

NOTICE
OF
MEETING



CHILDREN'S SERVICES OVERVIEW AND SCRUTINY PANEL

will meet on

WEDNESDAY, 16TH NOVEMBER, 2016

at

6.30 pm

in the

COUNCIL CHAMBER - TOWN HALL,

TO: MEMBERS OF THE CHILDREN'S SERVICES OVERVIEW AND SCRUTINY PANEL

COUNCILLORS EDWARD WILSON, DAVID EVANS, LYNNE JONES, ROSS MCWILLIAMS, MARION MILLS (VICE-CHAIRMAN), NICOLA PRYER AND EILEEN QUICK (CHAIRMAN)

VACANCY (OXFORD DIOCESE), MR MOSS (PORTSMOUTH DIOCESE), TANYA WHITE (SECONDARY HEADTEACHER REPRESENTATIVE), VACANCY (PRIMARY HEADTEACHER REPRESENTATIVE), MR LOUDEN (SECONDARY GOVERNORS REPRESENTATIVE), MARGARET BROWN / MR COOK (SECONDARY GOVERNORS REPRESENTATIVE), MARTIN POST (REGIONAL SCHOOLS COMMISSIONER).

Karen Shepherd - Democratic Services Manager
Issued: Tuesday, 8 November 2016

Members of the Press and Public are welcome to attend Part I of this meeting. The agenda is available on the Council's web site at www.rbwm.gov.uk or contact the Panel Administrator **David Cook**

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AGENDA

PART I

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3.	<u>MINUTES</u> To consider the Part I minutes of the meeting held on 22 nd September 2016.	7 - 14
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7.	<u>LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF THE PRESS AND PUBLIC</u> To consider passing the following resolution:- "That under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the remainder of the meeting whilst discussion takes place on the grounds that it involves the likely disclosure of exempt information as defined in Paragraphs 1- 7 of part I of Schedule 12A of the Act"	-

PARTII

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MEMBERS' GUIDANCE NOTE

DECLARING INTERESTS IN MEETINGS

DISCLOSABLE PECUNIARY INTERESTS (DPIs)

DPIs include:

- Any employment, office, trade, profession or vocation carried on for profit or gain.
- Any payment or provision of any other financial benefit made in respect of any expenses occurred in carrying out member duties or election expenses.
- Any contract under which goods and services are to be provided/works to be executed which has not been fully discharged.
- Any beneficial interest in land within the area of the relevant authority.
- Any license to occupy land in the area of the relevant authority for a month or longer.
- Any tenancy where the landlord is the relevant authority, and the tenant is a body in which the relevant person has a beneficial interest.
- Any beneficial interest in securities of a body where
 - a) that body has a piece of business or land in the area of the relevant authority, and
 - b) either (i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body **or** (ii) the total nominal value of the shares of any one class belonging to the relevant person exceeds one hundredth of the total issued share capital of that class.

PREJUDICIAL INTERESTS

This is an interest which a reasonable fair minded and informed member of the public would reasonably believe is so significant that it harms or impairs your ability to judge the public interest. That is, your decision making is influenced by your interest that you are not able to impartially consider only relevant issues.

DECLARING INTERESTS

If you have not disclosed your interest in the register, you **must make** the declaration of interest at the beginning of the meeting, or as soon as you are aware that you have a DPI or Prejudicial Interest. If you have already disclosed the interest in your Register of Interests you are still required to disclose this in the meeting if it relates to the matter being discussed. A member with a DPI or Prejudicial Interest **may make representations at the start of the item but must not take part in discussion or vote at a meeting.** The term 'discussion' has been taken to mean a discussion by the members of the committee or other body determining the issue. You should notify Democratic Services before the meeting of your intention to speak. In order to avoid any accusations of taking part in the discussion or vote, you must move to the public area, having made your representations.

If you have any queries then you should obtain advice from the Legal or Democratic Services Officer before participating in the meeting.

If the interest declared has not been entered on to your Register of Interests, you must notify the Monitoring Officer in writing within the next 28 days following the meeting.

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Agenda Item 3

CHILDREN'S SERVICES OVERVIEW AND SCRUTINY PANEL

THURSDAY, 22 SEPTEMBER 2016

PRESENT: Councillors Edward Wilson, David Evans, Lynne Jones, Marion Mills (Vice-Chairman) and Eileen Quick (Chairman)

Also in attendance: Cllr Airey and Mr N Cook.

Officers: Edmund Bradley, Robb Stubs, Hilary Hall, Alison Alexander, Terry Baldwin and David Cook.

APOLOGIES FOR ABSENCE

(Cllr Mills in the Chair)

Apologies for absence were received by Cllr Pryer, Cllr McWilliams and Cllr D Evans reported he would be late. Cllr Story was in attendance as a substitute.

DECLARATIONS OF INTEREST

Councillor E Wilson declared a personal interest as his wife and son work education establishments as this was not a Disclosable Pecuniary Interest he stayed and considered the items.

MINUTES

The Part I minutes of the meeting held on 19th July 2016 were approved as a true and correct record. With regards to Desborough Colleges Cllr E Wilson asked for clarification on places available and was informed that there were 10 places available in year 7.

DELIVERY OF CHILDREN'S SERVICES

Resolved unanimously: that the Part II item be considered as a Part I item with the exception of appendix 2 that remains confidential.

The Panel considered the Cabinet report regarding the details following the due diligence activities that had been undertaken since March 2016, leading to the further development of the outline business case to secure the Royal Borough as a shareholder in Achieving for Children for future delivery of children's services.

The Panel received a presentation on the proposal that the Royal Borough was looking at changing the way it delivered children's services to benefit families, residents and staff, while retaining its statutory responsibility.

(Cllr Quick joined the meeting and took the chair.)

The presentation set the background to the proposals and how it was linked to the Council always seeking to be more efficient whilst seeking to provide better services to our residents. Cabinet had agreed to bring school nurses and health visitors into the local authority to deliver a more integrated service. Research was undertaken in how best to deliver integrated services and after reviewing a variety of models it was concluded that a Community Interest Company would be the best option.

The Panel were informed that an outlined business case was developed around two options for a community interest company; either a new Royal Borough owned entity or joining an existing company and the Panel were shown the criteria used to assess these options.

Following the review the conclusion was that the council should consider forming a partnership with the Royal Borough of Kingston upon Thames and the London Borough of Richmond upon Thames to deliver children's services through Achieving for Children (AfC), a community interest company. The company was set up by the Royal Borough of Kingston upon Thames and the London Borough of Richmond upon Thames to help drive up standards and quality, in April 2014.

The Panel noted that both of the London Council's were rated Good by Ofsted, with Kingston's rating having gone from inadequate to good once joining the CIC.

The presentation highlighted the benefits of joining the established company, they were:

- Larger organisation.
- Increased resilience with staff and services.
- More integration of services.
- Opportunities for efficiencies in service provision and support functions.
- Less constrained procurement.
- Access to alternative income streams.
- Achieving for Children has a good track record of delivery.

It was felt that if agreed there would also be improved service provision, and a greater potential for innovation through sharing of best practice between organisations. There would also be opportunity for staff development, leading to a better trained and more stable workforce across all three councils and the ability to employ specialist staff that a smaller authority was not able to do.

(Cllr D Evans joined the meeting)

Due diligence was undertaken and if all partners agreed the Royal Boroughs existing children's services workforce would be employed by AfC from April 2017.

A key agreement to getting to this position was that the Royal Borough would be an equal shareholder in the company, whilst retaining responsibility for all children and young people in the borough under its statutory duties.

The Panel were informed that the total annual budget in scope was £92.734m gross that covered service for children and young people as well as young adults with a learning disability / difficulty up to the age of 25 years. There would be around 277.9FTE transferred to AfC making a combined staffing level of around 1,000 FTE. Work was also underway assessing the level of support functions, such as HR, that would also be required.

The Panel were informed that the Council would remain the responsible authority and thus any future Ofsted judgments would be made against each of the three authorities. A governance structure would be in place that would maintain Members scrutiny function and there was the possibility of moving staff to Windsor as there was a direct train line to the other authorities.

The presentation showed the three key structures which were the Governance arrangements led by Members, the Commissioning structure led by officers and the delivery arrangements.

With regards to schools the Dedicated Schools Grant would be transferred to AfC as an income stream but school staff continue to be employed by the Royal Borough and governor appointments would still be Member decisions.

The school improvement team and Virtual School would benefit from a larger skill base and front line services would still deal with admissions and transport applications.

Members were informed that residents would continue to receive services they currently receive which will remain local and accessible..

The presentation went on to show the impact this would have on adult services; which was that services for young adults with a learning disability or difficulty up to the age of 25 would be in scope to transfer to AfC.

The presentation went on to show the impact this would have on the wider council; such as a reduced workforce, the transfer of support services and Children's services delivery would be contract managed.

The Chairman thanked officers for all the work undertaken so far on this project.

Cllr Story asked how staff had reacted to the proposals and Cllr Airey informed that from her perspective after attending five briefings there was a positive reaction especially after staff were informed that they would be based in the borough with the same terms and conditions. Staff had already come forward with new ideas.

Cllr Story also asked if we knew what AfC level of turnover and sickness (including the Bradford factor) was and was informed that this was not known but officers would enquire. Cllr Airey responded that being in a larger organisation they would expect less turnover of social workers as there would be more opportunities to develop.

Cllr Jones asked what the main risks were and was informed that some people embrace change whilst others were reticent and not knowing what the future would bring could result in them leaving the organisation. To mitigate this the transition period was being made as short as possible.

Cllr E Wilson reported that this was an exciting opportunity however he was concerned what the consequences may be if the administration of one of the authorities changed or more joined. The Panel were informed that in any partnership there was the risk that there may be change in focus for one member however it helped having service provision being in statute. AfC did have a growth strategy and their aim was to have 5 / 6 authorities by 2019.

Mr Nigel Cook asked where Ofsted accountability was help and if one authority had a poor rating would this effect future funding for RBWM. The Panel were informed that each authority would be judged by Ofsted and not AfC. With regards to funding AfC will be accountable for how it allocated its resources.

Cllr Jones asked if officers would still be accessible to Members locally and will there still be accountability by O&S. The Panel were informed that the workforce would be based locally and that the commissioning officer would be responsible for bringing reports and officers to scrutiny.

Cllr E Wilson asked the Managing Director what three things she would expect to be different one year on and was informed that there would be good services with the Council rated as Good, a stronger workforce with less turnover. This would result in better services for residents.

Cllr E Wilson also asked if through AfC we would be able to hold discussions with the larger MATs and was informed that not only would that be possible but AfC would enable us to set up our own MATs.

In response to questions about communicating the proposal to residents the Panel were informed that every message will focus on that residents should not see anything different,

there were press releases planned, email to registered residents and during the transition there would be more communication to residents.

Resolved unanimously: That the Children's Services O&S Panel considered the Cabinet report and fully endorsed the recommendations. The Panel felt that the communications plan could be better refined so it was more focused on getting the message to the local community about the benefits this would have for families rather than informing on the process.

BUSINESS PLAN

The Panel received a presentation on the Adult, Children and Health Services Business Plan 2016-2017, as it was a new combined directorate the Panel were informed that the presentation would be concentrating on Children's Services.

The presentation showed the Council's and thus the Directorates vision and the core business of education, prevention and safeguarding. The new Directorate structure chart was also shown.

The presentation went on to show the priorities for each of the core business functions starting with health, early help and safeguarding which were:

- Integrate early help hub and early help processes so that all enquirers are directed to the most appropriate support.
- Review and deliver an effective Corporate Parenting Strategy.
- Deliver effective services under the Special Educational Needs and Disability reforms.
- Review the Sufficiency Strategy to ensure sufficient placement capacity.
- Review permanence planning processes.

With regards to education the priorities shown were:

- Continue to raise attainment standards across Key Stages 2 and 4.
- Narrow the achievement gap for Free School Meals pupils.
- Work with currently Requires Improvement schools to secure Good or Outstanding judgements.
- Secure sufficient good school places and achieve a high proportion of parents receiving a school of their preference.

And the priorities for commissioning were shown to be:

- Robust commissioning – to secure sufficiency of provision for residents.
- Robust performance and quality assurance framework across the directorate.
- Efficient and effective systems and support across the directorate.
- Ensure the voice of residents is heard and positively influences the design, commissioning and delivery of services.
- Deliver the Joint Health and Wellbeing Strategy.

The Panel were also informed that the Business Plan also highlighted the directorate risks and for Children's services these were:

- Non-delivery of statutory Children's Services functions.
- Needs escalate resulting in budget overspend.
- Insufficient school places to meet the changing children's population needs in the borough.
- Educational attainment at all key stages does not meet at least national levels.
- Non-delivery of high quality, safe educational establishments.
- Lack of cost effective placements.

The Chairman mentioned that with regards to the three years comparative budget shown in table 3 it would have been helpful to know the number of young people so a true budget comparison could be made.

The Chairman also questioned the speed of diagnosis for young people needing a Education and Health Care Plan and was informed that a new application would take about 26 weeks whilst those on existing SEN plans needed to be assessed by next year and this equated to about 700 plans. It was noted that to get a medical diagnosis there was still a significant wait.

Cllr Story asked for clarification on sections 2.4 where it mentions that a third of young people were leaving school without the requisite qualifications yet section 2.5 goes on to say that 81% of our schools are rated as Good or Outstanding. The Panel were informed that 64% of pupils achieved 5 GCSEs rated A to C that included English and mathematics, the figures in the report were borough and no national results. With regards to Ofsted ratings 54% of secondary schools were rated as Good or Outstanding.

Cllr Story also mentioned that section 4.2 showed the level of sickness per FTE and for 2015/16 having nearly 12 days lost against a target of 6 was poor.

With regards to families not wishing to use borough schools Cllr Jones mentioned that in Windsor unless your child went to a single sex upper school parents had no choice regarding co-ed schools and thus had to send their children out of borough. The Chairman mentioned that a lot of work had been done with Churchmead School and this had a direct rail link with Windsor; it provided co-ed choice but this was not at the level parents had in Maidenhead. Cllr Jones agreed that Churchmead had improved but when the admissions criteria was applied Windsor pupils would miss out due to distance.

Cllr E Wilson mentioned that a number of residents were educating their children out of borough not because our schools were bad but because they offered nothing special. It was also questioned if the Panel could review attainment levels of those on pupil premium and it was agreed that when the attainment data was presented to Panel that this would be included.

The business plan was noted.

FINANCIAL UPDATE

The Panel reviewed the Cabinet report regarding the Council's financial performance to date in 2016-17. The Panel were informed that there was a projected £418k underspend on the General Fund. The Council had a Development Fund balance of £1.104m bring reserves to £6.198m which was above the minimum £5.27m set by Council. Details of performance by directorate were included in section 4 of the report.

The Panel were informed that the report also contained a recommendation to approve a £113k S106 capital project for Porny School and the removal of £195k capital budget no longer required for the satellite grammar school feasibility project.

For the Directorate there was a projected outturn figure of £57.4m against a budget of £57.3m this overspend was a reduction of £32k reported to Cabinet in August.

With regards to Children's services there was a predicted outturn underspend of £62k, the Panel were shown the following predicted outturn figures:

- Commissioning – staffing costs + 90k
- Early Help & Safeguarding agency staff +£429k
- Childcare legal costs +£65k
- Leaving care services -£111k

- Children in care placements -112k
- C&YP Disability Service -£376k
- Other -£47k

The Chairman mentioned that with regards to young people with high cost placement that it would only take a small change to have a big impact on the budget.

Cllr Jones raised concern with the overspend of £429k on staff and was informed that this was a projected figure if there was no change. Officers were trying to reduce agency staff and if there was some movement this projected outturn would be reduced. We were looking to replace agency staff with permanent FTE's and there would be no reduction in service to reduce the figure.

Cllr Jones mentioned that this had been an issue last year and questioned why additional resources had not been added during the budget build. The Panel were informed that the budget allocated for staff levels was for permanent FTE's and that Cabinet were aware of the pressure and looking to address it. Cllr Jones replied that if the administration continued to under budget and decreased Council tax then there would be an inevitable pressure on resources.

Cllr E Wilson mentioned that the Fair Funding petition had mentioned that schools were not receiving S106 funding due to Holyport College, he asked if schools were sufficiently funded and if any had asked for additional resources. The Panel were informed that every school would welcome additional resources but at present no requests had been made.

Cllr Wilson also asked about the funding for new grammar schools and if this came directly from Government or via the LEA. The Panel were informed that as this was a national resource individual schools would have to apply directly to Government..

Resolved unanimously: that the Children's Services O&S Panel considered the Cabinet report and fully endorsed the recommendations.

INITIAL SAVINGS IN RESPECT OF 2017-18 BUDGET

The Panel considered the Cabinet report showing proposed savings for the 2017-18 budget. The report highlighted that the Medium Term Financial Plan had identified the need to make savings of £5.6m in 2017-18. Some of the proposed savings would be subject to further reports to Cabinet for approval. The final savings proposals would form part of the budget build and be presented to Council.

The Panel were informed that Corporate Services O&S Panel had raised concern that report summary point three and the recommendations implied that officers and Lead Members would be able to implement saving proposals without any formal scrutiny proses. The Cabinet report had been amended following these comments and revised recommendations were circulated to the Panel.

The Panel were shown savings proposals for the Directorate with the following being highlighted for children's services:

- Commissioning for Children's Services - £210k
- Schools and Education Services - £90k
- Health, Early Help and Safeguarding - £387k
- Non renewal of Family Nurse Partnership contract after 30/9/16 - £110k
- Integration of Health Visitor service and Children's Centres - £100k

Cllr Jones reported that the revised recommendation was much more detailed but recommended that there be a further change to recommendation 3 to add 'once approved by Cabinet'.

Cllr Jones also raised concern that the proposed decrease in education support services could hinder schools up skilling staff and governors. The Panel were informed that the cost to schools of buy back services and decrease in free services was not expected to decrease demand as schools found them a valuable tool. With regards to early years the service provided was being picked up by schools supporting themselves so there would not be a drop in quality. It was agreed that this would be kept under review.

The Children's Services O&S Panel considered the Cabinet report and were informed that the report's recommendations had been changed as a result of comments from Corporate Services O&S Panel. The Panel fully endorsed the revised recommendations subject to 'once approved by Cabinet' being added to recommendation three.

LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF THE PRESS AND PUBLIC

RESOLVED UNANIMOUSLY: That under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the remainder of the meeting whilst discussion takes place on the grounds that they involve the likely disclosure of exempt information as defined in Paragraphs 1-7 of part I of Schedule 12A of the Act.

The meeting, which began at 6.40pm, finished at 8.55pm

CHAIRMAN.....

DATE.....

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Report for: Information



Contains Confidential or Exempt Information	NO - Part I
Title	Adults and Children's Services Annual Complaints 2014/15 and 2015/16
Responsible Officer(s)	Jacqui Hurd, Head of Customer Services
Contact officer, job title and phone number	Claire Burns, Complaints Co-ordinator Adult and Children's Social Care, 01628 683857
For Consideration By	Children's Services Overview and Scrutiny Panel
Date to be Considered	16 November 2016
Implementation Date if Not Called In	Not Applicable
Affected Wards	None

REPORT SUMMARY

1. This report provides an overview of the performance of the Council in respect of receiving, handling and responding to complaints received to Adult and Children Services.
2. The report covers the periods 1 April 2014 to 31 March 2015 and 1 April 2015 to 31 March 2016. It also reports on the compliments received by staff for each service.
3. It recommends that Members note and comment on performance especially the learning derived from this and the improvements made to the service as a result.
4. These recommendations are being made to ensure that the Council meets its statutory responsibilities to publish performance on complaints received to Adult and Children's Services Social Care.
5. There are no financial implications arising from this report.

If recommendations are adopted, how will residents benefit?

Benefits to residents and reasons why they will benefit	Dates by which residents can expect to notice a difference
1. Residents are aware of the performance of the Council in respect of handling and responding to complaints received and how services have been amended as a result.	Immediately upon publication of this report.

1. DETAILS OF RECOMMENDATIONS

That Members note performance of the Council in respect of receiving, handling and responding to complaints received during the periods 1 April 2014 to 31 March 2015 and 1 April 2015 to 31 March 2016.

2. REASON FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

Option	Comments
The Council does not produce an annual report on complaints performance for Adults and Children's Social Care This is not recommended	There is a statutory responsibility for the Council to report on its performance on an annual basis
The Council produces an annual report summarising performance in the way it handles and responds to complaints received to the Children's and Adults Services Social Care function. This is the recommended option	It ensures the Council meets its statutory obligations whilst also ensuring that local policies on transparency are adhered to.

2.1 Background

- 2.1.1 To meet statutory responsibilities and ensure customer care the Council runs a complaints service covering statutory adult and statutory children's social care complaints.
- 2.1.2 The council also has a formal corporate complaints service; however there is no statutory responsibility around the formal corporate complaints services.
- 2.1.3 There are strict statutory frameworks in place governing the complaints process for Adult and Children's social care.
- 2.1.4 The management and administration of the social care complaint function sits within the Operations and Customer Services Directorate. This ensures that there is independence between the officer coordinating the investigation and the service areas being investigated.
- 2.1.5 The level of resource devoted to managing the statutory social care complaints process for both Adult and Children Services is 1FTE.
- 2.1.6 It is important to note here that for a period between February 2014 and February 2015 this role was vacant due to the previous post holder leaving and challenges recruiting a suitable alternative. Therefore the recording of the

complaints during this period is not as it should be and the Council has made a conscious push since March 2016 to both raise awareness of the complaints process and improve the recording of complaints being received. Any increase in the number of complaints between 2014-2015 and 2015/16 should therefore not be interpreted as deterioration in the standard of service being delivered. Rather this is more an accurate reflection of record keeping and increased confidence amongst service users to register complaints fully understanding that the Council takes each complaint seriously and is committed to addressing service failings where these have been identified.

- 2.1.7 The full in depth report for Adult and Children’s social care complaints performance for 2014-2015 is detailed at Appendix 1 and for 2015-2016 is detailed at Appendix 2.

2.2 Complaints Activity

- 2.2.1 Tables 1 and 2 show complaints activity across Children’s and Adults Directorates for the years 2014/15 and 2015/16 and compares these with the previously reported activity for 2013-14.

Table 1: Children’s Services

	2013 – 2014	2014 – 2015	2015 - 2016
Stage 1	90	61	81
Stage 2	2	0	5
Stage 3	0	0	2

Table 2: Adult Services

	2013 – 2014	2014 – 2015	2015 - 2016
Stage 1	78	21	44
Stage 2	3	0	4
Stage 3	0	0	1

Children’s Services

- 2.2.2 The timescale for dealing with Stage 1 statutory Children’s Services Social Care complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required.

2014/15

- 2.2.3 Between April 2014 and March 2015, 61 statutory stage 1 complaints were referred to children’s social care services for investigation. This is less than in 2013-14 when 90 statutory stage 1 complaints were received.

- 2.2.4 Of the 61 complaints that were received during 2014/15, 46% were responded to within timescales.

2015/16

- 2.2.5 During the period 2015-2016, 81 statutory stage 1 complaints were referred to children’s social care services for investigation. This is more than in 2014/15 when 61 statutory stage 1 complaints were received.

- 2.2.6 Of the 81 complaints that were received during 2015/16, 42% were responded to within timescales.
- 2.2.7 In summary stage 1 complaints made have fallen from 2013-2014 to 2015-2016, this is a reflection of excellent work undertaken by service professionals to resolve any issues raised at the earliest point putting our residents first. However there is an increase in stage 2 and stage 3 received in 2015/16, these are all from complaints started in 2014/15 and this is linked back to the period where there was not an active complaints co-ordinator in post. This has now been resolved.
- 2.2.8 It is identified that there needs to be an improvement in the numbers responded to within the timeframes agreed. Failing to respond within time is likely to be that more time is needed to investigate and this is not negotiated at an early opportunity, this now forms part of the training and complaints monitoring.

Adult Services

- 2.2.9 There is no specific timescale for dealing with statutory adults services social care complaints. The timescales are negotiated between the complaints team, the manager of the service being investigated and the customer making the complaint.
- 2.2.10 The council is committed where possible to achieve early resolutions for statutory adults services social care complaints. The measurement used is the same as the timescales for statutory children's services complaints which is 10 working days but can be negotiated up to 20 working days.

2014/15

- 2.2.11 During the period 2014-2015, 21 statutory complaints were referred to Adults Social Care for investigation. This is 73% less than in 2013-14 when 78 complaints were received.
- 2.2.12 Of the 21 statutory stage 1 complaints that were received, 57% were responded to within 10 – 20 working days.

2015/16

- 2.2.13 During the period 2015-2016, 44 statutory complaints were referred to Adults Social Care for investigation. This is an increase of 109% on 2014-2015 when 21 complaints were received.
- 2.2.14 Of the 44 statutory complaints that were referred to Adults Social Care for investigation 42% were responded to within 10 – 20 working days.
- 2.2.15 In summary stage 1 complaints made have fallen considerably from 2013-2014 to 2015-2016, this is a reflection of excellent work undertaken by service professionals to resolve any issues raised at the earliest point putting our residents first.
- 2.2.16 It is identified that there needs to be an improvement in the numbers responded to within the timeframes agreed. Failing to respond within time is likely to be that

more time is needed to investigate and this is not negotiated at an early opportunity, this now forms part of the training and complaints monitoring.

2.3 Compliments Activity

2.3.1 In addition to logging complaints, the Council also logs compliments received by clients. Compliments received are feedback to the relevant service area to ensure due recognition is given to staff. Positive practice is also flagged up at the monthly performance meeting to ensure that learning is shared and disseminated across the directorate.

Children's services 2014/15

2.3.2 During the period 2014/15, 10 compliments were recorded by children's services. These related to the exemplary practice, support and interventions within the social care teams.

2015/16

2.3.3 During the period 2015/16, 19 compliments were recorded by children's services. Of these, almost 50% related to events run by the Youth Service.

2.3.4 It is likely that the low number of compliments recorded over the both years constitutes an under-reporting of compliments. Improving this is a priority and more will be done to raise awareness and improve recording practice in this area.

Adult services 2014/15

2.3.5 During the period 2014/15, 61 compliments were recorded by adult services. The majority of these related to the exemplary practice, support and interventions by carers and social workers.

2015/16

2.3.6 During the period 2015/16, 44 compliments were recorded by adult services. The majority of these related to the exemplary practice, support and interventions by the short term team.

2.3.7 While the number of compliments recorded over both years is higher than those recorded by children's services, it is likely that there is still an underreporting of compliments. Improving this remains a priority and more will be done to raise awareness and improve recording practice in this area.

2.4 Local Government Ombudsman Investigations

Children's Services 2014/15

2.4.1 The Local Government Ombudsman referred three statutory complaints in 2014/15.

2015/16

2.4.2 The Local Government Ombudsman referred eight statutory complaints in 2015/16.

**Adults services
2014/15**

2.4.3 The Local Government Ombudsman referred one statutory complaint.

2015/16

2.4.4 The Local Government Ombudsman referred five statutory complaints.

2.5 Quality Assurance

2.5.1 The Complaints Co-ordinator produces quarterly reports to the Strategic Director for Adults and Children's social care services and the senior management team on Social Care complaints received, the subject of complaints and any emerging themes, including whether they were upheld or not, performance against timescale and any agreed actions or learning.

2.6 Learning from Complaints

2.6.1 Complaints and concerns provide essential and valuable feedback from our clients and customers. Listening to customers and reflecting on examples of where we have not got it right can reveal or highlight opportunities for improvement (for example, a deficiency in practice, quality of care, assessment processes, communication or indeed service delivery). Even if a complaint is not upheld there can be learning from that complaint with service developments and improvements as a result.

2.6.2 The complaints process and the feedback gained is an integral part of the quality assurance process, which feeds into the development and monitoring of services. Learning from complaints is reviewed by Social Care teams regularly at their team meetings and also forms part of one to one supervision. Below are some examples of learning from complaints in the past year.

2.6.3 Children's services

- Explanations to be clarified for when SAR files are sent.
- Delay and drift around convening conference and lack of paperwork shared with parents in advance of the ICPC.
- Better communication needed.
- RBWM children's social care to ensure that communications happen in a timely manner.

2.6.4 Adults

- Implementing training and systems to try and ensure issues with delays are not repeated.
- Team Manager discussed with Social Worker who reflected on how they may have been perceived.
- Internal communication to be improved around letters/complaints received.
- Ensure staff respond to queries as they arise.

2.6.5 In addition it has been highlighted through training needs identification that staff would like complaints training, this is being delivered throughout November and December and it is clear that we have an opportunity to improve on the response

times, this will be addressed through training and robust monitoring and support with the teams.

2.7 Improving Awareness and Accessibility

- 2.7.1 The complaints process is a way of engaging service users and their families to provide feedback on services. Complaints information is provided verbally to services users via the social care teams and independent reviewing officers as well as through the complaints co-ordinator, and leaflets on the procedures are available on the RBWM website as hard copies. Information to hand indicates that email is the preferred method that service users choose to use when complaining.

3 KEY IMPLICATIONS

Defined Outcomes	Unmet	Met	Exceeded	Significantly Exceeded	Date they should be delivered by
Publish complaints performance	After 1 December 2016	By 1 December 2016	Between 20 and 30 November 2016	Before 20 November 2016	By 1 December 2016

4. FINANCIAL DETAILS

4.1 Financial impact on the budget

There are no direct financial implications arising from this report.

5. LEGAL IMPLICATIONS

- 5.1 Upon publication of this report the Council will ensure that it meets its statutory obligations to report on complaints performance for the financial years 2014/15 and 2015/16.

6. VALUE FOR MONEY

- 6.1 N/A

7. SUSTAINABILITY IMPACT APPRAISAL

- 7.1 None

8. RISK MANAGEMENT

Risks	Uncontrolled Risk	Controls	Controlled Risk
The Council has insufficient resource dedicated to handling and responding to complaints leading to greater interventions from the Ombudsman	High	The Council has increased the resource into the management of complaints and resilience is built across resources	Low
Staff are unaware of legal responsibilities for handling social care complaints.	Medium	There is training as part of the work programme for the current and next year – a detailed programme of activity to support staff in service departments better understand responsibilities in terms of social care complaints	Low

9. LINKS TO STRATEGIC OBJECTIVES

9.1 Work on social care complaints links to the following strategic priorities

Residents First

- Support Children and Young People
- Improve the Environment, Economy and Transport
- Work for safer and stronger communities

Delivering Together

- Enhanced Customer Services
- Deliver Effective Services

Equipping Ourselves for the Future

- Changing Our Culture

10. EQUALITIES, HUMAN RIGHTS AND COMMUNITY COHESION

10.1 Given the frameworks for handling social care complaints are set out by statute – these are equally applied across all communities. Further work needs to be done on gathering and analysing demographic information to ensure equal access to the complaints process and to identify inconsistencies (for instance whether there

is a greater preponderance of complaint from one particular community group). However this needs to be handled sensitively and further work is needed with the service area to ensure this is progressed in the most appropriate manner.

11. STAFFING/WORKFORCE AND ACCOMMODATION IMPLICATIONS

11.1 None.

12. PROPERTY AND ASSETS

12.1 None.

13. ANY OTHER IMPLICATIONS

13.1 None.

14. CONSULTATION

14.1 None.

15. TIMETABLE FOR IMPLEMENTATION

15.1 Not Applicable

Date	Details
N/A	N/A

16. APPENDICES

Appendix 1 - Adult and Children’s social care complaints performance for 2014-2015
 Appendix 2 - Adult and Children’s social care complaints performance for 2015-2016

17. BACKGROUND INFORMATION

None

18. CONSULTATION (MANDATORY)

Name of consultee	Post held and Department	Date sent	Date received	See comments in paragraph:
Internal				
Alison Alexander	Managing Director/ Strategic Director Adults, Children and Health			
Simon Fletcher	Strategic Director			

Name of consultee	Post held and Department	Date sent	Date received	See comments in paragraph:
	Operations and Customer Services			

REPORT HISTORY

Decision type:	Urgency item?
For information	No

Full name of report author	Job title	Full contact no:
Jacqui Hurd	Head of Customer Services	01628 68 3969

Royal Borough Windsor & Maidenhead

Adults and Children's Services Social Care Compliments and Complaints Annual Report

1 April 2014 – March 2015

“The Royal Borough of Windsor & Maidenhead is a great place to live, work, play and do business supported by a modern, dynamic and successful Council”

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Children's and Adult's social care services – complaints analysis
2014 – 15

Frequently used acronyms

LGO	Local Government Ombudsman
RBWM	Royal Borough of Windsor and Maidenhead

NATIONAL, LOCAL AND LEGISLATIVE CONTEXT

Children's services

The legislation requires all local authorities to produce and publish an annual report.

The statutory Children's Services complaints process changed in September 2006 following new regulations and guidance, 'Getting the Best from Complaints'; the changes were designed to place a strong emphasis on learning from complaints and representations. The guidance emphasis is that "vulnerable children and young people must get the help they need, when they need it, however large or small their complaint". The scope of what can be complained about was also expanded and prospective adopters and foster carers are included as 'qualifying individuals' who can complain under the social care process. Qualifying individuals are defined in national guidance as the child or young person, their parent, carer or foster carer or 'anyone who could be seen to be acting in the best interests of the child.'

The Council's complaints procedures reflect national guidance on best practice. The statutory social care complaints procedure for children and young people seeks to ensure that they have their concerns resolved swiftly, and to support a culture where feedback received drives service improvement. The complaints process is, therefore, an integral part of a quality assurance framework.

Adult services

Local Authorities have a statutory duty to have in place a complaints and representations procedure for Adult Social Care services. Furthermore, each local authority that has a responsibility to provide social care services is required to publish an annual report relating to the operations of its complaints and representations procedures.

The NHS and Community Care Act 1990 and the Children Act 1989 placed a statutory requirement on local authority social care departments to have a complaints procedure in place. The legislation and associated guidance was prescriptive about how the procedure should operate in practice. The procedures for children and adults were broadly similar but subsequent Regulations led to changes.

The Local Authority Social Services and NHS Complaints (England) Regulations 2009 introduced a single approach for dealing with complaints for both the NHS and Adult Social Care. Whilst there are some important differences in the operation of the complaints procedure to meet statutory requirements, the overarching approach and ethos is consistent across the Directorates.

The legislation requires Local Authorities to appoint a Complaints Manager, for Adult's and Children's Social Care who is responsible for the operation of the Complaints Procedure. This includes all aspects of activity:

- Managing, developing and administering the complaints procedure
- Providing assistance and advice to those who wish to complain
- Overseeing the investigating of complaints that cannot be managed at source
- Supporting and training existing and new members of staff
- Monitoring and report on complaints activity.

For Adult Social Care there was a significant change to the complaints procedure in 2009 with the introduction of Regulations with the objective of delivering a consistent approach to complaints handling for both health and social care.

The key principles of the existing procedure are:

- **Listening** establishing the facts and the required outcome
- **Responding** investigate and make a reasoned decision based on the facts/information
- **Improving** using complaints data to improve services and influence/inform the commissioning and business planning process.

1. INTRODUCTION

- 1.1 This annual report covers the period of 1 April 2015 – 31 March 2016 and reports on the complaints and compliments made by or on behalf of adults, children, young people and other customers using the Council's social care services¹. It is a statutory requirement to produce an annual report and publish this on the local authority's website.
- 1.2 The report details the number of complaints, representations and compliments received, the Council's performance in responding and handling these and how services have been changed/improved as a result.
- 1.3 The report has been organised across a number of sections. Section two of the paper provides an overview of the complaints process as it currently operates followed by an overview of the national policy and legislative context that governs how local authorities manage this area of work. The final sections provide details of the number of complaints, representations and compliments received and the Council's performance in respect of handling, responding and resolving these. This section also covers how the Council has used customer feedback as a mechanism to drive forward service improvement.

2 COMPLAINTS PROCEDURES

- 2.1 Overall responsibility for services delivered through the Adult Services and Children's Services Directorates rests with the Strategic Director who works closely with the Lead Members.
- 2.2 An important facet of the statutory complaints process within RBWM is the independence of the post of complaints coordinator. Whilst working to the Adults and Children's Directorates, the complaints coordinator post sits within the Operations Directorate and has an arms length relationship with adults and children's services colleagues. This ensures there are no conflicts of interest and enables independent and impartial challenges to be made.

