

# Overview and Scrutiny Committee

## AGENDA

**DATE:** Tuesday 20 September 2016

**TIME:** 7.30 pm

**VENUE:** Committee Rooms 1 & 2,  
Harrow Civic Centre

**MEMBERSHIP** (Quorum 4)

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**Chair:** Councillor Jerry Miles

**Councillors:**

Ghazanfar Ali  
Mrs Chika Amadi  
Jeff Anderson  
Jo Dooley

Richard Almond  
Ameet Jogia  
Chris Mote  
Paul Osborn (VC)

**Representatives of Voluntary Aided Sector:** Mrs J Rammelt/Reverend P Reece  
**Representatives of Parent Governors:** 2 Vacancies

(Note: Where there is a matter relating to the Council's education functions, the "church" and parent governor representatives have attendance, speaking and voting rights. They are entitled to speak but not vote on any other matter.)

**Representative of Harrow Youth Parliament**

**Reserve Members:**

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- |                           |                            |
|---------------------------|----------------------------|
| 1. Ms Pamela Fitzpatrick  | 1. Stephen Wright          |
| 2. Kairul Kareema Marikar | 2. Lynda Seymour           |
| 3. Ajay Maru              | 3. Barry Macleod-Cullinane |
| 4. Aneka Shah-Levy        | 4. Susan Hall              |
| 5. Antonio Weiss          |                            |

**Contact:** Manize Talukdar, Democratic & Electoral Services Officer  
Tel: 020 8424 1883 E-mail: [manize.talukdarharrow.gov.uk](mailto:manize.talukdarharrow.gov.uk)

# AGENDA - PART I

## 1. ATTENDANCE BY RESERVE MEMBERS

To note the attendance at this meeting of any duly appointed Reserve Members.

Reserve Members may attend meetings:-

- (i) to take the place of an ordinary Member for whom they are a reserve;
- (ii) where the ordinary Member will be absent for the whole of the meeting; and
- (iii) the meeting notes at the start of the meeting at the item 'Reserves' that the Reserve Member is or will be attending as a reserve;
- (iv) if a Reserve Member whose intention to attend has been noted arrives after the commencement of the meeting, then that Reserve Member can only act as a Member from the start of the next item of business on the agenda after his/her arrival.

## 2. DECLARATIONS OF INTEREST

To receive declarations of disclosable pecuniary or non pecuniary interests, arising from business to be transacted at this meeting, from:

- (a) all Members of the Committee;
- (b) all other Members present.

## 3. MINUTES (Pages 5 - 26)

That the minutes of the ordinary meeting held on 8 June 2016 and the two special meetings held on 12 July 2016 be taken as read and signed as correct records.

## 4. PUBLIC QUESTIONS \*

To receive any public questions received in accordance with Committee Procedure Rule 17 (Part 4B of the Constitution).

Questions will be asked in the order notice of them was received and there be a time limit of 15 minutes.

**[The deadline for receipt of public questions is 3.00 pm, Thursday 15<sup>th</sup> September 2016. Questions should be sent to [publicquestions@harrow.gov.uk](mailto:publicquestions@harrow.gov.uk)**

**No person may submit more than one question].**

## 5. PETITIONS

To receive petitions (if any) submitted by members of the public/Councillors under the provisions of Committee Procedure Rule 15 (Part 4B of the Constitution).

## 6. REFERENCES FROM COUNCIL/CABINET (Pages 27 - 30)

- (a) Response to Scrutiny Challenge Panel Report 'Social and Community Infrastructure.

Reference from Cabinet on 14 July 2016.

- (b) Response to Scrutiny Challenge Panel Report 'Impacts of Welfare Report in Harrow'.

Reference from Cabinet on 14 July 2016.

**7. IMPLEMENTATION OF NEW YOUTH OFFENDING CASE MANAGEMENT SYSTEM** (Pages 31 - 42)

Report of the Corporate Director, People Services.

**8. YOUTH JUSTICE PLAN** (Pages 43 - 74)

Report of the Corporate Director, People Services.

**9. ADULTS SERVICES COMPLAINTS ANNUAL REPORT (SOCIAL CARE ONLY) 2015/16** (Pages 75 - 96)

Report of the Corporate Director, People Services.

**10. CHILDREN AND FAMILIES SERVICES COMPLAINTS ANNUAL REPORT 2015/16** (Pages 97 - 122)

Report of the Corporate Director, People Services.

**11. LOCAL ASSURANCE TEST [LAT] REVIEW** (Pages 123 - 152)

Report of the Corporate Director, People Services.

**12. DRAFT SCOPE FOR HOMELESSNESS SCRUTINY CHALLENGE PANEL** (Pages 153 - 162)

Report of the Divisional Director, Strategic Commissioning.

**13. ANY OTHER BUSINESS**

Which the Chairman has decided is urgent and cannot otherwise be dealt with.

**AGENDA - PART II - NIL**

**\* DATA PROTECTION ACT NOTICE**

The Council will audio record item 4 (Public Questions) and will place the audio recording on the Council's website, which will be accessible to all.

[Note: The questions and answers will not be reproduced in the minutes.]

Deadline for questions	3.00 pm on Thursday 15 September 2016
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# OVERVIEW AND SCRUTINY COMMITTEE MINUTES

## 8 JUNE 2016

- Chair:** \* Councillor Jerry Miles
- Councillors:** \* Ghazanfar Ali \* Jo Dooley  
 \* Richard Almond \* Ameet Jogia  
 \* Mrs Chika Amadi \* Paul Osborn  
 † Jeff Anderson \* Lynda Seymour (2)
- Voting Co-opted:** (Voluntary Aided) (Parent Governors)  
 Mrs J Rammelt  
 Reverend P Reece
- Non-voting Co-opted:** Harrow Youth Parliament Representative
- In attendance: (Councillors)** Glen Hearnden Minute 162

- \* Denotes Member present
- (2) Denote category of Reserve Members
- † Denotes apologies received

### 155. Attendance by Reserve Members

**RESOLVED:** To note the attendance at this meeting of the following duly appointed Reserve Member:-

Ordinary Member

Reserve Member

Councillor Chris Mote

Councillor Lynda Seymour

## 156. Declarations of Interest

**RESOLVED:** To note that the following interests were declared:

### Agenda Item 7 – Homelessness Pressures

Councillor Ameet Jogia declared a non-pecuniary interest in that he lived in a Council flat purchased under the Right to Buy scheme. He would remain in the room whilst the matter was considered and voted upon.

### Agenda Item 8 – Welfare Reform Scrutiny Review Group – Report and Recommendations for Consideration

Councillor Lynda Seymour declared a non-pecuniary interest in that her son was in receipt of Disability Living Allowance. She would remain in the room whilst the matter was considered and voted upon.

## 157. Minutes

**RESOLVED:** That the minutes of the ordinary meeting held on 19 April 2016 and the special meeting on 19 May 2016 be taken as read and signed as correct records.

## 158. Public Questions and Petitions

**RESOLVED:** To note that no public questions or petitions were received at this meeting.

## 159. References from Council/Cabinet

There were none.

## RECOMMENDED ITEMS

## 160. Welfare Reform Scrutiny Review Group - Report and Recommendations for Consideration

The Committee considered a report which set out the findings and recommendations of the Welfare Reform Scrutiny Review Group which met between August 2015 and March 2016. The Group focused on the areas of the Benefit Cap and low pay.

A Member of the Committee who was also a Member of the Review Group commented that the recommendations had been agreed on a cross-party basis.

**Resolved to RECOMMEND:** (to Cabinet)

That the Scrutiny Review's report and recommendations be forwarded on to Cabinet for consideration.

## **161. Final Report of the Social and Community Infrastructure Scrutiny Review**

The Committee considered a report which set out the findings and recommendations from the Social and Community Infrastructure Scrutiny Review, the review examined the general 'soft' infrastructure provision that helped community formation from new and expanded residential development and sought to then identify specific provision that would be appropriate.

A Member of the Committee who was also a Member of the Review Group commented that site visits had been conducted as part of the Review. A key feedback point was that existing land and resources had to be developed.

Another Member commented that it was important to use materials which were of good quality especially in relation to buildings resulting from regeneration proposals.

**Resolved to RECOMMEND:** (to Cabinet)

That the Scrutiny Review's report and recommendations be forwarded on to Cabinet for consideration.

## **RESOLVED ITEMS**

### **162. Homelessness Pressures**

The Committee received a report which set out the background to the acute homelessness pressures being experienced in Harrow at present and demonstrated the work being done across the Council to manage and mitigate the impacts on the homeless households and on the Council's budgetary situation.

The Committee welcomed the Portfolio Holder for Housing to the meeting for this item.

Officers conducted a presentation for the Committee and made the following points:

- there had recently been a challenge panel which had looked at the issue of homelessness and identify actions which could mitigate the pressures. This had involved conducting research, receiving expert advice and consultation;
- an action plan was being developed from the Challenge Panel meeting;
- a round table meeting would reconvene in June 2016 to review the progress on this action plan;
- if the Council had accepted that someone was homeless under the relevant statutory definition, it was obliged to find a permanent housing solution;

- there had been a significant increase in the number of people who were homeless in the borough throughout the last couple of years;
- the difficulty that the Council had was that a number of people who were homeless were being placed in temporary accommodation. The Council had a shortage of self contained accommodation;
- Bed and Breakfast establishments were used as temporary accommodation which was unsatisfactory as they were costly;
- there were a number of reasons why homelessness was on the increase. Part of this was because of the changes to Housing Benefits which had meant in its reduction financially at the same time that the rents within the private rental sector had been increasing. This obviously left a funding shortfall;
- the Council were actively trying to prevent people from becoming homeless. For example a number of people were becoming homeless because of an increase in rents within the private rented sector. The Council were working with landlords to provide measures such as grants for disrepair to prevent tenants from being evicted;
- the Council were utilising the option of moving families outside of Harrow and London to utilise accommodation which had more cost effective rental charges;
- the Council also offered rent advances and deposits to ensure that they could either remain in their current property or move into a new one to prevent homelessness;
- the Council undertook a detailed homelessness assessment process and reached a conclusion accordingly. These decisions could be appealed and usually per year there were about 120 appeals. Of these around two-thirds were upheld and a third involved the Council changing its mind due to new information provided;
- the Council operated a service called Help2Let. This was a social housing lettings agency. This was a service which charged Landlords for services and a supply of tenants. This was a successful service as it was a local service for local landlords;
- a key challenge with homelessness was getting those individuals and families affected to have realistic expectations. Approximately half of all families becoming homeless would have to be based outside London. The Council had a team which assisted those families and individuals to settle living outside London;
- the Government were looking to change the legislation on homelessness as they wanted to change the rule in relation to young and single people;



- the Right to Buy option had been extended to Housing Associations. This would reduce the options available to the Council even further;
- the Council would be undertaking regeneration programmes and it was expected that this would increase the housing supply available to the Council.

The following questions were put by Members and responded to accordingly:

- What is the financial cost of placing a family in Bed and Breakfast accommodation?

The cost to the Council was approximately £17,000 per year.

- What scope is there for the Council to buy a private house and utilise this for housing purposes?

Cabinet had provided officers with the approval to buy private properties for these purposes. The Council were actively looking into buying properties within Harrow and outside of London. The Council were buying a particular level within the housing market and this required time.

- How long would it take for people in temporary accommodation to be moved into permanent housing solutions?

This would take a long period of time and a long term view had to be taken. There was not enough housing in the private rental sector to be able to deliver this at a quicker pace.

- Should the duty on the Council to house a homeless family end if they refuse to accept a housing option presented to them?

If the Council had offered a reasonable housing solution which the Council deemed to be suitable and it was refused then the homelessness duty would end.

- Did the Council clearly state to those who were homeless that they could be placed outside of London?

The Council were clear in explaining that accommodation may be provided outside of London. It was difficult to say whether people were happy with this as there were some who preferred this and some who preferred to stay in London.

- There were situations where tenants were becoming homeless simply due to the greed of Landlords and not because they were in any arrears. What could the Council do to mitigate against this?

This was difficult to mitigate against. The Council did however attempt to offer incentives to Landlords for them to keep tenants.

- Had any thought been provided on the triggers for homelessness so that these were addressed immediately avoiding the need to consider the person homeless?

This was an issue that the Challenge Panel had considered and work would be undertaken on this.

- The Council had the lowest housing stock across West London. What was the reason for this?

Historically the Council had sold over half its housing stock in 1979. Additionally it had not been able to undertake the number of development opportunities like other authorities.

- If people were on benefits and then subsequently found employment, there may be a period of time where there would be a funding gap in the rent owed to private landlords. What help was being provided to them?

The Council would be willing to assist in funding the rent during this period to avoid the person becoming homeless.

- Were other boroughs dealing with the homelessness issue better or worse than the Council?

It was difficult to answer this question as each borough had its own unique issues and problems.

- Would the actions contained in the Action Plan arising from the Challenge Panel be contained within existing budgets?

Any initiatives proposed were likely to involve investing to save schemes. For example more staff may be recruited however in the long term this would save the Council money.

The Chair asked the Portfolio holder whether there were any areas that he would like the Committee to investigate working in collaboration on the homelessness issue. The Portfolio Holder responded that work could be done in considering how much affordable housing could be provided in the existing schemes within the Council and how could the issue receive a higher profile within the Council and developers.

**RESOLVED:** That the report be noted.

### **163. Scrutiny Work Programme 2016/17**

The Committee received a report which contained a proposed work programme for 2016/17.

Members made comments as follows:

- Item 6 – Smoking Cessation Number Quitting – the column on ‘why’ required re-drafting;
- Item 35 – Family / Community Services for Asylum Seekers – the column on ‘why’ required re-drafting to read ‘what is the Council doing to ensure it is aware of hard to reach communities and best support and meet their needs’.
- Item 38 – Child Poverty – the column on ‘why’ required the following words added at the end ‘and how it was evolving’.

**RESOLVED:** That the work programme for the Committee be agreed subject to the amendments listed above.

(Note: The meeting, having commenced at 7.31 pm, closed at 8.55 pm).

(Signed) COUNCILLOR JERRY MILES  
Chair

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# OVERVIEW AND SCRUTINY COMMITTEE (SPECIAL) MINUTES

## 12 JULY 2016

**Chair:** \* Councillor Jerry Miles

**Councillors:**

* Ghazanfar Ali	* Jo Dooley
* Richard Almond	* Susan Hall (4)
* Mrs Chika Amadi	* Ameet Jogia
* Jeff Anderson	* Paul Osborn

**Voting Co-opted:** (Voluntary Aided) (Parent Governors)

Mrs J Rammelt  
Reverend P Reece

**Non-voting Co-opted:** Harrow Youth Parliament Representative

\* Denotes Member present  
(4) Denotes category of Reserve Member

### 164. Attendance by Reserve Members

**RESOLVED:** To note the attendance at this meeting of the following duly appointed Reserve Members:-

Ordinary Member

Councillor Chris Mote

Reserve Member

Councillor Susan Hall

## 165. Declarations of Interest

**RESOLVED:** To note that the following interests were declared:

### Agenda Item 3 – Community Involvement in Parks

Councillor Jeff Anderson declared a non-pecuniary interest in that his wife was the Portfolio Holder for Community, Culture and Resident Engagement . He would remain in the room whilst the matter was considered and voted upon.

Councillor Ameet Jogia declared a non-pecuniary interest in that he was a member of the Friends of Canons Park. He would remain in the room whilst the matter was considered and voted upon.

Councillor Mrs Chika Amadi declared a non-pecuniary interest in that she led a health walk at Edgware Recreation Ground. She would remain in the room whilst the matter was considered and voted upon.

Councillor Barry Macleod-Cullinane declared a non-pecuniary interest in that his son used local parks. He would remain in the room whilst the matter was considered and voted upon.

## **RECOMMENDED ITEMS**

## 166. Community Involvement in Parks

The Committee considered a report regarding the Community Involvement in Parks Challenge Panel. The report outlined the Review's observations and findings with regard to improving community involvement in the Borough's parks.

A Member who had chaired the Review Group, provided a brief overview of the report.

A Member stated that the management and maintenance of parks and open spaces were important issues that required in depth scrutiny. She questioned the value of a light-touch Review such as this one, adding that, in her view, the feedback from the questionnaire was too generic and the Review had been a waste of resources.

The Member who had chaired the Review Group responded that in his view, the Recommendations to Cabinet coming out of the report were quite detailed, however, it may be useful to carry out a further more in-depth review of this topic in the future.

**Resolved to RECOMMEND:** (to Cabinet)

That the Scrutiny Review's report and recommendations be forwarded on to Cabinet for consideration.

(Note: The meeting, having commenced at 7.00 pm, closed at 7.12 pm).

(Signed) COUNCILLOR JERRY MILES  
Chair

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# OVERVIEW AND SCRUTINY COMMITTEE (SPECIAL) MINUTES

## 12 JULY 2016

**Chair:** \* Councillor Jerry Miles

**Councillors:** \* Ghazanfar Ali \* Jo Dooley  
\* Richard Almond \* Susan Hall (3)  
\* Mrs Chika Amadi \* Ameet Jogia  
\* Jeff Anderson \* Paul Osborn

**In attendance:** Barry Macleod-Cullinane  
(Councillors) Mrs Christine Robson

\* Denotes Member present  
(3) Denotes category of Reserve Member

### 167. Attendance by Reserve Members

**RESOLVED:** To note the attendance at this meeting of the following duly appointed Reserve Members:-

Ordinary Member

Reserve Member

Councillor Chris Mote

Councillor Susan Hall

### 168. Declarations of Interest

**RESOLVED:** To note that the following interests were declared:

### Agenda Item 3 – Question and Answer Session with the Leader of the Council and the Chief Executive

Councillor Jeff Anderson declared a non-pecuniary interest in that his wife was the Portfolio Holder for Community, Culture and Resident Engagement. He would remain in the room whilst the matter was considered and voted upon.

Councillor Barry Macleod-Cullinane declared a non-pecuniary interest in that he was Ward Councillor for Harrow on the Hill, which was the focus of a major regeneration project. He would remain in the room whilst the matter was considered and voted upon.

During the course of the meeting, Councillor Susan Hall declared a non-pecuniary interest in that she owned a commercial premises in Wealdstone. She would remain in the room whilst the matter was considered and voted upon.

Councillor Mrs Christine Robson declared a non-pecuniary interest in that she was the Portfolio Holder for Children, Schools and Young People. She would remain in the room whilst the matter was considered and voted upon.

### **RESOLVED ITEMS**

#### **169. Question and Answer Session with the Leader of the Council and the Chief Executive**

In his opening remarks, the Leader briefly outlined the three main areas of focus for his administration, which were as follows:

1. to tackle inequalities in the borough, for example, statistical data showed that there was an 8-year life expectancy gap between the most affluent and the least affluent residents in the borough;
2. to focus on successfully delivering the Regeneration Programme and to ensure that all Harrow's residents had a stake in it and benefitted from it;
3. to improve the Council's relationship with residents and to be more responsive to their needs.

In his opening remarks, the Chief Executive stated that, a Peer Review had been undertaken during June 2016 by a team made up of Councillors, officers and experts from the Department for Communities and Local Government. The findings of the Peer Review would be submitted to Cabinet along with an Action Plan to tackle any areas of concern highlighted by the Review. He added that the Council was also assessing any likely impact of Brexit on the Council, its workforce, its budgets and savings and on community cohesion.

A Member stated that the council-wide IT systems crash earlier in the week had meant that residents could not easily contact the Council. She asked

how this tallied with the Leader's objective that the Council should be more responsive to the needs of residents. She added that she had received a very large number of email complaints to her private email address from residents regarding the recent increase in traffic congestion on the way to the civic amenity site as well as emails regarding missed brown bin collections. She asked what swift action could be taken to deal with these complaints.

A Member stated that there had recently been a spike in the number of calls and complaints received regarding the non-collection of brown bins and asked how this would be tackled and why the brown bin scheme had not been introduced in stages.

Another Member asked for detailed figures in relation to the collection of brown bins.

The Leader responded that the chargeable brown bin scheme had been introduced as part of an overall savings strategy, and that many other boroughs had recently introduced similar schemes. He added that Harrow had the highest proportion of residents signed up to the brown bin scheme in London - which indicated that the scheme was a success.

The Chief Executive confirmed that there were forty-eight thousand brown bins in the borough and that 98% of these had been collected on time, however, as with any new initiative, there had been a small number of issues, which in this case had primarily related to IT. He added that it was important to learn from experience and officers were working to make the service simpler and more streamlined and to make it easier for residents to contact the Council regarding missed collections.

With regard to the number of calls received by the Council's call centre, Access Harrow, statistics showed that 91% of calls had been answered and that 84% of those calls were answered within the first 30 seconds. For emails, the figure was 95% responded to within seventy-two hours of receipt.

The Chief Executive added that the Council was undertaking a review of its customer care protocols and processes. The aim was to use plain English wherever possible, apologise for errors, aim to learn lessons from complaints received and focus on improving customer experience. There was also an intention to provide a 24-hour, 7-days a week service enabled by the use of online forms and digitalisation, which in turn would reduce the demand on Access Harrow.

A Member asked what powers and resources the Council had to deal with inequalities such as the 8-year life-expectancy gap referred to by the Leader.

The Leader stated that the Council had statutory responsibilities in terms of planning, licensing, housing, public health, etc, and a more cohesive policy approach in these areas could be used to tackle issues such as the gap in life expectancy. For example, Harrow had been identified as having high levels of inactivity in terms of physical exercise. Increasing activity was a health and wellbeing target that was being tackled through a number of different initiatives such as the installation of green gyms in local parks. Poor quality

housing may also be a contributor and the Council had set targets for the building of more, better quality, affordable homes. It would also work closely with statutory partners such as the NHS, the Clinical Commissioning Group and the Health & Wellbeing Board as well as third sector organisations to tackle these issues.

The Leader added that the above initiatives had long-term, generational objectives the results of which may not be immediately evident but were a lifelong process that would benefit future generations.

A Member asked how the recent amendment to the Council's Constitution, which now allowed Cabinet to appoint the former Leader of the Council as a Non-Executive Member to Cabinet, would benefit residents.

The Leader stated that this had been done in the interests of continuity, and to enable the former Leader to continue to share his expert knowledge and experience with Cabinet colleagues and to contribute to future policy discussions.

A Member stated that there had been a noticeable increase in the number of hate crimes reported post-Brexit and asked what measures the Council had taken to preserve community cohesion and to mitigate against any likely impact of Brexit upon the residents of Harrow and on the Council.

The Leader advised that he had recently met with the Leaders of other local authorities in West London where one of the topics of discussion had been a possible skills shortage as a result of the UK leaving the EU and its impact on staffing in key areas such as the NHS and the teaching profession. They had also discussed the importance of developing those skills in the local population by ensuring adequate training courses were available at colleges and other institutions.

The Leader stated that the Borough Commander had confirmed that there had been no noticeable increase in the incidence of hate crimes reported in the Borough, and this was an indication of the success of cross-party initiatives in this area over recent years. He added that there was a statement from him on the Council's website that Harrow had a 'zero tolerance' approach to all hate crime.

He further added that there were significant numbers of EU nationals living and working in Harrow and that the Council would need to closely monitor Brexit negotiations to assess and respond to any likely impact of these on its residents. He had recently met with and discussed these issues with the leaders of local community and faith groups, who had indicated that their members felt confident about reporting incidences of hate crime to the proper authorities.

A Member asked whether the Selective Licensing Scheme, which had been rolled out in Edgware Ward would be extended to other Wards. She added that this initiative had yielded a number of benefits such as a reduction in fly-tipping, a reduction in the issuing of Anti Social Behaviour Orders and an improved relationship between private landlords and the Council.

The Leader stated that the severe housing crisis in London could only be tackled by the Council working in partnership with the private rental sector. He added that there was a pressing need to improve the availability, quality and affordability of the housing stock. The scheme in Edgware was a pilot and there were plans to roll this out to other wards.

A Member asked how the issue of homelessness would be tackled, particularly since data showed that those families who were allocated emergency accommodation outside the borough tended to remain in that accommodation for longer periods; what could be done about unscrupulous landlords who charged exorbitant rents.

The Leader responded that homelessness was a London-wide and a UK-wide problem that Harrow could not tackle alone. The Council was doing the following:

- working closely with GLA to bid for funding from the Housing Zone initiative;
- providing loans to developers to build new properties, whilst ensuring a proportion of these were affordable;
- working with the voluntary sector to build new homes;
- buying houses and building new houses on land that it owned;
- setting up its own lettings agency;
- working on joint initiatives with other local authorities;
- lobbying the Mayor of London and Central Government for funding.

He added that recent welfare reform had particularly affected those on low incomes, for example, 60% of those in receipt of Housing Benefit in Harrow were working in low-income jobs. He confirmed that there were plans to roll out the Selective Licensing Scheme to other wards. He had recently met the Deputy Mayor of London for Housing and they had discussed the possibility of tenancy agreements where rent increases were controlled.

A Member asked how the Council would help and support those families which had been adversely affected by the recent welfare reforms.

The Leader replied that the housing benefit cap had impacted low-income families the most and that he would like to see the Government re-evaluate these reforms. The Council's Economic Development Team was working closely with the Housing Regeneration Team to help those families in a number of different ways, for example, by helping them to access training and find employment.

A Member asked whether the possibility of the UK leaving the EU been included on the Council's Risk Register as this had not been listed as a risk on recent Cabinet papers.

The Chief Executive confirmed that this was being included on the risk register. He added that the post-Brexit landscape was continuously evolving and that this topic would be considered in detail by the Corporate Strategy Board.

A Member asked whether the high interest payments on the £350m loan that the Council had taken out to fund the Regeneration Programme would impact on council services.

The Leader stated that although it was important to achieve the correct risk-balance in a project of this scale and ambition, it was not simply a case of balancing the books. This project involved £1.75bn public and private investment and it was therefore equally important consider the wider long-term benefits of such an undertaking. The Regeneration Programme would see much needed investment in the most deprived areas of Harrow and would improve the lives of Harrow residents, especially the most vulnerable.

The Chief Executive added that under the Regeneration Programme, there were plans to build five thousand new homes and create three thousand jobs across ten sites. Finances were independently validated every six months using current market values to ensure all projects remained on target and within budget.

A Member asked how the Council would make itself more accessible to residents, considering that residents had reported that My Harrow was not very user-friendly, and Access Harrow's call response rates required improvement.

The Leader stated that Harrow received one of the lowest amounts of local government grant in London and this had obvious repercussions for the Council's spending. He would continue to lobby central government for Harrow's grant amount to be increased. He accepted that Access Harrow's call response rates required improvement, that some of the web forms on the Council's website needed to be re-designed and that overall customer experience needed to be improved. It was important to ensure that the Council's policies reflected the views of and feedback from residents. To this end, he would be attending more community events, holding more Leader's surgeries in order to have more dialogue with residents.

A Member stated that he had recently shadowed one of the teams in Access Harrow and found that staff there operated under enormous pressures and morale was quite low. He had also noticed that poor call response rates meant that increasing numbers of residents were visiting the Civic Centre in person. He asked what was being done to ensure that the call centre was adequately resourced and the wellbeing of its staff safeguarded.

The Chief Executive stated that he undertook monthly visits to Access Harrow and was aware of the pressures on staff there. This was partly due to the

recent increase in demand. He confirmed that additional resources had been made available in the revenues and benefits team in Access Harrow and he hoped that increased digitalisation of services would relieve some of the pressure on those teams.

A Member stated that the Scrutiny function, which was an essential criteria for good decision-making, had been significantly reduced in recent years. Consequently, opposition Members had fewer opportunities to ask questions or raise queries about areas of concern. He asked how the current administration would ensure Councillor engagement and better scrutiny. He also requested that more Q&A sessions with the Leader and the Chief Executive be scheduled into the calendar of meetings.

The Leader responded that the Peer Review had highlighted the need for better cross-party working and in his view, the current adversarial style of engagement between the main parties was counter-productive. He would consider scheduling in additional Q&A sessions and may increase the time allowed for Councillor questions at Cabinet meetings. He added that he hoped, going forward, the two main political groups would be able to work together more collaboratively.

A Member asked about early intervention initiatives and whether any other additional savings had been identified.

The Leader replied that the focus of early intervention should be doing things better, less expensively, with better outcomes and rolling out the Council's commercialisation agenda.

The Chief Executive advised that this would be achieved through close working with partner and statutory bodies, neighbourhood champions and by engendering values such as citizenship and social responsibility amongst residents.

A Member stated that delays in the implementation the brown bin scheme had resulted in a loss of revenue. He asked how the Council would ensure that policies were implemented in a timely manner so that it did not lose any potential revenue.

The Leader advised that this would be achieved through the extensive planning, budgets and timescales included in the Medium Term Financial Strategy. In the case of the brown bin scheme, the Council would need to investigate the reasons for the delay and it may transpire that there were legitimate reasons for this. He added that going forward, the Council needed to be flexible and responsive to changing circumstances and amend its plans accordingly.

A Member asked how Brexit would affect Harrow's shopping centres and whether the skills of the Economic Development team would be used to protect local jobs and support local businesses.

The Leader stated that the Economic Regeneration Team was working on the 'work to save' initiative and there were other initiatives encouraging residents

to shop locally, local businesses to bid for Council procurement contracts. Interestingly, 25% of Harrow residents were self-employed and the Council had provided support to pop-up shops and start-up businesses by allowing them to use Council owned premises. These traders would eventually move to High Street premises once they became more established.

The Chief Executive stated that Harrow was an entrepreneurial borough and the Economic Regeneration Team were also promoting the Harrow Deals discount website and Stanmore Business Park.

A Member stated that Edgware Brook had flooded during recent heavy rains and she asked what flood contingency plans were in place and how would residents be alerted in case of widespread flooding in the borough.

The Chief Executive advised that many boroughs had early warning systems in place in high-risk areas. The Council worked closely with the Meteorological Office and would share any warnings with staff and publish this information on the Council's website. It would also provide advice and material help such as sandbags to those affected by floods. It was important to ensure that waterways such as Edgware Brook was clear of litter and blockages and that the parks drainage system was fully functional at all times. The council would also work closely with the Environment Agency and follow its guidance in times of emergency.

A Member asked what the potential risks of Brexit were for Harrow and how these would be mitigated.

The Chief Executive stated that the post-Brexit landscape was continually evolving and the Council would be closely monitoring and taking on board the views and guidance of experts. He added that the Council had identified four key areas of concern:

- investment and the economy – the Institute for Fiscal Studies had suggested that there would be £30bn budget deficit post-Brexit. The Chancellor of the Exchequer had stated that any deficit would need to be dealt with through either an increase in taxes or a reduction in spending and that further details of this would be provided in his autumn statement. The Council would continue to lobby the Secretary of State;
- Devolution – it was not yet clear whether this would continue to be prioritised by the Government;
- Harrow's Regeneration Programme – it was noteworthy that sterling had recently been devalued, which had led to an increase in the cost of imported goods which in turn could lead to an increase in construction costs;
- social cohesion, which was an important area of responsibility for local authorities.



The Council would continue to closely monitor and review the situation post-Brexit and work closely with Central Government and bodies such as the Greater London Authority, the Local Government Association and London Councils.

A Member asked whether the transfer of the Harrow Arts Centre was linked with the Cultural Regeneration Strategy and asked whether Harrow's cultural assets were at risk.

The Leader advised that Cultura London had been awarded the contract to manage the Arts Centre and the Heritage Museum. A Trust had been set up and Cultura London was working on an ambitious business plan which would see the layout of the Arts Centre changed and a programme of events that was expected to attract bigger audiences and more users of the Centre.

A Member asked what had prompted the decision to give Cultura London £1m instead of the initial idea of giving it a loan. She added that the organisation was not meeting its fundraising targets which meant that the Council in the meanwhile continued to be responsible for the upkeep of the Arts Centre and the Heritage Museum.

The Chief Executive advised that the length of the lease for both buildings had been changed from 25 years to 90 years to allow a longer life-span to the project. There were safeguards in place as the loan was subject to three conditions, namely, receipt of requisite planning permission for changes to the buildings, achieving match funding and contractors being engaged to begin the works.

(Note: The meeting, having commenced at 7.00 pm, closed at 9.15 pm).

(Signed) COUNCILLOR JERRY MILES  
Chair

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MINUTE EXTRACT TO O&S

**CABINET**

**14 JULY 2016**

Record of decisions taken at the meeting held on Thursday 14 July 2016.

**Present:**

**Chair:** \* Councillor Sachin Shah

**Councillors:**

* Sue Anderson	* Varsha Parmar
* Simon Brown	* David Perry
* Keith Ferry	* Kiran Ramchandani
† Glen Hearnden	* Mrs Christine Robson
* Graham Henson	* Adam Swersky

**Non-Executive Member:** \* David Perry

**In attendance:**

Richard Almond	Minute 403
Marilyn Ashton	Minute 410
Ms Pamela Fitzpatrick	Minute 411
Susan Hall	Minute 403
Barry Macleod-Cullinane	Minute 411
Paul Osborn	Minute 403

\* Denotes Member present  
 † Denotes apologies received

**410. Report of the Scrutiny Review into Social and Community Infrastructure**

Having received representations from Members of the Scrutiny Review Group in line with the Cabinet/Scrutiny Protocol, it was

**RESOLVED:** That the responses to the recommendations of the Scrutiny Review Group's report be noted.

**Reason for Decision:** To note the responses, including the next steps.

**Alternative Options Considered and Rejected:** As set out in Table A of the report.

**Conflict of Interest relating to the matter declared by Cabinet Member/Dispensation Granted:** None.

MINUTE EXTRACT TO O&S

# CABINET

## 14 JULY 2016

Record of decisions taken at the meeting held on Thursday 14 July 2016.

**Present:**

**Chair:** \* Councillor Sachin Shah

**Councillors:**

* Sue Anderson	* Varsha Parmar
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† Glen Hearnden	* Mrs Christine Robson
* Graham Henson	* Adam Swersky

**Non-Executive Member:** \* David Perry

**In attendance:**

Richard Almond	Minute 403
Marilyn Ashton	Minute 410
Ms Pamela Fitzpatrick	Minute 411
Susan Hall	Minute 403
Barry Macleod-Cullinane	Minute 411
Paul Osborn	Minute 403

\* Denotes Member present  
† Denotes apologies received

**411. Response to Scrutiny's Review of the Impacts of Welfare Reform in Harrow**

Having received representations from Members of the Scrutiny Review Group in line with the Cabinet/Scrutiny Protocol, it was

**RESOLVED:** That the recommendations of the Scrutiny Review report be noted and the response and proposed actions to the recommendations, as set out in the report, be agreed.

