

HAMPSHIRE COUNTY COUNCIL

Report

Committee:	Children and Young People Select Committee
Date:	17 October 2022
Title:	Annual Complaints Report (2021/22) and Section 30 Ombudsman Report
Report From:	Director of Children's Services

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Purpose of this Report

1. The purpose of this report is to:
 - a. update the Children and Young People Select Committee on the operation and effectiveness of the Children's Services Department's complaints procedures through the provision of the current Annual Complaints Report (ACR). The submitted ACR (Appendix A) and supporting Data Appendix (Appendix B) cover the reporting period 01 April 2021 to 31 March 2022; and
 - b. submit the report (Appendix C) issued by the Local Government and Social Care Ombudsman (LGSCO) under Section 30 of the Act, for formal consideration of the recommendations from the LGSCO.

Recommendation(s)

2. To note the position of the Children's Services Department in regard to complaints for the reporting period 01 April 2021 to 31 March 2022.
3. To formally note the recommendations made by the LGSCO and that the recommendations of the LGSCO in respect to the complainant have been completed by the County Council.

Executive Summary

4. This report, alongside the slide presentation position update, seeks to provide the Children and Young People Select Committee, with an update on the position of the Children's Services Department in regard to complaints for the reporting period 01 April 2021 to 31 March 2022. It also submits the report issued by the LGSCO under Section 30 of the Act, for formal consideration of the recommendations from the LGSCO, in line with our statutory requirement.

Annual Complaints Report

5. The Annual Complaints Report (ACR) is a public document published each financial year under regulation 13(3), The Children Act 1989 Representations Procedure (England) Regulations 2006. A copy of the ACR is attached at Appendix A, along with a copy of the supporting Data Appendix attached at Appendix B.
6. The ACR provides a mechanism by which Hampshire County Council's Children's Services Department can be kept informed about the operation and effectiveness of its complaints procedure and support learning from complaints.
7. The latest ACR covers the reporting period 01 April 2021 to 31 March 2022 and must include key information as set out in the statutory guidance 'Getting the Best from Complaints', including representations made to the local authority, the number of complaints at each stage and any that were considered by the LGSCO, which customer groups made the complaints, and the types of complaints made.

Local Government and Social Care Ombudsman Determination

8. On 26 June 2022 the Local Government and Social Care Ombudsman (LGSCO) issued a report under Section 30 of the Local Government Act 1974 (Act) regarding determination of an investigation against the County Council. A copy of the report is attached at Appendix C. The report sets out details of the complaint, findings, conclusions and recommendations of the LGSCO.
9. Where a report is issued by the LGSCO under Section 30 of the Act, the County Council is required to formally consider the recommendations and confirm to the LGSCO the action it has taken or proposes to take. The LGSCO has indicated the reasons behind the issuing of a report under Section 30 of the Act within its report, and we accept that we got aspects of this case wrong, and lessons have been learned and actions undertaken.
10. The recommendations of the LGSCO in respect to the complainant have been completed. The County Council has issued an apology to the complainant and paid a symbolic amount in consideration of the time and trouble taken to make the complaint and to cover the cost of journeys until suitable transport was in place. A further action in respect of reviewing wider aspects of the service is in progress in accordance with the Ombudsman's timescale.

REQUIRED CORPORATE AND LEGAL INFORMATION:

Links to the Strategic Plan

This proposal does not link to the Strategic Plan but, nevertheless, requires a decision because where a report is issued by the LGSCO under Section 30 of the Act, the County Council is required to formally consider the recommendations and confirm to the LGSCO the action it has taken or proposes to take.

Section 100 D - Local Government Act 1972 - background documents

The following documents discuss facts or matters on which this report, or an important part of it, is based and have been relied upon to a material extent in the preparation of this report. (NB: the list excludes published works and any documents which disclose exempt or confidential information as defined in the Act.)

Document

Location

None

Appendix A

Children's Services Department

Annual Report on Complaints and Representations

2021/22

Executive Summary

The Annual Complaints Report (ACR) is a public document, providing a mechanism by which Hampshire County Council's Children's Services Department (the department) can be kept informed about the operation and effectiveness of its complaints procedure and support learning from complaints. This document covers the reporting period 01 April 2021 to 31 March 2022.

The key findings within the report can be summarised as:

1. A total of 1,628 representations were received by CSCT in the 2021/22 reporting period. This represents a significant increase of 53% from 2020/21.
2. 27.6% of representations were considered in accordance with the statutory guidance (21.8% were accepted and managed as statutory complaints), 26.9% were managed as corporate complaints and 45.5% were 'other' complaints/representations. On average, the department receives 99 representations per month.
3. Of the 359 pre-complaints received, less than half (40.7%) became formal complaints.
4. There was a 25% increase in compliments received in 2021/22 compared to 2020/21, with 67% relating to social care services and 33% to non-social care services.
5. During 2021/22, the average time taken to investigate and respond to new social care stage one complaints was 9.6 working days. This is a reduction of 2.4 working days on average compared to the previous reporting period. For corporate stage two complaints, the average was 14 working days, seeing an increase of the average number of working days for the first time since the 2019/20.
6. CSC complaints for this reporting period have seen a positive movement around timescale compliance. 49% of CSC complaints were responded to within 10 working days at stage one (47% in 2020/21); 46% between 10-20 working days (also 46% in 2020/21) and 5% exceeded the maximum 20 working day limit (16% in 2020/21). 40% of corporate complaints were responded to within 10 working days at stage two (47% in 2020/21); 49% between 10-20 working days (50% in 2020/21) and 11% exceeded the maximum 20 working day limit (3% in 2020/21).
7. 'Parents' continue to be the group most likely to make a complaint to Children's Services (87% of all complaints). There has also been a small increase in complaints made by 'Other Professionals' from one in 2020/21 to three in 2021/22.

8. The three highest categories for the reason (nature) why social care complaints are made continue to be 'conduct of worker', 'insufficient support from Children's Services' and 'poor communication'. 'Conduct of worker' continues to be the main reason for social care complaints being submitted but has reduced from a 40% share in 2020/21 to 28% in 2021/22. 'Insufficient support from Children's Services' has seen an increase from 38 complaints in 2020/21 to 73 complaints in 2021/22, however, its percentage share has reduced from 19% to 17%. 'Poor communication' also received an increase in both numbers and percentage share, from 23 (12%) in 2020/21 to 83 (19%) in 2021/22.
9. The predominant reason (nature) why corporate complaints are made continues to be around 'poor communication' (33%), 'Delay' (23%) relating specifically to the EHCP process, followed by complaints around the EHCP process (15%).
10. For CSC stage one complaints, the predominant outcome sought has changed from 'change of social worker' (30) in 2020/21 to 'complaint issues investigated' (122) in 2021/22. The next three highest identified categories are 'change of social worker' (11%), 'better communication' (9%), and 'increased support from CSD' (6%). 66 social care complaints (14%), compared to 19 in 2020/21, did not identify an outcome being sought as part of their submission at stage one.
11. For corporate complaints, outcomes relating to EHCPs made up over half of the outcomes being sought by complainants (51.9%) at stage two in 2020/21. In 2021/22, this has reduced to 27%. The main outcome being sought for corporate complaints was for 'Better Communication' (17%), followed by 'Complaint Issues Investigated' (10%) and 'EHCP to be finalised' (10%).
12. 93% of the actual outcomes achieved during the reporting period for CSC stage one complaints were either 'Explanation' (61%), 'Apology & Explanation' (30%) or 'Apology' (2%). The three main actual outcomes for corporate stage two complaints in 2021/22 were the same three categories as for CSC stage one complaints, 'Apology & Explanation' (58%), 'Explanation' (24%) or 'Apology' (5%)

The report also identifies five recommendations for CSCT or the wider department to implement or monitor, as appropriate, during the 2022/23 reporting period:

- **Recommendation 1 – CSC Stage Two Recovery Plan.**
- **Recommendation 2 – Financial Resilience.**
- **Recommendation 3 – Service Improvement.**

- **Recommendation 4 – Continue to increase capacity within the Independent Person (IP) pool and the Investigating Officer (IO) pool.**
- **Recommendation 5 – Continue to work with the appropriate Departmental service lead to confirm what is recorded within the Department’s Children’s Social Care Case Management System, when a complaint is made.**

The full report follows, supported by an Appendix of tables, containing further breakdowns of the information recorded by CSCT.

1.0 Introduction

- 1.1 The report covers Hampshire County Council's Children's Services Department's formal feedback and representations for the period 1 April 2021 to 31 March 2022. The report details the compliments and complaints formally recorded by the Children's Services Department's Complaints Team (CSCT). In addition to annual reporting, internal reporting takes place on a quarterly basis, with more regular monitoring reports for services issued on request. This regular monitoring of formal feedback enables ongoing improvement.
- 1.2 The Children's Act 1989 requires all local authorities with social services responsibilities to have a formal complaints procedure for children's social care complaints. Getting the Best from Complaint (statutory guidance issued by the DfE, 2006) provides guidance for local authorities on implementing the complaint process for social care complaints made in relation to Children's Services. This annual report is produced in line with national guidance and is designed to share information more widely with members of the public. For completeness, although not required by the statutory guidance, this report also includes corporate complaints pertaining to Children's Services.
- 1.3 **Children's Social Care (CSC) Complaints:** These statutory complaints follow the Council's CSC Complaints Procedure for Children's Services (Stage One – local resolution; Stage Two – investigation; Stage Three – complaint review panel). When a complainant has exhausted the three stage complaints process, they can ask the Local Government and Social Care Ombudsman (LGSCO) to consider their complaint. Complainants are also able to refer their complaint to the LGSCO at any point in the formal process, however, if the complaint is still being considered by the local authority the LGSCO may deem the complaint premature and direct the complainant back to complete the local authority's complaint process.
- 1.4 **Corporate Complaints:** The majority of the remainder of complaints for Children's Services fall under the Council's corporate complaints procedure, ensuring compliance with the Local Government Act 1974. For example, these may be complaints about the Special Educational Needs (SEN) Service, School admissions, a support service or administrative process rather than children's social care. Having invariably received an informal response to their complaint, most corporate complaints are investigated directly at stage two and if the complainant remains dissatisfied progressed to stage three of the Council's corporate complaints process, which requires review and response by the Corporate Information Governance Team based within the Corporate Services Department.

2.0 Representations Received

2.1 A total of 1,628 representations were received by CSCT in the 2021/22 reporting period. This represents a significant increase of 53% from 2020/21. Table 1.1 below highlights the breakdown of how these numbers compare to previous years.