Children's services complaints

- 2.3 RBWM's complaints process for children's social care comprises three stages:

Stage one: local resolution

- 2.4 This initial stage allows the opportunity to try and resolve issues of dissatisfaction by meeting with managers and staff who have responsibility for the case. Alternative Dispute Resolution meetings (ADR) are offered to

¹ Please note that this report does not cover corporate complaints or complaints about the other services offered through the Adults and Children's Services Directorates.

complainants at stage one to promote agreed local resolution at the earliest possible stage. ADR meetings are also used at other points of the complaints process.

Stage two: independent investigation

- 2.5 When a complaint has not been resolved to the satisfaction of the complainant at the conclusion of Stage 1, it moves to stage 2. This involves a full and formal investigation by an independent external investigator. The external investigator produces a report, which is submitted to the Director for his/her consideration.
- 2.6 An 'Independent Person' may also be appointed to oversee the investigation and report independently to Children's Services.
- 2.7 The final decision rests with the Director regarding the outcome of the complaint. The Director will write to the complainant including a copy of the findings of the investigation report and the recommendations made.

Stage three: review panel

- 2.8 A review panel is convened when the complainant is either dissatisfied with a Stage 2 investigation or the response from the Director. The Panel comprises three independent people.

Adult services complaints

- 2.9 The NHS and Community Care Act 1990 and the Children Act 1989 placed a statutory requirement on local authority social care departments to have a complaints procedure in place. The legislation and associated guidance was prescriptive about how the procedure should operate in practice. The procedures for children and adults were broadly similar but subsequent Regulations led to changes.
- 2.10 There are some important differences in the operation of the complaints procedure between children's services and adults' services to meet statutory requirements.
- 2.11 The legislation requires Local Authorities to appoint a Complaints Manager, for Adult's and Children's Social Care who is responsible for the operation of the Complaints Procedure. This includes all aspects of activity:
- Managing, developing and administering the complaints procedure
 - Providing assistance and advice to those who wish to complain
 - Overseeing the investigating of complaints that cannot be managed at source
 - Supporting and training existing and new members of staff
 - Monitoring and report on complaints activity.

- 2.12 For Adult Social Care there was a significant change to the complaints procedure in 2009 with the introduction of Regulations with the objective of delivering a consistent approach to complaints handling for both health and social care.
- 2.13 The key principles of the existing procedure are:
- **Listening** establishing the facts and the required outcome
 - **Responding** investigate and make a reasoned decision based on the facts/information and
 - **Improving** using complaints data to improve services and influence/inform the commissioning and business planning process.

The Local Government Ombudsman

- 2.14 Although complainants can refer complaints onto the Local Government Ombudsman (LGO) at any stage, the LGO will not normally investigate until the local authority have exhausted the complaint procedure including, in the case of children's services, holding a Stage 3 Review Panel.

Improvements

- 2.16 The council will continue to commit, adhere to and support the statutory complaints process, therefore putting service users first. The organisation will continue to improve the transparency and efficacy of the complaints process, increasing the current growing confidence on the part of service users to submit complaints with the understanding that the Council will take these seriously and respond. It will also continue to increase confidence amongst professionals through the use of 'good practice' from the statutory complaints process both internally and externally.
- 2.17 Robust relationship building, better understanding, recording, monitoring, evaluation, reporting and training will continue to contribute to raising awareness of the statutory complaints process, and identifying key themes and learning outcomes, which will assist the council to promote best practice throughout the directorates.
- 2.18 RBWM does not currently request demographic information from complainants; however, for equality monitoring purposes and in particular to identify whether all sections of the community are accessing the process, further work will be undertaken to improve the gathering and use of demographic data (race, gender and disability). This will, however, remain voluntary with service users not being obligated to provide this should they choose not to.
- 2.19 Adult Care Complaints responses are required to be proportionate to the issues raised. The only timescale in the process relates to the acknowledgement of the complaint, which is within three working days from

receipt. Although the regulations do not stipulate a time frame for further response, the Royal Borough of Windsor & Maidenhead aims to respond within 10-20 working days. This fits with the Local Authority's Corporate Complaint response time frame and the previous social care complaints regulations, and promotes good practice.

- 2.20 The One Stage response approach means staff must gauge how serious and what potential risks are involved with the complaint, and based on this carry out an appropriate investigation in to the complaint. This may be at Team Manager, Service Manager, Head of Service or Director-level. Depending on the complaint/complainant it may also be necessary to work with an independent investigating officer.
- 2.21 All complaints received, along with comments and compliments, are recorded on a complaints database. The database provides a formal record enabling monitoring of workflow, and is used to produce data on the number and types of complaints received by the directorate.

3. SUMMARY OF COMPLAINTS ACTIVITY, QUALITY ASSURANCE & LEARNING

- 3.1 It is important to stress that there could be many factors that affect the level or number of complaints, such as satisfaction, access to and awareness of the complaints process; the extent of promotional activity to raise awareness; outreach work and so on. Therefore a high level of complaints cannot be simply interpreted as negative, nor conversely does a low level of complaints necessarily reflect a strong service area and high satisfaction. The following should not be read as a commentary on the 'quality' of the Children's services social care function. Rather this report is intended to provide an overview on complaints activity captured during the period covering April 2014 – March 2015, how the Council responded to the complaints received and what learning has been adopted to improve practice and services.

Overview: Children's services

- 3.2 During the period 2014/15, 61 statutory complaints were referred to Children's Social Care Services for investigation. This is less than in 2013/14 when 90 complaints were received.
- 3.3 Of the 61 complaints received during 2014/15:
- 13% related to the Child in Need Service.
 - 21% related to the Safeguarding and Child in Care Service.
 - 35% related to the Children and Young People Disability Service .
 - 21% related to the Referral and Assessment Service.
 - 10% of complaints received were spread across the remaining service areas.

- One complaint was withdrawn by the complainant after the investigation had commenced.
 - All of the complaints were investigated and responded to at stage 1.
 - There were no stage 2 or stage 3 investigations.
 - There were 34 contacts recorded that were not complaints, of which 30 were from MPs or Councillors.
- 3.4 100% of all complaints recorded were resolved at Stage 1. The resolution of such a high percentage of complaints at Stage 1 is very positive and demonstrates that Social Care staff and the Complaints Co-ordinator are ensuring that the complainant's views and the outcomes they require are listened to and documented.
- 3.5 The timescale for dealing with Stage 1 statutory Children's Services Social Care complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required. Of the 61 that were received during 2014/15, 46% were responded to within timescales.
- 3.6 Complaints that were responded to outside of timescales were complex issues requiring further investigations. Where there is a delay in the process, the Complaints Co-ordinator will continue to liaise with the complainant, providing the reasons for the delay and negotiating new timeframes..
- 3.7 The Local Government Ombudsman (LGO) referred three statutory complaints in 2014 – 2015, which compares to one in 2013 – 2014, an increase of 200%.

Overview: Adults services

- 3.8 During the period 2014/15, 21 statutory complaints were referred to Adults Social Care Services for investigation. This is less than in 2013/14 when 78 complaints were received.
- 3.9 Of the 21 complaints received during 2014/15:
- 14% related to the Community Mental Health Team.
 - 10% related to the Community Team for People with Learning Disabilities.
 - 33% related to the Hospital Team.
 - 19% related to the Long Term team.
 - 24% of complaints received were spread across the remaining service areas.
 - Three complaints were withdrawn by the complainants after the investigations had commenced.
 - All of the complaints were investigated and responded to at stage 1.
 - There were no stage 2 investigations.

- There were 3 contacts recorded that were not complaints, of which 3 were from MPs or Councillors..
- 3.10 100% of all complaints recorded were resolved at Stage 1. The resolution of such a high percentage of complaints at Stage 1 is very positive and demonstrates that Social Care staff and the Complaints Co-ordinator are ensuring that the complainant's views and the outcomes they require are listened to and documented.
- 3.11 The Royal Borough of Windsor and Maidenhead's timescale for dealing with Stage 1 statutory Adults Services Social Care complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required. Of the 23 that were received during 2014/15, 57% were responded to within timescales.
- 3.12 Complaints that were responded to outside of timescales were complex issues requiring further investigations. Where there is a delay in the process, the Complaints Co-ordinator will continue to liaise with the complainant, providing the reasons for the delay and negotiating new timeframes.
- 3.13 The Local Government Ombudsman (LGO) referred one statutory complaint in 2014 – 2015, the same number as in 2013 – 2014, with two to be determined.

4. COMPLIMENTS

- 4.1 In addition to logging complaints, the Council also logs compliments received by clients.

Children's compliments

- 4.2 For 2014/15 there were 10 compliments recorded. The majority of these related to the exemplary practice, support and interventions within the social worker function. Compliments received are fed back to the relevant service areas to ensure due recognition is given to staff. Positive practice is also flagged up at the monthly performance meeting to ensure that learning is shared and disseminated across the directorate.

- 4.3 It is likely that the low level of 10 compliments constitutes an under-reporting of compliments. Improving this remains a priority and more will be done to raise awareness and improve practice in this area.

Adult compliments

- 4.4 For 2014/15 there were 61 compliments recorded, which is a decrease on 2013/14 figures of 98 compliments. The majority of these related to the exemplary practice, support and interventions by carers and social workers. Compliments received are fed back to the relevant service areas to ensure

due recognition is given to staff. Positive practice is also flagged up at the monthly performance meeting to ensure that learning is shared and disseminated across the directorate.

- 4.5 It is likely that the decrease in compliments constitutes an under-reporting. Improving this remains a priority and more will be done to raise awareness and improve practice in this area.

5. REPRESENTATIONS

- 5.1 58 representations were made by children in care through their review process. This is a decrease in the number of representations made in 2013/14.
- 5.2 The representations from young people were reported separately from the 61 statutory complaints received through Children's services social care. Representations are logged according to eight generic categories; these were identified by the types of key themes being recorded during 2014-2015 (Complaints Analysis, page 11).
- 5.3 Where representations have been raised and upheld the young person's care plan has been amended accordingly. In addition the issues raised through representations form an integral part of case supervision and learning outcomes for the team and service area.

6. QUALITY ASSURANCE

- 6.1 The Complaint Co-ordinator carries out ad-hoc quality assurance checks of Stage 1 complaint responses to ensure the language and terminology used is made easy for the complainant to understand, particularly if the complaint is from a child, young person or a service user with specific needs. The findings including key themes and recommendations are shared with senior managers at quarterly meetings and reports.

7 LEARNING FROM COMPLAINTS

- 7.1 The number of complaints for Children's Services and Adult Services social care dropped in the last year. It is not clear why this is, as it does not follow the general trend over the last few years. This will be further explored in future annual reports.
- 7.2 Complaints and concerns provide essential and valuable feedback from our clients and customers. Listening to customers and reflecting on examples of where we have not got it right can reveal or highlight opportunities for improvement (for example, a deficiency in practice, communication or service

delivery). Even if a complaint is not upheld there can be learning from that complaint with improvements arising as a result. The complaints process and the feedback gained is an integral part of the quality assurance process, which feeds into the development and monitoring of services. Learning from complaints should be reviewed by Social Care teams regularly at their team meetings and form part of one to one supervision.

7.3 Effective recording, monitoring and evaluating of complaints enables the local authority to also celebrate good practice, and commend positive service delivery and implementation. Learning from best practice, is embraced by the local authority and disseminated to other service areas through Action Learning Sets. Detailed below are some examples of learning outcomes and service improvements made as a result of complaints received during the period 2014/15:

7.4 **Children's services**

- Social Workers to act professionally at all times, and be clear about process.
- Ensure that sensitive information is checked before sharing with parents/service users.
- Transparency with decision making.
- Training on data protection.
- Whilst confidentiality was not breached, the complaint reinforced the need for staff to ensure identity of callers. The complaint also reinforced the need where possible to identify and contact a parent with PR prior to speaking to a child. This has been discussed at Team Meeting.
- To ensure that Service Users fully understand why certain processes and assessments need to be undertaken and why certain decisions are made by the Local Authority and partnership agencies.

7.5 **Adults**

This information was not captured in 2014/15. This has been rectified for the year 2015/16

Appendix 1

CHILDREN'S AND ADULT'S SOCIAL CARE SERVICES – COMPLAINTS ANALYSIS 2014 – 15

METHODS USED TO MAKE A STATUTORY COMPLAINT

The most popular method of making a complaint (at Stage 1) was via email followed by letter, with phone calls coming last. All complainants are offered either a telephone discussion or a face-to-face meeting with the Complaints Co-ordinator or Investigating Officer at all Stages of the statutory complaints process.

DEMOGRAPHIC INFORMATION

RBWM does not currently request this information from complainants however for equality monitoring purposes and in particular to identify whether all sections of the community are accessing the process, further work will be undertaken to improve the gathering and use of demographic data (race, gender and disability). This will however remain voluntary with service users not being obligated to provide this should they choose not to.

The council will continue to commit, adhere to and support the statutory complaints process therefore putting service users first. The organisation will continue to improve the transparency and efficacy of the complaints process, increasing the current growing confidence on the part of the service users to submit complaints with the understanding that the Council will take these seriously and response. It will also continue to increase the confidence amongst professionals through the use of 'good practice' through the statutory complaints process both internally and externally.

Robust relationship building, better understanding, recording, monitoring, evaluation, reporting and training will continue to contribute to raising the awareness of the statutory complaints process, and identifying key themes and learning outcomes, which will assist the council to promote best practice throughout the directorate.

COMPLAINTS ABOUT CHILDREN'S SOCIAL CARE SERVICES

The following is an analysis of the complaints received relating to Children's Social Care Services during the year 2014-2015.

Figure 1: Total number of complaints received from 2007 onwards (including those resolved by ADR and eventually withdrawn)

Children's Services	2007	2008	2009	2010	2011	2012	2013	2014
	2008	2009	2010	2011	2012	2013	2014	2015
Stage 1	56	47	31	22	18	43	90	61
Stage 2	1	1	2	1	1	1	2	0
Stage 3	0	1	1	1	0	0	0	0

Figure 2: Complaints received by Children’s Services Teams

Teams	Number of Complaints	Percentage
Children in Need Service	8	13
Children & Young People Disability Service	22	36
Family Centre Service	1	2
Family Group Conference Service	1	2
Permanency & Placement Service	4	6
Referral & Assessment Team	13	21
Safeguarding and Children in Care Service	12	20
Total	61	100

There were 9 complaint types monitored. These are generic categories as they are corporate definitions for types of complaint

Figure 3: Types of stage 1 complaints received during 2014/15

Type of Complaint	Number	Percentage
Service provision	29	48
Conduct or Poor Practice of officers	15	26
Lack of or poor Communication	2	3
Lack of Support	1	1
Lack of information/ or incorrect Information	3	5
Safeguarding issues	1	1
Contact	5	9
Failure to Act	2	3
Financial Issues	2	3
Data protection	1	1
Total	62	100

For 2014/15 the highest grouping is for service provision. This is a return to the trend seen in years 2010 – 2013 (in 2013/14 the highest grouping of complaint issues related to conduct or practice of officers).

Figure 4: The table below provides a breakdown on who made the complaint:

Who Made the Complaint	Number	Percentage
Birth Parent	43	70
Adoptive Parent	2	3
Carer	2	3
Extended Family	11	19
Young Person	0	0
Professional Officer	3	5
Total	61	100

As in previous years the majority of complaints have been received from Birth Parents followed by Extended Family members (at 70% and 19% respectively).

REPRESENTATIONS MADE BY CHILDREN IN CARE THROUGH THEIR REVIEW PROCESS

Figure 5: Types of CIC Representations received during 2014/15

Type of Representation	Number	Percentage
Contact Issues	9	16
Financial Assistance	3	5
Independent Living	8	14
Locality of Placement	1	2
Placement Issues (Generic)	13	22
Return to Parental Care Issues	6	10
Education Issues	4	7
Social Worker Practice/Conduct	1	2
Conduct of foster carers	2	3
Other/Adequate Care	11	19
Total	58	100

COMPLAINTS ABOUT ADULT'S SOCIAL CARE SERVICES

The following is an analysis of the complaints received relating to Children's Social Care Services during the year 2014/15.

Figure 1: Total number of complaints received from 2007 onwards

Adult Services	2007 – 2008	2008 – 2009	2009 – 2010	2010 – 2011	2011 – 2012	2012 – 2013	2013 – 2014	2014 – 2015
Stage 1	60	43	34	19	16	49	78	21
Stage 2	3	2	2	1	0	0	3	0
Stage 3	2	1	1	1	0	0	0	0

Figure 2: Complaints received by Adult Services Teams:

Teams	Number of Complaints	Percentage
CMHT	3	14
CTPLD	2	10
Hospital team	7	33
Long Term team	4	19
Older people	1	5
Out of hours team	1	5
Not specified	3	14
Total	21	100

There were 9 complaint types monitored. These are generic categories as they are corporate definitions for types of complaint

Figure 3: Types of stage 1 complaints received during 2014/15:

Adults and Children's Services Social Care Compliments and Complaints Annual Report 2014/15– May 2016 – Final v3

Type of Complaint	Number	Percentage
Care Costs	4	18
Quality of Services	7	30
Conduct of Officer/Staff Member	5	22
Lack of support	4	26
Request for services	1	4
TOTAL	21	100

For 2014/15 the highest grouping is for service provision. This is a return to the trend seen in years 2010 – 2013 (in 2013/14 the highest grouping of complaint issues related to conduct or practice of officers).

Figure 4: The table below provides a breakdown on who made the complaint:

Who Made the Complaint	Number	Percentage
Extended Family	7	33
Service user	4	19
Child of service user	3	14
Professional	3	14
Parent of service user	2	10
Spouse or partner	1	5
Not known	1	5
Total	21	100

The majority of complaints have been received from the extended family, followed by service users (at 33% and 19% respectively).

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Royal Borough Windsor & Maidenhead

Adults and Children's Services Social Care Compliments and Complaints Annual Report

1 April 2015 – March 2016

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Delivering value for money

Delivering together with our partners

Equipping ourselves for the future

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Frequently used acronyms

LGO	Local Government Ombudsman
RBWM	Royal Borough of Windsor and Maidenhead

NATIONAL, LOCAL AND LEGISLATIVE CONTEXT

Children's services

The legislation requires all local authorities to produce and publish an annual report.