**Reason for Decision:** To note the response and actions.

**Alternative Options Considered and Rejected:** As set out in the report.

**Conflict of Interest relating to the matter declared by Cabinet Member/Dispensation Granted:** None.

**REPORT FOR: OVERVIEW AND  
SCRUTINY COMMITTEE  
AND SCRUTINY SUB-  
COMMITTEES**

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<b>Date of Meeting:</b>	20 September 2016
<b>Subject:</b>	Implementation of new Youth Offending Case Management System
<b>Responsible Officer:</b>	Chris Spencer, Corporate Director of People
<b>Scrutiny Lead Member area:</b>	Councillor Janet Mote, Performance Lead Member Councillor Richard Almond, Policy Lead Member
<b>Exempt:</b>	No
<b>Wards affected:</b>	All
<b>Enclosures:</b>	Appendix 1 - YOT performance summary

**Section 1 – Summary and Recommendations**

This report sets out the issues that arose following the implementation of the new Youth Offending Case management system. It considers the impact of the system implementation on the Youth Offending Team (YOT) practice and performance, and records lessons learned for those involved in the project.

**Recommendations:**

O&S Committee members are asked to note the report and invited to raise questions, issues and suggestions for further improvements.

## **Section 2 – Report**

### **Background**

1. A decision was taken by the YOT Management Board in 2014 to replace the Youth Offending Information System (YOIS) case management system. YOIS was nearing the end of its life and its supplier, CACI, informed all system users that they would no longer support YOIS after 31 March 2015. The YOIS system in Harrow had been performing poorly, in terms of speed, stability and user access, since the implementation of Citrix and virtual servers in 2013.
2. A large amount of work was done with our IT supplier, Capita, to try to resolve these issues, but YOIS continued to be problematic and was impacting on the YOT's functioning. The Board asked the Business Intelligence team, which had inherited the system and YOT data analyst role after the inspection of 2012, to lead on a project to replace the system as soon as possible.

### **Procurement**

3. A procurement process was carried out with the YOT management team, Corporate IT and the Procurement team. The preferred system was Capita One YJ (YJ), which was a new module of the Capita One Education Management System (EMS). EMS is already used in the Council as the main pupil database, and for Admissions, SEN and Sensory Services and its track record gave confidence that we could successfully add an additional module.
4. This decision was made in the knowledge of ongoing issues with Harrow's IT contractor at the time, Capita, on the grounds that Capita One EMS is a separate part of the organisation and that the system is one of the market leaders for education and children's services. The procurement decision was made based on price and a detailed review and comparison of system functionality. Another factor was that YJ would be integrated with EMS, meaning that any young person who was in or had attended Harrow's schools would have existing personal details and a record of attendance, exclusions, SEN and other education related data.
5. The decision to implement YJ was also in line with the Children's Services IT strategy which is to consolidate around two main systems – the social care system (currently Frameworki) and the Education System (currently EMS). This is for reasons of efficiency and to minimise multiple and unlinked child records. There is currently no single children's services system that covers both education and social care although it is known that a number of suppliers including the suppliers of Harrow's two main systems are developing such a product.



## **Implementation**

6. The Board approved the procurement decision and implementation project plan in November 2014. The project start was delayed by a Youth Justice Board (YJB) inspection in October 2014. This meant that the system implementation was closer to the departure of IT supplier, Capita, in October 2015 than had originally been planned. However, the implementation team felt that there was no option to delay implementation until the new IT supplier was in place because YOIS was no longer supported and was performing poorly.
7. One of the main lessons learned is that the implementation timescales were too tight, with very little contingency. Ideally, the project would have started earlier to ensure YOIS was replaced while still in support and well before the change of IT supplier. However, as well as the 2014 inspection, the timing was influenced by the continuing implementation of the post 2012 inspection improvement plan and the Board decided that no system change should be carried out until the team's performance against key indicators improved significantly. The improvement plan involved a major restructure of the service which commenced in March 2015.
8. The Board considered the impact of the ongoing use of YOIS on the team's morale and performance alongside the risks of implementing a new system. Due to the age of the YOIS system and its obsolete server and database configuration, the migration to any new system had to be carried out with significant system downtime – simply to allow data to be extracted and reconfigured into the new format.
9. It was agreed that during the migration window the team would continue to record their activity on YOIS and that this would be manually transferred onto YJ. This window was originally planned to be two weeks but ended up being a full month due to issues identified during testing.

## **Post implementation issues**

10. The go-live was finally agreed with YOT managers at 1 September 2015. At this point a number of issues had been identified through testing of the system which were unresolved:
  - Connectivity – which is a required and integrated part of every youth offending system and provides a secure link that enables data transfer to the YJB, was not functioning
  - YJMIS (Youth Justice Management Information System) quarterly reports which extract information on outcomes such as reoffending and custody, were not operating on YJ
  - System speed was variable and often very slow
  - Problems printing documents
  - Error messages
11. In addition, post go-live, team members found they were having problems accessing the system and were being 'thrown out' of the system

unexpectedly, leading to loss of work. Efforts were focused on working with our IT partners to resolve the issues.

12. Capita One informed Harrow that there were performance and similar issues at other local authorities and that these would improve with each new release of the system. There are 3 upgrades of EMS each year.
13. Connectivity with YJB turned out to be a major issue for all users of the YJ system and with youth offending systems from other suppliers. There were previously two systems sanctioned by the YJB on which the Connectivity function was developed. As the two systems neared end of life and new suppliers entered the market, multiple issues arose with configuring new systems. In March 2016, we learned that around one third of YOTs across the country were unable to send data via Connectivity. Harrow worked with Capita One and Sopra Steria on a number of firewall and software issues and resolved them in May 2016.
14. Connectivity remains a fragile part of the system and is prone to error messages and downtime. We understand that this continues to be the case across other YOTs.
15. YJMIS reports – the reporting issues which prevented us supplying quarterly reports direct to YJB were worked upon over a similar period and were finally resolved by the version 3.59 system upgrade during May 2016. YJB understood the problems with producing the quarterly information and allowed us to update them by other channels.
16. System performance – the Corporate IT team recommended an end-to-end review of the set up due to the serious system performance issues which were apparent after go-live. This was commissioned using contingency in the project budget and involved Sopra Steria working with Capita One. The review recommended that the test and live environments were separated and that the memory on the application server was doubled. This work was carried out in January 2016 and alongside new versions of the software, led to some improvements in system stability and a reduction in access problems. However, the system remained slow and the user experience unsatisfactory.
17. The specialists carrying out the review also concluded that some of the performance issues were linked to cross-council IT infrastructure, in particular the Citrix environment, and the Storage Area Network (SAN) These had been separately identified as causing cross-council issues and were in need of upgrade or replacement. The SAN was upgraded between May and July 2016 and this again seems to have improved stability and reduced variability in speed. The system remains generally slow and this is unlikely to improve significantly before the Citrix and browser upgrades that are planned for October 2016. YOT workers have also found problems with using YJ over WiFi, so have been advised always to use a cable connection when in the office.

18. The issues with printing documents and error messages were largely resolved through new versions of the software, which became available early after implementation.
19. The issues described above meant that reliable team performance information e.g. assessment timescales, management oversight, visits - used for day-to-day management of the YOT, was not available in the months following implementation. The first reliable system reports were produced in January 2016.
20. YOT management continued to check processes manually wherever they could, but the lack of reliable data alongside major problems with system access and performance led to deterioration in some of the performance indicators over the period. This situation was monitored at monthly Board meetings, and an action plan was put in place to resolve the significant issues that remained. The action plan was completed at May 2016.
21. However, it should be recognised that the system continues to be slow for users and also that YOT practitioners have had to work with a system that was not fit for purpose at go-live. This has caused much frustration for practitioners and managers, who face significant pressures at the best of times. It has also been highly unsatisfactory that the team, which had been progressing well with its improvement plan, suffered this setback from the implementation of what was supposed to be an improved system. The team has shown a great deal of patience in the face of this, and have worked hard to overcome the issues. They are making good use of the new system and have been positive about the system and format despite the system performance issues.
22. Despite this the YOT team continued to perform well on its outcome indicators (first time offending, reoffending, custody) during the period. The YJB has recently declassified Harrow's YOT as a 'Priority YOT' due to its performance on quarterly outcome indicators. The YOT team has worked with partners to reduce offending and reoffending alongside significant changes to local population, and has put interventions in place to avoid the need for custodial sentences wherever possible.
23. The performance appendix to this report shows the main outcome indicators that are reported quarterly to YJB and also local operational indicators. Note that the operational indicators, although based on YJB practice standards, are not nationally defined and there is no comparator data available. However, it can be seen that there was significant variability in the indicators during the period of major system problems and a deterioration in performance in some areas. Note that the new national 'Assetplus' workflow which is due to be introduced for Harrow's YOT from October onwards will be accompanied by significant changes to the set of operational indicators.

## Summary of lessons learned

24. Regular reports have been made to the made to the YOT Management Board on progress in resolving the issues. A number of important lessons have been learned from the process and the subsequent review by Business Intelligence, working with Corporate IT, IT providers and the system supplier, Capita One:

- Timescales – the project timings were too ambitious when dealing with a complete system change. This was driven by the necessity to replace YOIS and then delayed by a number of factors but the project should have been started sooner, to allow more time for testing and improvement prior to go live. The departure of our main IT supplier post go-live but before the issues were resolved caused difficulties due to change in personnel and loss of knowledge. The timing also meant that the departing supplier could not be held to account on resolution and the new supplier inherited a series of problems that it has worked hard to resolve
- Go-live decision – the option of not going live with YJ should have been given more consideration due to the major system problems. These had an impact on the performance and morale of the team. It would have been very difficult to go back to the old system but it may have been preferable to moving the team onto a system that was not yet functioning at an acceptable level.
- Performance reporting – there was too long a gap with no performance reporting from the system. While this was understandable in the immediate migration period, there should have been more focus on getting reliable performance information to YOT management earlier
- The current business model is that responsibility for specification and design rests with the area in which the devolved application sits, in this case the Business Intelligence Team. Corporate IT's remit is to assure that the solution being proposed fits with the corporate strategy but not to have further involvement in the implementation. It is vital that colleagues who have the technical knowledge and an oversight of the wider Council IT are involved throughout implementation – so some issues may have been avoided by commissioning additional technical input from the start of the project. This issue was not identified by any party at the planning stage and additional input was commissioned reactively.
- Corporate IT have also advised that contracts with vendors should tie up so that there is clearer identification of implementation responsibilities. It is important that where multiple parties are responsible for delivery, contracts are cross referenced to ensure that all requirements are clearly owned by the parties best able to manage them.

25. The team will face another challenge with the roll-out of a major change in practice and related system upgrade to meet YJBs 'Assetplus' requirements. This system upgrade that is part of this project has been planned with the involvement of YOT management, Business Intelligence, Corporate IT, Sopra Steria and Capita One. The implementation team has made it clear that it will not go live with Assetplus functionality until YOT management is content that the new features of the system are functioning to a satisfactory level. The YOT Management Board supports this approach and is monitoring progress.

### **Financial Implications**

26. The project, which came under the Children's IT capital budget, came in within budget, including the end-to-end review and remedial works, which were covered by a contingency built into the project budget. The total project budget was £90k and the spend was £88k.

### **Performance Issues**

27. Performance issues are integral to the report. Recent performance on outcomes and operational indicators is included in the appendix.

### **Environmental Impact**

28. There is no environmental impact.

### **Risk Management Implications**

29. There are a number of risk implications which have been managed by the YOT Board – impact on YOT improvement, workforce, relationship with YJB, reputation.

### **Equalities Implications**

30. There are no direct equalities implications

### **Council Priorities**

31. Build a better Harrow.

32. Protect the most vulnerable and support families.

<b>Ward Councillors notified:</b>	N/A
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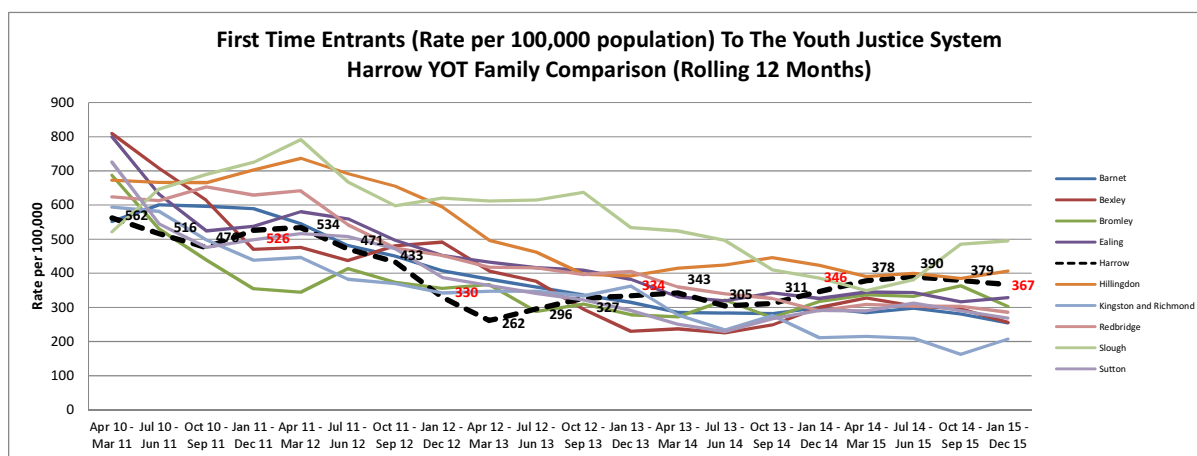
## **Section 3 - Contact Details and Background Papers**

**Contact:** David Harrington, Business Intelligence 020 8420 9248  
david.harrington@harrow.gov.uk

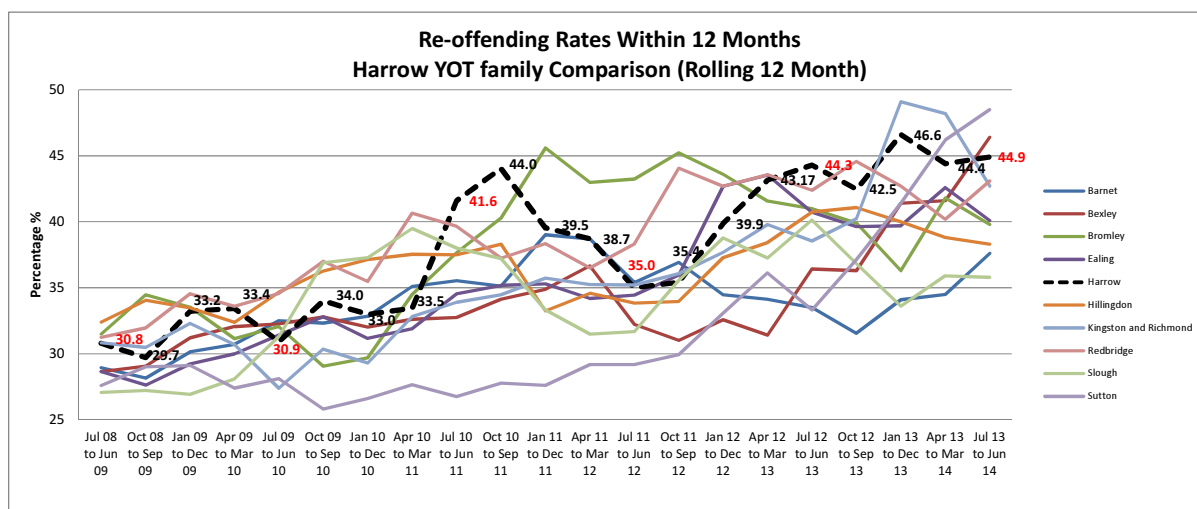
**Background Papers:**  
YOT performance summary 2014 - 2016

## Appendix 1 – Performance Indicators for YOT

### YJB Outcome Indicators (Extracted from latest YOT Management Board Report)

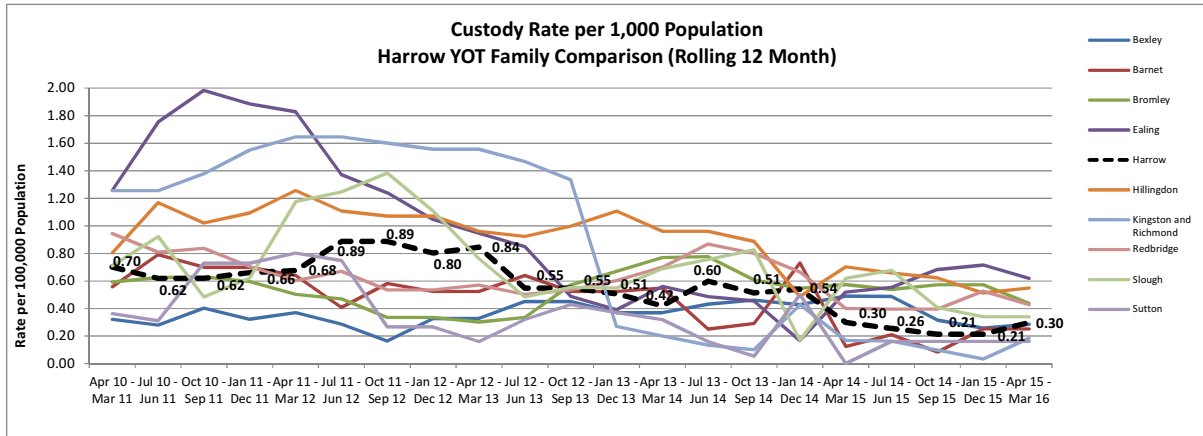


Compared to the YOT family, Harrow's latest FTE rate (Jan 2015 - Dec 2015) of 379 is the 3rd highest. The current YOT family average is 307. New offending rates in Harrow decreased between 2010 and 2013 and then shows a flattening off small increase to the most recent available data at Dec 2015.



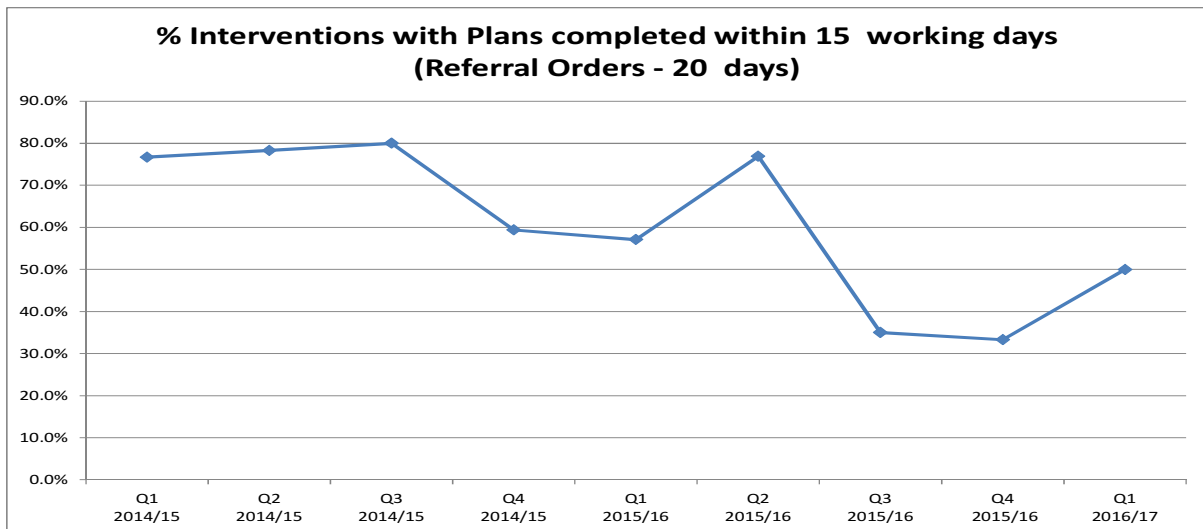
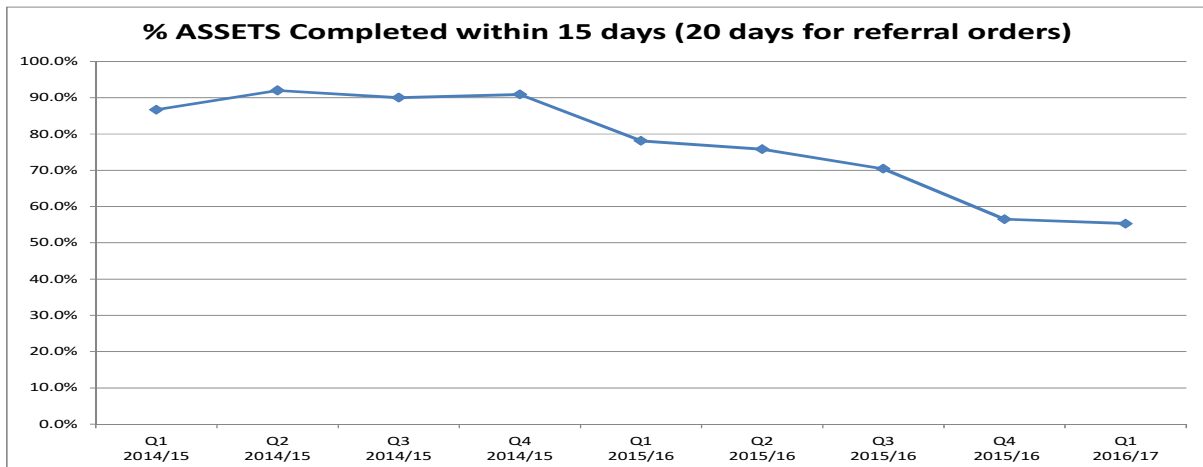
Note time lag on this data – date is of original offence, plus data of whether offended within 12 months is verified with Police National Computer. Latest data shows reoffences in year after original offence between July 2013 and June 2014. Note also that the rate is influenced by changes in size of 'offending cohort' which has decreased significantly.

Harrow's most recent re-offending rate of 44.9% relates to 66 re-offenders from a cohort of 147. Over the period shown, the number of reoffenders within 12 months has reduced from 109 to 66 – so a lower number of reoffences, but a higher rate, with a smaller hard core of offenders.

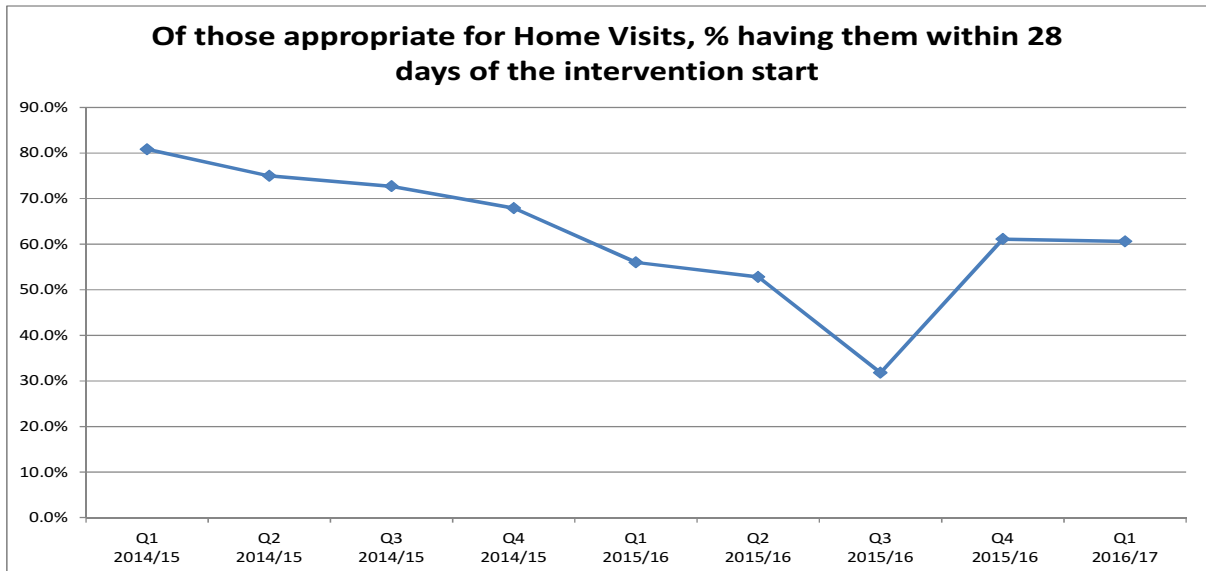
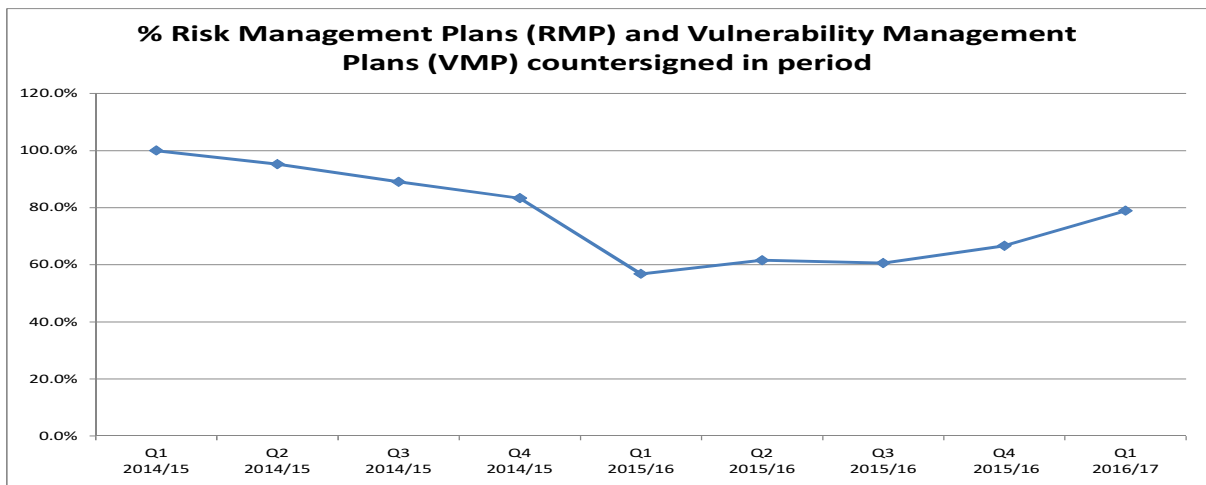
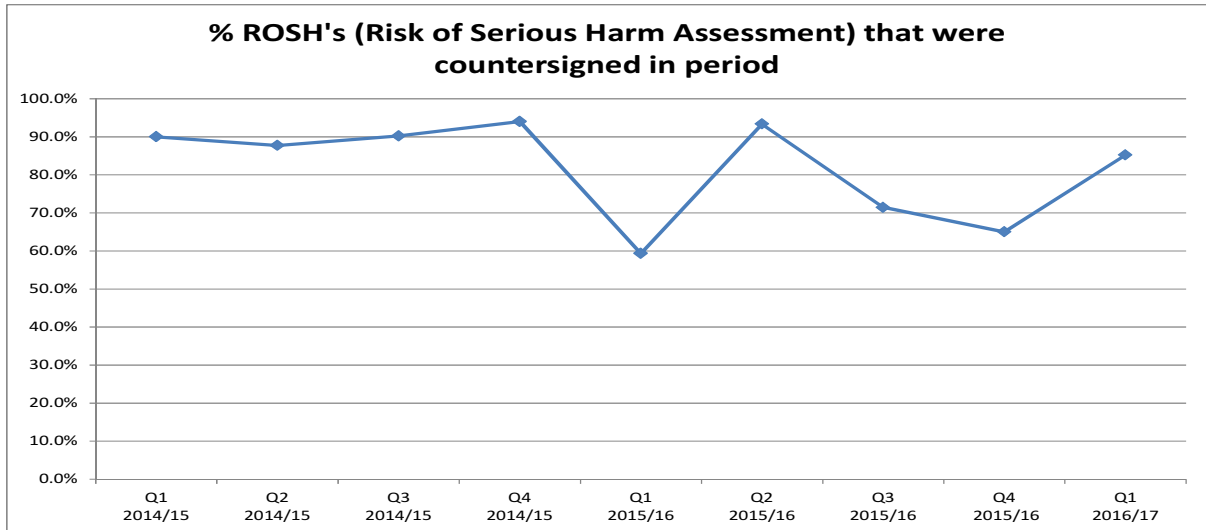


Overall, Harrow's current position of 0.30 (Apr 15 - Mar 16) is in line with the previous years figure of 0.30 (Jan 14 - Dec 14). Harrow is currently the 4th lowest of the 10 YOT's, it is also lower than YOT Family averages (0.36), London averages (0.66) and National averages (0.37).

**YOT operational indicators (note these are local indicators, no comparator data available)**







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**REPORT FOR: OVERVIEW AND  
SCRUTINY COMMITTEE**

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<b>Date of Meeting:</b>	20 September 2016
<b>Subject:</b>	Youth Justice Plan
<b>Responsible Officer:</b>	Chris Spencer, Corporate Director of People
<b>Scrutiny Lead Member area:</b>	Councillor Janet Mote, Performance Lead Member Councillor Richard Almond, Policy Lead Member
<b>Exempt:</b>	No
<b>Wards affected:</b>	All
<b>Enclosures:</b>	Appendix 1 - Youth Justice Plan August 2016

## **Section 1 – Summary and Recommendations**

The Youth Justice Plan was endorsed for 3 years from 2015-2018 by the Youth Justice Board, the Youth Offending Management Board as well as the Crime and Disorder Partnership (Safer Harrow) and Cabinet.

This attached document provides an annual update at August 2016.

### **Recommendations:**

O&S Committee members are asked to note the updated plan, annual report and appendices and invited to raise questions, issues and suggestions.

## **Section 2 – Further Implications**

### **Financial Implications**

1. Finances are covered in Appendix 3 to the plan.

### **Performance Issues**

2. Performance issues are covered in Appendix 1 to the plan, which provides an annual report on the YOT

### **Environmental Impact**

3. There is no environmental impact.

### **Risk Management Implications**

4. Risks to future delivery are covered on p10 of the updated plan

### **Equalities Implications**

5. There are no direct equalities implications

### **Council Priorities**

6. Building a better Harrow.
7. Protecting the most vulnerable.

<b>Ward Councillors notified:</b>	N/A
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## **Section 3 - Contact Details and Background Papers**

**Contact:** Errol Albert, Head of Service, Early Intervention and Youth Offending  
02084241321 [errol.albert@harrow.gov.uk](mailto:errol.albert@harrow.gov.uk)

### **Background Papers:**

Youth Justice Plan Update August 2016

# **Harrow Youth Offending Partnership**

## **Youth Justice Plan**

### **Update – August 2016**

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## Executive Summary

<b>Joint Head of Service</b>	In December 2015, a strategic decision was taken for the new permanent Head of Service for Early Intervention to take on the responsibility for the Youth Offending Team (YOT).
<b>Restructure of Service</b>	In 2015 the implementation of the new structure commenced, including recruitment of permanent staff.
<b>Staffing</b>	All existing posts within the structure have now been appointed to with the exception of the Part Time Restorative Justice Worker.
<b>Representation at other panels</b>	HYOT are represented and members of a number of panels, including MASE, Children Missing Meeting, Channel Panel, Wealdstone Youth Partnership.
<b>Strengthening Preventative Services</b>	<p>Move of Triage function under Youth Offending Team as of January 2016</p> <p>Increase in access to universal services and support for those identified within the household as “at risk” of offending by way of EIS redesign.</p>
<b>Charlie Taylor review of Youth Justice Services</b>	Government review of Youth Justice Service could significantly impact the current delivery model. Report due to be published in September 2016.
<b>Budget Reductions</b>	HYOT have experienced a 10% in year budget reduction in 15-16 and a further 12% reduction in 16-17.
<b>Move to new database</b>	Migration of all data onto a new database has taken place, however there are still difficulties in embedding the new system and this is being monitored at every YOT board.
<b>Assetplus</b>	Introduction of new assessment framework is in progress.
<b>Performance Reporting</b>	Performance reports are available for scrutiny at YOT board, however there will be a shift in how reporting occurs in line with Assetplus framework. A proposal will be drafted and sent to board for endorsement in the coming months.
<b>Priority YOT Status</b>	HYOT are no longer considered a priority YOT based on improved outcome indicators

## **Our Vision**

***Creating a Safer Harrow and Positive Futures for Young People and Their Families.***

### **Harrow Council Priorities**

- Making a difference for the most vulnerable;
- Making a difference for communities;
- Making a difference for businesses; and
- Making a difference for families.

### **Local Safeguarding Children's Board Priorities**

- Refocus on core business: knowing that systems and practice are fit for purpose in identifying, assessing and responding to risk.
- Reduce vulnerabilities for young people in Harrow: to achieve a reliable understanding of the single and overlapping risks faced by young people in Harrow, so that preventative action is meaningful to young people and targeted action is based on sound local intelligence and national developments
- Actively incorporate the views of children and staff : ensuring that what we do and how we do it is accurately and regularly informed by the 'Voice of the Child' and the views of front line practitioners and their managers
- Effective collaboration: ensuring that the priorities of the HSCB are acknowledged and supported by other strategic partnerships within Harrow and that opportunities to work in collaboration with neighbouring LSCB's are sought and initiated

## **INTRODUCTION**

The Youth Justice Plan was endorsed for 3 years from 2015-2018 by the Youth Justice Board, the Youth Offending Management Board as well as the Local Authority Crime and Disorder Partnership (Safer Harrow), Cabinet and Overview and Scrutiny.

This is an updated plan for 2016-2017 and provides a detailed annual report of progress made.

Multi-agency Youth Offending Teams (YOT) were established in 2000 following the 1998 Crime and Disorder Act with the intention of reducing the risk of young people offending and re-offending, and to provide counsel and rehabilitation to those who do offend. The act stipulates the composition of the YOT and identifies statutory partners with the Local Authority as the Police, Probation and Health.

The Youth Justice Board (YJB) has set three outcome indicators for the Youth Offending Team;

- To reduce the number of First Time Entrants (FTE) to the Youth Justice System
- To reduce Re-offending
- To reduce the Use of Custody



There is a requirement that each local authority produces a Youth Justice Plan setting out achievements and plans for the future delivery of the service.

The prevention of offending and re-offending and anti-social behaviour by children and young people is a priority for all partners in Harrow, we believe this is best achieved through effective collaborative working. The Harrow Youth Offending Team (HYOT) sits within the Peoples Directorate in the council. The Youth Offending Team is therefore represented throughout children's services strategic and operational groups and influences strategic planning for children and young people who offend or are at risk of offending.

The Youth Offending Team (YOT) engages in a wide variety of work with young people who offend (those aged between 10-17 years) in order to achieve the three outcome indicators. The Youth Offending Team supervises young people who have been ordered by the court to serve sentences in the community or in the secure estate, and provides a range of interventions to help young people make effective and sustainable changes to prevent them from further offending.