Table 1.1: Total Representations Split by Reporting Periods (Financial Years)

Type of representation	Financial Year			
	2021/22	2020/21	2019/20	2018/19
Children's Social Care (CSC)				
Complaint	280	175	166	128
Pre-complaint (to Statutory Stage 1 Complaint)	73	20	13	13
Case Concern (to Statutory Stage 1 Complaint)	3	3	0	0
Joint complaint	0	0	0	1
Refused	37	16	38	27
Withdrawn	1	7	2	0
Case Concern	55	80	119	144
Total CSC representations	449	301	338	313
Corporate				
Complaint	355	180	231	98
Pre-complaint (to Corporate Stage 1 Complaint)	0	0	1	0
Pre-complaint (to Corporate Stage 2 Complaint)	73	5	2	3
Refused	4	0	13	19
Withdrawn	6	1	2	0
Corporate Stage 1	0	1	20	1
Total corporate representations	438	187	269	121
Other				
Area initiated complaint	13	13	23	13
Pre-complaint	213	164	105	95
Professional to Professional Complaint	24	33	28	19
HSCP	1	2	5	3
LGSCO	52	24	17	19
Local Response	10	18	32	0
Compliment	15	12	7	3
HantsDirect handoff	0	0	1	0
GDPR, FOI or SAR	112	67	39	0
Request for info	0	0	1	0
Ad Hoc	273	245	168	373
Total other representations	741	578	426	525
Total representations	1628	1066	1033	959

- 2.2 Within the reporting period, there were also:
- 15 compliments, with 10 relating to social care services and 5 to non-social care services;
 - 741 'other' types of enquiry, with 273 recorded as Ad Hoc (an increase of 11% compared to 2020/21);
 - 449 statutory representations of which 355 (79%) were accepted into the statutory complaints process; and
 - 438 corporate representations (an increase of 134% compared to 2020/21), of which 427 (97%) were accepted into the corporate complaints process (all at stage two).

2.3 27.6% of representations were considered in accordance with the statutory guidance (21.8% were accepted and managed as statutory complaints), compared to 28.2% in 2020/21; 26.9% were managed as corporate complaints, compared to 17.5% in 2020/21; and 45.5% were 'other' complaints/representations, compared to 54.2% in 2020/21. On average, the department receives 99 representations per month, compared to 89 in 2020/21.

2.4 There was an increase in the number of pre-complaints received in the reporting period, 359 compared to 189 in 2020/21. A pre-complaint occurs when a representation is made but there is insufficient information included to allow the department to respond. The individual concerned is contacted by CSCT and asked to provide the necessary detail. Where this happens, the representation is then brought into the formal complaint process (pre-complaint to complaint).

Observation – of all activity undertaken by the CSCT, the team continue to see around 50% not instantly being accepted into either the corporate or social care complaints process (54.2% in 2020/21, 43.7% in 2021/22), with almost 40% of this activity being classed as 'ad-hoc'.

Observation – Corporate Complaints provided the biggest change in activity compared to the previous reporting period with an increase of 9.4 percentage points.

Observation – of the 359 pre-complaints received, less than half (40.7%) became formal complaints.

2.5 CSCT also coordinate complaints (relating to Child Protection Conferences) that fall within the Hampshire Safeguarding Children Partnership complaint process. There was one complaint in this process, which was closed at Stage One.

2.6 Professional to Professional complaints are complaints received from other professionals and not made on behalf of service users.

Observation – Professional to Professional complaints (24) observed a reduction in 2021/22 by 27.3% compared to 2020/21, the first reduction in three reporting periods.

2.7 Compliments have continued to increase for the fourth reporting period running, with a further 25% increase in the number of compliments received (24 in 2021/22 compared to 12 received in 2020/21).

2.8 A total of 38 complaints were refused during the reporting period, an increase of over double on the previous period (16 in 2020/21). A detailed breakdown of the reasons for these refusals can be found in table 1 within the supporting Data Appendix but 'Court Proceedings' continues to be the main reason for a complaint being refused.

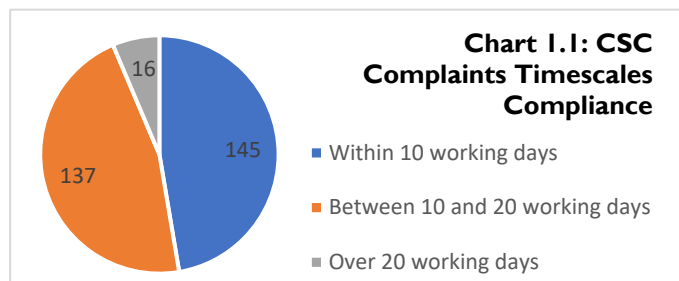
Observation – 'Repeat Complaints' was used for the first time as a reason for refusal since the 2019/20 reporting period, for both CSC and Corporate Complaints.

3.0 Timescale compliance

3.1 During 2021/22, the average time taken to investigate and respond to new CSC stage one complaints was 9.6 working days. This is a reduction of 2.4 working days on average compared to the previous reporting period and a second reporting period reduction.

3.2 For corporate stage two complaints, the average was 14 working days (compared to 12 in 2020/21), seeing an increase of the average number of working days for the first time since the 2019/20.

3.3 As can be seen in Chart 1.1, 145 (49%) CSC complaints were responded to within 10 working days at stage one (47% in 2020/21); 137 (46%) between 10-20 working days (46% in 2020/21) and 16 (5%) exceeded the maximum 20 working day limit (6% in 2020/21).



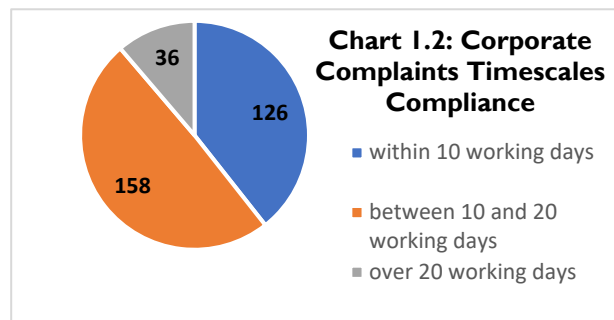
3.4 This reporting period has seen continued positive movement around social care complaints timescale compliance at stage one with more cases being completed within the 10 working days indicator (2% points increase) with almost half of all CSC stage one complaints being within this indicator. Although the number of CSC stage one complaints taking over 20 working days to complete increased by four in 2021/22 compared to 2020/21, the percentage share of complaints at stage one for this indicator did still reduce by one percentage point.

3.5 However, the position around stage two CSC complaints continues to be an area for improvement. During the 2021/22 reporting period, there were 53 complaints accepted but awaiting allocation at stage two due to limited capacity at this time within the County Council’s Investigating Officer (IO) and Independent Person (IP) resource pool.

3.6 The limited capacity also in turn affected the ability to meet the statutory timescales for stage three escalations where panels must consist of three independent persons. There were two CSC stage three complaints completed within the reporting period and both cases took over the 50 working days indicator to complete (the same number and timescales in 2020/21).

3.7 An implementation plan has been developed, with actions being taken both within and outside of the reporting period to tackle the issues being faced. This includes increasing the capacity within the County Council’s Investigating Officer and Independent Person resource pool to assist with progressing CSC complaints at stage two and at stage three (see section 12 for more information of actions being taken).

3.8 40% of corporate complaints were responded to within 10 working days at stage two; 49% between 10-20 working days and 11% exceeded the maximum 20 working day limit, as can be seen in Chart 1.2.



3.9 During this reporting period, corporate complaints have seen a negative movement around timescale compliance. Compared to 2020/21, this reporting period identified a seven percentage point reduction in the number of corporate complaints completed within the 10 working days indicator; a one percentage point reduction within the 10-20 working days extension period; and the number of corporate complaints taking over 20 working days to complete had a significant increase from five to 36, increasing its percentage share of stage two complaints from 3% to 11%.

3.10 A further breakdown of timescale compliance can be found in table 2 within the supporting Data Appendix.

4.0 Who make complaints and how are they submitted?

4.1 Parents continue to be the group most likely to make a complaint to Children's Services (87%). The three most popular methods for making a complaint continue to be by 'email', 'e-form' and 'letter'.

Observation – The number of complaints received by letter for CSC complaints has doubled during this reporting period, which returns back the position in 2021/22 with email returning the consumed share back to Letters.

4.2 There was a small increase in complaints made by 'Other Professionals' from one in 2020/21 to three in 2021/22.

4.3 Data pertaining specifically to Young Peoples' complaints (as a subset) is included later in the report.

4.4 A further breakdown of who made complaints and how they were submitted can be found in table 5 within the supporting Data Appendix.

5.0 Nature and Service

5.1 The three highest category for the reason (nature) why social care complaints are made continue to be 'conduct of worker', 'insufficient support from Children's Services' and 'poor communication'. 'Conduct of worker' continues to be the main reason for social care complaints being submitted but has reduced from a 40% share in 2020/21 to 28% in 2021/22. 'Insufficient support from Children's Services' has seen an increase from 38 complaints in 2020/21 to 73 complaints in 2021/22, however, its percentage share has reduced from 19% to 17%. 'Poor communication' also received an increase in both numbers and percentage share, from 23 (12%) in 2020/21 to 83 (19%) in 2021/22. 'Quality of service' also received an increase from one complaint in 2020/21 to six complaints in 2021/22 (1%).

5.2 CSC complaints continue to be mainly in relation to CAST Teams (70% in 2020/21 and 2021/22) followed by services to Children Looked After (19% in 2020/21 and 14% in 2021/22). The main movement in terms of complaints about specific services:

- an increase (61.9%) in CAST Team complaints from 139 in 2020/21 to 225 in 2021/22; and
- a continued year on year increase (144% this period) around MASH/CRT (22 in 2021/22; nine in 2020/21; and five in 2019/20).

