



**DARLINGTON**

Borough Council

# Economy and Resources Scrutiny Committee Agenda

9.30 am

Thursday, 2 September 2021

Council Chamber, Town Hall, Darlington. DL1 5QT

**Members of the Public are welcome to attend this Meeting.**

1. Introductions/Attendance at Meeting
2. Declarations of Interest
3. Minutes –
  - (a) 22 June, 2021
  - (b) 1 July 2021  
(Pages 3 - 8)
4. Project Position Statement and Capital Programme Monitoring Quarter One 2021/22 –  
Report of the Group Director of Operations and the Group Director of Services  
(Pages 9 - 40)
5. Complaints, Compliments and Comments Annual Reports 2020/21 –  
Report of the Group Director of Operations  
(Pages 41 - 154)
6. Review of Outcome of Complaints Made to Ombudsman –  
Report of the Group Director of Operations  
(Pages 155 - 166)
7. Investment Fund Update –

Report of the Group Director of Operations  
(Pages 167 - 174)

8. Work Programme –  
Report of the Group Director of Operations  
(Pages 175 - 186)
9. SUPPLEMENTARY ITEMS (if any) which in the opinion of the Chair of this Committee are  
of an urgent nature and can be discussed at this meeting
10. Questions



**Luke Swinhoe**  
**Assistant Director Law and Governance**

**Tuesday, 24 August 2021**

**Town Hall**  
**Darlington.**

**Membership**

Councillors Bartch, Boddy, Crudass, Harker, L Hughes, Mrs D Jones, McEwan, Paley, Renton,  
Wright and Vacancy

If you need this information in a different language or format or you have any other queries on  
this agenda please contact Shirley Wright, Democratic Manager, Resources Group, during  
normal office hours 8.30 a.m. to 4.45 p.m. Mondays to Thursdays and 8.30 a.m. to 4.15 p.m.  
Fridays E-mail: [shirley.wright@darlington.gov.uk](mailto:shirley.wright@darlington.gov.uk) or telephone 01325 405998

## ECONOMY AND RESOURCES SCRUTINY COMMITTEE

Tuesday, 22 June 2021

**PRESENT** – Councillors Renton (Chair), Bartch, Boddy, Crudass, Durham, Harker, Mrs D Jones, McEwan and Wright.

**APOLOGIES** – Councillors L Hughes and Paley.

**ALSO IN ATTENDANCE** – Councillors Clarke, Dulston (Stronger Communities Portfolio), Johnson and Mrs. H. Scott.

**OFFICERS IN ATTENDANCE** – Ian Williams (Chief Executive), Neil Bowerbank (Head of Strategy, Performance and Communications) and Paul Dalton (Elections Officer).

### **ER1 CHAIR - MUNICIPAL YEAR 2021-22**

**RESOLVED** - That Councillor Renton be appointed Chair of this Committee for the Municipal Year 2021/22.

### **ER2 VICE-CHAIR - MUNICIPAL YEAR 2021-22**

**RESOLVED** - That Councillor Bartch be appointed Vice-Chair of this Committee for the Municipal Year 2021/22.

### **ER3 DECLARATIONS OF INTEREST**

There were no declarations of interest reported at the meeting.

### **ER4 TIMES OF MEETINGS**

**RESOLVED** – That meetings of this Committee for the Municipal Year 2021/22, be held at 9.30 a.m. on the dates, as agreed on the calendar of meetings by Cabinet at Minute C97/Feb/2021.

### **ER5 CORPORATE REBRANDING**

A report (previously circulated) was submitted following the receipt of a ‘call-in’ from Cabinet held on 1 June 2021 (Minute C10(2)/Jun/21) in relation to its decision in respect of the Corporate Rebranding. The ‘call-in’ was taken in accordance with the Council’s Constitution and had been submitted by three Members of this Scrutiny Committee.

The Chair invited those Members who had signed the documentation and who had requested that the decision be ‘called-in’ to outline their reasons for that decision and, in doing so, the Members raised questions and sought clarification to understand the full costs of rebrand, both preparatory work and implementation of Stage 1 and 2 of the rebrand; to understand the likely duration and costs of Stage 3; and to be given details of the intended colour palette.

In doing so, the Members who had signed the call-in document enquired as to the projected costs, the rationale and evidence-base for change, the work impact, the return on investment and the financial consequences, particularly in relation to larger costs, such as prominent signage.

The Cabinet Member with Portfolio for Stronger Communities responded to the points raised by highlighting that the rebranding was one of many projects that aimed to reshape and redevelop the Council to enable it to reconnect with residents; stated that the vast majority of rebranding work would be undertaken on an incremental basis in line with the natural life cycle of replacing assets as ongoing business (Stage 3); and that replacing the façade to the Town Hall had been prioritised to enhance and upgrade the appearance of the building in keeping with recent redevelopments (DL1, etc.) and the forthcoming Market Hall redevelopment. The Cabinet Member asserted that the colour teal had been used in keeping with the established 'Love Darlo' brand.

The Members who had signed the call-in document stated that the actual costs themselves were not transparent, and restated that any work undertaken, whether incrementally as part of the natural replacement of assets over time, or as more immediate Officer time, had a cost associated to it.

The Cabinet Member with Portfolio for Stronger Communities reiterated that the sole additional costs in terms of Stages 1 and 2 were the £20,000 identified in the Cabinet report, set aside for the refresh of the façade of the Town Hall, together with £930 incurred for some design and printing costs. The Cabinet Member with Portfolio for Stronger Communities acknowledged that Officer time had been utilised, however highlighted that this was in line with costs already incurred for the Communications and Marketing Team as part of ongoing business, the cost of which was outlined in the Medium Term Financial Plan, stating that it was the role of the Communications and Marketing Team to promote the Council, and Darlington, and that this is what they were doing, albeit with a different brand.

Discussion ensued on whether rebranding was the best use of resource to resolve the perceived disconnect, the financial cost associated with replacing longer term or highly visible assets, such as the branding on the Darlington Hippodrome, the Council's fleet of vehicles, etc. (Stage 3), and whether there had been any consideration in terms of earlier replacement for a more effective impact, and to avoid the confusion of two brands running simultaneously.

Members entered into discussion on the intended colour palette and the use of the Coat of Arms, including the colours of the established Coat of Arms, the symbolism behind it and the history of the Coat of Arms.

**RESOLVED** – That, having considered and heard all the information presented to and at this meeting, this Scrutiny Committee is satisfied with the decision of Cabinet at Minute C10(2)/Jun/21, and that no further action in relation to the call-in is required.



## **ECONOMY AND RESOURCES SCRUTINY COMMITTEE**

Thursday, 1 July 2021

**PRESENT** – Councillors Renton (Chair), Bartch, Crudass, Durham, Harker, L Hughes, Mrs D Jones and McEwan.

**APOLOGIES** – Councillors Boddy, Paley and Wright.

**ALSO IN ATTENDANCE** – Councillors Johnson and Marshall.

**OFFICERS IN ATTENDANCE** – Elizabeth Davison (Group Director of Operations), Dave Winstanley (Group Director of Services), Mark Ladyman (Assistant Director Economic Growth), Brett Nielsen (Assistant Director Resources), Brian Robson (Head of Capital Projects), Andrew Perkin (Business Growth and Investment Manager) and Shirley Wright (Democratic Manager).

### **ER6 DECLARATIONS OF INTEREST**

There were no declarations of interest reported at the meeting.

### **ER7 MINUTES**

Submitted – The Minutes (previously circulated) of a meeting of this Scrutiny Committee held on 1 April 2021.

**RESOLVED** – That the Minutes be approved as a correct record.

### **ER8 COVID-19 BUSINESS GRANTS**

The Chief Executive submitted a report (previously circulated) providing a further update on the Governments various funding schemes to support local businesses during the Covid-19 pandemic.

It was reported that the Council had administered a number of support schemes on behalf of the Government throughout the pandemic and that the total value of Covid -19 financial support grants awarded to Darlington Businesses on behalf of the Government since the start of the pandemic in March 2020 was £44,101,740.

Officers reported that the vast majority of the business support grants from Government had now ceased, however, a further unknown allocation of Additional Restriction Grants would be available in the forthcoming weeks.

Following questions by Members, the criteria which had been adopted in Darlington for payments under the discretionary grant scheme was explained and it was reported that there were a substantial number of businesses who had received no support under the grant schemes and it was requested that any future update reports include more detailed information outlining the reasons for that.

Reference was also made to the potential implications of the pandemic on the local economy

and local businesses; the need to closely monitor this so that interventions could be looked at where possible; how sectors might have changed and adapted during and post pandemic and to the increase in the number of enquiries from the hospitality sector looking to locate in the Town Centre.

The submitted report also stated that there had been several fraudulent attempts to claim grants and that the majority of these had been identified as part of the process, however, there had been three cases in Darlington where funding had been granted due to fraudulent claims and these had been reported to the Government's National Anti- Fraud Networks for investigation.

**RESOLVED** – That the report be received and the thanks of this Scrutiny Committee be extended to the Assistant Director Economic Growth and his team on the work undertaken.

#### **ER9 REVENUE OUTTURN 2020/21**

The Group Director of Operations submitted a report (previously circulated) together with the revenue outturn 2020/21 report (also previously circulated) which was scheduled to be considered by Cabinet at its meeting on 6 July 2021.

It was reported that the Council's revenue reserves at the end of 2020/21 were £24.623 million, of which there was a risk balance of £5.350 million and a commitment to use £13.218 million to support the current four-year plan, which left a general fund reserve balance of £6.055 million. This balance assumed there would be no further pressures identified and there was no impact of Covid in future years, however, it was also reported that this was unlikely and would need to be closely monitored throughout the coming year.

Reference was made to the slippage on Concessionary Fares; funding required to clear the backlog of complaints in Adults which had been put on hold due to workload pressures around Covid; whether any comparative analysis work had been undertaken with other local authorities to ascertain the full costs of dealing with the pandemic; the level of support given by the Government and hard work of staff which had left the Council in a sound financial position.

**RESOLVED** – That the report be received.

#### **ER10 REVENUE BUDGET MONITORING 2021/22 - QUARTER 1**

The Group Director of Operations submitted a report (previously circulated) together with the quarter 1 revenue budget monitoring report (also previously circulated) which was scheduled to be considered by Cabinet at its meeting on 6 July 2021.

It was reported that the Council's projected revenue reserves at the end of 2021-22 were £28.562 million, £3.636 million higher than the initial 2021-25 MTFP position and included a brought forward amount of £2.317 million from 2020-21, £0.022 million of projected departmental underspend, the rebasing exercise of £0.993 million and the use of £0.304 million of Covid 19 reserves.

Of the £28.562 million projected reserves, there is a risk reserve balance of £5.350 million

and a commitment to use £15.838 million to support years two to four of the current MTFP, leaving a surplus of £7.374 of unallocated reserves.

Reference was made to the significant amount of uncertainty regarding the recovery from covid 19 which did have the potential to impact on the budget position during the remainder of this financial year and the need to continue to monitor this.

Members discussed the processes surrounding budget management within the authority and were assured that regular and robust budget monitoring did take place with budget holders and that there was regular reporting through the democratic process.

**RESOLVED** – That the report be received.

**ER11 PROJECT POSITION STATEMENT AND CAPITAL PROGRAMME MONITORING OUTTURN 2020/21**

The Group Director of Operations and the Group Director of Services submitted a report (previously circulated) together with a report (also previously circulated) which was being considered by Cabinet at its meeting to be held on 6 July 2021, giving a summary of the latest capital resource and commitment position to inform monitoring of the affordability and funding of the Council's capital programme, together with an update on the current status of all the significant construction projects which were currently being undertaken by the Council. It was reported that the Council had a substantial annual construction programme of work which was delivering a wide range of improvements to the Council's assets and more critically to Council services and that there were currently 38 live projects currently being managed with an overall projected outturn value of £126.196 million with the majority of those projects running to time, cost and quality expectations with no foreseeable issues.

It was reported that one project was beyond tolerance due to the need to undertake drainage works at a certain point of the year for ecological reasons.

Attached to the report was a project position statement which was required to be completed by all project managers for all projects over £75,000 and which brought together details of the current live construction projects by delivery area and provided details on the numbers, the current status position on each project with regards to budget and completion and any comments on current issues.

It was suggested that a presentation on the new electronic capital project reporting system 'Project in a Box', which was currently being rolled out be given to Members.

**RESOLVED** – That the report be noted.

**ER12 WORK PROGRAMME**

The Group Director of Operations submitted a report (previously circulated) requesting that consideration be given to the work programme of this Scrutiny Committee for the Municipal Year 2021/22.

A draft work programme which had been prepared based on Officers recommendations of

topics where this Scrutiny Committee could undertake work and on previous recommendations of the Committee was appended to the submitted report and Members were requested to consider this and add any additional items they wished to include.

**RESOLVED** – (a) That the draft work programme be approved and that the following items be added :-

- (a) Youth Unemployment – to be led by the Children and Young People Scrutiny Committee;
- (b) a review of relevant reporting performance indicators;
- (c) long-term impacts of Covid on the Economy

(b) That an all Members training session be held on the Freedom of Information Act and the storage/filing of data.

**ECONOMY AND RESOURCES SCRUTINY COMMITTEE  
2 SEPTEMBER 2021**

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**PROJECT POSITION STATEMENT AND CAPITAL PROGRAMME MONITORING – QUARTER 1  
2021/22**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To consider the Project Position Statement and Capital Programme Monitoring – Quarter 1 report.

**Summary**

2. Attached at **Annex 1** is the Project Position Statement and Capital Programme Monitoring – Quarter 1 report. which is due to be considered by Cabinet at its meeting on 7 September 2021.

**Recommendation**

3. It is recommended that Members consider the Project Position Statement and Capital Programme Monitoring – Quarter 1

**Elizabeth Davison, Group Director of Operations  
Dave Winstanley, Group Director of Services**

**Background Papers**

No background papers were used in the preparation of this report.

S17 Crime and Disorder	This report has no implications for crime and disorder.
Health and Well Being	There are no issues relating to health and wellbeing which this report needs to address.
Carbon Impact and Climate Change	There are no carbon impact implications in this report
Diversity	There are no specific implications for diversity
Wards Affected	All wards are affected.
Groups Affected	The proposals do not affect any particular groups within the community
Budget and Policy Framework	This report does not represent a change to the budget and policy framework.
Key Decision	The report does not represent a key decision
Urgent Decision	For the purpose of the 'call-in' procedure this does not represent an urgent matter.
Council Plan	The Capital Programme referred to in the report supports delivery of the Sustainable Community strategy through appropriate deployment of the Council's resources
Efficiency	The recommendations support the effective and efficient use of resources.
Impact on Looked After Children and Care Leavers	This report has no impact on Looked After Children or Care Leavers

**CABINET  
7 SEPTEMBER 2021**

ITEM NO. ....

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**PROJECT POSITION STATEMENT & CAPITAL PROGRAMME MONITORING  
QUARTER ONE 2021/22**

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**Responsible Cabinet Member – Councillor Scott Durham,  
Resources Portfolio**

**Responsible Directors – Dave Winstanley, Group Director of Services,  
Elizabeth Davison, Group Director of Operations**

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**SUMMARY REPORT**

**Purpose of the Report**

1. This report provides:
  - (a) A summary of the latest Capital resource and commitment position, to inform monitoring of the affordability and funding of the Council's capital programme.
  - (b) An update on the current status of all construction projects currently being undertaken by the Council
2. It also seeks approval for a number of changes to the programme.

**Summary**

3. The projected outturn of the current Capital Programme is £268.833m against an approved programme of £269.715m. The investment is delivering a wide range of improvements to the Council's assets and more critically, to Council services. Refurbishment of council homes, improved learning environments in schools, better traffic flows and opportunities for sustainable travel have been achieved and are detailed within the report. The programme, including commitments, remains affordable within the Medium Term Financial Plan (MTFP) for 2021/22 – 2024/25.
4. The Council has a substantial annual construction programme of work. The current project position statement (PPS) shows there are 45 live projects currently being managed by the Council with an overall projected outturn value of £134.570m. The majority of projects are running to time, cost and quality expectations but are being monitored given the current pressures on resources in the construction sector nationally.
5. The projects are managed either by the Council's in-house management team, a Framework Partner or by Consultants sourced via an open/OJEU tender process.

## **Recommendations**

6. It is recommended that Cabinet:
  - (a) Note the attached status position on construction projects.
  - (b) Note projected capital expenditure and resources.
  - (c) Note the review and final outturn of scheme in paragraph 19.
  - (d) Approve the adjustments to resources as detailed in paragraph 24.

## **Reasons**

7. The recommendations are supported by the following reasons: -
  - (a) To inform Cabinet of the current status of construction projects.
  - (b) To make Cabinet aware of the latest financial position of the Council.
  - (c) To maintain effective management of resources.

**Elizabeth Davison**  
**Group Director of Operations**

**Dave Winstanley**  
**Group Director of Services**

## **Background Papers**

- (i) Capital Medium Term Financial Plan 2021/22 – 2024/25
- (ii) Project Position Statement June 2021

Brian Robson : Extension 6608

Claire Hayes : Extension 5404



S17 Crime and Disorder	This report has no implications for crime and disorder.
Health and Well Being	There are no issues relating to health and wellbeing which this report needs to address.
Carbon Impact and Climate Change	There are no carbon impact implications in this report
Diversity	There are no specific implications for diversity
Wards Affected	All wards are affected.
Groups Affected	The proposals do not affect any particular groups within the community
Budget and Policy Framework	This report does not represent a change to the budget and policy framework.
Key Decision	The report does not represent a key decision
Urgent Decision	For the purpose of the 'call-in' procedure this does not represent an urgent matter.
Council Plan	The Capital Programme referred to in the report supports delivery of the Council Plan through appropriate deployment of the Council's resources
Efficiency	The recommendations support the effective and efficient use of resources.
Impact on Looked After Children and Care Leavers	This report has no impact on Looked After Children or Care Leavers

## MAIN REPORT

### Information and Analysis

#### 2020/21 Capital Spend and Resources

### Information and Analysis

8. **Appendix 1** is a summary of all of the live construction projects and provides an overview on numbers, client responsibility, details of projected spend against budget and projected completion dates.
9. **Appendix 2** is for information and lists all live construction projects and provides details on numbers, type and details of the key individuals responsible for the delivery of the projects. It also provides a statement on the current status position on each project, details of actions being taken, where required and any current issues
10. **Appendix 3** summarises the Council's capital commitments which are yet to be financed and also shows how it is intended for them to be financed. The total value of commitments, including available resources brought forward from previous years and 2021-22 schemes previously released by Cabinet, is £166.204m.
11. **Appendix 4** shows the Council's projected capital receipts and how they are going to be utilised to help finance the capital programme over the life of the MTFP.

## Project Position Statement

12. Project management procedures require the production by project managers of a Project Position Statement (PPS) for all projects over £75,000. This report brings together the pertinent data from the current PPS with financial information from the Financial Management System (FMS) and approvals by Cabinet.
13. The Project Position Statement (Appendix 1) details the current live construction projects, up to the end of June 2021, by delivery area, and provides details on numbers, the current status position on each project with regards to budget and completion and any comments on current issues. The statement excludes any completed projects or those on hold.
14. The overview of live construction projects is as follows:

	Projects	Current Approved Budget £ / p	Projected Outturn £ / p	Variance %	Variance (Value) £ / p
Chief Executive & Economic Growth	13	52,349,894	52,261,020	(0.2)	(88,874)
Operations	17	23,033,201	23,019,531	(0.1)	(13,670)
People	2	4,154,656	4,154,656	0.0	0
Services	13	55,097,811	55,135,168	0.1	37,357
<b>TOTAL</b>	<b>45</b>	<b>134,635,562</b>	<b>134,570,375</b>	<b>(0.2)</b>	<b>(65,187)</b>

15. The table shown above includes a column for current approved budget. In certain cases this budget figure may be different from the original approved budget. This could be as a result of variances identified during construction or other variables not known at the initiation stage. The original budget and all subsequent changes have been reported to and approved by Cabinet.




16. **The live projects are at the following stages:**

Department	Brief	CP1	CP2	CP3	CP4	CP5	Total
Chief Executive & Economic Growth	0	2	5	2	2	2	13
Operations	0	4	0	7	6	0	17
People	0	0	0	2	0	0	2
Services	0	4	1	4	3	1	13
<b>TOTAL</b>	<b>0</b>	<b>10</b>	<b>6</b>	<b>15</b>	<b>11</b>	<b>3</b>	<b>45</b>

- (a) **Control Point 1 (CP1) – Start Up:** is used to define the position of a project at its conception stage.
- (b) **Control Point 2 (CP2) – Initiate:** defines a project at feasibility stage and will likely include a desktop assessment of a project and the use of informed estimates.

- (c) **Control Point 3 (CP3) – Define:** the point that the project is progressed to RIBA Stage F, i.e. detailed design.
- (d) **Control Point 4 (CP4) – Construction Phase:** is the stage at which work begins on the project, i.e. for a construction project on site through to build completion.
- (e) **Control Point 5 (CP5) – Evaluate:** is the stage post completion of the project at which time the project is reviewed and lessons learned are discussed in order that they can be taken to the next or similar projects.

17. The status on live projects is as follows:

Department			
Chief Executive & Economic Growth	1	11	1
Operations	1	16	0
People	0	2	0
Services	0	13	0
<b>TOTAL</b>	<b>2</b>	<b>42</b>	<b>1</b>

- (a) Star and triangle symbols are used to identify projects that have variances which are:-
  - (i) More than £5,000, if the variance is also more than 5% of the approved budget for the project, or
  - (ii) More than £50,000 regardless of the percentage variance.
- (b) Projects that are within these margins are symbolised with circles.
- (c) In addition to cost, the same symbols are used to indicate similar levels of variances in time and quality/outputs/outcomes.

18. Current projects with the triangle symbol are as follows:-

Project	Reason for Variance	Action
Ingenium Park	<p>The drainage works for the scheme have had to be delayed due to the working restrictions we have around the Great Crested Newts. The window for undertaking the drainage works is only between November-February, and has therefore delayed the completion of the overall scheme.</p> <p>The complexity and delay in delivering Ingenium Park may have an impact on budget which is now being reviewed</p>	<p>The drainage works will go out to tender in September for a November start on site. Reassessment of project budget.</p>
Allington Way - Phase 3	<p>The lack of resource availability particularly bricklayers in the construction market has extended the programme beyond the original completion date.</p>	<p>Resources are being monitored and reviewed to see they can be moved from other work.</p>

19. In line with the Council’s Financial Procedure rules any scheme with an outturn value of in excess of a £1m has to be reported to Cabinet. In accordance with the agreed procedure the Dolphin Centre Refurbishment scheme has been reviewed (CP5) and the results and final outturn are shown in **Appendix 5**.

20. If approved this scheme will be removed from the live PPS listing in Appendix 2.

**Reconciliation of Project Position Statement to Capital Programme**

21. The table shown below reconciles the differences between the Capital Programme (CP) and the Project Position Statement (PPS). Differences occur because the Project Position Statement includes all construction projects over £75,000 in value funded from Capital and Revenue sources. Spending within the Capital Programme is not always of a construction nature, can be of any value and excludes Revenue funded schemes.

	Value £m
<b>Live Projects from Project Position</b>	<b>134,570</b>
Schemes closed or on hold within CP but awaiting PPS post project review.	21,729
Annualised Schemes excluded from PPS - Housing Repairs & Maintenance	1,018
Annualised Schemes excluded from PPS - Highways Maintenance	7,814
Annualised Schemes excluded from PPS - Childrens Services School Maintenance	0
Non construction excluded from PPS	17,134
Capital Investment fund excluded from PPS	35,560
Projects under 75k excluded from PPS	1,841
Capital Schemes not yet integrated into PPS reporting	14,323
Included in PPS & CMR	-5,500
Funding not yet allocated	40,344
<b>Capital Programme</b>	<b>268,833</b>

22. The table below shows the split of the approved capital programme of £269.715m, between the different service areas and also the various categories of spend. When compared to the table above it shows that there is a projected £0.882m underspend on the approved capital programme.

	Construction				Non construction	Capital investment fund	Housing New Build not yet allocated	Total
	Live Schemes 75k & Over	Annualised Schemes	Completed Schemes awaiting review	Live Schemes under 75k				
Area	£m	£m	£m	£m	£m	£m	£m	£m
Housing	22.980	0.893	6.815	0.049	0.940	0.000	42.213	73.890
Economic Growth	48.379	0.000	0.000	0.507	10.217	35.560	2.037	96.700
Highways/Transport	42.714	7.814	17.811	0.889	4.152	0.000	0.000	73.381
Leisure & Culture	19.310	0.000	0.000	0.184	0.000	0.000	0.000	19.495
Education	0.000	0.000	4.213	0.213	0.052	0.000	0.000	4.478
Adult Social Care	0.000	0.000	0.000	0.000	0.071	0.000	0.000	0.071
Other	0.000	0.000	0.000	0.000	1.701	0.000	0.000	1.701
<b>Total</b>	<b>133.384</b>	<b>8.707</b>	<b>28.839</b>	<b>1.841</b>	<b>17.134</b>	<b>35.560</b>	<b>44.250</b>	<b>269.715</b>

### Capital Programme

23. Paragraph 24 shows the movements in the Capital Programme since the approval of the 2021/22 Capital MTFP, some of which have not yet been approved by Members.

## 24. Adjustment to resources requested by departments:

**Virements**

Department	Scheme	Value £	Reason for adjustment	Impact on budget
Chief Executive & Economic Growth	Advanced Design fees	(£10,000)	Advanced design funding for Treasury North	Nil Effect
Services	Treasury North	£10,000	Advanced design funding for Treasury North	Nil Effect
Chief Executive & Economic Growth	Dolphin Centre M&E Phase 3	(£7,500)	Advanced design funding for Dolphin Centre M&E Phase 3	Nil Effect
Services	Dolphin Centre M&E Phase 3	£7,500	Advanced design funding for Dolphin Centre M&E Phase 3	Nil Effect
<b>TOTAL</b>		<b>£0</b>		

**Adjustments needing approval release**

Department	Scheme	Value £	Reason for adjustment	Resource type adjusted
Services	Roundhill Road Miller Homes	£27,753	S106 Miller Homes sustainable transport contribution	S106
Services	West Park Travel Planning	£57,305	S106 Bussey & Armstrong S106 travel programme	S106
Services	Bridge Maintenance	£23,000	RCCO 20/21 Contribution from bridge maintenance	RCCO
Services	Carlbury Slip 2	£100,000	RCCO 19/20 contribution towards carlbury	RCCO
Services	Branksome Play Area	(£80)	Scheme complete.	Funds moved back to play area S106
Operations	Energy Efficiency - LAD 1b	£833,008	Match funded grant for energy efficiency as per MTFP	Release of funds
Operations	Joint Venture Esh - Heighinton	(£429,829)	Scheme complete. Funds no longer required.	Funds returned to centre
<b>TOTAL</b>		<b>£611,157</b>		

**Outcome of Consultation**

25. There has been no consultation in the preparation of this report.

# Capital Project Position Statement

Appendix 1

Jun-21

Ref No	Title	Client	Approved Budget	Outturn Forecast	Planned Completion	Actual Completion	Comment
23	Civic Theatre Refurbishment & Theatre Hullaballoon	Services	£16,069,000	£16,069,000	06-Nov-17	06-Nov-17	Works complete. In defect period. Activity plan elements are still being delivered up to November 2021.
25	West Cemetery Development	Services	£6,400,000	£6,400,000	27-Apr-22		Works commenced on the Crematorium building on 6th April 2021. The chapel build commenced following the receipt of the Great Crested Newt licence on 1st June 2021. The initial site strip for the new chapel and associated works has commenced.
26	Dolphin Centre Soft Play / Bowling Alley	Services	£1,784,687	£1,784,687	31-Mar-21	19-Mar-21	Complete.
27	Railway Heritage Quarter	Services	£19,790,000	£19,790,000	30-Sep-24		The planning application for the scheme was submitted on 11th June and is now in the determination period.
28	Crown Street Library Refurbishment	Services	£2,910,436	£2,910,436	06-Mar-23		Delays in tendering process due to resources issues have pushed return date back to March. Works duration could be extended to 104 weeks
174	RedHall SEND	People	£1,637,998	£1,637,998	19-Mar-21	19-Mar-21	Construction programme June 2020 – February 2021 (3m provision has been added in for social distancing taking us until May 2021) ICT and toilet refurbishment works was completed over the summer holidays 2020.
175	Rise Carr SEND	People	£2,516,658	£2,516,658	01-Sep-21		Start on site Monday 17th August 2020 until 31st August 2021. (12w had been added to the construction programme to adhere to social distancing during construction) Window replacement, sport hall (Jan 2021) repairs and internal remodel and small extension programmed in for Summer 2021.
226	Ingenium Parc Masterplan + Infrastructure	Chief Exec and Economic Growth	£5,687,756	£5,687,756	30-May-22		One of the final elements of the spine road work for will be to lay service ducts underneath the road crossings (entrances to Cummins and the hammerhead at the bottom of the spine road) so that utilities can be connected into site. The revised surface water route will involve a complex dig additionally constrained by very limited access, ditches, underground stats, overhead HV lines and a small working area between permanent bodies of water within a nature reserve. Currently reviewing budget against outturn cost as a result of additional works post contract commencement.
228	Feethams House	Chief Exec and Economic Growth	£8,500,000	£8,460,880	15-May-20	15-May-20	Project complete and handed over. Deep Ocean have not taken up the tenancy of the top floor and the ground floor is being used as a Vaccine centre
231	Faverdale Project Development	Chief Exec and Economic Growth	£440,000	£440,000	30-Sep-20		This work is feasibility on development options. Stage 1 Feasibility is complete, discussions ongoing with developer and whether DBC progress with Stage 2 or transfers to Developer.

**Capital Project Position Statement**

Appendix 1

Jun-21

Ref No	Title	Client	Approved Budget	Outturn Forecast	Planned Completion	Actual Completion	Comment
233	Hybrid Innovation Centre	Chief Exec and Economic Growth	£8,527,153	£8,527,153	01-Aug-22		Stage 4 AMP issued to QS for cost check and report has now been received. Operator procurement was advertised on 10th May 2021 and a return date of 14th June 2021, and these are now under review. Subject to agreement on the Stage cost the works will commence late July/early August
234	Demolition at Union Street	Chief Exec and Economic Growth	£210,000	£210,000	20-Nov-20	14-Dec-20	Demolition has been completed
235	Demolition of Newstead Farm and Ivy House	Chief Exec and Economic Growth	£92,000	£92,000	20-Nov-20	20-Nov-20	Demolition complete
236	Clarks and Buckton's Yards Improvements	Chief Exec and Economic Growth	£500,000	£505,000	30-Jun-21		Due to the ongoing Covid situation, supplies have repeatedly been delayed and as such some of the works including the Planters and the Pots as well as the Cafe Tables and Chairs have taken longer than originally expected to arrive. However most of the physical works and planting are expected to be completed by Mid July
237	Central Park Mound Removal and Transformatrion	Chief Exec and Economic Growth	£3,170,000	£3,170,000	31-Mar-22		Informal discussions were carried out with Willmott Dixon, they have proposed at NIL cost to DBC to assist in carrying out a review and feasibility of the site at a high level to establish concepts and requirements as well as high level costs. WD are currently working on the site in the development of the new Innovation Centre and as such know the site and its limitations and are ideally placed to work with DBC at this initial stage.
238	Post House Wynd	Chief Exec and Economic Growth	£100,000	£50,000	30-Apr-22		The PHW project is a consequence of the Project Darling Initiative in that it has been designed to meet the requirements of the initiative in both improving the visual aesthetics of the area. The initial 3 properties proposed have been designed up and a Planning Application has been submitted with an expected decision late March 2021.
239	Station Gateway East	Chief Exec and Economic Growth	£21,630,045	£21,630,045	23-Jul-24		Stage 3 Design underway. Pre application Submitted for return 19th March. Stage 3 Design Freeze 9th April. Stage 3 Cost Estimate 2nd June. NR GRIP 3 Design Approval passed. Stage 4 Design commence July. AMP December.
240	Station Gateway West	Chief Exec and Economic Growth	£1,920,000	£1,915,246	21-Dec-23		Design progressing by Fairhurst/Sanderson. Planning submission 8th June.
241	Station Gateway Demolitions	Chief Exec and Economic Growth	£1,322,940	£1,322,940	31-Oct-22		Design progressing by Fairhurst/Sanderson. Planning submission 8th June.



**Capital Project Position Statement**

Appendix 1

Jun-21

Ref No	Title	Client	Approved Budget	Outturn Forecast	Planned Completion	Actual Completion	Comment
242	Station Gateway CPO & Acquisitions	Chief Exec and Economic Growth	£250,000	£250,000	11-Nov-22		Cabinet paper that sought formal resolution to make the order delayed from Dec 20 to Jan 21 to enable required discussions regarding the red line/development area to conclude between Willmott Dixon & Network Rail. Appointments by 11th June of solicitors (Ward Hadaway) to deal with land & build agreements & Counsel (TBC) to provide specialist advice and act for the Council at CPO Inquiry.
317	Dolphin Centre Refurbishment	Services	£2,956,501	£2,956,501	05-May-16	30-Apr-16	Works complete CP5 to complete.
320	Salix Low Carbon Works	Services	£413,313	£413,313	24-Sep-21		Mechanical Site works commenced 28th June. Electrical elements have had to be re-tendered and revised submissions are under review
451	East Haven Housing	Operations	£5,402,952	£5,402,952	01-Feb-23		41 units Design produced, but access arrangements are subject to complex legal agreements. Due to their being several DBC sites to develop, there being uncertainty over legal agreements and this one not being a higher priority site, it is likely it won't proceed until others are built out.
461	Allington Way - Phase 3	Operations	£8,638,250	£8,624,580	31-May-22		56 units Inclement weather had affected progress, but this had been mainly absorbed causing a c. 4 week delay; but a market shortage of bricklayers has made progress very slow and so the programme has had to be pushed back.
462	Skinnergate Re-development Housing	Operations	tbc	tbc	01-Jun-22		15 units Proposed site layout developed. Planning application submitted by architects, following delays arising from Historic England concerns.
464	IPM (Internal Planned Maintenance) Programme 2020 /21	Operations	£2,239,000	£2,239,000	31-Mar-22		Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22
465	Central Heating Programme 2020/21	Operations	£1,947,000	£1,947,000	31-Mar-22		Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22
468	Replacement Door Programme 2020/21	Operations	£606,000	£606,000	31-Mar-22		Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22 (Lascelles & some in moors estates)

**Capital Project Position Statement**

Appendix 1

Jun-21

Ref No	Title	Client	Approved Budget	Outturn Forecast	Planned Completion	Actual Completion	Comment
469	Windows Replacement Programme 2020/21	Operations	£1,000,000	£1,000,000	31-Mar-22		Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22
472	Roof replacement and repointing 2021-22	Operations	£850,000	£850,000	31-Mar-22		Works planned to re-roof the main roof and the side flat roofs and repoint the whole building (Haughton)
473	External works 2021-22	Operations	£270,000	£270,000	31-Mar-22		Works to replace fencing to front and rear gardens (Fencing in Albert Hill & Redhall)
474	Communal flat entrance door and door entry replacement 2021-22	Operations	£140,000	£140,000	31-Mar-22		Works to replace communal entrance doors and door entry systems (Henry Street & North Road)
475	Garages 2020-22	Operations	£140,000	£140,000	31-Mar-22		Works to demolish prefab garages and fence off gardens to provide offstreet parking bays
476	Repairs before painting and External Decoration 2021-22	Operations	£300,000	£300,000	31-Mar-22		To complete pre-paint repairs and external decoration in line with the 5 year programme Capital Works (£60k) Revenue (£240k)
477	LAD 1b funded window replacement 2021-22	Operations	£1,000,000	£1,000,000	31-Mar-22		to replace windows to eligible properties in line with the Lad 1 b funding
478	LAD 1b funded loft insulation upgrade 2021-22	Operations	£500,000	£500,000	31-Mar-22		to upgrade loft insulation to eligible properties in line with the Lad 1 b funding
479	Sherborne Close Phase 2	Operations	TBC	TBC			22 units Planning Application submitted. Decision anticipated in August 2021.

**Capital Project Position Statement**

Appendix 1

Jun-21

Ref No	Title	Client	Approved Budget	Outturn Forecast	Planned Completion	Actual Completion	Comment
480	Neasham Rd	Operations	TBC	TBC			150 units Design nearly completed. ESH on-site since May 2021 to build out drainage and road layouts. DBC housing programme to begin in early 2022.
481	Meynall Road	Operations	TBC	TBC			16 units Planning Application submitted. Decision anticipated in October 2021.
628	Houghton Road/Tornado Way	Services	£1,539,433	£1,576,790	31-Jul-21		Scheme to include VRS on Arnold bridge + extra surfacing on Houghton Road. Scheme complete awaiting drainage costs.
636	S & D Trackbed	Services	£237,033	£237,033	31-Mar-21	31-May-21	Planning approval was received on 20th August 2019. Scheme substantially complete. Retention held due to grass seeding works
639	Victoria Road Access to Station	Services	£1,025,000	£1,025,000	31-Jul-21		Signed offer letter received from TVCA. Currently on site.
640	A68 Woodland Road	Services	£1,702,408	£1,702,408	30-Jun-22		Scheduled for 2021/22
642	Walking/Cycling Route MSG Yarm Road/Mill Lane	Services	£150,000	£150,000	31-Mar-22		Scheduled for 2021/22
643	Skinnergate & Indoor Market	Services	£120,000	£120,000	31-Mar-22		Ongoing design works
			<b>134,635,562</b>	<b>134,570,375</b>			

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Capital Project Position Statement

Projects on Hold

Completed

L = Live; C = Complete; H = On Hold

Project Ref Number	Project Title	Stage					Status Symbol ● = Triangle ○ = Circle ★ = Star	Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Approved Project Completion Date / Actual Completion Date	Schedule Variation (days)	Risk Log Used	CP88 Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value	
		CP1 Start	CP2	CP3 Define	CP4	CP5																						Progress / Plan / Schedule	Budget	Issues					
23	Civic Theatre Refurbishment & Theatre Hullaballoon						●	L	Services	Services	Ian Thompson	Brian Robson	LO115	£50,000	£50,000	£16,069,000	£16,069,000	£16,069,000	0	0	01-Aug-13	06-Nov-17	06-Nov-17	0	Yes	Yes	Todd Milburn	Works complete. In defect period. Activity plan elements are still being delivered up to November 2021.			SCAPE	NEC3	Willmott Dixon	£12,885,288	
25	West Cemetery Development						●	L	Services	Services	Ian Thompson	Brian Robson	R0154	£4,500,000	£4,900,000	£5,012,000	£6,400,000	£6,400,000	0	0	31-Mar-21	27-Apr-22	27-Apr-22	365	Yes	Yes	Todd Milburn	Works commenced on the Crematorium building on 6th April 2021. The chapel build commenced following the receipt of the Great Crested Newt licence on 1st June 2021. The initial site strip for the new chapel and associated works has commenced.	The Project Board are still working on value engineering options for the scheme. The contractors QS still needs to explore these and urgently supply more detail on them, to enable the design team to approve any necessary changes. Once agreed V6 of the tender will need issuing to the Project Board and the CP3 documentation will be issued for signing by the Client. The contract sum currently stands at £4,616,644 with £303,655k worth of savings.	Due to a potential signing or great crested newts construction works to the new Chapel site only, stopped on Friday 9th April. An initial enquiry was submitted to Natural England and they have agreed that our site is suitable to apply for a district level licence. The application for this and the associated fee was paid on Friday 14th May. Natural England have advised that they will get back to us on or before Tuesday 1st June with a decision.	Planners have discharged the condition around the new fence line down the new access road into the back of the new Chapel. We have consulted with residents who share a boundary with the new site regarding omitting the wall and erecting a fence in its place. A fence has been agreed and the location has been plotted out and re circulated to the residents affected. The architect have been asked to submit this change to the planning team for the committed to approve the change.	Align – Architect Rose Project Management – Specialist Crematoria, Cemeteries and Consultancy Todd Milburn – Principal Designer Facultative Technologies – Cremator supplier Obitus – Audio and visual provider Treske – Specialist furniture provider	JCT	Building Services	
26	Dolphin Centre Soft Play / Bowling Alley						●	L	Services	Services	Ian Thompson	Richard Storey	D0174	£1,700,000	£1,600,000		£1,784,687	£1,784,687	0	0		27-Nov-20	19-Mar-21	112	YES	YES		Complete.	On revised budget	Complete	In spirit of JCT intermediate	In House - No Contract	£1,731,721		
Page 25	Railway Heritage Quarter						●	L	Services	Services	Ian Thompson	Brian Robson	R0155	£210,000	£20,000,000		£19,790,000	£19,790,000	0	0	30-Sep-24	30-Sep-24	30-Sep-24	0	Yes	Yes	TBC	The planning application for the scheme was submitted on 11th June and is now in the determination period.			Scape		Willmott Dixon		
	Crown Street Library Refurbishment						●	L	Services	Services	Ian Thompson	Richard Storey	L0148	£2,910,436	£2,910,436		£2,910,436	£2,910,436	0	0	01-Dec-20	01-Jun-21	06-Mar-23	643	Yes	Yes	Mike Brown	Delays in tendering process due to resources issues have pushed return date back to March. Works duration could be extended to 104 weeks	At tender stage, Current price is £465k over budget following value engineering and savings exercise.	Significant delays due to the status of scaffold design - current design does not fit the working area and conflicts with highways and nearby buildings to the east. Potential option to revert to original scaffolding without roof protection and take the risk of water	Consultants - M&E Design.	Standard T&C.	DTA		
174	Red Hall SEND						●	L	People	People	Tony Murphy	Rebecca Robson	E1888	£1,538,074	£1,572,289		£1,637,998	£1,637,998	0	0	01-Sep-20	01-May-21	19-Mar-21	0	Yes	Yes	Mike Brown	Construction programme June 2020 – February 2021 (3m provision has been added in for social distancing taking us until May 2021) ICT and toilet refurbishment works was completed over the summer holidays 2020. Works now complete on site	Overall Cabinet approved costs - £1,637,997.98 (This is made up of all the figures below:) SEND Capital approved 10/9/20 - £350,000 Basic Need Capital approved 10/9/20 £1,222,298 Basic Need Capital approved 14/7/20 £65,708.98	H&S & O&M manuals have been issued and they are currently being checked by our H&S team, before being issued to the school. Both Quantity Surveyors are currently working on the main scheme final account. The revised carpark layout and costs of £38k have been agreed with the Client, the works have been removed for the SEND contract and will be carried out in the summer holidays where there is more sufficient time to undertake the works when the school aren't in. The retaining wall is to be removed back in the summer holidays.	DLO Delivery	DBC standard T&C	Internal - Building Services	£1,181,136	
175	Rise Carr SEND						●	L	People	People	Tony Murphy	Rebecca Robson	E1889	£1,559,665	£1,526,920		£2,516,658	£2,516,658	0	0	01-Sep-20	01-Sep-21	01-Sep-21	0	Yes	Yes	Mark McIntosh	Start on site Monday 17th August 2020 until 31st August 2021. (12w had been added to the construction programme to adhere to social distancing during construction) Window replacement, sport hall (Jan 2021) repairs and internal remodel and small extension programmed in for Summer 2021.	Overall Cabinet approved costs - £2,516,658.00 (This is made up of all the figures below:) SEND Capital approved 10/9/20 - £350,000 Basic Need Capital approved 10/9/20 £1,176,920 SEND Capital approved 14/7/20 - £148,837 Basic Need Capital approved 14/7/20 £840,811	The contractor is currently projecting a 20 day delay, due to discrepancies on the drawings and inclement weather. The delay has been accepted by the Project Team and the timer frame supplier Eurban. Due to the Christmas break Eurban are now not starting their work until 04/01/21 pushing our overall handover date back from 02/07/21 to 13/08/21. This difference is greater than 20 days being recorded as the Christmas shut down (10days) has been factored in also. The Client and School are aware of this delay and the construction manager has circulated an updated overall programme (Rev M) which now includes all the works under this contract.  The above delays are currently not taking us over the original handover date of the 1st September as we had a 2 month time contingency factored in to the programme. This was initially added to help soak up any delays due to Covid and have to seek social	Perfect Circle for the Design Team DLO for the Contractor	JCT	Internal - Building Services	£1,965,044	