The governance of the YOT is through line management accountability to the Corporate Director of Peoples Services and the Harrow Youth Offending Partnership Board, which is accountable to the Safer Harrow Partnership.

**The strategic aims for the YOT are:**

- Effective delivery of Youth Justice Services
- Positive outcomes for children and young people who offend or are at risk of offending through effective partnership arrangements between the Youth Offending Team statutory partners and other stakeholders
- Efficient deployment of resources to deliver effective Youth Justice systems

An Annual Report is provided as an appendix to this YJ plan (Appendix 1). This offers detailed information on the overall progress made over the past year in all aspects of delivery of youth justice services including key achievements and challenges and any innovative practice.

**STRUCTURE AND GOVERNANCE**

Effective governance, partnership and management are in place (see Appendix

Through the role of Corporate Peoples Director and Divisional Director Harrow YOT is represented at the following Boards and Forums

- Harrow LSCB
- Safer Harrow
- Health and Well Being Board
- Together with Families Strategic Board

Safer Harrow is the local Crime and Disorder partnership and holds strategic responsibility for crime and disorder issues within Harrow. The membership consists of the following statutory partners

- London Community Rehabilitation Company
- MOPAC

- Police
- London Fire Brigade
- Harrow Childrens Services
- Environmental Health (Public Protection)
- Community Safety/Crime reduction and Health
- National Probation Service

The Youth Offending Partnership Board provides strategic direction with the aim of preventing offending by children and young people. The role of the Board is to;

- Determine how the YOT is composed and funded,
- How it is to operate and what functions it is to carry out
- Determine how appropriate youth justice services are to be provided and funded
- Oversee the formulation each year of a draft youth justice plan
- Oversee the appointment or designation of a YOT manager
- As part of the Youth Justice Plan, agree measurable objectives linked to key performance indicators, including the National Standards for Youth Justice.

All statutory partners and the voluntary sector are represented on the Board at the appropriate level of seniority. The Board is chaired by the Divisional Director for Children and Young Peoples Services. (Membership of the Management Board is noted in appendix 2)

The Youth Offending Partnership Board meets every 6 weeks, receives national and local performance data and reports of relevant issues affecting the YOT and partners.

The Youth Offending Management Team oversees the development and implementation of the Youth Justice Plan, considers resource and workload issues, finance, performance and data reporting, and the implementation of policies and procedures.

The positioning of the Youth Offending Team with governance and accountability through Safer Harrow, and line management within Peoples Directorate enables the YOT to meet its dual strategic functions relating to both justice and welfare.

The Board receives regular performance reports and a yearly financial report. The reports enable the Board to monitor compliance with grant conditions and timely submission of data. The Board also receives national and local data to support the understanding of offending trends, allowing the effective allocation of targeted resources. The Board will continue to be informed about compliance with secure estate placement information, the outcomes of the annual National Standards audit and any Community Safeguarding and Public Protection (CSPPI) notifications.

## **RESOURCES AND VALUE FOR MONEY (PARTNER CONTRIBUTIONS)**

Harrow's YOT (HYOT) is resourced by contributions from Harrow Council and statutory partners. The YJB good practice grant now accounts for delivery of unpaid work and expects YOT to demonstrate a continued

commitment to Restorative Services within the grant funding allocated. Grant funding is allocated to providing services which achieve the three outcome indicators. This includes:

- Part funding of Cahms Practitioner
- Goldseal Enterprise Project (Intervention)
- Delivery of unpaid work
- Staffing costs

In addition HYOT are commissioning providers to support in the implementation of Assetplus and any associated technical upgrades.

HYOT spot purchase spaces with local charity organisation Ignite to assist in the delivery of unpaid work and are committed to embedding Restorative practice across the service.

Valuable partnership resources have remained, with little change. This has supported the YOT in managing financial cuts to the Good Practice Grant, both in year and for the new financial year of 16-17. (Please see Appendix 3 for finance table).

HYOT have restructured their service and since April 2016 have a fully permanent workforce including a permanent Head of Service with the exception of the part time Restorative Justice Coordinator post which is due to be advertised in due course. Please see Appendix 4 for structure chart and staffing breakdown of ethnicity and gender.

The Youth Offending Team has recruited 9 volunteers who undertake duties as Referral Order Panel members. They have all undergone Panel Matters and Restorative Justice Training. It is a statutory responsibility to provide a community panel for young people who have been sentenced to a Referral Order by the courts. Recruitment remains open as we are keen to increase our pool of volunteers. In addition, the RJ Coordinator is an RJC accredited practitioner. We are currently in the process of identifying training for her line supervisor to also become accredited to ensure requirements as outlined by RJC council are being met.

## **PARTNERSHIP ARRANGEMENTS**

The YOT partnership ensures that the YOT is strongly linked to other planning frameworks. As stated earlier the Youth Offending Management Board reports to Safer Harrow and feeds into the development of a strategic approach to Crime and Disorder.

### **Police**

Resource levels have remained consistent from partners with a good commitment from the Police securing 2 FTE police officers within the YOT.

### **Mental Health**

The government's report *Healthy Children, Safer Communities* highlighted the significant health challenges faced by young people involved in the criminal justice system. These challenges can often be drivers of offending and offer an important opportunity to support the welfare of these vulnerable young people

The mental health post (clinical nurse specialist) is jointly funded by Harrow CCG and the Youth Offending Team. This has historically been for 2 days a week with a rolling contract year on year. However both parties agreed to increase provision to 3 days a week and have now agreed a 3 year contract till 2018.

This provides the YOT with the opportunity to embed the role within the YOT; ensuring young people have access to sustainable provision throughout the duration of their court order, and supporting referral pathways to higher tier intervention.

### **Probation**

Although probation were unable to provide a Probation Officer from Feb 2015 onwards, a local agreement was made between YOT and Probation Services to invoice the cost of an agency worker to Probation. This supported ensuring caseload numbers remained at a manageable level.

Despite significant changes within the Probation Services, and resources being reviewed, HYOT has retained one FTE Probation Officer. HYOT was successful in the appointment of a secondee who commenced post on 8<sup>th</sup> June 2016. This will continue to support the delivery of specialized work such as taking the lead on MAPPA, transitions from YOT to Probation, and will be a key role in the Integrated Offender Management scheme.

### **Substance Misuse**

The Local Authority continue to have wider commissioning arrangements with Compass as providers of substance misuse services for young people in Harrow. HYOT has an allocated worker who is based within the team 4 mornings a week. The links with compass services remain strong, as the view is this supports transitional arrangements to community services if continued support is needed post the completion of the statutory order.

### **Court**

There are systems in place to ensure good communication with the courts through attendance at the Court User Group and the North West London Youth Panel Meetings. Court representation and attendance at the YOT Board has been most helpful in ensuring a solution-focused approach to raising standards, and although the chair of the panel has changed, the previous chair continues to attend the YOT board to offer consistent support and appropriate scrutiny.

HYOT continue to deliver training to magistrates to assist in understanding the role of the YOT when completing PSR's and provide data on a quarterly basis regarding court throughput and offending trends.

### **Youth Justice Liaison and Diversion (YJLD)**

The YJLD role now sits within the YOT and provides mental health screenings for all young people at point of arrest. A steering group consisting of LA, YJB –NHS rep, Police and other partners oversees the work and supports in the identification of local trends.

### **Early Intervention Service**

In light of public sector funding cuts, there has been a need to redesign how prevention services are offered within the LA. This has resulted in the realignment of YOT alongside EIS and Children's Centres with a shared Head of Service overseeing the service areas. The redesign of the Early Intervention Service is aimed to strengthen prevention services for those identified as at risk of offending, and improve access to services at the earliest possible opportunity and encouraging sustained pathways into universal services within the community and supporting a whole family approach. The timeline for implementation of the redesign is November 2016.

### **Commissioned Services**

The Goldseal music provision continues to support the YOT in providing quantitative outcomes by way of academic qualifications, as well as providing a creative way to assist engagement in statutory court orders. Goldseal has continued to provide outcomes for young people by using music, production and enterprise skills as a way of encouraging self-confidence, team building. It provides a platform for young people to express their emotions in creative ways by writing / recording lyrics in a local Youth Centre. This also exposes the Young People to other services which may be accessible at the Youth Centre, promoting community engagement.

### **Harrow School / Tallships Youth Trust**

The Tall Ships Youth Trust, is a registered charity founded in 1956 dedicated to the personal development of young people through the crewing of ocean going sail training vessels. It is the UK's oldest and largest sail training charity for young people aged 12-25.

Harrow School is one of Britain's leading independent schools, specialising in providing a high quality boarding school education for boys.

Due to the success of the previous year the partnership board endorsed a further activity for 2016, enabling a group of ten young men from Harrow School and ten young men known to YOT to undertake a week long Tall Ships challenge.

### **Other Partners**

HYOT continue to work closely with the transformational lead for Troubled Families termed "Together with Families". Work is on-going in respect of identification and screening of these families who meet the criteria for the Troubled Families cohort. The project has funded one permanent worker to deliver triage services, supporting reducing young people entering the criminal justice system and ensuring they are effectively diverted away

HYOT are members of the MASE panel and contributed to the Gangs Peer review which took place in Harrow in early 2016. The YOT also has an identified CSE champion within the service and are actively engaged with the Violence, Vulnerability and Exploitation team, a member of which also sits on the YOT Risk and Vulnerability Management Panel.

HYOT continue to have low numbers in custody, and will continue to offer alternatives to custody as a preferred option to courts. Where young people have been in custody HYOT have utilised ROTL (Release on Temporary licence) to support young people in accessing provisions such as Princes Trust to increase their skill set and employability. In addition we work closely with resettlement provisions within custodial facilities to ensure young people are clear on pathways and have focussed exit strategies in place. HYOT also sits alongside other Children Services providers, so are able to have access to provisions such as "Access to Resources Panel", where cases are presented to senior managers to secure outcomes, this can range from therapeutic input to specific accommodation types.

The Counter Terrorism and Security Act 2015 came into effect in February 2015. This places a duty on specific organisations to have due regard to the need to prevent people being drawn into terrorism. The duty came into force from the 1st July 2015. Local authorities are among the key agencies vital to prevent young people from being drawn into terrorism and YOT's have an important role to play. As a direct result of this the YOT became a core member of the Channel Panel which is also chaired by YOT Head of Service. All staff have undergone prevent training and have made referrals to Channel Panel as well as requesting bespoke support from PVE coordinator if a young person has not met the threshold for panel, but concerns remain.

In addition to this there is a regular YOT representative at the Anti-Social Behaviour Action Group (ASBAG) to ensure information is shared across agencies from a wider perspective.

## **RISKS TO FUTURE DELIVERY AGAINST THE YOUTH JUSTICE OUTCOME MEASURES**

Funding continues to raise concerns regarding the effective delivery of youth justice services. A mid year cut of 10% in 15-16, followed by a 12% reduction in grant funding for 16-17 has caused considerable pressure in supporting the current arrangements in achieving outcomes. Despite partner contributions remaining relatively stable, there is concern that the future of services within the public sector are volatile and any small changes to resource could significantly impact delivery of Youth Offending services. Intense and varied resources are needed to reduce reoffending of the most complex cohorts that continue to present themselves within the Criminal Justice System.

HYOT are currently in the process of updating their self-assessment and it is aimed to be presented at the YOT management board in September for sign off. HYOT are also part of the wider council's quality assurance framework and commit to auditing 3 cases a month in addition to quality assuring all initial assessments and PSR's. The quality assurance framework is in the process of being revised and updated in light of changes to the National Assessment Framework and the introduction of the Assetplus.

Assetplus is a new assessment and planning interventions framework developed by colleagues at the Youth Justice Board (YJB) which replaces the current Asset framework. It has been designed to provide a holistic "end to end" assessment and intervention plan, allowing one record to follow a child's journey throughout their time in the criminal justice system.

Harrow are amongst the last group of YOT's who are in the process of implementing this within their case management system (Capita One Youth Justice) as well as ensuring staff have robust support and training in use of the revised assessment tool.

The roll out of this revised assessment framework is multi-faceted and requires technical support from local IT providers, Capita One Youth Justice as well as training for staff through modules on Youth Justice Interactive Learning Space (YJILS) completed individually and practical group training for all staff.

There could be a significant impact on timeliness of assessments and quality of practice whilst Assetplus is being embedded within the service. This is being monitored and reported to at every YOT board to ensure there is minimal disruption to services being delivered.

The Government review of Youth Justice Services (Charlie Taylor Review) is currently underway with a report due to be published imminently. It is anticipated that this will have significant implications on service delivery, which would need to be considered on publication. In light of the Charlie Taylor Review, there is a suggestion that devolution is a possibility in respect of the delivery of Youth Justice Services. Local implications of this could mean the absorbing of statutory function of YOT into wider Childrens Services. HYOT are considering alternative models of delivery and are aligning its on statutory functions to the wider Youth Strategy.

## **Appendix 1 – Annual Report**

### **Harrow Youth Offending Team Annual Report 15-16**

This annual report provides detailed information on the progress made over the last year in relation to addressing youth offending trends in Harrow and the performance of the Youth Offending Team (YOT). In addition the report considers priorities for the service for the forthcoming year 16/17.

#### **Our Vision**

Creating a Safer Harrow and Positive Futures for Young People and Their Families.

#### **Overview**

The Harrow Youth Offending Partnership Youth Justice Plan, set the following key priorities for 15/16

- Reduce youth reoffending and the use of custody and remands
- To support the delivery of the Troubled Families (Together With Families) agenda
- To ensure that Looked After Children known to YOT have the best life chances
- To respond to Child Sexual Exploitation
- To ensure risk of harm / reoffending, planning and interventions are of high quality and produce good outcomes
- To ensure compliance with Working Together and the work of the Harrow LSCB.

#### **Key challenges in the last year have included:**

- Integration of a new database
- Recruitment of permanent staff to the revised model of delivery
- Financial constraints impacting on resources to support reduction in reoffending
- Move of Out Of Court Disposals under the remit of Youth Offending Team

#### **Youth Crime**

Overall youth crime continued to show a year on year decrease. However 2015/16 has seen an increase in the numbers of young people committing crime, 132 compared to 105 the previous year.

2015/16 has also seen a change in the distribution of disposal types being issued. The most notable change is a decrease in the proportion of Referral orders (first tier disposals), with 50.8% compared to 64.3% for the previous year and an increase in the proportion of Youth Rehabilitation Orders (community disposals), with 36.9% compared to 22.1% for the previous year. This could be attributed to the change in Out Of Court Disposals which allows police the opportunity to deal with a wider range of offences outside of a court process, whilst still ensuring there is a substantive outcome in relation to the offence. Factors such as admittance of guilt and levels of remorse are taken into account when considering these options.

#### **National Data – YJB**

Harrow YOT continues to have comparably good results for custody rates with a decrease of 0.21 and a current rate which is lower than National, London and YOT family comparators.

First Time Entrants have increased by 20.3% in the latest reporting period (14-15).

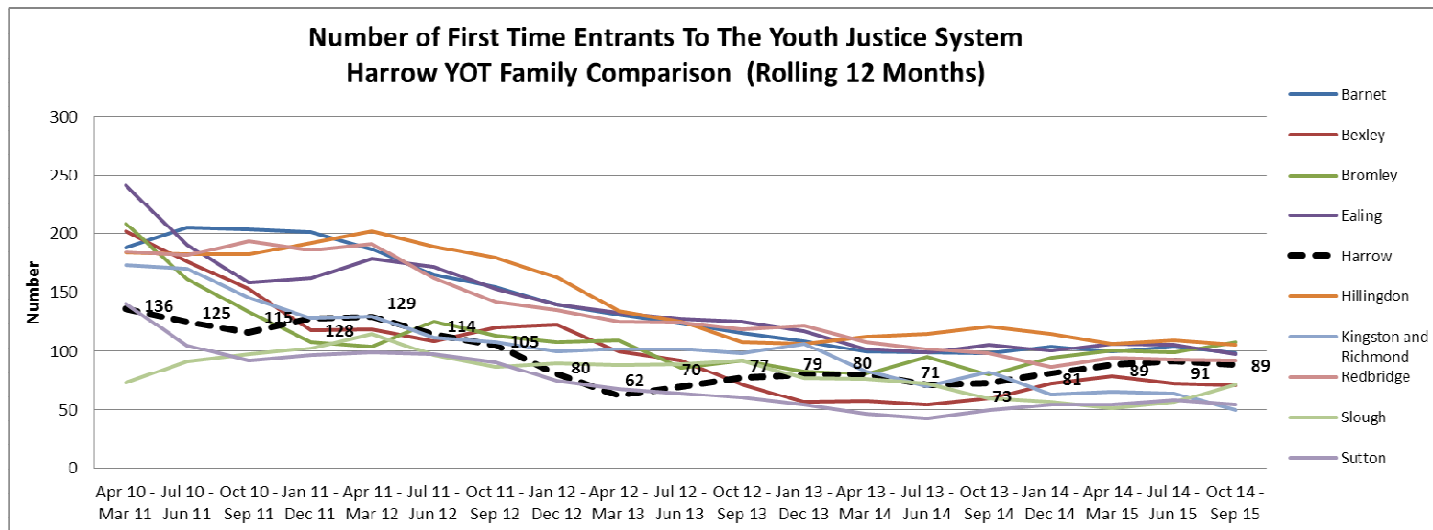
A National Standards Audit conducted in September 2015 identified a need to make significant improvements in relation to Preventing Offending (National Standard 1) which has a direct impact on First Time Entrants. Since January 2016, the prevention arm of the YOT (Triage) function has moved under the management of the YOT service (from the Early Intervention Service). Performance issues have been managed to ensure all young people who are subject to Triage intervention receive an assessment and needs based intervention. The audit also identified under National Standard 2 (Out of Court Disposals) standards were met, demonstrating further evidence to align all functions under the YOT, as Out of Court Disposals were already being managed by the YOT. The current redesign of the Early Intervention Service continues to focus on strengthening preventative services within the YOT which will assist in reducing the number of First Time Entrants and support to improve this outcome indicator.

Re-offending remains a challenge with the latest figure showing a 1.2% increase on the previous year, which comes in higher than National, London and YOT family averages. Increased reoffending rates continue to be a national issue across Youth Offending Services and on-going analysis demonstrates the complexity of this cohort, which include significant welfare related factors contributing to repeat offending.

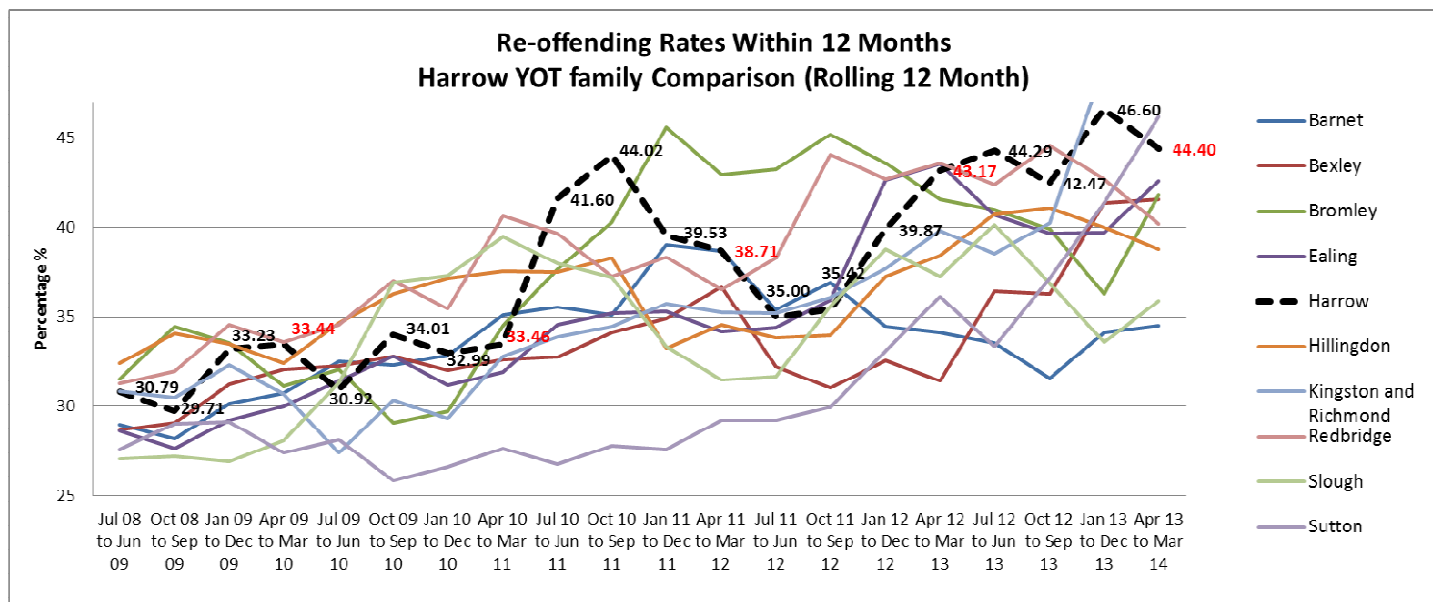
	Harrow	London	YOT Family	England
<b>FTE PNC rate per 100,000 of 10-17 population</b> <b>**Good performance is typified by a negative percentage</b>				
Oct 14 - Sep 15 (latest period)	379	419	320	376
Oct 13 - Sep 14	315	428	310	426
percent change from selected baseline	20.5%	-2.0%	3.2%	-11.8%
<b>Use of custody rate per 1,000 of 10 -17 population</b> <b>**Good performance is typified by a low rate</b>				
Jan 15 - Dec 15 (latest period)	0.21	0.67	0.37	0.40
Jan 14 - Dec 14	0.43	0.75	0.45	0.44
change from selected baseline	-0.21	-0.08	-0.8	-0.04
<b>Reoffending rates after 12 months</b>				
Re-offences per offender - Apr 13 to Mar 14 cohort (latest period)	2.59	3.00	2.82	3.13
frequency rate - Apr 12 - Mar 13 cohort	2.50	2.79	2.66	2.99
change from selected baseline	3.7%	7.8%	6.0%	4.7%
frequency rate - Apr 13 to Mar 14 cohort (latest period)	1.15	1.31	1.17	1.19
frequency rate - Apr 12 - Mar 13 cohort	1.08	1.16	1.04	1.08
change from selected baseline	6.6%	12.6%	12.7%	10.2%
Binary rate - Apr 13 to Mar 14 cohort (latest period)	44.4%	43.5%	41.6%	37.9%
binary rate - Apr 12 - Mar 13 cohort	43.2%	41.6%	39.2%	36.0%
percentage point change from selected baseline	1.2%	1.8%	2.5%	1.9%



The below graphs show YJB data in comparison to Harrow's "YOT Family" against the following three outcome indicators: Reducing First Time Entrants, Reducing Reoffending and Reducing the use of Custody.



Between 2010/11 and 2013/14 there had been a steady year on year decrease in the number of first time entrants to the Criminal Justice System, which is reflective of national and statistical neighbour trends. However, Harrow has seen an increase of 20.3% in First Time Entrants in the latest reporting period (Oct 2014 - Sep 15) with 89 individuals compared to 73 in the previous year (Oct 2013 - Sep 14). This change is not reflective of the national picture, where there has only been a small increase in the YOT family average (3.2%) and a continued decrease in the National average (11.7%). The rate per 100,000 has increased for Harrow in the latest reporting period (Oct 2014 - Sep 15) with 379 compared to 315 in the previous year (Oct 2013 - Sep 14). The current rate is now higher than YOT family averages (320) and slightly higher than National averages (376).



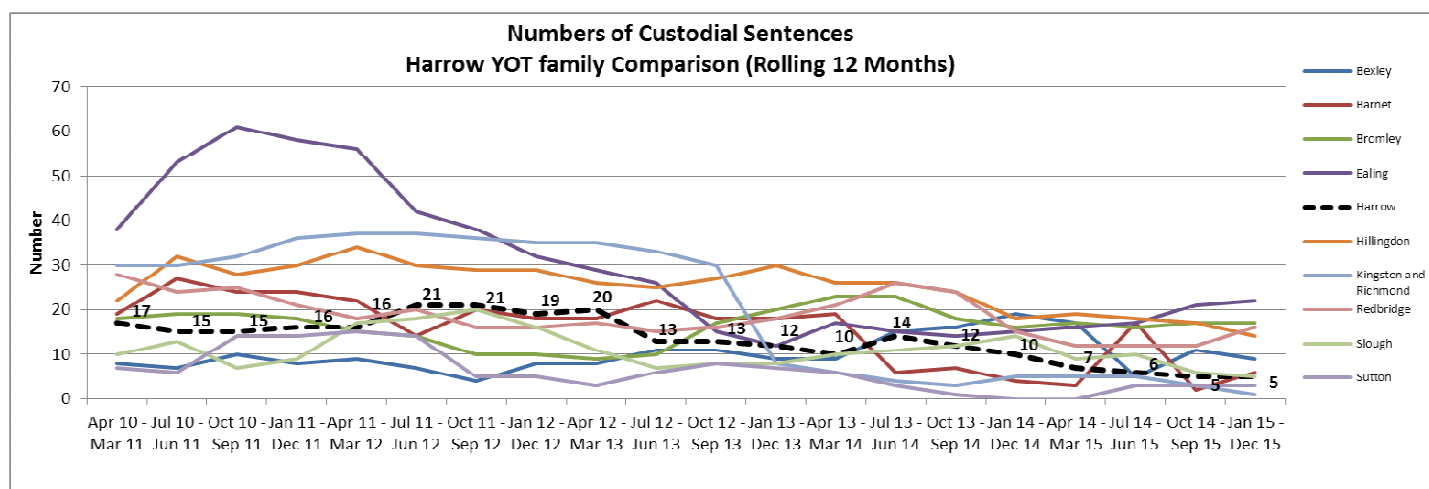
The YJB official Re-offending statistics operate at a lag with the latest available reporting period for Apr 13 – Mar 14.

Within the YOT family data shows an increase in Re-offending. This upward trend is also reflected across London and National figures and is a recognised area for improvement across youth justice services and partnerships.

In the latest reporting period (Apr 13 – Mar 14) the Re-Offending Rate is at 44.4% bringing Harrow to the 3rd highest in the YOT family. This rate is higher than the National average (37.9%), the London average (43.5%) and the YOT family average (41.6%). The increase for Harrow compared to the same period last year (Apr 12 – Mar 13) is 1.2% which again is reflective of the national picture.

Harrow's most recent Re-offending rate accounts for 71 re-offenders from a cohort of 160. The size of the cohort and the number of re-offenders have decreased consistently over time, with exception of the last 3 quarters where there has been a notable rise to 160 compared to 140 three quarters ago. The numbers of re-offences has also started to increase in the last few quarters from 60 during the same period in the previous year (Apr 12 – Mar 13) to 71 in the current quarter.

The alternative measure for Re-offending is the frequency rate which measures the average number of re-offences per re-offender rate. In the latest reporting period (Apr 13 - Mar 14) the average number of offences committed by reoffenders was 2.59.



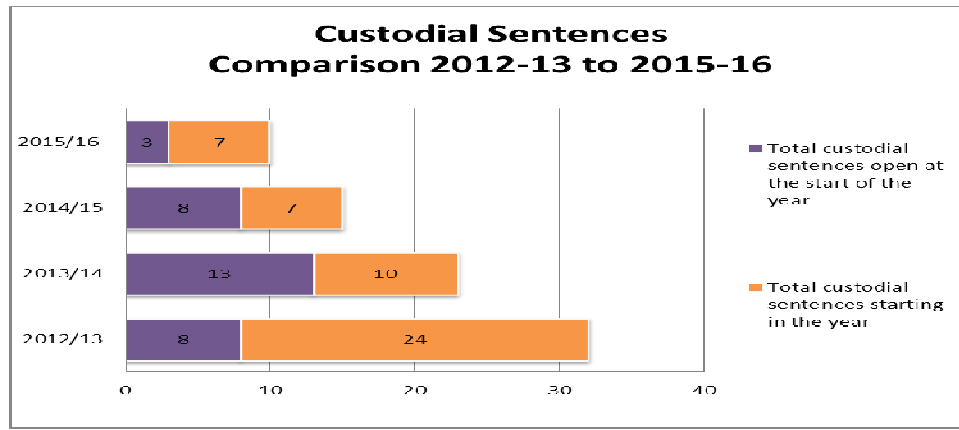
Over the past 3 years, Harrow's numbers in custody have been varied, ranging from 5 and 21 in any 12 month rolling period. The last quarter continues to show a significant decrease in figures with only 5 custodial sentences for the latest 12 month rolling period (Jan 15 - Dec 15). Harrow's current figure of 5 (Jan 15 - Dec 15) compares to 10 (Jan 14 - Dec 14) for the same period in the last year and is the lowest it's ever been for Harrow.

The custody rate per 1,000 indicators allows for a better comparison between YOT's performance. Overall, Harrow's latest position (Jan 15 - Dec 15) of 0.21 is the 3<sup>rd</sup> lowest and is lower than National average (0.40), London average (0.67) and YOT family average (0.37).

## LOCAL DATA

### Use of Custody

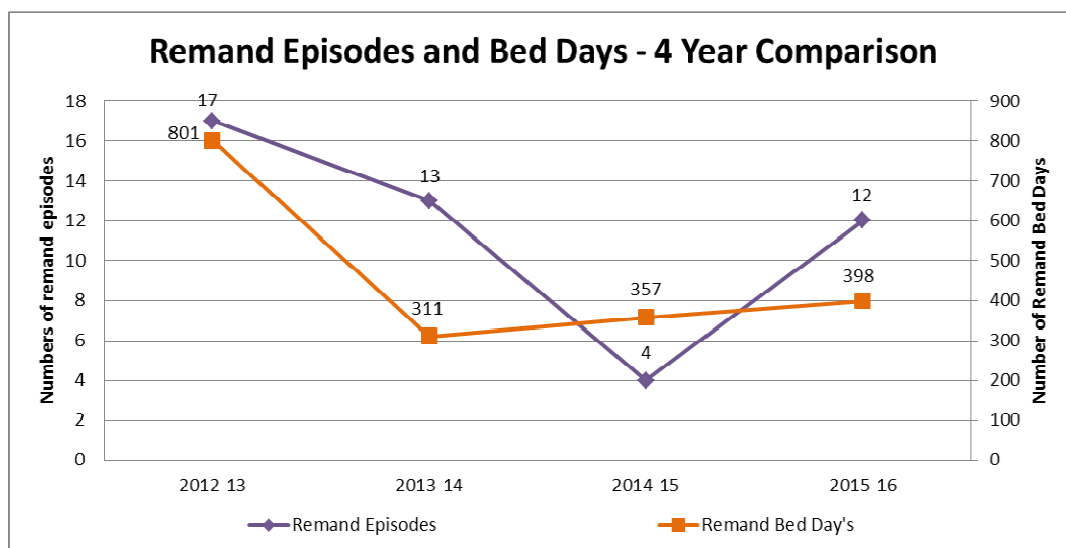
Annual Numbers in custody April – March	2012/13	2013/14	2014/15	2015/16
Total custodial sentences open at the start of the year	8	13	8	3
Total custodial sentences starting in the year	20	10	7	7
Total in custody during year	28	23	15	10
Rate per 100,000	0.84	0.42	0.30	0.30



Over the past 3 years Harrow has seen considerable decreases in custodial sentences, from 28 in 2012/13 to 23 in 2013/14 and 15 in 2014/15. At the start of 2014/15 Harrow had 3 young people on custodial sentences, there have been a further 7 new custodial sentence's during the year.

### Use of Remand

Annual Remand Figures April - March	Remand Episodes	Remand Day's	Bed
2015-16	12	398	
2014-15	4	357	
2013-14	13	311	
2012-13	17	801	



There was a significant dip in those remanded in 2014-15 however this has increased again in 2015-16 to 12 young people. This accounts for two cases that were already open at the start of the year and 10 new remands starting in the year. Although the increase of 10 remands is of concern, further analysis showed the following outcomes for the young people:

- 1/10 is still subject to a remand status
- 4/10 went on to receive a custodial sentence
- 2/10 were sentenced as adults
- 2/10 were released on bail during the remand period and went on to receive robust community sentences
- 1/10 received a community proposal on sentence

All of these offences were considered serious and crossed the legal threshold of receiving custodial sentences. It is positive to note that despite being remanded, post a thorough assessment HYOT were able to offer robust bail support to two cases. This then led to community disposals demonstrating a confidence from sentencing courts in HYOT's ability to ensure the public are protected whilst managing high risk cases within the community. In addition those where custodial sentences were received the offences were deemed so serious, that despite robust community proposals being offered, magistrates felt custody was the only option.

### **Data Summary – Outcome Indicators**

**FTE** - From Oct 2014 - Sep 15, compared to the same reporting period of Oct 2013 – Sep 14; HYOT have an increase of 20.5%, which accounts for 16 more young people entering the system. However the latest reporting period although demonstrates an increase, does account for less young people. The reporting period from January 2014-December 2014 showed 82 young people identified as FTE's, and in January 2015-December 2015 accounted for 86 young people as FTEs. The latest reporting period shows there was an increase, but at a lesser rate of 4 young people.

**Reoffending** – There has been a national increase in reoffending rates, and HYOT figures also demonstrate an increase (although at a lesser rate than national averages). The cohort from July 2013 – June 2014, demonstrates that 66 young people (who reoffended) are responsible for 185 offences, which is an average of 2.8 offences each. This is an increase of 0.6% from the year before. Further analysis of this cohort will continue to take place to assist in understanding trends and informing future resource allocation.

**Use of Custody** – HYOT has consistently demonstrated a reduction in the use of custody despite working with more serious offending. This evidences an increased confidence from courts, in HYOT's ability to safely manage complex cases within the community. HYOT's latest position of 0.21 is a significantly lower custody rate than the national average of 0.40

### **ETE**

<b><u>Current ETE for Open Interventions</u></b>							
<b>Actively engaged in ETE</b>	<b>Total In Age Group</b>	<b>Total Actively Engaged</b>	<b>% Actively Engaged</b>	<b>Engaged in ETE for less than standard Hrs.</b>	<b>% Engaged in ETE for less than standard Hrs.</b>	<b>Total NEE T</b>	<b>% NEET</b>
Statutory School Age (25+ Hrs. ETE)	35	26	74.3%	5	14.3%	4	11.4%
Non Statutory School Age (16+ Hrs. ETE)	36	18	50.0%	1	2.8%	17	47.7%
<b>Total</b>	<b>71</b>	<b>44</b>	<b>62.0%</b>	<b>6</b>	<b>8.5%</b>	<b>21</b>	<b>29.6%</b>

Rates for young people in Education, Training or Employment (ETE) have been variable over the year. Harrow's local target is 75%. The most recent ETE figure which represents the current ETE status of the open caseload (End March 2016) is displayed in the table above and is 62.0%, this compares to 64.0% at the same point in the previous year (End March 2015). The focus on ETE is reflected in the structure of the YOT, where a full time education specialist has been appointed (April 2016) to assist in prioritising education for those in the criminal justice system.