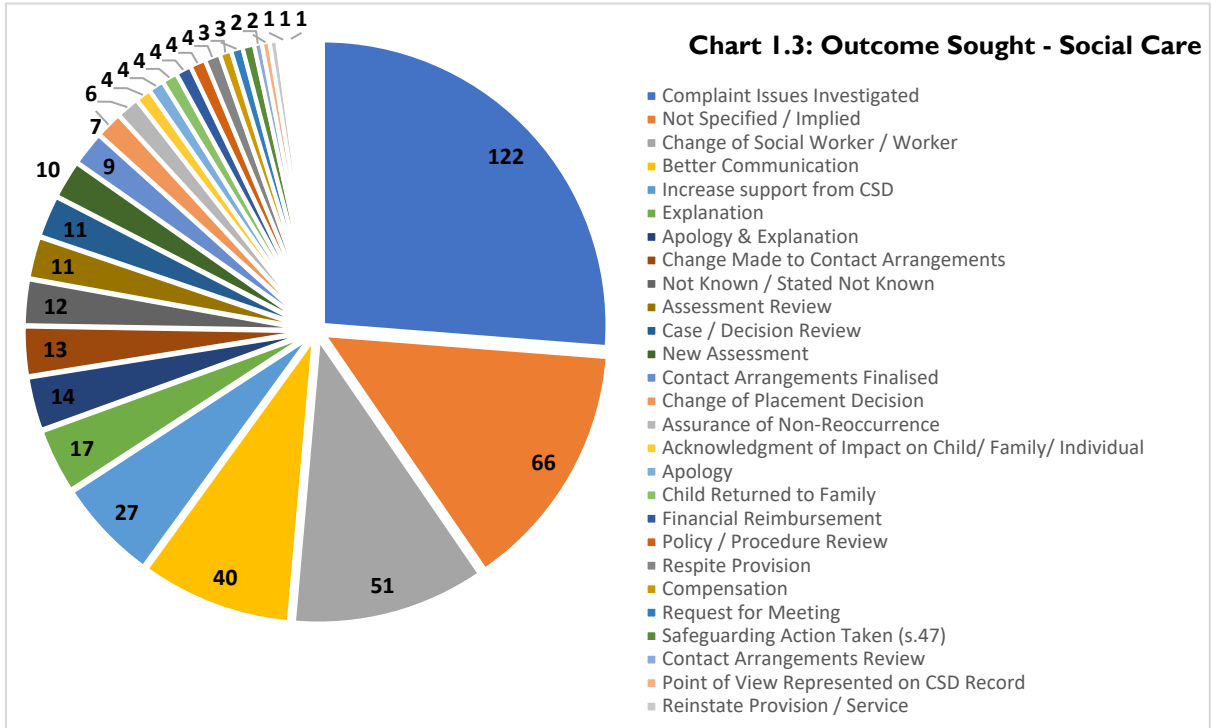
5.3 The predominant reason (nature) why corporate complaints are made continues to be around 'poor communication' (33%), 'Delay' (23%) relating specifically to the EHCP process, followed by complaints around the EHCP process (15%). This is not unexpected that 38% of complaints are to do directly with SEN activity where the SEN Service continues to be the department's most complained about service under the corporate complaints process (72% in 2021/22 compared to 77% in 2020/21), followed by the Home to School Transport Service (7% in 2021/22 compared to 6% in 2020/21).

5.4 A further breakdown of the nature of complaints made can be found in Tables 6 and 7 within the supporting Data Appendix, with the services involved in Tables 8 and 9.

6.0 Outcomes sought – social care and corporate complaints

6.1 When making a complaint, complainants are asked to state what outcome they are seeking. This provides a useful indication to the responding manager about what potentially would resolve the complaint and also provides comparative data in relation to the actual outcome i.e., the outcome of the investigation.

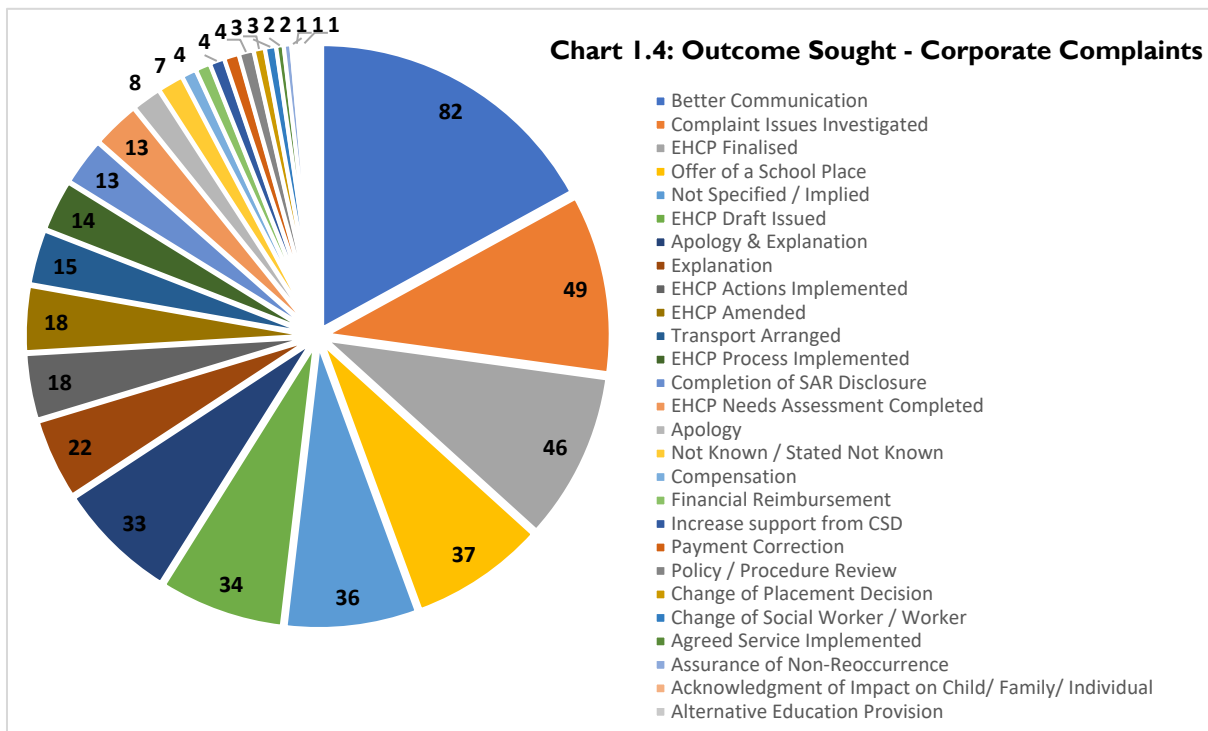
6.2 For CSC stage one complaints, the predominant outcome sought has changed from 'change of social worker' (30) in 2020/21 to 'complaint issues investigated' (122) in 2021/22. The next three highest identified categories are 'change of social worker' (11%), 'better communication' (9%), and 'increased support from CSD' (6%). 66 social care complaints (14%), compared to 19 in 2020/21, did not identify an outcome being sought as part of their submission at stage one, as can be seen in Chart 1.3.



6.3 For corporate complaints, outcomes relating to EHCPs made up over half of the outcomes being sought by complainants (51.9%) at stage two in 2020/21. In 2021/22, this has reduced to 27%.

Observation – The reduction in the percentage share of complaints at corporate stage two relating to EHCPs could be accredited to the time and investment being put into both improving service delivery but also the handling of complaints by the SEN Service.

6.4 The main outcome being sought for corporate complaints was for 'Better Communication' (17%), followed by 'Complaint Issues Investigated' (10%) and 'EHCP to be finalised' (10%), as can be seen in Chart 1.4.



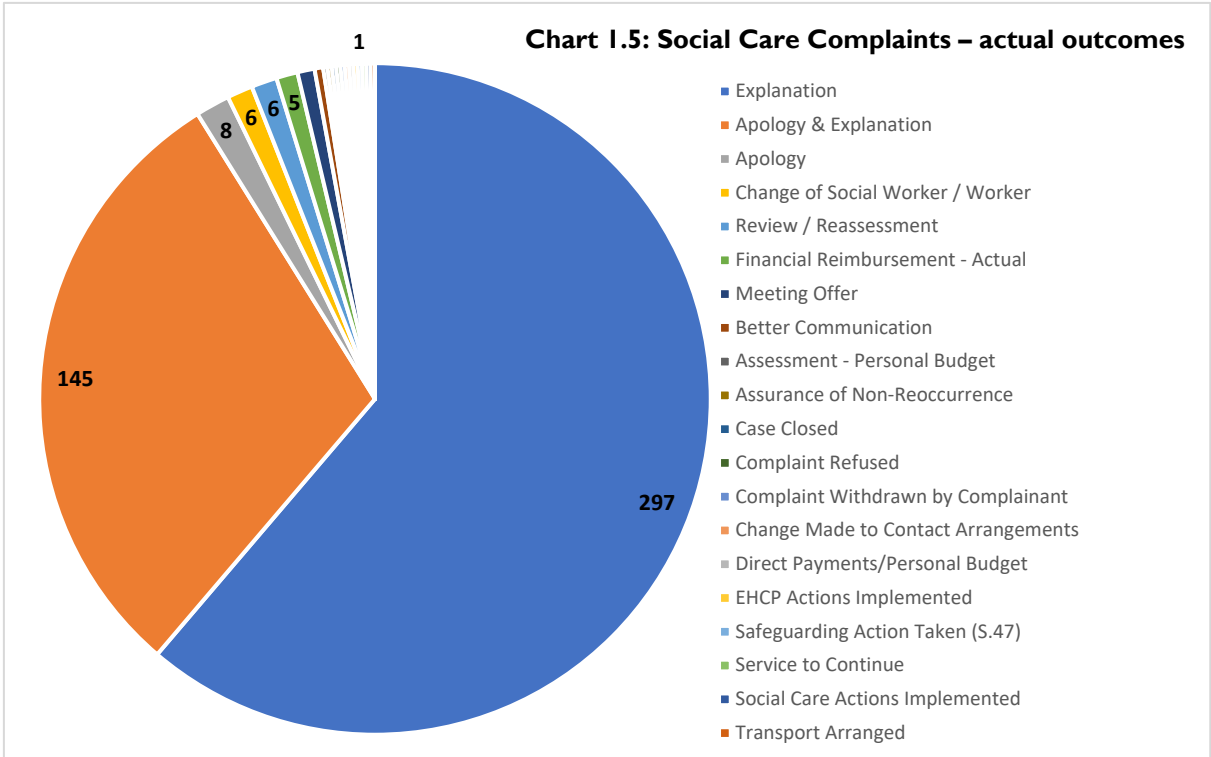
Observation – With a 257% increase in stage two complaints about poor communication (82 in 2021/22 compared to 23 in 2020/21), this could be an indicator that services are either not managing the expectations of customers/keeping them informed or that the quality of response either to do with service delivery or local/stage one complaint response is not of a high enough quality to resolve the issue at that early stage.

