

Overview and Scrutiny Committee

AGENDA

DATE: Tuesday 7 November 2017

TIME: 7.30 pm

VENUE: Committee Rooms 1 & 2, Harrow Civic Centre,
Station Road, Harrow, HA1 2XY

MEMBERSHIP (Quorum 4)

Chair: Councillor Phillip O'Dell

Councillors:

Jo Dooley
Ms Pamela Fitzpatrick
Barry Kendler
Jerry Miles

Nitesh Hirani
Jean Lammiman
Barry Macleod-Cullinane
Chris Mote

Representatives of Voluntary Aided Sector: Mr N Ransley / 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:

1. Jeff Anderson
2. Michael Borio
3. Kairul Kareema Marikar
4. Ajay Maru
5. Aneka Shah-Levy

1. Paul Osborn
2. Lynda Seymour
3. Norman Stevenson
4. Stephen Wright

Contact: Frankie Belloli, Senior Democratic Services Officer
Tel: 020 8424 1263 E-mail: frankie.belloli@harrow.gov.uk

Useful Information

Meeting details:

This meeting is open to the press and public.

Directions to the Civic Centre can be found at:
<http://www.harrow.gov.uk/site/scripts/location.php>.

Filming / recording of meetings

The Council will audio record Public and Councillor Questions. The audio recording will be placed on the Council's website.

Please note that proceedings at this meeting may be photographed, recorded or filmed. If you choose to attend, you will be deemed to have consented to being photographed, recorded and/or filmed.

When present in the meeting room, silent mode should be enabled for all mobile devices.

Meeting access / special requirements.

The Civic Centre is accessible to people with special needs. There are accessible toilets and lifts to meeting rooms. If you have special requirements, please contact the officer listed on the front page of this agenda.

An induction loop system for people with hearing difficulties is available. Please ask at the Security Desk on the Middlesex Floor.

Agenda publication date: Monday, 30 October 2017

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. APPOINTMENT OF VICE-CHAIR

To appoint a Vice-Chair of the Committee for the remainder of the 2017-18 municipal year.

3. 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.

4. MINUTES (Pages 5 - 12)

That the minutes of the meeting held on 19 September 2017 be taken as read and signed as a correct record.

5. 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, 2 November 2017. Questions should be sent to publicquestions@harrow.gov.uk

No person may submit more than one question].

6. 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).

7. REFERENCES FROM COUNCIL/CABINET

(if any).

8. FINANCING OF THE REGENERATION PROGRAMME - SCRUTINY REVIEW PANEL REPORT (Pages 13 - 44)

Report of the Divisional Director of Strategic Commissioning and the Scrutiny Review Panel

9. ADULT SERVICES (SOCIAL CARE) COMPLAINTS ANNUAL REPORT 2016/17 (Pages 45 - 64)

Report of the Corporate Director, People Services

10. CHILDREN AND FAMILIES SERVICE COMPLAINTS ANNUAL REPORT 2016/17 (Pages 65 - 86)

Report of the Corporate Director, People Services

11. ANY OTHER BUSINESS

Which cannot otherwise be dealt with.

AGENDA - PART II - NIL

*** DATA PROTECTION ACT NOTICE**

The Council will audio record item 5 (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 2 November 2017
------------------------	--

OVERVIEW AND SCRUTINY COMMITTEE MINUTES

19 SEPTEMBER 2017

- Chair:** * Councillor Phillip O'Dell
- Councillors:** * Michael Borio (4) * Kairul Kareema Marikar (5)
 * Jo Dooley * Jerry Miles
 * Ameet Jogia * Chris Mote
 * Barry Macleod-Cullinane (3) * Stephen Wright (1)
- Voting Co-opted:** (Voluntary Aided) (Parent Governors)
 * Mr N Ransley
 Reverend P Reece
- Non-voting Co-opted:** * Harrow Youth Parliament Representative
- In attendance:** Councillor Mrs Christine Robson

* Denotes Member present
 (1), (3), (4) and (5) Denote category of Reserve Members
 † Denotes apologies received

231. Attendance by Reserve Members

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

Ordinary Member

Councillor Richard Almond
 Councillor Ms Pamela Fitzpatrick
 Councillor Barry Kendler
 Councillor Paul Osborn

Reserve Member

Councillor Stephen Wright
 Councillor Michael Borio
 Councillor Kairul Kareema Marikar
 Councillor Barry Macleod-Cullinane

232. Declarations of Interest

RESOLVED: To note that no declarations were made by Members of the Committee.

233. Minutes

RESOLVED: That the minutes of the meetings held on 27 June and 17 July 2017 be taken as read and signed as a correct record.

234. Public Questions and Petitions

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

235. References from Council/Cabinet

There were none.

RESOLVED ITEMS

236. Youth Justice Partnership Plan 2017-18

The Committee received a report on the Council's draft Youth Justice Partnership Plan for 2017-18. The Divisional Director, Children and Young People introduced the report commending those who had worked to produce the draft plan and to achieve improvements in the service such that the "priority rating" of the Youth Offending Team had now been withdrawn. He apologised to the Committee for the late circulation of a further version of the plan which contained certain minor amendments. He established the context of the draft plan, including various relevant reviews of youth justice such as those conducted by Charlie Taylor, David Lammy and the Mayor's Office for Policing and Crime (MoPAC). The officer reported that the plan included proposals made by the Youth Justice Board and was aligned with the Community Safety, Violence, Vulnerability and Exploitation Strategy; the intention was to bring together a more coordinated "youth offer" for local young people. The officer confirmed that the staffing position had developed with fully permanent appointments and a good skills mix in place; he considered that there was now an effective "triage" system diverting young people away from behaviours likely to put them at risk of entering the youth justice system.

In response to a Member's query about crime levels, the officer confirmed that while overall levels were down, there were increases in certain crimes and in the severity and seriousness of some of these; for example, there had been an increase in the use of knives. So while there had been success in reducing first time entrants to the youth justice system, the seriousness and impact of violent crimes was a real area of concern.

A Member considered that the plan contained too much detail in certain parts and did not adequately highlight the key issues; he gave the example of the

section on “Out of Court Disposals” (Page 18 of the plan) as being unclear as to the trend compared to previous periods.

The representative of the Harrow Youth Parliament considered that there was room for improvement in the “youth offer” as part of the Early Support Service, particularly in relation to activities and initiatives to develop self-confidence in young people. His view was that the current offer did not go far enough in addressing these needs and he proposed that the Council should do further work with relevant voluntary organisations in this area. An officer reported that such opportunities were available in existing programmes although they tended not to be overtly labelled as “self-confidence” sessions since this was likely to deter young people. Instead, the relevant skills and approaches were included in sessions on such subjects as creative writing, drama and even cookery; there were also classes on presentation skills. It was intended that these programmes would continue with the involvement of groups such as Ignite.

A Member raised concerns about street crime in South Harrow, particularly incidents involving knives. The Divisional Director, Children and Young People confirmed that knife crime was a top priority for multi-agency work on crime reduction and prevention; this reflected the seriousness of its impact on victims and their families. The Council and local Police had made representations to the MoPAC about improved cross-border work to address individuals and groups involved in incidents outside their own boroughs of residence. It was hoped that this would lead to increased resources for this work.

A Member felt that the analysis of local crime trends did not readily equip councillors to make decisions about the appropriate allocation of resources, nor to evaluate the degree of success of the Council’s programmes. The Divisional Director, Children and Young People conceded that it was very difficult to understand the reasons for crime trends; however, he referred to the development of “problem profiles” making use of data drawn from a wide range of sources, including the YOT, Police and Early Support Hubs. He gave the example of the Council assisting the Police to shut down the operations of one gang in Wealdstone. An officer added that the causes of crime were complex and difficult to understand fully; the factors included levels of education, family life changes and housing conditions. Nevertheless, these could mislead, an example being the increase in the incidence of certain crimes locally even in a period of reducing deprivation.

A Member suggested that the Council’s regeneration strategy should address the implications for youth crime; for example, how Wealdstone town centre would be affected in this respect. The Divisional Director, Children and Young People confirmed this was being addressed in one of the strategy workstreams, though the work was in its infancy. Consultation with young people would be part of this project. The Corporate Director, People Services cautioned that this particular report to the Committee was solely about the Youth Justice Partnership Plan, much of which was constrained by the requirements of the youth Justice Board; its focus would be diluted by extending its range to cover other areas such as the regeneration programme. He underlined that preventative work was a significant part of the plan.

A Member proposed that the Council should make arrangements for young people who had been victims and perpetrators of knife crime to become involved in preventative programmes as this approach was much more likely to influence others. An officer confirmed that young people with such involvement in crime were invited to explain the impact of the crimes on them to audiences of school pupils and other young people. This type of work was supplemented by an annual viewpoint survey of young people to inform the development of services.

The Harrow Youth Parliament representative was concerned about the apparent reduction in the drama programme during the summer and about the infrequency of other related sessions which were often held at times of the day which were inconvenient for some young people. He acknowledged that the programme included much good work, but he considered that there was considerable scope to improve provision. He referred to the indications in Table 13 of the draft plan that there were more vulnerable young people and, in this context, he was concerned that the opportunities for one-to-one mentoring had been removed. The Corporate Director, People Services underlined that the YOT did not provide a universal service; it was a targeted provision operating within budget constraints and pressures, and it was therefore difficult to do more. He acknowledged the points made by the Harrow Youth Parliament, which he had noted in many other forums and meetings, but the Council could not keep repeating its explanations of the reasons behind the reorganisation of the services.

The Harrow Youth Parliament representative considered that the Council could do more to use data available on young people exiting the criminal justice system to offer a more customised and targeted service. An officer advised that while there was no specific mentoring scheme in place, staff were engaged in coaching and advising young people who had been involved in and affected by crime.

A Member asked about the following aspects of the plan: the extent of the IT challenges, the timing of the equalities impact assessment, the need to strengthen the references to preventative work and to joint work with MoPAC on knife crime involving young people. An officer acknowledged the difficulties which had been experienced with the new IT system and confirmed that work continued to improve performance; there had been further investment in both infrastructure and software. The Divisional Director, Children and Young People reported that the equalities impact assessment was very nearly ready to circulate to Members; it was the first time that such an assessment had been conducted for the youth justice partnership plan. The assessment would be included in the documents submitted to the Cabinet when considering the plan. The principal equalities issue was the over-representation of people from BME communities in the criminal justice system.

RESOLVED: That the draft Youth Justice Plan 2017-18 be noted and that the Committee's consideration of it be reported to the Cabinet which will then report to full Council for formal adoption of the plan.

237. Ofsted Inspection - Action Plan

The Committee received a report which outlined progress with the Council's response to the Ofsted Inspection report on Children's Services issued in February 2017. The Portfolio Holder for Children, Young People & Schools expressed her satisfaction at the outcome of the Ofsted inspection, but she underlined the importance of the action plan to address those limited areas where the inspectors had recommended improvements.

The Corporate Director, People Services confirmed that Harrow was in the 25% of local authorities in the country judged as "good" by Ofsted and that there were only a couple of authorities in a higher category. He tabled a chart of the results of the Ofsted inspections of London Borough councils to demonstrate Harrow's performance.

An officer outlined the key messages from the inspection report, in particular the strong political and corporate leadership. He cited one member of the inspection team as having said it was "self-evident that children are everyone's priorities". The inspection had highlighted strengths in terms of the quality of children's social work, the swift and effective legal processes to protect vulnerable children, the integration of relevant policies and themes such as work on child sexual exploitation, radicalisation, etc, arrangements for the education of children in care, and the recruitment and retention of social workers. The inspectors had also commended the quality of training and supervision of staff, the strong relationships between social workers and the children and young people they worked with, and the relationships with key partner agencies. The action plan contained ten recommendations and there was already good progress against each of these.

In response to a Member's query about the recruitment of social workers, the officer underlined the importance of continuity and stability in the support given to vulnerable children and their families. In this regard, retention of good quality staff was a priority for the service as was the recruitment of such staff when vacancies occurred. The service was moving from the use of agency staff with the proportion of them having reduced from 30% to 20%. A growth bid had been submitted in the previous financial to support improved recruitment and retention.

In response to another Member's query about improvements proposed as a result of the inspection, the officer explained that some had been the result of the timing of the inspection. For example, a reorganisation of Early Support Services had been taking place at the time of the inspection and changes had been implemented since; this involved the alignment of the service with Children's Centres and the emerging new youth offer. Higher than usual levels of activity in children's centres had been noted during August and referrals were now more prompt and effective.

A Member asked about work tackling radicalisation among children and young people, and in particular, whether this included work with youth organisations. The Divisional Director, Children and Young People, reported that the Council had received some additional funding for work with schools and youth organisations like Wish and Synergy were also involved in this. He accepted that this was an area in which the Council could improve. The number of

young people identified as vulnerable to or involved in radicalisation, was small; he would send more specific information about this to members of the Committee.

The Chair asked about the attendance of relevant agencies at review meetings for children at risk, in particular how it could be strengthened. An officer explained that “Section 47” child protection investigations were conducted through the Multi-Agency Safeguarding Hub (MASH) which, by definition, involved a range of agencies; this cooperation took place through day-to-day work in discussions of cases and information-sharing. This liaison work was improving with growing cooperation and participation.

A Member queried the real position of progress against the action plan when a number of items were subject to actions to be completed “by the end of September 2017”; he asked for written confirmation of progress on these items. He considered that it would have been easier for Members to monitor progress if the items had been analysed by more discrete and specific tasks; also the format of the action plan, with a narrow column for the largest amount of information on progress, was not effective. He gave the example of Recommendation 4 which related to Paragraph 100 of the inspection report yet, in his view, did not adequately address the issues raised in that paragraph. An officer reported that there were five recommendations on which progress had been judged as “green” and the remaining five were considered to be “amber”; he was pleased with this progress.

The Harrow Youth Parliament representative pointed to the reference, in the response to Recommendation 1, to “Youth Led Needs Analysis” being undertaken with regard to early support services and the ambition that families would not be subjected to unnecessary assessment procedures. He sought assurances that there would be safeguards. An officer confirmed that there would be early identification of needs through the MASH with appropriate passporting to the Early Support Hub. The needs of the individual and/or family would be reviewed against the early support offer.

The Harrow Youth Parliament representative considered that Recommendation 10 related to the involvement of young people in scrutiny and he proposed that there should be more opportunities to engage in the work of scrutiny review panels. The Chair indicated he would welcome increased involvement of young people in relevant reviews. He considered that this would be a positive contribution to the scrutiny work programme particularly in view of the helpfulness of the Harrow Youth Parliament.

A Member asked for clarification of the start date of the revised early support service and as to whether the inspection had delayed implementation. The Divisional Director, Children and Young People reported that the three hubs were in operation and available data now demonstrated a significant increase in numbers involved and improvement in outcomes. There was still work to be done embedding the service, including the drawing together of the youth offer and the Youth Offending Team. The Corporate Director, People Services underlined that the inspection judgement of the service was based on assessment of the plans for its reorganisation.

The Chair suggested that scrutiny leads could be kept informed of progress on implementation of the action at their regular briefings meetings and they could then ensure that the Scrutiny Leadership Group was updated. Should there be any concerns about progress, then these Members could decide whether a report to the Overview and Scrutiny Committee was warranted, though this should be by exception only.

Referring to response to Recommendation 4, the Harrow Youth Parliament representative asked for clarification about the “key agencies” involved in Section 47 investigations. An officer advised that as many as 21 different types of organisation were involved, principally in the fields of education and health, and including public, private and third sector agencies. It was made clear that actual attendance of these agencies at case conferences and reviews would, of course, depend on the particular circumstances, and only those required to input would attend. This approach both made most effective use of resources and also protected the confidentiality of the cases. The MASH process went beyond the involvement of statutory organisations to include a wide range of other relevant agencies.

The Harrow Youth Parliament representative asked about the identification and protection of young people at risk. The Corporate Director, People Services acknowledged that the Council could never guarantee that all vulnerable children and young people would be protected, but great attention was paid to resourcing and establishing secure processes so that the risks were minimised. The Divisional Director, Children and Young People gave the example of careful monitoring of school attendance and outreach work with families and individuals under pressure. A Member asked about protection of girls at risk of FGM, particularly given the low level of prosecutions for the offence. The Corporate Director, People Services confirmed that the Ofsted inspection result reflected that the Council had appropriate measures in place in this respect; however, he underlined that the Council aspired to improve in all aspects of its work protecting children and young people.

The Harrow Youth Parliament representative referred to the issue of consistent and timely updating of Children in Need, Child Protection and Children Looked After assessments. The Corporate Director, People Services considered that the Council should be working to ensure its initial assessments were more reliable so that reassessments became less relevant.

RESOLVED: That the Ofsted inspection report and associated action plan be noted, along with the progress reports on the ten recommendations.

(Note: The meeting, having commenced at 7.30 pm, closed at 9.26 pm).

(Signed) COUNCILLOR PHILLIP O'DELL
Chair

This page is intentionally left blank

Section 1 – Summary and Recommendations

This report sets out the findings and recommendations of the Regeneration Scrutiny Review Panel which met on Wednesday 29 September and 5 October 2017.

Recommendations:

The Overview and Scrutiny Committee is recommended to:

- 1) consider and endorse the report from the Regeneration Scrutiny Review Panel
- 2) forward the Challenge Panel's report and recommendations to Cabinet for consideration.
- 3) acknowledge that the substantive Cabinet response will be available in January 2018.