### **Ethnicity and Gender**

Due to Harrow's unique demography, it is difficult to make comparisons to National and London averages for the ethnicity of young offenders. Thus, all ethnicity comparisons are made against the local demographic make-up of the 10-17 year old population.

Asian/Asian British makes up 41.1% of Harrow's 10-17 population, yet accounts for 15.3% of the young offending population in 2015/16. Asian/Asian British have been consistently under represented over the past 5 years, but have fallen to the lowest yet in 2015/16

Young people of Mixed Ethnicity make up 8.8% of Harrow's 10-17 population. This rate had been relatively stable over the past 4 years and 2015/16 is the first time there has been a significant increase in the offending population.

2013/14 and 2014/15 had seen a decrease in the proportion of white young people, bringing it back in line with the local average. In 2015/16 with an increase to 39.7%, meaning that the white population is now over represented in youth offending services.

The most notable difference between local demographics and youth offending demographics can be seen in the Black/African/Caribbean/Black British group. This group are considerably over represented, making up only 12.9% of Harrow's 10-17 population but 28.2% of the youth offending population in 2015/16. Over the past five years this group have been consistently over represented in youth offending services but the figure has been falling over the past two years since 2013/14 with 32.4% in 2014/15 and 28.2% in 2015/16.

Over the past 5 years harrow's figures have been variable between 13.4% female to 17.1% female. The 2015/16 breakdown is 15.9% females (21) and 84.1% Males (111). Harrow has a lower proportion of females convicted of an offence (15.9%) compared to the National Average (17.8%).

### **Internal Performance Measures**

Internal performance measures continue to be reported on, however there was a significant gap in performance monitoring from August 2015 to February 2016. This was due to a database migration from YOIS to Capita One Youth Justice and affected the timeliness of paperwork and case notes being recorded onto the system.

There have been on-going concerns regarding the new database both from a technical and performance perspective. (Details of impact on service delivery are provided in section headed "IT and Assetplus"). A dip in performance during Q3, linked to a lack of performance reporting has had an impact on the full year figure, and demonstrates an overall decrease in all performance indicators

In addition, the restructure of the service also took place which also affected the timeliness of performance. The YOT experienced some significant transitions from agency to permanent staff who were then expected to reassess cases and complete relevant paperwork. These combined issues caused significant disruption to the performance management of the service.

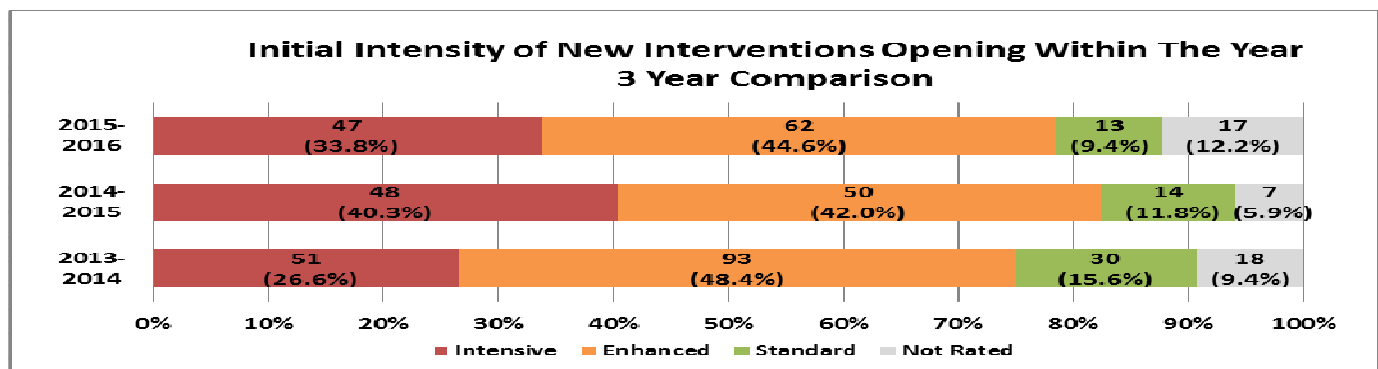
Weekly performance reports are now available and monthly reports continue to be shared with YOT Partnership Board which offers appropriate challenge and oversight to ensure timeliness of performance improves.

Target	Description of Measures/Indicators	Q4 2014-15	Full Year Figure 2014-15	Q1 2015-16	Q2 2015-16	Q3 2015-16	Q4 2015-16	Full Year Figure 2014-15	Q4 comparis on between 2014/15 and 2015/16	Full year comparis on between 2014/15 and 2015/16

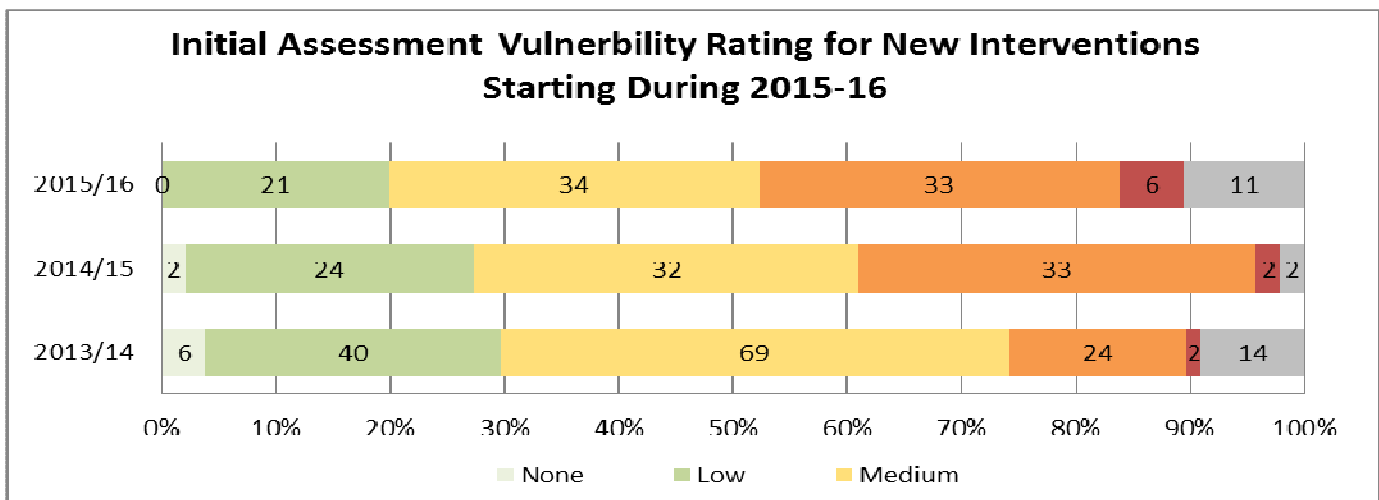
1	% ASSETS Completed within 15 days (20 days for referral orders)	90.9 %	90.7%	78.1 %	75.8 %	70.4 %	56.5 %	73.4%	-34.4%	-17.3%
2	% Interventions with Plans completed within 15 working days (Referral Orders - 20 days)	59.4 %	72.4%	57.1 %	76.9 %	35.0 %	33.3 %	53.5%	-26.1%	-18.9%
3	% ROSH's (Risk of Serious Harm Assessment) that were countersigned in period	94.0 %	90.3%	59.3 %	93.3 %	71.4 %	65.0 %	69.4%	-29.0%	-20.9%
4	% Risk Management Plans (RMP) and Vulnerability Management Plans (VMP) countersigned in period	83.3 %	91.9%	56.8 %	61.5 %	60.6 %	66.7 %	61.9%	-16.6%	-30.0%
5	Of those appropriate for Home Visits, % having them within 28 days of the intervention start	67.9 %	74.0%	56.0 %	52.8 %	31.8 %	61.1 %	50.5%	-6.8%	-23.5%
6	What do you think forms - Proportion of current caseload having a what do you think form? (proportion of start ASSET's having a what do you think form)	75.9 %	87.5%	29.6 %	-	-	-	-	Data not available	Data not available
7	Education Training & Employment - Proportion of young offenders who are 'Actively engaged' in education, training and employment (ETE) currently. Based on current caseload (25+hrs for statutory school age and 16+ hrs for 17-18 year olds) (This does not include those in custody or on remand)	64.7 %	64.70%	69.9 %	-	-	60.3 %	60.3%	-10.9%	-4.4%

### Caseloads / Intensity Levels

In 2015 / 2016 there has been an overall increase in the number of interventions starting in the year (139) compared to the previous year (119). The below graph shows the assessed levels of intensity at the start of the intervention. (Assessed levels of intensity determine the minimum number of contacts a young person has as part of their court order). Although there was not a significant shift in those assessed as “intensive” (requiring the most amount of contact), there was an increase in those assessed as “Enhanced” at the start of the order demonstrating an increase in the complexity of cases entering the Youth Justice System.



In addition assessed levels of Vulnerability has shown a notable increase in those assessed as having very high/high vulnerability with 5 (4.8%) cases assessed as having very high vulnerability and 18 (17.1%) cases assessed as having high vulnerability. There is a significant decrease in the numbers having low vulnerability with 31 (29.5%) in 2015/16 compared to 38 (40.0%) in 2014/15. Again this demonstrates that the YOT are robustly identifying and assessing levels of vulnerability from the onset. See below table:



### YOT and Looked After Children

A snapshot of the YOT current caseload in May 2016 shows that there were a total of 12 young people who were looked after, this represents 13.3% of the YOT caseload. A total of 33 young people were classed as Children In Need (36.7%), and 5.6% were subject to Child Protection Plans. Of the 12 young people classed as Looked After the following is a breakdown:

- 9/12 were Looked After prior to entering the Criminal Justice System
- 2/12 became Looked After due to a remand episode through the criminal justice route (One Remanded to custody and one Remanded to LA care).
- 1/12 became looked after during the course of their YOT order, but not due to a remand status.

The snapshot data shows that on the whole a higher proportion of the CLA caseload are re-offenders than the general YOT population. Of the 12 young people looked after, 11 (91.6%) had been re-offenders with only 1 (8.3%) being first time entrants. Two thirds of the 12 young people had been looked after before becoming involved with the YOT and the rest had become looked after during either the current or a previous YOT intervention.

An independent review chaired by Lord Laming, established by Prison Reform Trust in 2016, highlighted the following:

*“...Around half of the 1,000 children currently in custody in England and Wales have experience of the care system. This is despite fewer than 1% of all children in England, and 2% of those in Wales, being in care..”*  
*“...94% of looked after children in England and Wales do not get into trouble with the law...”*  
*“...Nonetheless, children in care are significantly over represented in the criminal justice system and in custody, where many have a particularly poor experience...”*  
*“...Children in care who are at risk of offending need consistent emotional and practical support From their carers and other professionals and are likely to be especially vulnerable when they leave care..”*

The picture for Harrow is not dissimilar to the National picture in terms of repeat offending and resources are continuously being targeted to support these particular groups, such as ensuring programmes such as Summer Arts College are made accesible to these groups.

### Interventions

Despite significant reductions in budgets HYOT continue to try and source the opportunity to deliver creative interventions. HYOT are due to embark on sessions with a Charity called Street Doctors. Street Doctors are medical students who volunteer their time to deliver training to groups of young people on the impact of knife

crime and first aid in relation to someone who has been stabbed. Where HYOT has seen a significant increase in Carrying of Offensive Weapon, this is a key intervention in raising awareness of the impact of and seriousness of knife crime.

Due to the success of the Tallships Project last year run in conjunction with Harrow School, HYOT have again committed to supporting the project and are in the process of fundraising to support 10 young people to sail across the English Channel.

A cohort of 12 young people are also undergoing the Mental Toughness Programme delivered by Early Intervention Colleagues, which is designed to increase emotional resilience amongst young people which is often associated with offending behaviour.

Colleagues in Compass are also due to deliver bespoke Cannabis awareness groups to young people on a regular basis, drug offences are currently in the top 3 offences in Harrow amongst young people, with Violence Against the Person and Theft also featuring.

HYOT have applied for grant funding to run a Summer Arts College for our most vulnerable and high risk young people. This has been approved and a detailed report regarding impact will be provided in due course.

### **IT / Assetplus**

Harrow YOT have suffered from significant IT issues and this has been exacerbated by the implementation of a new database. The issues have included significant performance issues impacting speed of the new database, as well as technical issues of not being able to produce reports which are required to submit returns to the Youth Justice Board.

All issues have been reported at the YOT Partnership Board as well as the Youth Justice Board and a representative from Capita One (Database providers) now attends the YOT board to provide regular updates on progress being made against an Action Plan. The Action plan is circulated weekly to relevant senior managers to ensure there is accountability and any barriers to progress are removed as swiftly as possible.

Assetplus is a new assessment and planning interventions framework developed by colleagues at the Youth Justice Board (YJB) which replaces the current Asset framework. It has been designed to provide a holistic “end to end” assessment and intervention plan, allowing one record to follow a child’s journey throughout their time in the criminal justice system.

HYOT are amongst the last YOT’s nationally to “go live” with this revised assessment tool. Staff will be trained on the new assessment framework and a go live date has been agreed for October 2016 where all new cases will commence on the new assessment framework and it is aimed that all staff will be trained in the use of Assetplus on the Capita database.

It is recognised that the shift to a new assessment framework will require a review of the current performance measures to establish improved quality reporting as well as maintaining some reporting of National Standards such as timeliness of assessments. Management oversight will also continue to be reported on, however there will be a need to identify what would be the most effective form of management oversight performance reporting, as this needs to demonstrate managers are signing off quality assessments, and also ensuring this is done in a timely manner.

### **Safeguarding**

Harrow YOT are established members of the MASE panel. In a peer review undertaken in 15-16 highlighted positive practice in YOT’s ability to identify CSE concerns. See quote below taken from peer review draft report:



*“Was the referral for action timely for the child? 3 – (Good). A MASE referral was compiled in Oct 2014 for CSE vulnerability this showed a good early awareness of her potential CSE vulnerability by the YOT Social worker who had identified a number of concerning circumstances (for the then aged 13 child). The MASE referral was very comprehensive in identifying the CSE risks”.*

There were no reported Community Safeguarding and Public Protection Incidents in 15-16.

### **Staffing / Resource**

A Redesign of the service in 14-15 supported a structure that was fit for purpose and focussed on increasing frontline practitioners to manage ever increasing complex cases, as well as establishing a full time education worker and 1.5 Restorative justice workers; all elements which are considered key to delivering successful youth justice services. Harrow YOT was successful in attracting experienced high quality practitioners and now has a fully permanent workforce.

A joint Head of Service post to manage Early Intervention Services and YOT was also created, which supports the delivery of early identification of those at risk of offending, whilst ensuring resources are readily accessible to support this work.

Harrow YOT continues to access training via LSCB and the YJB inset calendar.

### **Charlie Taylor review of YJ**

The government is undergoing a review of all Youth Justice Services which is being led by Charlie Taylor. HYOT have contributed to this review, findings of which will be published in Summer of 2016. There is a significant focus on reimagining the youth custody facility as an education facility first and the reduction of young people entering custody has been recognised as a success. It also recognises the reduction of First Time Entrants into the Youth Justice System meaning there needs to be continued support to preventative work. Nonetheless the national increase in reoffending is of concern and has recognised that as a direct result of a reduction of those entering the system, Youth Offending Teams are left with a cohort of complex cases needing intensive support to assist in them exiting the Youth Justice System. Reform of the current system and Rehabilitation are key messages to assist in reducing serious youth violence and crime committed by young people.

### **Key achievements for 15-16**

- Reducing the use of custody
- Identifying and assessing safeguarding needs
- Permanent workforce

### **Key priorities for 16 – 17**

- Reducing reoffending
- Implementation of revised assessment framework
- Increasing capacity with preventative activities as a result of the redesign of the Early Intervention Service
- Work closely with IT providers to improve system performance and reliability

### **Appendix 2 – Management Board Members**

Name	Role and organisation	Contact Details
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Paul Hewitt Chair	Divisional Director Children and Families	Paul.Hewitt@harrow.gov.uk
Mike Paterson	Metropolitan Police Detective Chief Inspector	Mike.paterson@met.pnn.police.uk
Errol Albert	Head of Service Youth Offending Team, Early Intervention Service and Children's Centres	Errol.Albert@harrow.gov.uk
Aman Sekhon-Gill	Team Manager, YOT	Aman.Sekhon-Gill@harrow.gov.uk
David Harrington	Head of Business Intelligence	David.Harrington@harrow.gov.uk
Paa-King Maselino	Head Teacher The Helix Pupil Referral Unit	Paa-King.Maselino@harrow.gov.uk
Mike Herlihy	Youth Magistrate and former Chair of NW London Youth Panel	hamlin.herlihy@talktalk.net
Antony Rose	Assistant Chief Officer, National Probation Service	Antony.rose@probation.gsi.gov.uk
Russell Symons	Senior Probation Officer, Probation Service	russell.symons@london.probation.gsi.gov.uk
Sue Sheldon	Designated Nurse Safeguarding Children Harrow CCG	suesheldon1@nhs.net
Dan Burke	CEO Young Harrow Foundation – Voluntary Sector	Dan.burke@youngharrow.org
Delroy Etienne	Service Manager, COMPASS Harrow	Delroy.Etienne@compass-org.uk
Melanie Woodcock	Service Manager CAMHS	<a href="mailto:melanie.woodcock@nhs.net">melanie.woodcock@nhs.net</a>
Mellina Williamson-Taylor (MWT)	Head of Virtual School – HSIP	<a href="mailto:Mellina.Williamson-Taylor@harrow.gov.uk">Mellina.Williamson-Taylor@harrow.gov.uk</a>
Daniel Haigh	Chief Executive Officer Ignite Trust – Voluntary Sector	daniel.haigh@ignitetrust.org.uk

### **Appendix 3 – Finance Table**

AGENCY	STAFFING COSTS	PAYMENTS	IN	OTHER	TOTAL (£)
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	(£)	KIND – REVENUE (£)	DELEGATED FUNDS (£)	
<b>Local Authority</b>	£597,659.00 (all LA funding including staffing of £452,473)			£597,659.00
<b>Police service</b>		£70,000 (2x FTE Police Officers)		£70,000
<b>National Probation Service</b>		£50,000 (1FTE Probation Officer)		£50,000
<b>Health Service</b>		£16,833 (jointly funded camhs post PT)		£16,833
<b>Police and Crime Commissioner</b>				
<b>YJB Youth Justice Grant (YRO Unpaid work order is included in this grant)</b>	£210,593 (Inc. unpaid work)			£210,593
<b>Other</b>				
<b>Total</b>	£808,252	£136,833		£945,085

#### **Appendix 4 – Staffing structure and breakdown**

<b>Position</b>	<b>Permanency/Agency</b>	<b>Gender</b>	<b>Ethnicity</b>
Head of Service	Permanent	M	Black Caribbean
Team Manager	Permanent	F	Indian
Deputy Team Manager	Permanent	M	British Asian
Deputy Team Manager	Permanent	F	White British
Technical Business Support	Permanent	F	White British
Practitioner	Permanent	F	Black/British/Caribbean
Practitioner	Permanent	F	White British
Practitioner	Permanent	F	White British
Practitioner	Permanent	F	White – Australian
Practitioner	Permanent	M	White British
Practitioner	Permanent - PT	M	White British
Probation Officer	Seconded	F	White British
Practitioner	Agency	M	White British
Practitioner	Agency	F	Black British
Practitioner	Agency – PT	F	White British
Practitioner – Triage	Permanent	F	White British
Restorative Justice Co-ordinator	Permanent	F	White British
Restorative Justice Co-ordinator	Vacant – PT		
Victim Liaison officer	Permanent	F	Black/Caribbean
Education Specialist	Permanent	M	Black British
Clinical Nurse Specialist	Secondment	M	White British
Substance misuse worker	Secondment	F	White British
Police Officer	Secondment	F	White British
Police Officer	Secondment	F	White British
Youth Justice Liaison Diversion Worker	Secondment	M	White - Australian

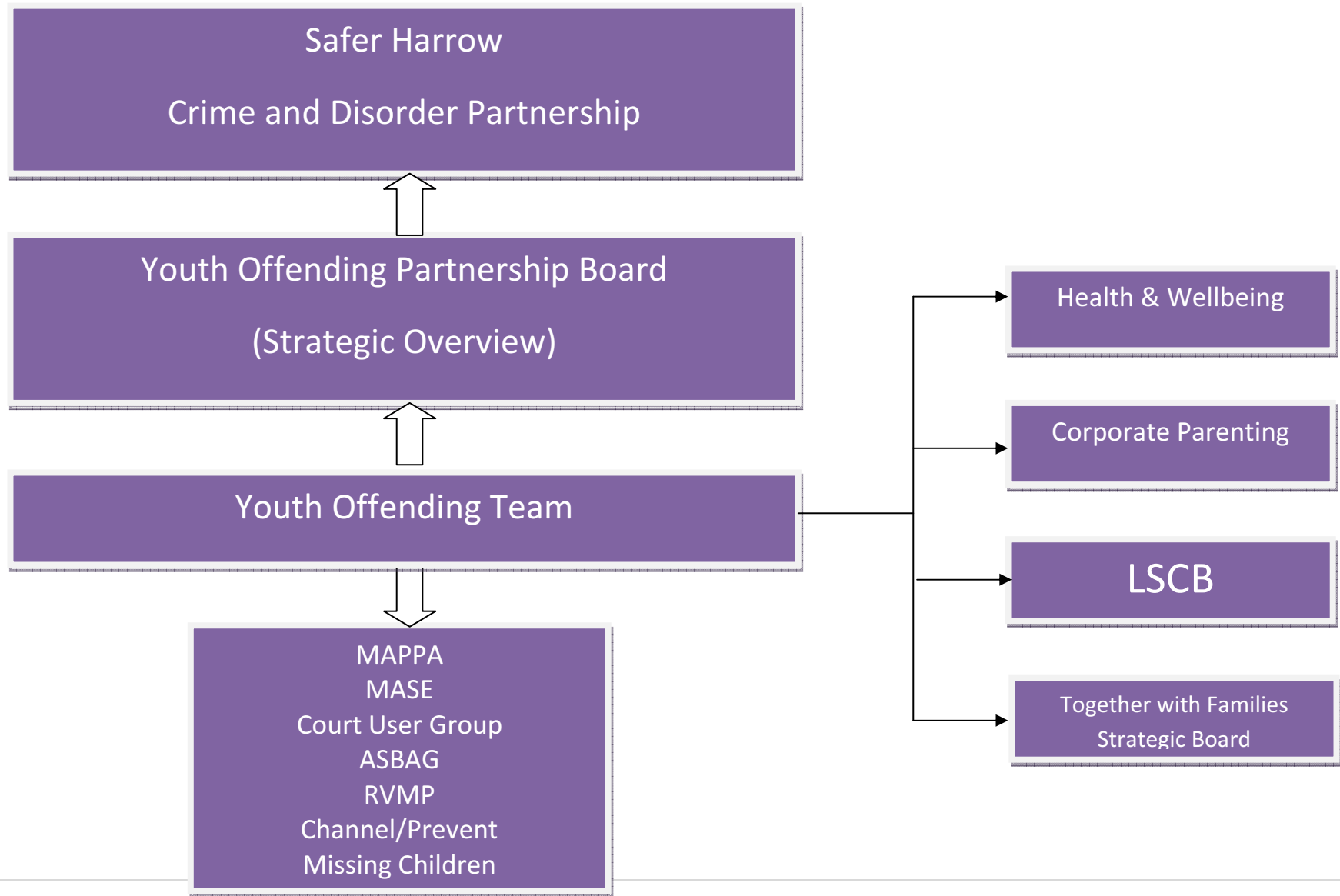
## **Appendix 5**

## **Glossary of terms**

ASBAG	Anti-Social Behaviour Action Group
CAMHS	Children and Adolescent Mental Health
CCG	Clinical Commissioning Group
CIN	Children in Need
CLA	Children looked after
CRC	Community Rehabilitation Company
CSPPI	Community Safety and Public Protection
CSE	Child Sexual Exploitation
EIS	Early Intervention Service
ETE	Education, Training and Employment
FTE	First Time Entrant
HYOT	Harrow Youth Offending Team
LAC	Looked After Child
LASPO	Legal Aid, Sentencing and Punishment of Offenders Act
LSCB	Local Safeguarding Children Board
MASE	Multi Agency Sexual Exploitation (Panel)
MAPPA	Multi Agency Public Protection Arrangements
MOPAC	Mayor's Office for Policing and Crime
PVE	Preventing Violent Extremism
RJ	Restorative Justice
ROTL	Release on Temporary Licence
YJB	Youth Justice Board
YOT	Youth Offending Team
YJLD	Youth Justice Liaison and Diversion
YJILS	Youth Justice Interactive Learning Space
YRO	Youth Rehabilitation Order

**APPENDIX 6**

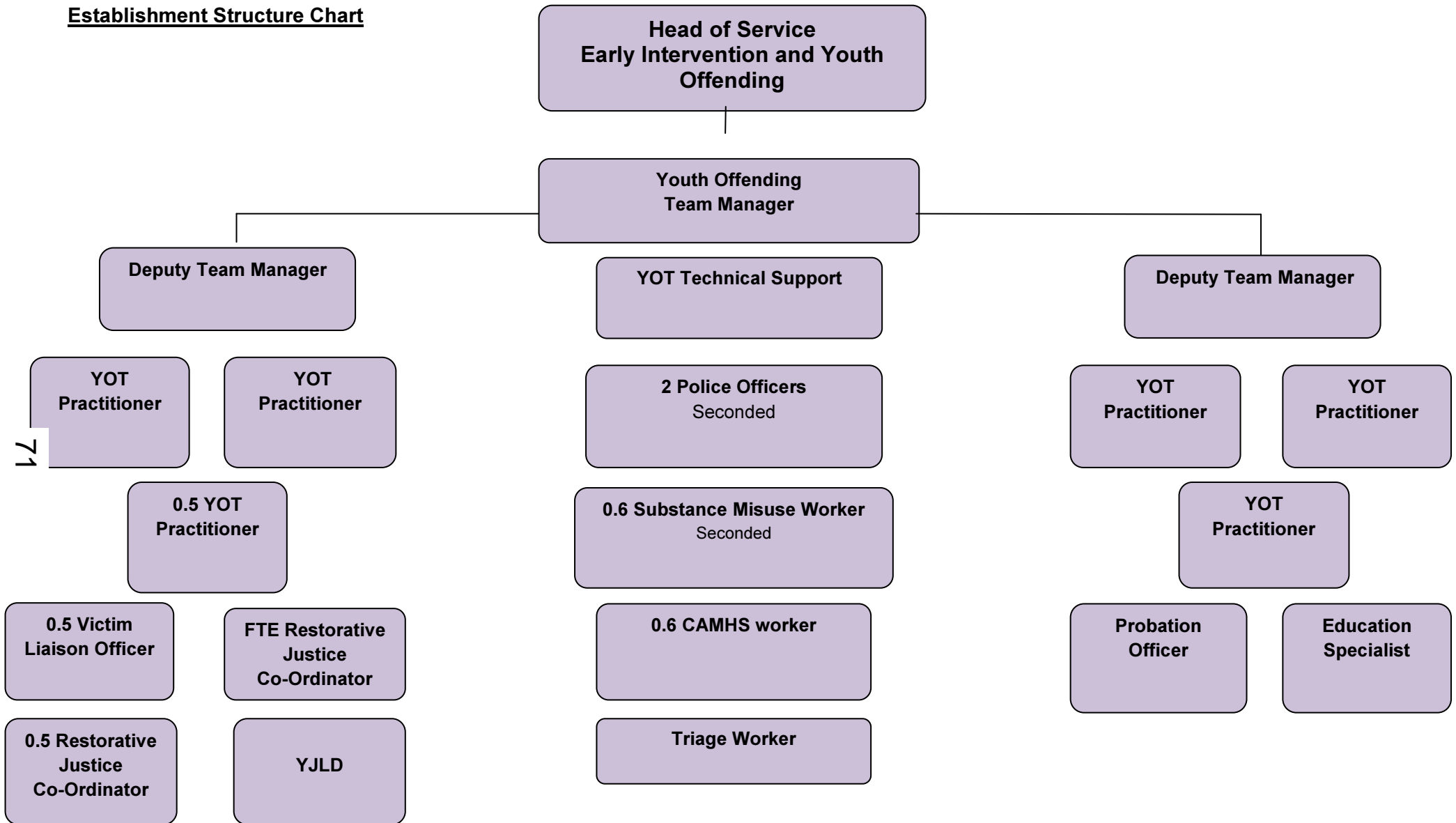
**Structure and Governance**



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**APPENDIX 7**

**Establishment Structure Chart**



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## **Appendix 8**

### **Allocation of Good Practice Grant**

<b><u>Area of Delivery</u></b>	<b><u>Activity</u></b>	<b><u>Associated Costs</u></b>
Service delivery improvements	Implementation of Assetplus, including improving casework practice and performance.	£100,593
Reducing FTE's	Strengthen preventative services within the YOT, including improved links with Together with Families work by way of increased data collation with partners and tracking	£40,000
Reducing Re-Offending	Completing further analysis on reoffending cohort to identify trends and triggers.  Development and further investment in programmes and resources targeting reoffending cohort needs.	£30,000
Reducing the Use of Custody	The YOT will continue to ensure robust programmes are available including positive activities for YP to access as part of their bail / resettlement from custody.	£30,000
Restorative Justice work including work with Victims	Identifying creative methods of engagement to support victims of crime and encourage increased engagement in restorative processes	£10,000
		£210,593





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**REPORT FOR: OVERVIEW & SCI  
COMMITTEE**

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<b>Date of Meeting:</b>	20 <sup>th</sup> September 2016
<b>Subject:</b>	Adults Services Complaints Annual Report (social care only) 2015/16
<b>Responsible Officer:</b>	Chris Spencer, Corporate Director People Services
<b>Scrutiny Lead Member area:</b>	Councillor Chris Mote, Policy Lead Member Councillor Chika Amadi, Performance Lead Member
<b>Exempt:</b>	No
<b>Enclosures:</b>	None

**Section 1 – Summary and Recommendations**

This report sets out the statutory Adults Services Complaints Annual report (social care only) 2015/16.

**Recommendations:** None. For Information purposes only.

## Section 2 – Report

### Annual Complaints Report for Adults Social Care Services 2015/16

<u>Paragraph</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key targets in 2015/16
4	Focus for 2016/17
5	Stage 1 Complaints
6	Stage 2 Complaints
7	Stage 3 Complaints
8	Ombudsman Complaints & Enquiries
9	Escalation comparisons over time
10	Compensation payments
11	Mediation
12	Joint and social care complaints
13	Learning Lessons/Practice Improvements
14	Compliments
15	Equalities Information
16	The complaints process explained

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# **1. EXECUTIVE SUMMARY**

The overall picture remains very positive and reflects a real commitment from managers and staff to resolve complaints as effectively, and as promptly, as possible. Low levels of escalation to secondary stages or the Local Government Ombudsman (LGO) further reinforces the fact that complainants are satisfied that their concerns are heard and dealt with appropriately and effectively.

There were some 106 “transactions<sup>1</sup>” within the statutory complaints process during the year, i.e. representations, formal complaints and referrals to the LGO. Given the nature of some of the work undertaken, such as safeguarding adults and the transition of young people to adult services, it is positive that numbers of complaints are so minimal. Thousands of service episodes are provided each year. During 2015/16, the number of clients that received Long Term services was 3,850; whilst 943 clients received Short Term Reablement service and 1,863 clients received either Short Term (other) or On-going Low Level services. Please note that some service users may have been in receipt of two or more services during the year (i.e. a service user received Reablement which ended and then received Long Term services). During 2015/16 Adults Social Care Services:

- Received 9,774 requests for social care support from potential service users.
- Provided information and advice (including referrals to other organisations that could assist) to 3,247 clients.
- Ensured a total of 943 clients received home based short term Reablement services
- An additional 1,310 clients received other forms of short term support in response to their request, this included support like mental health counselling.
- A total of 3,850 clients received some form of long term support, which includes personal budgets, direct payments, residential and nursing care. 2,915 of those clients were actively in receipt of such services on 31<sup>st</sup> March 2016.
- Assisted 1,567 carers during the year. This included 780 instances of information and advice, 554 direct payments to the carer and 274 temporary support packages delivered to the cared-for person (e.g. to give the carer a break from their caring responsibilities).

Adult Social Care encompasses the majority of the Adults statutory social work and as expected, continues to attract the most complaints (83% of all transactions) which reflects the nature of the work undertaken by that service, including Safeguarding Adults enquiries where difficult decisions regarding adults and their families sometimes leads to actions which are unpopular with service users, but necessary.

This report contains both positive messages and indications of areas needing more work.

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<sup>1</sup> The total of representations, Stage 1, Stage 2 and LG Ombudsman referrals.

- Of particular note is the high level of representations (61) which are received as potential complaints but resolved informally to the satisfaction of service users. This is significant in showing that the Council is able to listen to concerns expressed and act promptly to resolve them. Whilst this is positive in terms of the service user's experience it also endorses that early resolution is more cost effective for the Council by avoiding escalation with associated costs of any investigations.
- The number of Stage 1 complaints continues to fall and the proportion of Stage 1 complaint responses sent within timescales remains high at 90% and up 3% when compared to 2014/15 (87%).
- The relative escalation rate of complaints between Stage 1 and Stage 2 has remained at 2% (same rate as 2014/15). This reflects the successful efforts made by officers to understand and address concerns when they arise as complaints and representations.
- Better quality resolution work has meant that fewer representations moved on to Stage 1 complaint. Indeed there were more representations (61) than Stage 1 complaints (41) in 2015/16, compared to 2014/15 (52 representations and 45 complaints).
- All of the key actions that were set for 2015/16 in the previous year have been met.