7.0 Actual Outcomes – social care & corporate complaint

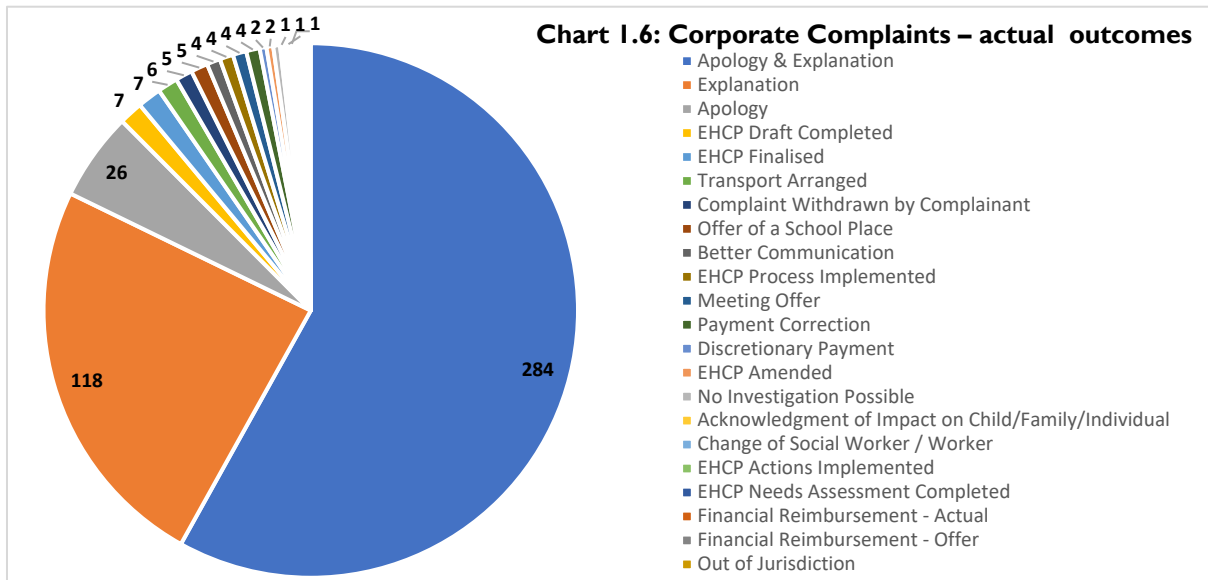
7.1 Having identified from the complainant the outcome they are seeking, the actual outcome achieved is taken from the response letter.

7.2 Chart 1.5 below, provides a summary breakdown of 'actual outcomes' for CSC Complaints at stage one within the reporting period with a further detailed breakdown available under Table 11 within the supporting Data Appendix.

7.3 93% of the actual outcomes achieved during the reporting period for CSC stage one complaints were either 'Explanation' (61%), 'Apology & Explanation' (30%) or 'Apology' (2%).



7.4 The actual outcomes for corporate stage two complaints in 2021/22 were the same three categories as for CSC stage one complaints, 'Apology & Explanation' (58%), 'Explanation' (24%) or 'Apology' (5%), as can be seen in Chart 1.6 below.



Observation – Where only 32% of CSC stage one outcomes had an element of an apology this could indicate slightly less than a third of these complaints had a concern that the responding manager identified as having some form of fault potentially could have occurred

requiring an apology. This is in comparison to 61% of outcomes just being focused on an explanation, which implies that a misunderstanding had occurred that could be clarified with an explanation. This is in comparison to corporate stage two complaints where 63% of outcomes had an element of an apology. This could indicate that more aspects of fault are occurring within services covered by the corporate complaints process or that responding managers within services covered by the CSC process are willing to provide an apology at stage one of the process.

7.5 Table 1.2 below shows the status of CSC complaints that completed stage one summarising whether a decision was 'upheld', 'not upheld', 'partially upheld' or where a 'no finding' outcome was required.

Table 1.2: CSC Complaints received

Investigation Outcome	Number	Percentage
No Finding	0	0%
Not Upheld	127	37%
Partially Upheld	180	53%
Upheld	33	10%
Other	2	<1%
Total	342	100%

7.6 For the current reporting period, the following key points around 'actual' outcomes for CSC complaints were identified:

- 'Explanation' made up 61% of complaint outcomes (55% in 2020/21), of this 37% were 'Not Upheld' (74% in 2020/21), 53% were 'Partially Upheld' (24% in 2020/21) and only 10% were 'Upheld' (1% in 2020/21).
- Of the 33 complaints which were 'Upheld', only 10 resulted in remedial action being taken (compared to one of six in 2020/21).
- Of the 180 complaints which were 'Partially Upheld', 14 resulted in remedial action being taken (compared to six of 87 in 2020/21).

7.7 Table 1.3 below shows the status of corporate complaints that completed stage two summarising whether a decision was 'upheld', 'not upheld', 'partially upheld', a status of 'other' assigned or where a 'no finding' outcome was required.

Table 1.3: Corporate Complaints received

Investigation Outcome	Number	Percentage
No Finding	1	0%
Not Upheld	7	2%
Partially Upheld	128	43%
Upheld	161	53%
Other	5	1%
Total	342	100%

7.8 For the current reporting period, the following key points around 'actual' outcomes for corporate complaints were identified:

- Of the 161 complaints which were 'Upheld' (compared to 77 in 2020/21), only 37 (23%) resulted in remedial action being taken.
- Of the 128 complaints which were 'Partially Upheld' (compared to 79 in 2020/21), 10 (13%) resulted in remedial action being taken.

Observation – With regards to the 161 complaints that were 'Upheld', it seems surprising that only 37% of these resulted in remedial action. CSCT would have predicted this percentage to be higher, as a complaint being fully 'Upheld' is an acknowledgement of fault.

7.9 A further breakdown of the actual outcome of complaints made can be found in Table 11 within the supporting Data Appendix.

8.0 Learning from complaints

8.1 Complaints can provide both opportunities for learning and indications that Children's Services practice is appropriate. In some instances, specific areas for service improvement are identified.

8.2 Key learning points and service improvements identified from both social care and corporate complaints received in 2021/22 were consistent with previous reporting periods, focusing on common re-occurring practice issues, which cause of a significant number of complaints, including:

- **recording practice** including recording or otherwise of key decisions on case files and issues such as cut and pasting and grammatical errors.
- the importance of **good communication** and ensuring **agreed actions are completed** as agreed with service users.
- **timely replies** to communications from service users and correspondence (minutes and case paperwork) sent to service users as agreed.

- **adherence with CSD's own policies and procedures** particularly but not exclusively relating to timescales.
- 8.3 The learning from individual complaints is, as a point of good practice, usually included in the response letter to the complainant by the senior manager, who also implements and monitors any required action.
- 8.4 Some examples identified during the reporting period included:
- **Social care stage 1** – Following a complaint it was identified that an incorrect process was followed. It was acknowledged that there were training and development needs identified with several members of staff, as the level of professionalism fell below what the department aims for. It also highlighted a significant communication gap between Children's Services and a statutory partner which was addressed.
 - **Social care stage 2** – Children's Services failed to recognise and acknowledge needs highlighted in a Carers Assessment, with no plan made to meet the identified needs from the Carers Assessment. A full explanation of the Strengths Based Assessment was made available to families to ensure that its holistic nature was understood.
 - **Corporate stage 2** – Specific undertaking in relation to additional support being provided to a caseworker, where poor communication had been identified and monitoring of their contact with the complainant to ensure the improvement is maintained.

9.0 Young People's Complaints

- 9.1 In 2021/22, young people made 13 complaints, a 44% increase from the previous reporting period. All complaints were made in isolation, with no complainant making multiple submissions.
- 9.2 Almost a third of young people's complaints were again made via an advocate on the young person's behalf, with 69% of complaints coming directly from the young person (compared to 66% in 2020/21).
- 9.3 56% of young people's complaints were in regard to 'Children in Care' services, with the remaining complaints split between 'Care Leavers' (20%), 'CAST' (16%) and 'Intensive Support Service' (8%).
- 9.4 The category 'Not specific/Implied' (28%) was the highest recorded outcome, with a variety of other outcomes being individually sought, including 'Complaint issues investigated' (20%) and 'Better communication' (16%) being the next highest.

- 9.5 A large percentage of young people's complaints resulted in an outcome of 'Explanation' (72%) followed by 'Apology & Explanation' (12%) and 'Meeting Offer' (8%).

Observation – 8% of young people were offered a meeting in regard to their complaint in comparison to only 1% of adult complainants. This could be seen as a reluctance to engage in person with the adult complainant by the service; or an area of development for the complaints process to ensure that the service are clear that this approach is acceptable and one of the tools available to support them in trying to resolve the complainants concerns.

In regard to young people, it may be that due to the content of the complaint, service managers felt that it would be more beneficial and supportive to the young person to discuss the concerns in person to ensure they fully understand the matters being discussed and any findings that the complaint investigation at the local resolution stage may have uncovered.

Observation – 28% of complaints were recorded with outcomes that were 'Not specified/Implied'. This could be seen as evidence that those responding to complaints are not seeking desired outcomes from complainants. Knowing what outcome is being sought is integral to resolving a complaint and therefore this is an area of development.

- 9.6 A breakdown of young people's complaints can be found in tables 12 to 15, within the supporting Data Appendix.

CSC complaints escalation

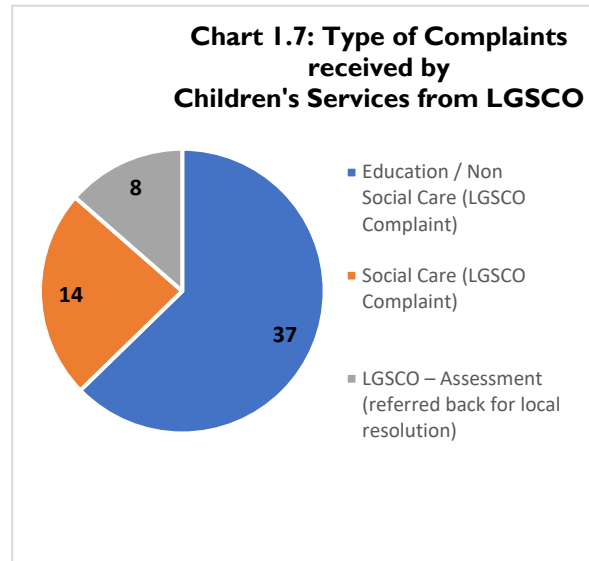
- 9.7 There was an increase in the number of complainants having their CSC complaint escalated after receiving a stage one response. With 16% escalating in 2020/21 and 20% escalating in 2021/22.
- 9.8 During the reporting period, eight stage two complaints were completed. None of these complaints were completed within either the 25 working day period or within the statutory extension period (between 25 and 65 working days).
- 9.9 As identified under section 11.2 within the report, further work has been undertaken both within and outside of the reporting period to increase the capacity within the County Council's Investigating Officer and

Independent Person pool to assist with progressing CSC complaints at stage two and in turn for stage three.

10.0 Local Government and Social Care Ombudsman (LGSCO)

10.1 The number of referrals received via the LGSCO (52) during the reporting period increased by 117% compared to the previous period (24).