Section 2 – Report

Introduction

The Regeneration Scrutiny Review Panel was established to scrutinise the on-going Regeneration Programme. The aim of the Panel was to assess whether the Council's proposals for financing the Programme were realistic, affordable, robust and deliverable; ensure that the financial risks were properly considered and that the mitigations proposed were appropriate and balanced; appraise the projected financial benefits of the Programme; and provide Members with a greater understanding and clarity of the financing of the programme.

Key themes emerged including the interest rates that the Council may be subject to; the infrastructure challenges being faced; the population, economic and infrastructure modelling that required to be undertaken at a matter of urgency and the requirement for a robust lobbying strategy to be developed and implemented for the Programme.

The recommendations are based on evidence from local data, information garnered from hosting authorities, and from the Chief Executive, Director of Finance, Divisional Director of Regeneration, the Leader and Deputy Leader of the Council at the Challenge Panels. It is that hoped that this positive review can assist in development of the Regeneration Programme to ensure the best outcomes for Harrow residents and businesses.

A report on the Regeneration Programme is to be considered by Cabinet in December, so officers will provide the response report to the January meeting of Cabinet, to ensure that the position in the response report is as up to date as possible.

Financial Implications

There are no financial implications associated with this report. Cabinet will be considering the remodelling of the Programme at its December meeting.

Performance Issues

There are no specific performance issues associated with this report at this stage.

Environmental Impact

There are no specific environmental impacts associated with this report.

Risk Management Implications

Detailed discussions took place at the Challenge Panel meetings around the risk management of the programme. One of the recommendations requests that the capitalisation of wages be added to the Corporate Risk Register to ensure the Council has considered options to mitigate the risks around this against the revenue budget.

The item is subject to separate risk register as well as being included on Directorate risk register.

Equalities implications

Equality implications may have to be considered on implementation of the recommendations and an EQIA has been undertaken as part of the Regeneration Programme.

Council Priorities

The Council's vision:

Working Together to Make a Difference for Harrow

This review relates to the corporate priorities of:

- Build a Better Harrow
- Be more business-like and business friendly

Ward Councillors notified:	NO
-----------------------------------	-----------

Section 4 - Contact Details and Background Papers

Contacts: Shumaila Dar and Rebecka Steven (Policy Officers), tel nos. 020 8420 1820/ 020 8420 9695

Background Papers: Previous reports to Cabinet on the regeneration Programme

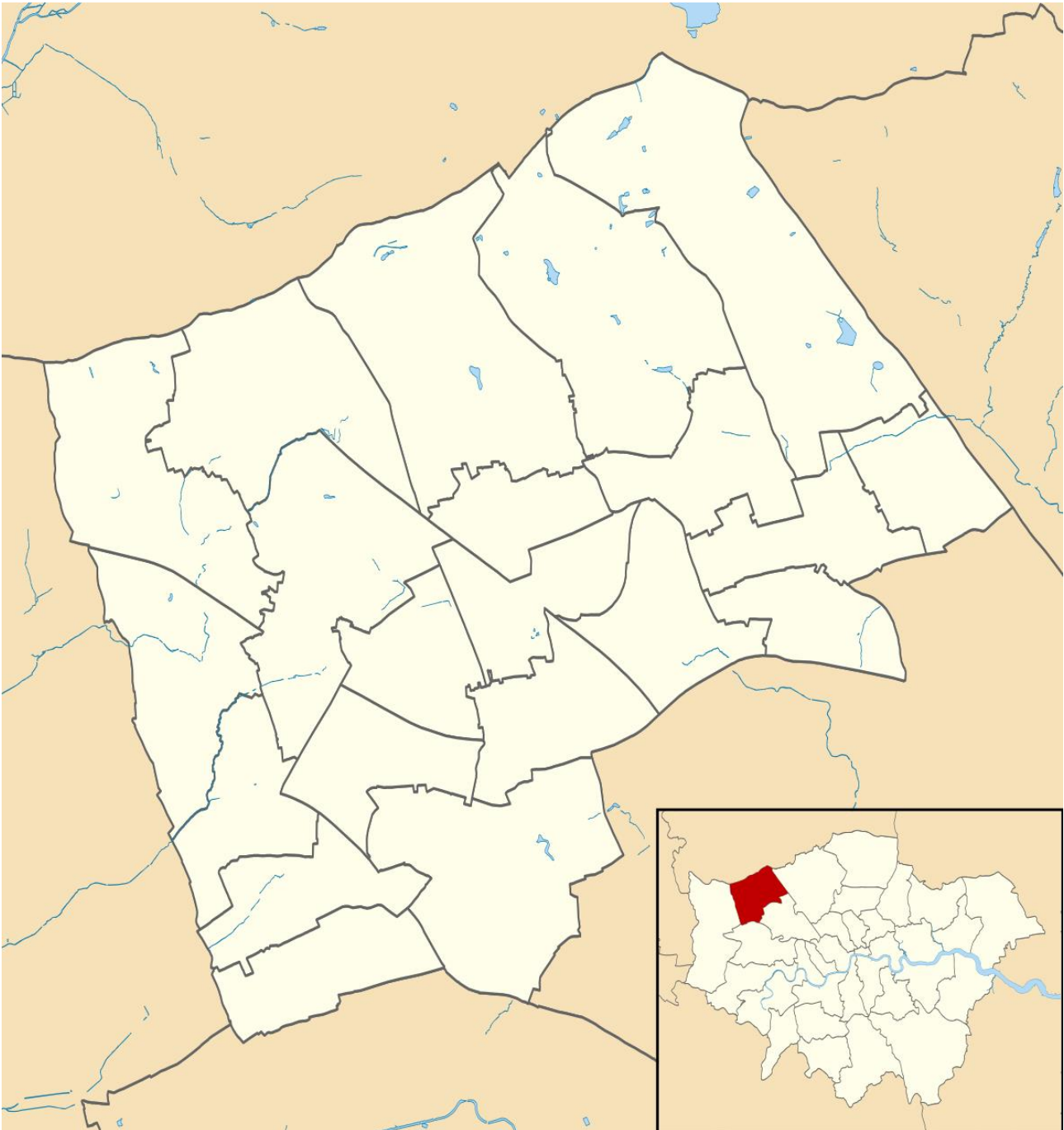
This page is intentionally left blank

Overview and Scrutiny

FINANCING OF THE REGENERATION PROGRAMME IN HARROW

A report by the Regeneration Scrutiny Review Panel

October 2017



Chairman's Foreword

[Foreword to be included by Chairman]

Councillor Barry Macleod-Cullinane
Regeneration Scrutiny Review Challenge Panel Chairman

Scope of Review

This Scrutiny Review relates to the Council's regeneration and development programme on general fund land, HRA land, other public sector land and private land in the borough over the period 2017-21.

The purpose of the review was to:

- Review the planned capital and revenue financing for the regeneration programme and to assess whether the Council's proposals for the financing of its regeneration programme are realistic, affordable, robust and deliverable. This includes aspects of the commercialisation strategy (e.g. the proposal to build private homes for rent) that directly impact upon the Regeneration and Development Programme;
- Review selected financial assessments for individual regeneration projects; including investigating the regeneration programme finance model, in particular the underlying assumptions, cash flow projections and projected costs and benefits over the near and longer term;
- Ensure that financial risks are properly considered and that proposed mitigations are appropriate and balanced;
- Appraise the projected financial benefits of the Council's regeneration programme, and ensure a balanced risk management process and proposed mitigation measures are in place;
- Greater understanding and clarity of the financing of the Regeneration and Development Programme by members;
- Carry out a review of projected benefits of the regeneration programme, including direct and indirect benefits to the Council, business and to the local community.

The measure of success for this scrutiny review was to ensure a greater understanding and clarity of the financing of the Regeneration and Development Programme by members.

Methodology

This Scrutiny Review has involved desk research, two Challenge Panels and two Field Visits as detailed below:

1. Policy Officers undertook desk research into the financing of regeneration programmes in a select number of Councils that have a similar make-up to that of Harrow. The aim was to investigate what other comparable local authorities were doing as part of a regeneration and commercialisation agenda. The Panel also had the opportunity to scrutinise the latest update on Regeneration, which was published on 14 September 2017.
2. Members and officers visited two London Boroughs (Barnet and Waltham Forest) to gain a detailed understanding into the challenges that were being faced. These Field Visits explored best practice by other councils in how they finance and manage their regeneration and development programmes. The political leadership

of the councils that were chosen for visits were equally divided between Conservative and Labour control, reflecting the main political parties in the council.

3. Two Challenge Panels were held, with questions being put to the Chief Executive, the Director of Finance, the Divisional Director of Regeneration and the Leader and Deputy Leader of the Council.

Harrow Context

Harrow prides itself in being one of the most ethnically and religiously diverse boroughs in the country with people of many different backgrounds and life experiences living side by side. It is the richness of this diversity, and the positive impact that it has on the borough and the community. 69.1% of residents classify themselves as belonging to a minority ethnic group and the White British group forms the remaining 30.9% of the population, (down from 50% in 2001). The 'Asian/Asian British: Indian' group form 26.4% of the population. 11.3% are 'Other Asian', reflecting Harrow's sizeable Sri Lankan community, whilst 8.2% of residents are 'White Other', up from 4.5% in 2001. In terms of religious belief, Harrow had the third highest level of religious diversity of the 348 local authorities in England or Wales. The borough had the highest proportion of Hindus, Jains and members of the Unification Church, the second highest figures for Zoroastrianism and was 6th for Judaism. 37% of the population are Christian, the 5th lowest figure in the country. Muslims accounted for 12.5% of the population.

Harrow has a population of 247,130 people¹ which has grown over the last decade by 11.8%. This is above the UK average annual population increase rate over the same time period. 49.8% of the population are male, whereas 50.2% of Harrow's residents are female. Harrow is an affluent borough with pockets of deprivation mainly around the centre, the south and east of the borough; including the wards, Roxbourne, Greenhill, Marlborough, Harrow Weald, and Wealdstone, which also has the highest level of income deprivation in the borough. Harrow's least deprived areas are largely found in the north and west of the borough.

Employment levels in Harrow are generally good, and Harrow has seen a reduction in unemployment and the number of long term unemployed claimants. However, a number of residents are low paid and have low functional skills. The employment deprivation domain within the 2015 Index of Multiple Deprivation (IMD) indicates 12,083 of Harrow's residents experiencing employment deprivation. This includes people who would like to work but are unable to do so due to unemployment, sickness or disability, or caring responsibilities.

Overall, Wealdstone is Harrow's most deprived ward for employment deprivation, closely followed by Roxbourne. Unemployment figures are highest in Greenhill, Wealdstone and Roxbourne wards. Employment deprivation is generally concentrated in areas with higher levels of social housing, such as the Rayners Lane Estate in Roxbourne; the Headstone Estate in Hatch End and Harrow Weald; the Woodlands and Cottesmore Estates in Stanmore Park; and the former Mill Farm Close Estate in Pinner.²

¹ According to 2015 Mid-Year Population Estimates

² Harrow Council (2017) *Equality Matters: Reducing Inequality in Harrow*

In terms of child poverty³, Within Harrow, the highest proportions of the population without qualifications or with low level qualifications are in Kenton East, Edgware, Roxbourne and Roxeth. Poor language skills are a major barrier to progressing in the workplace. Harrow was one of 25 local authority areas identified by the Department for Communities and Local Government as an area with high levels of need for English Language provision. 28.5 % of Harrow's residents have a foreign first language. In 15.9 % of households English is not the main language of any household occupants, the 10th highest ranking nationally and much higher than the national level of 4.3 %. The 2011 census showed 1% of Harrow residents unable to speak English at all, compared to 0.6% for London and a national figure of 0.3%.

(FSM) and non FSM in terms of the number achieving at least 5 A*-C GCSE grades. Families in Harrow experience poverty for a variety of reasons, but its fundamental cause is not having enough money to cope with the circumstances in which they are living. A family might move into poverty because of a rise in living costs, a drop in earnings through job loss or benefit changes. Children in large families are at a far greater risk of living in poverty – 34% of children in poverty live in families with three or more children.

Schools in Harrow are; on the whole, among the best performing in the country which has been maintained over a number of years, with 95% being judged as Good or Outstanding (31st August 2016). However, inequalities in education exist in Harrow, particularly amongst children with special educational needs (SEN), those eligible for FSM, and specific ethnic groups. There is a wider gap between pupils who have special educational needs and their peers at Key Stage compared to the national average. Additionally, children who receive FSM show less progress across all subjects between Key Stage 1 and Key Stage 2 compared to their peers.

In terms of public voice and victim satisfaction, *Harrow is currently recording 79% victim satisfaction (ranked 20th in London) and 64% 'good job' confidence levels for residents of the borough (27th of the 32 London boroughs); this is according to data published by the Mayor's Office for Policing and Crime.*

Harrow is fortunate that it is served by London Underground Lines, London Overground, London Midland, Chiltern Railways and Southern Railway, which connect it to London and the rest of England.

Council Priorities

In light of the local context Harrow have based the Council's Ambition Plan on the following priorities:

- **Building a Better Harrow**

The Council's regeneration programme for the delivery of new homes, creation of new jobs, commercial workspaces and high quality town centres will create the places and opportunities that residents deserve and make a difference to the borough and to residents' health and quality of life.

³ Poverty in this document refers to the *relative* poverty measure (defined by Peter Townsend as "Resources that are so seriously below those commanded by the average individual or family that they are, in effect, excluded from ordinary living patterns, customs and activities."). The definition of poverty used in this document is: *Families which have £79 less per week than families on average income.*

- **Protecting the Most Vulnerable and Supporting Families**
The Council's aim is to make sure that those least able to look after themselves are properly cared for, safeguarded from abuse and neglect and given access to opportunities to improve their quality of life, health and wellbeing.
- **Being more Business-like and Business Friendly**
The Council aims to support local businesses and enable them to benefit from local economic growth, develop its own commercial ventures and help residents gain new skills to improve employment opportunities.

Harrow's Regeneration Programme

Through regeneration the Council aims to make a difference for:

- Communities, by providing new homes and jobs, vibrant town centres and an enhanced transport infrastructure and energy network;
- Business, by providing new commercial workspace, support to access markets, advice and finance;
- Vulnerable residents, by providing access to opportunities, reducing fuel poverty and designing out crime; and
- Families, by providing new family homes, expanded schools and renewing Harrow's estates.

The aims of Harrow's Regeneration Strategy are to:

- Meet the demands of a growing population
- Build on the skills base of Harrow's residents to support sustainable business growth
- Deliver more jobs and homes to meet targets agreed with the Mayor
- Increase Harrow's accessibility to an increasing customer base
- Provide an environment which promotes physical activity and healthy living
- Achieve a step change in the quality of design and development.

The regeneration strategy is therefore a key priority for the council, and has a number of objectives, including:

- 'Building a Better Harrow' together, for today and for future generations.
- Addressing housing need, particularly for affordable housing.
- The Council developing its own land – to meet community needs and to make better use of its own assets.
- A new initiative for the Council to build homes for private rent (in addition to social rent/affordable housing). There is a Build-to-Rent programme to develop about 600 new private rented sector (PRS) homes on Council land, for market rent.
- Renewing civic, cultural and community facilities and meeting infrastructure needs through the provision of: 2 new schools, a new Central Library and a new (more efficient and smaller) Civic Centre, together with improved cultural and leisure provision.
- Creating quality places – both through a focus on quality design in new development and through schemes to create new public squares and spaces and to improve key links and routes (such as Station Road).

- Getting maximum benefit for the local economy – through the creation of new employment space and measures to develop local apprenticeships and training schemes and to build local supply chains.

The programme comprises 9 sites, together with the district heating programme currently in feasibility. It is currently envisaged that the initial phases of works will comprise around 600 units of private rented housing, together with a New Civic Centre for Harrow. It is envisaged that the later phases will be delivered in concert with development partners and will produce affordable housing, workspace and commercial facilities, plus housing for market sale. Subject to agreement on funding and affordability, a new or remodelled leisure centre may also be delivered at Byron Quarter.

Faithful & Gould are now working on the programme as cost consultants and are providing commercial advice together with benchmarking using the wide range of comparable data available to them. This is informing design development to ensure that schemes meet the Council's objectives while remaining financially viable, before designs are submitted to planning.

Poets' Corner – The flagship project in Harrow's regeneration programme, the site is currently the civic centre and offices for Harrow Council. The project involves the delivery of about 900 homes (including approximately 400 build-to-rent units to be retained by the Council), a new school, commercial and community space and high quality public realm. Contracts have been exchanged for the purchase of the Wealdstone Social Club. Also, the negotiations with the GLA on the Housing Zone funding for Poets' Corner are at an advanced stage. The design team has started work on RIBA stage 3 (detailed design). The target planning submission date is October 2017, for a hybrid application to approve the masterplan and detailed proposals for phase 1. As part of design development the number of residential units in Poets Corner Phase 1 has increased from 350 to approximately 410 (the exact number is subject to review as the design is further refined). This can be achieved within the existing budget.

