

Annual Report for Complaints,

Representations and Compliments

1 April 2018 - 31 March 2019

Children's Services

125 New Stage One Complaints
23 Representations Resolved
3 Stage Two Investigations Commenced
0 Stage Three Reviews Undertaken
3 Ombudsman Investigations Finalised
£ 15451.10 Compensation Paid
33 Compliments

Adult Social Care

198 New Stage One Complaints
94 Representations Resolved
16 Internal Reviews (*Escalated Complaints*)
6 Ombudsman Investigations Finalised
£ 0.00 Compensation Paid
40 Compliments

Education

60 Stage One Complaints Closed
7 Representations Resolved
2 Stage Two Investigations Commenced
0 Ombudsman Investigations Finalised
£ 0.00 Compensation Paid
0 Compliments

Children's Services

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Adult Social Care

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Education

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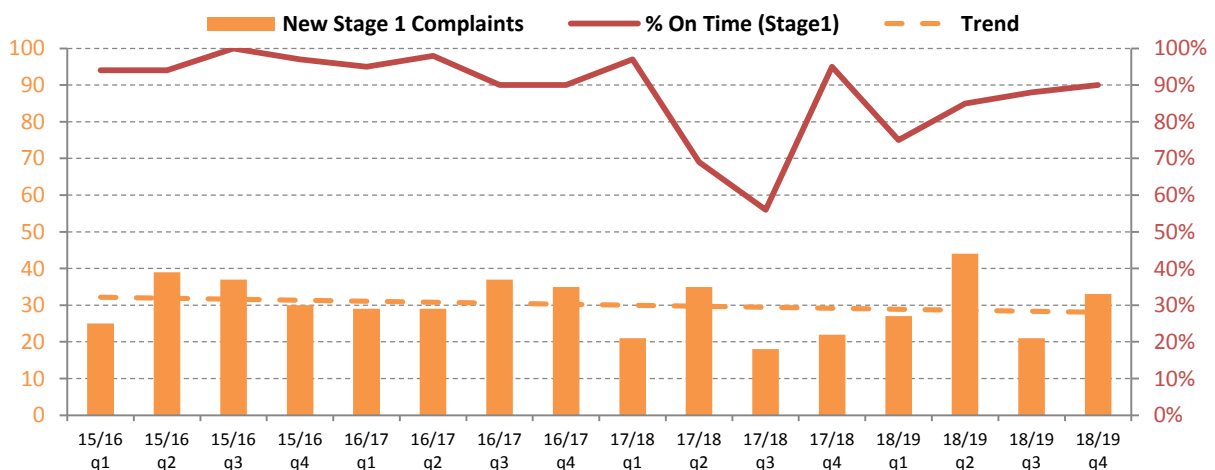
Stage One Complaints Received (with assistance of an advocate in brackets)				
Children's Services	2018/19	2017/18	2016/17	2015/16
Care	15.5 (4)	17.5 (4)	39	41
Care Leavers	21 (7)	15 (3)	-	-
Permanence	6 (0)	3.5 (0)	5	13
Family Early Help	2 (0)	1 (1)	-	3
Youth Offending	1 (0)	2 (0)	1	1
Quality Assurance	5.5 (0)	3 (0)	6	2
Assessment & Intervention	22 (1)	20 (4)	35	26
Safeguarding and Family Support	28 (3)	19 (2)	29	29
All-Ages Disability Service (relating to Children)	23 (5)	n/a	n/a	n/a
Other Support Teams	3 (0)	15 (1)	15	16
Total	125 (20)	96 (15)	130	131

The Local Authority does not rely on numbers of complaints to measure performance as it is important not to conflict with our continuing efforts to make the process of complaints better understood and more available to all.

2018 / 2019 shows an increase in formal complaints from the previous year but is below each of the preceding four years.

Mirroring the changing focus of Local Government and Social Care Ombudsman, Southwark's concentration is on deriving learning from specific cases, and ensuring a robust process is in place to minimise the likelihood of repeating any mistakes.

Despite increasing efforts to extend our reach to ensure all stakeholders can be heard there are remarkably few complaints arising from the work of a number of teams and so their performance must be congratulated.

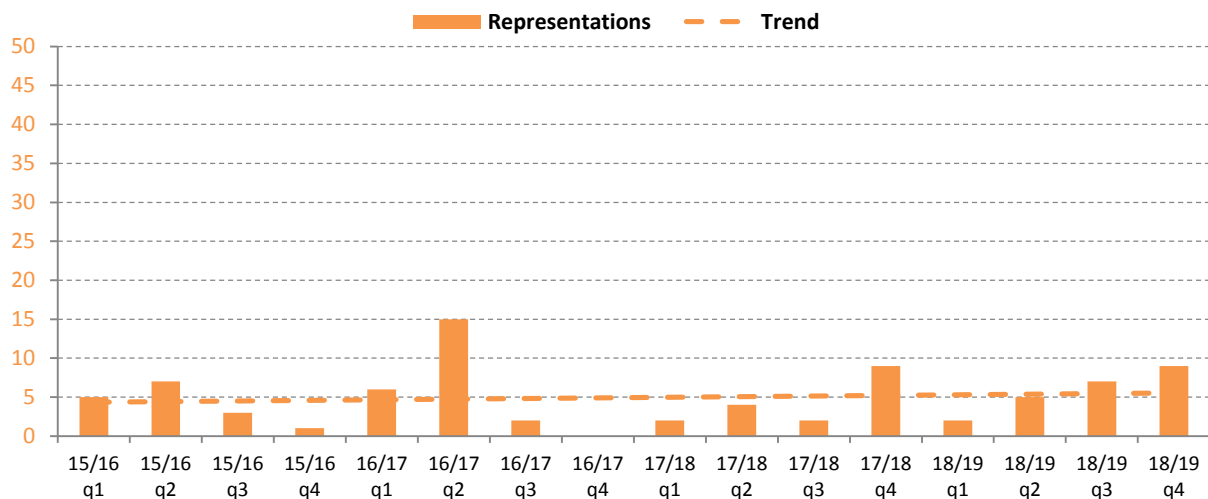


Other Representations (with assistance of an advocate in brackets)		
Children's Services	2018 – 2019	2017 - 2018
Care	3 (0)	0 (0)
Care Leavers	4 (0)	6 (1)
Permanence	2 (1)	2 (0)
Family Early Help	1 (0)	2 (0)
Youth Offending	0 (0)	0 (0)
Quality Assurance	3 (0)	0 (0)
Assessment & Intervention	7.5 (0)	2 (0)
Safeguarding and Family Support	0.5 (0)	3 (1)
All-Ages Disability Service (relating to Children)	1 (0)	n/a
Other Support Teams	1 (0)	2 (0)
Total	23 (1)	17 (2)

Southwark are committed to agreeing alternative methods to resolve issues, where a complainant wishes it, and where there is a realistic prospect for fixing a matter quickly without the need for a full and formal investigation.

Southwark records those complaints as 'representations' and seeks to derive and share the learning from these cases in the same way as formal complaints.

