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## NOTICE OF MEETING

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# CORPORATE OVERVIEW & SCRUTINY PANEL

will meet on

**TUESDAY, 29TH SEPTEMBER, 2020**

**At 6.15 pm**

by

**VIRTUAL MEETING - ONLINE ACCESS ON RBWM [YOUTUBE](#)**

TO: MEMBERS OF THE CORPORATE OVERVIEW & SCRUTINY PANEL

COUNCILLORS LYNNE JONES, JULIAN SHARPE, CHRIS TARGOWSKI (CHAIRMAN),  
LEO WALTERS (VICE-CHAIRMAN) AND SIMON WERNER

SUBSTITUTE MEMBERS

COUNCILLORS PHIL HASELER, GEOFF HILL, JOSHUA REYNOLDS,  
SHAMSUL SHELMIM AND JOHN STORY

Karen Shepherd – Head of Governance - Issued: 21<sup>st</sup> September 2020

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](http://www.rbwm.gov.uk) or contact the Panel Administrator **Mark Beeley** 01628 796345 / [mark.beeley@rbwm.gov.uk](mailto:mark.beeley@rbwm.gov.uk)

**Recording of Meetings** – In line with the council's commitment to transparency the Part I (public) section of the virtual meeting will be streamed live and recorded via Zoom. By participating in the meeting by audio and/or video, you are giving consent to being recorded and acknowledge that the recording will be in the public domain.

If you have any questions regarding the council's policy, please speak to Democratic Services or Legal representative at the meeting.

## AGENDA

### PART I

<u>ITEM</u>	<u>SUBJECT</u>	<u>PAGE NO</u>
1.	<u>APOLOGIES FOR ABSENCE</u>  To receive any apologies for absence.	-
2.	<u>DECLARATIONS OF INTEREST</u>  To receive any declarations of interest.	5 - 6
3.	<u>MINUTES</u>  To consider the Part I minutes from the meeting held on 27 <sup>th</sup> July 2020.	7 - 12
4.	<u>ANNUAL COMPLAINTS REPORT</u>  To receive the report.	13 - 70
5.	<u>Q1 PERFORMANCE REPORT</u>  To consider the report.	71 - 92
6.	<u>BUDGET MONITORING REPORT</u>  To receive the report. – <a href="#">Link</a> to Cabinet report.	93 - 144
7.	<u>WORK PROGRAMME</u>  To consider the Panel’s work programme for the remainder of the Municipal year.  To include consideration of items scheduled on the <a href="#">Cabinet Forward Plan</a> .	145 - 146
8.	<u>LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF THE 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 they involve the likely disclosure of exempt information as defined in Paragraphs 1-7 of part I of Schedule 12A of the Act.”	

**PART II - PRIVATE MEETING**

<u>ITEM</u>	<u>SUBJECT</u>	<u>PAGE NO</u>
i.	<u>MINUTES</u>  To consider the Part II minutes from the meeting held on 27 <sup>th</sup> July 2020.  <b><i>(Not for publication by virtue of Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972)</i></b>	147 - 148



## MEMBERS' GUIDE TO DECLARING INTERESTS IN MEETINGS

### Disclosure at Meetings

If a Member has not disclosed an interest in their Register of Interests, they **must make** the declaration of interest at the beginning of the meeting, or as soon as they are aware that they have a DPI or Prejudicial Interest. If a Member has already disclosed the interest in their Register of Interests they 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 the discussion or vote at a meeting.** The speaking time allocated for Members to make representations is at the discretion of the Chairman of the meeting. In order to avoid any accusations of taking part in the discussion or vote, after speaking, Members should move away from the panel table to a public area or, if they wish, leave the room. If the interest declared has not been entered on to a Members' Register of Interests, they must notify the Monitoring Officer in writing within the next 28 days following the meeting.

### Disclosable Pecuniary Interests (DPIs) (relating to the Member or their partner) 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 licence 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.

Any Member who is unsure if their interest falls within any of the above legal definitions should seek advice from the Monitoring Officer in advance of the meeting.

A Member with a DPI should state in the meeting: ***'I declare a Disclosable Pecuniary Interest in item x because xxx. As soon as we come to that item, I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

Or, if making representations on the item: ***'I declare a Disclosable Pecuniary Interest in item x because xxx. As soon as we come to that item, I will make representations, then I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

### Prejudicial Interests

Any interest which a reasonable, fair minded and informed member of the public would reasonably believe is so significant that it harms or impairs the Member's ability to judge the public interest in the item, i.e. a Member's decision making is influenced by their interest so that they are not able to impartially consider relevant issues.

A Member with a Prejudicial interest should state in the meeting: ***'I declare a Prejudicial Interest in item x because xxx. As soon as we come to that item, I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

Or, if making representations in the item: ***'I declare a Prejudicial Interest in item x because xxx. As soon as we come to that item, I will make representations, then I will leave the room/ move to the public area for the entire duration of the discussion and not take part in the vote.'***

### Personal interests

Any other connection or association which a member of the public may reasonably think may influence a Member when making a decision on council matters.

Members with a Personal Interest should state at the meeting: ***'I wish to declare a Personal Interest in item x because xxx'. As this is a Personal Interest only, I will take part in the discussion and vote on the matter.***

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# Agenda Item 3

## CORPORATE OVERVIEW & SCRUTINY PANEL

MONDAY, 27 JULY 2020

PRESENT: Councillors Lynne Jones, Julian Sharpe, Chris Targowski (Chairman), Leo Walters (Vice-Chairman) and Simon Werner

Also in attendance: Councillors John Baldwin, Gurpreet Bhangra, Simon Bond, John Bowden, Jon Davey, David Hilton, Andrew Johnson, Ewan Larcombe, Helen Price, Samantha Rayner, Donna Stimson and John Story

Officers: Mark Beeley, Nikki Craig, Fatima Rehman, Duncan Sharkey, Adele Taylor, Andrew Vallance, John O'Halloran (CIPFA), Aron Kleiman (Deloitte) and Jonathan Gooding (Deloitte)

### APOLOGIES FOR ABSENCE

There were no apologies for absence received. Councillor Walters joined the meeting late due to a technical issue.

### DECLARATIONS OF INTEREST

No declarations of interest were received.

### MINUTES

RESOLVED: That the minutes of the meeting held on 27<sup>th</sup> May 2020 and the Part I minutes of the meeting held on 15<sup>th</sup> June were approved an accurate record.

Councillor L Jones asked why the budget monitoring reports were not on the agenda. The Chairman said that he had emailed Panel members explaining why. Councillor Werner said that he had asked for financial updates to come to the Panel in the past and the email that the Chairman sent explaining the reasons why was not transparent.

### CIPFA REPORT

Adele Taylor, Director of Resources, explained that the item contained a covering report and four appendices. This included the CIPFA report, the completed action plan, the proposed action plan and the Part II section of the report. The completed action plan showed what had recently been done, while the proposed action plan showed the actions that RBWM was planning to take to improve governance, this also contained a timeline. The Panel were asked to review the action plan and consider the areas and propose any additions or alternations to the plan, which would then be passed to Cabinet. The reason why a specific committee had not been named in the report was because a new Audit and Governance Committee may be created, should Full Council choose. There were also links to other reports, as the action plan was only part of the improvement. RBWM had also undertaken work to improve its values and behaviours.

The Chairman said that the Panel/Committee named should be Corporate Overview and Scrutiny, as this fell under the scope of the Panel. He commented that the Medium Term Financial Strategy and Treasury Management Strategy was under 'constant review', and asked if the Panel was the appropriate way to review this. He also asked where Corporate Overview and Scrutiny would sit if the Audit Committee was created, and which papers would be appropriate to come to each of the Panels.

Adele Taylor said that the Treasury Management Strategy would come under the remit of the Audit Committee, if it was created. The Medium Term Financial Strategy would be reviewed and scrutinised by all four scrutiny panels as part of the budget setting process. They have to be constantly reviewed as they are based on assumptions.

The Chairman said that it was not clear how Corporate Overview and Scrutiny would fit into that process. Adele Taylor said that audit and scrutiny were different functions. Corporate Overview and Scrutiny had a broad remit, with the difficulty being on statutory reports that needed to be considered. Due to things like the annual accounts having to be considered, the Audit Committee would be likely to have more statutory functions.

The Chairman asked if the timescale of having all proposed actions completed by the end of the year was realistic. Adele Taylor informed the Chairman that many of the actions were underway already and that these were realistic timescales.

Councillor Walters joined the meeting.

Councillor Werner welcomed the audit function becoming a separate committee as Corporate Overview and Scrutiny had missed other important matters due to its focus on audit. He expressed concern that there was no role for opposition councillors in ensuring good governance, and suggested that scrutiny panel Chairman should be from the opposition. He asked if there were opportunities in the action plan for the opposition.

John O'Halloran, CIPFA, said that they were happy with the action plan, and felt that it was well set out, timescales had been shown and expected delivery proposed. Political roles are a matter for councillors to sort themselves, CIPFA would not comment on giving leading roles to opposition.

Councillor Werner said that there was inadequate reserves in the completed actions and asked what position the reserves were in now.

Adele Taylor said that a full review had been undertaken. If the budget had been delivered, then RBWM would have adequate reserves. The budget monitoring report showed that the reserves had been depleted unless there was further government funding. While there was not adequate reserves, there were still some. This was largely because of the tricky year so far with Covid-19 and the additional losses incurred.

Councillor Werner asked what the capital review board was, what its role was and how it fitted in the structure of the council.

Adele Taylor explained that it was an officers only board and provided oversight of the capital programme. There had been two meetings so far, which would be chaired by the Head of Finance. The board would consider all aspects of the capital programme including funding, capital investment strategy and ensuring that the strategy remained compliant.

Following up on this, Councillor Werner asked if the board was transparent, with minutes being available, or whether it was held in private. Adele Taylor said the output of the board was visible in budget monitoring reports and other financial reports and that the group was an internal operational group for officers to oversee the capital programme.

Councillor Werner continued his questions by asking about the Clewer and Dedworth Scheme, and whether there was any other similar examples of bad practise. John O'Halloran said that CIPFA only looked at that scheme in detail, they could not guarantee that there were no other examples but believed that it was unlikely.



Councillor Werner commented on the Audit Committee proposals and asked if there would be an independent Chairman, along with the option to Co-Opt experts as part of the Panel so that they could offer advice.

Adele Taylor explained that the decision would need to be made by councillors and there were a number of options used by different local authorities. There would be representation from external experts at appropriate times, depending on what matters were on the agenda. For example, external auditors would be invited when appropriate. There were models of having independent Chairman that councillors could choose if they wished.

Councillor Johnson, Leader of the Council, said that the proposals would be discussed at Full Council the following day. He said that RBWM actively reached out to CIPFA, and while some opposition councillors had identified issues these were obvious. The Audit Committee would provide a new mechanism for scrutiny and up until recently there had been an opposition Chairman on the Infrastructure Overview and Scrutiny Panel. As part of the recommendations, the Vice Chairman of the Audit Committee would come from the opposition.

In reply, Councillor Werner said that he had raised numerous issues before Councillor Johnson had been elected. He said that scrutiny needed to change, the Chairman should be an opposition member and opposition members should be able to put items on the Work Programme without having to get the agreement of the Chairman.

Councillor L Jones agreed with the Audit Panel recommendation. She pointed out that in the report, there was no time period of the reserve review. In the proposed action plan, the Medium Term Financial Strategy needed clarity on the budget gap going forward and Councillor L Jones said that she would like to see that information going forward. The capital programme had not been transparent and needed to come to Corporate to be scrutinised. She was also concerned about partnership arrangements, particularly with the RBWM Property Company and was concerned about the scope and transparency of the organisation.

Adele Taylor said that the reserve management policy was done as part of the budget setting process. Any impact of an overspend on the reserves would be shown in the budget monitoring report. The time period for the budget monitoring would be every two months. Regarding the budget gap, a revised Medium Term Financial Strategy would happen by October, as the assumptions would need to be reviewed. The review around the partnership arrangements would ensure that RBWM considered that there should be clear expectations on what was expected from any separate entities.

Councillor Cannon joined the meeting.

Councillor L Jones said that there could be a review of the scope of Corporate Overview and Scrutiny by all Members. She asked if RBWM was now at full capacity in finance areas and how RBWM could safeguard against any issues going forward.

Adele Taylor informed Councillor L Jones that new roles had been created in the Head of Finance and Director of Resources which was part of additional capacity. Skills and knowledge needed to be addressed across the whole organisation and money had recently been put into the finance team when the budget was set for this year. The new Head of Finance would look at any resourcing issues or gaps.

Councillor Johnson said that those referred to in the report from a previous administration were no longer at RBWM. He said that if anyone overstepped the mark, under his leadership, they would be removed.

Councillor L Jones said that she was concerned about safeguards around staffing and how safeguards could be put in place so that there was no repeat. The Staff Values paper could build on this.

Councillor Rayner, Deputy Leader of the Council and Lead Member for Resident & Leisure Services, HR, IT, Legal, Performance Management & Windsor, said that the Values paper would be going to Cabinet and recommended that councillors also signed it.

Councillor Sharpe was delighted that actions had already been completed and that there was a clear pathway to get the rest of the issues resolved. He asked what it would look like when complete.

Adele Taylor explained her vision that finance was part of delivering the councils plan and the way in which finance and performance were linked was like telling a story, it was the narrative of the organisation. RBWM wanted people to see finances as an enabler and to understand why decisions were taken.

Councillor Werner commented on the Cabinet Transformation Sub Committee and if it would be open and transparent. He also mentioned the relationship between Corporate Overview and Scrutiny and the new Audit Committee. Governance relied upon the Leader of the Council to enforce the culture, which needed strong scrutiny.

Councillor Johnson said it was about cultural change and that he wanted RBWM to be regarded as a leading council.

Adele Taylor said that the Audit Committee was a separate committee and would provide an extra layer of scrutiny. This was because a number of papers were taken straight to Full Council, but now had the potential to be scrutinised more fully by the Audit Committee. In terms of cultural change, Adele Taylor explained that as part of being the S151 Officer it was important for her to report things that were not right.

Duncan Sharkey, Managing Director, said that good governance was in everything that the council did. It was important that everyone was aware of good governance as it was the best way of delivering successful outcomes.

Councillor Walters said that there had been a number of dominate Members in the past, but this was now a new era of RBWM under the leadership of Councillor Johnson. He agreed that the separation of audit and scrutiny was a good thing to do.

The Chairman then opened up the meeting for comments from non-Panel members who were present. Councillor Price said that some former Members were able to circumvent the framework regarding the Clewer and Dedworth Scheme, and said that their names should not have been redacted. It was important to note that current Members who represented these wards had no involvement.

In response, Duncan Sharkey explained that it was not normal practise to put names in reports because they did not have the ability to respond and defend themselves.

Councillor Price said that the issue was residents would not know who had been involved and therefore could stand at a future election. She said that Impact Equality Assessments needed to be completed in a timely manner. Duncan Sharkey said that more training could be offered and they were looking for a designated officer to improve this process.

Councillor Baldwin joined the meeting.

Councillor Davey asked if there were any policies in place to raise issues in the workplace and how officers could be protected.

Duncan Sharkey confirmed that there was a whistleblowing policy in place but staff should trust the system that was in place.

The Chairman said that there had been a number of good points raised by Panel members and that these comments would be passed onto Cabinet for consideration later in the week. He said that he would like the Quarterly Progress report to be considered by the Panel.

Councillor L Jones suggested that there was an amendment to the wording on the Proposed Action Plan, in the 'What success will look like' column for the Medium Term Financial Strategy, so that it said "A clear and timely understanding...". A named vote was carried out.

**RESOLVED UNANIMOUSLY; That the Corporate Overview and Scrutiny Panel:**

- i) Recommends to Cabinet that the wording is amended for the Proposed Action Plan, 'what success will look' for the Medium Term Financial Strategy.**
- ii) Had provided commentary on the Report and Action plan for July Cabinet meeting to consider the proposed actions.**
- iii) That a quarterly progress report be considered by the Panel.**

WORK PROGRAMME

The Chairman said that the Panel would have more time to look at other items if the split between audit and scrutiny was passed.

Mark Beeley, Democratic Services Officer, explained that an August meeting had been put in as preliminary on the Work Programme if it was needed to consider the remaining July items. Infrastructure Overview and Scrutiny had recommend a topic, suggested by Councillor L Jones on Council Vehicles Governance come to the Panel. The Panel were also asked to confirm which parts of the Annual Governance Statement they would like to see progress reports on and at which meetings they would like to hear them.

Councillor L Jones said that she could see it through the action plan, and it would be discussed offline whether it would need to be added to the Work Programme. The Chairman said that he would communicate with Panel members about which progress reports they would like to see and inform this to the Clerk and Head of Governance.

Councillor L Jones said that she would like to see a review of budgetary management and would like the most recent report circulated to Panel members so that any questions could then be submitted to officers.

Councillor Werner said that the Chairman had made it clear that there would be no Financial Updates added to the agenda. He suggested bringing the full paper to the Panel and then it can be circulated for any future questions. He also said that a review of how scrutiny is working might be worthwhile, and could be a Task and Finish Group.

The Chairman said that the Highways contract outsourcing Task and Finish Group would be started soon and he would ask for Panel suggestions for any other groups that they would like to see.

Councillor Werner said that the August meeting could be designated to look at the Financial Update and that it was essential to have a meeting of the Panel in August.

The Chairman said that he would consider a list of topic suggestions and talk to Panel members about how best to proceed.

LOCAL GOVERNMENT ACT 1972 - EXCLUSION OF THE 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 5.10 pm, finished at 7.25 pm

CHAIRMAN.....

DATE.....

Report Title:	<b>Annual Complaints and Compliments report 2019/20</b>
Contains Confidential or Exempt Information?	No - Part I
Lead Member:	Cllr Rayner Deputy Leader of the Council, Resident and Leisure Services, HR, IT, Legal, Performance Management and Windsor; Armed Forces Champion
Meeting and Date:	Corporate Overview and Scrutiny Panel – 29 September 2020
Responsible Officer(s):	Adele Taylor, Director of Resources & Nikki Craig, Head of HR, Corporate Projects and IT
Wards affected:	None

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## REPORT SUMMARY

1. The purpose of the report is to share with Overview and Scrutiny the annual compliments and complaints report for 2019/20 before this is published on the council's website. Local Authorities are not required to produce an annual report on complaints relating to corporate activities. They are required to report complaints submitted on adults and children's services
2. The compliments and complaints report is produced annually details all compliments and complaints made by or on behalf of customers, that are investigated under the:
  - Formal corporate complaints policy.
  - Statutory adults and children's complaints policies.

NB: children's complaints taken under the corporate complaints policy are reported in Section 5 of the annual report (Appendix 1) with other information about children's complaints.

## 1. DETAILS OF RECOMMENDATION(S)

**RECOMMENDATION:** That Corporate Overview and Scrutiny Forum notes the report and:

- i) That the report is published on the Council's website.
- ii) That the annual report continues to be produced and presented at Overview and Scrutiny panels,

## 2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

Options

**Table 1: Options arising from this report**

<b>Option</b>	<b>Comments</b>
That the report is published on the Council's website and that the annual report continues to be produced and presented at Overview and Scrutiny panels. <b>This is the recommended option</b>	This is a requirement for children's and adults annual complaints information and good practice for other complaints areas.

2.1 The council's complaints and compliments report is compiled annually. There is a statutory requirement to publish information on adult and children's complaints and compliments and the report for April 2019 – March 2020 will be published in October 2020. While there is no requirement to publish information on complaints about other services provided by the council the decision has been taken to include this information in the annual report. This captures all the information about complaints and compliments to the council and ensures transparency and to provide an opportunity to ensure we maximise the learning opportunities from any outcomes from the complaints.

- 2.2 The report contains details of the:
- numbers of compliments received
  - complaints received,
  - themes of complaints
  - timeliness of complaint responses
  - outcomes of complaints,
  - learning from complaints
  - number of complaints made to and decided by the Local Government and Social Care Ombudsman (LGSCO).

**Overview of all complaints to the council**

2.3 Table 1 compares the number of complaints received across the council for 2019/20 with the figures for 2018/19. See Appendix 1, 2.1-2.6, figures 1-2.

**Table 1**

	<b>2019/20</b>	<b>2018/19</b>
Adult complaints	27	19
Children complaints	54	38
Complaints about other services	319	380
<b>Total complaints</b>	<b>400</b>	<b>437</b>

**Complaints to services considered by Corporate Overview and Scrutiny Panel**

2.4 The number of complaints received for services considered at Corporate Overview and Scrutiny Panel is shown below in table 2. To give some context, 98.29% of council tax and 98.23% of business rates collected from households across the borough. The 14 complaints for Communications in 2018-19 were to do with those received about banners being displayed. The zero received in 2019-20 is more in keeping with the level generally received on an annual basis for that service. See Appendix 1, 3.8, 3.14-3.16, figure 9.

**Table 2**

	<b>2019/20</b>	<b>2018/19</b>
HR and Corporate Projects	1	0
Law and Governance	5	7
Communications	0	14
Finance	1	0
Revenues and Benefits	51	41
<b>Total</b>	<b>58</b>	<b>62</b>

**Themes of complaints**

- 2.5 Across the council, the theme with the highest number of complaints received in both 2018/19 and 2019/20 was 'lack of action'. More detailed information is included in the annual report. See Appendix 1, 2.7, 2.8, 3.17-3.21, figures 3, 10-12.

**Timeliness of complaints**

- 2.6 Across the council, timeliness of complaint responses being provided has decreased from 63% in 2018/19 to 59% in 2019/20. More detailed information is included in the annual report. See Appendix 1, 2.9-2.11, figure 4.
- 2.7 Timeliness for those services considered at Corporate Overview and Scrutiny Panel was 85% in 2018/19 and 85% in 2019/20, which is higher than the council average. See Appendix 1, 3.24-3.26, figures 13-14.

**Outcomes of complaints**

- 2.8 Across the council, the number of complaints fully or partially upheld has fallen from 64% in 2018/19 to 61% in 2019/20. More detailed information is included in the annual report. See Appendix 1, 2.12, figure 5.
- 2.9 The number of complaints fully or partially upheld for those services considered at Corporate Overview and Scrutiny Panel was 47% in 2019/20, which is lower than the council average. See Appendix 1, 3.34-3.36, figure 16.

**Complaints made to and decisions made by the LGSCO**

- 2.10 Table 3 compares the number of complaints made to the LGSCO in 2019/20 against those made in 2018/19. See Appendix 1, 2.13-2.17.

**Table 3**

	Adult Care services	Benefits and Council Tax	Corporate and other services	Education and Children's services	Environment services	Highways and transport	Housing	Planning and Development	Other	Total
2019/20	9	1	2	10	7	6	4	9	1	49
2018/19	13	2	5	9	4	1	5	4	1	44

- 2.11 Table 4 compares the number of complaints decided by the LGSCO in 2019/20 against those decided in 2018/19.

**Table 4**

	Incomplete or invalid	Advice given	Referred back for local resolution	Closed after initial enquiry	Detailed investigations		Uphold rate of detailed investigations	Total
					Not upheld	Upheld		
2019/20	4	0	14	16	8	7	47%	49
2018/19	3	0	15	11	5	12	71%	46

- 2.12 If we were to include those investigations closed after an initial enquiry to the council, then the upheld rate for 2019/20 is 23%. This is lower than in 2018/19 when under this calculation 42% would have been upheld
- 2.13 The Ombudsman made 49 decisions during 2019/20 compared to 46 in 2018/19. This includes decisions on 6 enquiries submitted to the LGSCO in 2018/19 and 29 enquiries submitted in 2019/20. Enquiries that were made to the LGSCO in 2019/20, but no decision made within that year will be included in the decisions reported in 2020/21.

### Overview of all compliments to the council

- 2.14 Table 5 compares the number of compliments received across the council for 2019/20 with the figures for 2018/19. See Appendix 1, 2.22, 2.23, figure 6.

**Table 5**

	2019/20	2018/19
Adult compliments	21	19
Children compliments	63	93
Compliments about other services	356	452
<b>Total compliments</b>	<b>440</b>	<b>555</b>

### Compliments to services considered by Corporate Overview and Scrutiny Panel

- 2.15 The number of compliments received for services considered at corporate overview and scrutiny panel is shown below in table 6. More detailed information is included in the annual report. See Appendix 1, 3.44, 3.45, figure 19, table 4.

**Table 6**

	2019/20	2018/19
HR and Corporate Projects	21	5
Law and Governance	11	0
Communications	4	1
Finance	0	0
Revenues and Benefits	47	7
<b>Total</b>	<b>83</b>	<b>13</b>

### Options

**Table 7: Options arising from this report**

Option	Comments
Undertake to complete an annual report for 2019/20	To fulfil statutory obligations and to continue to learn from resident complaints



<b>Option</b>	<b>Comments</b>
Do not undertake to complete an annual report for 2019/20	Statutory obligations will not be fulfilled.

### 3. KEY IMPLICATIONS

- 3.1 There are a number of indicators of success across the council. For last year these were all exceeded or significantly exceeded. For our current financial year. Improvements in all of these could indicate improvements in delivery

**Table 8: Key Implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
Reduced percentage of upheld complaints	62-100%	61%	50-60%	<50%	31 March 2021
Increased percentage of complaints completed within timescales	0-58%	59%	60-75% 59%	>75%	31 March 2021
Reduced percentage of complaints to the LGSCO are upheld	48-100%	47%	40-46%	<40%	31 March 2021

### 4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 There are no direct financial implications in the publishing of the annual report. There are implications for the council in getting things wrong including resources within service being redirected to complaints handling, remedy payments and reputational damage.

### 5. LEGAL IMPLICATIONS

- 5.1 The publishing of children's and adult complaints reports is statutory.

### 6. RISK MANAGEMENT

- 6.1 None

### 7. POTENTIAL IMPACTS

- 7.1 Equalities.. There are no implications under the equality act arising from this report.

7.2 Climate change/sustainability. There are no climate change or sustainability implications arising from this report.

7.3 Data Protection/GDPR. If personal data is being processed the decision maker must have due regard to the requirements of the Data Protection Act 2018 and the General Data Protection Regulation before making a decision. You should therefore indicate whether a Data Protection Impact Assessment (DPIA) has been completed and summarise the issues raised DPIA's are a lawful requirement under certain conditions. If you are unsure if a DPIA is required, please consult the Data Protection Officer for guidance. If a DPIA has been carried out it should be available as a background paper (and listed in Section 11 below). There are no data protections/GDPR implications arising from this report; as no personal data has been processed so a Data Protection Impact Assessment has not been carried out.

## 8. CONSULTATION

8.1 Consultation has happened with CLT in August 2020 and will happen with Overview and scrutiny panels in September 2020.

## 9. TIMETABLE FOR IMPLEMENTATION

9.1 N/A The annual report will be published on the Council website in October 2020.

## 10. APPENDICES

10.1 This report is supported by 1 appendix:

- Appendix 1 – Annual complaints report

## 11. BACKGROUND DOCUMENTS

- LGSCO Annual Letter (see Appendix1 of Appendix 1)

11.1 These are the annual summary of statistics on the complaint on complaints made to the Local Government and Social Care Ombudsman about the authority for the year ending 31March 2020. The annual letters and corresponding data tables were published on LGSCO website on 31 July 2020.

## 12. CONSULTATION (MANDATORY)

Name of consultee	Post held	Date sent	Date returned
Cllr Rayner		17/08/20	21/08/20
Duncan Sharkey	Managing Director	17/08/20	17/08/20
Russell O'Keefe	Director of Place	17/08/20	21/08/20
Adele Taylor	Director of Resources/S151 Officer	17/08/20	14/08/20

<b>Name of consultee</b>	<b>Post held</b>	<b>Date sent</b>	<b>Date returned</b>
Kevin McDaniel	Director of Children's Services	17/08/20	21/08/20
Hilary Hall	Director Adults, Health and Commissioning	17/08/20	21/08/20
Andrew Vallance	Head of Finance	17/08/20	21/09/20
Elaine Browne	Head of Law	17/08/20	20/08/20
Mary Severin	Monitoring Officer	17/08/20	24/08/20
Nikki Craig	Head of HR, Corporate Projects and IT	17/08/20	14/08/20
Louisa Dean	Communications	17/08/20	21/08/20
Karen Shepherd	Head of Governance	17/08/20	18/08/20

## REPORT HISTORY

<b>Decision type:</b>	<b>Urgency item?</b>	<b>To Follow item?</b>
For information	No	No
Report Author: Claire Burns		

# **Royal Borough of Windsor & Maidenhead Annual Compliments and Complaints Report**

**1 April 2019 - 31 March 2020**

**“Building a borough for everyone – where residents and businesses grow, with opportunities for all”**

**Our vision is underpinned by six priorities:**

*Healthy, skilled and independent residents*

*Growing economy, affordable housing*

*Safe and vibrant communities*

*Attractive and well-connected borough*

*An excellent customer experience*

*Well-managed resources delivering value for money*

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#### **Frequently used acronyms**

LGSCO	Local Government and Social Care Ombudsman
RBWM	Royal Borough of Windsor & Maidenhead
ADR	Alternative Dispute Resolution



## 1. INTRODUCTION

- 1.1 The annual report covers the period 1 April 2019 to 31 March 2020 and details all compliments and complaints made by or on behalf of customers, that are investigated under the:
- Formal corporate complaints policy.
  - Statutory adults and children's complaints policies.
- 1.2 Local Authorities are not required to produce an annual report on complaints relating to corporate activities. They are required under statute to report complaints submitted on adults and children's services. The complaints and compliments team produce an annual report capturing all complaints and compliments. This allows the Council to assess how residents experience the Council in its entirety. Learning taken from compliments and complaints informs the services for improved operational satisfaction and could feed into the training needs analysis.
- 1.3 The council is a multi-faceted business, for instance council activity during 2019/20 included:
- 162,246 phone calls
  - 717,298 library loans from 980,145 visits
  - 653 Births/Birth Declarations
  - 597 Marriages/Civil Partnership ceremonies conducted
  - 924 Notices of Marriage/Civil Partnership taken
  - 993 Deaths registered
  - 456 New British Citizens
  - 65,252 visits to museums
  - 60,823 tonnes of waste collected from residents, from over five million collections
  - 1020 children and young people with Education Health and Care plans
  - 144 Education Health and Care plans issued
  - 862 contacts into the Single Point of Access (SPA) in March 2020
  - 150 single assessments completed each month on average.
  - 266 Children In Need open to Children's Social Care in March 2020
  - 149 children were subject to Child Protection Plans in March 2020
  - 121 Children In Care in March 2020
  - 473 children and young people receiving early help services via the Early Help Hub as of March 2020
  - 1,761 planning applications determined
  - 98.29% of council tax and 98.23% of business rates collected.
- 1.4 In 2019/20 the Council received 440 compliments, a reduction on the 555 received in 2018/19, and 400 complaints, a reduction on the 437 received in 2018/19. The 400 complaints received is relatively low compared to the amount of activity and interactions with residents.
- 1.5 This report summarises the number and themes of compliments and complaints received. It provides details of compliments and complaints split by service area and response rate. For ease, the report is organised into sections:
- Section 2 Summary of activity.
  - Section 3 Formal corporate complaints and compliments.
  - Section 4 Adult services complaints and compliments.

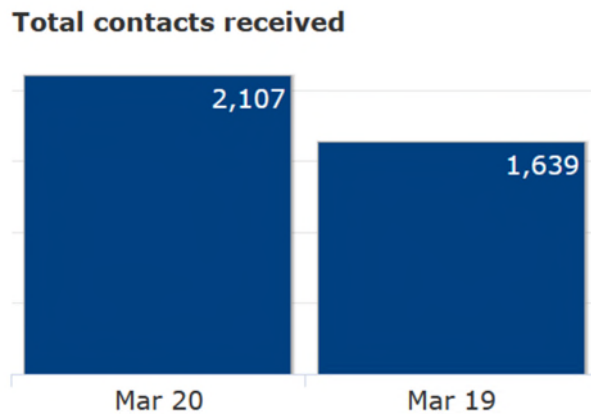


- Section 5 Children’s services complaints and compliments.

## 2. SUMMARY OF ACTIVITY

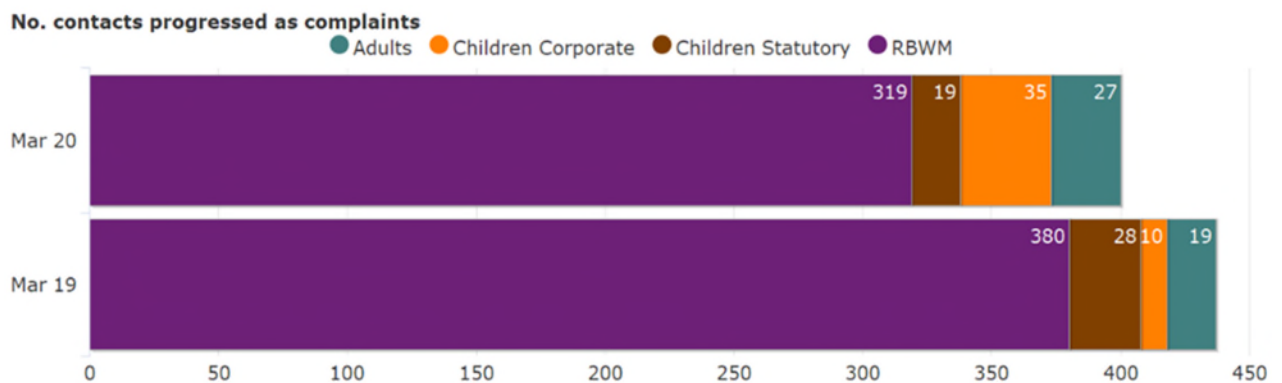
2.1 In 2019/20, the council received 2,107 contacts from customers that were initially logged as complaints. This compares to 1,639 in 2018/19 (Figure 1), a 28% increase in contacts to the compliments and complaints team year-on-year.

**Figure 1: Total contacts received**



- 2.2 Contacts that were not progressed as complaints were signposted to an alternative means of resolution, for example, a service request or via an alternative appeals process, such as parking appeals or statutory tribunals or were withdrawn.
- 2.3 The total number of complaints that were progressed through stage 1 of the specific complaints process that they followed was 400 in 2019/20, a decrease on 2018/19 (437). Stage 2 and 3 complaints are escalations of stage 1 complaints and so are not counted as new complaints. Information on these is shown separately in this report.
- 2.4 This report will look at complaints according to whether they were made under the formal corporate, the statutory adult or the statutory or corporate children’s complaints processes. Figure 2 provides a summary breakdown of volumes received against each complaints process in 2019/20 and 2018/19.

**Figure 2: No. contacts progressed as complaints**



## Children’s services complaints

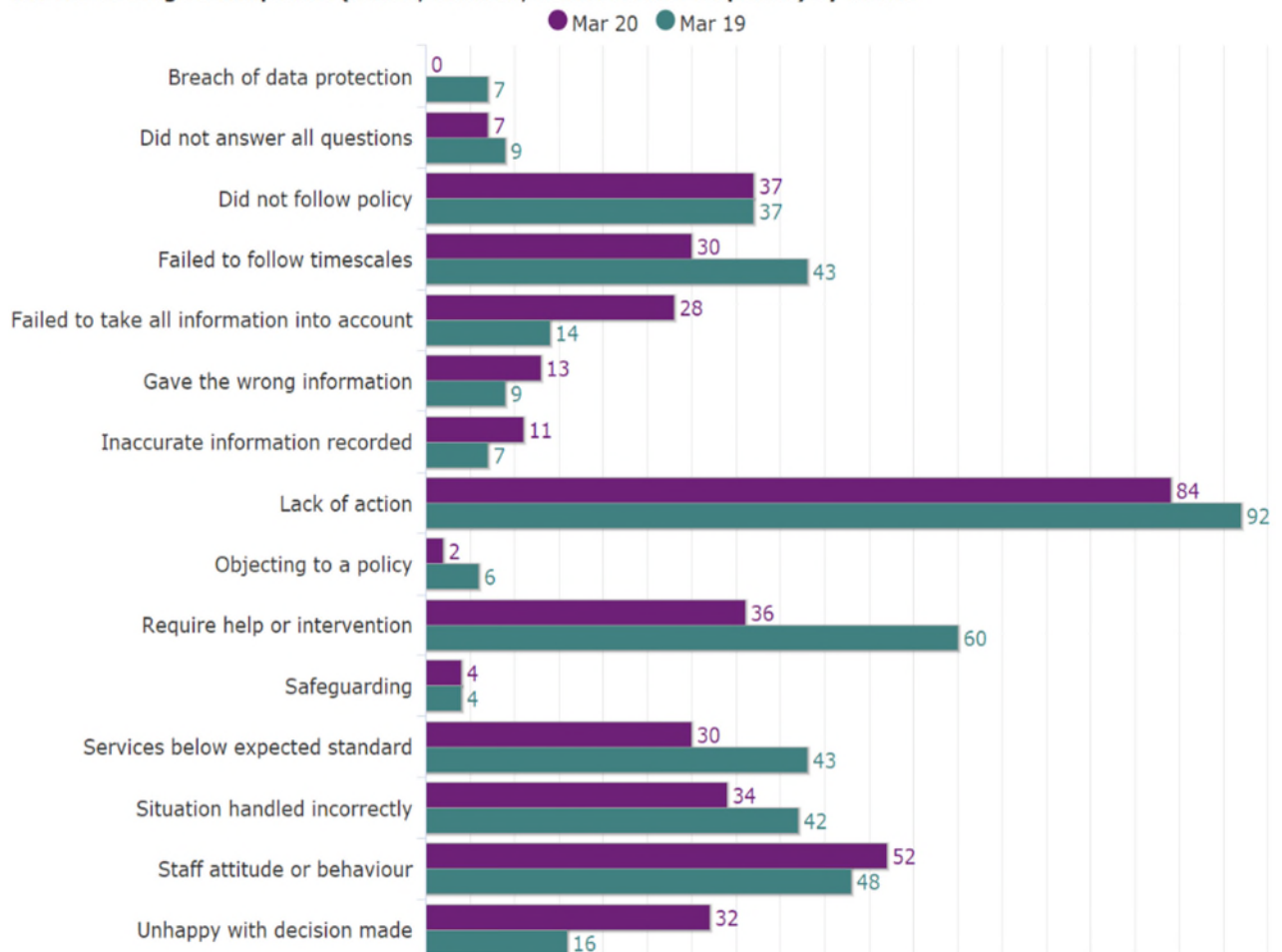
- 2.5 The reporting differentiates between children’s statutory and children’s corporate complaints. Both types of complaints are looked at within section 5.
- 2.6 A children’s statutory complaint is invoked when the complaint is by or on behalf of a child in need or a child in care. Complaints specifically regarding child protection conferences however are taken under the children’s corporate complaints process. This is a national standard. All other children’s complaints are taken under the childrens corporate complaints process.

## Themes

- 2.7 Complaints are captured as themes. When logging their complaint via the council website, complainants self-select the theme themselves. As this is the theme they feel is most relevant to their complaint, the complaints and compliments team does not change this categorisation. When a complaint is logged by a member of the complaints team or the customer contact centre, the person logging will select the theme they believe is most appropriate. Only one theme can be selected for each complaint and the information from themes is therefore an indicator only of the reasons behind often complex complaints. Figure 3 outlines the volume of complaints by theme for 2019/20 and 2018/19 across all complaints processes.

**Figure 3: No. closed Stage 1 complaints (all processes) by theme**

No. closed Stage 1 complaints (Adults, Children, RBWM Formal Corporate) by theme



- 2.8 As with 2018/19, the theme with the highest number of complaints received across the council was “lack of action”, making up 21% of all complaints in each year. This was the highest theme recorded for corporate complaints, See sections 3.22 and 3.23. The

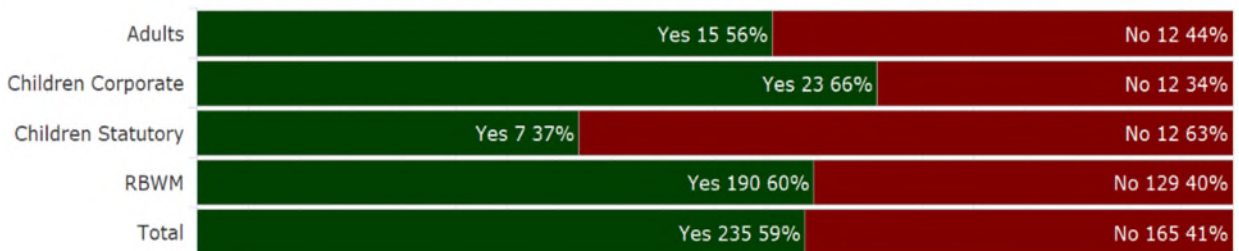
highest theme for adults was “require help of intervention”. See section 4.20. For children’s the highest themes were “failed to follow policy (statutory) and “failed to take all information into account” (children’s corporate). See sections 5.12 and 5.13

**Timescales**

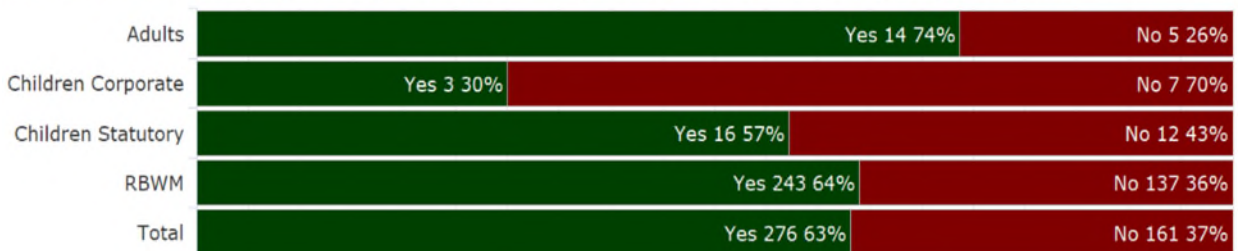
2.9 Each stage of the individual complaint processes has indicative response times. However, these can be extended, or alternative timescales agreed from the outset with the complainant. Figure 4 shows that there was a slight decrease in the percentage of complaints (all processes) responded to within agreed timescales (59%) compared to 2018/19 (63%).

**Figure 4: Complaints responded to within timescale (all processes)**

**2019/20 No. and percentage of Stage 1 complaints responded to within timescale by complaints process**



**2018/19 No. and percentage of Stage 1 complaints responded to within timescale by complaints process**



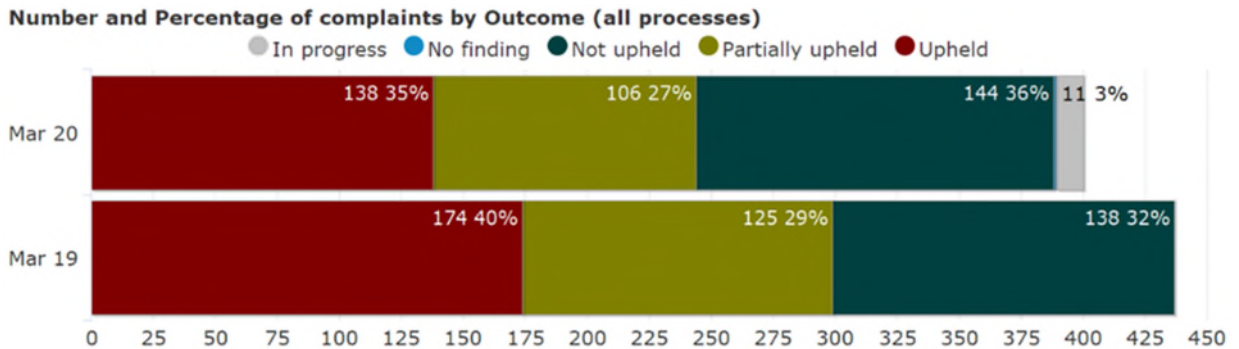
2.10 Processes are embedded to monitor the timeliness of responses more robustly, including weekly reports to services of all complaints. However, despite this, timescales continue to have been missed more frequently in a number of services. Reasons for this include complexity of complaints and officer resource pressures. See also further information in 3.30 and 3.31.

2.11 The council’s performance management software InPhase provides further opportunity for service areas to monitor their complaints; this is expected to be fully embedded in 2020/21.

**Decisions**

2.12 The outcome of complaints (all processes) is shown in Figure 5. In 2019/20 there was one case (0.3%) with an outcome of “no finding”, meaning that there was insufficient evidence to make a decision. At the time of this report’s preparation there are 11 cases (2.8%) in 2019/20 which have not yet been concluded.

**Figure 5: Stage 1 complaints (all processes) by outcome**



**Local Government Social Care Ombudsman**

2.13 The Local Government Social Care Ombudsman (LGSCO) received 49 complaints and enquiries about the council in 2019/20, compared to 44 in 2018/19, see table 1.

**Table 1: complaints and enquiries received by the LGSCO**

	Adult Care services	Benefits and Council Tax	Corporate and other services	Education and Children's services	Environment services	Highways and transport	Housing	Planning and Development	Other	Total
2019/20	9	1	2	10	7	6	4	9	1	49
2018/19	13	2	5	9	4	1	5	4	1	44

See appendix 1 for full details of decisions as per the 2019/20 LGSCO annual letter on cases upheld and not upheld.

2.14 The Ombudsman made 49 decisions during 2019/20 compared to 46 in 2018/19. This includes decisions on 6 enquiries submitted to the LGSCO in 2018/19 and 29 enquiries submitted in 2019/20. Enquiries that were made to the LGSCO in 2019/20, but no decision made within that year will be included in the decisions reported in 2020/21. See table 2.

**Table 2: LGSCO decisions 2018/19 & 2019/20**

	Incomplete or invalid	Advice given	Referred back for local resolution	Closed after initial enquiry	Detailed investigations		Uphold rate of detailed investigations	Total
					Not upheld	Upheld		
2019/20	4	0	14	16	8	7	47%	49
2018/19	3	0	15	11	5	12	71%	46

See appendix 1 for full details of decisions as per the 2019/20 LGSCO annual letter on cases upheld and not upheld.

2.15 If we were to include those investigations closed after an initial enquiry to the council, then the upheld rate for 2019/20 is 23%. This is lower than in 2018/19 when under this calculation 42% would have been upheld.

2.16 The 7 complaints that were investigated and upheld were:

- Adult social care 4.
- Licencing 1.
- Housing 2.

See sections 3.41, and 4.14-4.16 for further details.

2.17 The upheld rate for detailed investigations is lower than in 2018/19 by around a third.

**LGSCO reports**

2.18 No public interest reports for the council were published in 2019/20.

### Improvements in working with the LGSCO

- 2.19 The compliments and complaints team have attended training around adult care complaints as well as attending the Link Officer training. The LGSCO has set up an online group for local authority complaints officers to ask peers for advice and share good practice

### Learning and improvements from complaints

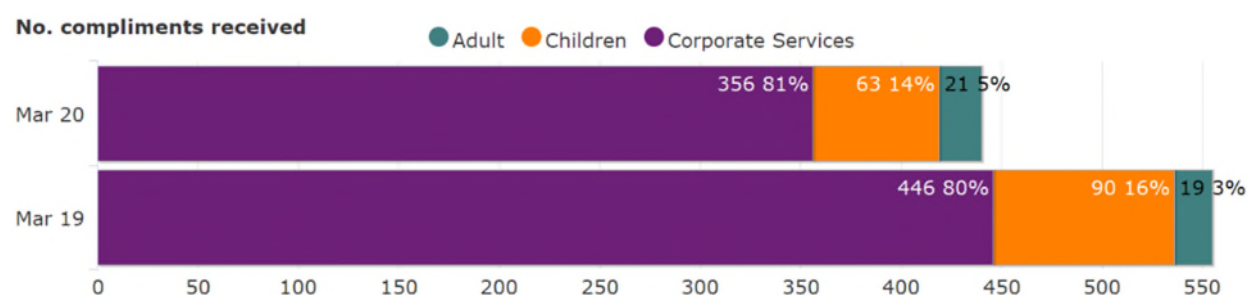
- 2.20 Understanding why complaints are made, establishing root causes, changing processes and delivering training as a result is essential to help drive improvements across the council. Listening to customers and reflecting on examples of where we did not get it right can highlight opportunities for improvement and increase satisfaction, fulfilling our strategic priority to provide an excellent customer experience.

- 2.21 Learning from complaints for specific services can be found in sections 3.42. 4.17 and 5.31.

### Compliments

- 2.22 In 2019/20, a total of 440 compliments were recorded for teams or individuals across the council. Compliments received are fed back to the relevant service areas to ensure that due recognition is given to staff and that learning is shared and disseminated across the directorate. Figure 6 shows the breakdown of compliments by Adults, Children's and Corporate Services. For the purposes of this report, "Corporate Services" refers to compliments that were received by services other than those within adult and children's services.

**Figure 6: Compliments received (Adults, Children's and Corporate Services)**



- 2.23 Following continuing improvements in compliments recorded over previous years, there has been a fall from 555 in 2018/19 to 440 in 2019/20. This drop seems to be evenly spread across corporate, adult and children's services. Further analysis can be found in sections 3.44, 4.19 and 5.33.

### 3. FORMAL CORPORATE COMPLAINTS

#### Overall corporate complaints summary

3.1 In 2019/20 79.8% (319/400) of all complaints progressed were Formal Corporate, compared to 87.0% (380/437) in 2018/19.

#### Internal process

- 38.2% (122/319) were fully upheld
- 23.2% (74/319) were partially upheld
- 35.7% (114/319) were not upheld
- 2.8% (9/319) where a decision had not been reached at the time of data extraction for the preparation of this report.
- 59.6% (190/319) were responded to within timescales.
- 356 compliments were received.