New Civic 'the Wealdstone Project' – A new Civic Centre is being planned for Wealdstone. The new, smaller home will be more efficient to run as well as delivering necessary services, housing and affordable workspace and improved public realm. The project has reached RIBA stage 2 (concept design) and the target planning submission date is November 2017. 3.5. Byron Quarter – the project will provide a mix of housing types and tenures, including Council-owned build-to-rent and affordable. The RIBA Stage 2 (Concept Design) report has been completed and approved by Project Operations Board. A business case is under review for Phase 2, which would potentially include a new Leisure Centre and other facilities for indoor/outdoor recreation and sport. This will be subject to Cabinet decision later in the year. A planning application is scheduled for November 2017. In parallel with the increase in build-to-rent units at Poets' Corner the rental component in Byron Quarter Phase 1 has been reduced from 200 to 135. The remainder of Phase 1 will be delivered as homes for sale and private development.

Greenhill Way – A feasibility study has being produced showing options around high quality commercial and residential development including homes, offices, retail, hotel and leisure uses. Soft-market testing has demonstrated the opportunity to take this scheme to market.

Haslam House – pilot project. Nine units of Council-owned build to rent accommodation. Following a public engagement programme, and revisions to the initial scheme, planning approval was secured in September 2016. It has been decided to appoint a new contractor following the pre-construction agreement work, in order to ensure that the Council achieves the best possible price for the delivery of this scheme. It is now proposed that the project is re-tendered on an open, single stage basis, using the existing design information. The tender will be advertised via the London Tenders Portal and Contracts Finder in accordance with Harrow's Contract Procedure Rules. Once the procurement process is complete it is recommended that the decision to enter into contract is delegated to the Chief Executive following consultation with the Portfolio Holder for Business, Planning and Regeneration, the Portfolio Holder for Community, Culture and Resident Engagement and the Portfolio Holder for Finance and Major Contracts.

Vaughan Road – this scheme is for 33 units of Council-owned build to rent accommodation and has been submitted for planning approval. An extensive pre-application public engagement programme has recently been completed.

Waxwell Lane – Residential development on the Waxwell Lane car park site. Following an extensive consultation programme, an options paper and RIBA Stage 2 (Concept Design) Report have been completed. Following council approval of one of the options in the options paper, the project is ready to progress into detailed design. Refer to section 6 below for further details.

Roxeth Library – aims to provide an improved library facility along with residential development. A final response is awaited from the Ministry of Defence on the height limit for the nearby high priority Grange Farm site. The next step is to progress a feasibility review and an options paper to scope whether or not a development is viable within the current height limit for this site.

Harrow Arts Centre – the Regeneration Unit has been instructed by the Council to engage users and community and stakeholders to progress a fresh development brief retaining cultural uses and recommend next steps whilst the centre continues to operate. The future delivery of arts and heritage services is subject to a separate report on the agenda, with the report recommending that Cabinet authorise the Divisional Director of Environment and Culture, following consultation with the Portfolio Holder for Community, Culture and Resident Engagement, the Deputy Leader and Portfolio Holder for Business, Planning and Regeneration, and the Divisional Director of Regeneration, Enterprise and Planning, to develop an options appraisal for the Harrow Arts Centre site to be brought back to Cabinet.

Gayton Road – This is a scheme of 358 units which is being delivered by Fairview Homes and will deliver 72 affordable homes and 53 build-to-rent homes to the Council through a development agreement. Phased handover starts in spring 2018 and continues for approximately 1 year. The project is currently on site and ahead of schedule.

District Heating Network – Following completion of the Energy Master Plan, a detailed feasibility study is now underway to establish the best method to deliver heat to the major regeneration sites. This includes an evaluation of the best location for energy centre(s) to deliver combined heat and power. Financial viability for an integrated network to serve a number of sites is being established. Match funding is available from central government for this project but no final decision will be taken on whether or not to proceed until a

business case is complete. Related projects all have alternative energy strategies should the integrated network not proceed.

Case Studies

As part of the Regeneration Scrutiny Review we undertook research into other local authorities who were undertaking regeneration programmes. This provided members insight and evidence on the scale and financing of regeneration programmes across a number of London boroughs. The paper included councils that are closest in comparison to one another based on a set of indicators of the demographic and socio-economic nature of the borough, including: total population, taxbase per head of population, % unemployed, retail premises per 1,000 population, and housing benefits caseload.

Closest comparator Councils with regeneration programmes include:

- Hillingdon
- Ealing
- Croydon
- Enfield
- Hounslow

In addition, the Chairman and Vice-Chair requested that information on the regeneration programmes in the following boroughs also be considered by the Regeneration Scrutiny Review Panel:

- Wandsworth
- Haringey
- Waltham Forest
- Barnet

Information on the councils listed above was prepared using a combination of information extracted from Council web sites, regeneration strategies, project reports, developer web sites, local press stories, and Regeneration Council officers. A complete copy of this desk research can be found in the Annex to this paper.

Overview of Challenge Panels

Two Challenge Panels were held, on 27 September and 5 October. Members heard from and asked questions of the Chief Executive, the Director of Finance, the Divisional Director of Regeneration, the Leader and Deputy Leader of the Council. The detailed notes of both meetings (including all questions asked, and answers provided) are appended to this report.

The main discussion points were as follows:

Programme Rationale

Members heard from the Deputy Leader that there were five guiding principles to the Programme:

1. Providing housing
2. Providing jobs

3. Providing good education
4. Linking up with the NHS to provide excellent local services
5. Providing excellent local leisure facilities

Extensive consultation had been undertaken with the local population and stakeholders to frame the Programme. The Leader of the Council stated that he wanted the programme to tackle crime and ensure that the benefits of Programme are felt by all residents and businesses.

Borrowing/ Spend to date

Members were advised that the Council had not borrowed anything to date and that officers hoped that there would not be a requirement to borrow over the next financial year. An update on this would be provided to the Cabinet in December.

The spend to date was £15m (in this financial year) including land assembly, site purchase, engineering contracts and capitalised time of the Regeneration Team; this represented an underspend of the projected budget. The Director of Finance undertook to provide members with a forecast of all spend for the year end outwith the meeting; officers were currently working on revised Quarter 2 returns and would be in a position to provide accurate figures for this financial year.

Risk Management

Members queried as to whether wages could be capitalised for all projects and whether the capitalisation of wages had been included on the risk register. Officers confirmed this was not the case.

In relation to capitalisation and costs, officers confirmed that this did not include payments to consultants.

Recommendation 1

For the Corporate Risk Register to include the capitalisation of wages in the Regeneration Programme, and the revenue risk involved if this cannot happen in certain cases

Officers explained that there were three levels to the risk management process; (1) project level discussions were held monthly, (2) programme level risks were recorded and (3) utilisation of the corporate risk register. The Chief Executive further expanded that in addition there were macro level risks, Brexit, changes in legislation, changes in interest and borrowing rates, rental values, housing market changes all to take into account.

Interest Rates

PWLB rates were 2% short term and 2.7% for longer term loans; officers provided an assurance that they were keeping the model up to date in relation to interest rates changes, and explained that the Council would take on a loan at a fixed rate to mitigate against future changes to interest rates. The Chief Executive added that it was likely that interest rates would rise in the near future, so at the December Cabinet meeting, Members would be asked to consider borrowing options including locking it in for two years, Bonds and the European Investment

Bank. The Deputy Leader stated that if interest rates rose to 5% then a return of 10% would be required (the current model is based on a 5% return rate).

Officers reinforced that this was a phased project, so there was scope for rephasing, scrapping a phase or delivering a phase in a different way if the financial climate changed significantly.

Modelling and Commercial Strategy

Members noted that at the point the Council borrowed there would be a revenue effect and that there were a number of these effects had not been modelled or taken into account, including additional pressure on the NHS, refuse collection, education services, a potential increase in crime and council tax benefits.

The Chief Executive suggested there was also a need to look at the social and economic effects, increase in employments, business rates and apprenticeships – all of which would have a positive impact on the local economy. He continued that the Council now had an infrastructure delivery plan, and that there was CIL money to invest in infrastructure (it was projected that the Council will receive around £20-£22m), but that more work was required on this. The Chief Executive added that this modelling should be reflected in the December report to Cabinet.

A discussion took place around the need for health centres to be built as part of the Programme, perhaps in partnership with the private sector; it was suggested that this should be integral to the Programme in order to truly build a better Harrow.

Members raised the issue of the regeneration of Harrow Town Centre; Debenhams was detached since the opening of St Annes and St Georges Centres. The local businesses were successful, but for the larger companies the demographic and economic profile was wrong. It was difficult to see how the Council could attract larger brands/ companies to Harrow. If the Council wanted to attract more businesses to the Town Centre, it was imperative that it was businesses suited to the profile of the population. The Deputy Leader agreed with this point and added that he would like to see an increase in retail and leisure facilities, and make Harrow a destination for food. He advised that talks had taken place with retail analysts who would recommend what should be provided.

The Deputy Leader further advised that he had been in discussions around shops in St Annes extending their opening hours, but the tenants are of the view that it would cost more to stay open than they would recoup in sales.

Members raised a general concern that there seemed to be a lack of joined up thinking in relation to the Programme and that the issues that had not been taken into account to date may have a significant impact on the success of the project, so it was imperative that officers undertake the all encompassing modelling as a matter of urgency.

Recommendation 2

Officers to produce one report that includes all risks and mitigations in relation to the Regeneration Programme, including the effect the increase in population will have on NHS, education, transport services (including

both infrastructure improvements to rail and bus services and better London orbital routes and an increase in London Midland services and local transport issues that will be experienced throughout the developments – parking and road issues) and refuse collection and increased demand for enforcement and regulation against the potential social and economic gains including increase in Council Tax receipts and business rates (including any business profiling that has been undertaken and a strategy to encourage businesses to move and stay in Harrow), New Homes Bonus, increased employment (and whether this will be long or short term), apprenticeships

Infrastructure

Members probed as to the actions being taken to alleviate parking pressures. The Leader of the Council stated that this was a consideration of the Planning Committee for each application it received. The Chief Executive added that a report had been produced by Atkins, specifically on the Wealdstone area. Members again reiterated the need for a cumulative report that considered all of this, transport, health, education, needs to be one governance oversight of all of this in one place.

It was suggested that there was a lack of employment / office facilities in Harrow, and that this was not a new problem. It was noted that there was no large industrial estate. Members asked what was being done to get large businesses into the local area. The Head of Regeneration undertook to provide a written response to this. In the same line of questioning at the second Challenge Panel, the Deputy Leader suggested that there was a need to engage with a developer who was familiar with the local area in order to develop a viable project.

Members raised the issue of the frequency of London Midland trains, and it was unanimously agreed that this service should be more frequent. The Deputy Leader added that there had been discussions with TfL around this and also in relation to a proposed express Heathrow Airport service with Luton Airport, even potentially operating as a council run service, but no progress had been made on this to date. Members queried as to whether a lobbying strategy was in place. The Leader agreed that there was a need for a more frequent London Midland service and stated that he was in discussions around how to push to extend HS1 line. He continued that the train platforms were often nearly at capacity, and that he would continue to lobby around this, and could and would push harder. In relation to local job opportunities, the Leader suggested that more cross party work could be undertaken.

Recommendation 3

For a letter to be drafted from the Leader of the Council and the Leader of the Opposition to the Mayor and TfL (London Underground Lines and London Overground), Government Ministers/Department of Transport, Network Rail, and rail operating companies (London Midland, Southern, and Chiltern Railways) calling for improvements in capacity and facilities at Harrow and Wealdstone Station and Harrow-on-the-Hill station along with greater frequency, more capacity and improved reliability of all London Underground Lines, London Overground, London Midland, Chiltern Railways and Southern

Recommendation 4

For a lobbying strategy to promote improved transport links to central London and out of London to be developed and integrated within the Regeneration Programme

Population Projections

Officers advised that 5500 homes would be built over ten years, which would see an increase of between 11 and 15000 people; but some of that demand was already in the borough. The Chief Executive agreed that there was a requirement to consider the impacts of the population increase.

The Deputy Leader suggested that an objective of 3500 new jobs was achievable. Members reiterated that long term jobs had to be created, in addition to short term jobs associated with the building phase of the Programme.

Recommendation 5

Chief Executive to produce a Harrow specific, all-encompassing infrastructure plan/ strategy, which will incorporate the Atkins study on Wealdstone and clearly set out how the impacts of the Regeneration Programme will be managed both short and long term

Recommendation 6

For all strategies produced by the Council to reference the Regeneration Programme and how they contribute to or are impacted by it

The final recommendations to Cabinet from the Panel are:

1. That the Corporate Risk Register include the capitalisation of wages in the Regeneration Programme, and the revenue risk involved if this cannot happen in certain cases;
2. That it instruct officers to produce one report that includes all risks and mitigations in relation to the Regeneration Programme, including the effect the increase in population will have on NHS, education, transport services (including both infrastructure improvements to rail and bus services and better London orbital routes and an increase in London Midland services and local transport issues that will be experienced throughout the developments – parking and road issues) and refuse collection and increased demand for enforcement and regulation against the potential social and economic gains including increase in Council Tax receipts and business rates (including any business profiling that has been undertaken and a strategy to encourage businesses to move and stay in Harrow), New Homes Bonus, increased employment (and whether this will be long or short term), apprenticeships;
3. That a letter to be drafted from the Leader of the Council and the Leader of the Opposition to the Mayor and TfL (London Underground Lines and London Overground), Government Ministers/Department of Transport, Network Rail, and rail operating companies (London Midland, Southern, and Chiltern Railways) calling

for improvements in capacity and facilities at Harrow and Wealdstone Station and Harrow-on-the-Hill station along with greater frequency, more capacity and improved reliability of all London Underground Lines, London Overground, London Midland, Chiltern Railways and Southern;

4. That a lobbying strategy to promote improved transport links to central London and out of London to be developed and integrated within the Regeneration Programme;
5. That it request that the Chief Executive to produce a Harrow specific, all-encompassing infrastructure plan/ strategy, which will incorporate the Atkins study on Wealdstone and clearly set out how the impacts of the Regeneration Programme will be managed both short and long termthe Chief Executive produces a Harrow specific, all encompassing infrastructure plan/ strategy, which will incorporate the Atkins study on Wealdstone and clearly set out how the impacts of the Regeneration Programme will be managed both short and long term
6. That all strategies produced by the Council to reference the Regeneration Programme and how they contribute to or are impacted by it.

To | Members of the Regeneration Scrutiny Review Panel
 Author | Shumailla Dar

Briefing Paper – Regeneration Programmes

This briefing paper has been produced as part of the Regeneration Scrutiny Review to provide insight and evidence on the scale and financing of regeneration programmes across a number of London boroughs. The paper includes councils that are closest in comparison to one another based on a set of indicators of the demographic and socio-economic nature of the borough, including: total population, taxbase per head of population, % unemployed, retail premises per 1,000 population, and housing benefits caseload – please see the attached excel spreadsheet for further information. Additionally, the briefing also includes Councils which are being considered by the Chairman and Vice-Chair of the Regeneration Scrutiny Review.

Closest comparator Councils with regeneration programmes include:

- Hillingdon
- Ealing
- Croydon
- Enfield
- Hounslow

In addition, Chairman and Vice-Chair requested that information on the regeneration programmes in the following boroughs also be considered by the Regeneration Scrutiny Review Panel:

- Wandsworth
- Haringey
- Waltham Forest
- Barnet

The information contained in this briefing note has been prepared using a combination of information extracted from Council web sites, regeneration strategies, project reports, developer web sites, local press stories, and Regeneration Council officers.

Hillingdon Regeneration Programme (Conservative)

Outline/Aims of Regeneration Programme:

Promoting the economic viability of Hillingdon's town centres as well as ensuring that residents across all age groups and skill levels are supported quickly and effectively into sustained employment.

Specific Projects:

1. Hayes Town Centre – Including:
 - Improvements to public realm (e.g. new parking measures, better footpaths and street lighting)
 - Shop front improvements
 - Commercial space for traders

Annex

- Retail apprenticeship schemes
 - Old Vinyl Factory Site
2. Uxbridge Town Centre – Focused on shop front improvements (e.g. better signage, awnings, displays etc)
 3. Yiewsley and West Drayton – Improvements to public realm, landscaping, union canal bridge feature
 4. Northwood Hills – High street restoration and road improvements
 5. Harefield Village Centre – Public realm e.g. road resurfacements, pavement, street lighting, landscaping, shop front improvements
 6. Ruislip Manor Improvements – High street modernisation, painting railway bridge, paving, new commercial space

Funding:

1. Hayes Town Centre:
 - £4.5m funding from TfL
 - £240,000 grant from Mayor of London's Outer London Fund
 - £61,000 investment from local businesses through the Shop Front Improvement Scheme¹
 - Old Vinyl Factory Site allocated £7.7m from GLA's 'Growing Places Fund' to build a Central Research Laboratory – to provide support for new hi-tech manufacturing businesses
2. Uxbridge TC:
 - Shop Front Improvement Scheme
3. Yiewsley and West Drayton:
 - £1.6m from Crossrail's 'Complementary Measures Fund'² for West Drayton (ring-fenced for urban realm improvements around the railway station)
4. Northwood Hills:
 - £1.3m from GLA and £461,000 match-funding from Hillingdon Council
5. Harefield Village Centre:
 - Fully funded by TfL
6. Ruislip Manor Improvements:
 - £1.4m investment from GLA and £438,000 from Hillingdon Council

Chrysalis Funding:

Hillingdon Council allocates £1m Chrysalis Funding each year to be spend on improvements of Council-owned assets. Anyone over the age of 18 in Hillingdon can apply for a project to be funded, and successful bids are chosen by a Cllr, and the Cabinet Member for Communtiy, Commerce, and Regeneration.

Since 2009, 100 projects have been awarded money, including installation of new playgrounds, refurbishing community buildings, footpath improvements, and outdoor gyms.