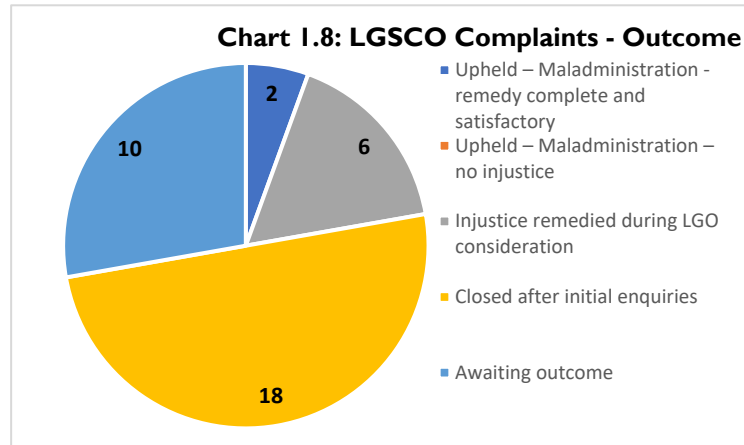
10.2 As in previous reporting periods, at the initial complaint stage of both complaint processes the largest number of complaints related to social care with corporate complaints making up a significantly lower proportion. However, in respect of complaints to the LGSCO this is reversed (see Chart 1.7) with a significant portion of complaints sent to the department from the LGSCO were previously responded to via the corporate complaint process (63%).



10.3 When the LGSCO find fault, the ombudsman makes recommendations in relation to remedy to the complainant and/or learning for the County Council in terms of our practise and processes.

10.4 The LGSCO Assessment team will sometimes make enquiries in relation to the 'status' of a complaint to establish if it has gone through the Council's complaint process before deciding whether to investigate. These enquires usually result in the LGSCO deciding a complaint is 'premature' and it is returned to the Council for investigation and response.

10.5 Financial recompense was a feature in all complaints where fault was found (see Chart 1.8), with 72% of the payments being required for non-social care complaints. Of those, three also contained practice improvement requirements, which have been collated below:



- Action taken to address delays in EHCP annual reviews and how the service monitors children with EHCPs out of school and resolves situations.
- Action to review and remedy similar injustice to others who appear to have suffered an injustice due to the same fault.
- Review handling of case to prevent similar errors in future.

11.0 2021/22 recommendations – progress

11.1 The loss of both the experienced Complaints Manager and Complaints Officer within the reporting period had a significant impact on the capacity of the team to deliver against the established recommendations. An Interim Complaints Manager was put in place to enable the service to continue to operate but where they were not full time, this meant that they did not have the capacity in their working day to dedicate to these actions.

11.2 The following provides a progress update on each recommendation:

Recommendation 1 – Develop an Implementation Plan and ensure delivery of the service improvements identified within the Children’s Services Transformation Practice’s review of Children’s Services Complaints. All actions identified with a potential delivery date falling within the 2021/22 reporting period to be included. Proposal to be completed by 31 March 2022.

Progress – Action Superseded. This action has been superseded by the actions being developed as part of the recovery plan around CSC stage two complaints, service improvement actions and financial resilience activity, which has been included as part of the recommendations for the 2022/23 reporting period.

Recommendation 2 – Working alongside the Childrens Services Performance Manager and Children & Families Branch Management Team (CFMT) members, continue to incorporate the benefits of the new Complaints Case Management System through the capturing of evidence to support learning, by updating the format of the Annual Complaint Report (ACR) to include this additional detail and develop a quarterly report for consideration at CFMT. Proposal to be completed by 31 March 2022.

Progress – ONGOING. This action will be carried forward as part of the service improvement activity being overseen by the new Complaints Manager.

Recommendation 3 – Establish the ongoing team structure arrangements for the Children’s Services Complaints Team, confirming the ongoing approach to the statutory Complaints Manager position. Proposal to be completed by 31 March 2022.

Progress – Partially Completed. The department has successfully recruited a new permanent Complaints Manager and filled the vacancy created during the reporting period of an experienced Complaints Officer. The ongoing future proofing of the Children’s Services Complaints Team has been amalgamated into the Financial Resilience activity, which has been included as part of the recommendations for the 2022/23 reporting period.

Recommendation 4 – Continue to increase capacity within the Independent Person (IP) pool to ensure successful increases within the Investigating Officer (IO) role are not impacted by a lack of availability of IPs to support

investigations. Additional advertising of the role to be completed by 30 September 2021 but monitored ongoing through the 2021/22 reporting period.

Progress – ONGOING. A lot of work has gone into generating additional capacity, which has proven successful. As of 30 May 2022, the CSCT had access to 20 IOs and 17 IPs. Activity is ongoing to continue to increase capacity and this action will continue to be included as part of the recommendations for the 2022/23 reporting period.

Recommendation 5 – The observations identified within the 2020/21 ACR recommendations, to be further explored to identify any viable pattern/trend that could lead to learning/practice improvements. Proposal to be completed by 31 March 2022.

Progress – ONGOING. This action will be carried forward as part of the service improvement activity being overseen by the new Complaints Manager and extended to include 2021/22 data.

Recommendation 6 – Continue to work with the appropriate Departmental service lead to confirm what is recorded within the Department’s Children’s Social Care Case Management System, when a complaint is made. Proposal to be completed by 31 March 2022.

Progress – ONGOING. To be carried forward to 2022/23 report.

Recommendation 7 – Working alongside the Childrens Services SEN Management structure to continue to incorporate the benefits of the new Complaints Case Management System through the capturing of evidence to support learning, by updating the format of the ACR to include additional detail in support of reducing SEN complaints, alongside developing a quarterly report for consideration at the Education & Inclusion Branch Management Team (EIMT). Proposal to be completed by 31 March 2022.

Progress – ONGOING. This action will be carried forward as part of the service improvement activity being overseen by the new Complaints Manager.

Recommendation 8 – HR Case Management Lessons Learnt. Identify any lessons learnt from the approach to HR Case Management to assist with reinforcing within services the requirement to recognise the importance of the statutory duty and responsibility to comply with timescales around the delivery of the complaints process. The Head of Information Governance & Business Support and the Children’s Services Complaints Manager to identify opportunities for reinforcing these messages by 30 December 2021 and share with CSDMT members for distribution through their management structures by 31 March 2022.

Progress – CLOSED. This recommendation has not proven possible to progress as established and has therefore been closed. However, the wider lessons learnt activity will form part of the service improvement activity being overseen by the new Complaints Manager.

12.0 2022/23 Recommendations

12.1 The following recommendations are put forward for completion by the CSCT and/or department service areas during the 2022/23 reporting period:

Recommendation 1 – CSC Stage Two Recovery Plan. Develop a forecast model of how the CSCT intends to return CSC Stage Two complaints to a more manageable level, setting out clear timescales for delivery.

Recommendation 2 – Financial Resilience. There is a requirement for additional permanent resourcing to ensure longer term stability of the service. A report is to be developed to set out the additional resources being sought corporately to ensure new ways of working can be implemented, both as part of the recovery plan and also to 'right size' the CSCT to prevent future backlogs re-occurring in the longer term. Report to be submitted to Financial Resilience Group in June 2022.

Recommendation 3 – Service Improvement. To support the CSC Stage Two recovery activity and to contribute to the stabilising of the CSCT in the future, a range of operational improvements have been identified. These include:

- Measures to reduce escalation of CSC complaints from Stage One to Stage Two;
- Improvements to correspondence with complainants;
- Improvements to guidance provided to officers for responding at Stage One for CSC Complaints;
- Introduction of templates;
- Process improvements (to be identified via a workshop);
- CSC Stage Two document preparation;
- Optimised use of technology such as power automate to increase efficiency;
- Staff training;
- Management structure and oversight;
- Monitoring and reporting to support operational effectiveness and decision making within CSCT and wider Branch Management Teams; and
- Training and support to IOs and Adjudication Officers.

These improvements will be implemented across the 2022/23 reporting period.

Recommendation 4 – Continue to increase capacity within the Independent Person (IP) pool and the Investigating Officer (IO) pool. This will be an ongoing action across the 2022/23 reporting period.

Recommendation 5 – Continue to work with the appropriate Departmental service lead to confirm what is recorded within the Department's Children's Social Care Case Management System, when a complaint is made. Proposal to be completed by 31 March 2023.

Appendix 1 – Data Report

The supporting data tables can be accessed under Appendix B of the Children and Young People Select Committee submission.

Appendix 2 - Glossary

Complaint

Getting the Best from Complaints, DfES 2006 defines a complaint as:

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

Within Hampshire Children's Services, both the children's social care and corporate complaints processes use this definition.

Case Concern

The definition of a case concern, as developed by CSCT, is:

'An operational / case issue which is current, has a 'here and now' impact and requires a 'same day' intervention.'

This is in contrast to complaints which will nearly always have a historical element and, whilst significant, do not require immediate intervention. Correctly identifying representations as concerns enables them to be passed swiftly to the appropriate team for action. The option to have their concern dealt with as a complaint is explained and remains an option at any point.

Pre-complaints

Representations received by the complaints team that could become a formal complaint in the future, or where further clarification is needed from the originator before the matter can be responded to, are recorded as pre-complaints.

Area Initiated

Complaints which are managed at a local level, that CSCT become aware of, and may have some input into.

Enquiries

The complaints team is also involved with enquiries received by the Director's Office, from MPs, Councillors and the Department for Education (DoE).

HantsDirect Handoff

Calls made to HCC's contact centre where the caller wants to speak to a manager, but they are either unavailable or not found. Request is passed to CSCT who identify manager and ask for contact to be made within three days whilst also advising that if concern is not resolved a formal complaint can be made.

Miscellaneous

Representations received by the team that do not fall within its remit are recorded on Respond under 'miscellaneous'. These include disciplinary issues, non-Children's Services complaints, complaints about other agencies and local authorities.

Appendix B

Children's Services Department

Annual Report on Complaints and Representations

2021/22

Appendix 1 – Data Tables

Representations Received

Table 1 - Complaint Refusals Breakdown

Refusal Reason	Financial Year			
	2021-22	2020/21	2019/20	2018/19
Social Care Refusals				
Court Proceedings	17	8	12	5
Criminal Proceedings	1	0	1	0
No PR	9	6	14	14
Not in Best Interest/Age of Child/YP	1	0	2	0
Out of Time	3	1	2	3
Outside of Remit	2	1	3	5
Repeat Complaint	1	0	4	0
Total social care refusals	34	16	38	27
Corporate Refusals				
No PR	0	0	1	3
Not in Best Interest/Age of Child/YP	0	0	0	0
Out of Remit (Appeal)	0	0	9	9
Out of Time	0	0	0	1
Repeat Complaint	2	0	0	0
Tribunal	2	0	3	1
Total corporate refusals	4	0	13	14
Total Refusals	38	16	51	41

Timescale compliance

Table 2 – Timescale Compliance

	Stage	Financial Year							
		2021-2022		2020-2021		2019-2020		2018-2019	
Social Care Complaints	Stage 1								
	Total number of complaints	298		188		188		146	
	- in 10 working days	145	49%	89	47%	75	40%	65	45%
	- in between 10 and 20 working days	137	46%	87	46%	82	44%	69	47%
	- in over 20 working days	16	5%	12	6%	31	16%	12	8%
	- average time to complete (days)	9.6		12		17		13.9	
	Stage 2								
	Total number of complaints (completed)	8		5		9		16	
	- in 25 working days	0	0%	0	0%	0	0%	0	0%
	- in between 25 and 65 working days	0	0%	1	20%	2	22%	2	13%
	- in over 65 working days	8	100%	4	80%	7	78%	3	19%
	- Received but not progressed	53		26		4		11	
	- Withdrawn	3		0		2		0	
Stage 3									
Total number of complaints (completed)	2		2		1		2		
- in under 50 working days	0	0%	0	0%	0	0%	0	0%	
- in 50 working days	0	0%	0	0%	0	0%	0	0%	
- in over 50 working days	2	100%	2	100%	1	100%	2	100%	
Corporate complaints	Stage 2								
	Total number of complaints	320		189		228		85	
	- in 10 working days	126	40%	89	47%	85	37%	26	31%
	- in between 10 and 20 working days	158	49%	95	50%	128	56%	50	59%
	- in over 20 working days	36	11%	5	3%	15	7%	9	11%
	- average time to complete (days)	14		12		13		13.6	

Percentage calculated to zero decimal places

Who make complaints and how are they submitted?