Project Ref Number	Project Title	Stage					Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Approved Project Completion Date / Actual	Schedule Variation (days)	Risk Log Used	DBF	Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value
		CP1 Start	CP2	CP3 Define	CP4	CP5																						Status Symbol s = Triangle i = Circle h = Star	Progress / Plan / Schedule	Budget				
226	Ingenium Parc Masterplan + Infrastructure						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Joanne Wood	R0130	£2,403,100	£611,500	£5,687,756	£5,687,756	0	0	31-Aug-18	30-Mar-21	30-May-22	0	Yes	Yes	Noel Walecki/ Kevin Snaith	One of the final elements of the spine road work for will be to lay service ducts underneath the road crossings (entrances to Cummins and the hammerhead at the bottom of the spine road) so that utilities can be connected into site. The revised surface water route will involve a complex dig additionally constrained by very limited access, ditches, underground stats, overhead HV lines and a small working area between permanent bodies of water within a nature reserve. Currently reviewing budget against outturn cost as a result of additional works post contract commencement.	Nov 2019: Approved budget increased by £37,044.30 to £5.68m due to additional costs of McMullan Road Roundabout and Salters Lane Cycle route. Spend managed by Highways and additional funding sourced from underspends on overall NPIF programme. Currently reviewing outturn budget.	Complex archaeological requirements and drainage works have delayed project. Type: NEC Short Contract	1. Spine Road 2. Phase 2 Ecological mitigation; Planting & seeding	Term Contract NEC Short	DBC highways Brambledown Construction	1. £961,551 2. £148,346		
228	Feethams House						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Ian Williams	Jenny Dixon and Jane Sutcliffe Project/ Richard Storey PM- building delivery	D0161	£246,000	£8,500,000	£8,500,000	£8,460,880	-0.16%	-£39,120	30-Jul-19	31-May-20	15-May-20	0	Yes	Yes	Tim Rainford (Nappers)	Project complete and handed over. Deep Ocean have not taken up the tenancy of the top floor and the ground floor is being used as a Vaccine centre	currently 39k underspend.	Deep Ocean have gone into administration and no longer need their office in Feethams House. Discussions being had re surrendering premises. They are currently occupying under an agreement for lease (this was subject to satisfying conditions re secure entrance system - not yet completed). If DBC get Deep Ocean to Surrender then DBC will be liable for Empty Rates after 3 months. NHS occupying ground floor as vaccination centre - licence renewed with one month's notice by either party. Treasury have indicated that they will likely be interested in occupying Feethams House. Timescales and space requirements not yet confirmed	Development agreement with Willmott Dixon for Design and Build	NEC3 ECC Option A	Willmott Dixon Construction	£8.065m		
Page 26	Faverdale Project Development						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Julia McCabe	R0137	£440,000	£440,000	£440,000	£440,000	0	0	01-Jun-18	30-Sep-20	30-Sep-20	0	Yes	Yes		This work is feasibility on development options. Stage 1 Feasibility is complete, discussions ongoing with developer and whether DBC progress with Stage 2 or transfers to Developer.	£372,000 remaining	Project delays associated with agreeing scope of stage 2: design appraisal and planning application scoping that reflect the works required to refine the masterplan, develop infrastructure designs and inform a pre-application planning enquiry and outline business case	Stage 1: Feasibility, options appraisal and strategy	Framework agreement	Arup	£34,611		
233	Innovation Central						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Joanne Wood	R0157	£500,000	£500,000	£8,527,153	£8,527,153	0	0	31-Dec-21	30-Jun-22	01-Aug-22	0	Yes	Yes	Napper Architects	Stage 4 AMP issued to QS for cost check and report has now been received. Operator procurement was advertised on 10th May 2021 and a return date of 14th June 2021, and these are now under review. Subject to agreement on the Stage cost the works will commence late July/early August	The budget is made up as follows:- ERDF - £4,739,855 TVCA £2,800,000 Building BF £480,000 Design Fund £70,000	Proposed site is heavily contaminated so remediation is required prior to any works starting.	SCAPE	PSDA	Willmott Dixon (Design and Construction Budgets)	£250,888		
234	Demolition at Union Street						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Ian Williams	Brian Robson	R0160		£115,000	£115,000	£210,000	£210,000	0	0	14-Aug-20	14-Dec-20	14-Dec-20	0	Yes	Yes	Steel River	Demolition has been completed	Extra budget costs have been attributed to; Rat removal and extra asbestos removal and an extension to the bat license had to be sought (£45,000) Further budget costs are needed for problems with the party wall (TBC) Extra funding as necessary to be funded from the Indigenous Growth Fund.	Party wall has been found to be more complicatedly tied into the British Heart Foundation building than first thought.	Demolition Framework		Thompsons of Prudoe	£115,000	
235	Demolition of Newstead Farm and Ivy House						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Ian Williams	Brian Robson	D0172		£71,000	£71,000	£92,000	£92,000	0	0	30-Oct-20	20-Nov-20	20-Nov-20	0	Yes	Yes	Steel River	Demolition complete	Extra budget will be necessary to remove fly tipping regularly occurring along Snipe Lane	Bats were found in Newstead Riding Stables stopping work for a minimal time. Esh have requested to watch the foundation removals.	Demolition Framework		MGL Demolition	£92,000	
236	Clarks and Buckton's Yards improvements						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Chris Mains	Michael Bowron	D0176		£350,000	£350,000	£500,000	£505,000	1.00%	£5,000	31-Mar-21	30-Jun-21	30-Jun-21	18	Yes	Yes	DBC	Due to the ongoing Covid situation, supplies have repeatedly been delayed and as such some of the works including the Planters and the Pots as well as the Cafe Tables and Chairs have taken longer than originally expected to arrive. However most of the physical works and planting are expected be completed by Mid July	The original £350K was an estimated projection with a realistic deliverable amount of circa £500K. Works costs are circa £440K with the remainder fees and costs.	Main element of the works are projected to be completed by end of Lockdown on 12th April. Some residual and minor works which should not interfere with shop opening and trading will still be required and be completed as necessary.					
237	Central Park Mound Removal and Transformation						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Michael Bowron	R0172	£3,170,000	£3,170,000	£3,170,000	£3,170,000	£3,170,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0				Informal discussions were carried out with Willmott Dixon, they have proposed at NIL cost to DBC to assist in carrying out a review and feasibility of the site at a high level to establish concepts and requirements as well as high level costs. WD are currently working on the site in the development of the new Innovation Centre and as such know the site and its limitations and are ideally placed to work with DBC at this initial stage	Overall Budget for the site is circa £3,170K from which contaminated materials will be removed first leaving the balance for the Civils and Landscaping works.	Costs unknown at this time for elements of works until feasibility, Viability and Review carried out and agreed.				Circa £3,170,000	

Project Ref Number	Project Title	Stage					Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Proposed Project Completion Date / Actual	Schedule Variation (days)	Risk Log Used	CP3 Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value
		CP1 Start	CP2	CP3 Define	CP4	CP5																					Progress / Plan / Schedule	Budget	Issues				
238	Post House Wynd						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Mark Ladyman	Michael Bowron	R0175	£100,000	£100,000	£100,000	£50,000	-50.0%	-£50,000	30-Apr-22	30-Apr-22	30-Apr-22	0	Yes	Yes	Mike Brown	The PHW project is a consequence of the Project Darling Initiative in that it has been designed to meet the requirements of the initiative in both improving the visual aesthetics of the area. The initial 3 properties proposed have been designed up and a Planning Application has been submitted with an expected decision late March 2021.	Original DBC approved Capital Budget of £100,001	As the PHW project is similar to and abouts the Yards Improvement project, close liaison is being held with the project Sponsor to merge later phases of the project into the Yards initiative which will release DBC capital funding to be used elsewhere.			To be DLO	£500,000	
239	Station Gateway East						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Richard Storey	R0149	£25,000,000	£21,630,045	£21,630,045	£21,630,045	£21,630,045	#DIV/0!	0	31-Mar-24	31-Mar-24	23-Jul-24	0	Yes	Yes	Napper	Stage 3 Design underway. Pre application Submitted for return 19th March. Stage 3 Design Freeze 9th April. Stage 3 Cost Estimate 2nd June. NR GRIP 3 Design Approval passed. Stage 4 Design commence July. AMP December.	Stage 3 cost estimate returned at £23,423,822. Cost review currently underway with independent QS. Main reason for increase due to changes to the station entrance design by TVCA (Rotunda option). Discussions ongoing with TVCA and DFT for increase in overall allocation. Total scheme costs across all three areas £112m est against £105m budget.	Continued Stage 3 design development progressing well through close integration with Network Rail.	Stage 3 & 4 Design	NEC Professional Services Development Agreement - through SCAPE	Willmott Dixon Construction	£1,052,609
240	Station Gateway West						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Julia McCabe	R0169	£1,600,000	£1,920,000	£1,920,000	£1,915,246	-0.2%	-£4,754	21-Dec-23	21-Dec-23	21-Dec-23	0	Yes	Yes	Noel Wakeki DBC	Design progressing by Fairhurst/Sanderson. Planning submission 8th June.		Turning head to Waverley Terrace back lane not liked by Historic England (setting issue). Further options explored but none on available land that meet safety standards - to be explained in heritage statement.	Fairhursts appointed through Willmott Dixon contract for Station Gateway East	N/A	N/A	Inc. in above (CEI 02) £45,450	
241	Station Gateway Demolitions						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Brian Robson	R0165	£1,322,940	£1,322,940	£1,322,940	£1,322,940	£1,322,940	0	0	31-Oct-22	31-Oct-22	31-Oct-22	0	Yes	Yes	TBC	Design progressing by Fairhurst/Sanderson. Planning submission 8th June.	Pensbury/Victoria road planning has been submitted. Hogans asbestos survey has taken place and utility disconnections have been requested. Utility disconnection and a bat/bird survey has been requested on Profix, Exhaust A Fix and Bank Top House.	Party walls are present and quote received regarding final designs.	TBC	Demolition Framework	TBC	£1,332,940
242	Station Gateway CPO & Acquisitions						L	Chief Exec and Economic Growth	Chief Exec and Economic Growth	Dave Winstanley	Julia McCabe	R0171	£250,000	£250,000	£250,000	£250,000	£250,000	#REF!	0	10-Oct-22	11-Nov-22	11-Nov-22	0	Yes	No	N/A	Cabinet paper that sought formal resolution to make the order delayed from Dec 20 to Jan 21 to enable required discussions regarding the red line/development area to conclude between Willmott Dixon & Network Rail. Appointments by 11th June of solicitors (Ward Hadaway) to deal with land & build agreements & Counsel (TBC) to provide specialist advice and act for the Council at CPO	Fee proposals currently within budget based on estimated length of Public Inquiry - still to be defined	As of end of objection period the Council is awaiting notification from the Secretary of State of the date of the Public Inquiry (estimated end Oct 2021). Work ongoing to remove as many objections as possible before the Inquiry. Appointment of Ward Hadaway w/c 7th June to deal with Network Rail and LNER land transfer & build agreements	1. CPO Legal advice 2. Land referencing	Standard Ts & Cs		
320	Salix Low Carbon Works						L	Services	Services	Kelvin McDade	Brian Robson	D0125	£413,313	£413,313	£413,313	£413,313	£413,313	0	0	30-Sep-21	30-Sep-21	24-Sep-21	-6	YES	YES	Thornton-Firkin	Mechanical Site works commenced 28th June. Electrical elements have had to be re-tendered and revised submissions are under review	Budget is solely from external funder Salix	Electrical tender was over budget and has been re-tendered	Mechanical Elements - Geoffrey Robinson	Mechanical Elements - Geoffrey Robinson	Geoffrey Robinson	£1,965,044
451	East Haven						L	Operations	Economic Growth	Anthony Sandys	Ian Stewart	IPM	£5,402,952	£5,402,952	£5,402,952	£5,402,952	£5,402,952	0	0	30-Jun-21	01-Feb-23	01-Feb-23	0	Yes	Yes	Mike Brown	41 units Design produced, but access arrangements are subject to complex legal agreements. Due to their being several DBC sites to develop, there being uncertainty over legal agreements and this one not being a higher priority site, it is likely it won't proceed until others are built out.	CP3 budget estimate being produced	Resolution of 4-way legal agreements are delaying progress.	Internal	in spirit of JCT	Internal	TBC
461	Allington Way - Phase 3						L	Operations	Economic Growth	Anthony Sandys	Ian Stewart	H6743	£8,623,253	£8,623,253	£8,623,253	£8,638,250	£8,624,580	-0.2%	-£13,670	26-Feb-21	20-Dec-21	31-May-22	162	Yes	Yes	Mike Brown	56 units Inclement weather had affected progress, but this had been mainly absorbed causing a c. 4 week delay; but a market shortage of bricklayers has made progress very slow and so the programme has had to be pushed	On budget but delays as noted are creating a pressure on costs.	1. Homes England funding decision currently in abeyance. 2. A market shortage of bricklayers has made progress very slow and so the programme has had to be pushed back, which means longer on site and that will likely add to the cost.	Main works	In spirit of JCT	Building Services	£8,105,434
462	Skinnergate Re-development						L	Operations	Economic Growth	Mark Ladyman	Ian Stewart	H6743	£4,950,000	£4,950,000	TBC	TBC	TBC	0	0	31-Mar-22	01-Jun-22	01-Jun-22	0	Yes	Yes	Mike Brown	15 units Proposed site layout developed. Planning application submitted by architects, following delays arising from Historic England concerns.	Budget still being developed.	1. Initial surveys undertaken, which reveal major loss of structure to heritage building and adjacent property. Conservation Engineer's Plan has been drafted to support application to planning for preferred design. 2. Historic England attended site on 22 Sept for preplanning assistance. 3. Additional justifications prepared for HE to bolster case for the development. Await response prior to submitting planning application.				
464	IPM (Internal Planned Maintenance) Programme 2020/21						L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6242	£2,239,000	£2,239,000	£2,239,000	£2,239,000	£2,239,000	0	0	31-Mar-21	31-Mar-22	31-Mar-22	0	Yes	Yes	Matthew Plews	Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22			Main contractor DBC	In spirit of JCT contract.	Building Services	£2,239,000
465	Central Heating Programme 2020/21						L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6242	£1,947,000	£1,947,000	£1,947,000	£1,947,000	£1,947,000	0	0	31-Mar-21	31-Mar-22	31-Mar-22	0	Yes	Yes	Matthew Plews	Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22	The budget has been adjusted to allow the completion of the properties for both years to be completed this financial year.		Main contractor DBC	In spirit of JCT contract.	Building Services	£950,000
468	Replacement Door Programme 2020/21						L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6240	£606,000	£606,000	£606,000	£606,000	£606,000	0	0	31-Mar-21	31-Mar-22	31-Mar-22	0	Yes	Yes	Matthew Plews	Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22 (Lascelles & some in moors estates)	The budget has been adjusted to allow the completion of the properties for both years to be completed this financial year.		Sekura	In spirit of JCT	Sekura	£350,000

Project Ref Number	Project Title	Stage				Status Symbol s = Triangle 1 = Circle H = Star	Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Anticipated Project Completion Date / Actual	Schedule Variation (days)	Risk Log Used	COPR Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value
		Progress / Plan / Schedule	Budget	Issues																													
469	Windows Replacement Programme 2020/21					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6211	£1,000,000	£1,000,000	£1,000,000	£1,000,000	£1,000,000	0	0	31-Mar-21	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	Due to Covid the works planned for 2020-21 were postponed and agreed to be completed in 2021-22 and we will also complete the properties planned for 2021-22	The budget has been adjusted to allow the completion of the properties for both years to be completed this financial year.		Anglian	In spirit of JCT	Anglian	£1,000,000
472	Roof replacement and repointing 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6242	£850,000	£850,000	£1,980,000	£850,000	£850,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	Works planned to re-roof the main roof and the side flat roofs and repoint the whole building (Haughton)	Budget Agreed		Engle	In spirit of JCT	Engle	£1,000,000
473	External works 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6237	£270,000	£270,000	£270,000	£270,000	£270,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	Works to replace fencing to front and rear gardens (Fencing in Albert Hill & Redhall)	Budget Agreed		Deerness	In spirit of JCT	Deerness	£270,000
474	Communal flat entrance door and door entry replacement 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6243	£140,000	£140,000	£140,000	£140,000	£140,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	Works to replace communal entrance doors and door entry systems (Henry Street & North Road)	Budget Agreed		Secureshield	In spirit of JCT	Secureshield	£140,000
475	Garages 2020-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6236	£140,000	£140,000	£140,000	£140,000	£140,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	Works to demolish prefab garages and fence off gardens to provide offstreet parking bays	Budget Agreed		Main contractor DBC	In spirit of JCT	Building Seervices	£140,000
476	Repairs before painting and External Decoration 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews	H6234	£300,000	£300,000	£300,000	£300,000	£300,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	To complete pre-paint repairs and external decoration in line with the 5 year programme Capital Works (£60k Revenue (£240k)	Budget Agreed		Mitie	In spirit of JCT	Novora	£300,000
477	LAD 1b funded window replacement 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews		£1,000,000	£1,000,000	£1,000,000	£1,000,000	£1,000,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	to replace windows to eligible properties in line with the Lad 1 b funding	Budget Agreed	The time taken to award a suitable contractor may have an impact on the delivering within the tight timescales	Anglian	In spirit of JCT	Anglican	£1,000,000
478	LAD 1b funded loft insulation upgrade 2021-22					●	L	Operations	Economic Growth	Cheryl Simmons	Matthew Plews		£500,000	£500,000	£500,000	£500,000	£500,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0		Yes	Matthew Plews	to upgrade loft insulation to eligible properties in line with the Lad 1 b funding	Budget Agreed		Novora	In spirit of JCT	Novora	£500,000
479	Sherborne Close Phase 2					●	L	Operations	Economic Growth	Anthony Sandys	Ian Stewart		TBC	TBC	TBC	TBC	TBC	#VALUE!	#VALUE!	30-Jun-22			0		Yes	Mike Brown	22 units Planning Application submitted. Decision anticipated in August 2021.	To be confirmed	Programme uncertainty due to shortage of materials, high cost of materials and shortage of some labour.				
480	Neasham Rd					●	L	Operations	Economic Growth	Anthony Sandys	Ian Stewart		TBC	TBC	TBC	TBC	TBC	#VALUE!	#VALUE!	31-Mar-26			0		Yes	Mike Brown	150 units Design nearly completed. ESH on-site since May 2021 to build out drainage and road layouts. DBC housing programme to begin in early 2022	To be confirmed	CPO in progress for Right of Way. One outstanding occupant to relocate from allotments.				
481	Meynall Road					●	L	Operations	Economic Growth	Anthony Sandys	Ian Stewart		TBC	TBC	TBC	TBC	TBC	#VALUE!	#VALUE!	30-Sep-23			0		Yes	Mike Brown	16 units Planning Application submitted. Decision anticipated in October 2021.	To be confirmed	Start may be impacted upon due to the constraints that are delaying the team on Allington Way 3.				



Project Ref Number	Project Title	Stage				Status Symbol s = Triangle 1 = Circle H = Star	Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Anticipated Project Completion Date / Actual	Schedule Variation (days)	Risk Log Used	CP18	Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value
		Progress / Plan / Schedule	Budget	Issues																														
628	Haughton Road/Tornado Way					●	L	Service	Services	Andy Casey	Noel Walecki	TP722	£1,367,433	£1,539,433	£1,539,433	£1,539,433	£1,576,790	2.4%	£37,357	31-Mar-20	31-Mar-21	31-Jul-21	487	NO	YES	Noel Walecki	Scheme to include VRS on Arnold bridge + extra surfacing on Haughton Road. Scheme complete awaiting drainage costs.	Budget comprises £1,367,433 NPfIF + £172,000 LTP match funding	None	DBC	Agreed Contract Rates	DBC	£1,051,053	
636	S & D Trackbed					●	L	Services	Services	Sue Dobson	Sue Dobson	TP922	£237,033	£237,033	£237,033	£237,033	£237,033	0	0	30-Jun-20	31-Mar-21	31-May-21	61	YES	YES	Noel Walecki	Planning approval was received on 20th August 2019. Scheme substantially complete. Retention held due to grass seeding works	Grant awarded November 2019 Funding is £212,933.94 grant from the Rural Payments Agency + £24,099 LTP	None	Ecology, Tree Survey & Heritage Impact Assessment	Quote	Brambledown Landscapes	£212,934	
639	Victoria Road Access to Station					●	L	Services	Services	Andy Casey	Sue Dobson	TP818	£1,025,000	£1,025,000	£1,025,000	£1,025,000	£1,025,000	0	0	31-Mar-20	31-Jul-21	31-Jul-21	0	Yes	Yes	Noel Walecki	Signed offer letter received from TVCA. Currently on site.	Funding is £675,000 LGF + £50000 Development Fund +£300,000 LTP	None	DBC	Agreed Contract Rates	DBC		
640	A68 Woodland Road/Outram Street/Duke Street					●	L	Services	Services	Andy Casey	Sue Dobson	TP240	£460,000	£460,000	£460,000	£1,702,408	£1,702,408	0	0	31-Mar-22	30-Jun-22	30-Jun-22	0	Yes	Yes	Noel Walecki	Scheduled for 2021/22	Funding is £360,000 LTP + £100,000 Section 106 developer contribution	None	DBC	Agreed Contract Rates	DBC	Unknown	

Project Ref Number	Project Title	Stage					Status Symbol s = Triangle 1 = Circle H = Star	Project Status	Client Department	Delivery Department	Internal Project Sponsor	Internal Project Manager	Cost Centre	Original Project Budget (CP1)	Initial Approved Budget	Increase to Initial Approved Budget	Current Approved Project Budget	Project Expected Out Turn Cost	Variance (%)	Variance (Value)	Original Planned Project Completion Date	Revised Approved Project Completion Date	Actual Project Completion Date	Schedule Variation (days)	Risk Log Used	CPDR Notifiable Project	Principal Designer	Progress Report			Contracts In Place (Please provide information on the contracts that are in place as part of the Project)	Contract Type / Form	Contract With	Contract Value
		CP1 Start	CP2	CP3 Define	CP4	CP5																						Progress / Plan / Schedule	Budget	Issues				
642	Walking/Cycling Route MSG Yarm Road/Mill Lane						●	L	Services	Services	Andy Casey	Sue Dobson	TP241	£150,000	£150,000	£150,000	£150,000	£150,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0	Yes	Yes	Noel Walecki	Scheduled for 2021/22	LTP		DBC	Agreed Contract Rates	DBC	
643	Skinnersgate & Indoor Market						●	L	Services	Services	Andy Casey	Noel Walecki	TP148	£120,000	£120,000	£120,000	£120,000	£120,000	0	0	31-Mar-22	31-Mar-22	31-Mar-22	0	Yes	Yes	Noel Walecki	Ongoing design works	£120,000 from Advanced Design budget		DBC	Agreed Contract Rates	DBC	
																£134,635,562	£134,570,375																	

### 2021/22 Capital Resources Summary

Row Ref.		Approved Commitments £M	Virement of Resources £M	Variance £M	Total £M
1	<b>Capital Commitments</b>				
2	Brought forward from 2020/21	140.319			
3	2021/22 Capital Programme (released by Cabinet)	25.885			<b>166.204</b>
4	Projected (Under)/Over Spend				
5	<b>Total Commitments</b>	<b>166.204</b>	<b>0.000</b>	<b>0.000</b>	<b>166.204</b>
	<b>To Be Funded By:</b>				
	<b>External and Departmental Resources</b>				
6	External Funding and Departmental Supported Borrowing	5.356	-	-	<b>5.356</b>
7	Departmental Unsupported Borrowing	0.000	-	-	<b>(0.000)</b>
8	Capital Grants	73.362	-	-	<b>73.362</b>
9	Capital Contributions	1.205	-	-	<b>1.205</b>
10	Revenue Contributions	22.576	-	-	<b>22.576</b>
11	Capital Receipts - HRA	0.303	-	-	<b>0.303</b>
	<b>Total</b>	<b>102.802</b>	<b>0.000</b>	<b>0.000</b>	<b>102.802</b>
	<b>Corporate Resources</b>				
12	Capital Receipts (General Fund)/ Prudential Borrowing	63.402	-	-	<b>63.402</b>
	<b>Total</b>	<b>63.402</b>	<b>0.000</b>	<b>0.000</b>	<b>63.402</b>
13	<b>Total Resources</b>	<b>166.204</b>	<b>0.000</b>	<b>0.000</b>	<b>166.204</b>

### Corporate Resources Analysis

	£M	
14	Required Resources to fund 2021/22 expenditure (see above)	63.402
15	<b>Total Planned Use of Corporate Resources</b>	<b>63.402</b>
	Less:	
16	Total Projected Capital Receipts (as per Appendix 4)	(1.979)
17	<b>Corporate Resources required to fund capital programme</b>	<b>65.381</b>

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**Capital Receipts Utilisation - latest projection**

	2021/22	2022/23	2023/24
	£m	£m	£m
Projected Opening Balance as at 1 April	0.662	(1.979)	4.795
Projected Capital Receipts	1.787	7.249	9.929
Total projected Capital Receipts	2.449	5.270	14.724
<b><u>Less (as per approved capital programme)</u></b>			
Capitalisation utilisation as per MTFP	(0.957)	0.000	0.000
Council funded schemes	(0.733)	(0.400)	(0.400)
Economic Growth Investment Fund	(0.923)	0.000	0.000
Slippage from previous years	(0.944)	0.000	0.000
Earmarked receipts for Neasham Road	(0.500)	(0.075)	(1.675)
Earmarked Receipts included in opening balance	(0.371)	0.000	0.000
Projected available Cap Receipts as at 31 March	(1.979)	4.795	12.649

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## FINAL OUTTURN REPORT DOLPHIN CENTRE REFURBISHMENT PHASE 1 WORKS

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### SUMMARY REPORT

#### Purpose of the Report

1. To report the lessons learned from the project and the final outturn in accordance with the Financial Procedure Rules.

#### Summary

2. The Dolphin Centre Refurbishment Phase 1 works was delivered as the initial phase of recommended refurbishment and repairs from several surveys and investigations which culminated in the production of the Dolphin Centre Phased Services Replacement and Fabric refurbishment Study.
3. The first phase was targeted towards those mechanical and electrical elements most in need of renewal or parts of the building fabric which needed refurbishment which would bring about significant uplift in appearance. Further phases of the recommended works are now under consideration taking in to account the recent change of use works to install a bowling alley and updated soft play provision.
4. Para 43 of the Financial Procedure Rules requires that the final outturn of all schemes with a value in excess of £1 million be reported to Cabinet.
5. The report reviews the actual cost, timeliness and quality including lessons learned; to ensure a continuous review of capital planning, management and reporting, with regard to best practice, experience and opportunities for improving the Council's capital and asset management processes.

#### Recommendation

6. It is recommended that Members note the final outturn of the Project.

#### Reasons

7. The recommendations are supported by the following reasons :-
  - (a) To comply with the Council's Financial Procedure Rules.
  - (b) To ensure a continuous review of capital planning, management and reporting, with regard to best practice, experience and opportunities for improving the Council's capital and asset management processes.

Brian Robson: Extension 6608

## MAIN REPORT

### Information and Analysis

8. The Dolphin Centre Phase 1 refurbishment works addressed the highest priority recommendations of the Dolphin Centre Phased Services Replacement and Fabric refurbishment Study. The works included extensive renewal of mechanical plant including the installation of equipment within the main plant room above the pool hall and renewal of all major ductwork. In addition, the ceiling above the main pool and training pool was replaced and the existing lighting was renewed providing LED fittings to greatly improve the aesthetics and energy efficiency. Improvements to the air handling installations greatly improved the internal environment helping to remove areas of unsightly condensation from internal glazed panels to perimeter of the pool hall.
9. In addition to the extensive works within the plant room above the main pool hall works were also carried out within the plantroom underneath the main plant room which included renewal of the main boilers and replacement of the various pumps supporting the buildings infrastructure.
10. Fabric improvements around the training pool were also carried out to rectify issues with water leaks and the pool surround itself was also re-tiled.
11. The project was managed internally by the Capital Projects Office staff from inception through to completion, with valued support from the Corporate Landlord and Dolphin Centre operational and management teams. A monthly progress meeting was also held with the Principal Contractor to monitor progress against programme, and health, safety and quality issues.
12. The overall budget for the scheme was £2,850,000 and the planned completion date was 5th May 2016. The final spend for the scheme is £2,956,501 and the scheme completed on site on 30th April 2016. The end of 'defects' date was 30th September 2017. The main contract for the scheme was with Willmott Dixon Construction Ltd via the national SCAPE Build Framework, under the New Engineering Contract (NEC) 3 Option A: Priced Contract with Activity Schedule. In addition to the main contract there was a minor external commission for the provision of Principal Designer services in accordance with the requirements of the Construction, Design and Management Regulations 2015.
13. Para 43 of the Financial Procedure Rules requires that the final outturn of all schemes with a value in excess of £1 million be reported to Cabinet.
14. The report reviews the actual cost, timeliness and quality including lessons learned to ensure a continuous review of capital planning, management and reporting, with regard to best practice, experience and opportunities for improving the Council's capital and asset management processes.



## Cost

15. The table below summarises the project budget and final outturn.

Original Project Budget (CP1)	Original Approved Project Budget	Revisions to Approved Project budget	Approved Project Budget	Final Out Turn Cost	Variance (Value)
£2,750,000	£2,850,000	£2,956,501	£2,956,501	£2,956,501	+£106,501

16. The increase in budget and final cost was mainly due to additional works to the training pool ceiling, external soffit renewal and lighting above the coach stop area which were added to the construction contract, and this was met by a contribution from Leisure Services.

## Quality

17. In terms of quality the project aimed to improve the pool environment, this was important as a lot of expenditure was within plant rooms, with no visual improvement for customers. The previous pool hall arrangement was illuminated via older SON light fittings operating at 400 watts which were not energy efficient and gave off an unappealing 'yellow' colour, which dominated the internal environment. These lights were replaced with energy efficient LED fittings consuming less power and providing a crisp white light to the Pool hall.



Image of main pool hall prior to the lighting and ceiling renewal



Image of main pool hall after the lighting and ceiling renewal

**Time**

18. The table below summarises the project timeline.

Original Planned Project Completion Date (CP1)	Revised Approved Project Completion Date	Actual Completion Date	Schedule Variation (days)
05 <sup>th</sup> May 2016	05 <sup>th</sup> May 2016	30 <sup>th</sup> April 2016	-6 days

**Lessons Learned**

19. The Asset Management and Capital Programme Review Board (AM&CPRB or AMG) has specific roles defined in the Council’s Constitution. The Board shall maintain a continuous review of capital planning, management and reporting, with regard to best practice, experience and opportunities for improving the Council’s capital and asset management.

20. The key findings and lessons learned from this project are summarised below:

- (a) Initially temperature control within the gym area post completion was causing some issues with customer comfort, these were rectified but further testing post commissioning could have been carried out.
- (b) Several return visits had to be made to address joints in areas of new high-level plasterboard which had formed cracks within vertical sections on the wall separating the main pool from the training pool, which caused some disruption. These were all rectified by the contractor at their cost ‘out of hours’ but had a more robust application process been used in the first place this could have been avoided.
- (c) The condition of the existing changing village drainage was found to be worse than expected with some existing gullies filled with mortar and simply covered. A more

detailed pre-commencement inspection would have helped to highlight this issue, but it was recognised that this would have had an adverse operational impact.

- (d) The renewal of the training pool ceiling and lighting was not included within the original scope, but during the works it became obvious that the opportunity to renew it should not be missed given the significant improvement achieved in the main pool area. The additional work increased the scheme cost, but it was felt the finished outcome was worth the extra expenditure.
- (e) Post completion some of existing smoke detectors clashed access wise with new ductwork routes in the main plant room, these were subsequently re-positioned, but an accurate pre-start survey could have highlighted the areas of potential conflict.

### **Procurement**

- 21. It was agreed by Cabinet in April 2015 that an OJEU compliant Framework was the preferred procurement route for the construction contract.

### **Contract Management**

- 22. In terms of contract management, the main contract was delivered using the NEC3 Option A – Priced Contract with Activity Schedule. Variations encountered during the on-site works phase were dealt with by the use of Compensation Events which in each case were evaluated by the DBC Project Manager.

### **Health and Safety**

- 23. The Principal Designer role for the scheme was procured externally and the services were provided by Todd Milburn Partnership Limited by competitive tender. There were no reportable accidents during the construction phase. Unfortunately, there was one near miss from a burst elbow pipe joint which in turn brought some ceiling tiles down into the gym below. This was investigated and no obvious fault was found in terms of the part or workmanship, the section of pipe had also previously passed a press test. The part was subsequently replaced and re-tested.

### **Risk Log**

- 24. The risk log for the scheme was regularly reviewed and risk which could be transferred onto the Principal Contractor were included within the main construction contract.

### **Communications**

- 25. The communications strategy for the scheme was developed with the Dolphin Centre Management and Operations team to highlight in good time that the Pool hall would be closed for a period and also advise customers about which services would be available at which particular time during the construction phase.

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**ECONOMY AND RESOURCES SCRUTINY COMMITTEE  
2 SEPTEMBER 2021**

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**COMPLAINTS, COMPLIMENTS AND COMMENTS ANNUAL REPORTS 2020/21**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To consider the 2020/21 Complaints, Compliments and Comments Annual Reports for :-
  - Adult Social Care;
  - Children’s Social Care;
  - Corporate;
  - Housing; and
  - Public Health

**Summary**

2. Attached at **Annex 1** is the 2020/21 Complaints, Compliments and Comments Annual Report which is due to be considered by Cabinet at its meeting on 7 September, 2021.
3. The Council constantly strives to ensure an organisational culture in which complaints are accepted, owned and resolved as quickly as possible and one in which learning from complaints is used to improve services.
4. It is a statutory requirement for the Council to produce annual reports in respect of representations received under the Adult Social Care, the Children’s Social Care and the Public Health Complaints, Compliments and Comments Procedures.

**Recommendation**

5. It is recommended that Members consider the 2020/21 Complaints, Compliments and Comments Annual Reports and forward any views to Cabinet for consideration

**Elizabeth Davison  
Group Director of Operations**

**Background Papers**

No background papers were used in the preparation of this report.

S17 Crime and Disorder	There is no specific impact on Crime and Disorder.
Health and Well Being	The purpose of the Adult Social Care Complaints, Compliments and Comments Annual Report is to improve the service we provide to service users and their carers.
Carbon Impact and Climate Change	There are no specific recommendations contained within the attached reports concerning Carbon Reduction.
Diversity	Complaint investigations have led to service improvements for people with protected characteristics.
Wards Affected	All.
Groups Affected	All.
Budget and Policy Framework	This report does not have a direct impact on the Budget and Policy Framework.
Key Decision	This report does not constitute a Key Decision.
Urgent Decision	This report does not require an Urgent Decision.
Council Plan	Learning from complaints contributes towards the delivery of the priorities in the Plan.
Efficiency	The revised procedures aim to improve the efficiency with which complaints are handled. The recommendations contained within the appended reports aim to reduce risk and improve efficiency in the way we interact with our customers.
Impact on Looked After Children and Care Leavers	The purpose of the Children's Social Care Complaints, Compliments and Comments Annual Report is, in part, to improve the service we provide to Looked After Children and Care Leavers.

**CABINET  
7 SEPTEMBER 2021**

ITEM NO. ....

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**COMPLAINTS, COMPLIMENTS AND COMMENTS  
ANNUAL REPORTS 2020/21**

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**Responsible Cabinet Members**

**Councillor Scott Durham - Resources Portfolio  
Councillor Rachel Mills - Adults Portfolio  
Councillor Jon Clarke - Children and Young People Portfolio  
Councilor Kevin Nicholson - Health and Housing Portfolio**

**Responsible Directors**

**Ian Williams, Chief Executive  
Elizabeth Davison, Group Director of Operations  
James Stroyan, Group Director of People  
Dave Winstanley, Group Director of Services**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To provide Cabinet with the 2020/21 Complaints, Compliments and Comments Annual Reports for:
  - (a) Adult Social Care (**Appendix 2**);
  - (b) Children's Social Care (**Appendix 3**);
  - (c) Corporate (**Appendix 4**);
  - (d) Housing (**Appendix 5**); and
  - (e) Public Health (**Appendix 6**).

**Summary**

2. It is important that the Council's complaints, compliments and comments procedures are accessible so people can tell us what they think about the services we provide. The Council constantly strives to ensure an organisational culture in which complaints are accepted, owned and resolved as quickly as possible and one in which learning from complaints is used to improve services.
3. The Council received a total of 628 complaints during 2020/21, a decrease from 838 complaints during 2019/20.

4. The Council received a total of 309 compliments during 2020/21, an increase from 292 in 2019/20.
5. The Council received a total of 178 comments during 2020/21, an increase from 168 in 2019/20.
6. A summary table is provided at **Appendix 1**.
7. The production of an annual report in respect of representations received under the Adult Social Care Complaints, Compliments and Comments Procedure is a requirement of the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.
8. The production of an annual report in respect of representations received under the Children's Social Care Complaints, Compliments and Comments Procedure is a requirement of the Children Act 1989 Representation Procedure (England) Regulations 2006.
9. The production of an annual report in respect of representations received under the Public Health Complaints, Compliments and Comments Procedure is a requirement of the NHS Bodies and Local Authorities (Partnership Arrangements, Care Trusts, Public Health and Local Healthwatch) Regulations 2012.

### **Recommendation**

10. It is recommended that:
  - (a) That Cabinet notes the content of the attached reports.
  - (b) That Cabinet endorses the further recommendations made in the Adult Social Care, Children Social Care and Corporate Complaints, Compliments and Comments Annual Reports.

### **Reasons**

11. The recommendation is supported by the following reasons:
  - (a) To make Cabinet aware of the number and nature of the complaints, compliments and comments received by the Council and the organisational learning that has taken place as a result.
  - (b) To enable the Council to further improve its services as a result of the complaints, compliments and comments received and improve satisfaction with complaints handling.

### **Background Papers**

Note: No background papers were used in the production of this report.



S17 Crime and Disorder	There is no specific impact on Crime and Disorder
Health and Well Being	The purpose of the Adult Social Care Complaints, Compliments and Comments Annual Report is to improve the service we provide to service users and their carers
Carbon Impact and Climate Change	There are no specific recommendations contained within the attached reports concerning Carbon Reduction
Diversity	Complaint investigations have led to service improvements for people with protected characteristics
Wards Affected	All
Groups Affected	All
Budget and Policy Framework	This report does not have a direct impact on the Budget and Policy Framework
Key Decision	This report does not constitute a Key Decision
Urgent Decision	This report does not require an Urgent Decision
Council Plan	Learning from complaints contributes towards the delivery of the priorities in the Plan
Efficiency	The revised procedures aim to improve the efficiency with which complaints are handled. The recommendations contained within the appended reports aim to reduce risk and improve efficiency in the way we interact with our customers
Impact on Looked After Children and Care Leavers	The purpose of the Children's Social Care Complaints, Compliments and Comments Annual Report is, in part, to improve the service we provide to Looked After Children and Care Leavers

## MAIN REPORT

### Background

12. Our aim is to put people first and provide them with the best possible service. To make this aim a reality it is important people have the opportunity to tell us what they think about the services we provide. The Council's Complaints, Compliments and Comments Procedures are one way they can do this. They can tell us when we get things wrong so we can put them right. They can also tell us when we get things right, make comments about the things we do and suggest new ways of doing things.
13. We understand that sometimes it is difficult to complain and work hard to ensure an organisational culture in which complaints are seen as a positive means of engagement and an opportunity for the Council to learn and improve services. If people do need to complain we always take their concerns seriously, treat them fairly and with respect and assure them they will not receive a poorer service as a result.

### Information and Analysis

14. There was a decrease in the overall number of representations made under the Adult Social Care Complaints, Compliments and Comments Procedure during 2020/21. There was a significant decrease in the number of complaints received, a significant decrease in the number of compliments received and a small increase in the number of comments received. Full details are attached at Appendix 2. There was a decrease in the overall number of representations made under the Children's Social Care Complaints, Compliments and Comments Procedure during 2020/21. There was a significant decrease in the number of complaints received at Stage 1 of the procedure, a decrease in the number of complaints received at Stage 2 and a decrease in the number of complaints received at Stage 3. There was an increase in the number of compliments received, while the number of comments received remained the same as in 2019/20. Full details are attached at Appendix 3.
16. There was a decrease in the overall number of representations made under the Corporate Complaints, Compliments and Comments Procedure during 2020/21. There was a significant decrease in the number of complaints received at Stage 1 and a decrease in the number of complaints received at Stage 2 of the procedure. There was an increase in the number of compliments and comments received. Full details are attached at Appendix 4.
17. There was a decrease in the number of representations made under the Housing Complaints, Compliments and Comments Procedure during 2020/21. While there was a decrease in the number of complaints received at Stage 1, there was an increase in the number of complaints received at Stage 2 of the procedure. The number of complaints received at Stage 3 remained the same as in 2019/20. There was a slight decrease in the number of compliments received, while there was a slight increase in the number of comments received. Full details are attached at Appendix 5.
18. There was a decrease in the number of representations made under the Public Health Complaints, Compliments and Comments Procedure during 2020/21. There was a slight increase in the number of complaints received, a decrease in the number of compliments

received and a slight increase in the number of comments received. Full details are attached at Appendix 6.

19. Some examples of organisational learning resulting from complaints have been extracted from the appended reports and are provided below.

20. *Adult Social Care Complaints:*

- (a) Following a complaint for Life Stages 26+ an internal investigation and a review of practice was completed by the Registered Manager into the handling of controlled medication.
- (b) Following a further complaint for Life Stages 26+ all Safeguarding Adult Managers were reminded that unless it would put the adult at risk at further risk, the person alleged to have caused harm should have the opportunity to respond to the allegations against them and that the response should be shared in the Safeguarding Strategy meeting.
- (c) Following a complaint for Provider Services it was agreed the Reablement Team would re-visit relevant Council training regarding dignity and respect.
- (d) Following a complaint for Ongoing Assessment & Intervention team (OAIT) staff were reminded of their conduct when dealing with members of the public and to treat people with dignity and respect, whilst being clear about the remit of services.

21. *Children's Social Care Complaints:*

- (a) Following a complaint for Team A the Team Manager addressed communication issue with social worker and reminded them to ensure that parents are informed in a timely manner of any key decisions or changes for their children, especially when they are placed outside of their care.
- (b) Following a complaint for Team B the Team Manager raised the importance of checking who has parental responsibility with a social worker, prior to seeking consent to work with a child.
- (c) Following a complaint for Team D the Team Manager reminded social workers to check personal details for families are correct to reduce the likelihood of data breaches and shared the Data Protection Officer's advice for avoiding a data breaches.
- (d) Following a complaint for Keeping Families Together it was agreed the strategies in place to reduce the number of changes of social worker for families should continue to be implemented and social workers bringing cases for discussion at Keeping Families Together panel would be required to provide evidence that parents had given informed consent for Keeping Families Together to work with their family.

22. *Corporate Complaints:*

- (a) Following a complaint for School Admissions & Transport a process was agreed in relation to handing over information when an officer leaves the service.
- (b) Following a complaint for Highway Asset Management about road works commencing too early the Council addressed the issue with the sub-contractor to prevent a re-occurrence.
- (c) Following a complaint for Xentrall it was agreed the Council would make a change to the Darlington Borough Council jobs page to include a sentence at the top of the page to make it clear that CVs are not accepted and that the application form can be found on the link to the job.
- (d) Following a complaint for the Superintendent Registrar the staff at the Registry Office reviewed their practice and bring it into line with the advice provided on .Gov.uk.

23. *Housing Complaints:*

- (a) Following a complaint for Management Services it was recommended that Housing Services ensures it adheres to the timescales set out in its Housing Services Anti-Social Behaviour Policy.
- (b) Following a further complaint for Management Services it was agreed that Housing Services would review their sign up process and going forward ensure sign up appointments are made when all works are completed, post inspected and not beforehand.
- (c) Following a complaint for Service & Repairs, Building Services decided to keep a small stock of radiators to prevent other people experience delays in having them repaired/replaced.
- (d) Following a complaint for Contact & Repairs Co-ordination, Building Services reviewed their stock level resulting in them requiring their supplier to hold a small number of a particular boiler part.

24. The further recommendations set out in the Adult Social Care, Children Social Care and Corporate Complaints, Compliments and Comments Annual Reports are:

- (a) Adult Services should now work to clear the backlog of complaints that has arisen during the pandemic and on doing so ensure any new complaints are responded to in a timely manner and that where an extension is required this is communicated to the complainant and properly recorded.
- (b) Children's Services should now continue to work to improve performance against the Stage 1 and Stage 2 timescales for Children's Social Care complaints.
- (c) The Council should work to improve performance against the Corporate Stage 2 response target.