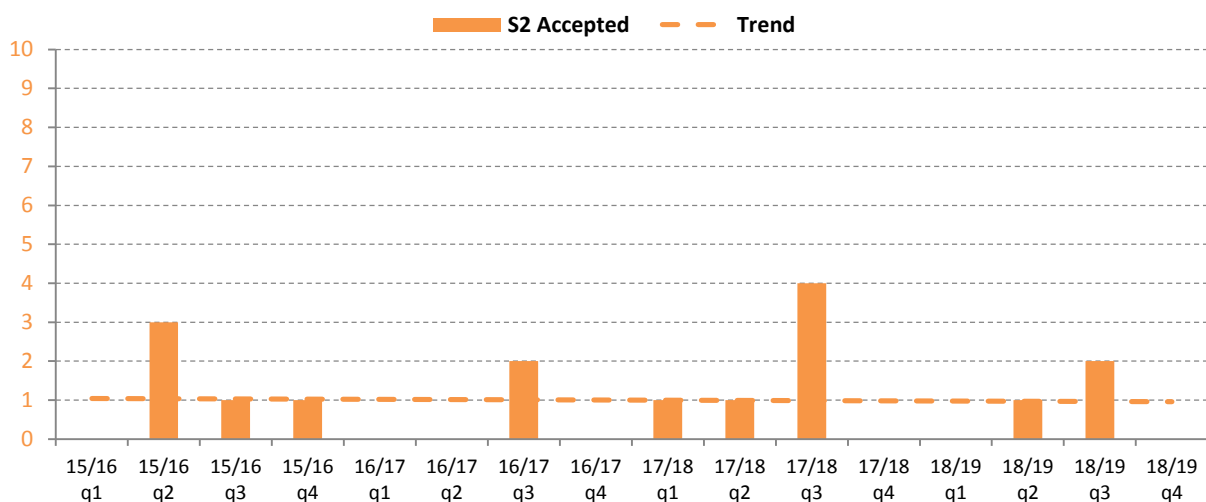
Following a 'representation', if a resident / service user is not satisfied, then the provisions of the formal complaints process applies.



Stage Two Complaints Investigations Commenced				
Children's Services	2018/19	2017/18	2016/17	2015/16
Care	-	3	1	3
Care Leavers	-	1	-	-
Permanence	-	1	-	-
Family Early Help	-	-	-	-
Youth Offending	-	-	-	-
Quality Assurance	-	-	-	-
Assessment & Intervention	1	-	-	-
Safeguarding and Family Support	1	1	1	2
All-Ages Disability Service (relating to Children)	1	n/a	n/a	n/a
Other Support Teams	-	-	-	-
Total	3	6	2	5

Whilst the complainant is afforded the right to request a stage two investigation, the Complaints Team will simultaneously examine the potential to resolve the continued dissatisfaction without recourse to the full 65 days afforded by the statutory complaints process. Finding a satisfactory solution *before* completion of a full independent investigation should always be the aim and can benefit all parties.

The data provided here reflects where an independent investigation was requested, and ordered, and for which alternative agreement could not subsequently be agreed.

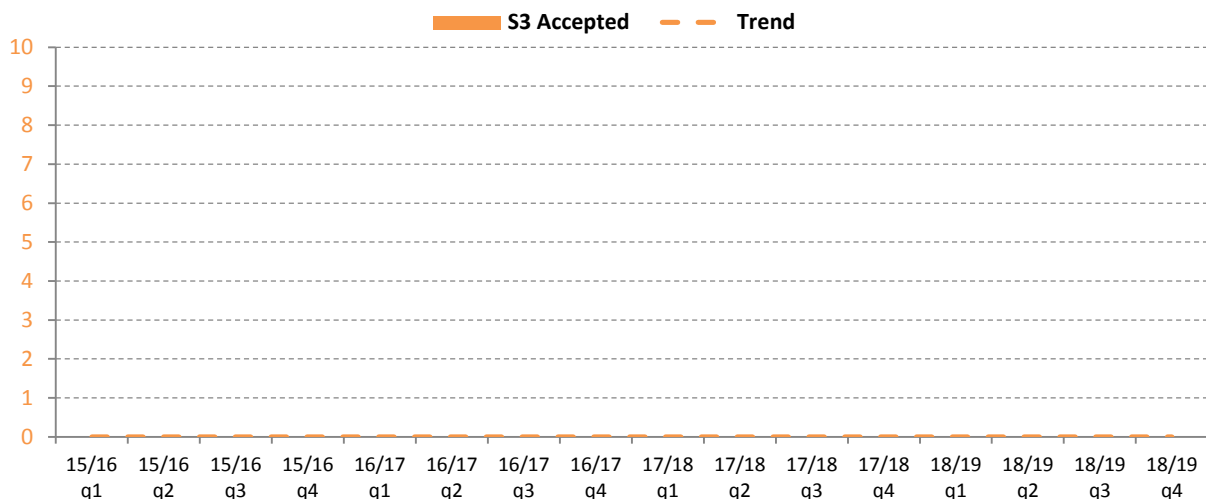


Stage Three Panel Reviews				
Children's Services	2018/19	2017/18	2016/17	2015/16
Care	0	-	-	-
Care Leavers	0	-	-	-
Permanence	0	-	-	-
Family Early Help	0	-	-	-
Youth Offending	0	-	-	-
Quality Assurance	0	-	-	-
Assessment & Intervention	0	-	-	-
Safeguarding and Family Support	0	-	-	-
All-Ages Disability Service (relating to Children)	0	-	-	-
Other Support Teams	0	-	-	-
Total	0	0	0	0

The purpose of a stage three review panel is to reflect on the adequacy of the independent investigation at stage two and to obtain further information and advice that may aid resolution. These panels bring renewed focus to desired outcomes and agreeing solutions.

Southwark support fully the provisions of the stage two independent process and to only contract external parties with the necessary skills and experience to investigate thoroughly and to produce independent reports, entirely uncompromised by bias or existing relationship.

It is for this reason that we can report having not been requested to appoint any stage three panels in any the last five years.

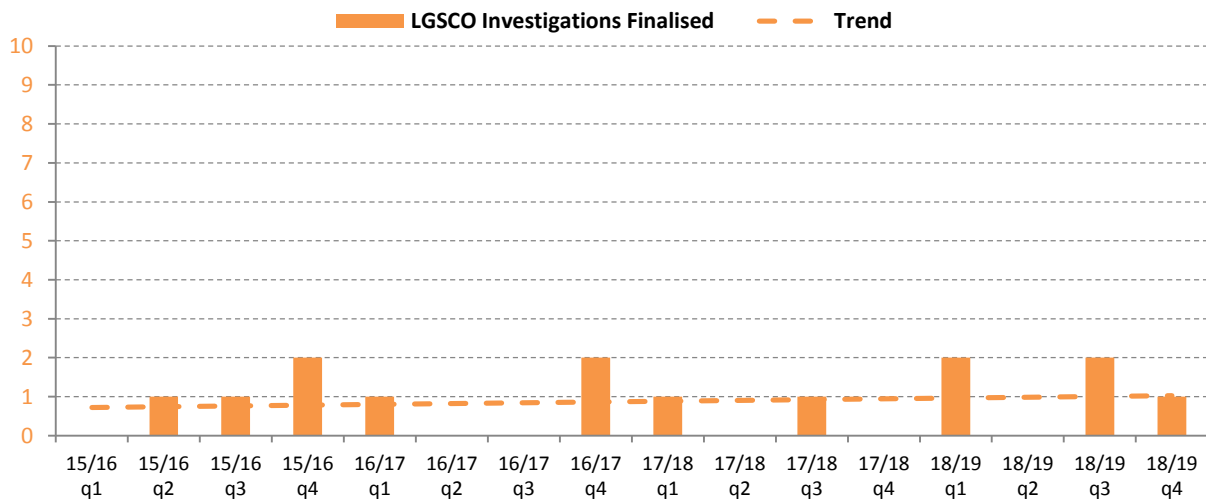


Local Government and Social Care Ombudsman Investigations Finalised				
Children's Services	2018/19	2017/18	2016/17	2015/16
Care	-	1	1	-
Care Leavers	1	-	-	-
Permanence	-	1	-	1
Family Early Help	-	-	-	-
Youth Offending	-	-	-	-
Quality Assurance	-	-	-	-
Assessment & Intervention	1	-	2	1.5
Safeguarding and Family Support	3	-	-	0.5
All-Ages Disability Service (relating to Children)	-	-	-	-
Other Support Teams	-	-	-	1
Total	5	2	3	4

A high number of investigations instigated by the Ombudsman would be suggestive that the Service and Complaints Team may not have exhausted all opportunities to resolve at the first opportunity, or may not have investigated as objectively as possible. It is of great reassurance that the number of referrals remains low.