The statutory Children's Services complaints process changed in September 2006 following new regulations and guidance, 'Getting the Best from Complaints'; the changes were designed to place a strong emphasis on learning from complaints and representations. The guidance emphasis is that "vulnerable children and young people must get the help they need, when they need it, however large or small their complaint". The scope of what can be complained about was also expanded and prospective adopters and foster carers are included as 'qualifying individuals' who can complain under the social care process. Qualifying individuals are defined in national guidance as the child or young person, their parent, carer or foster carer or 'anyone who could be seen to be acting in the best interests of the child.'

The Council's complaints procedures reflect national guidance on best practice. The statutory social care complaints procedure for children and young people seeks to ensure that they have their concerns resolved swiftly, and to support a culture where feedback received drives service improvement. The complaints process is, therefore, an integral part of a quality assurance framework.

Adult services

Local Authorities have a statutory duty to have in place a complaints and representations procedure for Adult Social Care services. Furthermore, each local authority that has a responsibility to provide social care services is required to publish an annual report relating to the operations of its complaints and representations procedures.

The NHS and Community Care Act 1990 and the Children Act 1989 placed a statutory requirement on local authority social care departments to have a complaints procedure in place. The legislation and associated guidance was prescriptive about how the procedure should operate in practice. The procedures for children and adults were broadly similar but subsequent Regulations led to changes.

The Local Authority Social Services and NHS Complaints (England) Regulations 2009 introduced a single approach for dealing with complaints for both the NHS and Adult Social Care. Whilst there are some important differences in the operation of the complaints procedure to meet statutory requirements, the overarching approach and ethos is consistent across the Directorates.

The legislation requires Local Authorities to appoint a Complaints Manager, for Adult's and Children's Social Care who is responsible for the operation of the Complaints Procedure. This includes all aspects of activity:

- Managing, developing and administering the complaints procedure

- Providing assistance and advice to those who wish to complain
- Overseeing the investigating of complaints that cannot be managed at source
- Supporting and training existing and new members of staff
- Monitoring and report on complaints activity.

For Adult Social Care there was a significant change to the complaints procedure in 2009 with the introduction of Regulations with the objective of delivering a consistent approach to complaints handling for both health and social care.

The key principles of the existing procedure are:

- **Listening** establishing the facts and the required outcome
- **Responding** investigate and make a reasoned decision based on the facts/information
- **Improving** using complaints data to improve services and influence/inform the commissioning and business planning process.

1. INTRODUCTION

- 1.1 This annual report covers the period of 1 April 2015 – 31 March 2016 and reports on the complaints and compliments made by or on behalf of adults, children, young people and other customers using the Council's social care services¹. It is a statutory requirement to produce an annual report and publish this on the local authority's website.
- 1.2 The report details the number of complaints, representations and compliments received, the Council's performance in responding and handling these and how services have been changed/improved as a result.
- 1.3 The report has been organised across a number of sections. Section two of the paper provides an overview of the complaints process as it currently operates followed by an overview of the national policy and legislative context that governs how local authorities manage this area of work. The final sections provide details of the number of complaints, representations and compliments received and the Council's performance in respect of handling, responding and resolving these. This section also covers how the Council has used customer feedback as a mechanism to drive forward service improvement.

2 COMPLAINTS PROCEDURES

- 2.1 Overall responsibility for services delivered through the Adult Services and Children's Services Directorates rests with the Strategic Director who works closely with the Lead Members.
- 2.2 An important facet of the statutory complaints process within RBWM is the independence of the post of complaints coordinator. Whilst working to the Adults and Children's Directorates, the complaints coordinator post sits within the Operations Directorate and has an arms length relationship with adults and children's services colleagues. This ensures there are no conflicts of interest and enables independent and impartial challenges to be made.

Children's services complaints

- 2.3 RBWM's complaints process for children's social care comprises three stages:

Stage one: local resolution

- 2.4 This initial stage allows the opportunity to try and resolve issues of dissatisfaction by meeting with managers and staff who have responsibility for the case. Alternative Dispute Resolution meetings (ADR) are offered to complainants at stage one to promote agreed local resolution at the earliest

¹ Please note that this report does not cover corporate complaints or complaints about the other services offered through the Adults and Children's Services Directorates.

possible stage. ADR meetings are also used at other points of the complaints process.

Stage two: independent investigation

- 2.5 When a complaint has not been resolved to the satisfaction of the complainant at the conclusion of Stage 1, it moves to stage 2. This involves a full and formal investigation by an independent external investigator. The external investigator produces a report, which is submitted to the Director for his/her consideration.
- 2.6 An 'Independent Person' may also be appointed to oversee the investigation and report independently to Children's Services.
- 2.7 The final decision rests with the Director regarding the outcome of the complaint. The Director will write to the complainant including a copy of the findings of the investigation report and the recommendations made.

Stage three: review panel

- 2.8 A review panel is convened when the complainant is either dissatisfied with a Stage 2 investigation or the response from the Director. The Panel comprises three independent people.

Adult services complaints

- 2.9 The NHS and Community Care Act 1990 and the Children Act 1989 placed a statutory requirement on local authority social care departments to have a complaints procedure in place. The legislation and associated guidance was prescriptive about how the procedure should operate in practice. The procedures for children and adults were broadly similar but subsequent Regulations led to changes.
- 2.10 There are some important differences in the operation of the complaints procedure between children's services and adults' services to meet statutory requirements.
- 2.11 The legislation requires Local Authorities to appoint a Complaints Manager, for Adult's and Children's Social Care who is responsible for the operation of the Complaints Procedure. This includes all aspects of activity:
- Managing, developing and administering the complaints procedure
 - Providing assistance and advice to those who wish to complain
 - Overseeing the investigating of complaints that cannot be managed at source
 - Supporting and training existing and new members of staff
 - Monitoring and report on complaints activity.
- 2.12 For Adult Social Care there was a significant change to the complaints procedure in 2009 with the introduction of Regulations with the objective of

delivering a consistent approach to complaints handling for both health and social care.

- 2.13 The key principles of the existing procedure are:
- **Listening** establishing the facts and the required outcome
 - **Responding** investigate and make a reasoned decision based on the facts/information and
 - **Improving** using complaints data to improve services and influence/inform the commissioning and business planning process.

The Local Government Ombudsman

- 2.14 Although complainants can refer complaints onto the Local Government Ombudsman (LGO) at any stage, the LGO will not normally investigate until the local authority have exhausted the complaint procedure including, in the case of children's services, holding a Stage 3 Review Panel.

Improvements

- 2.16 The council will continue to commit, adhere to and support the statutory complaints process, therefore putting service users first. The organisation will continue to improve the transparency and efficacy of the complaints process, increasing the current growing confidence on the part of service users to submit complaints with the understanding that the Council will take these seriously and respond. It will also continue to increase confidence amongst professionals through the use of 'good practice' from the statutory complaints process both internally and externally.
- 2.17 Robust relationship building, better understanding, recording, monitoring, evaluation, reporting and training will continue to contribute to raising awareness of the statutory complaints process, and identifying key themes and learning outcomes, which will assist the council to promote best practice throughout the directorates.
- 2.18 RBWM does not currently request demographic information from complainants; however, for equality monitoring purposes and in particular to identify whether all sections of the community are accessing the process, further work will be undertaken to improve the gathering and use of demographic data (race, gender and disability). This will, however, remain voluntary with service users not being obligated to provide this should they choose not to.
- 2.19 Adult Care Complaints responses are required to be proportionate to the issues raised. The only timescale in the process relates to the acknowledgement of the complaint, which is within three working days from receipt. Although the regulations do not stipulate a time frame for further response, the Royal Borough of Windsor & Maidenhead aims to respond within 10-20 working days. This fits with the Local Authority's Corporate

Complaint response time frame and the previous social care complaints regulations, and promotes good practice.

- 2.20 The One Stage response approach means staff must gauge how serious and what potential risks are involved with the complaint, and based on this carry out an appropriate investigation in to the complaint. This may be at Team Manager, Service Manager, Head of Service or Director-level. Depending on the complaint/complainant it may also be necessary to work with an independent investigating officer.
- 2.21 All complaints received, along with comments and compliments, are recorded on a complaints database. The database provides a formal record enabling monitoring of workflow, and is used to produce data on the number and types of complaints received by the directorate.

3. SUMMARY OF COMPLAINTS ACTIVITY, QUALITY ASSURANCE & LEARNING

- 3.1 It is important to stress that there could be many factors that affect the level or number of complaints, such as satisfaction, access to and awareness of the complaints process; the extent of promotional activity to raise awareness; outreach work and so on. Therefore a high level of complaints cannot be simply interpreted as negative, nor conversely does a low level of complaints necessarily reflect a strong service area and high satisfaction. The following should not be read as a commentary on the 'quality' of the Children's services social care function. Rather this report is intended to provide an overview on complaints activity captured during the period covering April 2015 – March 2016, how the Council responded to the complaints received and what learning has been adopted to improve practice and services.

Overview: Children's services

- 3.2 During the period 2015-16, 88 complaints were referred to Children's Social Care Services for investigation. This is more than in 2014-15 when 61 complaints were received.
- 3.3 Of the 88 complaints received during 2015-16:
- 12 (14%) related to the Child Protection service
 - 11 (13%) related to the Children in Need service
 - 5 (6%) related to the Children in Care service
 - 19 (22%) related to Children and Young People Disability services
 - 9 (10%) related to the Referral and Assessment service
 - 7 (8%) related to the Family Placements service
 - 3 (3%) related to Early Help services
 - 22 (24%) related to complaints about education

- Four complaints were withdrawn by the complainant after the investigation had commenced.
 - 81 (92%) of the complaints were investigated and responded to at stage 1.
 - 5 (6%) of the complaints were investigated and responded to at stage 2.
 - 2 (2%) of the complaints were investigated and responded to at stage 3.
 - There were 49 contacts recorded that were not complaints, of which 28 were from MPs or Councillors.
- 3.4 92% of all complaints recorded were resolved at Stage 1. The resolution of such a high percentage of complaints at Stage 1 is very positive and demonstrates that Social Care staff and the Complaints Co-ordinator are ensuring that the complainant's views and the outcomes they require are listened to and documented.
- 3.5 The timescale for dealing with Stage 1 statutory Children's Services Social Care complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required. Of the 88 that were received during 2015-16, 42% were responded to within timescales.
- 3.6 Complaints that were responded to outside of timescales were complex issues requiring further investigations. Where there is a delay in the process, the Complaints Co-ordinator will continue to liaise with the complainant, providing the reasons for the delay and negotiating new timeframes.
- 3.7 The Local Government Ombudsman (LGO) referred eight statutory complaints in 2015-16, which compares to three in 2014-15. Of the eight complaints referred, one was upheld.

Overview: Adults services

- 3.8 During the period 2015-16, 49 statutory complaints were referred to Adults Social Care Services for investigation. This is less than in 2014-15 when 78 complaints were received.
- 3.9 Of the 49 complaints received during 2015-16:
- 1 (2%) related to the Community Mental Health Team.
 - 3 (6%) related to the Community Team for People with Learning Disabilities.
 - 27 (55%) related to the Older People Team.
 - 6 (13%) related to the Safeguarding Team
 - 12 (24%) of complaints received were spread across the remaining service areas.
 - Two complaints were withdrawn by the complainants after the investigations had commenced.
 - 44 (90%) of the complaints were investigated and responded to at stage 1.

- 4 (8%) of the complaints were investigated and responded to at stage 2.
 - 1 (2%) of the complaints were investigated and responded to at stage 3.
 - There were 23 contacts recorded that were not complaints, of which 19 were from MPs or Councillors.
- 3.10 90% of all complaints recorded were resolved at Stage 1. The resolution of such a high percentage of complaints at Stage 1 is very positive and demonstrates that Social Care staff and the Complaints Co-ordinator are ensuring that the complainant's views and the outcomes they require are listened to and documented.
- 3.11 The Royal Borough of Windsor and Maidenhead's timescale for dealing with Stage 1 Adults Services Social Care complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required. Of the 44 that were received during 2015-16, 55% were responded to within timescales.
- 3.12 Complaints that were responded to outside of timescales were complex issues requiring further investigations. Where there is a delay in the process, the Complaints Co-ordinator will continue to liaise with the complainant, providing the reasons for the delay and negotiating new timeframes.
- 3.13 The Local Government Ombudsman (LGO) referred five statutory complaints in 2015-16, which compares with one in 2014-15. Of the five complaints referred, one was upheld.

4. COMPLIMENTS

- 4.1 In addition to logging complaints, the Council also logs compliments received by clients.

Children's compliments

- 4.2 For 2015-16 there were 19 compliments recorded. Almost 50% (9) of these related to events run by the Youth Service. Compliments received are fed back to the relevant service areas to ensure due recognition is given to staff. Positive practice is also flagged up at the monthly performance meeting to ensure that learning is shared and disseminated across the directorate.
- 4.3 Although higher than the 10 compliments noted in 2014-15, the number of compliments recorded for Children's Services remains low. It is likely that this constitutes an under-reporting of compliments. Improving this remains a priority and more is being done to raise awareness and improve practice in this area.

Adult compliments

- 4.4 For 2015-16 there were 44 compliments recorded, which is a decrease on 2014-15 figures of 61 compliments. 41 of these related to the exemplary practice, support and interventions by the short term team. Compliments received are fed back to the relevant service areas to ensure due recognition is given to staff. Positive practice is also flagged up at the monthly performance meeting to ensure that learning is shared and disseminated across the directorate.
- 4.5 It is likely that the decrease in compliments constitutes an under-reporting from most areas of Adults Services. Improving this remains a priority and more will be done to raise awareness and improve practice in this area.

5. REPRESENTATIONS

- 5.1 10 representations were made by children in care through their review process. This is a drop in the number of representations made in 2014-15 (58).
- 5.2 The representations from young people were reported separately from the 88 statutory complaints received through Children's services social care. Representations are logged according to eight generic categories; these were identified by the types of key themes being recorded during 2015/2016 (Complaints Analysis, page 11).
- 5.3 Where representations have been raised and upheld the young person's care plan has been amended accordingly. In addition the issues raised through representations form an integral part of case supervision and learning outcomes for the team and service area.

6. QUALITY ASSURANCE

- 6.1 The Complaint Co-ordinator carries out ad-hoc quality assurance checks of Stage 1 complaint responses to ensure the language and terminology used is made easy for the complainant to understand, particularly if the complaint is from a child, young person or a service user with specific needs. The findings including key themes and recommendations are shared with senior managers at quarterly meetings and reports.

7 LEARNING FROM COMPLAINTS

- 7.1 The number of complaints for Children's Services and Adult Services social care dropped in the last year. This will be further explored in future annual reports.

7.2 Complaints and concerns provide essential and valuable feedback from our clients and customers. Listening to customers and reflecting on examples of where we have not got it right can reveal or highlight opportunities for improvement (for example, a deficiency in practice, communication or service delivery). Even if a complaint is not upheld there can be learning from that complaint with improvements arising as a result. The complaints process and the feedback gained is an integral part of the quality assurance process, which feeds into the development and monitoring of services. Learning from complaints should be reviewed by Social Care teams regularly at their team meetings and form part of one to one supervision.

7.3 Effective recording, monitoring and evaluating of complaints enables the local authority to also celebrate good practice, and commend positive service delivery and implementation. Learning from best practice, is embraced by the local authority and disseminated to other service areas through Action Learning Sets. Detailed below are some examples of learning outcomes and service improvements made as a result of complaints received during the period 2015-16:

7.4 **Children's services**

- Explanations to be clarified for when SAR files are sent.
- Delay and drift around convening conference and lack of paperwork shared with parents in advance of the ICPC.
- Better communication needed.
- RBWM children's social care to ensure that communications happen in a timely manner.

7.5 **Adults**

- Implementing training and systems to try and ensure issues with delays are not repeated.
- TM discussed with SW who reflected on how she may have been perceived.
- Internal communication to be improved around letters/complaints received.
- Ensure staff respond to queries as they arise.

Appendix 1

CHILDREN'S AND ADULT'S SOCIAL CARE SERVICES – COMPLAINTS ANALYSIS 2014 – 15

1. METHODS USED TO MAKE A STATUTORY COMPLAINT

- 1.1 The most popular method of making a complaint (at Stage 1) was via email, 55 (40%) followed by letter 31 (22%) then online forms 27 (20%), with phone calls, face to face and those complaints where this was not recorded making up the final 23 (18%). All complainants are offered either a telephone discussion or a face-to-face meeting with the Complaints Co-ordinator or Investigating Officer at all Stages of the statutory complaints process.

2. DEMOGRAPHIC INFORMATION

- 2.1 RBWM does not currently request this information from complainants however for equality monitoring purposes and in particular to identify whether all sections of the community are accessing the process, further work will be undertaken to improve the gathering and use of demographic data (race, gender and disability). This will however remain voluntary with service users not being obligated to provide this should they choose not to.
- 2.2 The council will continue to commit, adhere to and support the statutory complaints process therefore putting service users first. The organisation will continue to improve the transparency and efficacy of the complaints process, increasing the current growing confidence on the part of the service users to submit complaints with the understanding that the Council will take these seriously and response. It will also continue to increase the confidence amongst professionals through the use of 'good practice' through the statutory complaints process both internally and externally.
- 2.3 Robust relationship building, better understanding, recording, monitoring, evaluation, reporting and training will continue to contribute to raising the awareness of the statutory complaints process, and identifying key themes and learning outcomes, which will assist the council to promote best practice throughout the directorate.

3. COMPLAINTS ABOUT CHILDREN'S SOCIAL CARE SERVICES

- 3.1 The following is an analysis of the complaints received relating to Children's Social Care Services during the year 2014-2015.