Table 3 - Social Care Stage One and Corporate Stage Two Complaints - How Received

Method	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Complaint Form	1	>1%	1	0%	8	2%	7	2%
E-Form	233	34%	137	36%	148	36%	94	31%
Email	293	45%	220	57%	203	43%	166	54%
In Person	0	0%	0	0%	0	0%	0	0%
Letter	83	13%	23	6%	46	11%	38	12%
Letter via DCS	0	0%	0	0%	1	0%	0	0%
LGSCO (via)	4	1%	0	0%	0	0%	0	0%
Telephone	0	0%	3	1%	3	1%	3	1%
Telephone via HantsDirect	2	>1%	0	0%	2	0%	0	0%
Email via HantsDirect	39	6%	0	0%	0	0%	0	0%
YP Complaint Form	0	0%	0	0%	1	0%	0	0%
Total	655	100%	384	100%	412	100%	308	100%

Percentage calculated to zero decimal places

Table 4 – Method Used to Make Complaints Young People’s complaints (Social Care Stage One Corporate Stage Two)

Method	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Complaint Form	0	0%	1	11%	0	0%	0	0%
E-Form	4	31%	2	22%	7	41%	3	60%
Email	4	31%	4	44%	7	41%	1	20%
Email via DCS	0	0%	0	0%	0	0%	0	0%
Email via HantsDirect	0	0%	0	0%	0	0%	0	0%
In Person	0	0%	0	0%	0	0%	0	0%
Letter	3	23%	2	22%	2	12%	1	20%
Telephone	0	0%	0	0%	0	0%	0	0%
Telephone via HantsDirect	0	0%	0	0%	0	0%	0	0%
Email via HantsDirect	2	15%	0	0%	0	0%	0	0%
YP Complaint Form	0	0%	0	0%	1	6%	0	0%
Total	13	100%	9	100%	17	100%	5	100%

Percentage calculated to zero decimal places

Table 5 - Who makes complaints - received from (Social Care Stage One & Corporate Stage Two)

Received from	Financial Year							
	2021/22		2020/21		2019/20		2018-2019	
Parent/Adopter								
Parent	529	79%	331	86%	328	80%	240	78%
Non Resident Parent	45	7%	2	1%	4	1%	0	0%
Adopter	1	>1%	2	1%	2	0%	0	0%
Special Guardian (SGO)	0	>1%	0	0%	3	1%	0	0%
Ex-Partner	0	>1%	0	0%	0	0%	0	0%
Partner	1	>1% ⁰	1	0%	1	0%	2	1%
Step-Parent	4	>1%	2	1%	7	2%	5	2%
Total Parent/Adopter	580	87%	338	88%	345	84%	247	80%
Non-Parent Relative								
Grandparent	37	6%	13	3%	20	5%	18	6%
Sibling	0	0%	2	1%	0	0%	0	0%
Other Relative	4	>1%	4	1%	5	1%	8	3%
Total Non-Parent Relative	41	6%	19	5%	25	6%	26	8%
Foster Carer/Prospective Foster Carer /Care Provider								
Direct Payment Carer	0	0%	0	0%	1	0%	0	0%
Foster Carer	7	1%	2	1%	9	2%	5	2%
Private Foster Carer	1	>1%	3	1%	1	0%	0	0%
Prospective Adopter/Foster Carer	0	0%	0	0%	1	0%	6	2%
Prospective Foster Carer	0	0%	0	0%	0	0%	0	0%
Total Foster Carer/Prospective Foster Carer	8	1%	5	1%	12	3%	11	4%
Service user								
Service user (adult)	1	>1%	2	1%	0	0%	0	0%
Service user (young person)	5	1%	6	2%	18	4%	8	3%
Service user (child 0-17)	8	1%						
Total Service User	14	2%	8	2%	18	4%	8	3%
Professional								
Head Teacher	1	>1%	0	0%	0	0%	0	0%
Health Staff	0	0%	0	0%	0	0%	0	0%
Other Agency	0	0%	0	0%	0	0%	0	0%
Principal Transport Officer (HCC)	0	0%	0	0%	0	0%	0	0%
Other HCC Staff	0	0%	0	0%	0	0%	1	0%
Other Professionals	3	>1%	1	0%	6	1%	2	1%
Total Professional	4	>1%	1	0%	6	1%	3	1%
Advocate	4	>1%	7	2%	5	1%	1	0%
Miscellaneous								
Birth Parent of Adopted Child	0	0%	0	0%	0	0%	0	0%
Friend/Neighbour	1	>1%	1	0%	0	0%	3	1%
Other			5	1%	1	0%	4	1%

Total Miscellaneous	1	>1%	6	2%	1	0%	7	2%
Unknown	16	2%	0	0%	0	0%	5	2%
Total	668	100%	384	100%	412	100%	308	100%

Percentage calculated to zero decimal places

Nature and Service

Table 6 - Social Care Complaints - complaint nature

Nature	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Adoption Allowance Dispute	9	2%	1	1%	0	0%	0	0%
Application of Policy	5	1%	2	1%	0	0%	0	0%
Assessment Outcome	13	3%	5	3%	9	5%	4	2%
Assessment Process	11	2%	4	2%	12	7%	3	2%
Bruising Protocol	1	>1%	0	0%	1	1%	0	0%
Change of Placement Decision	0	0%	0	0%	0	0%	0	0%
Change to Service	0	0%	0	0%	2	1%	3	2%
Child Protection Conference Outcome	0	0%	1	1%	4	2%	1	1%
Child Protection Conference Process	0	0%	1	1%	1	1%	1	1%
Conduct of Worker	119	28%	79	40%	54	30%	69	39%
Contact Arrangements	18	4%	7	4%	2	1%	0	0%
Contact Dispute	8	1%	1	1%	4	2%	0	0%
CSD Acted Unlawfully	1	>1%	1	1%	1	1%	0	0%
CSD Failing in Duty of Care	17	4%	10	5%	5	3%	0	0%
CSD Provision / Service Withdrawn	0	0%	1	1%	1	1%	0	0%
Decision - Change of Placement	0	0%	2	1%	0	0%	0	0%
Decision to Change S/W	1	>1%	1	1%	0	0%	0	0%
Delay/Failure to keep informed	3	>1%	1	1%	0	0%	0	0%
Delay in Provision of Service	0	0%	0	0%	2	1%	6	3%
Direct Payment Dispute	1	>1%	0	0%	0	0%	0	0%
Discriminatory Application of Process	2	>1%	0	0%	0	0%	0	0%
Eligibility - Access to Service	1	>1%	2	1%	1	1%	0	0%
Eligibility for Funding	0	0%	1	1%	0	0%	0	0%
Failure to Implement Agreed Actions	1	>1%	3	2%	3	2%	0	0%
Finance	3	>1%	0	0%	2	1%	0	0%
Foster Care Allowance Dispute	2	>1%	0	0%	0	0%	0	0%
Funding	0	0%	0	0%	0	0%	2	1%
HTST Dispute	1	>1%	0	0%	0	0%	0	0%
Insufficient Support from CSD	73	17%	38	19%	5	3%	0	0%
Multiple Changes to Allocated Worker	2	>1%	2	1%	0	0%	0	0%
Non-adherence to Procedure	1	>1%	0	0%	0	0%	0	0%
Other	7	1%	4	2%	0	0%	1	1%
Outcome of decision/assessment	1	>1%	0	0%	0	0%	0	0%
Out of Education	0	0%	2	1%	0	0%	0	0%
Personal Budget Dispute	2	>1%	0	0%	0	0%	0	0%
Placement Decision - Change of Placement	1	>1%	0	0%	4	2%	0	0%

Nature	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Placement Dispute	8	1%	0	0%	2	1%	0	0%
Policy Dispute	3	>1%	0	0%	0	0%	3	2%
Poor Communication	83	19%	23	12%	21	12%	25	14%
Quality of Service	6	1%	1	1%	28	16%	52	29%
Refusal of Service	0	0%	0	0%	0	0%	1	1%
Respite Dispute	2	>1%	0	0%	1	1%	0	0%
Respite Provision	0	0%	0	0%	1	1%	0	0%
S.47 Investigation Outcome	0	0%	0	0%	1	1%	0	0%
Safeguarding	7	1%	3	2%	4	2%	0	0%
Unknown	0	0%	0	0%	0	0%	8	4%
Unwanted CSD Involvement	3	>1%	0	0%	3	2%	0	0%
Welfare Concerns not Acted On	6	1%	2	1%	5	3%	0	0%
Total	422	100%	198	100%	179	100%	179	100%