However, the key statistic in assessing performance based on Ombudsman referrals, is the proportion of complaints which the Ombudsman investigates and upholds.

This year Southwark volunteered to participate in a project piloted by the Ombudsman which compared a number of statistical indicators across local authorities, including *uphold rate*. The resulting evidence confirms our own work in comparing Southwark with its *statistical neighbours*. Those findings, once completed in full, will be available at www.lgo.org.uk

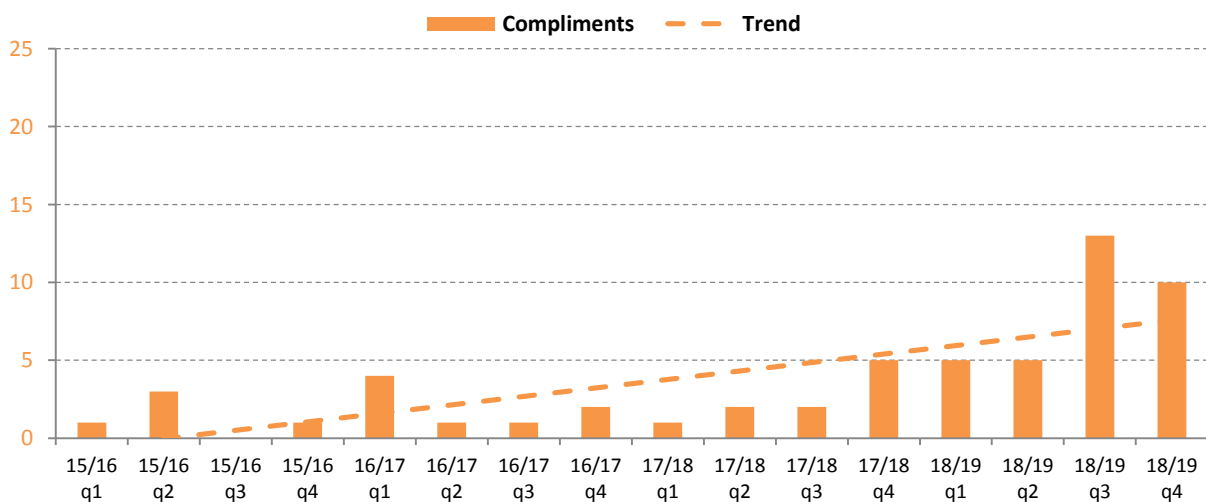


Compliments Received				
Children's Services	2018/19	2017/18	2016/17	2015/16
Care	9	1	-	-
Care Leavers	9	-	1	-
Permanence	2	1	3	-
Family Early Help	-	1	-	-
Youth Offending	-	-	1	1
Quality Assurance	-	1	-	-
Assessment & Intervention	3	4	1	-
Safeguarding and Family Support	9	-	1	-
All-Ages Disability Service (relating to Children)	-	-	1	-
Other Support Teams	1	2	-	4
Total	33	10	8	5

We are measuring, by analysis of complaints, services who undertake very challenging and emotive work. Individual Officers have to make subjective and professional judgements and there is some inevitability that some of those affected will report their dissatisfaction.

It is therefore incredibly important that we capture, share, and reflect on the positive feedback Southwark officers receive. It is our ambition to develop this practice further so that positive learning can be derived and understood, and used in the development of services which meet our stakeholder expectations, in years to come.

The Complaints team will continue to look for additional opportunities to capture good practice.



Learning & Service Improvement

Once a complaint or representation has been closed, the Complaints team analyse the issues reported and the findings of the investigation. The team agree with the Service the explicit learning which has been derived. This learning is documented and reported to senior management every quarter. Additional prominence is given if a fault is considered repetitious, or if a fault is sufficiently concerning. In addition to the widely circulated quarterly report, the Complaints team routinely present learning in person at senior management meetings. The Complaints team monitor and share Ombudsman decisions about other local authorities, as well as items of news and new publications.

Analysis of the complaints investigated in 2018 - 2019 indicates that communication remains the underlying factor in a clear majority of complaints.

Where *'Relationship Breakdown'* is indicated as a root cause, the complaint has almost always been made following a chain of communication which has not been prompt and sufficiently explanatory as to be supportive. *'Failure to support'*, and *'Failure to explain..'* reflect some of the same concerns.

Factors which can lead to complaints being upheld, following inadequate communication, can include: reduction in overall numbers of staff; structural changes; procedural changes; imbalanced workload; adequacy of resources and individual attitudes. Many of those factors are demanded of local authorities as they adjust to budgetary restrictions and align their resources to work as efficiently as possible. However some are controllable and are underpinned by good customer service.

The evidence collected suggests that, when prioritising our work we should not underestimate the value in a considered phone call or face-to-face meeting, to ensure our relationships remain effective, do not give rise to a loss of trust, and a formal complaint.

The evidence also suggests we consider the effectiveness of communication between services.

Outcomes, all Stage One and Representations				
Children's Services	2018/19	2017/18	2016/17	2015/16
Partly Upheld	21%	22%	24%	28%
Upheld	13%	16%	13%	18%
Not Upheld	31%	37%	30%	31%
No Findings / Resolved	17%	13%	7%	3%
Unresolved and Escalated	2%	n/a	n/a	n/a
Withdrawn / Rejected	16%	12%	26%	20%

Root Causes, all Stage One Complaints and Representations		
CHILD's VOICE		19%
Failure to acknowledge correspondence, either by writing, telephone or text	<1%	
Contact arrangement with siblings or parents not communicated	-	
Failure to update or inform on progress/delay (e.g. accommodation, leaving care)	2%	
Lack of explanation for decision (e.g. placement changes, financial matters)	1%	
Relationship Breakdown with Service (SW, Officer, Department etc)	5%	
Failure to inform about advocacy service for children looked after	-	
Failure to act (e.g. "my SW said they would, but didn't...")	2%	
Failure to support (e.g. "my SW should have explained the process better")	5%	
Historic Failure (Service failures that date back 12 months or more)	<1%	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	-	
Challenge of Care Package (e.g. leaving care grant, allowances, sibling contact)	-	
Leaving Care Support	2%	
ADULT's VOICE		38%
Failure to acknowledge correspondence, either by writing, telephone or text	-	
Contact arrangement with family not communicated	<1%	
Failure to update or inform on progress/delay (e.g. accommodation)	4%	
Lack of explanation for decision (e.g. placement changes, financial matters)	5%	
Relationship Breakdown with Service (SW, Officer, Department etc)	10%	
Failure to inform about advocacy service	-	
Failure to act (e.g. "my SW said they would, but didn't...")	7%	
Failure to support (e.g. "my SW should have explained the process better")	9%	
Historic Failure (Service failures that date back 12 months or more)	2%	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	-	
Challenge of Care Package	1%	
GOOD MANAGEMENT		5%
Quality of Placements & Home Care Provision (e.g. Care Homes, Foster/children homes)	<1%	
Failure of agreed payment (e.g. foster carers/ care agencies/ carers)	<1%	
Challenging reports/reviews (e.g. assessment reports, annual [foster] carers reviews)	4%	