Figure 1: Total number of complaints received from 2008 onwards (including those resolved by ADR and eventually withdrawn)

Children's Services	2008	2009	2010	2011	2012	2013	2014	2015
	–	–	–	–	–	–	–	–
	2009	2010	2011	2012	2013	2014	2015	2016
Stage 1	47	31	22	18	43	90	61	81
Stage 2	1	2	1	1	1	2	0	5
Stage 3	1	1	1	0	0	0	0	2

Figure 2: Complaints received by Children's Services Teams

Teams	Number of Complaints	Percentage
Children in Need Service	11	13%
Children & Young People Disability Service	19	22%
Child Protection	12	14%
Permanency & Placement Service	7	8%
Referral & Assessment Team	9	10%
Safeguarding and Children in Care Service	5	6%
Early Help	3	3%
Education	22	24%
Total	88	100%

- 3.2 There were 17 complaint themes monitored. This is an increase on the number of themes monitored in previous years (9).
- 3.3 For 2015-16 the highest complaints received was around the theme 'unhappy with the decision made', which is one of the new themes. This is followed by 'attitude or behaviour of staff'. In 2014-15 the highest grouping of complaints was around service provision followed by conduct or poor practice of officers. Emerging trends will be analysed going forward.

Figure 3: Themes of stage 1 complaints received during 2015-16

Type of Complaint	Number	Percentage
Unhappy with the decision made	18	21%
Attitude or behaviour of staff	17	19%
Unhappy with how a situation/incident was handled	10	12%
Services being delivered at lower standard than is set out in our policy	6	7%
Inaccurate and wrong information was recorded or is on file, passed on	4	5%
Failed to respond at all	4	5%
Lack of action - did not do what we said we would do	4	5%
Safeguarding/LADO	4	5%

Breach of data protection	3	3%
Did not follow Policy, Rules, process or the law	3	3%
Failed to follow timescales	3	3%
Gave the wrong information	3	3%
Multiple reasons	3	3%
Objecting/disagreeing against an actual agreed policy	3	3%
Did not answer all questions asked	1	1%
Failed to take all information into account	1	1%
Not known	1	1%
Total	88	100%

Figure 4: The table below provides a breakdown on who made the complaint:

Who Made the Complaint	Number	Percentage
Parent/Step parent	71	81%
Extended Family	5	6%
Advocate	3	3%
Young Person	2	2%
Professional Officer	2	2%
Adoptive Parent	1	1%
Carer	1	1%
Ex partner of parent	1	1%
Legal	1	1%
Resident	1	1%
Total	88	100%

3.4 As in previous years the majority of complaints have been received from Parents followed by Extended Family members (at 71% and 6% respectively).

3.5 REPRESENTATIONS MADE BY CHILDREN IN CARE THROUGH THEIR REVIEW PROCESS

Figure 5: Types of CIC Representations received during 2015-16

Type of Representation	Number	Percentage
Contact Issues	0	0%
Financial Assistance	0	0%
Independent Living	0	0%
Locality of Placement	0	0%
Placement Issues (Generic)	1	10%
Return to Parental Care Issues	1	10%
Education Issues	1	10%
Social Worker Practice/Conduct	4	40%
Conduct of foster carers	2	20%
Other/Inadequate Care	1	10%
Total	10	100%

4. COMPLAINTS ABOUT ADULT'S SOCIAL CARE SERVICES

4.1 The following is an analysis of the complaints received relating to Children's Social Care Services during the year 2014-15.

Figure 1: Total number of complaints received from 2008 onwards

Adult Services	2008 –	2009 –	2010 –	2011 –	2012 –	2013 –	2014 –	2015 –
	2009	2010	2011	2012	2013	2014	2015	2016
Stage 1	43	34	19	16	49	78	21	44
Stage 2	2	2	1	0	0	3	0	4
Stage 3	1	1	1	0	0	0	0	1

Figure 2: Complaints received by Adult Services Teams

Teams	Number of Complaints	Percentage
CMHT	1	2%
CTPLD	3	6%
Safeguarding	6	13%
Older people	27	55%
Adult disability	3	6%
Drugs and Alcohol team	1	2%
Housing options	8	16%
Total	49	100

4.2 There were 17 complaint themes monitored. This is an increase on the number of themes monitored in previous years (9).

Figure 3: Themes of stage 1 complaints received during 2015-16:

Type of Complaint	Number	Percentage
Attitude or behaviour of staff	8	16%
Unhappy with how a situation/incident was handled	7	15%
Unhappy with the decision made	6	12%
Lack of action - did not do what we said we would do	6	13%
Failed to follow timescales	4	8%
Failed to respond at all	4	8%
Services being delivered at lower standard than is set out in our policy	4	8%
Multiple reasons	3	6%
Safeguarding/LADO	3	6%
Objecting/disagreeing against an actual agreed policy	2	4%
Failed to advise correctly on appeal or next steps	1	2%
Inaccurate and wrong information was recorded or is on file, passed on	1	2%
Breach of data protection	0	0%

Did not answer all questions asked	0	0%
Did not follow Policy, Rules, process or the law	0	0%
Failed to take all information into account	0	0%
Gave the wrong information	0	0%
Total	49	100

Figure 4: The table below provides a breakdown on who made the complaint:

Who Made the Complaint	Number	Percentage
Service user	19	39%
Child of service user	12	24%
MP	7	14%
Parent of service user	3	6%
Extended Family	2	4%
Legal representative	2	4%
Spouse or partner	2	4%
Professional	1	2%
Advocate	1	2%
Total	49	100%

- 4.3 The majority of complaints have been received from service users, followed by children of service users (at 39% and 24% respectively).

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Report for: ACTION



Contains Confidential or Exempt Information	NO - Part I
Title	Financial Update
Responsible Officer(s)	Russell O'Keefe, Strategic Director of Corporate and Community Services, 01628 796521
Contact officer, job title and phone number	Rob Stubbs, Head of Finance, 01628 796341
Member reporting	Councillor Saunders, Lead Member for Finance
For Consideration By	Cabinet
Date to be Considered	24 November 2016
Implementation Date if Not Called In	Immediate
Affected Wards	All

REPORT SUMMARY

1. This report sets out the Council's financial performance to date in 2016-17. In summary there is a projected £430,000 underspend on the General Fund (see Appendix A) which is an improvement of £298,000 from the October financial monitoring report. This is due to a net increase in the underspend forecast in a number of service budgets, see section 4 for details.
2. The Council remains in a strong financial position, with the Council's combined General Fund Reserves of £6,490,000 (7.24% of budget) in excess of the £5,270,000 (5.88% of budget) recommended minimum level set at Council in February 2016.

If recommendations are adopted, how will residents benefit?

Benefits to residents and reasons why they will benefit	Dates by which they can expect to notice a difference
Assurance that the Council is making effective use of its resources and that budgets are reviewed regularly.	24 November 2016

1. DETAILS OF RECOMMENDATIONS

RECOMMENDED: That Cabinet:

- i) Notes the Council's projected outturn position.
- ii) Approves a £350,000 capital budget for survey work and a Development Manager in respect of the new leisure centre at Braywick Park (see paragraph 4.12).

2. REASON FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

- 2.1 As this is a monitoring report decisions are normally not necessary but may occasionally be required.

3. KEY IMPLICATIONS

Defined Outcomes	Unmet	Met	Exceeded	Significantly Exceeded	Date delivered
General Fund Reserves Achieved	Below £5,000,000	£5,000,000 to £5,490,000	£5,490,000 to £6,000,000	Above £6,000,000	31 May 2017

- 3.1 The General Fund Reserve is £5,286,000 and the Development Fund balance is £1,204,000, see appendix B for a breakdown of the Development Fund. The combined reserves are £6,490,000. The 2016-17 budget report recommended a minimal reserve level of £5,270,000 to cover known risks for 18 months.

4. FINANCIAL DETAILS

- 4.1. The Strategic Director of **Adults, Children & Health Services** reports a projected outturn figure for 2016-17 of £57,469,000 against a controllable net budget of £57,311,000, an overspend of £158,000. This is a decrease of £154,000 on the overspend reported to Cabinet in October. The most significant changes in the last month are:
- A reduction of £82,000 in the overspend projected in the placement budget for children in care as a result of a number of recent placement changes.
 - A reduction of £44,000 in the overspend forecast in the MASH. This is as a result of success in appointing permanent staff, reducing dependency on agency staff.
 - A reduction of £55,000 in the forecast cost of the deprivation of liberty and safeguarding assessment. This follows a review of the number of assessments to be undertaken in the remainder of the year and the allocation of work to a wider group of professionals.
 - A reduction of £50,000 in the underspend forecast in the net cost of delivering domiciliary care services to older people.
- 4.2. There remain significant pressures and savings, as reported to Cabinet in October, continuing to impact on the budget position:

- A projected overspend of £343,000 on the home to school transport budget. This is the full year effect of the increase in high needs SEN pupils in the last academic year and to the cost of new transport contracts for SEN pupils.
- The budget for supporting residents into temporary accommodation is projecting an overspend of £470,000. This relates to funding more residents with housing benefit following the change in legislation and the introduction of the subsidy loss and the benefit cap.
- Pressures in the provision of services to those with a learning disability and mental health problems - projected overspend of £384,000. Whilst this is £32,000 lower than the overspend forecast last month the pressure arises from the changing care requirements of a small number of residents with high needs, a delay in the de-registration of homes, and a Secretary of State adjudication of an Ordinary Residence dispute.
- An underspend of £619,000 in the care costs of children with disabilities, internal fostering and children leaving care mainly due to fewer than expected numbers requiring high cost support.

4.3. There are no projected variances to report within the HR budget.

4.4. In addition to the variances in points 4.1 and 4.2 there are a number of financial risks which will potentially impact on the budget position this year. These include: two high cost cases where the liability of the council to meet their costs is uncertain either due to their ordinary residence or due to their eligibility for Continuing Health Care funding. The maximum additional cost this year to the council should these cases both be decided against the council is estimated at £165,000, and the maximum saving if both cases were settled in favour of the council is estimated at £558,000 this year.

4.5. The Strategic Director of **Corporate and Community Services** reports a projected underspend for 2016-17 of £28,000 on the net budget of £4,195,000, in line with last month's projected underspend of £32,000. Key change is the recognition of increased planning application income, partially offset by higher legal and staff costs. The underspend reductions reported in Performance, Democratic Services and Finance reflect accounting transfers to a centrally held managed vacancy saving.

4.6. The Strategic Director of **Operations and Customer Services** reports a further improved projected underspend of £555,000 on the directorate 2016-17 approved budget of £21,686,000, £148,000 up on figure reported to Cabinet in October. This achievement is based on significant performance improvements in key areas of the directorate.

- Community Protection and Enforcement Services, Parking Services reports a £180,000 underspend based on strong activity in town centre car parks and from parking enforcement. Waste Services expect to be under budget by £250,000 from high recycling and garden waste tonnages, with associated income increases. Various 'unders' and 'overs' across the service combine with these to give a service total of £470,000 underspend.
- In Customer Services, Facilities management are reporting a net pressure of £40,000 from staffing issues.

- In Highways and Transport, increased costs are reported from the clearing up of asbestos and other fly-tipping, approx. £140,000 for full year. The Lead Member has approved an action plan to address this issue and recover some of these costs. An overall service overspend of £75,000 is currently projected for the service, which is in part mitigated by efficiencies, vacancy savings and extra street works-based income.
- In ICT, the underspend has improved to £250,000 through early delivery of 2017/18 restructure savings.
- Libraries have an estimated £50,000 pressure from emergency repairs to Maidenhead library.

Overall, the directorate is benefitting from significant positive income levels this year, which are difficult to budget for. However, some ongoing savings are now being identified and these will of course be built into base budgets for 2017/18.

- 4.7. Revenue budget movements this month are shown in table 1. An expanded full year Movement Statement has been included in the report in Appendix C.

Table 1: Revenue budget movement.

Service expenditure budget reported to October Cabinet	£83,091,000
Redundancy costs funded by provision	£101,000
Removal of Forest Bridge Contingency	£100,000
Service expenditure budget this month	£83,092,000

Cash Balances Forecast

- 4.8. Appendix D provides details of the Borough's cash balances. This month the council is forecasting cash flows over 12 months rather than three months as in recent Finance Updates. This allows Members to review the effect of the downward trend of our balances particularly at the year end when LEP expenditure and low levels of council tax and business rates may require us to take out a short term loan or overdraft.
- 4.9. Further borrowing may be required later in the year as balances continue to fall. The impact of the additional debt is likely to be up to £15,000,000 and this would take our total debt to £72,000,000. The increased debt will be used to fund the capital programme including further investment in regeneration projects. This is in anticipation of associated capital receipts. Future receipts will be considered when selecting the term of any new loans and wherever possible the aim will be to treat them as bridging finance.
- 4.10. The precise timing of any decision to borrow is managed through the daily treasury management carried out by the Finance team. Borrowing limits are approved by Council in the annual budget report and additional approval for this new debt is not strictly required. Cabinet will however be informed through the Finance Update of our cash forecast and the requirement to borrow.

Capital Programme

- 4.11. The approved 2016-17 capital estimate is £45,987,000, see table 2. The projected outturn for the financial year is £41,738,000. This is an increase on the capital outturn in 2015-16 of £27,421,000. See appendices E and F for further details. Table 3 shows the status of schemes in the capital programme.

Table 2: capital estimates

	Exp	Inc	Net
Approved estimate	£45,987,000	(£19,354,000)	£26,633,000
Variances identified	(£647,000)	£649,000	£2,000
Slippage to 2017-18	(£3,602,000)	£0	(£3,602,000)
Projected Outturn 2016-17	£41,738,000	(£18,705,000)	£23,033,000

Table 3: Capital programme status

	Report Cabinet Nov 2016
Number of schemes in programme	532
Yet to Start	17%
In Progress	56%
Completed	22%
Ongoing Programmes e.g. Disabled Facilities Grant	5%
Devolved Formula Capital Grant schemes budgets devolved to schools	0%

Capital Budget - Braywick Park

- 4.12. In order to support the development and construction of a new leisure centre at Braywick Park, a tree, topographical and borehole land survey is required along with the appointment of a Development Manager. Expenditure will start on the project in December 2016. An initial budget of £365,000 is recommended to Cabinet for approval.

5. LEGAL IMPLICATIONS

- 5.1 In producing and reviewing this report the Council is meeting its legal obligations to monitor its financial position.

6. VALUE FOR MONEY

- 6.1 Service monitoring ensures a constant review of budgets for economy, efficiency and effectiveness.

7. SUSTAINABILITY IMPACT APPRAISAL

- 7.1 N/A

8. Risk Management

Risks	Uncontrolled Risk	Controls	Controlled Risk
None			

9. LINKS TO STRATEGIC OBJECTIVES

- 9.1 Residents can be assured that the Council is providing value for money by delivering economic services.

10. EQUALITIES, HUMAN RIGHTS AND COMMUNITY COHESION

- 10.1 This is a monitoring report with no actions related to staff or service provision. An Equality Impact Assessment (EQIA) has not, therefore, been completed for the

production of this report. An EQIA would be required should this report generate any changes to policy.

11. STAFFING/WORKFORCE AND ACCOMMODATION IMPLICATIONS

11.1 None.

12. PROPERTY AND ASSETS

12.1 None.

13. ANY OTHER IMPLICATIONS

13.1 None.

14. CONSULTATION

14.1 Overview & Scrutiny meetings are scheduled prior to this Cabinet. Any comments from those meetings will be reported verbally to Cabinet.

15. TIMETABLE FOR IMPLEMENTATION

15.1 N/A.

16. APPENDICES

- 16.1 Appendix A Revenue budget summary
- Appendix B Development fund analysis
- Appendix C Revenue movement statement
- Appendix D Cash flow forecast
- Appendix E Capital budget summary
- Appendix F Capital variances

17. BACKGROUND INFORMATION

17.1 Budget Report to Council February 2016.

18. CONSULTATION (MANDATORY)

Name of consultee	Post held and Department	Date sent	Date received	See comments in paragraph:
Internal				
Cllr Saunders	Lead Member for Finance	25/10/2016		
Cllr Rankin	Deputy Lead Member for Finance	25/10/2016		
Alison Alexander	Managing Director	24/10/2016	24/10/16	Throughout
Corporate Management Team (CMT)	Strategic Directors	24/10/2016		

External None				
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REPORT HISTORY

Decision type:	Urgency item?
For information	No

Full name of report author	Job title	Full contact no:
Richard Bunn	Chief Accountant	01628 796510

SUMMARY	2016/17		
	Budget	Approved Estimate	Projected Variance
	£000	£000	£000
Adult, Children's & Health Commissioning	7,636	7,821	474
Schools and Educational Services	2,914	2,923	193
Health, Early Help & Safeguarding	10,411	10,438	(81)
Health and Adult Social Care	32,408	32,323	(389)
Human Resources	1,167	1,547	0
A,C&H Management	834	932	(39)
Total Adult, Children & Health	55,370	55,984	158
Better Care Fund-Expenditure	9,915	10,956	0
Better Care Fund-Income	(8,485)	(9,730)	0
Total Better Care Fund	1,430	1,226	0
Maintained Schools	42,127	39,543	0
Early Years Education and Childcare Provision	7,154	6,296	0
Admissions and Pupil Growth	545	381	0
Support Services for Schools and Early Years	1,714	1,606	94
High Needs and Alternative Provision	13,430	13,634	326
Dedicated Schools Grant	(64,970)	(61,460)	(420)
Total Schools Budget (DSG)	0	0	0
Total Adult, Children and Health Services	56,800	57,210	158
Director of Operations & Customer Services	(27)	377	0
Revenues & Benefits	816	769	0
Highways & Transport	6,125	6,378	75
Community, Protection & Enforcement Services	6,957	7,223	(470)
Customer Services	1,704	1,813	40
Technology & Change Delivery	2,915	2,687	(250)
Library, Arts & Heritage Services	2,316	2,440	50
Total Operations & Customer Services	20,806	21,687	(555)
Director of Corporate & Community Services	85	14	0
Planning, Development and Regeneration Service	(813)	(726)	(61)
Corporate Management	433	560	0
Performance	429	475	1
Democratic Services	1,955	1,938	14
Elections	261	263	0
Legal	104	104	(47)
Finance	2,353	2,426	0
Building Services	40	26	0
Communities and Economic Development	(801)	(885)	65
Total Corporate & Community Services	4,046	4,195	(28)
TOTAL EXPENDITURE	81,652	83,092	(425)

SUMMARY	2016/17		
	Budget	Approved Estimate	Projected Variance
	£000	£000	£000
Total Service Expenditure	81,652	83,092	(425)
Contribution to / (from) Development Fund	1,133	555	0
Pensions deficit recovery	2,115	2,115	0
Pay reward	500	5	(5)
Transfer to/(from) Provision for the clearance of Shurlock Road		(180)	0
Transfer to/(from) Provision for Redundancy		(405)	0
Environment Agency levy	150	150	0
Capital Financing inc Interest Receipts	<u>5,128</u>	<u>5,258</u>	<u>0</u>
NET REQUIREMENTS	90,678	90,590	(430)
Less - Special Expenses	(981)	(981)	0
Transfer to / (from) balances	<u>0</u>	<u>88</u>	<u>430</u>
GROSS COUNCIL TAX REQUIREMENT	89,697	89,697	0
General Fund			
Opening Balance	4,681	4,768	4,856
Transfers to / (from) balances	<u>0</u>	<u>88</u>	<u>430</u>
	<u><u>4,681</u></u>	<u><u>4,856</u></u>	<u><u>5,286</u></u>
NOTE Service variances that are negative represent an underspend, positive represents an overspend.			

