



Performance Items and Performance Forward Plan

SUMMARY

- 1.1 In 2015 the Corporate Scrutiny and Governance Board took over responsibilities for monitoring performance and discussing general performance issues as and when they may arise. The Board also has powers to determine whether further action should be taken to resolve issues through performance surgeries or further reviews and reporting to the topic specific Scrutiny Boards.
- 1.2 In September 2016 the Board agreed a forward plan for performance items as shown in **Appendix 2**.
- 1.3 Furthermore, this report allows for officers to provide performance information covering two areas from the forward plan:
 - **Complaints and customer feedback** – with supporting information below.
 - **Food safety** – a presentation will be given by officers.
- 1.4 The Council has a duty to respond to complaints from service users and there are statutory procedures in place to formally address complaints relating to children's and adults social care.
- 1.5 In 2014 the Council adopted a new Customer Feedback Policy and reviewed its processes to ensure adequate capture of complaints through CRM, monitoring of performance and management oversight of learning outcomes.
- 1.6 This report provides an update on the current numbers and types of complaints received, performance in responding and learning from complaints. It can be seen that there is large variability between directorates in the number of complaints received and how well they use the Lagan CRM system to track complaints and record outcomes.
- 1.7 The underlying data quality issues mean it is difficult to present the full picture on complaints performance. Urgent actions have been taken to update the Lagan CRM system for current / closed cases and a review of systems for recording complaints will be carried out to see whether improvements can be made. Chief Officer Group will receive monthly updates on complaints performance.
- 1.8 It is suggested that a further report is presented to Scrutiny Board in six months time to assess the progress and impact of improvement actions taken.

RECOMMENDATIONS

- 2.1 To discuss any performance issues raised by the Board for possible inclusion on the Forward Plan for Performance as shown in Appendix 2 and make any other amendments to the plan as necessary.
- 2.2 To discuss performance around the areas of Complaints and Food Safety as presented and make any relevant comments or recommendations.
- 2.3 To receive a progress report on improvements to the complaints recording process in June 2017.

REASONS FOR RECOMMENDATIONS

- 3.1 To ensure robust performance monitoring and challenge, enabling the Corporate Scrutiny and Governance Board to take remedial or further investigative action supporting improvements in priority areas.
- 3.2 To allow the Board to discuss specific issues around performance and make relevant comments, recommendations and suggestions for future actions to resolve issues around performance.
- 3.3 Customer feedback provides invaluable information regarding service delivery and perceptions of service. The importance of capturing this feedback and using it proactively to drive service improvement cannot be underestimated. Data quality issues are undermining the accuracy and completeness of complaints monitoring.

SUPPORTING INFORMATION

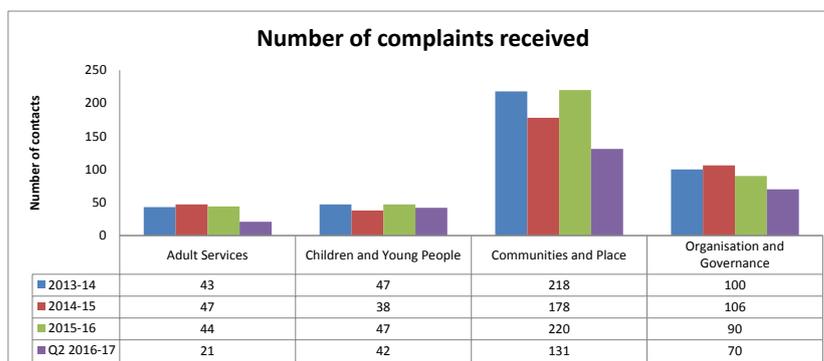
Background to Complaints

- 4.1 As an organisation we need to ensure that we are recording, investigating and responding to complaints we receive in a consistent and fair manner. There are statutory procedures in place to formally address complaints relating to children's and adults social care. Customer feedback in its widest sense is an opportunity to develop and improve services and to learn from good practice and mistakes.
- 4.2 A Performance Surgery was held in 2011 on performance around responding to complaints, followed by a wider review of complaints. Service standards were re-defined (corporate standard is 10 working days to respond) and an action plan was produced to improve our policy, systems and processes.
- 4.3 The Lagan Customer Relationship Management (CRM) system, introduced in 2012, provided a central point to collate, manage and report on customer feedback. Investigating officers are expected to record their response and learning outcomes on the corporate system. A suite of reports has been developed to report on various aspects of complaints performance, and an e-form was created to record customer feedback received directly by departments.