Root Causes, all Stage One Complaints and Representations		
EFFECTIVE and EFFICIENT PROCESSES		11%
Breach of Confidentiality or lost documents/files	1%	
Challenge Financial Support or agreed payment (e.g. travel warrants)	4%	
Challenging Decision (financial assessment/entitlement)	6%	
Inadequate or Incorrect notes on file (e.g. Mosaic)	2%	
Failure to provide timely reports or minutes (e.g. [LAC] review reports)	<1%	
Challenge Outcomes of Subject Access Requests	-	
Challenge complaint handling practice	-	
WORKFORCE		24%
False Allegations/Slander	4%	
Inappropriate Behaviour, verbal (being rude, blackmailing, abusive language)	4%	
Inappropriate Behaviour, physical (assault, physical threat)	-	
Relationship Breakdown with Service (SW, Officer, Department etc)	3%	
Failure to acknowledge correspondence, either by writing, telephone or text	2%	
Contact Arrangement not communicated	1%	
Failure to update or inform on progress/delay (e.g. accommodation)	2%	
Lack of explanation for decision (e.g. placement changes, financial matters)	2%	
Failure to act (e.g. "SW said they would, but didn't...")	3%	
Failure to support (e.g. "SW should have explained the process better")	4%	
OUT OF JURISDICTION / OTHER / NO FAULT		2%

Data in this, and the following section, may not necessarily total 100%, owing to the data-rounding produced by lists of percentage components.

The 'voice' is the person who is making the complaint, and not necessarily the person most affected by the complaint. If analysis of the above data had showed that the voice of the child / young person was rarely being heard via the complaints process, then this would give rise to immediate consideration for extending our activities to ensure that everybody's concerns are being heard, and investigated.

Analysis of root causes shows, when compared to the previous year, the relative proportions have remained incredibly similar. This may indicate stability and may indicate that strong progress in repetitious areas has not necessarily been made.

Demographics & Service Access, where known			
Breakdown of Complainants (the person who made contact with us)			
Asian, Bangladeshi	-	In Care	5%
Asian, British	4%	Previously In Care	11%
Asian, Indian	-	Never in Care	84%
Asian, Other	-		
Asian, Pakistani	1%	Child	3%
Black, African	19%	Young (19-25)	12%
Black, British	15%	Adult	85%
Black, Caribbean	15%	Mean Age.	37 years
Black, Other	1%		
Mixed, Mixed Other	2%	Male	31%
Mixed, White & Asian	-	Female	68%
Mixed, White & Black African	-	Otherwise Described	<1%
Mixed, White & Black Caribbean	3%		
Other, Chinese/Vietnamese	-	Known Disability	3%
Other, Cypriot Greek	-	No Disability Known to Us	97%
Other, Cypriot Other	-		
Other, Cypriot Turkish	-		
White, British	27%		
White, Irish	2%		
White, Other	4%		
White, Gypsy or Irish Traveller	-		
Asian, Chinese	-		
Other, Arab	-		
Other, any other group	4%		

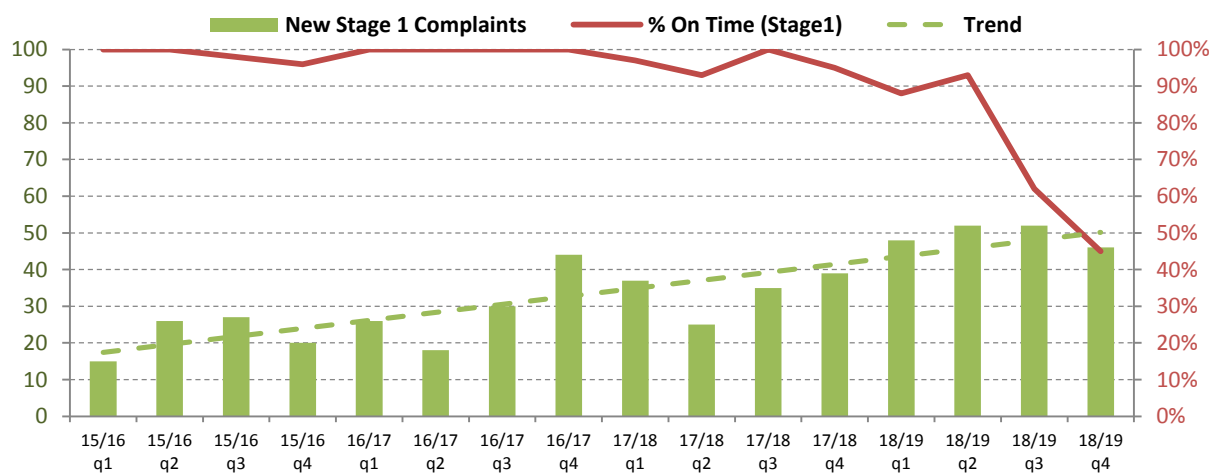
Our categories are determined at local level and are based on analysis of the most recent Census (2011).

It remains relevant to observe that the demographic information of the person contacting the Complaints team, is often not stated / not known.

Stage One Complaints Received (with assistance of an advocate in brackets)				
Adult's Social Care	2018/19	2017/18	2016/17	2015/16
Commissioning	77 (0)	11 (0)	6	3
Mental Health Long Term / Substance Misuse	13.5 (0)	9.5 (1)	4	4
Mental Health Short Term Services	4 (0)	2.5 (0)	-	-
All-Ages Disability Service (relating to Adults)	18.5 (1)	19 (2)	12	1
North Community Team (excl. Contact)	16 (2)	20.5 (4)	36	30
South Community Team (excl. Review)	19.5 (0)	19.5 (1)	-	-
...Contact Team	6 (0)	10 (2)	18	12
...Review Team	14 (1)	21.5 (4.5)	-	-
Reablement, Rehab and Hospital Discharge	10.5 (3)	11 (2)	21	14
Southwark Resource Centre	1 (0)	-	-	-
Other Support Teams	18 (0)	24.5 (7.5)	21	24
Total	198 (7)	149 (24)	118	88

There has been a significant decline in the numbers of complaints received where the use of an Advocate has been required. This may reflect the improved reach of the Complaints teams publications, the improved functionality and user experience of our Web pages and increased focus from the Complaints team in helping compromised service users raise their issues without undue difficulty. It may also point towards improved collaboration between allocated workers / teams and stakeholders.

Use of an advocate in making a complaint is a statistic which will be observed in the coming year and – whilst there is no evidence presently – any evidence of a lack of availability, or understanding of an advocates role, will be acted-upon.