#### External process

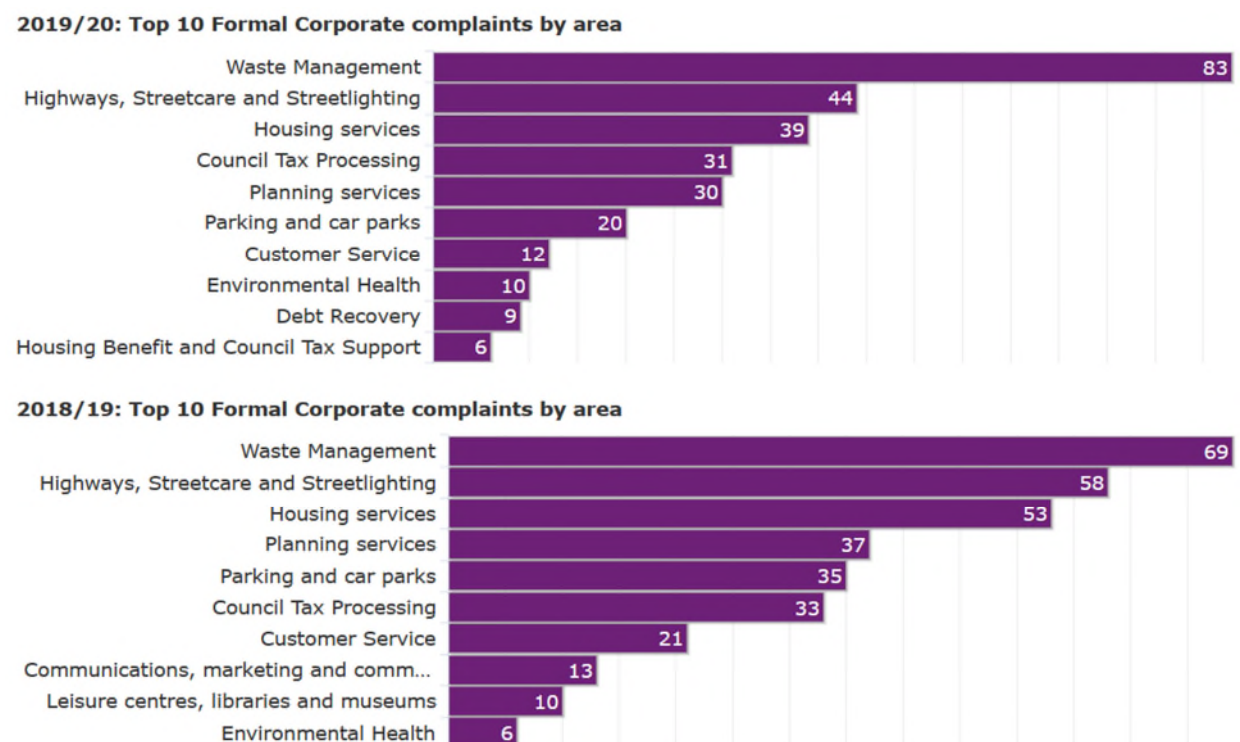
- 23 corporate complaints or enquiries were decided by the LGSCO, of these:
  - seven were fully investigated.
  - one was upheld.
  - six were not upheld.

*NB: Internal figures as waiting for LGSCO letter.*

#### Complaints received

3.2 From 1 October 2019 the council's organisation structure changed, meaning that a full comparison of complaints by service across the last two years is not possible. To enable some comparison between 2018/19 and 2019/20 complaints have been broadly grouped by the area to which they relate and the top-10 are shown in Figure 7. These groupings will be refined in 2020/21 as part of a broader project to develop digital platforms that support reporting of complaints to the council and subsequent data reporting.

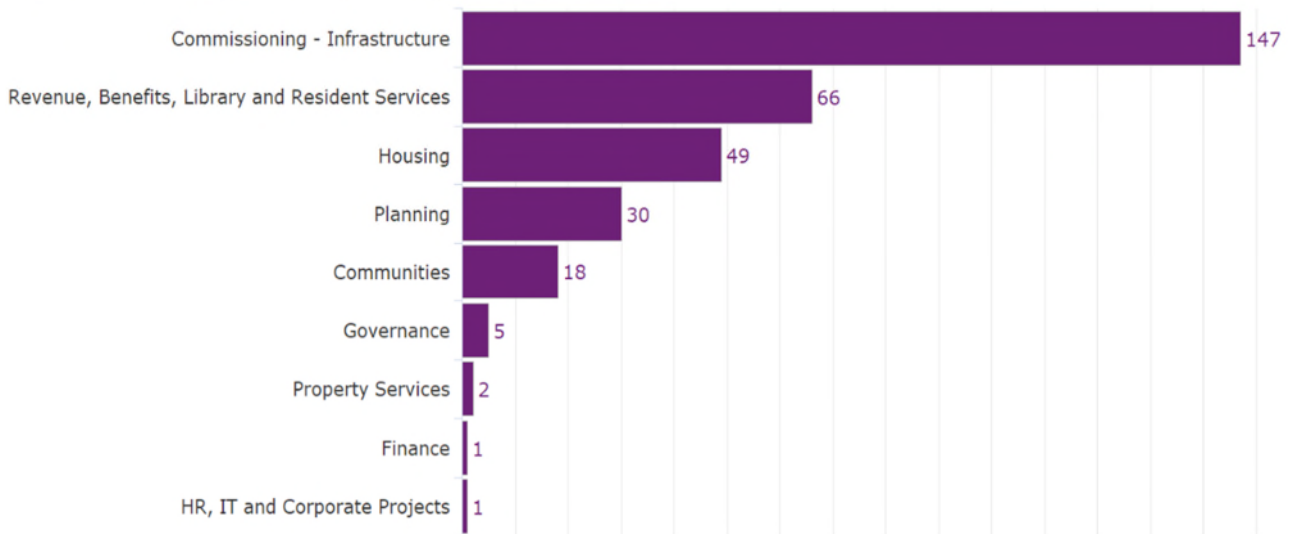
**Figure 7: Top-10 Formal Corporate complaints by broad area**



3.3 Figures 8 and 9 sets out the complaints received in 2019/20 by service and remit based on the organisation structure at the end the year.

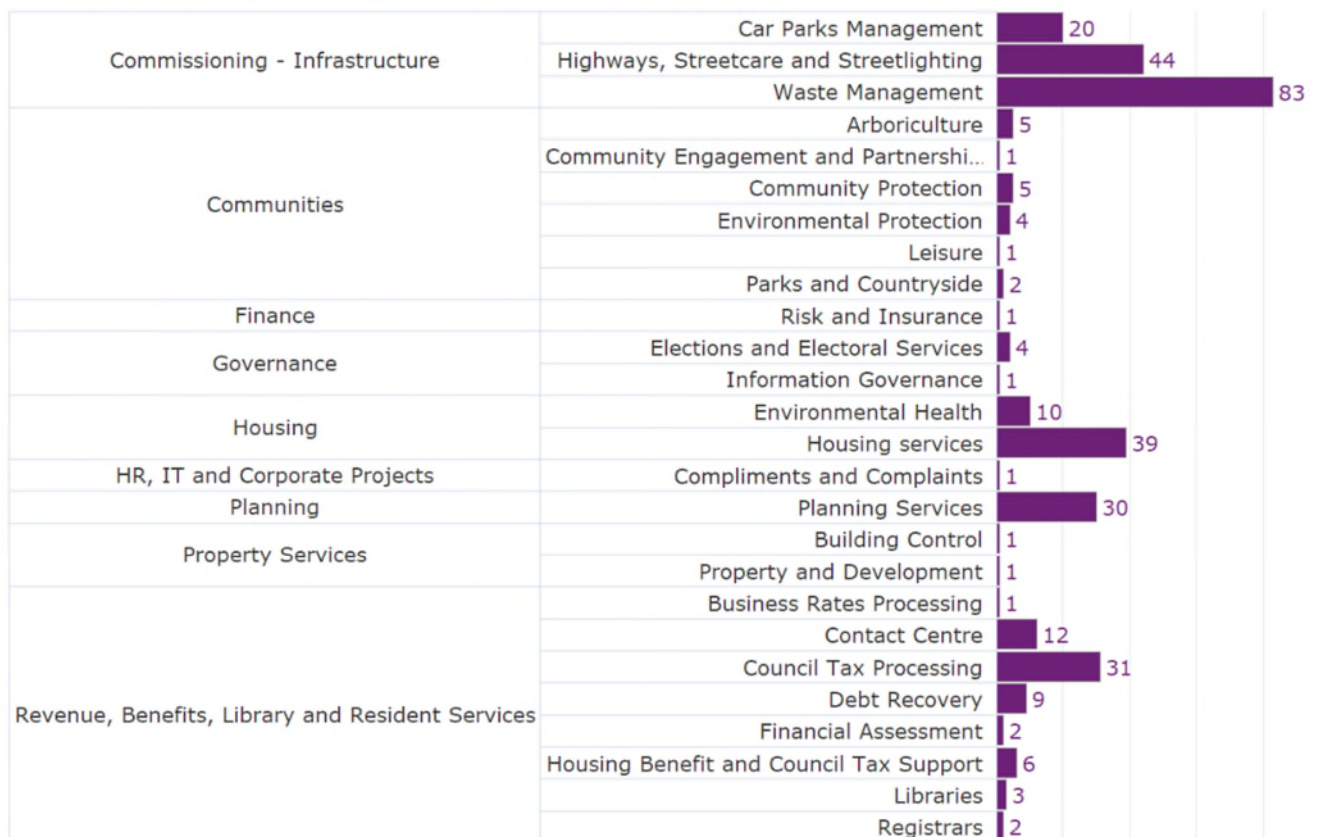
**Figure 8: 2019/20 Formal Corporate complaints by service**

2019/20 Formal Corporate complaints by service and remit



**Figure 9: 2019/20 Formal Corporate complaints by service and remit**

2019/20 Formal Corporate complaints by service and remit



**Commissioning Infrastructure**

3.4 In October 2019 the Commissioning Infrastructure service was established incorporating relevant service areas from the former Strategy and Commissioning service. These resident-facing services impact upon every resident, household, business and visitor to the Royal Borough (for example: waste collections; highways;

management of road works, parking and parks). Services are often delivered which cause disruption (for example: road works); these are essential and widespread as the council continues to invest in infrastructure across the Borough. The number of complaints received by Commissioning Infrastructure is therefore expected to be higher in comparison to other service areas.

- 3.5 Despite this, the number of complaints across the service area as a whole decreased from 161 in 2018/19 to 147 in 2019/20. This is reflected in all areas within Commissioning Infrastructure apart from waste management, which represented 69 in 2018/19 compared to 83 in 2019/20.
- 3.6 Commissioning Infrastructure, the contact centre and the waste service contractor deal with high volumes of service requests and are working together to bring down the number that turn into complaints. Many of the contacts received are about operational issues and are requests for a service e.g. a missed bin. Where this is not an ongoing issue the contact is changed to a service request, but some will remain as complaints with a formal response identifying the problem and providing information on the remedies that have been put in place to ensure that the concern has been resolved.
- 3.7 To add context in terms of service contact, the service empties 6.2 million bins for residents at the kerbside each year. The complaint level represents between 0.001 and 0.002 %.

#### **Revenues and Benefits**

- 3.8 Revenues and Benefits saw a slight rise in the number of complaints made to them during 2019/20. The majority of complaints were made about council tax processing. While there was nothing obvious to account for this, there were periods where the team was recruiting/training new staff leading to increased levels of outstanding correspondence. In addition, complaints continue to be made around changes in legislation which had been in place for some time which see residents faced with increased levels of charge such as removing empty discounts and charging a Long-Term Empty Home Premium.

#### **Library and Resident Services**

- 3.9 Library and Resident Services achieved a 55% drop in the number of complaints received across services. A successful coaching and mentoring plan was implemented to raise standards and ensure staff have the skills and empathy to de-escalate difficult situations before they become formal complaints

#### **Housing Services**

- 3.10 The number of complaints relating to Housing Services dropped from 53 in 2018/19 to 39 in 2019/20 with a small drop in the overall percentage of formal corporate complaints. The level of complaints is reducing as a direct result of the training, support and advice provided to staff, including a joined up consistent approach to service delivery. From October 2019 the Environmental Health remit was moved from the former Communities, Enforcement and Partnerships service to Housing Services.

#### **Planning**

- 3.11 Complaints about Planning dropped from 37 in 2018/19 to 30 in 2019/20. The Planning department has updated its enforcement policy and templates to better set expectations of timeframes for investigations and what we can and can't investigate. Determination of applications is higher, and this has reduced complaints with regards applications



### Communities

3.12 The Communities service encompasses a number of front-facing services which, by their nature, receive quite a large volume of service requests. Of these service requests a relatively small proportion can become formal complaints. The statutory nature of some of these services can result in complaints because the decisions may not meet with service users' expectations or ambitions, but they will be taken in accordance with the adopted service delivery plans and policies.

### Property Services

3.13 Property Services received two complaints in 2019/20 which is the same as was received in 2018/19.

### Finance

3.14 The Finance service received a single complaint, which was against Risk and Insurance and was not upheld.

### Communications and Marketing

3.15 Following an unusual jump to 13 complaints in 2018/19 the Communications and Marketing service area received no complaints in 2019/20.

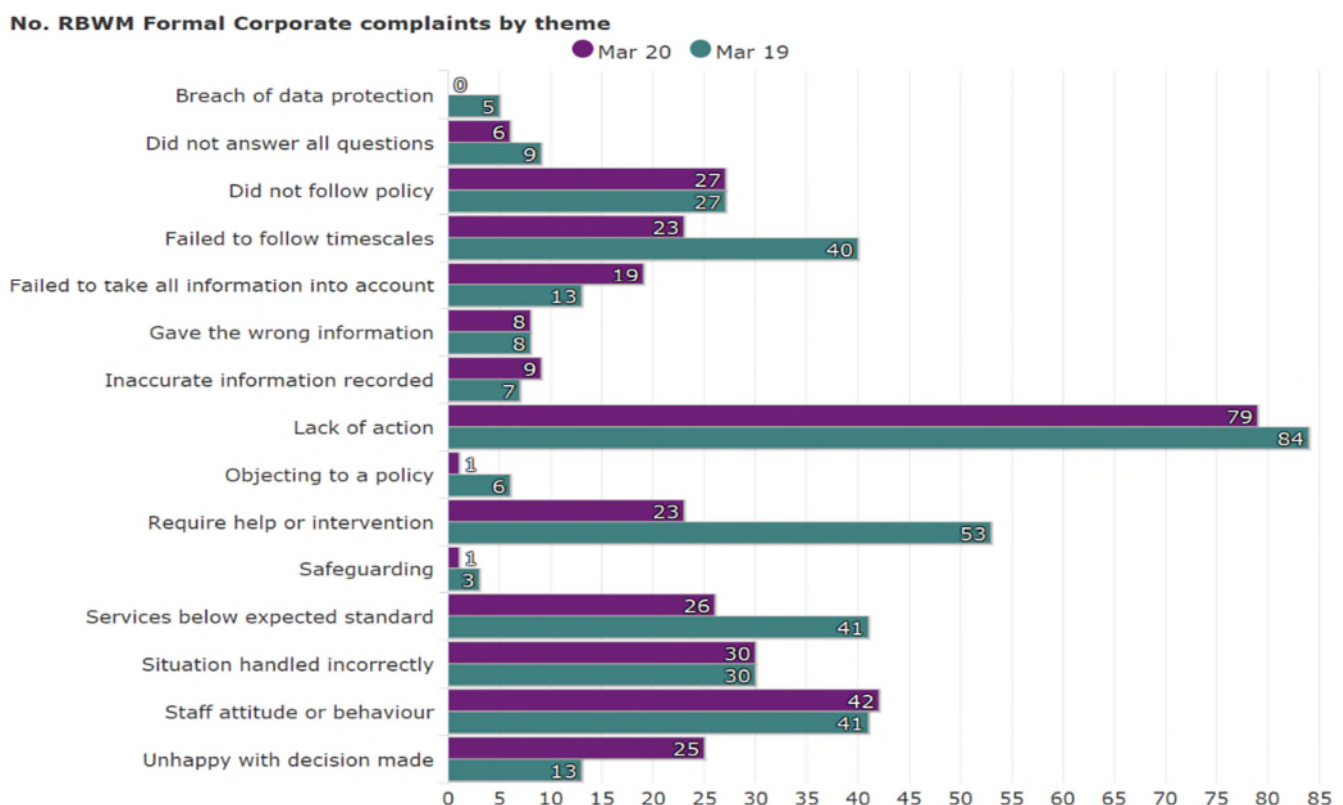
### HR, Corporate Projects and IT

3.16 HR, Corporate Projects and IT received a single complaint about application of the complaints policy and procedure which was upheld.

### Themes

3.17 Themes of complaints are in the main self-selected by the person making a complaint and not all complaints fit neatly into a single category. Figure 10 shows a comparison of the volume of Formal Corporate complaints received by theme in 2019/20 and 2018/19.

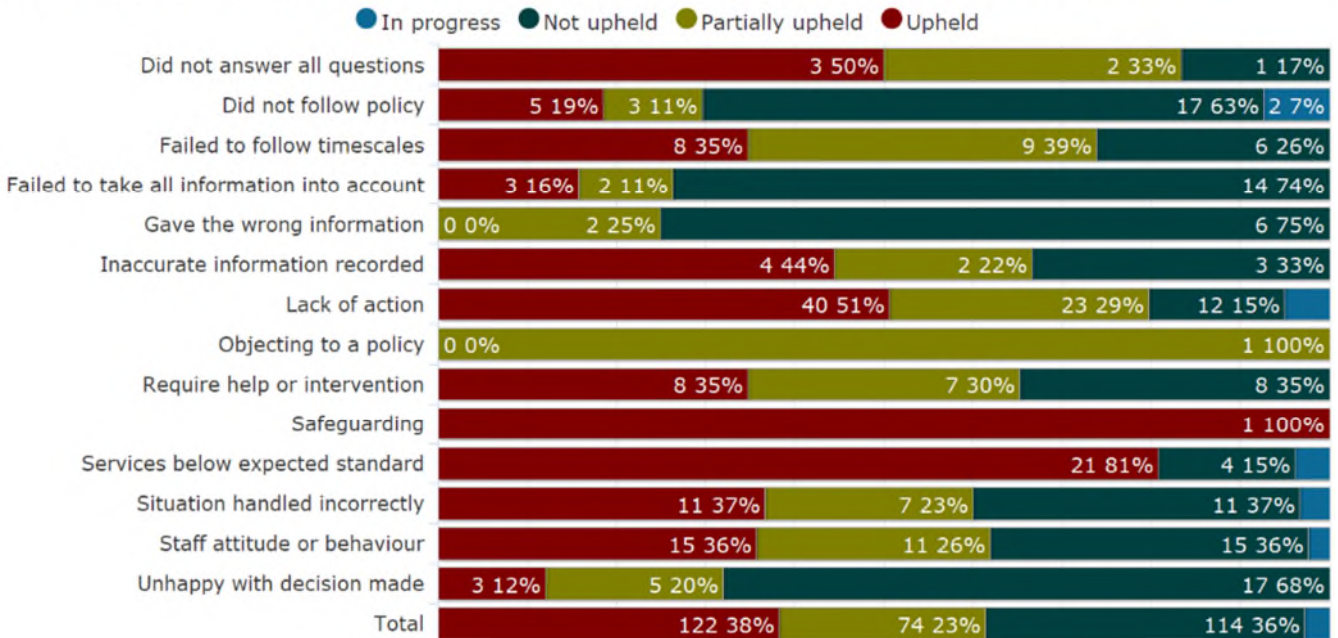
**Figure 10: No. complaints received by theme (Formal Corporate)**



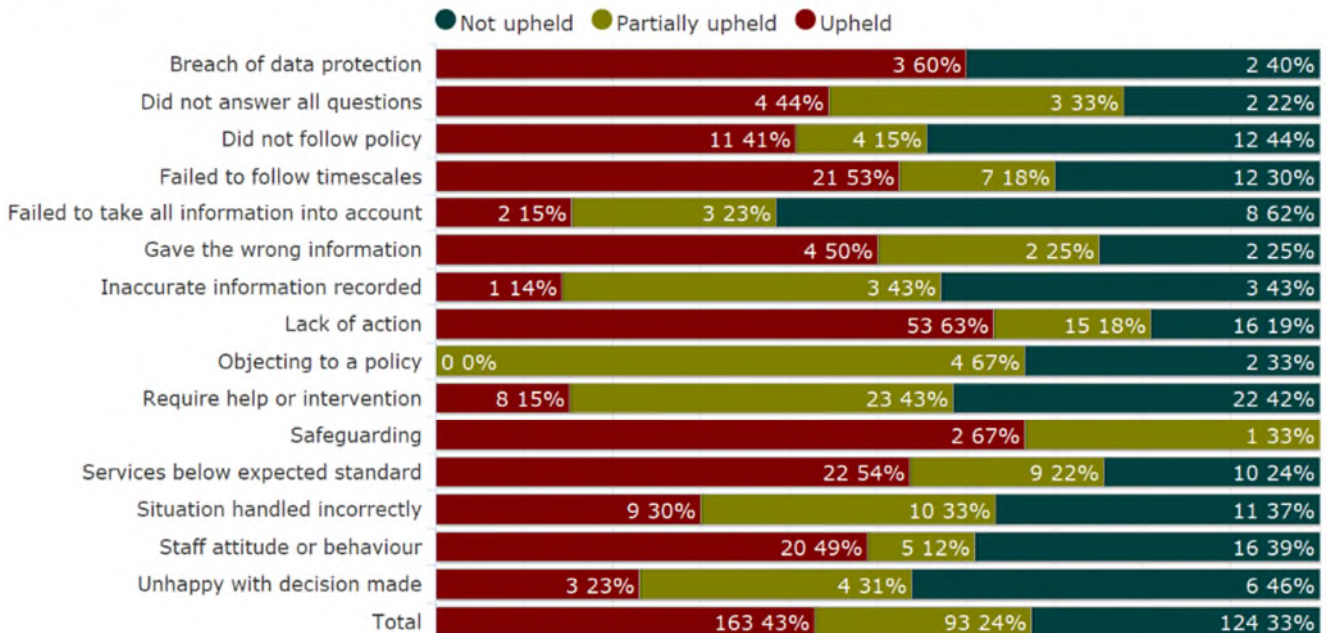
3.18 Figure 11 shows a breakdown of Formal Corporate complaints by theme and outcome. Note that in 2019/20 there were 9 complaints where a decision had not been reached at the time of data extraction for the preparation of this report.

**Figure 11: Breakdown of Formal Corporate complaints by theme and outcome**

**2019/20 Number and percentage of RBWM Formal Corporate complaints by theme and outcome**



**2018/19 Number and percentage of RBWM Formal Corporate complaints by theme and outcome**



3.19 The number of complaints with a mainly self-selected theme of 'lack of action' remains the highest across the council. For complaints under the formal corporate complaints process this theme made up 79 of the complaints received, which is almost twice the next highest theme of 'attitude or behaviour of staff'. It is however worth noting that the

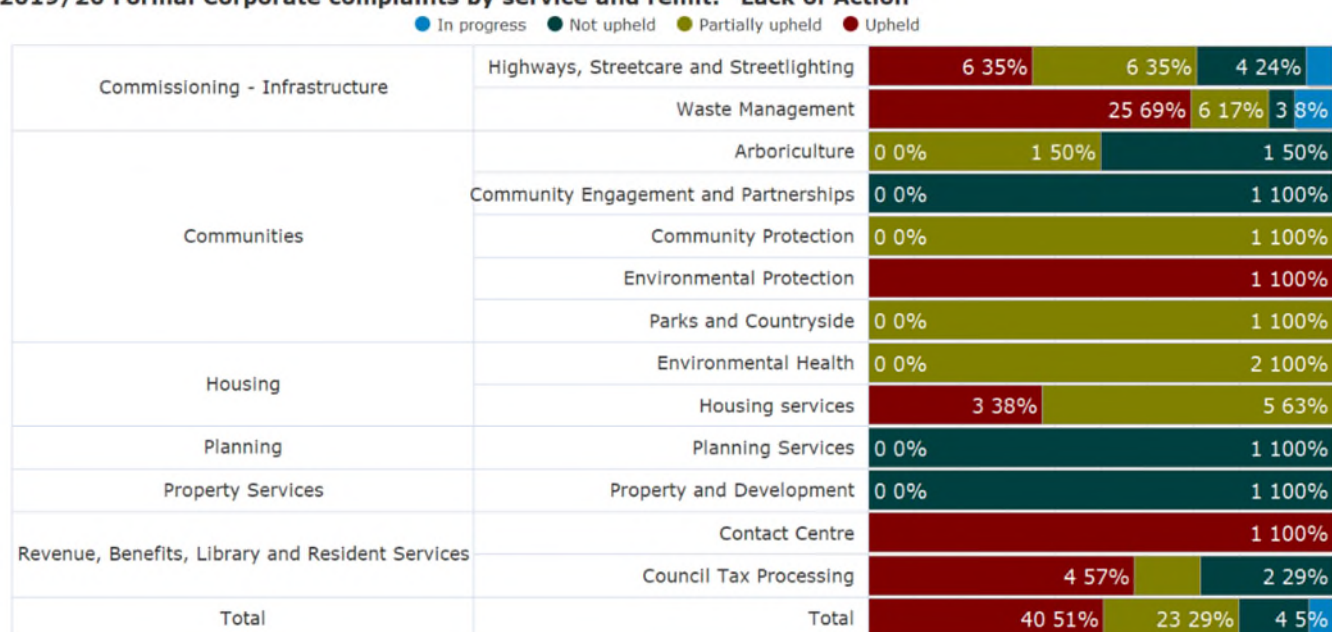
percentage of complaints taken under this theme that were upheld has reduced from 63% in 2018/19 to 51% in 2019/20. See figure 12, 3.22 for further information.

3.20 Complaints with a theme of ‘services below expected standard’ that were upheld have risen from 54% in 2018/29 to 81% in 2019/20. The majority of the 2019/20 complaints (72%) were in the Commissioning Infrastructure services. This compares to 47% in 2018/19.

3.21 Figure 12 shows the volume and percentage of Formal Corporate complaints relating to “lack of action” across Services. This information will be included in the complaints quarterly updates to Heads of Service.

**Figure 12: Volume and percentage of Formal Corporate complaints relating to “lack of action” across all services**

**2019/20 Formal Corporate complaints by service and remit: "Lack of Action"**



3.22 Commissioning Infrastructure service area received the highest number of complaints logged against this theme (53). Within this, the majority (36) were logged against Waste Management. Of these, 25 were upheld, six were partially upheld and two were not upheld. Three had not yet had a response and outcome when the report was run. None of these complaints were escalated to stage 2.

3.23 This level of complaints to this service area is likely to be due to the frequency, volume and immediate nature of the service and also reflects the number of complaints that relate to operational requests. Once the operational matters such as missed bins have been resolved complaints are not escalated further as reflected in the fact that none of the 36 were taken to Stage 2.

**Timescales**

3.24 Figure 13 shows that, overall, 60% of Formal Corporate Stage 1 complaints were responded to within timescale in 2019/20, a decrease from 64% in 2018/19. Figure 14 details the number and percentage of stage 1 complaints responded to within timescales for each service.

**Figure 13: Total Formal Corporate Stage 1 complaints responded to within timescale**

**Total Formal Corporate Stage 1 complaints responded to within timescale**



**Figure 14: Breakdown of Stage 1 Formal Corporate complaints responded to within timescale by service**

**2019/20 Formal Corporate Stage 1 complaints within timescale**

● No ● Yes

Service Area	Sub-Service	Yes	Yes %	No	No %
Commissioning - Infrastructure	Car Parks Management	19	95%	1	5%
	Highways, Streetcare and Streetlighting	20	45%	24	55%
	Waste Management	51	61%	32	39%
Communities	Arboriculture	1	20%	4	80%
	Community Engagement and Partnerships	1	100%	0	0%
	Community Protection	5	100%	0	0%
	Environmental Protection	3	75%	1	25%
	Leisure	1	100%	0	0%
	Parks and Countryside	1	50%	1	50%
Finance	Risk and Insurance	1	100%	0	0%
Governance	Elections and Electoral Services	4	100%	0	0%
	Information Governance	0	0%	1	100%
Housing	Environmental Health	7	70%	3	30%
	Housing services	6	15%	33	85%
HR, IT and Corporate Projects	Compliments and Complaints	1	100%	0	0%
Planning	Planning Services	11	37%	19	63%
	Building Control	0	0%	1	100%
Property Services	Property and Development	0	0%	1	100%
	Business Rates Processing	1	100%	0	0%
	Contact Centre	11	92%	1	8%
Revenue, Benefits, Library and Resident Services	Council Tax Processing	26	84%	5	16%
	Debt Recovery	8	89%	1	11%
	Financial Assessment	2	100%	0	0%
	Housing Benefit and Council Tax Support	5	83%	1	17%
	Libraries	3	100%	0	0%
	Registrars	2	100%	0	0%
<b>Total</b>	<b>Total</b>	<b>190</b>	<b>60%</b>	<b>129</b>	<b>40%</b>

3.25 Timescales for some services that received complaints have declined since 2018-19. For many service areas however, the small number of complaints received means that slight differences can look more significant than they actually are.

**Revenues and Benefits**

3.26 Revenues and Benefits response rates remained high with 88% of complaints responded to within timescales, maintaining the improvement seen in 2018/19.

**Library and Resident Services**

3.27 Library and Resident Services also remained high at 94%. Complaints are prioritised as they are received. All complaints are reviewed by the Library and Resident Services management team to track the robustness and timeliness of complaints and ensure that

any lessons arising are included in training. The reduction in complaints has enabled colleagues within the team to give greater attention to those received so that mistakes are corrected quickly. This good practice is being replicated across some other areas of the council as appropriate.

### **Communities**

- 3.28 For teams in Communities, the total number of complaints received and responded to within timescales was very similar year on year.

### **Commissioning Infrastructure**

- 3.29 Response times in the Commissioning Infrastructure service areas have also continued to improve across all teams with an overall rise from 55% in 2018/19 to 61% in 2019/20. The service has improved processes around the allocation and monitoring of complaints and will continue to seek further improvement in meeting timescales. Highways complaints are often complex and require detailed investigation and resolution. Where this is the case and can be identified early, an extension will be requested.

### **Housing Services**

- 3.30 Housing Services response rates were low at 15%, in 2019/20, which is a decline from around 50% in 2018/19. During 2019/20 there were a number of staffing issues, both in the delivery of services as well as changes in the management of complaint responses within the service, which impacted on SLAs. Improvements initiated in 2019-20 are already showing improvement in 2020-21.
- 3.31 Remedial action was taken by bringing in a part time member of staff to focus on ensuring response times sit within the SLA and that action is taken to implement learning from responses. Complaints are now prioritised when they are received and responded to in a timely manner. Housing services have now adopted a 360-degree approach to complaints, to ensure that the whole team are provided with training where required, services are amended to take into account the learning from the complaint and staff are fully engaged in the new approach.

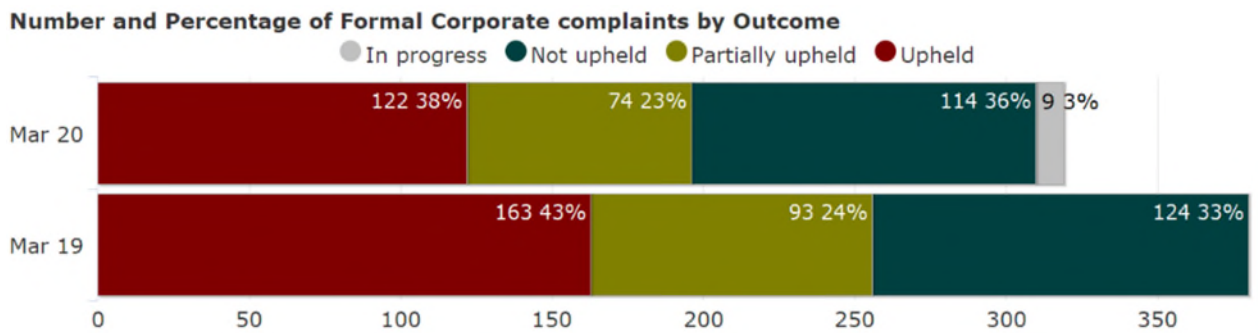
### **Planning**

- 3.32 Planning has seen a decline in complaints completed within timescales following a rise to 51% in 2018/19 down to 37% in 2019/20. The new Head of Service has put in processes including oversight by a senior manager to ensure that complaints are prioritised and responded to more timely and we are already seeing improvements in Quarter 1.
- 3.33 Numbers of complaints and responses within timescales are shared in Heads of Service meetings on a quarterly basis. Weekly email updates of current open complaints continue to be sent to all service areas and dashboards are being built by the Strategy and Performance Team to enable routine monitoring of performance through InPhase.

### **Outcomes**

- 3.34 Figure 15 sets out the overall outcomes reached for all Formal Corporate complaints. Note that 2.8% (9/319) Formal Corporate complaints had not reached a decision at the time of data extraction for the preparation of this report.

**Figure 15: Overall outcomes for Formal Corporate complaints**



3.35 Figure 16 sets out the outcomes reached for all Formal Corporate complaints broken down by service and remit. Note that 2.8% (9/319) Formal Corporate complaints where a decision had not been reached at the time of data extraction for the preparation of this report.

**Figure 16: Outcomes: breakdown by service area**

**2019/20 Formal Corporate complaints by service and remit and outcome**

		In progress	Not upheld	Partially upheld	Upheld
Commissioning - Infrastructure	Car Parks Management			6 (30%)	12 (60%)
	Highways, Streetcare and Streetlighting			13 (30%)	17 (39%)
	Waste Management			11 (13%)	52 (63%)
Communities	Arboriculture	1 (20%)	1 (20%)		3 (60%)
	Community Engagement and Partnerships				1 (100%)
	Community Protection	1 (20%)		3 (60%)	1 (20%)
	Environmental Protection	1 (25%)	1 (25%)		2 (50%)
	Leisure				1 (100%)
	Parks and Countryside			1 (50%)	1 (50%)
Finance	Risk and Insurance				1 (100%)
Governance	Elections and Electoral Services				4 (100%)
Housing	Information Governance				1 (100%)
	Environmental Health	1 (10%)	3 (30%)		6 (60%)
HR, IT and Corporate Projects	Housing services	11 (28%)		15 (38%)	13 (33%)
	Compliments and Complaints				1 (100%)
Planning	Planning Services	2 (7%)			24 (80%)
Property Services	Building Control				1 (100%)
	Property and Development				1 (100%)
	Business Rates Processing				1 (100%)
	Contact Centre			3 (25%)	7 (58%)
	Council Tax Processing	9 (29%)	6 (19%)		16 (52%)
	Debt Recovery	3 (33%)			6 (67%)
	Financial Assessment	1 (50%)		1 (50%)	
	Housing Benefit and Council Tax Support	1 (17%)	2 (33%)		3 (50%)
	Libraries			1 (33%)	2 (67%)
	Registrars				2 (100%)
Total	Total			74 (23%)	122 (38%)

3.36 Across corporate services there has been a drop in the percentage of complaints that were fully or partially upheld from 67% in 2018/19 to 61% in 2019/20. The percentage of upheld complaints gives a focus for services to learn from complaints.

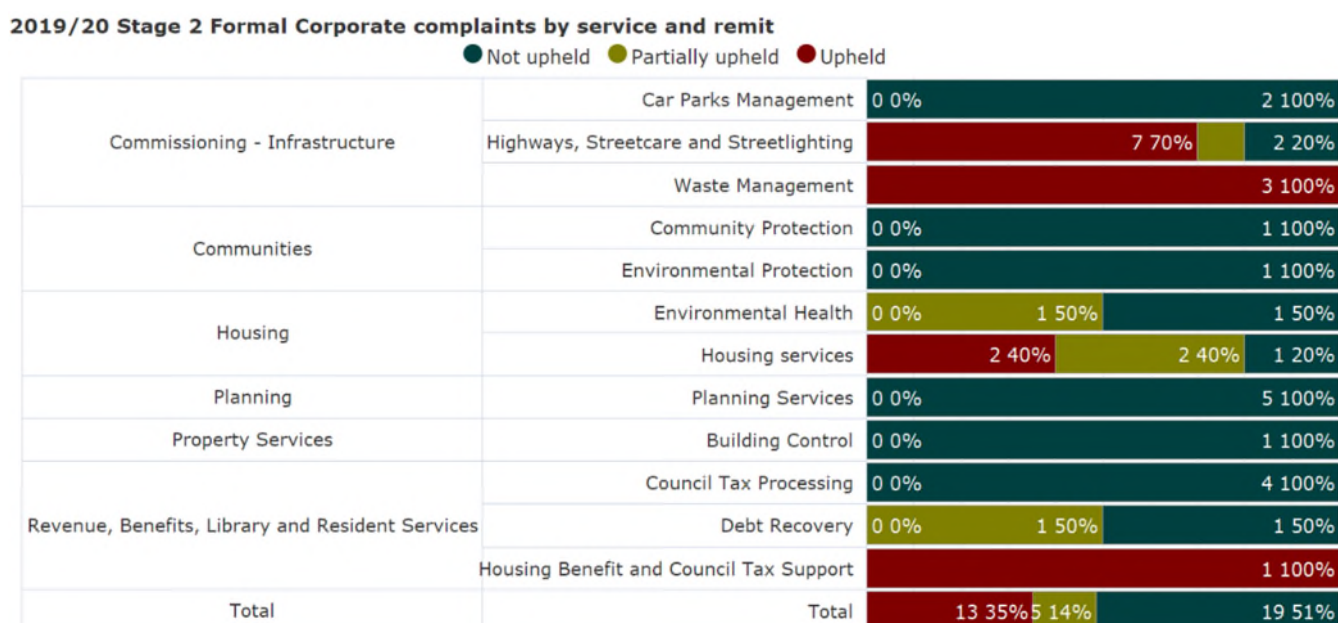
**Stage 2 complaints**

3.37 If a complainant remains dissatisfied after receiving a response at stage 1 of the corporate

complaints process they may request a review by the service director.

- 3.38 The percentage of formal corporate complaints that were escalated to stage 2 rose from 12% in 2018/19 to 15% in 2019/20.
- 3.39 The timescale for response at stage 2 is within 20 working days. 96% of formal corporate complaints that went to stage 2 were answered within timescales. This is very much higher than the response rate in timescales at stage 1. It is not clear why this is, however the lead time for a response is 10 working days longer than given at stage 1. Additionally there are considerably fewer complaints at stage 2 which may mean that these can be prioritised more easily.
- 3.40 The number of upheld and partially upheld Stage 2 complaints is shown in Figure 17. In addition there are two Stage 2 complaints that are in progress.

**Figure 17: Stage 2 Formal Corporate complaints by service, remit and outcome**



### Complaints to the LGSCO

- 3.41 The LGSCO made decisions about 30 complaints and enquiries for corporate services. 9 were decided following detailed enquiries and of these, 3 were upheld and 6 were not upheld. This leaves 16 that were not fully investigated. See appendix 1 for details on 2019/20 decisions.

### Learning from complaints

- 3.42 An important part of the complaints process is capturing the learning and embedding good practice across the council. There were four key areas of learning from corporate complaints in 2018-2019 and an update on implementation is:

#### Environmental Health

- For cases of suspected food poisoning, the environmental health team will revisit procedures in order to reduce the risk of any delays.

Staff are now clearer with customers that information is required before we can take any further actions/investigate/visit the site etc. As a result of this there has been no further complaints made on this subject.

### **Housing**

- All housing staff are receiving ongoing training on service standards and managing expectations to ensure a prompt response to enquiries and requests for updates.
- Customers have access to mobile numbers and email addresses for their case officers.
- Managers continue to closely manage cases.

There have been a number of changes in the housing team since the annual report 2018/19 was written. A review of services in housing is being undertaken; training and processes are being put in place to ensure that contact with customers takes place in a timely manner. It is thought that these improvements will show in next year's annual report.

This is reflected in the drop in the number of complaints to the Housing Service since 2018/19.

### **Waste**

- The website and web form for van permits to be used at household waste and recycling centres has been updated to clarify the acceptable size and type of vehicle.

The website and web form for van permits to be used at household waste and recycling centres has been updated to clarify the acceptable size and type of vehicle.

The form changes were made in Feb 2019. These changes were to add additional vehicle types, and 'dead end' the form if a non-allowed one was picked.

In 2018/19 there were three complaints recorded about size and type of vehicle for van permits. The final complaint was in February 2019. In 2019/20 there were 0no complaints on this subject.

### **Planning**

- The Planning department has updated its enforcement policy and templates to better set expectations of timeframes for investigations and what we can and can't investigate.
- Performance with regards determination of applications is high due to investment and improvements in service delivery. This has reduced complaints with regards applications.

The changes to the enforcement policy and templates along with the investment in resources around planning applications means that the number of planning complaints has been decreasing over the last 3 years:

- 2017/18: 63
- 2018/19: 39
- 2019/20: 30

3.43 Table 3 picks up some of the learning across corporate services during 2019/20.



**Table 3: Learning from corporate complaints**

<b>Complaint area</b>	<b>Actions and learning</b>
Housing services	<ul style="list-style-type: none"> <li>• New measures have been implemented to ensure a triage service is provided to all customers, all customers then provided with accommodation or support within homelessness have full access to their data through a customer portal which is reducing enquiries and complaints</li> </ul>
Libraries and Resident Contact	<p><b>Issuing of Advantage cards</b></p> <ul style="list-style-type: none"> <li>• From 22nd August 2019, library staff accepted proofs of address from the last 12 months, instead of 3 months as well as valid driving licences.</li> </ul> <p><b>Understanding the Waste processes better</b></p> <ul style="list-style-type: none"> <li>• An advisor spent time with Waste to improve the team's understanding. Flow charts and information sessions have also been implemented</li> </ul> <p><b>Improved de-escalation techniques</b></p> <ul style="list-style-type: none"> <li>• Different de-escalation techniques were reviewed and assessed and an internal de-escalation process was implemented that made a significant impact on the number of complaints logged.</li> </ul> <p><b>Staff training, coaching and mentoring</b></p> <ul style="list-style-type: none"> <li>• One hour on a Wed morning is focused on staff training, coaching, mentoring and team-building. This has had a significant impact on staff morale, confidence and their ability to deal with complex enquiries.</li> </ul> <p><b>Volunteer upskilling</b></p> <ul style="list-style-type: none"> <li>• Where complaints have involved volunteers, volunteer awareness has been improved to ensure customers can expect a basic level of knowledge from volunteers.</li> </ul>
Revenues and Benefits	<p><b>Clarity of letters to customers</b></p> <ul style="list-style-type: none"> <li>• Staff advised that letters with standard text to be edited to ensure they are clear about what they are asking and the information to be provided.</li> </ul>
Permitting and licensing	<p><b>Maintenance of trees</b></p> <ul style="list-style-type: none"> <li>• Website and the way reports are raised/received has been reviewed</li> <li>• Procedures in place to ensure queries received in error are promptly assigned to the right department.</li> </ul>

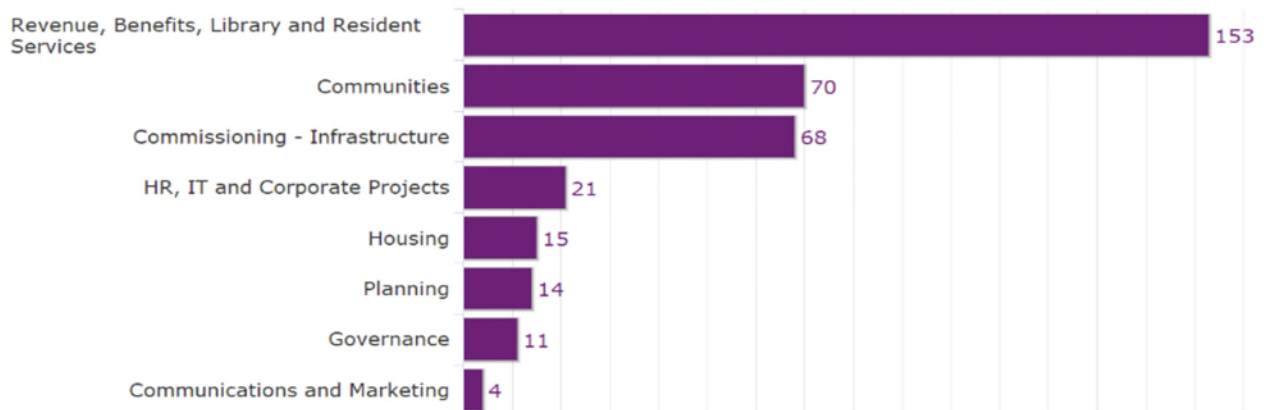
Complaint area	Actions and learning
Highways	<b>Bus timetables</b> <ul style="list-style-type: none"> <li>Monitoring of the council's reporting system to ensure that all reports are received and dealt with promptly.</li> </ul>
Environmental Health	<b>Skin piercing licenses</b> <ul style="list-style-type: none"> <li>Improved on our website, to detail the steps including associated timescales that the Council needs to undertake to be able to issue a licence,</li> <li>Staff procedures updated to ensure that timescales are set for each stage of the process to ensure that customers are provided with an efficient and effective service.</li> </ul>
Disabled Facilities Grants (DFG) Panel	<b>DFG panel processes</b> <ul style="list-style-type: none"> <li>Improved information on our website, to detail the steps including associated timescales that the Council needs to undertake to be able to issue a licence,</li> <li>Staff procedures updated to ensure that timescales are set for each stage of the process to ensure that customers are provided with an efficient and effective service.</li> </ul>

## Compliments

3.44 Corporate services received 356 compliments during 2019/20, a decrease on the 452 received in 2018/19. A full comparison of compliments by service and remit across 2018/19 and 2019/20 is not possible due to the changes to the organisation structure in October 2019. Figures 18 and 19 show the volume of compliments received by service and remit based on the organisation structure at the end of 2019/20.

### Figure 18: Compliments by service

2019/20 Compliments received (RBWM services)



**Figure 19: Compliments by service and remit**

**2019/20 Compliments received (RBWM services)**

Commissioning - Infrastructure	Car Parks Management	3
	Highways, Streetcare and Streetlighting	41
	Waste Management	24
Communications and Marketing	Communications and Marketing	3
	Digital Services	1
	Arboriculture	3
Communities	Community Engagement and Partnerships	1
	Community Protection	52
	Parks and Countryside	10
	Trading Standards & Licensing	4
Governance	Civic and Mayoral Office	1
	Democratic Services	7
	Elections and Electoral Services	2
	Information Governance	1
Housing	Environmental Health	2
	Environmental Protection	8
	Housing services	5
HR, IT and Corporate Projects	Compliments and Complaints	7
	Corporate Projects	4
	HR Employee Relations	3
	HR People Services	5
	IT Support Services	2
Planning	Planning services	14
	Business Rates Processing	3
Revenue, Benefits, Library and Resident Services	Contact Centre	24
	Council Tax Processing	23
	Debt Recovery	7
	Deputy & Appointee	2
	Financial Assessment	5
	Housing Benefit and Council Tax Support	7
	Libraries	81
	Registrars	1

**Revenue, Benefits, Library and Resident Services**

3.45 Revenue, Benefits, Library and Resident Services received 42.9% (153/356) of all compliments for corporate services in 2019/20. Advisors are supported to exceed rather than meet the expectation of the customer whenever possible which results in high levels of compliments being received

**Communities**

3.46 The Communities service received 19.7% (70/356) of all compliments for corporate services in 2019/20, and 74.3% of these compliments were for the Community Protection team. This shows the very positive support for the Community Wardens who deal with diverse issues in often difficult circumstances.

**Commissioning Infrastructure**

3.47 The Commissioning Infrastructure service received 19.1% (68/356) of all compliments for corporate services in 2019/20. Highways, streetcare and streetlighting particularly stands out with 60.3% (41/68) of all compliments to Commissioning-Infrastructure. These compliments reflect the helpful approach officers demonstrate with residents, and the support of service-providers to resolve enquiries.

3.48 Table 4 outlines some examples of compliments received across service areas. Front-facing services that interact regularly with customers received the highest number of compliments in the same way as they also receive the highest volumes of complaints.

**Table 4: Examples of compliments received**

Service	Compliment received
Parks and Countryside	<ul style="list-style-type: none"> <li>• Thank you for always keeping the parks and hanging baskets around Windsor looking so lovely. It really makes Windsor look wonderful and makes us happy much appreciated.</li> </ul>
Arboriculture	<ul style="list-style-type: none"> <li>• Thank you for superb planting as your work and communication with the community paid off. Many years ago you replaced some dangerous leylandii trees with a beautiful maple style tree which comes into its own at this time of year. You have delivered Autumn colour to our village. A great illustration to your team of superb planting choice.</li> </ul>
Control Room	<ul style="list-style-type: none"> <li>• I just wanted to let you know of the exemplary work your Control Room Operators have performed over the last couple of days. They have both prevented and helped us detect a number of shopliftings (some of which were high value bulk thefts) and have gone the extra mile to help a member of our team.</li> </ul>
Community wardens	<ul style="list-style-type: none"> <li>• I just wanted to say a massive thank you to all of the team for having me the past two days at RBWM and for giving me the opportunity to see the many different roles that the community safety team perform on a daily basis. It was very useful to see the different roles within community safety, and also how the team work closely with TVP to help keep our communities safe and involved.</li> <li>• Your job literally saves lives, and that is exactly what you did yesterday. You saved my puppy's life or at very least, saved me from spending a small fortune. [...] You arrived super-fast, put me at ease, took control of, what for me was a hopeless situation and not only offered the best solution but actually made it happen. I've always loved our little town but even more so now. We have a special place here and thanks to people like you, who has the vocation and genuinely enjoy what they do, make our town the place it is.</li> </ul>
Trading Standards and Licensing	<ul style="list-style-type: none"> <li>• Had you not contacted us we would have continued these payments, not realising that this was a fraudulent transaction, and we are grateful to you for this. Regrettably, as a couple of OAPs, we're not as alert as we used to be!</li> </ul>
Website	<ul style="list-style-type: none"> <li>• Resident thinks RBWM website is fantastic. Easy to use and everything required is on there to be used.</li> </ul>
Customer contact centre	<ul style="list-style-type: none"> <li>• I have had problems scanning my Advantage Card since the installation of the new machines in the Royal Borough Car Parks in Windsor, in Alma Road and Alexandra Gardens. Last week on two occasions, and on the second in Alexandra Gardens when it was raining. Not only I, but two other residents were experiencing the same. The machine was not recognising our cards. I then called your Customer Services Number and spoke with an adviser in Library and Resident Services. She was more than helpful and immediately</li> </ul>

Service	Compliment received
	progressed my issue and emailed me immediately to update me. She has since diligently followed it through.
Libraries	<ul style="list-style-type: none"> <li data-bbox="504 304 1426 483">• A very happy customer of yours from Windsor has visited today to leave you a box of chocs. You advised her in Windsor about a council tax valuation query &amp; she was able to resolve the issue because of your expert guidance. Awesome work. Well done.</li> </ul>

3.49 The variety of compliments highlights the breadth of work carried out across the council and helps celebrate the good work carried out by a wide range of officers.