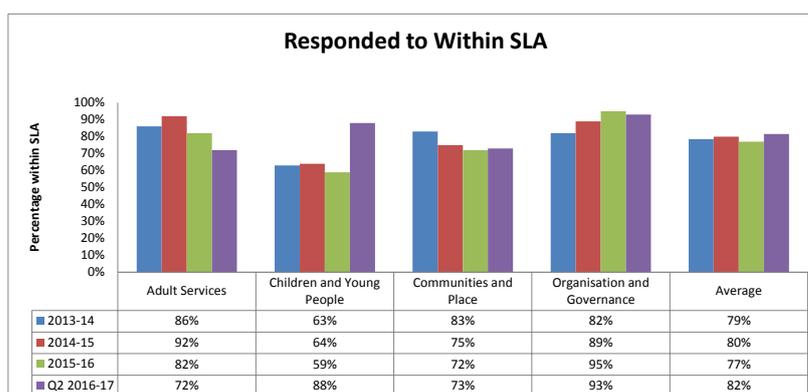
- 4.4 Managers receive regular training in investigating and responding to complaints, as well as recording the results on Lagan. A user guide is available to support officers who do not regularly receive complaints or use the system. Comments and compliments are also recorded.
- 4.5 In 2014 a new Customer Feedback policy was approved by Cabinet to give a consistent framework for managing and responding to complaints, including a streamlined procedure and clearer roles and responsibilities.

Current Performance

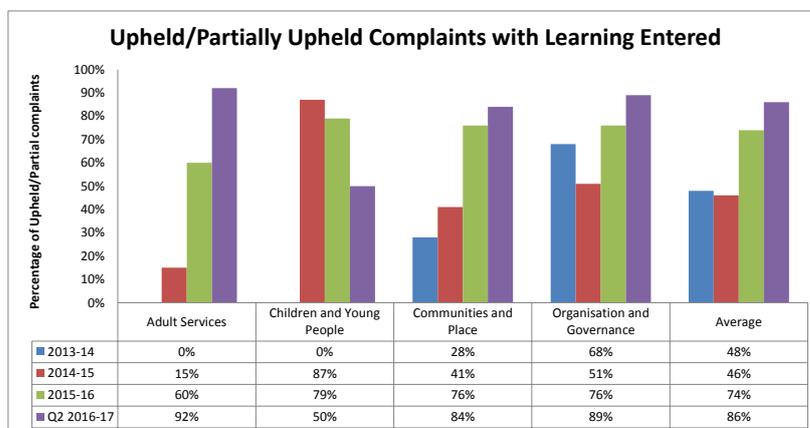
- 4.6 Performance is monitored via the following performance measures:
- LPI 52h Proportion of complaints responded to within timescale (all services) – this is published in the Council scorecard.
 - LPI 52i Proportion of complaints with learning outcomes recorded on Lagan (upheld or partially upheld complaints).
- 4.7 The latest activity and performance figures are shown below. It should be noted that the directorate structure has not yet been updated in Lagan although analysis contained within this report has been aligned with the new directorates where possible. Activity by service type for 2015/16 is shown in **Appendix 3**.
- 4.8 Analysis of the last three years complaints data shows that the number of complaints received has been steady across the last three years:



- 4.9 Overall, the number of complaints responded to within target timescales is consistently below the Council's target of 85%, although there is variance between the directorates in meeting this target. In 2015/16 Organisation and Governance was the highest performer at 95% with Children and Young People at 59%.



- 4.10 The ability to monitor response times accurately is impacted by how promptly complaints are closed and completed on Lagan (i.e. updated with response date and outcome). There has been a decline in the percentage of closed complaints being completed fully, many are being closed with no information on the response date, the classification or whether the complaint was upheld. A summary by directorate can be found in **Appendix 4**.
- 4.11 Issues with data quality are more apparent in year as Q2 2016/17 reporting shows a large number of open complaints however there is huge variability between directorates (for example the Children and Young People closure rate has deteriorated to 19%). Although a number have now been updated, it remains challenging to predict the year end position.
- 4.12 The proportion of complaints with outcome actions and learning entered has seen steady improvement since 2013/14 with further improvement in 2016/17 for three out of four service areas. The quality of the outcomes entered remains inconsistent.



- 4.13 A wider issue is that not all complaints are recorded on Lagan. Some services choose to record complaints and responses on their own case management systems. This reduces duplication with recording on Lagan but means that these complaints will not be counted in the overall figures reported here.

Stage 2 and Local Government Ombudsman (LGO) complaints

- 4.14 It would appear that the number of stage 2 complaints has fallen over the three year period (based on analysis of data held on Lagan). However, under the Customer Feedback policy introduced in 2014, customers may only raise a stage 2 complaint when they feel there is something wrong in the way we have investigated or responded to their initial complaint, as opposed to whether they are satisfied with the outcome.
- 4.15 LGO complaints are not recorded centrally on the Lagan CRM system. They are held on a master record within Customer Management and as such there is no detailed analysis. However, according to the LGO website there have been 115 across the three year period:
- 2013/14: 32 complaints to the ombudsman (5 upheld).
 - 2014/15: 31 complaints to the ombudsman (9 upheld).
 - 2015/16: 40 complaints to the ombudsman (5 upheld).
 - 2016/17 to end quarter 2: 12 complaints to the ombudsman (3 upheld).