¹ Hillingdon Council offer local shop traders grants of up to £4,800 to help them provide better signage, awnings, displays etc. Successful business applicants pay 20% towards their improvements, while the Council pays the remaining 80%. The work is supported by designing and advertising company 'Designed by Good People'

² TfL and Crossrail set aside £30m in early 2014 for improving urban realm around outer London surface level rail stations and bids invited.

Ealing Council (Labour)

Outline/Aims of Regeneration Programme:

There are many new development sites in the borough, offering a mixture of housing, retail, leisure, and business development opportunities. There has been a particular focus on developing 'Thriving Town Centres'. A principal aim of Ealing's regeneration programmes is to generate extra future income from business rates. The East Acton Local Strategic Partnership (EALSP – established in 2012) for instance, decided that its future work programme for 2013 would focus on delivering projects which increase 'prosperity' in Ealing.

Ealing's economic regeneration team aims to:

- enhance the character of town centres and high streets
- improve pedestrian, cycle and vehicular movement
- support local trade
- encourage enterprise and the creation of new jobs

Specific Ealing Town Centre regeneration programmes and their aims:

- *'Good for Greenford'* – To revitalise the heart of Greenford Town Centre. The main aim being to improve safety and reduce congestion for all road users.
- *'Southall Big Plan'* – Spurred on by the arrival of Crossrail, a planning framework is being prepared which will unlock significant development potential. The framework will see Southall transformed as a town centre, to an area of major housing growth and significant employment.
- *East Acton Town Centre Development* – Make Acton the centre of choice for local residents by improving the diverse and mixed retail, leisure and community experience alongside a high quality, attractive physical environment that encourages visitors to stay longer
- *Hanwell* – A £1m town centre improvement programme, with specific focus on shopfront improvement and increasing footfall.

Funding:

Ealing Council was awarded £7.3m from TfL's Crossrail Complementary Measures (CCM) fund after a successful bid. This is close to a quarter of the total £28.5m pot which was made available to London. £2m of this fund has been used to help with the revitalisation of Greenford TC.

Ealing also received £500,000 from TfL's Local Implementation Plan (LIP) (supported by £148m funding from Mayor of London) for a project in Sudbury Village which will see significant interchange improvements between the two rail stations in Sudbury.

The Council has also set up a development company so that it can borrow beyond its Housing Revenue Account debt caps and build hundreds of homes that cannot be sold under the right-to-buy. The council-owned company (also known as a 'COCO') – *'Broadway Living'* – was set up in 2014 with a loan from the council's General Fund, which does not count towards the HRA borrowing cap. These firms can borrow on capital markets and build homes on behalf of local authorities to offer at below-market rents, as well as new homes for private sale or rent on the open market. In this way, the Council can continue to develop housing whilst raising income and preventing any increases in debt³. Ealing has committed to developing 500 homes through this

³ Update (19/02/17) – The government has announced in the small print of a recent white paper on housing that the Right to Buy scheme will be extended to homes built by these 'arms-length' Council-owned housing

Annex

company over the next five years, as part of the regeneration of the Copley Close estate in Hanwell.

In total, more than a third of councils have set up these companies, with 36 local authorities creating such firms in the last year alone. In addition to Ealing, other London Councils which have set up COCo's include Enfield, Croydon, and Sutton. All three councils are also looking at what other services might be better provided through council-owned companies: Enfield and Sutton are looking to establish COCos for district energy provision, as in theory a company can be set up to provide any service.

Croydon Council – Croydon Town Centre 'Growth Zone' (Labour)

Outline/Aims of Regeneration Programme:

The Croydon 'Growth Zone' project consists of '39 steps' of public infrastructure projects – tram improvements, road works, new secondary schools – in a drive for growth in the Town Centre involving £500m worth of capital spending⁴. This constitutes the biggest public investment in the borough for half a century. The overall intention is to create 'A more people friendly, accessible and inclusive environment and change the overall perception of the town centre as a place to live, work and invest in.'

The Council sees its Growth Zone plan as a way to 'differentiate Croydon as a place to invest in London in a time of economic uncertainty post-Brexit.' Only three of the 39 schemes listed are expected to be completed before 2019, with 24 of the projects scheduled to be finished between 2019 and 2022.

The proposals, presented in the Council's '*Growth Zone – Overview and Financial Arrangements for Repayment*' report to Cabinet (11/07/2016), state that the new infrastructure will enable development and economic growth in Croydon leading to:

- 23,594 new jobs
- a further 5,097 jobs during construction phase
- at least 10,000 new homes
- renewal of the retail core ensuring the metropolitan centre is an attractive place to live, work and invest.

companies set up to get around restrictions on housebuilding. – [Please see Independent article here.](#)

Existing rules which restrict Council LHA borrowing and give them only a third of the cost of building a new home once one is sold under RtB, mean that replacing Council homes is nearly impossible for LAs. In addition, the RtB scheme often sells houses to tenants for huge discounts (up to £100k), leaving Councils out-of-pocket.

LGA spokesman: "It is crucial that councils are allowed this flexibility so the delivery of additional homes remains viable."

⁴ The projects to be developed in "Croydon's 39 Steps" include the Dingwall Road tram loop, provision of an additional electricity sub-station, additional buses, other public transport improvements including a westbound tram stop at Reeves Corner.

Annex

In addition to the Growth Zone development, The Croydon Partnership (a joint business venture between Westfield and Hammerson) is working on a £1.4 billion commercial redevelopment of the Whitgift Centre shopping mall.

The local authority also has plans for significant investment in cultural, community and leisure facilities across the borough including a £30m investment in Fairfield Halls and a new leisure centre at New Addington.

Funding:

Total critical infrastructure cost of the Growth Zone regeneration is £600m. The Council has found £333m by tapping into available money from a variety of public sources, including GLA, TfL, and the NHS. The Treasury are allowing Croydon to retain the business-rates revenue from the area, which will fund the necessary infrastructure needed for major developments, and will in turn both accelerate the timescale of such projects and attract more businesses to the borough. The government has also awarded Croydon a £7m revenue grant to cover the interest costs associated with borrowing in the early years of the Growth Zone project, prior to any significant uplift in Business Rates. Croydon Council predicts that all debt associated with the provision of the infrastructure will be fully repaid by 2038.

Similarly to Ealing, Croydon Council has also set up a (COCO) development company called *Brick by Brick*, to help with its goal of building 1,000 new homes by 2019. Brick by Brick is a private, independent company, with the Council acting as sole shareholder. It aims to deliver high quality new residential-led development on a range of sites across the borough. Development profits will be returned to the council as shareholder and recycled to fund council activities.

Enfield Regeneration Programme (Labour)

Outline/Aims of Regeneration Programme:

Enfield's regeneration programmes are designed to create 'vibrant, prosperous communities' – delivering new homes (mixed tenure, including affordable), new high-skilled jobs, commercial space, opportunities for investment, thriving high streets, and a new local energy company. A further specific aim is to attract major employers to the area through excellent transport and internet connections.

Specific Projects:

1. Meridian Water – Total cost: £6bn. Enfield Council's core development; delivering 10,000 new homes (including a large proportion of Private Rental Sector housing to make the area suitable for investment), and 6,700 permanent jobs. Project is due to finish in 2019. Will provide an estimated £10.7bn boost to economy by 2031.
2. Electric Quarter (Ponders End) – £40m. Redevelopment of Ponders End High Street will provide opportunities for investment, high quality homes, jobs, and a thriving high street. Alma Estate – £150m. Enfield Council's largest housing estate renewal scheme – will act as a 'catalyst' for wider regeneration of Ponders End, enhance the areas green space and public realm.
3. Ladderswood Estate – To create 517 new, mixed-tenure homes, 1,400 sqm of commercial space, a new community centre, 80-bed hotel (providing employment and training opportunities), and a new local energy centre.
4. New Avenue Estate – £160m. Part of Enfield's estates renewal programme, will increase homes on the estate from 163 to over 400.

Annex

5. Small Housing Sites – Creating residential, mixed-tenure developments that integrate into existing screen scene, and help to improve the area profile. Includes 94 ‘exemplar’ homes on 7 sites across the borough – 37 will be ‘affordable’ (20 social rent, 17 share ownership), and 57 private rent.
6. Energetik (Energy Company/Networks) – £85m. New local energy company and networks.
7. Angel Road Station Improvements – Angel Road St forms the central transport hub for Meridian Water. Improvements to the station will enhance passenger capacity through an enhanced commuter rail service.

Funding:

1. Meridian Water: This development has been funded primarily by Enfield Council (£350m), and its developer partners Barratt London and SEGRO. The area has been awarded Housing Zone status, providing more legislative flexibility and funding. Key additional funders include:
 - The GLA and Network Rail (who have together invested £74m – including funding for a 3rd rail track and new Meridian Water Station by 2018 which will increase train frequency and enable Crossrail 2013 to be built)
 - £1.35m from Mayor of London’s ‘London Regeneration Fund’⁵ – which has been granted to ‘Building BloQs’ – a local social enterprise established in South-East Enfield, which supports the development of local employment skills and new start-up companies in areas such as construction, prototype manufacturing, and digital technology.
 - £1.35m GLA regeneration funding (matched by Meridian Water master developer money making a total of £2.7m)
2. Electric Quarter (Ponders End):
 - Growth Area Fund
 - Mayor’s Outer London Fund
 - Enfield Council Neighbourhood Regeneration Capital Programme
 - Transport for London (TfL)’s Major Schemes Programme
3. Alma Estate: Funded mainly by Enfield Council and project delivery partner ‘Countryside Properties PLC’
4. Ladderswood Estate: Developed and funded by joint-venture between ‘Mulalley’ and housing association ‘One Housing Group’ – to create ‘new Ladderswood LLP’
5. New Avenue Estate: Funded by Developer partner Countryside Properties PLC
6. Small Housing Sites:
 - Council subsidiary will use income generated from 57 PRS homes to fund whole development
 - £690,000 from GLA (Mayor’s Care and Support Fund and Homes for Working Londoners Pot)
7. Energetik (Energy Company/Network):
 - £58m Council investment
 - £27m from Energetik
8. Angel Road Station Improvements:
 - Enfield Council Neighbourhood Regeneration Capital Programme
 - £2.5m from Local Enterprise Partnership

⁵ Mayor of London’s ‘London Regeneration Fund’ provided £20m to re-energise capital’s places of work and high streets.

Hounslow Council Regeneration Programme (Labour)

Aims of Regeneration Scheme:

The Council's Regeneration and Economic Development Strategy (2016-2020) states the following aims:

- Build more affordable housing
- New Investment in the borough
- Retain existing and grow new businesses
- Provide more quality jobs investing in highly skilled staff
- Deliver major public transport/community infrastructure
- Deliver sector development – particularly in creative, digital, and technology

Funding Sources:

Hounslow Council's Infrastructure Delivery Plan (2015-30) sets out how it aims to fund its regeneration projects. This will be through a combination of:

1. Community Infrastructure Levy (CIL) charges (Developer Contributions)
 2. Council Tax
 3. New Homes Bonus grants
 4. Business Rates (30% retained)
 5. Specific grants
1. Community Infrastructure Levy – The CIL was established to enable planning authorities to set a charge for new development in their area and use the funds collected to support providing infrastructure. It requires a local authority to demonstrate that it has an infrastructure funding gap and then use evidence to demonstrate that proposed CIL rates are economically viable. CIL is designed to be a more *flexible* and *transparent* mechanism for using developer contributions to deliver supporting infrastructure. Hounslow adopted a CIL charge in July 2015, meaning that any new development of 100sqm or more that gets planning permission will need to pay £35 per metre squared.

The intention is for the CIL income to replace the loss of section 106 (s106) contributions (which became legally scaled back in April '15⁶). While CIL will not fully replace s106, it is the primary mechanism for developer contributions in Hounslow.

⁶ A s106 agreement is negotiated at the point of a planning application and then becomes a signed legal agreement between the council and developer. These financial contributions are subject to the conditions set out in the legal agreement and have been notoriously complicated to manage and spend as a result.

The CIL Regulations 2010 have further limited the financial and non-financial contributions that can be secured through s106 agreements. Since April 2015, Regulation 123 also limits pooling for a infrastructure type or project to five or fewer separate planning obligations. Therefore, there will be infrastructure projects which historically have been funded by s106 agreements, but which will now increasingly be funded by CIL receipts where funding is available.

Annex

However, CIL income is reduced by the fact that the Mayor of London also already charges one which is used to fund Crossrail – this reduces the amount that the Hounslow Council can charge as it is a further cost on development. Additionally, anything from 15-25% of CIL income must be ring-fenced to be spent in consultation with the local community – the ‘Neighbourhood Proportion’ – meaning that the Council cannot 100% guarantee that CIL income will be used to fund infrastructure projects.

2. Council Tax – However Council tax revenue is not ringfenced and is allocated at members’ discretion along with other funding sources including business rates.

3. New Homes Bonus – Introduced in 2011, the NHB is calculated by matching the additional council tax raised by new homes and properties brought back into use, with additional amounts provided for new affordable homes.

Hounslow has received larger grants each year through NHB. Funding received is committed to financing new affordable housing and Town Centre developments.

Received/projected NHB:

- 2016/15 – £7.1m
- 2016/17 – £8.3m
- 2017/18 – £8.1m

4. Business Rates – The Council receives 30% of BR receipts. Total income received each year: £42m. As with CT, BR is not ringfenced and is allocated at members’ discretion along with other funding sources including business rates.

5. Specific Grants: Many infrastructure projects will be eligible for specific grants. Potential sources include: Heritage Lottery Fund, Greater London Authority (GLA) Outer London Fund, and specific TfL grants.

Notable grants/awards received:

- Award of £18.5m from the Mayor of London (given to support the Hounslow Town Centre Housing Zone) which will part-fund delivery of 3,500 new homes by 2025
- £2.5m from the mayor’s Outer London Fund,
- Successful bid for Govt’s 2011 Private Finance Programme – to be used to help build new schools and rebuild Hounslow Manor
- TfL LIP block grant. This is formula funded and currently equates to around £2.5m/ annum to help fund strategic transport improvements
- Hounslow’s Feltham Town Centre regeneration has also been designated a Housing Zone by the GLA – meaning it will share £200m with 10 other housing zones.

Wandsworth Council – Nine Elms Regeneration (Conservative)

Outline/Aims of the Regeneration Programme:

Wandsworth Council are working on one of the country’s biggest regeneration programmes – Nine Elms on the Southbank. The overall goal is to create a high-density, mixed-use quarter of the city with a high proportion of wealth-creating commercial space.

Wandsworth Council describe the area to come as an ‘Ultra-modern, exciting destination in central London’, offering 20,000 new homes, 80 new community and leisure facilities, schools, parks,

Annex

culture and the arts. The area will also benefit from three new attractions; a regenerated Battersea Power Station, and the new United States Embassy and New Convent Garden Market.

The Council predicts that the construction phase will provide 40,000 jobs, and once completed, the regenerated area will create an additional 25,000 permanent positions. An independent report by Volterra Partners concludes that the regeneration will deliver up to £7.9 billion in growth to the UK economy, and £9 billion in additional tax revenues to the Exchequer.

Progress/Status:

Currently, the first 1,000 homes are under construction in Nine Elms, and another 13,000 have been granted planning permission. A total of 2 million square miles of new development planning permission has been approved.

Funding:

Transformation of the Nine Elms area requires substantial investment in existing and new infrastructure, including schools, healthcare, parks and open spaces. By working in partnership with private developers, Lambeth Council, the GLA, and TFL, Wandsworth Council has secured a total of over £10bn of inward investment across the 195 hectares district. Most of this investment has come from overseas markets, including the USA, Malaysia, and Ireland. Therefore, the vast majority of investment needed to deliver the regeneration programme is coming directly from the private sector.

The Council states that securing this investment has been crucial not only in resourcing complex planning permissions, but also in building-up momentum and confidence in the regeneration programme. Frequent collaboration with private sector partners has also enabled the Council to secure the highest possible levels of commercial space for development.

A further key factor in both the planning of the regeneration and the securing of investment has been the development of the cross-borough 'Nine Elms Vauxhall Partnership'. This includes senior representation from the leaders of Wandsworth and Lambeth Council as co-chairs and membership at a senior level from the Mayor of London's Office and the major landowners in the area. The partnership is voluntary and works on the basis of close collaboration and a shared vision.

The Vauxhall partnership for instance commissioned a development infrastructure funding study which identified both the required infrastructure and funding for the regeneration programme. On the basis of this, a tariff approach to planning gain was adopted by both councils to pool developer contributions and enable them to bring forward the necessary infrastructure in a planned way. This tariff approach has subsequently been enshrined in the Council's newly-adopted Community Infrastructure Levy.

A particular challenge during the Nine Elms' regeneration programme has been ensuring that there is sufficient accessibility to the regenerated area. A major increase in public transport capacity is needed to ensure Nine Elms can deliver to its full potential as a driver of economic growth and modern sustainable new quarter of the capital. Wandsworth Council's most significant transport project is the Northern Line Extension – a new two-station spur of the London Underground network. Funding and financing for this extension will be provided through a combination of borrowing against developer S106 contributions, Community Infrastructure Levy resources and business rate growth.

In addition to the Nine Elms' area, Wandsworth Council are also regenerating the: Winstanley and York Road estates, Roehampton Alton Area, and Ram Brewery.

