this is in comparison to no stage three cases during 1 July 2020 to 30 September 2020.

### 1.6 Complaint Category

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

### 1.7 Compliments

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process. During this period 48 compliments were received for Children's Services, compared to four during 1 July 2020 to 30 September 2020. Fostering team received eight compliments followed by Early Intervention and Children and Young People in Care Teams both receiving six compliments.

## 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. In relation to Public Health complaints, there has been no complaints received during 1 July

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2021 to 30 September 2021; this is in comparison to one complaint received during 1 July 2020 to 30 September 2020.

### **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. During 1 July 2021 to 30 September 2021 the council received 17 informal complaints which were resolved at service level without going through the formal route. This was compared to 12 informal complaints received during 1 July 2020 to 30 September 2020, an increase of five cases.

#### **3.2 Stage One Complaints**

During 1 July 2021 to 30 September 2021 the council received 11 formal complaints compared to six during 1 July 2020 to 30 September 2020, representing an increase of five cases during this period. The highest figure of two cases referred to both MASH and West Locality Team. The 11 complaints received covered nine separate service areas; seven were received via email, two received via online form and two received via written letter correspondence. In some cases, this has followed extensive but unsuccessful attempts to resolve some of those complaints informally. During this period, two complaints received were in relation to commissioned services – see Appendix 1. Out of the 11 cases logged and investigated during this period, one case was upheld, four cases partially upheld and six cases not upheld.

Out of the 11 complaint cases received, one case escalated to stage two under the corporate complaints policy and procedure; the corporate stage two complaint was in relation to council's response to statutory guidance during Covid19 concerning Direct Payments/Carer Support; outcome partially upheld; appropriate learning and remedies have been put in place.

#### **3.3 Complaint Category**

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

#### **3.4 Timescales**

Out of the 11 complaints logged and investigated during this period ten complaints were dealt with in accordance with the Statutory Adults procedure with a response timescale of ten working days; the average response timescale was 16 days. One complaint was dealt with in accordance with the corporate complaints policy and procedure with a response timescale of 21 calendar days; the average response timescale was 18 days. 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.

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### **3.5 Compliments**

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process. 105 compliments were received during 1 July 2021 to 30 September 2021 relating to Adult Services compared to 47 during 1 July 2020 to 30 September 2020. 83 compliments were received for Welfare Rights, followed by 2 compliments received for West Locality Team and 2 compliments received for Community Equipment Service.

### **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 July 2021 to 30 September 2021**

#### **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. It should be noted that 262 informal complaints and service request enquiries were logged with the customer feedback team during 1 July 2021 to 30 September 2021, compared to 287 received during 1 July 2020 to 30 September 2020. These types of enquiries are varied, for example, missed bin collection, contaminated bins, appeals, parking enquiries, litter or enquiries that fall outside of the complaints procedure jurisdiction. All enquiries were logged and resolved informally or sign posted to the correct process without going through the corporate complaints procedure; this provides a swift outcome and resolution for the customer by resolving concerns at service level.

##### **4.2 Corporate stage 1 complaints**

During 1 July 2021 to 30 September 2021 the council received 32 stage one corporate complaints compared to 73 received during 1 July 2020 to 30 September 2020; a decrease of 41 cases. Out of the 32 cases logged and investigated, 15 cases were upheld (at fault) and 17 not upheld (not at fault). The 32 complaints cover ten separate service areas, the highest figure of 13 complaints refer to Waste Management, followed jointly by Planning and Revenues and Benefits both receiving four cases. Out of the 13 complaints referring to Waste Management, eight cases were received for general waste (four missed bin collections, two bin replacements, one for assisted collection and one in relation to new waste bin not provided); two cases received for garden waste (one for replacement bin and one for missed garden waste collection); two cases for recycling bins (two for missed recycling collections); one case received for trade waste (missed trade waste collection). In some cases, this has followed extensive but unsuccessful attempts to resolve some of those matters at service level. Out of the 32 stage one complaints received, 27 cases were submitted via email, three cases via webform, one case via written correspondence and one case via telephone.

##### **4.3 Corporate Complaint Category**

During 1 July 2021 to 30 September 2021 the main issue of complaint involved failure to provide a service (14), followed by dissatisfaction of council policies (7), failure to achieve standards/quality (5), conduct of employees (5); delays with responding or administration (1).