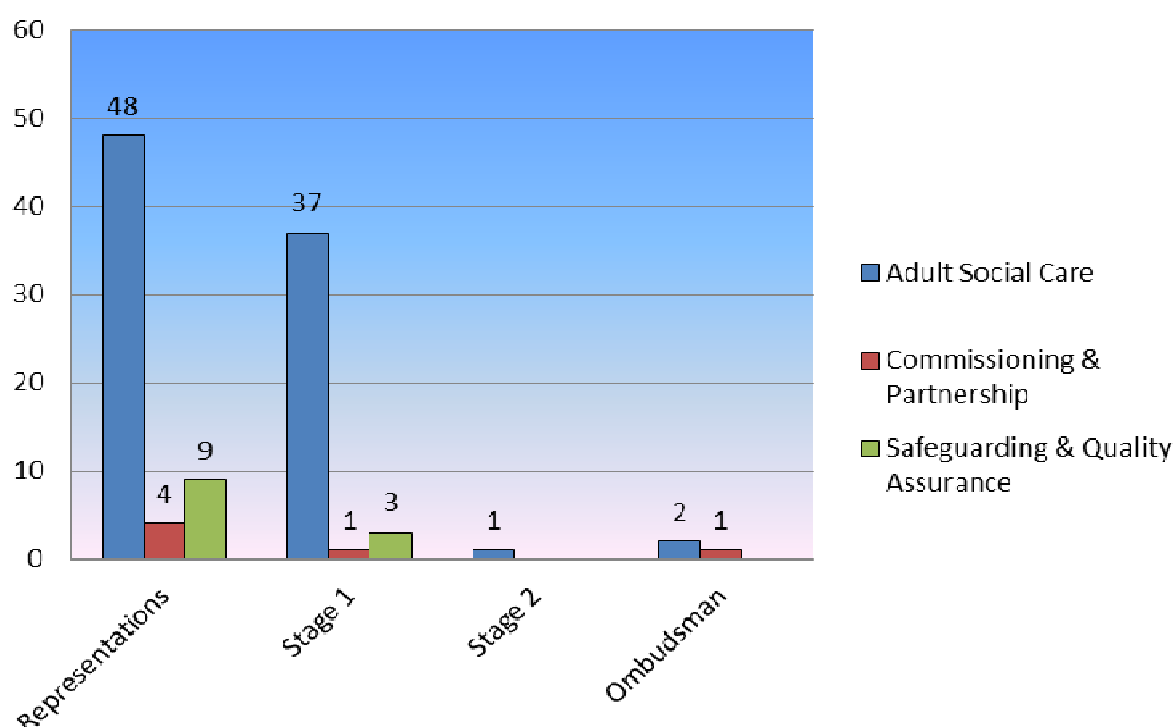
## **2. Summary of Activity**

Between 1 April 2015 and 31 March 2016 there was the following activity:-

- The Complaints Service dealt with 61 representations i.e. potential complaints that did not lead to a formal complaint investigation.
- The Council received 41 Stage 1 complaints.
- 1 complaint progressed to the second stage.
- The Ombudsman reviewed 3 complaints during this period

Additionally there were 61 MP and Councillor enquiries managed by the Complaints Team.

**Chart 1: Number of Complaints by Service area: April 2015 to March 2016**



**Number of Complaint Transactions by Service area: April 2015 - March 2016**

Service Area	Representations	Stage 1	Stage 2	Ombudsman	Total
Adult Social Care	48	37	1	2	88
Commissioning & Partnerships	4	1	0	1	6
Safeguarding & Quality Assurance	9	3	0	0	12
<b>Total</b>	<b>61</b>	<b>41</b>	<b>1</b>	<b>3</b>	<b>106</b>

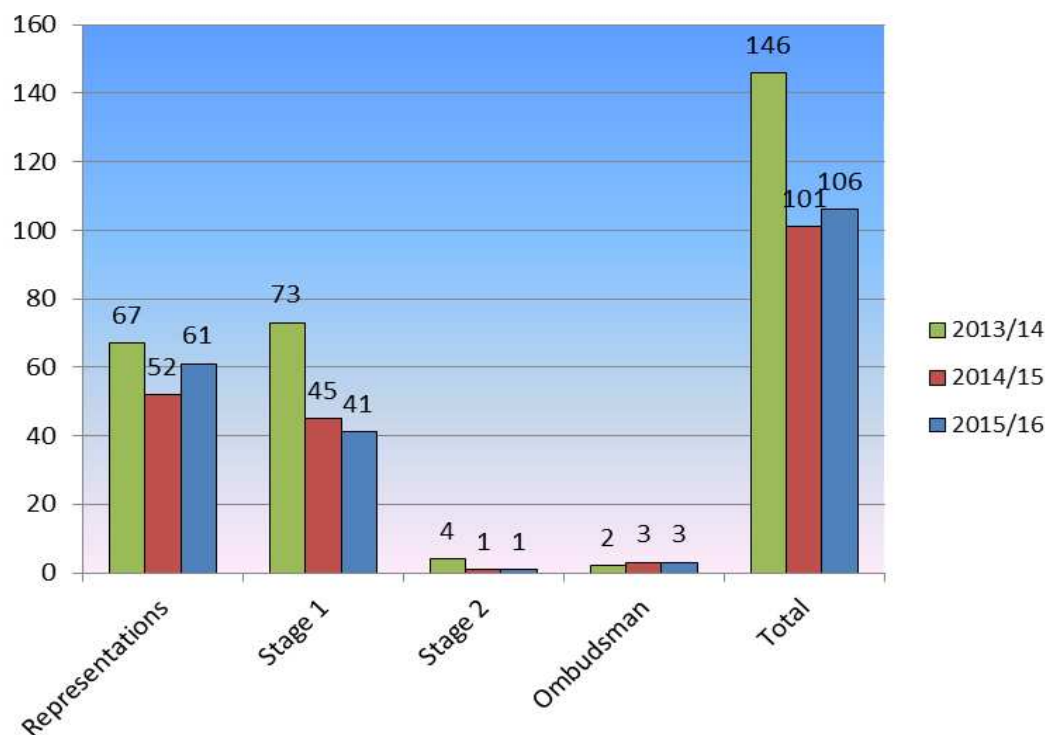
**Key message:** Overall the picture suggests a continuation of high quality investigative and governance standards.

**Analysis:** This year, there has been a small reduction in the number of Stage 1 complaints, down by 4 on 2014/15. Reasons for this are considered in detail in section 5.1.

There was just one Stage 2 complaint, this represents an escalation rate of 2% of all Stage 1 complaints and as such is a relatively low level of escalation.

Of the three LGO referrals, two were not upheld by the Ombudsman. The remaining upheld complaint occurred as a result of the LGO finding the Council was at fault for not fully considering whether to offer a full carer's assessment (rather than a condensed one) and not communicating the outcome of two assessments.

## 2.1 Comparison of complaints over the last 3 years



	Representations	Stage 1	Stage 2	Ombudsman	Total
<b>2015/16</b>	61 (57%)	41 (39%)	1 (1%)	3 (3%)	106
<b>2014/15</b>	52 (51%)	45 (45%)	1 (1%)	3 (3%)	101
<b>2013/14</b>	67 (46%)	73 (50%)	4 (3%)	2 (1%)	146

**Key message:** Overall the picture suggests a continuation of high quality investigative and governance standards.

**Analysis:** There was an increase in the number of total complaints or 'transactions' in 2015/16 (106), compared to 2014/15 (101). This was mainly due to the larger number of representations (increase of 9 from the previous year), there was a fall in the number of Stage 1 complaints (4) from the previous year. There was no change in the number of Stage 2 complaints and cases complaints referred to the Ombudsman.



### **3. Outcomes for key targets in 2014/15**

In the previous annual report the following were identified as key focus areas.

**Key action:** To make further improvements to ensure that Stage 1 complaints response rates consistently exceed the local target timescales of 75% for each quarter.

- **Outcome achieved:** The proportion of Stage 1 complaint responses sent within timescales increased to 90% in 2015/16, up from 87% in 2014/15. Divisional Directors are aware of timescales performance through quarterly improvements board reports. Improvements have been made by working more closely with Team Managers who have helped to drive improvements in performance. Trends in cases and escalations have been consistently monitored in weekly catch up meetings by the Complaints Team and as part of quarterly improvement board reports.

**Key action:** To continue the core offer of training for front line staff and Managers on complaint handling.

- **Outcome achieved:** Training was offered to all relevant front line staff and managers and delivered during November and December 2015.

Throughout November and December 2015 the Complaints Team ran a series of three workshops on the complaints procedure. The target audience were staff who were new to Harrow or staff who had not previously received complaints training or felt that they would benefit from refresher training. The aim of the workshops was to enable staff to gain knowledge of the social services complaints procedure and regulations and how that impacts upon the work that they do.

### **4. Focus for 2015/16:**

- To ensure that on time Stage 1 complaint response rates continue to exceed the local target of 75%
- To continue the core offer of training for front line staff and managers on complaint handling
- To update the complaints database to reflect the new teams within the People Directorate
- To review and update complaints literature and communications.

## **5. Stage 1 Complaints**

### **5.1 Overall Activity**

	<b>Commissioning &amp; Partnership</b>	<b>Adult Social Care</b>	<b>Safeguarding, &amp; Quality Assurance</b>	<b>Total</b>
2015/16	<b>1</b>	<b>37</b>	<b>3</b>	<b>41</b>
2014/15	<b>7</b>	<b>27</b>	<b>11</b>	<b>45</b>
2013/14	<b>26</b>	<b>41</b>	<b>6</b>	<b>73</b>

#### **Analysis:**

Overall Stage 1 complaints have decreased over the past three years. The reasons for this include:

- The introduction of the Fairer Charging Policy led to an increase in the number of complaints during 2012/13 and as the policy was embedded, numbers have decreased over the resulting period
- Training for front line staff to offer choice and control has resulted in a positive culture change throughout Adult Services, leading to higher levels of satisfaction
- Better quality resolution work has meant that fewer representations moved on to Stage 1 complaints. Indeed there were more representations (61) than Stage 1 complaints (41) in 2015/16. In comparison 2014/15 had 52 representations and 45 Stage 1 complaints.

There were ten more Stage 1 complaints in 2015/16 for Adult Social Care compared to the previous year. This was due primarily to IT issues in ensuring client contribution invoices were sent out in a timely manner. The Implementation Team within Personalisation formally assumed management of this function and rectified the issues, but this did lead to a short term increase in complaints which have now been resolved.

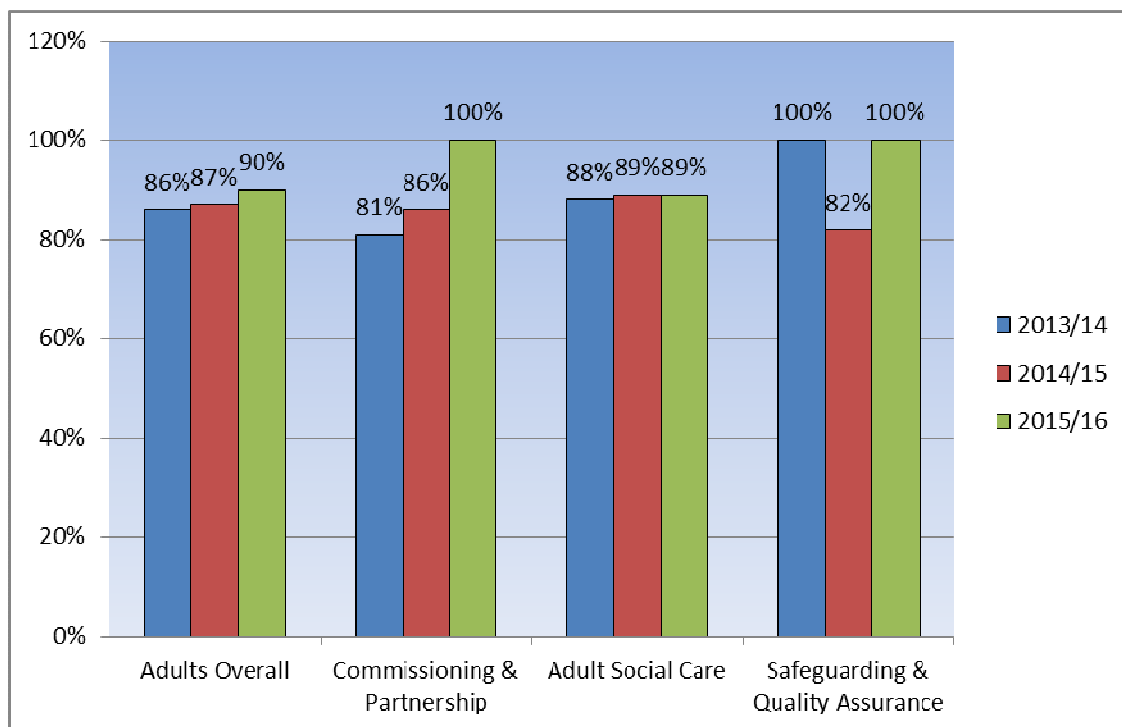
There were 14 fewer Stage 1 complaints in 2014/15 for Adult Social Care compared to the previous year. Within this service area the number of complaints under Reablement fell, perhaps due to an increase in the number

of providers used from two to seven. This in turn meant that the needs of service users were more closely matched to service providers. There were also fewer complaints around Personalisation intake reflecting further customer satisfaction with the service.

Adult Social Care, which manages all referrals for statutory services and contains the majority of the social work teams within Adults, including Safeguarding Adults enquiries by the nature of the work will always receive the largest share of complaints.

The number of Stage 1 complaints within Commissioning and Partnership fell from 26 in 2013/14 to seven in 2014/15 and then down to one in 2015/16. Personalisation has focused the work of Adult's Services around the individual needs of each client who are now at the centre of all arranged care. Personal budgets and the move away from block contracts also resulted in much broader and personalised choice. These developments have helped to reduce the number of complaints in this service area.

## 5.2 Stage 1 response times



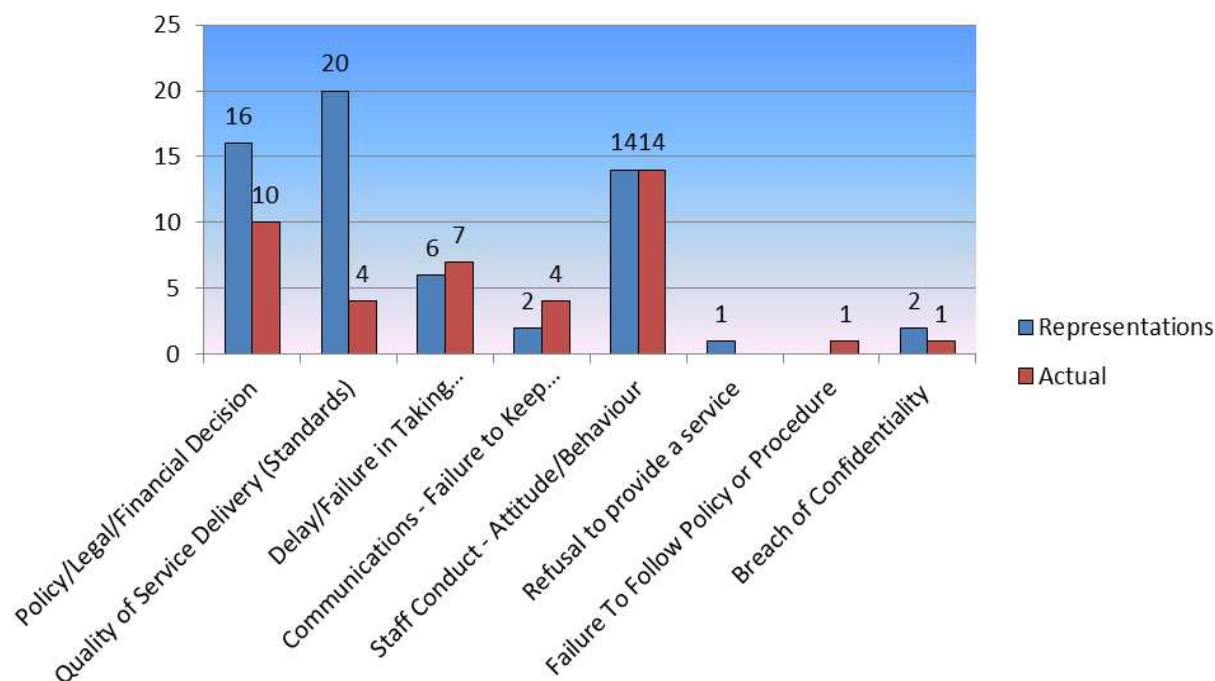
**Analysis:** All services areas exceeded the corporate target of 75%, with an overall level of 90% of complaints being dealt within timescale, this is a slight improvement from 87% for 2014/15.

### 5.3 Nature of complaints

Type of Complaint	Commissioning & Partnership	Adult Social Care	Safeguarding & Quality Assurance	Total
Breach of confidentiality		1		1
Delay / failure in taking action or replying		7		7
Loss or damage to property				
Policy / legal / financial decision		10		10
Quality of Service delivery (standards)		3	1	4
Level of Service (e.g. opening times)				
Refusal to provide a service				
Staff conduct * attitude / behaviour	1	11	2	14
Failure to follow policy or procedures		1		1
Change to an individual's service - withdrawal/ reduction				
Communication - Failure to keep informed / consult		4		4
Discrimination by a Service				
<b>Total</b>	<b>1</b>	<b>37</b>	<b>3</b>	<b>41</b>

<b>Examples of complaints by category:</b>	<b>2015/16 examples</b>
Delay/failure in taking action or replying	Delay in receiving day care invoice
Policy/Legal/Financial decision	Disagreed with financial assessment outcome
Quality of service delivery (standards)	Unhappy with duty service
Staff conduct – attitude/behaviour	Found care manager intrusive in carer assessment questioning
Communications – Failure to keep informed/consult	Did not receive requested information about on-going care

The table below shows the pattern of distribution across complaint categories is relatively similar in both representations and all formal complaints. There were twenty representations around the quality and service delivery. The complaints and social work teams worked with clients to quickly resolve concerns and issues without the need for a formal Stage 1 complaint.



#### 5.4 Complaints outcomes

Service	Not Upheld	Partially Upheld	Upheld	Total
Safeguarding & Quality Assurance	1	2		3
Commissioning & Partnership		1		1
Adult Social Care	16	12	9	37
<b>2015/16</b>	<b>17 (41%)</b>	<b>15 (37%)</b>	<b>9 (22%)</b>	<b>41</b>
<b>2014/15</b>	13 (29%)	17 (38%)	15 (33%)	45
<b>2013/14</b>	29 (40%)	22 (30%)	21 (29%)	73

**Key message:** For the past few years managers and staff within service areas and the complaints team have worked towards a more balanced and open approach to complaints, where concerns from service users are recognised and receive appropriate responses. This includes the need to listen to complainants and adopt a less defensive approach when reflecting on practices and making decisions on the outcomes of each complaint.

In 2015/16 a larger proportion of complaints were not upheld (41%) compared to 2014/15 (29%). However, service user satisfaction has remained high, as borne out by the small number of Stage 2 complaints which remained at just one for the year.

## **6. Stage 2 complaints**

### **6.1 Stage 2 complaint numbers and escalation rates**

<b>Service</b>	<b>Stage 1</b>	<b>Stage 2</b>	<b>% escalating to formal complaints</b>
2015/16	41	1	2.4%
2014/15	45	1	2.2%
2013/14	73	4	5.4%

Analysis: There was one Stage 1 complaint in 2015-16, the same as 2014-15 with a near identical low escalation rate. Factors for this low escalation include:

- The efforts made by the Complaints Teams, Service Managers and Social Work Team leads in meeting with complainants and families after Stage 1 complaints have been sent out. These resolution meetings have been helpful to resolve issues and also provides a platform to discuss and consider any service changes required to meet service user and carer needs.
- The increase in the proportion of partially upheld and upheld complaints at Stage 1.

### **6.2 Stage 2 Complaints and outcomes**

<b>Service</b>	<b>Not Upheld</b>	<b>Partially Upheld</b>	<b>Upheld</b>	<b>Total</b>
2015/16		1		1
2014/15		1		1
2013/14	2	2		4

#### **Analysis:**

There was only one Stage 2 complaint, it is therefore, not possible to reflect on major changes in outcomes.

### 6.3 Stage 2 Response Times

Year	Within time	Over timescale	Total
2015/16	1		1
2014/15	1		1
2013/14	1	3	4

#### Analysis:

There was only one Stage 2 complaint which was completed in time.

### 6.4 Nature of complaint

Year	2013/14	2014/15	2015/16
Breach of confidentiality			
Delay/ failure in taking action or replying			
Policy / legal / financial decision	2	1	
Quality of Service delivery (standards)	2		1
Quality of Facilities / Health and Safety			
Refusal to provide a service			
Level of Service (e.g. opening times)			
Change to Service - withdrawal/reduction			
Loss or Damage to property			
Failure to follow Policy or Procedure			
Total	4	1	1

**Analysis:** There was only one Stage 2 complaint, it is therefore, not possible to reflect on major changes in the nature complaints.

## 7. Stage 3 Complaints

There is no statutory Stage 3 complaint stage. The 2009 regulations do not expect them.

**Context:** The removal of review panels makes it more likely complaints will escalate to the Ombudsman, meaning it becomes even more imperative that errors are identified at an early stage and robust remedial action is taken.

## **8. Ombudsman complaints and enquiries**

**Analysis:** There were three complaints concluded with the Local Government Ombudsman (LGO) during 2015/16.

The LGO concluded that in two cases that there were no reasons to suggest the Council had acted inappropriately and therefore did not uphold each complaint. In the remaining case the Ombudsman found that the council should have further considered to offer a full carers assessment as opposed to a short assessment and that the council did not adequately notify the carer of the outcome of the assessment.

<b>Service</b>	<b>No finding against Council</b>	<b>Finding against Council</b>	<b>Total</b>
Adult Social Care	2	1	3

## **9. Escalation comparisons over time**

<b>Year</b>	<b>Average % escalation rate Stage 1- Stage 2</b>	<b>Number of LGO complaints</b>
<b>2015-16</b>	2%	3
<b>2014-15</b>	2%	3
<b>2013-14</b>	5%	2

**Analysis:** The rate of escalation between Stage 1 and Stage 2 has fallen over the past 3 years to a very low rate of 2% in 2014/15. This reflects the commitment to finding resolutions and listening to service users and their families, when concerns are raised during representations.

## **10. Compensation Payments**

There was one relatively small compensation payment of £500.00. This indicates that 2015/16 has been a low year for significant errors being identified.

## **11. Mediation**

During 2015/16, there were four potential complaints that were resolved by the Complaints Team facilitating a meeting or mediation between complainants and Adult Social Care.

One meeting that led to a resolution was where the Complaints Team arranged a meeting between the complainant, a manager from Adult Social



Care, a manager from an involved care home and a representative from HAD who were managing the relevant service user's finances.

The complaint centred on the billing and financial management for the involved service user, which due to the number of involved parties, there was some initial confusion and misunderstanding about what had occurred and which parties held responsibility for the issues raised.

By holding the meeting and allowing an open discussion with all parties involved, it helped clarify the series of events and helped all parties identify where there were gaps in communication and service. It allowed the Complaints Team to clearly direct HAD and the involved care home on what actions were necessary on their part to help resolve the issues and the complainant left the meeting satisfied with the answers that had been provided by way of the meeting and the proposed actions by the involved parties.

## **12. Joint NHS and Social Care Complaints**

There was one joint NHS and Social Care complaint that did not find any fault against the council.

## **13. Learning Lessons/Practice Improvements**

Examples of lessons learnt/practice improvements include the following

- A temporary IT issue led to service user not being sent monthly invoices for commissioned care for several months. Service users were offered a payment plan to ensure they could afford payments spread over a few months.
- Following from the above, it was identified that when a service user is financially assessed as full cost, they are informed of this via letter. However, this letter did not confirm the cost of any council commissioned care as normally only contribution amounts would be communicated. What particularly highlighted these issues was that as explained above, invoices were not being generated for several months in some cases. It was found that for better clarity and for service users and their families to be better informed, that additional information regarding the cost of any care package in place as well as providing families with further information of their options.
- A service user's required contribution was significantly increased due to a substantial change in their benefits. This was communicated to the Council by the DWP. The service user informed our service that they could not afford the contribution and a meeting was arranged to discuss further along with Mencap who was advocating for the service user. It was discovered in the meeting that the individual was not yet in

receipt of the benefits despite previous correspondence from the DWP. It was agreed with the relevant service that more stringent checks should be carried out with the DWP to ensure actual receipt of benefits before contributions are amended at the Council to prevent higher charging in a period of transition where the user is not yet in receipt of higher income.

- Due to high demand at certain points in the year, the Occupational Therapy service had higher than usual allocation times which left service users concerned about when they may be receiving an assessment. Feedback was passed on to the service regarding these multiple cases to ensure better communication around any delays in service.

## **14. Compliments**

The majority of service users that compliment staff and the council provide their feedback through verbal communication in care meetings or by phone. Examples of some of the written compliments forwarded to the complaints team by staff include

- *“I wish to thank the team for all the support you have given me and my family over the years, during difficult times. Couldn’t find any fault despite the heavy work. Well done team, good service to the community despite the rubbish the papers say.”*
- *“I attended the meeting at the Civic Centre as part of the local account group which has been a big part of turning my life around and I am truly indebted to team have also gone above and beyond the call of duty in empowering me with choices that would have been unattainable. Where there is not yet parity within mental health and physical health with help and guidance it is possible to recover a degree of quality of life, I am totally abstinent from alcohol since April, regularly attend the YMCA gym, recently quit smoking after the support....Thank you for having such empowering individuals and teams within the borough.”*
- *“Hello, just a short courtesy e-mail to thank you for the invitation to the civic centre the other evening, it was very informative it was great to be a part of and especially to be given the opportunity to participate throughout the process has opened my eyes to the difficulties others face.”*
- *“I wanted to thank you personally for your commitment to get to the bottom of this saga - without your personal decision to initiate a Harrow-resourced inquiry, I am certain the previous 'inconclusive' would have stood as the final outcome.”*

## **15. Equalities Information**

### **15.1 Stage 1 - equalities information of the service user**

<b>Gender of Service User</b>	<b>2014/15</b>	<b>2015/16</b>
Male	16	11
Female	29	30

<b>Ethnic Origin of Service User:</b>	<b>2014/15</b>	<b>2015/16</b>
<b>ASIAN OR ASIAN BRITISH</b>		
Afghani		
Bangladeshi		1
Indian	13	11
Pakistani		2
Sinhalese		
Sri Lankan Tamil	1	
Other Asian	2	1
<b>BLACK/BLACK BRITISH</b>		
African	1	2
Caribbean	3	3
Somali		
Other Black		
<b>OTHER ETHNIC GROUP</b>		
Arab		
Chinese		
Iranian		
Iraqi		
Kurdish		
Lebanese		
Other Ethnic Group	2	
<b>MIXED</b>		
White & African		
White & Caribbean		
White & Asian		
Other Mixed		1
<b>WHITE</b>		
Albanian	1	
British	19	17
Irish	2	
Gypsy/Roma Traveller		
Irish Traveller		
Polish		
Romanian		
Serbian		
Other White	1	
<b>PREFER NOT TO SAY/NOT KNOWN</b>		3

<b>Disability</b>	<b>2014/15</b>	<b>2015/16</b>
Yes	36	40
No	9	1
Unknown	0	0

<b>Complaint made by:</b>	<b>2014/5</b>	<b>2015/16</b>
Service User	7	5
Relative/Partner (often informal carer)	33	35
Advocate – (instigated by either carer or service user)	5	0
Solicitors	0	1

## 15.2 Stage 2 - equalities information of the service user

<b>Gender</b>	<b>2014/5</b>	<b>2015/16</b>
Male	0	1
Female	1	0
Unknown	0	0

<b>Ethnic Origin</b>	<b>2014/5</b>	<b>2015/16</b>
British White	0	1
Indian	1	0
Other Ethnic	0	0
Unknown	0	0

<b>Disability</b>	<b>2014/5</b>	<b>2015/16</b>
Yes	1	1
No	0	0
Unknown	0	0

<b>Complaints made by</b>	<b>2014/5</b>	<b>2015/16</b>
Service User	0	0
Relative/Partner (often informal carer)	1	1
Advocate – (instigated by either carer or service user)	0	0
Solicitors	0	0

## **16. The Complaints Process explained**

This report provides information about complaints made during the twelve months between 1 April 2014 and 31 March 2015 under the complaints and representations procedures established under the Health and Social Care (Community Health and Standards) Act 2003 and through the Local Authority Social Services and National Health Service Complaints (England) Regulations, 2009 and the Council's corporate complaints procedure relating to Adults Community Care Services.

All timescales contained within this report are in working days.

### **16.1 What is a Complaint?**

An expression of dissatisfaction or disquiet about the actions, decisions or apparent failings of a local authority's adult's social services provision which requires a response.

### **16.2 Who can make a Complaint?**

- (a) a person who receives or has received services from the Council; or
- (b) a person who is affected, or likely to be affected, by the action, omission or decision of the Council.

### **16.3 Stages of the Complaints Procedure**

From April 2009, regulations removed the traditional 3 Stage complaints procedure for statutory complaints, replacing it with a duty to provide a senior manager organisational sign-off to every complaint response. The Council is expected to negotiate with the complainant how their complaint should be managed, including agreeing a timescale. If a verbal issue can be resolved by the end of the next working day, the regulations state this does not need to be recorded as a complaint.

Many complainants prefer a defined process and prefer to rely on the Council to identify a process to manage their complaint. To assist such complainants the Council produced a model procedure which complainants can use if they prefer. It is also used where complainants cannot be contacted to discuss how they want their complaint managed. Complainants are always advised in writing of their right to agree a different process if they prefer.

The stages of the Model procedure:

#### 1) Local resolution

Timescale: 10 working days. 20 working days for complex

Organisational sign-off: Director of Adult Social Services

#### 2) Mediation

Organisational sign-off: Director of Adult Social Services

#### 3) Formal investigation

Timescale: 25 working days. 65 working days if complex e.g. requiring independent investigation.

Organisational sign-off: Corporate Director

For ease of understanding, the report uses a traditional stages reporting format. Local resolution being a Stage 1 and formal investigation a Stage 2. It is important to emphasise that these stages are very fluid so it is not uncommon to go immediately now to mediation or independent investigation.

### Local Government Ombudsman

The Ombudsman is an independent body empowered to investigate where a Council's own investigations have not resolved the complaint.

The person making the complaint retains the right to approach the Local Government Ombudsman at any time. However, the Ombudsman's policy is to allow the local authority to consider the complaint and will refer the complaint back to the Council unless exceptional criteria are met.

### **16.4 What the complaints team do**

- Letter-vetting
- Liaising with services to try resolve the issue informally
- Mediation
- Training
- Surgeries/raising awareness
- Learning identification and agreed actions monitoring
- Advocacy identification
- Chasing complaint responses

The introduction of letter-vetting in September 2006 by the Complaints Service has ensured that all complainants are informed in their written response of the right to go to the next stage if they are unhappy.

Thank you for your application. There were over 40 applications, on this occasion we were looking for candidates with a greater level of DPA experience. We wish you all the best in your job hunting.

### **Financial Implications**

There are no specific budget issues associated with this report. All compensation payments are agreed by Service Managers and are funded within existing budgets.

### **Performance Issues**

There are no specific particular performance issues associated with this report.

## **Environmental Impact**

N/A

## **Risk Management Implications**

Risk included on Directorate risk register? No

Separate risk register in place? No

## **Equalities implications**

N/A

## **Corporate Priorities**

The Council's vision:

Working Together to Make a Difference for Harrow

- **Making a difference for the vulnerable**
- **Making a difference for communities**
- **Making a difference for local businesses**
- **Making a difference for families**

## **Section 3 - Statutory Officer Clearance**

The Corporate Director determined the report did not require Financial or Legal clearance.

## **Section 4 - Contact Details and Background Papers**

**Contact:** Report author: Peter Singh, Service Manager, Adults & Children's Complaints, 020 8424 1161

**Background Papers:** None

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**REPORT FOR:            OVERVIEW AND  
   SCRUTINY COMMITTEE**

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**Date of Meeting:**            20<sup>th</sup> September 2016

**Subject:**                        Children and Families Services Complaints  
   Annual Report 2015/16

**Responsible Officer:**        Chris Spencer, Corporate Director People  
   Services

**Scrutiny Lead  
Member area:**                Policy Lead Member – Councillor Richard  
   Almond

   Performance Lead Member – Councillor Janet  
   Mote

**Exempt:**                        No

**Enclosures:**                 Appendix 1– Annual Report for Children and  
   Families Services Complaints for period 2015/16

**Section 1 – Summary and Recommendations**

This report sets out the statutory Children and Families Services Complaints Annual Report for 2015/16.

**Recommendations:**

None. For Information purposes only.