Memorandum Item	
Current balance on the Development Fund	
	£000
Opening Balance	649
Transfer (to) / from other reserves	
Transfer from General Fund - sweep	
Transfer (to) / from General Fund - other initiatives	<u>555</u>
	<u><u>1,204</u></u>

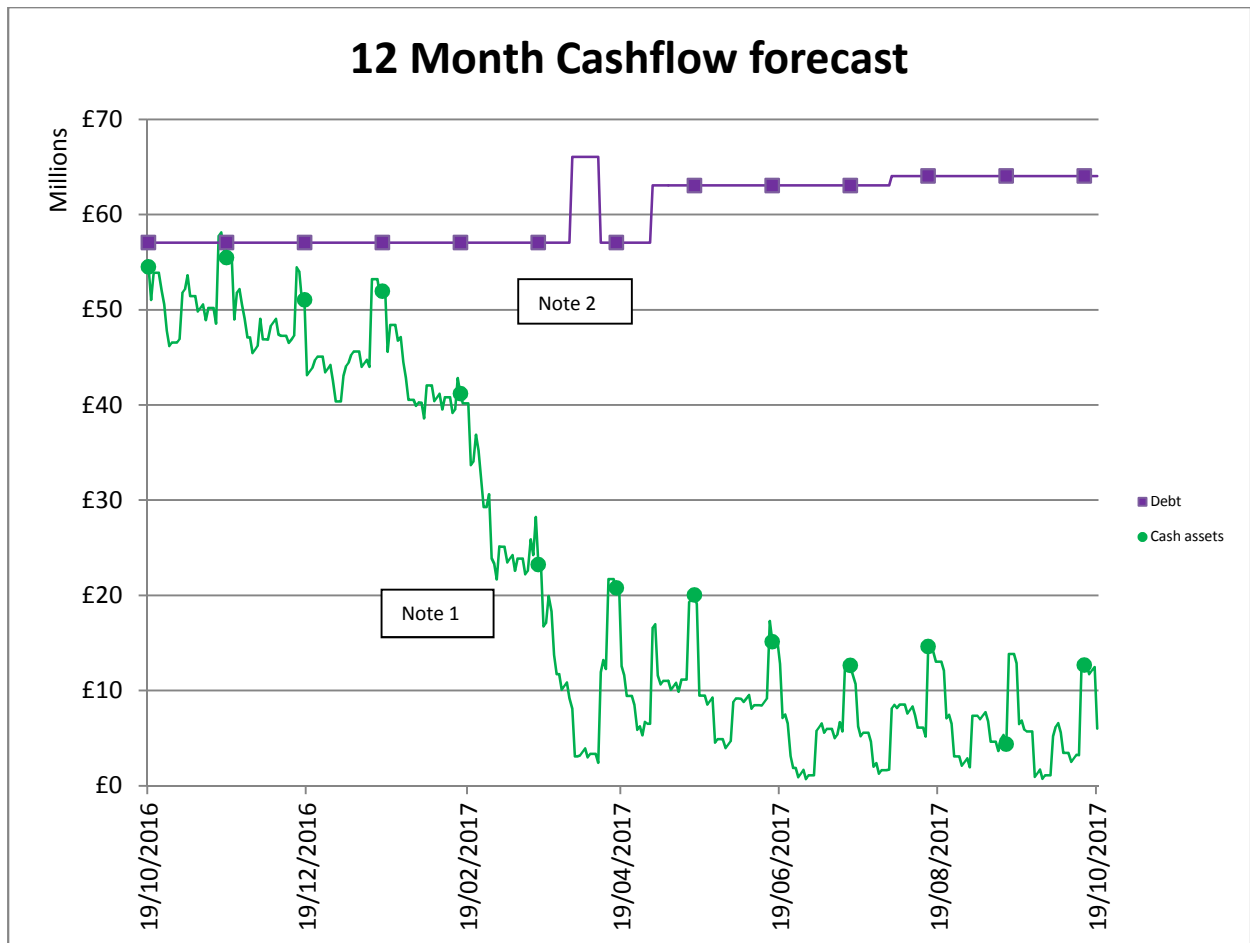
Corporate Development Fund (AE35) £000		
Balance B/F from 2015/16		649
Transacted amounts in 2016/17		
To/From Capital Fund		0
To/From General Fund		
Transition Grant (2016/17 budget - February Council)	1,278	
Restructure of the Development and Regeneration service (2016/17 budget - February Council)	-56	
Minerals and Waste Strategy (2016/17 budget - February Council)	-61	
Adjustment to contribution due to revised New Homes Bonus (2016/17 budget - February Council)	-28	
Delivering Children's Services (March Cabinet)	-200	
Additional Transport Model costs (April CMT)	-43	
Heathrow Expansion (March Cabinet)	-30	
Delivering Operations Services (March Cabinet)	-100	
Road & Streetworks Permit scheme (March Cabinet)	-120	
Review of Sunday Parking charges (April Council)	-81	
Forest Bridge Contingency (CMT June 2016)	-100	
Dynamic Purchasing System (March Cabinet)	-4	
Forest Bridge Contingency no longer required - revenue budget removed	100	
		555
		<u>1,204</u>

Budget Movement Statement 2016-17

	Funded by Development Fund (1)	Funded by the General Fund (2)	Funded by Provision (3)	Included in the original budget (4)	Total	Approval
	£'000	£'000	£'000	£'000	£'000	
Original Budget					81,652	
1 Transforming Services	200				200	Cabinet March
2 Disabled Facilities Grant				(302)	(302)	Council Feb.
3 Transport model	43				43	CMT April
4 Heathrow Expansion	30				30	Cabinet March
5 Redundancy cost			73		73	Cabinet May
6 Redundancy cost			92		92	Cabinet May
7 Desborough improvements		50			50	Cabinet March
8 Transforming Services	100				100	Cabinet March
9 NRSWA parking scheme	120				120	Cabinet March
10 Sunday parking	81				81	Cabinet April
11 Cleaning & maintenance costs at Cox Green Youth Centre		20			20	Council Feb.
12 Redundancy cost			96		96	Cabinet May
13 Forest Bridge Contingency	100				100	CMT June
14 Pay reward				191	191	Council Feb.
15 Pay reward				173	173	Council Feb.
16 Pay reward				131	131	Council Feb.
17 Dynamic purchasing system	4				4	Cabinet March
18 Redundancy cost			25		25	Cabinet May
19 Bus contract		44			44	Cabinet May
20 Loss of rental income		50			50	Cabinet June
21 Transforming Services		100			100	Cabinet June
22 Redundancy cost			18		18	Cabinet May
23 Redundancy cost			101		101	Cabinet May
Changes Approved	678	264	405	193	1,540	
Approved Estimate September Cabinet					83,192	

NOTES

- 1 When additional budget is approved, a funding source is agreed with the Lead Member of Finance. Transactions in column 1 have been funded from a usable reserve (Development Fund).
- 2 If additional budget is approved but no funding is specified, the transaction would, by default, be funded from the General Fund Reserve. Transactions in column 2 are funded by the General Fund.
- 3 A provision for future redundancy costs is created every year and this is used to fund additional budget in services for the costs of redundancy they incur during the year. Transactions in column 3 are redundancy costs funded by the provision for redundancy.
- 4 Transactions in column 4 are amounts approved in the annual budget which for various reasons need to be allocated to service budgets in-year. An example would be the pay reward budget. Pay reward payments are not approved until June. The budget therefore has to be re-allocated.



Note 1 – Reduced Council Tax and Business Rates collections in February and March coupled with the commitment to pay out £20m of LEP funding in March 2017 is forecast to cause the decrease in cash balances towards the end of the financial year 2016/17.

Note 2 – An increase in borrowing by £9m is forecast in March 2017 to fund the cash shortfall created by the commitment to pay out LEP funding during the month. This is a short term requirement with the intention to repay the loan when the 2017/18 instalment of LEP funding is received in early April 2017. Further borrowing will be required later in the year with the first instalment of borrowing forecast towards the end of April 2017, coinciding with the April payroll date.

Portfolio Summary	2016/17 Original Budget			New Schemes – 2016/17 Approved Estimate			Schemes Approved in Prior Years			Projections – Gross Expenditure				
	Gross £000's	Income £000's	Net £000's	Gross £000's	Income £000's	Net £000's	Gross £000's	Income £000's	Net £000's	2016/17 Projected (£'000)	2016/17 SLIPPAGE Projected (£'000)	TOTAL Projected (£'000)	VARIANCE Projected (£'000)	VARIANCE Projected (%)
Community & Corporate Services														
SMILE Leisure	428	(120)	308	678	(120)	558	46	(14)	32	724	0	724	0	0%
Community Facilities	155	0	155	265	(100)	165	17	0	17	272	0	272	0	0%
Outdoor Facilities	370	(100)	270	593	(154)	439	760	(486)	274	1353	0	1,353	0	0%
Property & Development	0	0	0	30	0	30	512	0	512	435	107	542	0	0%
Governance, Policy, Performance_Partnerships	588	0	588	459	0	459	433	0	433	892	0	892	0	0%
Regeneration & Economic Development	6,377	(185)	6,192	7,586	(450)	7,136	4,812	(1,075)	3,737	9,576	2,822	12,398	0	0%
Total Community & Corporate Services	7,918	(405)	7,513	9,601	(824)	8,777	6,580	(1,575)	5,005	13,252	2,929	16,181	0	0
Operations & Customer Services														
Technology & Change Delivery	0	0	0	0	0	0	335	(6)	329	335	0	335	0	
Revenues & Benefits	0	0	0	48	0	48	48	0	48	96	0	96	0	
Customer Services	0	0	0	0	0	0	249	0	249	249	0	249	0	
Green Spaces & Parks	343	(308)	35	436	(322)	114	269	(136)	133	705	0	705	0	0%
Highways & Transport	9,609	(3,155)	6,454	10,519	(3,555)	6,964	2,117	(892)	1,225	11,963	673	12,636	0	0%
Community,Protection & Enforcement Services	890	(380)	510	960	(380)	580	992	(721)	271	1,952	0	1,952	0	0%
Libraries, Arts & Heritage	367	(295)	72	367	(295)	72	468	(147)	321	835	0	835	0	0%
Total Operations & Customer Services	11,209	(4,138)	7,071	12,330	(4,552)	7,778	4,478	(1,902)	2,576	16,135	673	16,808	0	0
Adult, Children & Health														
HR	0	0	0	0	0	0	0	0	0	0	0	0	0	
Adult Social Care	41	0	41	48	0	48	217	(185)	32	267	0	267	2	5%
Housing	0	0	0	0	0	0	2,397	(2,017)	380	1,897	0	1,897	(500)	
Non Schools	0	0	0	89	(89)	0	305	(233)	72	394	0	394	0	
Schools – Non Devolved	4,550	(4,190)	360	5,732	(3,767)	1,965	2,192	(2,192)	0	7,775	0	7,775	(149)	-3%
Schools – Devolved Capital	250	(250)	0	933	(933)	0	1,085	(1,085)	0	2,018	0	2,018	0	0%
Total Adult, Children & Health	4,841	(4,440)	401	6,802	(4,789)	2,013	6,196	(5,712)	484	12,351	0	12,351	(647)	0
Total Committed Schemes	23,968	(8,983)	14,985	28,733	(10,165)	18,568	17,254	(9,189)	8,065	41,738	3,602	45,340	(647)	0

	(£'000)	(£'000)	(£'000)
Portfolio Total	23,968	45,987	41,738
External Funding			
Government Grants	(7,890)	(12,512)	(12,363)
Developers' Contributions	(933)	(5,775)	(5,275)
Other Contributions	(160)	(1,067)	(1,067)
Total External Funding Sources	(8,983)	(19,354)	(18,705)
Total Corporate Funding	14,985	26,633	23,033

Capital Monitoring Report - October 2016-17

At 31 October 2016, the approved estimate stood at £45.987m

	Exp	Inc	Net
	£'000	£'000	£'000
Approved Estimate	45,987	(19,354)	26,633
Variances identified	(647)	649	2
Slippage to 2017/18	(3,602)	0	(3,602)
Projected Outturn 2016/17	41,738	(18,705)	23,033

Overall Projected Expenditure and Slippage

Projected outturn for the financial year is £41.738m

Variances are reported as follows.

Schools - Non Devolved

CSDW	Prep work for future expansion schemes - 2013-14	(28)	28	0 Budget no longer required
CSEU	Riverside (Ellington) Primary expansion 2014-15	(37)	37	0 Final account now agreed
CSGM	Dedworth Green Drainage Improvements-2015-16	(14)	14	0 Budget no longer required
CSGU	Holy Trinity Sunningdale Bulge Classroom	(70)	70	0 Final account agreed.
CSFF	School Kitchens	(150)	150	0 Revised Business Case
CSGF	Woodlands Park School Roof-2015-16	(20)	20	0 Revised Business Case
CSHA	Woodlands Park School Internal Remodelling	170	(170)	0 Revised Business Case

Adult Social Care

CT43	Courthouse Road Conversion of Garage	2	0	2 Final cost of Gas Main
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Housing

CT51	Affordable Home Ownership Capital Investment	(500)	500	0 Budget no longer required. S106 funding will be used to fund the Brill House project in 2017/18
		<u>(647)</u>	<u>649</u>	<u>2</u>

Slippage is reported as follows

Highways & Transport

CD15	Bridge Strengthening Scheme	(65)	0	(65) Victoria Bridge waterproofing scheme - slipped to next financial year due to other works in area.
CD72	Preliminary Flood Risk-Assessments	(18)	0	(18) PFRA due 2017.Awaiting government guidance.
CD42	Maidenhead Station Interchange & Car Park	(500)	0	(500) Scheme still in feasibility stage.
CD79	A329 London Rd/B383 Roundabout-Scheme Development	(90)	0	(90) Slippage to supplement 'scheme delivery' budget in 2017-18 (if approved)

Property & Development

CX22	St Mary's Hse-External replace/decor roof 2014-15	(64)	0	(64) Scheme to progress in 2017/18.
CX28	Ray Mill Road Residential Development	(43)	0	(43) Project has commenced. The remaining budget will be required next year.

Regeneration

CI29	Broadway Opportunity Area-Nicholsons CP 2015-16	(2,700)	0	(2,700) The construction of the extended car park is currently on hold and being reviewed. The project will not commence this financial year.
CI48	Development Manager, Maidenhead Regeneration	(100)	0	(100) Reform Road feasibility work has been paused while the JV procurement progresses.
CX20	Ross Road - repairs & redecoration	(22)	0	(22) Project to commence during 2017/18.
		<u>(3,602)</u>	<u>0</u>	<u>(3,602)</u>

Overall Programme Status

The project statistics show the following position:

Scheme progress	No.	%
Yet to Start	92	17%
In Progress	299	56%
Completed	112	22%
Ongoing Programmes e.g.. Disabled Facilities Grant	28	5%
Devolved Formula Capital Grant schemes budgets devolved to schools	1	0%
Total Schemes	532	100%

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Report for: **ACTION**



Contains Confidential or Exempt Information	NO - Part I
Title	Improving Choice in Education
Responsible Officer(s)	Alison Alexander, Managing Director & Strategic Director of Adult, Children and Health Services
Contact officer, job title and phone number	Kevin McDaniel, Head of Schools and Education Services, 01628 683592
Member reporting	Cllr N Airey, Lead member for Children's Services
For Consideration By	Cabinet
Date to be Considered	24 November 2016
Implementation Date if Not Called In	Immediately
Affected Wards	All

REPORT SUMMARY

1. In September 2016 the government published a consultation called "Schools that work for everyone" and is seeking responses by 12 December 2016. This report sets out the response from the Royal Borough of Windsor and Maidenhead that confirms our commitment to excellent education for all pupils who live in the borough, particularly for those living with financial disadvantage.
2. Education standards in the Royal Borough continue to rise and parents continue to demand choice of school type. With our commitment to schools of all types which strive to provide excellent education, the Royal Borough welcomes the opportunity to support the option of selective education for those who choose to access it.
3. In addition, the Royal Borough welcomes the intention of the consultation to make education attainment for financially disadvantaged pupils a shared responsibility across the education sector. It is clear from the attainment results over the last three years that these children do not do as well as their peers in local schools and we are committed to improving their success.
4. This report concludes that the Royal Borough should engage actively in the coming months with any existing school that wishes to explore the opportunity to enable some admissions through selection by academic aptitude. All opportunities must ensure that every school in the borough continues to offer an excellent education for all pupils and contributes to improving outcomes for our pupils living with financial disadvantage as table 1 (section 2.6) clearly shows this group continues to do less well than their peers.

If recommendations are adopted, how will residents benefit?	
Benefits to residents and reasons why they will benefit	Dates by which residents can expect to notice a difference
1. Greater education choice available locally.	To be confirmed with national legislation but unlikely to be before September 2018 admission to secondary school.

