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### **Cabinet Member for Strategic Finance and Resources**

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#### **Time and Date**

10.00 am on Thursday, 15th December, 2016

#### **Place**

New Committee Room 2 - Council House

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#### **Public Business**

1. **Apologies**
2. **Declarations of Interest**
3. **Minutes of Previous Meeting** (Pages 3 - 8)
  - a) To agree the minutes of the previous meeting held on 13 October 2016
  - b) Matters Arising
4. **Exclusion of the Press and Public**

To consider whether to exclude the press and public for the items of private business for the reasons shown in the report.
5. **Progress Report on Delivery of the Social Value Policy and Procurement Strategy** (Pages 9 - 20)

Report of the Executive Director of Resources
6. **Agency Workers and Interim Managers - Performance Management Report Quarter 2 (1 July to 30 September 2016)** (Pages 21 - 34)

Report of the Executive Director of Resources
7. **6 Month (April-September 2016) Cumulative Sickness Absence 2016-2017** (Pages 35 - 54)

Report of the Executive Director of Resources
8. **Complaints to the Local Government Ombudsman 2015/16** (Pages 55 - 66)

Report of the Director of Public Health
9. **Outstanding Issues Report** (Pages 67 - 70)

Report of the Executive Director of Resources

10. **Any other items of public business which the Cabinet Member decides to take as matters of urgency because of the special circumstances involved.**

#### **Private Business**

11. **Complaints to the Local Ombudsman 2015/16** (Pages 71 - 86)

Report of the Director of Public Health

(Listing Officer: S Chun Lam, Tel: 024 7683 3910)

12. **Any other items of private business which the Cabinet Member decides to take as matters of urgency because of the special circumstances involved**

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Chris West, Executive Director, Resources, Council House Coventry

Wednesday, 7 December 2016

Note: The person to contact about the agenda and documents for this meeting is Suzanne Bennett Tel: 024 7683 30722

Membership: Councillor J Mutton (Cabinet Member)

By invitation Councillor J Lepoidevin (Shadow Cabinet Member)

Please note: a hearing loop is available in the committee rooms

If you require a British Sign Language interpreter for this meeting  
OR if you would like this information in another format or  
language please contact us.

**Suzanne Bennett**

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**Coventry City Council**  
**Minutes of the Meeting of Cabinet Member for Strategic Finance and Resources**  
**held at 10.00 am on Thursday, 13 October 2016**

Present:

Members: Councillor J Mutton (Cabinet Member)  
Councillor T Sawdon (Shadow Cabinet Member)

Other Members: Councillor J McNicholas (petition sponsor)

Employees:  
Resources: R Greenslade, H Joyce, P Johnson, G Paddan,  
S McGinty, A White

People: P Barnett, M McGinty

## **Public Business**

### **11. Declarations of Interest**

There were no declarations of interest.

### **12. Minutes of Previous Meeting**

The minutes of the meeting held on 21 July 2016 were signed as a true record.

Matters Arising – Minute number 5 refers: The Chair advised that he has spoken to Councillor Khan, Deputy Leader in respect of time taken in carrying out Disclosure and Barring Service (DBS) check and it was agreed that a letter be sent. A letter has been drafted by Legal and will be signed by Councillor Khan. It was further agreed that this item be included in the Outstanding Issues report.

### **13. Petitions - Improve broadband speeds in New Stoke Village**

The Cabinet Member considered a report of the Executive Director of Resources concerning two petitions which had been submitted to the City Council regarding the provision of superfast broadband in New Stoke Village. The first petition sponsored by Councillor McNicholas, bearing 26 signatures and the second petition was an e-petition with 80 signatures. Both petitions requested that the Council helps to improve the broadband speeds in New Stoke Village. Councillor McNicholas, a Lower Stoke Ward Councillor attended the meeting along with the petition organiser Mr Priestman and spoke on behalf of the petitioners.

The report noted that New Stoke Village is a new housing estate with ongoing building works on the site of the old Peugeot Plant. The initial build was started within the last 5 years. Despite the recent build, the ability to provide superfast broadband within the development was limited and average broadband speeds within the area were typically between 1 and 3.5MB/Sec.

Consultation with both BT/Openreach and Virginmedia have revealed that they currently have no plans to upgrade their services within the area to provide

superfast broadband. It was noted that the Council had very limited powers to influence broadband providers to upgrade their existing infrastructure to allow for the provision of superfast Broadband within areas such as New Stoke Village. Further work was underway with Coventry Solihull and Warwickshire Broadband partnership to submit two applications for external funding to improve broadband infrastructure in the City.

The report referred to the options considered and the discussion that have been undertaken with the main providers of superfast Broadband to residential premises in the UK. The Council is working towards publishing a Digital Strategy for Coventry, which has the vision to 'Make Coventry a Digital Place'.

Councillor McNicholas and the petition organiser drew attention to the need for improved broadband speed on new estates, as more people work from home and it was agreed that it would ultimately help to attract further investment in the City.

**RESOLVED that the Cabinet Member for Strategic Finance and Resources:**

- 1. Responds to the petition organisers encouraging residents of New Stoke Village to register their requirements for access to superfast broadband with local broadband providers (BT and Virginmedia).**
- 2. Reviews the Council's involvement in regional initiatives such as the Coventry, Solihull and Warwickshire Broadband Partnership with a view to improving the coverage of Superfast Broadband in Coventry.**
- 3. Works with the Task and Finish groups of Scrutiny Boards 1 and 3, to meet with local Broadband suppliers (BT, Virginmedia, City fibre etc.) to explore further opportunities for the improvement of the Superfast Broadband infrastructure within Coventry.**

**14. Q1 Cumulative Sickness Absence Report 2016-2017**

The Cabinet Member considered a report of the Executive Director of Resources which provided information on the three month period of April – June 2016 cumulative sickness absence levels. The report enabled the Cabinet Member to monitor the levels of sickness absence for that period and the actions being taken to manage absence and promote health at work across the City Council.

The annual and quarterly information was based on full time equivalent (FTE) average days lost per person against the FTE average days per person available for work. This was the method that was previously required by the Audit Commission for annual Best Value Performance Indicator reporting. The City Council continues to use this method to ensure consistency with previously published data.

The report noted that on most occasions of sickness absence across the City Council in April – June 2016 the cause was Stomach, Liver and Gastroenteritis accounting for 716 occasions. The amount of time lost through Stomach, Liver and Gastroenteritis was 1,617.60 days. The amount of time lost through Stress, depression and Anxiety was 3,878.63 days, making it the highest cause of time

lost. However, it is not possible to differentiate between personal stress and work related stress. The second and third most prevalent reasons for time lost due to sickness absence were Other Muscolo-Skeletal problems (3,450.61 days).

The data provided within Appendices 2 and 4 reflected each Directorates' performance and establishments. Appendix 5 showed the breakdown between frequent and long-term absence levels during 2015/2016. Training was being provided to managers to support dealing with both practical and procedural issues. This is an on-going programme of training which was taking place across the Council as a whole. It was confirmed that there were no outstanding casework from absence triggers generated from Quarter 1.

The report noted that the Mandatory Workplace Mental Wellbeing Audit Programme continued to be rolled out across the Council and schools. Further work was being undertaken to provide additional emotional support for Social Workers. Monthly 'mental Wellbeing Support Groups' continue currently for social workers in the Children's Social Care Team, enabling the social workers to address issues which had arisen for them from their case load in a facilitated meeting, to help avoid burn out. The application of the sickness absence management processes were continually reviewed to ensure compliance with the Council's duty under Section 149 of the Equality Act 2010.

**RESOLVED that the Cabinet Member for Strategic Finance and Resources notes the report providing sickness absence data for the 3 month period of April – June 2016 and endorse the actions taken to monitor and manage sickness.**

15. **Agency Workers and Interim Managers – Performance Management Report Q1 (1 April to 30 June 2016)**

The Cabinet Member considered a report of the Executive Director of Resources which provided performance information on the use of agency workers procured through the Master Vendor Contract for the Q1 period 1 April to 30 June 2016; to compare Q1 2016/17 with Q4 2015/16 expenditure. To also consider Interim manager and other agency worker spends for the same period.

The Master Vendor contract required all agency workers to be ordered through the Master Vendor, Pertemps and came into force on 2 December 2013 for a period of three years with the option of a one year extension. The Master Vendor would supply all suitable agency workers through their own agency or through a 2nd tier arrangement with other agencies on behalf of the Council, using rates of pay based on an agreed pay policy and a negotiated mark-up rate, with the Master Vendor. The information supplied by the Master Vendor on the agency spends provided detailed information on agency worker usage and spends.

The information provided showed a small increase in spend this quarter of £30,511 (1.8%) due to ongoing vacancies however, this should show some reduction during the next quarter as the service continues to recruit permanent, experienced social workers. The ongoing recruitment campaign was attracting social workers to Coventry with some agency workers opting to take on permanent roles with the service.

The report set out the steps that the Council was taking to reduce expenditure on agency workers, particularly in those areas where they were used most intensively.

The quarterly monitoring of expenditure on agency workers will continue throughout the contract. The cost of agency workers for the current reporting period from the Pertemps system was £1,934,213 which equated to 4.8% of the overall wage bill for this quarter (excluding schools).

Members present gave consideration to an option of establishing a Coventry City staff pool to reduce the number of agency social workers; to provide appropriate levels of service at a reasonable cost.

**RESOLVED that the Cabinet Member for Strategic Finance and Resources approves:**

- 1. Approves monitoring processes to continue for both Agency workers and Interim Managers**
- 2. Endorses compliance with the corporate policy on the recruitment of Temporary Agency Workers through the Master Vendor, Pertemps.**
- 3. Instruct officers to continue to work towards reducing expenditure on the use of agency workers.**
- 4. Instructs officers to use the Pertemps Master Vendor contract except when Pertemps have not been able to supply appropriate staff.**

#### **16. Transition Fund Awards**

The Cabinet Member considered a report of the Executive Director of Resources on the Transition Fund Award. As part of the 2015/16 budget setting process the Council agreed to establish a one-off £500k Transition Fund to support work with residents and communities in developing new approaches to delivering Council services. Following a merger of this fund with the Community Grant Fund, the Transition Fund was increased to £525k.

The Transition Fund was a key enabler for delivery of the Connecting Communities approach. Connecting Communities was an ambitious and wide reaching approach to radically redesign services through co-production and collaboration with local communities. The approach focuses on how services might be delivered differently in the future in the communities and neighbourhoods where there was most need and within the resources available.

The criteria for final award of Transition Funding included the need for a clear plan for the proposal to deliver long-term cost savings to the Council as well as being required to fit with the principles of the Connecting Communities programme approach. Initial expressions of interest in the Transition Fund were sought during the consultation process on Phase One of Connecting Communities.

One Transition Fund award was approved in June 2016 (Cabinet Member decision of 21 July 2016 refers). Following expression of interest and business case evaluation processes, officers sought approval for a further award from the Transition Fund, again to the total value of a maximum of £20,000. This award would enable the delivery of one proposal that formed a part of Phase One of Connecting Communities, as agreed by Cabinet on 23 February 2016.

The award would support Holbrooks Community Care Association to accommodate alternative library provision, following Cabinet's decision to end delivery of library services at Arena Park Library. The Cabinet decision of 26 November 2015 gave delegated authority to the Executive Director of Resources in consultation with the Cabinet Member for Strategic Finance and Resources to take decisions on Transition Fund awards where the matter was urgent or where lower risk/value opportunities were identified. The Council will monitor delivery progress against a project plan, developed with the organisation and the project will be subject to a review after an agreed period to ensure appropriate outcomes are achieved.

**RESOLVED that the Cabinet Member for Strategic Finance and Resources; notes the decision that the Executive Director for Resources has already made in consultation with the Cabinet Member for Strategic Finance and Resources, under delegated authority, to make an award from the Transition Fund to Holbrooks Community Care Association up to the value of £20,000.**

**17. Outstanding Issues Report**

The Cabinet Member noted a report of the Executive Director of Resources that identified those issues on which further reports had been requested and were outstanding, so that progress could be monitored.

**18. Any other items of public business which the Cabinet Member decides to take as matters of urgency because of the special circumstances involved.**

There were no urgent items of business.

(Meeting closed at 11.10am)

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Cabinet Member for Strategic Finance and Resources  
Finance and Corporate Services Scrutiny Board (1)

15 December 2016  
30 November 2016

**Name of Cabinet Member:**

Cabinet Member Strategic Finance and Resources – Councillor J Mutton

**Director Approving Submission of the report:**

Executive Director Resources

**Ward(s) affected:**

All

**Title:**

Progress report on delivery of the Social Value Policy and Procurement Strategy

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**Is this a key decision?**

No

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**Executive Summary:**

The Finance and Corporate Services Scrutiny Board have requested a progress report on the delivery of the Social Value Policy and the Procurement Strategy. The Constitution requires that a report is taken to Cabinet Member for Strategic Resources and Finance on the delivery of the Procurement Strategy through the Procurement Board. This report fulfils those requirements and details the progress made in these specific areas.

**Recommendations:**

The Finance and Corporate Services Scrutiny Board are requested to:

1) Consider the progress detailed in the report and forward any recommendations to the Cabinet Member

The Cabinet Member is requested to:

- 1) Consider the recommendations from the Finance and Corporate Service Scrutiny Board
- 2) Note the progress made against the Social Value Policy and the Procurement Strategy and recommend that the Council continue to support the delivery against these mechanisms

**List of Appendices included:**

None

**Other useful background papers:**

Procurement Strategy 2015/2020

[http://www.coventry.gov.uk/downloads/download/629/procurement\\_policies\\_and\\_procedures](http://www.coventry.gov.uk/downloads/download/629/procurement_policies_and_procedures)

Social Value Policy

[http://www.coventry.gov.uk/info/17/doing\\_business\\_with\\_the\\_council/198/procurement\\_and\\_commissioning/5](http://www.coventry.gov.uk/info/17/doing_business_with_the_council/198/procurement_and_commissioning/5)

Business Charter for Social Responsibility

[http://www.coventry.gov.uk/info/17/doing\\_business\\_with\\_the\\_council/198/procurement\\_and\\_commissioning/6](http://www.coventry.gov.uk/info/17/doing_business_with_the_council/198/procurement_and_commissioning/6)

13 Social Value case studies

[http://www.coventry.gov.uk/downloads/download/2616/social\\_value](http://www.coventry.gov.uk/downloads/download/2616/social_value)

**Has it been or will it be considered by Scrutiny?**

Yes. Finance and Corporate Services Scrutiny Board (1), 30 November 2016

**Recommendations:**

The Finance and Corporate Services Scrutiny Board are requested to:

1) Consider the progress detailed in the report and forward any recommendations to the Cabinet Member

The Cabinet Member is requested to:

- 1) Consider the recommendations from the Finance and Corporate Service Scrutiny Board
- 2) Note the progress made against the Social Value Policy and the Procurement Strategy and recommend that the Council continue to support the delivery against these mechanisms

**Has it been or will it be considered by any other Council Committee, Advisory Panel or other body?**

No

**Will this report go to Council?**

No

**Report title:**

**Progress report on the delivery of the Social Value Policy and the Procurement Strategy**

**1. Context**

- 1.1 The Sub Regional Procurement Strategy 2015 - 2020 was adopted by Cabinet Member Strategic Finance and Resources on 7<sup>th</sup> December 2015. The Social Value Policy was adopted by Full Cabinet on the 11<sup>th</sup> February 2014 and incorporates the Public Service (Social Value) Act 2012 that came into force on 31<sup>st</sup> January 2013. This report details how the delivery of the Social Value Policy has been incorporated into the delivery of the Procurement Strategy and the outcomes that have been achieved.