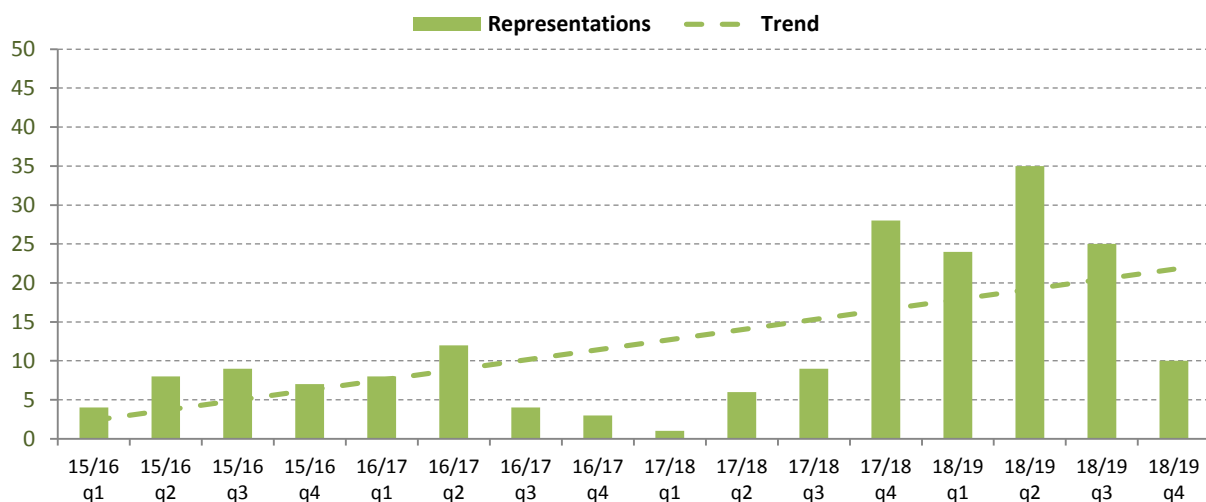


Other Representations (with assistance of an advocate in brackets)		
Adult's Social Care	2018/19	2017/18
Commissioning	26.5 (0)	5 (1)
Mental Health Long Term / Substance Misuse	3 (0)	1 (0)
Mental Health Short Term Services	1 (0)	-
All-Ages Disability Service (relating to Adults)	4 (1)	4 (1)
North Community Team (excl. Contact)	13.5 (0)	8 (2)
South Community Team (excl. Review)	10.5 (1)	4 (1)
...Contact Team	7 (0)	9 (3)
...Review Team	6 (0)	6 (1)
Reablement, Rehab and Hospital Discharge	7.5 (0)	3 (0)
Southwark Resource Centre	-	1 (0)
Other Support Teams	15 (1)	3 (0)
Total	94 (3)	44 (9)

Southwark are committed to agreeing alternative methods to resolve issues, where a complainant wishes it, and where there is a realistic prospect for fixing a matter quickly without the need for a full and formal investigation.

Southwark records these complaints as 'representations' and seeks to derive and share the learning from these cases in the same way as formal complaints.

Following a 'representation', if a resident / service user is not satisfied, then the provisions of the formal complaints process applies.



Internal Complaint Review		
Adult's Social Care	2018/19	2017/18
Commissioning	-	-
Mental Health Long Term / Substance Misuse	1	-
Mental Health Short Term Services	1	-
All-Ages Disability Service (relating to Adults)	1	2
North Community Team (excl. Contact)	3	2
South Community Team (excl. Review)	4.5	4
...Contact Team	-	-
...Review Team	2	-
Reablement, Rehab and Hospital Discharge	1	-
Southwark Resource Centre	-	-
Other Support Teams	2.5	2
Total	16	10

Further Complaint Review		
Adult's Social Care	2018/19	2017/18
Commissioning	-	-
Mental Health Long Term / Substance Misuse	-	-
Mental Health Short Term Services	1	-
All-Ages Disability Service (relating to Adults)	-	-
North Community Team (excl. Contact)	1	-
South Community Team (excl. Review)	-	-
...Contact Team	-	-
...Review Team	-	-
Reablement, Rehab and Hospital Discharge	-	-
Southwark Resource Centre	-	-
Other Support Teams	2	-
Total	4	0

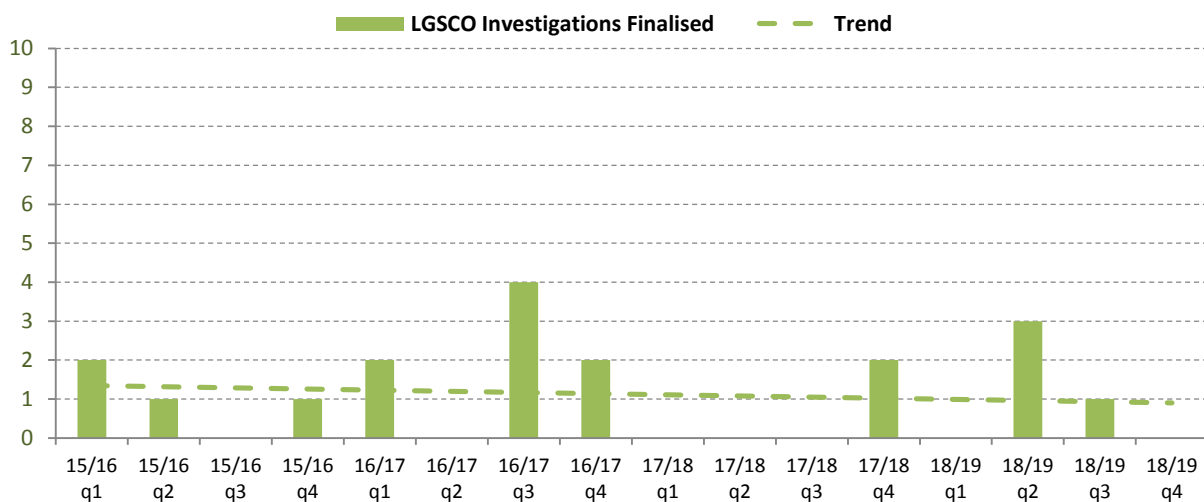
Cases not resolved to the complainants satisfaction, at stage one, are reviewed by a more senior manager at Internal Review. A Further Review is a final examination by a more senior manager within the same line of reporting. From 2019 / 2020 we shall examine the trends in these reviews.

Local Government and Social Care Ombudsman Investigations Finalised				
Adult's Social Care	2018/19	2017/18	2016/17	2015/16
Commissioning	1	-	0.5	2
Mental Health Long Term / Substance Misuse	-	1	1	-
Mental Health Short Term Services	1	-	-	-
All-Ages Disability Service (relating to Adults)	1	-	-	-
North Community Team (excl. Contact)	-	-	3	1
South Community Team (excl. Review)	2	1	-	-
...Contact Team	1	-	1	1
...Review Team	-	-	-	-
Reablement, Rehab and Hospital Discharge	-	-	-	-
Southwark Resource Centre	-	-	-	-
Other Support Teams	-	1	2.5	-
Total	6	3	8	4

A high number of investigations instigated by the Ombudsman would be suggestive that the Service and Complaints team may not have exhausted all opportunities to resolve at the first opportunity, or may not have investigated as objectively as possible. It is of great reassurance that the number of referrals remains low. Nationally there were 3106 enquiries and 1130 investigations.

However, the key statistic in assessing performance based on Ombudsman referrals is the proportion of complaints which the Ombudsman investigates and upholds.

This year Southwark volunteered to participate in a project piloted by the Ombudsman which compared a number of statistical indicators across local authorities, including *uphold rate*. The resulting evidence confirms our own work in comparing Southwark with its *statistical neighbours*. Those findings, once completed in full, will be available at www.lgo.org.uk