1. DETAILS OF RECOMMENDATIONS

RECOMMENDATION: That Cabinet:

- i. Endorse the development of selective or partially selective education within the education provision of the Royal Borough to further improve the choice of education available to pupils and the families.**
- ii. Authorise the Managing Director & Strategic Director of Adult, Children and Health Services with the Cabinet Member for Children’s Services to finalise and respond to the “Schools that work for everyone” consultation by the Department for Education as set out in appendix A.**
- iii. Authorise the Managing Director & Strategic Director of Adult, Children and Health Services and the Lead Member for Children’s Services to write to all secondary schools in the borough inviting expressions of interest in allowing some or all admissions through a selective stream, and to follow up on the responses to secure a range of options for residents.**
- iv. Authorise the Managing Director & Strategic Director of Adult, Children and Health Services and the Lead Member for Children’s Services to write to selective schools across the country inviting them to actively pursue the establishment of a new wholly selective school or a school with a selective stream in the borough.**

2. REASON FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

- 2.1 The Royal borough has a wide range of school choice, offering both two and three-tier options with access at ages 8,11,13 and 16, in a range of community, faith, single gender and mixed schools. This council remains committed to ensuring every pupil can choose the education they want to receive and that all education is high quality education. To this end this council has invested £21m in primary school capacity over the last five years and has an active investment programme of £30m for secondary school expansion. The investment programme will support the education sector to achieve high standards while meeting the forecast level of demand for school places, including the provision of up to 10% extra capacity. This council believes that the availability of additional places offering selective education will increase choice, quantity and quality of school places available to pupils and families living within the borough.
- 2.2 The standard of education within the Royal Borough is rising. Following inspections this academic year, at the end of October 2016 88% of the state-

funded schools in the borough are judged to be Good or Outstanding. 59% of students who completed the year 6 SAT test in 2016 reached the national benchmark making the Royal Borough the 17th highest attaining local authority out of the 150 authorities with sufficient schools in England. Similarly, 72.2% of students who took GCSE examinations in September 2016 achieved an A*-C grade in English and Mathematics making the Royal Borough the 9th highest attaining local authority in England.

- 2.3 Whilst overall quality and attainment are high within the Royal Borough, some pupils seek places in other local authority areas. Historically 20%-30% of pupils have applied for selective school places when this process took place before the entrance test results were known. The system changed in 2014 so that applications were made after the test results are known. There was a reduction in the number of applications as some parents recognised the reduced chance of being accepted. In 2015, 16% of parents sought a selective school place outside of the Borough with 13% putting this as their first preference of school type based on the result of their child's entrance test result. In the last five years over 12% of pupils living in the Royal Borough have been offered a selective school place in year 7 (see appendix B for a detailed summary of the applications for secondary school places).
- 2.4 The 666 pupils that have attended a selective school or a school with a selective stream outside of the Royal Borough since September 2011 have had limited positive effect on the borough's education attainment figures. This council would like these borough residents to have the choice to attend a selective school within the borough boundary and to therefore contribute to education standards within the Royal Borough. This council has made a manifesto commitment, in response to residents' demands, to promote selective education within the Royal Borough.
- 2.5 Whilst this council is investing in existing schools to meet planned demand for the next three years, there will be further population growth. The delivery of the Borough Local Plan will require at least one new primary and secondary school to meet the needs of the families who will live in the new housing being planned. An opportunity exists within the borough to build the two new schools in the centre of Maidenhead on council owned land on a number of sites including Maidenhead Golf Club. The council land holding in Maidenhead could be utilised for a new selective secondary school so that residents have access to a balanced range of school types within a high quality education system.
- 2.6 The government consultation makes several proposals relating to the contribution of selective schools, independent schools and universities to improving the educational standards for pupils from financially disadvantaged backgrounds. In the Royal Borough, 6.0% of our young people are currently eligible for free school meals while 14.4% have been eligible at some point in the last six years¹. This larger cohort is eligible for the Pupil Premium and numbered 3052 pupils by the Department for Education in April 2016. This cohort is typically referred to as the "Free School Meals" cohort in schools and there is comparative data available for this segmentation at the end of Key Stages. Nationally, this cohort of young people does not achieve as well as their peers and that is true in our borough. Locally over the last three school years these pupils have achieved around the national average for those from financially disadvantaged backgrounds and

¹ Taken from DFE data in 2016 following the recent refresh of IDACI data which is updated every five years. Previously the Royal Borough had 9% of the school population eligible for Free School Meals.

significantly below other pupils in the borough. Table 1 shows the attainment of these pupils in comparison to the national benchmark for their age group and the gap with other pupils in the Royal Borough.

Table 1: Performance of pupils eligible for Free School Meals

			2013	2014	2015
Key Stage 2 Level 4+ reading, writing and maths	RBWM	FSM	68%	68%	58%
		Gap	-11%	-15%	-26%
	National	FSM	60%	64%	66%
		Gap	-19%	-18%	-17%
Key Stage 4 5+ A*-C inc. English & maths	RBWM	FSM	48%	34%	39%
		Gap	-22%	-30%	-28%
	National	FSM	38%	33%	34%
		Gap	-27%	-27%	-28%

- 2.7 Improvement in this area is priority for this council and this council has a manifesto commitment to “Work with schools to close any attainment gaps for poor pupils”. Already this academic year, our school improvement service has offered every school targeted support regardless of school type. This council welcomes the proposals outlined in the consultation to improve the support provided by the most advantaged in the education system to increase the attainment of young people living with financial disadvantage.
- 2.8 In this context, it is recommended that the Royal Borough respond positively to the proposals set out by the government to allow wholly or partially new selective school places to be developed. We believe the range of options, from new schools to the conversion of existing schools, will offer the best chance to develop the range of school types while maintaining high quality education in them all.
- 2.9 The consultation format specified by the government in the “Schools that work for everyone” paper requires the respondent to answer to a batch of questions following each section of the consultation paper. Appendix A contains the proposed response to each question from the Royal Borough, labelled by the paragraph number which contains the questions. There is often more than one question per paragraph number.
- 2.10 The government will consider all consultation responses before bringing forward the necessary changes in policy, guidance or statute in due course. This council however wishes to move forward as quickly as possible and will therefore take the following steps to establish a number of options by March 2017:
- write to all state funded secondary schools within the borough to invite expressions of interest in allowing some or all admissions through selection;
 - write to selective schools across the country inviting them to actively pursue the establishment of a new wholly selective school or a school with a selective stream in the borough.
- 2.11 This council will support any proposal that considers full or partial selective education only where the proposal includes a detailed commitment to raise the academic achievement of young people eligible for pupil premium and those struggling to get by as identified in the Resolution Foundation “Hanging On” report

in September 2016². The proposal must outline concrete steps to include a representative proportion of those pupils within the provision. For example, a new selective school admitting 120 pupils in a year group would be expected to prioritise the admission of significantly in excess of the 12 young people eligible for free school meals based on the current population of the borough. Further, any such school will have to be supported by resident demand which is clearly evidenced.

3. KEY IMPLICATIONS

3.1 The following outcomes are required from the process.

Defined Outcomes	Unmet	Met	Exceeded	Sig. Exceeded	Date they should be delivered by
Consultation response submitted by due date.	Not submitted	Submitted	NA	NA	12 December 2016
Expressions of interest are received from existing schools	None received	1 received	2 received	At least 3 received	End of March 2017
Interest from existing Selective schools	None received	1 received	2 received	At least 3 received	July 2017

4. FINANCIAL DETAILS

4.1 There are no financial implications of this report.

5. LEGAL IMPLICATIONS

5.1 The local authority is able to respond to the consultation as set out in the recommendations. Until such time as a new regulations are published, there is no mechanism for new selective schools to open in the UK.

6. VALUE FOR MONEY

6.1 There is no expenditure resulting from this report.

7. SUSTAINABILITY IMPACT APPRAISAL

² <http://www.resolutionfoundation.org/publications/managing-on-the-stresses-and-strains-of-britains-just-managing-families/>

7.1 Not required.

8. RISK MANAGEMENT

Risks	Uncontrolled Risk	Controls	Controlled Risk
Too many selective places are proposed	HIGH	An open process and demographic needs analysis by RBWM will make clear to proposers, DFE and EFA the likely impact of individual schemes	MEDIUM

9. LINKS TO STRATEGIC OBJECTIVES

9.1 This paper contributes to the council’s strategic objective to make sure every pupil can access excellent education. It is directly related to the manifesto commitments to explore the provision of selective school education within the borough and to close the gap for disadvantaged pupils.

10. EQUALITIES, HUMAN RIGHTS AND COMMUNITY COHESION

10.1 This report relates to the principles of maintaining choice and high quality education for all. There are specific recommendation regarding those eligible for free school meals and any forthcoming proposals will contain detail that may require a full Equality Impact Assessment. This report does not require such an assessment.

11. STAFFING/WORKFORCE AND ACCOMMODATION IMPLICATIONS

11.1 None.

12. PROPERTY AND ASSETS

12.1 None.

13. ANY OTHER IMPLICATIONS

13.1 None

14. CONSULTATION

14.1 This report will be considered by the Children’s Overview and Scrutiny panel on 16th November 2016. The government consultation is available to all for submission and the council has encouraged schools to express their specific opinions.

15. APPENDICES

CABINET BRIEFING

- Appendix A: The Royal Borough response to government consultation - Schools that work for everyone.
- Appendix B: Selective School Analysis

17. BACKGROUND INFORMATION

17.1 The historical data generated from recent school admissions years has been used to establish the demographic figures used in section 2 and the Governments “Schools that work for everyone” document, which can be downloaded from <https://consult.education.gov.uk/school-frameworks/schools-that-work-for-everyone>, is the source of the questions for the proposed responses.

18. CONSULTATION (MANDATORY)

Name of consultee	Post held and Department	Date sent	Date received	See comments in paragraph:
Internal				
Cllr N Airey	Leader Member for Children’s Services	21/10/16	24/10/16	Comments
Cllr D Evans	Deputy Lead Member for Children’s Services	21/10/16		
Russell O’Keefe	Strategic Director Corporate and Community Services	21/10/16		
Alison Alexander	Managing Director/ Strategic Director Adults, Children and Health	21/10/16	22/10/16	Comments
Simon Fletcher	Strategic Director Operations and Customer Services	21/10/16		

REPORT HISTORY

Full name of report author	Job title	Full contact no:
Kevin McDaniel	Head of Schools and education	01628 683592

CABINET BRIEFING

	Support	
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Appendix A: The Royal Borough response to government consultation - Schools that work for everyone

Families who are just about managing

10 Q: How can we better understand the impact of policy on a wider cohort of pupils whose life chances are profoundly affected by school but who may not qualify or apply for free school meals?

There is an existing IDACI measure for deprivation which identifies, in statistical terms, the relative deprivation in postcode areas based on a number of existing measures. It would be feasible to look at progress and attainment data by IDACI band and therefore assess the school's contribution to the lower bands. This device could be further used to direct

10 Q: How can we identify them?

Many parents will not be comfortable with school having personal information about their family circumstances, (in particular their income). We believe therefore the use of address as a broad proxy would appear to be the most accessible way to identify a cohort.

Independent schools

12 Q: What contribution could the biggest and most successful independent schools make to the state school system?

In the Royal Borough of Windsor and Maidenhead we have seen the success of Holyport College, a free school sponsored by Eton College. This school has generated a high quality school for local pupils, taken an active position to support disadvantaged pupils and contributes to the wider state-school network. We believe this is a great example of the most effective way for independent schools to make a contribution to the local area. Full bursaries are more challenging as we believe that there are more barriers to success in education than just the cost of school fees. If places are offered on a bursary basis then the success measure must relate to the progress and outcomes for those students, not just the offering of the place at a point in time.

12 Q: Are there other ways in which independent schools can support more good school places and help children of all backgrounds to succeed?

In addition to school place support as set out in the paper we believe the independent sector has a role to increase the social capital of the area by opening up opportunities that are typically beyond the state-funded sector and those disadvantaged families. This may be creating extra-curricular activities that are open to all; holiday time opportunities for enrichment; and supporting local networks such as sport and drama

13 Q: Are these the right expectations to apply to all independent schools to ensure they do more to improve state education locally?

It is not clear that every independent school is a good school and there are some that would struggle to meet the demands made of a state-funded school. Where their quality is good enough however we would welcome their contribution. In addition to the proposals to build social capital through extra-curricular enrichment, we would suggest that these schools could take an active role in securing apprenticeship and other workplace opportunities in the area based on their typical network of supporters.

13 Q: What threshold should we apply to capture those independent schools who have the capacity to sponsor or set up a new school or offer funded places, and to exempt those that do not?

The threshold for sponsorship or funded places should relate to the financial capacity of the organisation to deliver its services. A combination of turnover and asset base would create a metric to assess the level of requirement on the school which should then feed into inspection.

14 Q: Is setting benchmarks the right way to implement these requirements?

Sponsorship decisions do not fit a simple benchmark / numeric threshold. We would support a more qualitative regime, assessed by the Independent School Inspectorate which is able to assess the capability a school has to make a contribution to state education.

14 Q: Should we consider legislation to allow the Charity Commission to revise its guidance, and to remove the benefits associated with charitable status from those independent schools which do not comply?

Yes, providing that it is recognised that any closure as a result might add to the school place pressures in a given area.

14 Q: Are any other changes necessary to secure the Government's objectives?

It is not uncommon for the pupils targeted by this policy to have 'additional needs'. The guidance needs to be explicit that independent schools are expected to meet those needs without increasing the demand on High Needs funding. This will need to be carefully handled so that costs are not comparable to independent special schools but the normal fees for state-funded mainstream schools.

Universities

11 Q: How can the academic expertise of universities be brought to bear on our schools system, to improve school-level attainment and in doing so widen access?

The University Technical College model is one that works well in the case where an employer or University has some relevant expertise about which an 'upper' school can be created and embraced by local industry. These should compliment the range of high quality broad-based provision available for the community. Some Universities would be excellent sponsors of schools, however the assessment of teaching in others does not create a strong sense of capability to deliver the desired Good or Outstanding state-funded schools.

11 Q: Are there other ways in which universities could be asked to contribute to raising school-level attainment?

*The most common criticism of schools that are **not** Good or Outstanding is that their staff do not have either the requisite subject knowledge or passion for their subject which transmits itself to the students. Universities should be asked to work within their local area to lead and inspire subject teachers of all phases to improve the quality of what goes on in the classroom. Measuring the number of teachers who take part and the coverage of schools will be important along with overall improvements in the success of students in those subjects. Further, Universities can do more to raise the understanding of the role of qualifications – GCSE, A Level, BTEC, Degree, professional body exams etc – with young people in their local area to improve the quality of careers advice and inspiration beyond the statutory duty that sits with schools.*

15 Q: Is the DFA guidance the most effective way of delivering these new requirements?

We are not in a position to comment on this question as local authorities are not familiar with the workings of the DFA guidance to Universities.

16 Q: What is the best way to ensure that all universities sponsor schools as a condition of higher fees?

We are not in a position to comment on the best way to influence Universities.

18 Q: Should we encourage universities to take specific factors into account when deciding how and where to support school attainment?

Universities should be required to support all of their local area schools to prevent the direction of support only to those schools likely to feed them students directly. The success of the University should be tied to a local area measure which rewards partnership working to improve outcomes for disadvantaged pupils; reduces the NEET rate and grows employment.

Selective Schools

15 Q: How should we best support existing grammars to expand?

Existing selective schools face the threat of legal challenge when attempting to meet the “single integrated school” definition. We can reduce these hurdles by enabling existing selective schools to expand without fear that the status of “single integrated school” can be challenged. The funding of “expansion of places upfront on the basis of estimates” must relate to revenue and reflects a common battleground between schools of all types. Such funding would be welcome but should apply to all expansions not just selective schools if a balanced provision to meet the needs of the local residents is to be maintained.

15 Q: What can we do to support the creation of either wholly or partially new selective schools?

We should not try to go backwards. In our area we have a great deal of choice. We have both two- and three- tier admission arrangements, faith and community, mixed and single gender schools. This range gives real choice over type of school and timing of entry however 16% of our families sought an out of borough selective school in 2015 and such provision will further develop that choice. Selective entry must fit into that model by offering a range of pathways in including different age entry points and academic thresholds to match the demographic demands of the community they serve. It must also play it's part in a high quality system: 76% of pupils in our Borough attend a Good or Outstanding secondary school and in 2016, 72.2% of students achieved A-C GCSE grades in maths and English, the 9th highest ranking for an English local authority.*

It is likely that a selective school will have a wider catchment area and therefore a requirement for travel support. In areas which do not run entrance testing for all pupils, access to a selective school is currently treated as parental choice and this could be a real barrier for those families who are just about managing. We would recommend that the local authority could be supported to provide transport assistance, with end of day flexibility, for such schools.

15 Q: How can we support existing non-selective schools to become selective?

The issues with changing admissions criteria are manifold and last for many years. It will be important to allow some flexibility in the admission arrangements for siblings and those who will have selected a location because of the ability to access a particular school. It is possible that schools making the transition will need to upskill the level of teacher they have (e.g. 3 top sets vs 3 tiers) so an investment and training programme to grow the appropriate staff could be required.

17 Q: Are these the right conditions to ensure that selective schools improve the quality of non-selective places?

Running an outstanding school is hard; running a group of outstanding schools with similar ethos and approach is harder; running outstanding schools with very different characteristics is the hardest of all. It should not be required that a selective school runs other schools, instead they should have targets to increase the proportion of lower income households attending and achieving in their schools. We would welcome proposals which support differential thresholds to support this ambition. They should similarly be asked to lead on the generation of aspiration in primary years so more of these families opt for selective education regardless of where it is delivered. We also believe that disadvantaged families don't believe the entrance tests are fair to their children. Selective schools should be required to promote the fairness and resistance to "test coaching" of their admission arrangements.

17 Q: Are there other conditions that we should consider as requirements for new or expanding selective schools, and existing non-selective schools becoming selective?

There are relatively few children with additional needs in selective schools (often because taking a test is challenging) and it will be important that selective schools support those with strong mainstream ability wrapped up with complex needs. The planning of a coherent education offer is crucial to the overall standards in an area so that non-selective schools can maintain a mixed intake. It will matter therefore how the places are distributed and the overall balance of the areas school mix.

17 Q: What is the right proportion of children from lower income households for new selective schools to admit?

Selective schools should be expected to serve the wider community area they serve and their intake should mirror the demographic mix of that community. It is important that this is not just catchment area as we know that over time the financially advantaged secure property near the best schools. Where appropriate we would welcome a selective school which overtly seeks to take a high proportion of disadvantaged pupils and therefore would not support a ceiling.