**2. Options considered and recommended proposal**

Not applicable.

**3. Progress since the Procurement Strategy and Social Value Policy were adopted**

- 3.1 **Delivery against the Social Value Policy.** There has been significant progress against the social value policy since the last report submitted to Members on 9<sup>th</sup> March 2015. There are now 13 case studies on the Council websites giving examples of the successes we have had.
- 3.2 The case studies emphasise why social value is important in so many different ways. With budgets reducing and demand for services increasing we need to be innovative and creative in the way in which they deliver services to our local communities to ensure that we get maximum return on investment when spending our scarce resources.
- 3.3 Local authority standard contracts already have an impact on social value in themselves as they include clauses which are intended to ensure that contractors are operating in a way that impacts favourably on society. These clauses can include the avoidance of modern slavery, counter terrorism, safeguarding, equalities, health and safety, data protection, tax avoidance, sustainable supply chains and payment of sub-contractors within 30 days.
- 3.4 However, considering social value in contracts is only the beginning of the journey and it takes full corporate responsibility to maximise the benefits that can be achieved. Officers with expertise in sustainability, environmental issues, economic development, planning, employment, public health and care have been working together to maximise the social benefits generated through contracting.
- 3.5 Closer working with public sector partners through the council's Marmot work (reducing health inequalities) has shown real results through harnessing initiatives like "making every contact count". Under this initiative, all public services meeting individuals on the front line don't just check that the individual's needs have been met from their employing organisation's perspective, they also check their general wellbeing, alerting public sector partners when additional needs are identified. For example, the Fire Service now not only check homes for fire risks they conduct "safe and well" checks as they are one of the most trusted public services when entering people's homes.
- 3.6 Other examples of the importance of social value can be seen through the impact service delivery can have on lives that are not directly impacted by the original contract. For example when a construction contract is being let, typical direct social value considerations would be apprentices, local employment, local supply chains, minimising harm to the environment through carbon reduction and using raw materials from sustainable sources. However we have encouraged contractors to engage with local supply chains differently by holding workshops to help potential contractors to become bid ready for future contracts. Some contractors have given careers talks in local schools as there are real skills

shortages currently in construction and these talks could encourage youngsters into the industry when it becomes clear that it is not just all about mud, hard labour and hard hats. Schools have also visited construction sites so that the children experience things for themselves. Efforts have been made to ensure that schools in the most deprived areas of the City have had the opportunity to visit in the hope that there is a chance that the cycle of generational worklessness can be broken.

- 3.7 Local Businesses other than those contracting with the local authority have been able to deliver social value in local communities. Corporate Social Responsibility policies are common in the private sector and it has been identified that delivering social value not only makes sound business sense when used as a tendering differentiator, it is also good for staff morale as individuals feel that they have made a difference. Coventry has used the Business Charter to encourage businesses to work to the same social value principles as ourselves. Those signing up to the Charter have developed social value plans and BAM have achieved Bronze accreditation which means that they are working to the economic principles contained in the Social Value Policy.
- 3.8 Coventry City Council are a Social Innovation Partner with SEWM and as such have been working with Coventry and Warwick Universities and social enterprises in the City to bid for Social Enterprise Place status. Cllr Linda Bigham as Cabinet Member for Community Development has been participating on the steering group and the submission was confirmed as successful on the 17<sup>th</sup> November 2016. Feedback from Social Enterprise UK was that the submission was very strong and they were impressed by the leadership that was being shown in this area.
- 3.9 The Assistant Director Procurement has been working on a National Social Value Taskforce which has developed the Social Value Maturity Index (Launched in September 2016). This is a tool which allows authorities to self-assess their social value progress against a matrix of measures to identify whether they are following, mature, leading or innovating. Coventry have completed the self-assessment and of the 11 measures Coventry are mature in 9 with 2 assessed as following. The assessment has been helpful in identifying the areas we need to concentrate on next i.e. embedding social value into contract management and market engagement.
- 3.10 The Skills and Growth Manager appointed an apprentice, Joe Grubb in February 2016. He is completing an Advanced Apprenticeship in Enterprise – Economic Social Value. We believe that we may be the first local Authority to have a Social Value apprentice.
- 3.11 Coventry as a Planning Authority now includes planning conditions on major planning applications which are managed via skills and employment plans. To date there are 11 applications with conditions included and a further 18 that are being considered (up to 30/9/16).
- 3.12 The following gives a summary of what has been achieved through skills and employment plans up to 30/9/16:
  - 3.12.1 64 local businesses have benefitted from supply chain opportunities from major developments in the City
  - 3.12.2 149 local people have been employed on the sites
  - 3.12.3 586 apprenticeship weeks have been worked by apprenticeships generated on major developments. A more detailed breakdown of number of apprenticeships by site is included in Appendix A:
  - 3.12.4 Over 2,000 young people have attended site visits or careers talks. A more detailed breakdown of site visits and careers talks is included in Appendix A:
  - 3.12.5 We are piloting a Social Value plan via one of our procurement contracts (Enforcement Agencies contract) to capture Social Value outcomes on the contract.

- 3.13 **Delivery against the Sub Regional Procurement Strategy.** The Procurement and Commissioning Service have delivered their savings targets for 2015/16 and are on track to deliver against the 2016/17 targets. The table below shows the savings delivered as at November 2016.

Summary of Commissioning & Procurement Savings								01/11/2016
	2015/16				2016/17			
	Proc 3 Savings Delivered			Total	Proc 3 Savings Delivered			Total
	People	Resources	Place	Delivered £000	People	Resources	Place	Delivered £000
Commissioning & Procurement	2,443	710	826	3,980	2,676	932	915	4,522
Public Health	588	213	199	1,000	588	213	199	1,000
Additional Inflation saving	1,408	426	399	2,233	1,995	639	598	3,232
	4,439	1,349	1,424	7,213	5,259	1,784	1,712	8,754
Target	4,699	1,706	1,595	8,000	4,699	1,808	1,595	8,102
Additional target 16/17 on					587	213	199	1,000
Surplus/(Deficit)	-260	-357	-171	-788	-28	-237	-83	-348
Other Procurement Savings	2,250	186	816	3,252	2,674	186	827	3,687
Total Savings Identified	6,689	1,535	2,240	10,465	7,933	1,970	2,539	12,441

- 3.14 Monthly reports on savings and procurement activity conducted through the Procurement Panels and Procurement Board have been regularly reported to Audit and Procurement Committee, where Members have had the opportunity to ask questions and seek reassurance that appropriate procurement action is being taken.
- 3.15 On the 7<sup>th</sup> December 2016 the Cabinet Member Strategic Finance and Resources approved the Sub Regional Procurement strategy. The strategy contained four themes making savings, supporting local economies, leadership and modernisation with 40 desired outcomes against those themes. The Assistant Director Procurement has carried out an analysis of performance against the themes and outcomes using RAG (red, amber, green) rating. For the purpose of this exercise red means not started, Amber means work has started although has not yet been completed and green means that the outcome has been achieved. The results show that a significant number of the outcomes have already being delivered by the Procurement and Commissioning Service. A summary of performance against the 40 outcomes is below:-

Sub Regional Procurement Strategy delivery summary November 2016			
Theme	Delivered		
	Red	Amber	Green
Making savings	0	7	7
Supporting Local Economies	0	0	5
Leadership	0	2	12
Modernisation	0	2	5
<b>Total</b>	0	11	29
% Delivery		27.5	72.5

- 3.16 The summary shows that the Procurement and Commissioning Service have delivered 75% of the 5 year strategy in year one.
- 3.17 Work has started to embed effective contract management practices. A practitioners group has been established to share good practice and to remind officers of their responsibilities. Work is ongoing with ICT to implement a diagnostic tool already used in Solihull MBC to help officers assess the level of contract management activity required for each contract.
- 3.18 CSWJETS, the sub regional tendering system has single sign on for suppliers. This means that they can choose categories of work that they are interested in and receive email alerts for all contracts being let in that category for Coventry, Solihull, Warwickshire and all of the Warwickshire District Councils. In 2015/16, 43% of Council third party spend was with local suppliers.

#### **4. Results of consultation undertaken**

- a. Various consultations have taken place for individual services as contracts have been let in line with the procurement strategy. The consultation has been appropriate for the type of service that is being let and has ranged from co-design of services to issuing draft tender documents two weeks before they are formally issued. Responses have been considered and appropriate adjustments made.

#### **5. Timetable for implementing this decision**

- a. The Procurement Strategy and Social Value Policy are already in place, this report is a review of progress against the existing strategy and policy.

#### **6. Comments from Executive Director of Resources**

- 6.1 Financial implications  
Specific Procurement & Commissioning targets were included in the medium term financial strategy for the period 2013/14 to 2016/17 - £2M rising to £9.1M. These are cross-cutting savings targets, and the delivery of these savings are closely monitored and managed through Procurement Panels and Procurement Board. In addition, there will be other commissioning savings that are delivered as part of other projects and medium term financial strategy targets.

There has been a small shortfall each year since 13/14 and a projected shortfall in 16/17. This has been dealt with as part of the budgetary control process.

Procurement Board agree the evaluation criteria for services and tenders in the process of being commissioned/re-commissioned, and will continue to consider the financial implications of applying the social value policy as part of that process.

- 6.2 Legal implications  
There are no legal implications of this report

#### **7. Other implications** None

- 7.1 **How will this contribute to achievement of the Council's key objectives / corporate priorities (corporate plan/scorecard) / organisational blueprint / Local Area Agreement (or Coventry Sustainable Community Strategy)?**

The Procurement Strategy takes direct cognisance of the council's core aims. The strategy helps to deliver those aims through wise use of the Council's purchasing power in the community in a sustainable way.

**7.2 How is risk being managed?**

The procurement strategy aims to minimise risk for the council when spending money on goods, works and services

**7.3 What is the impact on the organisation?**

The procurement strategy defines the strategic direction for procurement activity in the authority. This impacts on the way in which contracts are let and the value for money achieved, helping to make best use of scarce resources.

**7.4 Equalities / EIA**

The procurement strategy gives due regard to equalities. Standard tender documentation ensures that the correct questions are asked of suppliers who wish to work with the council.

**7.5 Implications for (or impact on) the environment**

The procurement strategy gives due regard to environmental considerations and work delivered under the social value policy ensures that opportunities for sustainability are maximised.

**7.6 Implications for partner organisations?**

Relationships have been developed appropriately with partner organisations from the private, public, third sector and social enterprises. In the past, the voluntary sector have been involved in re writing the standard procurement documentation to ensure that we are not unnecessarily excluding organisations from bidding on a level playing field with the private sector.

**Report author(s):****Name and job title:**

Liz Welton, Assistant Director, Procurement

**Directorate:**

Resources

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<b>Contributor/approver name</b>	<b>Title</b>	<b>Directorate or organisation</b>	<b>Date doc sent out</b>	<b>Date response received or approved</b>
<b>Contributors:</b>				
Carolyn Sinclair	Governance Services Officer	Resources	01.11.16	02.11.16
Other members				
<b>Names of approvers for submission:</b> (officers and members)				
Finance: Rachael Sugars	Finance Manager	Resources	01.11.16	18/11/16
Legal: Julie Newman	Place and Regulatory Team Manager & Acting Monitoring Officer	Resources	01.11.16	17.11.16
Director: Chris West	Strategic Director	Resources	07.11.16	07.11.16
Members: Cllr John Mutton	Cabinet Member Strategic Finance and Resources		07.11.16	07.11.16

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Apprenticeships

<b>BAM – Finham Park 2 &amp; Health &amp; Life Sciences</b>	<b>Bowmer &amp; Kirkland – One Friargate</b>	<b>George Downing Construction – Belgrade Plaza</b>
<b>22</b>	<b>14</b>	<b>5</b>
<b>TOTAL = 41 Apprentices Equating to 586 weeks</b>		

Site visits and careers talks

<b>BAM – Finham Park 2 &amp; Health &amp; Life Sciences <i>On-going</i></b>	<b>Bowmer &amp; Kirkland – One Friargate <i>On-going</i></b>	<b>Costain – Friargate Bridge <i>completed</i></b>	<b>Willmot Dixon – AT7 Centre <i>Completed</i></b>	<b>Barratts – City Wharf <i>On-going</i></b>
<b>362 visits 856 careers events = 1218</b>	<b>8 visits</b>	<b>520 careers events</b>	<b>75 visits 285 careers events = 360</b>	<b>23 visits 90 careers events = 113</b>
<b>468 visits to site 1751 careers events  TOTAL = 2219</b>				

Definition

**Visits** = number of individuals that have visited a site.

**Careers events** = number of individuals that have benefited from a contractor going into school/college or number of individuals from a school/college who have visited a contractor at a careers event.

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**To: Cabinet Member for Strategic Finance and Resources**

**Date: 15 December 2016**

**Subject: Progress report on delivery of the Social Value Policy and Procurement Strategy**

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### **1 Purpose of the Note**

- 1.1 To inform Cabinet Member for Strategic Finance and Resources of the outcome of Finance and Corporate Services Scrutiny Board's discussion on the Progress report on delivery of the Social Value Policy and Procurement Strategy at their meeting 1<sup>st</sup> December 2016.

### **2 Recommendations**

- 2.1 The Finance and Corporate Services Scrutiny Board considered the progress report and had no further recommendations to make to Cabinet Member.

**Victoria Castree**  
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Cabinet Member for Strategic Finance and Resources

15 December 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance and Resources – Councillor J Mutton

**Director Approving Submission of the report:**

Executive Director of Resources

**Ward(s) affected:**

All

**Title:**

Agency Workers and Interim Managers – Performance Management Report Q2 (1 July to 30 September 2016).