## 4. ADULT SERVICES

### Overall adult complaints summary

4.1 In 2019/20 there were 27 complaints about the provision of adult social care services, compared to 19 in 2018/19. This represents 7% of all complaints received by the Council.

#### Internal process

- 22% of complaints were fully upheld
- 30% of complaints were partially upheld
- 48% of complaints were not upheld
- 56% were responded to within timescales.
- 21 compliments were received.

#### External process

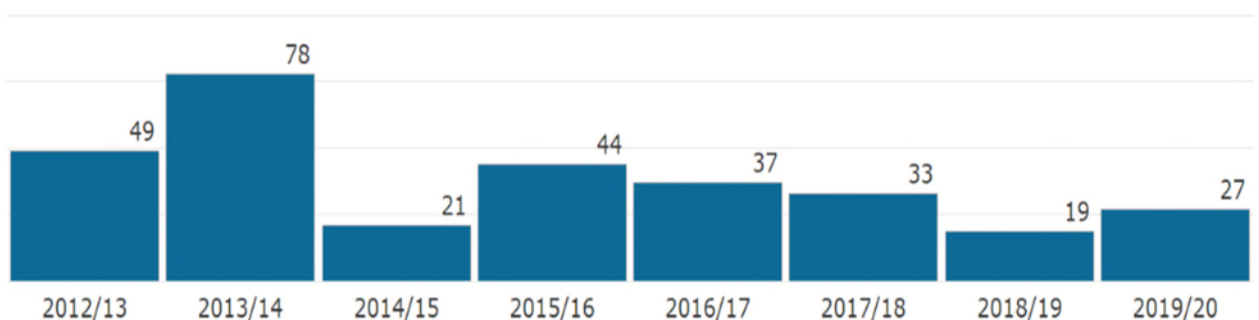
- Six complaints or enquiries were decided by the LGSCO
  - Four were fully investigated.
  - Four were upheld.
  - Zero were not upheld.

### Complaints received

4.2 Although there was a rise in the number of complaints received for adult services from 2018/19, Figure 20 shows that over the last eight years there has only been two years where the numbers of complaints were lower. Analysis of the complaints would suggest that the rise related to seeking further explanation on issues that were unclear in relation to assessments or invoicing. The new Director of Statutory Services in Optalis is prioritising resolution of issues at an earlier stage and in particular clearer explanations of what are sometimes complex financial and care issues.

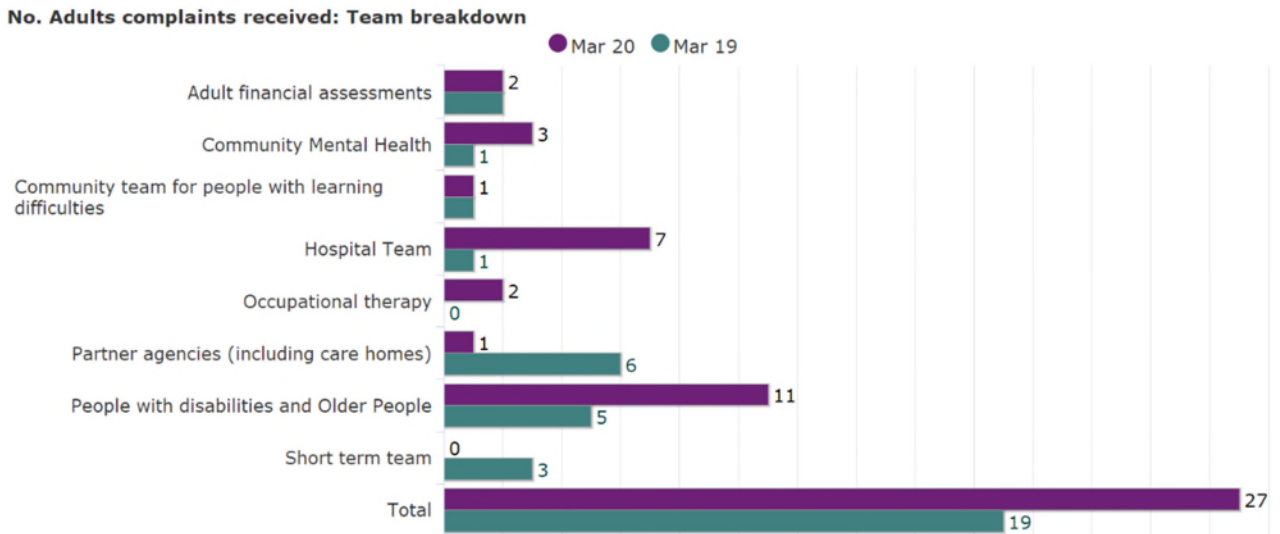
**Figure 20: Total number of adult complaints, 2012/13-2019/20**

Total volume of complaints (Adults)



4.3 Figure 21 details the volume of stage 1 complaints received by each team.

**Figure 21: Volume of Adult complaints received by team**



4.4 Most of the complaints to teams remained at a similar number to 2018/19; however, complaints to the People with Disabilities and Older People’s team increased from five to 11 and complaints to the Hospital team rose from one to seven. Teams provide care and support to the highest number of residents on a day to day basis and it is understandable that they receive the highest numbers of complaints

4.5 It is worth noting that the overall number of complaints for adult social care is very low compared to the number of people that are supported. Whilst the most complaints were dealt with by the People with disabilities and Older people’s team, 11 (41% of all adults complaints), at any one time in the year, 1,400 people are supported by this team.

4.6 A number of the complaints were about the information provided to service users and families in respect of the charging process. A review of how this information is provided will be undertaken in 2020/21 to ensure the process is more understandable and effective.

4.7 The number of complaints received by the council relating to external care providers (domiciliary care providers and care homes) has fallen from six to one or 32% to 4% of all adult complaints and is low compared to the number of people being provided with ongoing support- domiciliary providers deliver over 3,500 hours of care per week to 350 people in the community.

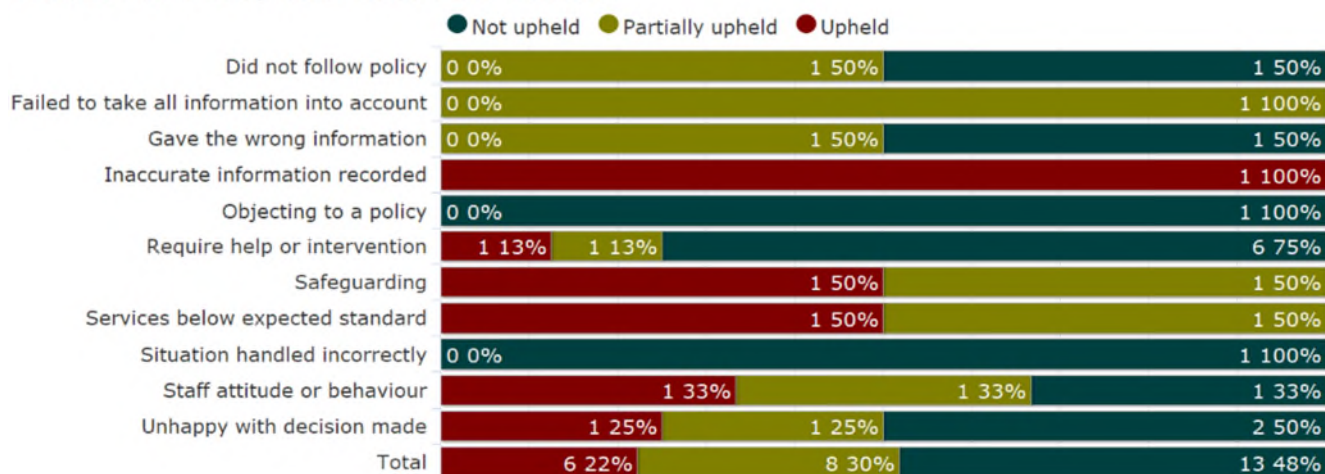
4.8 All complaints received relating to these external providers are managed through the contract monitoring process. Over the last year, the council and Optalis have worked in close and regular collaboration with the main providers, looking at their care practice and working with them to facilitate improvements in the management and delivery of their care services. Any issues or concerns arising from care delivered in the community are openly discussed between the provider and the council, or the provider and the person receiving the care service, so that improvements and changes can be made and agreed informally, wherever possible, without recourse to the complaints process.

## Themes and outcomes

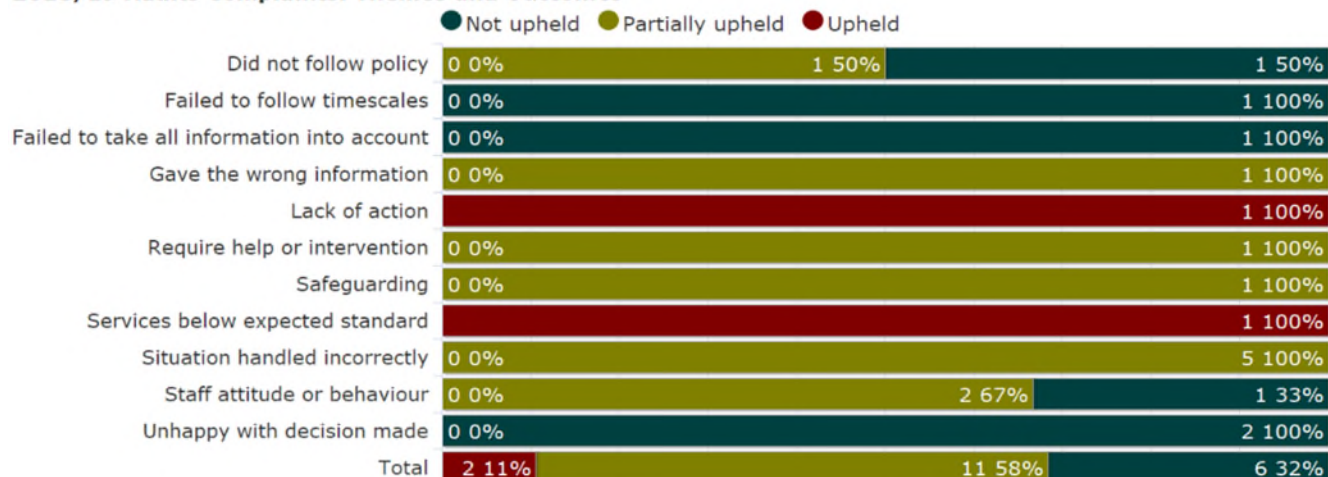
- 4.9 Figure 22 details the volume and percentage of complaints received to the Adults complaints process with a breakdown of both theme and outcome for both 2018/19 and 2019/20.

**Figure 22: Breakdown of Adults complaints by theme and outcome**

### 2019/20 Adults Complaints: Themes and Outcomes



### 2018/19 Adults Complaints: Themes and Outcomes



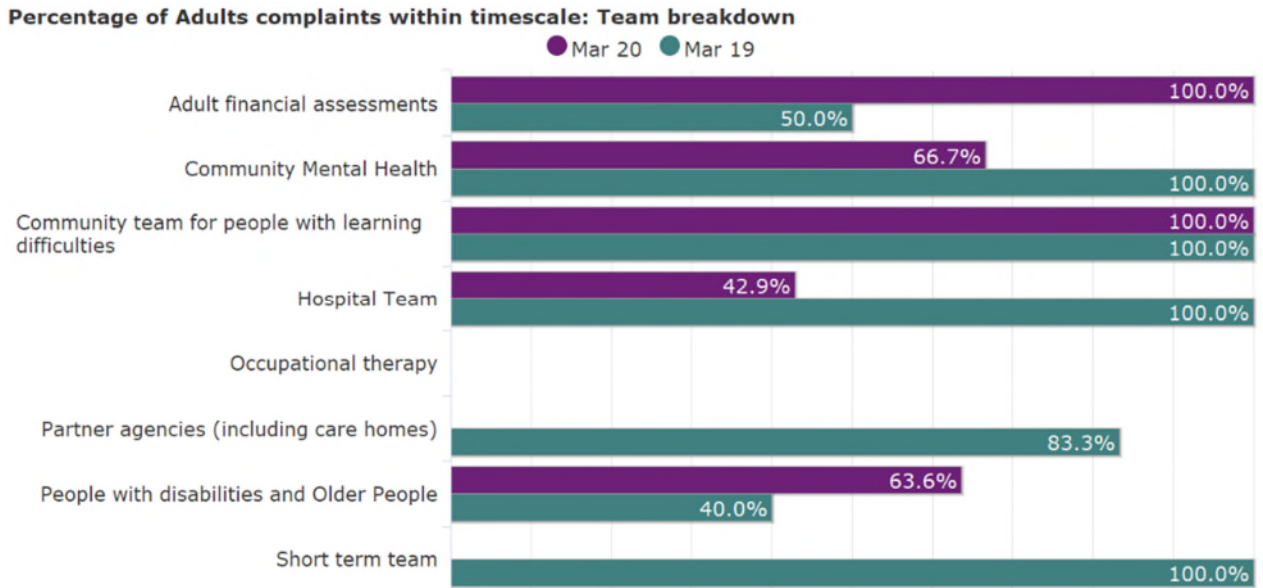
- 4.10 The highest number of complaints received were recorded under the theme of 'require help or intervention'. This is double the next highest theme. Most of the complaints in this category did not actively request a complaint; many were requesting an explanation of some issue that was not understood, for example invoicing. The need for clearer information and explanation has already been identified as a priority for 2020/21. In addition, work will be undertaken with the complaints team to refine the categories for complaints to better identify emerging themes that need addressing.

## Timescales

- 4.11 Although there is no specified limit for statutory complaints about adult social care, the council's target for dealing with adult services complaints is 10 to 20 working days. This timescale may be increased for complaints that are particularly complicated. Of the 27 complaints received during 2019/20, 56% (15) were responded to within agreed timescales. This is a drop from 2018/19 where 74% were responded to within timescales. Figure 23 provides a breakdown of responses within timescale for each team.



**Figure 23: Percentage of complaints dealt with within timescale**

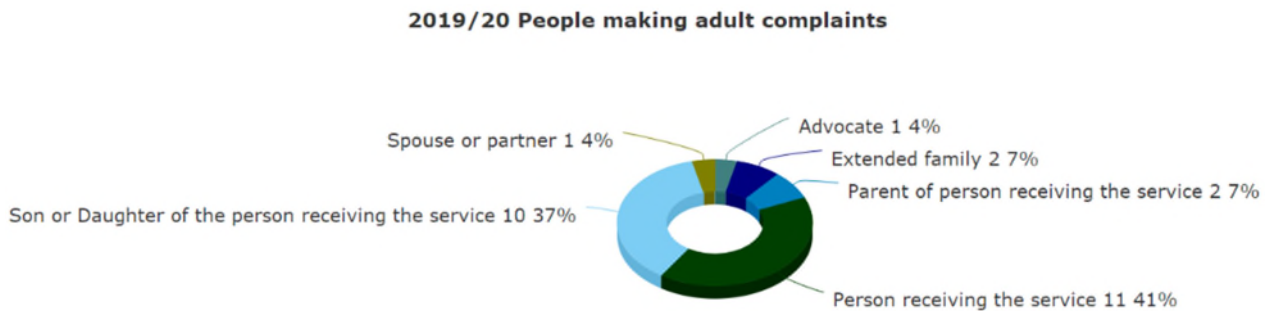


4.12 The response times in 2019/20 were longer due to staffing capacity pressures and the complexity of some of the complaints. Complaints in the hospital team primarily involved charging and finance matters which were complex to resolve. The service will review the process for managing these complaints and how the timescales are set to ensure that performance is more optimal going forward. It is of note that the percentage of complaints fully or partially upheld reduced from 2018/19 which indicates that more initial decisions were correct.

**Complainants**

4.13 The majority of complaints made in 2019/20 were by the person receiving a service, followed by the son or daughter of the person receiving the service. Figure 24 provides a full breakdown.

**Figure 24: People making adult complaints**



**Complaints and enquiries to the LGSCO**

4.14 The LGSCO made decisions about nine complaints and enquiries for adult services that were referred to them following complaints that were made about services provided by or on behalf of adult social care. Four were decided following detailed enquiries and of these, four were upheld. The remaining five were closed without a full investigation. See appendix 1 for details on decisions.

4.15 This is half the number of decisions about adult service that were decided by the LGSCO in 2018/19.

4.16 It is pleasing that the number of LGSCO decisions has reduced since 2018/19 largely due to more robust local investigation. However, in four cases, the Ombudsman upheld the complaint, which indicates a need to keep our approach under review.

**Learning from complaints**

4.17 There were four key areas of learning from complaints in 2018/19 and an update on implementation is:

**Day centre:**

- The service has been asked to re-look at their procedure when customers go into hospital, to ensure that the process is clear for all staff to follow, with a simple check list in place.

Following a complaint, the service implemented a simple check list to ensure that staff were clear on the procedure to be followed when a service user went into hospital. The checklist is fully embedded and forms part of the induction training for new staff. There have been no further complaints on this subject.

**Domiciliary care:**

- The council has implemented an action plan to improve the service from a care agency. This includes monitoring the care agency’s daily records for three months to ensure it is delivering the service expected

Further intensive support measures were introduced, including monthly meetings with the care agency, facilitated by the council and Optalis; and quality monitoring across all aspects of the care agency’s practice. Since then, the service has significantly improved. Sample monitoring of daily records forms part of the ongoing contract monitoring for all providers. Complaints regarding domiciliary care have dropped from 32% to 4% of all adult complaints.

**People with Disabilities and Older People’s Team and General training:**

- Training was successfully delivered around duties under the Care Act 2014 and the Mental Capacity Act 2005 and refresher training is built into the ongoing training and development programme.
- There is ongoing training with staff to ensure that any issues are resolved at the earliest point to prevent complaints arising.

Mental capacity is discussed in supervisions, team meetings and on a case by case basis. Staff are supported by seniors and service managers. The team are also in the process of securing new training for all new staff. Refresher training will also be available.

Evidence from 2019/20 complaints suggests that more work is required and this is a priority for the new Director of Statutory Services in Optalis

4.18 Table 5 picks up some of the learning across adult services during 2019/20.

**Table 5: Learning from adult complaints during 2019-20**

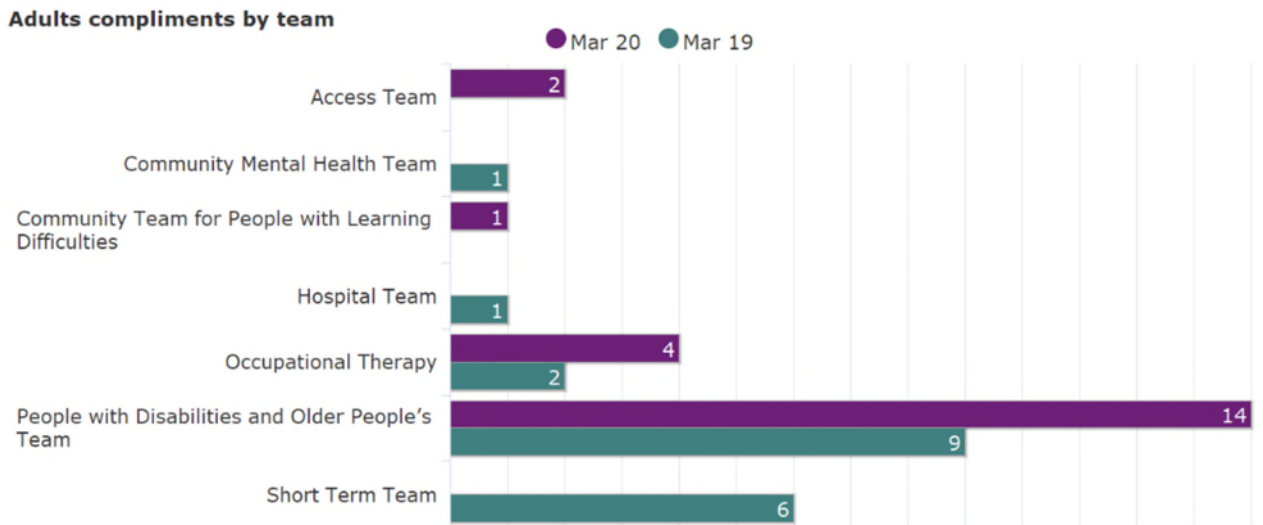
Complaint area	Actions and learning
Day centre	<ul style="list-style-type: none"> <li>• The service has implemented a simple check list, which includes ‘can the service be safely manned</li> </ul>

Complaint area	Actions and learning
	by reducing staffing levels to escort a customer'.
General	<ul style="list-style-type: none"> <li>We have introduced a Quality Assurance Panel that assures senior management that the Every Step Together (EST) approach is fully understood and provides checks that carers and relatives are included at all stages and in all aspects of a person's life.</li> </ul>
General	<ul style="list-style-type: none"> <li>Introduction of the Strength Based Approach: Optalis QA team visit providers on a regular basis, they check recording when visiting the home in order to ensure that the home is compliant with CQC requirements and those required by RBWM commissioners of service. Should they feel that communication of this nature is lacking in any way then they will inform the responsible manager.</li> </ul>
Too many complaints are exceeding agreed timescales.	<ul style="list-style-type: none"> <li>The service will introduce a revised quality assurance and process monitoring framework to ensure that complaints are responded to in a timely way by September 2020</li> </ul>
Services provided by an external domiciliary care agency that had been sub-contracted to another provider	<ul style="list-style-type: none"> <li>The council now commissions all care directly, it does not allow providers to subcontract and all providers are monitored directly</li> </ul>
Some complaints indicate potential variability in information provision to services users and families.	<ul style="list-style-type: none"> <li>The service will introduce a revised quality assurance and process monitoring framework to ensure that information is provided to services users and families in a clear and consistent manner by September 2020</li> </ul>

### Compliments

4.19 Adult services received 21 compliments during 2019/20. This is similar to 2018/19 when there were 19 compliments received. Figure 25 shows the breakdown of compliments across adult services.

**Figure 25: Compliments by service**



- 4.20 As with complaints, the highest number of compliments received were for the people with disabilities and older people's team.
- 4.21 There were 21 compliments in 2019/20, which was similar level to 2018/19. This compares with higher compliment numbers in 2017/18 where 57 compliments were recorded. It is not clear why the number of compliments has fallen; but is possible that they are not being passed to the compliments and complaints team for logging. Reminders to send compliments on is being reiterated in team meetings and it is hoped this will be reflected in next year's annual report.
- 4.22 Table 6 shows examples of compliments received across adult services.

**Table 6: Examples of compliments received**

Service	Compliment received
Duty	<ul style="list-style-type: none"> <li>• He commented that RBWM adult social services are "knocking it out of the park". He stated he's had such a speedy and positive experience since walking into the reception on Friday and has felt supported.</li> </ul>
PDOPT	<ul style="list-style-type: none"> <li>• This is more than ok. I cannot express my thanks to you for organizing this. You have been brilliant, and I would appreciate you sharing this email with your Manager. You really are a credit to your organization- thank you.</li> </ul>

## 5. CHILDREN'S SERVICES

### Overall children's complaints summary

- 5.1 In 2019/20 there were 54 children's complaints, 19 of these followed the statutory children's complaints process and 35 followed the formal corporate complaints process. This compares to 38 children's complaints in 2018/19 (28 statutory and 10 corporate).

#### Internal process

- 19% of complaints were upheld
- 44% of complaints were partially upheld
- 17% of complaints were not upheld
- 56% were responded to within timescales.
- 63 compliments were received

#### External process

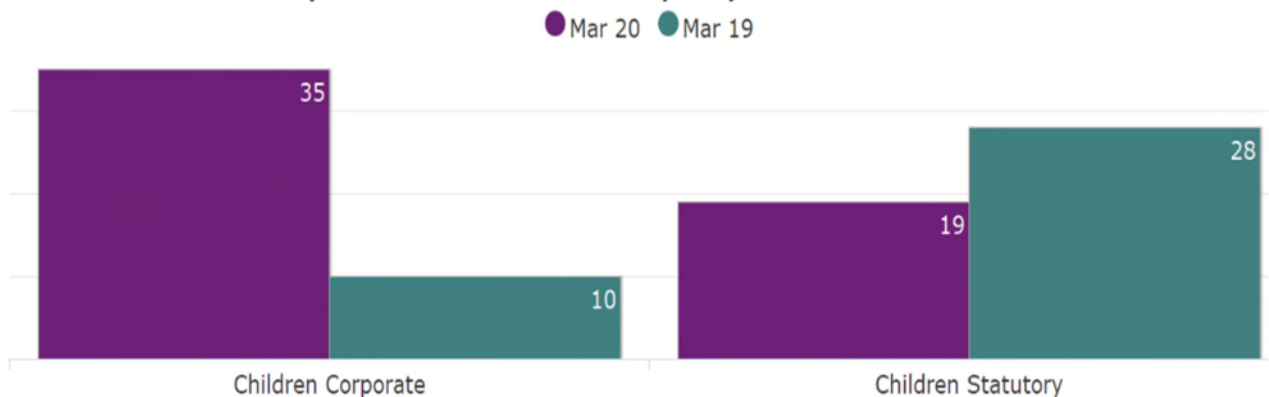
- four complaints or enquiries were decided by the LGSCO.
  - two were fully investigated
  - None were upheld
  - two were not upheld.

### Complaints received

- 5.2 Figure 26 provides a breakdown of the total volumes of Children's Statutory and Children's Corporate complaints received in both 2019/20 and 2018/19. There is a change seen in the balance of complaints with a drop in children's statutory complaints (from 28 to 19) and a rise in children's corporate complaints (from 10 to 35).

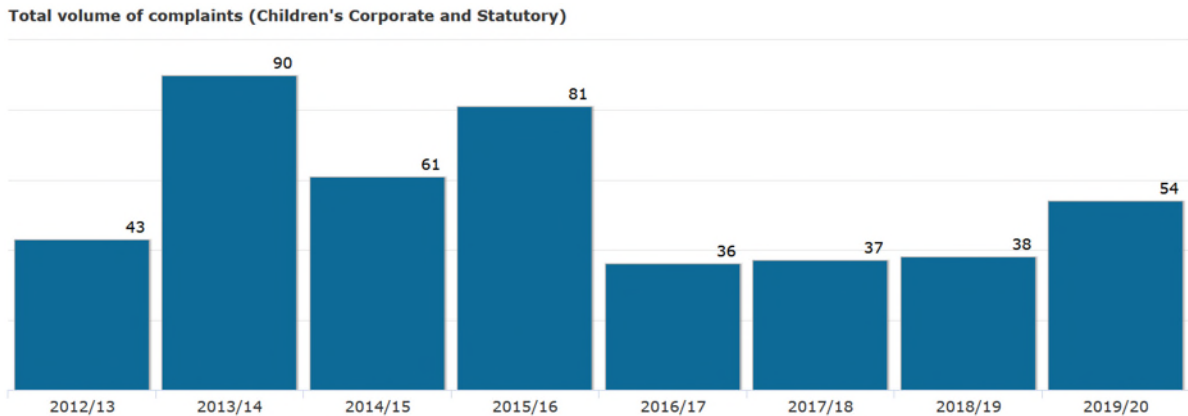
**Figure 26: Children Services overview**

**Volumes of Children's Corporate and Children's Statutory complaints**



- 5.3 The number of complaints relating to children's services has varied over the last eight years, peaking at 90 in 2013/14, see Figure 27 for an annual breakdown for the period 2012/20.

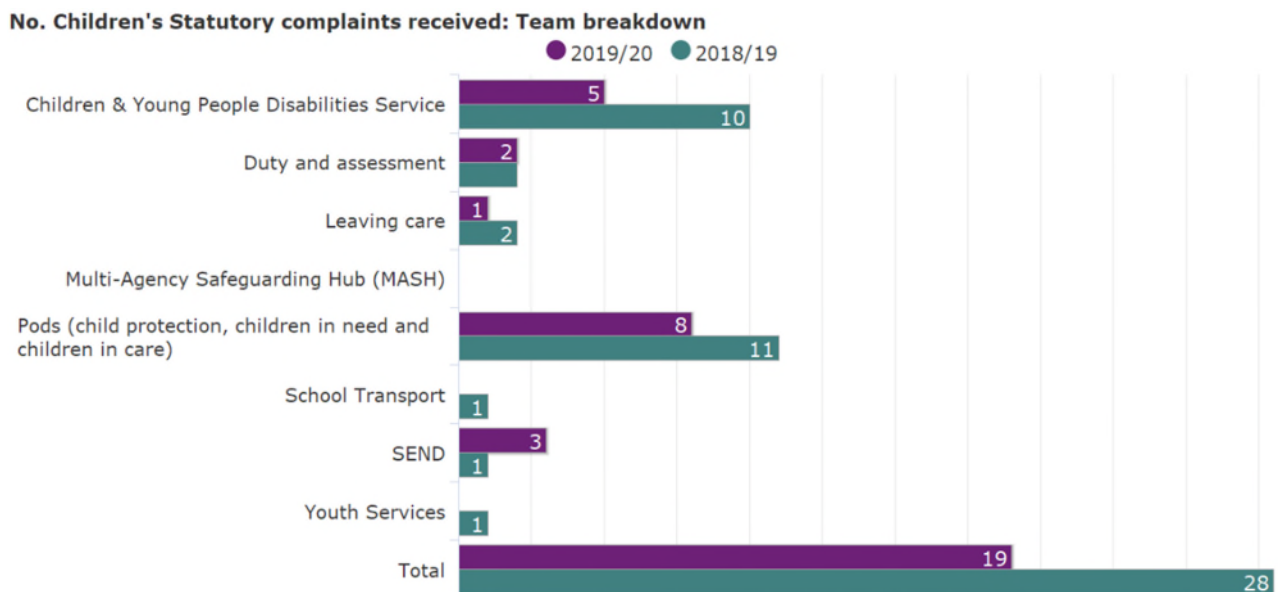
**Figure 27: Complaints received comparison 2012/13-2019/20**



5.4 The rise is seen mainly in the number of complaints to the SEND team, where the number of complaints rose from 7 to 17 (3 statutory and 14 corporate). There was some churn in staff during 2019/20. The team is more stable now and this should be reflected in next year's annual report.

5.5 Figure 28 provides a breakdown of Children's Statutory complaints by team.

**Figure 28: Statutory complaints received in 2019/20 and 2018/19**

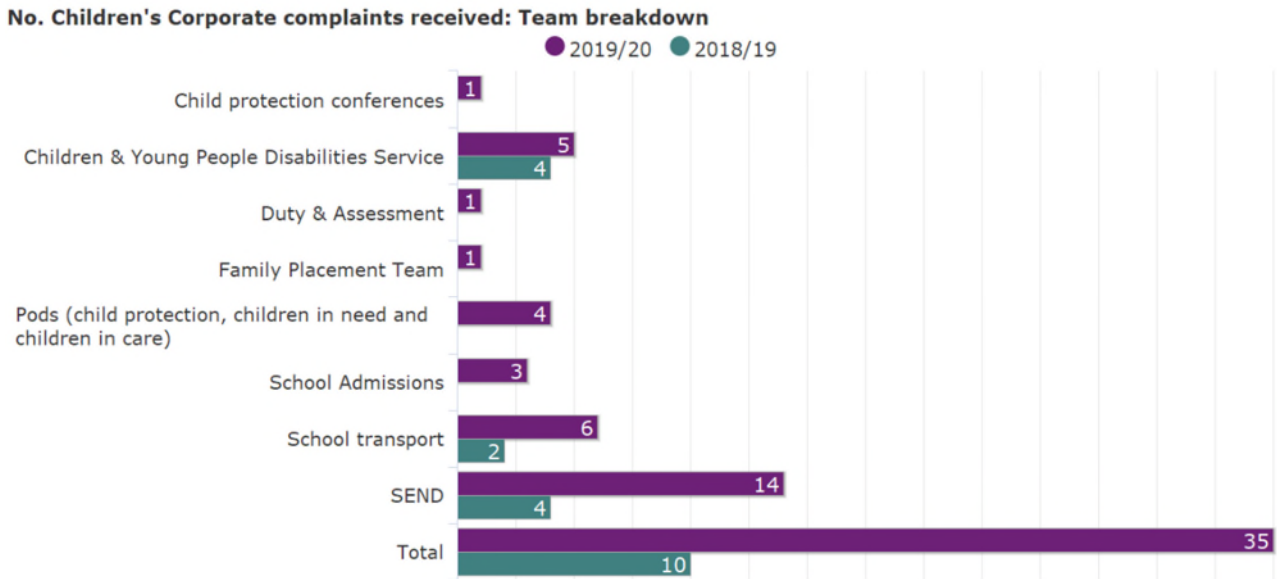


5.6 Statutory complaints are taken where a complaint is made by or on behalf of a child or young person who is receiving a statutory service from children's social care. In 2019/20, the majority of statutory complaints received related to Pods, with slightly fewer in CYPDS. These teams carry the majority of statutory cases.

5.7 During this year there was a high turn-over of staff and this has had an impact on the consistent delivery of some of our services, leading to associated complaints. It also had an impact on how complaints have been responded to, due to the movement of managers. However, we now have a more stable staff group, particularly managers and this in itself should lead to a more consistent delivery of services and response to complaints.

5.8 Figure 29 provides a breakdown of Children’s Corporate complaints by team.

**Figure 29: Corporate complaints received in 2019/20 and 2018/19**



5.9 Children’s corporate complaints are taken where a complaint is made by or on behalf of a child or young person who does not receive a statutory service from children’s social care, or where the complaint is not on behalf of the child or young person. The majority of children’s corporate complaints received related to the SEND team. This has more than doubled since 2018/19. These varied from complaints about school placements to delays in completing a child or young person’s Education Health and Care Plans (EHCPs).

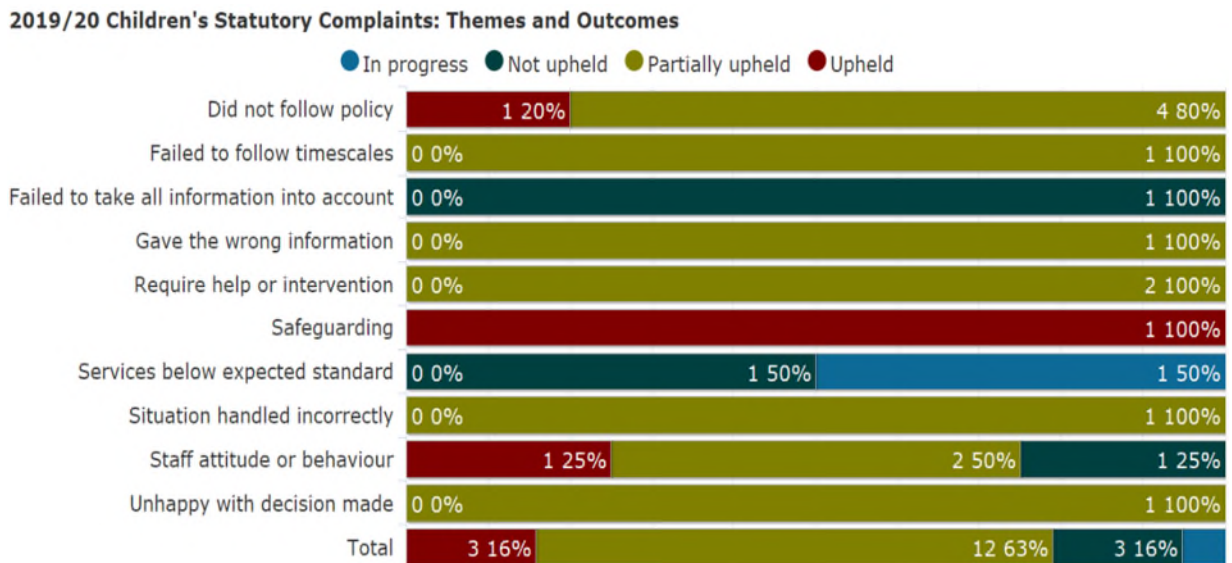
5.10 There are approximately 1000 children with EHCPs and there has been a significant national growth in the demand for these from schools and parents. The SEN Code of Practice states that we have to take into account the efficient use of public resources when identifying school placements, which can cause disappointment and dissatisfaction for some families when we aren’t able to agree with their school preference. In a year of significant staff turnover there have also occasionally been delays in the management of some cases, which has impacted on the number of complaints received within this service. The service’s staffing is now more settled, and training is in place, so it is anticipated that this will be reflected in the number of complaints reported in next year’s annual report. Where any service deficit has impacted upon the young person we have acknowledged this and apologised to the family.

**Themes and outcomes**

5.11 Figures 30 and 31 set out the themes of children’s statutory and corporate complaints during 2019/20. Themes of complaints are in the main self-selected by the person making a complaint and not all complaints fit neatly into a single category. In 2019/20 there was one children’s corporate complaint relating to staff attitude or behaviour where there was no finding as a result of insufficient evidence. There was one children’s corporate complaint regarding failure to follow timescales which was still in progress at the time of this report’s preparation, and therefore there is no outcome listed. Similarly, there is one children’s statutory complaint relating to services below expected standard that was in progress at the time of this report’s preparation and therefore there is no

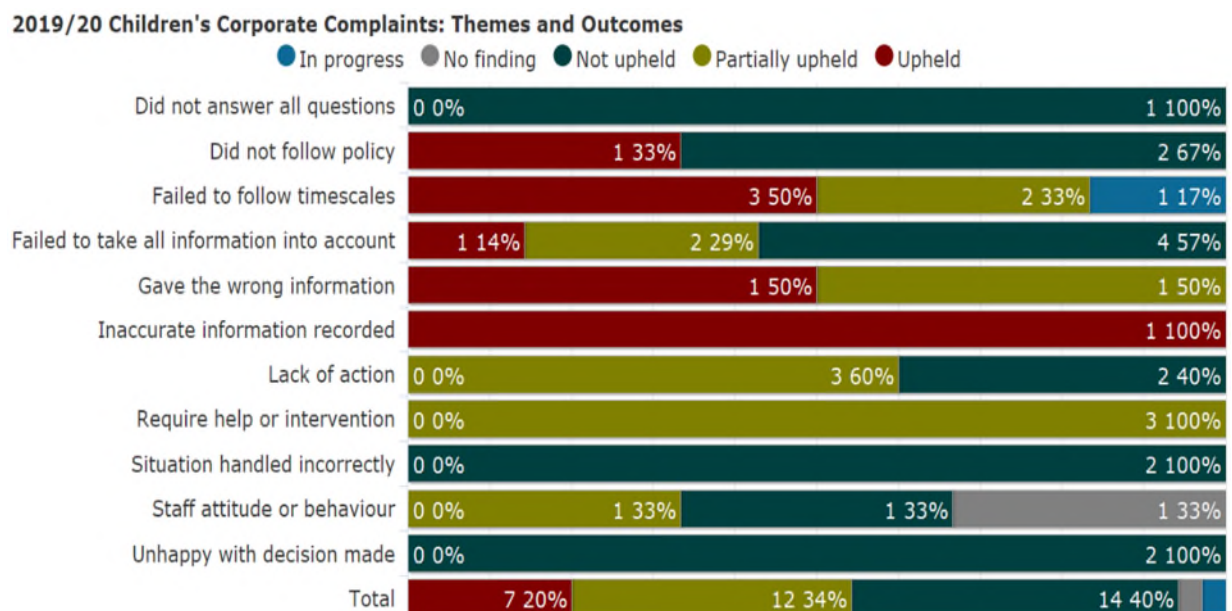
outcome listed.

**Figure 30: 2019/20 Children’s Statutory complaints by theme and outcome**



5.12 For children’s statutory complaints, the highest volume of complaints received related to the theme “did not follow policy” (5), followed by “staff attitude or behaviour” (4). Although the numbers are small, they are indicative of many of the complaints received where they may be differences of opinion between families and the teams they are working with. It is also noted that only two of these seven complaints was fully upheld.

**Figure 31: 2019/20 Children’s Corporate complaints by theme and outcome**



5.13 For children’s corporate complaints, the highest volume of complaints received related to the theme “failed to take all information into account” (7), followed by “failed to follow timescales” (6) and “lack of action” (5). When a parental school preference is not agreed the complaint is often that the service has failed to take all information into account, even though all information has been considered when reaching a view. In other cases the relevant information was not made available at the time of the original



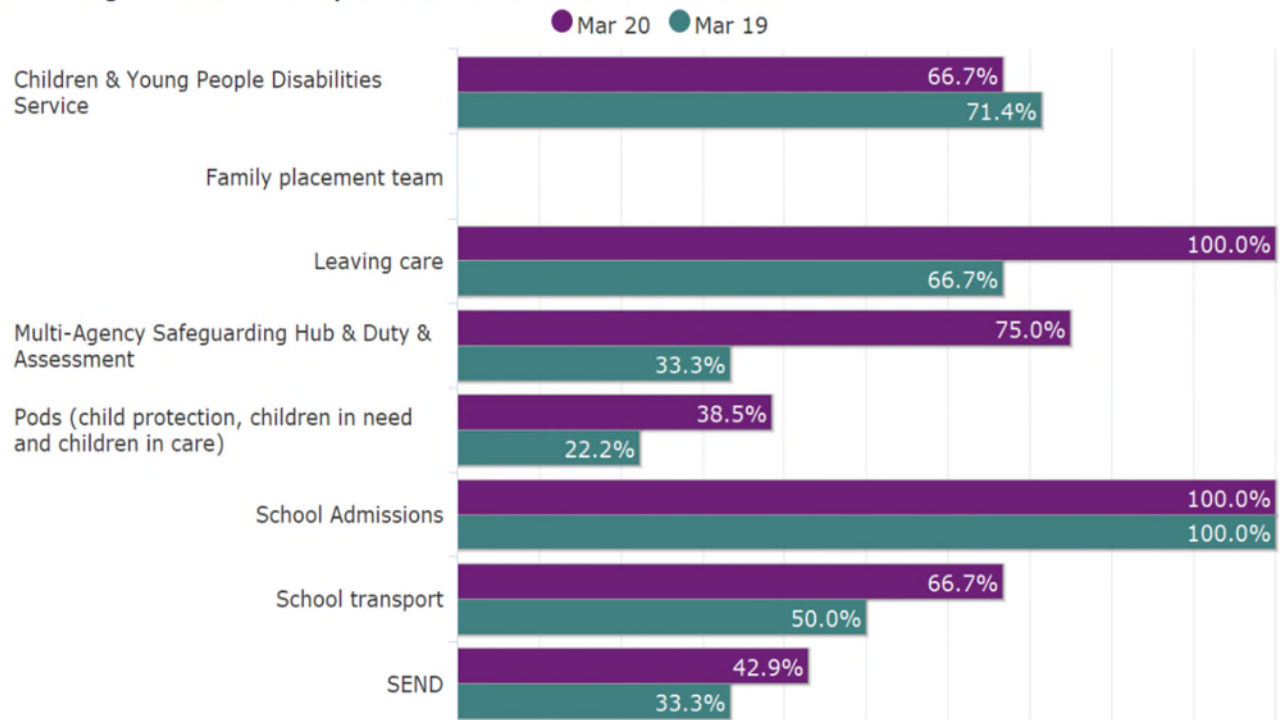
decision.

### Timescales

- 5.14 The timescale for dealing with children’s statutory and children’s corporate stage 1 complaints is 10 working days. However, this can be extended to 20 working days for more complex complaints or if additional time is required.
- 5.15 Figure 32 details the number and percentage of complaints responded to within timescales for each service.

**Figure 32: Response timescales**

**Percentage of Children’s complaints within timescale: Team breakdown**



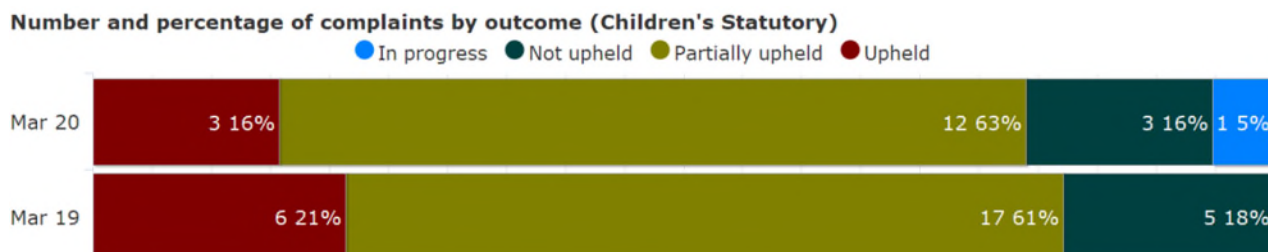
- 5.16 Of the 54 complaints that were received during 2019/20, 56% were responded to within timescales, which is an improvement from 2018/19 when 47% were responded to within timescales
- 5.17 Those responding to complaints are advised to give sufficient time to respond to the complaint and to ensure that all elements of each complaint are addressed. Based on this, some complaints have not been upheld, because there is limited evidence to support them. However, complaints will be upheld if there is evidence to demonstrate that actions fell short of our usual high standards
- 5.18 The complaints and compliments team continue to send weekly reports of outstanding complaints to heads of services and directors. They also meet with the managers investigating complaints to clarify the complaint and ensure the scope of this is understood. Staff have provided some reassuring feedback on the relationship with the complaints team and this collaborative relationship has had a good impact on timeliness and quality.

### Outcomes

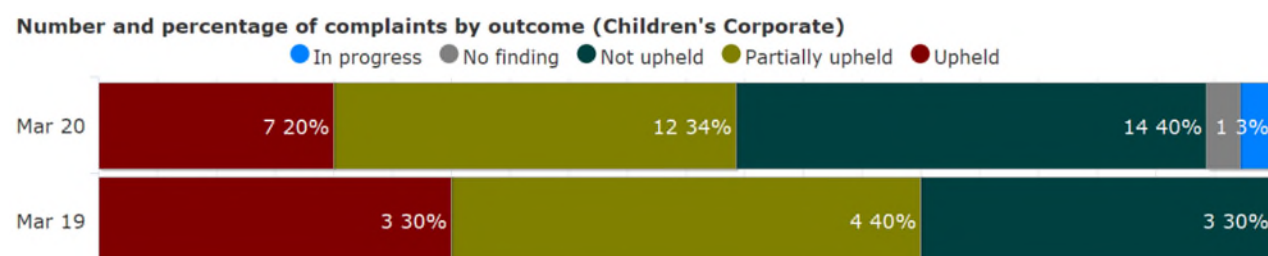
- 5.19 See Figure 33 for the breakdown of children’s statutory complaints by outcome and Figure 34 for the breakdown of children’s corporate complaints by outcome. It should

be noted that at the time of this report's preparation one Children's Statutory complaint was still in progress and so an outcome is not shown here. Similarly, there is one Children's Corporate complaint still in progress and one where there was no finding as a result of insufficient evidence.

**Figure 33: Outcome of children's statutory complaints**



**Figure 34: Outcome of children's corporate complaints**

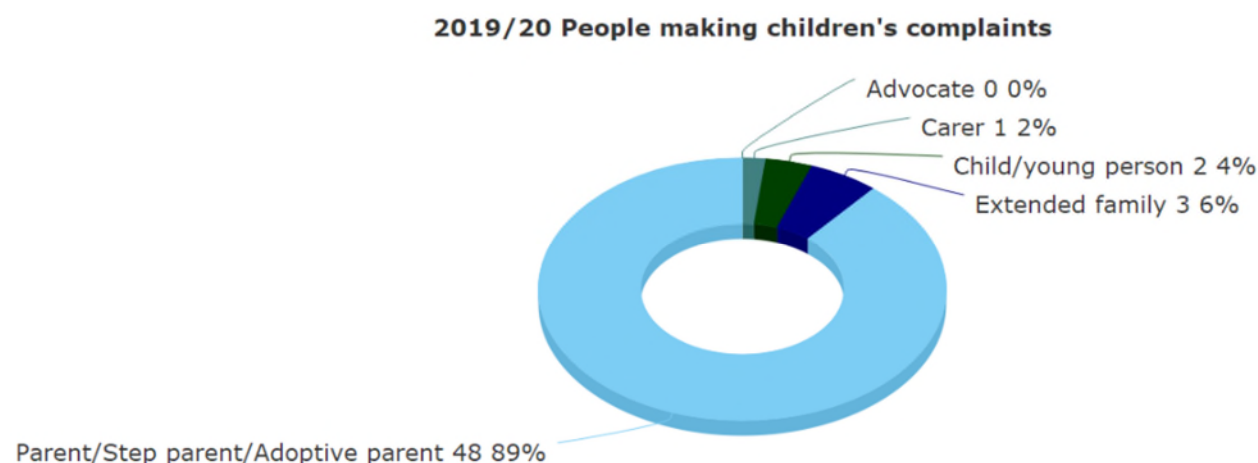


5.20 Achieving for Children as a learning organisation take complaints that have an element of wider learning which are used as examples to improve practice

**Complainants**

5.21 The vast majority of complaints (89%) made in 2019/20 were by parents. Two formal complaints were made by young people, no complaints were made by advocates. Figure 35 provides a breakdown of complainants.