Haringey Council (HC) – Tottenham and Wood Green Developments (Labour)

Outline/Aims of Regeneration Programme:

Haringey Council is working to develop the borough primarily through two ambitious regeneration projects – in Tottenham and Wood Green. The main aims of the regeneration is to: increase job opportunities, provide better housing, and improve transport links to the centre of London.

The Tottenham development is the largest regeneration programme in Haringey, aiming to deliver by 2025: 10,000 new homes and 5,000 new jobs (with 1 million sq ft of employment and commercial space added). It is one of the mayor Sadiq Khan's flagship housing zones and has received more than £1bn of public and private investment. Haringey Council describes this particular project as 'the next chapter of London's regeneration story.'

Specific Tottenham developments include: new neighbourhoods (such as the High Road West Development – providing 1,400 new homes), developed Tottenham Hotspur stadium (to create a 'world-class leisure destination for London'), new community hubs such as one at 163 Park Lane, and a regeneration of Northumberland Park.

The Tottenham development is underpinned by the 'Strategic Regeneration Framework (SRF)' – a 20-year vision for the future of Tottenham, which is the result of a 5-year public consultation and sets out how local people's priorities could be achieved through long-term regeneration.

The Wood Green development aims to deliver 7,700 homes and 4,000 new jobs. Its regeneration is a key objective in Haringey Council's Corporate Plan 2015-18. The Council is currently developing a detailed plan for this project called the 'Area Action Plan' (AAP) (which is currently out for public consultation).

Alongside the Tottenham/Wood Green development projects, Haringey is also working on proposals for a number of new Crossrail 2 stations, which it states will 'unlock more regeneration opportunities across the borough.'

Funding:

Haringey Council has opted to fund its regeneration programmes primarily through the Haringey Development Vehicle (HDV) – a 50:50 partnership between Haringey Council and the private partner Lendlease – a leading property group which has been chosen following a lengthy selection process

Haringey has the land needed to bring forward homes and jobs, but it lacks the necessary finance and skills. Therefore, the Council has decided to bring in the finance and skills/expertise from the private sector, whilst maintaining a share of the control over the development – and of the proceeds of it – for the Council.

This partnership operates by the Council providing some of its land to be developed, and Lendlease matching this with cash and development expertise. The decision to appoint Lendlease was approved at Haringey's 14 February Cabinet meeting, and Haringey Council will now enter into final discussions with them on how the joint venture could be established and managed

The 50/50 stake in particular is cited by the Council as 'crucial', as it means that HC will need to approve every decision made in the regeneration programme. The profits returned to the Council

Annex

will go back into other regeneration initiatives, affordable housing, and funding the services provided to residents.

A final decision on whether to establish the Haringey Development Vehicle, and on proposals for the first phase of sites, is expected to be made by Haringey Council's Cabinet in the summer of 2017.

The main reasons why Haringey Council may opt for the Haringey Development Vehicle regeneration financing approach:

- The cost of building new estates would run into billions of pounds, but Government rules only allow Haringey to borrow another £50m for housing
- Haringey Council's funding has been cut and Government grants to support public sector house-building are at an all-time low. The Council simply does not have the money, and cannot sustainably borrow it, to realise its ambitious plans for Haringey on its own
- However, like many councils, Haringey owns a lot of land – much of which is unused or underused, such as office buildings too big for current staff numbers. This land can be used to create the homes, jobs and opportunities
- Councils are also not as well-equipped as the private sector when it comes to development projects on this scale

Update: Of note is that Hammersmith and Fulham Council has also (on 14th February) signed its own 50:50 joint venture deal with property developer Stanhope Plc, through the creation of a co-owned company called *HFS Developments*. The Council believes this will enable them to build what they describe as 'genuinely affordable homes', and will also be a source of income for the Council – as they will be able to share profits generated through the sale of homes on the private market.

Waltham Forest Regeneration Programme (Labour)

Outline/Aims of Regeneration Programme:

- Business: Raise the productivity and resiliency of the local economy by keeping and growing local businesses with a targeted approach to certain sectors (such as the creative industries)
- Town Centres: Support and promote retail, business, cultural, leisure and residential investment in town centres
- Housing Growth: Aiming to build 12,000 new Council, affordable, and private homes by 2020
- Employment and Skills: Ensuring local residents have the skills to take advantage of opportunities for growth and to access high-quality employment
- Infrastructure: Improving local transport infrastructure and developing new community facilities

Specific Projects:

1. Walthamstow Town Centre:
 - 'The Scene' development: a complex of a cinema, restaurants, shops, and 121 new homes
 - £20m investment through 'Solum's Scheme' to develop the area around the Walthamstow Central station: Expanding the existing car park and retail space, and improving pedestrian access to the station, and improving the station square.

Annex

- The Mall, Walthamstow: Plans to redevelop The Mall, establishing a new shopping and leisure offer, alongside homes and enhancement of public realm
- 2. Blackhorse Lane: One of the Council's key regeneration areas for housing development, employment, and business growth. Aiming to provide 2,500 new homes and 1,000 jobs by 2025.
- 3. 'Lea Valley Eastside': Made up of Lea Bridge, Church Road, and Leyton, the regeneration will provide new jobs, 4,400 homes, improved transport connections, green spaces, new schools, and healthcare.
- 4. Lea Bridge Station: The Newly re-opened (on 16th May 2016) Station will be provided with direct links to both Stratford and Tottenham Hale with five minute journey times, opening the area to further investment. Predicted that the Station will serve at least 352,000 passengers a year by 2031.
- 5. Leytonstone: Shop front and public realm improvements
- 6. South Chingford: Public realm and building refurbishments at Albert Crescent
- 7. Higham's Park: Improvements to shop fronts and installation of art work in the park
- 8. Wood Street: Wood Street Walls to erect a mural on the newly pedestrianized West Avenue Bridge

Funding:

1. Walthamstow Town Centre:
 - £1.46m Heritage Lottery Fund (funded by £1.34m Council contributions and the rest from local businesses/volunteers)
 - £670,000 London Mayor's High Street Fund (2014-15)⁷ 'to improve cultural offer, provide opportunities for emerging creative industries, and boost night-time economy'
2. Blackhorse Lane:
 - Council and GLA investment (£1.1m GLA Grant from the £20m London Regeneration Fund)
 - £41,985,000 London Mayor/GLA funding – as there is a Greater London Housing Zone covering Blackhorse Lane and Northern Olympic Park.
 - £2.2m investment from Transport for London for improvements to the Blackhorse Road station and surrounding area
 - £200m private investment
3. Lea Bridge Station:
 - £5.3m Council funding
 - £1.1m Department for Transport's New Station Fund
4. Leytonstone: Council secured £500,000 New Homes Bonus (Top-Slice) from GLA
5. South Chingford: Council invested £750,000
6. Higham's Park: Council secured £100,000 New Homes Bonus (Top-Slice) from GLA
7. Wood Street: £20,000 donations from local residents and businesses, and £18k from London Mayor's High Streets Fund

⁷ Fund worth £9m. Bidders must demonstrate: 'Proactive Stewardship' (establishing local partnerships that encourage change/new high street strategies), 'Stimulating Activity' (Improving the look and feel of places), 'Occupying Empty Spaces' (Bringing back a 'high street bustle'), and 'Accommodating Growth'.

Barnet Council (Conservative)

Outline/Aims of Regeneration Programme:

Barnet Council aims to create 21,000 new homes and up to 30,000 new jobs through its regeneration and growth programme – the most in Outer London. Specifically, with seven major schemes underway in the borough, the programme aims to deliver 27,000 new social, affordable, and market rate homes in the next ten to 15 years. This is due to Barnet having a large and growing population (becoming the most populous borough in 2015 with a population of 370,000 residents). The plan is to continue to grow, through a combination of a strengthening local economy and investment in regeneration, skills, & economic development.

The Programme is based around five key priorities:

- To deliver quality new homes and neighbourhoods in the areas of the borough in greatest need of investment and renewal
- To deliver sustainable housing growth and infrastructure, and improve the condition and sustainability of the existing housing stock
- To ensure residents in all areas of the borough can share in Barnet's success while taking responsibility for the well-being of their families and their communities;
- To promote economic growth by encouraging new business growth while supporting local businesses and town centres
- To help residents to access the right skills to meet employer needs and take advantage of new job opportunities

A further key factor behind the programme is creating a *sustainable financial future for the council*. As funding received from central Government reduces to zero over the next few years, the Council will become reliant on revenue generated locally through Council Tax, Business Rates, fees and charges, and commercial income.

Barnet Council's website states that by 2025 the growth and regeneration programme will generate more than £11 million of additional recurring income for the council to spend on frontline services, together with £50 million of one-off income by the end of the decade to be invested in infrastructure.

The Council's Growth & Regeneration Annual Report states that income will generated by the Growth and Regeneration Programme via:

- Increases in business rates and council tax income as a result of house-building (forecast revenue of **£531 million** from 2016-2034)
- One-off income from central government and developer contributions known as New Homes Bonus (NHB) and Community Infrastructure Levy (CIL) – forecast at **£161 million** from 2016-2034

Specific Projects within the Programme

Brent Cross/Cricklewood

The scheme is split into the redevelopment of Brent Cross Shopping Centre in the North with associated roads and bridges, and a residential and commercial development to the South.

Dollis Valley

Annex

Creation of a new sustainable neighbourhood with mixed-tenure housing, the re-provision of community facilities and children's day care, supported by improvements in transport facilities.

Grahame Park

A new community with major infrastructure improvements, improved transport links, a newly built college campus, community health facilities, replacement library, community and children's activity centre, as well as new Council offices. The scheme is one of the largest self-funded projects in Europe and will also see the construction of around 3000 new homes.

Stonegrove and Spur Road

New mixed-tenure community that incorporates high standards of design, improved transport links, a new academy, community hall and church buildings, improved parking, open spaces and community amenities. It will also create job and training opportunities for local residents.

West Hendon

Replacement of the existing estate with new mixed-tenure housing, a new town square, improved transport links, a range of new community facilities including a new school, nursery and a new town centre and commercial hub with new shops and restaurants.

Funding Sources

Regeneration in Barnet is funded predominantly by private sector investment (**£6 billion**) because the council cannot afford to meet the demand for housing or make the required housing improvements alone. Delivery Partners Include:

- Brent Cross North: Hammerson UK PLC; Standard Life Investments
- Brent Cross Cricklewood South: Argent Related; London Borough of Barnet
- Brent Cross Thameslink: HM Government; Greater London Authority; Network Rail; LB Barnet;
- Countryside Properties UK
- L&Q
- Genesis Housing Group
- Barratt Evolution Limited
- Family Mosaic
- Barratt Metropolitan Limited Liability Partnership

Additional Funding Sources:

- **£13 million: *Income from Community Infrastructure Levy in 2016/17*** This is made up of Mayoral CIL (30% of funds) and Barnet CIL (70% of funds). These funds are used to deliver the infrastructure to support development such as roads and pavements.
- **£2.1 million: *Income from s106 developer contributions***
These are the funds that are required from the developer to support the scheme - for example by providing infrastructure or affordable housing.
- **£830k: *project funding from the Department of Communities and Local Government (DCLG)***
- ***Funding grant from the Greater London Authority (GLA)*** which was used to commence The Burnt Oak Town Centre Project in 2015.

**REPORT FOR: OVERVIEW AND
SCRUTINY COMMITTEE**

Date of Meeting: 7 November 2017

Subject: Adults Services Complaints Annual Report (social care only) 2016/17

Responsible Officer: Chris Spencer, Corporate Director People Services

Scrutiny Lead Member area: Policy Lead Member – Councillor Chris Mote
Performance Lead Member – Councillor Kairul Marikar

Exempt: No

Enclosures: None

Section 1 – Summary and Recommendations

This report sets out the statutory Adults Services Complaints Annual report (social care only) 2016/17.

Recommendations: None - for information purposes only.

Section 2 – Report

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

None – it was determined that there was no requirement to include the item on the Directorate risk register or establish a separate risk register.

Equalities implications

N/A

Corporate Priorities

The Council's vision:

Working Together to Make a Difference for Harrow

- Build a Better Harrow
- Be More Business-like and Business Friendly
- **Protect the Most Vulnerable and Support Families**

Section 3 - Statutory Officer Clearance

The Corporate Director determined the report did not require financial or legal clearance.

Annual Complaints Report for Adults **Social Care Services 2016/17**

<u>Paragraph</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key targets in 2016/17
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

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 113 “transactions¹” 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 the numbers of complaints are so minimal. Thousands of service episodes are provided each year. During 2016/17, the number of clients that received Long Term services was 3,937; whilst 862 clients received Short Term Reablement service and 1,864 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 2016/17 Adults Social Care Services:

- Received 9,523 requests for social care support from potential service users.
- Provided information and advice (including referrals to other organisations that could assist) to 3,111 clients.
- Ensured a total of 862 clients received home based short term Reablement services
- An additional 1,280 clients received other forms of short term support in response to their request, this included support like mental health counselling.
- A total of 3,937 clients received some form of long term support, which includes personal budgets, direct payments, residential and nursing care. 3,021 of those clients were actively in receipt of such services on 31st March 2017.
- Assisted 1,046 carers during the year. This included 387 instances of information and advice, 490 direct payments to the carer and 190 temporary support packages delivered to the cared-for person (e.g. to give the carer a break from their caring responsibilities).

During the year a single team - Adult Social Care encompassed all of the Adults statutory social work including Safeguarding Adults enquiries where difficult decisions regarding adults and their families sometimes leads to actions which are unpopular with service users, but necessary. Therefore, all of the complaints sit within a single team, whereas previously they were spread across different teams.

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

¹ The total of representations, Stage 1, Stage 2 and LG Ombudsman referrals.

- Of particular note is the high level of representations (74) 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 very high at 88%.
- The relative escalation rate of complaints between Stage 1 and Stage 2 has remained relatively low at 9%. 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 a Stage 1 complaint. Indeed there were far more representations (74) than Stage 1 complaints (34) in 2015/16, compared to 2014/15 (61 representations and 41 complaints).
- All of the key actions that were set for 2016/17 have been met.

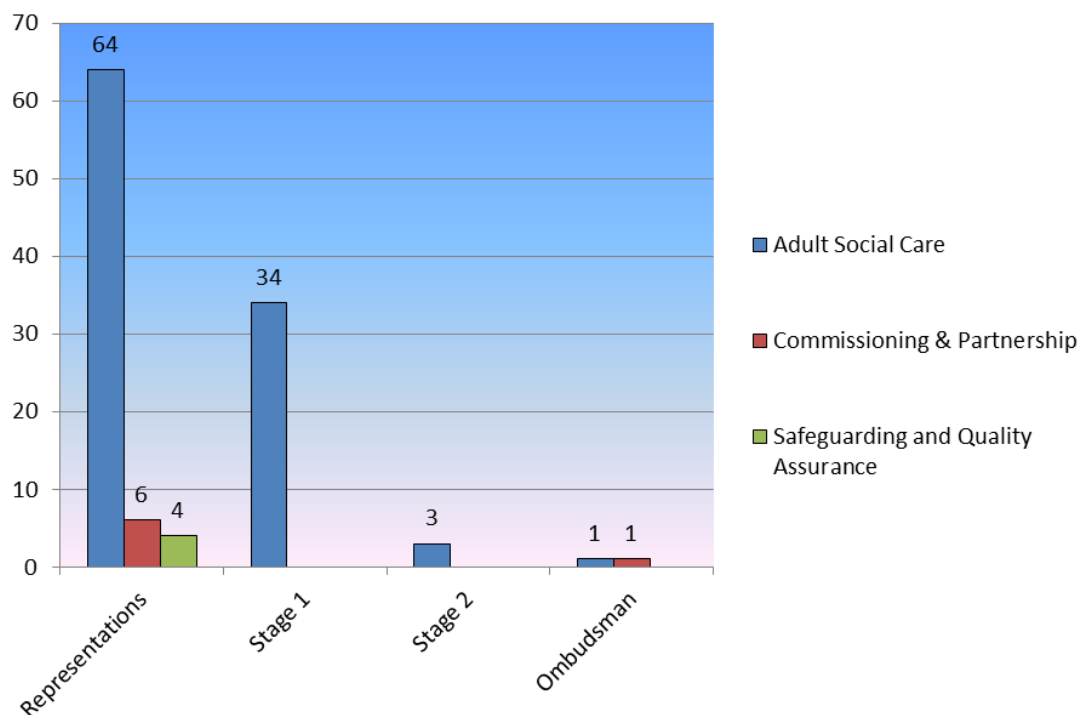
2. Summary of Activity

Between 1 April 2016 and 31 March 2017 there was the following activity:-

- The Complaints Service dealt with 74 representations i.e. potential complaints that did not lead to a formal complaint investigation.
- The Council received 34 Stage 1 complaints.
- 3 complaints progressed to the second stage.
- The Ombudsman received 2 new complaints during this period.

Additionally there were 68 MP and Councillor enquiries managed by the Complaints Team, which is an increase of 12% compared to the number (61) received during 2015/16.