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**Is this a key decision?**

No. Although the matter within the Report can affect all wards in the City, it is not anticipated that the impact will be significant and it is therefore not deemed to be a key decision.

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**Executive Summary:**

The purpose of this report is to provide the Cabinet Member with performance information on the use of agency workers procured for the Q2 period 1 July to 30 September 2016; to compare Q2 2016/17 with Q1 2016/17 expenditure. To also consider Interim Manager and other agency worker spends for the same period.

**Recommendations:**

The Cabinet Member for Strategic Finance and Resources is requested to:

1. Approve monitoring processes to continue for both Agency workers and Interim Managers.
2. Endorse compliance with the corporate policy on the recruitment of Temporary Agency Workers through the Master Vendor, Pertemps.
3. Instruct officers to continue to work towards reducing expenditure on the use of agency workers.

**List of Appendices included:**

The information attached in Appendix 1 shows the total expenditure over time on agency workers by Directorates up to and including Q2 2016/17 for spends with the Master Vendor supplier, Pertemps, including for interims. The dotted line shows the trend line for the data shown; it does not predict spend in future quarters.

The information attached in Appendix 2 show the justification of new orders placed by Directorates for agency workers during Q2 2016/17 which resulted in spend with Pertemps.

Appendix 3 shows equalities data for workers supplied through the Pertemps contract.

**Other useful background papers:**

None

**Has it or will it be considered by Scrutiny?**

No

**Has it, or will it be considered by any other Council Committee, Advisory Panel or other body?**

No

**Will this report go to Council?**

No

**Report title:**

Agency Workers and Interim Managers – Performance Management Report Q2 (1 July to 30 September 2016).

**1. Context (or background)**

Coventry City Council have a Master Vendor Contract with Pertemps for the supply of agency workers. This came into effect in December 2013 and has recently been extended until December 2017. Through the contract, Pertemps will supply all suitable agency workers through their own agency or through a 2<sup>nd</sup> tier arrangement with other agencies on behalf of the Council, using rates of pay based on an agreed pay policy and a negotiated mark-up rate, with the Master Vendor. The information supplied by Pertemps gives detailed information on agency worker usage and spends. However, it is recognised that Pertemps will not always be able to supply the needed agency workers and therefore it is possible, with appropriate safeguards, for service areas to use other supplies where Pertemps are not able to supply.

**Options considered and recommended proposal**

The table in 2.1 below shows a comparison for Q1 for 2016/17 with Q2 2016/17 and indicates if there has been an increase or a decrease in spend. The Master Vendor Contract covers all agency workers required by the core council. Where Pertemps are not able to meet an order, following a discussion with the HR Contract permission to go off contract will not be unreasonably withheld. The Pertemps contract does not cover agency workers in schools.

**2.1 Table of Spend with Pertemps: comparing Q1 2016/17 and Q2 2016/17**

Directorate	Spend Q1 2016/17	Spend Q2 2016/17	Increase/decrease
People Directorate	£1,719,826	£1,568,793	-£151,033
Place Directorate	£109,934	£169,609	£59,675
Resources Directorate	£104,453	£67,900	- £36,553
Chief Executives	£0	£0	--
<b>TOTAL</b>	<b>£1,934,213</b>	<b>£1,806,302</b>	<b>-£127,911</b>

**Directorate Commentary on Agency worker Spend for Q2 2016/17****People Directorate**

As suggested in the Q1 report, there has been a reduction in spend this quarter as the service continues to recruit permanent, experienced social workers.

The recruitment campaign continues with the Recruitment Team working closely with colleagues in People Directorate to ensure a co-ordinated process for recruitment and the reduction in Agency workers. The ongoing recruitment campaign is attracting social workers to Coventry with some Agency workers opting to take on permanent roles with the service. The position on 17<sup>th</sup> November 2016 is:

	Have accepted offer	Of those accepted: have started
Experienced	28	23
Newly Qualified	28	27
Total	56	50

The cost of Children's Social Workers is being restrained by the West Midlands regional agreement. This involves 14 local authorities and has the effect of capping the rates paid to all newly appointed agency social workers. The regional agreement was reviewed in Quarter 1. However, no immediate change in costs is anticipated as a result.

In this quarter, spend on Children's social workers is £1,337,672 or 85.3% (Q1 = 84.6%) of the agency spend by People directorate and 74.1% (Q1 = 75.2%) of the corporate spend on the Pertemps contract.

#### Place Directorate

During the quarter a wide variety of roles were covered including:

- Gardeners – Extra Workload
- Heritage Assistant – Vacancy Cover
- Neighbourhood Operative – Vacancy Cover and Extra Workload
- Planning Officer – Vacancy Cover
- Semi-Skilled Operator – Vacancy Cover and Extra Workload
- Visitor Information Assistant – Vacancy Cover
- General Driver – Vacancy Cover
- Drainage Operative – Vacancy Cover

#### **2.2 a Table for Comparison of Interim Spend with Pertemps; Q1 2016/17 with Q2 2016/17**

[These figures are also included in Table 2.1, above]

Directorate	Total Spends in Q1	Total Spends in Q2	Increase / Decrease in Spend
People: Children's	£49,419	£10,098	-£39,321
People: Education	£0	£0	£0
People: Adults	£0	£0	£0
Place	£0	£0	£0
Resources	£24,871	£20,155	-£4,716
<b>TOTAL</b>	<b>£74,290</b>	<b>£30,253</b>	<b>-£44,037</b>

2.2 b Table for Comparison of Spend Q1 2016/17 with Q2 2016/17 which does not go through the Pertemps contract

This includes workers contracted through agencies other than Pertemps contract or are directly contracted.



Directorate	Total Spends in Q1	Total Spends in Q2	Increase / Decrease in Spend
People: Children's	£178,460	£142,179	-£36,281
People: Education	£90,123	£74,363	-£15,760
People: Adults	£7,800	£0	-£7,800
Place	£307,152	£220,303	-£86,849
Resources	£37,281	£35,648	-£1,633
<b>TOTAL</b>	<b>£620,816</b>	<b>£472,493</b>	<b>-£148,323</b>

Overall there is a decrease in all areas.

### **People Directorate - Children's**

At the end of the quarter, five interim managers were on assignment:

- CSE Specialist
- Head of Social Care
- LAC Improvement Partner
- Principal Social Worker
- Integrated Service Manager

The majority of interims currently placed across the People Directorate are covering hard to recruit social work manager posts which reflects the difficulty in recruiting high calibre social work managers to Coventry. However, over the past month the service has been able to make three permanent appointments to posts which are being covered by Interims. The Director of Children's Services is committed to reducing the reliance on agency and interim staff. Good progress has been made in recruiting social workers and reducing the reliance on agency social workers. Additional interim capacity is currently supporting service redesign and the development of an improved strategy for looked after children's placements. This improved strategy will improve outcomes for young people in the long term whilst reducing the overall spend on children's services. Once the service redesign is in place it is anticipated that the need for interim assignments will end.

In addition to the interim managers a team of agency social workers have been taken on to support the work of the Child Sexual Exploitation team. This team were not supplied by Pertemps and incurred a cost of £73.7k which is included in section 2.3 below.

### **People Directorate - Education**

The Education service has had one interim manager who has been in post since March 2016 to support the service restructure. In addition the central teams (PAS, Behaviour Support and Extended Learning Centres) make use of agency workers to meet the demands placed on them.

### **People Directorate - Adults**

The one worker that had been taken on to support the work of the All Age Disability service finished the assignment within the quarter.

## **Place Directorate**

The Professional Services Contract includes staff from the three companies in the Framework contract who provide technical staff in such fields as quantity surveying and the management of infrastructure projects. Previously the total spend has been reported. It is now possible to split out spend between Capital and Revenue and as it is felt the Revenue spend better reflects spend on agency workers, it is this figure that is reported here. The Revenue spend figure for Q2 is £286,054 which compares to a Q1 figure of £286,054.

In addition Waste Services have used agency collectors / drivers from an agency other than Pertemps. Spend in Q2 was £9,092 which is included in section 2.3 below.

## **Resources Directorate**

An interim has joined the HR service to support the service during the current restructure.

Three members of staff have been engaged from Oyster Partnership in this quarter to support the Housing Options team to cover a backlog of homeless on the night assessments whilst the team work through the volume of cases awaiting decisions. The structure of the team is being assessed.

### **2.3 Unapproved Agency spend**

Whilst the agency spend may be authorised appropriately within the service area, there are several agency workers who have been contracted outside of the Pertemps contract and without the knowledge and approval of the CCC contract manager. For the purposes of this document this is being referred to as unapproved agency spend.

During the quarter such spend was discovered in two areas:

- Social Workers to support the work of the CSE team with a spend of £73.7k for the quarter
- HGV Drivers and Refuse collectors in Street Pride; with a spend of £9k for the quarter

These costs are included in table 2.2b above.

Following a recommendation contained in the quarter 1 report, a briefing note was sent out to managers on 28/10/2016 reminding them of the correct process for sourcing agency workers.

### **3. Rebate**

The cost of agency workers is made up of the pay rate for the work plus working time directive payments, national insurance payments and a margin or mark up to the agency. As part of the Master Vendor contract, fixed pay rates have been set corporately for each job category. Given that national insurance payments and the working time directive are fixed legislative requirements, Pertemp's procurement of agency workers is based on reducing agency mark ups in order to generate cashable savings. The rebate for quarter 2 is £283,892 which compares with a figure of £284,721 in quarter1, 2016/17.

#### **4. Strategic Management Board Comment**

The Master Vendor contract is a planned strategy to work towards reducing the level of agency spends and to better understand where and how we use agency workers.

There will always be the need to use agency workers. However, it is acknowledged that current usage is still too high because of the need to cover sickness absence, short-term cover whilst Fundamental Service Reviews are taking place and to cope with sudden surges of demand. This will require the need for scarce skills and workers during these reviews; organisational restructures and sudden peaks in demand.

In terms of the cost of using agency workers, it is important to note that not all of the cost is in addition to normal staffing spend. Although agency cover associated with sickness absence in front line services is often an additional cost, in the case of agency cover for vacant posts the cost will be funded in part by the relevant staffing budget.

Where opportunities exist for bulk recruitment campaigns to front line essential services, the Human Resources Recruitment Team will continue to work with service managers to establish registers of workers, who are available for casual, temporary or permanent work in order to reduce the use of agency workers. However, some roles continue to be hard to recruit. In the case of social workers we have had some success with recruitment on the 'Do it for Daniel' campaign, but nevertheless recruitment continues to be difficult.

The new contract with Pertemps came into effect on the 2 December 2013. The contract, is a joint contract with Warwickshire and Solihull following an extensive tendering process, and has now been fully implemented. The new contract is a hybrid Master Vendor arrangement which will provide the Council with additional advantages to the existing Master Vendor contract.

#### **5. Results of consultation undertaken**

- 5.1 The report sets out the steps the Council is taking to reduce expenditure on agency workers, particularly in those areas where they are used most intensively.
- 5.2 The report is able to identify more accurately spend on agency workers and the reasons for spend.
- 5.3 Officers will continue to bring the monitoring information to the Cabinet Member and steps will continue to be taken to endeavour to reduce the level of expenditure.
- 5.4 Management Information has given the opportunity for the Recruitment Team to target large areas with high usage of agency workers to try and reduce the need for agency workers. This work is ongoing.

#### **6. Timetable for implementing this decision**

Not applicable

## **7. Comments from Executive Director, Resources**

### **7.1 Financial implications**

Quarterly monitoring of expenditure on agency workers will continue throughout the contract. The cost of agency workers for the current reporting period from the Pertemps system is £1,806,302 which equates to 4.6% of the overall wage bill for this quarter (excluding schools).

Pertemps operate a live management accounts system which places the cost of agency workers in the period the work took place rather than the period of time in which the Council was billed for or paid the related invoices. The system shows the volume of agency activity/usage in a particular quarter irrespective of when invoices are paid. Therefore this information will be different from that which has gone through the Council's financial systems during Q2.

Pertemps system only incorporates timesheets authorised by managers and therefore the costs for a particular quarter will increase throughout the year as more timesheets are authorised. We actively work with the master vendor to keep outstanding timesheets to a minimum.

### **7.2 Legal implications**

There are no specific legal implications associated with this report.

## **8. Other implications**

### **8.1 How will this contribute to achievement of the Council's key objectives / corporate priorities (corporate plan/scorecard) / organisational blueprint / LAA (or Coventry SCS)?**

The Agency Worker Contract arrangement provides good value for money in relation to the procurement of agency workers. It also provides firmer controls on the use of agency workers and has in place sound management reporting to see where spend is taking place to target recruitment, maximise resources, and reduce spend on agency workers.

### **8.2 How is risk being managed?**

No risks identified

### **8.3 What is the impact on the organisation?**

Through the rigorous monitoring of the use of agency workers and alternative strategies for resourcing short-term work requirements, the dependency on agency workers should be reduced. The Council's Policy on the use of agency workers states that Agency Workers should only be used when:

- Proper recruitment processes have failed to secure an appointment and staff cover has become crucial to the delivery of services;
- Short-term temporary cover is required until proper recruitment processes have been completed and an appointment is made;
- Unplanned absences require immediate cover to ensure continuity of services;
- Unplanned, short-term or peak workloads occur.

Human Resources are proactively supporting managers to reduce agency spend.

#### **8.4 Equalities / EIA**

The master vendor has made considerable efforts to ensure that the equalities monitoring form is completed. The graphs in appendix 3 show the main equalities data at corporate level for the agency workers who were on assignment with us in the month of September 2016.

No equality impact assessment has been carried out as the recommendations do not constitute a change in service or policy.