Key issues impacting on performance

- 4.16 The underlying issue is the quality of data with which to monitor performance. There is no evidence to suggest that services are not responding to complaints promptly, however where this is not entered on to Lagan it is impossible to monitor and report on whether we are responding, how quickly and how well. Unless officers take responsibility for actively using and updating the system, data quality will not improve.
- 4.17 The following actions have been agreed:
- Customer Management are supporting Children's Services to update response dates, outcomes and learning actions for all complaints on Lagan since 1 April (by December 2016).
 - Lagan training will be offered to all investigating officers. In particular, sessions are booked with teams in Children's Services to improve their understanding of the system (from December 2016).
 - Chief Officer Group will receive monthly updates on complaints, including closure rates (from December 2016).
 - The directorate structure will be updated on Lagan to reflect the current management structure (by January 2017).
 - Complaints will feature as an item at the next Managers briefing to raise awareness of the need to update Lagan CRM (by February 2017).
 - A review of systems for recording complaints will now be carried out to see whether improvements can be made and options presented to Chief Officer Group (by January 2017).
- 4.18 The Council would benefit from more analysis of comments, complaints and compliments to inform service redesign and learning. The Customer Feedback Policy states:
- “We will keep records of feedback provided by customers, the timeliness of our response and outcomes. Our aim is to review all feedback we receive and monitor the nature of feedback including trends, lessons learnt and service improvements that result. We will also use the information gathered to assess the impact of new policies or decisions made.”*
- 4.19 We can learn from customer feedback by analysing trends and patterns not only within individual services, but across the authority as a whole. In addition, lessons learned from individual complaints as well as good practice from compliments should be shared across the Council to promote service improvement. By not doing this effectively, we are missing out on a valuable tool for improvement.
- 4.20 There is a lack of capacity to 'chase' officers who have not updated the CRM, quality assure responses, produce reports and examine the wider picture of trends and learning from customer feedback. However in current climate this cannot be easily addressed.

Next steps

- 4.21 It is proposed to continue close monitoring of complaints through Chief Officer Group and Council Cabinet. However it is suggested that a further update could be presented to Corporate Scrutiny and Governance Board in six months time (June 2017) to ensure that improvements to recording processes have taken place.

OTHER OPTIONS CONSIDERED

- 5.1 None.

This report has been approved by the following officers:

Legal officer Financial officer Human Resources officer Estates/Property officer Service Director(s) Other(s)	Head of Performance and Intelligence Head of Customer Management
For more information contact: Background papers: List of appendices:	Vicky Thornber 01332 643459 victoria.thornber@derby.gov.uk None Appendix 1 – Implications Appendix 2 – Forward Plan for Performance 2016/17 Appendix 3 – Complaints by service area and reason type Appendix 4 – Summary directorate analysis of complaints

IMPLICATIONS**Financial and Value for Money**

- 1.1 Customer feedback provides valuable information regarding service delivery and perceptions of service. The importance of capturing this feedback and using it proactively to drive service improvement and ensure value for money cannot be underestimated.
- 1.2 It's important to get it right first time. Repeat complaints, or escalation to stage 2 and the LGO are a drain on officer time and ultimately may result in financial penalties.

Legal

- 2.1 The Council has a duty to respond to complaints from service users and there are statutory procedures in place to formally address complaints relating to children's and adults social care. Children's services produce an annual report on complaints activity and learning.

Personnel

- 3.1 Training may be required to improve knowledge and use of the system.

IT

- 4.1 Changes to the Lagan system are necessary to align the structure with the current structure of directorates (this has not been completed since the previous restructure).
- 4.2 Further changes to the system would be necessary to make it more intuitive and ensure the information contained is accurate and relevant.

Equalities Impact

- 5.1 Equality implications from complaints could be themed and reported more effectively to aid identification of issues and wider interpretation.

Health and Safety

- 6.1 None identified.

Environmental Sustainability

- 7.1 None identified.

Property and Asset Management

- 8.1 None identified.

Risk Management and Safeguarding

- 9.1 Risk of reputational damage to the organisation from failure to deal with complaints and customer feedback effectively.
- 9.2 Identification of patterns in safeguarding issues raised as part of the customer feedback process.

Corporate objectives and priorities for change

- 10.1 **Priority 8: delivering our services differently.**
Analysis of customer feedback can provide valuable information during service restructure/redesign, as well as customer's perceptions of services. The priority also covers utilising digital technology to aid services to be more self-managing. Use of the central system and associated suite of reports will enable services to effectively keep track of complaints and for learning to be shared corporately.

Corporate Scrutiny & Governance Board - Forward Plan for Performance 2016/17

The performance forward plan is focused on indicators within the Council Scorecard 2016/17. Members can identify items for discussion and review throughout the year. The plan will be subject to regular review.

Meeting	Items	Format	Lead officer
17 January 2017	Adult social care – residential admissions / safeguarding	Presentation	Perveez Sadiq / Kirsty Everson
	Update on CYP Performance Surgeries – Social Care	Report	Sarah Walker / Maureen Darbon
7 February 2017	Q3 Performance report (covering period October to December 2016)	Cabinet Report	Heather Greenan
	Staff health and wellbeing	Presentation	David Cox / Wendy Johnson
14 March 2017	New Homes	Presentation	Ian Fullagar / Andrew McNeil
	Health and wellbeing	Report	Cate Edwynn
11 April 2017	Council Scorecard for 2017/18	Cabinet Report	Heather Greenan
	Council Tax and Business Rate collection	Presentation	John Massey