Percentage calculated to zero decimal places

Table 7 - Corporate Complaints - complaint nature

Nature	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Access to Service	0	0%	0	0%	0	0%	1	1%
Adoption Allowance Dispute	0	0%	0	0%	1	0%	0	0%
Application of Policy	10	2%	1	1%	3	1%	0	0%
Assessment Outcome	2	>1%	0	0%	0	0%	1	1%
Assessment Process	0	0%	0	0%	1	0%	2	2%
Change to Service	0	0%	0	0%	0	0%	2	2%
Conduct of Worker	21	5%	5	3%	9	4%	42	33%
CSD Acted Unlawfully	1	>1%	1	1%	0	0%	0	0%
CSD Failing in Duty of Care	1	>1%	1	1%	0	0%	0	0%
CSD Provision / Service Withdrawn	0	0%	0	0%	1	0%	0	0%
Decision - Change of Placement	9	2%	1	1%	0	0%	0	0%
Delay in Provision of Service	2	>1%	0	0%	53	23%	0	0%
Direct Payment Dispute	1	>1%	0	0%	2	1%	0	0%
Discriminatory Application of Process	1	>1%	0	0%	1	0%	0	0%
Education Provision Dispute	3	1%	2	1%	8	3%	0	0%
EHCP Delay	108	23%	56	30%	51	22%	0	0%
EHCP Process	72	15%	44	24%	34	15%	0	0%
Eligibility - Access to Service	1	>1%	2	1%	0	0%	0	0%
Eligibility for Funding	1	>1%	1	1%	0	0%	0	0%
Failure to Implement Agreed Actions	4	1%	2	1%	1	0%	0	0%
Finance	0	0%	0	0%	3	1%	2	2%
Financial	6	1%	5	3%	2	1%	0	0%
Funding	0	0%	0	0%	0	0%	1	1%
Foster care Allowance Dispute	0	0%	0	0%	1	0%	0	0%
GDPR process	0	0%	0	0%	1	0%	0	0%
HTST Dispute	17	4%	8	4%	0	0%	0	0%
HTST Escort Provision	2	>1%	0	0%	0	0%	0	0%
HTST Incident on Transport	1	>1%	0	0%	0	0%	0	0%
Insufficient Support from CSD	5	1%	3	2%	0	0%	0	0%
Other	5	1%	7	4%	0	0%	5	4%
Out of Education	16	3%	9	5%	5	2%	1	1%
Policy	4	1%	0	0%	0	0%	1	1%
Poor Communication	153	33%	32	17%	21	9%	25	19%
Process Application/Delay	0	0%	3	2%	0	0%	0	0%
Quality of Service	0	0%	0	0%	12	5%	34	26%
Racial Incident	2	>1%	0	0%	0	0%	0	0%
Refusal of Service	0	0%	0	0%	5	2%	3	2%
Safeguarding	0	0%	1	1%	1	0%	0	0%
SAR Delay	18	4%	1	1%	0	0%	0	0%
Special Guardianship Allowance Dispute	0	0%	0	0%	1	0%	0	0%
Unknown	0	0%	0	0%	0	0%	9	7%

Blank Data	0	0%	0	0%	16	7%	0	0%
Total	466	100%	185	100%	233	100%	129	100%

Percentage calculated to zero decimal places

Table 8 - Social Care Complaints - service

Service	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Adoption/Permanence	3	1%	2	1%	4	2%	6	3%
Care Leavers	2	0.5%	0	0%	5	3%	5	3%
CAST	225	70%	139	70%	114	64%	108	60%
Child in Need	0	0%	0	0%	1	1%	2	1%
Child Protection	0	0%	0	0%	3	2%	0	0%
Children In Care	45	14%	37	19%	33	18%	21	12%
Disabled Children's Team	16	5%	7	4%	9	5%	14	8%
Early Help Hub	0	0%	0	0%	0	0%	0	0%
Family Support Service	2	1%	1	1%	3	2%	5	3%
Fostering	2	1%	0	0%	1	1%	0	0%
HantsDirect / Out of Hours	0	0%	0	0%	1	1%	0	0%
Independent Reviewing Service	1	0.5%	0	0%	1	0%	0	0%
Intensive Support Service	1	0.5%	0	0%	0	0%	0	0%
MASH/CRT	22	7%	9	5%	5	3%	8	4%
Not receiving a service	0	0%	0	0%	0	0%	0	0%
Occupational Therapy	1	0.5%	0	0%	0	0%	0	0%
Out of Hours	2	1%	2	1%	0	0%	0	0%
Reception & Assessment	0	0%	0	0%	0	0%	0	0%
Safeguarding Team	0	0%	0	0%	0	0%	0	0%
Services for Young People / YSS	0	0%	0	0%	0	0%	0	0%
Specialist Residential Provision	0	0%	0	0%	0	0%	0	0%
YOT	1	0.5%	1	1%	0	0%	1	1%
Unknown / Other	0	0%	0	0%	0	0%	9	5%
Total	324	100%	198	100%	179	100%	179	100%

Percentage calculated to zero decimal places

Table 9 - Corporate Complaints - service involved

Nature	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Adoption	1	0.5%	1	1%	2	1%	2	2%
Care Leavers	0	0%	0	0%	0	0%	1	1%
CAST	13	4%	7	4%	8	3%	8	6%
Children in Care	1	0.5%	1	1%	2	1%	4	3%
Child in Need	0	0%	0	0%	0	0%	0	0%
Children's Services Complaints Team	6	2%	6	3%	1	0%	2	2%
Children's Services Data Protection Team	1	0.5%	0	0%	4	2%	0	0%
Children's Services Subject Access Request Team	22	6%	4	2%	0	0%	0	0%
Disabled Children's Team	2	0.5%	1	1%	2	1%	1	1%
Education	0	0%	0	0%	1	0%	5	4%
Early Help Hub	0	0%	0	0%	0	0%	0	0%
Early Years Services	0	0%	0	0%	0	0%	0	0%
EMTAS	0	0%	0	0%	0	0%	1	1%
Family Support Service	0	0%	0	0%	0	0%	2	2%
Fostering (Family Placement)	1	0.5%	1	1%	1	0%	0	0%
HantsDirect / Out of Hours	0	0%	1	1%	0	0%	0	0%
Home to School Transport	28	7%	11	6%	11	5%	17	13%
Inclusion Support Service	6	2%	0	0%	4	2%	3	2%
Independent Reviewing Service	0	0%	0	0%	0	0%	0	0%
Intensive Support Service (ISS)	0	0%	1	1%	1	0%	0	0%
Joint Services	0	0%	0	0%	1	0%	0	0%
LADO	0	0%	2	1%	0	0%	0	0%
MASH / CRT	3	1%	0	0%	2	1%	2	2%
Non HCC	0	0%	0	0%	0	0%	1	1%
Not receiving a service	6	2%	0	0%	0	0%	0	0%
Paediatric Continence Service	0	0%	0	0%	1	0%	0	0%
Portage Service	0	0%	0	0%	1	0%	0	0%
Reception & Assessment	0	0%	0	0%	0	0%	2	2%
Safeguarding	0	0%	0	0%	0	0%	0	0%
School Admissions	10	3%	6	3%	5	2%	0	0%
SEN	257	72%	143	77%	186	80%	75	59%
Services for Young People / YSS	0	0%	0	0%	0	0%	0	0%
Strategic Development	0	0%	0	0%	0	0%	1	1%
Other/Unknown	0	0%	0	0%	0	0%	0	0%
Total	357	100%	185	100%	233	100%	127	100%

Percentage calculated to zero decimal places

Outcomes sought – social care and corporate complaints

Table 10 - Social Care and Corporate Complaints – outcome sought

Outcome Sought	2021/22			2020/21			2019/20		
	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total
Acknowledgment of Impact on Child/ Family/ Individual	4	1	5	1	1	2	0	0	0
Agreed Service Implemented	0	2	2	0	1	1	5	0	5
Alternative Education Provision	0	1	1	0	1	1	0	1	1
Apology	4	8	12	2	0	2	2	1	3
Apology & Explanation	14	33	47	14	5	19	19	2	21
Assessment / Reassessment	0	0	0	0	0	0	5	2	7
Assessment Review	11	0	11	6	1	7	2	0	2
Assurance of Non-Reoccurrence	6	2	8	2	0	2	4	2	6
Backdated Payment	1	0	1	0	0	0	0	1	1
Best Practice Learning - Individual	0	0	0	1	0	1	2	1	3
Best Practice Learning - Service / Area	1	0	1	0	0	0	1	0	1
Better Communication	40	82	122	14	23	37	0	6	6
Case / Decision Review	11	1	12	3	1	4	2	1	3
Change Made to Contact Arrangements	13	0	13	7	1	8	5	0	5
Change of Placement Decision	7	3	10	3	1	4	2	0	2
Change of Social Worker / Worker	51	3	54	30	3	33	29	0	29
Child Returned to Family	4	0	4	3	0	3	2	0	2
Compensation	3	4	7	0	0	0	4	2	6
Complaint Issues Investigated	122	49	171	21	4	25	10	5	15
Completion of SAR Disclosure	0	13	13	0	1	1	0	0	0
Consultation on / Input into CSD Assessment	0	0	0	0	0	0	1	0	1
Contact Arrangements Finalised	9	1	10	4	0	4	1	0	1
Contact Arrangements Review	2	0	2	2	0	2	1	0	1

Outcome Sought	2021/22			2020/21			2019/20		
	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total
Payment Correction	0	4	4	0	5	5	0	0	0
Payment Waived	0	0	0	0	0	0	0	1	1
Personal Budget	0	1	1	0	1	1	0	1	1
Point of View Represented on CSD Record	2	0	2	0	0	0	1	0	1
Policy / Procedure Review	4	4	8	4	2	6	13	8	21
Post Adoption Support (Adoptee)	0	0	0	0	0	0	1	0	1
Reinstate Provision / Service	2	0	2	1	3	4	0	1	1
Remedial Action Taken	0	0	0	0	0	0	0	5	5
Removal / Stepdown of Child Protection Plan	1	0	1	2	0	2	4	0	4
Request Fulfilled	0	0	0	0	0	0	7	8	15
Request for Meeting	3	1	4	2	0	2	0	0	0
Request for Update	1	0	1	1	0	1	2	5	7
Respite Provision	4	0	4	0	0	0	1	1	2
Safeguarding Action Taken (s.47)	3	0	3	0	0	0	2	0	2
Service Delivery	0	0	0	0	0	0	0	45	45
Social Worker to Remain	1	0	1	0	0	0	0	0	0
Special Guardianship Allowance	0	0	0	0	0	0	0	1	1
Staff Access to Records Checked	0	0	0	0	0	0	1	0	1
Transport Arranged	1	15	16	0	10	10	0	0	0
Not Known / Stated Not Known	12	7	19	10	0	10	0	10	10
Total	465	482	947	188	189	377	178	228	406

Actual Outcomes – social care & corporate complaint

Table 11 - Social Care and Corporate Complaints – actual outcome

Actual Outcome	2021/2022			2020/21			2019/20		
	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total
Agreed Additional Support	0	0	0	0	0	0	1	0	1
Acknowledgment of Impact on Child/Family/Individual	0	1	1	0	0	0	0	0	0
Alternative HTST Arranged	0	0	0	0	0	0	0	1	1
Apology	8	26	34	0	9	9	0	37	37
Apology & Explanation	145	284	429	45	94	139	44	58	102
Assessment - Personal Budget	1	0	1	0	0	0	0	1	1
Assessment / Reassessment for a Service	0	0	0	0	0	0	2	0	2
Assurance of Non-Reoccurrence	1	0	1	0	2	2	4	2	6
Assurance re. Staff Access to Records	0	0	0	0	0	0	1	0	1
Best Practice Learning - Individual	0	0	0	12	17	29	8	6	14
Best Practice Learning - Service / Area	0	0	0	2	13	15	4	10	14
Better Communication	2	4	6	0	0	0	0	4	4
Case Closed	1	0	1	1	0	1	1	0	1
Case Transfer	0	0	1	0	0	0	1	0	1
Change of Social Worker / Worker	6	1	7	10	0	10	9	0	9
Child to be Received into Care	0	0	0	0	0	0	1	0	1
Complaint Refused	1	0	6						
Complaint Withdrawn		0	0	0	0	0	0	1	1
Complaint Withdrawn by Complainant	1	5	1	0	0	0	0	5	5
Completion of SAR Disclosure	0	0	0	0	1	1	0	0	0
Change Made to Contact Arrangements	1	0	1	0	0	0	0	0	0
Contact Arrangements Finalised	0	0	0	0	0	0	1	0	1
CPC Other	0	0	0	0	0	0	1	0	1
Direct Payments/Personal Budget	1	0	1						
Discretionary Payment	0	2	2	0	0	0	1	1	2
Discretionary SEN Package	0	0	0	0	1	1	0	1	1
EHCP Actions Implemented	1	1	2	0	1	1	0	7	7
EHCP Amended	0	2	2	0	1	1	0	1	1