#### **8.5 Implications for (or impact on) the environment**

None

#### **8.6 Implications for partner organisations?**

None

**Report author(s):****Name and job title:**

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**Directorate:**

Resources Directorate

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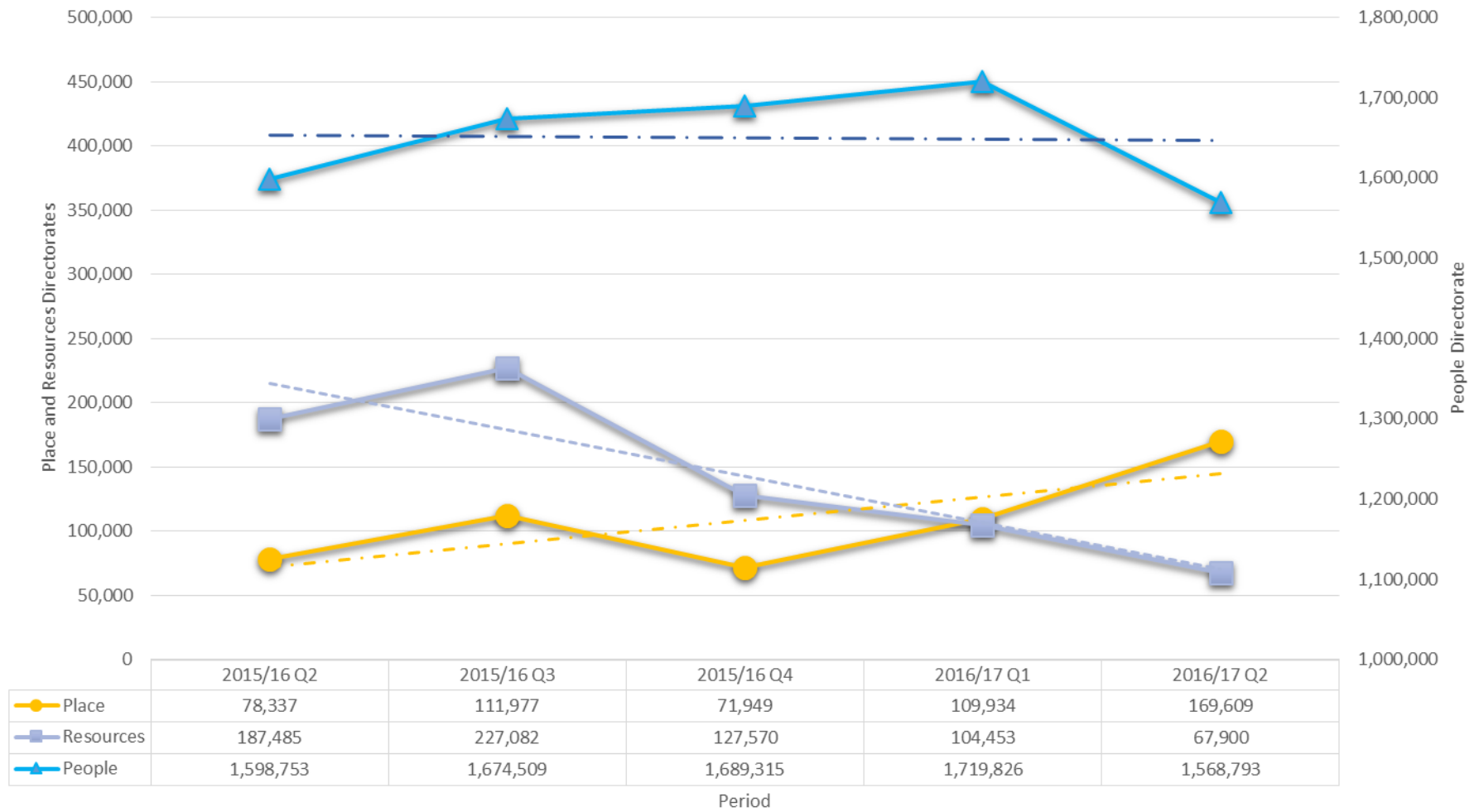
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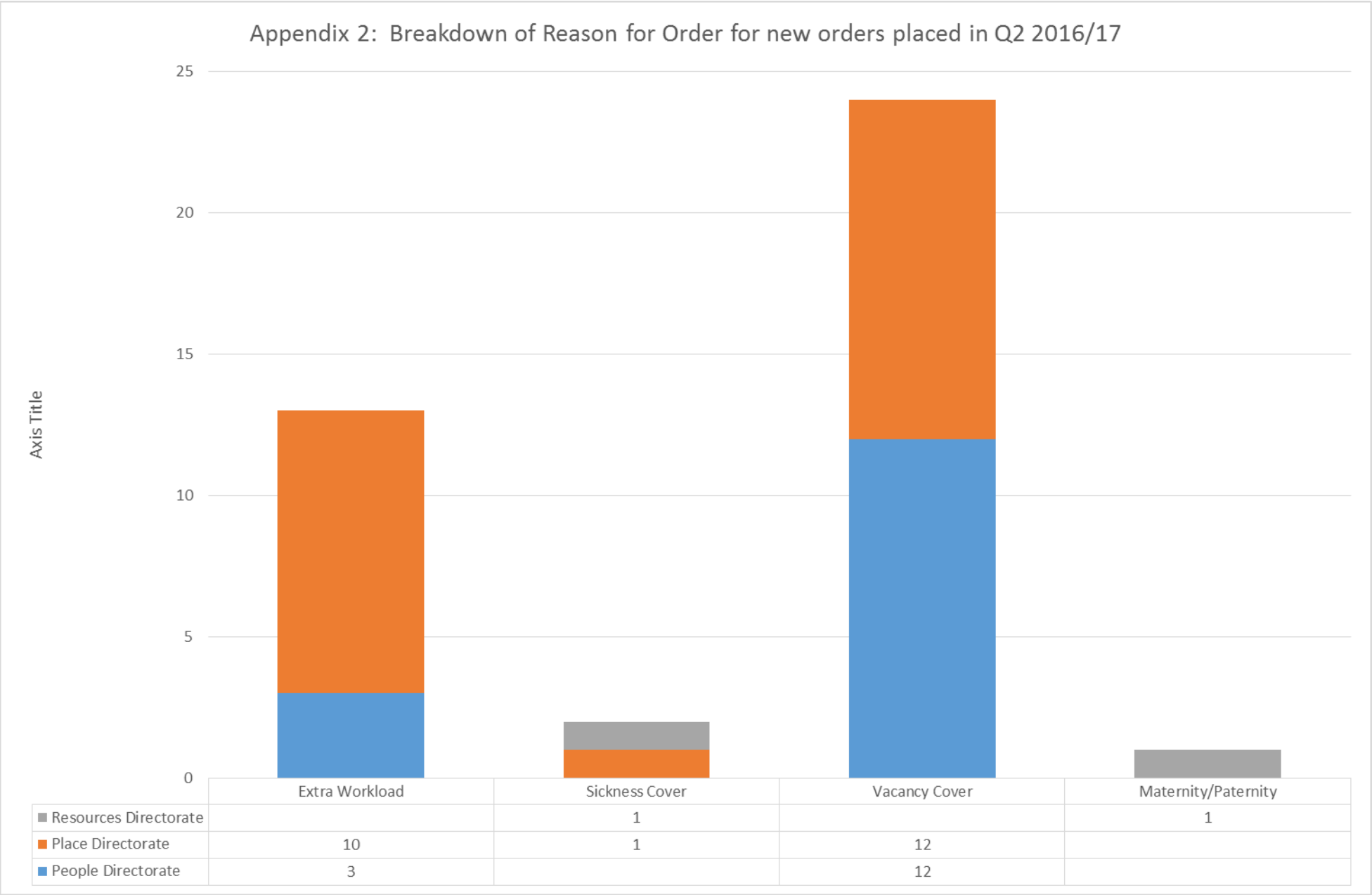
<b>Contributor/approver name</b>	<b>Title</b>	<b>Directorate or organisation</b>	<b>Date doc sent out</b>	<b>Date response received or approved</b>
<b>Contributors:</b>				
Suzanne Bennett	Governance Services Officer	Resources	21/11/2016	21/11/2016
Other members				
<b>Names of approvers:</b> (officers and members)				
Human Resources & Organisation Development: Barbara Barratt	Head of HR & OD	Resources	22/11/2016	23/11/2016
Human Resources: Helen Joyce	Interim Senior HR Manager	Resources	22/11/2016	23/11/2016
Finance: Kathryn Sutherland	Lead Accountant	Resources	22/11/2016	23/11/2016
Legal: Julie Newman	Legal Services Manager, People	Resources	22/11/2016	22/11/2016
Director: Chris West	Executive Director	Resources	22/11/2016	22/11/2016
Member: Councillor J Mutton	Cabinet Member for Strategic Finance and Resources		23/11/2016	

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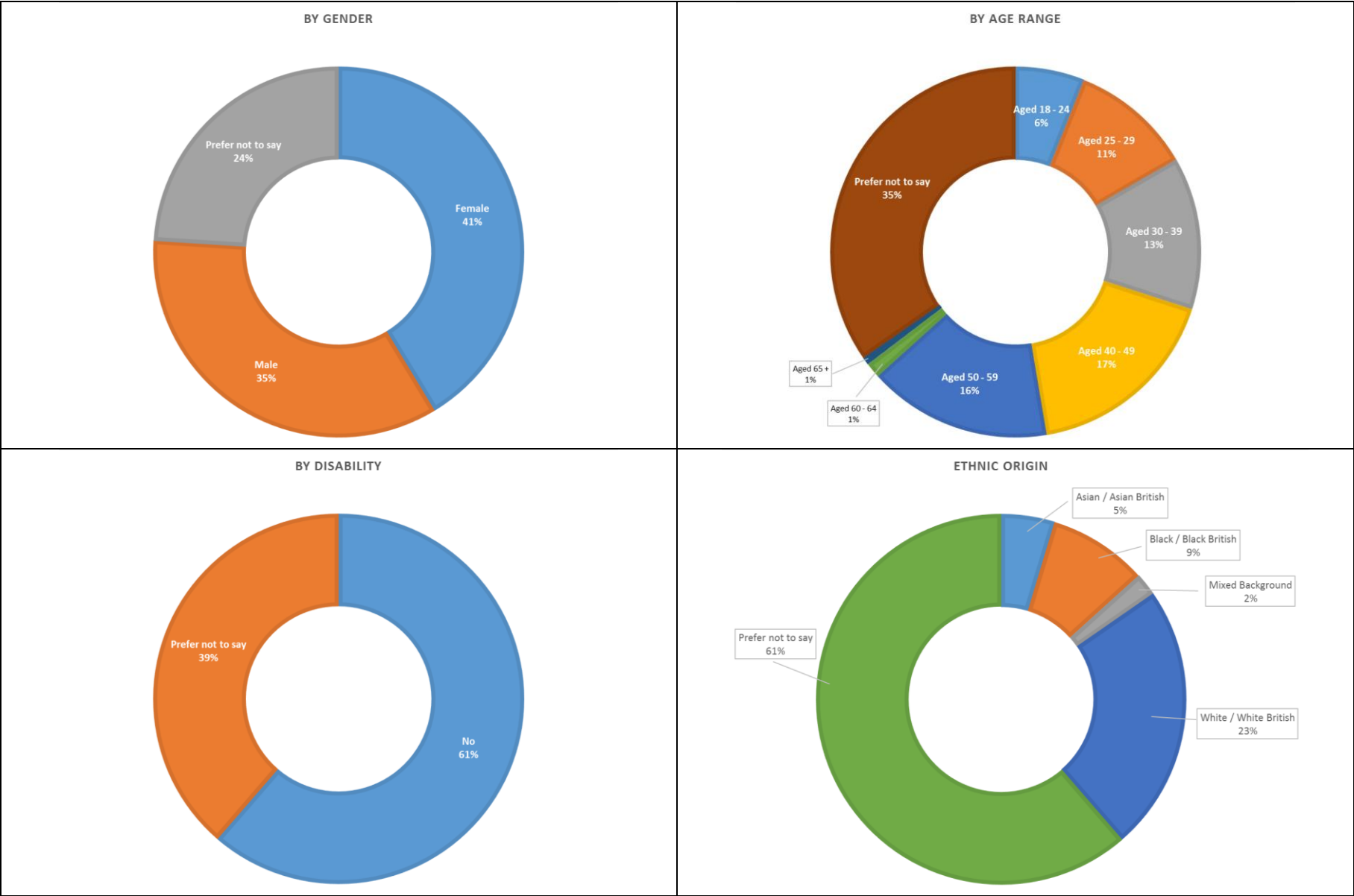
Appendix 1 - Comparison of Directorate Spend with Pertemps (Q2 2015/2016 to Q2 2016/2017)







Appendix 3 Equality Data for Agency Workers via the Pertemps Contract (September 2016)



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## **Public report** Cabinet Member Report

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Cabinet Member for Strategic Finance & Resources

15 December 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance and Resources – Councillor J Mutton

**Director Approving Submission of the report:**

Executive Director of Resources

**Ward(s) affected:**

None

**Title:**

6 Month (April – September 2016) Cumulative Sickness Absence 2016-2017

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**Is this a key decision?**

No

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**Executive Summary:**

To enable the Cabinet Member for Strategic Finance and Resources to monitor:

- Levels of sickness absence for the 6 month period of April – September 2016.
- The actions being taken to manage absence and promote health at work across the City Council.

**Recommendations:**

- Cabinet Member for Strategic Finance and Resources is asked to receive this report providing sickness absence data for the 6 month period of April to September 2016 and endorse the actions taken to monitor and manage sickness.
- This report is submitted the Cabinet Member on a quarterly basis. Given the general downward trend, it is recommended that the report submitted to the Cabinet Member every six months and the next report be a year end report.

**List of Appendices included:**

Appendix 1	Coventry City Council – Days Lost per FTE 2004 - 2016
Appendix 2	Directorate Summary Out-turn (April – September 2016 vs. April – September 2015)
Appendix 3	Coventry City Council Reasons for Absence (April – September 2016)
Appendix 4	Days Lost per FTE, by Directorate (April – September 2015/2016 vs. 2016/2017)
Appendix 5	Coventry City Council Percentage Breakdown of Absence (April – September 2016)
Appendix 6	Coventry City Council Spread of Sickness Absence (By Length of Days) (April – September 2016)
Appendix 7 & 8	Summary of Occupational Health & Counselling Services Activities Undertaken (April – September 2016)

**Other useful background papers:**

None.

**Has it or will it be considered by Scrutiny?**

No.

**Has it, or will it be considered by any other Council Committee, Advisory Panel or other body?**

No

**Will this report go to Council?**

No.

# Report title: 6 Month (April – September 2016) Cumulative Sickness Absence 2016/2017

## 1. Context (or background)

- 1.1 Annual and quarterly information is based on full time equivalent (FTE) average days lost per person against the FTE average days per person available for work. This is the method that was previously required by the Audit Commission for annual Best Value Performance Indicator reporting. The City Council continues to use this method to ensure consistency with previously published data.
- 1.2 This report gives the cumulative sickness absence figures for the Council and individual Directorates.

## 1.3 Performance and Projections

Q2 – FTE	combined		Officers		Teachers	
Actual (cumulative)	8.95		9.93		5.41	
Predicted to end of year	8.94		9.87		5.46	
Q2 - £'000's	combined		Officers		Teachers	
Actual (cumulative)	5,586		4,835		751	
Predicted to end of year	13,310		11,225		2,085	

## 1.4 Reasons for Absence

### 1.4.1 Appendix 3 shows:

- Stomach, Liver and Gastroenteritis accounts for the most occasions of sickness absence (1,172 occasions). Time lost was 2,892.92 days, equivalent to 2.5 days per absence.
- Back, neck and other musculoskeletal problems was the highest cause of time lost (8100.85 days)
- Stress, Depression and Anxiety was the second highest cause of time lost. (6762 days). However, it is not possible to differentiate between personal stress and work related stress.