##### **4.4 Corporate Timescales**

The average response time for responding to each complaint is 15 days for this period; this is in comparison to 13 days for 1 July 2020 to 30 September 2020. The response timescale for stage 1 complaints responding within 21 calendar days (corporate complaints policy and procedure) is 95%. Out of the 32 cases logged and investigated during this

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period, 28 cases were responded to within 21 calendar days and 4 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

During 1 July 2021 to 30 September 2021 the council received five stage two corporate complaints compared to six cases for 1 July 2020 to 30 September 2020, a decrease of one case. Out of the five cases received, two cases were upheld (at fault) and three cases not upheld (not at fault).

Stage two complaints received are as follows:

City Housing and Environment received two cases as follows:

- Transportation received one complaint in relation to maintenance of highways and potholes; outcome not upheld
- Housing received one complaint in relation to damage caused to property during re-development; outcome upheld; appropriate learning and remedies have been put in place

Regeneration received two cases as follows:

- Planning Department received one complaint in relation to officer conduct; outcome not upheld
- Planning Department received one complaint in relation to planning application process, outcome not upheld

Governance received one case as follows:

- Information Governance Team received one complaint in relation to process and procedure; outcome upheld; appropriate learning and remedies have been put in place

### 4.6 Corporate Compliments

All compliments are recorded by the Customer Feedback Team and reported as part of the team's monitoring process. During 1 July 2021 to 30 September 2021 the council has received 57 compliments, this is in comparison to 36 received during 1 July 2020 to 30 September 2020. Planning received 18 compliments, Waste Management received nine followed by Finance receiving four.

### 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

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### **5.1 Local Government and Social Care Ombudsman Enquiries (LGSCO)**

During 1 July 2021 to 30 September 2021 the council received one Local Government and Social Care Ombudsman (LGSCO) enquiry as follows:

Adult Services received one complaint as follows:

- Adult Services and Communities received one complaint in relation to the council's lack of prompt action when concerns were raised about carers; outcome upheld, maladministration and injustice; as outlined in the Ombudsman's report appropriate recommendations, remedies and learning have been carried out

### **5.2 Housing Ombudsman (HO) Enquiries**

During 1 July 2021 to 30 September 2021 the council received one enquiry from the Housing Ombudsman for Wolverhampton Homes as follows:

- One enquiry received in relation to the landlord's response to a request for redecoration; outcome customer has requested a review of the HO's decision, therefore the council is awaiting the HO's final report

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

During 1 July 2021 to 30 September 2021 the council received eight Local Government and Social Care Ombudsman assessment enquiries as follows:

Adult Services received two enquiries as follows;

- Adult Services and Health Partnerships received one enquiry in relation to health and social care services provided, outcome, progressed to a full investigation
- Adult Services and Health Partnerships received one enquiry in relation to supported living and direct payments; outcome premature complaint

Wolverhampton Homes received three enquiries as follows;

- Wolverhampton Homes received one complaint in relation to no support for a house move; outcome premature complaint
- Wolverhampton Homes received one complaint in relation to housing allocation; outcome closed after initial enquiries, no further action
- Wolverhampton Homes received one complaint in relation to repairs carried out by the council to a property next door; outcome closed after initial enquiries, out of jurisdiction

City Housing and Environment received two enquiries as follows:

- Environmental Services received one complaint in relation to fly tipping; outcome closed after initial enquiries, no further action
- Transportation, Parking and Traffic/Road Safety received one complaint in relation to disabled parking space and PCN; outcome closed after initial enquiries, no further action

Regeneration received one enquiry as follows:

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- Planning received one complaint in relation to council failing to identify defective building work from 2007; outcome closed after initial enquiries, no further action

### 5.4 Housing Ombudsman assessment enquiries

During 1 July 2021 to 30 September 2021 the council received five Housing Ombudsman assessment enquiries as follows:

Wolverhampton Homes received four enquiries as follows:

- One enquiry in relation to multiple leaks within a resident's property; resident is unhappy that no repairs have been carried out; outcome premature complaint
- One enquiry in relation to outstanding repairs, lack of communication with the resident and level of compensation; outcome premature complaint
- One enquiry in relation to loft insulation; outcome premature complaint
- One enquiry in relation to the landlord's handling of reports of damp and mould in a property; outcome premature complaint

Pendeford TMO (Tenant Management Organisation) received one enquiry as follows:

- One enquiry in relation to a neighbour's complaint; 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 all stages. 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, the Customer Feedback Team produce an action plan report. Recommendations within these reports are agreed with appropriate Heads of Service and shared with the relevant Service Manager/Director to ensure appropriate remedies and changes to policy/service delivery are implemented. 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.

See attached Appendix 4, Learning dashboard