## **Outcome of Consultation**

25. No consultation was required in preparing this report.

## Total Representations by Year

Type of representation	2020/21	2019/20	2018/19	2017/18	2016/17
<b>Complaints</b>					
<b><i>Corporate</i></b>					
Stage 1 complaints	457	632	623	628	402
Direct to Stage 2 complaints	24	15	1	8	10
Direct to Ombudsman	1	0	0	0	0
<i>Total complaints</i>	<i>483</i>	<i>647</i>	<i>624</i>	<i>636</i>	<i>412</i>
Stage 1 escalated to Stage 2	26	44	70	80	51
<i>Total Stage 2 complaints</i>	<i>50</i>	<i>59</i>	<i>71</i>	<i>88</i>	<i>61</i>
<b><i>Adult Social Care</i></b>	46	67	64	92	44
<b><i>Children's Social Care</i></b>					
Stage 1 complaints	37	57	67	54	58
Stage 2 complaints	7	10	16	16	16
Stage 3 complaints	2	3	4	2	5
<b><i>Housing</i></b>					
Stage 1 complaints	60	65	69	86	86
Direct to Stage 2 complaints	1	1	1	0	0
<i>Total complaints</i>	<i>61</i>	<i>66</i>	<i>70</i>	<i>86</i>	<i>86</i>
Stage 1 escalated to Stage 2	12	6	9	18	14
<i>Total Stage 2 complaints</i>	<i>13</i>	<i>7</i>	<i>10</i>	<i>18</i>	<i>14</i>
Stage 3 complaints	0	0	0	0	0
<b><i>Public Health</i></b>	2	1	0	3	3
<b><i>Compliments</i></b>					
Corporate	209	170	199	79	106
Adult Social Care	38	62	33	6	13
Children's Social Care	15	7	19	12	4
Housing	47	49	28	19	34
Public Health	0	4	1	0	0
<b><i>Comments</i></b>					
Corporate	171	166	236	224	195
Adult Social Care	1	0	2	0	0
Children's Social Care	0	0	0	0	0
Housing	4	2	2	0	3
Public Health	2	0	0	0	1



# **DARLINGTON**

Borough Council

## **Adult Social Care Complaints, Compliments and Comments Annual Report 2020/21**

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## Introduction

1. The purpose of this annual report is to inform service users, carers, the public, Council Members and staff of the effectiveness of the Adult Social Care Complaints, Compliments and Comments Procedure (the procedure).
2. On the 1 April 2009 the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (the regulations) came into force following the consultation 'Making Experiences Count' by the Department of Health. The consultation found that the complaints processes for people receiving both health and social care services were overly complex and inflexible.
3. As a result the legislation introduced altered the way in which complaints are handled introducing a single joint complaints process for both social care and health services, with one stage as opposed to the previous three stage process used in relation to adult social care services. The regulations also introduced a duty for health and social care services to cooperate.
4. The Council implemented a new procedure on the 1 April 2010 providing a local framework to ensure complaints are handled effectively and in line with the regulations.
5. The procedure aims to:
  - (a) Make it as easy and accessible as possible for service users and their carers to raise complaints;
  - (b) Foster an organisational culture in which complaints are accepted, owned and resolved as efficiently as possible;
  - (c) Ensure high levels of customer satisfaction with complaints handling;
  - (d) Resolve individual issues when they arise and reduce the number of complaints referred to the Ombudsman; and
  - (e) Enable the Council to identify topics and trends in relation to adult social care complaints and improve services as a result.
6. The Assistant Director Adult Services is the responsible person for ensuring that the Council complies with the arrangements made under the regulations. They act as the 'Adjudicating Officer', which means they make decisions on complaints and decide what action should be taken in light of the outcome of a complaint.
7. The Complaints and Information Governance Manager (Complaints Manager) is the responsible person for managing the procedure for handling and considering complaints in accordance with the agreements made under the regulations.

### **Local Government and Social Care Ombudsman (Health Services Ombudsman)**

8. Although complainants can refer their complaints to the Local Government and Social Care Ombudsman (LGSCO) from the outset, the LGSCO will not normally investigate until the Council has conducted its own investigation and provided a response. Where it has not been possible for the complaint to be resolved to the satisfaction of the complainant they may refer the matter to the LGSCO (or Health Services Ombudsman for some joint complaints).

### **Information and Accessibility**

9. We are committed to making sure that everyone has equal access to all our services, including the complaints procedure. To help make sure the Council's complaints procedures are easily accessible we have produced two leaflets (one for children and young people and one for adults) covering all Council services to reflect the single point of access for complainants within the Council. The leaflets are available in all Council buildings. They have been written in line with the Plain English Campaign standards. The title is written in the most commonly used community languages and it contains details on how to access the information in other formats, for example, large print, audio and Braille.
10. Information is available on the Council's website. There is also an electronic form which people can use to make a complaint, pay someone a compliment or pass comment on Council services. People may make a complaint in any format they wish. This can be in writing, by email, via the web, over the phone, in person or by any other reasonable means.
11. The Complaints Manager can arrange advocates and interpreters (including British Sign Language interpreters) where appropriate.

### **Advocacy**

12. During 2020/21 the Council commissioned an advocacy service which provides RPRs (Relevant Persons Representatives), IMCAs (Independent Mental Capacity Advocates), IMHAs (Independent Mental Health Act Advocates), Court of Protection Advocacy, and Care Act Advocates. This is provided by Darlington association on Disability (DAD).
13. The Council also commissioned Specialist Advocacy / Welfare Rights services for adults with a sensory impairment, and NHS Complaints Advocacy on behalf of the NHS.

## Summary

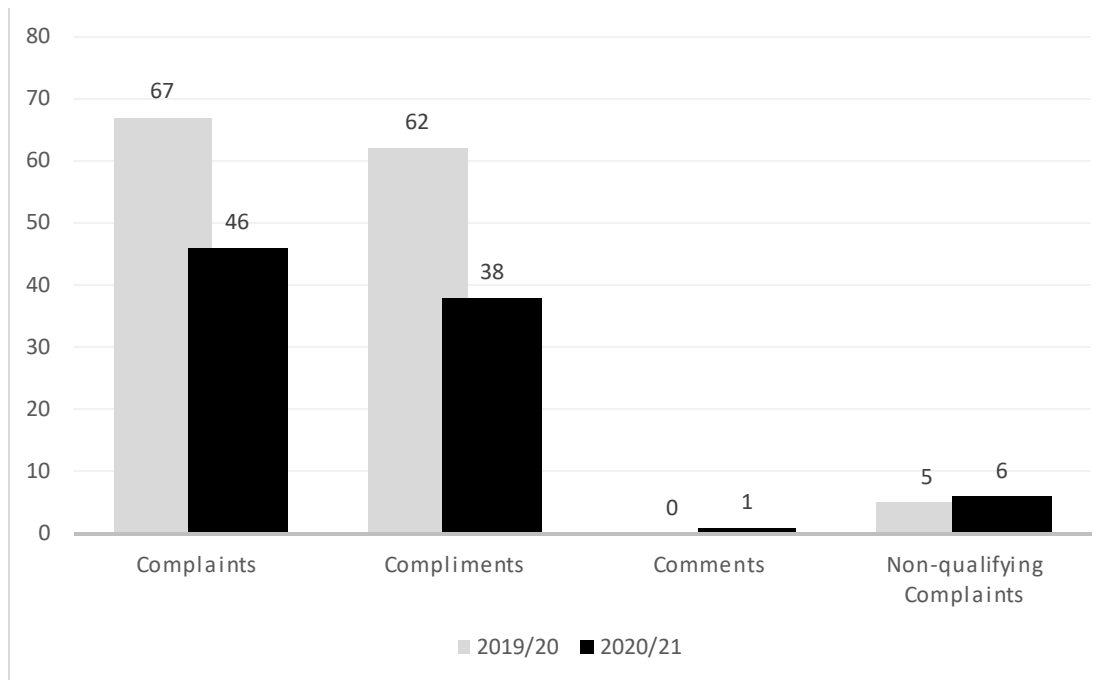
14. There has been a decrease in overall feedback from 134 representations in 2019/20 to 85 in 2020/21.
15. The Council investigated 46 complaints under the procedure during 2020/21, a decrease from 67 in 2019/20.
16. The Council received 38 compliments under the procedure during 2020/21, a decrease from 62 in 2019/20.
17. The Council received one comment under the procedure during 2020/21, an increase from zero in 2019/20.
18. The Council received six complaints which did not qualify for investigation under the procedure during 2020/21, an increase from five in 2019/20.
19. Six adult social care complaints were progressed to the LGSCO during 2020/21, an increase from five in 2019/20.
20. The LGSCO reached a decision on four complaints during 2020/21, a decrease from six in 2019/20.

## Review of the Year

### Breakdown of all Representations

21. A total of 85 representations were handled under the procedure during 2020/21. This does not include those representations responded to directly by social care providers i.e. care homes and home (domiciliary) care providers.

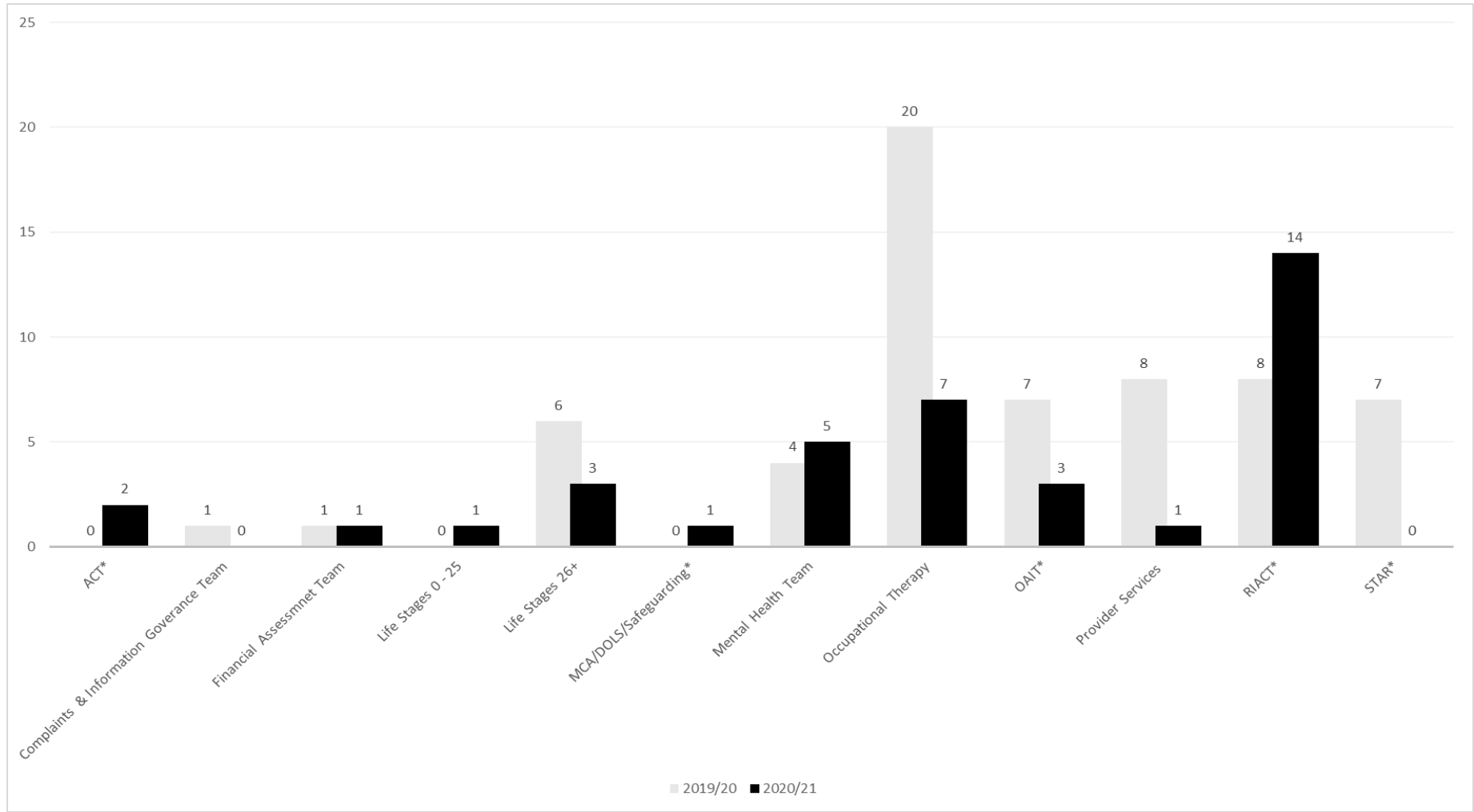
**Total Complaints, Compliments and Comments Received 2020/21**



22. There was a decrease in the number of complaints we investigated, compared to 67 in 2019/20.
23. There was a decrease in the number of compliments we received, compared to 62 in 2019/20.
24. There was an increase in the number of comments we received, compared to zero in 2019/20.
25. There was an increase in the number of non-qualifying complaints received, compared to five in 2019/20.

### Breakdown of Compliments Received by Team

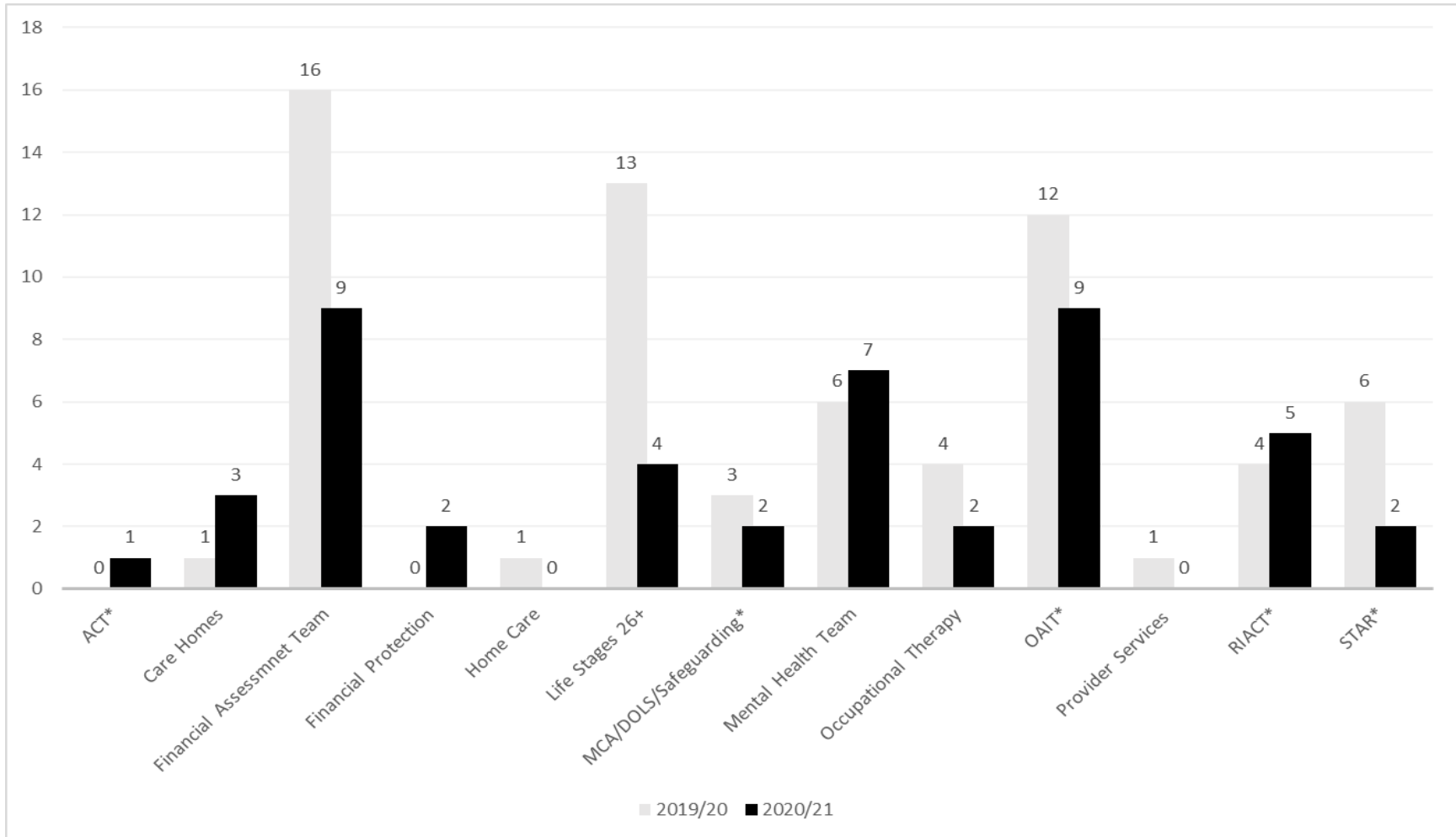
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\*ACT = Adult Contact Team, MCA/DOLS = Mental Capacity Act/Deprivation of Liberty Safeguards, OAIT = Ongoing Assessment and Intervention Team, RIACT = Responsive Integrated Assessment Care Team, STAR = Short Term Assessment and Review

*N.B. Those teams that do not appear in the graph did not receive any compliments*

### Breakdown of Complaints Received by Service Area/Team



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\*ACT = Adult Contact Team, MCA/DOLS = Mental Capacity Act/Deprivation of Liberty Safeguards, OAIT = Ongoing Assessment and Intervention Team, RIACT = Responsive Integrated Assessment Care Team, STAR = Short Term Assessment and Review

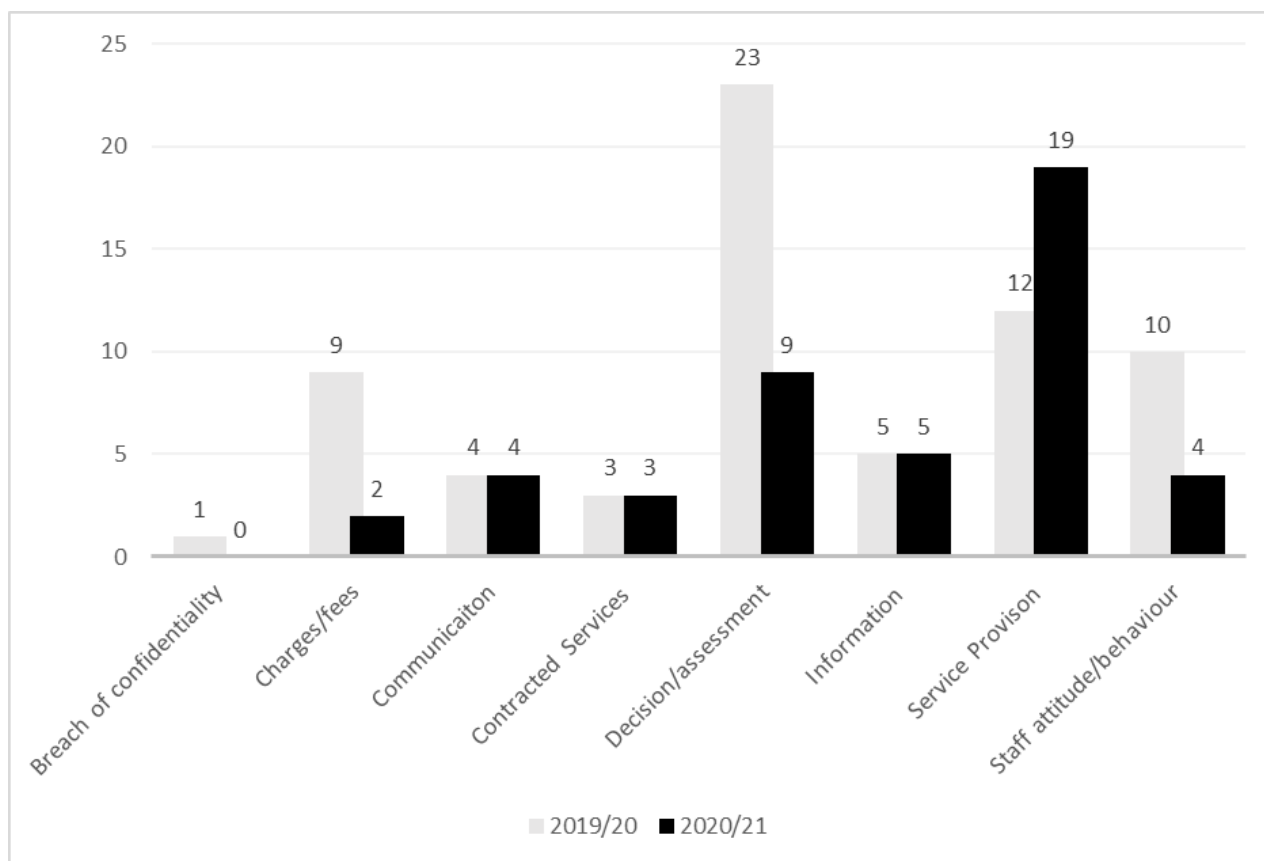
*N.B. Those teams that are not listed did not receive any complaints. ACT received one complaint, an increase from zero in 2019/20.*

26. The Council investigated three complaints about care homes (contracted service) an increase from one in 2019/20.
27. Financial Assessments saw a reduction in complaints, nine compared to 16 in 2019/20. Complaint concerned delays, poor communication, inaccurate information and dissatisfaction with decisions.
28. Financial Protection received two complaints, an increase from zero in 2019/20.
29. The Council investigated one complaint about a home (domiciliary) care provider (contracted service), the same number as 2019/20.
30. There was a significant decrease in complaints for Life Stages 26+, four compared to 13 in 2019/20. There were no common themes in the four complaints received.
31. There was a decrease in complaints for MCA/DOLS (Mental Capacity Act/Deprivation of Liberty Safeguards), two compared to three in 2019/20.
32. The Mental Health Team received seven complaints, an increase from six in 2019/20. Service provision was the most common cause of complaint.
33. Occupational Therapy received two complaints, a decrease from four in 2019/20.
34. Ongoing Assessment & Intervention Team (OAIT) received nine complaints a reduction from 12 in 2019/20. The most common themes were dissatisfaction with the outcome of assessments and service provision.
35. Provider Services did not receive any complaints, a reduction from one in 2019/20.
36. Responsive Integrated Assessment Care Team (RIACT) received five complaints, an increase from four in 2019/20. There was no common theme in the complaints received.
37. Short Term Assessment & Review Team (STAR) received two complaints, a decrease from six in 2019/20.

#### **Breakdown of Comments Received by Service Area/Team**

38. The Council received one comment for Occupational Therapy, an increase from zero in 2019/20.

### Breakdown of Complaints Received by Issue



39. The most common cause of complaint was service provision. The Council received 19 complaints about service provision an increase from 12 in 2019/20.
40. The second most common cause of complaint was dissatisfaction with a decision/assessment. In total the Council received nine complaints about this issue, a significant decrease from 23 in 2019/20.
41. The third most common cause of complaint was information. The Council received five complaints, the same number as in 2019/20.
42. The fourth most common causes of complaint were communication and staff attitude/behaviour. Complaints about communication were comparable to 219/20 while the Council saw a reduction in complaints about staff attitude/behaviour, compared to 10 in 2019/20.
43. Contracted services i.e. complaints about care home and home (domiciliary) care providers were the fifth most common cause of complaint. The Council receive the same number of complaint in relation to this issue as it did in 2019/20.
44. Charges/fees were the least common complained about issues. The Council saw a reduction from nine complaints in 2019/20.



### Complaint Outcomes

45. 36 complaint investigations were concluded during 2020/21. The outcomes of these complaints are detailed in the chart below.

Service Area/Team	Upheld	Partly Upheld	Not Upheld	Inconclusive	Withdrawn	Total
Care Homes (contracted service)	0	0	0	0	1	1
Financial Assessments	0	0	5	0	1	6
Financial Protection	0	0	0	1	1	2
Life Stage 26+	1	2	0	0	0	3
Mental Health	0	0	0	1	4	5
Occupational Therapy	0	0	1	0	0	1
Ongoing Assessment & Intervention Team (OAIT)	1	2	1	2	3	9
Provider Services	0	0	0	1	0	1
Responsive Integrated Assessment Care Team (RIACT)	1	2	0	0	2	5
Short Term Assessment and Review (STAR)	0	0	0	0	3	3
<b>Total</b>	<b>3</b>	<b>6</b>	<b>7</b>	<b>5</b>	<b>15</b>	<b>36</b>

#### Local Government Ombudsman Complaints Received 2020/21

46. Five adult social care complaints were progressed to the LGSCO during 2020/21, the same as in 2019/20.

#### Local Government Ombudsman Complaint Outcomes 2020/21

47. Four adult social care complaints were determined by the LGSCO during 2020/21, compared to five in 2019/20.
48. Full details of those complaints determined by the Local Government and Social Care Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).

### **Organisational Learning**

49. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints, a number of service improvements were made following complaint investigations during 2020/21, some of which are detailed below.

### **Life Stage 26+**

50. Following a complaint an internal investigation and a review of practice was completed by the Registered Manager into the handling of controlled medication.
51. As a result if the same complaint Holicote reviewed their policies and procedures in relation to holding funds for individuals using the short break service and ensured that staff are aware of how to support individuals and seek advice to resolve issues regarding expenditure.
52. Following a further complaint all Safeguarding Adult Managers were reminded that unless it would put the adult at further risk, the person alleged to have caused harm should have the opportunity to respond to the allegations against them and that the response should be shared in the Safeguarding Strategy meeting.

### **Providers Services**

53. Following a complaint it was agreed the Reablement Team would re-visit relevant Council training regarding dignity and respect and that training would be developed for staff in social care to be clear about the difference between a person's care needs and their needs as a carer. Staff were reminded of how their language can be perceived and of the need to accurately record conversations, including in relation to financial assessments. Social workers were also reminded of the need to inform individuals of the cancellation periods for domiciliary care and to share information relating to the online financial assessment tool. The website was also updated.

### **Ongoing Assessment & Intervention Team (OAIT)**

54. Following a complaint staff were reminded of their conduct when dealing with members of the public and to treat people with dignity and respect, whilst being clear about the remit of services.
55. Following a further complaint it was recommended staff receive further training on Direct Payments.

### **Performance against the Procedure**

56. As a result of COVID-19 the Assistant Director Law and Governance made a [Delegated Decision](#) on 23 March 2020 that gave approval for timescales not to be adhered to as a result of services diverting resources to the areas of greatest need.
57. The target for acknowledging receipt of complaints under the procedure is 3 working days.
58. 86.96% of complaints received during 2020/21 were acknowledged within the 3 working day timescale, a decrease from 93.94% in 2019/20.
59. There are no longer any statutory timescales for complaint responses, except that complainants should receive a response within six months. The procedure sets out a timescale for dealing with complaints solely about the Council's services i.e. 30 working days, although there are circumstances in which the investigator may agree an extension with the complainant. It also states that for joint health and social care complaints the complaints managers from the different organisations will work together to decide a reasonable timescale and agree this with the complainant. This is to ensure investigations are completed in a timely manner and within the maximum time allowed.
60. 27.8% of complaints were responded to within 30 working days, an increase from 22.4% in 2019/20.
61. 22.2% of complaints exceeded the maximum six month time limit, an increase from 10.4% in 2019/20.

### **Performance Indicator for 2020/21**

62. In relation to Adult Social Care complaints the Council's key performance indicator is the number of maladministration decisions received from the Local Government and Social Care Ombudsman. The Council received one maladministration decision during 2020/21, compared to five during 2019/20.
63. Full details of those complaints determined by the Local Government and Social Care Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).

### **Further recommendations**

64. Adult Services should now work to clear the backlog of complaints that has arisen during the pandemic and on doing so ensure any new complaints are responded to in a timely manner and that where an extension is required this is communicated to the complainant and properly recorded.

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# **DARLINGTON**

Borough Council

## **Children's Social Care Complaints, Compliments and Comments Annual Report 2020/21**

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## **Introduction**

1. Darlington Children's Social Care welcomes complaints, compliments and comments as a way of improving service delivery to children, young people and their families. The purpose of this report is to inform the service users, carers, the public, Council Members and Children's Social Care staff of the effectiveness of the Children's Social Care Complaints, Compliments and Comments Procedure (the Procedure). The report identifies topics and trends in relation to complaints information, makes suggestions for service improvements, where appropriate and identifies areas of organisational learning that have taken place in relation to people, policy and process.

## **The Law**

2. The Council is required by law to have management arrangements in place for considering children's social care representations, including complaints, under the Children Act 1989. National legislative procedures for social care were amended in September 2006 with the introduction of the Children Act 1989 Representation Procedure (England) Regulations 2006 (the Regulations). It is a requirement of the Regulations that the Council publishes an annual report. In addition to the Regulations the Department for Education and Skills produced some comprehensive guidance for local authorities on managing complaints, called 'Getting the Best from Complaints'.
3. Key features of the Regulations include:
  - (a) A requirement for local authorities to appoint a Complaints Manager;
  - (b) A requirement for review panels to be retained by local authorities but with more robust arrangements for constituting and running them; and
  - (c) A 12 month time limit to make complaints.

## **Complaints and Information Governance Team**

4. The Complaints and Information Governance Manager is appointed as the 'Complaints Manager' in accordance with the requirements of the Regulations. The Complaints and Information Governance (CIG) Team is independent of Children's Social Care operational line management. This ensures a high level of independence in the way children's social care complaints are managed within the Council.

## **Public Information**

5. We are committed to making sure that everyone has equal access to all our services, including the Procedure. To help make the Procedure easily accessible we have produced two leaflets (one for children and young people and one for adults) covering all Council services to reflect the single point of access for complainants within the Council. The leaflets are available in all Council buildings. They have been written in line with the Plain English Campaign standards. The title is written in the most commonly used community languages and it contains details on how to access the information in other formats, for example, large print, audio and Braille.

6. Information is available on the Council's website. There is also an electronic form which people can use to make a complaint, pay someone a compliment or pass comment on Council services. People may make a complaint in any format they wish.
7. This can be in writing, by email, via the web, over the phone, in person or by any other reasonable means.
8. The Complaints Manager can arrange advocates and interpreters (including British Sign Language interpreters) where appropriate.



## **Children's Services Social Care Complaints Process**

### **Stage 1 – Local Resolution**

9. This initial stage allows children's social care managers the opportunity to try and resolve complaints locally, usually within the team being complained about.

### **Stage 2 – Investigation**

10. Stage 2 involves a full and formal investigation. An 'Independent Person' must also be appointed to oversee the investigation and report independently to Children's Social Care Services. Both the Investigating Officer and Independent Person produce reports, which are submitted to a senior manager who writes the final response to the complainant.

### **Stage 3 – Review Panel**

11. A review panel is convened when the complainant is dissatisfied with the Stage 2 response. The panel consists of an independent chairperson and two individuals who are independent of the Council.

### **The Local Government and Social Care Ombudsman**

12. Although complainants can refer complaints at any stage to the Local Government and Social Care Ombudsman (LGSCO) they will not normally investigate until the Council has conducted its own investigation and provided a response.

### **External Support to the Complaints Process**

#### **Advocacy**

13. The Council commissions an advocacy service for children and young people who make a complaint. This is an independent service provided by NYAS.

#### **Investigating Officers**

14. While the Regulations do not require Investigating Officer's to be independent of the Council, we have signed up to a contract for the provision of Independent Investigating Officers.

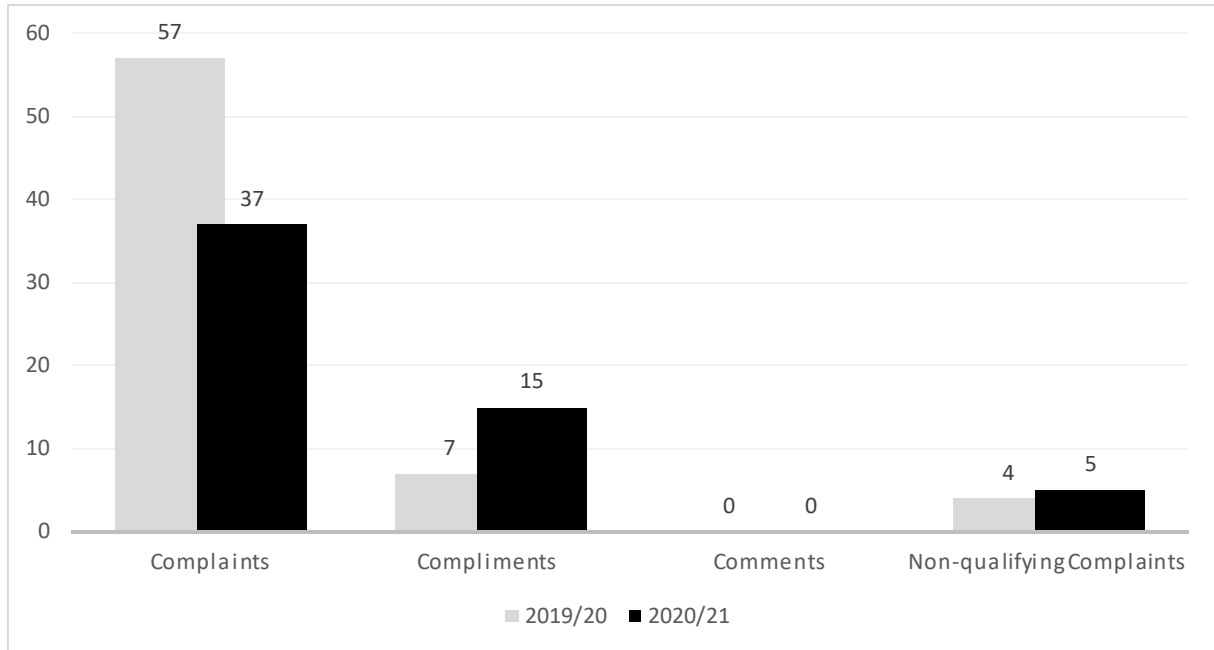
#### **Independent Persons**

15. The Council has signed up to a contract for the provision of Independent Persons.

#### **Review Panels**

16. The Council has also signed up to a contract for the provision of an Independent Chair and Independent Panellist service.

### Total Complaints, Compliments and Comments received



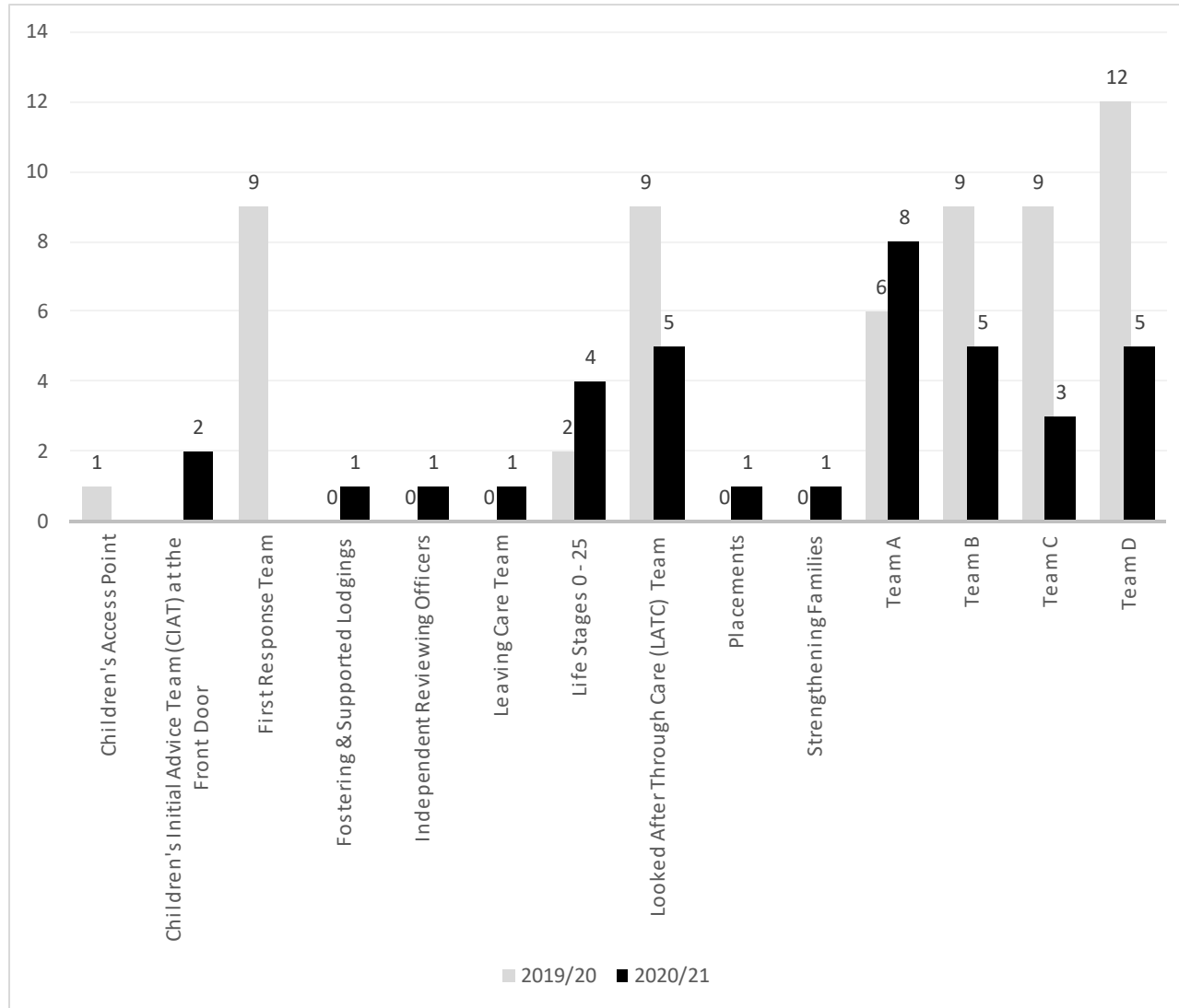
17. The Council received 37, a decrease from 57 during 2019/20.

18. The Council received 15 compliments, an increase from seven during 2019/20.

19. The Council received zero comments, the same as in 2019/20.

20. The Council received five non-qualifying complaints, an increase from four in 2019/20.

**Breakdown of Stage 1 Complaints by Service Area/Team**

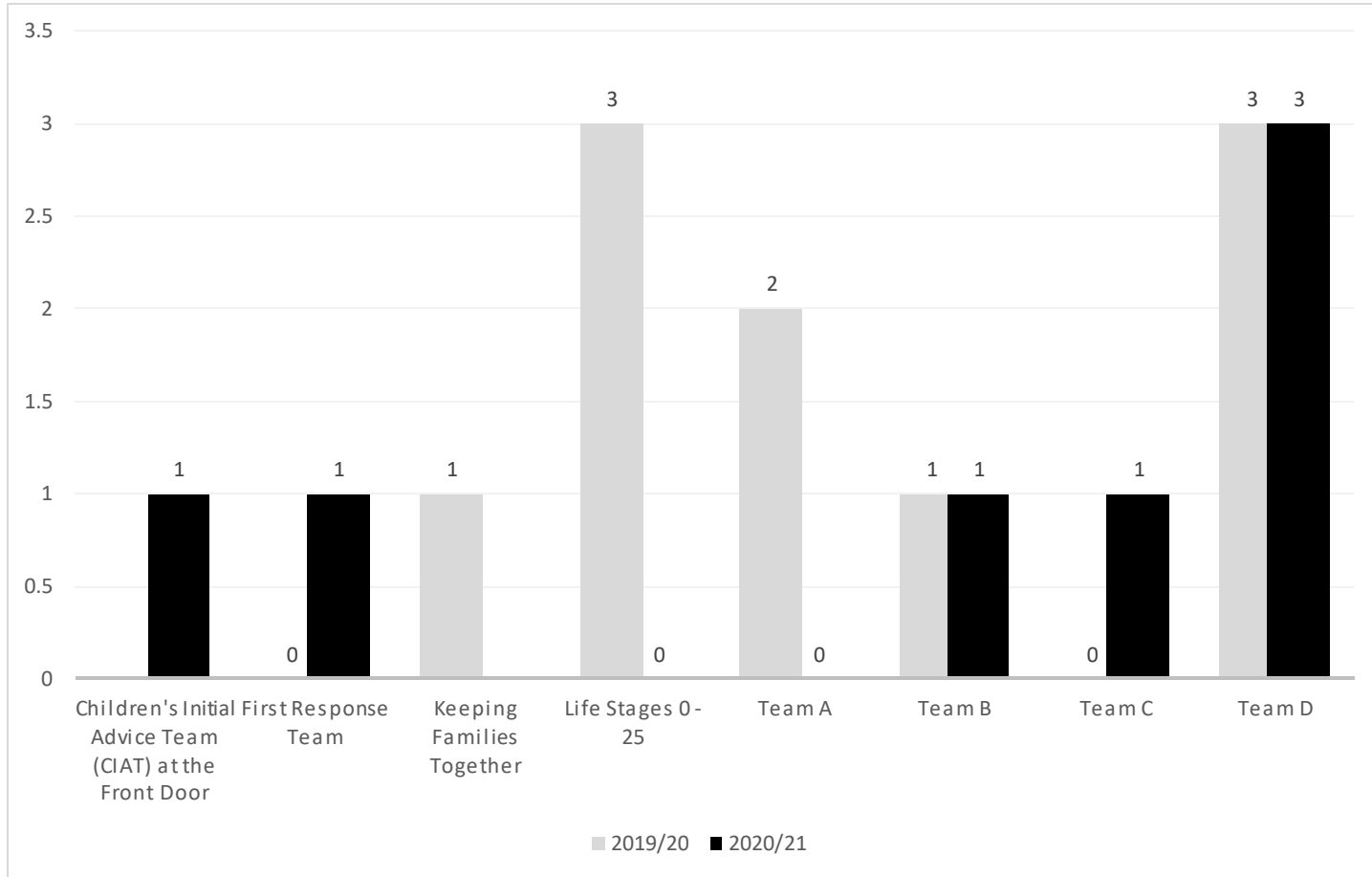


*N.B. Those teams that are not listed did not receive any complaints during 2020/21. Comparison data is not available for all teams due to changes in the Council's organisational structure.*

21. Children's Initial Advice Team (CIAT) at the Front Door received two complaints, compared to one for Children's Access Point in 2019/20.
22. Life Stages 0 – 25 received four complaints, an increase from two in 2019/20.
23. Looked After Through Care (LATC) Team saw a significant decrease in complaints, five compared to nine in 2019/20.
24. While absorbing the work of the First Response Team through the reconfiguration of the front door, Teams A to D also saw a significant reduction overall in the number of complaints received.