### 1.4.2 A comparison of year on year figures of days lost across the authority reveals that:

- Quarter 2 (ending September 2009) out turn was **4.53** (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2010) out turn was **4.47** days (average sick days lost per full time equivalent employee).

- Quarter 2 (ending September 2011) out turn was **3.96** days (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2012) out turn was **4.05** days (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2013) out turn was **3.81** days (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2014) out turn was **3.91** days (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2015) out turn was **3.77** days (average sick days lost per full time equivalent employee).
- Quarter 2 (ending September 2016) out turn was **3.74** days (average sick days lost per full time equivalent employee).

1.4.3 When comparing Quarter 2 (2016/17) out turn with last years in the same period (2015/16), it reveals that

- Reduction in the number of the occurrences of absence by **339** occasions
- Reduction of total days lost per FTE by **2431.28** days
- Reduction of **18093.04** working hours' lost based
- Increase of **£280,051.57** in respect of cost of absence. This is in part due to the overall rise in the cost of the employment that now includes a significant rise in on-costs.
- Stress has decreased by **765.84** days and by 75 occasions
- Musculo-Skeletal has increased by **502.97** days and by 69 occasions
- There has been a decrease of **195.86** days lost due to Infection, Colds and Flu, and 49 occasions
- Chest, Respiratory and Chest Infection has reduced by **125.16** days and by 57 occasions
- Stomach, Liver, Gastroenteritis has reduced by **305.85** days and by 143 occasions.

1.4.4 The data provided within Appendices 2 and 4 reflects each Directorates' performance and establishments.

## 1.5 Frequent and Long Term Absence

1.5.1 Appendix 5 provides the breakdown between frequent and long-term absence levels during 2016/2017.

1.5.2 Appendix 6 provides a more detailed breakdown of the duration of absences.

## **1.6 Leavers through Promoting Health at Work Corporate Procedure**

1.6.1 Between April – September 2016, a total of four staff left the Council in accordance with the Promoting Health at Work Corporate Procedure. Three employees left on ill health retirement. One employee was dismissed for continuous absence but was subsequently re-instated on appeal to members.

## **2. Options considered and recommended proposal**

### **2.1 Activities during Quarter 2 from the HR Health & Wellbeing Team**

2.1.1 The HR Health & Well Being Team along with the Occupational Health, Safety and Wellbeing Team, aims to ensure a consistent approach to sickness absence management, supporting managers in the application of the Council's Promoting Health at Work procedure. The Health and Wellbeing Team are responsible for providing information on sickness absence to Directorate Management Teams/Senior Managers on a monthly basis

2.1.2 Directorate Management Teams review summary absence reports on a monthly basis to monitor progress and determine actions needed to address any hotspots.

2.1.3 The Health & Well Being Team and the Occupational Health, Safety and Wellbeing Team undertake proactive strategies to support the authority to reduce levels of sickness absence. They include:

- Robust approach is being taken to the management of sickness absence casework with the application of a revised model, resulting in no more than 4 meetings having to take place before a decision is made about an employees continued employment.
- A monthly system to alert Assistant Directors when employees hit a sickness absence trigger point and have not been seen as part of the Promoting Health at Work Procedure.
- Training is provided to managers to support dealing with both practical and procedural issues including the management of mental wellbeing. An on-going programme of training is taking place across the Council as a whole. This includes receiving the absence phone call, conducting effective Return to Work Interviews, supporting Disabled Employees and understanding the rational for making Reasonable Adjustments in the work place to facilitate an employee's return to work.
- Training has allowed Managers the opportunity to refresh their knowledge and understanding of the Promoting Health at Work process.
- The implementation of an intranet based absence toolkit '*Managing Absence - Your Guide*' along with a desk top icon for easy access. The purpose of the toolkit

is to enable managers to deal with the routine “day to day” sickness absence management tasks. The toolkit contains a number of simple and easy to use guides. The toolkit also provides detailed FAQs, ‘how to guides’ and some straightforward ‘golden rules’ to help managers and links to relevant policies, procedures, checklists and scripts and links to the Occupational Health and Wellbeing Information Access Points.

- 2.1.4 A number of service areas across the Council hold regular 'performance summits / clinics' on a monthly, quarterly or as needed basis. These incorporate both the management of sickness cases as well as areas of performance concerns, which in some cases have a direct link. The clinics are supported by the Health and Wellbeing Team with additional support from the Occupational Health and Wellbeing clinicians where required.
- 2.1.5 These serve as a useful mechanism to safeguard the general well-being of the organisation ensuring performance and attendance are well-managed for all parties. This guarantees absence levels remain a high priority with the aim to reduce these levels for the Council and to enable services to be cost-effectively delivered to the public.
- 2.1.6 The purpose of 'performance clinics', are to provide an opportunity for Management with the relevant Head of Service / Assistant Director, to review sickness and performance cases within a given area. This is to ensure cases are being addressed in a timely manner and are being robustly, consistently, fairly and appropriately managed through the application of the Promoting Health at Work process and other relevant processes.
- 2.1.7 The clinics provide an opportunity for Managers to share good practice and experience in managing absence levels, as well as to gain further advice, support and updates on changes to procedure and support the Council can provide to its employees and Managers, from their Lead HR Representative, HR Health & Wellbeing Team and HR Representative Performance Team.
- 2.1.8 One of the particular key benefits of performance clinics has been to identify hotspot areas, or key issues/reasons for absence within service areas. This enables the advice, support and resources to be tailored to ensure these issues are addressed and managed and that our employees are appropriately supported. This has proved to be very useful in making a positive impact in the working environments and on attendance levels.
- 2.1.9 At the request of the Cabinet Member, it is confirmed there is no outstanding casework from absence triggers generated from Quarter 2.



## 2.2 Activities during Quarter 2 from the Occupational Health, Safety and Wellbeing Team

2.2.1 Talking Health, Safety and Wellbeing : the primary aim of the initiative is to act as central source of information and encourage Council employees to act safely, as well as maintaining their physical and mental wellbeing.

2.2.2 The initiative has delivered the following events in Quarter 2:

- Weekly articles on key health and safety issues are promoted through Beacon. The articles so far have included near miss reporting, avoiding needle stick injury, driving safety and getting active with Workplace on the Move. To date there has been 4327 hits on these articles.
- Between 1<sup>st</sup> July and 30<sup>th</sup> September, Coventry City Council signed up to Workplaces on the Move, the Public Health England campaign to get fit and stay healthy. The initiative was a three month 'get fit' opportunity, offering colleagues the chance to get more active by getting involved in physical exercise either as an individual or in teams of five. There was competition for top place on the Leader Board, and there was a prize for the winner(s). In total: 40 employees took part, in over 1814 activities.
- A Health Information day was held at Whitley Depot on 28th September. It was a drop- in service, where employees could obtain information on a variety of health topics including: lifestyle factors, cancer awareness, NHS checks, flu vaccinations and health surveillance.
- The Mandatory Workplace **Mental Wellbeing** Audit Programme continues to be rolled out as per the Audit Programme
- The Mental Wellbeing at Work, resilience focused e-learning, which looks at maintaining mental wellbeing from a managers, employees and organisational perspective, is available on the e-learning system and has been promoted through Beacon.
- Work continues to support Social workers in the MASH team with Mental Wellbeing Support groups.
- The 'Single Point Access' tool for Mental Wellbeing will be promoted on Beacon again for World Mental Health day on 10<sup>th</sup> October 2016. See following link:  
<http://beacon.coventry.gov.uk/occhealthsafetywellbeing>

## Musculoskeletal

- Musculoskeletal problems were identified in Adult Provider Services and Libraries where older employees were experiencing more shoulder and knee problems. Flex and stretch and shoulder and knee injury awareness sessions were targeted for these groups Q2 and 26 employee attended. Feedback from managers has been very positive.
- The Fast Care Clinics in key areas: 3 City Arcade, Whitley Depot and Faseman House will continue to target high risk areas for musculoskeletal problems

### **3. Results of consultation undertaken**

No consultation has been undertaken.

### **4. Timetable for implementing this decision**

None.

### **5. Comments from Executive Director of Resources**

#### **5.1 Financial implications**

Sickness absence impacts on the ability of the Council to deliver its services with replacement cover required in many service areas at an additional cost to the Council.

#### **5.2 Legal implications**

There are no legal implications resulting from this report.

### **6. Other implications**

There are no other specific implications.

#### **6.1 How will this contribute to achievement of the Council's key objectives/corporate priorities (corporate plan/scorecard)/organisational blueprint/LAA (or Coventry SCS)?**

The monitoring of Sickness absence is one of the Council's corporate plan targets and performance and oversight is achieved via the reporting of outturn to Cabinet Member (Strategic Finance & Resources)

## **6.2 How is risk being managed?**

The Promoting Health at Work strategy will require further development to examine more intensively issues such as working conditions, accidents, work related ill health, and industrial injuries in addition to managing absence. This will involve liaison with colleagues in the areas of Occupational Health, Safety and Wellbeing, and will also include analysis of sickness data to identify the relationship between specific causes of absence and occupational groups.

## **6.3 What is the impact on the organisation?**

### Human Resources

The HR Health and Wellbeing team and the Occupational Health, Safety and Wellbeing Service, support absence management across the whole City Council. The teams support managers to deal with sickness promptly and consistently within all Directorates.

### Information and Communication Technology

Improvements will continue to be made to the reporting process through Resource link management information to improve accuracy and detail of information in relation to all absences.

### Trade Union Consultation

Consultation with the trade unions is on-going. The trade unions are kept up to date on the latest absence figures and are actively involved in casework regarding sickness absence management.

## **6.4 Equalities/EIA**

The application of the sickness absence management processes are continually reviewed to ensure compliance with the Council's duty under Section 149 of the Equality Act 2010. No equality impact assessment has been carried out as the recommendations do not constitute a change in service or policy.

## **6.5 Implications for (or impact on) the environment**

None.

## **6.6 Implications for partner organisations**

None.

**Report author(s):****Name and job title:**

Helen Joyce – Senior HR Manager

**Directorate:**

Resources

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[helen.joyce@coventry.gov.uk](mailto:helen.joyce@coventry.gov.uk)

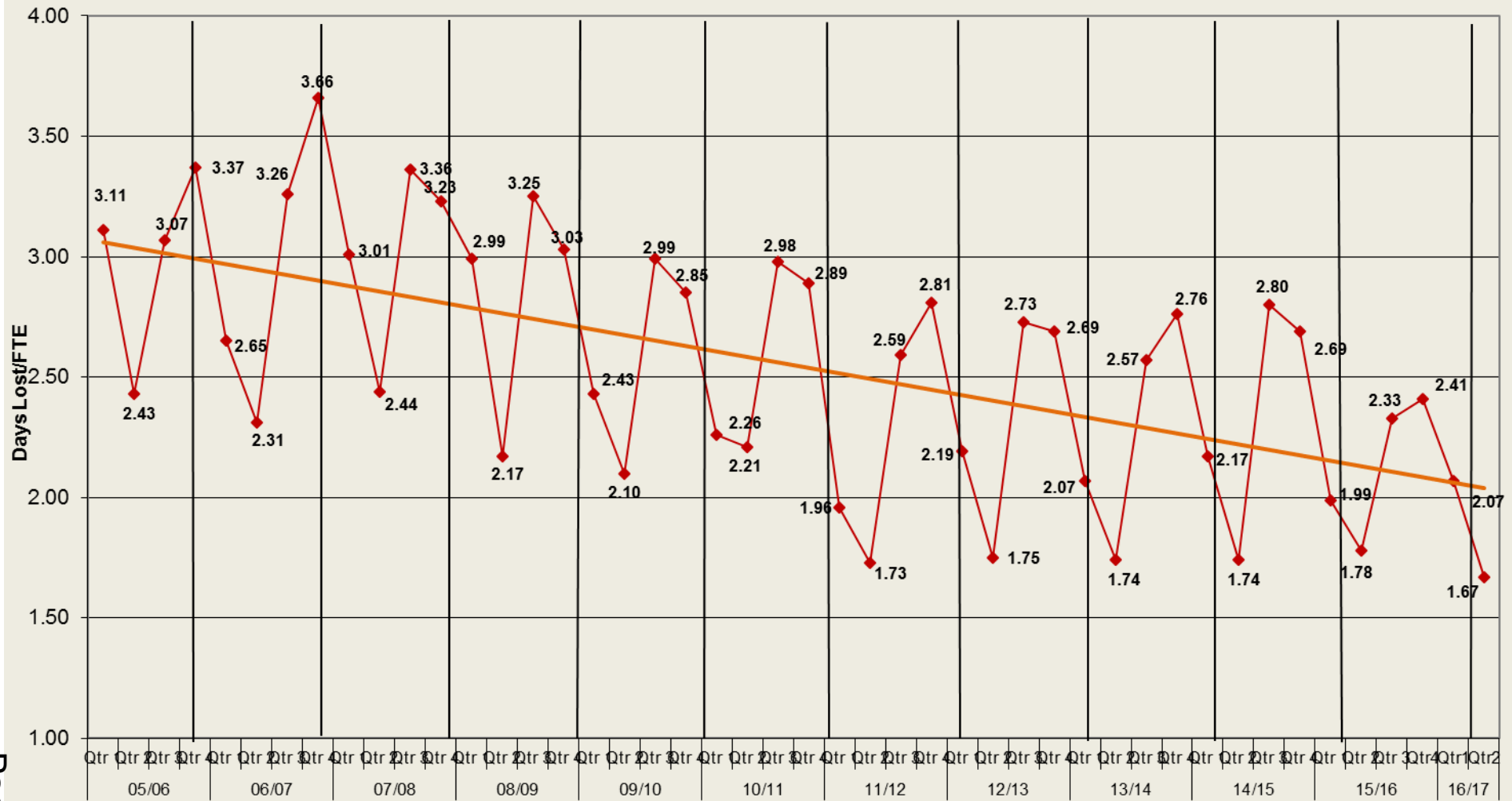
Enquiries should be directed to the above person.