## Section 2 – Report

### Annual Complaints Report for Children and Families Services 2015/16

<u>Section</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key actions in 2015/16
4	Priorities for 2016/17
5	Stage 1 Complaints
6	Stage 2 Complaints
7	Stage 3 Complaints
8	Ombudsman (LGO) Complaints
9	Escalation comparison over time
10	Compensation payments
11	Mediation and Alternative Dispute Resolution
12	Joint NHS and social care complaints
13	Learning Lessons/Practice Improvements
14	Compliments
15	Equalities Information
16	The Complaints Process explained

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<b>1</b>	<b>Executive Summary:</b>  There were some 125 “transactions <sup>1</sup> ” within the statutory complaints process during the year, i.e. representations, formal complaints and referrals to the Local Government Ombudsman. Given the nature of some of the work undertaken, such as child protection and looked after children, it is positive that numbers of complaints are so minimal. Thousands of service episodes are provided to children and young people each year. There were approximately 3,600 statutory service episodes alone, and many thousands of non statutory service episodes through the Early Intervention, Youth Offending and Special Needs Services as well as through the Children’s Centres.  Targeted Services continued to attract the most complaints (80% of all transactions). This reflects the nature of the statutory social work undertaken
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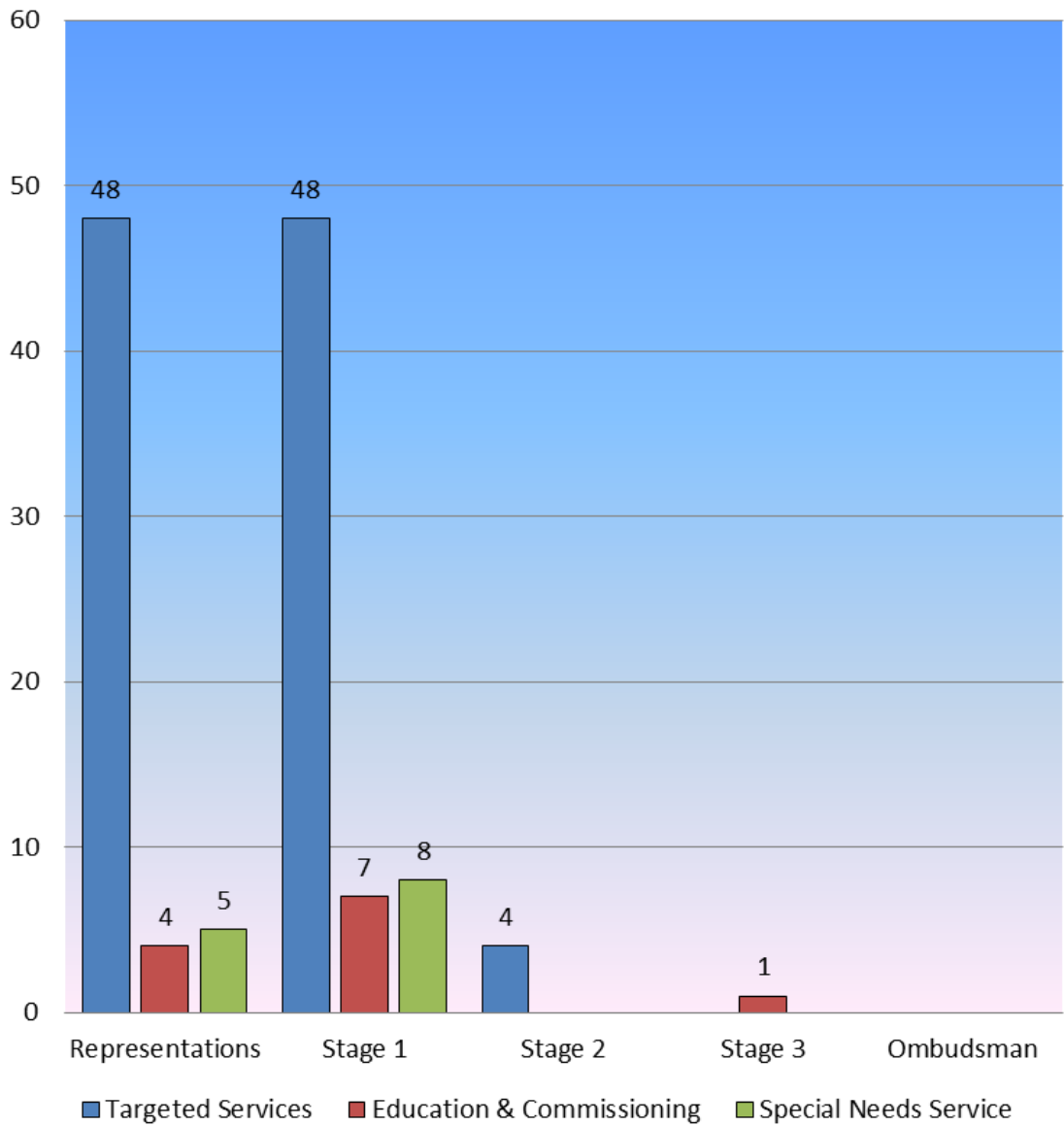
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<sup>1</sup> The total of representations, Stage 1, Stage 2, Stage 3 & LG Ombudsman referrals within Children and Families Services.

	<p>by that service, where difficult decisions regarding children and their families sometimes leads to necessary actions which are unpopular with service users.</p> <p>This report contains both positive messages and indications of areas needing more work.</p> <ul style="list-style-type: none"> <li>• Of particular note is the high level of representations (57) which are received as potential complaints, but resolved informally to the satisfaction of service users. This is significant in showing that the Council is able to listen to concerns expressed and act promptly to resolve them. Whilst this is positive in terms of the service user's experience, it also endorses that early resolution is more cost effective for the Council by avoiding escalation with associated costs of any investigations.</li> <li>• The proportion of stage 1 complaint responses sent within timescales has increased to 88% in 2015/16, up from 70% in 2014/15.</li> <li>• The relative escalation rate of complaints between the stages of the complaints process is low and reflects the successful efforts made by officers to understand and address concerns when they arise as complaints and representations. Escalation of stage 1 complaints to stage 2 fell to 6% from 8% in the previous year.</li> <li>• All of the key actions that were set for 2015/16 in the previous year have been met.</li> </ul>
<b>2</b>	<b>Summary of Activity:</b>
<b>2.1</b>	<p><b>Overall Complaint Activity:</b></p> <p>Between 1 April 2015 and 31 March 2016 the Council received:</p> <ul style="list-style-type: none"> <li>• 57 representations i.e. potential statutory complaints that did not lead to a formal stage 1 complaint;</li> <li>• 63 statutory stage 1 complaints;</li> <li>• four stage 2 complaints;</li> <li>• one stage 3 complaint received (no panel hearings);</li> <li>• There were no (zero) Local Government Ombudsman (LGO) complaints.</li> </ul> <p>Additionally, there were 90 MP and Councillor enquiries managed by the Complaints Team.</p> <ul style="list-style-type: none"> <li>• Timeliness of complaints response at an early stage typically</li> </ul>

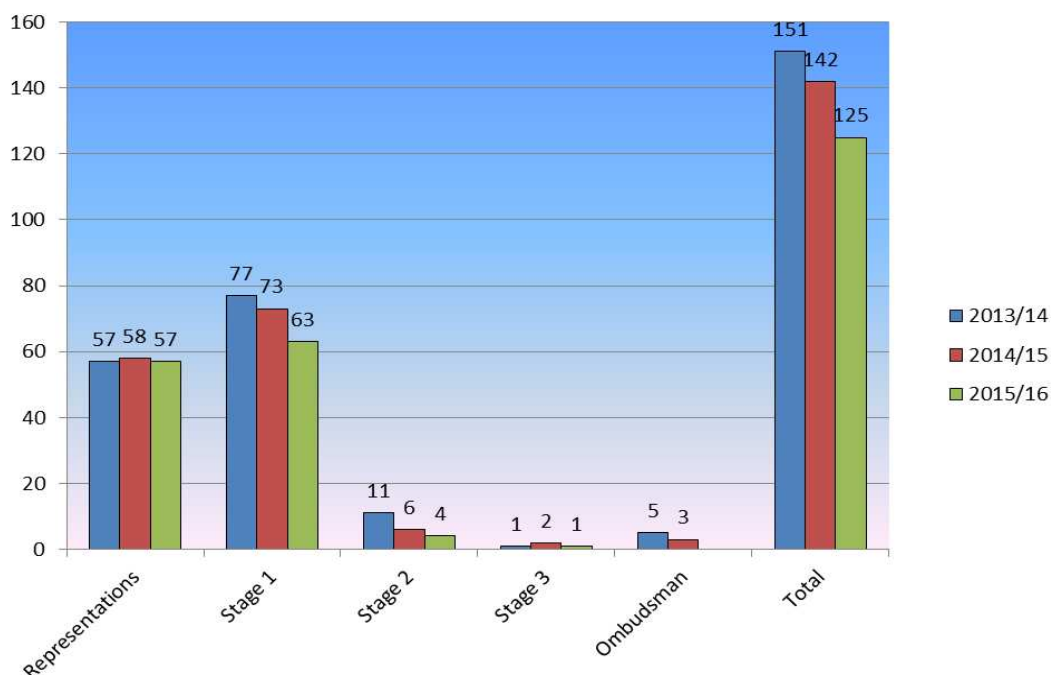
prevents/minimises subsequent cost to Council in time and resources. The Council has made strong improvements, 88% of stage 1 complaint responses were arranged in time (an increase from 70% in 2014/15).

**Table 1: Number of Complaints by Service area: April 2015 to March 2016**



Number of Complaint Transactions by Service area: April 2015 - March 2016							
Service Area	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total	
Targeted Services	48	48	4	0	0	100	
Education & Commissioning	4	7	0	1	0	12	
Special Needs Service	5	8	0	0	0	13	
<b>Total</b>	<b>57</b>	<b>63</b>	<b>4</b>	<b>1</b>	<b>0</b>	<b>125</b>	
<p><b>Key message:</b> Overall the picture suggests a continuation of high quality investigative and governance standards.</p> <p><b>Analysis:</b> During 2015/16 there was a reduction in the number of stage 1 complaints, down by ten on last year. However, the number total representations has remained steady, with a decrease of one from 58 last year.</p> <p>There were four stage 2 complaints. This represents an escalation rate of 6% of all stage 1 complaints and as such is a relatively low level. This compares favourably with the escalation rate of 8% in the previous year. No (zero) complaints progressed to a stage 3 panel hearing. This again is a positive indicator of sound resolution in the earlier stages of the process and compares with two for 2014-15 period.</p> <p>There were no (zero) new LGO referrals within the year, which compares with three during 2014/15. The outcomes of these three previous LGO referrals were fed back during 2015/16. The LGO concluded that in two cases (one which was a joint response with the Parliamentary and Health Ombudsman) that there was no evidence of fault with the Council. In the remaining case the LGO partially found against the Council, due to poor communication and lack of clarity about the eligibility status.</p>							

**Table 2: Comparison of Complaints over the last 3 years**



	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total
2015/16	57(46%)	63(50%)	4(3%)	1(1%)	0(0%)	125
2014/15	58(41%)	73(51%)	6(4%)	2(1%)	3(2%)	142
2013/14	57(38%)	77(51%)	11(7%)	1(1%)	5(3%)	151

**Analysis:** Active engagement with families and children has been positively welcomed. A significant proportion of issues continue to be resolved informally meaning the complainant chooses not to proceed with a complaint through a formal stage 1 process. Stage 1 complaints have fallen from 77 to 63 per year between 2013/14 and 2015/16.

Overall the volume of complaints at stage 2 has fallen steadily over the past 3 years, from 11 in 2013/14 to 6 in 2014/15 and then to 4 in 2015/16, despite an increased demand on services.

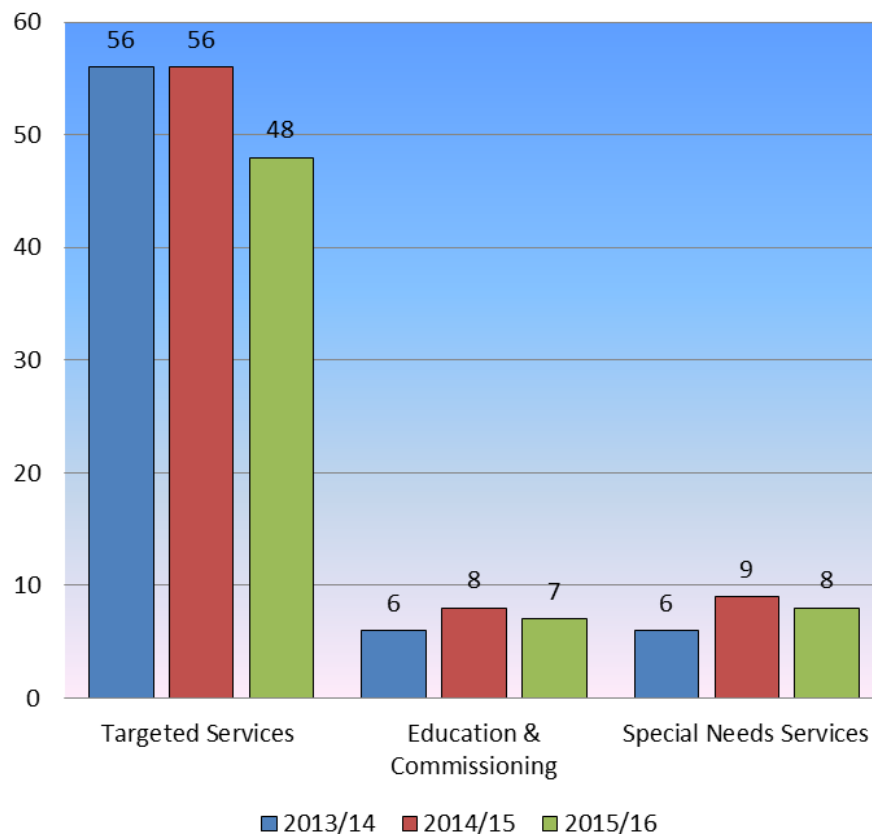
**Key message:** Previous research (e.g. Jerry White, Local Government Ombudsman & Steve Carney, Head of Complaints, CQC) has suggested that Councils with high levels of stage 1 complaints/representations tended to receive good performance ratings and demonstrated a willingness to hear concerns, address them and improve services as a result.

**Key action:** To attempt to maintain the current balance of representations against actual complaints, as this demonstrates good early resolution for service users.

3	<b>Outcomes for key actions in 2015/16</b>
	<p>In the previous annual report the following were identified as key focus areas.</p> <p><b>Key action:</b> To make further improvements to ensure that stage 1 complaints response rates consistently exceed the local target timescales of 75% for each quarter.</p> <ul style="list-style-type: none"> <li>• <b>Outcome achieved:</b> The proportion of stage 1 complaint responses sent within timescales increased to 88% in 2015/16, up from 70% in 2014/15. Divisional Directors are aware of timescales performance through quarterly improvements board reports. Improvements have been made by working more closely with Team Managers who have helped to drive improvements in performance. Trends in cases and escalations have been consistently monitored in weekly catch up meetings by the Complaints Team and as part of quarterly improvement board reports.</li> </ul> <p><b>Key action:</b> To further improve low levels of escalations of stage 2 complaints.</p> <ul style="list-style-type: none"> <li>• <b>Outcome achieved:</b> The proportion of complaints that progressed to stage 2 from stage 1 fell from 8% in 2014/15 to 6% in 2015/16.</li> </ul> <p><b>Key action:</b> To continue the core offer of training for front line staff and Managers on complaint handling.</p> <ul style="list-style-type: none"> <li>• <b>Outcome achieved:</b> Training was offered to all relevant front line staff and managers and delivered during November and December 2015.</li> </ul> <p>Throughout November and December 2015 the Complaints Team ran a series of three workshops on the complaints procedure. The target audience were children's services staff who were new to Harrow or children's services staff who had not previously received complaints training or felt that they would benefit from refresher training. The aim of the workshops was to enable staff to gain knowledge of the social services complaints procedure and regulations and how that impacts upon the work that they do.</p> <p><b>Key action:</b> To explore ways of raising awareness and encouraging take up of the complaints procedure from children and young people</p> <ul style="list-style-type: none"> <li>• <b>Outcome achieved:</b> The findings of research carried out during summer 2016 will be presented at the sub-committee meeting .</li> </ul>

<b>4</b>	<b>Priorities for 2015/16:</b>
	<ul style="list-style-type: none"> <li>• To ensure that on time stage 1 complaint response rates continue to exceed the local target of 75%</li> <li>• To continue the core offer of training for front line staff and managers on complaint handling.</li> <li>• To update the complaints database to reflect the new teams within the People Directorate</li> <li>• To update complaints literature specifically aimed at children and young people, but with active involvement of younger people in the design, text and production.</li> <li>• To explore ways of raising awareness and encouraging take up of the complaints procedure from children and young people</li> </ul>
<b>5</b>	<b>Stage 1 Complaints:</b>
<b>5.1</b>	<b>Stage 1 Complaints Overall Activity</b>  <b>Table 3</b>





### Stage 1 Complaints

	2013/14	2014/15	2015/16
Education & Commissioning	6	8	7
Targeted Services	56	56	48
Special Needs Services	6	9	8
Early Intervention Services	9	N/A	N/A
<b>Total</b>	<b>77</b>	<b>73</b>	<b>63</b>

**Key message:** Almost inevitably Targeted Services attracts a higher level of complaints. It is a service area where families are most likely to be in conflict with, or challenge the Council about child care issues, e.g. child protection.

The table shows a fall in the number of complaints which has been mainly due to the efforts made to resolve representations at an early stage, particularly within Targeted Services over the past two years. The fall in the service may also be partly the result of an increase in the number of directly employed social workers compared to agency social workers. It could also reflect improvements within the service. The number of complaints for Education & Commissioning and for Special Needs Service has remained at a similar average level.

The Complaints Team has been carrying out research into the barriers for complaints and considering ways in which to increase awareness of the complaints process amongst service users, family members, carers, advocates etc. An update of the research will be provided at the sub-

committee meeting.

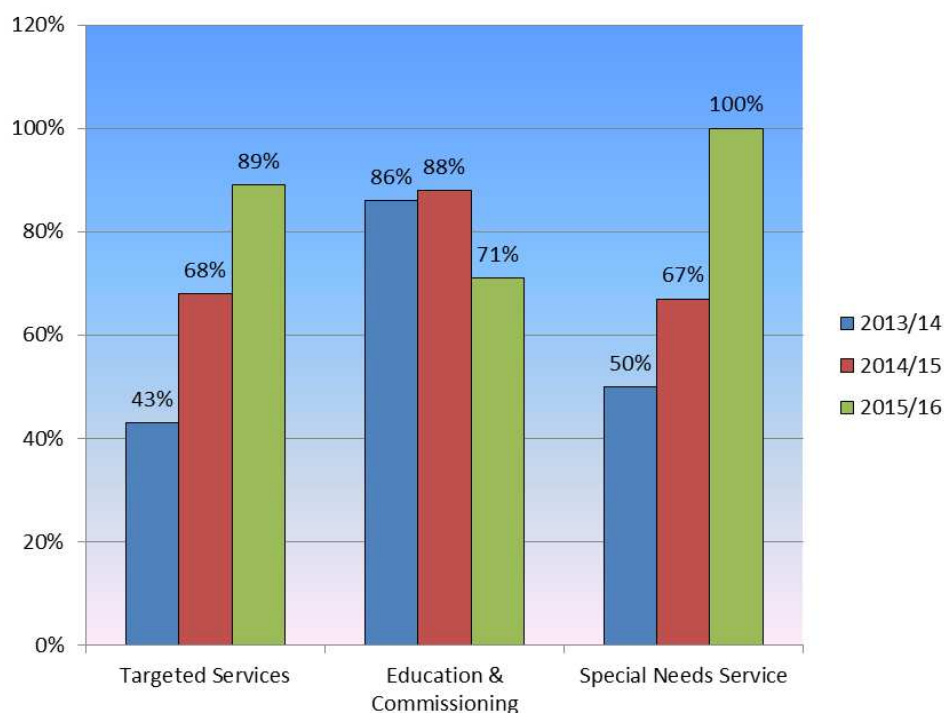
Services within Early Intervention were transferred to Targeted Services in 2014.

Additionally, there were 90 MP and Councillor enquiries managed by the Complaints team, which is a decrease from 110 in the previous year. This is attributable to the fact that there were 24 fewer enquiries regarding school places. Possible explanations for this decrease include the schools expansions programme and a change in parental expectations particularly as media reports have highlighted that a relatively large proportion of children in London and the South East do not secure their first preference school for both primary and secondary schools.

MP and Councillor enquiries, on behalf of constituents, varied in nature and it is not possible to determine if they would have actually led a formal complaint. Nevertheless, the Complaints Team were able to assist in resolving issues and providing specific information to answer queries.

## 5.2 Stage 1 Response Times

**Table 4**



**Key message:** There has been a significant increase in the level of stage 1 complaints completed on time during 2015/16 compared to the previous year.

The overall level of on time complaints during 2015/16 was 88%, which is an increase from 70% in 2014/15.

**Analysis:** On time response rates for Targeted Services (up from 68% to 89%) and Special Needs Service (up from 67% to 100%) showed particular improvement. There was a fall for Education & Commissioning (down from 88% to 71%) but it is important to note that this is because only two of the seven stage one complaints were not responded to on time.

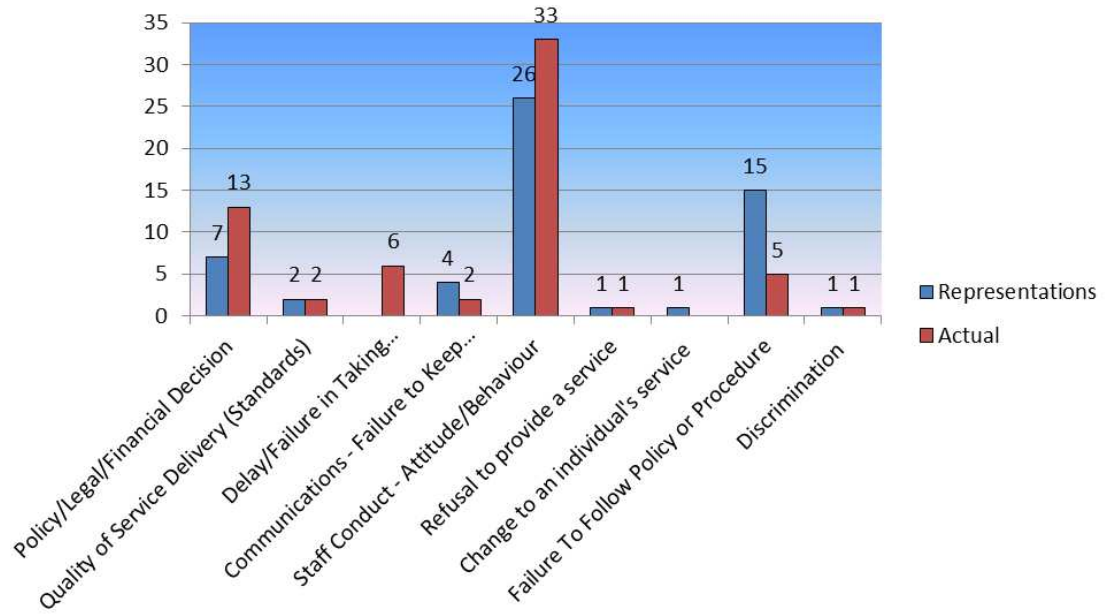
**Key action 1:** To continue to exceed the 75% local target timescales for on time stage 1 complaints throughout 2016/17.

**5.3 Stage 1: Nature of Complaints**

**Table 5**

	Targeted Services	Education & Commissioning	Special Needs Service	Total
Allocation of Keyworker				
Breach of Confidentiality				
Change To Service - Withdrawal/Reduction				
Communications - Failure to Keep Informed/Consult	1	1		2
Delay/Failure in Taking Action/Replying	1	3	2	6
Discrimination by an Individual				
Discrimination By a Service		1		1

	Level of Service (e.g. opening times)				
	Failure to follow policy/procedures	5			5
	Policy/Legal/Financial Decision	11		2	13
	Quality of facilities/Health Safety				
	Quality of Service Delivery (Standards)	2			2
	Refusal To Provide A Service	1			1
	Staff Conduct - Attitude/Behaviour	27	2	4	33
	Total	48	7	8	63
	<b>Examples of complaints by category:</b>	<b>2015/16 examples</b>			
	Refusal to provide a service	Not having kitchen facilities replaced by Children's Services			
	Communications etc	Not providing information of services regarding day care activities			
	Delay, etc	Delay in finding a school place			
	Failure to follow policy/procedure	Failure to remove individual from elective education list			
	Policy/Legal/Financial decision	Charter funds for leaving care were not provided on time			
	Quality of service delivery	Service not dealing with raised concerns to parents satisfaction			
	Staff conduct – attitude/behaviour	Staff member did not arrange a requested appointment			
	<p><b>Analysis:</b> Overall there has been little change in the distribution of complaints. Given the nature of the work undertaken by child care teams the categories with the highest levels are as expected.</p> <p>NB: The pattern of distribution across complaint categories is relatively similar in both representations and all formal complaints.</p>				
	<b>Table 6</b>				



**5.4 Stage 1: Complaints Outcomes**

**Table 7**

	Not Upheld			Partially Upheld			Upheld			Total		
	15/16	14/15	13/14	15/16	14/15	13/14	15/16	14/15	13/14	15/16	14/15	13/14
Education & Commissioning	5	5	5	1	2	0	1	1	1	7	8	6
Targeted Services	26	27	30	11	17	16	8	12	10	45	56	56
Special Needs	5	5	4	1	3	1	2	1	1	8	9	6
Early Intervention	N/A	N/A	2	N/A	N/A	5	N/A	N/A	2	N/A	N/A	9
<b>Total</b>	<b>36</b>	<b>37</b>	<b>41</b>	<b>13</b>	<b>22</b>	<b>22</b>	<b>11</b>	<b>14</b>	<b>14</b>	<b>60</b>	<b>73</b>	<b>77</b>

Total of overall Stage 1 outcomes, by percentage	60% 50% 53%	22% 31% 29%	18% 19% 18%	
<p><b>Analysis:</b> The proportion of complaints that have been upheld has remained at a similar level for the past 3 years at 18% or 19%. There have been changes in the proportion of complaints that have been not upheld, which was 50% during 2014/15 but increased to 60% during 2015/16. The level of partially upheld complaint during the same period fell from 31% to 22%.</p> <p>Since 2013/14 managers and staff within service areas and the Complaints Team have been encouraged to adopt a more balanced and open approach to complaints, where concerns from service users are recognised and receive appropriate responses. The need to listen to complainants and adopt a less defensive approach when reflecting on practices and making decisions on the outcomes of each complaint, does appear to have led to an increase in service user satisfaction. This is evidenced by the fall in stage 2 complaints.</p> <p>The Complaints Team has also offered further meetings after stage 1 to explain in more detail why complaints have not been upheld and to explore ways in which services can work with service users and their families to resolve any outstanding issues. This has been a new and effective area of engagement over the past 18 months.</p>				
6	<b>Stage 2 Complaints</b>			
6.1	<b>Percentage of Complaints escalating to Stage 2 (2015/16)</b>			
<b>Table 8</b>				
Service	Stage 1	Stage 2	% escalation	
Education & Commissioning	7	0	0%	
Targeted Services	48	4	8%	
Special Needs	8	0	0%	
Total	63	4	6%	
<p><b>Key message:</b> In general, escalation rates are at a relatively low level. Only 6% of stage 1 complaints went on to be considered at stage 2</p> <p><b>Analysis:</b> All of the four stage 2 complaints were for Targeted Services, which reflects the difficult statutory social work undertaken by the service.</p>				

	The Council informs all complainants of their right to escalate their complaints at each stage of the complaints process.			
<b>6.2</b>	<b>Escalations to stage 2 trend over time</b>			
	<b>Table 9</b>			
	Service	Escalations to Stage 2		
		2013/14	2014/15	2015/16
	Education & Commissioning	0%	11%	0%
	Targeted Services	17%	5%	8%
	Special Needs	16%	25%	0%
	Early Intervention	11%	N/A%	N/A
	Total	15%	8%	6%
	<p><b>Key message:</b> There has been a significant fall in the escalation rate of stage 2 complaints from stage 1, as a result of efforts to improve satisfaction.</p> <p><b>Analysis:</b> The proportion of stage one complaint that escalated to stage two decreased from 15% in 2014/15 to 8% in 2014/15 and then down to 6% in 2015/16. This has been in due to the work carried out in resolving complaints earlier via informal resolution (representations) and because a larger proportion of stage 1 complaints are upheld or partially upheld.</p>			
<b>6.3</b>	<b>Stage 2 Outcomes 2015/16</b>			
	<b>Table 10</b>			
	Service	Not Upheld	Partially Upheld	Upheld
	Education & Commissioning	1	0	0
	Targeted Services	2	1	0
	Special Needs	0	0	0
	Total [Grand Total = 4]	3	1	0
	<p><b>Analysis:</b> During 2015/16 three stage 2 complaints were not upheld and the remaining complaint was only partially upheld. In that case the Independent Investigating Officer found against the Council because a client was not provided with a copy of Child Protection Conference minutes.</p>			

6.4	<b>Stage 2 Response Times of known outcomes Table 11</b>				
	Service	Within Timescale 2015/16 (2014/15)	Over Timescale 2015/16 (2014/15)	<p><b>Context:</b> At stage 2, there is more emphasis on thoroughness than speed. The complaints team remind Independent Investigating Officers of the need to consider timescales.</p> <p><b>Analysis:</b> Of the four stage two complaint investigations in 2015/16, two were completed over the time limit due to pre planned staff annual leave.</p>	
	Education & Commissioning	(0)	1(1)		
	Targeted Services	2(1)	1(2)		
	Special Needs	(0)	(2)		
	Total	2(1)	2(5)		
6.5	<b>Stage 2: Nature of Complaints Table 12</b>				
		Targeted Services	Education & Commissioning	Special Needs Service	Total
	Allocation of Keyworker				
	Breach of Confidentiality				



	Change To Service - Withdrawal/Reduction				
	Communications - Failure to Keep Informed/Consult				
	Delay/Failure in Taking Action/Replying				
	Discrimination by an Individual				
	Discrimination By a Service				
	Failure To Follow Policy or Procedure				
	Level of Service (E.g. Opening Times)				
	Loss or Damage to property				
	Policy/Legal/Financial Decision				
	Quality of facilities/Health Safety				
	Quality of Service Delivery (Standards)				
	Refusal To Provide A Service				
	Staff Conduct - Attitude/Behaviour	4			4
	Total	4			4
<b>7</b>	<b>Stage 3 Complaints:</b>				
	One new complaint was escalated to stage 3 in 2015/16 compared to two in 2014/15. This found in favour of the Council and did not uphold the complaint.				
<b>8</b>	<b>Ombudsman (LGO) Complaints</b>				
<b>8.1</b>	<b>Complaints made to the LGO</b>				
	<b>Table 13</b>				
	Service	No finding against Council	Partial finding	Total	
	Targeted Services	1	1	2	
	Special Needs	1		1	
	<p><b>Analysis:</b> While the Council received no new complaints from the (LGO) during 2015/16, the above outcomes of complaints that had been referred from the LGO prior to 1<sup>st</sup> April 2015 were fed back to the council.</p> <p>The LGO concluded that in two cases (<i>one which was a joint response with the Parliamentary and Health Ombudsman</i>) that there was no evidence of fault with the Council. In the remaining case the LGO partially found against the Council because of poor communication and lack of clarity about the eligibility status.</p>				
<b>9</b>	<b>Escalation comparison over time:</b>				
	<b>Table 14</b>				
		Stage 1	Stage 2	Stage 3	LGO
	2015/16	63	4	1	0
	2014/15	73	6	2	3
	2013/14	77	11	1	5

	<p><b>Analysis:</b> The escalation rate between stage 1 and 2 was at 6% in 2015/16, which compares to 8% in 2014/15 and 14% in 2013/14.</p> <p>Overall only 4% of stage 1 complaints in 2014/15 went on to LGO referral, compared to 6% in 2013/14, there were no referrals in 2015/16.</p>				
<b>10</b>	<b>Compensation/Reimbursement Payments:</b>				
	<p>There were no compensation awards offered by the Council in 2015/16. This compares favourably with the one compensation award of £1,000 in 2014/15. During 2013/14 there were four such awards between £250 and £1,000. This indicates that 2015/16 has been a year without significant errors being identified and a further improvement on the previous year.</p>				
<b>11</b>	<b>Mediation and Alternative Dispute Resolution:</b>				
	<p>During 2015/16 seven potential stage 2 complaints were resolved by the Complaints Team facilitating a meeting or mediation between complainants and Children's Services.</p> <p>One of the mediation meetings centred around a child looked after who was concerned about the support being provided and the way he was made to feel by Children's Services. The young person was unhappy with the response they had received to their stage 1 complaint and a mediation meeting was held between the young person who was supported by their advocate and the Head of Service.</p> <p>The complaint was resolved to the young person's satisfaction and they thanked the Complaints Team for their input. At the mediation meeting the young person was able to share their experience and perception of the Leaving Care Team. The Head of Service then shared this experience with the Team. It was agreed that the service would fund a tutor to assist the young person with an A level to help them achieve their goal of going to university.</p>				
<b>12</b>	<b>Joint NHS and social care complaints</b>				
	<p>During 2015/16 one stage one complaint was carried out jointly between Harrow Council and NHS bodies. The complaint was not upheld. There were no joint investigations in 2014/15.</p>				
<b>13</b>	<b>Learning Lessons/Practice Improvements</b>				
	<p>Examples of lessons learnt/practice improvements include the following:</p>				

	<ul style="list-style-type: none"> <li>• Providing more substantial warnings and instructions on cases involving domestic violence to prevent unintended release of even vague non direct information to abusive spouse. Children’s Service Managers were involved in discussion leading to service delivery message for relevant teams.</li> <li>• Social workers provide more detail and explanation in the exact role of their service to help inform parents and involved parties and make them feel more at ease with the service and help avoid misconceptions.</li> <li>• Social workers to ensure accurate and correct information on assessments to allow their findings to not be undermined by this and to provide confidence to parents.</li> <li>• Feedback provided to all relevant Independent Reviewing Officers to reconfirm practice that Chair’s reports and recommendations not be sent to incorrect parties due to report or system errors.</li> <li>• Ensure system is checked for personal details to be up to date to ensure effective correspondence and protection of data.</li> </ul>
<b>14</b>	<b>Compliments</b>
	<p>The majority of service users that compliment staff and the council provide their feedback through verbal communication in care meetings or by phone. There were 27 written compliments sent to Children’s Services that were fed back to the Complaints Team during 2015/16 including the following:</p> <p>A Service User complimented a Children in Need Social Worker, “I would like to compliment and say thank you to [Social Worker] for being very helpful, care and understanding the situation. He made his best to find a solution for me and giving me a feed back. I had the best quality of service.”</p> <p>A No Recourse to Public Funds Officer was praised by a client for taking the time to fully understand the needs of the parents and children and finding suitable accommodation to meet needs.</p> <p>A Substance Misuse Worker from an external organisation praised a Social Worker who had clearly worked very hard to plan and prepare for the mother’s return. The mother felt very supported at a crucial time. The social worker recognised risks but handled the case with compassion and professionalism.</p> <p>A Case Conference Chair and Multi Disciplinary Core Group Members praised a social worker for providing a very comprehensive, good quality social worker report and excellent social work practice with the family.</p> <p>A Guardian and Magistrate praised two social workers in the Children in Need Team for providing quick, clear and reliable instructions throughout the proceedings.</p> <p>Barnado’s complimented an exceptional Educational Health and Care Plan created by a Harrow Caseworker. In particular, that “through having the opportunity to view several EHC plans across various boroughs it is so pleasing to see such a comprehensive document and one that has identified positive and realistic outcomes</p>

for the young person.”

Parent of a home schooled child fed back that “having social services involved in our lives was initially so scary and dare I say it embarrassing. In the last few months we've got to know you as such a special, caring, kind and supportive person that you are. I have been able to tell you all our goings on as I have felt you were more than a social worker, I've seen you as a friend. Because it is so obvious you have worked in your capacity as a social worker not for the money or the job title, It's clear you really do care about people as individuals and their family units. You always made us feel so comfortable around you!!! We have never felt you looking down on us or judging our situation. It really feels you have worn your heart on your sleeve.”

A Residential Unit Manager complimented the council for it's “excellent mentoring service, it has worked really well for their young people who have had mentors”.

A Social Worker student placed at Harrow Council fed back “I have met the kind of social worker I want to become! She has been one of other professionals that have inspired me to switch my choice of elective in my final placement from adults to children's!. She is such a warm, inclusive, authentic and encouraging person I have seen evidence that her systemic practice is effective. She believes so strongly in using person centred and strengths perspectives that she individualises and is inventive with her approaches with each family!”.