**Figure 35: People making children's complaints**



**Stage 2 complaints**

5.22 Seven complaints were resolved at stage 2 during 2019/20. Two of these were investigated under the statutory children's complaints process; both were partially upheld. Five were investigated under the children's formal corporate complaints

process; two were fully upheld, one was partially upheld and one was not upheld. One statutory complaint remains in progress.

- 5.23 Zero statutory complaints were resolved at stage 3 in 2019/20.
- 5.24 Complaints resolved under the formal corporate complaints process are reported within the children’s services annual report to give an overview of all complaints about children’s services.

**Complaints and enquiries to the LGSCO**

- 5.25 The LGSCO made decisions on 10 enquiries regarding complaints for children’s services during 2019/20. None of these decisions was upheld, six were referred back for local resolution, one was closed after initial enquiries, one was invalid and two were not upheld. See appendix 1 for details on 2019/20 decisions.

**Representations**

- 5.26 Representations are comments by children and young people, normally within a child’s review. These can be positive or negative and are acted upon by referring these comments to the social care team working with the child or young person so this can be acted upon and responded to by that team.
- 5.27 A new electronic feedback system for seeking feedback from children, young people and families is now in place, although it is still early days. This will replace the ad hoc arrangements that previously existed for gathering feedback. One week in every month, those who attend child protection conferences and reviews for children in care are also asked to complete an electronic feedback form. Feedback was also received from our children in care and care Leavers in February 2020 in the form of a questionnaire. The Director of Social Care and Early Help continues to offer to meet with any child or young person who makes a formal complaint.
- 5.28 If a child or young person makes a complaint they are supported to appropriately use the compliments and complaints service.

**Case concerns**

- 5.29 In addition to complaints under the children’s services statutory complaints and the formal corporate complaints processes, we have captured information regarding case concerns. Case concerns are recorded when an issue has been raised with the complaints and compliments team but has been dealt with informally by children’s services.
- 5.30 Figures for case concerns do not count towards the overall number of complaints but are useful to help identify issues and help promote timely resolutions. In addition they can show if there is a pattern if a complaint is raised later.
- 5.31 In 2019/20 there were 11 case concerns recorded. Table 7 shows the split across children’s services for case concerns received.

**Table 7: Case concerns across children’s services 2019/20**

Leaving care	Pods	CYPDS	MASH/Duty and Assessment
1	3	3	4

**Learning from complaints**

- 5.32 There were four key areas of learning from complaints in 2018-2019 and an update on

implementation is:

### **Children and young people disability service**

- Consideration will always be given to each parent regarding sharing of email content and other information between separated parents without agreement, unless there are immediate safeguarding concerns.
- Further documentation is being developed to clarify the difference between supported contact, rather than supervised contact for young people over 18 years of age.

There have been no further complaints on these issues in 2019-20.

### **Leaving Care team**

- The Local Authority now have a designated 16+/ Care Leavers team which will ensure that young people in care and young asylum seekers are given the right support and work is progressed as quickly as possible.

This is embedded and progressing to 15+ which will support even better and earlier focus for young people in care. Although small numbers, complaints against the 15+/Care Leavers team have dropped from two in 2018/19 to one in 2019/20.

### **Pods**

- Any Child in Need meetings or similar is now chaired by a Manager.
- Within Team Meetings we have discussed with the managers and staff the importance of agreed actions being followed up within timescales, alongside realistic timescales being initially set.

CiN Meetings were discussed at a huddle and it was agreed that ATM's/TM's will chair the first CiN Meeting and the midway review CiN meeting. The number of statutory complaints to children's services fell in 2019-20.

### **General**

- Actions from responses are now being captured. Meetings are being put in place with the complaints team in order to ensure that all learning is captured and acted upon.
- Actions and recommendations have been raised with teams for updating as learnings from complaints.

There is now a mechanism for the children's teams to keep the compliments and complaints team updated with regards to actions.

5.33 Table 8 sets out learning from children's complaints

**Table 8: Learning from children's complaints**

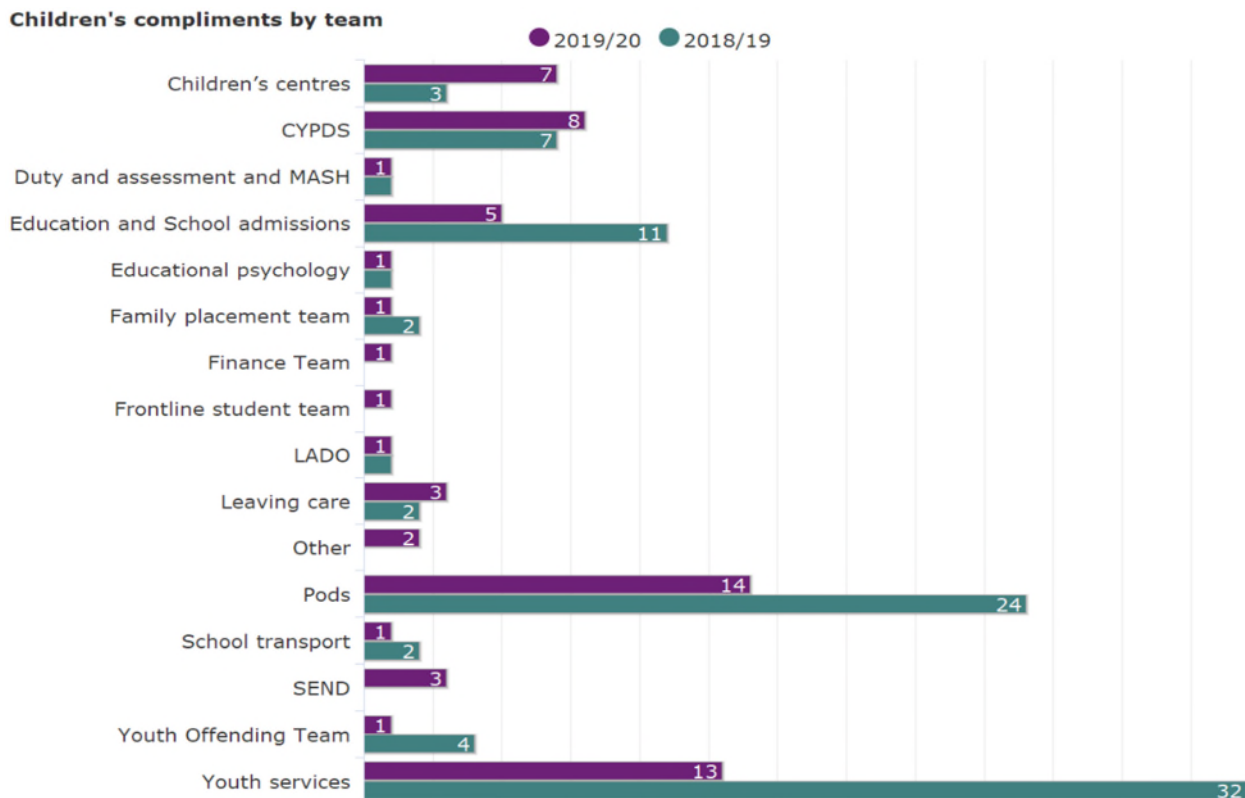
<b>Complaint area</b>	<b>Actions and learning</b>
Children and young people disability service	<b>OT Service</b> <ul style="list-style-type: none"><li>• The organisation has had a discussion with our key partner agencies i.e. Health to try and address the issue that we are facing in recruiting and retaining an Occupational Therapist.</li></ul>
SEND	<ul style="list-style-type: none"><li>• All final EHCPs are forwarded to the CYPDS inbox after signing so they can be sent out promptly.</li><li>• Ensure that we approach a number of potential school</li></ul>

Complaint area	Actions and learning
	<p>placements at the same time rather than on an individual basis to minimise the time taken.</p> <p>Keep parents better informed about the placement search process and the likelihood of schools being able to offer a place so that parents do not spend time visiting schools unnecessarily.</p>
Pods	<ul style="list-style-type: none"> <li>• Grandparents are clearly made aware of whether they are expected to supervise contact between their grandchildren and their parents and have a written agreement in place to reflect this.</li> <li>• Revisited the training offered in respect of our duties as part of the transition into adulthood. This included expectations around the reviewing of packages of care and support.</li> <li>• We are exploring how as a service for our Children in Care we can centralise all the Pod arranged contacts through the Contact Service to ensure consistency across the board and have contingency plans, should circumstances change. Our Contact Service supports with all contacts for looked after children that are placed out of area. This will ensure better oversights and communication to ensure contacts can run efficiently. We encourage staff to think more creatively on how we can keep consistency for our children in care.</li> </ul>
Transport	<ul style="list-style-type: none"> <li>• CYPDS staff received further training from School Transport around the transport application process and criteria.</li> </ul>
CYPDS	<p><b>Respite support packages:</b></p> <ul style="list-style-type: none"> <li>• Review of communications with parents around the internal panel process.</li> </ul>

### Compliments

5.34 63 compliments were recorded for children's service in 2019/20. This is lower than the 90 compliments recorded in 2018/19. It is not clear why this is, however, teams within the organisation will continue to be encouraged to share compliments they receive with the compliments and complaints team so that they can be logged. Figure 36 provides a breakdown of compliments received by team.

**Figure 36: Number of compliments by children’s services teams**



5.35 Table 9 shows examples of compliments received across children’s services.

**Table 9: Examples of compliments received**

Service	Compliment received
Youth Service	<ul style="list-style-type: none"> <li>In December 2018 a review was undertaken and it was decided that our child didn’t need any support from Social Services. The Social Worker offered a referral to a Youth Worker, [...] who contacted us immediately by phone to introduce himself and arrange to meet with our child. He was very accommodating and was able to meet within a week. Our child was very positive after the first meeting and arranged for a follow up session. We are only disappointed that our child couldn’t have been referred to a youth worker many months ago when unable to attend school and would have really benefited from the support.</li> </ul>
SEND	<ul style="list-style-type: none"> <li>We would like to express our Thanx and heartfelt appreciation for the time, Care and genuine accuracy taken over our sons report for submission to the borough for his EHCP. It reads brilliantly and takes into account All the expert reports as well as our thoughts And experiences as his parents, as well as your skill and time spent with him at our home. We could not have asked for More. Thank you ...</li> </ul>
Leaving Care	<ul style="list-style-type: none"> <li>I can't imagine anything greater than catching my dream. I also can't imagine having all these achievements without your help and support. It's been four long years for me waiting for this day to say a huge thank you to you, for all your encouragements,</li> </ul>

Service	Compliment received
	guidance, emotional and financial supports. You are the best person out there.
Frontline	<ul style="list-style-type: none"> <li data-bbox="448 282 1428 642">• We really don't know where to start to say thank you. Your professional caring and understanding manner towards us has ensured we have one very happy little child. You have been such a huge support during tough times. You have constantly been on hand and on the phone. With your help we now have X in a stable environment to face the future ahead. Your guidance is so appreciated. For what you have done, are doing and will continue to do we all thank you from the bottom of our hearts.</li> </ul>

## Appendices

### Appendix A: LGSCO Annual Letter 2019-20

# Local Government & Social Care OMBUDSMAN

22 July 2020

*By email*

Mr Sharkey  
Managing Director  
Royal Borough of Windsor and Maidenhead Council

Dear Mr Sharkey

#### **Annual Review letter 2020**

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2020. Given the exceptional pressures under which local authorities have been working over recent months, I thought carefully about whether it was still appropriate to send you this annual update. However, now, more than ever, I believe that it is essential that the public experience of local services is at the heart of our thinking. So, I hope that this feedback, which provides unique insight into the lived experience of your Council's services, will be useful as you continue to deal with the current situation and plan for the future.

#### **Complaint statistics**

This year, we continue to place our focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have made several changes over recent years to improve the data we capture and report. We focus our statistics on these three key areas:

**Complaints upheld** - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated. A focus on how often things go wrong, rather than simple volumes of complaints provides a clearer indicator of performance.

**Compliance with recommendations** - We recommend ways for authorities to put things right when faults have caused injustice. Our recommendations try to put people back in the position they were before the fault and we monitor authorities to ensure they comply with our recommendations. Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

**Satisfactory remedies provided by the authority** - We want to encourage the early resolution of complaints and to credit authorities that have a positive and open approach to



resolving complaints. We recognise cases where an authority has taken steps to put things right before the complaint came to us. The authority upheld the complaint and we agreed with how it offered to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

This data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 29 July 2020, and our Review of Local Government Complaints. For further information on how to interpret our statistics, please visit our [website](#).

### **Resources to help you get it right**

There are a range of resources available that can support you to place the learning from complaints, about your authority and others, at the heart of your system of corporate governance. [Your council's performance](#) launched last year and puts our data and information about councils in one place. Again, the emphasis is on learning, not numbers. You can find the decisions we have made, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the tool with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

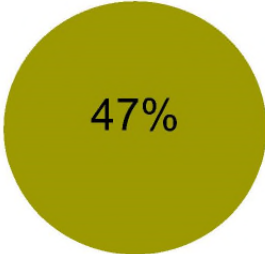
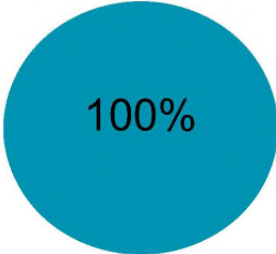
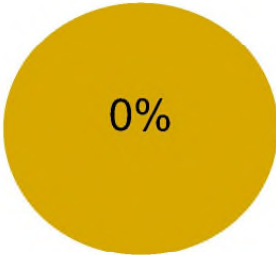
Earlier this year, we held our link officer seminars in London, Bristol, Leeds and Birmingham. Attended by 178 delegates from 143 local authorities, we focused on maximising the impact of complaints, making sure the right person is involved with complaints at the right time, and how to overcome common challenges.

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. During the year, we delivered 118 courses, training more than 1,400 people. This is 47 more courses than we delivered last year and included more training to adult social care providers than ever before. To find out more visit [www.lgo.org.uk/training](http://www.lgo.org.uk/training).

Yours sincerely,



Michael King  
Local Government and Social Care Ombudsman  
Chair, Commission for Local Administration in England

Complaints upheld		
	<p><b>47%</b> of complaints we investigated were upheld.</p> <p>This compares to an average of <b>56%</b> in similar authorities.</p>	<p><b>7</b> upheld decisions</p> <p>Statistics are based on a total of 15 detailed investigations for the period between 1 April 2019 to 31 March 2020</p>
Compliance with Ombudsman recommendations		
	<p>In <b>100%</b> of cases we were satisfied the authority had successfully implemented our recommendations.</p> <p>This compares to an average of <b>99%</b> in similar authorities.</p>	<p>Statistics are based on a total of 5 compliance outcomes for the period between 1 April 2019 to 31 March 2020</p>
<ul style="list-style-type: none"><li>• Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.</li></ul>		
Satisfactory remedies provided by the authority		
	<p>In <b>0%</b> of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.</p> <p>This compares to an average of <b>11%</b> in similar authorities.</p>	<p><b>0</b> satisfactory remedy decisions</p> <p>Statistics are based on a total of 15 detailed investigations for the period between 1 April 2019 to 31 March 2020</p>

## **Appendix B: COUNCIL'S COMPLAINTS PROCESS AND PROCEDURES**

The principle behind the council's complaints procedure is to ensure that every opportunity for resolution is sought through dialogue or local resolution before a complaint is submitted. Where agreement is not achieved someone has the right to complain and the complaints process has different stages dependant on the area of service the complaint is about.

Complaints made about the council's services are dealt with under three processes. The formal corporate complaints process for general council activity such as: council tax; housing; highways; communications; democratic services and so on; and the statutory adult and statutory children's processes.

The different complaint processes have different stages, however regardless of which policy a complaint is investigated under, or the outcome, the complainant still has the right to refer their complaint on to the Local Government and Social Care Ombudsman. The different stages are:

The formal corporate complaints process contains two stages.

- The adult complaints process contains one stage
- The children's complaints process contains three stages.

Although customers can refer complaints to the Local Government and Social Care Ombudsman (LGSCO) at any stage, the LGSCO will not normally investigate until the council have exhausted their complaints processes.

Complaints are made by email, phone call, letter, face to face or by logging the complaint online. All complaints received, along with comments and compliments, are recorded on the council's complaints database (Jadu). The Jadu system provides for compliments and complaints to be captured by number, types, themes, postal address and timeliness of complaint.

The council's complaints policies are intended for use by service users, customers, residents, businesses and visitors or their chosen representatives, which may include councillors.

The council's complaints process is managed through one team. This means the team is independent of the two statutory adult and children's services, ensures independence from services, removes the possibility of conflicts of interest and secures impartial challenges.

### **Quality assurance**

Effective complaint management is crucial to allow confidence on the part of complainants to submit complaints in the understanding that the council will take these seriously and respond.

When a complaint is received the complaints and compliments team focus on ensuring:

- The process for investigating the complaint is followed and on time.
- Complaint responses answer the questions asked and are clear and easy to read.
- Lessons learned and recommendations are captured to secure continual improvement – this includes one to one training/advice/meetings with relevant employees providing them with support and guidance on how best to resolve a complaint.
- Any actions or recommendations are noted on Jadu and monitored.

## Complaints processes

	Adult services complaints	Children's services complaints	Corporate complaints	Not within the formal complaints process
Incoming concern	Received via online form, email, telephone call or face to face contact. However received, all complaints are logged on the complaints database (Jadu) for monitoring and tracking. Once logged the complaint is acknowledged within 3 working days and customer informed whether this will be taken as a complaint and if so, under which complaints process			
Stage 1	<b>Statutory</b> No specific timescale but aim to respond within 10 working days. Response from Service Manager or higher.	<b>Statutory</b> Up to 10 working days. Can agree extension for a further 10 working days. Response from Head of Service.	Up to 10 working days. Can agree extension for a further 10 working days. Response from Head of Service.	N/A
Stage 2	N/A	<b>Statutory</b> 25-65 working days. Completed by independent complaints investigators and report produced. Adjudicating letter in response to report completed by Children's Director of Social Care.	Up to 20 working days. Review of stage 1 complaint and response by Director.	N/A
Stage 3	N/A	<b>Statutory</b> Stage 3 independent panel. Up to 70 working days. Panel of three independent members who produce a report. Letter in response to the report completed by the Directors of Children's Services.	N/A	N/A
LGSCO	Can complain to the Local Government and Social Care Ombudsman			N/A
Alternative appeal process	N/A	N/A	N/A	Customer given timescales for response

## **Appendix C: NATIONAL AND LEGISLATIVE CONTEXT**

### **Formal corporate complaints**

The council's formal corporate complaints policy is discretionary and has been developed based on the Local Government and Social Care Ombudsman's guidance 'Running a complaints system - Guidance on good practice'.

### **Adult services**

The council has a statutory duty, under the NHS and Community Care Act 1990, to have in place a complaints procedure for Adult Social Care services and is required to publish an annual report relating to the operations of its complaints procedures.

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, the key principles of which 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.

### **Children's services**

The procedure for dealing with children's statutory complaints and representations is determined by the following legislation:

- The Children Act 1989, Representations Procedure (England) Regulations 2006.
- The Children & Adoption Act 2002 and Children (Leaving Care) Act 2000 and
- The accompanying guidance 'Getting the Best from Complaints' (DfE July 2006).

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.'

Under the regulations, the council is required to produce and publish an annual report.

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Report Title:	<b>2020/21 Q1 Performance Report</b>
Contains Confidential or Exempt Information?	No - Part I
Lead Member:	
Meeting and Date:	Corporate Overview and Scrutiny Panel, 29 September 2020
Responsible Officer(s):	Adele Taylor, Director of Resources
Wards affected:	All

www.rbwm.gov.uk



## REPORT SUMMARY

1. The Council Plan 2017-21 and associated strategic priorities remained current up to the 30 July 2020 when Cabinet approved an Interim Council Strategy 2020/21 for immediate adoption. The Interim Council Strategy was adopted in acknowledgement that the Covid-19 pandemic has significantly altered the context in which the Council is currently operating and that resources are now focused in an entirely different way. The priorities and objectives of the approved Interim Council Strategy therefore supersede those of the original 2017-21 Council Plan.
2. Appendix A sets out Q1 performance for all measures relating to the Corporate Overview and Scrutiny Panel's remit under the strategic framework that was current in Q1. Performance of measures related to the Interim Strategy will be reported from Q2 onwards. These reports will also include performance of the measures set out in Appendix A, grouped by the lead service, as it is acknowledged that these measures remain important for the future and so ongoing visibility of trends is desirable.

## 1. DETAILS OF RECOMMENDATION(S)

**RECOMMENDATION:** That the Corporate Overview and Scrutiny Panel notes the report and:

- i) **Notes the 2020/21 Corporate Overview and Scrutiny Panel Q1 Performance Report in Appendix A.**
- ii) **Notes that from Q2 onwards performance of measures relating to the Interim Council Strategy will be reported, along with the measures included in Appendix A which will be grouped by lead service.**
- iii) **Requests relevant Lead Members, Directors and Heads of Service to maintain focus on improving performance.**

## 2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

**Options**

**Table 1: Options arising from this report**

<b>Option</b>	<b>Comments</b>
Accept the recommendations in this report relating to Q1 performance reporting and the intentions for reporting in Q2 and beyond. <b>This is the recommended option</b>	This will allow continuing monitoring of performance and trends against the council's agreed priorities and objectives in order to aid decision-making and maintain focus on continuous improvement.
Reject the recommendations in the report.	The failure to use relevant performance information to understand delivery against the council's agreed priorities and objectives impedes the council's ability to make informed decisions and seek continuous improvement.

- 2.1 The Council Plan 2017-21 remained current up to the 30 July 2020 when Cabinet approved an Interim Council Strategy 2020/21 for immediate adoption, acknowledging that the Covid-19 pandemic has significantly altered the context in which the Council is currently operating and that resources are now focused in an entirely different way.
- 2.2 Appendix A sets out Q1 performance for all measures relating to the Panel's remit under the strategic framework that was current in Q1. It shows that:
- 4 of the 9 measures met or exceeded target,
  - 2 measures fell just short of target, although still within the tolerance,
  - 3 measures were out of tolerance and require improvement.
- 2.3 Detailed commentary on all the indicators is included in Appendix A.

### **3. KEY IMPLICATIONS**

- 3.1 The key implications of this report are set out in table 2.

**Table 2: Key Implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
The council is on target to deliver its strategic priorities	< 100% priorities on target	100% priorities on target			30 June 2020

### **4. FINANCIAL DETAILS / VALUE FOR MONEY**

- 4.1 There are no direct financial implications arising from the recommendations.

### **5. LEGAL IMPLICATIONS**

- 5.1 There are no legal implications arising from the recommendations.



**6. RISK MANAGEMENT**

6.1 The risks and their control are set out in table 3.

**Table 3: Impact of risk and mitigation**

<b>Risks</b>	<b>Uncontrolled risk</b>	<b>Controls</b>	<b>Controlled risk</b>
Poor performance management practices resulting in lack of progress towards the council’s agreed strategic priorities and objectives.	HIGH	Robust performance management within services to embed a performance management culture and effective and timely reporting.	LOW

**7. POTENTIAL IMPACTS**

7.1 There are no Equality Impact Assessments or Data Protection Impact Assessments required for this report. There are no climate change or data protection impacts as a result of this report.

**8. CONSULTATION**

8.1 Ongoing performance of the measures within the Performance Management Framework, alongside other measures and business intelligence information, is regularly reported to the council’s four Overview and Scrutiny Panels. Comments from the Corporate Overview and Scrutiny Panel will be reported to Lead Members and Heads of Service as part of an ongoing performance dialogue.

**9. TIMETABLE FOR IMPLEMENTATION**

9.1 The full implementation stages are set out in table 4.

**Table 4: Implementation timetable**

<b>Date</b>	<b>Details</b>
Ongoing	Comments from the Panel will be reviewed by Lead Members and Heads of Service.

**10. APPENDICES**

10.1 This report is supported by one appendix:

- Appendix A: Corporate Overview and Scrutiny Panel Q1 Performance Report.

## 11. BACKGROUND DOCUMENTS

11.1 This report is supported by two background documents:

- Council Plan 2017-21:  
[https://www3.rbwm.gov.uk/downloads/file/3320/2017-2021\\_-\\_council\\_plan](https://www3.rbwm.gov.uk/downloads/file/3320/2017-2021_-_council_plan)
- Interim Council Strategy 2020/21:  
<https://rbwm.moderngov.co.uk/ieListDocuments.aspx?CId=132&MId=7763&Ver=4>

## 12. CONSULTATION (MANDATORY)

Name of consultee	Post held	Date sent	Date returned
Duncan Sharkey	Managing Director	01.09.20	
Hilary Hall	Director of Adults, Health and Commissioning	01.09.20	
Adele Taylor	Director of Resources	01.09.20	
Nikki Craig	Head of HR, Corporate Projects and IT	01.09.20	04.09.20
Louisa Dean	Communications	01.09.20	11.09.20
Louise Freeth	Head of Revenues, Benefits, Library and Resident Services	01.09.20	02.09.20

## REPORT HISTORY

Decision type:	Urgency item?	To Follow item?
Non-key decision	No	No
Report Author: Rachel Kinniburgh, Strategy and Performance Team Leader, 01628 796370		

# Corporate Overview and Scrutiny Panel

## Q1 2020-21 Data and Performance Report

Date prepared: 1 July 2020

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<b>2. Key activities and milestones achieved</b>	3
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**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**

**1. Executive Summary**

- 1.1 The Council Plan 2017-21 remained current up to the 30 July 2020 when Cabinet approved an Interim Council Strategy 2020/21 for immediate adoption, acknowledging that the Covid-19 pandemic has significantly altered the context in which the Council is currently operating and that resources are now focused in an entirely different way.
- 1.2 This report sets out Q1 performance for all measures relating to the Corporate Overview and Scrutiny Panel’s remit under the strategic framework that was current in Q1, and which had been suitably modified to reflect the changed climate during the Covid-19 pandemic. Relevant Business Intelligence is also provided in relation to the workforce Establishment.
- 1.3 As at 1 July 2020 performance of all measures related to the Panel’s remit in Q1 can be broadly summarised as:

<b>Q1 RAG Status</b>	<b>No.</b>	<b>Measure</b>
<b>Red (Needs improvement)</b>	<b>3</b>	<ul style="list-style-type: none"> <li>• Average no. days to process new claims (Housing Benefits)</li> <li>• Average no. days to process changes in circumstances (Housing Benefits)</li> <li>• No. visits (physical and virtual) to libraries</li> </ul>
<b>Amber (Near target)</b>	<b>2</b>	<ul style="list-style-type: none"> <li>• Percentage of council tax collected</li> <li>• Percentage of calls answered within 60 seconds</li> </ul>
<b>Green (Succeeding or achieved)</b>	<b>4</b>	<ul style="list-style-type: none"> <li>• Percentage voluntary turnover (YTD)</li> <li>• Percentage of calls abandoned after 5 seconds</li> <li>• Percentage of Non Domestic Rates (Business Rates) collected</li> <li>• Percentage of transactions made online</li> </ul>
<b>Total</b>	<b>9</b>	

2. Key activities and milestones achieved

Strategic Priority	Item	Q1 Achievements and key milestones
Covid-19	<b>Community response</b>	The Covid-19 Community Response was established to support residents across the borough during the Covid-19 pandemic. A coordinated team of staff drawn from all services in the council maintained regular contact with residents who were shielding and take any action that may be appropriate to ensure that these individuals' needs were met. This role has now been taken on by the Library and Residents service who continue to make contact with residents and to be a helpline to any vulnerable service users in the borough. Using community groups, either already established or newly formed, in response to the pandemic has helped to identify where we can help the vulnerable. A database of all contacts was quickly compiled to support a public-facing online directory of Covid-19 Support Groups to which residents may turn to for particular needs.
	<b>Outbreak Control Plan Summary</b>	The Outbreak Control Plan Summary was published to the RBWM website on 30 June 2020 in line with national instruction from the Department of Health and Social Care. The plan exists to guide our response to the ongoing Covid-19 pandemic, to put in place measures to identify and contain outbreaks and protect the public's health.
	<b>Parking concession</b>	Free parking of up to 3 hours for Advantage Card holders in all Royal Borough operated car parks was introduced from 15 June to 13 July 2020 inclusive. The purpose of the scheme was to assist the recovery of the town centres and retail outlets.
	<b>Communications</b>	Since lockdown restrictions were announced on Monday 23 March 2020 the Communications Team has delivered key messages to residents across the borough to reiterate central government advice, notify residents of changes to operational service delivery and respond directly to residents' concerns and questions. There has been a significant increase in social media followers, engagement and reach, alongside the expected increase in website visits following the closure of libraries on Wednesday 18 March.

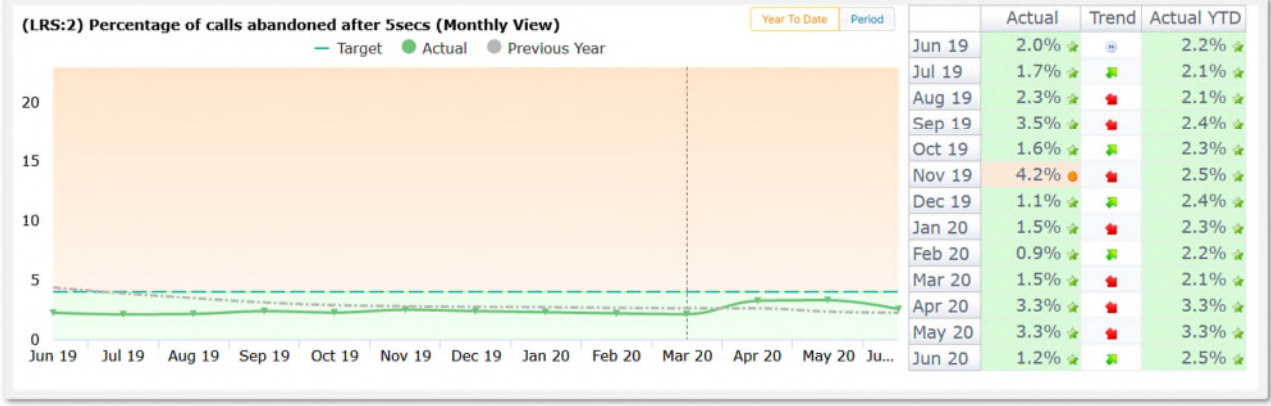
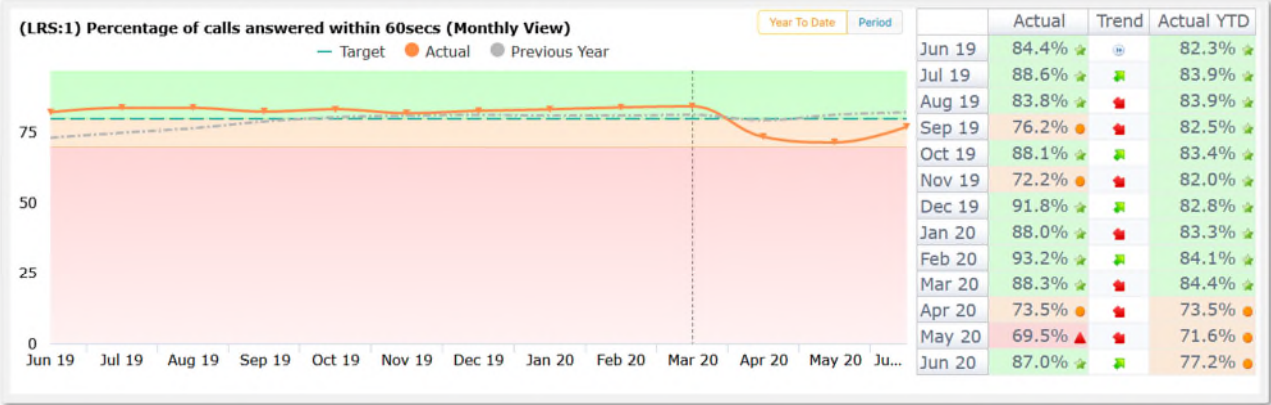
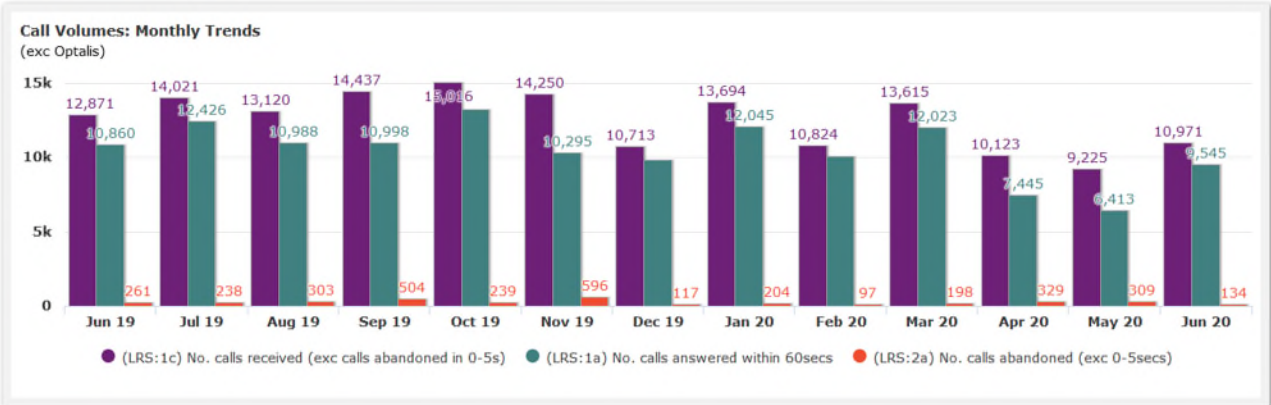
**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**

<p><b>An excellent customer experience</b></p>	<p><b>Libraries</b></p>	<p>The closure of libraries on Wednesday 18 March 2020 in response to the Covid-19 pandemic meant the immediate suspension of all physical visits. All library fines were waived, and the collection of online services was updated to help keep residents entertained and informed during lockdown. In Q1 the service made preparations to launch a new “select and collect” service with effect from 6 July 2020 and a “select and deliver” service whereby items selected online from the catalogue are then delivered to one of 18 locations.</p>
<p><b>Well-managed resources delivering value for money</b></p>	<p><b>Corporate values</b></p>	<p>Following extensive consultation with employees a suite of new organisational values was launched on 19 June 2020. Each value is underpinned by positive behaviours illustrative of each value. These values and associated behaviours are agreed to be key in supporting the council to deliver well for residents and partners, and to achieve organisational objectives. The new values are:</p> <ul style="list-style-type: none"> <li>• Invest in strong foundations</li> <li>• Empowered to improve</li> <li>• One team and vision</li> <li>• Respect and openness.</li> </ul> <p>An implementation plan is in place to support the embedding of the new values across the organisation.</p>

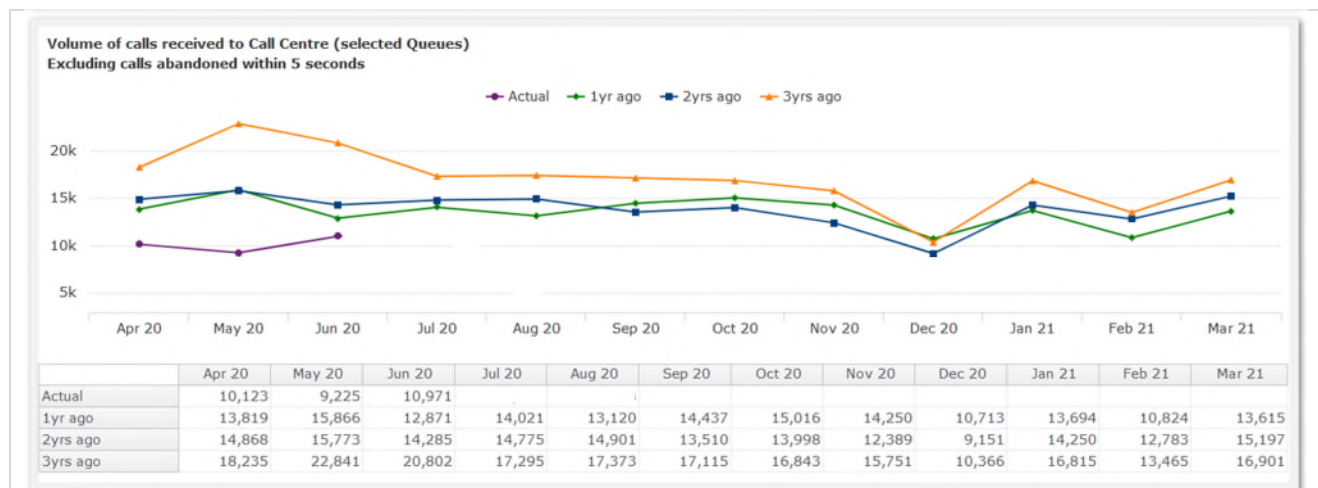
**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**

**3. An excellent customer experience: Detailed Trends and Commentary**

**3.1 Customer contact centre calls**



**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**



**Q1 Commentary**

As acknowledged in the Q4 performance report, the council’s operations changed considerably as a result of lockdown restrictions in mid-March. Libraries closed on Wednesday 18 March 2020 and business continuity plans necessitated the adoption of new technology to support library and resident contact staff in the continuation of their duties from home where it was possible and appropriate to do so. The council’s response to the Covid-19 pandemic has utilised resources from across all council teams, and Library and Resident contact staff in particular have been engaged in setting up and training council staff in the use of new technologies to support engagement with local community groups and also local residents shielding as a result of particular vulnerabilities to the virus. Furthermore the high level of difficulties experienced with Waste Collection led to a significant increase in the length and complexity of calls with many calls having to be escalated through the library and resident contact team’s internal structure.

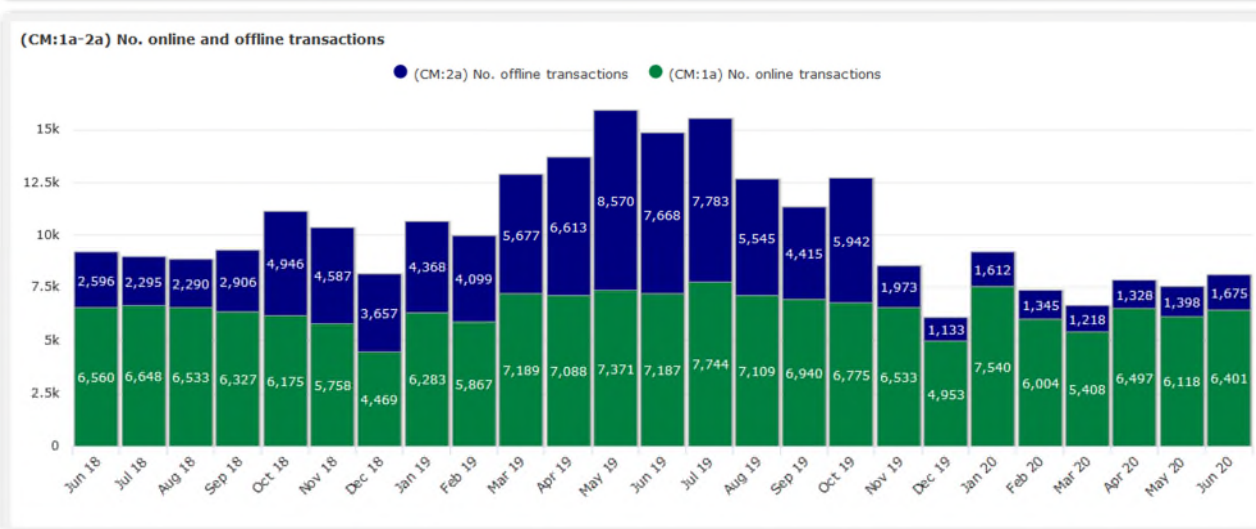
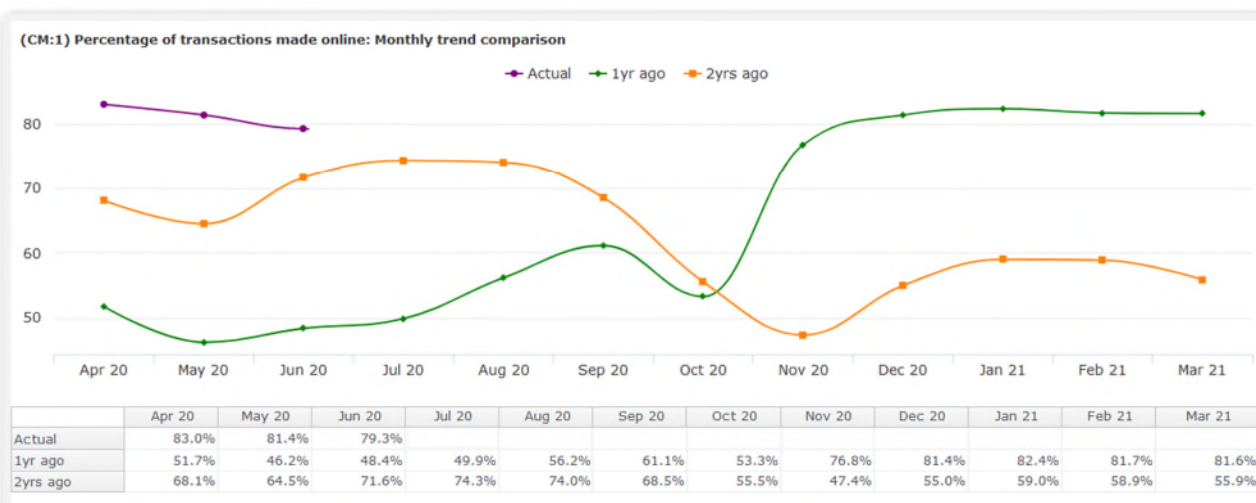
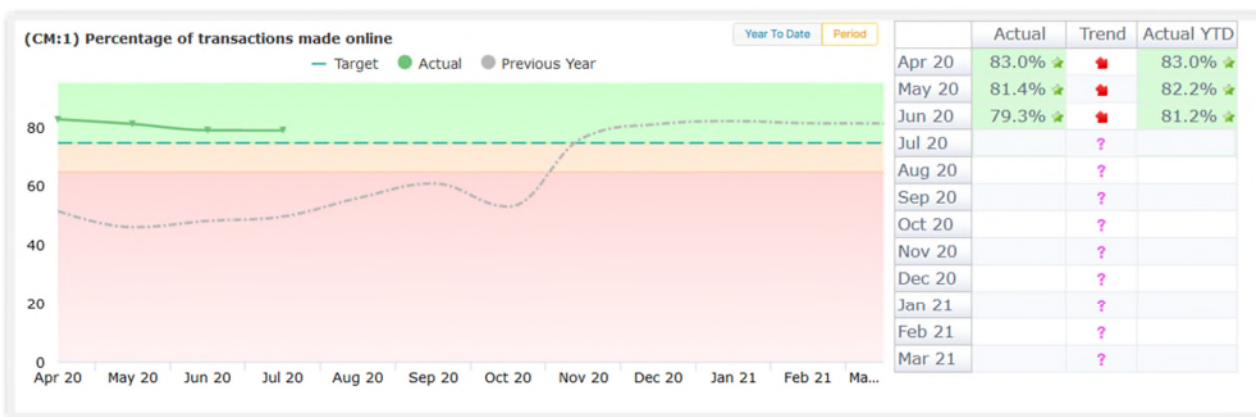
The anticipated detrimental impact of these efforts on call performance in Q1 can be seen in the downturn in performance of the percentage of calls answered within 60 seconds to 77.2% (23,403/30,319), although performance remains within tolerance for this measure. Encouragingly, the percentage of calls abandoned after 5 seconds has remained consistently on target in Q1. As acknowledged in the Q4 2019/20 report, the number of calls received to the call centre continues to fall. This is largely attributed to the availability of online services and information via the council’s website and also overall reductions in avoidable contact by addressing customers’ enquiries “right first time”. Only 30,319 calls were received in Q1 compared to 42,556 in Q1 2019/20, 44,296 in Q1 2018/19 and 61,878 in 2017/18.

It is expected that performance against both measures will improve throughout Q2 as the immediate pressures on the service in Q1 outlined here reduce.



# Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report

## 3.2 Digital customer transactions



### Q1 Commentary

The “Percentage of transactions made online” is a new measure to the 2020/21 framework and replaces the previous measure “No. digital transactions”. The target for this measure is 75%.

Overall there has been a decline in the total volume of transactions made (both online and offline) in Q1 (23,417) compared to Q1 2019/20 (44,497). It was speculated in the Q4 performance report that from March 2020 residents’ focus on the emerging Covid-19 crisis may have redirected their attention from making routine transactions with the council. The

## Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report

closure of libraries for the whole of Q1 also restricted opportunities for customers to either digitally “self serve” using library facilities or to make “offline” transactions with council staff. As at the close of Q1 81.2% (19,016 / 23,417) of all council transactions were made online. Whilst the Covid-19 pandemic and associated lockdown restrictions created a dependence on digital interactions across the country where physical contact could be avoided, a review of monthly trends over the last 3 years shows a growing reliance on digital solutions well before the pandemic. Over 70% of all council transactions each month have been digital since November 2019 and it is anticipated that this trend will continue as a result of adapted behaviours over the lockdown period. Going into Q2 it is anticipated that the total volume of council transactions will continue to increase.

### 3.3 Library visits



#### Q1 Commentary

The closure of libraries on Wednesday 18 March 2020 (Q4 2019/20) in response to the Covid-19 pandemic meant the immediate suspension of all physical visits. All library fines

## Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report

were waived and the collection of online services was updated to help keep residents entertained and informed during lockdown.

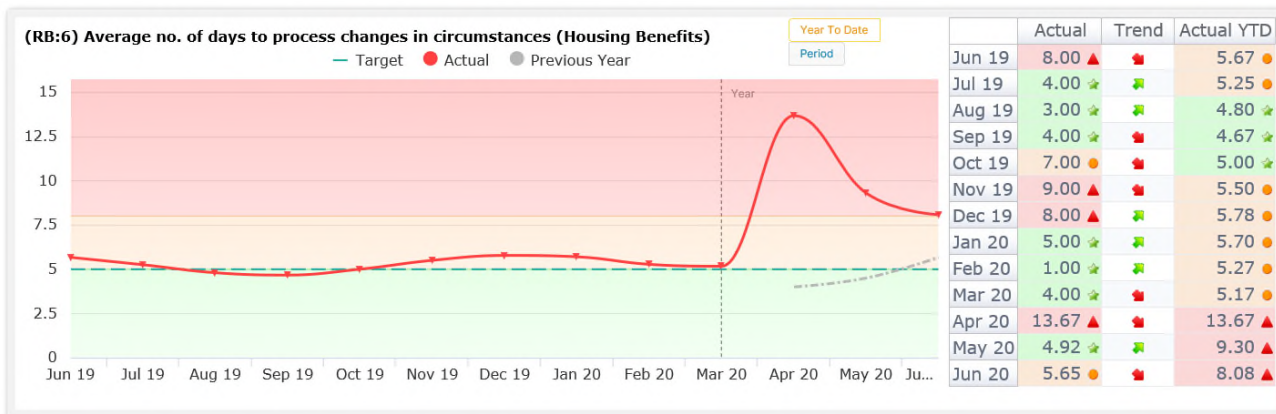
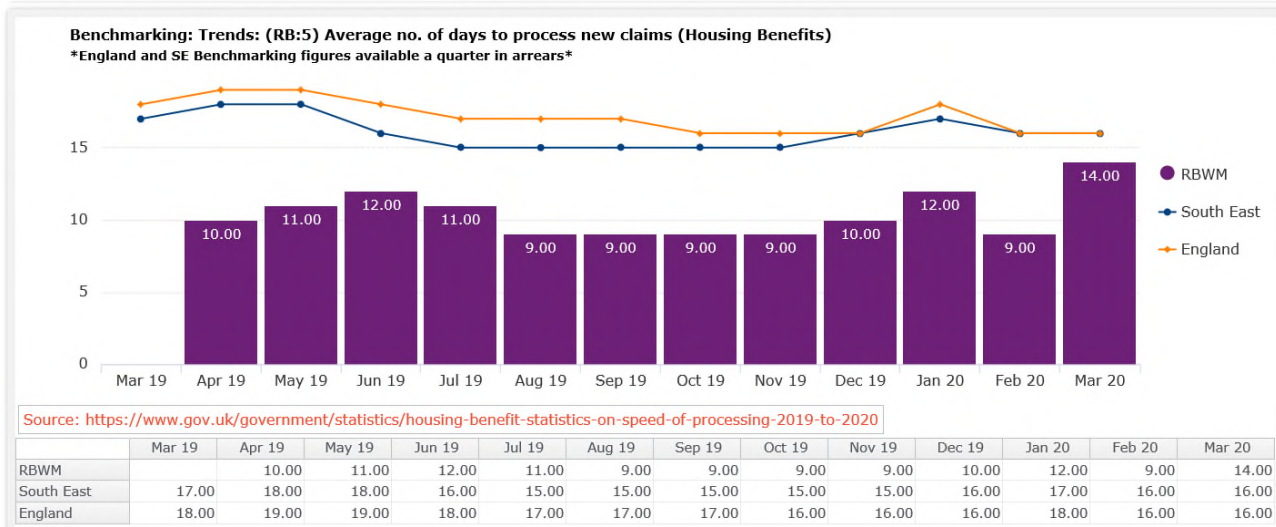
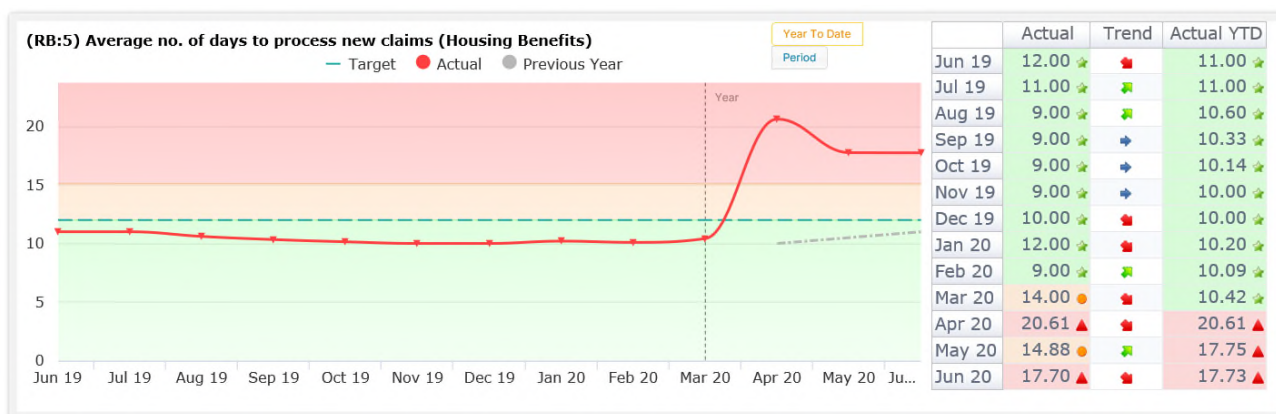
Kanopy, a new video streaming service, launched in mid-April and proved to be an enormous success. Pressreader, which allows access to online newspapers, also attracted increased uptake achieving Q1 performance which was higher than the use for the whole of the previous year. Niche Academy launched in May, enabling customers to learn how to make better use of all of our e-resources, and access to Ancestry was granted to allow customers to use from home. Therefore, Q1 performance, 2,358 hits, significantly exceeded access levels for the whole of the previous year (652 hits).