<b>Contributor/approver name</b>	<b>Title</b>	<b>Directorate or organisation</b>	<b>Date doc sent out</b>	<b>Date response received or approved</b>
<b>Contributors:</b>				
Wilma Green	Human Resources Advisor	Resources	15/11/2016	15/11/2016
Angie White	Occupational Health & Safety Manager	Resources	17/11/2016	17/11/2016
Louise Hughes	Senior Accountant	Resources	17/11/2016	18/11/2016
Suzanne Bennett	Governance Services Officer	Resources	21/11/2016	22/11/16
<b>Names of approvers:</b> (officers and members)				
Barbara Barrett	Head of HR & OD	Resources	17/11/2016	18/11/16
Julie Newman	Children & Adult Legal Service Manager	Resources	17/11/2016	23/11/16
Councillor Mutton	Cabinet Member for Strategic Finance and Resources	Coventry City Council	17/11/2016	17/11/16
Chris West	Executive Director	Resources	17/11/2016	28/11/2016

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**Coventry City Council**  
**Days Lost per FTE**  
**2005 - 2016**



**Coventry City Council**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
3.74	3.77	8.0

This demonstrates a reduction of 0.03 days per FTE compared to 2015/2016

**Chief Executive's Directorate**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
0.24	0.43	2.0

This demonstrates a reduction of 0.19 days per FTE compared to 2015/2016.

**Place Directorate**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
4.48	4.73	9.30

This demonstrates a reduction of 0.25 days per FTE compared to 2015/2016.

**People Directorate**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
5.19	5.70	10.95

This demonstrates an increase of 0.51 days per FTE compared to 2015/2016

**Teachers in Schools**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
1.82	1.69	4.56

This demonstrates an increase of 0.13 days per FTE compared to 2015/2016.

### **Support Staff in Schools**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
3.29	3.46	7.55

This demonstrates a reduction of 0.17 days per FTE compared to 2015/2016.

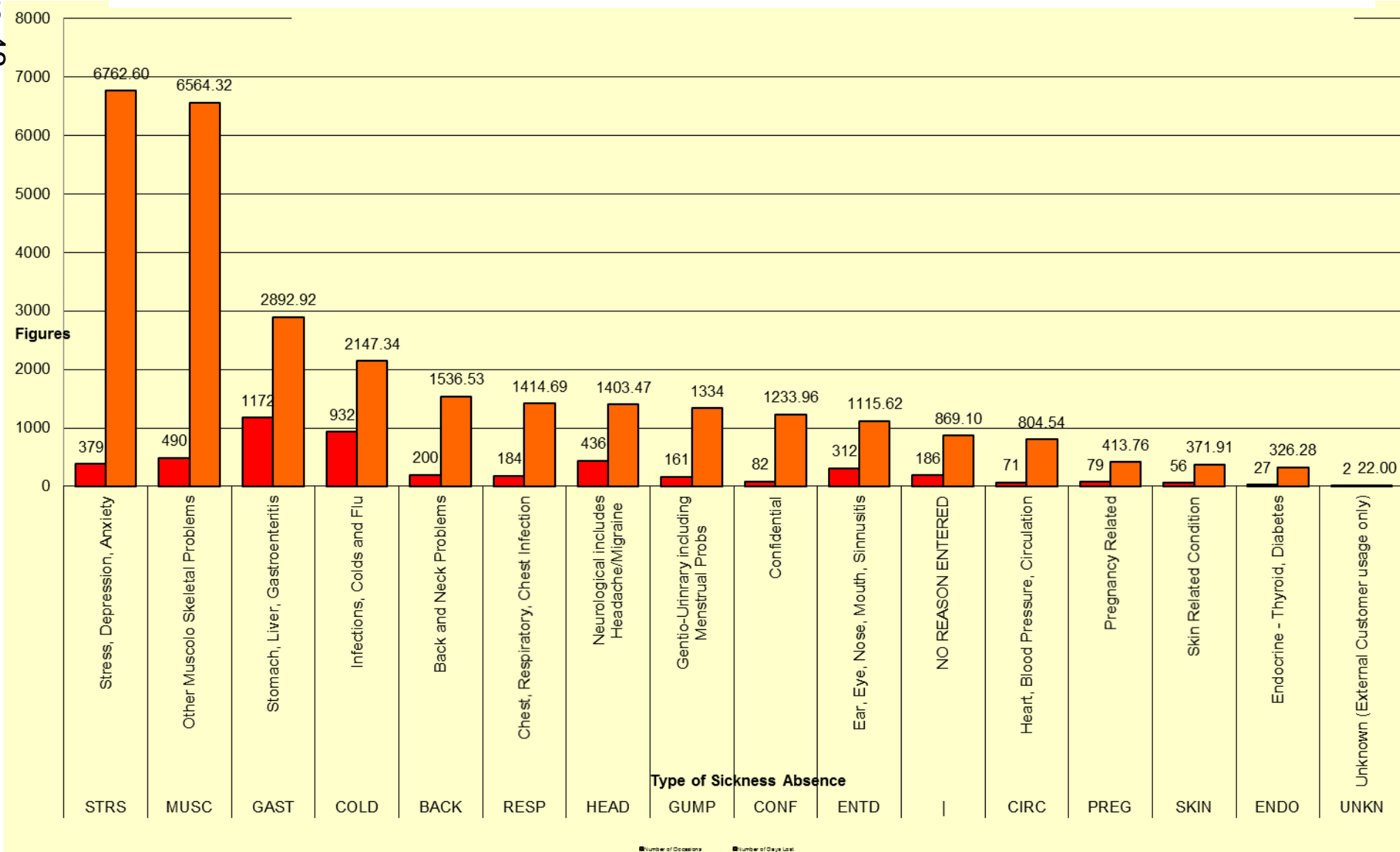
### **Resources Directorate**

<b>April – September 2016</b>	<b>April – September 2015</b>	<b>Annual Target 2016/2017</b>
4.06	3.74	8.00

This demonstrates an increase of 0.32 days per FTE compared to 2015/2016

**Coventry City Council – Reasons for Absence**  
**April – September 2016**

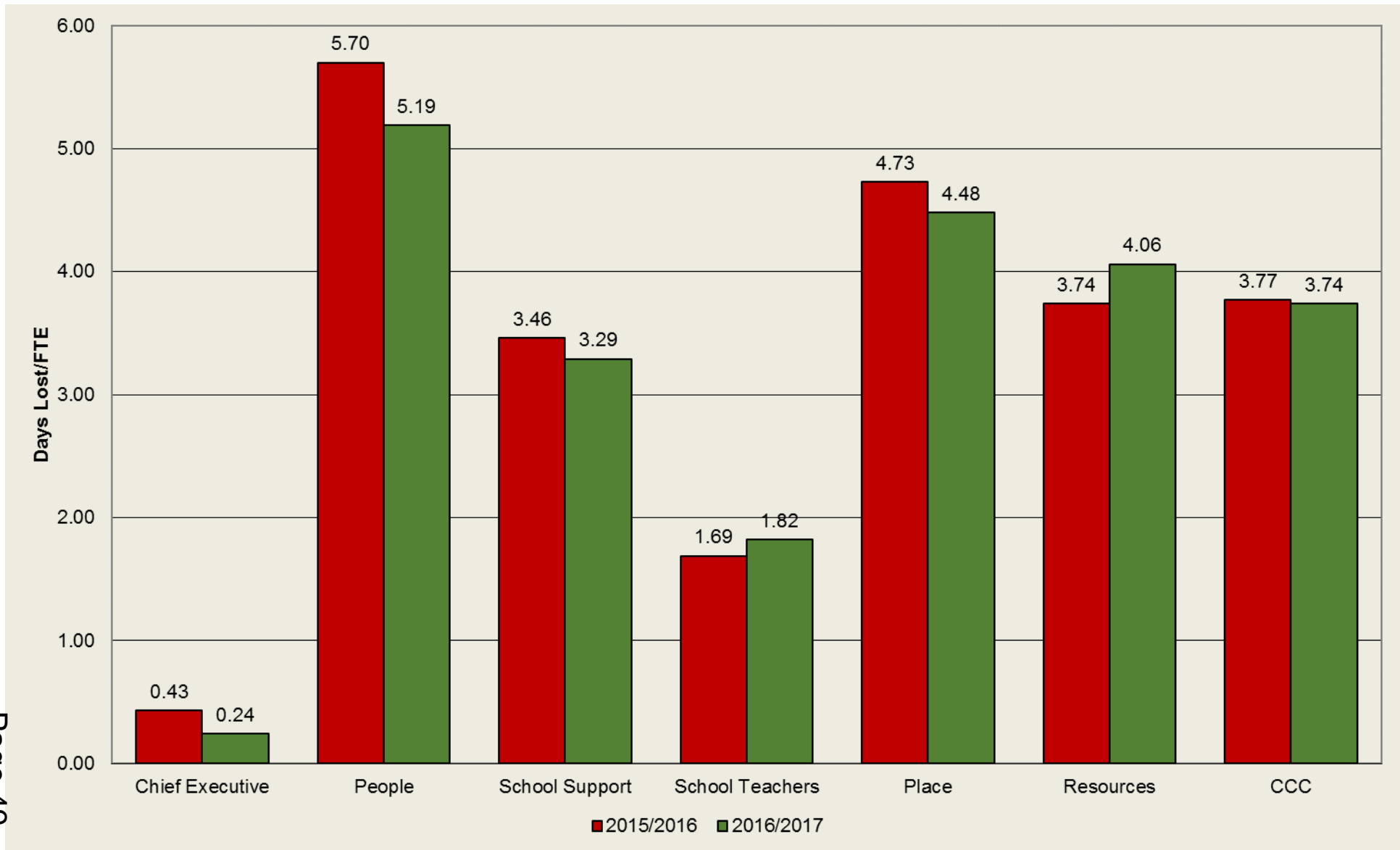
Appendix 3





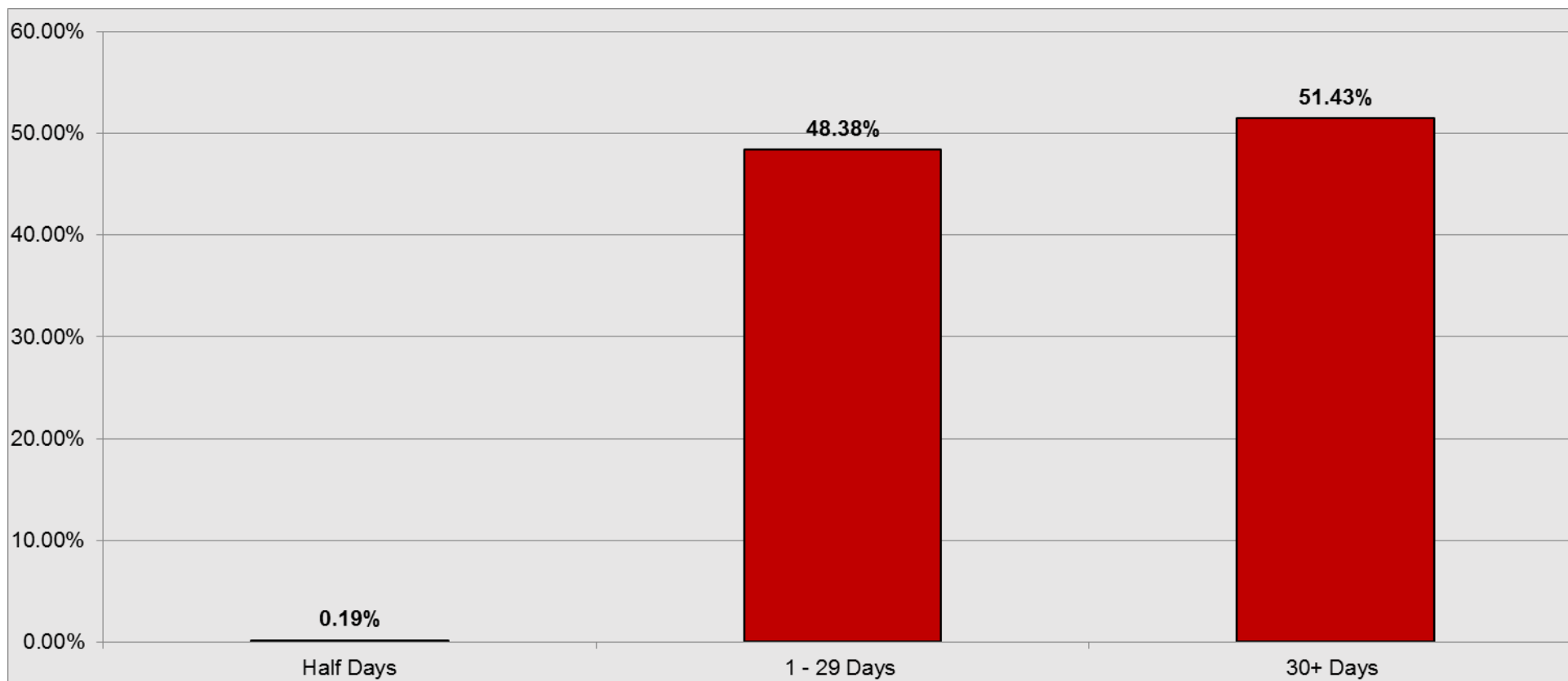
**April – September 2015 vs. April – September 2016**  
**Days Lost Per FTE**