**15 Equalities Information**

**15.1 Equalities Information – Stage 1 Complaints**

Table 15	2015/16	2014/15
Gender of Service User:		
Male:	28 (44%)	31 (42%)
Female:	29 (46%)	35 (47%)
Unknown/Not Recorded	0 (0%)	1 (1%)
More than one child	6 (10%)	6 (8%)

**Analysis:** No concerns noted

Table 16	2015/16	2014/15
Ethnic Origin of Service User:		
ASIAN OR ASIAN BRITISH		
Afghani		
Bangladeshi		1
Indian	2	4
Pakistani	2	3
Sinhalese		
Sri Lankan Tamil	2	
Other Asian	3	4
BLACK/BLACK BRITISH		

African	7	8
Caribbean	8	3
Somali		
Other Black	2	4
OTHER ETHNIC GROUP		
Arab		1
Chinese	1	
Iranian		
Iraqi		
Kurdish		
Lebanese		
Other Ethnic Group	2	2
MIXED		
White & African		1
White & Caribbean	2	3
White & Asian	3	1
Other Mixed	8	5
WHITE		
Albanian		
British	14	15
Irish		2
Gypsy/Roma Traveller		
Irish Traveller		
Polish		
Romanian		
Serbian		
Other White		1
PREFER NOT TO SAY/NOT KNOWN	7	15

Table 17 Origin of Complaints	2015/16	2014/15
Service User	5	7
Parent/relative	55	59
Advocate	3	4
Solicitor	0	0
Friend/other	0	3

**Analysis:** It is to be expected that most complaints are made on behalf of a child or young person. There is a similar spread of complaints in terms of their origin in the past two years.

A special school has been commissioned to design a new complaints leaflet for children and young people. The sixth form within the school will also consider changes in the text.

Upon production of this leaflet and the findings of the research into the barriers to complaints, further efforts to increase the awareness amongst children and young people and relevant gatekeepers of the complaints process to encourage more complaints will be undertaken. Further

	discussions with the Children's Participation Co-ordinator and Youth Participation Workers, the Advocate and Disability Officer at Harrow Association for Disabled People, who have a Service Level Agreement to provide an advocacy service for children and young people will take place.		
<b>15.2</b>	<b>Equalities Information – Stage 2 Complaints</b>		
	Table 18 Gender of Service User:	2015/16	2014/15
	Male:	2 (50%)	2 (33%)
	Female:	2 (50%)	3 (50%)
	More than one child		1(17%)
	Table 19 Ethnic Origin of Service User:	2015/16	2014/15
	African		1
	Chinese	1	
	Other Black	1	1
	Caribbean		1
	Other Asian	2	
	White & Black Caribbean		1
	Indian		1
	Not known/stated		1
	Total	4	6
	Table 20 Origin of Complaints Service User	2015/16	2014/15
	Parent/relative	4	5
	Advocate		1
	Solicitor		
	<b>Analysis:</b> No concerns noted		

## 16. The Complaints Process explained:

This report provides information about complaints made during the twelve months between 1 April 2015 and 31 March 2016 under the complaints and representations procedures established through the Representations Procedure (Children) Regulations 2006, and the Council's corporate complaints procedure.

All timescales contained within this report are in working days.

Text in quotation marks indicate direct quotations from the 2006 Regulations or Guidance unless otherwise specified.

### 16.1 What is a Complaint?

“An expression of dissatisfaction or disquiet in relation to an individual child or young person, which requires a response.”

However,

“The Children Act 1989 defines the representations procedure as being for ‘representations (including complaints)’.”

Therefore both representations and complaints should be managed under the complaints procedure (unlike for Adult social services, where only complaints need be captured).

### 16.2 Who can make a Complaint?

The child or young person receiving or eligible to receive services from the Council or their representative e.g. parent, relative, advocate, special guardian, foster carer, etc:

“The local authority has the discretion to decide whether or not the representative is suitable to act in this capacity or has sufficient interest in the child’s welfare.”

### 16.3 What the complaints team do:

- Letter-vetting
- Liaising with services to try resolve the issue informally
- Mediation
- Training
- Raising awareness / staff surgeries
- Learning facilitation and agreed actions monitoring
- Deliver a unique complaints support SLA to schools
- Advocacy commissioning and support

### 16.4 Stages of the Complaints Procedure

The complaints procedure has three stages:

**Stage 1:** This is the most important stage of the complaints procedure. The Service teams and external contractors providing services on our behalf are expected to resolve as many complaints as possible at this initial point.

The Council’s complaints procedure requires complaints at stage 1 to be responded to within ten working days (with an automatic extension to a further ten days where necessary).

**Stage 2:** This stage is implemented where the complainant is dissatisfied with the findings of stage 1. Stage 2 is an investigation conducted by an independent external Investigating Officer for all statutory complaints and an internal senior manager for corporate complaints. A senior manager adjudicates on the findings.

Under the Regulations, the aim is for stage 2 complaints falling within the social services statutory complaints procedures to be dealt within 25 days, although this can be extended to 65 days if complex.

**Stage 3:** The third stage of the complaints process is the Review Panel under the statutory procedure. Under the corporate complaints process, the Chief Executive reviews the complaint.

Where complainants wish to proceed with complaints about statutory Children's Services functions, the Council is required to establish a complaints Review Panel. The panel makes recommendations to the Corporate Director who then makes a decision on the complaint and any action to be taken. Complaints Review Panels are made up of three independent panellists. There are various timescales relating to stage 3 complaints. These include:

- setting up the Panel within 30 working days;
- producing the Panel's report within a further 5 working days; and
- producing the local authority's response within 15 working days.

### **Local Government Ombudsman**

The Ombudsman is an independent body empowered to investigate where a Council's own investigations have not resolved the complaint.

The person making the complaint retains the right to approach the Local Government Ombudsman at any time. However, the Ombudsman's policy is to allow the local authority to consider the complaint and will refer the complaint back to the Council unless exceptional criteria are met.

### **Financial Implications**

There are no specific budget issues associated with this report. All compensation payments are agreed by Service Managers and are funded within existing budgets.

### **Performance Issues**

There are no specific particular performance issues associated with this report.

### **Environmental Impact**

N/A

### **Risk Management Implications**

Risk included on Directorate risk register? No

Separate risk register in place? No



## **Equalities implications**

N/A

## **Corporate Priorities**

The Council's vision:

Working Together to Make a Difference for Harrow

- **Making a difference for the vulnerable**
- **Making a difference for communities**
- Making a difference for local businesses
- **Making a difference for families**

## **Section 3 - Statutory Officer Clearance**

The Corporate Director determined the report did not require Financial or Legal clearance.

## **Section 4 - Contact Details and Background Papers**

**Contact:** Peter Singh, Complaints Manager, Adults & Children's Complaints, 020 8424 1161

**Background Papers:** None

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**REPORT FOR: OVERVIEW AND  
SCRUTINY COMMITTEE**

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<b>Date of Meeting:</b>	20 Sept 2016
<b>Subject:</b>	Local Assurance Test [LAT] Review
<b>Responsible Officer:</b>	Chris Spencer Corporate Director, People Services
<b>Scrutiny Lead Member area:</b>	Policy Lead Member, Children & Families - Councillor Richard Almond Policy Lead Member, Community, Health and Wellbeing - Councillor Chris Mote
<b>Exempt:</b>	No
<b>Wards affected:</b>	Please list Ward(s). All
<b>Enclosures:</b>	Appendix 1: 25.06.16 LAT – Progress Review Letter to M. Lockwood  Appendix 2: Harrow TEASC Report March 2016

## Section 1 – Summary and Recommendations

This report sets out further progress made since the Local Assurance Test (LAT) Progress Review undertaken in April 2016, by the Local Government Association (LGA) following the establishment of the People Services Directorate.

### **Recommendations:**

For information and to note progress made.

## Section 2 – Report

### Background

Prior to the establishment of the People Services Directorate an independent Local Assurance Test [LAT] was commissioned from the Local Government Association [LGA] to consider the proposals in the light of statutory guidance for the roles of Director of Children Services and the Lead Member. This was undertaken in May 2015, by the LGA Children's Improvement Advisor. It concluded that the proposals did meet the local assurance test and made a number of recommendations to support a smooth transition to the new directorate.

In accordance with one of the recommendations, the respective LGA Improvement Advisors for Children and Adults Services were commissioned to undertake an early review of progress over the nine months following, to confirm that good progress had been made to date. This review also looked into the findings and recommendations from the Towards Excellence in Adults Social Care [TEASC] Review that was undertaken in March 2016.

The April 2016 LAT Review considered progress made from the original LAT (May 2015), commissioned again from the LGA, and with the same two senior managers. Documentary evidence and a series of meetings with key staff were agreed in advance.

### **Current situation**

The LGA letter (25.04.16\_Appendix A) summarises the findings on progress made against the original 5 key recommendations from May 2015, and also identified 4 further key recommendations [KR].

Progress against the four new recommendations are summarised below:

**KR1 (new):** *Develop an integrated Directorate delivery plan (with a high level 'Plan on a Page' format) setting out clear priorities, programmes of work, measurable qualitative and financial impacts that demonstrate how and when outcomes will be achieved – whether from integration of adults and childrens' services; from delivering all age commissioning strategies; or from service transformation.*

- 27.09.16 Harrow Social Work Conference (Adults and Children's) in advanced stage of planning including draft programme and place bookings being taken.
- Principal Social Worker for Adults and Children (joint) – recruitment in progress. [Internal expressions of interest advert closed 27.08.16, interviews planned week beginning 03.09.16].
- Integrated 0-25 years Children and Young Adults Disability Service established, including Away day for staff held (May 2016). Managing change process continues.
- Sept 2016 Local Safeguarding Children Board [LSCB] independent audit of Children's cases within integrated disability service – commissioned externally.
- Increase the take up of personal budgets /Direct payments ,especially for younger people to provide greater choice and control and this will be achieved by streamlining the current process by 31.03.17.

**KR2 (new):** *Ensure that there is effective oversight of the management of key performance risks in Children's Services.*

- Multi-agency Safeguarding Hub [MASH] second MASH review completed July 2016 identified significant improved progress;
- First Response Team staffing, workload and performance are kept under active review through regular audits;
- Proposals to develop a new Early Intervention Service [EiS] model have been completed; Cabinet Report 14.07.16 on Redesign; formal staff consultation closed 31.08.16. The proposed model will ensure that the Local Authority retain a comprehensive early intervention offer.
- Maintenance of effective relations with Schools despite decreasing capacity

**KR3 (new):** *Volunteer for a London ADASS peer review in 2016/17 on the new integrated approach to commissioning, focussing on forecasting local needs and shaping the market to provide services for vulnerable children and adults to provide greater choice and reduce costs. (Building on the TEASC recommendation to self-assess using the Commissioning for Better Outcomes tool).*

- The integrated commissioning (Adults and Children's) service has been established and, from July 2016, sits within People Services, Divisional Director level;
- Volunteering for ADSS Peer Review will be explored later in 2016/17, once the realignment has embedded;
- Divisional Director of People Services Strategy: Commercialisation and Regeneration remit is looking at regeneration, commissioning and commercialisation and working closely with corporate commissioning as a one council approach;
- The new integrated service will review all strategies and market position statement to further develop and refine activity, building on strategic vision.

**KR4 (new):**

*Develop joint plans with health partners, building on the Better Care Fund work, to meet health and social care integration ambitions that transform services, improve user experience and deliver savings across the system.*

- ❖ The funding for the protection of adults social care within the Better Care Fund [BCF] has been fully agreed and the Q1 template is being reviewed by the Council and the Clinical Commissioning Group [CCG] and progress will be reported;
- ❖ Identified milestones within BCF and good progress being made against milestones and the progress will be reported once the template is agreed;
- ❖ Health and Wellbeing Board closely monitor BCF targets;

- ❖ BCF will continue to maintain and protect social care provision and explore further integration with health wherever possible: including through the Sustainability and Transformation Plan [STP] for NW London and the local Harrow STP;
- ❖ Future In Mind Cabinet Report will be presented Oct 2017 concerning joint procurement of clinical services to promote the mental health needs of vulnerable children in the Borough;
- ❖ Active member of the NW London Health cluster and committed to the STP and the exploration of a local Accountable Care Partnership [ACP].

## **Financial Implications**

There are no new specific budget issues associated with this report. However, the new People Services Directorate continues to realise strategic advantages which will lead to efficiencies and improved quality of services.

## **Performance Issues**

There are no new specific particular performance issues associated with this report. However, the Review shows that statutory responsibilities across both Children and Adult Services are being adequately met.

## **Environmental Impact**

Not applicable

## **Risk Management Implications**

Risk included on Directorate risk register? EIS Redesign - Yes

Separate risk register in place? No

## **Equalities implications**

The Directorate provides services to a diverse group of people. Ensuring that support is provided to those who are vulnerable and in need is of the utmost priority and was given a high profile when considering the results of the assurance review and implementing its recommendations.

## **Council Priorities**

The Council's vision:

### **Working Together to Make a Difference for Harrow**

People Services Directorate contributes to all the administration's priorities, particularly Making a difference for the vulnerable and families.

- **Making a difference for the vulnerable**
- **Making a difference for communities**

- Making a difference for local businesses
- **Making a difference for families**

### Section 3 - Statutory Officer Clearance

Name: Jo Frost	<input checked="" type="checkbox"/>	on behalf of the Chief Financial Officer
Date: .01.09.16		
Name: Sarah Wilson	<input checked="" type="checkbox"/>	on behalf of the Monitoring Officer
Date: 02.09.16		

<b>Ward Councillors notified:</b>	NO
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### Section 4 - Contact Details and Background Papers

#### Contact:

Visva Sathasivam, Head of Adult Social Care, Tel: 02087366012  
 Paul Hewitt, Divisional Director, Children & Young People Service, Tel:  
 02087366978

**Background Papers:** List **only non-exempt** documents (ie not Private and Confidential/Part II documents) relied on to a material extent in preparing the report (eg previous reports). Where possible also include a web link to the documents.

- 05.06.15 Proposals to establish a People Directorate: Independent Local Test of Assurance. LGA outcome letter to M. Lockwood  
<https://www.harrow.gov.uk/www2/documents/s128871/Annexe%203%20-%20Local%20Assurance%20Test%20Feedback%20Letter.pdf>
- 17.06.15 Cabinet Report on Senior Management Restructure  
<https://www.harrow.gov.uk/www2/documents/s128811/Snr%20Management%20Restructure%20-%20Main%20Report.pdf>

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25<sup>th</sup> April 2016

Michael Lockwood,  
Chief Executive,  
Harrow Council.

Dear Michael,

## **LOCAL ASSURANCE TEST – PROGRESS REVIEW**

1. On behalf of the Local Government Association (LGA) we are writing with the findings from the recent Local Assurance Test (LAT) Progress Review, following the establishment of the People Directorate in October 2015. The review programme was very well organised. We received a positive welcome and excellent engagement and support throughout the process. We were impressed by people's transparency and commitment to improving the quality of life and life chances of residents in Harrow.

### **Background**

2. In May 2015 the LGA Children's Improvement Adviser carried out an independent 'local test of assurance' in respect of the council's proposals to establish a People Directorate as part of a restructuring of the senior management of the council. The report concluded that the council's proposals, as set out in the Harrow Council Senior Management Restructure Consultation Pack, met the requirements of the 'local test of assurance'. The report noted that it would be important to keep consideration of the 'test of local assurance' under review as the council took forward implementation, particularly having regard to the key risks and their mitigation.
3. The report made five key recommendations:
  - i. Establish and appoint the role of Corporate Director – People as soon as possible, ensuring that the person appointed has recent, relevant and successful experience in leading Children's Services.
  - ii. Ensure that there is a clear implementation plan for the establishment of the People Directorate. The plan needs to give detailed consideration to the identification and mitigation of key risks. The plan needs to incorporate immediate actions and phased development of the long-term opportunities arising from integration. The plan must ensure a close match between priorities and resources linked to the three-year medium financial strategy.

- iii. Ensure that there is dedicated change management capacity to support the development of the new directorate, working as part of an overall corporate change management process.
  - iv. Ensure that the relevant Safeguarding Boards and Scrutiny provide timely and effective scrutiny of the progress and impact of the People Directorate, drawing on the views of the workforce and service users to inform their understanding.
  - v. Maintain the 'test of local assurance' as a 'live' process and commission a formal review after twelve months of the operation of the Directorate.
4. In accordance with the final recommendation, the council commissioned the respective LGA Improvement Advisers for Children's and Adult Services to undertake an 'early' review of progress over the past nine months

### **Progress Review Process**

5. The process has included consideration of key background documents and performance information, along with interviews on site. The review also draws on the findings and recommendations from the recently completed 'Towards Excellence in Adult Social Care' review that was undertaken from 15<sup>th</sup>-17<sup>th</sup> March 2017.
6. For the purposes of the progress review it was agreed that we would report on:
- i. progress in response to the five recommendations in the 2015 LAT Review;
  - ii. current performance in Children's and Adults Services identifying, any key performance risks
  - iii. progress with other areas for development identified in the 2015 report, including:
    - the establishment and working of an integrated senior leadership team in the People Directorate and its approach to leadership of change;
    - evidence of service improvement through a move to an integrated directorate (for example an all-through service for disabled children and adults);
    - development of the directorate's commissioning functions and the council's wider commissioning network;
    - the Directorate's financial strategy;
    - workforce development;
    - impact on partner agencies and multi-agency partnerships
    - the role and work of Scrutiny in the development and evaluation of the new Directorate's work.

## Key Findings

### Progress against the 2015 Recommendations

(A more detailed review of the response to the key recommendations is provided at [Appendix 1.](#))

7. The council ensured that a timely appointment was made to the role of Corporate Director – People. Having taken up the role in October 2015, the Corporate Director has rightly focused on building effective relationships, securing ‘buy in’ for the vision, promoting staff engagement (notably with middle leaders), and securing incremental changes in line with the ‘direction of travel’. The Corporate Director is establishing an integrated senior leadership team with an increasing sense of shared direction and distributed leadership. That commitment is reflected in a number of joint projects that have either been completed or are underway. A digest of that activity, drawn from the council’s own progress report against the 2015 recommendations, is provided at [Appendix 2](#). The council’s review of progress highlights a number of areas of improved partnership working across the Directorate. Quarterly performance reports show a continuing focus on identifying and responding to key areas of performance risk. Progress has been more limited in relation to two of the recommendations from the 2015 report, the most important of which is the lack of a formal implementation plan for the new Directorate.

### Performance, Areas for Development and Risks

#### Children’s Services

8. Children’s Services continues to have a good understanding of its strengths, areas for development and key risks. There is a comprehensive, evidence-based, self-assessment (SEF) that is used as a working document to support service improvement. Evidence from the SEF and from the most recent Performance Board report suggest that there are a number of key vulnerabilities in respect of Children’s Services. These are:
  - operational weaknesses in the multi-agency safeguarding hub (MASH), with the risk that there is an ineffective response to changing risk and need with vulnerable children and families;
  - pressures arising from an increase in referrals, combined with recruitment difficulties in the First Response team, with the result that there is a reduction in both timeliness and quality of assessment and planning;
  - proposals to develop and implement a new Early Intervention Service (EIS) model from September 2016, with a full-year effect saving of £682k.
9. The review team has seen detailed and appropriate action plans to respond to these risks and key developments, with appropriate management oversight by the Corporate Director, Divisional Director and Lead Member. It will be important to ensure that there is appropriate challenge about the progress of these plans through the council’s Performance Board and the Harrow Safeguarding Children Board.

## **Adult Services**

10. Performance continues to be secure with risks appropriately identified and mitigated. The recent self-assessment using the Towards Excellence in Adult Social Care (TEASC) risk awareness tool, undertaken in March 2016, identified areas of strength, such as safeguarding, and areas of performance requiring further consideration. The TEASC review covered areas of: leadership and governance; performance and outcomes; commissioning and quality; national priorities and partnerships; resource and workforce management; culture and change. The review made a series of recommendations for further exploration, which this review endorses as these support the continuing improvement and development journey for the Peoples Directorate.
11. We support the recommendation that 'the focus on adult social care should remain high in the new Directorate in order that progress continues on wellbeing and prevention agendas and whole system working across health and social care' (see below) should continue to be a priority. This would support the delivery of the Peoples Directorate aspirations.

## **Other Areas for Development**

### **Evidence of Service Improvement through the new Directorate**

12. There is a shared view regarding the opportunities for transformational service improvement arising from the establishment of the Peoples' Directorate which could improve the experiences of vulnerable children and adults. Progress has been made in establishing an All Age Disabilities Service, with significant buy in from staff, who will be involved in a forthcoming Away Day to influence the development of new systems and policies. The desired outcomes for the service are ambitious and would benefit from being articulated in a delivery plan with SMART targets so that Members, staff, managers and service users can be clear when and how these outcomes are being achieved. This includes improving choice and control for service users and their families alongside delivering savings and efficiencies.
13. Other opportunities for transferring learning between Adults to Children's services were mentioned but it is too soon to see tangible and measurable benefits or impact e.g. adoption of personal budgets for children and young people; consistent application of Continuing Care criteria; improved transition service planning and delivery.

### **Commissioning**

14. Commissioning continues to be a key enabler of change and service improvement and there are plans for updating the Market Position Statement in September 2016, following the development of lifelong commissioning strategies for Carers, Supported Housing and People with Learning Disabilities and Autism. It is essential that this work is done to support the realisation of the Peoples' Directorate vision of a having a range of options available for service users to purchase from, especially given current risks in the local market.

15. The delivery plans for the Peoples Directorate strategies should consider how to translate forecasted needs and aspirations into procurement specifications e.g. specific number and size of lifetime homes for supported housing for vulnerable adults or families as part of the Harrow regeneration programme.

### **Directorate Financial Strategy**

16. The council's overall approach to the implementation of its budget strategy has moved away from a conventional directorate targets approach, with a more thematic approach in line with the priorities set out in the *Harrow Ambition Plan 2020*. This is reflected in the directorate's financial strategy through cross-cutting developments such as the Early Intervention Service Transformation and the development of lifelong commissioning strategies for vulnerable people. There remain some concerns about overall sustainability of the budget if these developments are unable to achieve the intended mix of quality improvement and saving, particularly the continuing short-term pressures in relation to recruitment of children's social workers, high placement costs, and impending changes to the schools budget.

### **Workforce Development**

17. The Corporate Director has rightly focused on building effective relationships, securing 'buy in' for the vision, and promoting staff engagement (notably with middle leaders). The front line staff directly affected by the changes (e.g. All Age Disability Services) were most articulate about the positive impact and more work may need to be done to ensure that all staff can see the benefits and the improved opportunities of the new organisational structure, to get their 'buy in' to support further transformational change.
18. There have been significant successes in increasing the stability of the workforce through permanent recruitment to posts. The staffing re-organisations have been completed and the new structures are in place. This provides a solid basis for undertaking further changes in practice to meet the objectives of the Peoples' Directorate.
19. Opportunities for bringing staff together across the Directorate, such as the social work conference in September are welcomed by front line staff and managers as evidence of the new collaborative culture. Anecdotally there is more networking across the Peoples Department and less of a silo culture: senior management is seen to model and support positive behaviour change.

### **Impact on partner agencies**

20. Relationships with health partners have improved, as evidenced by the 2016/17 Better Care Fund proposals. These provide a starting point for the local discussion about health and social care integration, which is a national imperative. Taking forward the TEASC recommendations regarding 'a greater focus on integration and the development of specific joint transformation plans... to address budget deficits in both health and social care as well as improving outcomes for people' is a critical next step to support the sustainability of the Peoples' Services Directorate.

## Conclusion

21. This review has considered evidence of progress only nine months after completion of the review of the Local Test of Assurance in June 2015, and only six months after the substantive appointment of the Corporate Director. In that short period it is important to acknowledge the extensive work to maintain and improve the performance of the key constituent services alongside the drive to promote a sense of shared direction and constructive partnership working across the directorate. There is significant evidence of that shared direction amongst senior and middle leaders, but less so amongst frontline practitioners. There is evidence of a lot of activity to promote joint development across the directorate but it lacks an overall strategic framework, operational plan, and outcome measures. As a result, Members and Senior Officers cannot be certain about the match of resources to priorities and have only a limited basis for evaluating the impact of changes arising from the establishment of the new Directorate.

In terms of meeting the Local Test of Assurance requirements, there continues to be major strength arising from the council's overall strategy (the *Harrow Ambition Plan 2020*) and its performance management arrangements. There continues to be good challenge and support from the Harrow Safeguarding Children and Safeguarding Adults Boards. The senior management arrangements in the People Directorate continue to ensure that there is a clear focus on improving performance and the management of risk in Children's and Adults Services.

## Key Recommendations

1. Develop an integrated Directorate delivery plan (with a high level 'Plan on a Page' format) setting out clear priorities, programmes of work, measurable qualitative and financial impacts that demonstrate how and when outcomes will be achieved – whether from integration of adults and childrens' services; from delivering all age commissioning strategies; or from service transformation.
2. Ensure that there is effective oversight of the management of key performance risks in Children's Services.
3. Volunteer for a London ADASS peer review in 2016/17 on the new integrated approach to commissioning, focussing on forecasting local needs and shaping the market to provide services for vulnerable children and adults to provide greater choice and reduce costs. (Building on the TEASC recommendation to self-assess using the Commissioning for Better Outcomes tool)
4. Develop joint plans with health partners, building on the Better Care Fund work, to meet health and social care integration ambitions that transform services, improve user experience and deliver savings across the system.

Yours sincerely,

John Harris (Children's Improvement Adviser, LGA)

Dr Adi Cooper OBE (Care and Health Improvement Adviser, LGA)



LB. HARROW – LOCAL TEST OF ASSURANCE – PROGRESS REVIEW		
PROGRESS ON RECOMMENDATIONS FROM 2015 REPORT		
	Recommendation	Progress
1	Establish and appoint the role of Corporate Director – People as soon as possible, ensuring that the person appointed has recent, relevant and successful experience in leading Children’s Services.	<b>Met</b>
<p><b>Comments:</b></p> <p>The Corporate Director (‘the Director’), People was appointed with effect from 1<sup>st</sup> October 2015. The Director has worked hard to promote a shared vision for the new Directorate and to model positive joint working. He has taken time to engage with staff in service areas outside his previous expertise and experience, to seek their views and to understand key service challenges. He has also taken the opportunity to fashion constructive working relationships with leaders from partner organisations, particularly in the NHS.</p>		
2	Ensure that there is a clear implementation plan for the establishment of the People Directorate. The plan needs to give detailed consideration to the identification and mitigation of key risks. The plan needs to incorporate immediate actions and phased development of the long-term opportunities arising from integration. The plan must ensure a close match between priorities and resources linked to the three-year medium financial strategy.	<b>Part Met - Limited</b>
<p><b>Comments:</b></p> <p>The council’s progress report records action in response to this recommendation as ‘partly met – on track’. The evaluation cannot fully support this view. It is clear that the People Services Senior Management Team have undertaken a great deal of activity to establish the new Directorate and can document actions that can be matched retrospectively to this recommendation in terms of initiatives to promote joint working or to manage risk. (See ‘People Services Directorate – Progress Report for Local Assurance Test 9 Month Review – March 2016’) There is not, however, an overall implementation plan and associated risk plan that is supporting the overall development of the Directorate, linked to the medium-term financial strategy. The lack of such a plan means</p>		

that it is more difficult to match priorities to resources, to ensure that complex changes are coordinated and programmed, that capacity is used to optimum effect, and that impact can be evaluated.		
<b>3</b>	Ensure that there is dedicated change management capacity to support the development of the new directorate, working as part of an overall corporate change management process.	<b>Met – On Track</b>
<b>Comments:</b>		
Specific project management capacity has been put in place to take forward key changes in the Directorate in its first months of operation. The particular areas of focus have been: management of the change process to establish the All-Age Disability Service, and corporate support for the Transformation of Early Help project. It will be important to identify further capacity for more substantial changes ahead – for example, the lifelong commissioning strategies for Carers, Supported Housing, and People with Learning Disabilities and Autism.		
<b>4</b>	Ensure that the relevant Safeguarding Boards and Scrutiny provide timely and effective scrutiny of the progress and impact of the People Directorate, drawing on the views of the workforce and service users to inform their understanding.	<b>Limited to date – some plans in place</b>
<b>Comments:</b>		
The council's progress report records the response to this recommendation as 'on track'. There have been reports to the respective Children's and Adults Safeguarding Boards but there has been no reporting to or involvement of Overview and Scrutiny to date. There are outline proposals to seek views from the workforce through the Annual Council Staff Survey 2016 and Social Work Health Check Surveys. A report to Overview and Scrutiny is planned for the next appropriate meeting in 'late Sept/Oct 2016'.		
<b>5</b>	Maintain the 'test of local assurance' as a 'live' process and commission a formal review after twelve months of the operation of the Directorate.	<b>Met</b>
<b>Comments:</b>		
The council has been proactive in seeking an early review of progress, enabling any emerging areas of risk or drift to be addressed quickly. It is a mark of the council's positive approach to learning, improvement and external challenge.		





## Appendix 2

### DIGEST OF COUNCIL'S REPORTED DEVELOPMENTS TO SUPPORT IMPLEMENTATION OF PEOPLE DIRECTORATE

**Children's** permanent staffing secured by 01.01.16:

- 1x Ch&YP Divisional Director, 6x Heads of Service [Troubled Families & Early Intervention most recently completed]
- Restructure of Education services on track. X2 Heads of Service leading on operational services and strategic planning will be in place from 1.4.16. (PN)
- x1 Head of Service for school improvement remains under review with schools until August 2016 (PN)
- Transformation of Early Help project: implementation planned Autumn 2016
- 14.10.15 Health & Wellbeing Board signed up to Disabled Children's Charter: progress report due Oct 2016
- HSCB is chaired by the Independent Chair and reports to Chief Executive, and to the Corporate Director of People Services (CR suggestion)
- Quarterly briefings on Safeguarding children to the Chief Executive, Leader and the portfolio holder (CR suggestion)
- From Dec 2015, the Harrow Couple Domestic Violence Programme, delivered in conjunction with the Tavistock Couples Centre for Relationships [TCCR].

**Harrow Ambitions 2020** (published Feb 2016):

Working Together to make a difference for Harrow – 3 priorities build a better Harrow;

be more business-like and business friendly; protect the most vulnerable and support families;

aligned Workforce & leadership values:

*be courageous; do it together; make it happen*

Realignment to secure synergies – ongoing

- Oct 2015 Harrow Council signed up to the British Sign Language Charter
- Single Integrated Adults & Children's Commissioning Team from 01.10.15 under Adults Social Care

Operational SNT transferred out to Community Directorate (Commissioning) from 01.10.15: strategic responsibility retained for eligibility etc.

- Family Information Service and Early Years operationally managed by Harrow School Improvement Partnership. EY restructure completed by Dec 2015.
- Development of All Age Disability pathway in good progress
  - Children with Disability Team management responsibility transferred to the Assistant Director of Adults Social Care on the 23.02.2016 to merge with the Adults Transition team to set up a 0 to 25 years of disability services for children and young people. (VS)
  - Managing change process is in place. Management staff consultation completed and structure agreed. Frontline staff are being consulted on an operational model and an Awayday has been arranged to ensure staff and service needs are identified. (VS)
  - Firs (residential respite facility) transfer planned to All Life Disability Service under Adults Social Care (date tbc)
- People Services Senior Management Team meeting regularly
- Single Quarterly Improvement Board being established: Qtr 3 Boards for Children's, Adults and Public Health held on the same day. Planned move to single People Services Board from Quarter 1 2016/17 tbc
- Single People Services moderation of ASYE completions by newly qualified social workers; planned Principal Social Workers joint work to ensure completion of SW statutory HCPC re-registrations due Autumn 2016, and associated cpd evidencing (NH)
- People Services Framework management authorisations and cover arrangements reviewed and updated. MOSAIC planned rollout from Autumn 2016 includes family records which will further embed THINK Family synergies (MS)
- Troubled Families transformation on track: Outcomes Plan close to signoff will further highlight and embed synergies
- Children's single inspection ongoing preparation includes Jan 2016 updated summary of services commissioned for 'toxic trio', including contributions from PH, Adults & other partners.
- Transition planning extended including focus on high cost YP residential placement challenge, to facilitate smooth transition, as well as earlier notification on possible vulnerable adults, from current Children's social care cases. (CK e.g. High cost Ch's Panel held 26.02.16)
- Ongoing work with WLA: CAREPLACE West London database for adult residential placements planned April 2016 expansion to include Children's database. (CK)
- Shared Lives discussion re possible extension to children's (CK)  
Project Infinity including Digital First re-commissioned as part of planned expansion of MyCommunity ePurse (Ref: Ambitions document – achievements)
- CSE: closer partnership working between key leads re: CSE & Vulnerable Adults; Integration of information (adults & services) (TM/CR – if you wish to include)

Retained separate operating high performing HSCB & LSAB protecting effective capacity and focus, recognising existing operational connectivity achieved.

**Adults'** permanent senior management staffing secured

Towards Excellence in Adults Social Care (TEASC) is being completed and ready for the LAT review to incorporate. The TEASC is report is being prepared by an independent consultant and working with the CHIA of the LGA. (VS)

- Ongoing active engagement with MASH
- LSAB is chaired by the DASS and reports to the Corporate Director of People Services. (VS)
- Quarterly briefings on Safeguarding adults to the Chief Executive, Leader and the portfolio holder. (VS)
- Assistant Director of Adults social care is a permanent member of the LSCB. (VS)
- Summer 2015 Adults Services' workers received training in identifying families who may benefit from a referral to children and families services. System changes reflected and enabled improved ways of recording and sharing these recommendations. A reciprocal arrangement has been enabled for children's social workers considering referring adults for support services.
- Safeguarding Adults multi-agency training programme was recently evaluated and updated. From April 2016 will include sessions specifically on the "toxic trio" ie children and families living in homes where there is a parent/carer known to be receiving treatment for drug or alcohol misuse, known to be suffering from mental ill health and/or experiencing domestic abuse.
- Ongoing Think Family regular audits – feedback and learning points being taken to HSCB Quality Assurance Sub Committee 05.04.16
- The Risk Enablement Panel meets monthly to discuss cases and has a co- opted member from Children's Services (Service Manager MASH) in recognition that cases often cross over between adults, including mental health; DV and children.
- Feb/March 2016 undertaking Towards Excellence in Adult Social Care [TEASC] activity.  
NEW Annual Adults SW Conference 29.09.16 with crossover content for other qualified SWs in CNWL & Children's including Think Family, @ Civic site.  
ChiefSW speaking.