### Breakdown of Stage 2 Complaints by Service Area/Team

25. Seven complaints were escalated to Stage 2 during 2020/21, a decrease from 10 in 2019/20.



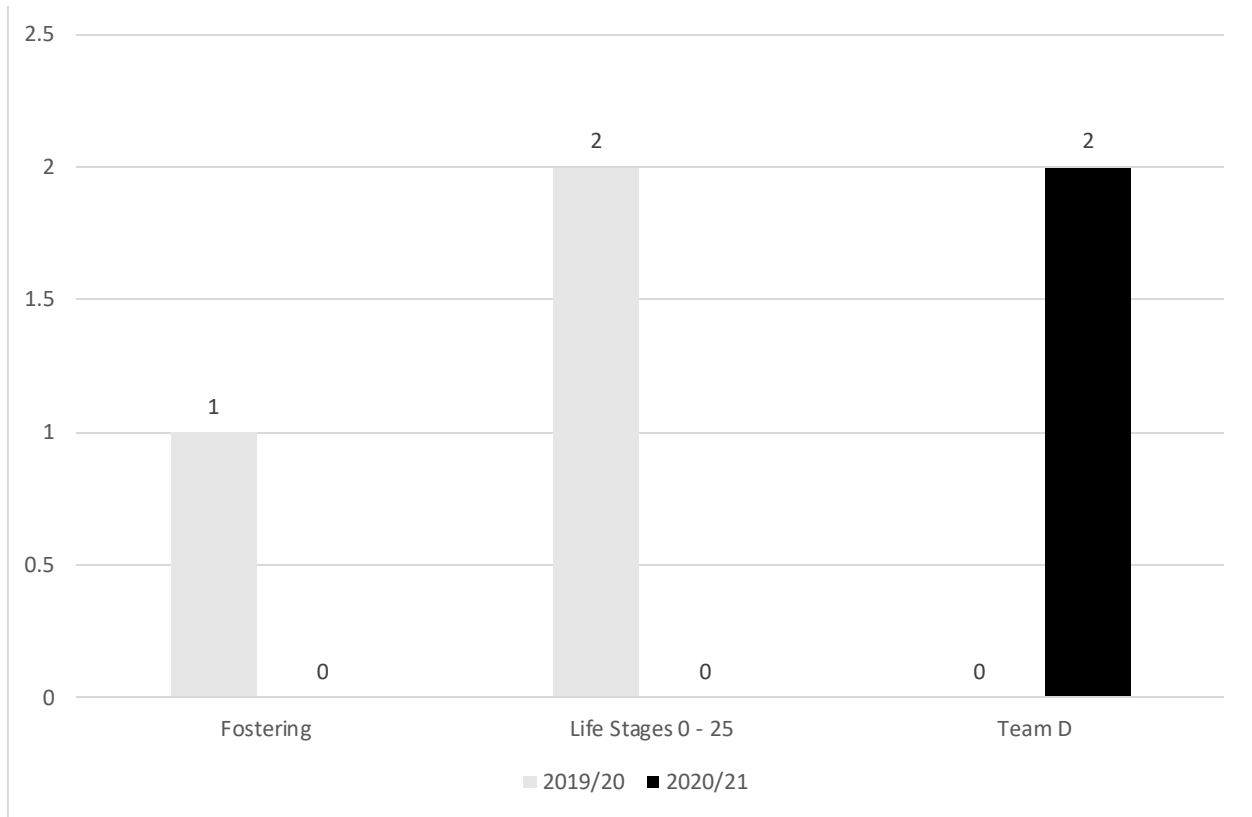
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*N.B. Those teams that are not listed did not receive any complaints during 2020/21. Comparison data is not available for all teams due to changes in the Council's organisational structure.*

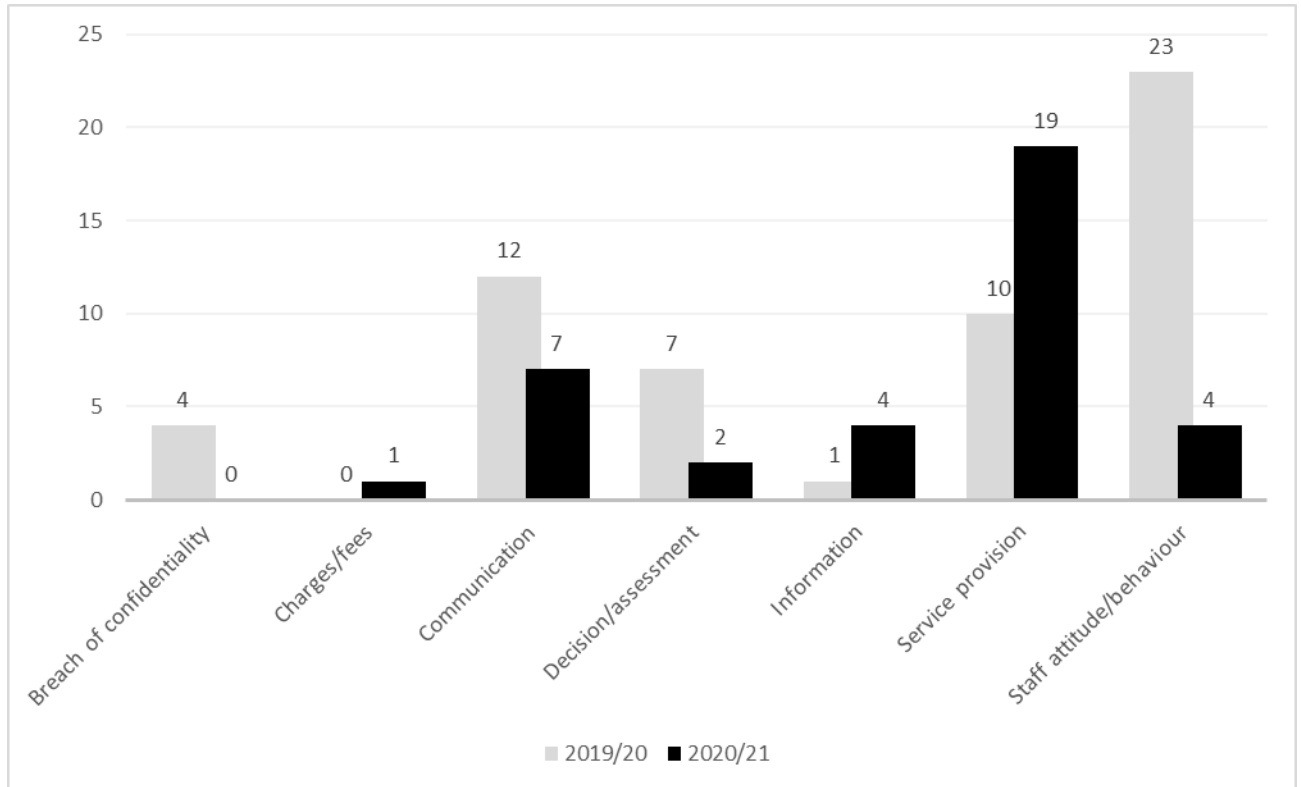
26. Children's Initial Advice Team (CIAT) at the Front Door received one complaint, compared to zero for Children's Access Point in 2019/20.
27. Life Stages 0 – 25 Team saw a decrease from three to zero complaints compared to 2019/20.
28. Team A saw a decrease from two to zero complaints compared to 2019/20.
29. Despite the significant reduction in the overall the number of complaints received by Teams A to D during 2020/21, there was a slight increase in the number that were escalated to Stage 2.

### Breakdown of Stage 3 complaints by Service Area/Team

30. Two complaints were escalated to Stage 3 during 2020/21, a decrease from three in 2019/20.



### Breakdown of complaints by Issue



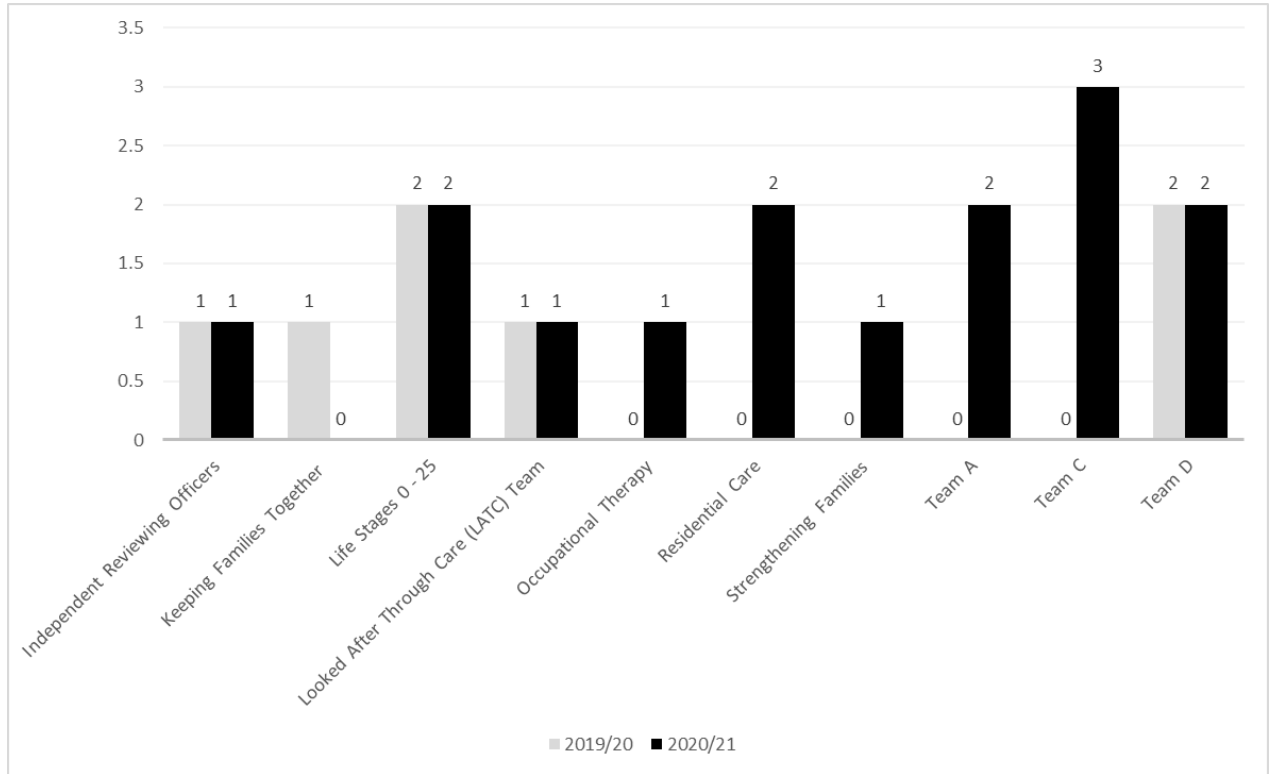
31. Service/provision was the most commonly complained about issue. The Council received 19 complaints about this issue, an increase from 10 in 2019/20.
32. Communication was the second most complained about issue. While that is the case the Council saw a decrease in complaints about communication, seven compared to 12 in 2019/20.
33. The third most complained about issues were staff attitude/behaviour and information. The Council saw a significant decrease in complaints about staff attitude behaviour during 2020/21, receiving only four complaints compared to 23 in 2019/20. The Council saw an increase of three complaints in relation to information.
34. The fourth most complained about issue was the outcome of a decision/assessment. Again the Council saw a decrease in complaints in this area receiving two compared to seven in 2019/20.
35. The least complained about issue was charges/fees. The Council received one complaint about this issue an increase from zero in 2019/20.



### Breakdown of Comments by Service Area/Team

36. The Council did not receive any comments during 2020/21, as was the case in 2019/20.

### Breakdown of Compliments by Service Area/Team



37. The Council saw an increase in compliments, 15 compared to seven in 2019/20.

### Complaint Outcomes

**Stage 1** - The below table shows the decisions reached on Stage 1 complaints during 2020/21.

Service Area/Team	Closed With No Response	Escalated to Stage 2 (No S1 Response)	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Team A	0	0	0	4	2	1	0	7
Team B	0	0	0	1	2	1	1	5
Team C	0	0	0	1	2	0	0	3
Team D	0	0	0	2	2	0	1	5
Leaving Care Team	0	0	0	1	0	0	0	1
Looked After Through Care (LATC) Team	0	0	0	0	4	1	0	5
Safeguarding Team A	0	0	0	0	1	0	1	2
Safeguarding Team B	0	0	0	0	0	0	1	1
Safeguarding Team C	0	0	0	1	0	0	0	1
Safeguarding Team D	0	0	0	2	0	1	0	3
Independent Reviewing Officers	0	0	0	1	0	0	0	1
Strengthening Families	0	0	0	1	0	0	0	1
Children's Initial Advice Team (CIAT) at the Front Door	0	0	0	2	0	0	0	2
Life Stages 0 - 25	0	0	0	1	2	1	0	4
Placements	0	0	0	0	0	1	0	1
Fostering & Supported Lodgings	0	0	0	0	0	1	0	1
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>17</b>	<b>15</b>	<b>7</b>	<b>4</b>	<b>43</b>

**Stage 2** - The below table shows the decisions reached on Stage 2 complaints during 2020/21.

<b>Service Area/Team</b>	<b>Inconclusive</b>	<b>Not Upheld</b>	<b>Partially Upheld</b>	<b>Upheld</b>	<b>Withdrawn</b>	<b>Total</b>
Team D	0	0	0	1	0	<b>1</b>
Safeguarding Team B	0	0	1	0	0	<b>1</b>
Safeguarding Team D	0	0	3	1	0	<b>4</b>
First Response Team	0	1	0	0	0	<b>1</b>
Keeping Families Together	0	0	0	1	0	<b>1</b>
<b>Total</b>	<b>0</b>	<b>1</b>	<b>4</b>	<b>3</b>	<b>0</b>	<b>8</b>

**Stage 3** - The below table shows the decisions reached on Stage 3 complaints during 2020/21.

<b>Service Area/Team</b>	<b>Inconclusive</b>	<b>Not Upheld</b>	<b>Partially Upheld</b>	<b>Upheld</b>	<b>Withdrawn</b>	<b>Total</b>
Team D	0	0	1	0	0	<b>1</b>
Safeguarding Team D	0	0	1	0	0	<b>1</b>
<b>Total</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>

## **Local Government and Social Care Ombudsman (LGSCO) Complaints**

38. Two complaints were referred to the LGSCO during 2020/21, an increase from one in 2019/20.

39. Two complaints were determined by the LGSCO during 2020/21, compared to one in 2019/20.

## **Organisational Learning**

40. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints several service improvements were made following complaint investigations during 2020/21. Some examples of these are detailed below.

## **Placements**

41. Following a complaint for Placements the Registered Manager discussed the unhelpful response with staff following a neighbour raising an issue about one of the children in the residential care home with the home.

## **Team A**

42. Following a complaint for Team A the Team Manager addressed communication issue with social worker and reminded them to ensure that parents are informed in a timely manner of any key decisions or changes for their children, especially when they are placed outside of their care.

## **Team B**

43. Following a complaint for Team B the Team Manager raised importance of checking who has PR with a social worker, prior to seeking consent to work with a child.

## **Team D**

44. Following a complaint for Team D the Team Manager reminded social workers to check personal details for families are correct to reduce the likelihood of data breaches and shared the Data Protection Officer's advice for avoiding data breaches.

45. Following another complaint for Team D it was recommended that Darlington Children Services develop procedures and practice guidance to support and guide front line practitioners to put into effect Darlington's Equality Policy.

46. Following a further complaint for Team D it was agreed Children's Social Care should remind staff of the importance of detailing and recording conversations with family members during home visits, which captures the events / details that have been discussed, agreed and any further actions. It would be also beneficial that a recap of such discussions are made with the family members to ensure factual accuracy.

### **Keeping Families Together**

47. Following a complaint for Keeping Families Together it was agreed the strategies in place to reduce the number of changes of social worker for families should continue to be implemented and social workers bringing cases for discussion at Keeping Families Together panel would be required to provide evidence that parents had given informed consent for Keeping Families Together to work with their family.

### **Looked After Through Care (LATC) Team**

48. Following a complaint for LATC all Social workers within the LATC have attended training on relational and restorative practice and will continue to be supported to embed this practice further. Social Workers were also reminded within supervisions and Team Meetings to ensure parents are invited to meetings and consulted in relation to potential changes within a child's placement and education. An email was also sent to all social workers and contact supervising officers to reiterate that any concerns raised by parents are to be accurately recorded in a timely manner on the Local Authorities Liquid Logic database.

## **Performance against the Children's Social Care Complaints, Compliments and Comments Procedure**

49. As a result of COVID-19 the Assistant Director Law and Governance made a [Delegated Decision](#) on 23 March 2020 that gave approval for timescales not to be adhered as a result of services diverting resources to the areas of greatest need.

50. The below performance measures are in relation to those complaints responded to during 2020/21.

### **Timescales**

#### **Stage 1**

51. The target for responding to a complaint at Stage 1 is 10 working days, with a possible extension of up to 20 working days if the complaint is complex.

- (a) 53.66% of Stage 1 complaint responses were sent within 10 working days. This was an increase in performance from 33.4% in 2019/20.
- (b) A further 17.07% of Stage 1 complaint responses were sent within 20 working days.
- (c) In total 70.73% of Stage 1 complaint responses were sent within the maximum 20 working day timescale, a decrease in performance from 74.7% in 2019/20.

#### **Stage 2**

52. The target for responding to a complaint at Stage 2 is 25 working days, extendable up to a maximum of 65 working days.

- (a) 0% of Stage 2 complaint responses were sent within 25 working days during 2020/21, as was the case in 2019/20.
- (b) 37.5% of Stage 2 complaint responses were sent within the maximum timescale allowed (65 working days), an increase in performance from 10% in 2019/20.
- (c) 62.5% of Stage 2 complaint responses were sent after 65 working days, an increase in performance from 90% in 2019/20.

#### **Stage 3**

53. At Stage 3 the Review Panel should be held within 30 working days of the request. 100% of Review Panels were held within 30 working days.

54. The Review Panel should write to the Director within 5 working days of the panel. They did so in 100% of cases.

55. The Director should write to the complainant within 15 working days of receiving the Panel's response. The Director wrote to the complainants within 15 working days in 100% of cases, an increase in performance from 66.66% of cases in 2019/20.

#### **Performance against key performance indicators**

56. In relation to children's social care complaints the Council's key performance indicator is the number of maladministration decisions received from the Local Government and Social Care Ombudsman (LGSCO). The Council received one maladministration decision during 2020/21, an increase from zero in 2019/20.

57. Full details of those complaints determined by the Local Government and Social Care Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).

#### **Further recommendations**

58. Children's Services should now continue to work to improve performance against the Stage 1 and Stage 2 timescales for Children's Social Care complaints.

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# **DARLINGTON**

Borough Council

## **Corporate Complaints, Compliments and Comments Annual Report 2020/21**

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## **Introduction**

1. This report provides an analysis of the complaints, compliments and comments received by the Council during 2020/21 under the Corporate Complaints, Compliments and Comments Procedure (the corporate procedure). The purpose of the report is to identify topics and trends in relation to complaints; identify areas of organisational learning that have taken place over the past year as a result of the complaints received and make further recommendations based on trend data to improve services. The report also highlights those areas of good practice within the Council and seeks to identify topics and trends in relation to comments made by members of the public so the Council can also take action where appropriate to improve services.
2. In addition to the statistical information presented in this report it is important to recognise the work of the Complaints and Information Governance (CIG) Team that underpins this in terms of promoting an organisational culture in which complaints are recognised, accepted, owned and resolved as efficiently and as close to the point of service delivery as possible.

## **Corporate Complaints, Compliments and Comments Procedure**

3. The corporate procedure sets out how the Council will deal with all complaints, compliments and comments received with the exception of those received in relation to adult and children's social care services, social housing, public health and Members which will be dealt with under separate procedures.
4. The corporate procedure has two stages. Stage 1 is a local resolution stage where we try to resolve those complaints that cannot be resolved immediately as part of our day to day business. Stage 1 complaints are dealt with locally, that is within the service being complained about. We aim to resolve the majority of complaints at Stage 1 of the corporate procedure.
5. Stage 2 is a formal investigation stage where complaints will usually be investigated by the Council's Complaints Investigator, the Complaints and Information Governance Manager or another officer independent of the service being complained about.
6. If the complainant remains dissatisfied following a Stage 2 investigation they may refer the matter to the Local Government and Social Care Ombudsman.

## **Public Information and Accessibility**

7. We are committed to making sure that everyone has equal access to all our services. To help make sure the Council's complaints procedures are easily accessible we have produced two leaflets (one for children and young people and one for adults) covering all Council services to reflect the single point of access for complainants within the Council. The leaflets are available in all Council buildings. They have been written in line with the Plain English Campaign standards. The title is written in the most commonly used community languages and it contains details on how to access the information in other formats, for example, large print, audio and Braille.

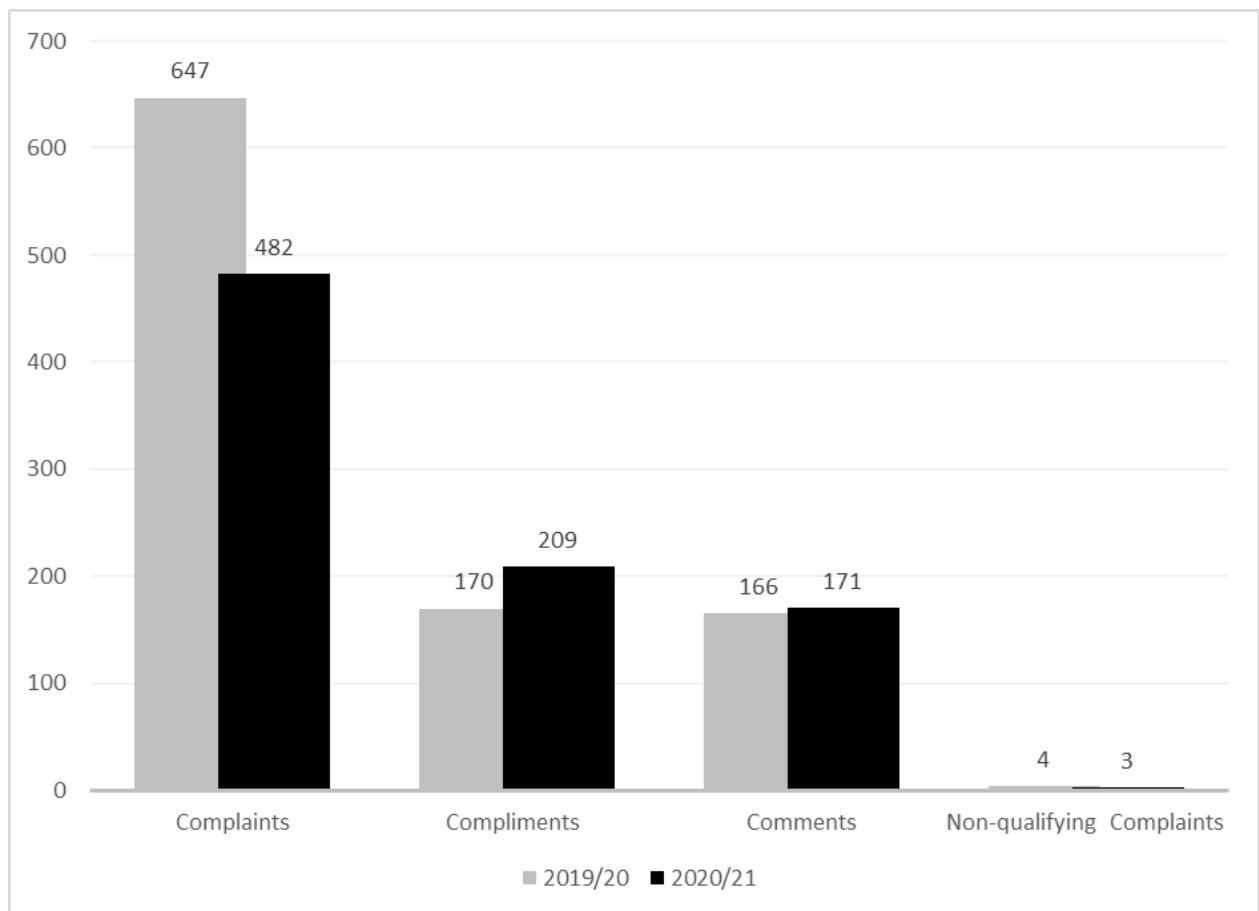
8. Information is available on the Council's website which contains an electronic form people can use to make a complaint, pay someone a compliment or pass comment on Council services. People may make a complaint in any format they wish. This can be in writing, email, via the web, over the phone, in person or by any other reasonable means.
9. The Complaints and Information Governance Manager can arrange advocates and interpreters (including British Sign Language interpreters) where appropriate.

## Complaints Information and Organisational Learning

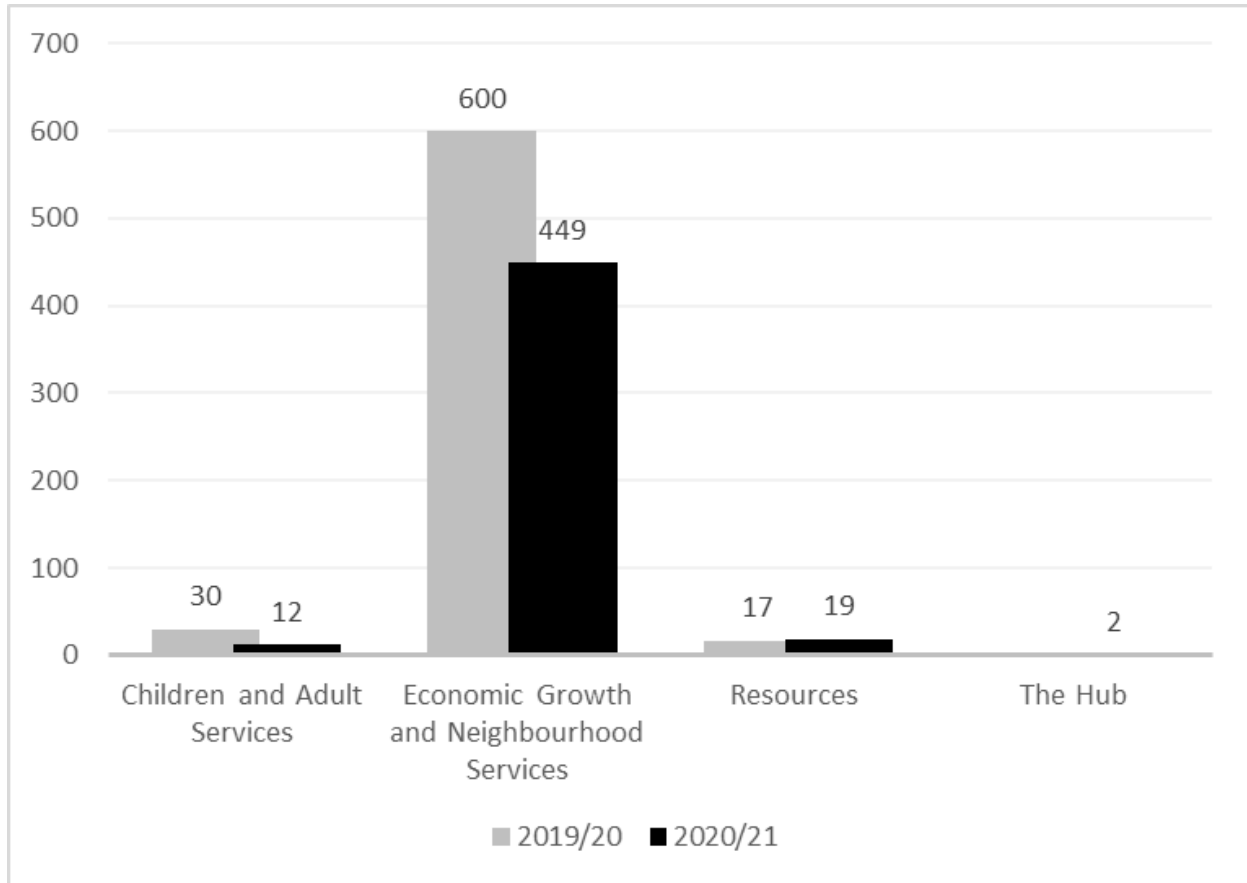
### Overview of Complaints, Compliments and Comments

10. Between 1 April 2020 and 31 March 2021 the Council received a total of 865 representations under the corporate procedure, a decrease from 987 in 2019/20.
11. The Council received 482 complaints, a decrease from 647 in 2019/20. 457 complaints were initially dealt with at Stage 1 of the corporate procedure, whilst 24 were initially dealt with at Stage 2. One complaint was sent directly to the Local Government and Social Care Ombudsman who made a decision without referring the complaint to the Council in the first instance. 26 Stage 1 complaints were escalated to Stage 2 following a Stage 1 investigation. In total 50 complaints were investigated at Stage 2, a decrease from 59 in 2019/20.
12. The Council received 209 compliments, an increase from 170 in 2019/20.
13. The Council received 171 comments, an increase from 166 in 2019/20.
14. The Council also received three non-qualifying complaints, a decrease from four in 2019/20.

### Total Complaints, Compliments and Comments



### Complaints by Department



*N.B. Comparison data is not available for The Hub which was set up in the early stages of the COVID-19 pandemic.*

15. Children and Adult Services received 12 complaints, a decrease from 30 in 2019/20.

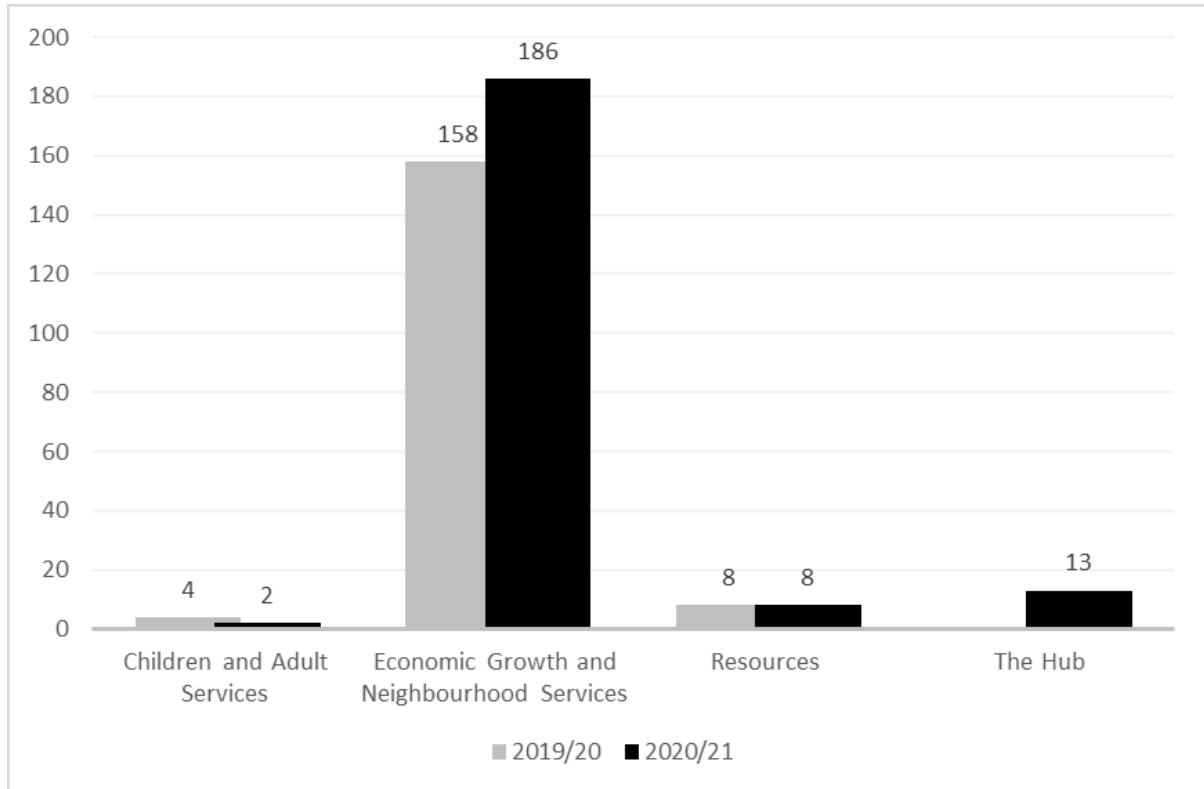
*N.B. The majority of complaints about Children and Adult Services are detailed in either the Children’s or Adult Social Care Complaints, Compliments and Comments Annual Report 2020/21.*

16. Economic Growth and Neighbourhood Services received 449 complaints, a decrease from 600 in 2019/20.

17. Resources received 19 complaints, an increase from 17 in 2019/20.

18. The Hub received two complaints.

### Compliments by Department



*N.B. Comparison data is not available for The Hub which was set up in the early stages of the COVID-19 pandemic.*

19. Children and Adult Services received two compliments, a decrease from four in 2019/20.

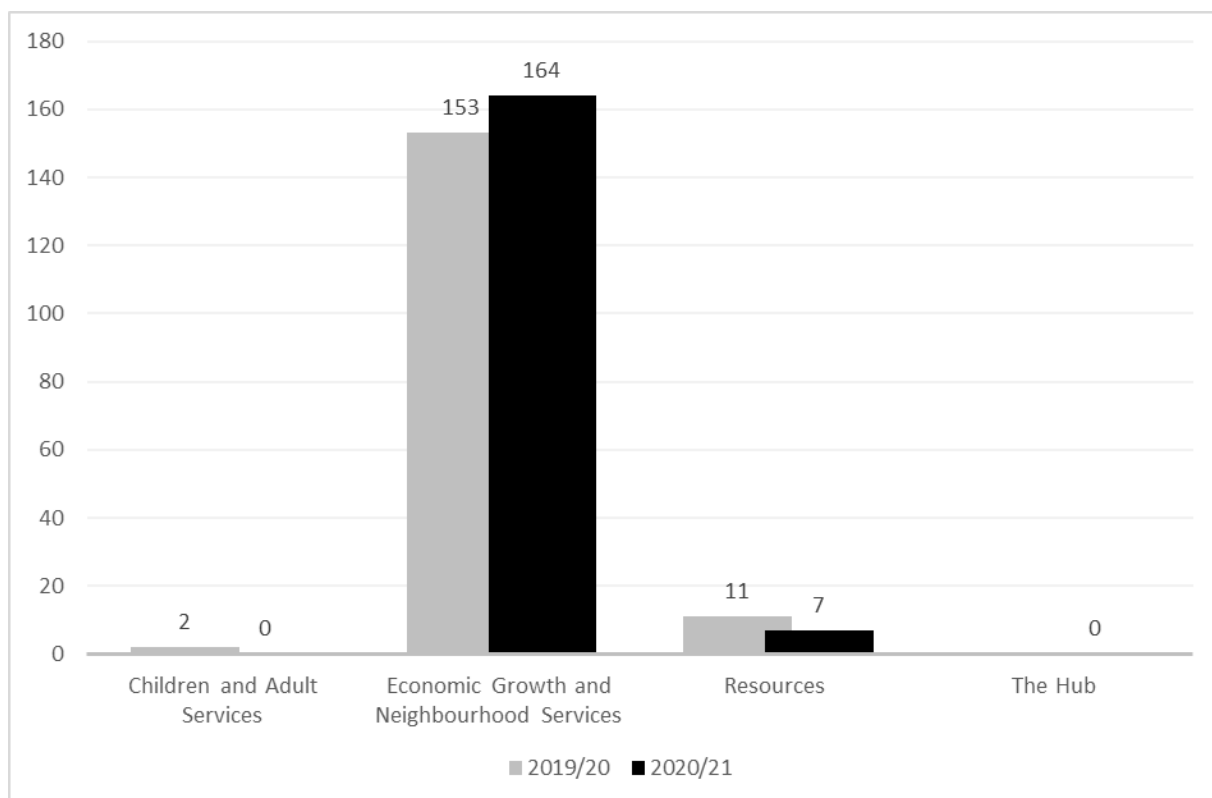
*N.B. The majority of compliments about Children and Adult Services are detailed in either the Children's or Adult Social Care Complaints, Compliments and Comments Annual Report 2020/21.*

20. Economic Growth and Neighbourhood Services received 186 compliments, an increase from 158 in 2019/20.

21. Resources received eight compliments, as was the case in 2019/20.

22. The Hub received 13 compliments.

### Comments by Department

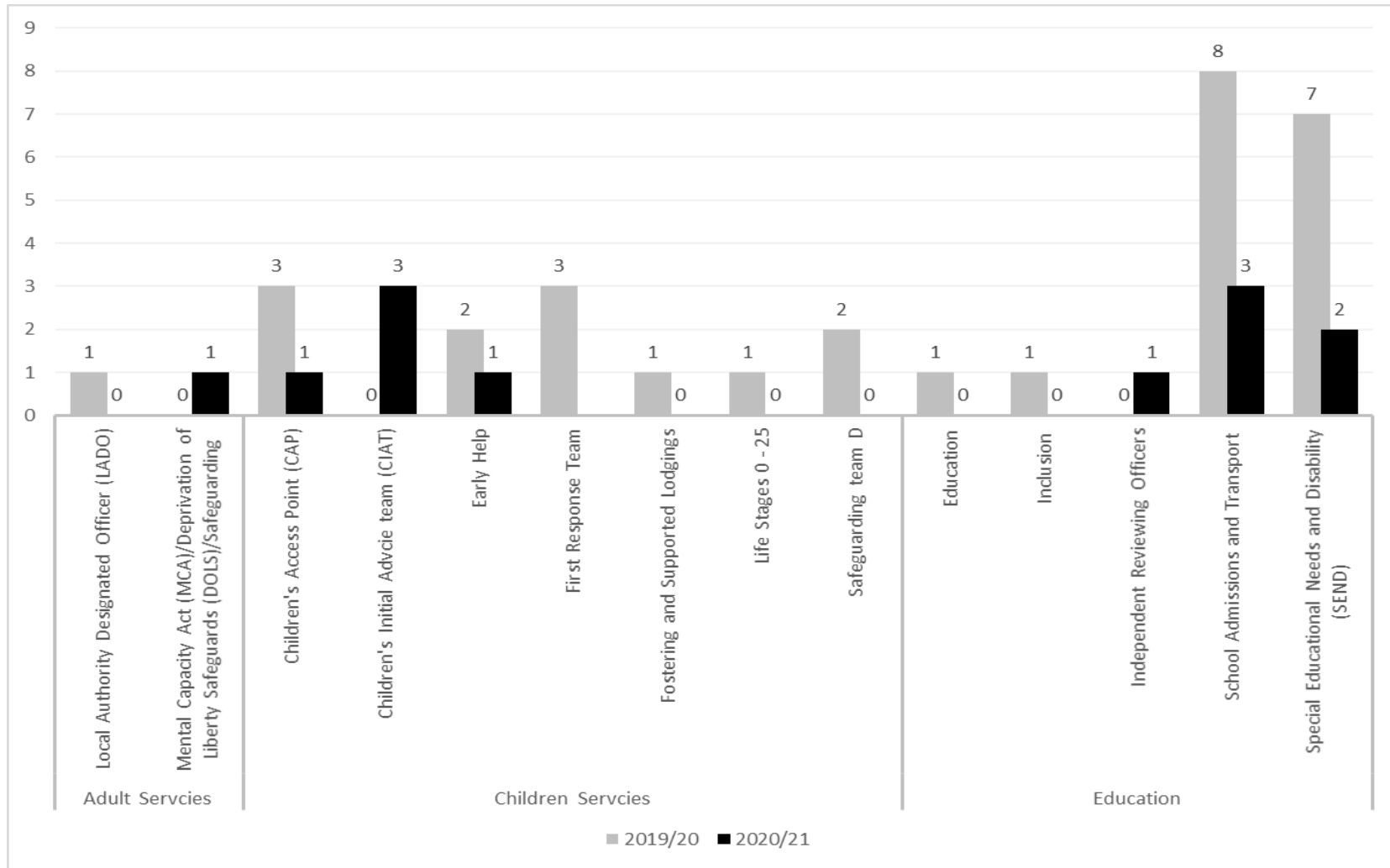


*N.B. Comparison data is not available for The Hub which was set up in the early stages of the COVID-19 pandemic.*

- 23. Children and Adult Services received zero comments, a decrease from two in 2019/20.
- 24. Economic Growth and Neighbourhood Services received 164 comments, an increase from 153 in 2019/20.
- 25. Resources received seven comments, a decrease from 11 in 2019/20.
- 26. The Hub received zero comments.



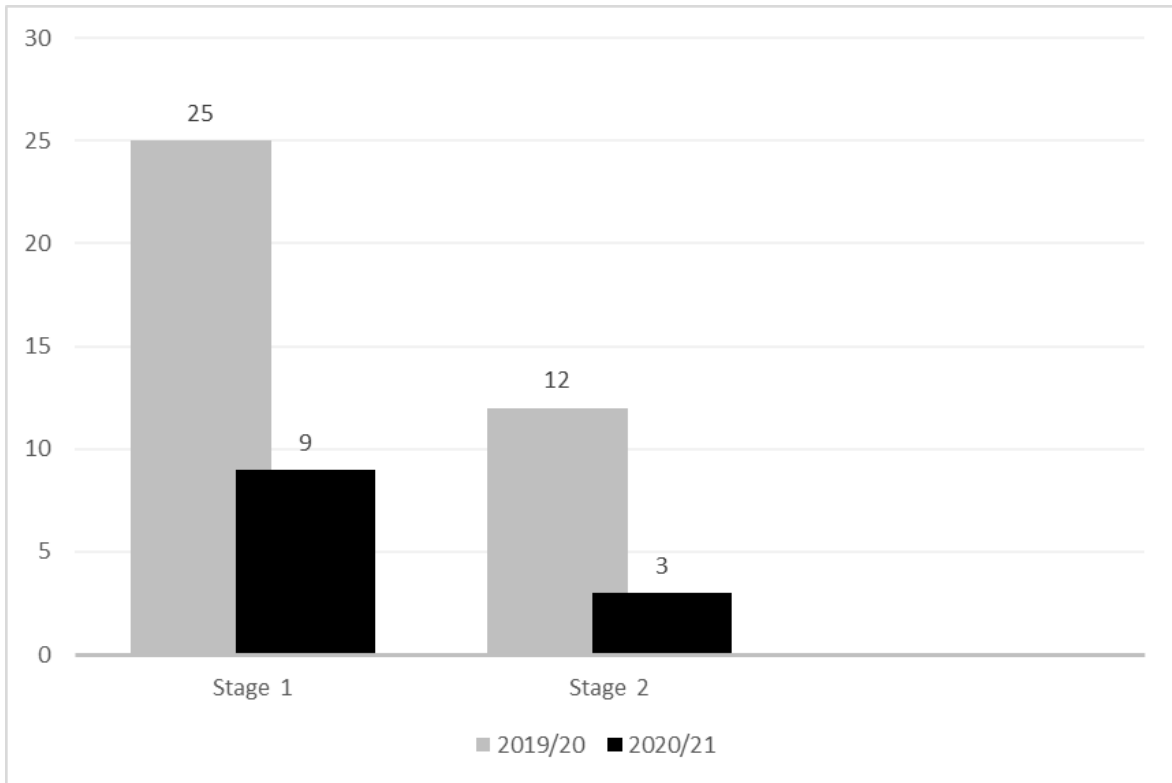
**Complaints, Compliments and Comments by Department Children and Adult Services**  
**Complaints by Service Area/Team**



*N.B. Comparison data is not available for First Response Team teams due to changes in the Council's organisational structure.*

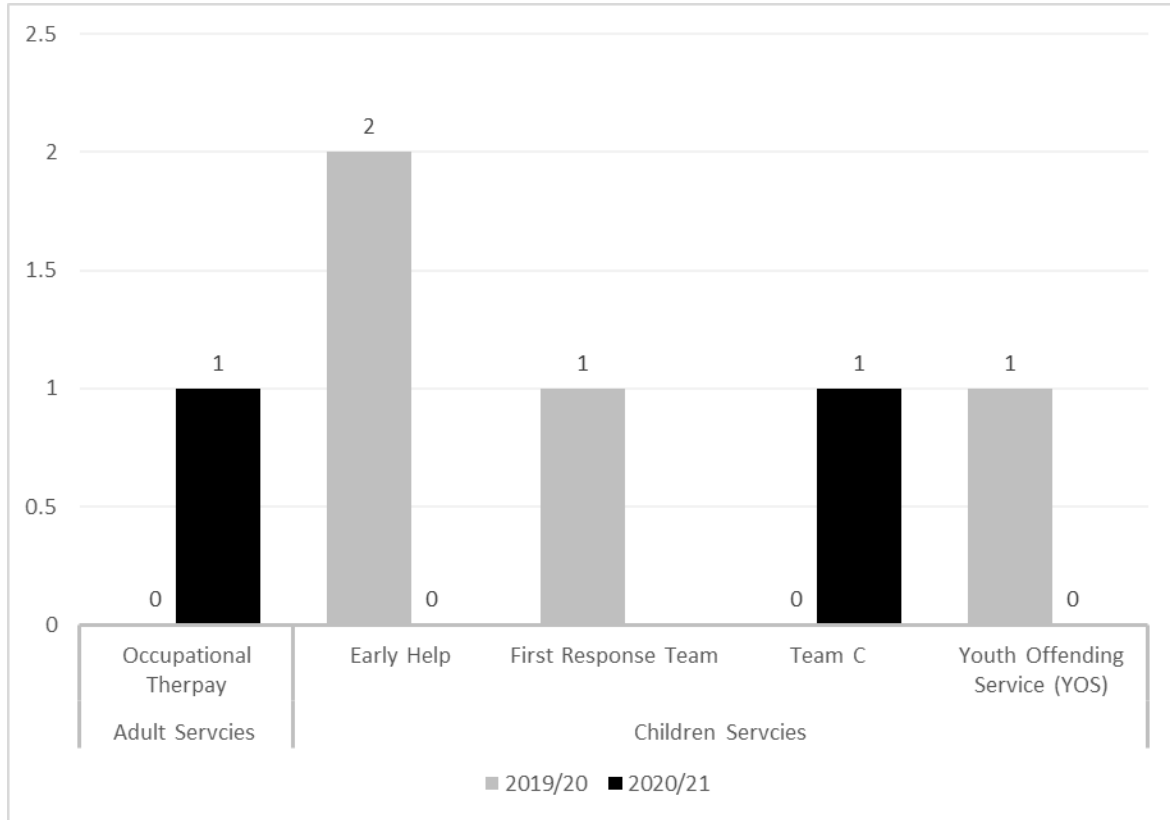
27. Children and Adults Services received 12 complaints, a significant decrease from 30 in 2019/20. This was primarily as a result of the decrease in complaints for School Admissions and Transport and SEND, in relation to School Transport and Education Health Care (EHC) Plans.