Chart 1: Number of Complaints by Service area: April 2016 to March 2017



Number of Complaint Transactions by Service area: April 2016 - March 2017

Service Area	Representations	Stage 1	Stage 2	Ombudsman	Total
Adult Social Care	64	34	3	1	102
Commissioning & Partnerships	6	0	0	1	7
Safeguarding & Quality Assurance	4	0	0	0	4
Total	74	34	3	2	113

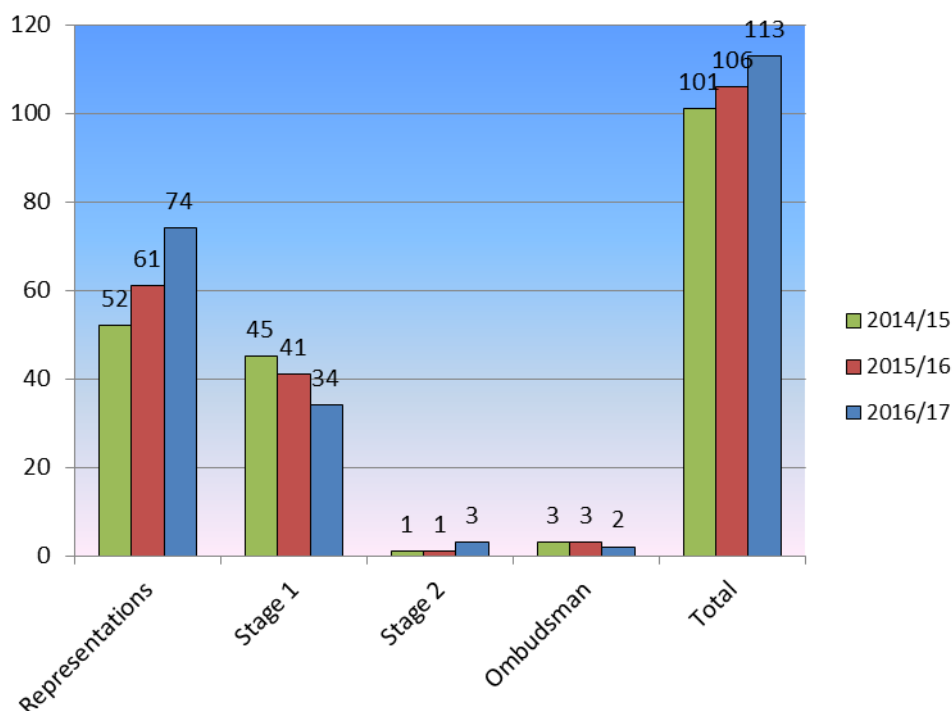
Key message: Overall the picture suggests a continuation of high quality investigative and governance standards.

Analysis: This year, there has been a significant reduction in the number of Stage 1 complaints, down by 7 (17%) on 2015/16. Reasons for this are considered in detail in section 5.1.

There was just three Stage 2 complaints, this represents an escalation rate of 9% of all Stage 1 complaints and as such is a relatively low level of escalation.

Neither of the two LGO referrals were upheld by the Ombudsman, that is they did not find any fault against the Council. There were three LGO referrals in 2015/16.

2.1 Comparison of complaints over the last 3 years



	Representations	Stage 1	Stage 2	Ombudsman	Total
2016/17	74 (65%)	34 (30%)	3 (3%)	2 (2%)	113
2015/16	61 (57%)	41 (39%)	1 (1%)	3 (3%)	106
2014/15	52 (51%)	45 (45%)	1 (1%)	3 (3%)	101

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 2016/17 (113), compared to 2015/16 (106). This was mainly due to the larger number of representations (increase of 13 from the previous year), there was a fall in the number of Stage 1 complaints (7) from the previous year, a small increase in Stage 2 complaints (3) and one less complaint was referred to the Ombudsman.

In essence, the above table shows the shift in focus of the complaints team to assist service users as well as social care teams to resolve issues at a much earlier stage in a more informal manner rather than through the more formal prescribed complaints process. A greater number of representations are now forwarded to the complaints team from social care staff, who have become

more aware of the benefits of ensuring a third party manages some of the queries raised during casework.

3. Outcomes for key targets in 2016/17

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

- 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.

All of these outcomes have been met, for example, 88% of stage 1 complaints were responded to on time. The Complaints team also offered more one to one training sessions for staff members in handling complaints and reflective discussions with care managers who were involved in complaints received to manage future situations where complaints may arise.

4. Focus for 2017/18:

- 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

	Commissioning & Partnership	Adult Social Care	Safeguarding, & Quality Assurance	Total
2016/17	0	34	0	34
2015/16	1	37	3	41
2014/15	7	27	11	45

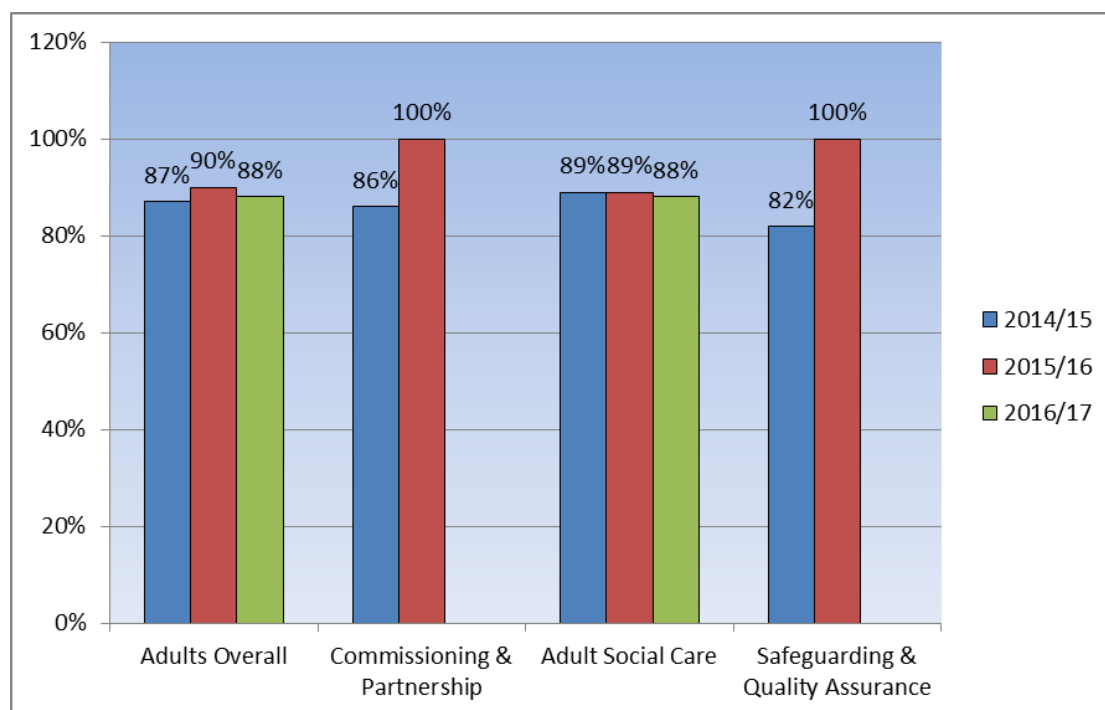
Analysis:

The number of Stage 1 complaints have continued to decrease over the past three years. The reasons for this include:

- Better quality resolution work has meant that fewer representations moved on to Stage 1 complaints. Indeed there were more than double the number of representations (74) than Stage 1 complaints (34) in 2016/17. In comparison during 2014/15 there were 61 representations and 41 Stage 1 complaints
- 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

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

5.2 Stage 1 response times



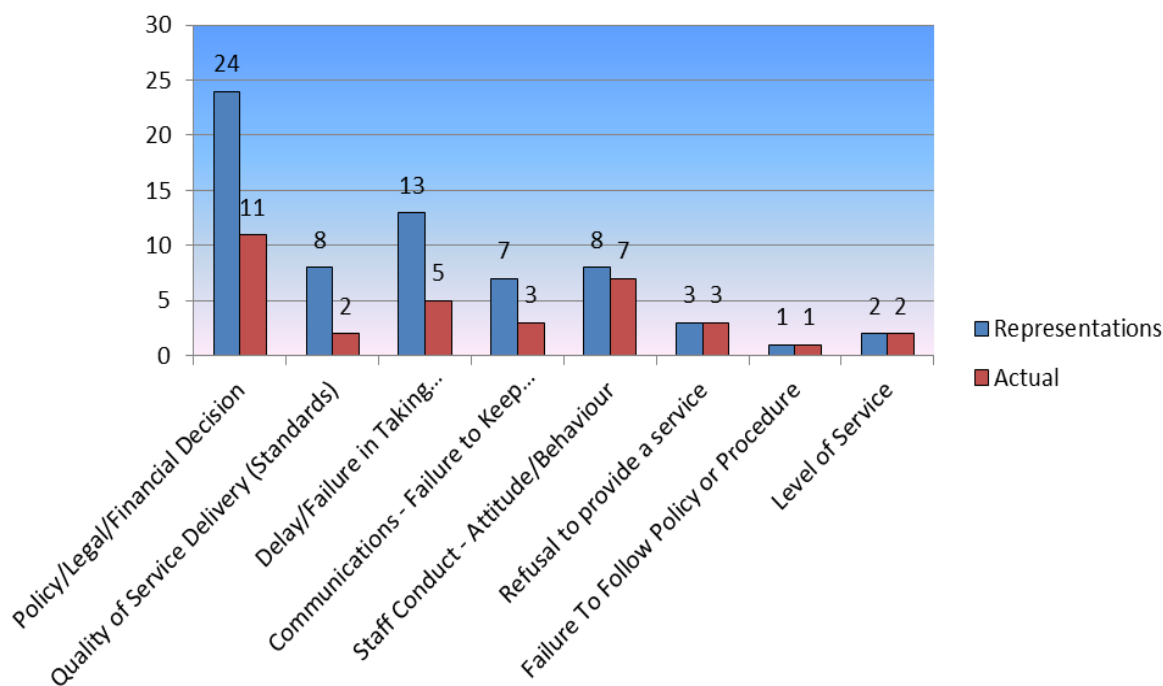
Analysis: All services areas exceeded the corporate target of 75%, with an overall level of 88% of complaints being dealt within timescale, this is a slight decrease from 90% for 2015/16.

5.3 Nature of complaints

Type of Complaint	Commissioning & Partnership	Adult Social Care	Safeguarding & Quality Assurance	Total
Breach of confidentiality				
Delay / failure in taking action or replying		5		5
Loss or damage to property				
Policy / legal / financial decision		11		11
Quality of Service delivery (standards)		2		2
Level of Service (e.g. opening times)		2		2
Refusal to provide a service		3		3
Staff conduct * attitude / behaviour		7		7
Failure to follow policy or procedures		1		1
Change to an individual's service - withdrawal/ reduction				
Communication - Failure to keep informed / consult		3		3
Discrimination by a Service				
Total		34		34

Examples of complaints by category:	2016/17 examples
Delay/failure in taking action or replying	Unhappy with the length of time for an assessment to take place
Policy/Legal/Financial decision	Disagreed with financial assessment outcome i.e. level of contribution
Quality of service delivery (standards)	Unhappy with duty service
Staff conduct – attitude/behaviour	Felt that the during a phone call a staff member was rude
Communications – Failure to keep informed/consult	General level of communication was poor

The table below shows the pattern of distribution across four complaint categories is relatively similar in both representations and all formal complaints. There was a much greater ratio of representations compared formal complaints around policy and financial decisions, quality standards, in taking actions and communications i.e. the complaints team and social work teams were able to work with service users and families to resolve issues to their satisfaction in a timely manner to avoid the need to embark though the formal complaints process.



5.4 Complaints outcomes

Service	Not Upheld	Partially Upheld	Upheld	Total
Safeguarding & Quality Assurance				
Commissioning & Partnership				
Adult Social Care	17	12	5	34
2016/17	17 (50%)	12 (35%)	5 (15%)	34
2015/16	17 (41%)	15 (37%)	9 (22%)	41
2014/15	13 (29%)	17 (38%)	15 (33%)	45

Key message: 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. This has worked particularly well at the representation stage and resulted in a reduction of stage 1 complaints. However, some complainants have declined invitations to resolve matters quickly and informally at the resolution stage and asked for limited communication until a formal stage 1 response has been provided. This explains why the proportion of stage 1 not upheld outcome's has increased over the past three years.

6. Stage 2 complaints

6.1 Stage 2 complaint numbers and escalation rates

Service	Stage 1	Stage 2	% escalating to formal complaints
2016/17	34	3	9%
2015/16	41	1	2.4%
2014/15	45	1	2.2%

Analysis: There were three Stage 2 complaints in 2016-17, compared to one for during 2015/16 and also during 2014-15, despite the increase the escalation rate is still very low. 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.

6.2 Stage 2 Complaints and outcomes

Service	Not Upheld	Partially Upheld	Upheld	Total
2016/17	2	1		3
2015/16		1		1
2014/15		1		1

Analysis:

Although the number of Stage 2 complaints increased during 2016/17, two of the complaints were not upheld. The remaining complaint was partially upheld due to a delay in process. The table above demonstrates that for the past three years, Adult Social Care has performed very well in terms of upheld Stage 2 complaints.

6.3 Stage 2 Response Times

Year	Within time	Over timescale	Total
2016/17	2	1	3
2015/16	1		1
2014/15	1		1

Of the three Stage 2 complaints during 2016/17, two were completed in time. The third complaint was late because of the complex nature and the need to seek legal advice. The general pattern of responding on time remains.

6.4 Nature of complaint

Year	2014/15	2015/16	2016/17
Breach of confidentiality			
Delay/ failure in taking action or replying			1
Policy / legal / financial decision	1		1
Quality of Service delivery (standards)		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			1
Total	1	1	3

7. Stage 3 Complaints

There is no statutory Stage 3 complaint stage.

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 2016/17 (one received during 2015/16 but concluded in 2016/17).

The LGO concluded in all three cases that there were no reasons to suggest the Council had acted inappropriately and therefore did not uphold each complaint.

Service	No finding against Council	Finding against Council	Total
2016-17	3	0	3
2015-16	2	1	3
2014-15	2	1	3

9. Escalation comparisons over time

Year	Average % escalation rate Stage 1- Stage 2	Number of LGO complaints
2016-17	9%	3
2015-16	2%	3
2014-15	2%	3

Analysis: The rate of escalation between Stage 1 and Stage 2 has remained in single figures over the past 3 years and the number of LGO complaints concluded within the year has remained at 3. This relatively low figures 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 no compensation payments made during 2016/17. This compares with only one relatively small compensation payment of £500 during 2015/16. This indicates that 2016/17 has been another year where significant errors have not been identified against Adult social care.

11. Mediation

During 2016/17, there were four potential complaints that were resolved by the Complaints Team facilitating a meeting or mediation between complainants and Adult Social Care. Examples of mediation:

In one case the Harrow Association of Disabled People met with the social care Council staff and the complaints team mediated to discuss the financial situation between the Council and a client and to resolve a series of events that were in dispute.

The complaints team worked directly with Housing to ensure a range of necessary services and adaptations were delivered in line with the recommendations of Adult Social Care for a particular client with complex needs.

The complaints team and a Head of Service worked with an MP's office and the CCG as a client was unhappy with the quality of continuing care and needed assistance.

12. Joint NHS and Social Care Complaints

There was no (zero) joint NHS and Social Care complaints.

13. Learning Lessons/Practice Improvements

Examples of lessons learnt/practice improvements include the following

- A more streamlined process of allocation between Adult social care teams was initiated as it was highlighted from one case where the Reablement team reallocated a client between Long Term Care and a Personalisation Team, which was unnecessary and added delays.
- Sometimes the relationship between social care and health can be complex and confusing for service users to fully understand, as highlighted from several complaints. The resulting action was to ensure their staff are reminded to explain the relationship and process with continuing care assessments more clearly to clients and their families/carers.

- All teams within Adult Social Care should be made aware when communicating with clients with visual impairment of the need to ensure that communication is user friendly, for example, in large font.
- There was a delay in referral of a case to CNWL for a service user with a diagnosis of autism in line with the Autism Pathway at the time. This led to joint work between the Council, CNWL, CCG and Mencap in reworking the pathway and process.