Actual Outcome	2021/2022			2020/21			2019/20		
	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total	Social Care Stage 1	Corporate Stage 2	Total
EHCP Draft Completed	0	7	7	0	1	1	0	4	4
EHCP Finalised	0	7	7	0	2	2	0	3	3
EHCP Needs Assessment Completed	0	1	1	0	0	0	0	0	0
EHCP Process Implemented	0	4	4	0	1	1	0	26	26
Explanation	297	118	415	104	31	135	74	31	105
Financial Reimbursement - Actual	5	1	6	0	3	3	0	4	4
Financial Reimbursement - Offer	0	1	1	0	1	1	1	1	2
GDPR Decision/Outcome	0	0	0	0	0	0	0	1	1
Management Action (Operational)	0	0	0	0	0	0	0	2	2
Management Action (Staff)	0	0	0	0	0	0	0	1	1
Meeting Offer	4	4	8	9	2	11	15	5	20
New Placement	0	0	0	0	0	0	1	0	1
No Investigation Possible	0	2	2	0	0	0	0	1	1
Offer of a School Place	0	5	5	0	0	0	0	2	2
Opportunity for Point of View Placed on Record	0	0	0	0	0	0	3	0	3
Other	0	0	0	0	2	2	3	0	3
Out of Jurisdiction	0	1	1						
Payment Correction	0	4	4	0	0	0	0	1	1
Policy / Procedure Review	0	0	0	0	0	0	0	1	1
Request Fulfilled	0	0	0	0	0	0	5	7	12
Review / Reassessment	6	1	7	1	0	1	0	1	1
SEN Specialised Assessment	0	0	0	0	0	0	0	1	1
Safeguarding Action Taken (S.47)	1	0	0	0	0	0	0	0	0
Service to Continue	1	1	2	4	6	10	0	0	0
Social Care Actions Implemented	1	0	1	0	0	0	3	0	3
Staff training	0	0	0	0	0	0	0	1	1
Supportive Work with YP	0	0	0	0	0	0	2	0	2
Transition Plan in Place	0	0	0	0	0	0	1	0	1
Transport Arranged	1	6	7	0	1	1	0	0	0
Warning Given to Complainant (re. Behaviour)	0	0	0	0	0	0	1	0	1
Total	485	489	974	188	189	377	188	228	416

Young People's Complaints

Table 12 - Social Care Complaint – nature

Nature	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Assessment Outcome	0	0%	0	0%	0	0%	0	0%
Application of Policy	1	4%	0	0%	0	0%	0	0%
Change to Service	0	0%	0	0%	1	6%	0	0%
Conduct of Worker	5	20%	4	44%	7	44%	3	60%
Contact Arrangements	2	8%						
Decision to Change S/W	0	0%	1	11%	0	0%	0	0%
Delay/Failure to Keep Informed	1	4%	0	0%	0	0%	0	0%
CSD Fairing in Duty of Care	2	8%	0	0%	0	0%	0	0%
Funding	1	4%	0	0%	0	0%	1	20%
Foster Care Allowance Dispute	1	4%						
Insufficient Support from CSD	3	12%	2	22%	1	6%	0	0%
Non-adherence to Procedures	1	4%						
Other	1	4%	0	0%	1	6%	0	0%
Out of Education	0	0%	1	11%	0	0%	0	0%
Placement Decision - Change of Placement	1	4%	0	0%	3	19%	0	0%
Placement Dispute	3	12%	0	0%	1	6%	0	0%
Poor Communication	2	8%	0	0%	0	0%	0	0%
Quality of Service	1	4%	0	0%	2	13%	1	20%
Welfare Concerns Not Acted On	0	0%	1	11%	0	0%	0	0%
Total	25	100%	9	100%	16	100%	5	100%

Percentage calculated to zero decimal places

Table 13 - Social Care Complaint – service

Service	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Care Leavers	5	20%	0	0%	5	31%	1	20%
CAST	4	16%	3	33%	3	19%	3	60%
Child in Need	0	0%	0	0%	0	0%	0	0%
Children in Care	14	56%	6	67%	8	50%	1	20%
Disabled Children's Team	0	0%	0	0%	0	0%	0	0%
Early Help Hub	0	0%	0	0%	0	0%	0	0%
Intensive Support Service	2	8%	0	0%	0	0%	0	0%
MASH/CRT	0	0%	0	0%	0	0%	0	0%
Total	25	100%	9	100%	16	100%	5	100%

Percentage calculated to zero decimal places

Table 14 - Social Care Complaint – outcome

Outcome Sought	Financial Year							
	2021/2022		2020/21		2019/20		2018/19	
Apology & Explanation	0	0%	0	0%	0	0%	0	0%
Assessment Review	1	4%	0	0%	0	0%	0	0%
Assurance of Non-Reoccurrence	0	0%	0	0%	2	13%	0	0%
Best Practice Learning - Individual	0	0%	0	0%	1	6%	0	0%
Better Communication	4	16%	0	0%	0	0%	0	0%
Change of Placement Decision	2	8%	3	33%	2	13%	0	0%
Change of Social Worker / Worker	1	4%	1	11%	3	29%	3	60%
Child Returned to Family	0	0%	1	11%	0	0%	0	0%
Complaint Issues Investigated	5	20%	0	0%	0	0%	0	0%
Contact Arrangements Finalised	2	8%						
Continuation of Child Protection	0	0%	0	0%	1	6%	0	0%
Financial Reimbursement	0	0%	0	0%	1	6%	0	0%
Explanation	1	4%						
Increase support from CSD	2	8%	1	11%	0	0%	0	0%
Kept Informed by CS	0	0%	0	0%	0	0%	0	0%
Not Known / Stated Not Known	0	0%	1	11%	0	0%	0	0%
Not Specified / Implied	7	28%	1	11%	1	6%	0	0%
Offer of a School Place	0	0%	1	11%	0	0%	0	0%
Post Adoption Support (Adoptee)	0	0%	0	0%	1	6%	0	0%
Request Fulfilled	0	0%	0	0%	4	25%	2	40%
Total	25	100%	9	100%	16	100%	5	100%

Percentage calculated to zero decimal places

Table 15 - Social Care Complaints – actual outcome

Outcome Achieved	Financial Year							
	2021/22		2020/21		2019/20		2018/19	
Apology & Explanation	3	12%	2	22%	3	19%	0	0%
Assurance of Non-Reoccurrence	0	0%	0	0%	1	6%	0	0%
Better Communication	1	4%	0	0%	0	0%	0	0%
Complaint Withdrawn	0	0%	0	0%	1	6%	0	0%
Change Made to Contact Arrangements	1	4%						
Change of Social Worker	0	0%	0	0%	0	0%	0	0%
Explanation	18	72%	5	56%	4	25%	3	60%
Meeting Offer	2	8%	2	22%	2	13%	1	20%
Other	0	0%	0	0%	0	0%	1	20%
Request Fulfilled	0	0%	0	0%	2	13%	0	0%
Supportive Work with YP	0	0%	0	0%	2	13%	0	0%
Transition Plan in Place	0	0%	0	0%	1	6%	0	0%
Total	25	100%	9	100%	16	100%	5	100%

Percentage calculated to zero decimal places

LGSCO Complaints

Table 16 - Complaints received by Children's Services from LGSCO

Local Government and Social Care Ombudsman (LGSCO) complaints				
LGSCO Referrals Received	2021/22	2020/21	2019/20	2018/19
Number of referrals received by CSCT from LGSCO in period	52	24	17	20
Number of final decisions received from LGSCO in period	23	35	15	N/K
Number of final decisions received when referral was received outside of period	2	21	1	1
Type of LGSCO referral				
Education / Non Social Care (LGSCO Complaint)	37	12	14	6
Social Care (LGSCO Complaint)	14	6	1	8
LGSCO – Assessment (referred back for local resolution)	8	2	2	6
Not Known	0	7	0	0
Outcome				
Not Upheld - No Evidence of Maladministration	0	1	7	2
Upheld – Maladministration - remedy complete and satisfactory	2	16	7	13
Upheld – Maladministration – no injustice	0	3	1	2
Injustice remedied during LGO consideration	6	1	0	0
Closed after initial enquiries	18	11	0	0
Awaiting outcome	10	0	0	3

Profile of complainants

Table 17 – all complaints – disability

Disability	Number of representations			
	2021/22	2020/21	2019/20	2018/19
Not Stated	447	267	344	295
No	196	108	62	11
Yes	25	9	6	2
Total	668	384	412	308

Table 18 – all complaints – gender

Gender	Number of representations			
	2021/22	2020/21	2019/20	2018/19
Not Stated	482	266	287	220
Male	43	34	47	33
Female	141	84	77	48
Male & Female	2	0	1	7
Total	668	384	412	308

Table 19 – all complaints – age

Age	Number of representations			
	2021/22	2020/21	2019/20	2018/19
0 - 16	5	4	6	2
16 - 19	6	0	6	8
20 - 24	3	3	5	5
25 - 59	168	101	97	32
60 - 64	2	3	1	3
65 and over	4	1	1	1
Not Stated	480	272	296	257
Total	668	384	412	308

Table 20 – all complaints – ethnicity

Ethnicity	Number of representations			
	2021/22	2020/21	2019/20	2018/19
Any other Asian background	1	1	0	0
Any other Mixed background	1	1	0	0
Any other White background	5	5	2	6
Asian/Asian British	1	1	1	1
Black/Black British	0	0	3	1
Chinese	0	1	0	0
Mixed - White and Asian	0	1	0	0
Mixed - White and Black Caribbean	0	1	0	0
Mixed	0	0	0	0
Not Asked	0	0	1	0
Not Stated	478	277	298	269
Other Ethnic Group	1	2	1	0

White British	180	92	106	31
White Irish	1	2	0	0
Total	668	384	412	308

Appendix C

Report by the Local Government and Social Care Ombudsman