**Complaints by Stage**



28. Three complaints were escalated directly to Stage 2.

### Compliments by Service Area/Team

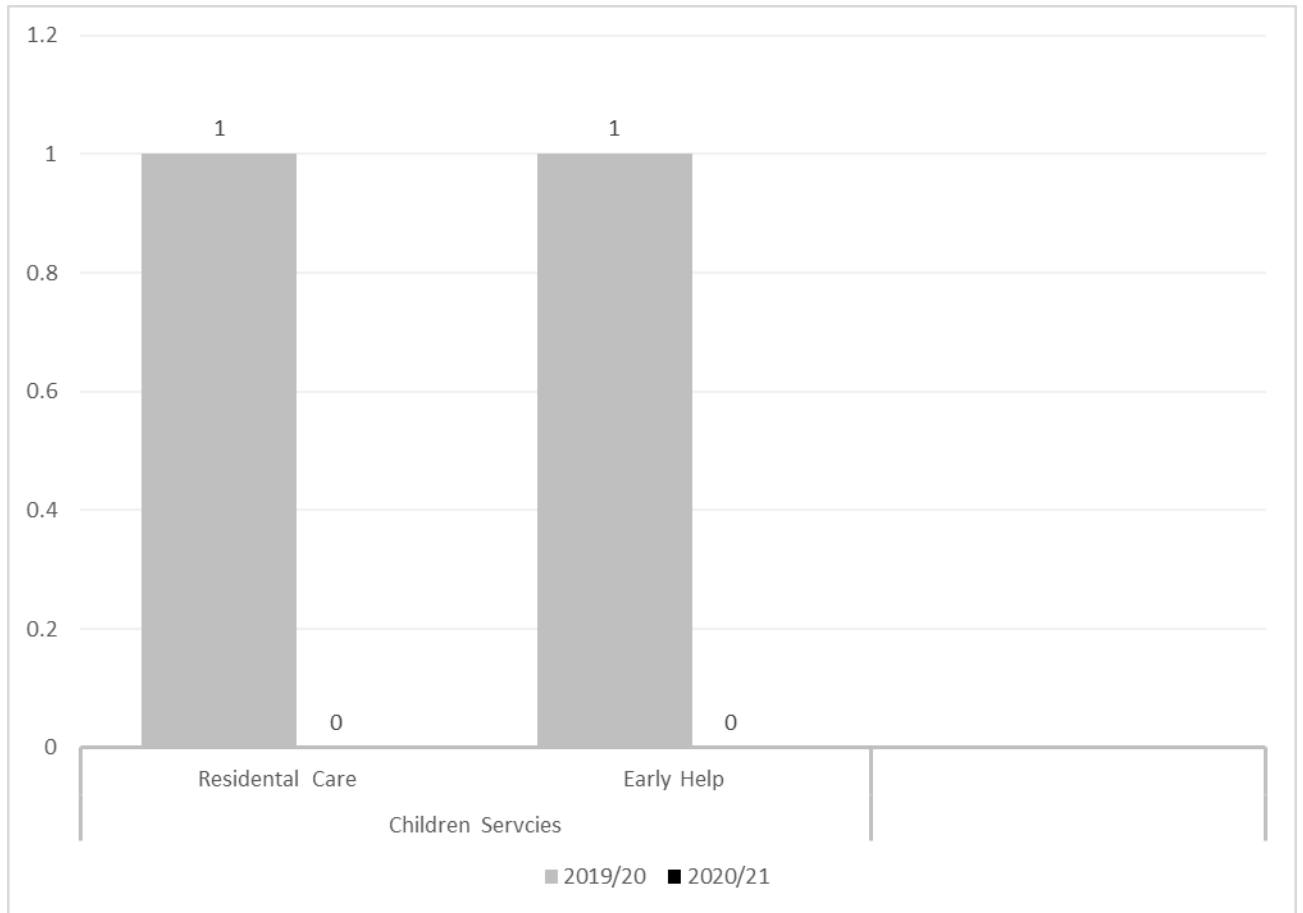


29. Children and Adult Services received two corporate compliments, a decrease from four in 2019/20.

*N.B. Comparison data is not available for First Response Team teams due to changes in the Council's organisational structure.*

*The majority of compliments about Children and Adult Services are detailed in either the Children's or Adult Social Care Complaints, Compliments and Comments Annual Report 2020/21.*

### Comments by Service Area/Team



30. Children and Adults Services received zero corporate comments, a decrease from two in 2019/20.

### Complaints by Outcome

31. The below tables show the decisions reached on complaints during 2020/21.

#### Stage 1 Outcomes

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Children's Access Point	0	0	0	1	1	2
First Response Team	1	0	0	0	0	1
Early Help Co-ordinator	0	0	1	0	0	1
Children's Initial Advice Team (CIAT)	0	2	0	0	1	3
SEND	0	0	0	2	0	2
School Admissions & Transport	0	1	1	1	0	3
<b>Totals</b>	<b>1</b>	<b>3</b>	<b>2</b>	<b>4</b>	<b>2</b>	<b>12</b>

#### Stage 2 Outcomes

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Children's Access Point	0	0	1	0	0	1
Independent Reviewing Officers	0	1	0	0	0	1
SEND	0	0	0	1	0	1
<b>Totals</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>3</b>

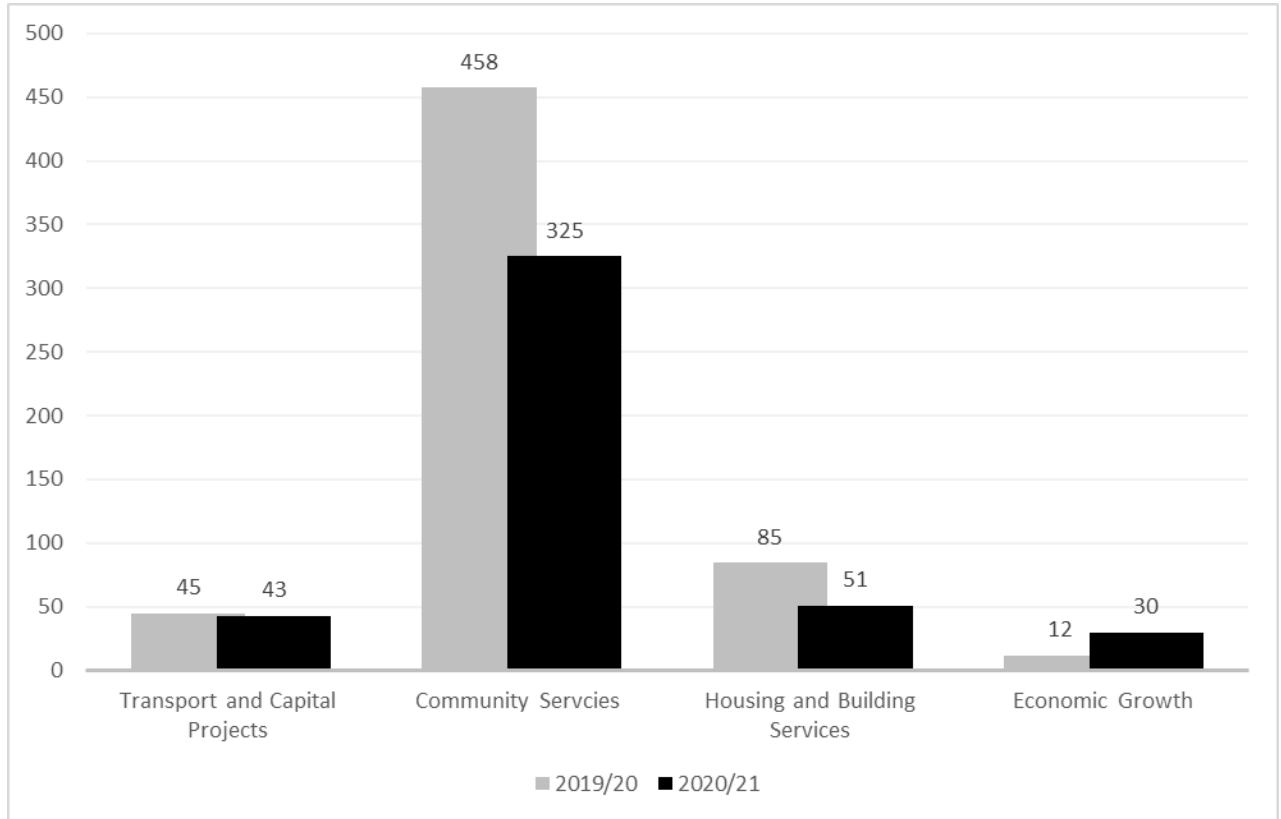
## **Organisational Learning**

32. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints, a number of service improvements were made following complaint investigations during 2020/21.
33. Following a complaint for the Children's Initial Advice Team (CIAT), as a training issue social workers were advised to let the caller know that if they are quite they have not gone off the line, they are simply listening and writing notes.
34. Following a complaint for School Admissions & Transport a process was agreed in relation to handing over information when an officer leaves the service.
35. Following a further complaint for School Admissions & Transport the taxi operator was advised to make sure drivers check passengers have buckled their seatbelts before departing.

## Economic Growth and Neighbourhood Services

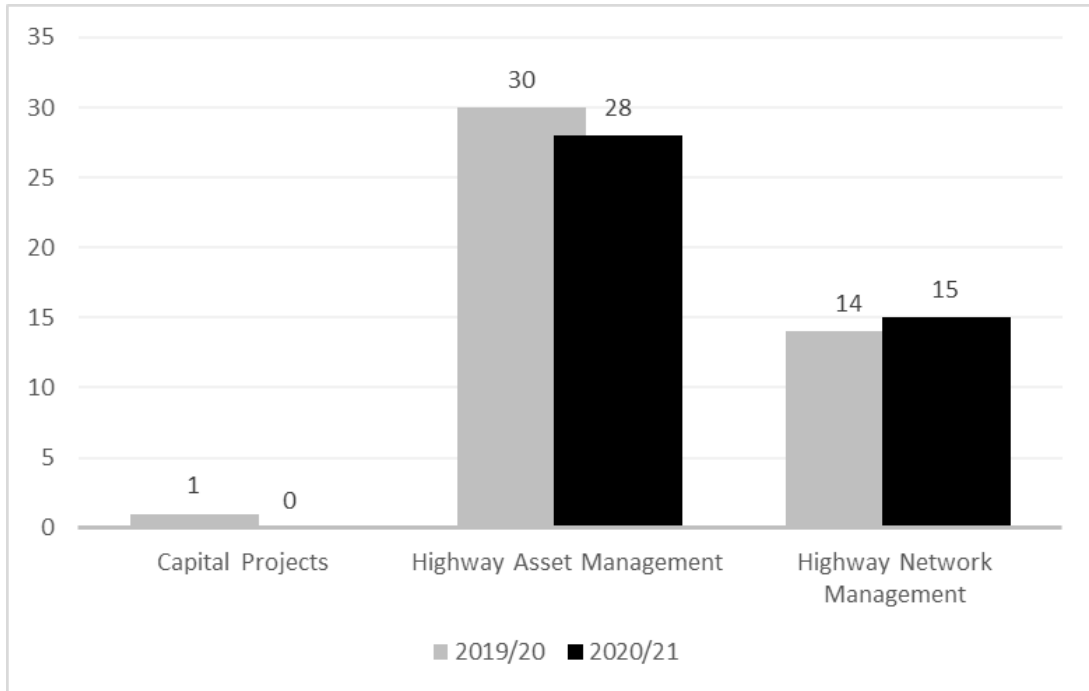
### Complaints by Service Area/Team

#### Overview



- 36. Transport and Capital Projects received 43 complaints, a slight decrease from 45 in 2019/20.
- 37. Economic Growth and Neighbourhood Services received 325 complaints, a significant decrease from 458 complaints in 2019/20.
- 38. Housing and Building Services received 51 complaints, a significant decrease from 85 in 2019/20.
- 39. Economic Growth received 30 complaints, a significant increase from 12 in 2019/20.

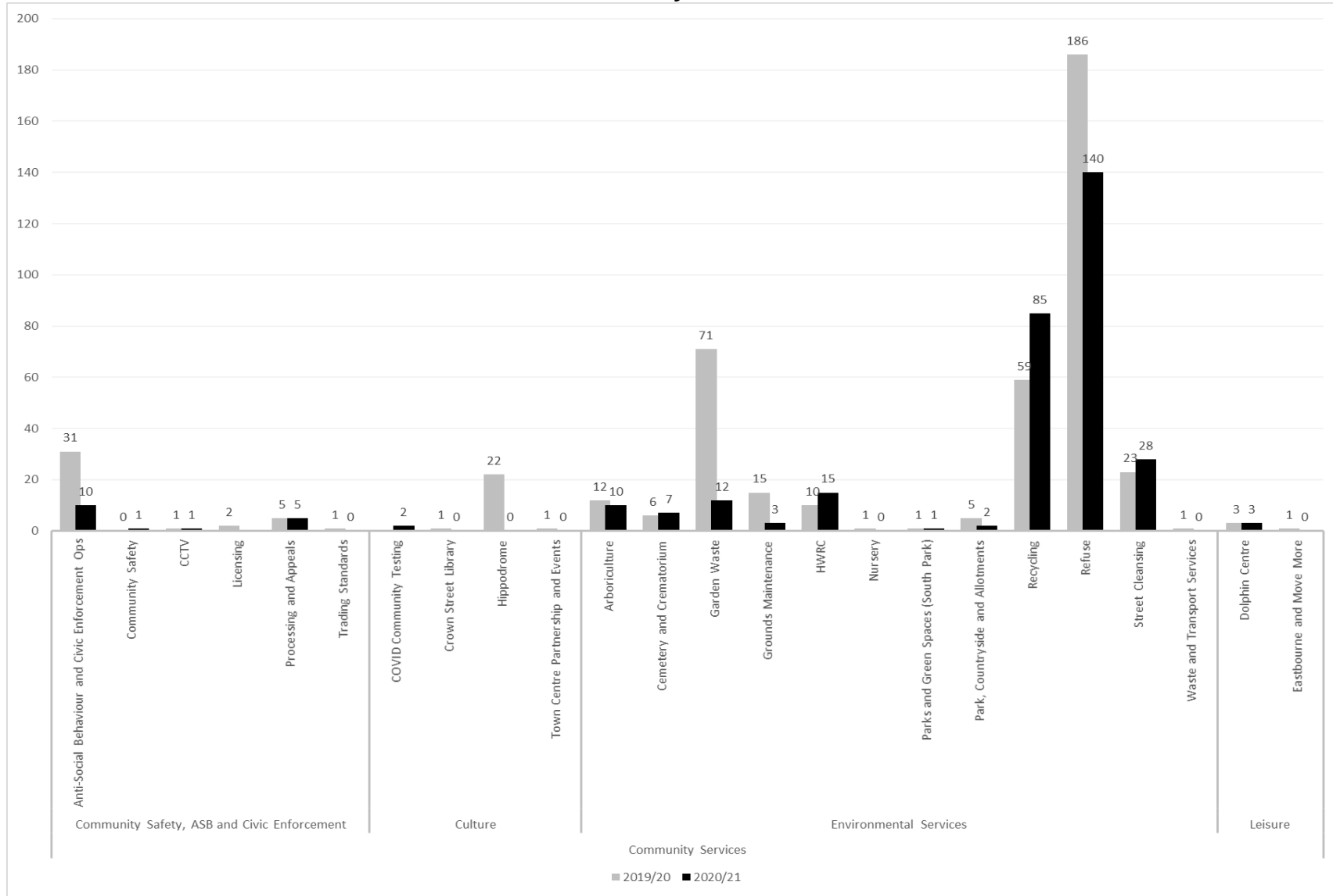
### Transport and Capital Projects



- 40. Highway Asset Management received 28 complaints, a slight decrease from 30 in 2019/20. The most common theme was the disturbance residents experienced as a result of road works.
- 41. Highway Network Management received 15 complaints, a slight increase from 14 in 2019/20. There were no common themes identified.



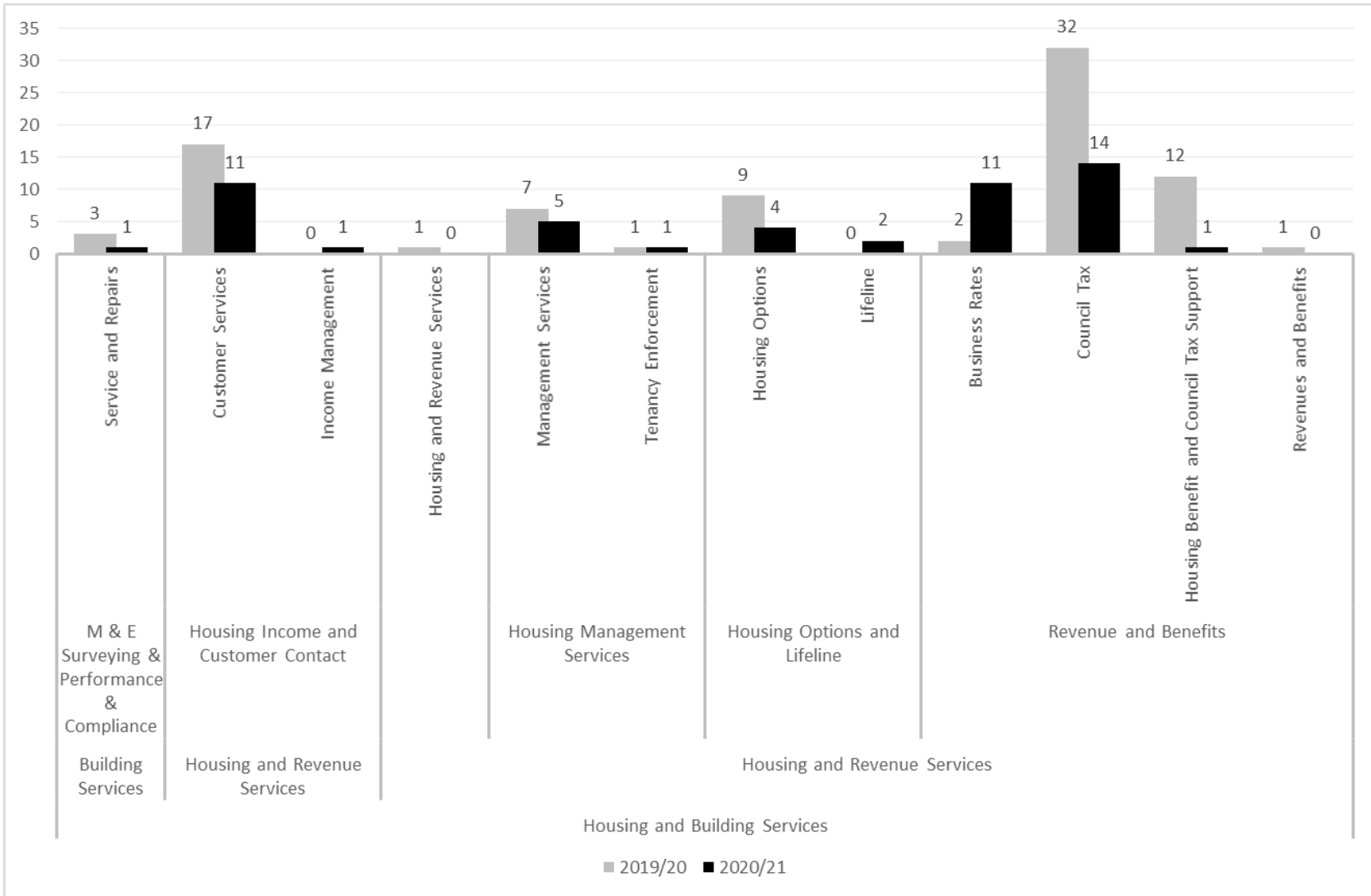
### Community Services



*N.B. Comparison data is not available for COVID Community Testing which was set up in response to the COVID-19 pandemic.*

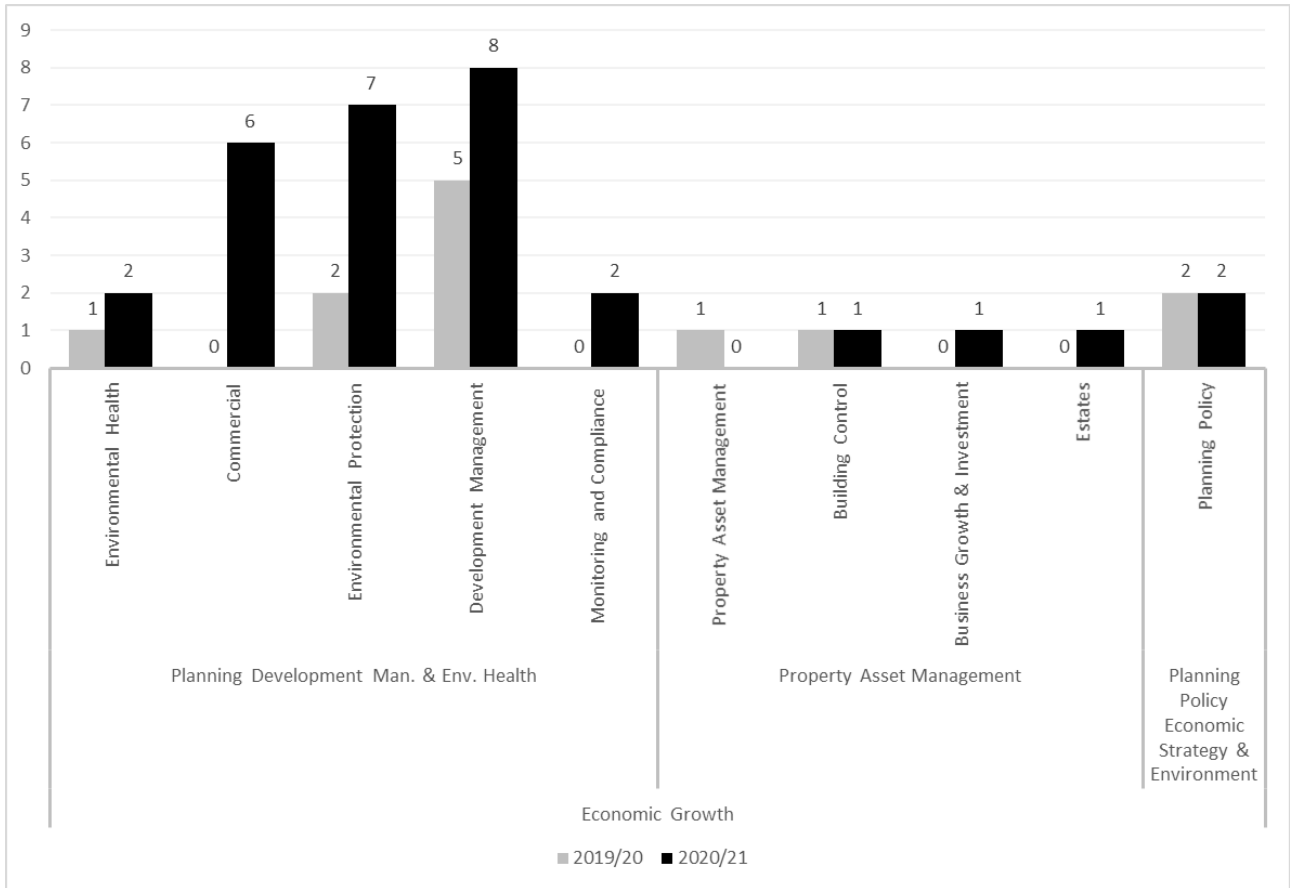
42. ASB and Civic Enforcement Ops received 10 complaints, a significant decrease from 31 in 2019/20. Lack of enforcement action was the most common cause of complaint.
43. The Hippodrome received zero complaints, a significant decrease from 22 during 2019/20. This was as a result of the theatre being closed due to COVID-19.
44. Arboriculture received 10 complaints, a slight decrease from 12 in 2019/20. As in 2019/20 these complaints generally resulted from a lack of response to initial enquiries and/or dissatisfaction with a decision not to undertake works to a tree for the reasons requested.
45. Garden Waste saw a significant decrease in complaints, 21 compared to 71 in 2019/20. The high volume of complaints in the previous year were mainly due to teething issues when the service was first launched.
46. Grounds Maintenance received three complaints, a significant decrease from 15 in 2019/20.
47. Household Waste Recycling Centre (HWRC) received 15 complaints, an increase from 10 in 2019/20. Complaints concerned staff attitude/behaviour, service provision, people not being able to access the tip, large queues and closures.
48. Recycling Collection received 85 complaints, a significant increase from 59 in 2019/20. Complaints primarily related to collections being missed on one or more occasions.
49. Refuse Collection received 140 complaints, a significant decrease from 186 in 2019/20. Complaints primarily related to collections being missed on one or more occasions.
50. Street Cleansing received 28 complaints, an increase from 23 in 2019/20. These primarily related to the lack and quality of the service provided.

### Housing and Building Services



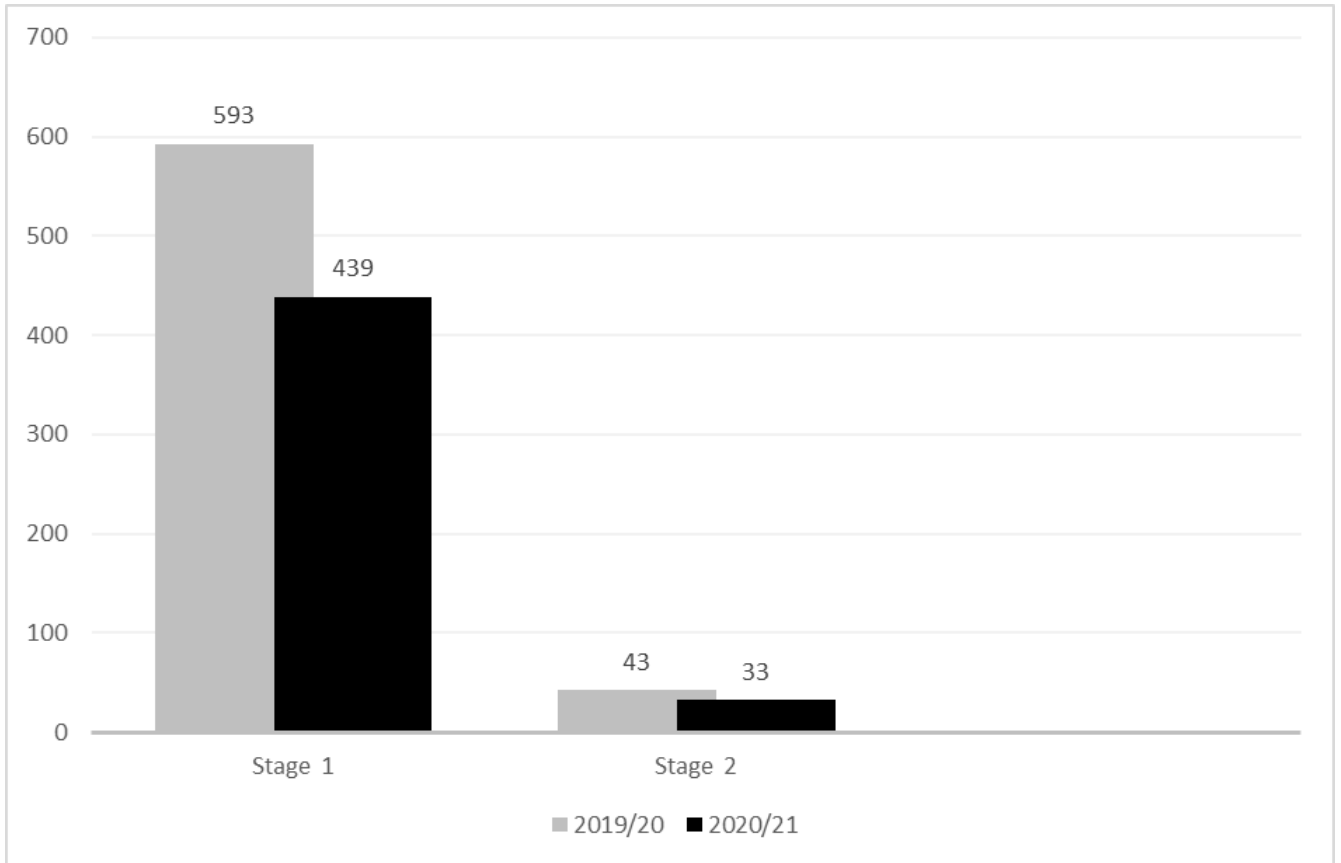
51. Customer Services received 11 complaints, a reduction from 17 in 2019/20. There were no discernible themes identified.
52. Business Rates received 11 complaints, an increase from two in 2019/20. The increase can be attributed to people complaining about the decision not to award them a COVID-19 related grant.
53. Council Tax received 14 complaints, a significant decrease from 32 in 2019/20. Issues with communication was the only identifiable theme.
54. Housing Benefit and Council Tax Support received one complaint, a significant reduction from 12 in 2019/20.

### Economic Growth



55. There was an overall increase in complaints for Environmental Health (including Commercial & Environmental Protection). Complaints primarily concerned the lack of support in relation to the issues raised and dissatisfaction with being issued a Fixed Penalty Notice.

### Complaints by Stage

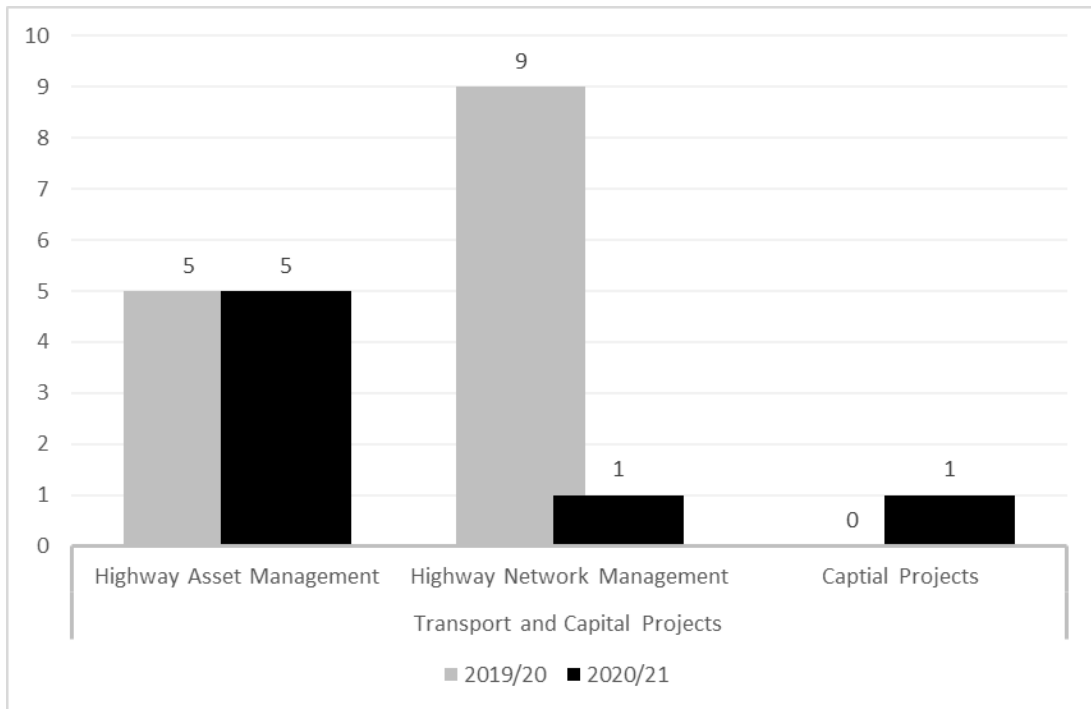


56. Nine complaints were escalated straight to stage 2.

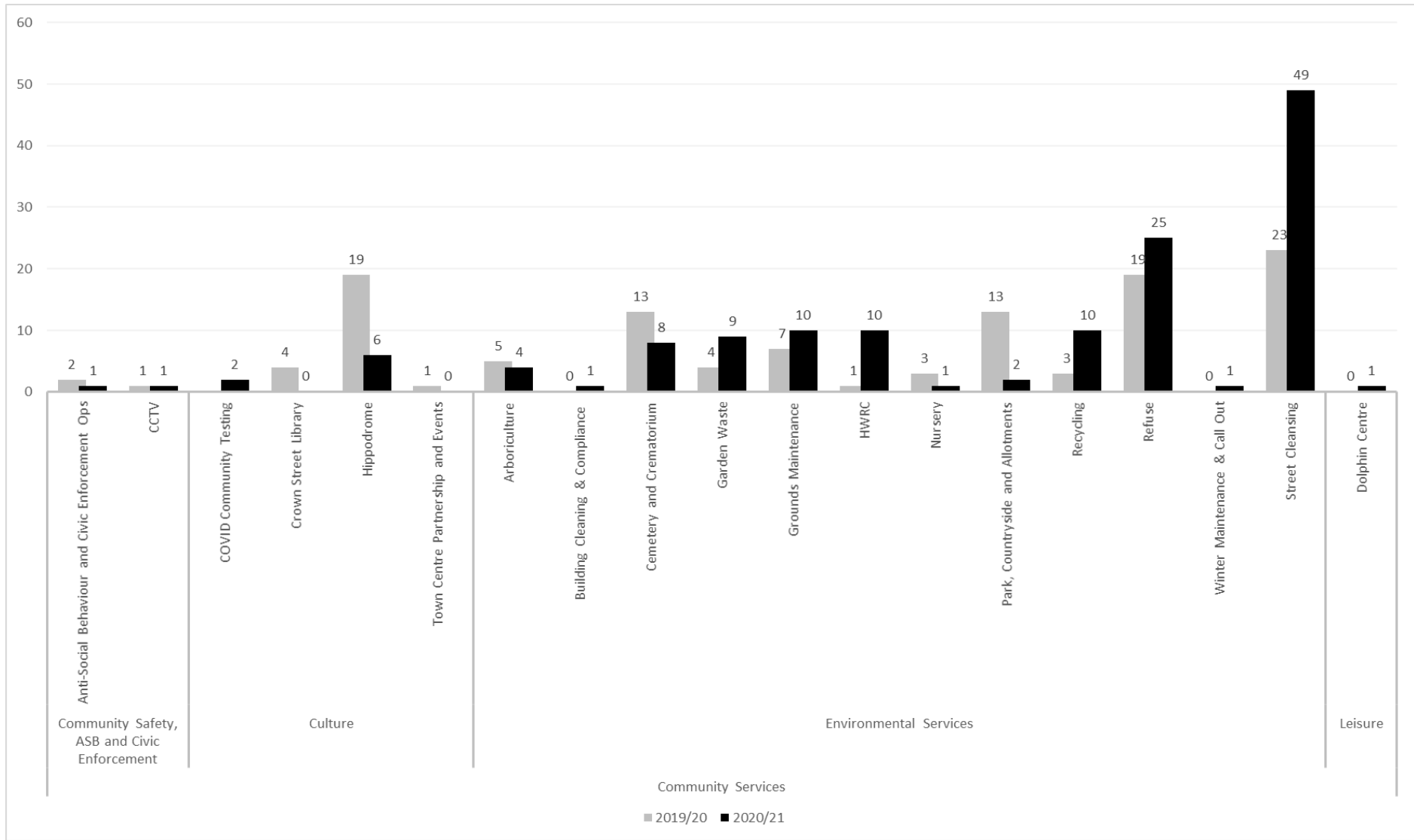
*N.B. One complaint was referred directly to the Local Government and Social Care Ombudsman.*

### Compliments by Service Area/Team

#### Transport and Capital Projects



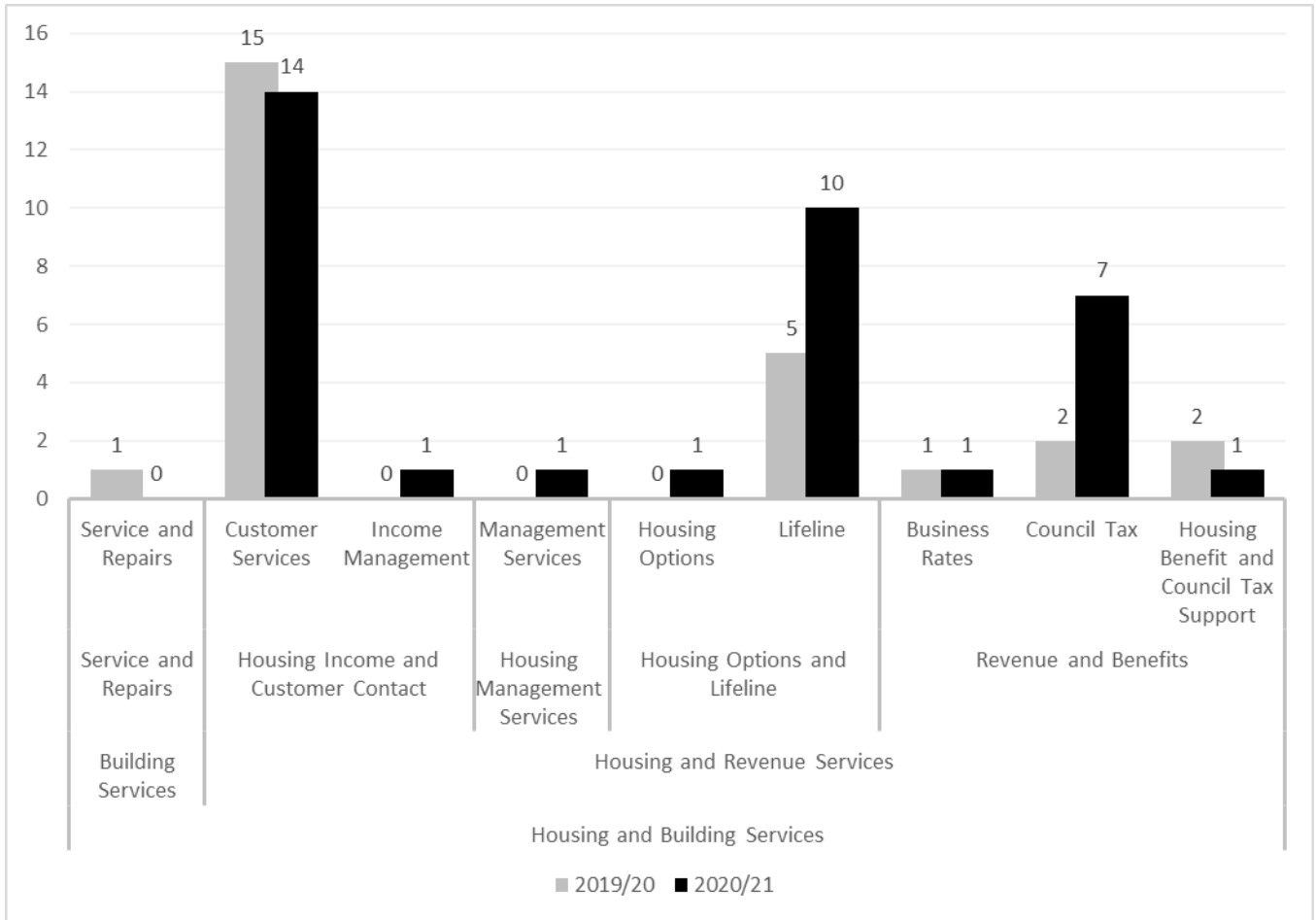
### Community Services



N.B. Comparison data is not available for COVID Community Testing which was set up in response to the COVID-19 pandemic.



### Housing and Building Services

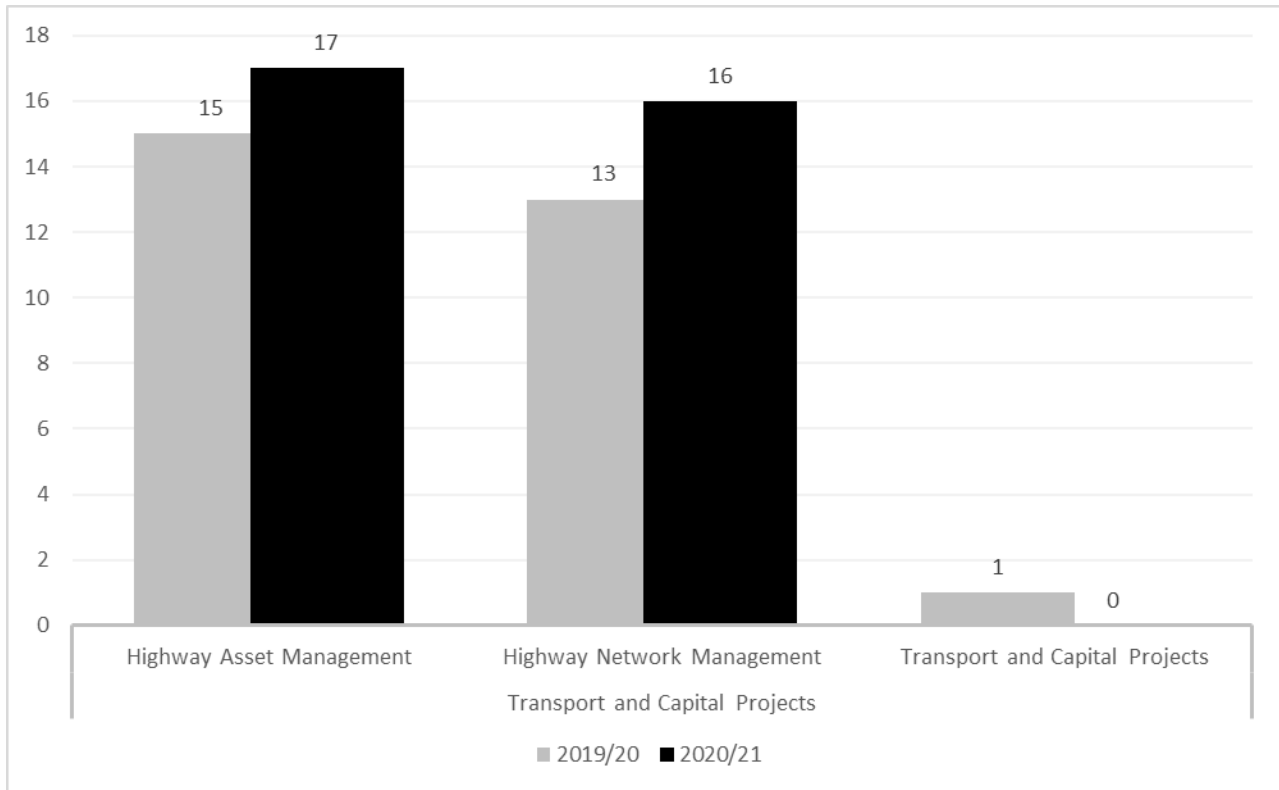


57. Planning, Development Management & Environmental Health, Environmental Protection received one compliment, an increase from zero in 2019/20.