**Public Health** permanent staff secured

- New improved School Nurse Service
- October 2015 took on responsibility for the Health Visiting service and secured an increase in funding from £113 to £160 per child.
- Re-procuring sexual health services, pan London, aiming for more robust pathways re safeguarding
- CDOP

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**Towards Excellence in Adult Social Care  
London Borough of Harrow  
Assurance Report  
15 – 17 March 2016**

## **BACKGROUND**

In July 2015 Harrow Council established a People Directorate as part of a restructuring of the senior management of the Council. The new Directorate brought together services for children, services for adults and the public health responsibilities of the Council under a Corporate Director of People (statutory Director of Children's Services), supported by a senior leadership team comprising the Director of Adult Social Services (statutory Director of Adult Social Services), Director of Public Health, Divisional Director for Children and Young People and Education Senior Managers.

Prior to the establishment of the Directorate an independent "local test of assurance" was undertaken by the Local Government Association Children's Improvement Adviser to consider the proposals in the light of the statutory guidance for the roles of Director of Children's Services and Lead Member for Children's Services<sup>1</sup>. It was concluded that the proposals did meet the local assurance test, and a number of recommendations were made to support a smooth transition to the new Directorate. It was also agreed that the Children's Improvement Adviser would be invited to review the arrangements after twelve months of operation of the new directorate.

In December 2015 the Director of Adult Social Services commissioned a similar local test of assurance in relation to adult social care, to include consideration of the extent to which the vision and benefits of the new joint Directorate were being realised.

It was agreed that the Council would undertake a self-assessment using the Towards Excellence in Adult Social Care (TEASC), risk awareness tool which had been launched by the Local Government Association and Association of Directors of Adult Social Services in October 2015<sup>2</sup>. Quality assurance of the self-assessment was then undertaken by two independent adult social care and health consultants, Moira Wilson and Anne Flanagan. The assurance was carried out through a series of interviews in Harrow between 15 – 17 March 2016, together with reading of key documents and analysis of performance information. The interviews conducted are detailed in Appendix 1.

The key findings and areas for consideration are grouped under the six key domains of the TEASC Risk awareness model:-

- Leadership and governance
- Performance and outcomes

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<sup>1</sup> Statutory guidance on the roles and responsibilities of the Director of Children's Services and the Lead Member for Children's Services, DfE April 2013

<sup>2</sup> Towards Excellence in Adult Social Care: Risk awareness tool LGA and ADASS October 2015

- Commissioning and quality
- National priorities and partnerships
- Resource and workforce management
- Culture and challenge

In undertaking the review, reference has also been made to the specific recommendations of the local test of assurance undertaken in June 2015. In summary they were to:-

1. Establish and appoint a Corporate Director People with relevant experience in leading Children's Services as soon as possible.
2. Ensure that there is a clear implementation plan for the establishment of the People Directorate which identified and mitigated risks, incorporating both immediate action and longer term opportunities linked to the three year medium term financial strategy.
3. Ensure that there is dedicated change management capacity to support the development of the Directorate.
4. Ensure that the relevant Safeguarding Boards and Scrutiny Committees provide timely and effective scrutiny of the progress and impact of the People Directorate.
5. Maintain the test of local assurance as a live process and commission a formal review after twelve months of operation.

## **KEY FINDINGS**

### **LEADERSHIP AND GOVERNANCE**

The creation of the People Directorate has been seen by all those interviewed as a logical move, the establishment of which has gone well. Following the local test of assurance on children's services in June 2015, change management capacity was confirmed and this has resulted in a smooth transition to the new Directorate. Leadership of the new Directorate is strong, with the adult services leadership team seen as high performing, visible and committed.

The portfolio holder has been in post since April 2015 and has a background in health. She is keen to support and lead the development of the HWBB as the governance vehicle for greater integration and is able to act as an "honest broker" given her experience and knowledge of both health and social care organisations and cultures.

The portfolio holder is clear about the need to inform other elected members about adult social care issues, demonstrates preparedness to make difficult decisions and to support officers in implementing the changes required to create a sustainable long term position.

Governance arrangements within the new Directorate appear to be working well to support a more joined up approach to delivery across children's services, adult social care and public health whilst still maintaining the necessary focus on adult services both within the Directorate and corporately.

It is crucial that the visibility of adult social care remains high to ensure that the wider duties of wellbeing and prevention mandated within the Care Act are understood and owned across the Council, together with the increasing focus on whole systems working across social care and health.

We saw many examples of the passion and commitment of all the leaders we spoke to that drives the very positive management culture, innovative and solution focussed approaches in Harrow. A particular example of innovation is Project Infinity which builds on the successes of personalisation in adult social care to develop a modern, accessible whole community asset based approach, maximising the benefits of technology, delivering efficiencies in “back office” functions, providing real time intelligence and forging external commercial partnerships to develop the products.

## **PERFORMANCE AND OUTCOMES**

### **Safeguarding**

Harrow underwent a safeguarding peer review in November 2013, the outcomes of which were very positive, with a small number of recommendations to improve safeguarding further. These recommendations have been incorporated in the business plan for the Safeguarding Adults Board, and there is clear evidence of the recommendations being actioned. The new requirements for safeguarding following implementation of the 2014 Care Act have also been incorporated in the business plan. In common with the majority of Councils, Harrow has experienced an increase in safeguarding concerns raised since April 2015 (estimated to be 35%), but the specialist safeguarding team appear to be in control of managing this increase, with the help of the appointment of an additional member of staff initially on a temporary basis.

Making Safeguarding Personal (MSP) has been operational since the peer review in 2013, with the impact assured through regular independent file audits. Feedback from the most recent audits confirmed a high degree of engagement with MSP, which was further supported through the interviews with practitioners and managers during the assurance visit. Evidence was also demonstrated in the interviews with service users undertaken by the independent social worker who follows up at the end of the safeguarding episode, as a further level of quality assurance.

Performance on the Mental Capacity Act and Deprivation of Liberty Safeguards (DOLs) is impressive, with statutory timescales being met, which is by no means universally the case. The mixed economy approach to creating a pool of best interests’ assessors, together with strong leadership by the safeguarding service manager has resulted in continuing excellent performance despite the 200% increase in assessments between 2014/15 and the present. This has resulted in budgetary impact which is not fully covered by the Department of Health MCA/DOLs grant. However the commitment to ensure the priority of this most vulnerable user group is to be commended.

Adults and Children's safeguarding are managed separately, reporting to the respective senior managers, which is appropriate and ensures continued high performance in each area. Both already worked closely together prior to the establishment of the People Directorate and this remains the case. The "Think Family" approach is clearly embedded as articulated by a number of interviewees, and there is evidence of joint training and development approaches across children and adult services.

Some concerns were raised about the changes which will need to be made to Framework-i in order to comply with the recently launched pan London safeguarding guidelines and the resources needed to update local guidance and service user information. These concerns will need to be addressed now that the extent of the changes required is understood.

There may be scope for some efficiency in the delivery arrangements for support functions as the People Directorate continues to develop, together with the continued joint working of the partnership protocol between the HWBB, the two safeguarding boards and Safer Harrow.

The Safeguarding Adults Board is currently chaired by the DASS. Although an independent chair is not a requirement of the Care Act, there is a national trend towards this which the Board may wish to consider as part of their ongoing development.

### **Performance**

Harrow has a comprehensive performance management system with monthly meetings to review the scorecard which then feeds into the overall corporate improvement board. Overall Harrow demonstrates strong performance with comparators but there are some areas which would benefit from more in depth consideration.

Based on Q3 2015/16 data, including real time monitoring where applicable, strong areas of performance include the following:-

- 83% of service users receiving self-directed support, with 44% taking up direct cash payment.
- 100% carers receiving self-directed support, all of which is via a direct payment
- 81% of reviews undertaken within 12 months. Although this a reduction on previous performance, management action was being taken to meet the end year target of 90%
- The development of local targets on waiting times for assessments and completions to ensure a timely response to needs
- 14% of people with learning disabilities in paid employment, the second highest in London in 14/15
- Similarly 6.4% of people with mental health needs in paid employment, a shared target with Harrow's mental health Trust provider
- Maintaining statutory timescales for Mental Capacity Act/Deprivation of Liberty Safeguards assessments



There are a small number of areas where changes in performance merit further consideration:-

- Performance on delayed transfers of care is currently reducing from being the best in London to mid-range on the most recent figures. The reason given for this was pressure on purchasing budgets and the need to prioritise people more at risk in community settings. It is recognised however that addressing these pressures will require whole system solutions, and the 16/17 Better Care Fund metrics includes agreement on a local target for reducing delayed transfers from hospital.
- Long term admissions to residential or nursing care for people under 65 is higher than comparators, and contrasts with good performance for people over 65. The 14/15 figures included a closure of a health facility which added to the pressure. The proposals to develop supported living as an alternative to care home provision should help with this, in the medium to longer term.
- Performance on reablement, in terms of outcomes achieved, may need further exploration, as the percentage of people needing no or lower support after reablement is significantly lower than comparators. This appears to be as the result of the universal offer which Harrow provides for everyone leaving hospital. However further joint analysis with health commissioners may assist in determining whether more targeted approaches could deliver better outcomes within resources available.

### **Pressures on the front line**

Following the deletion of the national measure, Harrow is currently setting benchmarks for local assessment completion times for both social workers and occupational therapists, based on the number of days 75% of people wait from referral to completion of assessment. This will enable ongoing tracking of how people experience the process of self-directed support.

The customer journey in Harrow is spread across a number of teams from the initial point of contact through supported assessment and review. Both front line staff and managers demonstrated that they work well across the customer journey; they feel they are working to address “needs not wants” and are allowed to be creative and not service led. My Care Place was seen as a real asset in finding out what was available locally to develop tailored support plans with people, combined with being able to share knowledge with colleagues. The recently established 0 -25 service for children and adults with disabilities was already seen to be bearing fruit in terms of increased joint working and valuing the respective contributions of staff. Staff did not feel that budget reductions were impacting on their ability to deliver good quality services to people, although they were very mindful of costs and described a robust approval process with Assistant Director leadership to ensure tight control of budgets.

## COMMISSIONING AND QUALITY

Adults and Children's commissioners are now managed jointly by the Assistant Director, Strategic Commissioning and Provider Services. Responsibility for service quality in adults including liaison and joint work with the Care Quality Commission, rests with the Assistant Director, Safeguarding Assurance and Quality.

Information in the risk awareness pack and documentation provided demonstrated the commitment to working with providers to drive up quality. This work is undertaken by the safeguarding assurance and quality services team with the involvement of people who use services. It was reported that relationships with CQC are excellent.

There is concern about market sustainability with 4 recent examples of providers exiting the market. Commissioners were also concerned about the fact that lower fee levels in Harrow were impacting on providers' willingness to deliver services in the Borough. An uplift in fees will be offered in 2016/17 using the 2% adult social care precept.

Market gaps in services to meet the needs of Asian people with dementia and mental health step down beds have been identified. A plan is in place to convert an existing in-house property to create additional capacity. The most recent market position statement we saw was published in 2013. Given the increasing pressures in the market, we would suggest that the statement is refreshed to reflect the changed position.

We were not made aware of any commissioning strategies that have been completed over the past twelve months, although three are now being developed, namely accommodation, learning disabilities and carers strategies. We consider that there could be more opportunities for the development of joint commissioning plans, particularly with health partners.

It may also be helpful to revisit the West London Alliance approach to market management and procurement to address differences in provider pricing / costs compared to other local Boroughs which could represent a risk to maintaining sufficient supply in Harrow. There was a view expressed that it may be necessary to move a little away from total spot purchasing through personalisation to some framework provider agreements to ensure a sufficient range of services in the Borough. We were unable to explore these issues more fully in the time we had available, however you may discuss this further as a Directorate leadership team.

The Commissioning for Better Outcomes tool<sup>3</sup> which was developed by the Department of Health, ADASS, Local Government Association and Think Local Act Personal could be very useful in helping determine the future

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<sup>3</sup> Commissioning for Better Outcomes: A Route Map University of Birmingham 2013

direction for commissioning. It can be used either as a self-assessment tool or undertaken as a peer review.

## **NATIONAL PRIORITIES AND PARTNERSHIPS**

Significant improvements have been made in relationships with health colleagues over the last 2 years and this is a very positive shift. A concrete example given was that the funding for protection of adult social care within the Better Care Fund had been fully agreed for 16/17, which had not been the case in the previous year. There was also recognition of the opportunities for the Health and Wellbeing Board to bring partners together to work to a shared, whole system agenda.

Harrow has been well placed to deliver the new requirements under the Care Act 2014, with a report to Scrutiny in February 2016 identifying the progress which has been made since April 2015 together with ongoing work programmes in relation to carers services, information and advice, and changes to ordinary residence. There is a further national stocktake due in late spring/early summer 2016 which will enable further benchmarking of progress.

The financial pressures being experienced by both the CCG and the Council create challenges in achieving whole system transformation, and discussions about the model of integration envisaged were still at an early stage. However a greater focus on integration and development of more specific plans could bring forward options for addressing budget deficits in both health and social care as well as improving outcomes for people.

Front line staff are very keen to develop closer working with health colleagues and better understanding of each other's agendas. They gave an example of an event with GPs and adult social care staff which was positive in improving working relationships. Opportunities for colocation for health and social care delivery would support integration and improve relationships. Harrow is part of the North West London Integrated Care Pioneer programme, but it did not appear to have much visibility with operational staff. The improved opportunities for joint working under the Better Care Fund should be a vehicle for raising the profile of integration at all levels.

## **RESOURCE AND WORKFORCE MANAGEMENT**

Harrow's spending power is ranked as 26<sup>th</sup> out of 32 London Boroughs, and has seen a steady reduction in business rates over recent years. Over the past 6 years adult social care has delivered savings of £21.4m with a further £13m to deliver over the next 3 years. This together with a financially challenged health environment means that more easily deliverable efficiencies have already been made and innovation and creativity is required to manage demand and deliver services at a lower cost base.

We agree that the desire to look at whole system resources and solutions is helpful with a focus on the "Harrow £" so that health and social care funding is

viewed as one pot from which to deliver transformed services. To date the Better Care Fund has focused on the minimum required contributions to be included in the pooled fund. Including other expenditure lines, for example continuing health care or non-elective admissions, may help to foster a more whole system approach to determining the best use of resources to meet health and care needs.

There is significant potential for Project Infinity to generate income through commercialisation and expansion of the Harrow designed Community ePurse system to wider applications. Both senior managers and the portfolio holder were aware of the risks to be mitigated through strong programme management and the choice of commercial partner.

Although staff were very aware of cost pressures in support planning we felt it would be helpful to continue sharing the future financial position with staff in order to ensure they have the appropriate context for their work in a supported way –tapping into the strong practitioner approach to personalisation.

We also felt it would be helpful to use the TEASC “Making best use of reducing resources in adult social care” tool<sup>4</sup> to look at whether there are further opportunities to reduce or change spending patterns to deliver best possible outcomes.

Workforce management in Harrow appears to be a key strength. Sickness absence rates in adults have been on a downward trend during 2015/16 and are at 8.5 days, Completion of appraisals remains high and the use of agency spend is reducing. Qualitatively staff spoke very positively about working in Harrow, resulting in low turnover rates and a number of people returning to work in the Borough having moved elsewhere.

The creation of the People Directorate had given adult social care staff the opportunity to access training and development courses previously confined to children’s services. One area for consideration was the extent to which non-social work qualified but experienced adult social care staff could be supported to access professional training. Although workforce recruitment and retention are strong in Harrow, it could be beneficial to support some staff to become qualified and have the opportunity for career progression within the Borough.

The recently revised Care and Support statutory guidance<sup>5</sup> has strengthened the responsibilities of the Principal Social Worker for adults. The guidance states that local authorities should have a qualified and registered social work professional practice lead in place to lead and oversee excellent social work practice, to support the DASS and/or the wider Council in complex cases; and lead on ensuring the quality and consistency of social work practice in fulfilling its safeguarding responsibilities, including extensive knowledge of the legal and social work response options.

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<sup>4</sup> Making best use of reducing resources in adult social care: TEASC 2014

<sup>5</sup> Statutory guidance to support local authorities implement the Care Act 2014: Department of Health 26 March 2016

One suggestion that was made during our visit was whether the Principal Social Worker roles in Children and Adult services could be combined in the People Directorate. The revised guidance is not prescriptive about local arrangements. However it does state that the PSW should be visible across the organisation at all levels, given sufficient time to carry out the role and maintain close contact with the DASS. It also envisages the PSW “bridging the gap” between professional and managerial responsibility in integrated health and care settings. These factors, together with the need for the person to have extensive and ongoing knowledge and skills in adult social care, would need to be carefully considered in reaching a conclusion about the most appropriate arrangements for the role in Harrow.

## **CULTURE AND CHALLENGE**

One of the major strengths we identified during our visit was the open and transparent culture, which reflects very positively on the leadership and management across the Directorate. Staff were extremely positive regarding management style, approach, visibility and availability. They described themselves as being very well communicated with and informed. They feel that their managers know them, listen to them and support them and know about their clients and their workloads. This was demonstrated at all levels including front line staff.

Managers and staff were positive about the merging of directorates and closer working across all ages. They felt that this builds on already close working relationships between colleagues across the directorates and provides opportunities to access both training and support from colleagues. There was no suggestion that staff view the merger as a takeover, rather they saw it as a continuation of already close working relationships and continued development of the personalisation approach. They saw the benefit of taking to be more joined up across adults and children’s and across the local authority and health.

Our brief in this review did not include direct engagement with people who use services and their carers. However we did see excellent examples through the development of the Local Account and the Quality Assurance Charters of co-production embedded throughout service delivery.

The most recent published Local Account was 2013/14. It was explained that over the past two years that, rather than a publication, the local account process has become a dynamic user led group involved in a wide range of improvement activity. A mechanism for capturing this best practice would be very beneficial.

Harrow has demonstrated its positive approach to sector led improvement through engagement in regional activities and bespoke quality assurance. There are a number of other tools on offer in relation to commissioning and use of resources which have been referred to earlier which may be helpful in supporting the design of the future model for adult social care.

## **CONCLUSIONS**

You have demonstrated a high degree of self-awareness in the use of the TEASC risk assessment tool and a positive commitment by everyone involved in the assurance visit to improve the health and wellbeing of Harrow residents. We would like to thank all staff involved for their open and constructive responses during our visit and the excellent organisation of the interviews.

The opportunities presented by the People Directorate in terms of a whole family and community approach are being implemented in a considered way, and staff at all levels articulate the vision clearly. Numerous examples were given of how working relationships and conversations between children and adult services had continued to develop over the past year, whilst still ensuring a strong focus on personalised support for adults. The benefits for the People Directorate in having one voice in engaging corporately are also being realised, for example in addressing housing and supported living needs as part of the Council's regeneration and housing strategies.

Adult social care will continue to face significant financial and leadership challenges over the coming years in delivering the vision and aspirations of the Care Act, integrating care and health, and commissioning a range of personalised services for people to have choice and control about how support is provided. This will require determination, creativity and a willingness to look beyond traditional organisational boundaries. Harrow is well placed to meet these challenges through the culture and leadership style demonstrated in the People Directorate. The following recommendations are offered to support your continuing improvement and development journey.

## **RECOMMENDATIONS/AREAS FOR FURTHER EXPLORATION**

1. The Portfolio holder's experience in both health and social care in her role as Chair of the Health and Wellbeing Board is a strength. Continued focus on developing the role and approach of the Board further is important in terms of the integration agenda and managing financial pressures. Support to the Board's development from external facilitation, for example via the LGA, could be considered to assist this.
2. The focus on adult social care should remain high within the new Directorate in order to ensure continued progress on the wellbeing and prevention agendas and whole systems working across health and social care.
3. Safeguarding adults, including the implementation of the Mental Capacity Act, is a strength in Harrow. There may be further opportunities for efficiencies in managing infrastructure arrangements across the two Safeguarding Boards whilst still ensuring high quality in both. A further development could be consideration of the appointment of an Independent Chair for the

SAB. The newly revised pan London safeguarding guidelines will require some additional resources to update local systems.

4. Developing a stronger joint strategic commissioning approach with health commissioners will enable opportunities to deliver new models of care and support for Harrow residents to be maximised. This could also include revisiting the relationship with the West London Alliance and the approach to market management. Self-assessment using the Commissioning for Better Outcomes tool<sup>6</sup> could be beneficial in determining next steps for the commissioning function.
5. Against a background of strong performance there are a small number of whole system performance indicators which warrant further consideration; i.e. admissions to residential or nursing care for people under 65, reablement outcomes, and delayed transfers of care.
6. A greater focus on integration and the development of specific joint transformation plans should be strengthened in order to address budget deficits in both health and social care as well as improving outcomes for people. The Better Care Fund for 16/17 and beyond, with a focus on whole system resources and solutions - the “Harrow £”, should be used to raise the profile of integration at all levels.
7. The TEASC “Making best use of reducing resources in adult social care” tool<sup>7</sup> could also be used to look at whether there are further opportunities to reduce or change spending patterns to deliver best possible outcomes.
8. Opportunities, such as the virtual ward developments under the Integrated Care Programme and colocation should be maximised to support integration, enabling front line staff to develop closer working with health colleagues and better understanding of each other’s agendas.
9. Consideration could be given to whether non-social work qualified but experienced adult social care staff could be supported to access professional training.
10. All aspects of recently published guidance regarding the Principal Social Worker role for both adults and children need to be carefully considered in reaching a conclusion about the most appropriate arrangements for Harrow.

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<sup>6</sup> Commissioning for Better Outcomes: A Route Map University of Birmingham 2013

<sup>7</sup> Making best use of reducing resources in adult social care: TEASC 2014

**Harrow TEASC Review Interviewees**

Cllr Anne Whitehead	Portfolio Holder, Adults and Older People
Chris Spencer	Corporate Director, People Services
Visva Sathasivam	Assistant Director, Adult & Children Social Care
Chris Greenway	Assistant Director, Safeguarding Assurance and Quality Services
Jonathan Price	Assistant director, Strategic Commissioning and Provider Services
Jon Manzoni	Interim cover for Assistant Director, Strategic Commissioning and Provider Services
Lois Elliott	Senior Professional, Commissioning
Sue Spurlock	Service manager, Safeguarding Adults and DoLS services
Donna Edwards	Finance business partner
Anne Mosley	Service manager, personalisation review team
Seth Mills	Service manager, long term social care team
Shaun Riley	Service manager, Personalisation and hospital teams
Barbara Huggan	Service Manager, Reablement
Peter Singh	Service Manager, Complaints & Information Requests (Children's & Families & Adult social care)
Practitioners	Social Workers / Care Managers focus group
Mario Casiero	Project Manager, adult social care



## **REPORT FOR: OVERVIEW AND SCRUTINY COMMITTEE**

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<b>Date of Meeting:</b>	20 September 2016
<b>Subject:</b>	Draft Scope for Homelessness Scrutiny Challenge Panel
<b>Responsible Officer:</b>	Alex Dewsnap (Divisional Director of Strategic Commissioning)
<b>Scrutiny Lead Member area:</b>	Councillor Jeff Anderson, Policy Lead Member & Councillor Manji Kara, Performance Lead Member
<b>Exempt:</b>	No
<b>Wards affected:</b>	All
<b>Enclosures:</b>	Draft Scope for Homelessness Scrutiny Challenge Panel

### **Section 1 – Summary and Recommendations**

This report sets out the draft scope for the scrutiny Challenge Panel on homelessness.

#### **Recommendations:**

The Overview and Scrutiny Committee is asked to:

- Consider and agree a scope for the Challenge Panel, considering the options presented by officers at (A) and (B) below;
- Request that Groups notify lead Policy Officer (Rebecka Steven) of the membership of the Challenge Panel (a maximum of 8 members);
- Agree that the Chair of the Review will be Councillor Jeff Anderson
- Agree the timing of this Challenge Panel and associated reporting arrangements.

## **Section 2 – Report**

The Scrutiny Leadership Group agreed that a Challenge Panel on homelessness form part of the scrutiny work programme for 2016/2017.

It was agreed that the Challenge Panels would enable short sharp scrutiny – short in that the review is completed in one meetings and sharp as it is very focused and concise.

At a Challenge Panel, a small group of scrutiny members (maximum of 8), relevant officers, and sometimes portfolio holders, meet to discuss a particular policy, strategy or issue informally and in detail. This provides an opportunity for a more detailed and more informal discussion of a particular matter than would otherwise be possible at Committee.

The benefits of Challenge Panels are that they:

- are timely – a more agile and responsive methodology than other scrutiny reviews
- allow greater input than an item at committee but less input than would be required at a review
- consider one off issues or matters of urgency
- require less time commitments of members and officers to attend meetings.

The scrutiny Councillors agreed all review work would take the form of a Challenge Panel in 2016/17 so as to be manageable within current resources.

The attached scope has been drafted with input from officers and Councillors who met on 30 August 2016.

The scope put forward by Councillors covers three areas, namely (1) to understand the drivers of homelessness in Harrow; (2) to examine whether the solutions currently being implemented effectively address these drivers; (3) to scrutinise the supply/ land/ site issues.

It will be difficult for all of this to be covered in one Challenge Panel, with each topic given enough time to be considered and debated and recommendations formed.

There are two potential solutions to this:

- (A) The briefing, which will be prepared by officers prior to the Challenge Panel, will cover points (1) and (2) in order that members are fully aware of the drivers of homelessness locally and of the solutions being implemented in advance – then the Challenge Panel meeting can focus on scrutinising the supply/ land site issues;
- (B) Two Challenge Panels could be convened, one into the drivers and solutions around homelessness locally and the second into the supply/ land site issues; this would mean that two out of the three remaining Challenge Panels for this financial year would be set aside for this, and

one of the other topics earmarked for a challenge panel on the work programme would have to be foregone. It is also worth noting that a considerable amount of additional officer time (particularly from the Housing Division) would have to be committed to supporting two separate Challenge Panels. It should also be noted that there has already been a huge amount of resource across the Council directed to looking at this area of policy to date including:

- Roundtable on 23 February 2016
- CSB Challenge Panel on 25 May 2016
- Overview and Scrutiny 8 June 2016
- Performance and Finance 13 July 2016
- Report to CSB on 27 July 2016
- Deep Dive Review on 17 August 2016.

### **Financial Implications**

The costs of delivering this project will be met from within existing resources.

### **Performance Issues**

There are no specific performance issues associated with this report.

### **Environmental Impact**

There is no specific environmental impact associated with this report.

### **Risk Management Implications**

There are no risk management implications

### **Equalities Implications**

The Challenge Panel will consider during the course of its work, how equality implications have been taken into account in current policy and practice and consider the possible implications of any changes it recommends.

### **Council Priorities**

Protect the Most Vulnerable and Support Families

Build a Better Harrow

## **Section 3 - Statutory Officer Clearance**

Statutory clearances not required.

<b>Ward Councillors notified:</b>	N/A
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## **Section 4 - Contact Details and Background Papers**

### **Contact:**

Rebecka Steven, Policy Officer, 020 8420 9695

### **Background Papers:**

Draft scope for the Homelessness Scrutiny Challenge Panel (appended)

Appendix 1

1.	<b>SUBJECT</b>	CHALLENGE PANEL ON HOMELESSNESS – DRAFT SCOPE
2.	<b>COMMITTEE</b>	Overview and Scrutiny
3.	<b>CHALLENGE PANEL</b>	<p>Chair – Councillor Jeff Anderson  Councillors – TBC by Groups (8 members max)</p> <p>For information, Councillors who attended the scoping meeting are listed below:  Jeff Anderson (Chair)  Richard Almond  Ameet Jogia  Barry Kendler  Barry Macleod-Cullinane  Kairul Marikar  Phillip O'Dell  Christine Robson</p>
4.	<b>AIMS/ OBJECTIVES/ OUTCOMES</b>	<ul style="list-style-type: none"> <li>• To understand the drivers of homelessness in Harrow</li> <li>• To examine whether the solutions currently being implemented effectively address these drivers</li> <li>• To scrutinise the supply/ land/ site issues</li> </ul>
5.	<b>MEASURES OF SUCCESS OF REVIEW</b>	Recommendations to Cabinet agreed and implemented.
6.	<b>SCOPE</b>	(1) to examine the drivers of homelessness in Harrow (reasons, family composition, etc.); (2) to scrutinise the effectiveness of different interventions; and (3) to scrutinise the supply/land/site issues.
(1)	<b>SERVICE PRIORITIES</b>	Protect the Most Vulnerable and Support Families Build a Better Harrow
(2)	<b>CHALLENGE PANEL SPONSOR</b>	Lynne Pennington (Divisional Director of Housing)
(3)	<b>ACCOUNTABLE MANAGER(S)</b>	Jon Dalton (Head of Housing Needs) Alison Pegg (Head of Housing Regeneration) Paul Nichols (Divisional Director of Planning) Tobias Govert (Head of Regeneration and Design) Sunil Sahadevan (Head of Development Management)
(4)	<b>SUPPORT OFFICER</b>	Rebecka Steven

(5)	<b>ADMINISTRATIVE SUPPORT</b>	Policy Team
(6)	<b>EXTERNAL INPUT</b>	None anticipated at this stage
(7)	<b>METHODOLOGY</b>	<p>A Challenge Panel will meet for 4 hours on 12 October to hear from witnesses (officers from relevant services of the Council), discuss the issues and solutions, and form recommendations.</p> <p>Extensive work has already been undertaken by officers on the issues raised in the scope, and a briefing will be provided to members prior to the Challenge Panel.</p>
(8)	<b>EQUALITY IMPLICATIONS</b>	The Challenge Panel will during the course of its work, consider how equality implications have been taken into account in current policy and practice and consider the possible implications of any changes it recommends. In undertaking the Challenge Panel, members and officers will consider their practices and how it can ensure all relevant stakeholders in the borough to have their voices heard.
(9)	<b>ASSUMPTIONS/ CONSTRAINTS</b>	Timing will be the major constraint – officers are unsure as to whether the suggested scope will be able to be covered in one Challenge Panel meeting (see main report for options).
(10)	<b>SECTION 17 IMPLICATIONS</b>	None in terms of the scrutiny process.
(11)	<b>TIMESCALE</b>	Challenge Panel to take place in October, reporting to Overview and Scrutiny in November, and a referral to Cabinet thereafter if appropriate.
(12)	<b>RESOURCE COMMITMENTS</b>	The policy and housing teams will provide a briefing and support to the Challenge Panel. The policy team will produce the final report including recommendations to O&S; officers from the housing team (or appropriate Service) will provide a response to Cabinet and take forward any recommendations agreed by Cabinet.
(13)	<b>REPORT AUTHOR</b>	Rebecka Steven/ Meghan Zinkewich-Peotti
(14)	<b>REPORTING ARRANGEMENTS</b>	<p>Outline of formal reporting process:</p> <ul style="list-style-type: none"> <li>• The relevant Divisional Director(s) and Portfolio Holder(s) will be consulted in the drafting of the final report and recommendations</li> <li>• Report to Overview and Scrutiny Committee</li> <li>• Report referred to Cabinet</li> <li>• Officer response to Cabinet</li> </ul>
(15)	<b>FOLLOW UP ARRANGEMENTS (proposals)</b>	It is anticipated that Cabinet would consider any recommendations made (alongside the officers' response) at the Cabinet meeting on 8 December 2016.

## OUTLINE PROJECT PLAN

<b>Activity</b>	<b>Member Input</b> <i>Who is involved?</i> <i>Estimated time commitment</i>	<b>Officer Resource</b> <i>Who is involved?</i> <i>Estimated time commitment</i>		<b>When</b>	<b>Lead Person</b>
Scope session	All members invited – 2 hours on 30 August	Policy Team (Rebecka Steven and Shumaila Dar); Housing Team (Meghan Zinkewich-Peotti, Lynne Pennington and Jon Dalton)	15 hours preparation  1 hour pre meeting  2 hour meeting	Prior to mtg  30 Aug  30 Aug	Rebecka Steven/ Meghan Zinkewich-Peotti
Finalise scope and obtain Overview and Scrutiny endorsement		Rebecka Steven/ Meghan Zinkewich-Peotti	7 hours	Prior to 8 Sept	Rebecka Steven/ Meghan Zinkewich-Peotti
Research/Preparation Period/Desk top data gathering		Rebecka Steven/ Meghan Zinkewich-Peotti	25 hours	For start October	Rebecka Steven/ Meghan Zinkewich-Peotti
Challenge Panel	Membership to be confirmed by Group offices; date to be confirmed with Chair for Challenge Panel.  Challenge Panel to meet mid October.	Rebecka Steven	4 hours	ASAP	Rebecka Steven
Collation and evaluation of data/evidence and draft report		Rebecka Steven/ Meghan Zinkewich-Peotti	25 hours	Prior to 8 Sept	Rebecka Steven/ Meghan Zinkewich-Peotti

<b>Activity</b>	<b>Member Input</b> <i>Who is involved?</i> <i>Estimated time commitment</i>	<b>Officer Resource</b> <i>Who is involved?</i> <i>Estimated time commitment</i>		<b>When</b>	<b>Lead Person</b>
Challenge Panel members agree draft report	Members to provide comment	Rebecka Steven/ Meghan Zinkewich-Peotti	5 hours		Rebecka Steven/ Meghan Zinkewich-Peotti
Early draft report to accountable manager for confirmation of factual accuracy		Rebecka Steven/ Meghan Zinkewich-Peotti  Lynne Pennington/ Jon Dalton	10 hours		Lynne Pennington/ Jon Dalton
Report submitted to Overview and Scrutiny		Rebecka Steven	1hr		
Challenge Panel's presentation of report to CMT/DMT (if appropriate)	N/A	N/A	N/A	N/A	N/A
Final report of Group to O&S/Sub-Committee for approval (if necessary)	Chair to present to O&S Committee		1hr		
Consider if there is a need to publicise report findings		Rebecka Steven/ Meghan Zinkewich-Peotti  Lynne Pennington/ Jon Dalton	1 hr (plus any action agreed)		
Final report published and referred to Executive for consideration (Cabinet/Portfolio Holder/Directorate – depending on issues/recommendations)	Chair and Vice-Chair to present to Cabinet in December when Cabinet considers the officers response	Manize Talukdar	1 hr		
Evaluation of Challenge Panel process		Rebecka Steven	5 hrs		
Follow up/Monitoring of outcomes	PH to attend P&F 6-12 months post report	Rebecka Steven/Meghan Zinkewich-Peotti/ Lynne	5 hours prep plus 1 hr		



<b>Activity</b>	<b>Member Input</b> <i>Who is involved?</i> <i>Estimated time commitment</i>	<b>Officer Resource</b> <i>Who is involved?</i> <i>Estimated time commitment</i>		<b>When</b>	<b>Lead Person</b>
		Pennington	attendance at meeting		
TOTALS excluding scoping					

Contact: Rebecka Steven, Scrutiny team, Harrow Council

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