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

- *“Very productive and helpful meeting with the care managers who come to see us. They were pleasant, friendly and explained things clearly. Our aunt was quite relaxed with them and felt easy to express her concerns. We also appreciate their swift intervention in arranging help for her bathing and dressing also assistance in giving her breakfast and medication. We are all grateful for your help.” [Reablement]*
- *“I want to heap praise on a member of the Adult Social Care Team who has been absolutely marvellous in supporting my elderly mother into a Nursing Home. His knowledge of the subject and his patience in explaining all the complications was just amazing. I have thanked him personally but I do think you have an outstanding member of staff.” [Client Finance Team]*
- *“That’s a HUGE relief off my mum’s shoulders. Thank you on behalf of my dad and 2thank you for all the time you spent preparing everything, making sure everything that needed to come together did and most of all, for caring. Going into this we did not know what to expect and it helped my mum and I immensely to know that we had someone fighting my dad’s corner.” [Hospital Team]*
- *“Thank you very much for all your concern and support recently...you made a very positive difference” [Safeguarding Team]*
- *“Thank you, so very much for sorting out my flat for visual aid in regard to the lighting and the zebra grab handles. Goodness, what a difference. I can actually ‘see’ my way around more easily. The difference in the lighting is amazing and makes it better to make out where I am and in what area of the flat without so much trouble plus I can work out more easily what I am looking for, especially in the cupboard where I have been known to smash things off shelves. I would have never dreamt this could actually happen to assist me and I am in awe from your kindness and the improvement it has made.” [Sensory Team]*
- *“I would like to take this opportunity to bring to your attention how helpful a member of your team has been in the last year in regards to providing information I needed to help me with assisting my elderly father. Without this*

lady's assistance I would not have known what to do in my present situation."
[Reablement]

- *"Many thanks for all your support to my uncle. You phone calls meant a lot to him and also our family."* [Neighbourhood Resource Centre staff]
- *"It was lovely to see the Safeguarding Agency operate as it is supposed to. It was like a beam of light in what can be a dark place."*
- *"Many thanks for your support in assisting with the transfer of Marion. I just wanted to take time to say how helpful and supportive you have been."*
[Brokerage team]
- *"I wish to express our gratitude to a member of your staff, who up till lately has been addressing issues concerning my grandmothers care passage."*
[Support Planning]

15. Equalities Information

15.1 Stage 1 - equalities information of the service user

Gender of Service User	2015/16	2016/17
Male	11	11
Female	30	23

Ethnic Origin of Service User:	2015/16	2016/17
ASIAN OR ASIAN BRITISH		
Afghani		
Bangladeshi	1	
Indian	11	7
Pakistani	2	1
Sinhalese		
Sri Lankan Tamil		2
Other Asian	1	2
BLACK/BLACK BRITISH		
African	2	
Caribbean	3	1
Somali		
Other Black		1
OTHER ETHNIC GROUP		
Arab		
Chinese		
Iranian		1
Iraqi		
Kurdish		
Lebanese		
Other Ethnic Group		
MIXED		
White & African		
White & Caribbean		
White & Asian		

Other Mixed	1	
WHITE		
Albanian		
British	17	16
Irish		
Gypsy/Roma Traveller		
Irish Traveller		
Polish		
Romanian		1
Serbian		
Other White	1	
PREFER NOT TO SAY/NOT KNOWN		2

Disability	2015/16	2016/17
Yes	40	32
No	1	2
Unknown	0	0

Complaint made by:	2015/16	2016/17
Service User	5	9
Relative/Partner (often informal carer)	35	24
Advocate – (instigated by either carer or service user)	0	1
Solicitors	1	0

15.2 Stage 2 - equalities information of the service user

Gender	2015/16	2016/17
Male	1	0
Female	0	3
Unknown	0	0

Ethnic Origin	2015/16	2016/17
British White	1	1
Indian	0	1
Pakistani	0	1
Unknown	0	0

Disability	2015/16	2016/17
Yes	1	3
No	0	0
Unknown	0	0

Complaints made by	2015/16	2016/17
Service User	0	0
Relative/Partner (often informal carer)	1	3
Advocate – (instigated by either carer or service user)	0	0
Solicitors	0	0

16. The Complaints Process explained

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

2) Mediation

3) Formal investigation

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

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

Section 4 - Contact Details and Background Papers

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

Background Papers: None

REPORT FOR: OVERVIEW & SCRUTINY COMMITTEE

Date of Meeting:	7 November 2017
Subject:	Children and Families Services Complaints Annual Report 2016/17
Responsible Officer:	Chris Spencer, Corporate Director People Services
Scrutiny Lead Member area:	Policy Lead Member – Councillor Jerry Miles Performance Lead Member – Councillor Janet Mote
Exempt:	No
Enclosures:	None

Section 1 – Summary and Recommendations

This report sets out the statutory Children and Families Services Complaints Annual Report for 2016/17.

Recommendations:

None - for information purposes only.

Section 2 – Report

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

None – it was determined that there was no requirement to include the item on the Directorate risk register or establish a separate risk register.

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.

Annual Complaints Report for Children and Families Services 2016/17

<u>Section</u>	<u>Contents</u>
1	Executive Summary
2	Summary of Activity
3	Outcomes for key actions in 2016/17
4	Priorities for 2017/18
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

1

Executive Summary:

There were some 135 “transactions¹” 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. During 2016/17:

- There were 4,238 Children in Need (CIN) throughout 2016/17 of which just over half were male compared to female. The CIN cohort’s ethnic breakdown is predominantly BME with just over a quarter of CIN being white ethnicity. On the last day of the year (31st March) a total of 1,994 children remained CIN with the rest having ceased throughout the year.
- For the overall CIN cohort, a total of 2,709 referrals were received in 2016/17 with the most common referral source being Police and Schools both accounting for 27% of referrals received. There were 2,873 assessments completed with just over half progressing for further action. A total of 1,106 S47’s were initiated in the period with 36.5% resulting in an initial child protection conference.
- There were 536 Child Protection Plans (CPP) active throughout 2016/17 of which over half ceased during the year with 227 children remaining on a CPP at the end of the year.
- A total of 370 Children were Looked After (CLA) throughout 2016/17 with 44% ceasing to be looked after during the year leaving 207 current CLA at year end.

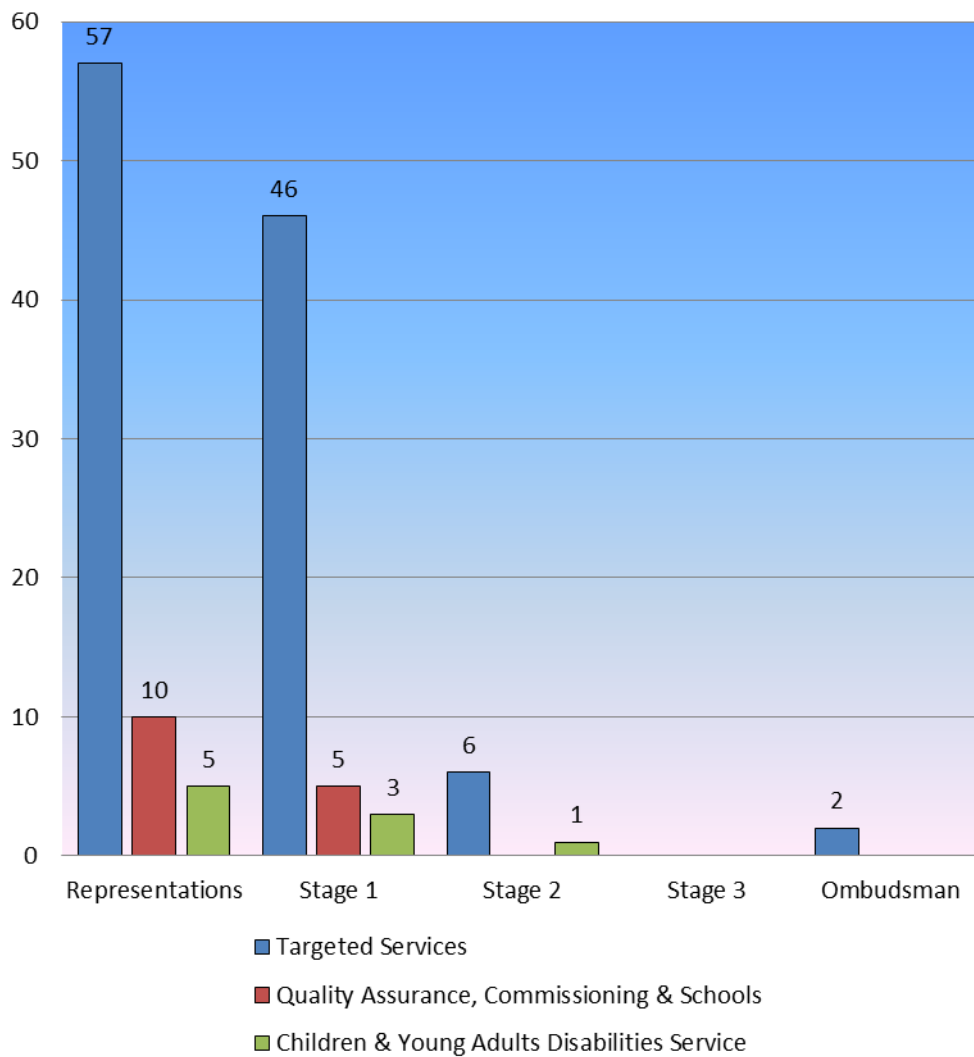
Targeted Services continued to attract the most complaints (82% of all transactions). This reflects the nature of the statutory social work undertaken by that service, where difficult decisions regarding children and their families sometimes leads to necessary actions which are unpopular with service users.

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

- Of particular note is the high level of representations (72) 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.

¹ The total of representations, Stage 1, Stage 2, Stage 3 & LG Ombudsman referrals within Children and Families Services.

	<ul style="list-style-type: none"> • The proportion of stage 1 complaint responses sent within timescales has increased to 93% in 2016/17, up from 88% in 2015/16. • 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 was 13%. • All of the key actions that were set for 2015/16 in the previous year have been met.
2	Summary of Activity:
2.1	<p>Overall Complaint Activity:</p> <p>Between 1 April 2016 and 31 March 2017 the Council received:</p> <ul style="list-style-type: none"> • 72 representations i.e. potential statutory complaints that did not lead to a formal stage 1 complaint; • 54 statutory stage 1 complaints; • Seven stage 2 complaints; • No (zero) stage 3 complaint received (no panel hearings); • Two Local Government Ombudsman (LGO) complaints. <p>Additionally, there were 65 MP and Councillor enquiries managed by the Complaints Team.</p> <ul style="list-style-type: none"> • Timeliness of complaints response at an early stage typically prevents/minimises subsequent cost to the Council in time and resources. The Council has made strong improvements, 93% of stage 1 complaint responses were arranged in time (an increase from 88% in 2015/16).
	Table 1: Number of Complaints by Service area: April 2016 to March 2017



Number of Complaint Transactions by Service area: April 2016 - March 2017

Service Area	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total
Targeted Services	57	46	6	0	2	111
Education & Commissioning	10	5	0	0	0	15
Special Needs Service	5	3	1	0	0	9
Total	72	54	7	0	2	135

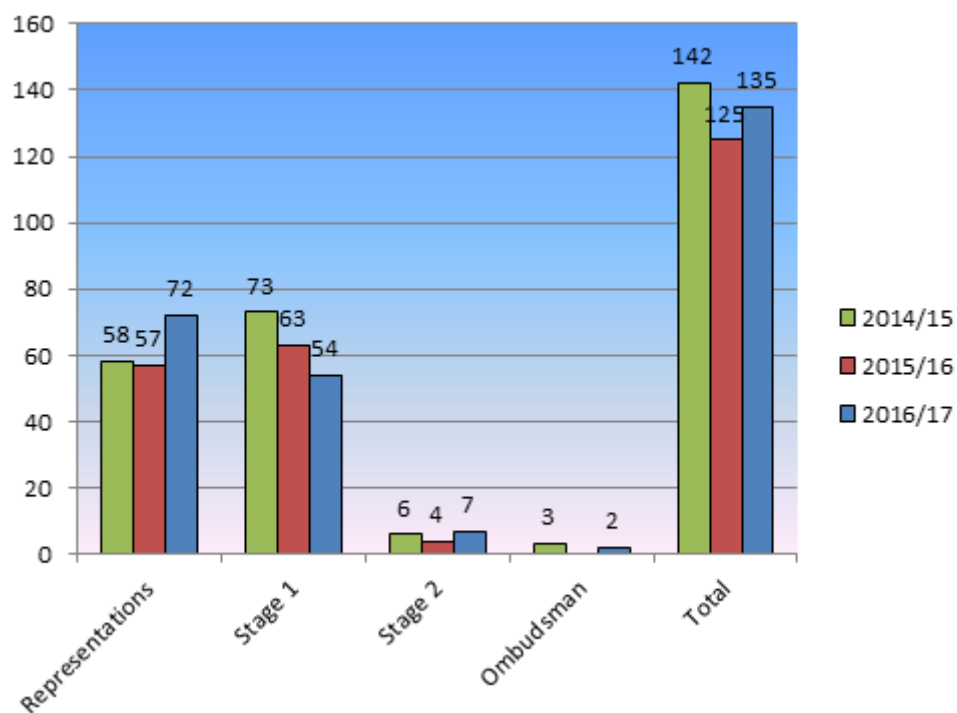
Key message: Overall the picture suggests a continuation of high quality investigative and governance standards.

Analysis: During 2016/17 there was a reduction in the number of stage 1 complaints, down by one on the previous year. However, the number of total

representations increased by 15 from the previous year.

There were seven stage 2 complaints. This represents an escalation rate of 13% of all stage 1 complaints and as such is a relatively low level. No (zero) complaints progressed to a stage 3 panel hearing. This is a positive indicator of sound resolution in the earlier stages of the process and compares with one for the 2015-16 period.

There were two new LGO referrals within the year, the LGO concluded that in both two cases that there was no evidence of fault with the Council.



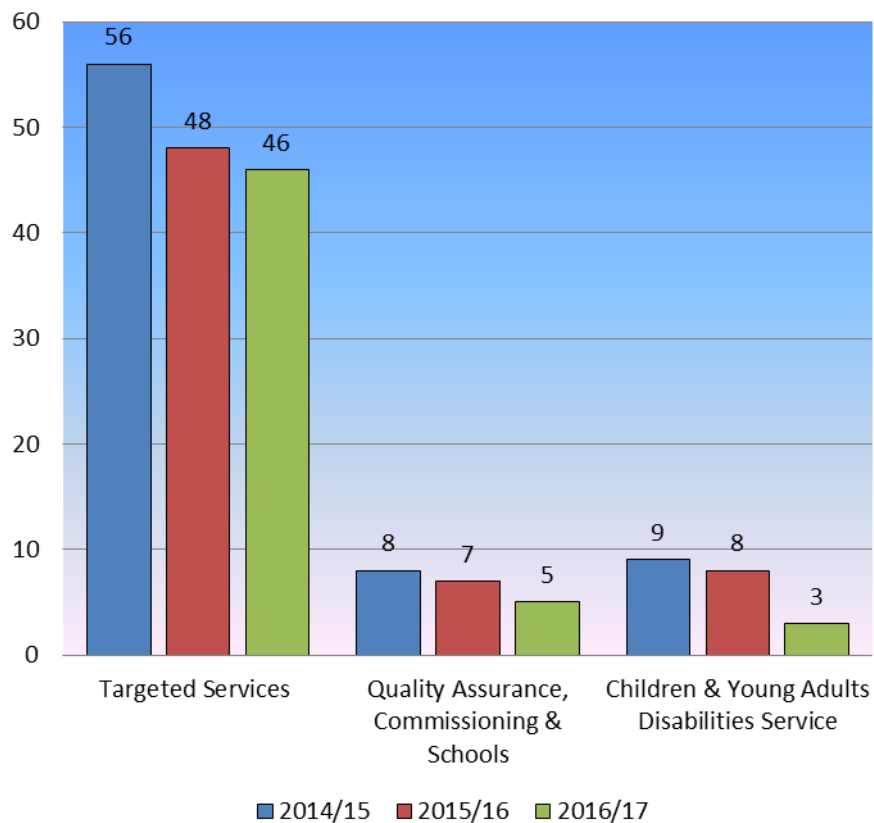
	Representations	Stage 1	Stage 2	Stage 3	Ombudsman	Total
2016/17	72(53%)	54(40%)	7(5%)	0(0%)	2(2%)	135
2015/16	57(46%)	63(50%)	4(3%)	1(1%)	0(0%)	125
2014/15	58(41%)	73(51%)	6(4%)	2(1%)	3(2%)	142

Analysis: There was an increase in the number of total complaints or 'transactions' in 2016/17 (135), compared to 2015/16 (125). This was mainly due to the larger number of representations (increase of 15 from the previous year). The fact that a significant proportion of issues continue to be resolved informally shows that active engagement with families and children has been positively welcomed

The number of Stage 1 complaints have fallen from 73 to 54 per year between 2014/15 and 2016/17, although stage 2 complaints and LGO complaints increased.

Key message: Previous research (e.g. Jerry White, Local Government

	<p>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.</p> <p>Key action: To attempt to maintain the current balance of representations against actual complaints, as this demonstrates good early resolution for service users.</p>
3	Outcomes for key actions in 2015/16
	<p>All of these outcomes have been met, for example, The proportion of stage 1 complaint responses sent within timescales increased to 92% in 2016/17, up from 88% in 2015/16. 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.</p> <p>The Complaints team also offered more one to one training sessions for staff members in handling complaints and reflective discussions with care managers who were involved in complaints received to manage future situations where complaints may arise.</p>
4	Priorities for 2015/16:
	<ul style="list-style-type: none"> • 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	Stage 1 Complaints Overall Activity
	Table 3



Stage 1 Complaints

	2014/15	2015/16	2016/17
Education & Commissioning	8	7	5
Targeted Services	56	48	46
Special Needs Services	9	8	3
Total	73	63	54

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 also decreased over the same period.