19 Q: Are these sanctions the right ones to apply to schools that fail to meet the requirements?

The proposed financial sanctions can work, however we would like to see more.

19 Q: If not, what other sanctions might be effective in ensuring selective schools contribute to the number of good non-selective places locally?

Sanctions have to be financial otherwise they have no impact on the school, however we also believe that in state education, the judgement of the regulator is a crucial indicator to parents and for the reputation of the school. We would welcome the ability for Ofsted to inspect any school that falls short of its commitment, with a particular focus on the arrangements for that group of pupils.

20 Q: How can we best ensure that new and expanding selective schools and existing non-selective schools becoming selective are located in the areas that need good school places the most?

We need to build on the existing SCAP data system and ensure that there is joined up school place planning between LAs and the DFE / EFA so that every school offers a real choice to families.

21 Q: How can we best ensure that the benefits of existing selective schools are brought to bear on local non-selective schools?

All schools need to collaborate to secure the best outcomes for local pupils. In our role as the champion for children local authorities should be responsible for building effective local partnerships (as this is beyond the statutory role of Multi Academy Trusts) so that parents and pupils have access to the best that all schools have to offer.

21 Q: Are there other things we should ask of existing selective schools to ensure they support non-selective education in their areas?

The network of selective schools typically has access to a wider range of extra-curricula activities and individuals who are passionate about raising aspiration. We should expect selective schools to enable others to access such experiences through increased local sharing.

21 Q: Should the conditions we intend to apply to new or expanding selective schools also apply to existing selective schools?

Yes, in order for selective education to support the overall ambition the playing field must be level for all selective schools.

Faith schools

13 Q: Are these the right alternative requirements to replace the 50% rule?

Unlike many of the free schools listed in the consultation, the 7000 Christian faith schools in England are a crucial part of local place planning. Local Authorities would like to see admission requirements which ensure local families have priority access to some places at any oversubscribed school with a religious character ahead of out of area families of faith.

13 Q: How else might we ensure that faith schools espouse and deliver a diverse, multi-faith offer to parents within a faith school environment?

We support the proposal for an Independent governor with a specific duty to ensure a diverse, multi-faith offer. Further we would recommend that these issues are monitored by Ofsted inspection to ensure faith teachings do not block crucial safeguarding education for all young people.

16 Q: Are there other ways in which we can effectively monitor faith schools for integration and hold them to account for performance?

Local Authorities already have to invest several thousand pounds a year in SACRE, for the teaching of religion. This body could be asked, through expanding statutory reach, to be accountable for integration and the cross-faith teaching needed to improve integration.

16 Q: Are there other sanctions we could apply to faith schools that do not meet this requirement?

Sanctions have to be financial otherwise they have no impact on the school, however we also believe that in state education, the judgement of the regulator is a crucial indicator to parents and for the reputation of the school. We would welcome the ability for Ofsted to inspect any school that falls short of its commitment, with a particular focus on the arrangements for that group of pupils.

1st preference applications for grammar school places from RBWM residents

Data excludes Late Applications

2007	2008	2009	2010	2011	2012	2013	2014	2015			
2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	Trend	Average	Weighted Average

Slough gives result of 11+ to parents before applications deadline
 Bucks follows suit
 Holyport College opens

1st preference analysis

A		2007	2008	2009	2010	2011	2012	2013	2014	2015	Trend	Average	Weighted Average
1st preference applications for Grammar schools, by area of residence	Ascot	8	8	7	6	6	9	1	4	4		6	5
	Maidenhead	144	171	165	151	171	177	201	126	106		157	126
	Windsor	33	34	54	41	46	37	39	32	30		38	33
	Datchet & Wraysbury	39	38	37	39	29	37	27	35	22		34	28
	RBWM	224	251	263	237	252	260	268	197	162		235	192
B		2007	2008	2009	2010	2011	2012	2013	2014	2015 <td></td> <td></td> <td></td>			
Total No. On Roll in Year 6 (in RBWM school) by area of residence <small>(rbwm school means any state maintained school in the borough, incl. free schools and academies) (January School CENSUS)</small>	Ascot	117	112	113	119	103	117	117	119	122		115	119
	Maidenhead	671	719	704	730	653	693	669	730	699		696	703
	Windsor	296	341	321	335	323	322	330	305	369		327	344
	Datchet & Wraysbury	73	73	78	88	65	77	64	87	87		77	84
	RBWM	1157	1245	1216	1272	1144	1209	1180	1241	1277		1216	1251
C		2007	2008	2009	2010	2011	2012	2013	2014	2015 <td></td> <td></td> <td></td>			
All 1st preference applications for Year 7, by area of residence <small>(incl. those made for non-selective schools)</small>	Ascot	148	161	179	175	176	190	191	195	211		181	198
	Maidenhead	553	678	673	706	701	739	724	801	780		706	759
	Windsor	50	60	63	58	62	50	61	70	81		62	73
	Datchet & Wraysbury	76	70	67	63	62	66	71	90	74		71	76
	RBWM	827	969	982	1002	1001	1045	1047	1156	1146		1019	1105
D		2007	2008	2009	2010	2011	2012	2013	2014	2015 <td></td> <td></td> <td></td>			
1st preference applications for Grammar schools, as a % of the 1st preference applications made (i.e. A ÷ C)	Ascot	5%	5%	4%	3%	3%	5%	1%	2%	2%		3%	2%
	Maidenhead	26%	25%	25%	21%	24%	24%	28%	16%	14%		23%	17%
	Windsor	66%	57%	86%	71%	74%	74%	64%	46%	37%		64%	47%
	Datchet & Wraysbury	51%	54%	55%	62%	47%	56%	38%	39%	30%		48%	37%
	RBWM	27%	26%	27%	24%	25%	25%	26%	17%	14%		23%	18%
E		2007	2008	2009	2010	2011	2012	2013	2014	2015 <td></td> <td></td> <td></td>			
Successful 1st preference applications for Grammar Schools as at National Offer Day <small>(The green bars represent the proportion of successful 1st preference applications)</small>	Ascot	2	3	4	0	1	4	0	1	0		2	1
		%	25%	38%	57%	0%	17%	44%	0%	25%	0%	26%	13%
	Maidenhead	44	64	61	49	52	74	90	94	86		68	81
		%	31%	37%	37%	32%	30%	42%	45%	43%	38%	41%	67%
	Windsor	13	17	17	13	18	11	13	17	18		15	17
		%	39%	50%	31%	32%	39%	30%	33%	53%	60%	38%	52%
	Datchet & Wraysbury	24	11	16	20	6	14	8	13	11		14	12
		%	62%	29%	43%	51%	21%	38%	30%	37%	50%	39%	44%
	RBWM	83	95	98	82	77	103	111	125	115		99	111
		%	37%	38%	37%	35%	31%	40%	41%	63%	51%	40%	59%

Average = average (mean) of all years, 2007 to 2014
 Weighted Average = average calculated on years 2007 to 2014, but with more weight given to later years. It reflects more recent trends, whilst taking account of the overall average.

1st preference applications made, by school and selected years	2010				2014				2015			
	Applications	Allocated	No Offer	% allocated	Applications	Allocated	No Offer	% allocated	Applications	Allocated	No Offer	% allocated
Sir William Borlase's Grammar S Bucks	46	19	27	41%	60	46	14	77%	38	34	4	89%
St Bernard's Catholic Grammar S Slough	45	19	26	42%	30	11	19	37%	22	14	8	64%
John Hampden Grammar School Bucks	46	2	44	4%	25	21	4	84%	16	13	3	81%
Upton Court Grammar School Slough	6	4	2	67%	17	5	12	29%	11	4	7	36%
Wycombe High School Bucks	18	9	9	50%	15	11	4	73%	12	10	2	83%
Burnham Grammar School Bucks	17	7	10	41%	13	10	3	77%	9	8	1	89%
Beaconsfield High School Bucks	3	1	2	33%	10	5	5	50%	5	1	4	20%
Kendrick Girls Grammar School Reading	21	6	15	29%	8	4	4	50%	13	9	4	69%
Reading School Reading	9	5	4	56%	6	5	1	83%	18	13	5	72%
Langley Grammar School Slough	12	5	7	42%	5	3	2	60%	12	5	7	42%
The Royal Grammar School Bucks	2	2	0	100%	3	1	2	33%	2	2	0	100%
Herschel Grammar School Slough	11	3	8	27%	2	2	0	100%	2	1	1	50%
Tiffin School Surrey	1	0	1	0%	2	1	1	50%	1	0	1	0%
The Tiffin Girls' School Surrey	0	0	0	0%	1	0	1	0%	0	0	0	0%
Dr Challoner's High School Bucks	0	0	0	0%	0	0	0	0%	1	1	0	100%
TOTAL	237	82	155	35%	197	125	72	63%	162	115	47	74%

2007	2008	2009	2010	2011	2012	2013	2014	2015			
2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	Trend	Average	Weighted Average

G Breakdown of the data in Table E into 'subareas'

Ascot		2007	2008	2009	2010	2011	2012	2013	2014	2015	Trend	Average	Weighted Average
Ascot	2	3	4	0	1	4	0	1	0		2	1	
	%	25%	38%	57%	0%	17%	44%	0%	25%	0%	23%	12%	
Maidenhead	Bisham and Cookham	17	17	20	10	21	19	18	14	10		16	13
		%	52%	44%	65%	50%	49%	50%	46%	78%	67%	55%	65%
	Central Maidenhead	5	3	7	7	9	5	12	7	10		7	9
		%	31%	13%	33%	30%	38%	25%	55%	70%	67%	40%	58%
	Maidenhead Villages	2	3	3	0	0	2	0	4	2		2	2
		%	33%	30%	27%	0%	0%	18%	0%	80%	100%	32%	74%
	North East Maidenhead	6	6	10	5	3	11	17	11	14		9	12
		%	32%	25%	38%	21%	10%	38%	45%	55%	83%	39%	66%
	North West Maidenhead	9	26	13	19	11	21	30	36	30		22	28
		%	18%	59%	29%	40%	30%	48%	54%	82%	97%	51%	79%
South East Maidenhead	3	5	4	7	6	11	8	14	9		7	9	
	%	17%	28%	19%	32%	38%	46%	29%	82%	90%	42%	73%	
South West Maidenhead	2	4	4	1	2	5	5	8	11		5	8	
	%	67%	33%	40%	14%	20%	45%	31%	67%	72%	45%	72%	
Windsor	East Windsor	4	4	3	4	3	3	8	3	6		4	5
		%	57%	44%	21%	50%	30%	33%	67%	50%	67%	47%	57%
	Eton	2	1	1	1	0	0	0	3	1		1	1
		%	40%	33%	20%	20%	0%	0%	75%	50%		26%	46%
	Windsor North	2	3	8	0	4	0	2	4	3		3	3
%		50%	60%	42%	0%	33%	0%	22%	67%	60%	37%	53%	
Windsor South	2	6	1	4	10	2	1	3	4		4	4	
	%	22%	67%	10%	33%	71%	22%	20%	38%	57%	38%	47%	
Windsor Villages	3	3	4	4	1	6	2	4	4		3	4	
	%	38%	38%	67%	50%	13%	55%	20%	50%	57%	43%	51%	
Datchet and Wraysbury	24	11	16	20	6	14	8	13	11		14	12	
	%	62%	29%	43%	51%	21%	38%	30%	37%	50%	40%	45%	

H		2007	2008	2009	2010	2011	2012	2013	2014	2015	Trend	Average	Weighted Average
1st preference applications for Grammar schools, as a % of the Year 6 numbers on roll (i.e. A ÷ B)	Ascot	7%	7%	6%	5%	6%	8%	1%	3%	3%		5%	4%
	Maidenhead	21%	24%	23%	21%	26%	26%	30%	17%	15%		23%	18%
	Windsor	11%	10%	17%	12%	14%	11%	12%	10%	8%		12%	10%
	Datchet & Wraysbury	53%	52%	47%	44%	45%	48%	42%	40%	25%		44%	34%
	RBWM	19%	20%	22%	19%	22%	22%	23%	16%	13%		19%	15%

All applications for grammar school places from RBWM residents

Data excludes Late Applications

2007	2008	2009	2010	2011	2012	2013	2014	2015	Trend	Average	Weighted Average
2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16			

Analysis of all preferences made

This analysis looks at the number of applicants - not the number of preferences.

Slough gives result of 11+ to parents before applications deadline

Bucks follows suit

Holyport College opens

	Ascot	Maidenhead	Windsor	Datchet & Wrayisbury	RBWM						
A Count of applicants who indicated any pref. for one (or more) grammar schools <small>(i.e. applicants with 2 or more prefs. for a grammar are only counted once)</small>	13	12	10	6	8	9	2	7	5	8	6
B On Roll in Year 6 (in RBWM school) by area of residence <small>(rbwm school means any state maintained school in the borough, incl. free schools and academies) (January School CENSUS)</small>	117	112	113	119	103	117	117	119	122	115	119
C Count of all applicants for Year 7 places, by area of residence	148	160	180	175	176	190	191	195	212	181	199
D % of applicants putting a grammar school down as any preference <small>(i.e. A ÷ C)</small>	9%	8%	6%	3%	5%	5%	1%	4%	2%	5%	3%
E All successful applicants for a place at a Grammar School, as at National Offer Day <small>(The green bars represent the proportion of successful applications)</small>	2	3	4	0	1	4	0	2	0	2	1

Average = average (mean) of all years, 2007 to 2014. Weighted Average = average calculated on years 2007 to 2014, but with more weight given to later years. It reflects more recent trends, whilst taking account of the overall average.

All applications made (all preferences), by school and selected years	2010					2014					2015				
	Applicants	Allocated	Not Req'd	No Offer excl. not req'd	% allocated /not req'd	Applicants	Allocated	Not Req'd	No Offer excl. not req'd	% allocated /not req'd	Applicants	Allocated	Not Req'd	No Offer excl. not req'd	% allocated /not req'd
Sir William Borlase's Grammar S	84	26	19	39	54%	130	46	62	22	35%	107	35	57	15	32%
St Bernard's Catholic Grammar S	54	23	4	27	50%	62	13	20	29	53%	47	14	19	14	30%
John Hampden Grammar Schoo	71	2	15	54	24%	62	25	27	10	16%	47	13	27	7	29%
Upton Court Grammar School	23	4	13	6	34%	39	6	15	18	54%	36	5	21	10	22%
Wycombe High School	29	12	4	13	55%	43	13	26	4	71%	33	10	17	6	22%
Burnham Grammar School	74	17	26	31	58%	82	16	53	13	19%	56	12	39	5	21%
Beaconsfield High School	13	1	4	8	38%	32	7	19	6	19%	33	1	26	6	32%
Kendrick Girls Grammar School	24	6	1	17	29%	16	4	6	6	43%	20	9	7	4	45%
Reading School	14	6	1	7	50%	13	7	4	2	69%	31	13	12	6	42%
Langley Grammar School	27	7	4	16	41%	38	4	28	6	16%	50	6	33	11	12%
The Royal Grammar School	7	2	2	3	57%	28	1	24	3	11%	28	5	18	5	18%
Herschel Grammar School	30	3	8	19	37%	34	4	23	7	24%	40	4	28	8	18%
Tiffin School	2	0	0	2	0%	6	1	2	3	50%	1	0	0	1	0%
Dr Challoner's Grammar School	0	0	0	0	0%	4	0	4	0	100%	1	0	1	0	100%
Chesham Grammar School	0	0	0	0	0%	3	0	3	0	100%	0	0	0	0	0%
The Tiffin Girls' School	0	0	0	0	0%	2	0	0	2	0%	0	0	0	0	0%
Dr Challoner's High School	0	0	0	0	0%	1	0	1	0	100%	1	1	0	0	100%
Sir Henry Floyd Grammar Schoo	0	0	0	0	0%	1	0	0	1	0%	0	0	0	0	0%
Aylesbury Grammar School	0	0	0	0	0%	0	0	0	0	0%	1	0	1	0	100%
King Edward VI Grammar Schoc	0	0	0	0	0%	1	0	1	0	0%	0	0	0	0	0%
TOTAL	452	109	101	242	46%	597	147	318	132	23%	532	128	306	98	22%

Table F Note: This table does include all preferences made, so that a complete picture is given for each school. 'Not Required' means that the applicant obtained a place at a higher ranked school.

G Breakdown of the data in Table E into 'subareas'

	Ascot	Maidenhead	Windsor	Datchet & Wrayisbury	RBWM						
H All preference applications for Grammar schools, as a % of the Year 6 numbers on roll <small>(i.e. A ÷ B)</small>	11%	11%	9%	5%	8%	8%	2%	6%	4%	7%	5%
I Applicants who chose a grammar, but not as a 1st preference	22	17	21	12	16	16	17	21	19		

Grammar, but not 1st pref.	22	17	21	12	16	16	17	21	19
Altwood Church of England	1	1	1	-	2	-	-	-	-
Charters School	8	5	3	-	2	-	2	3	2
Churchmead Church of Eng	-	-	-	-	-	1	-	-	-
Colchester County High Sch	1	-	-	-	-	-	-	-	-
Cox Green School	-	-	-	-	1	2	1	-	-
Denefield School	-	-	-	-	-	-	1	-	-
Desborough College	1	1	2	1	-	-	-	1	4
Furze Platt Senior School	3	1	3	1	3	2	2	3	3
Guru Nanak Sikh Secondary	-	-	-	-	1	-	-	-	-
Holyport College	-	-	-	-	-	-	-	2	4
Magna Carta School	2	2	1	-	1	1	1	-	1
Newlands Girls' School	5	2	6	6	5	5	6	6	2
Piggott CE Controlled Seco	-	2	-	-	-	1	-	1	-
Queen Elizabeth's School, B	-	-	-	-	-	-	1	3	1
Ranelagh Church of Englan	-	-	1	-	-	-	1	-	-
Salesian School, Chertsey	-	3	-	-	-	-	-	-	2
St Joseph's Catholic High Sc	-	-	1	-	-	-	-	-	-
The Langley Academy	-	-	-	-	-	1	-	1	-
The Matthew Arnold School	-	-	-	1	-	-	-	-	-
No 1st preference school	1	0	3	3	1	3	2	1	0

Agenda Item 8

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Agenda Item 9

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