There was an average monthly increase of 38% compared with previous months for OverDrive. There was the introduction of ebooks and audio via RBDigital, in which there were 408 audio issues a month on average. Moreover, the “Libraries in Lockdown” Facebook page and “RBWM Libraries” YouTube channel were created, in which the top viewed feature received 464 views.

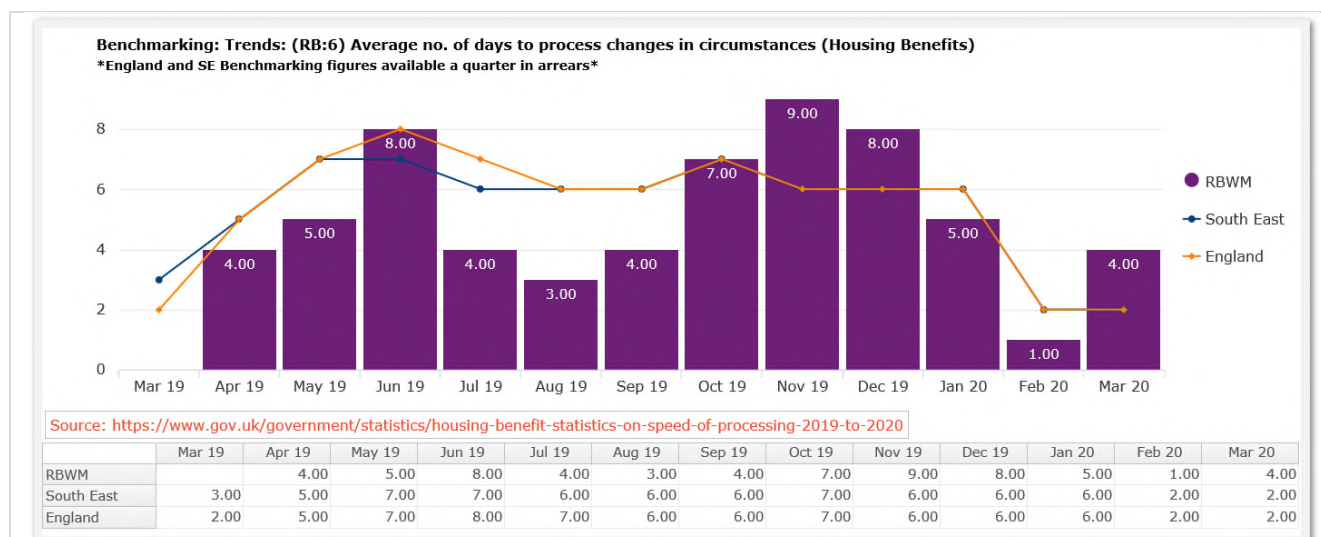
In Q1 the total number of virtual visits to libraries was 125,559 against a target of 203,000. A comparison to the same period in the previous year (225,512 visits) shows a 44.3% decrease (-99,953). The service has retained its original targets for this measure in 2020/21 and continues to innovate to achieve 800,000 visits by March 2021 and to recover the current 44.3% decrease on 2019/20 figures. In Q1 the service made preparations to launch a new “select and collect” service with effect from 6 July 2020 and a “select and deliver” service whereby items selected online from the catalogue are then delivered to one of 18 locations. The impact of these innovations on this measure will start to be seen in Q2.

Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report

3.4 Processing times for Housing Benefits



## Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report



### Q1 Commentary

*Essential note: Monthly figures for these measures are derived from internal reports which are then submitted to the Department for Work and Pensions (DWP). In some cases the DWP's calculations of performance modifies the original value submitted by a local authority. All 2019/20 data in the council's reporting system has been updated to the official published DWP figures, which are published in arrears. Full details of the changes can be obtained from the Strategy and Performance Team. For clarity, the 2019/20 end of year figure is unchanged for RB:5 (10.42, green), and for RB:6 the end of year figure was 5.50 (amber) and is now 5.17 (amber).*

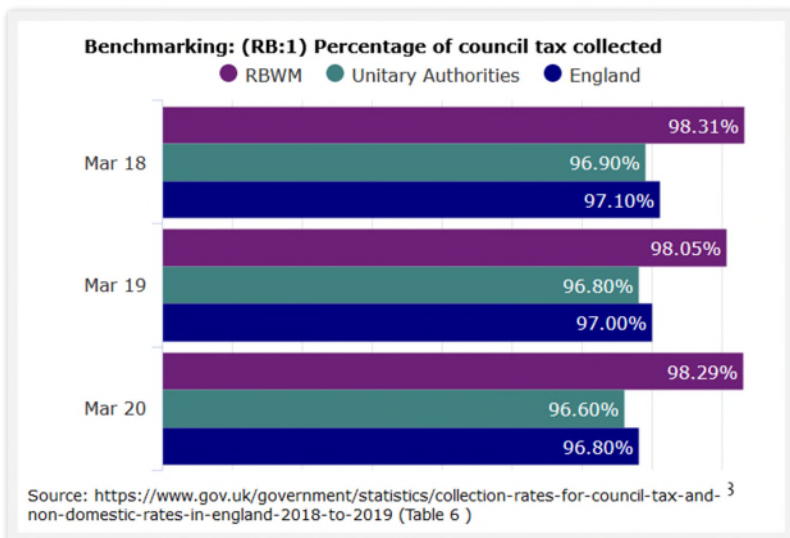
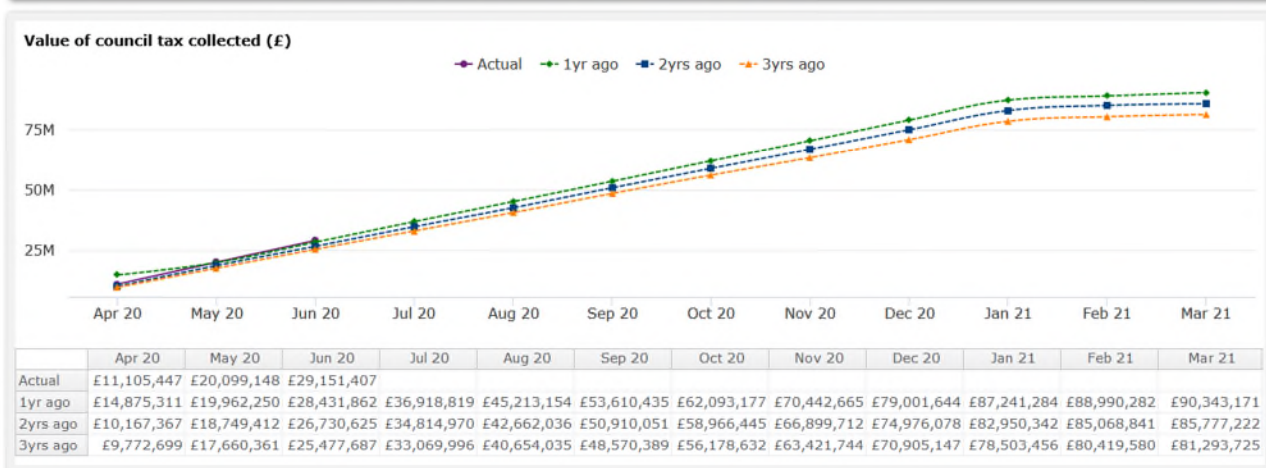
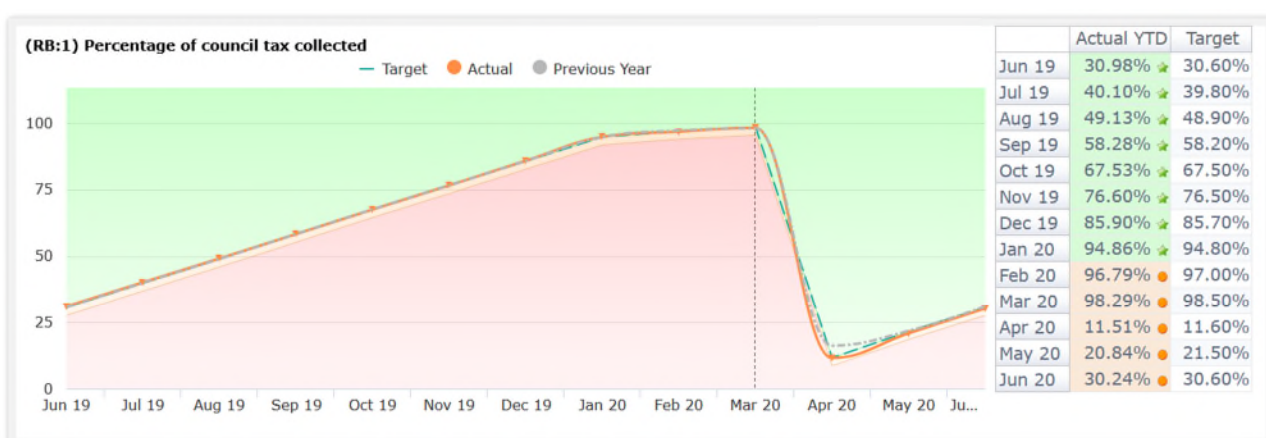
The detrimental impact of the Covid-19 pandemic on performance against these measure that was anticipated in Q4 2019/20 is reflected in Q1 figures for 2020/21 based on internal reports. From the end of March 2020 the council's operations changed considerably as part of coordinated measures to keep both customers and staff safe. The unprecedented demand for services was reflected on by the Secretary of State for the Department for Work and Pensions in a statement to Parliament, and the downturn in performance that started in March 2020 for each measure and fell to an all-time low in April (20.61 days for new claims, 13.67 days for changes in circumstances) was therefore expected and unavoidable as service staff worked to meet the challenges of this increased demand whilst adapting to new remote working arrangements.

Encouragingly, performance has improved on the April position across both May and June for both measures. Available benchmarking data up to the end of March 2020 (please note that South East and England benchmarking figures are available a quarter in arrears) shows that RBWM performed better than the South East and England in relation to processing new claims (RB:5). Performance in relation to processing changes in circumstances (RB:6) was lower than the South East and England in January and February, but higher in March.

Corporate Overview and Scrutiny Panel:  
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4. Well-managed resources delivering value for money

4.1 Council Tax

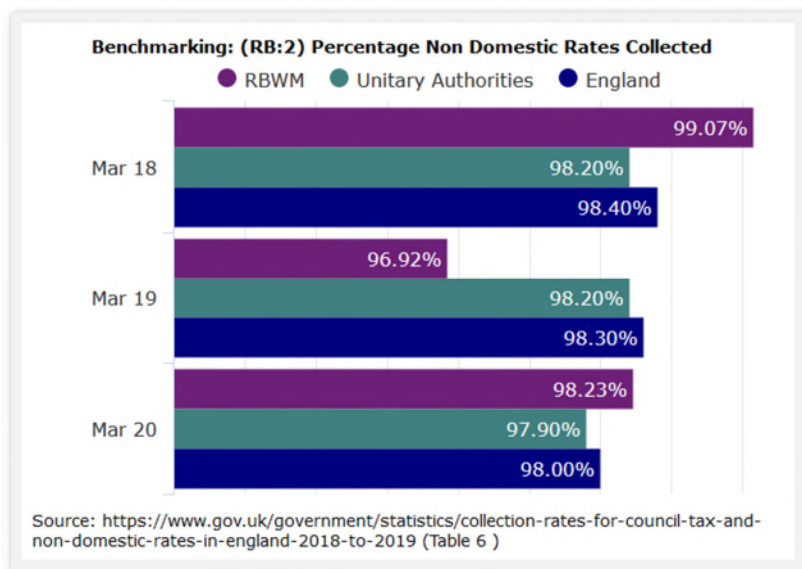
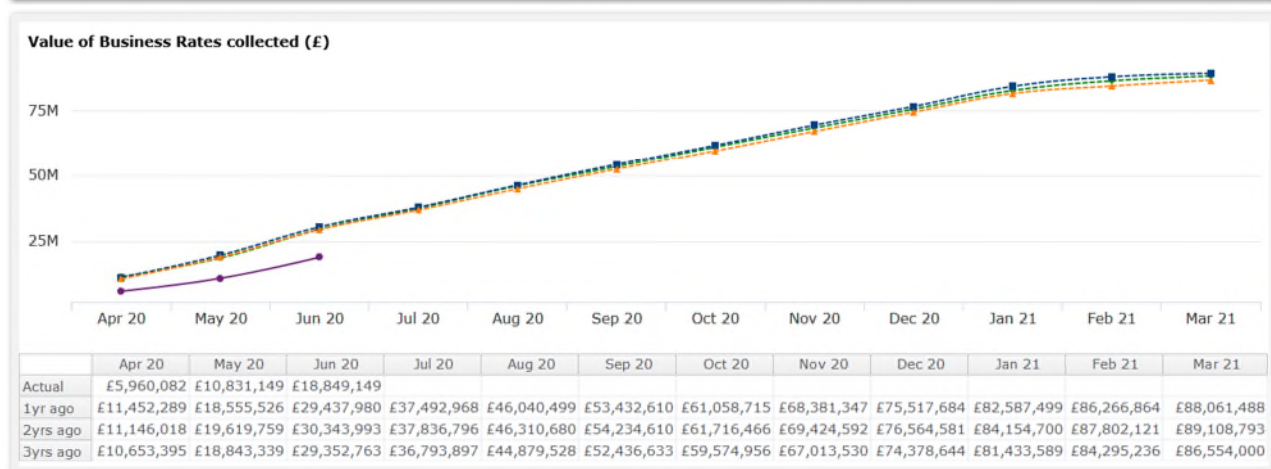
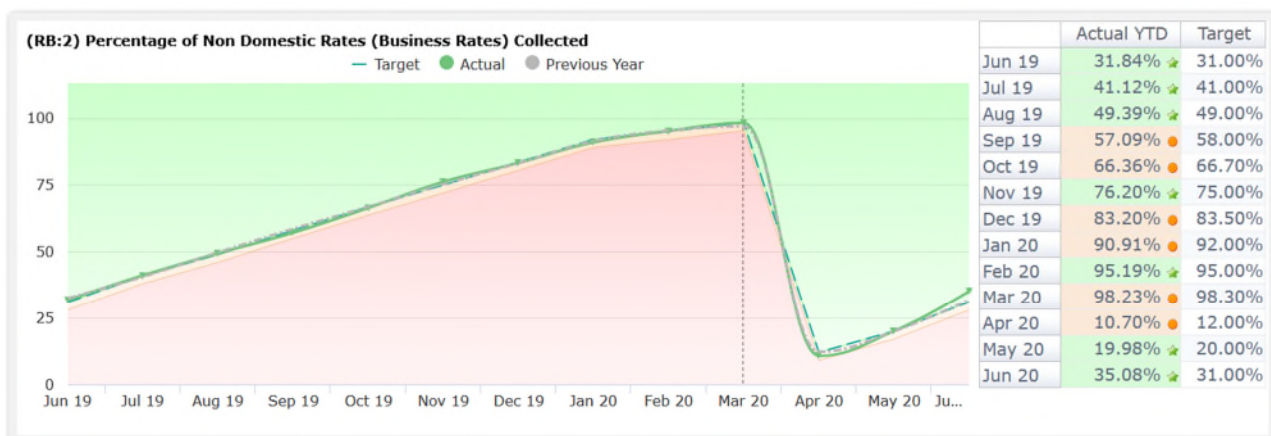


Q1 Commentary

As at the end of Q1, performance of this measure stands at 30.24%, below target (30.60%) by 0.36 though within tolerance for the measure. The value of council tax collected by the close of Q1 (£29,151,407) is the highest collection value for that period in the last 4 years. Available benchmarking data shows RBWM performance to be consistently higher than Unitary Authorities and England across the last 3 financial years 2017/18 and 2018/19.

# Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report

## 4.2 Business Rates



### Q1 Commentary

As at the close of Q1 performance for this measure stands at 35.08%, above target (31.00%) by 4.08, and meaning that the detrimental impact of Covid-19 on collection rates that was anticipated in Q4 2019/20 has not yet been seen. A comparison with collection rates as at the close of Q1 2019/20 (31.84%) shows a performance improvement in 2020/21 of 3.24. Central government announced that with effect from 1 April 2020, two new forms of Business Rates Relief would apply to qualifying Businesses i.e. Nursery Relief and Expanded Retail

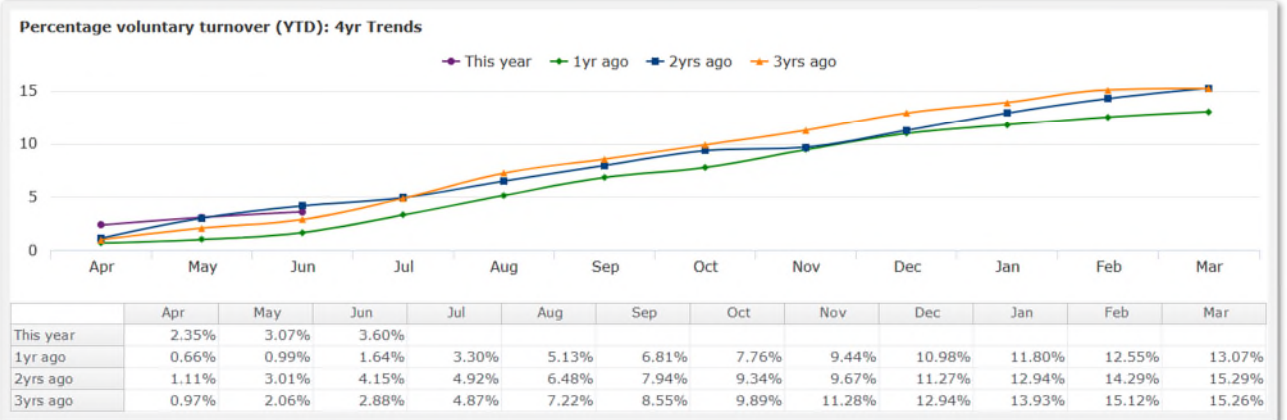
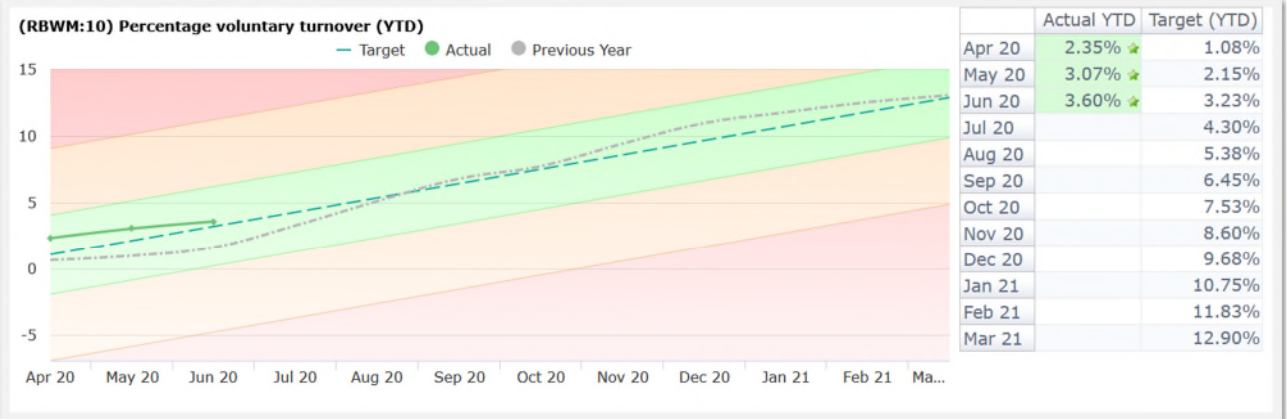
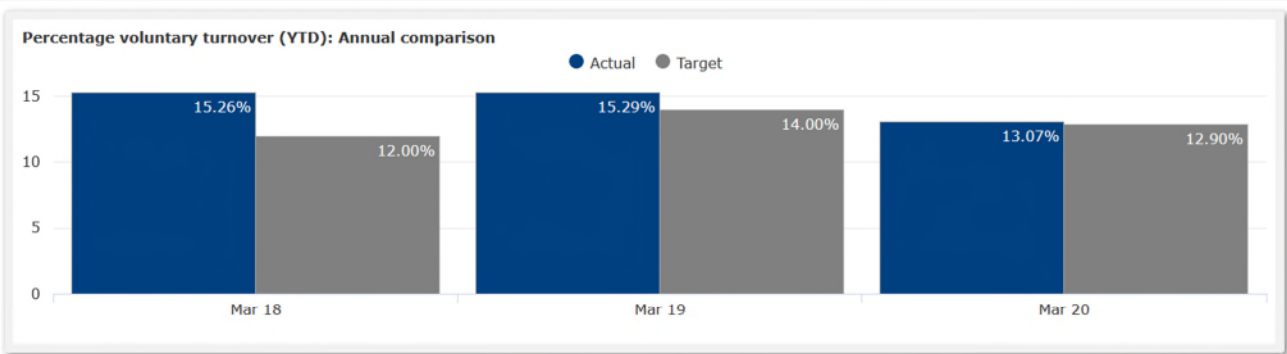
**Corporate Overview and Scrutiny Panel:  
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Relief. As a result, the net collectible debit has reduced significantly. However, the collection rate reflects sums collected by businesses not entitled to these new forms of relief. In addition, two Grant Schemes were announced to assist businesses which fit the qualifying criteria: The Small Business, Retail, Leisure and Hospitality Grant scheme and the Local Authority Discretionary Grant Fund. Central Government has recently announced that both schemes will close on 28 August 2020.



**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**

**4.3 Voluntary turnover**



**Q1 Commentary**

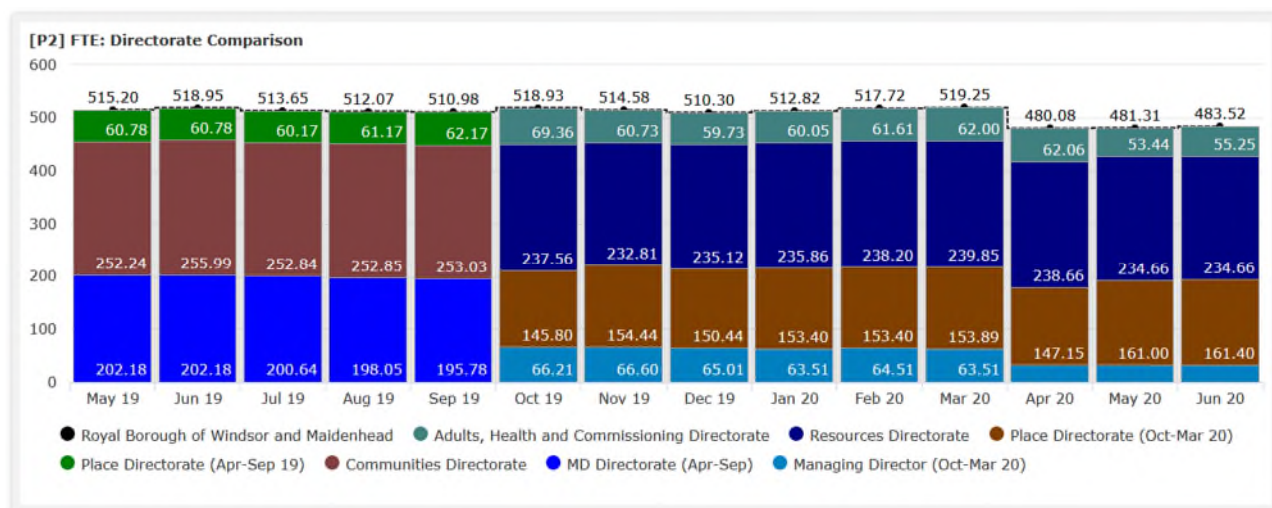
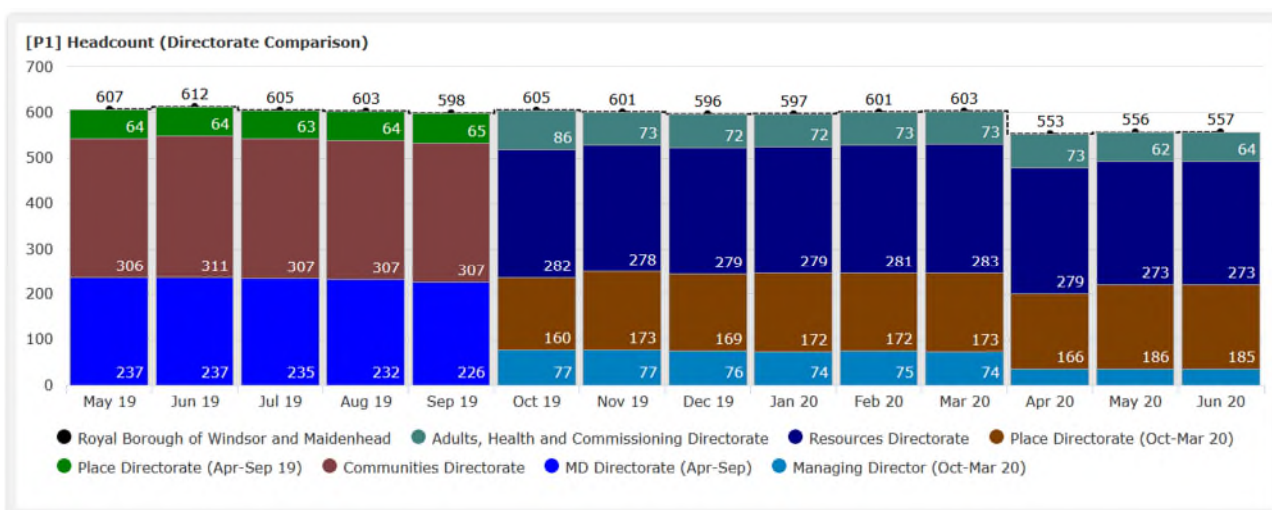
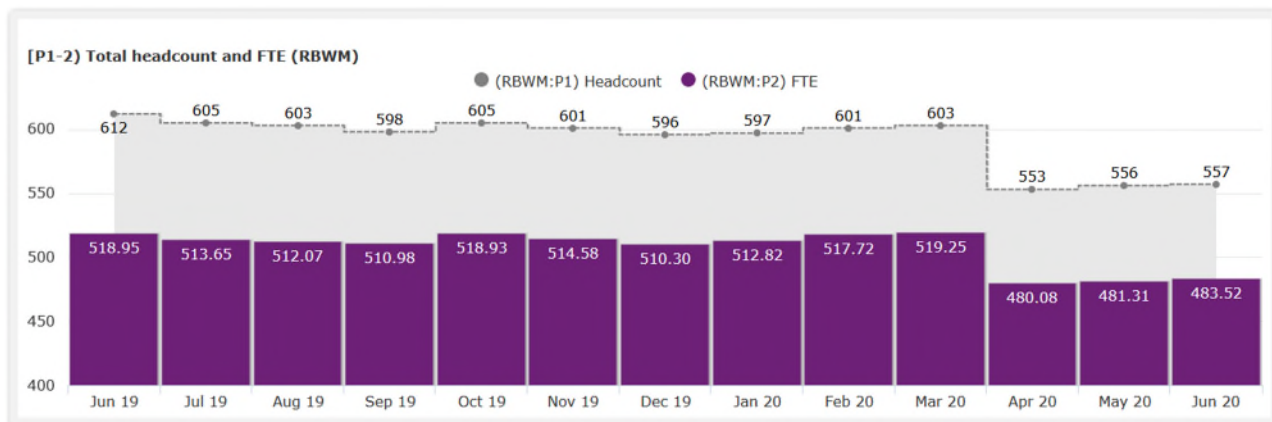
RBWM voluntary turnover includes those who choose to resign or retire. Turnover is calculated by dividing voluntary leavers by the average headcount (headcount at start and end of period / 2). It is acknowledged that some staff-churn is healthy for any organisation and so this measure is configured as a fixed target each month with appropriate tolerance-bandings both above and below the monthly target.

A comparison of the end of year percentage voluntary turnover across the last 3 years shows a consistent decrease in voluntary turnover each year. In Q1 2020/21 performance this trend continues, and for each month in Q1 voluntary turnover tracks consistently within the profiled tolerance thresholds.

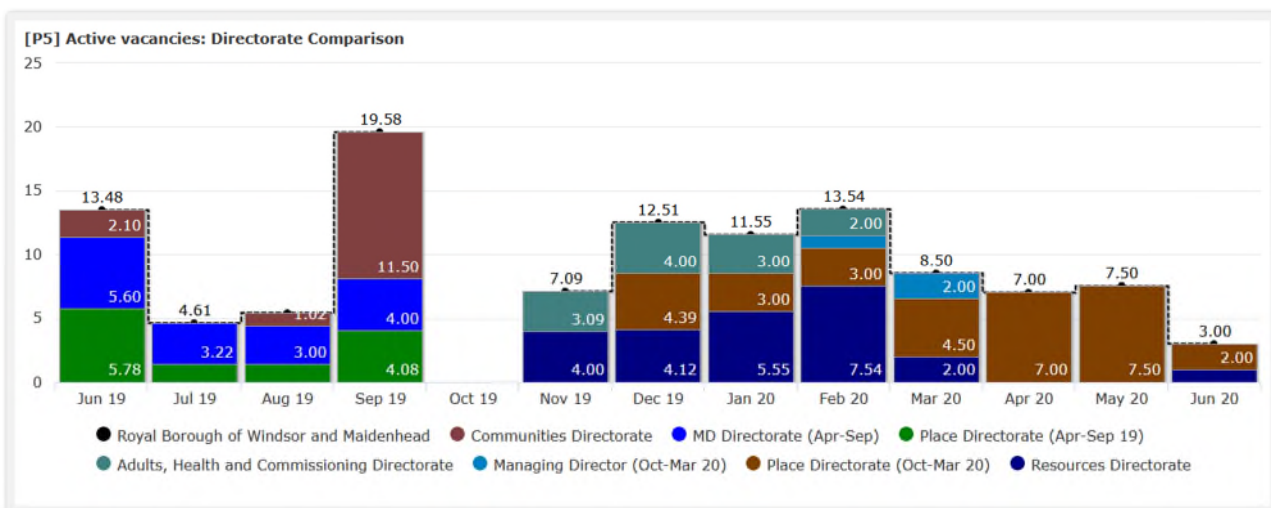
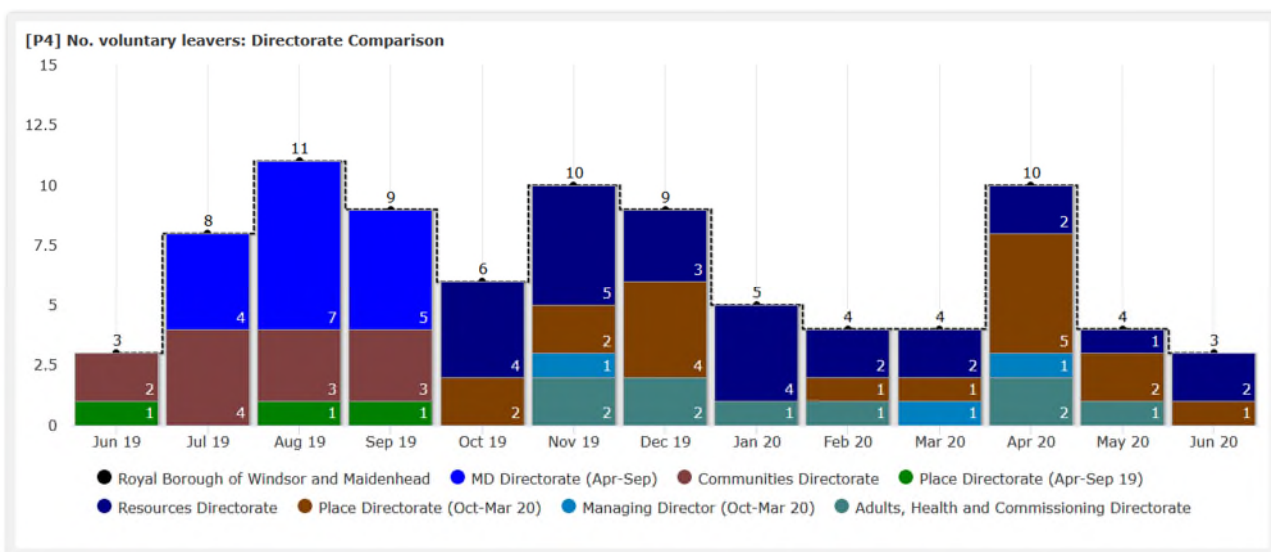
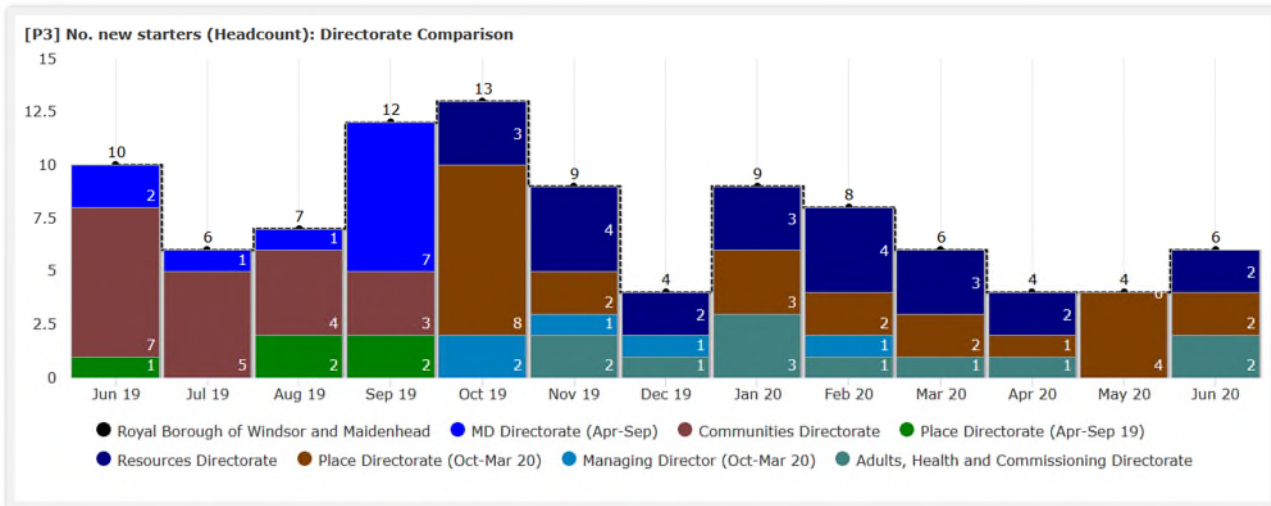
**Corporate Overview and Scrutiny Panel:  
Q1 2019-20 Performance Report**

**5. Business Intelligence: RBWM Staff Establishment**

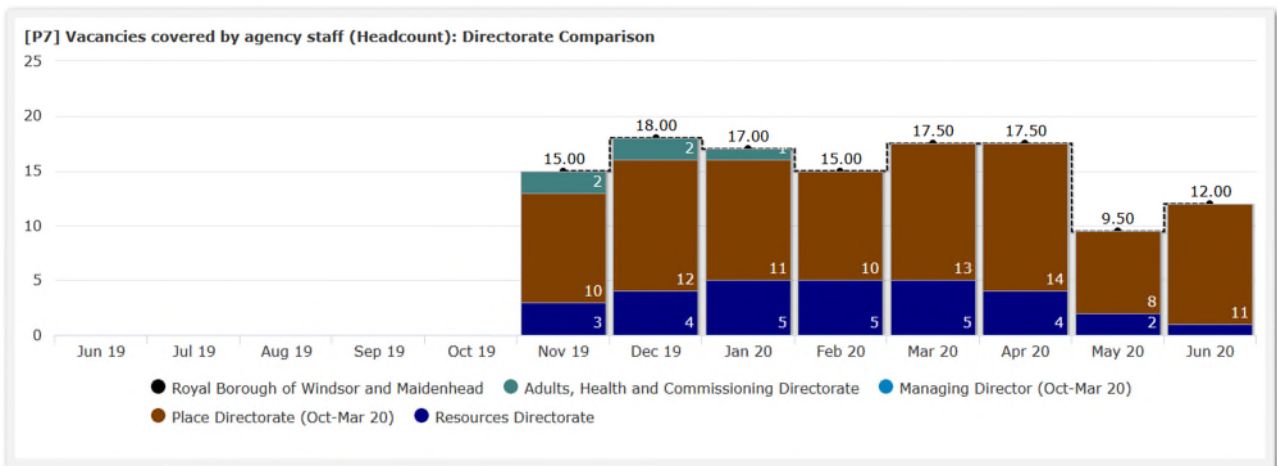
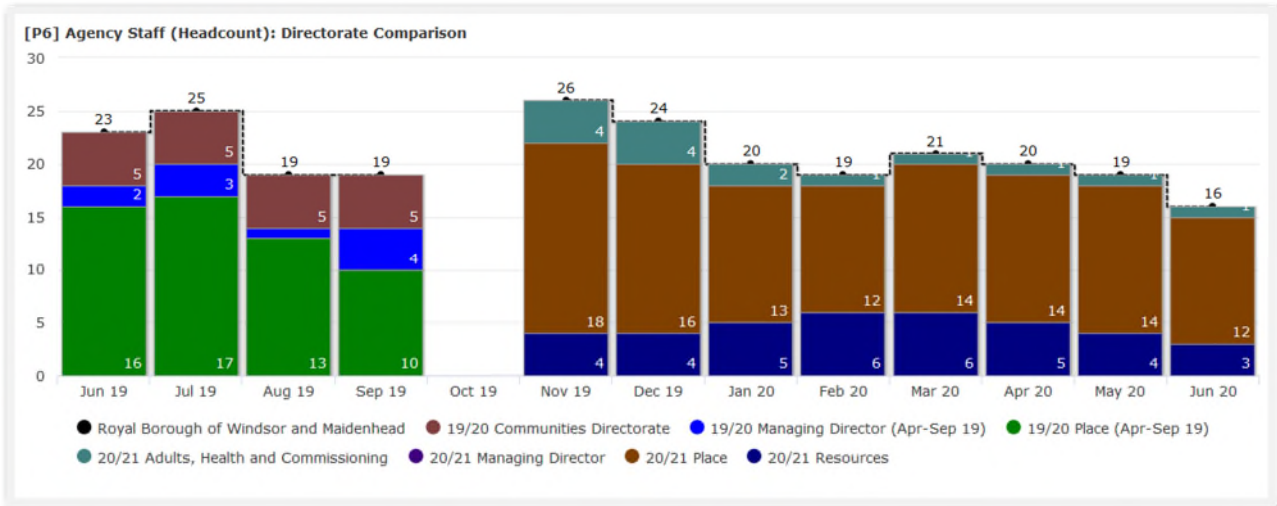
5.1 The organisation structure changed with effect from 1 October 2019 and all charts shown here reflect that change.



# Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report



# Corporate Overview and Scrutiny Panel: Q1 2019-20 Performance Report



Report Title:	<b>Finance Update: September 2020</b>
Contains Confidential or Exempt Information?	No - Part I
Member reporting:	Councillor Hilton, Lead Member for Finance and Ascot
Meeting and Date:	Cabinet – 24 September 2020
Responsible Officer(s):	Andrew Vallance, Head of Finance and Deputy S151 Officer
Wards affected:	All



**REPORT SUMMARY**

- 1 This report sets out the financial position of the Council in respect of the 2020/21 financial year as at the end of Month 4.
- 2 The report reviews the various elements of the Council's financial position including the revenue budget and its funding, the capital programme, and the Council's financial reserve position.
- 3 The report reviews the main areas of financial risk impacting on the revenue and capital budgets and in respect of these risks sets out the assumptions that underpin the forecast position for the year.

**1. DETAILS OF RECOMMENDATION(S)**

**RECOMMENDATION: That Cabinet notes thre report and:**

- i) Notes the Council's projected revenue & capital position for 2020/21.**
- ii) Notes the budget movements;**
- iii) Approves the capital variances and slippage.**
- iv) Approves a capital budget addition of £110,000 for Safeguarding works at Larchfield Primary School**

**2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED**

**Cabinet are requested to note the Council's financial position.**

**3. KEY IMPLICATIONS**

**Table 1: Key implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
General Fund Reserves Achieved	<£6,370,000	£6,370,000 to £6,500,000	£6,500,001 to £16,900,000	> 16,900,000	31 May 2021

#### 4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 The revenue budget position and projected outturn for 2020-21 as at 31 July 2020 is shown in **Table 2** below. The reported service variances as at 31 July 2020 total £11,232,000.
- 4.2 The current projected outturn position for the Council is an adverse variance of £3,279,000 in 2020-21 including net costs for COVID-19 of £6,140,000. This results in a pre Covid projected favourable variance of £2,861,000 and a general fund reserve outturn of £2,734,000. A return has been received for the sales, fees and charges compensation scheme announced by MHCLG, the deadline for its return is the 30<sup>th</sup> of September. It is hoped that this compensation scheme will reduce the Covid variance and result in a favourable increase to the general fund outturn position.
- 4.3 The service budgets of £86,531,000 project an adverse variance of £11,232,000 including COVID19 costs of £12,439,000 resulting in a pre Covid projected favourable service variance of £1,207,000.
- 4.4 Non service budgets of £8,144,000 are projected to be underspent by £7,953,000. This includes £6,299,000 of COVID19 grant resulting in a favourable variance on non-services of £1,654,000.
- 4.5 As approved in the 2020-21 budget £1,519,000 is transferred to general fund reserves from the Business rates volatility reserve leaving £750,000 in that reserve to fund future business rates risk when required.
- 4.6 The underspend of £162,000 on pension deficit recovery arises as a result of the Council prepaying their annual pension deficit payment and receiving a discounted rate for doing so.
- 4.7 A full breakdown of variances against each service area is attached at **Appendix A** and the reconciliation of the projected variance to that included in the Budget Reports 2020/21 that went to Council on 25th February 2020 is set out in the table below:

**Table 2: Summary Revenue budget position**

Directorate	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000
Managing Director	2,903	2,885	(18)
Adult Health & Commissioning	47,337	51,542	4,205
Resources Directorate	10,803	10,686	(117)
Place Directorate	2,304	8,187	5,883
Children's Services	23,184	24,463	1,279
<b>Total Service Expenditure</b>	<b>86,531</b>	<b>97,763</b>	<b>11,232</b>
Non service expenditure	8,144	191	(7,953)
<b>Net Revenue Budget</b>	<b>94,675</b>	<b>97,954</b>	<b>3,279</b>
Special Expenses	(1,217)	(1,217)	0
Transfer to / from Reserves	0	(3,279)	(3,279)
<b>Gross Ctax Requirement</b>	<b>93,458</b>	<b>93,458</b>	<b>0</b>

4.8 **Table 3: Significant service variances over £1,000,000 to 31.7.20.**

SIGNIFICANT VARIANCES OF £1,000,000 ACROSS ALL DIRECTORATES	
SERVICE	£,000
Children's Services Achieving for Children contract	1,486
Adults, Health & Comm Director and Support Teams	1,416
Parking Services	3,788
Adult Social Care	(1,342)
Corporate Management & Contingency	(1,375)
Communities including Leisure	3,013
Property Service	1,640
<b>TOTAL SIGNIFICANT VARIANCES</b>	<b>8,626</b>

A summary of the significant variances to July 2020 is shown in **Table 3 above**, further details can be found in the report as detailed below:

- **Children's services adverse variance of £1,486,000** is a result of lost income, additional staffing and placement costs both during and following the COVID19 lockdown period. Further details are on page 18-23 of this report.
- **Adults, Health & Commissioning – Director & Support Teams adverse variance of £1,416,000** is due to payments of £1,270,000 made to adult social care providers to support business continuity in the period of the COVID19 emergency.
- **Commissioning – Infrastructure adverse variance of £3,788,000** is as a result of lost income from car parking mainly during the COVID19 lockdown period. Further details are on page 10-12 of this report.
- **Adult Social Care favourable variance of £1,342,000** is due to a reduction in the costs of both homecare and residential and nursing care, and arising from NHS funding to support hospital discharge and reduce hospital admissions during the covid emergency.
- **Corporate Management and contingency favourable variance of £1,375,000** is the release of £1,300,000 contingency for unachievable savings that are reported within the appropriate service areas as well as £75,000 for corporate savings that have arisen due to alternative working arrangements of the workforce.
- **Communities adverse variance of £3,013,000** mainly arises as a result of the change in leisure concession contract and loss of leisure income due to COVID19. Further details are on page 17-18 of this report.
- **Property Service adverse variance of £1,640,000** - is mainly the projected shortfall of Commercial property income as a result of unpaid rent due to COVID 19, further details are shown on page 17-18 of this report.

#### 4.9 Savings Tracker

The monitoring of built in savings for 2020-21 is shown in the savings tracker attached in **Appendix B**. This shows the projected unachievable savings for 2020-21 as £1,758,000 against a savings target of £7,009,000.

This is unchanged from the July 2020 Cabinet report.

#### 5. Managing Director's Directorate Revenue Position

The Directorate is forecasting a saving of £17,450 for the year 2020/21 as shown in **Table 4** below.

**Table 4: Managing Director Revenue budget position**

Ref:	Managing Director	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000	Change from last time £000
	<b>Management</b>	249	249	0	0
	<b>Governance:</b>				
5.1	Land Charges Income	(237)	(187)	50	(30)
5.2	Elections, Mayoral and Democratic	1,487	1,429	(58)	0
	Legal, Magistrates Court and Information	794	794	0	36
5.2	Facilities	613	603	(10)	5
	<b>Total MD</b>	<b>2,906</b>	<b>2,888</b>	<b>(18)</b>	<b>11</b>

#### Areas of Risk & Opportunity (Significant)

- 5.1 Land charges income - As a result of the suspension of the housing market (COVID 19 pandemic), the demand for land charges services had fallen. The actual adverse variance against income to mid-August is £52,000. The market has now reopened, and the reduction in the variance from previous reports is a positive sign the service is recovering.

The annual pressure had been estimated at the equivalent of four months budget of £80,000 in May, but this has now been reduced to a pressure of £50,000, in line with the current outturn.

- 5.2 Savings and opportunities this year of £68,000 (May £109,000) are anticipated in Democratic Services, Information Governance and Facilities. This reduction is due to increased resource costs within the Information service omitted from the last report.

Not all potential Special Responsibility Allowances positions have been filled individually, and members receive only the highest allowance if they hold more than one position. Savings of £52,000 are anticipated .

Staff working from home has reduced some variable costs within the Facilities team resulting in a £10,000 net saving. A chargeable data protection service has been offered to schools this year and it has been successfully taken up. Additional income of £36,000 is expected. Additional costs to support this service in the medium term are expected to be in the region of £36,000.



## 6. Adults Health & Commissioning Directorate revenue position

### 6.1 Director & Support Teams

The pressure on the Communication & Marketing budget arises from a reduction in income generated both from the Guildhall (£40,000) and from film and advertising licences, due to the covid restrictions. The budget pressures in the Coroners service of £47,000 and the Modern Records service of £8,000 are unchanged from the previous report. These pressures are now partially offset by an £18,000 reduction in charges from leisure centres for “time out” memberships for carers.

The Adult Social Care commissioning & support budget is overspent by £1,326,000. In line with government guidance the Council is supporting providers of adult social care with financial support in meeting the additional costs they are incurring in dealing with the Covid 19 pandemic. Support payments of £1,042,200 have been made up to 30 June, and this is forecast to increase to £1,270,000. No budget had been set for this purpose. These costs are not covered by the Infection Control Grant. The balance of the pressure arises from additional costs of the Emergency Duty Team run by Bracknell Forest BC under a joint arrangement.