Appendix 4



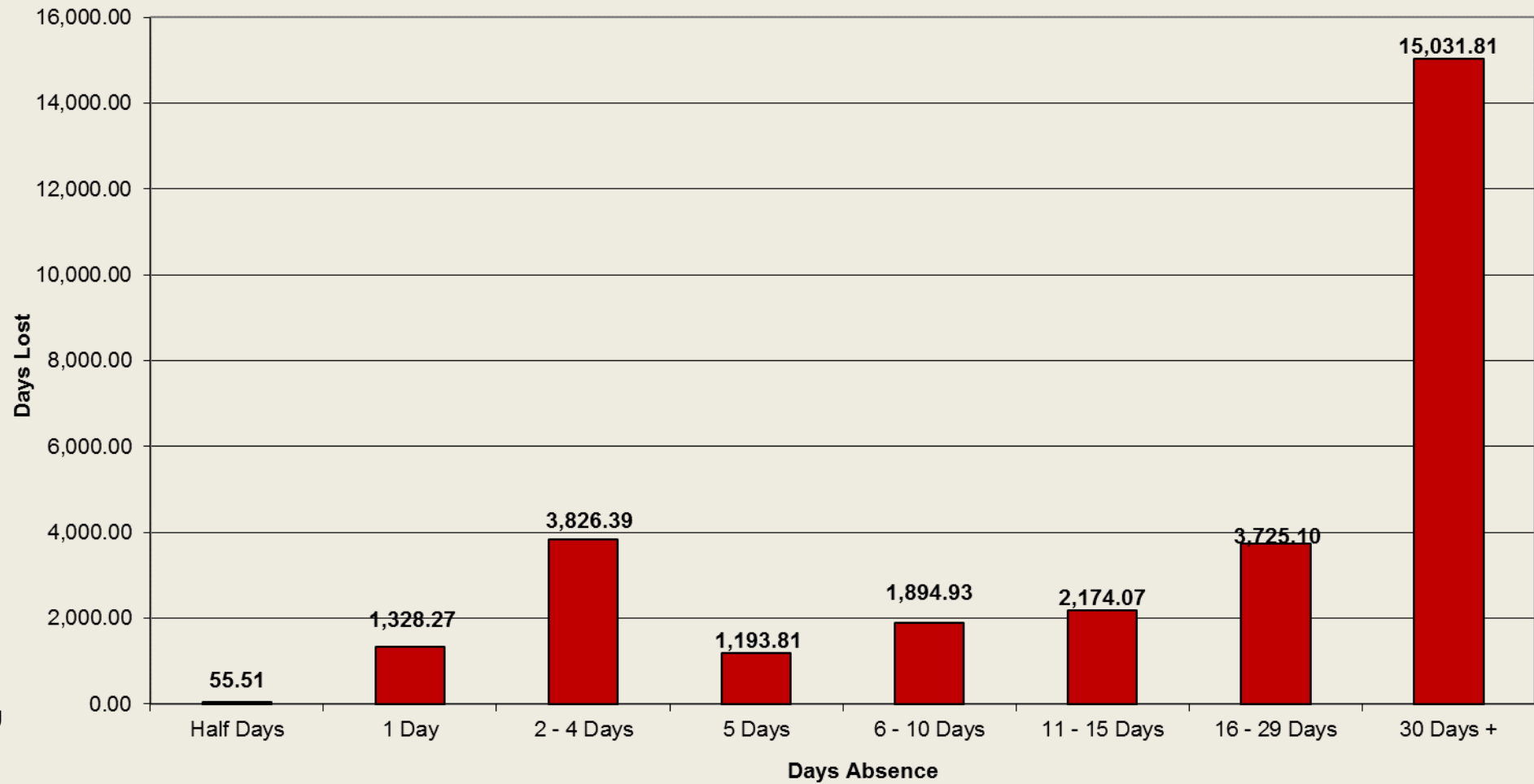
**Coventry City Council**  
**Sickness Absence – Percentage Breakdown**  
**April – September 2016**

Appendix 5



**Coventry City Council**  
**April – September 2016**  
**Spread of Absence by Length of Days**

Appendix 6



**OCCUPATIONAL HEALTH**  
**Promoting Health at Work Statistics**  
**1<sup>st</sup> April 2016 – 31<sup>st</sup> March 2017 (Q2)**

Occupational Health Activity	April-June 2016	July-September 2016	October-December 2016	January-March 2017	Total for Year
<b>Pre-Employment health assessments</b>	160	261			<b>421</b>
<b><u>July to September 2016</u></b> From the 261 pre-employment assessments, 161 required additional advice and guidance to be given to the employing manager. 35% of pre-employment forms were processed within 3 working days 100% clearance slips were returned to the Recruitment Team/School within 3 working days					
<b>Sickness absence health assessments and reviews including case conferences</b>	268	255			<b>523</b>
<b>Ill health conditions reported/investigated as work related, including workplace assessments</b>	43	39			<b>82</b>
<b><u>July to September 2016</u></b> Referrals to support services, work place assessments and case conferences were part of the health management plan. Advice on workplace adjustments, medical redeployment and ill health retirement were also given. 100% of employee ill health referral forms processed within 3 working days 85% reports sent to HR/schools within 3 working days					
<b>Vision screening and other surveillance procedures including vaccinations</b>	85	30			<b>115</b>
<b><u>July to September 2016</u></b> From the 30 screenings which took place 11 required additional intervention to prevent a deterioration in health and maintain the employee in work.					
<b>Healthy Lifestyles screens and follow up appointments</b>	87	69			<b>156</b>
<b><u>July to September 2016</u></b> 44 were NHS Health Checks aimed at individuals between 40 and 75 years of age who are registered with a Coventry GP From the initial healthy lifestyle screens, 25 were identified as having previously unidentified health problems and required a follow up appointment at the OHU or referral to their GP.					

The above figures do not include income generation work for contracts, advice, support and guidance, telephone enquiries, health education training, developing policies, quality standards and guidance notes, etc., in support of the Managing Health at Work process.

**COUNSELLING SERVICE**  
**Promoting Health at Work Statistics**  
**1<sup>st</sup> April 2016 – 31<sup>st</sup> March 2017 (Q2)**

Appendix 8

<b>Counselling and Wellbeing Activity</b>	<b>Apr – Jun 2016</b>	<b>Jul – Sep 2016</b>	<b>Oct – Dec 2016</b>	<b>Jan – Mar 2017</b>	<b>Total for Year</b>
<b>New referrals for counselling</b>	97	74			<b>171</b>
<b>Counselling sessions</b>	359	429			<b>788</b>
<b>Service evaluation</b>					
Number of employees completing questionnaire	24	7			<b>31</b>
Counselling helped avoid time off work (not on sick leave)	13	4			<b>17</b>
Counselling helped early return to work (on sick leave when counselling started)	7	1			<b>8</b>
Did not affect sickness absence	4	2			<b>6</b>

The above figures do not include income generation work for contracts, advice, support and guidance, telephone enquiries, health education training, developing policies, quality standards and guidance notes, etc., in support of the Managing Health at Work process

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Coventry City Council

## Public report

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**A separate report is submitted in the private part of the agenda in respect of this item, as it contains details of information required to be kept private in accordance with Schedule 12A of the Local Government Act 1972. The grounds for privacy are that it refers to the identity of an individual.**

Cabinet Member for Strategic Finance and Resources  
Audit and Procurement Committee

15 December 2016  
19 December 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance and Resources – Councillor John Mutton

**Director approving submission of the report:**

Director of Public Health

**Ward(s) affected:**

Nil

**Title:**

Complaints to the Local Government Ombudsman 2015/16

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**Is this a key decision?**

No

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**Executive summary:**

The Local Government Ombudsman (LGO) is the final stage for complaints about councils and some other organisations providing local public services. It provides an independent means of redress to individuals for injustice caused by unfair treatment or service failure.

In Coventry, the Council's complaints policy sets out how individuals can complain to the Council, as well as how the Council handle compliments, comments and complaints. As part of this, the Council informs individuals of their rights to contact the LGO if they are not happy with the Council's decision.

Every year, the LGO issues an annual letter to every council, summarising the number and trends of complaints dealt with in each local authority. The latest letter, issued July 2016, set out the number of complaints dealt with in Coventry between April 2015 and March 2016 (2015/16). In addition, a report, *Review of Local Authority Complaints* allows local authorities to benchmark their own performance with national trends.

This report sets out the number and trends of complaints to the LGO relating to Coventry City Council in 2015/16, the corresponding outcomes, as well as comparisons to the trends in 2014/15.

**Recommendations:**

The Cabinet Member is recommended to:

- (1) Consider the Council's performance in relation to complaints to the LGO.
- (2) Request the Audit and Procurement Committee to review and be assured that the Council takes appropriate action in response to complaints investigated and where the Council is found to be at fault.

The Audit and Procurement Committee is recommended to:

- (1) Consider the Council's performance in relation to complaints to the LGO.
- (2) Review and be assured that the Council takes appropriate actions in response to complaints investigated and where the Council is found to be at fault.

**List of appendices included:**

Appendix A – Complaints guidance

Appendix B – Complaints handling process flowchart

**Background papers:**

None

**Other useful documents**

Local Government Ombudsman – review of local government complaints 2015/16

<http://www.lgo.org.uk/information-centre/news/2016/jul/ombudsman-upholding-more-complaints-about-local-government>

Local Government Ombudsman – review of adult social care complaints 2015/16

<http://www.lgo.org.uk/information-centre/reports/annual-review-reports/adult-social-care-reviews>

Report to Cabinet Member Policy Leadership and Governance 8 October: Complaints to the Local Government Ombudsman 2014/15

<http://democraticservices.coventry.gov.uk/ieListDocuments.aspx?CId=562&MId=10849&Ver=4>

**Has it been or will it be considered by Scrutiny?**

No

**Has it been or will it be considered by any other Council Committee, Advisory Panel or other body?**

Yes – Audit and Procurement Committee – 19 December 2016

**Will this report go to Council?**

No



## Report title: Complaints to the Local Government Ombudsman 2015/16

### 1 Context (or background)

- 1.1 The Local Government Ombudsman (LGO) is the final stage for complaints about councils and some other organisations providing local public services. It also investigates adult social care providers such as care homes and home care providers. The LGO provides an independent means of redress to individuals for injustice caused by unfair treatment or service failure. It is a free service that investigates complaints in a fair and independent way without taking sides.
- 1.2 In Coventry, the Council's complaints policy ([www.coventry.gov.uk/complaints/](http://www.coventry.gov.uk/complaints/)) sets out how individuals can complain to the Council, as well as how the Council handles compliments, comments and complaints. As part of the complaints process, the Council informs individuals of their rights to contact the LGO if they are not happy with the Council's decision after they have exhausted the Council's own complaints process.
- 1.3 Every year, the LGO issues an annual letter to every council, summarising the number and trends of complaints dealt with in each local authority. The latest letter, issued July 2016, set out the number of complaints dealt with in Coventry between April 2015 and March 2016 (2015/16). In addition, a report, *Review of Local Authority Complaints* allows local authorities to benchmark their own performance with national trends.
- 1.4 This report provides elected members with information about the number and trends of complaints to the Local Government Ombudsman relating to Coventry City Council in 2015/16. It also provides more detail about complaints that the LGO investigated, including the actions taken by the Council when the LGO upholds a complaint.
- 1.5 In addition to Local Government Ombudsman complaints, the Council also reports on complaints made about adult and children's social care services.

### 2 Options considered and recommended proposal

- 1.6 Nationally, the LGO received 19,702 complaints and enquiries in 2015/16, similar to 2014/15. Of these, 51% of detailed investigations were upheld (up from 46%). The area most complained about is education & children's services, an area which has seen a 13% increase in complaints in 2015/16 compared to the previous year, the biggest increase of any category.
- 1.7 In 2015/16, the LGO recorded 109 complaints and enquiries relating to Coventry City Council. This is similar to the number recorded in 2014/15 (110 complaints).
- 1.8 The following sets out complaints and enquiries received by the LGO about Coventry City Council in 2015/16 by category (as defined by the LGO):

#### Complaints by category

Category	Complaints
Adult care services	12
Benefits and tax	16
Corporate & other services	11

Category	Complaints
Education & children's services	20
Environment services & public protection & regulation	21
Highways & transport	20
Housing	6
Planning & development	3
<b>Total</b>	<b>109</b>

1.9 It is not possible to comment on the Council's performance based purely upon the number of enquiries that the LGO receives about the Council. On one hand, a high number of complaints may indicate that an authority has been effective at signposting people to the LGO through their complaints handling process. On the other hand, a high number of complaints may also highlight that a council needs to do more to resolve issues through its own complaints process.

1.10 When dealing with an enquiry, the LGO can choose to investigate cases where it sees merit in doing so. Following an investigation, they can decide if a complaint is:

- Upheld – where the authority has been at fault and this fault may or may not have caused an injustice to the complainant; or where an authority has accepted it needs to remedy the complaint before we make a finding on fault.
- Not upheld – where, following investigation, the LGO decides that a council has not acted with fault.

1.11 Of the 109 complaints about Coventry City Council in 2015/16, 22 complaints were investigated, an 18% reduction from 27 complaints in 2014/15.

1.12 In 2015/16, 11 of the 22 complaints were upheld (50% upheld). This is an increase from nine complaints upheld out of 27 complaints (33%) in 2014/15. The percentage upheld (50%) in Coventry compares to a nearest neighbour average of 54% of complaints upheld and a national average of 51% complaints upheld. The table below sets out how Coventry compares to its CIPFA nearest neighbours, showing a range of 38% upheld (Wolverhampton) to 70% upheld (Medway).

#### Complaints investigated: comparison with nearest neighbours 2015/16

Local authority	Not upheld	Upheld	% upheld	Total
Wolverhampton	10	6	38	16
Bradford	16	12	43	28
Derby	6	5	45	11
Sheffield	24	21	47	45
Bolton	5	5	50	10
<b>Coventry</b>	<b>11</b>	<b>11</b>	<b>50</b>	<b>22</b>
Rochdale	6	7	54	13
Walsall	6	7	54	13
Peterborough	3	4	57	7
Swindon	3	4	57	7
Dudley	5	7	58	12
Stockton on Tees	8	12	60	20

Local authority	Not upheld	Upheld	% upheld	Total
Kirklees	7	13	65	20
Sandwell	5	11	69	16
Medway	8	19	70	27
<b>Average</b>	<b>8</b>	<b>10</b>	<b>54</b>	<b>18</b>

1.13 Of the 11 upheld complaints, the LGO:

- recommended a remedy for eight complaints;
- found that the fault did not cause an injustice in two complaints; and
- in one complaint, the LGO was satisfied with the Council's remedy.

Six cases resulted in a monetary settlement, totalling £7,862.

1.14 Following a decision, the LGO will typically issue a statement setting out its decision. If the LGO decides there was fault causing an injustice to the complainant, it will typically recommend that the authority take some action to address it. Wherever possible the LGO publishes decision statements on its web pages although this would not happen where the content of the report could identify the individual complainant. In some cases, where the LGO upholds a complaint, the LGO may choose to issue a formal report of maladministration.

1.15 The Ombudsman did not issue formal reports of maladministration for any of the 11 complaints upheld during 2015/16.

1.16 The following table sets out details about the 22 complaints that the LGO investigated in 2015/16 by service area, and how it compares to 2014/15.

#### Complaints by service area

Service area	2015/16			2014/15		
	Upheld	Not upheld	Average response time (days)	Upheld	Not upheld	Average response time (days)
Adult social care	2	2	24	1	3	22
Benefits						
Business services					1	n/a
Children's social care	2		22	1		24
Communities and health					1	19
Council tax	2	1	11	2	1	18
Education services	1		20	1	4	12
Environmental (dog fouling)					1	n/a
Highways services	1	3	19		2	22
Housing services		1	27		1	26
Legal		2	19			
Noise		1	18			
Planning		1	n/a		1	16
Taxi licensing					1	20
Waste services	3		20	4	2	17
<b>Total/average</b>	<b>11</b>	<b>11</b>	<b>20</b>	<b>9</b>	<b>18</b>	<b>18</b>

- 1.17 The highest number of complaints upheld (three complaints) remain in waste services. However, this is a very small number in the context of 200,000 transactions per week. In addition, none of the three cases resulted in a financial settlement, and waste services resolved the complaints through local arrangements. In adult social care, although complaints nationally have increased by 6% from 2014/15 to 2015/16 – and a 21% increase in complaints about care arranged privately with independent providers, this is not the case in Coventry thus far.
- 1.18 The Council has taken on a range of actions to respond to the faults identified. Most often this has involved issuing guidance and training for staff so that they are clear on processes and to avoid the same problem recurring. The table below summarises the actions recommended by the LGO in relation to the upheld complaints. The Audit and Procurement Committee is asked to review the actions and the learning from the complaints process. The Council has taken a range of actions to respond to the fault/delays identified.