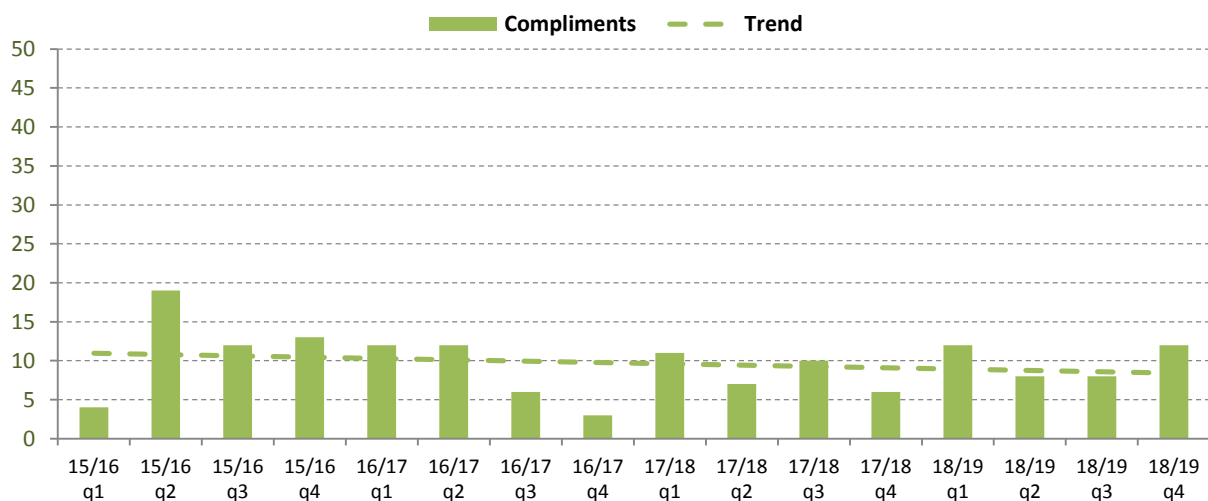


Compliments Received				
Adults Social Care	2018/19	2017/18	2016/17	2015/16
Commissioning	1	-	-	-
Mental Health Long Term / Substance Misuse	4	-	-	-
Mental Health Short Term Services	3	-	-	-
All-Ages Disability Service (relating to Adults)	1	3	3	-
North Community Team (excl. Contact)	6	7	21	38
South Community Team (excl. Review)	2	9	-	-
...Contact Team	-	-	3	3
...Review Team	1	-	-	-
Reablement, Rehab and Hospital Discharge	18	14	4	3
Southwark Resource Centre	1	-	-	-
Other Support Teams	3	1	2	4
Total	40	34	33	48

We are measuring, by analysis of complaints, Services who undertake very challenging and emotive work. Individual Officers have to make subjective and professional judgements and there is some inevitability that some of those affected will report their dissatisfaction.

It is therefore incredibly important that we capture, share, and reflect on the positive feedback Southwark officers receive. It is our ambition to develop this practice further so that positive learning can be derived and understood, and used in the development of services which meet our stakeholder expectations, in years to come.

The Complaints team will continue to look for additional opportunities to capture good practice.



Learning & Service Improvement

Once a complaint or representation has been closed, the Complaints team analyse the issues reported and the findings of the investigation. The team explicitly agrees with the Service the learning which has been derived. This learning is documented and reported to senior management every quarter. Additional prominence is given if a fault is considered repetitious, or if the fault is sufficiently concerning. In addition to the widely circulated quarterly report, the Complaints team routinely present learning in person at senior management meetings. The Complaints team also monitor and share Ombudsman decisions about other local authorities, as well as items of news and new publications.

Analysis of the complaints investigated in 2018 / 2019 indicates that communication remains the underlying factor in a clear majority of complaints.

Where *'Relationship Breakdown'* is indicated as a root cause, the complaint has almost always been made following a chain of communication which has not been prompt and sufficiently explanatory as to be supportive. *'Failure to support'*, and *'Failure to explain..'* reflect some of the same concerns.

Factors which can lead to complaints being upheld following inadequate communication issues can include: reduction in overall numbers of staff; structural changes; procedural changes; imbalanced workload; adequacy of resources and individual attitudes. Many of those factors are demanded of local authorities as they adjust to budgetary restrictions and align their resources to work as efficiently as possible. However some are controllable and are underpinned by good customer service.

The evidence collected suggests that, when prioritising our work we should not underestimate the value in a considered phone call or face-to-face meeting, to ensure our relationships remain effective, do not give rise to a loss of trust, and a formal complaint.

The evidence also suggests we consider the effectiveness of communication between services.

Outcomes, all Stage One and Representations				
Adults Social Care	2018/19	2017/18	2016/17	2015/16
Partly Upheld	8%	16%	24%	28%
Upheld	30%	15%	13%	18%
Not Upheld	19%	30%	30%	31%
No Findings / Resolved	32%	26%	7%	3%
Unresolved, Escalated	2%	1%	n/a	n/a
Withdrawn / Rejected	9%	12%	26%	20%

Root Causes, all Stage One Complaints and Representations		
CHILD's VOICE		0%
Failure to acknowledge correspondence, either by writing, telephone or text	-	
Contact arrangement with siblings or parents not communicated	-	
Failure to update or inform on progress/delay (e.g. accommodation, leaving care)	-	
Lack of explanation for decision (e.g. placement changes, financial matters)	-	
Relationship Breakdown with Service (SW, Officer, Department etc)	-	
Failure to inform about advocacy service for children looked after	-	
Failure to act (e.g. "my SW said they would, but didn't...")	-	
Failure to support (e.g. "my SW should have explained the process better")	-	
Historic Failure (Service failures that date back 12 months or more)	-	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	-	
Challenge of Care Package (e.g. leaving care grant, allowances, sibling contact)	-	
Leaving Care Support	-	
ADULT's VOICE		65%
Failure to acknowledge correspondence, either by writing, telephone or text	4%	
Contact arrangement with family not communicated	<1%	
Failure to update or inform on progress/delay (e.g. accommodation)	5%	
Lack of explanation for decision (e.g. placement changes, financial matters)	6%	
Relationship Breakdown with Service (SW, Officer, Department etc)	11%	
Failure to inform about advocacy service	-	
Failure to act (e.g. "my SW said they would, but didn't...")	4%	
Failure to support (e.g. "my SW should have explained the process better")	14%	
Historic Failure (Service failures that date back 12 months or more)	-	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	19%	
Challenge of Care Package	1%	
GOOD MANAGEMENT		13%
Quality of Placements & Home Care Provision (e.g. Care Homes, Foster/children homes)	9%	
Failure of agreed payment (e.g. foster carers/ care agencies/ carers)	-	
Challenging reports/reviews (e.g. assessment reports, annual [foster] carers reviews)	4%	

Root Causes, all Stage One Complaints and Representations		
EFFECTIVE and EFFICIENT PROCESSES		8%
Breach of Confidentiality or lost documents/files	-	
Challenge Financial Support or agreed payment (e.g. travel warrants)	3%	
Challenging Decision (financial assessment/entitlement)	2%	
Inadequate or Incorrect notes on file (e.g. Mosaic)	1%	
Failure to provide timely reports or minutes (e.g. [LAC] review reports)	1%	
Challenge Outcomes of Subject Access Requests	-	
Challenge complaint handling practice	1%	
WORKFORCE		12%
False Allegations/Slander	<1%	
Inappropriate Behaviour, verbal (being rude, blackmailing, abusive language)	3%	
Inappropriate Behaviour, physical (assault, physical threat)	-	
Relationship Breakdown with Service (SW, Officer, Department etc)	1%	
Failure to acknowledge correspondence, either by writing, telephone or text	2%	
Contact Arrangement not communicated	<1%	
Failure to update or inform on progress/delay (e.g. accommodation)	1%	
Lack of explanation for decision (e.g. placement changes, financial matters)	2%	
Failure to act (e.g. "SW said they would, but didn't...")	-	
Failure to support (e.g. "SW should have explained the process better")	2%	
OUT OF JURISDICTION / OTHER / NO FAULT		3%

Data in this, and the following section, may not necessarily total 100%, owing to the data-rounding produced by lists of percentage components.

Whilst the 'Child's Voice' categories are part of our suite of root causes, we would not normally expect to receive Adults Social Care complaints from a child. It is, however, entirely possible and when we get them, we would expect to derive specific learning because of it.

Analysis of root causes, when compared to the previous year, highlight why the council has been focusing resources on 'Quality of Care'. Analysis based solely on quarter 4 of 2018 / 2019 provides evidence that significant progress has been made in this area, notwithstanding that monitoring activities continue earnestly and as a matter of routine.