**Table 5.1: Director & Support Revenue budget position**

Service Area	Current Budget	Forecast Outturn	Forecast Variance	%	Change from last Report
	£'000	£'000	£'000		£'000
<b>Director &amp; Support Teams</b>					
<b>Communications &amp; Marketing</b>	439	492	53	12%	
<b>Transformation &amp; Systems</b>	269	269			
<b>Director, Procurement &amp; Partnerships</b>	427	427			
<b>Modern Records, Coroners &amp; support</b>	537	574	37	7%	-18
<b>Adult Social Care Commissioning &amp; Support</b>	591	1,917	1,326	224%	-224
<b>Government Grant Income</b>	-814	-814			
<b>Total - Director &amp; support Teams</b>	<b>1,449</b>	<b>2,865</b>	<b>1,416</b>	<b>98%</b>	<b>-242</b>

### 6.2 Adult Social Care.

#### Summary

The Adult Social Care gross expenditure budget is £48,349,000 and the income budget is £13,130,000 giving a net budget of £35,219,000. An underspend of £1,342,000 is forecast for the year. However, as noted above, there is a significant cost to the Council this year in respect of its responsibilities to manage and stabilise the “social care market”, whereby financial support is being given to social care providers, estimated at £1,270,000. After accounting for this pressure, the net position of the Council in respect of its financial management of its social care responsibilities is an underspend of £16,000. The detailed variances are summarised below and set out in the table below.

#### Older people & Physical disability

The gross cost of providing homecare and direct payments is forecast to exceed budget by £748,000 due to increased demand. Income from contributions from service users towards the cost of their care is expected to fall by £135,000. These pressures have been offset in

part by additional income from the Better Care Fund and from income from the CCG (Clinical Commissioning Group) provided to facilitate hospital discharge and to prevent hospital admissions. The net pressure on domiciliary services is estimated at £103,000.

The number of residents supported long term in nursing homes has fallen significantly due to the impact of Covid 19. Chart 1 below illustrates the reduction in spot placements into nursing care since March this year. Numbers are forecast to increase over the remainder of the year. The number of spot placements into residential homes remains close to budget forecasts. Gross expenditure for the year on residential and nursing care is expected to be below budget by £1,036,000 this year. With lower placement numbers there will be a reduction in income from contributions; this is estimated to give a budget pressure of £597,000. Hospital discharge funding from the CCG is estimated at £850,000. The net saving in long term residential & nursing care is estimated at £1,289,000.

### Learning Disability

Expenditure on Learning Disability budgets can vary significantly from budget as noted below under “Areas of Risk & Opportunity” section C. The current care requirements and anticipated care requirements of service users are reviewed regularly as circumstances impacting on costs can change rapidly. Reviews undertaken in recent weeks indicate costs will increase over the remainder of this year and the forecast costs this year of those in residential and nursing care have risen by £240,000 since last reported. However this increase is partially offset by forecast savings in other budgets and the total Learning Disability budget is expected to underspend by £106,000 this year.

### Mental Health and other care

A pressure of £130,000 is forecast in the Mental Health budget following one high cost placement that commenced in July this year.

Expenditure on support to care providers is expected to be £1,270,000 this year. This is £230,000 below that forecast in the last report. This is discussed in paragraph 6.1 above.

Note, in the table below The “Summary Type” column indicates where the budget line falls into the “Summary Position” section at the foot of this table. Thus lines with Summary Type “Optalis” will sum to the line “Optalis Contract Total”.

**Table 5.2: Adult Social Care Revenue Budget Position**

Summary Type	Care Group / Service	Current Budget	Forecast Outturn	Forecast Variance	%	Change from last Report
	<b>Older People &amp; Physical Disability</b>	£'000	£'000	£'000	%	£'000
Spend	Home Care	4,532	5,361	829	18%	71
Optalis	Direct Payments	1,904	1,823	-81	-4%	
Income	Income - contributions towards personal budgets	-1,225	-1,090	135	-11%	
Income	CCG income for Homecare		-402	-402		-102
Income	BCF Income: in-year allocation		-378	-378		-378
	Domiciliary Services sub-total	5,211	5,314	103	2%	-409
Spend	Residential & Nursing care block	8,408	8,408			
Optalis	Residential & Nursing care - spot	7,593	6,557	-1,036	-14%	-218
Income	Income from charges.	-6,041	-5,444	597	-10%	186

Summary Type	Care Group / Service	Current Budget	Forecast Outturn	Forecast Variance	%	Change from last Report
Income	CCG income for Nursing placements		-850	-850		-500
	Residential & Nursing sub-total	9,960	8,671	-1,289	-13%	-532
Optalis	Day & Other Care	1,468	1,638	170	12%	-7
Optalis	Short Term Support & Re-ablement BCF	2,231	2,111	-120	-5%	
Spend	Equipment	621	541	-80	-13%	
Income	CCG income for Equipment & Staff		-113	-113		-63
C&S	Emergency duty team	258	314	56	22%	6
Optalis	Care Teams staffing	2,608	2,608			
	Daycare, Equipment & Staff teams sub-total	7,186	7,099	-87	15%	-64
	<b>Older People &amp; Physical Disability Total</b>	<b>22,357</b>	<b>21,084</b>	<b>-1,273</b>	<b>-6%</b>	<b>-1,005</b>
	<b>Learning Disability</b>					
Spend	Residential; Nursing; Supported Living block	1,838	1,780	-58	-3%	-58
Optalis	Residential & Nursing care - spot	6,219	6,389	170	3%	240
Optalis	Residential & Supported Living - Optalis provider	3,419	3,349	-70	-2%	-21
Optalis	Supported Living - spot	2,799	2,799			
Optalis	Day & Other Care - Optalis Provider	2,533	2,455	-78	-3%	-68
Income	Income from charges	-1,463	-1,463			
Income	Other Income	-598	-598			
Optalis	Care Teams staffing	761	691	-70	-9%	-10
	<b>Learning Disability Total</b>	<b>15,508</b>	<b>15,402</b>	<b>-106</b>	<b>-1%</b>	<b>83</b>
	<b>Mental Health &amp; other Adult Social Care</b>					
Optalis	Mental Health services	2,442	2,572	130	5%	130
Optalsi	Mental Health Team	1,144	1,144			
Income	Mental Health Income	-421	-421			
Spend	Transport & Voluntary sector support	501	469	-32	-6%	-9
Optalis	Safeguarding, Management & Support	1,852	1,852			
C&S	Joint Commissioning Team staff	333	333			
C&S	Provider support		1,270	1,270		-230
Optalis	Better Care Fund Income Optalis	-4,524	-4,404	120	-3%	
Income	Better Care Fund Income RBWM	-3,382	-3,507	-125	4%	-5
	<b>Mental Health &amp; other Adult Social Care Total</b>	<b>-2,055</b>	<b>-692</b>	<b>1,363</b>	<b>-66%</b>	<b>-114</b>
	<b>Total All Adult Social Care</b>	<b>35,810</b>	<b>35,794</b>	<b>-16</b>	<b>0%</b>	<b>-1,036</b>
	<b>Adult Social Care Summary</b>					
Spend	<b>RBWM Expenditure budgets</b>	15,900	16,559	659	4%	4
Income	<b>RBWM Income budgets</b>	-13,130	-14,266	-1,136	9%	-862
Optalis	<b>Optalis Contract Total</b>	32,449	31,584	-865	-3%	46
	<b>ADULT SOCIAL CARE –see table in Appendix A</b>	<b>35,219</b>	<b>33,877</b>	<b>-1,342</b>	<b>10%</b>	<b>-812</b>
C&S	<b>Adult Social Care - Commissioning &amp; Support</b>	591	1,917	1,326	224%	-224
	<b>Total All Adult Social Care</b>	<b>35,810</b>	<b>35,794</b>	<b>-16</b>	<b>0%</b>	<b>-1,036</b>

### 6.3 Public Health, Better Care fund

There are no variances to report on these budgets

The Public Health budget is fully funded by the £4,761,000 ring fenced Public Health Grant. Underspends on this budget must be carried forward in a public health reserve.

The Better Care Fund is a budget held in partnership with East Berkshire Clinical Commissioning Group and is accounted for in totality in the Council's accounts. Variances to planned spend on individual projects are shown in the service area to which that project relates.

Care Group / Service	Current Budget	Forecast Outturn	Forecast Variance
	£'000	£'000	£'000
Public Health – gross spend	5,197	5,197	0
Better Care fund – expenditure	13,747	13,747	0
Grant & Better Care fund income	(17,714)	(17,714)	0

## 6.7 Areas of Risk & Opportunity

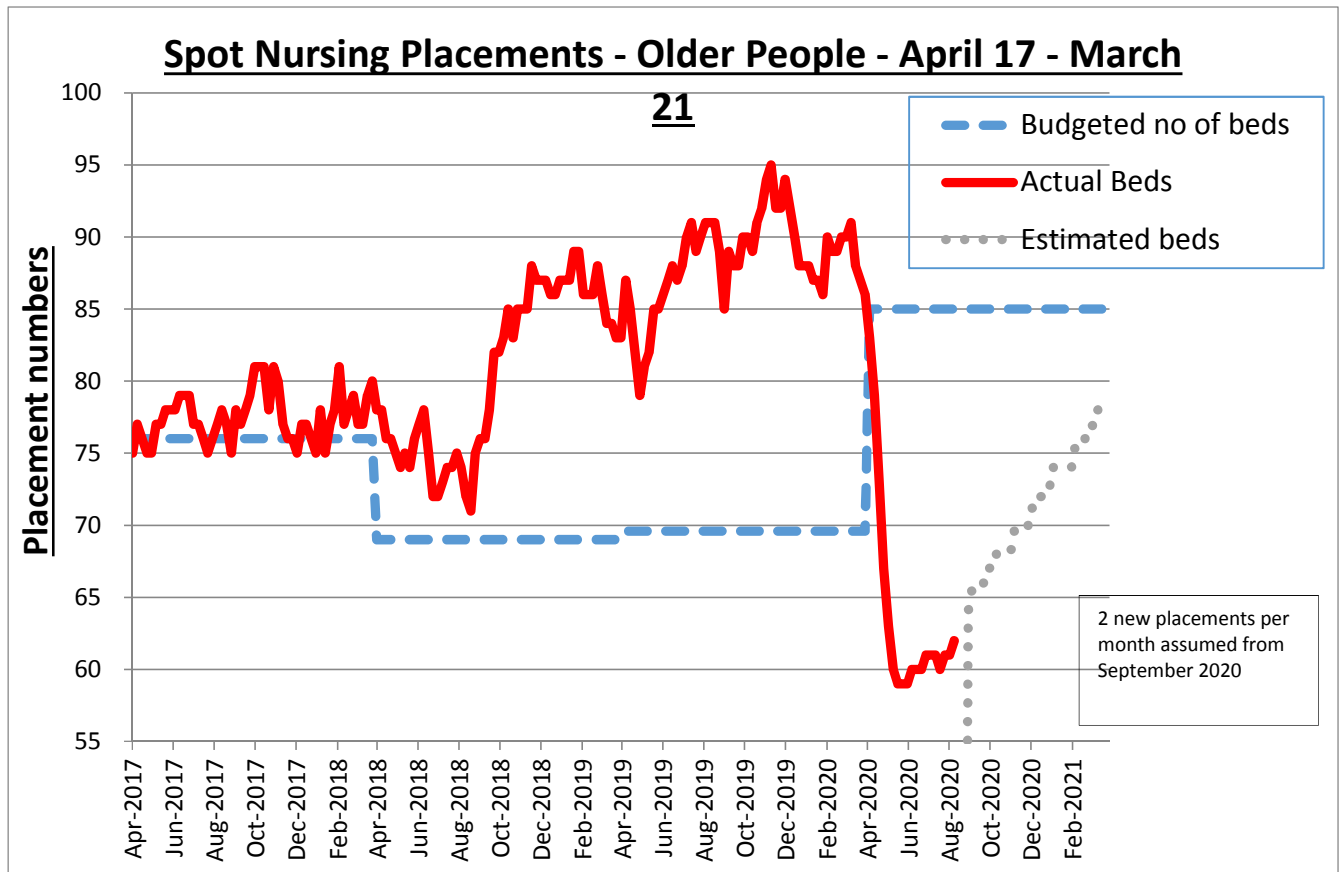
### A. Placements of Older People in Nursing Homes.

Residents over 65 years old who require social care support and cannot be cared for in their own home are placed either in residential care homes or in nursing homes. Residents are financially assessed to ascertain how much they should contribute towards the cost of their placement. Nursing care is commissioned under block contracts (97 beds) and spot contracts (95 beds). Block contracts are generally maintained at capacity and by their nature the financial risk is low. The spot contract budget for nursing care is £4.3m. This is a volatile budget varying with the impact of 'flu epidemics, winter conditions and now, the Covid 19 pandemic.

The nursing care expenditure budget was based upon the actual number of residents in nursing care during 2019/20. The current estimated cost for the year extrapolates from the current low numbers being cared for, and assumes a gradual increase in numbers over the remainder of the year. These assumptions support the forecast underspend in nursing case spot placements expenditure this year of £826,000. Hand in hand with lower spend comes lower income from contributions from residents and from free nursing care (FNC) income.

The commissioning of spot nursing care placements over recent years is shown in the graph below. This graph shows the numbers of spot placements commissioned at any one time from April 2017 to date, with a forecast until the financial year end. The reduction in placements commencing in March this year is evident.

**Chart 1: Spot Nursing Placements**

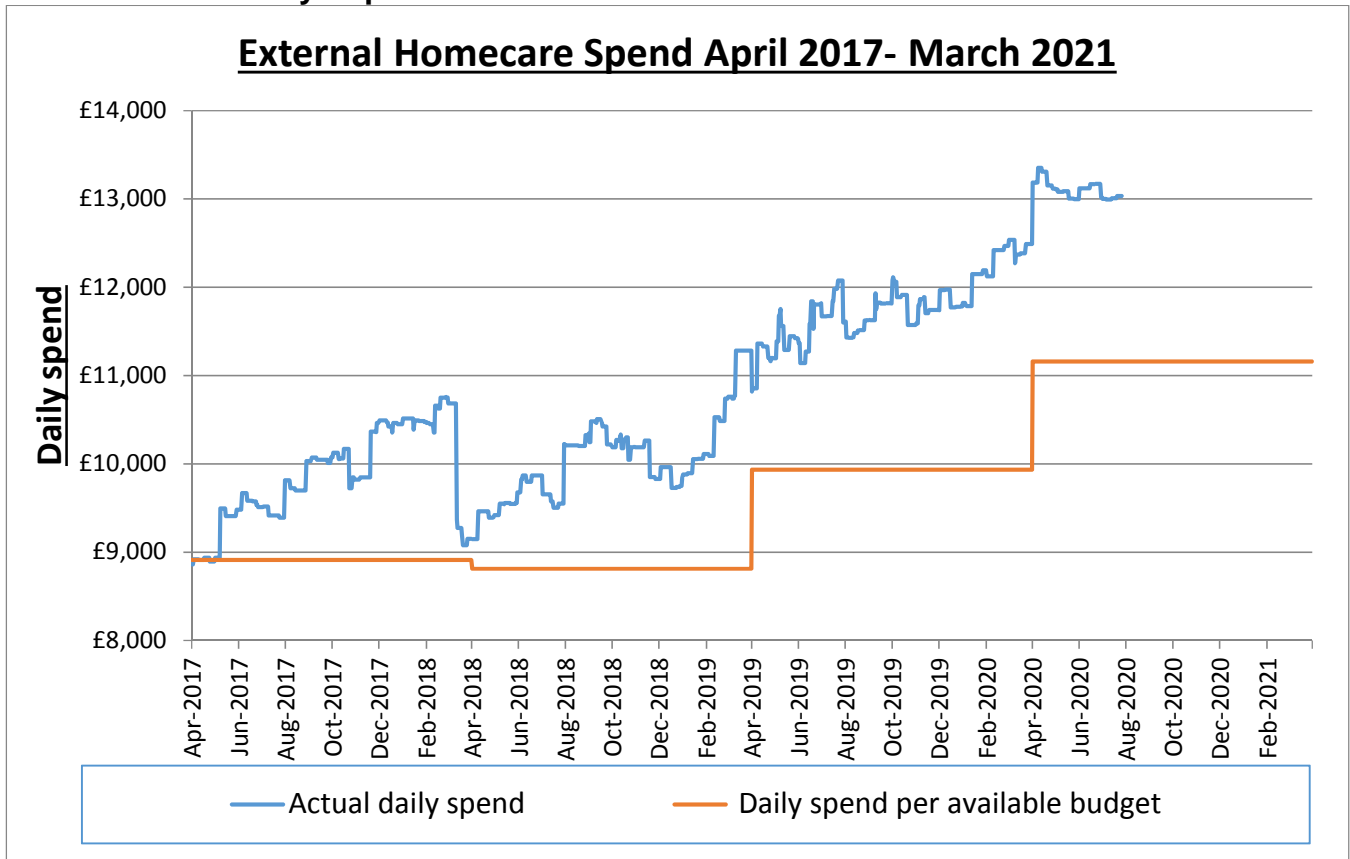


**B. Homecare & Direct Payments to older people**

Residents over 65 years old who are assessed to require social care support and can be cared for in their own home are provided with a package of care that will usually include a homecare service. Residents may request to receive “Direct Payments” and use this funding to commission their own care. Residents are financially assessed to ascertain how much they should contribute towards the cost of their care package. Homecare is another volatile budget also varying with the impact of ‘flu epidemics, winter conditions and the Covid 19 pandemic. The current homecare budget for older people and the physically disabled is £4,532,000. The daily spend over recent years is shown in the graph below.

Following the onset of the Covid 19 pandemic in March this year, there was a significant increase in spend on homecare as measured by spend per day. The rate of spend has ceased to increase; however it remains significantly above budget. A budget pressure of £849,000 is forecast for the year. Funding has been made available through the CCG to meet the costs of domiciliary care packages that enable hospital discharges and prevent hospital admissions. Additional income of £258,000 has been agreed as an allocation from the Better Care Fund. Savings of £120,000 in the Short term Support and Rehabilitation service (STS&R) have also been allocated to the homecare budget through the Better Care Fund. After accounting for this income an over spend of £103,000 is forecast this year.

**Chart 2: Daily Expenditure on Homecare**



**C. People with Learning Disability requiring high level of support**

The Council supports a number of adults with learning disability who are assessed to require social care support. The support varies from funding services such as day-care that enable the resident to remain in their parental home, to assisting the resident to live in their own rented accommodation, known as “supported living”, and to commissioning a residential care placement.

Significant costs are incurred by the Council in funding supported living and residential care packages. The cost of these packages varies considerably depending upon the needs of individual residents. The table below shows the numbers of residents supported by the Council in cost bandings shown by £/week.

There can be significant variations from budget forecasts due to changes in the number of high cost packages. The number of packages will change for a number of reasons including children transitioning to adults, eligibility for continuing health care (CHC), movements into and out of the borough and changes in the ability of elderly parents to look after their learning disabled children.

The 2020/21 budget for residential care and supported living for people with a learning disability is £10,339,000. The numbers of people supported by cost banding is shown in **Table 6** below. Note that this table shows actual numbers of people supported in July. Forecast spend for the year will include costs of anticipated changes in packages of care over the remainder of the year.

**Table 6 Learning Disability – residents supported shown by cost bandings.**

Placement Band £/week	Average Cost £/week	Budget number	Current number (July)	Change in number
0 – 500	197	102	99	(3)
501 – 800	605	27	26	(1)
800 – 1000	898	10	9	(1)
1,000 – 2,000	1,504	61	60	(1)
2,000+	2,425	25	24	(1)

**D. Continuing Health Care**

Where residents' needs meet specific health criteria they will be eligible for continuing healthcare funding (CHC) for their entire care package.. Residents are not required to make a financial contribution towards a CHC package.

Where the Council is funding social care for a resident the Council may request the CCG consider whether that resident is eligible for CHC. If the CCG agrees they are eligible the CCG will fund the package cost back dated to when the request was registered with the CCG. Conversely, a resident in receipt of CHC funding may be reviewed by the CCG and lose their CHC funding if they no longer meet the appropriate eligibility criteria. In a minority of cases the Council and the CCG do not agree on the application of the eligibility criteria and the case is disputed and goes to arbitration.

The care needs and therefore the care costs of residents who are on the borderline of qualifying for CHC are generally high. Therefore the impact on the Council and the CCG of the application of the eligibility criteria is financially significant. The table below summarises the number of cases currently under consideration and gives the aggregate cost of these cases. The impact on the Council in this financial year of all cases being considered eligible and of all cases being considered ineligible, is shown. These are unlikely scenarios and the totals are given as an indication of the risk and potential impact on the budget. The outcome of individual requests and reviews will be unknown until the review is complete which can take up to a year, and where disputed this can add several months to the period of uncertainty.

**Table 7 showing number & value of current reviews of CHC eligibility.**

Category of Claim	No. of cases	Aggregate Annual care package cost £000	Current year maximum cost avoided if eligible £000	Current year maximum cost if not eligible £000
Applications for CHC funding made to CCG – in progress	7	504	243	
Application to CCG under dispute	1	76	101	0
CCG review of people with CHC funding, review in progress	4	304	0	304
CCG review outcome disputed	1	144	0	20
<b>TOTALS</b>	<b>13</b>	<b>1,028</b>	<b>344</b>	<b>324</b>

6.9 The Commissioning – Infrastructure budgets include budgets for the provision of the car parking service, highways, street cleaning, transport, grounds maintenance and waste.

The Commissioning & Support budgets cover the Director and her immediate support, Public Health budgets, the Better Care Fund, the Commissioning Team for people services, Transformation & Systems Team and Communications & Marketing.

The Public Health budget is fully funded by the £4,761,000 ring fenced Public Health Grant. Underspends on this budget must be carried forward in a public health reserve.

The Better Care Fund is a budget held in partnership with East Berkshire Clinical Commissioning Group and is accounted for in totality in the council's accounts. Variances to planned spend on individual projects are shown in the service area to which that project relates.

**Table 8 Infrastructure & Other Revenue budget position**

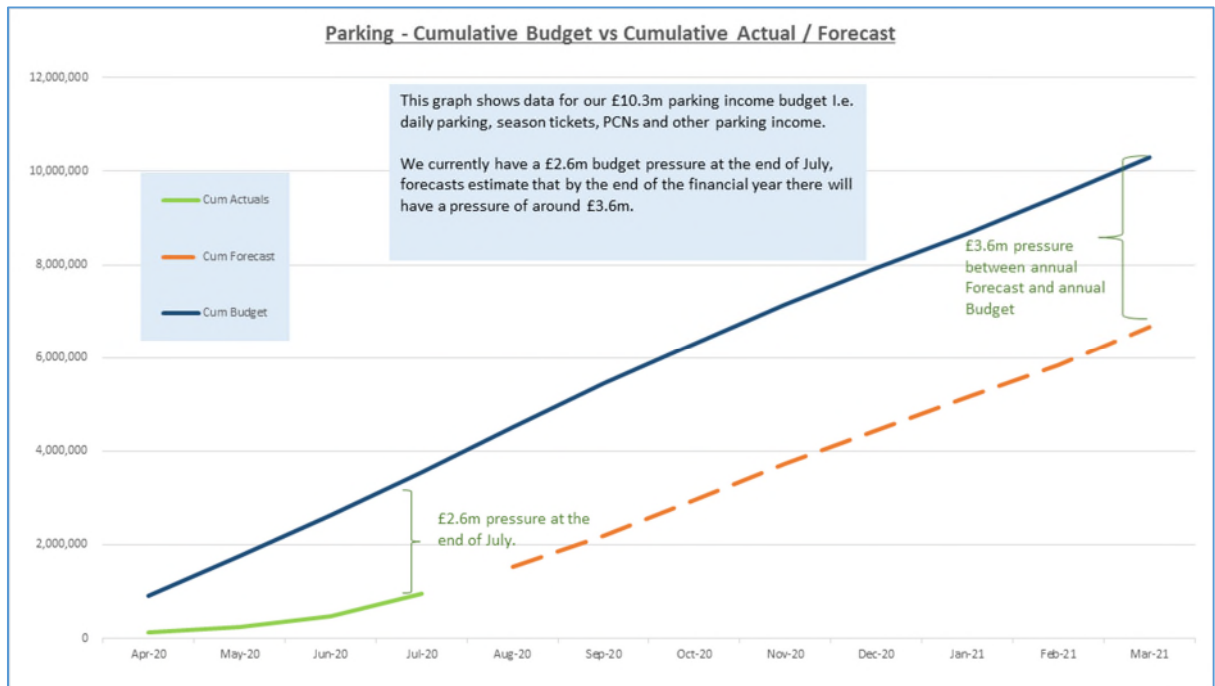
Ref:	Infrastructure & Other	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000
	<b>Commissioning – Infrastructure:</b>			
	Parking Income	(10,334)	(6,669)	3,665
	Parking Expenditure including operations	3,276	3,399	123
	Highways street works income	(722)	(422)	300
	Highways Other	4,629	4,752	123
	Waste	9,356	9,156	(200)
	Transport & Traffic	874	934	60
	Other – Public Conveniences and Pooled Vehicles	75	75	0
	Commissioning Team	1,135	1,195	60
	Concessionary Fares	1,150	1,150	0
	<b>Total Commissioning - Infrastructure</b>	<b>9,439</b>	<b>13,570</b>	<b>4,131</b>

#### 6.10 Areas of Risk & Opportunity (Significant)

Car parking income has been significantly impacted by the COVID 19 emergency, not only with regard to a drop in demand in the period to date, but also in the ability of the service to deliver the in-built savings of £730,000 relating mostly to the removal of the Advantage Card subsidy from 1<sup>st</sup> April. A further free period of parking for Advantage Card users (ended mid-July) was agreed by members to help stimulate the retail economy and this was expected to cost a further £35,000.

The actual adverse variance as at July for all car parking income was £2,563,000. It is anticipated that the full year pressure as a result of COVID 19 will be in the region of £3,600,000.



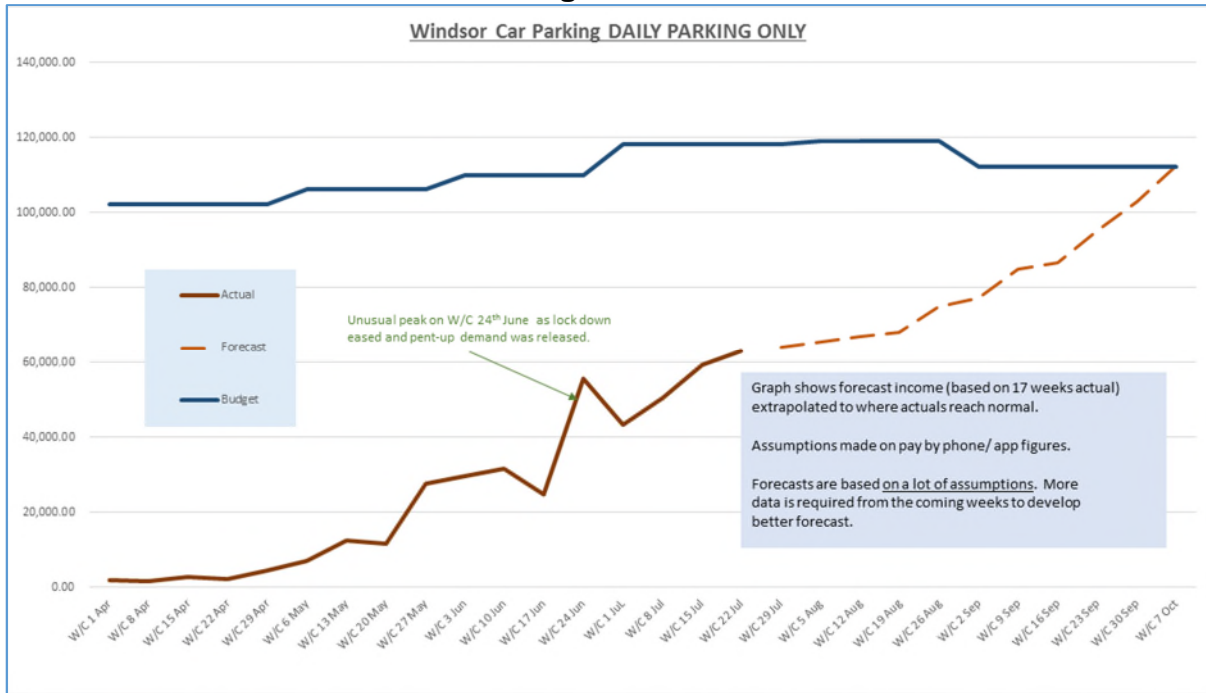


To arrive at the forecast, a model has been used to predict future income. This model includes assumptions based on past experience, income to date, anticipated step changes in income as demand increases in direct relation to the government easing of lockdown restrictions and the nature of past demand. In Windsor that is driven by tourism and short stay parking; in Maidenhead, it is commuters and season ticket sales.

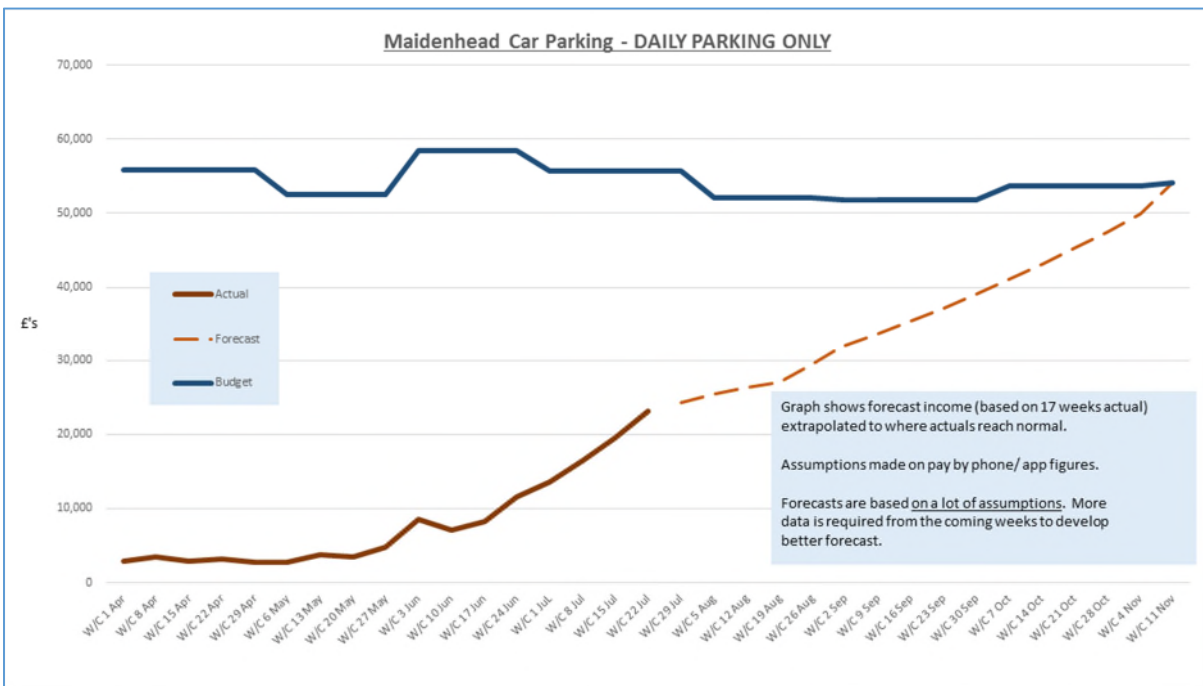
Early indications are that the income in Windsor will recover quicker than Maidenhead due to the return of visitors to the area. Changes to working patterns, i.e. more home working are likely to have a longer lasting impact on income in Maidenhead and this will be exacerbated by the loss of capacity going into 2021/22 as a result of town centre regeneration projects.

The following graphs show the trajectory forecast in car parking ticket sales as they recover to normal levels.

**Chart 3 – Windsor Car Parking Income**



**Chart 4: Maidenhead Car Parking Income**



Total lost income for car parking tickets is anticipated to be £2,738,000. Other income including season tickets, penalties and lost advertising amount to a further £897,000. The model is updated regularly for actual data, and assumptions will be reviewed in the light of experience.

Of particular concern is parking season ticket sales. Only 53% of expected parking season ticket income has been achieved so far, and forecasts suggest similar levels for the remainder of the year. Demand has reduced with many people working from home, redundancies and other uncertainties. Individual season ticket holders have almost stopped renewing; the season ticket income that we have received has almost all been from business customers (last year 70% of season tickets were from businesses).

The forecast car parking expenditure of £123,000 includes a service charge in relation to the Sainsbury's Rotunda building that has been in excess of budget for a number of years. The overspend this year is forecast to be £77,000.

A 12 month trial for additional warden patrols to cover rural areas where there were issues with illegal parking was approved by Cabinet on 29th August 2019. It is anticipated that this will cost £49,000 this year.

Highways Street works and licencing is another income generating service impacted by lockdown, as utility companies have delayed street works activities, and events which attract fees by using the public highway have been cancelled. The actual adverse variance as at July was £222,000 (May £116,000). It is anticipated that lost income could reach £300,000 for the year.

Other key Highways variances consist of an unbudgeted £80,000 contributing towards extra space at Wexham Park hospital. The space is to be used as a place of rest for people who have died from COVID 19. There is also £90,000 budget pressure around grounds maintenance through contract inflation and extra costs. There is also pressure from delays in savings initiatives being implemented: a review around supported bus services has been delayed, which is anticipated to have a £50,000 pressure impact. There are also some savings where alternative capital funding has been identified for bridge works.

Waste budgets are projected to produce £200,000 savings. Green waste subscription fees were increased last year, and with the spring lockdown more people have been subscribing to the service which has seen an income boost. Waste disposal volumes have also decreased through alternative weekly collection and there have been savings as civic amenity sites have been closed. Normally a significant contribution is paid to Slough Borough Council for RBWM using their amenity site in Chalvey; however the site has been closed to RBWM residents for several months.

## 7 Resources Directorate

The Directorate is forecasting an overspend of £1,183,000 for the year before the contingency adjustment of £1,300,000. This overspend represents 15.58% (June 10.2%) of the current budget of £7,591,000.

The contingency budget of £1,300,000, set aside for undeliverable savings built into the 2020/21 budget, is for all services. Undeliverable savings within resources amounts to £100,000 and relates to parking permit income.

Analysis of the overspend follows in **Table 9** below.

**Table 9 Resources Revenue budget position**

Ref:	Resources	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000
	<b>Resources:</b>			
	<b>Director of Resources</b>	<b>210</b>	<b>210</b>	<b>0</b>
	R&B Management & Business Services	1,067	1,362	295
	Operational Support incl. Parking and Permits	(180)	(36)	144
	Registrars	(320)	(4)	316
	Libraries & Residents Services	2,763	2,898	135
	<b>R, B, L&amp;RS Total</b>	<b>3,330</b>	<b>4,220</b>	<b>890</b>
	Housing Benefits	91	459	368
	HR, Corporate Projects & IT	2,588	2,588	0
	Finance	1,331	1,331	0
	Corporate Management	41	(34)	(75)
	<b>Sub Total</b>	<b>7,591</b>	<b>8,774</b>	<b>1,183</b>
	<b>Corporate Contingency:</b>			
	Demographic growth Adults	1,081	1,081	0
	Demographic growth Childrens	431	431	0
	Savings Delivery	1,300	0	(1,300)
	Contract costs	400	400	0
	<b>Total Contingency</b>	<b>3,212</b>	<b>1,912</b>	<b>(1,300)</b>
	<b>Total Resources</b>	<b>10,803</b>	<b>10,686</b>	<b>(117)</b>

### 7.1 Areas of Risk & Opportunity (Significant)

**A. Revenues and Benefits Management & Administration** – the impact on this service from increased public demands has been significant. Grants to businesses to help them survive the COVID 19 emergency lockdown is likely to be in the region of £30,000,000 this year (fully funded). The administration of this, and benefit changes, has led to increased staffing costs forecast as a £115,000 pressure (June £82,000). New burdens funding was received in early July to fund staffing and additional systems costs.

Additional agency cover as well as overtime for existing staff has been required to process a 140% increase in new claims, a 400% increase in changes in benefits plus the pressure outlined above.

Courts are currently closed and as result the income normally charged to help fund costs of the Council tax / NNDR recovery service has been nil. There is a provisional opening date of November (earlier forecasts were based on courts re-opening in June), although there is likely to be a backlog of cases. Council Tax/NNDR liability hearings may be delayed into the winter. The anticipated reduction in associated income this year is estimated at £368,000 (June £71,000), based on the actual revenue achieved last year up to Q1. Re-profiling of payment arrangements will push any costs recovered into future years

New burdens funding of £170,000 was received in August and that has mitigated some of these costs. This is included in the net forecast overspend of £295,000 for this service.

**B. Parking and Permits** – income from parking administration (suspensions, dispensations, visitor vouchers etc.) is currently nil. Losses of £10,000 per month for 4 months are anticipated at £40,000.

The introduction of charges for residents' parking built into the budget at £250,000 is not fully achievable as permits have been issued over the last 18 months for a period of two years. Thus there is now a delay to the full implementation of charging. This results in a delay and a pressure this year of £100,000. The saving will be fully deliverable in 2021/22.

**C. Registrars**, again this service has been significantly impacted by the COVID 19 lockdown as a significant source of income from weddings has been prohibited.

Recent wedding income achieved is 70% down against the level seen for the same period in 2019/20. Of the 500 weddings booked for 2020/21, 30 have moved to a new date this year, 210 have postponed to next year or have no new date. The impact of recession and increasing levels of unemployment may have an impact on income too. Currently estimated lost wedding income this year is 50% of the budget (£163,000) plus notice fees income losses of £37,000.

**D. Other Library and resident services.** Library closures and loss of a tenant as a result of lockdown is having an impact on income – forecast to be a £44,000 pressure this year. Further costs of £41,000 relate to historical savings which are undeliverable. There may be an opportunity to utilise available s106 contributions to ease pressures this year.

The closure of the libraries and continued successful delivery of services is an opportunity to review how the service is delivered and take advantage of new ways of working to protect the service, while delivering savings for the Council.

**E. Housing Benefits.** With the suspension of enforcement and closure of the courts, recovering overpaid housing benefit has become more difficult. The longer the recovery process takes, the less likely recovery is. Overpayment mainly results from changes in claimants' circumstances, involving retrospective benefit entitlement reductions. Actual income was significantly down against the expected level. It is anticipated that there will be pressure on this budget until the end of the furlough scheme in October. Current estimates are that there will be a £334,000 pressure based on current recovery rates (June £96,000).

Further delay in reintroducing enforcement and court closures has seen this additional cost increase significantly since the last report.

The bad debt provision for housing benefit overpayments is reviewed on a monthly basis. The forecasts above do not include any provision for the movement in this provision but there may be a need to increase it if the risk of debt being irrecoverable increases.

**F. Corporate Contingency.** The contingency is made up of a number of specific elements. £1,300,000 was set aside to bridge the gap where savings became undeliverable. It is anticipated that this will be required this year.

## 8 Place Directorate

The Directorate is forecasting an overspend of £5,883,000 for 2020/21 due to COVID 19. The two significant areas of pressure are in leisure and commercial rents, both of which may have significant impacts on the MTFP in this and future years. The forecast has reduced as a result of better than expected planning fee income, although savings built into the budget for increases in planning income of £100,000 and Visitor Management of £60,000 are still forecast as being undeliverable due to COVID 19.

Analysis of the overspend follows in **Table 10** below.

**Table 10 Place Revenue budget position**

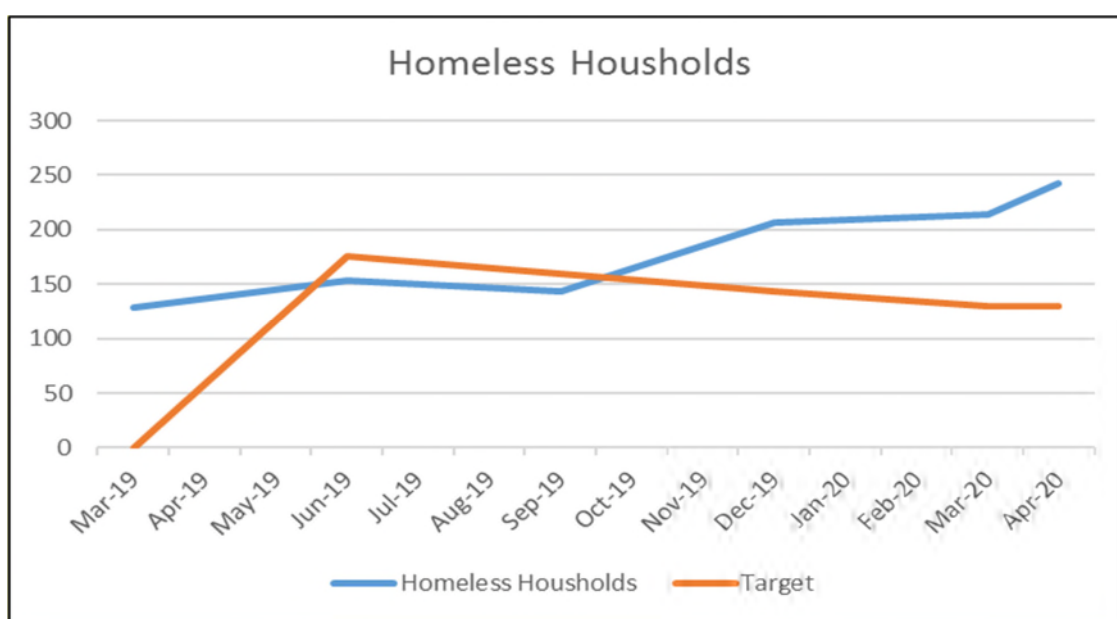
Ref:	Place	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000	Change from Last Time £000
	<b>Executive Director Place</b>	<b>245</b>	<b>245</b>	<b>0</b>	<b>0</b>
	<b>Housing &amp; Environmental Health:</b>				
	Housing Strategy	775	822	47	0
	Homelessness and Advice	648	1,506	858	0
	Environmental Health	913	883	(30)	0
	<b>Total H&amp;EH</b>	<b>2,336</b>	<b>3,211</b>	<b>875</b>	<b>0</b>
	<b>Planning:</b>				
	Development Control Income	(1,351)	(1,181)	170	0
	Planning Other	2,461	2,461	0	0
	<b>Total Planning</b>	<b>1,110</b>	<b>1,280</b>	<b>170</b>	<b>0</b>
	<b>Communities:</b>				
	Licencing/Enforcement Team	(456)	(309)	147	0
	Leisure Centres Concession Contract	(2,799)	37	2,836	0
	Communities Other	3,195	3,225	30	0
	<b>Total Communities</b>	<b>(60)</b>	<b>2,953</b>	<b>3,013</b>	<b>0</b>
	<b>Infrastructure, Sustainability &amp; Transport:</b>				
	Visitor Management	88	287	199	(35)
	Other IS&T	1,275	1,261	(14)	(13)
	<b>Total IS&amp;T</b>	<b>1,363</b>	<b>1,548</b>	<b>185</b>	<b>(48)</b>
	<b>Property:</b>				
	Industrial & Commercial Estates	(3,212)	(1,704)	1,508	17
	Other Property	522	654	132	0
	<b>Total Property</b>	<b>(2,690)</b>	<b>(1,050)</b>	<b>1,640</b>	<b>17</b>

Ref:	Place	Current Budget £000	Forecast Outturn £000	Forecast Outturn Variance £000	Change from Last Time £000
	<b>Total Place</b>	<b>2,304</b>	<b>8,187</b>	<b>5,883</b>	<b>(32)</b>

## 8.1 Areas of Risk & Opportunity (Significant)

**Homelessness** The pressure on this service has been increasing since before the COVID 19 emergency. The additional government directive to house all homeless in March and to ensure social distancing within temporary accommodation provision has added to the complexity of providing not only accommodation but support services to multiple sites. The chart below shows the growth in demand over the last year.

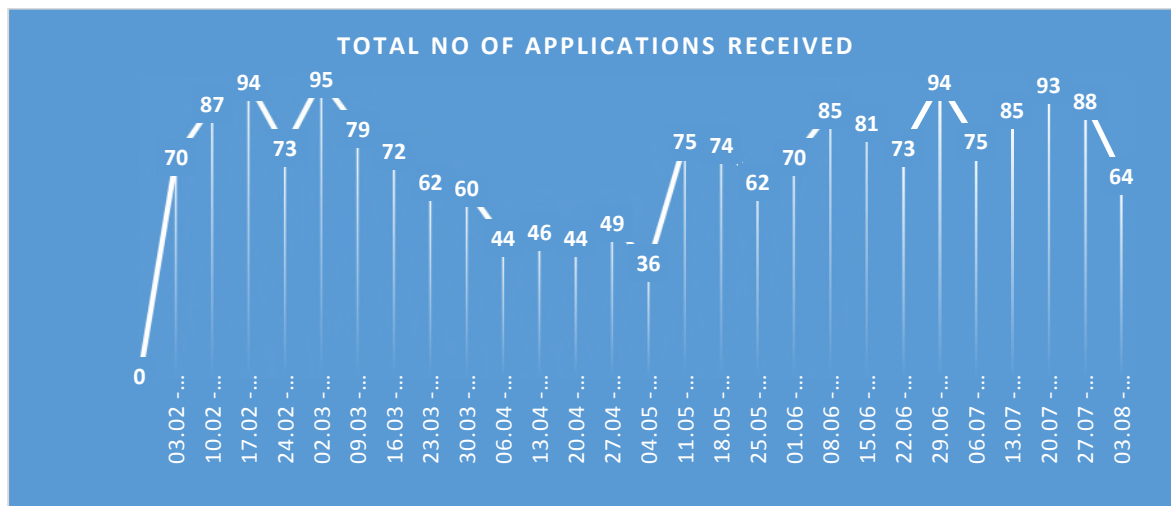
**Chart 5: Homeless Households**



The increase in demand relating to the COVID 19 emergency, including 75 homeless clients now on the Council's pathway, is forecast to cost the Council an additional £805,000 this year. This estimate is subject to ongoing review and costs may increase as a consequence of: new guidance relating to service provision being issued; the period over which Covid 19 related restrictions extends; and changes in demand.

**Planning** The number of planning applications fell significantly after COVID 19 lockdown measures were announced by the Government and employees began being furloughed. That dip can be seen in the graph below. Applications are recovering, although the longer term impact of the COVID emergency is still unclear. Looking at current income against budget and the demand data, the service is predicting a pressure this year of £170,000 due to COVID 19 (May £400,000). This forecast is being regularly reviewed and associated costs monitored. A major planning application fee received in the first quarter has mitigated the impact of COVID 19 on total fee income to the end of July.

**Chart 6: Planning Application Numbers**



**Licencing income** is down against budget at the end of July by £200,000 (May £96,476) due to COVID 19. Lockdown has had an impact on the taxi industry eliminating demand for new and renewed licences. Street traders and licenced premises have re-opened after a period of closure. Not all have re-opened. It is anticipated that 30% of licencing income will be lost this year; £147,000 out of a budget of £466,000 income.

**Leisure centres concession contract** – the contract with Parkwood to provide leisure services on behalf of RBWM has now been terminated (31<sup>st</sup> July). The impact of the COVID 19 lockdown and closure of leisure centres made the contract financially unsustainable. Leisure Focus, the new provider, took over the provision of leisure services on 1<sup>st</sup> August.

The new contract takes into account that leisure services will require at least 18 months to recover from the COVID 19 emergency measures and the impacts of ongoing social distancing. The financial impact of the change this year and on the MTFP is outlined in **Table 11** below and will increase savings required over the course of the MTFP by at least £5,198,000. Further details can be found in the Part 2 Cabinet report on Leisure Services on 25<sup>th</sup> June 2020. There is expected to be a net income stream from the new arrangement from 2021/22.

**Table 11 Change in Leisure Provision**

	2020/21 £000	2021/22 £000	2022/23 £000
Loss of management fee from Parkwood Leisure	2,885	2,885	2,885
Income from New Provider based on initial business plan	0	(1,142)	(2,307)
Net Settlement payment from Parkwood Leisure after costs	(47)	0	0
<b>Total Pressure</b>	<b>2,838</b>	<b>1,758</b>	<b>592</b>

**Visitor Management** has been dramatically hit by the COVID 19 emergency: Commissions from events which have been postponed until 2021/22 or are behind



closed doors (£50,000 loss), advertising through publications (£70,000 loss) and income from local businesses (Windsor partnership £75,000 loss). This income was essential to achieving the savings built into the budget of £60,000 for 2020/21.

The forecast overspend in this service due to COVID 19 is £199,000.

**Industrial and Commercial estates** - COVID 19 has had and will have a growing and significant effect on the Council's commercial rent position and also how the Council is able to effectively manage rental income collection. Closed businesses and those that have furloughed staff have limited ability to generate cash to pay their commercial rent. Those cash reserves are likely to diminish during the year, making Q2-Q4 rents increasingly difficult to collect. Current arrears are £890,302. Payment plans and other arrangements are being negotiated with tenants aimed at securing long term recovery of rental income and minimising voids.

**Table 12** below splits annual rents between tenant risk profiles to give an estimated COVID 19 related pressure this year of £1,282,738 on income.

**Table 12 – Assessment of Tenant Risk**

Tenant Risk Category	Best Case Probability	Best Case Impact	Base Case Probability	Base Case Income Loss
High	45%	£1,064,625	65%	£904,833
Medium	25%	£221,801	45%	£225,358
Low	15%	£154,984	35%	£152,547
		<b>£1,441,410</b>		<b>£1,282,738</b>

The forecast above is subject to review on an ongoing basis. Risk levels remain unchanged from those reported in May.