58. Property Asset Management, Building Control received one compliment, an increase from zero in 2019/20.

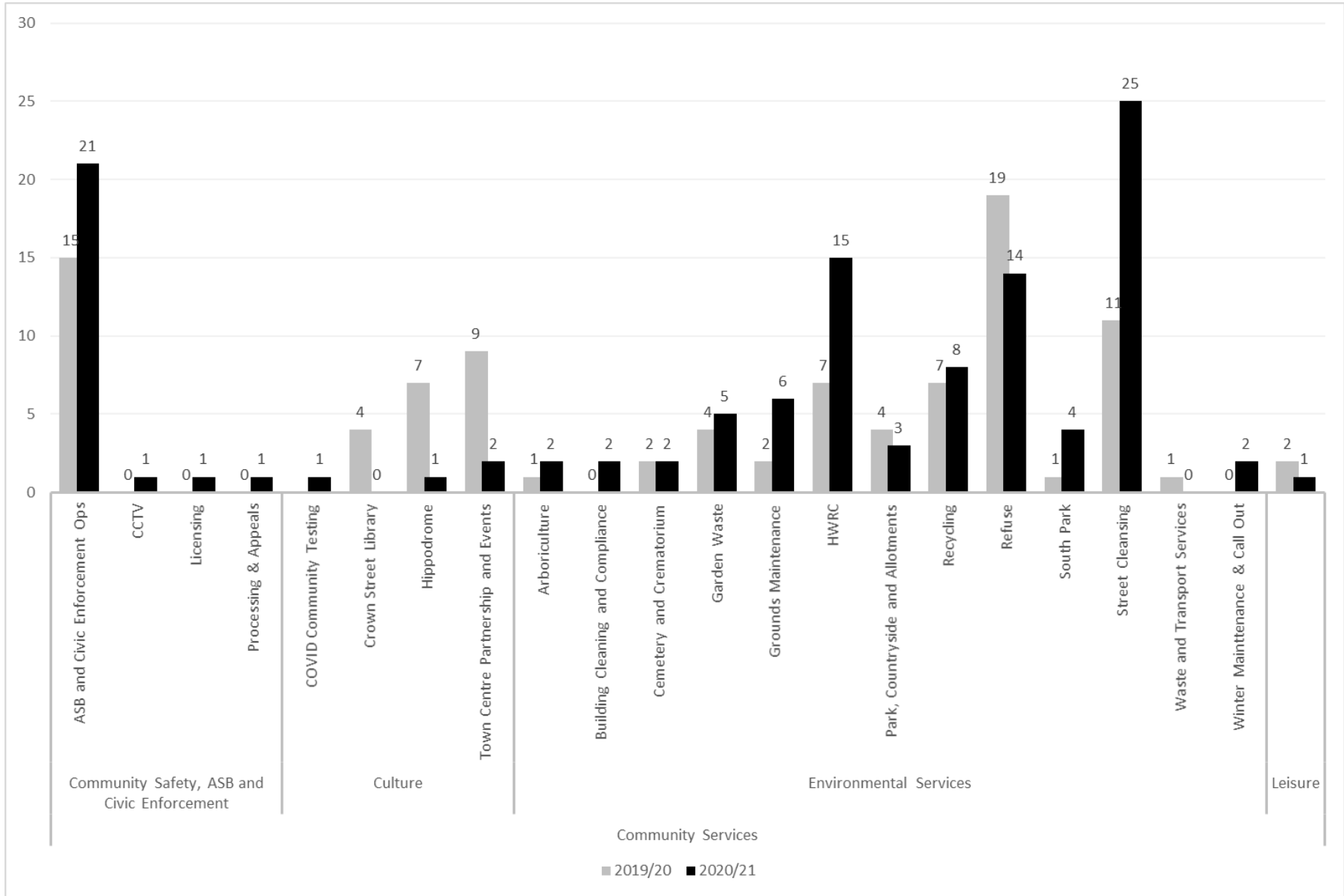
### Comments by Service Area/Team

#### Transport and Capital Projects



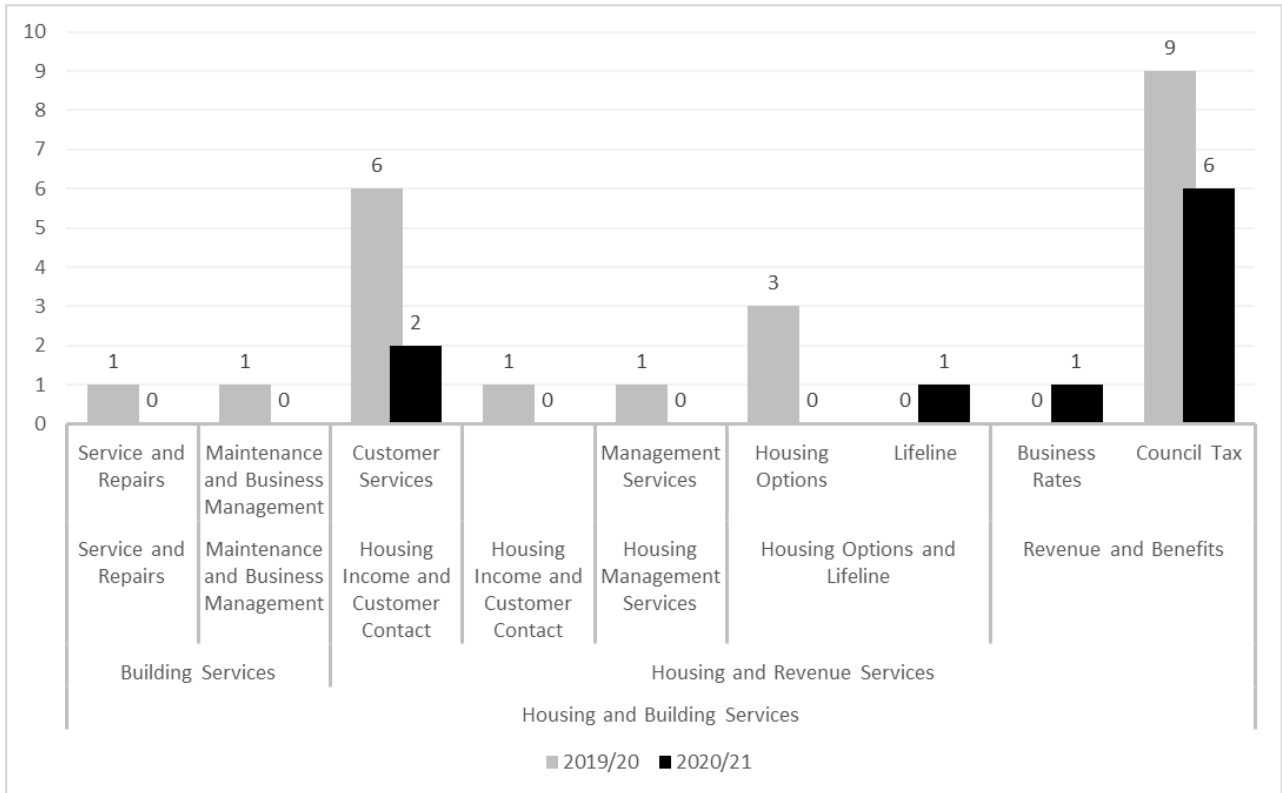
59. The identifiable themes were quality of repairs, issues with congestion and renewal of bus passes.

### Community Services

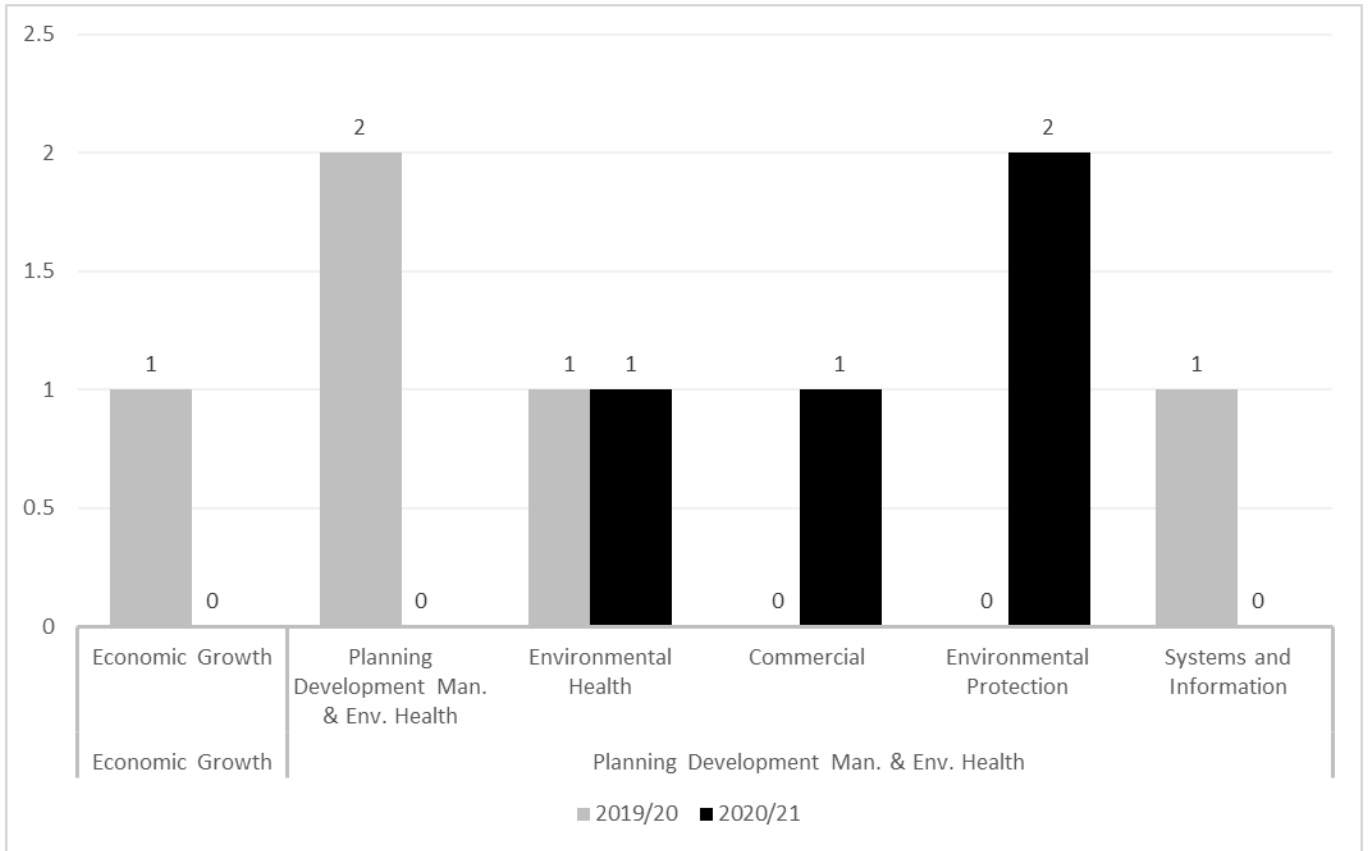


60. ASB and Civic Enforcement received 21 comments, an increase from 15 in 2019/20. The only identifiable theme was dissatisfaction with the lack of enforcement action in relation to other people's refuse.
61. HWRC received 15 comments, an increase from seven in 2019/20. The increase in comments can be attributed to the changes made to the service as a result of COVID-19.
62. Refuse received 14 comments, a decrease from 19 in 2019/20. The most common theme was dissatisfaction with the Council's policy not to collect side waste.
63. Street Cleansing received 25 comments, a significant increase from 11 in 2019/20. Comments concerned the lack of and frequency with which litter and dog waste bins are emptied and the standard of street cleansing.

### Housing and Building Services



### Economic Growth



### Complaints by Outcome

64. The below tables show the decisions reached on complaints during 2020/21.

#### Stage 1 Outcomes

Service Area/Team	Closed With No Response	Escalated to Stage 2 (No S1 Response)	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Highway Asset Management	0	0	0	15	1	9	1	26
Highway Network Management	0	0	0	5	3	2	0	10
Community Safety	0	0	0	0	0	1	0	1
ASB & Civic Enforcement	0	0	1	0	0	1	0	2
CCTV	0	0	0	0	1	1	0	2
Anti-Social Behaviour & Civic Enforcement Ops	0	0	0	1	1	1	0	3
Processing & Appeals	0	0	0	2	0	1	0	3
COVID Community Testing	0	0	0	1	0	0	0	1
Arboriculture	0	0	0	6	2	1	0	9
Cemetery & Crematorium	0	0	0	4	0	4	0	8
Parks, Countryside & Allotments	0	0	0	2	0	1	0	3
South Park	0	0	0	0	0	1	0	1
Grounds Maintenance	0	0	1	1	0	2	0	4
Street Cleansing	0	0	0	12	1	13	1	27
Garden Waste	0	0	0	5	0	8	0	13
Recycling	0	0	5	28	6	45	1	85
Refuse	1	0	17	50	6	69	5	148
HWRC	0	0	1	5	0	7	0	13
Dolphin Centre	0	0	0	0	0	3	0	3
Service & Repairs	0	0	0	0	0	1	0	1
Customer Services	0	0	0	1	1	3	4	9
Income Management	0	0	0	0	1	0	0	1

<b>Service Area/Team</b>	<b>Closed With No Response</b>	<b>Escalated to Stage 2 (No S1 Response)</b>	<b>Inconclusive</b>	<b>Not Upheld</b>	<b>Partially Upheld</b>	<b>Upheld</b>	<b>Withdrawn</b>	<b>Total</b>
Management Services	0	0	1	2	0	1	0	<b>4</b>
Housing Options	0	0	0	1	1	1	0	<b>3</b>
Lifeline	0	0	0	0	1	1	0	<b>2</b>
Business Rates	0	0	0	8	0	0	2	<b>10</b>
Council Tax	0	0	1	7	0	3	3	<b>14</b>
Housing Benefit & Council Tax Support	0	0	0	1	1	0	0	<b>2</b>
Development Management	0	1	0	2	0	2	1	<b>6</b>
Environmental Health	0	0	1	1	0	0	0	<b>2</b>
Commercial	0	0	0	3	0	1	2	<b>6</b>
Environmental Protection	0	0	0	1	1	2	2	<b>6</b>
Monitoring & Compliance	0	0	0	1	0	0	0	<b>1</b>
Building Control	0	0	0	1	0	0	0	<b>1</b>
Estates	0	0	0	1	0	0	0	<b>1</b>
Business Growth & Investment	0	0	0	1	0	0	0	<b>1</b>
Planning Policy	0	0	0	1	0	0	0	<b>1</b>
<b>Totals</b>	<b>1</b>	<b>1</b>	<b>28</b>	<b>169</b>	<b>27</b>	<b>185</b>	<b>22</b>	<b>433</b>



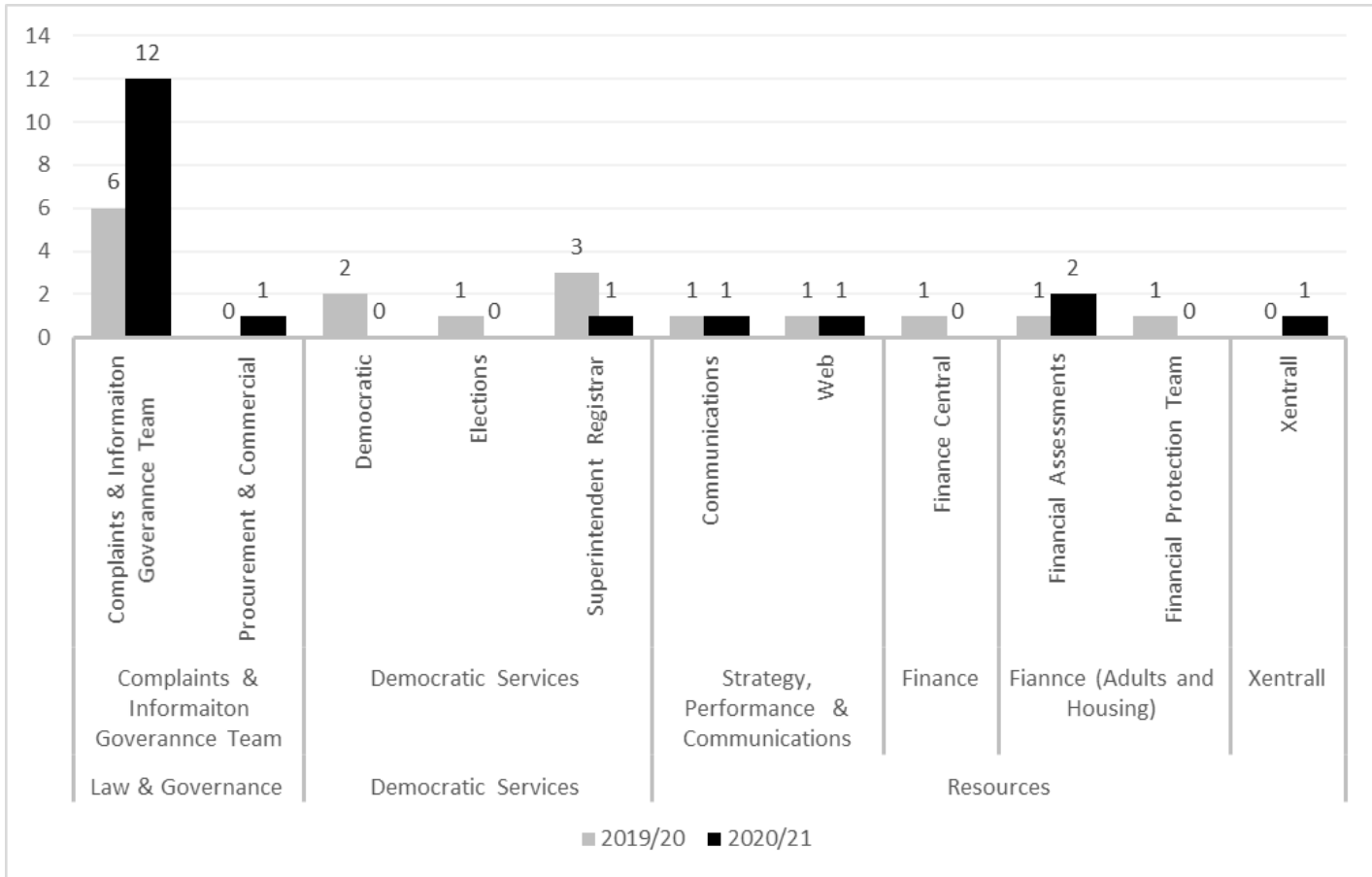
**Stage 2 Outcomes**

<b>Service Area/Team</b>	<b>Inconclusive</b>	<b>Not Upheld</b>	<b>Partially Upheld</b>	<b>Upheld</b>	<b>Withdrawn</b>	<b>Total</b>
Highway Asset Management	0	1	0	0	0	<b>1</b>
Highway Network Management	0	3	0	0	0	<b>3</b>
ASB & Civic Enforcement	0	0	1	0	0	<b>1</b>
Anti-Social Behaviour & Civic Enforcement Ops	0	0	1	0	0	<b>1</b>
Processing & Appeals	0	1	0	0	0	<b>1</b>
Arboriculture	0	1	0	0	0	<b>1</b>
Street Cleansing	0	0	0	1	0	<b>1</b>
Recycling	0	0	1	0	0	<b>1</b>
Refuse	0	1	0	0	0	<b>1</b>
HWRC	0	1	1	0	0	<b>2</b>
Management Services	0	1	0	0	0	<b>1</b>
Business Rates	0	3	0	0	0	<b>3</b>
Council Tax	0	0	1	0	0	<b>1</b>
Development Management	0	1	0	0	1	<b>2</b>
Property Asset Management	0	0	0	1	0	<b>1</b>
<b>Totals</b>	<b>0</b>	<b>13</b>	<b>5</b>	<b>2</b>	<b>1</b>	<b>21</b>

## Organisational Learning

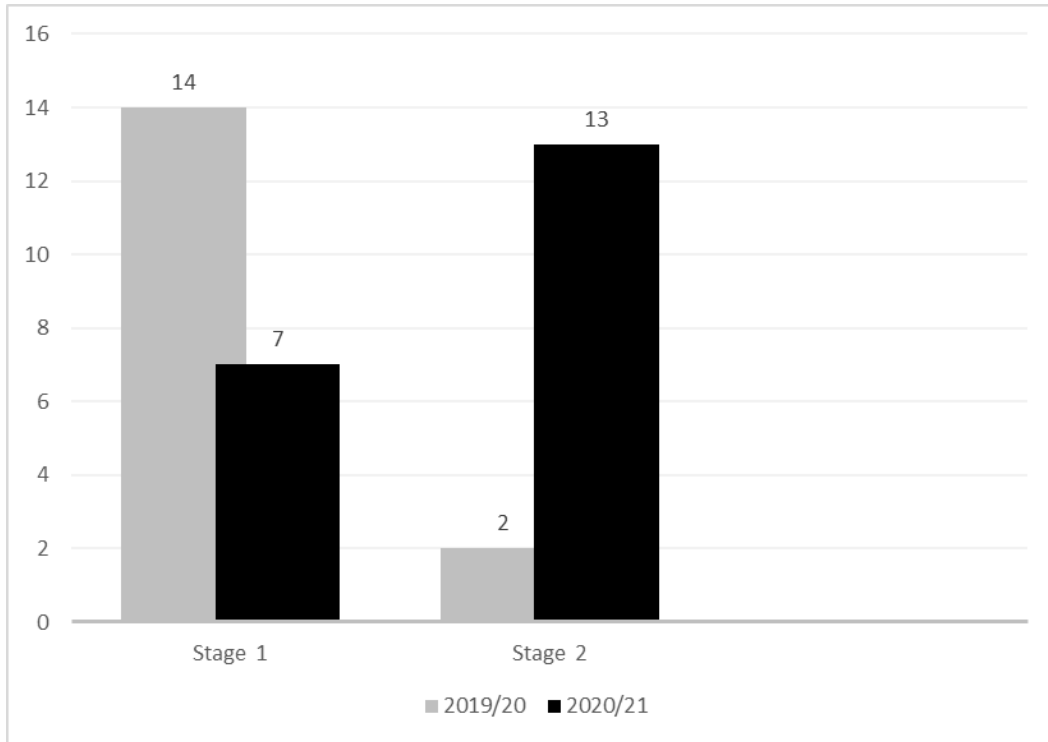
65. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints, a number of service improvements were made following complaint investigations during 2020/21.
66. As a result of a complaint for Anti-Social Behaviour & Civic Enforcement Ops it was agreed, that where requested or appropriate to do so decisions would be communicated in writing and that where decisions are not communicated in writing a contemporaneous note would be made, including the time and date the decision was communicated. It was also recommended that Civic Enforcement should ensure all decisions are appropriately recorded in a centrally accessible location i.e. either on the Council's network or in a line of business application.
67. Following a complaint about a booking at the Household Waste Recycling Centre (HWRC) it was agreed the Council would update the date format in the booking system to the UK format, ensure a record of the fact the Council process people's personal data in relation to HWRC bookings was included in its Information Asset Register and that this information was communicated to the public in the Council's [privacy notice](#).
68. Following a complaint for Housing Options it was agreed the Council would undertake a review of its existing housing stock to try and identify properties that could be potentially be adapted.
69. Following a complaint for Housing Management Services officers were reminded to follow procedure when responding to reports of anti-social behaviour.
70. Following a complaint for Highway Asset Management about road works commencing too early the Council addressed the issue with the sub-contractor to prevent a re-occurrence.

**Complaints, Compliments and Comments by Department  
Resources  
Complaints by Service Area/Team Overview**



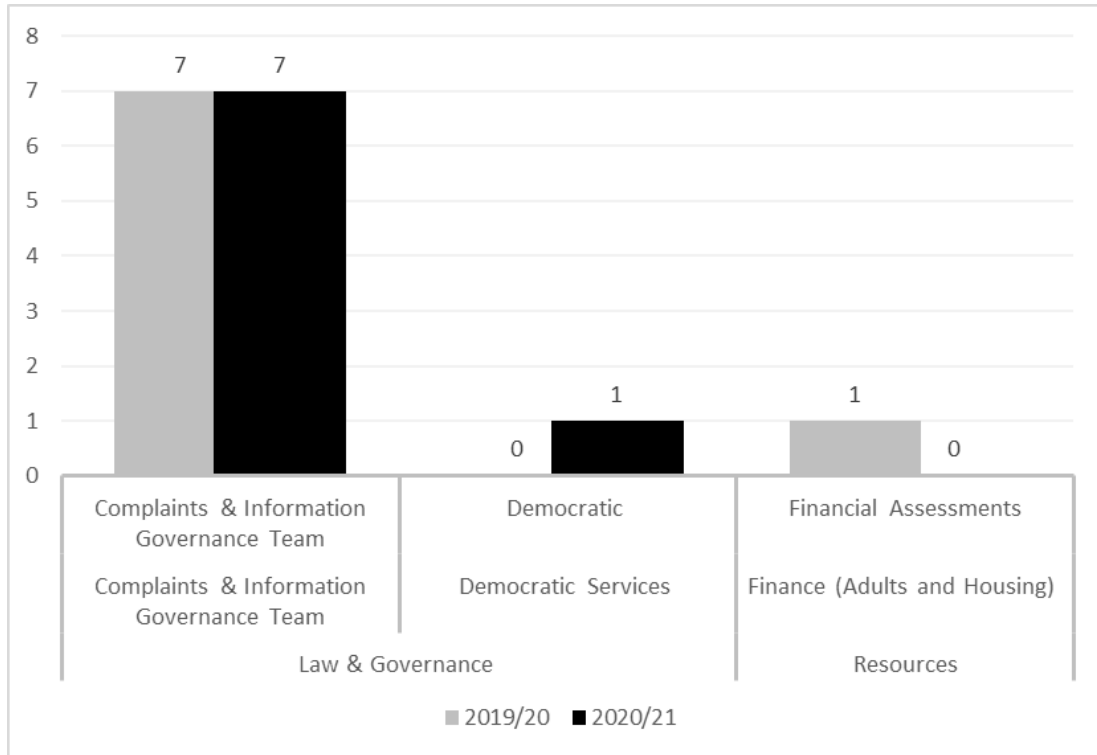
71. The Complaints and Information Governance Team received 12 complaints, an increase from six in 2019/20. The most common themes were delays in responding to and the content of responses to Subject Access Requests.

### Complaints by Stage

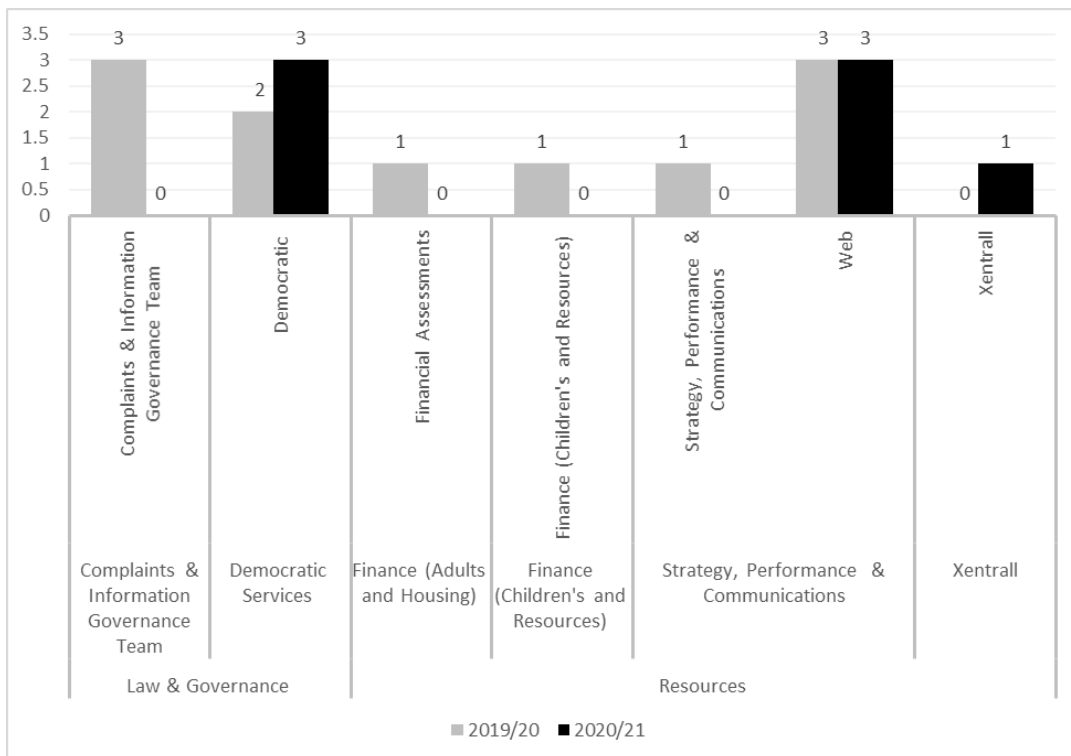


72. 11 of the complaints concerned data protection issues and requests and as such were dealt with directly at Stage 2 in accordance with the corporate procedure. One other complaint was escalated directly to Stage 2.

### Compliments by Service Area/Team



### Comments by Service Area/Team



### Complaints by Outcome

73. The below tables show the decisions reached on complaints during 2020/21.

#### Stage 1 Outcomes

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Complaints & Information Governance Team	0	0	0	1	0	1
Democratic Services	0	0	0	0	1	1
Superintendent Registrar	0	0	0	1	0	1
Procurement & Commercial	0	0	0	1	0	1
Web	0	0	1	0	0	1
Communications	0	1	0	0	0	1
Xentrall Services	0	1	0	0	0	1
<b>Totals</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>7</b>

#### Stage 2 Outcomes

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
Complaints & Information Governance Team	0	2	1	2	2	7
Superintendent Registrar	0	0	1	0	0	1
Financial Assessment Team	0	1	0	0	0	1
<b>Totals</b>	<b>0</b>	<b>3</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>9</b>

## **Organisational Learning**

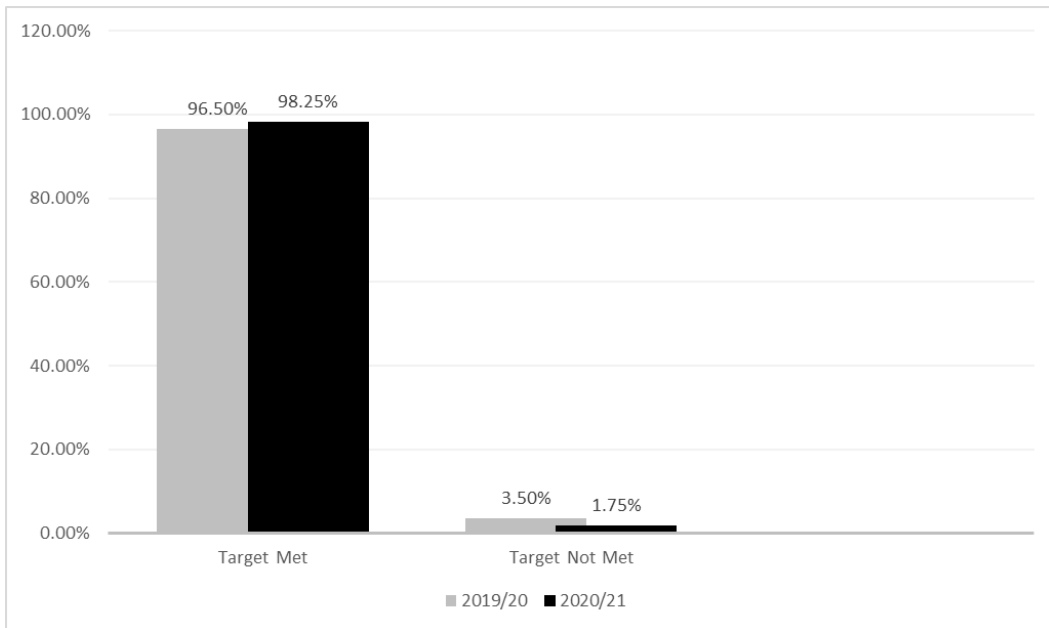
74. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints, a number of service improvements were made following complaint investigations during 2020/21.
75. Following a complaint for Xentrall it was agreed the Council would make a change to the Darlington Borough Council jobs page to include a sentence at the top of the page to make it clear that CVs are not accepted and that the application form can be found on the link to the job.
76. Following a complaint for the Superintendent Registrar the staff at the Registry Office reviewed their practice and bring it into line with the advice provided on .Gov.uk.
77. Following a complaint about the information requested from an individual wishing to make an insurance claim the website was updated to ensure the Council is complying with 'data minimisation' principle in UK GDPR.

### Performance against the Corporate Complaints, Compliments and Comments Procedure

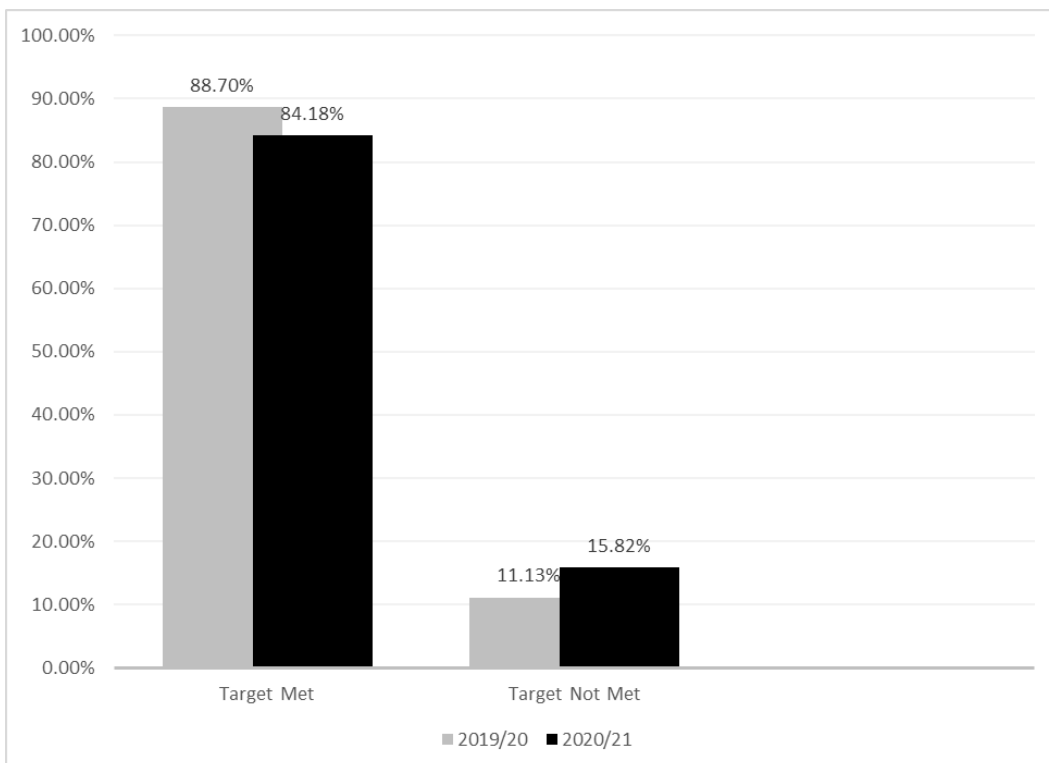
78. As a result of COVID-19 the Assistant Director Law and Governance made a [Delegated Decision](#) on 23 March 2020 that gave approval for timescales not to be adhered to as a result of services diverting resources to the areas of greatest need.

#### Stage 1

##### Performance against Stage 1 acknowledgement target (3 working days)



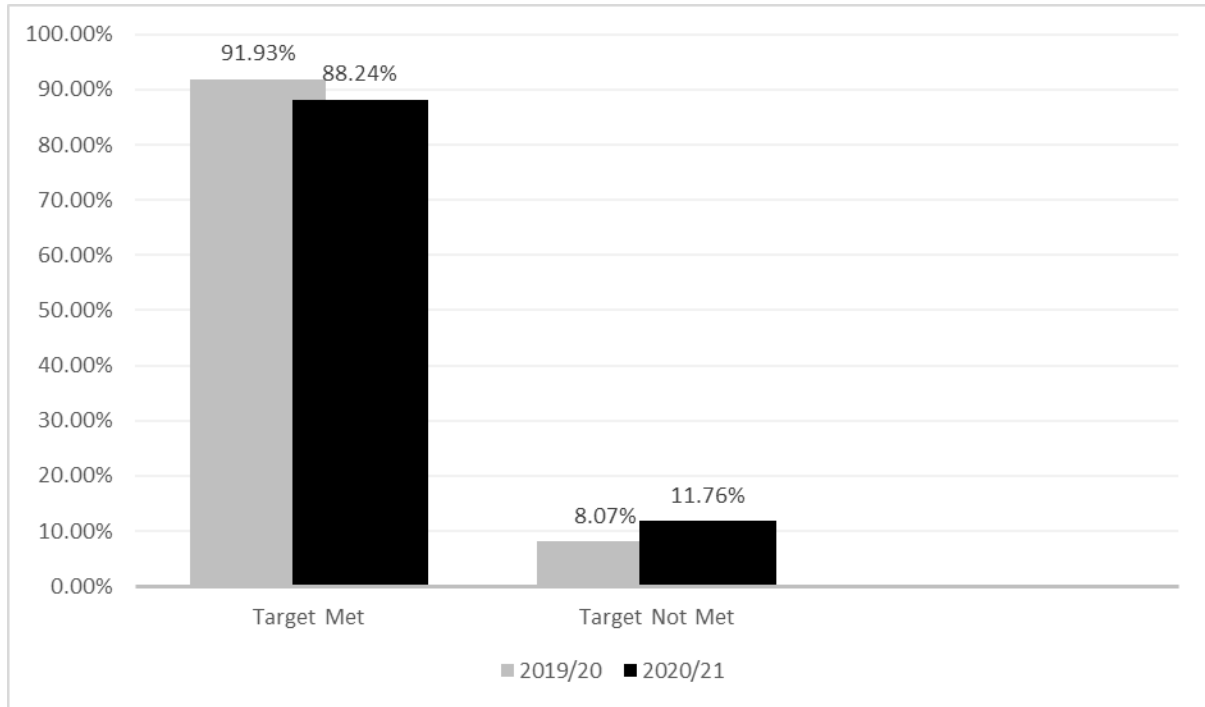
##### Performance against Stage 1 response target (25 working days)



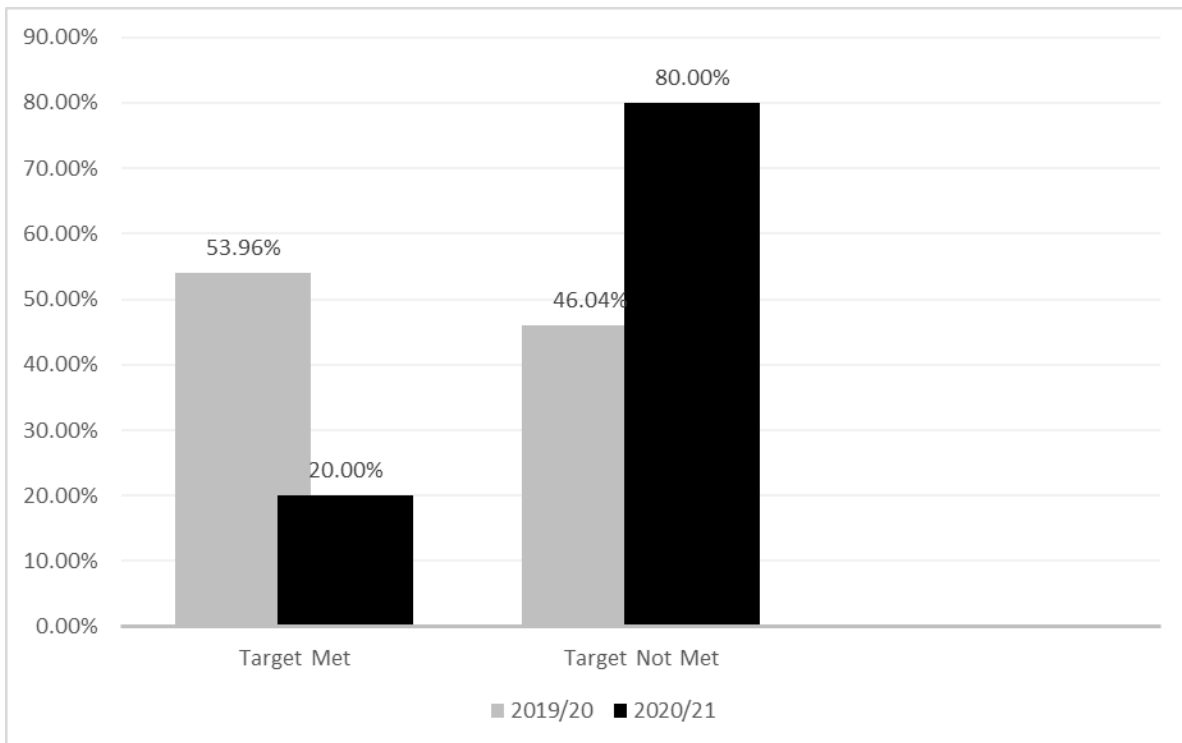


## Stage 2

### Performance against Stage 2 acknowledgement target (3 working days)



### Performance against Stage 2 response target (30 working days)



### **Further Recommendations**

79. The Council should work to improve performance against the Corporate Stage 2 response target.

### **Performance against Local Performance Indicators**

80. In relation to corporate complaints the Council's key performance indicator is the number of maladministration decisions received from the Local Government and Social Care Ombudsman. The Council received two maladministration decisions during 2020/21, an increase from one in 2019/20. Full details of those complaints determined by the Local Government and Social Care Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).



# **DARLINGTON**

## Borough Council

### **Housing Complaints, Compliments and Comments Annual Report 2020/21**

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## **Introduction**

1. This report provides an analysis of the complaints, compliments and comments received by the Council during 2020/21 under the Housing Complaints, Compliments and Comments Procedure (the procedure). The purpose of the report is to identify topics and trends in relation to complaints; identify areas of organisational learning that have taken place over the past year as a result of the complaints received and make further recommendations based on trend data to improve services. The report also highlights any areas of good practice and seeks to identify topics and trends in relation to comments made by members of the public so that the Council can take action where appropriate to improve services.
2. In addition to the statistical information presented in this report it is important to recognise the work of the Complaints and Information Governance (CIG) Team that underpins this in terms of promoting an organisational culture in which complaints are recognised, accepted, owned and resolved as efficiently and as close to the point of service delivery as possible. This also enables the Council to collect accurate information on complaints in order to identify topics and trends and improve services accordingly.

## **Housing Complaints, Compliments and Comments Procedure**

3. The procedure sets out how the Council will deal with complaints, compliments and comments received about the Council as a social landlord (as well as in respect of its ownership and management of leasehold housing).
4. The procedure has three stages. Stage 1 is a local resolution stage where we try to resolve those complaints that cannot be resolved immediately as part of our day to day business. Stage 1 complaints are dealt with locally, that is within the service being complained about. We aim to resolve the majority of complaints at Stage 1 of the procedure.
5. Stage 2 is a formal investigation stage where complaints will usually be investigated by the Complaints Investigator or Complaints Manager.
6. Stage 3 is a mandatory stage between the Council and the Housing Ombudsman. This is referred to as the 'designated person' or 'democratic filter'. The designated person or democratic filter can be an MP, a local Councillor or a recognised Tenant Panel. In Darlington we do not currently have a recognised Tenant Panel (from here onwards referred to as the Tenants' Complaints Panel).
7. Should a tenant remain dissatisfied with the Council's response to their complaint, they will be required to refer the matter to the 'designated person' or 'democratic filter'. The 'designated person' or 'democratic filter' may help resolve the complaint directly, refer the complaint to the Housing Ombudsman or decide to do neither. If the 'designated person' or 'democratic filter' decides not to take any action the complainant will be entitled to refer the matter to the Housing Ombudsman

directly. The complainant will also be able to approach the Housing Ombudsman directly in cases where eight weeks have elapsed since the Council's response to their complaint at Stage 2 of the procedure.