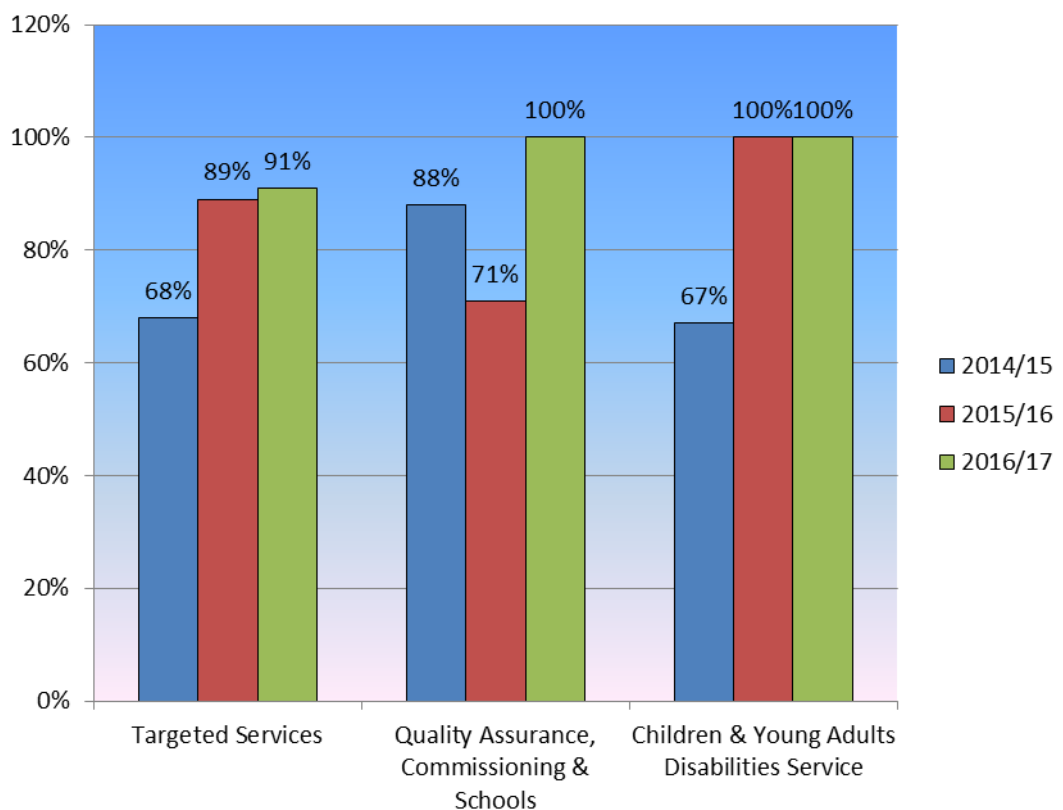
Additionally, there were 65 MP and Councillor enquiries managed by the Complaints team, which is a decrease from 90 in the previous year. This is attributable to the fact that there were fewer enquiries regarding school places. Possible explanations for this decrease include the schools expansions programme 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 further increase in the level of stage 1 complaints completed on time during 2016/17 compared to the previous year.

The overall level of on time complaints during 2016/17 was 93% which compares to 88% during 2015/16 and 70% during 2014/15.

Analysis: On time response rates for Targeted Services rose to 91% whilst complaints in the remaining two areas were all responded to on time.

Key action 1: To continue to exceed the 75% local target timescales for on time stage 1 complaints throughout 2017/18.

5.3 Stage 1: Nature of Complaints

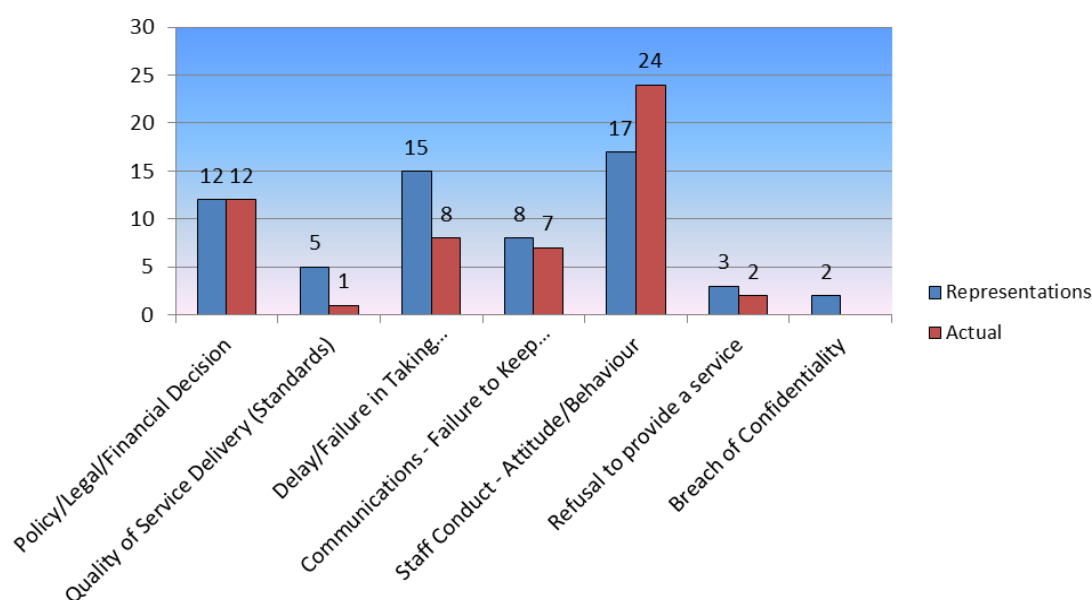
Table 5				
	Targeted Services	Education & Commissioning	Special Needs Service	Total
Allocation of Keyworker				
Breach of Confidentiality				
Change To Service - Withdrawal/Reduction				
Communications - Failure to Keep Informed/Consult	7			7
Delay/Failure in Taking Action/Replying	5	2	1	8
Discrimination by an Individual				
Discrimination By a Service				
Level of Service (e.g. opening times)				
Failure to follow policy/procedures				
Policy/Legal/Financial Decision	8	2	2	12
Quality of facilities/Health Safety				
Quality of Service Delivery (Standards)	1			1
Refusal To Provide A Service	1	1		2
Staff Conduct - Attitude/Behaviour	24			24
Total	46	5	3	54
Examples of complaints by category:	2016/17 examples			
Refusal to provide a service	Not being able to attend children's centre session			
Communications etc	Unhappy with communication regarding contact process between parents			
Delay, etc	The delay in support after the release of a young person from prison			
Failure to follow policy/procedure	Not receiving looked after child support due to incorrect classification decision on child			

Policy/Legal/Financial decision	Charter funds for leaving care were not provided on time
Quality of service delivery	Foster carer not providing the level of service expected by a young person
Staff conduct – attitude/behaviour	Unhappy with how Social Worker introduced themselves to child

Analysis: 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.

NB: The pattern of distribution across complaint categories is relatively similar in both representations and all formal complaints.

Table 6



5.4 Stage 1: Complaints Outcomes

Table 7

	Not Upheld			Partially Upheld			Upheld			Total		
	16/17	15/16	14/15	16/17	15/16	14/15	16/17	15/16	14/15	16/17	15/16	14/15
Education & Commissioning	3	5	5	2	1	2	0	1	1	5	7	8
Targeted Services	29	26	27	13	11	17	4	8	12	46	45	56
Special Needs	2	5	5	1	1	3	0	2	1	3	8	9
Total	34	36	37	16	13	22	4	11	14	54	60	73

	Total of overall Stage 1 outcomes, by percentage	63% 60% 50%	30% 22% 31%	7% 18% 19%	
	<p>Analysis: : 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. This has worked particularly well at the representation stage and resulted in a reduction of stage 1 complaints. However, some complainants have declined invitations to resolve matters quickly and informally at the resolution stage and asked for limited communication until a formal stage 1 response has been provided. This explains why the proportion of stage 1 not upheld outcome's has increased over the past three years.</p>				
6	Stage 2 Complaints				
6.1	Percentage of Complaints escalating to Stage 2 (2016/17)				
	Table 8				
	Service	Stage 1	Stage 2	% escalation	
	Education & Commissioning	5	0	0%	
	Targeted Services	46	6	13%	
	Special Needs	3	1	33%	
	Total	54	7	12%	
	<p>In general, escalation rates are at a relatively low level. Only 12% of stage 1 complaints went on to be considered at stage 2. The majority (six) of the seven stage 2 complaints were for Targeted Services, which reflects the difficult statutory social work undertaken by the service.</p> <p>The Council informs all complainants of their right to escalate their complaints at each stage of the complaints process.</p>				
6.2	Escalations to stage 2 trend over time				
	Table 9				
	Service	Escalations to Stage 2			

		2014/15	2015/16	2016/17
	Education & Commissioning	11%	0%	0%
	Targeted Services	5%	8%	13%
	Special Needs	25%	0%	33%
	Total	8%	6%	12%
	<p>Whilst the escalation rate has increased during 2016/17 compared to 2015/16 the overall rate at 12% is still relatively low. Also as the total number of stage 1 complaints has decreased over the past three years any change in stage two numbers slightly skews the escalation rate when expressed as a percentage.</p>			
6.3	Stage 2 Outcomes 2016/17			
	Table 10			
	Service	Not Upheld	Partially Upheld	Upheld
	Education & Commissioning	0	0	0
	Targeted Services	3	3	0
	Special Needs	0	1	0
	Total [Grand Total = 7]	3	4	0
	<p>During 2016/17 three stage 2 complaints were not upheld and the remaining four complaints were only partially upheld, no cases were fully upheld. Examples of the reason for partial uphold were not explaining the process/not communicating closure of case; the delay in process in referring to the Adaptations team; because a Social Worker did not introduce themselves appropriately to child with an explanation of their work.</p>			
6.4	Stage 2 Response Times of known outcomes			
	Table 11			
	Service	Within Timescale 2016/17 (2015/16)	Over Timescale 2016/17 (2015/16)	
	Education & Commissioning	0(0)	0(1)	
	Targeted Services	5(2)	1(1)	
	Special Needs	1(0)	0(0)	
	Total	6(2)	1(2)	
	<p>At stage 2, there is more emphasis on thoroughness than speed. The complaints team remind Independent Investigating Officers of the need to consider timescales. Of the seven stage two complaint investigations during 2016/17, only one complaint was completed over the time limit due to a family bereavement for the Independent Investigating Officer.</p>			

6.5	Stage 2: Nature of Complaints Table 12				
		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	2		1	3
	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				7
7	Stage 3 Complaints:				
	None (zero) of the seven stage 2 complaints escalated to stage 3 during 2016/17 highlighting satisfaction with the outcomes of the stage 2 response.				
8	Ombudsman (LGO) Complaints				
8.1	Complaints made to the LGO Table 13				
	Service Targeted Services	No finding against Council 2	Partial finding 0	Total 2	
	The Council received two new complaints from the (LGO) during 2016/17, in both cases the LGO found no evidence of fault against the Council.				
9	Escalation comparison over time:				

Table 14					
		Stage 1	Stage 2	Stage 3	LGO
	2016/17	54	7	0	2
	2015/16	63	4	1	0
	2014/15	73	6	2	3
	Analysis: The escalation between the complaints stages and LGO stage over the past three years has remained relatively low, highlighting good satisfaction rates, against a background of greater number of successful representations.				
10	Compensation/Reimbursement Payments:				
	There were no compensation awards offered by the Council in 2016/17, which was also the case during 2015/16.				
11	Mediation and Alternative Dispute Resolution:				
	<p>During 2016/17 five potential stage 2 complaints were resolved by the Complaints Team facilitating a meeting or mediation between complainants and Children's Services. For example</p> <ul style="list-style-type: none"> • Meeting with parents and their Mencap advocate clarifying the post court guardianship and contact process. Misunderstandings regarding the process were clarified and also the parent was further informed on what to further raise with their own legal representative for information they should have received from them. • A conference call was arranged between the Lead Social Worker at Mental Health Hospital and Child in Need Team Manager to clarify and work together on joint processes to ensure best available options and considerations for involved young person. • Worked with housing to assist in finding suitable accommodation for a family who felt they were no longer able to stay where they were due to hostile environment with a neighbour. In addition, assistance and co-ordination was provided to apply for financial assistance for furniture and applicants from Children's Services and The Mayor's Fund. 				
12	Joint NHS and social care complaints				
	During 2015/16 there were no (zero) complaint investigations carried out jointly between Harrow Council and NHS bodies.				
13	Learning Lessons/Practice Improvements				
	<p>Examples of lessons learnt/practice improvements include the following:</p> <ul style="list-style-type: none"> • Ensuring that a social work assessment is delivered securely in a 				

	<p>situation where non-involved spouse cannot intercept it.</p> <ul style="list-style-type: none"> • When a family is being involved in a child protection investigation (particularly for the first time) ensuring that the process is entirely explained and that any outcomes to such assessments are communicated in a timely manner. • When a Social Worker is dealing with parents who may have an acrimonious relationship, ensuring no language or actions are used unnecessarily that may lead child to believe that the Social Worker is affiliated more with one parent over the other. • Being aware that even where personal information is omitted from information like a referral to make it anonymous in a social work assessment, being aware that individual detail within the referral itself could tip off an individual to who made the referral. In future, it was communicated that staff should be aware of the full context of the referral even with personal details redacted.
14	Compliments
	<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 23 written compliments sent to Children’s Services that were fed back to the Complaints Team during 2016/17 including the following:</p> <ul style="list-style-type: none"> • I wanted to place on record my thanks for the extra care and commitment you put into this case. Your level of assistance to a young and immature youth facing very serious charges went far beyond the norm and your excellent, realistic and thoughtful report to court. [In reference to a member of staff from the Youth Offending Team] • An Aunt of a child in need wrote to state that that she was very appreciative of the work of two Social Workers and that she feels that they have gone above and beyond and have tried their hardest to engage and work with the child to get a good outcome • A teacher emailed with regards to an Education Lead officer that the role he holds is vital and in particular for families who are vulnerable. His expertise (teaching background) , knowledge of systems and caring and professionalism has really been a highlight. • The guardian of a child noted that a Social Worker had to complete a report and carry out this extra work over Christmas but it is a really good report. The detailed knowledge of the children's lives and inner worlds and the commitment to making the right decision for them really shines through and is basically pretty unanswerable. It will save time when it comes to the final hearing to have such a thorough, thoughtful document. • The child of a Foster Carer praised the Children and Families Fostering Team: Thank you for your hard work and especially in dealing with the many concerns both my parents have brought to you over the years. I am most grateful to you for passing on my father concerns with regards to a particular child. Thank you again for your ongoing support for young people and the foster families.

	<ul style="list-style-type: none"> • I was really impressed by (SW in CIN) calm, focused approach in both these cases at Conference. Both were inherited cases, and she has evidently worked directly with children, parents and professionals to disentangle and throw a clear light on concerns and risks. Whilst highlighting these, she also sees the strengths of both parents and young people. • Central London Community Healthcare NHS Trust commenting on a Social Worker stated that “during the initial conference at which there was a different chair and Social Worker, the mother was extremely hostile, volatile and fiercely oppositional to the entire Child Protection process. Attending the second conference two and a half months later I felt like I was in the presence of a different woman. The mother was happy to engage, willing to listen and clearly had a high level of respect and liking for you which she explicitly stated during the conference. My sense was that this was due to you being able to gain her trust and respect. However I think the thing that impressed me most was your very clear articulation of the boundaries of acceptable and unacceptable parenting. You were very definite to the mother about this, however you were able to deliver it in a way that, while being absolutely clear on limits was also non judgemental and honest.” • A parent fed back that a member of Safeguarding has been ‘lovely’ and ‘very supportive’ and very pleased with the way she has been positive in working with the child. • The Head and Deputy Head were full of praise for the speed and quality of the response to their referral from the MASH team, they were especially impressed with the way that an Officer had spoken to the parent and the way she combined the message of support with one of high expectations. They felt that the way that officer dealt with the situation and spoke to the mother has enabled them to now enter a dialogue with Mum that will address some of her anxieties and to move forward positively.
--	---

15	Equalities Information
-----------	-------------------------------

15.1	Equalities Information – Stage 1 Complaints
-------------	--

	Table 15	2016/17	2015/16
	Gender of Service User:		
	Male:	24 (44%)	28 (44%)
	Female:	30 (46%)	29 (46%)
	Unknown/Not Recorded	0 (0%)	0 (0%)
	More than one child	0 (0%)	6 (10%)

Analysis: No concerns noted			
Table 16			
Ethnic Origin of Service User:		2016/17	2015/16
ASIAN OR ASIAN BRITISH			
Afghani			
Bangladeshi		1	
Indian		2	2
Pakistani		2	2
Sinhalese			
Sri Lankan Tamil		2	2
Other Asian		2	3
BLACK/BLACK BRITISH			
African		4	7
Caribbean		7	8
Somali			
Other Black		1	2
OTHER ETHNIC GROUP			
Arab			
Chinese			1
Iranian			
Iraqi			
Kurdish			
Lebanese			
Other Ethnic Group		2	2
MIXED			
White & African		2	
White & Caribbean		5	2
White & Asian		1	3
Other Mixed		8	8
WHITE			
Albanian			
British		8	14
Irish		4	
Gypsy/Roma Traveller			
Irish Traveller			
Polish			
Romanian			
Serbian			
Other White			
PREFER NOT TO SAY/NOT KNOWN		3	7
Table 17 Origin of Complaints			
		2016/17	2015/16
Service User		2	5
Parent/relative		47	55
Advocate		4	3
Solicitor		1	0
Friend/other		0	0

15.2 Equalities Information – Stage 2 Complaints			
	Table 18 Gender of Service User:	2016/17	2015/16
	Male:	3 (43%)	2 (50%)
	Female:	4 (57%)	2 (50%)
	Table 19 Ethnic Origin of Service User:	2016/17	2015/16
	African		
	Chinese		1
	Other Black	1	1
	Mixed Background - Other	2	
	Other Asian	1	2
	Caribbean	1	
	White British	1	
	Unknown	1	
	Total	7	4
	Table 20 Origin of Complaints	2016/17	2015/16
	Service User		
	Parent/relative	6	4
	Advocate	1	
	Solicitor		

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.

Section 4 - Contact Details and Background Papers

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

Background Papers: None

This page is intentionally left blank