**Upheld complaints: actions recommended by the LGO**

Area	Summary of recommended actions
Adult social care	Improve and review joint working/partnership arrangements with service providers to make sure information is communicated. Review procedures for recording information.
Children's social care	Acknowledge faults in a child protection case and delays in an adoption case, and delays in investigating and responding to complaints.
Council tax	Recognise fault in recovery of tax; errors in an enforcement action; and delays in investigating and responding to complaints.
Education	Review software package to check if there is a possibility that an email alert may have been missed and if so, prevent it from happening in future.
Highways	Acknowledge delays in investigating and responding to complaints.
Waste services	Monitor non-collection of bins in problem areas and consider Traffic Regulation Orders to take action against parked cars where bin collections are missed due to parked cars.

- 1.19 The LGO typically expects Councils to respond to an investigation within 20 working days. In 2015/16, on average, the Council took 20 working days to respond to a complaint, compared to 18 days in 2014/15. However, there were notable exceptions in adult social care (24 days), children's social care (22 days) and housing services (27 days).

### **3 Results of consultation undertaken**

- 3.1 None identified or undertaken.

### **4 Timetable for implementing this decision**

- 4.1 The Council's Insight Team manages and reports cases and liaises with the Local Government Ombudsman office. These arrangements may be revised in the future in light of any recommendations arising from a wider review of the Council's complaints management arrangements, which is being led through the customer journey programme. Appendix A and B sets out a flowchart and guidance for handling Ombudsman cases respectively.

- 4.2 Complaints to the LGO will continue to be formally reported to the Cabinet Member for Strategic Finance and Resources and the Audit and Procurement Committee on an annual basis.
- 4.3 Should the Ombudsman issue a formal report about an upheld finding of maladministration, there will also be a separate report to the Cabinet Member at any time in the year.

## **5 Comments from Executive Director, Resources**

### **5.1 Financial implications**

In 2015/16, the Council paid out a total of £7,862 in local settlements. This related to six complaints. This was paid out of directorate service budgets.

### **5.2 Legal implications**

The Local Government Act 1974 defines the main statutory functions for the Local Government Ombudsman: to investigate complaints against councils and some other authorities; to investigate complaints about adult social care providers from people who arrange or fund their adult social care (Health Act 2009); and to provide advice and guidance on good administrative practice.

The main activity under Part III of the 1974 Act is the investigation of complaints, which the Act states is limited to complaints from members of the public alleging they have suffered injustice as a result of maladministration and/or service failure. Under Part III(a) the LGO investigates complaints from people who allege they have suffered injustice as a result of action by adult social care providers.

Whilst there is no statutory requirement to do so, the monitoring and reporting on the outcomes of the LGO complaints represents good practice and promotes good governance and service improvement.

## **6 Other implications**

### **6.1 How will this contribute to achievement of the Council's key priorities?**

Putting local people first and their needs at the heart of the customer journey is a priority for the Council. As part of the customer journey programme there will be wider consideration of the Council's complaints management process to see whether further improvements can be made and this will include complaints to the LGO.

### **6.2 How is risk being managed?**

It is important that the Council takes action and learns from the outcome of complaints. Actions that the Council has taken, for example, include providing training, instruction and guidance to staff and improving communications between services to help to manage risk of the likelihood of the same fault happening again.

### 6.3 What is the impact on the organisation?

The co-ordination and management of complaints to the LGO often involves considerable time of officers including, where appropriate, legal advice. The effective co-ordination and management of the Council's own complaints process is important in helping to manage this resource and this will be reviewed as part of the customer journey programme.

### 6.4 Equalities / EIA

All members of the public are able to refer complaints to the LGO if they are dissatisfied with Council services. The Council's complaint policy and individual response letters detailing the findings of the Council's own complaints investigations makes it clear how members of the public can do so.

### 6.5 Implications for (or impact on) the environment?

None

### 6.6 Implications for partner organisations?

Although Ombudsman complaints primarily relate services provided by Coventry City Council, they may from time to time also involve partners and third party contractors. In these cases, the Council liaises with these partners and contractors to comment or provide information as part of an investigation.

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People

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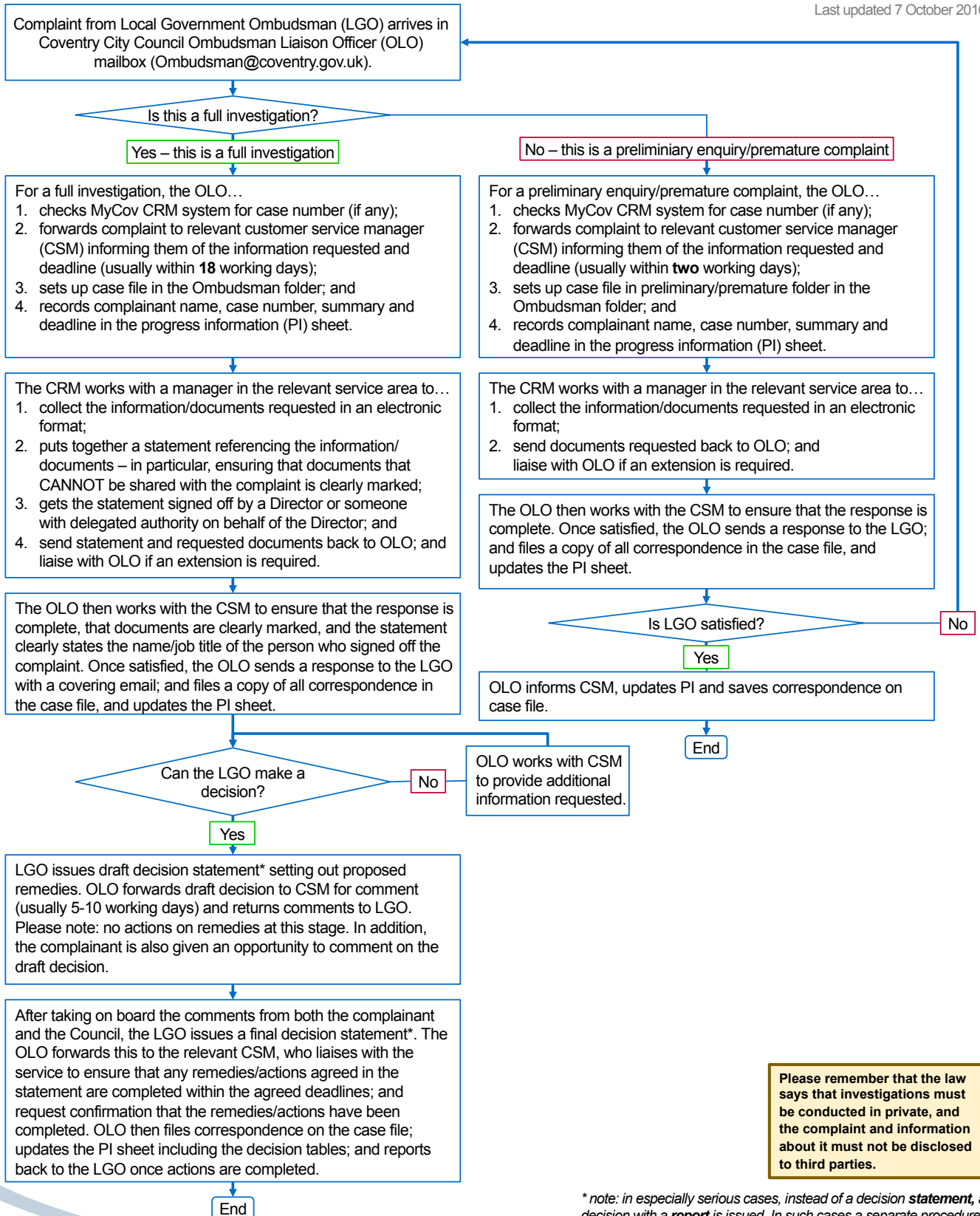
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Bev McLean	Performance Information Officer	People	04/11/2016	17/11/2016
Jane Simpson	Business Support Manager	Place	04/11/2016	07/11/2016
Barrie Strain	Acting Head of Revenues	Resources	04/11/2016	07/11/2016
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<b>Names of approvers for submission:</b> (officers and members)				
Finance: Kathryn Sutherland	Lead Accountant (Business Partnering)	Resources	04/11/2016	10/11/2016
Legal: Helen Lynch	Legal Services Manager	Resources	04/11/2016	07/11/2016
Director: Jane Moore	Director of Public Health	People	04/11/2016	23/11/2016
Members: Councillor John Mutton	Cabinet Member Strategic Finance and Resources		23/11/2016	23/11/16

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## Appendix A – Complaints handling process flowchart

### Local Government Ombudsman Complaints Handling Process Flowchart

Last updated 7 October 2016



\* note: in especially serious cases, instead of a decision **statement**, a decision with a **report** is issued. In such cases a separate procedure follows and the case is referred to senior management.



## Appendix B – Complaints guidance

Last updated: 7 October 2016

### Ombudsman Complaints Guidance

Under the Local Government Act 1974, the Local Government Ombudsman is the final stage for complaints about Councils. In Coventry, Bev McLean and Si Chun Lam in the Insight Team co-ordinates all responses to/from the Ombudsman and Directorate representatives. This guide sets out how we deal with **enquiries**, **premature complaints** and **full investigations**. Need help? Email Bev/Si [ombudsman@coventry.gov.uk](mailto:ombudsman@coventry.gov.uk).

#### Enquiry received from Ombudsman Assessment Team

- The request will have a short deadline – **1-3 working days**.
- The request will usually be for a copy of our Stage 1, and if appropriate, Stage 2 response; and confirmation if the complaint has completed our complaints process.
- The request will not include any new actions and should be returned to Bev/Si by the date specified.

#### Premature Ombudsman complaint received from Ombudsman Assessment Team

- Often received following an enquiry from the Assessment Team if the complaint has not completed our complaints procedure.
- The request will ask us to consider the complaint under our complaints procedure and remind the complainant in our final response of their right to complain again to the Ombudsman.
- If we do not resolve the complaint, a premature request will also request that we send the Ombudsman a copy of our final response. Following completion of the complaints procedure (whether it is resolved or not), please send Bev/Si a copy of the final response which they will forward to the Ombudsman.

#### Full investigation complaint received from an Investigator

Please remember that the law says that investigations must be conducted in private, and the complaint and information about it must not be disclosed to third parties.

- Bev/Si will send a covering email requesting a written response to the Ombudsman's enquiries. This needs to be returned by a set deadline, usually **18 working days**.
- The response must be provided as a statement, and include the name and position of the person who compiled the statement. Any supporting evidence must be provided as electronic attachments and referenced in the statement. The complete statement should be signed off by the Director or a nominated person e.g. Head of Service.
- Any information that cannot be shared with the complaint should be clearly marked and packaged separately, as it will be returned to investigator in a separate email.
- If the investigator has asked us to consider whether we are prepared to remedy any injustice that may have been caused – we should comment on this as this is an opportunity for us to resolve the issue.
- The Directorate/Divisional contact should return the response within the set deadline to Bev/Si.

#### Draft decision received from an investigator

- If the decision is issued as a **statement**, Bev/Si will request that the relevant representative confirms whether we agree with the decision and remedy. This is an opportunity to suggest any changes or corrections.
- At this stage we must **not** take any actions. We should only complete any remedies when we receive the final decision.
- We are usually requested to respond within **5-10 working days**.
- If the Investigator issues the decision as a **report** (under Section 30(1) of the Local Government Act 1974) a separate procedure applies.

#### Final decision letter and statement received from an investigator

- The decision should be circulated as appropriate.
- All agreed actions should now be completed.
- Confirmation and evidence that all actions have been completed should be sent to Bev/Si, usually within **5-10 working days**.



Cabinet Member for Strategic Finance and Resources

15 December 2016

**Name of Cabinet Member:**

Cabinet Member for Strategic Finance and Resources – Councillor J Mutton

**Director Approving Submission of the report:**

Executive Director of Resources

**Ward(s) affected:**

None

**Title:**

Outstanding Issues Report

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**Is this a key decision?**

No

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**Executive Summary:**

In May 2004 the City Council adopted an Outstanding Minutes System, linked to the Forward Plan, to ensure that follow up reports can be monitored and reported to Members. The attached appendix sets out a table detailing the issues on which further reports have been requested by the Cabinet Member for Strategic Finance and Resources so he is aware of them and can monitor progress.

**Recommendations:**

The Cabinet Member for Strategic Finance and Resources is requested to consider the list of outstanding issues and to ask the Member of the Management Board or appropriate officer to explain the current position on those which should have been discharged at this meeting or an earlier meeting.

**List of Appendices included:**

*Table of Outstanding Issues.*

**Other useful background papers:**

None

**Has it or will it be considered by Scrutiny?**

No

**Has it, or will it be considered by any other Council Committee, Advisory Panel or other body?**

No

**Will this report go to Council?**

No

**Report author(s):** Gurdip Paddan

**Name and job title:** Governance Services Officer

**Directorate:** Resources

**Tel and email contact:** 024 7683 3075

Gurdip.paddan@coventry.gov.uk

Enquiries should be directed to the above person.

<b>Contributor/approver name</b>	<b>Title</b>	<b>Directorate or organisation</b>	<b>Date doc sent out</b>	<b>Date response received or approved</b>
<b>Contributors:</b>				
Other members	Not applicable			
<b>Names of approvers:</b> (officers and members)				
Finance: Name	Not applicable			
Legal: Name	Not applicable			

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[www.coventry.gov.uk/meetings](http://www.coventry.gov.uk/meetings)

	Subject	Date for Further Consideration	Responsible Officer	Proposed Amendment to Date for Consideration	Reason for Request to Delay Submission of Report
1	<p><b>Establishment of “Agency Pool” of Social Workers</b></p> <p>Report providing information on the feasibility of the City Council establishing their own pool of social workers and “growing” their own.</p> <p>CM for SF&amp;R 13.07.2015 (Minute 3(5))</p>		<p>Executive Director of Resources</p> <p>Chris West</p>		Officers to brief Cabinet Member separately
2	<p><b>Disclosure and Barring Service (DBS) checks for social worker appointments. Conversations with neighbouring Police and Crime Commissioners on this issue</b></p> <p>Provide update on developments</p> <p>CM for SF&amp;R 21.07.16 (minute 5)</p>		<p>Executive Director of Resources</p> <p>Chris West</p>		Officers to brief Cabinet Member separately

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