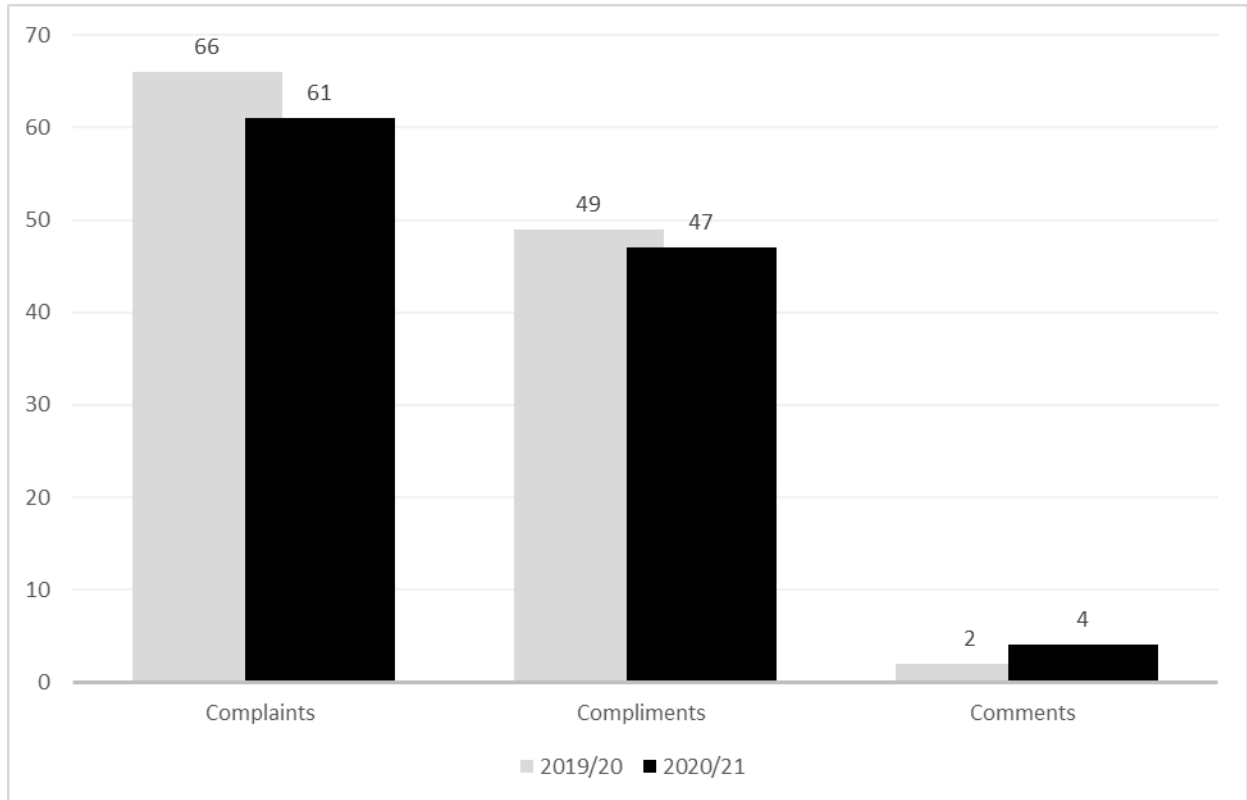
### **Public Information and Accessibility**

8. We are committed to making sure that everyone has equal access to all our services. To help make sure the Council's complaints procedures are easily accessible we have produced two leaflets (one for children and young people and one for adults) covering all Council services to reflect the single point of access for complainants within the Council. The leaflets are available in all Council buildings. They have been written in line with the Plain English Campaign standards. The title is written in the most commonly used community languages and it contains details on how to access the information in other formats, for example, large print, audio and Braille.
9. Information is available on the Council's website which contains an electronic form people can use to make a complaint, pay someone a compliment or pass comment on Council services. People may make a complaint in any format they wish. This can be in writing, email, via the web, over the phone, in person or by any other reasonable means.
10. The Complaints and Information Governance Manager can arrange advocates and interpreters (including British Sign Language interpreters) where appropriate.

## Complaints Information and Organisational Learning

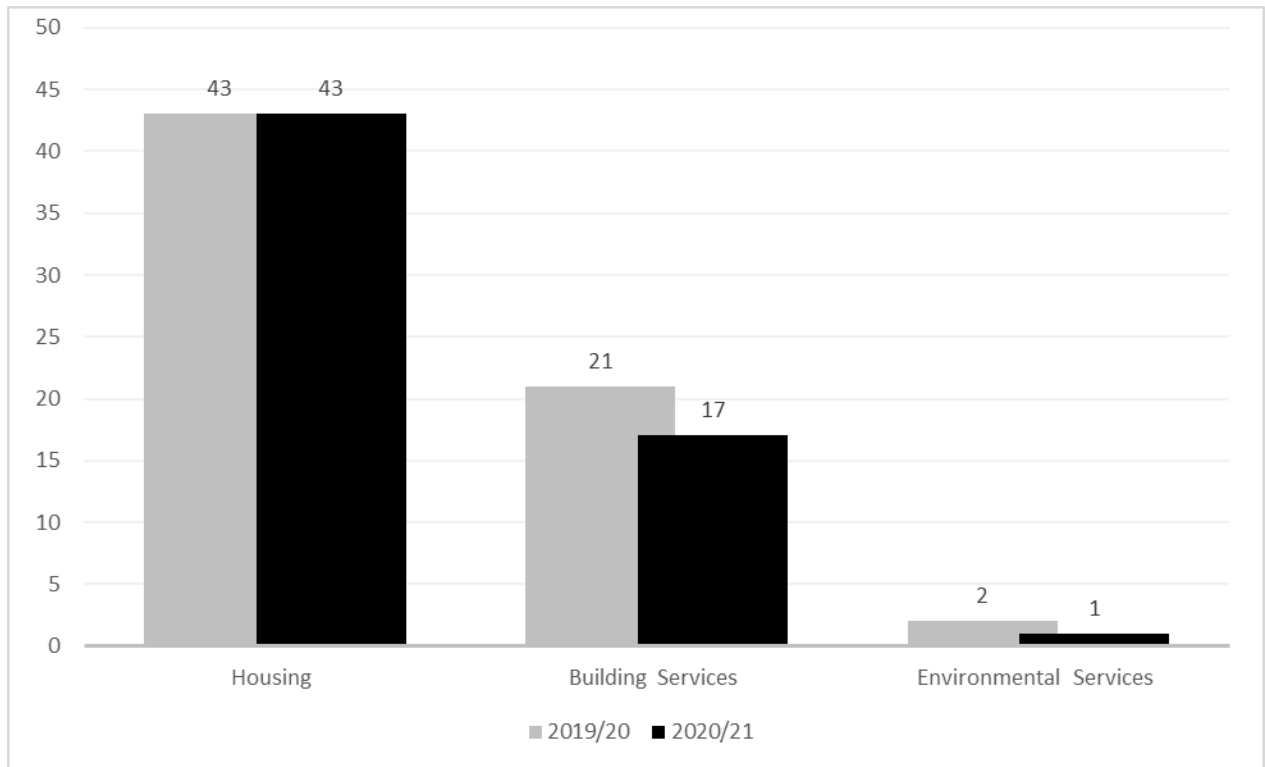
### Overview of Complaints, Compliments and Comments

#### Total Complaints, Compliments and Comments



11. Between 1 April 2020 and 31 March 2021 the Council received a total of 61 complaints under the procedure, a decrease from 66 in 2019/20. A total of 13 complaints were considered at Stage 2, an increase from seven in 2019/20. 12 of the Stage 2 complaints were initially dealt with at Stage 1, while one was escalated directly to Stage 2. No complaints were considered at Stage 3, as was the case in 2019/20.
12. The Council received 47 compliments under the procedure, a decrease from 49 in 2019/20.
13. The Council also receive 4 comments, an increase from two in 2019/20.

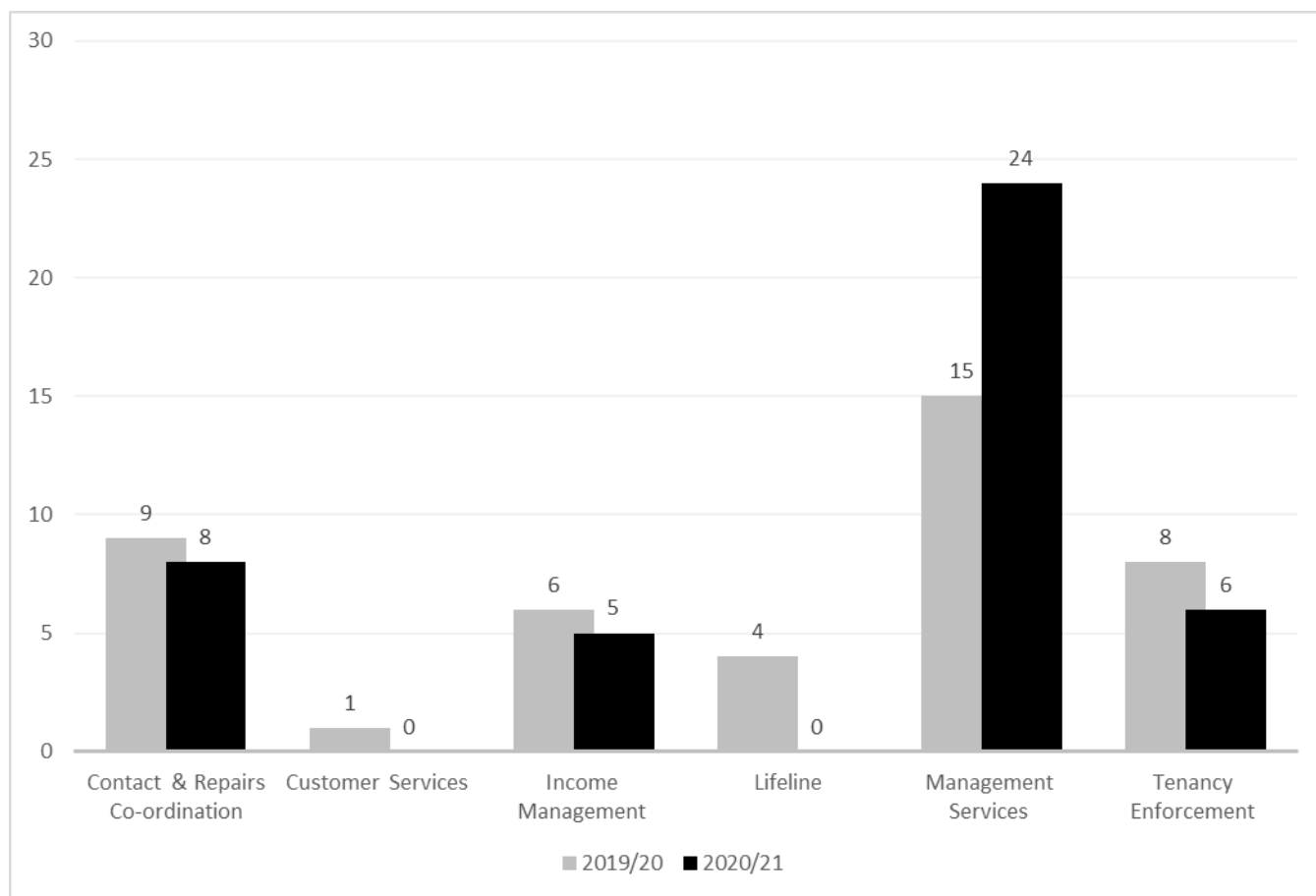
### Complaints by Service



- 14. Housing received 43 complaints, as was the case in 2019/20.
- 15. Building Services received 17 complaints, a decrease from 21 in 2019/20.
- 16. Environmental Services received one complaint, a decrease from two in 2019/20.

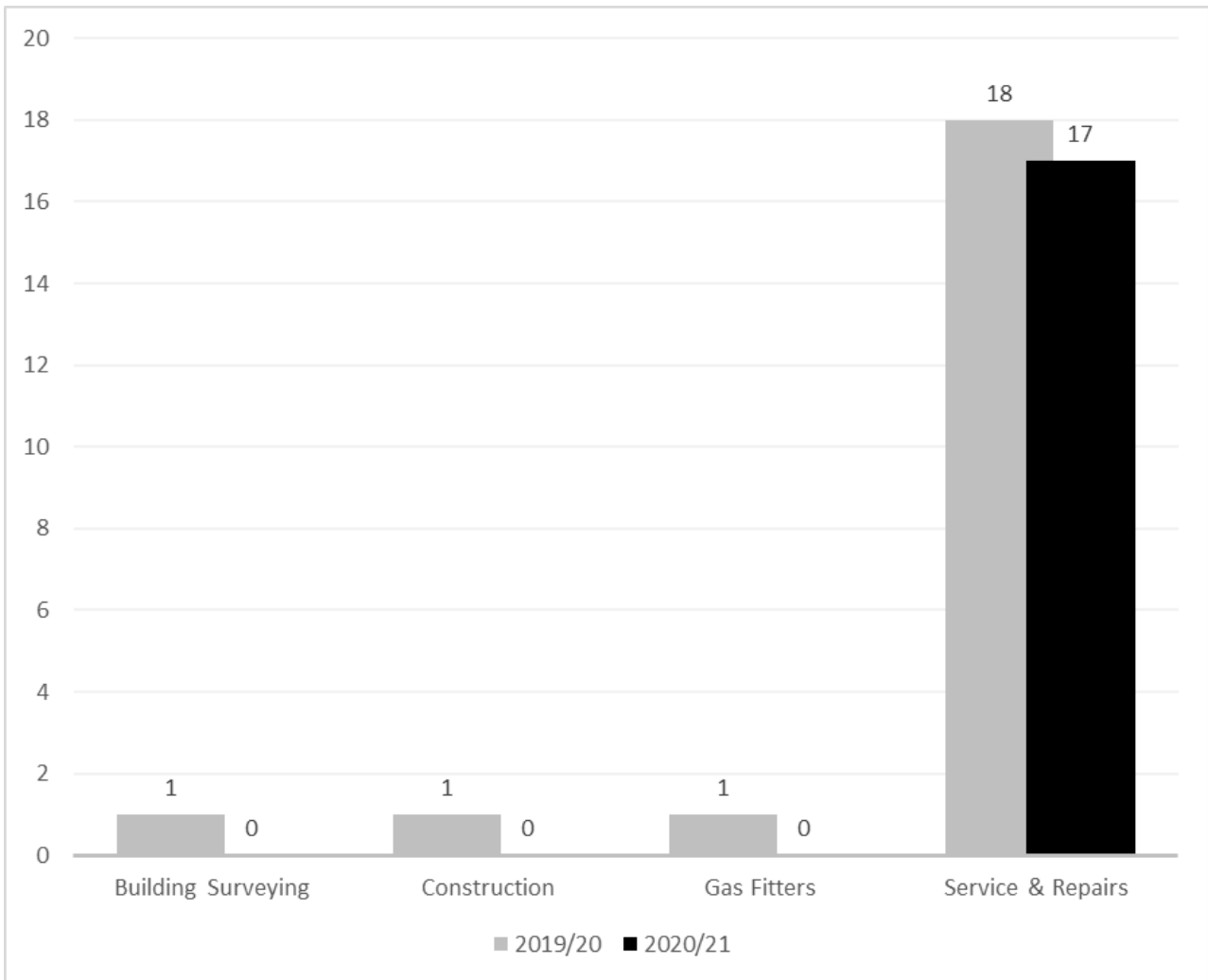


### Complaints by Team – Housing Service



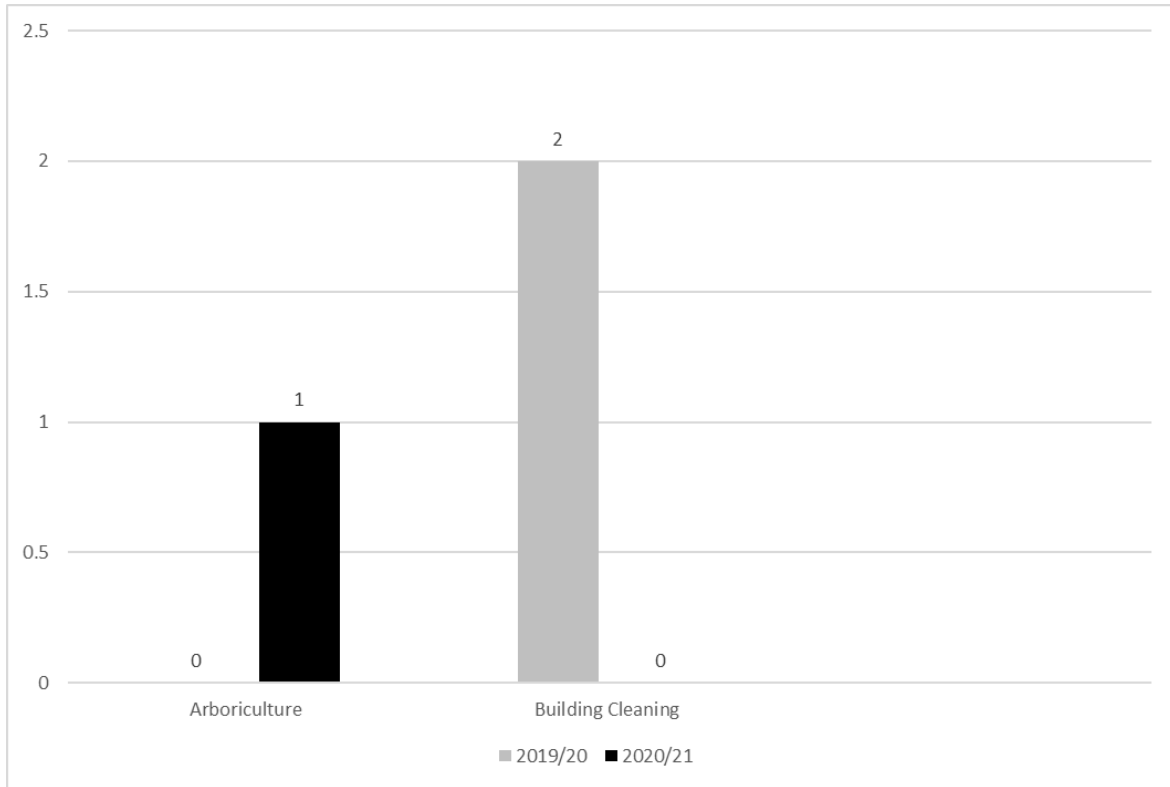
17. Contact & Repairs Co-ordination received eight complaints, compared to nine in 2019/20. Complaints concerned communication, appointments not being kept and delays in undertaking repairs.
18. Customer Services received zero complaints, a decrease from one in 2019/20.
19. Housing Income Management received five complaints, a decrease from six in 2019/20. There were no identifiable themes in the complaints received.
20. Lifeline received zero complaints, a decrease from four 2019/20.
21. Management Services received 24 complaints, an increase from 15 in 2019/20. There is no particular theme that would account for the increase. Complaints concerned communication and the service provided in relation to various housing management issues.
22. Tenancy Enforcement received six complaints, a decrease from eight in 2019/20. Complaints concerned the service provided in relation to dealing with neighbour nuisances.

### Complaints by Team – Building Services



- 23. Building Surveying received zero complaints, a decrease from one in 2019/20.
- 24. Construction received zero complaints, a decrease from one in 2019/20.
- 25. Gas Fitters received zero complaints, a decrease from one in 2019/20.
- 26. Service & Repairs received 17 complaints, a decrease from 18 in 2019/20. Complaints concerned the time taken to complete and the quality of repairs.

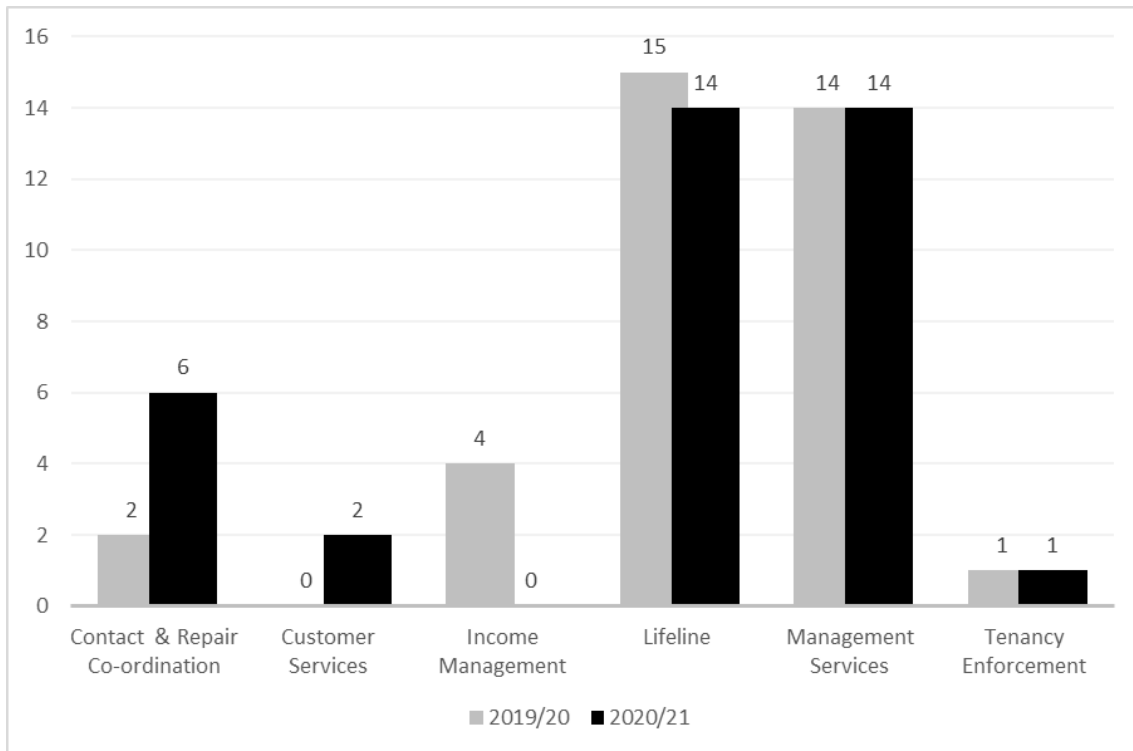
### Complaints by Team - Environmental Services



27. Arboriculture received one complaint, an increase from zero in 2019/20.

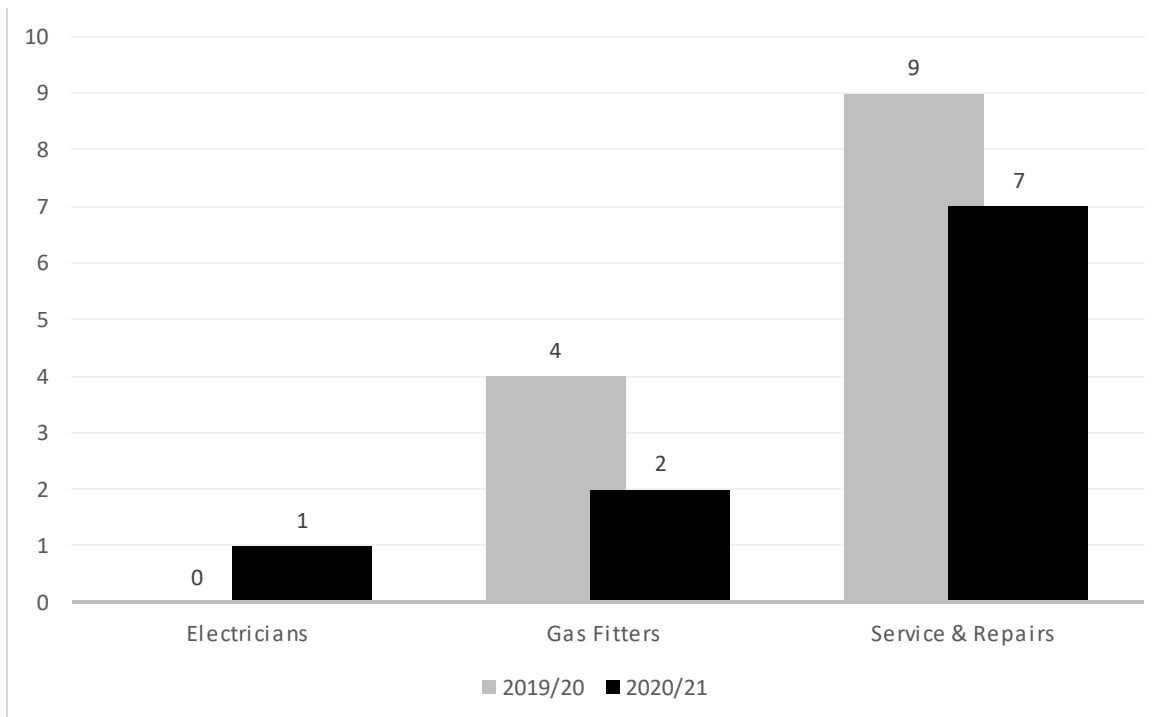
28. Building Cleaning received zero complaints, a decrease from two in 2019/20.

### Compliments by Team – Housing Services



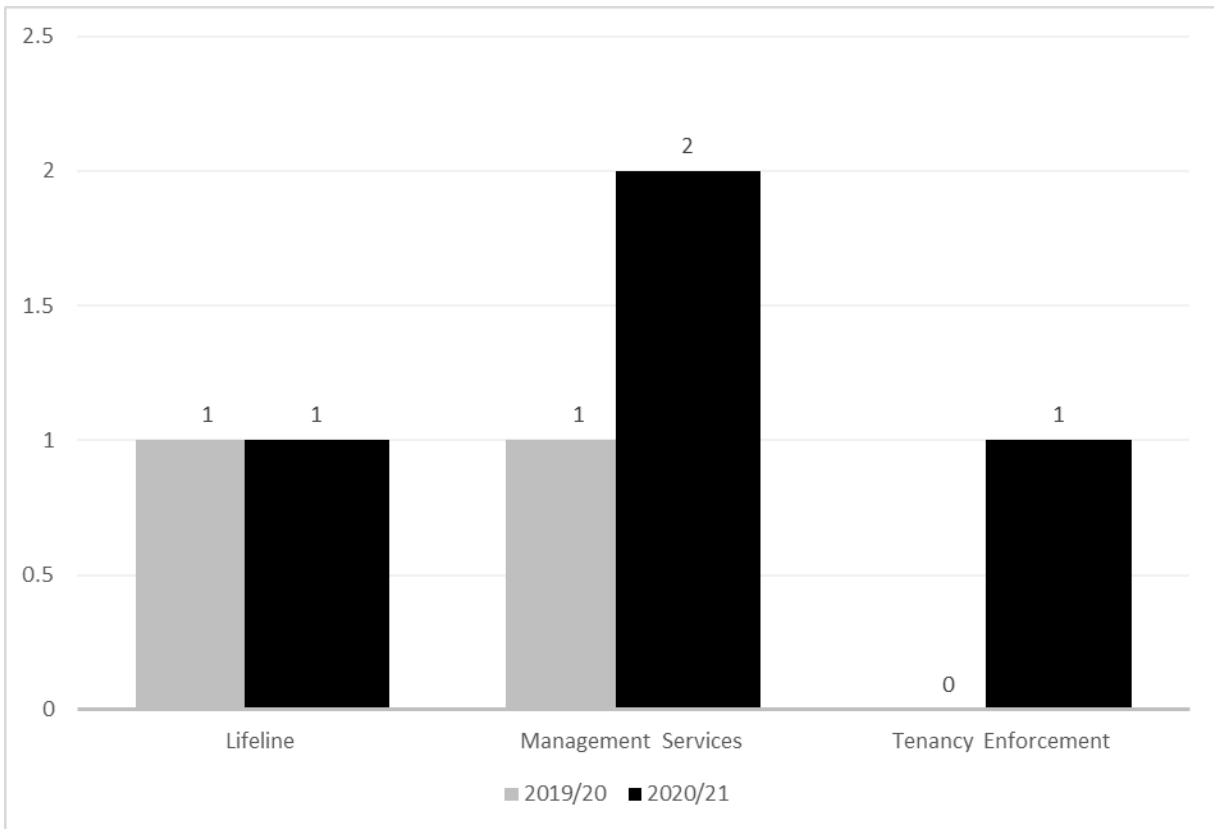
29. Housing received 37 compliments, an increase from 36 in 2019/20.

### Compliments by Team – Building Services



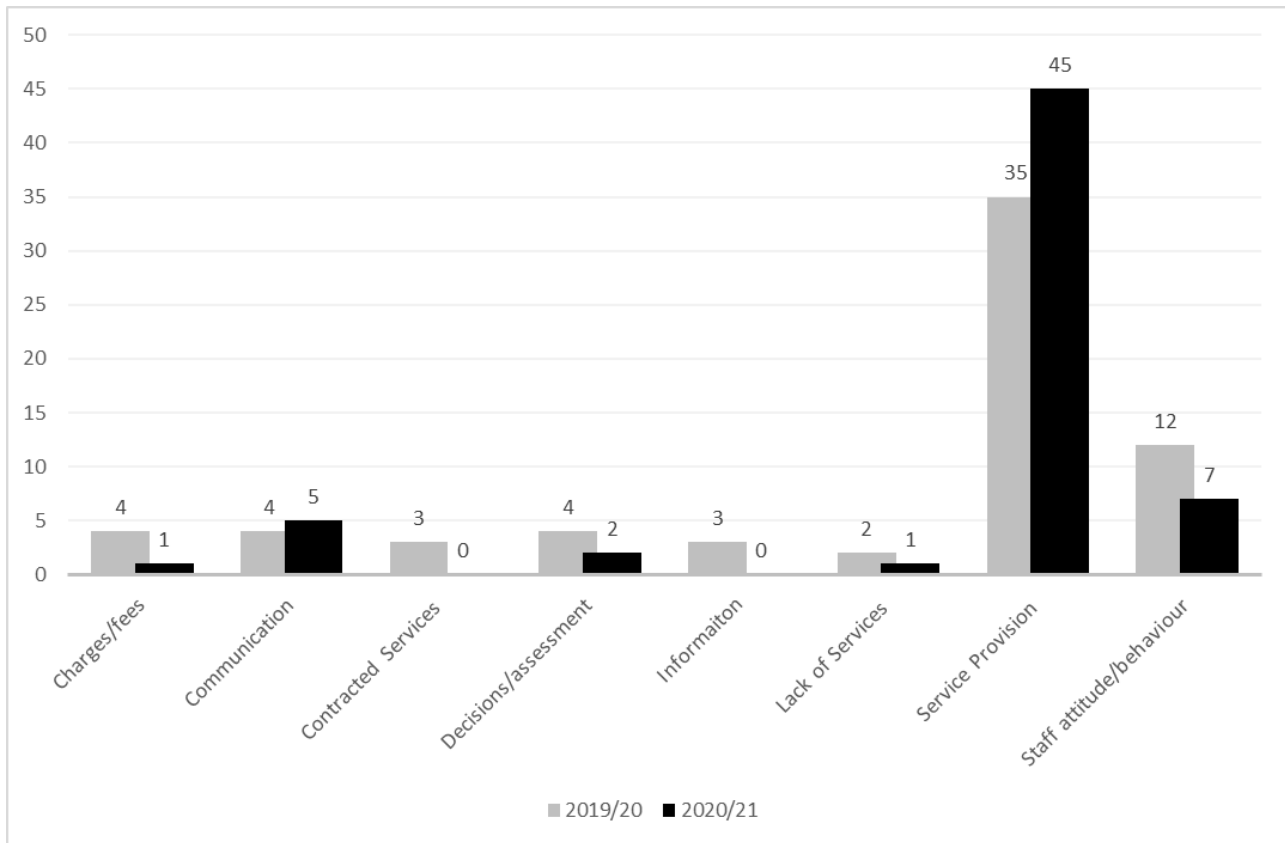
30. Building Services received 10 compliments, a decrease from 13 in 2019/20.

### Comments by Team - Housing



31. The Council received four comments during 2020/21, an increase from two in 2019/20.

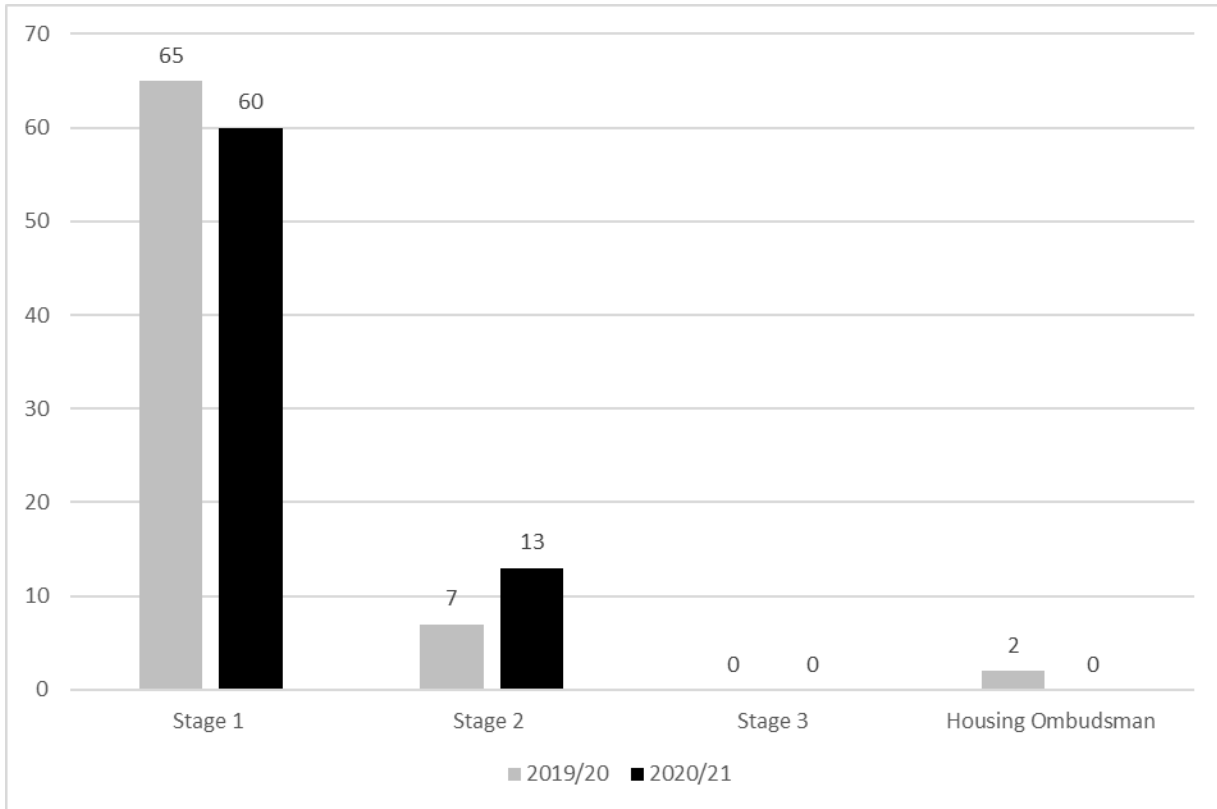
### Complaints by Issue



- 32. One complaint concerned charges/fees, a decrease from four in 2019/20.
- 33. Five complaints related to communication, an increase from four in 2019/20.
- 34. Zero complaints concerned contracted services, a decrease from three in 2019/20.
- 35. Two complaints related to decisions/assessment, a decrease from four 2019/20.
- 36. Zero complaints related to information, a decrease from three in 2019/20.
- 37. One complaint was about a lack of services, a decrease from two in 2019/20.
- 38. 45 complaints related to service provision, an increase from 35 in 2019/20.
- 39. Seven complaints related to staff attitude/behaviour, a decrease from 12 in 2019/20.

### Complaints by Stage

40. The below graph shows the number of complaints received at each stage of the procedure during 2020/21.



- 41. The Council received 60 Stage 1 complaints, a reduction from 65 in 2019/20.
- 42. 12 were escalated to Stage 2, and one was investigated directly at Stage 2. A total of 13 complaints were considered at Stage 2, an increase from 7 in 2019/20.
- 43. Zero complaints were escalated to the Housing Ombudsman, a decrease from two in 2019/20.

### Complaints Outcomes

44. The below tables show the decisions reached on complaints during 2020/21.

#### Stage 1

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
<b>Housing</b>						
Customer Services	0	1	0	0	0	1
Income Management	0	1	2	0	2	5
Management Services	0	12	3	3	4	22
Tenancy Enforcement	0	4	1	1	3	9
Contact & Repairs Co-ordination	1	1	0	5	0	7
<b>Total for Housing</b>	<b>1</b>	<b>19</b>	<b>6</b>	<b>9</b>	<b>9</b>	<b>44</b>
<b>Building Services</b>						
Service & Repairs	2	4	0	10	0	16
<b>Total for Building Services</b>	<b>2</b>	<b>4</b>	<b>0</b>	<b>10</b>	<b>0</b>	<b>16</b>
<b>Environmental Services</b>						
Arboriculture	1	0	0	0	0	1
<b>Total for Environmental Services</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
<b>Totals</b>	<b>4</b>	<b>23</b>	<b>6</b>	<b>19</b>	<b>9</b>	<b>61</b>



**Stage 2**

Service Area/Team	Inconclusive	Not Upheld	Partially Upheld	Upheld	Withdrawn	Total
<b>Housing</b>						
Management Services	0	3	2	1	0	6
Tenancy Enforcement	0	1	0	0	0	1
<b>Total for Housing</b>	<b>0</b>	<b>4</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>7</b>
<b>Building Services</b>						
Service & Repairs	0	1	0	0	0	1
<b>Total for Building Services</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
<b>Environmental Services</b>						
Arboriculture	1	0	0	0	0	1
<b>Total for Environmental Services</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
<b>Totals</b>	<b>1</b>	<b>5</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>9</b>

**Stage 3**

45. The 'designated person' or 'democratic filter' did not determine any complaints during 2020/21.

**Housing Ombudsman**

46. The Housing Ombudsman determined one complaint during 2020/21, as was the case in 2019/20.

47. Full details of those complaints determined by the Housing Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).

## **Organisational Learning**

48. All resolution and organisational learning actions identified as a result of complaints are assigned to a responsible manager and progress against those actions is monitored by the Complaints Manager. In addition to those actions taken to resolve individual complaints, several service improvements were made following complaint investigations during 2020/21 and are detailed below:

## **Management Services**

49. Following a complaint for Management Services it was recommended Housing Services should ensure Housing Officers and Customer Services staff are aware of who can apply for the County Durham & Darlington Community Safety Fund to avoid inaccurate advice being given the future. It was also recommended that Housing Services ensures it adheres to the timescales set out in its Housing Services Anti-Social Behaviour Policy and that officers should be reminded of the importance of consulting residents before making changes to communal areas of the buildings in which they live.
50. Following a further complaint for Management Services it was agreed the Housing Services I would review their sign up process and going forward ensure sign up appointments are made when all works are completed, post inspected and not beforehand. Staff training was to be arranged in relation to the new process and the Council improved its welcome letter for new tenants to advise of any debts associated on the meters for the property. Housing Services also reviewed the empty home cleaning standard with their cleaning contractor.

## **Service & Repairs**

51. Following a complaint for Service & Repairs an officer received refresher guidance on behaviour and the standards we expect all our operatives to adhere to.
52. Following another complaint for Service & Repairs, Building Services decided to keep a small stock of radiators to prevent other people experience delays in having them repaired/replaced.

## **Contact & Repairs Co-ordination**

53. Following a complaint for Contact & Repairs Co-ordination staff were reminded that they should always have a prearranged time to visit. This complaint also led Building Services to review their stock level resulting in them requiring their supplier to hold a small number of a particular boiler part.
54. Following a further complaint for Contact & Repairs Co-ordination, Housing Services reviewed their process for having to re-arrange appointments when unforeseen circumstances occur.

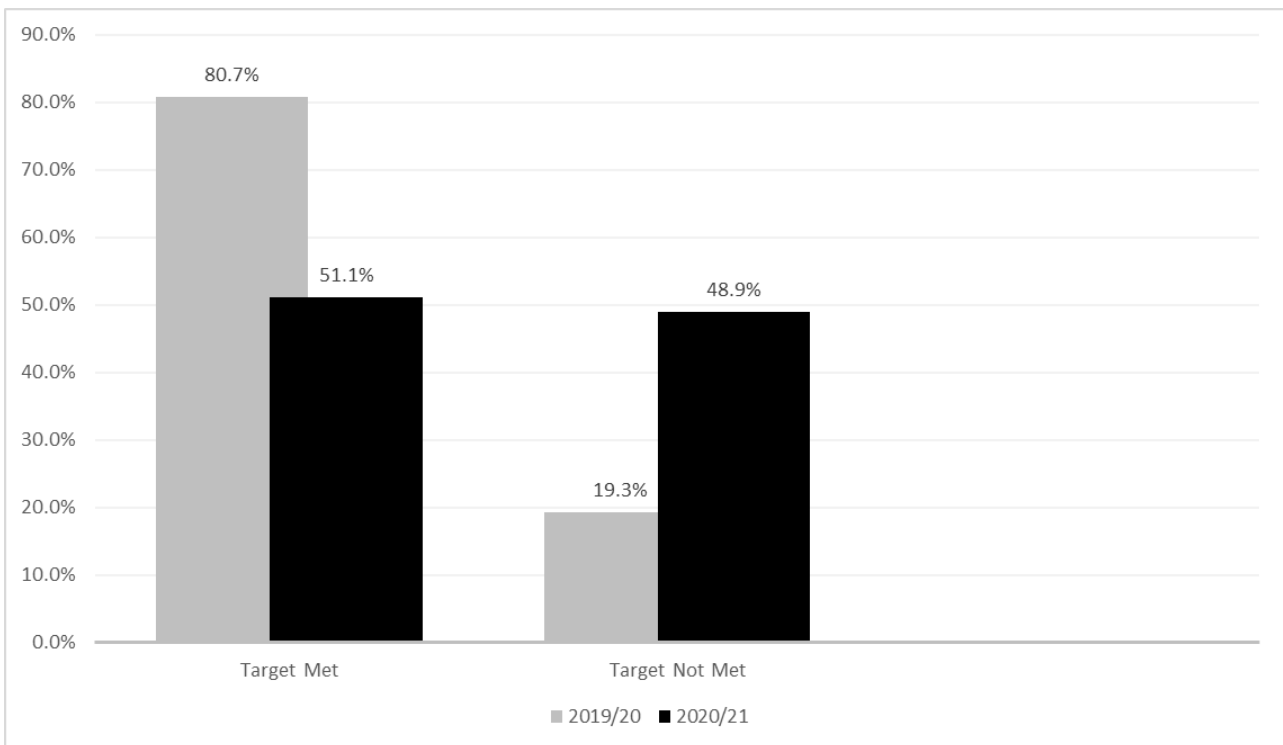
### Performance against the Housing Complaints, Compliments and Comments Procedure

- 55. The Assistant Director Law and Governance made a [Delegated Decision](#) on 23 March 2020 that gave approval for timescales not to be adhered to as a result of services diverting resources to the areas of greatest need.
- 56. On the 1 January 2021 the Council updated its Housing Complaints procedure to ensure it was compliant with the [Housing Ombudsman Code](#). This included amending the Stage 1 and Stage 2 timescales.

#### Stage 1

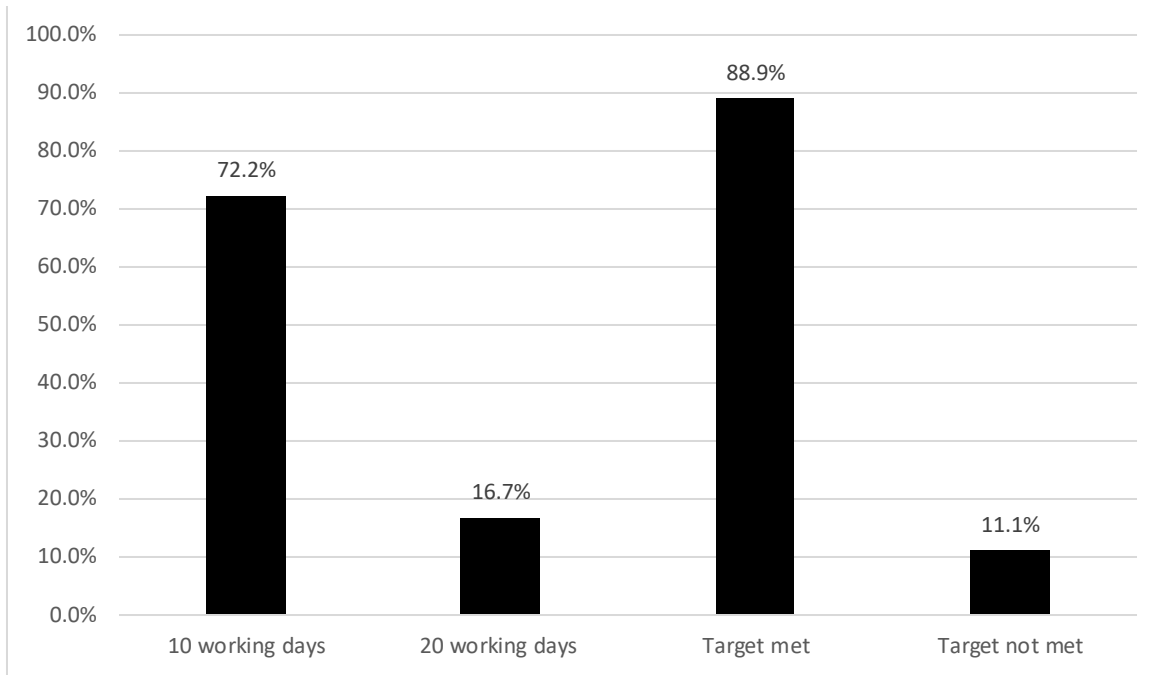
- 57. The below graph shows Stage 1 performance in relation to those complaints received before 1 January 2021.

**Performance against Stage 1 response target (25 working days)**



- 58. This was a decrease in performance against the Stage 1 response target from 80.7% in 2019/20.
- 59. The below graph shows Stage 1 performance in relation to those complaints received after 1 January 2021.