Costs associated with voids have been assessed at £500,000 potentially for a period of six months giving an overall COVID pressure of £1,790,000. Unbudgeted extra income relating to Sienna Court of £275,000 and other small favourable variances have partially mitigated this pressure.

## 9. Children's Services

Since August 2017 Children's Services of the Royal Borough of Windsor and Maidenhead have been provided through the partnership arrangement with Achieving for Children, a community interest company (a not for profit social enterprise). Achieving for Children work across the London Borough of Richmond, the Royal Borough of Kingston and the Royal Borough of Windsor and Maidenhead. Our services in Windsor and Maidenhead are rated as "good" by Ofsted following an inspection in January 2020.

As a social enterprise Achieving for Children strives to achieve excellence in everything we do by putting children and young people first in the design, delivery and evaluation of every service we provide, to ensure that they are supported to live safe, happy, healthy and

successful lives. Our broad service is informed by leading practice and a strong evidence based approach of what works best. It is guided by our daily work with children and young people and the organisations that work with us to help and support them.

Our focus is always on maximising the use of resources by creating economies of scale and reducing management and overhead costs, so that we can ensure high quality frontline services that really deliver results.

The overall budget for Children's Services including the Dedicated Schools Grant is £88,540,000 with a net forecast variance of £1,487,000 of which £208,000 is transferred to the Dedicated School deficit resulting in a net overspend on Children's Services non Dedicated Schools Grant of £1,279,000. The financial position for 2020/21 is set out in table 13.

The updated reported variance is an adverse net movement of £38,000. The material changes reflect further government updates including changes in expectations relating to wider school returns during the summer term resulting in a reduction in the projected COVID 19 risks of £143,000. This is offset by an increase in the cost of placements of £177,000 mainly as a result of one new complex placement.

**Table 13 – Children's Services budget position 2020/21**

	Service	Current Budget £000	Forecast Outturn £000	Forecast Variance £000	Percentage Variance %
	<b>Children's Services non Dedicated Schools Grant</b>				
*	Social Care and Early Help	16,698	18,042	1,344	8%
*	Business Services	3,042	3,097	55	2%
*	Education	895	949	54	6%
*	Operational Strategic Management	295	295	0	0%
*	Public Health	1,725	1,725	0	0%
*	Special Educational Needs and Children with Disabilities	3,144	2,849	(295)	-9%
	Children's Services – Retained	(2,617)	(2,496)	121	5%
	<b>Total Children's Services non Dedicated Schools Grant</b>	<b>23,184</b>	<b>24,461</b>	<b>1,279</b>	<b>6%</b>
	<b>Dedicated Schools Grant</b>				
*	AfC Contract - Dedicated Schools Grant	11,135	11,463	328	3%
	Dedicated Schools Grant – Retained	54,223	54,103	(120)	0%
	Dedicated Schools Grant Income (transfer to DSG deficit)	(65,358)	(65,566)	(208)	0%
	<b>Total Dedicated Schools Grant</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0%</b>
	<b>Summary Position</b>				
*	Achieving for Children Contract	36,934	38,420	1,486	4%
	Children's Services - Retained	(2,617)	(2,496)	121	5%
	Dedicated Schools Grant - Retained	54,223	54,103	(120)	0%
	<b>Total Children's Services budget</b>	<b>88,540</b>	<b>90,027</b>	<b>1,487</b>	<b>2%</b>

\* denotes budget lines that form part of the Achieving for Children contract

The services included within the Children's Services Directorate are set out below in **Appendix H**.

## Areas of Risk & Opportunity

The forecast variance of £1,279,000 consists of the following material variances as set in **Table 14**

**Table 14 – Children’s Services material variances**

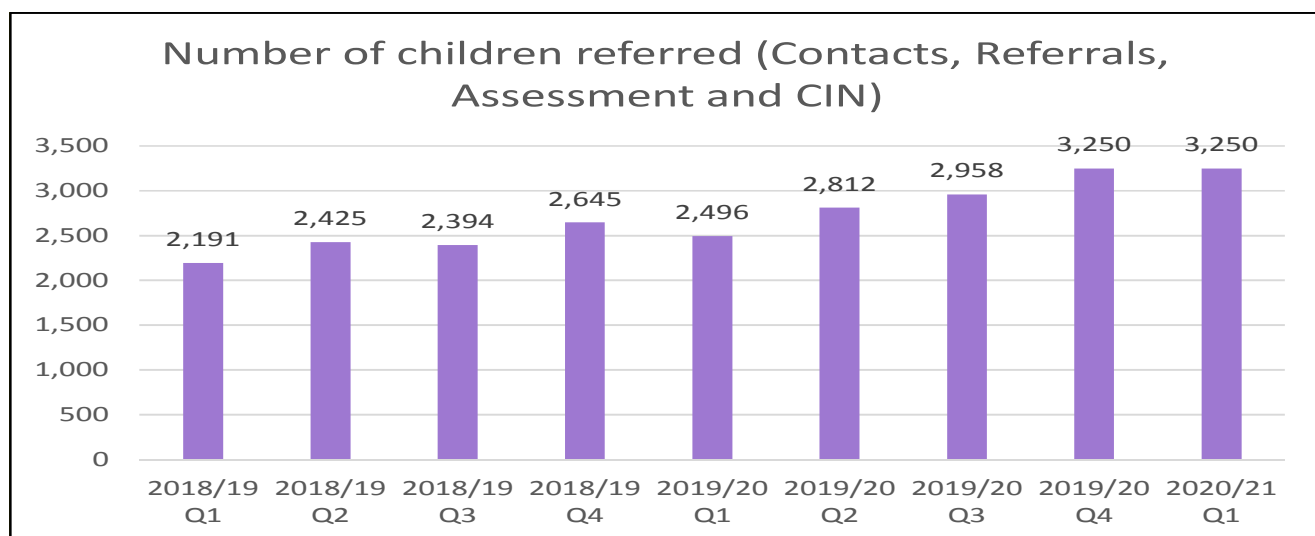
	Business As Usual	Covid 19	Forecast Outturn Variance	Note
	£000	£000	£000	
Total Social Care and Early Help	443	901	1,344	
Total Achieving for Children Other	79	(265)	(186)	
<b>Total Achieving for Children</b>	<b>522</b>	<b>636</b>	<b>1,158</b>	<b>1</b>
Children's Services – Retained	93	28	121	<b>2</b>
<b>Total Children's Services non Dedicated Schools Grant</b>	<b>615</b>	<b>664</b>	<b>1,279</b>	
AfC Contract - Dedicated Schools Grant	328	0	328	
Dedicated Schools Grant - Retained	(120)	0	(120)	
<b>Total Dedicated Schools Grant</b>	<b>208</b>	<b>0</b>	<b>208</b>	<b>3</b>
<b>Total Dedicated Schools Transfer to Reserve</b>	<b>(208)</b>	<b>0</b>	<b>(208)</b>	<b>4</b>
<b>Total Net Dedicated Schools Grant</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Total Forecast Outturn Variance</b>	<b>615</b>	<b>664</b>	<b>1,279</b>	

### **Total Achieving for Children non Dedicated Schools Grant (Note 1)**

The overspend of **£1,158,000** comprises of service overspends of £522,000 mainly relating to the underachievement of the savings plans in respect of the transformation of the new community hubs model (£160,000) and Legal Services( £25,000); additionally the legal services contract is projecting an overspend due to increased complex cases of £50,000; placements has a net overspend of £217,000; current projections indicate it is expected a request to drawdown the full demography fund will need to be submitted to RBWM due to increased volumes. Further overspends include increased operational costs including interest on balances of £40,000 (which is matched by reduced costs within RBWM) and the cost of mobile phones across the service of £17,000. **These variances total £522,000.**

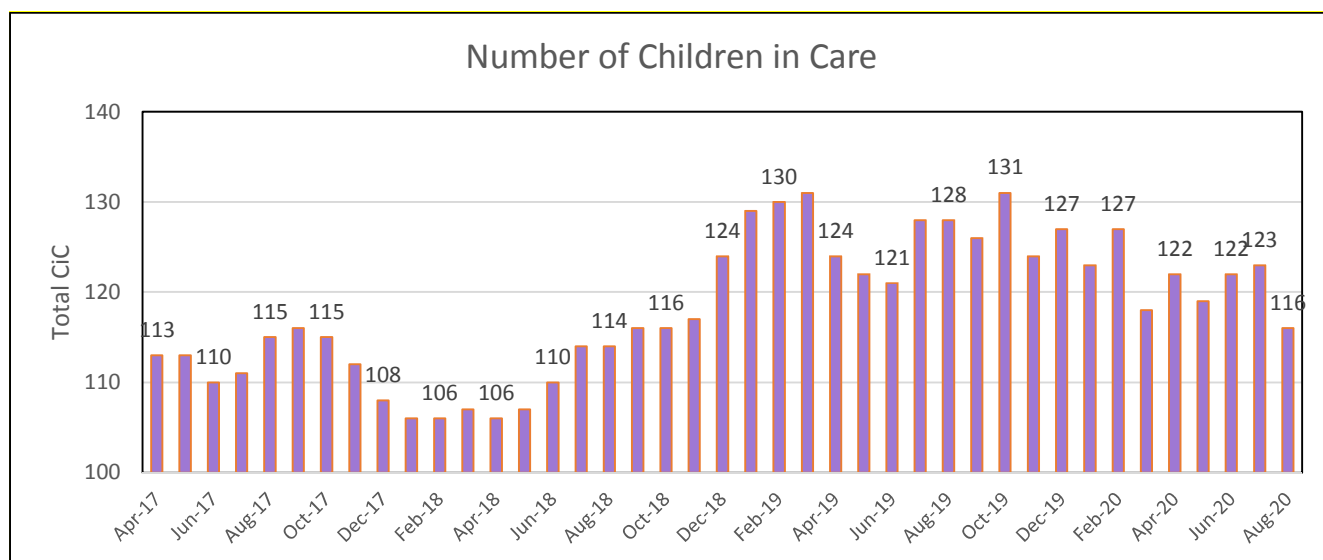
There are a number of key performance indicators that underlie the demands on the service. The charts below reflect the levels of demand on the service since April 2018.

**Chart 7: Number of children referred to Contacts, Referrals, Assessment and Children In Need**



The increase in the number of children referred reflects a significant increase in contacts generally and the impact of working with partner organisations to actively raise the profile of the service leading to a greater rate of referrals. It is expected this volume will significantly increase once further COVID 19 easing is in place including the full return to schools for pupils.

**Chart 8: Number of Children in Care**



During the period between August 2017 and May 2020 there has been a steady increase in the number of Children in Care with a peak of 131 in both March 2018 and October 2019. The average number of Children in Care across the full period is 118; however, for the last 12 months this average has been 125. Recent research by the Department of Education shows that the national number of children in care has gone up by 28% in the past decade. Most recently there has been an increase in the need for specialist placements for children with more complex needs.

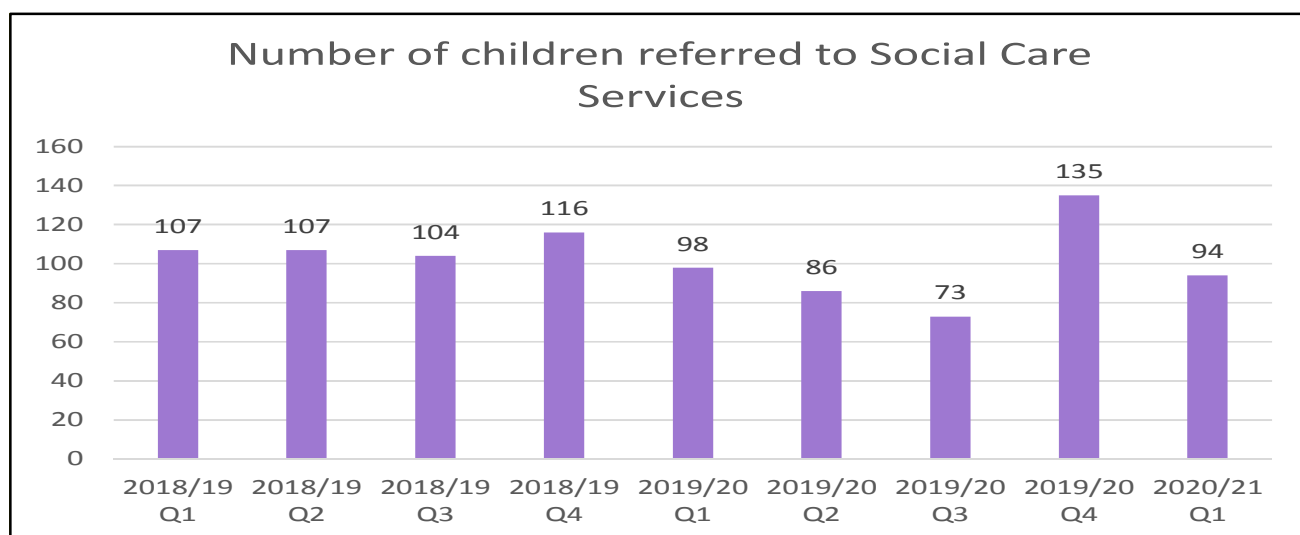
The latest national published data per 10,000 population is set out below:

**Table 15 – National Published Data of Children in Care per 10,000 population**

	2018/19
National (2015/16 60)	65
Mean All England	69
Highest All England	101
South East	53
RBWM	35

The national average of Children in Care for 2018/19 per 10,000 population of 65 has increased from 60 since 2015 representing an 8% increase. RBWM has seen the rate of Children in Care increase due to better identification, assessment and intervention in order to keep children and young people safeguarded and their welfare promoted. The RBWM rate remains comparatively low.

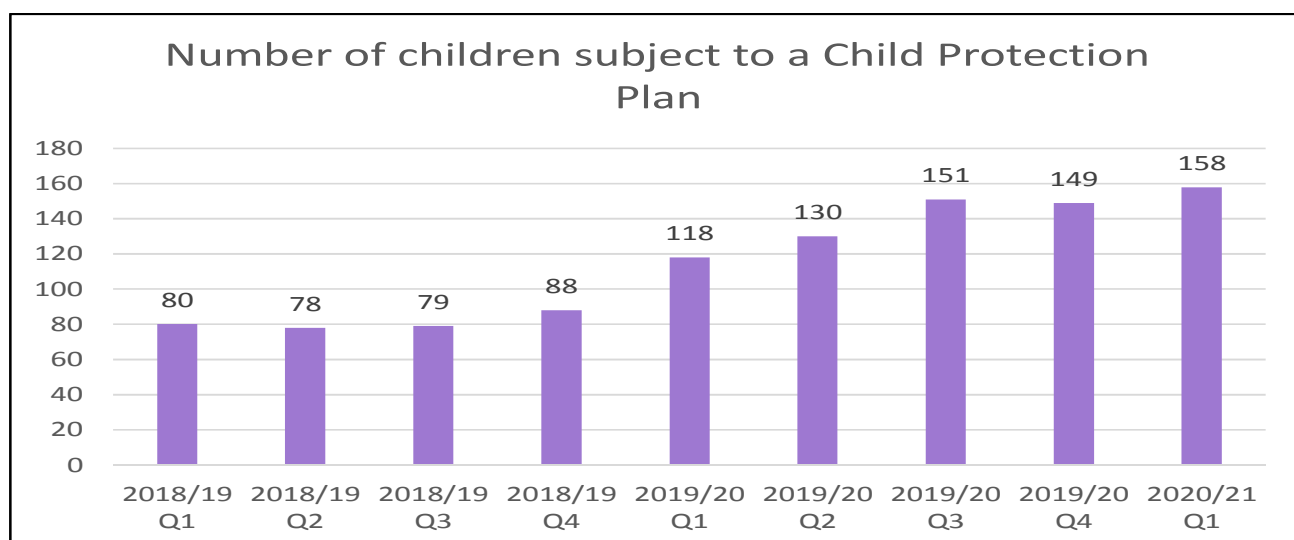
**Chart 9: Number of Children referred to Social Care Services**



It can be seen that for 2018/19 the number of children referred to Social Care Services was fairly stable. During 2019/20 this rate reduced across the year increasing to a peak in 2019/20 quarter 4. As expected for 2020/21 quarter 1 the number of referrals has reduced back in line with 2019/20 levels, however, it is expected this volume will significantly increase once further COVID 19 easing is in place including the full return to school for pupils.

Extensive work has been undertaken with the multi-agency partnership to increase their awareness of the referral process and when they should be making a referral. The spikes in contacts are evident after multi-agency workshops have taken place. The rate of referrals can also vary depending on the national and local issues of the day. For example, after a published case review into the death or serious injury of a child, spikes will regularly be seen, as professionals are more likely to be cautious and refer a child.

**Chart 10: Number of children subject to a Child Protection Plan**



The number of children subject to a Child Protection Plan has increased by 100% between 2018/19 quarter 1 and 2020/21 quarter 1. This position is in line with national data and statistical neighbours.

Historically, RBWM has been below the national average rate for Child Protection Plans, therefore, in 2018/19 analysis was undertaken leading to the introduction of enhanced systems, processes and the undertaking of quality improvement work with staff. From April 2019, an increase in the Child Protection Plan rate could be seen bringing RBWM in line with statistical neighbours. Achieving for Children and its partners are now more confident that there is appropriate safeguarding of our most vulnerable children and young people.

Additionally, the financial impact on the service of COVID 19 has been estimated relating to the increased demand on the service and the impact on our current business delivery model.

**These variances total £636,000.** The estimated forecast financial impact is summarised as follows:

**Table 16 – Achieving for Children forecast financial impact of COVID19**

Classification	£000	Explanation
Staffing	259	Increased demand on service of 5% and impact on staffing levels requiring additional staffing backfill
Placements	312	Increased demand on service of 5% and impact on placements requiring additional levels of care
Savings	170	Delays in ability to implement placement and premises related efficiencies and savings

Income	190	Loss of income in from lettings, fees and charges for the Youth Service, Children's Centres and Outdoor Education Activities; Restriction on the ability to charge for unauthorised school absenteeism
Operational	(295)	Reduced Home to School Transport costs during lockdown and whilst the "new normal" is embedded
<b>Total</b>	<b>636</b>	

### Children's Services – Retained non Dedicated Schools Grant (Note 2)

The overspend of £121,000 comprises of service overspends of £93,000 mainly relating to reduced grant as a direct result of the re-aging of a number of Unaccompanied Asylum Seeking young people resulting in a 75% reduction in Home Office funding, £233,000; adverse impact on the revenue budget of a change in accounting treatment of some items previously reported as capital expenditure, £54,000; partly offset by increased Intensive Family Support Grant of £171,000; new Wellbeing for Education Grant (£26,000). These variances total £93,000.

Additionally, the financial impact on the service of COVID 19 has been estimated relating to the increased demand on the service and the impact on our current business delivery model.

**These variances total £28,000.** The estimated financial impact is summarised as follows:

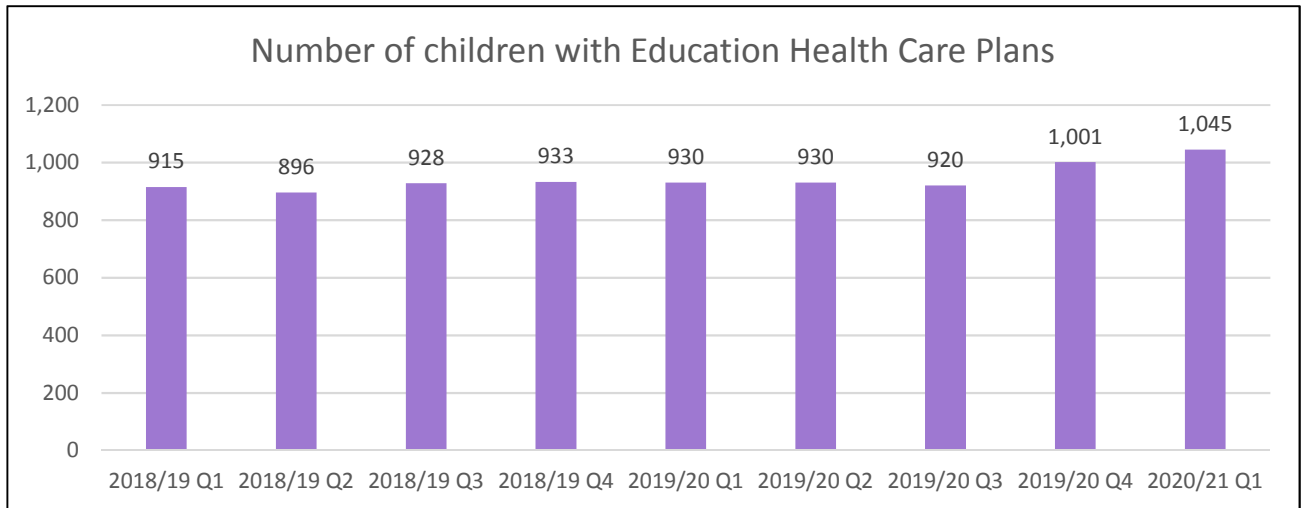
**Table 17 – Children's Retained forecast financial impact of COVID19**

Classification	£000	Explanation
Operational	28	Extension of the contract of a previously identified communication tool to ensure robust communications with schools
<b>Total</b>	<b>28</b>	

### Total Dedicated Schools Grant (Note 3)

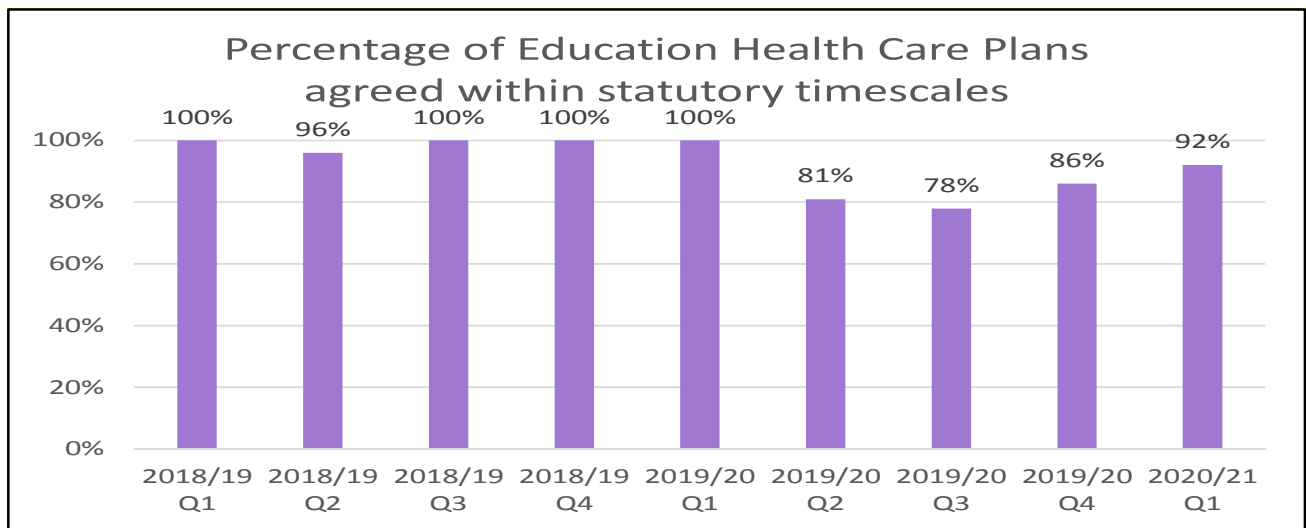
The overspend of **£208,000** mainly consists of High Needs Block pressures of £810,000 including Pupil Top Up funding and other direct support packages based on the 2019-20 outturn, uplifted to reflect known increases. The increase in allocations paid to schools include changes to the Special Educational Needs funding matrix, re-assessments and new plans. The indicative block funding for 2020/21 does not meet the increase in pressures. The High Needs Block overspend is partly offset by the Schools Growth Fund underspend due to lower levels of pupil growth than funded (£450,000); Early Years Block Private, Voluntary & Independent Nurseries clawback settlement 2019/20 (£100,000) due to lower levels of take-up and staff vacancies within the Admissions Team (£52,000). **These variances total £208,000.**

**Chart 11: Number of children with Education Health Care Plans**



The number of children with an Education, Health Care Plan has remained constant over the period until 2019/20 quarter 4 and 2020/21 quarter 1 which recognises an increase of 11% and 4% respectively. Nationally, authorities are reporting an increase in Education, Health Care Plans. The Department of Education’s review of the detail shows that numbers in secondary schools continue to decline with the rise occurring mainly in primary and special schools.

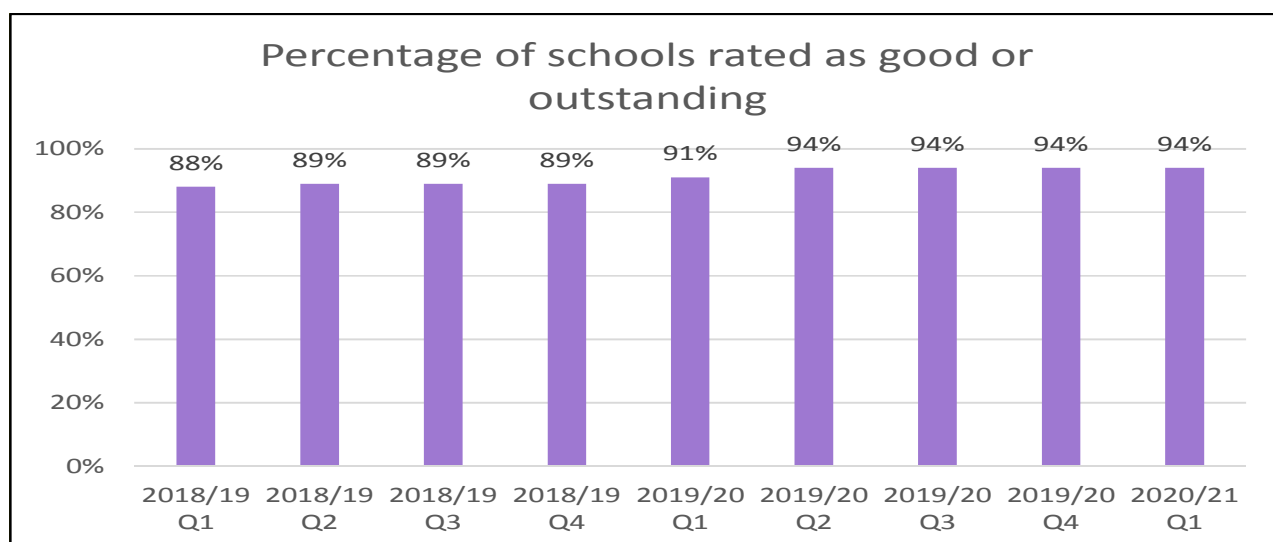
**Chart 12: Percentage of Education, Health Care Plans agreed within statutory timescales**



After a reduction in 2019/20 quarters 2 & 3 in the percentage of children with an Education, Health Care Plan agreed within statutory timescales the number has increased towards previously high levels.



**Chart 13: Percentage of schools rated as good or outstanding**



The percentage of schools rated as good or outstanding has remained constantly high, since 2019/20 quarter 2 the level of success is 94%. This provides education for 95% of the pupils attending school within the Borough.

#### **Total Dedicated Schools Transfer to Reserve (Note 4)**

To fund the in-year forecast overspend the negative variance of **£208,000** reflects the transfer of the net in-year deficit to the Dedicated Schools Grant reserve. The estimated deficit carry forward as at 31st March 2021 of £1,233,000 represents a 0.99% cumulative deficit. **These variances total £208,000.**

All local authorities that have a cumulative Dedicated Schools Grant deficit are required to submit a recovery plan outlining how they will bring their deficit back into balance within a reasonable time frame. Achieving for Children have been in discussions with the DfE and a detailed deficit recovery plan will be presented to Schools Forum seeking their agreement.

#### **Other Revenue Budget Issues**

##### **10. Collection Fund**

- 10.1. The majority of Council spending relies on collecting Council Tax and Business Rates. The Council's budgeted share of these two precepts is £88m in 2020-21. Collection rates are therefore closely monitored.
- 10.2. At the end of July 2020 £37.933 million equating to 39.32% of Council Tax had been collected against a target collection rate of 39.8%. Business rate collection was £22.994 million equating to 42.70% against a target collection rate of 41.0% as shown in Table 18 below.
- 10.3. As a result of Covid 19, government introduced two new forms of Business Rate Relief i.e. Nursery Relief and Expanded Retail Relief. To date £664k has been awarded to qualifying Nurseries and £38.7m to businesses qualifying for the Expanded Retail Relief, reducing the Business Rates bill of these premises to £0 for 2020/21.

10.4. In addition, two Grant schemes were also announced by Government. £26.3m has been awarded in cash grants for businesses qualifying for the Small Business, Retail, Hospitality and Leisure Grant Fund and £1.078m has been awarded under the Discretionary Grant Scheme.

**Table 18: Collection Fund income**

<b>COLLECTION FUND INCOME 2019-20 TO 2020-21</b>							
	Total Collectable for Current year	Total Collected to date for Current Year	Total Collected this month for current year	% Collected for current Year	% Collected same period last year	Set target	Current year balance Outstanding
	£	£	£	£	£	£	£
<b>CTAX</b>							
<b>2019-20</b>							
B/F April 2019	91,823,170	11,071,693	11,071,693	12.06%	11.66%	11.6%	80,751,477
C/F March 2020	91,913,932	90,343,171	1,352,888	98.29%	98.05%	98.5%	1,570,761
<b>2020-21</b>							
Apr-20	96,457,722	11,105,447	11,105,447	11.51%	12.06%	11.6%	85,352,275
May-20	96,424,469	20,099,148	8,993,700	20.84%	21.75%	21.5%	76,325,321
Jun-20	96,403,074	29,151,407	9,052,259	30.24%	30.98%	30.6%	67,251,667
Jul-20	96,481,165	37,932,989	8,781,582	39.32%	40.10%	39.8%	58,548,176
<b>CTAX SUPPORT</b>							
<b>2020-21</b>							
Apr-20	950,876	102,203	102,203	10.75%	11.49%	10.8%	848,674
May-20	954,790	169,317	67,115	17.73%	18.96%	18.7%	785,472
Jun-20	951,071	235,407	66,090	24.75%	26.42%	26.2%	715,664
Jul-20	954,054	302,666	67,259	31.72%	34.54%	34.1%	651,388
<b>NNDR</b>							
<b>2019-20</b>							
B/F April 2019	93,494,227	9,515,703	9,515,703	10.18%	11.94%	12.0%	83,978,524
C/F March 2020	89,651,398	88,061,488	78,545,785	98.23%	96.92%	98.3%	1,589,910
<b>2020-21</b>							
Apr-20	55,685,160	5,960,082	5,960,082	10.70%	10.18%	12.0%	49,725,077
May-20	54,208,499	10,831,149	10,831,149	19.98%	19.90%	20.0%	43,377,350
Jun-20	53,732,223	18,849,149	8,017,999	35.08%	31.84%	31.0%	34,883,074
Jul-20	53,846,869	22,994,146	4,144,997	42.70%	41.12%	41.0%	30,852,723

## 10.5 Outstanding Sundry debts

The current level of outstanding sundry debts is £7,270,000 as at 31<sup>st</sup> July 2020. The age of the debts is shown in **Table 18** below. The debt currently outstanding up to 6 months old is higher than would normally be expected due to COVID 19 and the restraints on our debt collection procedures.

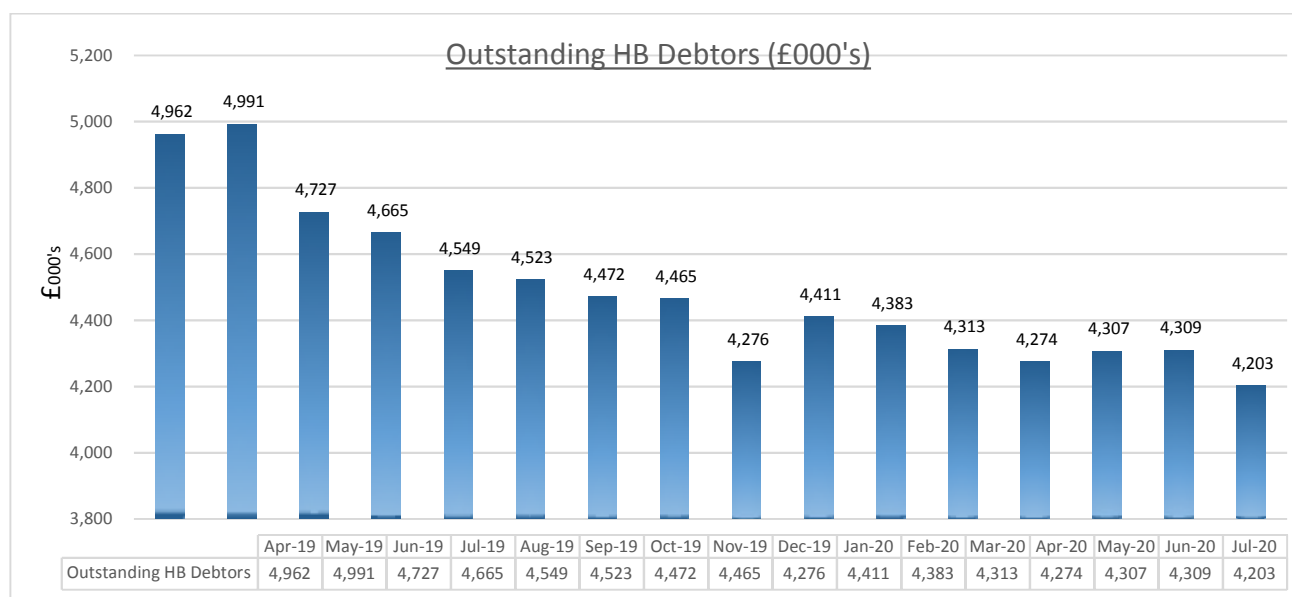
**Table 19: Outstanding Sundry Debts**

OUTSTANDING DEBTS AND PROJECTED BAD DEBT PROVISION REQUIREMENT AS AT 31ST JULY 2020										
	2019/20			2020/21 to the 31st of July 2020						
SERVICE	Debt Outstanding		Bad Debt Provision	Debt Outstanding	<1 month	>1 mth and < 6 months	> 6 months < 1 year	1 to 2 years	> 2 years	Remissions
	£,000		£,000	£,000	£,000	£,000	£,000	£,000	£,000	£,000
Education and Youth	33		21	70	3	44	0	9	14	629
Schools	0		0	47	0	0	0	0	47	0
Housing Loans	313		215	314	0	3	0	10	301	0
Temporary Accommodation - bed & bfast	358		80	201	12	32	82	18	57	1
Adult Social care	3,371		1,046	4,103	1,402	1,059	517	635	491	299
Adult deferred payments	684		0	703	17	10	120	257	298	0
Corporate including Highways and Commercial Property	2,236		194	1,832	586	1,017	90	30	108	866
<b>TOTAL DEBT</b>	<b>6,995</b>		<b>1,556</b>	<b>7,270</b>	<b>2,021</b>	<b>2,164</b>	<b>810</b>	<b>958</b>	<b>1,317</b>	<b>1,795</b>
<b>% of outstanding debt</b>					<b>27.80%</b>	<b>29.77%</b>	<b>11.14%</b>	<b>13.18%</b>	<b>18.12%</b>	

**10.6 Outstanding Housing benefit debtors**

Outstanding Housing benefit debtors as at 31<sup>st</sup> July 2020 is shown below in **Chart 14**, This debt has decreased to £4,203,000 compared to £4,549,000 in the same period of 2019-20.

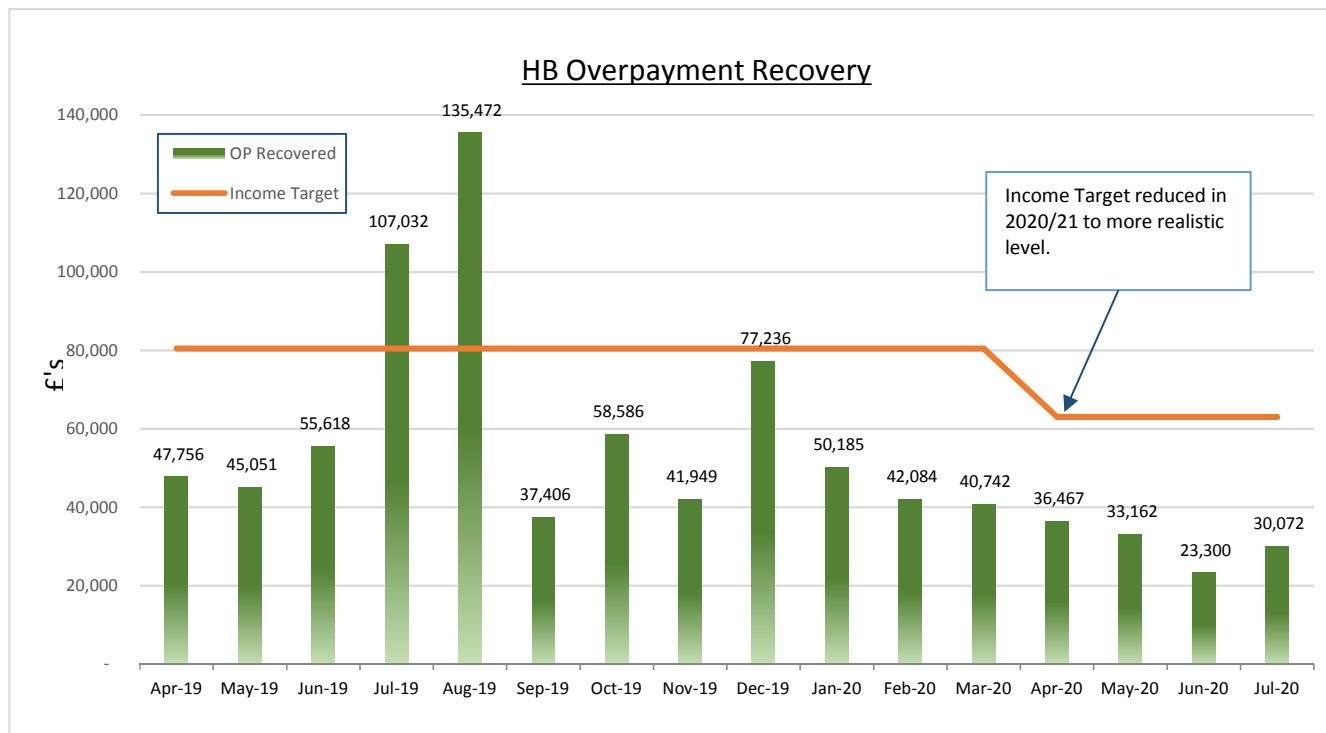
**Chart 14: Outstanding housing benefit debtors as at the 31<sup>st</sup> of July 2020**



## 10.7 Housing benefit overpayment recovery

Housing benefit overpayment recovery rates are shown in **Chart 15** below. The income target was reduced in the 2020-21 budget build to make it a realistic target based on the 2019-20 projected outturn.

**Chart 15: Housing Benefit Overpayment Recovery**



## 10.8 Revenue budget movements

Any movements to the revenue budget are monitored and reported to Cabinet each month; a full analysis is set out in **Table 20** below. There have been no movements in the revenue budget since the July 2020 cabinet report.

**Table 20: Revenue budget movement**

**Table 20 Revenue budget movement to 31st July 20-21**

Revenue Monitoring Statement 2020-21						
		Funded by the General Fund (1)	Funded by Provision (2)	Included in the original budget (3)	Total	Approval
		£'000	£'000	£'000	£'000	
	<b>Original Budget</b>				<b>86,504</b>	
1	Severance	8	19		27	Feb 2020 Council
	<b>Changes Approved</b>	<b>8</b>	<b>19</b>	<b>0</b>	<b>27</b>	
	<b>Approved service budget September Cabinet</b>				<b>86,531</b>	

## NOTES

- 1 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 1 are funded by the General Fund.
- 2 A provision of £19,000 is held for revenue severance costs. This has been used to part fund the additional budget in services for the costs of redundancy that have been incurred this year.
- 3 Transactions in column 3 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 award/reward budgets. Pay reward payments are not approved until June. The budget therefore has to be re-allocated.

## 10.9 Funding

Additional COVID19 funding has been received since the 11<sup>th</sup> of March 2020. The grants are included in the service COVID19 projections in Appendix A. The funding announcements and details as known to date are detailed in **Table 21** below:

**Table 21: COVID 19 funding**

COVID 19 FUNDING SUMMARY				
FUNDING DESCRIPTION	TYPE OF FUNDING	DATE OF RECEIPT	ACTUAL SPEND TO 31ST OF JULY	AMOUNT RECEIVED
				£,000
Expanded retail relief	Instalments through 20/21	Monthly	25,380	33,164
Council Tax Hardship relief	Up front cash	03/04/2020	-	564
Business rates grants	Up front cash	01/04/2020	25,460	28,638
Original business rate top-up	Up front cash		230	230
Additional grant top-up	Up front cash	25/06/2020	1,078	1,948
New Burdens for Business grants support	Up front cash	07/07/2020	included above	170
Housing grant	Reimbursement	Reimbursement pending	30	30
COVID Grant Tranche 1	Up front cash	27/03/2020	2,983	2,983
COVID Grant Tranche 2	Up front cash	18/05/2020	4,149	4,149
COVID grant Tranche 3	Up front cash	05/08/2020	994	994
Bus Services Support Grant	Up front cash	28/05/2020	-	20
Test and Trace	Up front cash	19/06/2020	-	436
Emergency Active Travel fund	Up front cash	08/07/2020	-	140
Infection Control Fund - 1st tranche	Up front cash	28/05/2020	1,040	1,125
Infection Control Fund - 2nd tranche	Up front cash	29/07/2020	-	1,125
Emergency Food grant	Claim completion	06/08/2020	TBC	88
Reopening high streets safely fund	Reimbursement following agreed	Reimbursement	-	134

	plan from 1st of June			
UCAS funding lift	Up front cash		-	Not known yet
Vulnerable people food and other essentials	Up front cash		-	Not known yet
New funding package for lost income	Up front cash	TBC	-	-
Wellbeing for Education Return		TBC	-	26
Home to School Transport		TBC	-	11
Green Homes Grant	By bid	TBC	-	-
Getting Building Fund	By bid	TBC	-	-
School Capital Funding	By bid	TBC	-	-
Hospital Discharge & Admission avoidance	Reimbursement in full from CCG	monthly claims	779	518
Hospital Discharge & Admission avoidance	Reimbursement in full from CCG	monthly claims	-	-
Integrated Care System (ICS) - Provider support payments	Reimbursement yet to be confirmed		1042	-
Integrated Care System (ICS) - Provider support payments	Reimbursement yet to be confirmed		301	-
<b>TOTAL FUNDING</b>			<b>63,466</b>	<b>76,493</b>

#### 10.10 Revenue Reserve

At 31.03.2020 the Council had general fund reserves of £8,231,000. As at 31.07.20 these reserves are forecast to be £2,734,000 at year end. Usable and unusable reserves as well as provisions are shown in **Appendix I**.

If future COVID19 funding is received in 2020-21 to cover any or part of the £6,140,000 shortfall for COVID19 related costs as shown in **Appendix A** then the reserves would increase by the additional funding value received. For this report it would result in a reserve balance of £8,874,000 instead of the £2,734,000 reported if all costs were fully funded in year.

The current £3,279,000 projected overspend which includes £6,140,000 of COVID19 costs results in a general fund reserve of £2,734,000 which is £3,637,000 below the minimum level approved by Council.

**Table 22 General Fund reserve projection**

<b>/General Fund Reserve Projection at 31.07.20</b>	<b>£000</b>
Opening Balance 01.04.20	8,231
One-Off contribution from reserves	(2,218)
	6,013
Year-end overspend	(3,279)
Current Projected Balance at 31.07.20	<u>2,734</u>

## Medium Term Financial Strategy

- 10.11 The MTFP assumptions will be reviewed over the next few months particularly given the evolving impact of the global pandemic on the Council.

### Borrowing projection

- 10.12 Throughout the year the Council's borrowing levels are updated based on cash-flow and spending on the capital programme as shown in **Appendix D**. Currently the Council is borrowing temporarily pending anticipated capital receipts in future years and short-term interest rates remain low. The details of the current borrowing are shown in **Table 23** below:

**Table 23 Total Borrowing**

Borrowing Type	Actual Start of Year £000	Actual Previous Month £000	Actual Current Month £000	End Forecast Previous Month £000	End Forecast Current Month £000
Long Term	57,049	57,049	57,049	57,049	57,049
Short Term – Local Authority	134,000	94,000	77,000	184,000	183,000
Short Term – LEP	33,521	46,700	47,744	0	0
Investments	(51,726)	(43,186)	(15,199)	(20,000)	(20,000)
<b>Net Borrowing</b>	<b>172,844</b>	<b>154,563</b>	<b>166,594</b>	<b>221,049</b>	<b>220,049</b>

## 11 Capital Programme

- 11.1 The approved capital programme budget for 2020/21 is currently £81,422,000. Slippage of £13,816,000 has been identified. Newly identified slippage relates to delays as a result of COVID-19 related library closures. Further detail is available in **Appendix F**.

### 11.2 Safeguarding works at Larchfield Primary School

Approval is sought to add £110,000 of fully funded budget to the 2020/21 capital programme. This is to increase capacity at the school through creating a larger office space at the entrance. This will free up previous office space for group work for KS2 children, which will enable the school to meet the requirements for breakout teaching and learning spaces. Currently there is only one group room, which serves KS1. The works will also improve security at the school reception entrance to meet safeguarding requirements as well as create an additional viable emergency escape route from the main hall. Currently there is no barrier of entry at the school desk to prevent visitors from gaining access to the rest of the school once they enter the lobby. The project will extend the entrance to the school building to create a lobby with a waiting area for visitors and sufficient circulation area for parents with buggies and multiple visitors. There will be secure doors between the lobby to the rest of the school, creating a secure envelope for the main school area and allowing only authorised visitors to enter the teaching and learning spaces. The project will be funded by £65,000 s106 contributions and £45,000 of school condition allowance (SCA) funding.

**Table 24** summarises the projected outturn for the financial year.

**Table 24: Capital Projections**

	<b>Exp.</b>	<b>Inc.</b>	<b>Net</b>
	£'000	£'000	£'000
Revised Budget	81,422	(26,425)	54,997
Variances identified	(100)		(100)
Slippage to 2021/22	(13,816)	-	(13,816)
Projected Outturn 2020/21	67,506	(26,425)	41,081

Capital programme scheme status is shown in **Table 25**. Further detail is available in **Appendix E**.

**Table 25: Capital programme status**

	<b>August 2020</b>
<b>Number of schemes in programme</b>	<b>225</b>
Yet to start	18%
In progress	57%
Completed	3%
Ongoing programmes e.g. Disabled Facilities Grant	22%

### Transformation Plan funded from flexible reserves

The second year of the transformation plan for 2020-21 has a budget of £1,000,000 using flexible capital reserves. This was approved by Council with the budget in February 2020. There is slippage from the 2019-20 transformation plan of £347,091 resulting in £1,347,091 of available budget for transformation in 2020-21. The spend and commitments on the transformation projects to 31-07-2020 is £867,000. Further details are shown below in **Table 26**.

**Table 26: Transformation Plan actuals and commitments to 31.07.20**

<b>TRANSFORMATION CAPITAL SUMMARY 2019-20 TO 2020-21</b>		
	<b>STAFFING AND CONSULTANTS FEES</b>	<b>REDUNDANCIES</b>
	£,000	£,000
<b>BUDGET</b>	<b>700</b>	<b>1,000</b>
SPEND to 31st July 2020	247	284
COMMITMENTS	102	234
<b>TOTAL ALLOCATED</b>	<b>349</b>	<b>518</b>



<b>UNALLOCATED BUDGET</b>	<b>351</b>	<b>482</b>
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## **12 LEGAL IMPLICATIONS**

12.1. In producing and reviewing this report the council is meeting its legal obligations to monitor its financial position.

## **13 RISK MANAGEMENT**

13.1. The increase in projected variance will require additional mitigation to reduce it during the financial year.

## **14 POTENTIAL IMPACTS**

14.1. Equalities – none

14.2. Climate change/sustainability – none

14.3. Data Protection/GDPR -none

## **15 CONSULTATION**

15.1 None.

## **16 TIMETABLE FOR IMPLEMENTATION**

16.1 Implementation date if not called in: immediately.

## **17 APPENDICES**

17.1 This report is supported by nine appendices:

- Appendix A Revenue Monitoring Statement
- Appendix B Savings Tracker 2020-21
- Appendix C Capital budget summary
- Appendix D Capital monitoring report
- Appendix E Major capital scheme progress
- Appendix F Capital budget movements
- Appendix G Borrowing forecast
- Appendix H Children’s variance analysis
- Appendix I Reserve and provisions
- Appendix J 2021/22 Draft Budget timetable

## **18 BACKGROUND DOCUMENTS**

18.1 This report is supported by one background document:

- Budget Report to Council February 2020.