Demographics & Service Access where known			
Breakdown of Complainants (the person who made contact with us)			
Asian, Bangladeshi	-	In Care	-
Asian, British	1%	Previously In Care	-
Asian, Indian	2%	Never in Care	100%
Asian, Other	1%		
Asian, Pakistani	-	Child	<1%
Black, African	10%	Young (19-25)	1%
Black, British	16%	Adult	99%
Black, Caribbean	14%	Mean Age.	57 years
Black, Other	-		
Mixed, Mixed Other	-	Male	37%
Mixed, White & Asian	-	Female	63%
Mixed, White & Black African	1%	Otherwise Described	-
Mixed, White & Black Caribbean	2%		
Other, Chinese/Vietnamese	-	Known Disability	11%
Other, Cypriot Greek	1%	No Disability Known to Us	89%
Other, Cypriot Other	-		
Other, Cypriot Turkish	-		
White, British	44%		
White, Irish	3%		
White, Other	5%		
White, Gypsy or Irish Traveller	-		
Asian, Chinese	-		
Other, Arab	-		
Other, any other group	3%		

14 complaints were made by service users over 80 years of age.

Our ethnicity categories are determined at local level and are based on analysis of the most recent Census (2011).

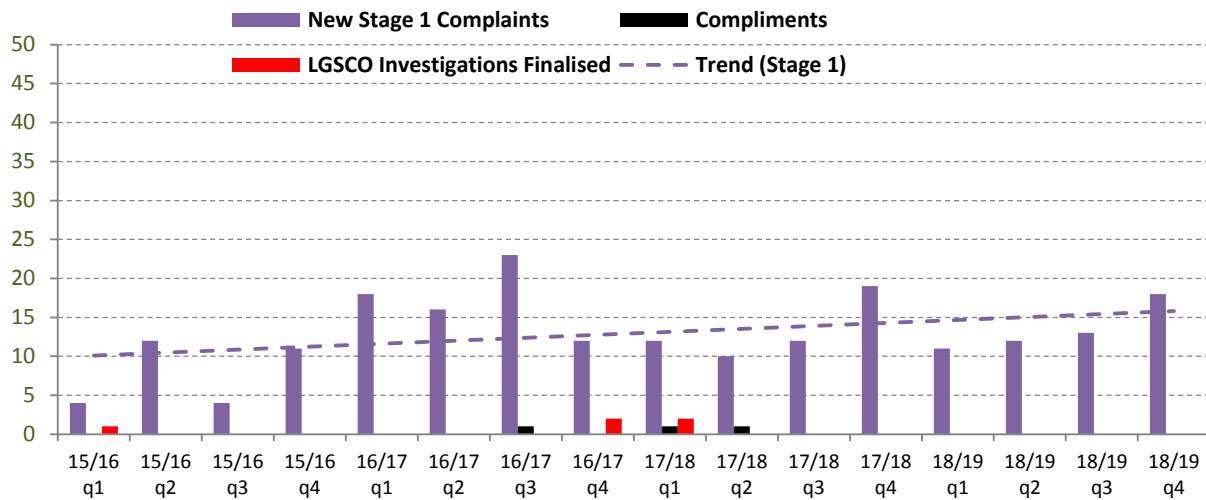
Stage One Complaints Received				
Education	2018/19	2017/18	2016/17	2015/16
Education	35	31	29	16
Education Access 0-25	19	22	35	21
Other, or Business Support	-	-	-	3
Total	54	53	64	40

Other Representations		
Education	2018/19	2017/18
Education	3	-
Education Access 0-25	4	1
Other, or Business Support	-	-
Total	7	1

Stage Two Investigations		
Education	2018/19	2017/18
Education	1	1
Education Access 0-25	1	1
Other, or Business Support	-	-
Total	2	2

Local Government and Social Care Ombudsman Investigations Finalised				
Education	2018/19	2017/18	2016/17	2015/16
Education	-	2	1	-
Education Access 0-25	-	-	2	1
Other, or Business Support	-	-	-	-
Total	0	2	3	1

Compliments Received				
Education	2018/19	2017/18	2016/17	2015/16
Education	-	1	-	-
Education Access 0-25	-	1	1	-
Other, or Business Support	-	-	-	-
Total	0	2	1	0



Learning & Service Improvement

Having no Ombudsman investigations in 2018 / 2019 should be celebrated, and particularly given their increased focus on EHC plans.

The root causes for complaints and representations are provided in the following two pages.

When reflecting on the root causes attributed to complaints against Education, and when comparing to other Services reported herein, there is an indication in the data that parents - rather than feeling communication is not supportive - are tending to complain that relevant communication is not always being provided at all.

Reasons for this may include procedures having changed, new obligations being conferred upon the council, or key officers having moved roles.

Whatever the reasons, we should remain diligent to ensure that our processes continue to deliver all required outputs, and that parents feel supported and involved in decision making.

Outcomes, all Stage One and Representations				
Education	2018/19	2017/18	2016/17	2016/17
Partly Upheld	20%	17%	23%	no data
Upheld	22%	19%	10%	no data
Not Upheld	28%	46%	31%	no data
No Findings / Resolved	19%	9%	12%	no data
Unresolved, Escalated	-	-	-	no data
Withdrawn / Rejected	11%	9%	24%	no data

Root Causes, all Stage One Complaints and Representations		
CHILD's VOICE		1%
Failure to acknowledge correspondence, either by writing, telephone or text	-	
Contact arrangement with siblings or parents not communicated	-	
Failure to update or inform on progress/delay (e.g. accommodation, leaving care)	1%	
Lack of explanation for decision (e.g. placement changes, financial matters)	-	
Relationship Breakdown with Service (SW, Officer, Department etc)	-	
Failure to inform about advocacy service for children looked after	-	
Failure to act (e.g. "my SW said they would, but didn't...")	-	
Failure to support (e.g. "my SW should have explained the process better")	-	
Historic Failure (Service failures that date back 12 months or more)	-	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	-	
Challenge of Care Package (e.g. leaving care grant, allowances, sibling contact)	-	
Leaving Care Support	-	
ADULT's VOICE		38%
Failure to acknowledge correspondence, either by writing, telephone or text	10%	
Contact arrangement with family not communicated	-	
Failure to update or inform on progress/delay (e.g. accommodation)	7%	
Lack of explanation for decision (e.g. placement changes, financial matters)	3%	
Relationship Breakdown with Service (SW, Officer, Department etc)	1%	
Failure to inform about advocacy service	-	
Failure to act (e.g. "my SW said they would, but didn't...")	7%	
Failure to support (e.g. "my SW should have explained the process better")	7%	
Historic Failure (Service failures that date back 12 months or more)	1%	
Quality of Care (e.g. unsuitable placements, irregular statutory SW visits)	-	
Challenge of Care Package	-	
GOOD MANAGEMENT		9%
Quality of Placements & Home Care Provision (e.g. Care Homes, Foster/children homes)	1%	
Failure of agreed payment (e.g. foster carers/ care agencies/ carers)	-	
Challenging reports/reviews (e.g. assessment reports, annual [foster] carers reviews)	7%	

Root Causes, all Stage One Complaints and Representations		
EFFECTIVE and EFFICIENT PROCESSES		12%
Breach of Confidentiality or lost documents/files	-	
Challenge Financial Support or agreed payment (e.g. travel warrants)	1%	
Challenging Decision (financial assessment/entitlement)	1%	
Inadequate or Incorrect notes on file (e.g. Mosaic)	3%	
Failure to provide timely reports or minutes (e.g. [LAC] review reports)	6%	
Challenge Outcomes of Subject Access Requests	-	
Challenge complaint handling practice	-	
WORKFORCE		35%
False Allegations/Slander	-	
Inappropriate Behaviour, verbal (being rude, blackmailing, abusive language)	9%	
Inappropriate Behaviour, physical (assault, physical threat)	-	
Relationship Breakdown with Service (SW, Officer, Department etc)	4%	
Failure to acknowledge correspondence, either by writing, telephone or text	4%	
Contact Arrangement not communicated	-	
Failure to update or inform on progress/delay (e.g. accommodation)	7%	
Lack of explanation for decision (e.g. placement changes, financial matters)	-	
Failure to act (e.g. "SW said they would, but didn't...")	3%	
Failure to support (e.g. "SW should have explained the process better")	7%	
OUT OF JURISDICTION / OTHER / NO FAULT		0%

Data in this, and the following section, may not necessarily total 100%, owing to the data-rounding produced by lists of percentage components.