## **19 CONSULTATION (MANDATORY)**

<b>Name of consultee</b>	<b>Post held</b>	<b>Date issued for comment</b>	<b>Date returned with comments</b>
Cllr Hilton	Lead Member for Finance and Ascot	26/08/2020	27/08/2020
Duncan Sharkey	Managing Director	25/08/2020	
Russell O'Keefe	Executive Director	25/08/2020	
Adele Taylor	Executive Director and Section 151 Officer	21/08/2020	24/08/2020
Kevin McDaniel	Director of Children's services	25/08/2020	
Nikki Craig	Head of HR and Corporate Projects	25/08/2020	
Louisa Dean	Communications	25/08/2020	
Andrew Vallance	Head of Finance	21/8/2020	24/08/2020
Hilary Hall	Deputy Director of Commissioning and Strategy(DASS)	25/08/2020	

## REPORT HISTORY

<b>Decision type:</b>	<b>Urgency item?</b>	<b>To Follow item?</b>
For information	No	No
Report Author: Ruth Watkins, Chief Accountant		

Revenue Monitoring Statement 2020/21						
Original Budget	SUMMARY	Inbuilt Savings included in the Revised Budget	Revised Budget	Projected Variance including COVID 19 costs	Previously Projected Variance	COVID 19 costs
£000		£000	£000	£000		£000
	<b>Managing Director</b>					
351	Management	0	249	0	0	0
2,686	Governance	(115)	2,654	(18)	42	103
<b>3,037</b>	<b>Total Managing Director's Directorate</b>	<b>(115)</b>	<b>2,903</b>	<b>(18)</b>	<b>42</b>	<b>103</b>
	<b>Children's Services</b>					
(79)	Director of Children's Services	0	(79)	0	0	0
36,934	Achieving for Children Contract	(1,550)	36,934	1,486	1,382	636
52,640	Children's Services - Retained	0	51,685	1	(72)	28
(66,310)	Dedicated Schools Grant - Income	0	(65,356)	(208)	(195)	0
<b>23,185</b>	<b>Total Children's Services Directorate</b>	<b>(1,550)</b>	<b>23,184</b>	<b>1,279</b>	<b>1,115</b>	<b>664</b>
	<b>Adults, Health and Commissioning</b>					
1,353	Director & Support Teams	(99)	1,449	1,416	1,658	1,574
7,228	Highways and other Commissioned Infrastructure	(280)	7,142	543	543	460
9,365	Waste	(275)	9,354	(200)	(104)	16
(7,043)	Parking Services	(730)	(7,057)	3,788	3,788	3,620
35,398	Adult Social Care	(1,206)	35,219	(1,342)	(1,062)	(882)
13,288	Better Care Fund - Spend	0	13,747	0	0	0
4,657	Public Health - Spend	(56)	5,197	0	0	0
(16,713)	Grant & BCF Income	0	(17,714)	0	0	0
<b>47,533</b>	<b>Total Adults, Health &amp; Commissioning Directorate</b>	<b>(2,646)</b>	<b>47,337</b>	<b>4,205</b>	<b>4,823</b>	<b>4,788</b>
	<b>Resources</b>					
210	Executive Director of Resources	0	210	0	0	0
2,271	Library & Resident Services	(470)	2,263	595	595	434
1,076	Revenues & Benefits	(68)	1,067	295	156	295
90	Housing Benefit Subsidy	0	91	368	96	368
2,574	Human Resources, Corporate Projects & IT	(40)	2,588	0	0	5
2,805	Corporate Management & Contingency	(100)	3,253	(1,375)	(1,375)	(118)
1,352	Finance	0	1,331	0	0	0
<b>10,378</b>	<b>Total Resources Directorate</b>	<b>(678)</b>	<b>10,803</b>	<b>(117)</b>	<b>(528)</b>	<b>984</b>
	<b>Place</b>					
245	Executive Director of Place	0	245	0	0	0
2,362	Housing & Environmental Health	0	2,336	875	875	811
1,110	Planning Service	(174)	1,110	170	170	170
(5)	Communities including Leisure	(336)	(60)	3,013	3,013	2,919
1,335	Infrastructure, Sustainability & Transport	(212)	1,363	185	233	210
(2,676)	Property Service	(529)	(2,690)	1,640	1,624	1,790
<b>2,371</b>	<b>Total Place Directorate</b>	<b>(1,251)</b>	<b>2,304</b>	<b>5,883</b>	<b>5,915</b>	<b>5,900</b>
<b>86,504</b>	<b>TOTAL EXPENDITURE</b>	<b>(6,240)</b>	<b>86,531</b>	<b>11,232</b>	<b>11,367</b>	<b>12,439</b>
<b>86,504</b>	<b>Total Service Expenditure</b>	<b>(6,240)</b>	<b>86,531</b>	<b>11,232</b>		<b>12,439</b>
(2,218)	Contribution to / (from) Reserves		(2,218)	0		
0	Contribution to / (from) Capital Fund		0	0		
0	Contribution from NNDR volatility reserve		0	(1,519)		
4,217	Pensions deficit recovery		4,217	(162)		
0	COVID 19 MHCLG funding		0	(6,299)		(6,299)
(1,767)	Provision for Business rates release		(1,767)	(654)		
0	Empty property and Council tax reduction scheme	(400)	0	0		
1,767	Collection fund deficit		1,767	654		
0	Transfer from provision for redundancy		(27)	27		
162	Environment Agency levy		162	0		
6,010	Capital Financing inc Interest Receipts		6,010	0		
<b>94,675</b>	<b>NET REQUIREMENTS</b>	<b>(6,640)</b>	<b>94,675</b>	<b>3,279</b>		<b>6,140</b>
(1,217)	Less - Special Expenses		(1,217)	0		
0	Transfer to / (from) balances		0	(3,279)		
<b>93,458</b>	<b>GROSS COUNCIL TAX REQUIREMENT</b>		<b>93,458</b>	<b>0</b>		
	<b>General Fund</b>					
	Opening Balance		8,231			
	Contribution to / (from) Reserves		(2,218)			
	Budget Transfers (from) Balances		0			
			<b>6,013</b>			
	Transfers (from) Balances, Variance		(3,279)			
	Budget General Fund Outturn		<b>2,734</b>			

RBWM SAVINGS 20/21																
Savings Ref / FYE	Directorate	Service	General Information				Financials Month				Explanation of Current Savings Forecast and Remedial Action planned to address underperformance and Mitigation Strategies <i>(must be completed for all savings that have an amber or red overall performance RAG)</i>	Savings Forecast £000	Yes / No Covid impact	If savings impacted as a result of COVID when will the full-year		
			MTFP Savings Title	How will savings be achieved?	Lead Officer	Finance Lead	2020/21 Savings Target £000	% of target full year forecast	Overall Performance RAG	2020/21				2021/22	Savings not achievable at all	
Savings per Budget 20/21																
1	B4	Optalis Contract	Review of posts in Optalis	Staffing	Lynne Lidster	David Trim	31	100%	GREEN	Completed - saving achieved.	31	No	No	No	No	
2	B4	Commissioning & Support	Review of posts in commissioning function	Staffing	Dan Brookman	Tracy Watkins	20	100%	GREEN	Completed - saving achieved.	20	No	No	No	No	
3	B2	AFC Contract - LA Funded	Transform youth and early years services to be targeted at the most vulnerable	Staffing	Kevin McDaniel		450	15%	AMBER	Loss of income in Youth Service, Children's Centres and Outdoor Education Activities due to COVID19 £160,000. RBWM Property Company have identified delays in achieving property related savings in light of COVID19 £70,000. Following Cabinet April 2020 there was a subsequent decision to "call in" the proposed transformation of the community hubs. This will lead to a delay in implementation, now planned as 01-01-21 resulting in additional non achievement of planned savings £151,000.	69	Yes	No	Yes	No	
4	B4	Adult Social Care - Spend	Optimise the provision of carers services	Contracts	Lynne Lidster	Tracy Watkins	75	100%	GREEN	Completed - saving achieved.	75	No	No	No	No	
5	B4	Adult Social Care - Spend	Optimise the delivery of the supported employment service by integration with council-owned services	Contracts	Lynne Lidster	David Trim	166	100%	GREEN	Completed - saving achieved.	166	No	No	No	No	
6	B4	Adult Social Care - Spend	Deliver befriending service in a new and different way	Contracts	Lynne Lidster	Tracy Watkins	35	71%	AMBER	Decision to extend the befriending service for three months in the light of Covid-19 and requirement for more befriending services for residents to deal with the current crisis.	25	Yes	No	Yes	No	
7	B4	Adult Social Care - Spend	Deliver adult social care transformation programme	Contracts	Hilary Hall	Alan Abrahamson	495	61%	AMBER	This is difficult to quantify because we just don't know what the impact of Covid-19 will be on our cohorts of service users. We will continue to deliver transformation but outcomes are unclear at this stage. Equally we don't know the impact of the provider uplifts which are being driven nationally. I have assumed a reduction in the saving on the basis of uncertainty but more work will be needed to quantify.	300	Yes	No	Yes	No	
8	B4	Adult Social Care - Spend	Optimise the delivery of the Recovery College	Contracts	Anna Richards	Tracy Watkins	35	100%	GREEN	Completed - saving achieved.	35	No	No	No	No	
9	B4	Adult Social Care - Spend	Implement technology enabled care across adult services	Contracts	Dan Brookman	Alan Abrahamson	120	100%	GREEN	Technology solutions have been expedited due to Covid-19 so expect to deliver full saving.	120	No	No	No	No	
10	B2	AFC Contract - LA Funded	Optimise costs of placements for children in the care of the local authority	Other	Kevin McDaniel		700	100%	GREEN	Total saving £700,000, £316,000 already delivered, remaining £384,000 includes 6 planned staying put agreements totalling £109,000 which will not slip due to COVID 19. Other savings still on track to be delivered in-year, however, recognition there may be some slippage as the availability of placements is reducing and Public Health England is restricting conditions for movement.	700	Yes	No	Yes	No	
11	B4	Adult Social Care - Spend	Optimise the delivery of health checks	Other	Anna Richards	Tracy Watkins	10	100%	GREEN	Completed - saving achieved.	10	No	No	No	No	
12	B4	Adult Social Care - Spend	Allocation of Public Health reserve to meet current needs	Other	Anna Richards	Tracy Watkins	46	100%	GREEN	Completed - saving achieved.	46	No	No	No	No	
13	B4	Adult Social Care - Spend	Introduce an online financial assessment for adults to calculate financial contributions for care and support	Other	Hilary Hall	Alan Abrahamson	-		RED	Initial work will be completed this year and savings may be achievable in 2020-2021.	-	Yes	No	Yes	No	
14	B2	AFC Contract - LA Funded	Remove additional local authority support for school improvement in Academy schools	Other	Kevin McDaniel		20	100%	GREEN	Work with Academy schools to ensure fully aware of changes in support. Savings delivered.	20	No	No	No	No	
15	B2	AFC Contract - LA Funded	Recruitment drive to improve Social Worker workforce stability and outcomes	Staffing	Kevin McDaniel		100	100%	GREEN	Implementation of new service structure with vision to reduce reliance upon interim social workers due to changes in practice and as a direct result of OFSTED; Social Worker recruitment expected to achieve saving in full; status is "succeeding" based on recent recruitment offers and agency staff conversions.	100	Yes	Yes	Yes	No	
16	B2	AFC Contract - LA Funded	Legal savings in Achieving for Children	Staffing	Kevin McDaniel		25	0%	RED	Due to issues with contractual charging rates it was agreed not to move to the proposed new supplier, therefore, savings are not going to be delivered in 2020/21. Current provider contract extended from 01-04-20 with ongoing discussions relating to increased contract efficiencies with the expectation that savings will be delivered for 2021/22.	-	No	No	No	Yes	
17	B2	AFC Contract - LA Funded	Operational efficiency within the Achieving for Children finance team	Staffing	Kevin McDaniel		25	100%	GREEN	Savings delivered.	25	No	No	No	No	
18	B2	AFC Contract - LA Funded	Delete a vacant post in the Achieving for Children Management team	Staffing	Kevin McDaniel		110	100%	GREEN	Savings delivered.	110	No	No	No	No	
19	B5	Community, Protection & Enforcement Services	Re-focus Community Wardens on problem solving, acheiving staff savings	Staffing	David Scott		180	100%	GREEN	Restructure being implement wef 6 April, full saving will ot be in place until 1st June so 10 month saving should be achieved.	180	No	No	No	No	
20	B6	Library & Resident Services	Focus customer service in Windsor at Windsor Library Increase the use of 24/7 digital options on the council website Align Library opening hours to service demand Align call centre opening hours to service demand	Staffing	Angela Huisman		220	100%	GREEN	The changes to make the following savings have already been implemented: York House £75K, Digital Channel Shift £20K, Contact Centre reduction in opening hours £25K. £100K is due to be made by reducing opening hours at libraries. The Public Consultation has been delayed by Covid-19. The savings will be dependent on when the Public Consultation can commence. Savings now anticipated to be met in full this year.	220	Yes	Yes	Yes	No	
21	B5	Community, Protection & Enforcement Services	Removal of PCSO funding	Staffing	David Scott		74	100%	GREEN	Notice given. Expect saving to be achieved in full.	74	No	No	No	No	
22	B5	Community, Protection & Enforcement Services	WAM Get Involved support	Grants	David Scott		33	100%	GREEN	SLA ends in June so saying should be delivered.	33	No	No	No	No	
23	B5	Community, Protection & Enforcement Services	STRIVE	Grants	David Scott		8	100%	GREEN	Completed - saving achieved.	8	No	No	No	No	
24	B4	Communications	Deliver system efficiencies through the new customer relationship management system	Contracts	LD		25	100%	GREEN	CRM and CMS project have started with a project plan. Target date for completion is August 2020	25	No	No	No	No	
25	B3	Communities, Enforcement and Partnerships	Review grant payments in line with developing voluntary sector funding strategy	Grants	Karen Shepherd	Karen Reader	100	100%	GREEN	Grants offered now based on reduced budget	100	No	No	No	No	
26	B5	Communities, Enforcement and Partnerships	Citizens Advice Bureau grant	Grants	David Scott		16	100%	GREEN	Will be achieved	16	No	No	No	No	
27	B5	Infrastructure, Sustainability & Transport	Reduce the current grant provision for The Old Court, Windsor from September 2020.	Grants	Suzie Parr	Karen Reader	8.50	100%	GREEN	Savings from September 20	9	No	No	No	No	
28	B5	Infrastructure, Sustainability & Transport	Reduce the current grant provision for Norden Farm from September 2020	Grants	Suzie Parr	Karen Reader	17	100%	GREEN	Savings from September 20	17	No	No	No	No	
29	B6	Revenues & Benefits	Cease the provision of the GROW service with residents being be signposted to alternative forms of assistance.	Staffing	Louise Freeth		63	102%	GREEN	Staff redundant wef 31.03.20.	64	No	No	No	No	

Savings Ref / FYE	Directorate	Service	General Information				Financials Month			Explanation of Current Savings Forecast and Remedial Action planned to address underperformance and Mitigation Strategies <i>(must be completed for all savings that have an amber or red overall performance RAG)</i>	Savings Forecast £000	Yes / No Covid impact	If savings impacted as a result of COVID when will the full-year		
			MTFP Savings Title	How will savings be achieved?	Lead Officer	Finance Lead	2020/21 Savings Target £000	% of target full year forecast	Overall Performance RAG				2020/21	2021/22	Saving not achievable at all
Savings per Budget 20/21															
30	B3	Law & Governance	Cease support for the One Stop Shop in Datchet	Grants	Karen Shepherd	Karen Reader	1	100%	GREEN	Relate to things we simply won't do next year.	1	No	No	No	No
31	B6	IT	Rationalise the council's current mobile phone usage to reduce operating costs	Contracts	Nikki Craig		10	100%	GREEN	Whilst maybe not from reduction in mobile phone line rental, this will be achieved through telephony savings.	10	No	No	No	No
32	B3	Law & Governance	Remove budget for individual members to attend conferences/training	Other	Karen Shepherd	Karen Reader	3	100%	GREEN	Relate to things we simply won't do next year.	3	No	No	No	No
33	B3	Law & Governance	Removal of all refreshments from council meetings, member briefings and member training sessions	Other	Karen Shepherd	Karen Reader	10	100%	GREEN	Relate to things we simply won't do next year.	10	No	No	No	No
34	B6	Revenues & Benefits	No longer print and distribute Council Tax leaflet with bills	Other	Louise Freeth		5	100%	GREEN	Costs end of year	5	No	No	No	No
35	B4	Communications	Optimise use of digital distributing Around the Royal Borough	Other	Louisa dean	Tracy Watkins	23	100%	GREEN	ATRB is being reduced to two issues this year. Due to COVID-19, one has also been removed from the schedule. A newsletter will be delivered to all homes in the next few weeks but this will be less than ATRB costs. However, there is no advertising income being generated	23	No	No	No	No
36	BTL	CTAX Income	Empty Properties Relief - reduction	Income	Louise Freeth		70	100%	GREEN	Collection fund item	70	No	No	No	No
37	BTL	CTAX Income	Review of Council Tax Reduction Scheme Discount levels	Income	Louise Freeth		330	100%	GREEN	Collection fund item	330	No	No	No	No
38	B6	Finance	Vacancy Factor/Recruitment Freeze	Staffing	Adele Taylor		100	100%	GREEN	Allocation to be confirmed by Finance, should be achievable	100	No	No	No	No
39	B6	Library & Resident Services	Charging for Resident's Parking Permits, £50 each and £70 for second permit, £100 for third and subsequent permits. Also apply and increase charges for all visitor vouchers	Income	Angela Huisman		250	60%	AMBER	Delay in implementation, expected savings now reduced for this year	150	Yes	No	Yes	No
40	B5	Property Service	Additional Management Fee from Countryside	Income	Russell O'Keefe		300	100%	GREEN	It is on track to be delivered in March	300	No	No	No	No
41	B5	Community, Protection & Enforcement Services	Post Deletions	Staffing	David Scott		200	100%	GREEN	All actioned in the 20/21 budget build	200	No	No	No	No
42	B4	Commissioning-Infrastructure	Increase green waste annual subscription charge to £65 per annum in line with neighbouring authority charges.	Income	Ben Smith	Abid Hussain	250	80%	AMBER	Savings are dependant upon being able to deliver the full service during the Covid-19 response and recovery and resident behaviours not being adversely affected from modelled projections	200	Yes	Partial	Yes	No
43	B4	Commissioning-Infrastructure	Remove free Saturday garden waste collection	Income	Ben Smith	Abid Hussain	25	100%	GREEN	Contract reduced to remove free Saturday collection	25	No	No	No	No
44	B4	Commissioning-Infrastructure	Remove Advantage Card discounts for parking.	Income	Ben Smith	Abid Hussain	650	0%	RED	Linked to parking model	-	Yes	No	Yes	No
45	B4	Commissioning-Infrastructure	Advertising on car park tickets/car parks	Other	Ben Smith	Abid Hussain	30	0%	RED	This work will now be low priority and negotiations with potential customers will be delayed until 2021/22.	-	Yes	No	Yes	No
46	B4	Commissioning-Infrastructure	Parking season ticket income	Other	Ben Smith	Abid Hussain	50	0%	RED	Linked to parking model	-	Yes	No	Yes	No
47	B4	Commissioning-Infrastructure	Review and optimise the number of subsidised bus routes	Other	Ben Smith	Abid Hussain	100	50%	AMBER	£100k saving was built in as a part year effect (latter part of year) from reviewing bus routes we currently provide. However, this is likely to be pushed back and we are now estimating that only 50% of this will be achieved.	50	Yes	No	Yes	No
48	B4	Commissioning-Infrastructure	Traffic signal costs - capital spend	Other	Ben Smith	Abid Hussain	65	100%	GREEN	Completed - saving achieved.	65	No	No	No	No
49	B4	Commissioning-Infrastructure	Efficiency saving from traffic counter machines	Other	Ben Smith	Abid Hussain	15	100%	GREEN	Completed - saving achieved.	15	No	No	No	No
49	B4	Commissioning-Support	Concessionary Fares	Other	Lynne Lidster	Abid Hussain	100	50%	AMBER	Changes to the concessionary fares scheme will not be implemented until later in 2020/21 due to the Covid-19 impact; government direction to support transport operators and awaiting recovery to assess further	50	Yes	Partial	Yes	No
50	B6	HR	Corporate	Staffing	Nikki Craig	Abid Hussain	30	100%	GREEN		31	No	No	No	No
<b>Total Savings Per Budget 20/21</b>							<b>5,824</b>	<b>73%</b>			<b>4,235</b>				
<b>Full Year Effects of savings per Budget 19/20</b>															
51	B4	Commissioning-Communities	Volker highways		Vikki Roberts	Abid Hussain	100	100%	GREEN		100	No	No	No	No
52	B4	Adult Social Care - Spend	BCF mitigation 20/21		Lynne Lidster	Tracy Watkins	166	100%	GREEN	This forms part of the CCG minimum contribution to Adult Social Care for 20/21	166	No	No	No	No
53	B4	Adult Social Care - Spend	LD supported living mitigation		Hilary Hall	David Trim	50	100%	GREEN		50	No	No	No	No
54	B4	Commissioning-Communities	Windsor coach park rental		Ben Smith	Abid Hussain	11	100%	GREEN		11	No	No	No	No
55	B4	Adult Social Care - Spend	Drugs and Alcohol contract		Anna Richards	Tracy Watkins	64	100%	GREEN	Completed - saving achieved.	64	No	No	No	No
56	B4	Commissioning-Communities	Waste contract full year effect		Naomi Markham	Abid Hussain	200	100%	GREEN		200	No	No	No	No
57	B2	AFC Contract - LA Funded	Removal of 19/20 pay reward growth for AFC		Hilary Hall		120	100%	GREEN	Completed	120	No	No	No	No
59	B5	Community, Protection & Enforcement Services	Principal enforcement manager		Christopher Nash		11	100%	GREEN		11	No	No	No	No
60	B5	Planning	Planning application fee income		Adrien Waite		100	0%	RED	Demand led income, little service can do to generate this demand, income levels kept under regular review.	-	Yes			

			General Information				Financials				If savings impacted as a result of COVID when will the full-year				
Savings Ref / FYE	Directorate	Service	MTFP Savings Title	How will savings be achieved?	Lead Officer	Finance Lead	Month		Overall Performance RAG	Explanation of Current Savings Forecast and Remedial Action planned to address underperformance and Mitigation Strategies <i>(must be completed for all savings that have an amber or red overall performance RAG)</i>	Savings Forecast £000	Yes / No Covid impact	2020/21	2021/22	Saving not achievable at all
							2020/21 Savings Target £000	% of target full year forecast							
Savings per Budget 20/21															
61	B5	Community, Protection & Enforcement Services	CPES Lower out of hours prof fees		Christopher Nash		2	100%	GREEN		2	No	No	No	No
62	B5	Community, Protection & Enforcement Services	3 year SLA for sports able		David Scott		12	100%	GREEN		12	No	No	No	No
63	B5	Property Service	New property income		Gary Ellis		225	100%	GREEN		225	No	No	No	No
64	B5	Property Service	Recharges for Energy & Efficiency		Russell O'Keefe		4	100%	GREEN		4	No	No	No	No
65	B5	Infrastructure, Sustainability & Transport	Tourism additional saving		Julia White		60	0%	RED	VisitWindsor Partnership Fees - cannot be invoiced currently as partners closed and lockdown has had a significant impact on the leisure and tourism industry	-	Yes			
66	B6	Revenues & Benefits	Capitalisation of PKN and EG		Louise Freeth		30	100%	GREEN		30	No	No	No	No
67	B6	Library & Resident Services	Continuing with RDS where possible		Angela Huisman		15	100%	GREEN	Income target - get £12-£15 per year from schools, billing due in Autumn	15	Yes			
68	B6	Library & Resident Services	CLASS		Angela Huisman		15	100%	GREEN	Income acjieved - required to pay for staff so associated pressure on costs declared. Funding not permanent.	15	No	No	No	No
			<b>Total FYE Per Budget 20/21</b>				<b>1,185</b>	<b>86%</b>			<b>1,025</b>				
			<b>Total Savings Per Budget 20/21</b>				<b>7,009</b>	<b>75%</b>			<b>5,260</b>				
<b>Deficit 20/21</b>											<b>1,749</b>				

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	2020/21 Original Budget			New Schemes – 2020/21 Approved Estimate A			Unspent budget from Schemes Approved In Prior Years B			Revised Budget 2020/21 A+B		
	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	Gross £000's	Income £000's	Net £000's
<b>Portfolio Summary</b>												
<b>Managing Director</b>												
Law & Governance	200	0	200	200	0	200	239	0	239	439	0	439
<b>Total Managing Director</b>	<b>200</b>	<b>0</b>	<b>200</b>	<b>200</b>	<b>0</b>	<b>200</b>	<b>239</b>	<b>0</b>	<b>239</b>	<b>439</b>	<b>0</b>	<b>439</b>
<b>Place Directorate</b>												
Property	19,418	(153)	19,265	13,230	(150)	13,080	16,497	(32)	16,465	29,727	(182)	29,545
Housing	650	(650)	0	600	(600)	0	356	(356)	0	956	(956)	0
Communities & Enforcement & Partnerships	3,767	(39)	3,728	4,857	(391)	4,466	5,413	(1,379)	4,034	10,270	(1,770)	8,500
Planning	410	0	410	377	(87)	290	1,309	(393)	916	1,686	(480)	1,206
Green Spaces & Parks	0	0	0	0	0	0	52	(28)	24	52	(28)	24
Infrastructure, Sustainability & Transport	4	0	4	0	0	0	34	(21)	13	34	(21)	13
<b>Total Place Directorate</b>	<b>24,249</b>	<b>(842)</b>	<b>23,407</b>	<b>19,064</b>	<b>(1,228)</b>	<b>17,836</b>	<b>23,661</b>	<b>(2,209)</b>	<b>21,452</b>	<b>42,725</b>	<b>(3,437)</b>	<b>39,288</b>
<b>Adults, Health &amp; Commissioning</b>												
Head of Commissioning - Infrastructure	26,125	(19,917)	6,208	19,687	(16,013)	3,674	7,435	(3,774)	3,661	27,122	(19,787)	7,335
Head of Commissioning - People	0	0	0	0	0	0	200	(200)	0	200	(200)	0
<b>Total Adults, Health &amp; Commissioning</b>	<b>26,125</b>	<b>(19,917)</b>	<b>6,208</b>	<b>19,687</b>	<b>(16,013)</b>	<b>3,674</b>	<b>7,635</b>	<b>(3,974)</b>	<b>3,661</b>	<b>27,322</b>	<b>(19,987)</b>	<b>7,335</b>
<b>Childrens Services</b>												
Non Schools	0	0	0	0	0	0	1,079	(83)	996	1,079	(83)	996
Schools - Non Devolved	2,987	(1,087)	1,900	1,587	(1,587)	0	4,070	(633)	3,437	5,657	(2,220)	3,437
Schools - Devolved Capital	196	(196)	0	196	(196)	0	486	(486)	0	682	(682)	0
<b>Total Childrens Services</b>	<b>3,183</b>	<b>(1,283)</b>	<b>1,900</b>	<b>1,783</b>	<b>(1,783)</b>	<b>0</b>	<b>5,635</b>	<b>(1,202)</b>	<b>4,433</b>	<b>7,418</b>	<b>(2,985)</b>	<b>4,433</b>
<b>Resources</b>												
Finance	1,475	0	1,475	1,475	0	1,475	138	0	138	1,613	0	1,613
Technology & Change Delivery	1,000	0	1,000	1,000	0	1,000	232	0	232	1,232	0	1,232
Revenues & Benefits	0	0	0	0	0	0	44	0	44	44	0	44
Library & Resident Services	559	(64)	495	364	(16)	348	265	0	265	629	(16)	613
<b>Total Resources</b>	<b>3,034</b>	<b>(64)</b>	<b>2,970</b>	<b>2,839</b>	<b>(16)</b>	<b>2,823</b>	<b>679</b>	<b>0</b>	<b>679</b>	<b>3,518</b>	<b>(16)</b>	<b>3,502</b>
<b>Total Committed Schemes</b>	<b>56,791</b>	<b>(22,106)</b>	<b>34,685</b>	<b>43,573</b>	<b>(19,040)</b>	<b>24,533</b>	<b>37,849</b>	<b>(7,385)</b>	<b>30,464</b>	<b>81,422</b>	<b>(26,425)</b>	<b>54,997</b>

	(£'000)
<b>Portfolio Total</b>	<b>56,791</b>
<b>External Funding</b>	
Government Grants	(21,400)
Developers' Contributions	(96)
Other Contributions	(610)
<b>Total External Funding Sources</b>	<b>(22,106)</b>
<b>Total Corporate Funding</b>	<b>34,685</b>

	(£'000)
<b>Portfolio Total</b>	<b>81,422</b>
<b>External Funding</b>	
Government Grants	(23,341)
Developers' Contributions	(1,698)
Other Contributions	(1,386)
<b>Total External Funding Sources</b>	<b>(26,425)</b>
<b>Total Corporate Funding</b>	<b>54,997</b>

**Capital Monitoring Report 2020/21**

At 31 August 2020 the revised budget stood at £81.422m

	Exp.	Inc.	Net
	£'000	£'000	£'000
Revised Budget	81,422	(26,425)	54,997
Variances identified	(100)	-	(100)
Slippage to 2021/22	(13,816)	-	(13,816)
Projected Outturn 2020/21	67,506	(26,425)	41,081

Projected outturn after taking into account slippage and variances is £67.506m

**Overall Projected Expenditure and Slippage**

Variances are reported as follows.

	£'000	£'000	£'000	
CV41 Clewer Memorial Pavilion, Windsor-Modifications	45	-	45	Unforeseen costs due to delays in the work schedule and resourcing issues relating to the Covid outbreak. Works to complete 6 weeks behind schedule.
CA11 Desktop PC Replacement Project	(135)	-	(135)	Revised business case generating savings
CC99 Eton Library – Open Access and Shop Front Repair	(10)	-	(10)	Scheme saving
	<u>(100)</u>	<u>-</u>	<u>(100)</u>	

Slippage to date has been identified as follows.

## Property Services

CC78 Vicus Way Car Park	(3,961)	-	(3,961)	Scheme slippage based on entering a contract in July and starting on site in September having delayed entering into a contract in March due to Covid 19.
CI29 Broadway Car Park & Central House Scheme	(9,100)	-	(9,100)	Planning application for the new car park was submitted at the end of May 2020 and the earliest a permission could be expected is at the end of the year followed by the JR period. Following that vacant possession of the land required across the Nicholsons Centre site.

## Head of Commissioning - Infrastructure

CC95 Cookham Bridge Refurbishment & Structural Repair	(600)	-	(600)	Surveys, inspections, design development, options appraisal and preliminary works to be carried out in 2020/21. Remaining works to continue in 2021/22.
CD83 Traffic Signal Review	(20)	-	(20)	One scheme deferred until 2021/22. To be co-ordinated with other works

## Library &amp; Resident Services

CLB2 Sunninghill Library Lease Repairs	(15)	-	(15)	Delay in works due to COVID 19/ library closures
CLG3 General Library Improvements	(20)	-	(20)	Delay in works due to COVID 19/ library closures
CLG6 Maidenhead Library-Heating	(100)	-	(100)	Delay in works due to COVID 19/ library closures
	<u>(13,816)</u>	<u>-</u>	<u>(13,816)</u>	

**Overall Programme Status**

The project statistics show the following position:

Scheme progress	No.	%
Yet to Start	41	18%
In Progress	127	57%
Completed	7	3%
Ongoing Programmes e.g.. Disabled Facilities Grant	50	22%
Devolved Formula Capital Grant schemes budgets devolved to schools	1	0%
<b>Total Schemes</b>	<b>226</b>	<b>100%</b>

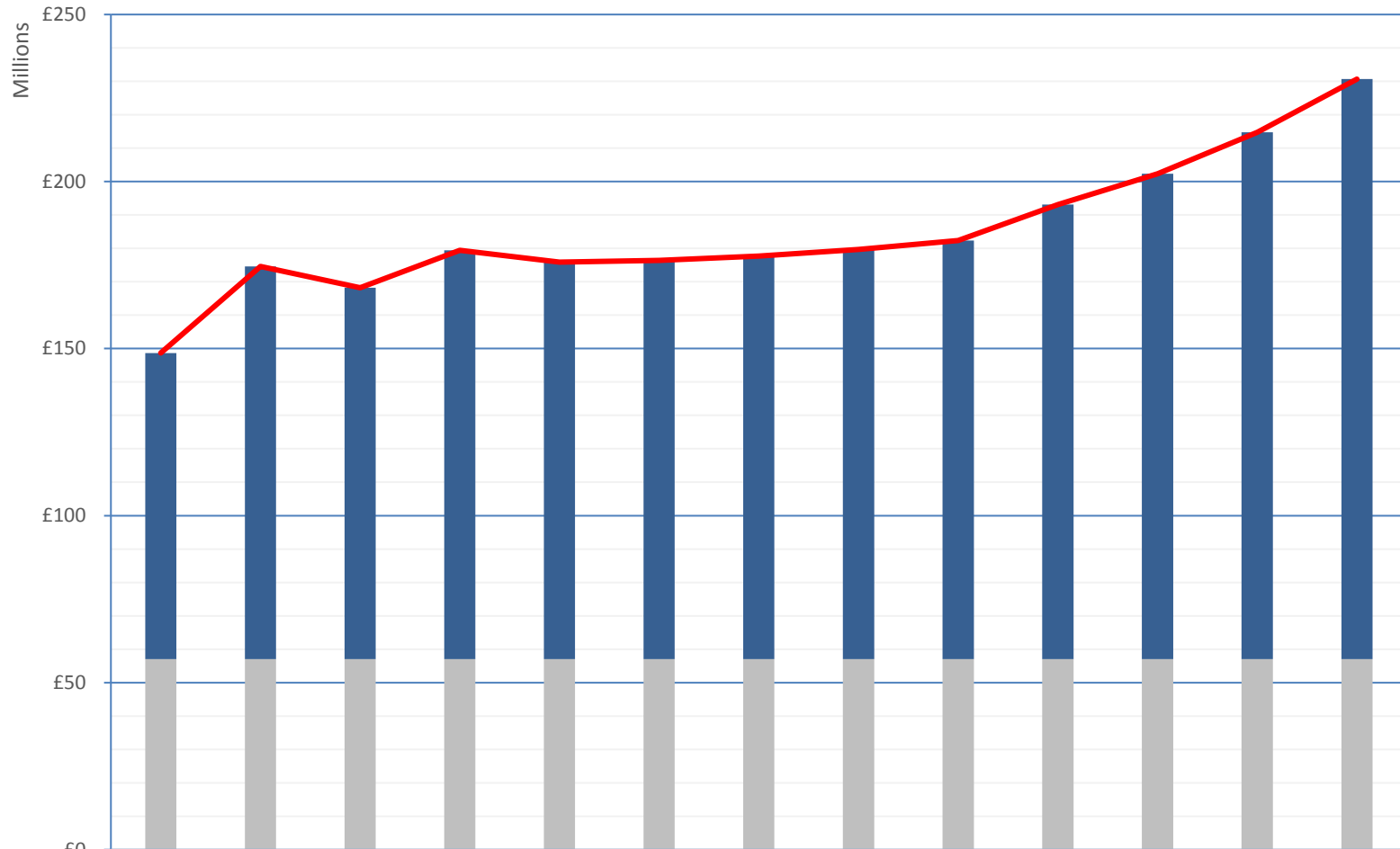


Major Capital Scheme Progress																								
CAPITAL SCHEME	TOTAL SCHEME VALUE	2020/21			APPROVED SLIPPAGE			TOTAL BUDGET			PROJECTIONS		PROJECT STATUS											
		APPROVED ESTIMATE			FROM PRIOR YEARS			2020/21			2020/21 Projected Variance (Underspend as negative)	2021/22 SLIPPAGE Projected	Yet To Start	Preliminary / Feasibility Work	Work On-site	Ongoing Annual Programme								
		Gross	Income	Estimate	Gross	Income	Estimate	Gross	Income	Estimate														
CC Description	Gross £'000	Gross £000	Income £000	Estimate £000	Gross £000	Income £000	Estimate £000	Gross £000	Income £000	Estimate £000	£000	£000												
<b>Place Directorate</b>																								
<b>Property</b>																								
CI29	Broadway Car Park & Central House Scheme	34,833	5,620	0	5,620	4234	0	4234	9,854	0	9,854		9,100											
<b>Housing</b>																								
CT52	Disabled Facilities Grant	600	600	0	600	0	0	0	600	0	600													
<b>Communities &amp; Enforcement &amp; Partnerships</b>																								
CZ18	Braywick Leisure Centre	37,247	4,552	(381)	4,171	2374	0	2374	6,926	(381)	6,545													
<b>Adults Health &amp; Commissioning</b>																								
<b>Head of Commissioning - Infrastructure</b>																								
CD42	Maidenhead Station Interchange & Car Park	4,500	3,750	(3,750)	0	1532	(644)	888	5,282	(4,394)	888													
CF09	Maidenhead Local Plan Site Works	2,165	0	0	0	1989	(1,649)	340	1,989	(1,649)	340													
CD12	Roads Resurfacing-Transport Asset & Safety	1,900	2,000	(2,000)	0	112	(112)	0	2,112	(2,112)	0													
CC62	Maidenhead Missing Links (LEP Match Funded)	4,720	2,242	(2,242)	0	1881	(1,254)	627	4,123	(3,496)	627													
CC89	Elizabeth Bridge	1,600	750	0	750	693	0	693	1,443	0	1,443													
<b>Childrens Services</b>																								
<b>Schools - Non Devolved</b>																								
CSJX	St Peters Middle	2,700	0	0	0	1,714	0	1714	1,714	0	1,714	0	0											

**Capital Programme Movements 2020/21**

	<b>Expenditure £'000</b>	<b>Income £'000</b>	<b>Net £'000</b>
<b>Original Budget 2020/21</b>	56,791	(22,106)	34,685
<b>Budget Changes to 31 August 2020</b>			-
Additional Slippage in from 2019/20	26,054	(3,354)	22,700
DFG capital budget alignment to BCF 20-21 plan	(33)	33	-
Wider Area Growth Study - Cabinet July 2020	87	(87)	-
Emergency Active Travel Fund- Cabinet July 2020	140	(140)	-
Design and construction changes to Braywick Leisure Centre- Cabinet July 2020	381	(381)	-
SEND Special Provision- Cabinet July 2020	500	(500)	-
Budget savings - Cabinet July 2020	(2,498)	110	(2,388)
<b>Revised Budget 2020/21</b>	<b>81,422</b>	<b>(26,425)</b>	<b>54,997</b>

Borrowing Forecast at 18/08/2020



	Mar-20 Actual.	Apr-20 Actual	May-20 Actual	Jun-20 Actual	Jul-20 Actual	Aug-20 Est	Sep-20 Est	Oct-20 Est	Nov-20 Est	Dec-20 Est	Jan-21 Est	Feb-21 Est	Mar-21 Est
Short term borrowing £'000	91,625	117,511	111,193	122,321	118,826	119,382	120,608	122,605	125,267	136,063	145,319	157,685	173,611
Long term borrowing £'000	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049	57,049
Total borrowing £'000	148,675	174,560	168,243	179,371	175,875	176,432	177,657	179,654	182,317	193,113	202,369	214,734	230,661

## Appendix H

## Children's Services

Service	Original Budget	Current Budget	Forecast Outturn Variance	Previously Reported Variance	Change in Reported Variance
	£'000	£'000	£'000	£'000	£'000
<b>Children's Services non Dedicated Schools Grant</b>					
<b>Social Care and Early Help</b>					
* Employee & Operational Related Expenditure	5,878	5,878	259	318	(59)
* Legal Services	510	510	75	75	0
* Inhouse Fostering	1,467	1,467	88	57	31
* Residential, therapeutic & Direct Payments	4,199	4,199	(78)	(208)	130
* Independent Fostering Agencies	1,696	1,696	(265)	(241)	(24)
* Leaving Care-Care Costs	988	988	848	889	(41)
* Adoption Allowances	147	147	0	0	0
* Children-in-Need Care Costs	630	630	36	36	0
* Children's Centre & Youth Services	1,183	1,183	381	390	(9)
<b>Total Social Care and Early Help</b>	<b>16,698</b>	<b>16,698</b>	<b>1,344</b>	<b>1,316</b>	<b>28</b>
<b>Other</b>					
* Business Services	3,042	3,042	55	57	(2)
* Education	895	895	54	31	23
* Operational Strategic Management	295	295	0	0	0
* Public Health	1,725	1,725	0	0	0
* Special Educational Needs and Children with Disabilities	3,144	3,144	(295)	(295)	0
Children's Services - Retained	(2,609)	(2,617)	121	132	(11)
<b>Total Other</b>	<b>6,493</b>	<b>6,484</b>	<b>(65)</b>	<b>(75)</b>	<b>10</b>
<b>Total Children's Services non Dedicated Schools Grant</b>	<b>23,191</b>	<b>23,184</b>	<b>1,279</b>	<b>1,241</b>	<b>38</b>
<b>Dedicated Schools Grant</b>					
* AfC Contract - Dedicated Schools Grant	11,135	11,135	328	420	(92)
Dedicated Schools Grant - Retained	55,175	54,223	(120)	(225)	105
Dedicated Schools Grant Income	(66,310)	(65,358)	(208)	(195)	(13)
<b>Total Dedicated Schools Grant</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Total Children's Services and Dedicated Schools Grant</b>	<b>23,191</b>	<b>23,184</b>	<b>1,279</b>	<b>1,241</b>	<b>38</b>
<b>Summary Position</b>					
Achieving for Children Contract	36,934	36,934	1,486	1,529	(43)
Children's Services - Retained	(2,609)	(2,617)	121	132	(11)
Dedicated Schools Grant - Retained	55,175	54,223	(120)	(225)	105
<b>Total Children's Services net budget</b>	<b>89,501</b>	<b>88,540</b>	<b>1,487</b>	<b>1,436</b>	<b>51</b>

\* denotes budget lines that form part of the Achieving for Children contract

**Social Care and Early Help**

Since the budget 2020/21 was set a number of Children in Care Placements have been re-categorised which is reflected in the above projected variance, resulting in movements between budget lines. The overall impact is net nil on the budget. There is a review underway to confirm placement classification which has resulted in changes in forecasts within placements.

Costc	Description	20/21 PROVISIONAL B/F £'000	20/21 Movements in £'000	20/21 Movements out £'000	20/21 Balance as at 21/08/20 to C/F £'000
<b>USABLE RESERVES</b>					
<b>School Balances</b>					
AK14	Schools Revenue Balances	-1,462			-1,462
AK26	General DSG Reserve	1,159			1,159
AK9H	Earmarked DSG Reserve	-134			-134
		-437			-437
<b>Other Reserves</b>					
AK08	Insurance control account		-695	357	-338
AK13	Insurance Fund (Reserve)	-960	-370		-1,330
AK37	Earmarked Capital Grant	-2,191	-451		-2,642
AK38	Community Infrastructure Levy	-4,841	-868	272	-5,437
AK40	NNDR Contingency Reserve	-2,269		1,519	-750
AK48	Better Care Fund Reserve	-1,383	1,383		0
AK50	Public Health Reserve	-332			-332
AK54	Optalis Development Reserve	-81			-81
AK55	Brexit Funding	-299			-299
AK63	Cap Rcpts Unapplied Gen Fund	-551			-551
AL01	Graves In Perpetuity Mtce Fund	-8			-8
AL03	Arthur Jacob Nature Rsv Fund	-123			-123
AL04	Old Court Maintenance Fund	-34	-9		-43
AL08	Covid 19 Reserve	-	-1,157	1,157	0
AK20	Net Revenue General Fund BUDGET 0	-8,231		5,497	-2,734
	<b>TOTAL USABLE RESERVES</b>	<b>-21,740</b>	<b>-2,167</b>	<b>8,802</b>	<b>-15,105</b>

Costc	Description	20/21 PROVISIONAL B/F £'000	20/21 Movements in £'000	20/21 Movements out £'000	20/21 Balance as at 21/08/20 to C/F £'000
<b>UNUSABLE RESERVES</b>					
AG33	Capital Adjustment Account	-193,414			-193,414
AG34	Revaluation Reserve	-227,476			-227,476
AK39	Financial Instruments Revaluation Res	2,034			2,034
AK25	Pensions Reserve	249,304			249,304
AF22	Collection Fund-NNDR	7,592		2,589	10,181
AF51	Collection Fund - Council Tax	54			54
AG36	Accumulated Absences Account	1,934			1,934
	<b>TOTAL UNUSABLE RESERVES</b>	<b>-159,972</b>	-	2,589	<b>-157,383</b>
	<b>TOTAL RESERVES</b>	<b>-181,712</b>	<b>-2,167</b>	11,391	<b>-172,488</b>
<b>PROVISIONS</b>					
AE09	Redundancy Provision	-24			-24
AE13	MMI Clawback liability	-242			-242
AE22	Provision for NNDR Deficit	-2,421			-2,421
AF53	Appeals provision for Business Rates	-1,024			-1,024
	<b>TOTAL PROVISIONS</b>	<b>-3,711</b>	-	-	<b>-3,711</b>

Item	MEETING TYPE AND DATES 2021/22 BUDGET BUILD	DATE
1	BSG - MTFP Assumptions/ identified gap & budget timetable	Wed 16-Sep-20
2	BSG - MTFP & 1st draft of ranked capital bids - identified pressures	Wed 30-Sep-20
3	<b>FULL COUNCIL - MTFP AND BUDGET TIMETABLE</b>	Wed 14-Oct-20
4	BSG - MTFP gap identified following Council, savings proposal initial review, 2nd draft capital programme.	Wed 21-Oct-20
5	<b>Overview and Scrutiny panels - November/December tbc - to scrutise savings proposals</b>	Nov/Dec tbc
6	BSG - MTFP, Fees and charges, update on savings and review of income exercise.	Wed 04-Nov-20
7	BSG - MTFP, savings proposals, savings proposals, taxbase, collection fund pre-declaration.	Wed 18-Nov-20
8	<b>LEADERS BOARD</b>	Thu 26-Nov-20
9	<b>BSG</b>	Wed 02-Dec-20
10	BSG - LG Settlement(if received) & MTFP	Wed 16-Dec-20
11	<b>CABINET - BUDGET AND COUNCIL TAX REPORT</b>	Thu 17-Dec-20
12	BSG Final - settlement received. Group to finalise MTFP proposals. Preparation and presentation to scrutiny panels.	Wed 06-Jan-21
13	BSG - Final preparations	Wed 13-Jan-21
14	<b>Communities Overview and Scrutiny panel</b>	Mon 18-Jan-21
15	<b>Infrastructure Overview and Scrutiny panel</b>	Tue 19-Jan-21
16	<b>Adults Children &amp; Health Overview and Scrutiny panel</b>	Thu 21-Jan-21
17	<b>Corporate Overview and Scrutiny panel</b>	Tue 26-Jan-21
18	<b>CABINET</b>	Thu 28-Jan-21
19	<b>BSG Final</b>	Wed 03-Feb-21
20	<b>BUDGET CABINET - FULL BUDGET REPORT</b>	Thu 04-Feb-21
21	<b>Council - full budget report and the capital programme for Childrens services</b>	Tue 23-Feb-21

KEY	
BSG Meetings	
Leaders Board and Cabinet	
O&S Committees	
Council	

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# Agenda Item 7

## WORK PROGRAMME - CORPORATE OVERVIEW AND SCRUTINY PANEL

<b>DIRECTORS</b>	<ul style="list-style-type: none"> <li>• Duncan Sharkey (Managing Director)</li> <li>• Russell O’Keefe (Executive Director)</li> <li>• Adele Taylor (Director of Resources)</li> </ul>
<b>LINK OFFICERS &amp; HEADS OF SERVICES</b>	<ul style="list-style-type: none"> <li>• Elaine Browne (Head of Law)</li> <li>• Nikki Craig (Head of HR, Corporate Projects &amp; ICT)</li> <li>• Catherine Hickman (Lead Specialist Audit and Investigation)</li> <li>• Barbara Richardson (Managing Director RBWM Property Co)</li> <li>• Ruth Watkins (Chief Accountant)</li> <li>• Karen Shepherd (Head of Governance)</li> <li>• Andrew Vallance (Head of Finance and Deputy S151 Officer)</li> </ul>

### MEETING: 22<sup>nd</sup> OCTOBER 2020

ITEM	RESPONSIBLE OFFICER
Maidenhead United – Request for Relocation Corporate Transformation Paper	<b>Russell O’Keefe</b> , <i>Executive Director - Place</i>
Annual Governance Statement; Progress Report – Organisational Capacity in Key Areas	<b>Duncan Sharkey</b> , <i>Managing Director</i>
Work Programme	Panel Clerk
TASK AND FINISH	
Highways contract outsourcing	<b>Hilary Hall and Ben Smith</b>

### MEETING: 26<sup>th</sup> JANUARY 2021

ITEM	RESPONSIBLE OFFICER
Budget Report	<b>Lead Officers and Finance</b>
Annual Scrutiny Report (Draft)	<b>Chairman and Lead Officers</b>
Q2 Performance Report	<b>Rachel Kinniburgh</b> , <i>Strategy and Performance</i>
Work Programme	Panel clerk

### MEETING: 19<sup>th</sup> APRIL 2021

ITEM	RESPONSIBLE OFFICER
Annual Scrutiny Report (Final version for approval and submission to Full Council)	<b>Chairman and Lead Officers</b>
Key Risk Report (Bi-Annual)	<b>Steve Mapple</b> , <i>Insurance and Risk Manager</i>
Q3 Performance Report	<b>Rachel Kinniburgh</b> , <i>Strategy and Performance</i>
Annual Governance Statement; Progress Report – Values and Behaviours	<b>Nikki Craig</b> , <i>Head of HR, Corporate Projects and ICT</i>
Work Programme	Panel clerk

**ITEMS SUGGESTED BUT NOT YET PROGRAMMED**

ITEM	RESPONSIBLE OFFICER

The Terms of Reference for the Corporate Overview and Scrutiny Panel can be found at the following link:  
<https://rbwm.moderngov.co.uk/ecSDDisplay.aspx?NAME=SD558&ID=558&RPID=4678919>

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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