Because the dataset is relatively small, we should be careful not to examine too carefully small percentage differences from previous years.

In addition to issues with communication failure, one other root cause stands out : *'Relationship Breakdown'* is comparatively quite low, when compared to other Directorates both in the current year, and previously. This may be explained by our work in this area being for shorter defined periods of time, and is worthy of note in any case.

Demographics & Service Access where known			
Breakdown of Complainants (the person who made contact with us)			
Asian, Bangladeshi	-	In Care	-
Asian, British	-	Previously In Care	-
Asian, Indian	-	Never in Care	100%
Asian, Other	8%		
Asian, Pakistani	8%	Child	-
Black, African	17%	Young (19-25)	3%
Black, British	17%	Adult	97%
Black, Caribbean	-	Mean Age.	41 years
Black, Other	-		
Mixed, Mixed Other	8%	Male	15%
Mixed, White & Asian	-	Female	85%
Mixed, White & Black African	-	Otherwise Described	-
Mixed, White & Black Caribbean	-		
Other, Chinese/Vietnamese	-	Known Disability	-
Other, Cypriot Greek	-	No Disability Known to Us	100%
Other, Cypriot Other	-		
Other, Cypriot Turkish	-		
White, British	42%		
White, Irish	-		
White, Other	-		
White, Gypsy or Irish Traveller	-		
Asian, Chinese	-		
Other, Arab	-		
Other, any other group	-		

This breakdown is derived from a relatively small dataset, where demographic information is often not known / not stated, and is therefore removed from the calculation.

Our categories are determined at local level and are based on the most recent Census analysis.

Complaints System Review

Are our investigations objective, sufficient and successful ?

- The strongest evidence available is to look at complaints which were not successfully resolved at the first opportunity.
- The overall numbers of stage 2 independent investigations (children act) remains approximately constant and very low.
- There were no stage 2 complaints which were requested for escalation to stage 3. This supports our belief in the skill level, experience and professionalism of our independently contracted investigators. A zero-escalation rate supports the councils continued commitment to independently contracted investigators.
- The number of complaints submitted for internal review (adults social care) is low (page 15) - and especially given the context of large numbers of care packages which have been reviewed in the year.
- The number of complaints not satisfactorily resolved at internal review, and submitted for further review – at four – is a benchmark that we will refer to in next years report.
- The pilot project in which we have been involved with the Local Government and Social Care Ombudsman, has shown that – across all services – the rate at which they uphold Southwark complaints is 54%. This compares with 64% recorded for “similar authorities”. The data presented in this report on pages 5, 16 and 22 show that so few complaints are being made to the Ombudsman (that we are made aware of) that statistical analysis would provide no additional value.

Are Complaints activities understood and are our services being accessed equally and fairly ?

- The 2011 Census showed the mean age for a Southwark resident is **34**
The mean age, where known, of all our complainants is : **46**
- The ratio of male to female, in 2011, was Male **49% : 51%** Female
The ratio of male to female complainants this year was : Male **30% : 70%** Female

Ethnicity	Complainants 2018/19	Last Census (2011)
White	43%	54%
Black/African/Caribbean/Black British	43%	27%
Asian/Asian British	6%	10%
Mixed/Multiple	5%	6%
Other	3%	3%

- There is no correlation between the uphold rate, or the completion-on-time rate when observed against complainant age, ethnicity, gender or any other recorded categorisation. The evidence demonstrates that complaint outcomes are uninfluenced by the background of the complainant. The proportion of upheld complaints mirrors very closely the proportion of complaints received from different groups.
- We have examined the use of an advocate earlier in this report. An increasing reliance on a formal advocacy service may have indicated a difficulty in accessing the complaints process. However the use of advocacy has reduced. There have been no complaints at all about availability of advocacy, or lack of information / accessibility of the complaints process.

Are we learning from complaints ?

- The overall uphold-rate suggests that we are learning from complaints.
 - o In 2017/18, the number of complaints upheld or partly upheld was 38% in Children's Services
 - vs. 34% this year
 - o 2017/18, the number of complaints upheld or partly upheld was 31% in Adults Social Care.
 - vs. 38% this year
- The overall amount of compensation being paid reflects Southwark's commitment to remedy injustice arising from our activities :
 - o In 2017/18, the total amount of compensation paid was £3702.00 across Children's Services and Education.
 - o In 2016/17, the total amount of compensation paid was £618.00 across Children's Services and Education.
 - vs. £15451.00 this year
 - o In 2017/18, the total amount of compensation paid was £4327.92 across Adults Social Care.
 - o In 2016/17, the total amount of compensation paid was £2402.00 across Adults Social Care.
 - vs. £0.00 this year
- There are no root causes increasing in prevalence for which a specific factor or event has not been attributable.

Complaints Team Update

2018 / 2019 has been a year of building on the root-and-branch overhaul of the Social Care and Education Complaints team. Investment included :

- Appointing Investigators to specialise in Children's, Adult Social Care and Education
- Introduction of new policies relating to Children Act complaints and Adult Social Care
- Writing all-new web content, and providing an improved complaints journey
- Review of all back-office functions and data maintenance

Stated aims included building narrower but deeper service-specific information, and narrower, deeper relationships with key individuals. The team felt it needed to be in a position to handle any increase in overall complaints numbers. The team have benefited from the investment, and have achieved tangible success with each stated aim.

The team wanted to have a more transparent role in identifying and sharing learning throughout the organisation. An enhancement to our process was launched in time for a visit in January 2019 by Ofsted. The visit led to Ofsted asserting that Southwark ."achieves good outcomes...underpinned by a culture of continuous learning".

At the point that every complaint is closed, the Complaints team now formally agree the explicit learning acquired, with the Service involved. That learning is reported quarterly among all senior management and the team attend a number of management team meetings to discuss. The team also draw additional prominence to complaints of a repetitious nature, or where the potential severity for repeating errors, requires it.

The structure and personnel of the complaints team remains relatively new. Great regard has been paid to the relationship with the Local Government and Social Care Ombudsman. The team wants to be recognised as performing well and listening closely to the Ombudsman is one pathway towards realising that ambition. During 2018 / 2019, the team participated in an Ombudsman pilot project. The team ordered Ombudsman-led complaints training for 45 delegates across five directorates. Two investigators took part in the LGSCO Care Provider's Seminar. The team are currently evaluating an opportunity to participate in an Ombudsman Advisory Panel which looks at the service provided by the Ombudsman, and we hope to report back on that in 2019 / 2020.

Southwark Social Care Complaints team are active members of the London Complaints Managers Group, which meets periodically to evaluate best practice, address regulatory / legislative and other developments in and around social care complaint handling. This is an invaluable and productive group, and membership has provided insight and information which directly benefits Southwark residents, service users and officers.

During 2018 / 2019 there have been contractual changes relating to the provision of advocacy. Up to date details for advocacy services are maintained on the Complaints team web pages, and are appropriately referred to during the administration of complaints.

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