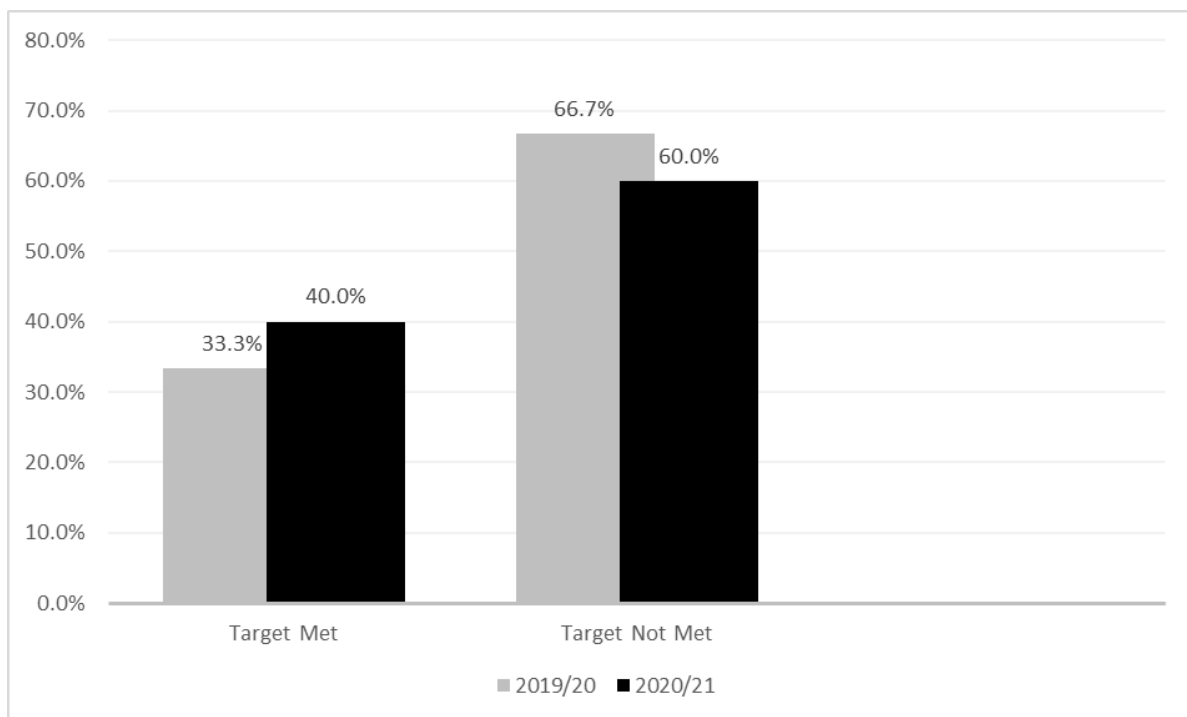
**Performance against Stage 1 response target  
(10 working days, with an extension up to 20 working days)**



**Stage 2**

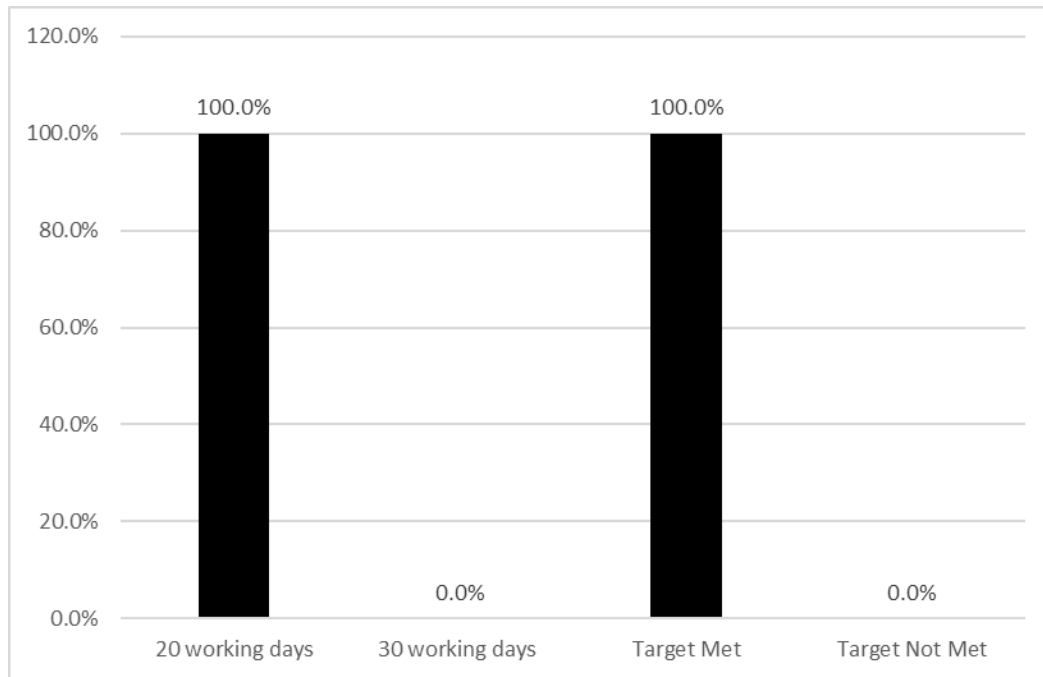
60. The below graphs shows Stage 2 performance in relation to those complaints received before 1 January 2021.

**Performance against Stage 2 response target (30 working days)**



- 61. This was an increase in performance against the Stage 2 response target from 33.3% in 2019/20.
- 62. The below graph shows Stage 2 performance in relation to those complaints received after 1 January 2021.

**Performance against Stage 2 response target  
(20 working days, with an extension up to 30 working days)**



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# **DARLINGTON**

Borough Council

## **Public Health Complaints, Compliments and Comments Annual Report 2020/21**

## Contents

Introduction	3
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## Introduction

1. The purpose of this annual report is to inform service users, carers, the public, Council Members and staff of the effectiveness of the Public Health Complaints, Compliments and Comments Procedure (the Procedure).
2. On the 1 April 2013 the NHS Bodies and Local Authorities (Partnership Arrangements, Care Trusts, Public Health and Local Healthwatch) Regulations 2012 (the Regulations) came into force. Part five of the Regulations deals with Complaints about Public Health Functions of Local Authorities.
3. The Council implemented a new procedure providing a local framework to ensure complaints are handled effectively and in line with the regulations.
4. The procedure aims to:
  - (a) Make it as easy and accessible as possible for service users and their carers to raise complaints;
  - (b) Foster an organisational culture in which complaints are accepted, owned and resolved as efficiently as possible;
  - (c) Ensure high levels of customer satisfaction with complaints handling;
  - (d) Resolve individual issues when they arise and reduce the number of complaints referred to the Ombudsman; and
  - (e) Enable the Council to identify topics and trends in relation to Public Health complaints and improve services as a result.
5. The Chief Executive is the designated as the 'Responsible Person' for ensuring compliance with the arrangements made under the Regulations, and in particular ensuring that action is taken if necessary in the light of the outcome of a complaint. The functions of the responsible person will usually be performed by the Director of Public Health.
6. The Complaints and Information Governance Manager is designated the 'Complaints Manager' in accordance with the regulations and is responsible for managing the procedures for handling and considering complaints in accordance with the arrangements made under the Regulations.

## **Local Government and Social Care Ombudsman**

7. Although complainants can refer their complaints to the Local Government and Social Care Ombudsman (LGSCO) from the outset, the LGSCO will not normally investigate until the Council or service provider has conducted its own investigation and provided a response. Where it has not been possible for the complaint to be resolved to the satisfaction of the complainant they may refer the matter to the LGSCO.

## **Information and Accessibility**

8. We are committed to making sure that everyone has equal access to all our services, including the complaints procedure. To help make sure the Council's complaints procedures are easily accessible we have produced two leaflets (one for children and young people and one for adults) covering all Council services to reflect the single point of access for complainants within the Council. The leaflets are available in all Council buildings. They have been written in line with the Plain English Campaign standards. The title is written in the most commonly used community languages and it contains details on how to access the information in other formats, for example, large print, audio and Braille.
9. Information is available on the Council's website. There is also an electronic form which people can use to make a complaint, pay someone a compliment or pass comment on Council services. People may make a complaint in any format they wish. This can be in writing, by email, via the web, over the phone, in person or by any other reasonable means.
10. The Complaints Manager can arrange advocates and interpreters (including British Sign Language interpreters) where appropriate.

### Summary

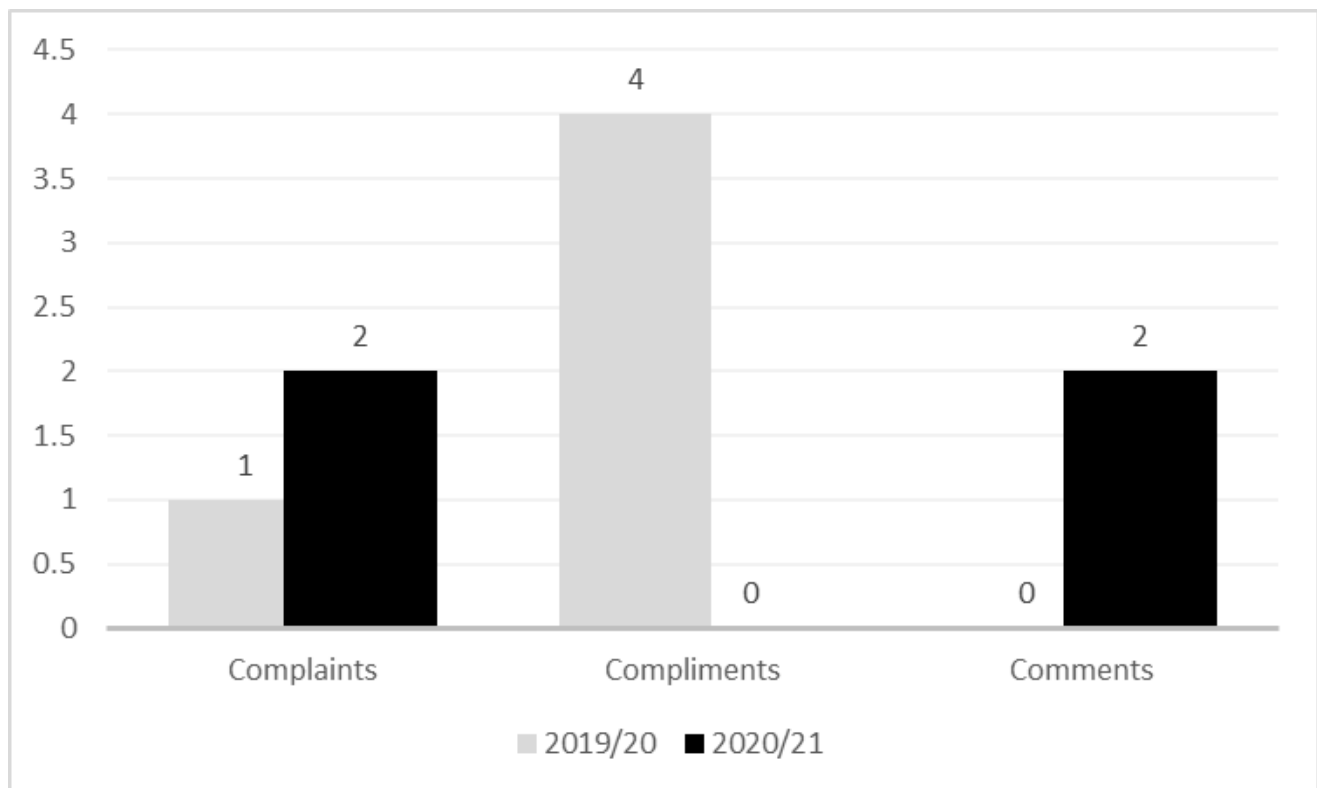
- 11. The Council received two complaints about Public Health services during 2020/21, an increase from one in 2019/20.
- 12. The Council received zero compliments, a decrease from four in 2019/20.
- 13. The Council received two comments, an increase from zero in 2019/20.

### Review of the Year

#### Breakdown of all Representations

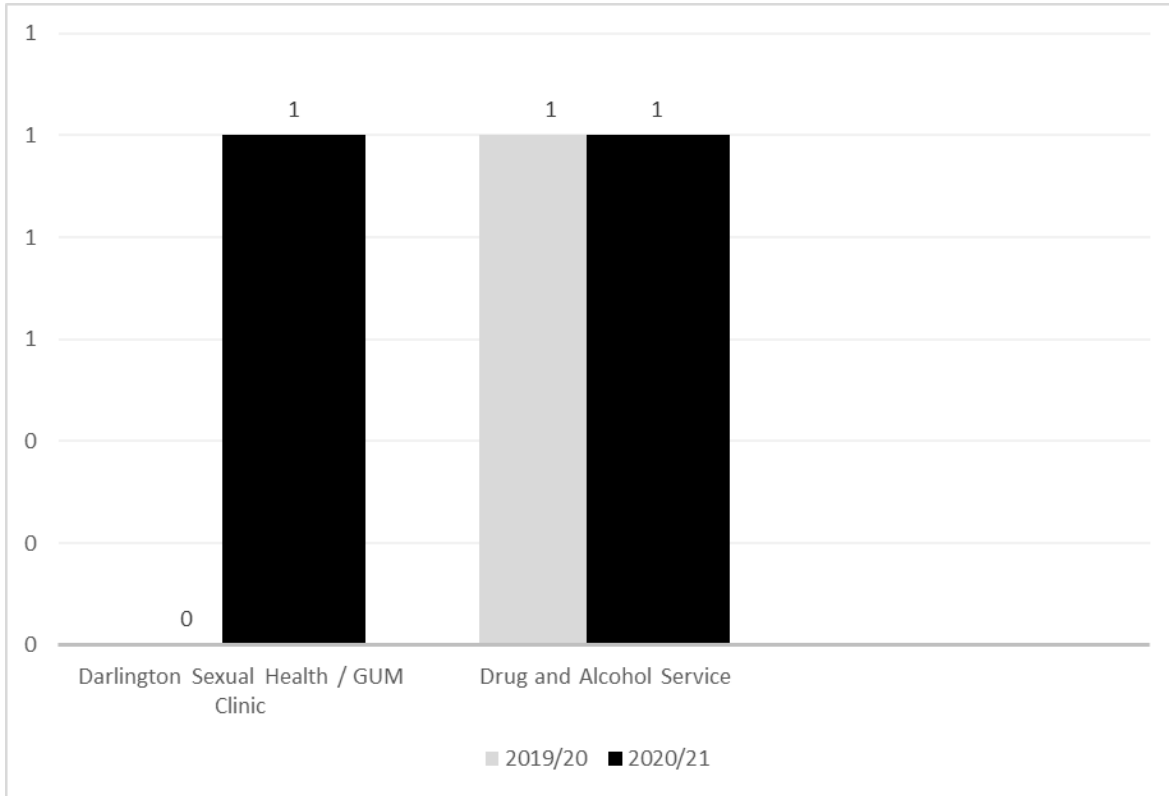
- 14. A total of four representations were handled under the procedure during 2020/21.

**Total Complaints, Compliments and Comments Received**

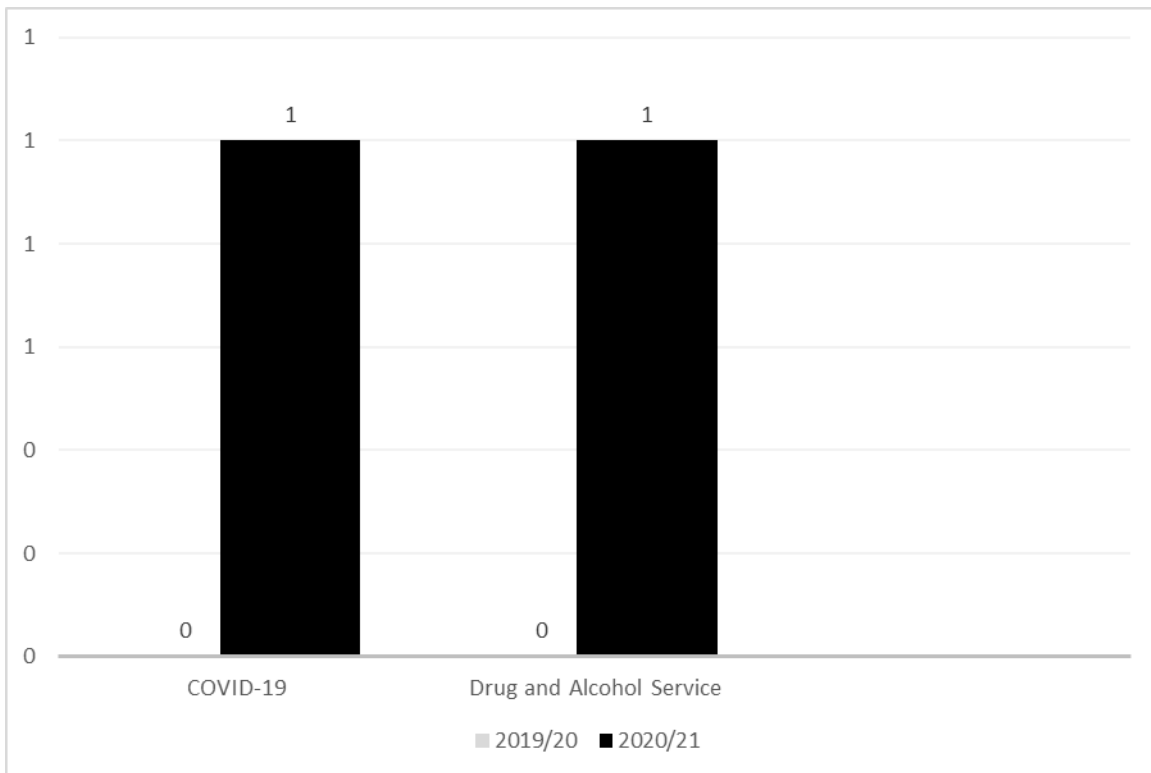


- 15. The complaints related to Public Health Providers, Darlington Sexual Health / GUM clinic and the changes to the Drug and Alcohol Service.
- 16. The comments related to the changes to the Drug and Alcohol Service and the COVID-19 rates in Darlington.

### Complaints by Service



### Comments by Service



### **Complaint Outcomes**

17. The complaint relating to the changes to the Drug and Alcohol Service was responded to during 2020/21. The outcome of the complaint was not upheld.

### **Local Government Ombudsman Complaints (LGSCO) Received 2020/21**

18. No Public Health complaints were progressed to the LGSCO during 2020/21, the same as in 2019/20.

### **Local Government Ombudsman Complaint Outcomes (LGSCO) 2020/21**

19. No Public Health complaints were determined by the LGSCO during 2020/21, the same as in 2019/20.

### **Organisational Learning**

20. There was no organisational learning resulting from the complaint that was concluded during 2020/21.

### **Further recommendations**

21. There are no further recommendations.

### **Performance against the Procedure**

22. While the regulations allow a maximum of six months to respond to a complaint we aim to respond to complaints within 30 working days.
23. The above complaint was responded to in 34 working days.

### **Performance Indicator for 2020/21**

24. In relation to Public Health complaints the Council's key performance indicator is the number of maladministration decisions received from the Local Government and Social Care Ombudsman. The Council received zero maladministration decisions during 2020/21.
25. Full details of those complaints determined by the Local Government and Social Care Ombudsman are included in the Cabinet reports of 8 December 2020 and 7 September 2021 entitled [Review of Outcome of Complaints Made to Ombudsman](#).

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**ECONOMY AND RESOURCES SCRUTINY COMMITTEE  
2 SEPTEMBER 2021**

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**REVIEW OF OUTCOME OF COMPLAINTS MADE TO OMBUDSMAN**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To consider the outcome of cases which have been determined by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman (HO)

**Summary**

2. Attached at **Annex 1** is a report detailing the cases which have been determined by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman (HO) which is due to be considered by Cabinet at its meeting on 7 September 2021.
3. Cabinet receive reports of those areas of the Council's functions where complaints have arisen. It is appropriate to review these in order to establish whether there is any pattern to complaints received or whether there is a particular Directorate affected or a type of complaint which is prevalent. If there were a significant number of cases in any one particular area, that might indicate a problem which the Council would seek to address.

**Recommendation**

4. It is recommended that Members consider the report and forward any views to Cabinet for consideration.

**Elizabeth Davison  
Group Director of Operations**

**Background Papers**

No background papers were used in the preparation of this report.

S17 Crime and Disorder	This report is for information to members and requires no decision. Therefore there are no issues in relation to Crime and Disorder.
Health and Well Being	This report is for information to members and requires no decision. Therefore there are no issues in relation to Health and Well Being.
Carbon Impact and Climate Change	This report is for information to members and requires no decision. Therefore there are no issues in relation to Carbon Impact.
Diversity	This report is for information to members and requires no decision. Therefore there are no issues in relation to Diversity.
Wards Affected	This report affects all wards equally.
Groups Affected	This report is for information to members and requires no decision. Therefore there is no impact on any particular group.
Budget and Policy Framework	This report does not recommend any changes to the Budget or Policy Framework.
Key Decision	This is not a Key Decision.
Urgent Decision	This is not an Urgent Decision.
Council Plan	This report contributes to all the priorities in the Council Plan.
Efficiency	Efficiency issues are highlighted through complaints.
S17 Crime and Disorder	This report is for information to members and requires no decision. Therefore there are no issues in relation to Crime and Disorder.



**CABINET  
7 SEPTEMBER 2021**

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**REVIEW OF OUTCOME OF COMPLAINTS MADE TO OMBUDSMAN**

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**Responsible Cabinet Members**

**Councillor Scott Durham - Resources  
Councillor Rachel Mills - Adults  
Councillor Jon Clarke - Children and Young People  
Councilor Kevin Nicholson - Health and Housing**

**Responsible Directors**

**Ian Williams, Chief Executive  
Elizabeth Davison, Group Director of Operations  
James Stroyan, Group Director of People  
Dave Winstanley, Group Director of Services**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To provide Members with an update of the outcome of cases which have been determined by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman Service (HOS) during 2020/21.
2. To provide Members with the LGSCO's Annual Review letter 2021 (**Appendix 1**).

**Summary**

3. This report sets out in abbreviated form the decisions reached by the LGSCO and the HOS during 2020/21 and outlines actions taken as a result.
4. This report also provides Members with a copy of the LGSCO's Annual Review letter 2021, which contains information on the Council's performance in relation to complaints.

**Recommendation**

5. It is recommended that the contents of the report be noted.

**Reasons**

6. The recommendation is supported by the following reasons :-

- (a) It is important that Members are aware of the outcome of complaints made to the LGSCO and the HOS in respect of the Council’s activities.
- (b) The contents of this report do not suggest that further action, other than detailed in the report, is required.

**Ian Williams**  
**Chief Executive**

**Background Papers**

Note: Correspondence with the LGSCO and HOS is treated as confidential to preserve anonymity of complainants.

Lee Downey- Extension 5451

S17 Crime and Disorder	This report is for information to members and requires no decision. Therefore there are no issues in relation to Crime and Disorder
Health and Well Being	This report is for information to members and requires no decision. Therefore there are no issues in relation to Health and Well Being
Carbon Impact and Climate Change	This report is for information to members and requires no decision. Therefore there are no issues in relation to Carbon Impact
Diversity	This report is for information to members and requires no decision. Therefore there are no issues in relation to Diversity
Wards Affected	This report affects all wards equally
Groups Affected	This report is for information to members and requires no decision. Therefore there is no impact on any particular group
Budget and Policy Framework	This report does not recommend any changes to the Budget or Policy Framework
Key Decision	This is not a Key Decision
Urgent Decision	This is not an Urgent Decision
Council Plan	This report contributes to all the priorities in the Council Plan
Efficiency	Efficiency issues are highlighted through complaints

## MAIN REPORT

### Background

7. Cabinet has previously resolved that they would consider reports on the outcome of cases referred to the LGSCO and HOS during the Municipal Year on a bi-annual basis.
8. The opportunity is normally taken to analyse the areas of the Council's functions where complaints have arisen. It is appropriate to do that in order to establish whether there is any pattern to complaints received or whether there is a particular Directorate affected or a type of complaint which is prevalent. If there were a significant number of cases in any one particular area, that might indicate a problem which the Council would seek to address.
9. The LGSCO encourages officers to share the annual letter with colleagues and elected members as the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

### Decisions reached by the LGSCO and the HOS during 2020/21

10. Between 1 April 2020 and 31 March 2021, 11 cases were the subject of decision by the LGSCO.
11. Between 1 April 2020 and 31 March 2021, one case was the subject of decision by the HOS.
12. The outcome of cases on which the LGSCO reached a view is as follows:

LGSCO Findings	No. of Cases
Closed after initial enquiries: no further action	4
Closed after initial enquiries: out of jurisdiction	1
Not upheld: no maladministration	2
Upheld: Maladministration Injustice	2
Upheld: Maladministration, No Injustice	1
Upheld: not investigated - injustice remedied during Body in Jurisdiction's complaint process	1

13. The outcome of cases on which the HOS reached a view is as follows:

HOS Findings	No. of Cases
Service Failure	1

### Local Government and Social Care Ombudsman (LGSCO)

#### *Closed after initial enquiries: no further action*

14. The first of these complaints concerned the Council not following the legal requirements when in 2019 it granted amendments to planning permission for development. The complainant argued the Council did not request a new planning application after they

pointed out there might be landowners that had not been properly notified of the development. The complainant argued this invalidated the planning application and the Council should not have considered the application. The complainant's view was based on information they had already complained to the Council about in 2018. The Council investigated their points in 2018 and presented its legal position with regards to land ownership based on affidavits it received. The complainant disagreed with the Council's legal position. The Ombudsman concluded they would not investigate the complaint as it was unlikely they would find fault in how the Council reached its decision and because there was no personal injustice to the complainant that would warrant their involvement.

15. The second of these complaints concerned two Council members pre-determining their vote on the Council's Local Plan as they had recorded media announcements prior to the decision being made, giving their views on its approval. The Ombudsman decided not to investigate as it was unlikely they would find fault by the Council and the injustice to the complainant was not sufficient to warrant their involvement.
16. The third of these complaints concerned the Council wrongly making the complainant liable for Council Tax. The Ombudsman decided not to investigate because the Council provided a fair response and there was not enough remaining injustice to require an investigation.
17. The fourth of these concerned a Council officer being rude during a telephone call. The Ombudsman decided not to investigate is because it was unlikely an investigation would be able to add to the response already provided by the Council.

***Closed after initial enquiries: out of jurisdiction***

18. This complaint concerned the Council giving misleading or inaccurate advice in 2017 about the complainant's entitlement to help with nursery costs. The complaint was outside the Ombudsman's jurisdiction as it was late, being made after the permitted period of 12 months.

***Not upheld: no maladministration***

19. The first of these complaints concerned the advice the Council gave about disability related expenses and its decision not to make allowance for all the expenses claimed when calculating the contribution towards care costs. The Ombudsman concluded the Council was not at fault.
20. The second of these complaints concerned the Council failing to ensure the complainant's two children received short break provision in line with their assessed needs following a Stage 3 complaint review panel. The complainant also complained the Council offered direct payments which were not sufficient to meet the children's needs. The complainant said this matter caused them and their family stress and put them to unnecessary time and trouble. The Ombudsman concluded the was no fault in the Council's actions.

***Upheld: Maladministration Injustice***

21. The first of these complaints concerned the Council wrongly treating the complainant's car as abandoned and towing it away. The complainant said they incurred costs to release the car. The Council refused to accept a complaint about the matter on the basis that, at the

time, it understood the issue was a matter for the courts. The Council accepted its 7-day vehicle removal form contained errors making it invalid, and it should have investigated the complaint in line with its Corporate Complaints Procedure. The Council agreed to refund the complainant £318 in fees paid to release his car. It also agreed to pay the complainant £150 to recognise the frustration, uncertainty and time and trouble caused by its poor handling of the complaint.

22. The second of these complaints concerned Council arranged respite care for the complainant's child, which did not meet their assessed needs. It also concerned the Council offering insufficient direct payments and not responding to the complaint about this in a timely manner. The Ombudsman found the Council was at fault as it did not respond to the complaint in line with statutory timescales. The Council agreed to make a payment of £150 to acknowledge the stress, time taken and trouble caused to the complainant because of this. The Council was not at fault in its management of the child's respite placement or direct payment funding.

***Upheld: Maladministration, No Injustice***

23. This complaint concerned the Council carrying out an incorrect financial assessment in relation to residential care costs. The complainant said this caused considerable distress and inconvenience. The Ombudsman found the Council was at fault when it initially failed to provide a written record of its financial assessment and when it delayed in responding to the complaint, however, this did not result in any significant injustice.

***Upheld: not investigated - injustice remedied during Body in Jurisdiction's complaint process***

24. This complaint concerned the Council not supporting an Adult Services, service user to set up a direct debit mandate in October 2018, when it completed a financial assessment, and a delay in sending out invoices. Following its own investigation the Council partly upheld the complaint, apologised for the distress caused by the delay in sending out the invoices, offered £500 to offset against the complainant's outstanding debt and offered to implement a repayment plan to recover the remaining debt. The Ombudsman was satisfied this remedied the injustice caused.

**Housing Ombudsman Service (HOS)**

***Service failure***

25. This complaint concerned the Council's failure to enforce an agreement for a neighbour not to feed birds and its response to reports of overhanging trees. The Ombudsman found there is no legal or tenancy requirement obliging the neighbour to stop putting nuts out for the birds, although there is an expectation on tenants not to allow their garden to become unhygienic due to the build-up of animal faeces. That on receiving the complainant's concerns about the neighbour feeding the birds, the Council took reasonable and proportionate action, however, despite some positive steps to proactively address the issues, the Council did not satisfactorily manage expectations in respect of this complaint or consistently do what it said it would. In relation to tree pruning the Ombudsman found the Council responded promptly, by acknowledging the issue raised and letting the complainant know that works would be undertaken to prune the trees once the bird nesting season had finished. However, it took a number of chasers from the complainant, about what works

would be done and when, before the Council provided this information. The work was then carried out some months later, without further contact or notice to the complainant and whilst the Council was not required to consult or notify the complainant about the specific works to be undertaken, there were misunderstandings and a lack of communication in respect of this. The Ombudsman also said it was inappropriate that the Council (as a landlord) did not inspect the works that had been undertaken and criticised the Equality Impact Assessment (EIA) undertaken as it primarily relied upon historical records and did not involve an inspection or consultation. The Ombudsman ordered the Council to pay the complainant £100, arrange an inspection of the trees and share its findings with the complainant. The Ombudsman also recommend the Council honour the “*compromise agreement*” already in place with the neighbour around bird feeding and reiterate the specific times of year that bird feeding can take place. The Ombudsman also recommended the Council undertake a revised EIA, taking into account the comments made above and communicate its conclusions to the complainant.

### **LGSCO’s Annual Review letter 2021**

26. In their annual review letter (**Appendix 1**) the LGSCO focus on three key statistics and compare the Council’s performance against that of other Unitary Council’s (further information is available from the LGSCO’s [interactive map](#)).
27. 67% of complaints the LGSCO investigated were upheld, compared to 63% in similar authorities (The LGSCO uphold complaints when they find some form of fault in an authority’s actions, including where the authority accepted fault before they investigated).
28. The LGSCO found that in 25% of upheld cases the Council had already provided a satisfactory remedy, compared to an average of 10% in similar authorities.
29. The LGSCO were satisfied the Council successfully implemented their recommendations in 100% of cases compared to an average of 99% in similar authorities. However, they did note there was a delay in implementing their recommendations in two cases and asked the Council to consider how it might make improvements to reduce delays in the remedy process.

### **Analysis**

30. During 2020/21 the Council received two Upheld: Maladministration Injustice decisions from the LGSCO, compared to six in 2019/20.
31. The organisational learning identified as a result of these complaints should ensure there is no re-occurrence.
32. While the LGSCO recorded their satisfaction with your Council’s compliance rate in relation to their recommendations, as requested by the LGSCO the Council will consider how it might make improvements to reduce delays in the remedy process.

### **Outcome of Consultation**

33. The issues contained within this report do not require formal consultation.

# Local Government & Social Care OMBUDSMAN

21 July 2021

*By email*

Mr Williams  
Chief Executive  
Darlington Borough Council

Dear Mr Williams

## **Annual Review letter 2021**

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2021. At the end of a challenging year, we maintain that good public administration is more important than ever and I hope this feedback provides you with both the opportunity to reflect on your Council's performance and plan for the future.

You will be aware that, at the end of March 2020 we took the unprecedented step of temporarily stopping our casework, in the wider public interest, to allow authorities to concentrate efforts on vital frontline services during the first wave of the Covid-19 outbreak. We restarted casework in late June 2020, after a three month pause.

We listened to your feedback and decided it was unnecessary to pause our casework again during further waves of the pandemic. Instead, we have encouraged authorities to talk to us on an individual basis about difficulties responding to any stage of an investigation, including implementing our recommendations. We continue this approach and urge you to maintain clear communication with us.

## **Complaint statistics**

This year, we continue to focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have focused statistics on three key areas:

**Complaints upheld** - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated.

**Compliance with recommendations** - We recommend ways for authorities to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

**Satisfactory remedy provided by the authority** - In these cases, the authority upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and credit authorities that accept fault and find appropriate ways to put things right.

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

Your annual data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 28 July 2021. This useful tool places all our data and information about councils in one place. You can find the decisions we have made about your Council, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

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

As you would expect, data has been impacted by the pause to casework in the first quarter of the year. This should be considered when making comparisons with previous year's data.

It is pleasing that we recorded our satisfaction with your Council's compliance in three cases where we recommended a remedy. However, it is disappointing that in two of these cases, remedies were not completed within the agreed timescales, despite, in one case, giving additional time because of the impact of Covid-19. While I acknowledge the pressures councils are under, such delays add to the injustice already suffered by complainants. Additionally, the actions you agree to take, and your performance in implementing them, are reported publicly on our website, so are likely to generate increased public and media scrutiny in future.

I reported my concerns about delays in the remedy process last year and it is concerning that the issues persist. I invite the Council to consider how it might make improvements to reduce delays in the remedy process, including informing us promptly when it completes a remedy.

### **Supporting complaint and service improvement**

I am increasingly concerned about the evidence I see of the erosion of effective complaint functions in local authorities. While no doubt the result of considerable and prolonged budget and demand pressures, the Covid-19 pandemic appears to have amplified the problems and my concerns. With much greater frequency, we find poor local complaint handling practices when investigating substantive service issues and see evidence of reductions in the overall capacity, status and visibility of local redress systems.

With this context in mind, we are developing a new programme of work that will utilise complaints to drive improvements in both local complaint systems and services. We want to use the rich evidence of our casework to better identify authorities that need support to improve their complaint handling and target specific support to them. We are at the start of this ambitious work and there will be opportunities for local authorities to shape it over the coming months and years.

An already established tool we have for supporting improvements in local complaint handling is our successful training programme. During the year, we successfully adapted our

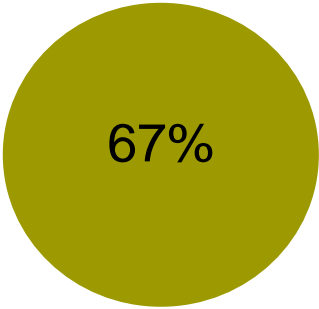
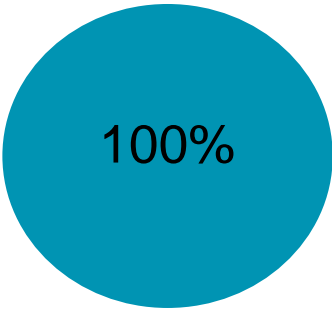
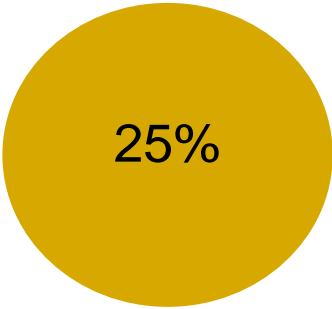


face-to-face courses for online delivery. We provided 79 online workshops during the year, reaching more than 1,100 people. To find out more visit [www.lgo.org.uk/training](http://www.lgo.org.uk/training).

Yours sincerely,

A handwritten signature in black ink, appearing to read 'M King', with a horizontal line underneath.

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

Complaints upheld		
	<p><b>67%</b> of complaints we investigated were upheld.</p> <p>This compares to an average of <b>63%</b> in similar authorities.</p>	<p><b>4</b> upheld decisions</p> <p>Statistics are based on a total of 6 detailed investigations for the period between 1 April 2020 to 31 March 2021</p>
Compliance with Ombudsman recommendations		
	<p>In <b>100%</b> of cases we were satisfied the authority had successfully implemented our recommendations.</p> <p>This compares to an average of <b>99%</b> in similar authorities.</p>	<p>Statistics are based on a total of 3 compliance outcomes for the period between 1 April 2020 to 31 March 2021</p>
<ul style="list-style-type: none"><li>• Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.</li></ul>		
Satisfactory remedy provided by the authority		
	<p>In <b>25%</b> of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.</p> <p>This compares to an average of <b>10%</b> in similar authorities.</p>	<p><b>1</b> satisfactory remedy decision</p> <p>Statistics are based on a total of 6 detailed investigations for the period between 1 April 2020 to 31 March 2021</p>

**NOTE:** To allow authorities to respond to the Covid-19 pandemic, we did not accept new complaints and stopped investigating existing cases between March and June 2020. This reduced the number of complaints we received and decided in the 20-21 year. Please consider this when comparing data from previous years.

**ECONOMY AND RESOURCES SCRUTINY COMMITTEE  
2 SEPTEMBER, 2021**

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**INVESTMENT FUND - UPDATE**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To consider progress against the agreed investments being funded through the Investment Fund.

**Summary**

2. Attached at **Annex 1** is a report of the Group Director of Operations which is being considered by Cabinet at its meeting on 7 September, 2021 in relation to progress against the agreed investments being funded through the Investment Fund

**Recommendation**

3. It is recommended that Members consider the attached report and forward any views to Cabinet for consideration.

**Elizabeth Davison  
Group Director of Operations**

**Background Papers**

No background papers were used in the preparation of this report.

S17 Crime and Disorder	No impact as a result of this report
Health and Wellbeing	No impact as a result of this report
Carbon Impact and Climate Change	No impact as a result of this report
Diversity	No impact as a result of this report
Wards Affected	No impact as a result of this report
Groups Affected	No impact as a result of this report
Budget and Policy Framework	There is not impact on the budget or policy framework.
Key Decision	This is not a key decision
Urgent Decision	This is not an urgent decision
Council Plan	The Investment fund is being utilised to assist with the financial stability of the council by maximising investment returns. The fund is also enabling economic growth by facilitating development.
Efficiency	The utilisation of the Investment Fund is likely to increase Council income.
Impact on Looked After Children and Care Leavers	This report has no impact on Looked After Children or Care Leavers

**CABINET  
7 SEPTEMBER 2021**

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**INVESTMENT FUND UPDATE**

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**Responsible Cabinet Member - Councillor Scott Durham,  
Resources Portfolio**

**Responsible Director - Elizabeth Davison, Group Director of Operations**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To update Cabinet on progress against the agreed investments being funded through the Investment Fund.

**Summary**

2. In November 2016 the Council established an investment fund to be used for innovative investment opportunities beyond the traditional Treasury Management Strategy in order to achieve greater returns given the low returns on investment.
3. The fund provision of £50m is being utilised as envisaged in the original reports to Council to include Joint Venture (JV) vehicles and economic regeneration initiatives. Returns on JV's are anticipated to be over £6m and two of the schemes have completed with the investment fully repaid and recycled back into the fund.
4. Whilst the COVID-19 pandemic had an impact on a couple of the joint venture scheme in regard to timescales being pushed back, they are now back on track and sales are buoyant.
5. The investment fund is currently funding seven schemes as detailed in the report.

**Recommendation**

6. It is recommended that Cabinet note the use of the Investment Fund and the returns achieved through the joint venture vehicles.

**Reasons**

7. The recommendations are supported :-

- (a) To keep Cabinet informed of progress made on opportunities undertaken and investment returns.
- (b) To increase development opportunities and ultimately income for the Council.

**Elizabeth Davison  
Group Director of Operations**

**Background Papers**

- (i) Council report – 24 November 2016 – Investment opportunities
- (ii) Council report – 29 November 2018 – Investment opportunities update and request to increase the fund.

Elizabeth Davison : Extension 5830

S17 Crime and Disorder	There are no anticipated impacts as a result of this report
Health and Wellbeing	There are no specific implications as a result of this report
Carbon Impact and Climate Change	As this report is providing an update on the financing of schemes there is no impact as a result of this report.
Diversity	There are no anticipated impact as a result of this report
Wards Affected	No anticipated impact on an individual area as a result of this report
Groups Affected	No anticipated impact on specific groups as a result of this report
Budget and Policy Framework	This does not represent a change to the budget or policy framework
Key Decision	This is not a key decision
Urgent Decision	This is not an urgent decision
Council Plan	The Investment fund is being utilised to assist with the financial stability of the council by maximising investment returns. The fund is also enabling economic growth by facilitating development
Efficiency	The utilisation of the Investment Fund is likely to increase Council income
Impact on Looked After Children and Care Leavers	This report has no impact on Looked After Children or Care Leavers

## MAIN REPORT

### Background

8. In November 2016 Council agreed to the establishment of a Capital Investment Fund and following the successful implementation agreed to increase the fund to £50m on 29 November 2018.
9. It has been agreed the fund is recyclable so as the life of an investment comes to an end and repayment is made it will be recycled back into the investment fund for further utilisation. Any future scheme would of course still require a full detailed business case report to Cabinet.
10. Since the establishment of the fund, Cabinet have agreed to 11 uses of the fund, four of which have completed with the funding recycled. Two of the Joint Venture Schemes have been fully repaid (Eastbourne JV and Heighington JV); the Feethams house investment is being repaid via occupier rents and the guarantee on the Darlington Sports Village of £2.1m is no longer required. The remaining seven are summarised below:-

Investment	Cabinet Agreement Date	£m's	Repaid	Balance £m's
Markets (MAMDL Ltd)	20/06/2017	1.80	-	1.80
Neasham Road: Relocation of Cattle Mart	06/03/2018	3.14	-	3.14
JV - West Park	03/04/2018	12.00	-	12.00
JV – Middleton St.George	08/01/2019	4.70	3.30	1.40
JV –ESH/DBC North East	03/12/2019	9.50		9.50
Land Acquisition - Faverdale	31/03/2020	1.30		1.30
JV - Neasham Road	15/09/2020	8.50		8.50
<b>Total</b>		<b>40.94</b>	<b>3.30</b>	<b>37.64</b>

### Investment update

### Market Asset Management

11. In 2017 the Council entered into a lease with Market Asset Management Ltd (MAM) for the management, refurbishment of the Victorian Indoor Market and the management and improvement of Darlington's outdoor market. As part of the lease MAM are obliged and committed to invest £1.5m (plus VAT) in repairs to the roof and structure of the building and improvements to the mechanical and electrical supplies, ventilation and heating system. A loan of £1.8m was made available to MAM to assist with the upfront expenditure and this is being repaid at state aid compliant rates which will benefit the Council to the tune of around £0.278m. In 2020 members further agreed to allocate £2.050m investment from the Tees Valley Indigenous Growth Fund into the Victorian Indoor Market for the development of the temperate garden and food and beverage outlets.

12. The refurbishment programme is delivered in three phases. The first phase, which commenced in January 2021, includes the refurbishment of approximately 50% of the market hall which will accommodate six street food stalls, a bar, communal seating, new entrance area and new public toilets and an area for live entertainment. This phase has also seen a major refurbishment of mechanical and electrical infrastructure and the installation of a bio-mass heating system. The vast amount of this work was carried out by a local Darlington construction company. MAM will produce and manage a full events diary and focus efforts on driving family-based evening economy to benefit the market and the wider town-centre and to dovetail with ongoing improvements to the outdoor markets and enhance events programme, which are all set to continue.
13. Phase 2 which will commence in September 2021 will focus on improving and refurbishing the existing trading floor, with phase 3 being the installation of a temperate garden on the east elevation of the building replacing the old canopy and redevelopment of large sections of the market vaults into a bar and restaurant. It is anticipated that this work will commence in 2022.

#### **Neasham Road: Linked to Relocation of Cattle Mart**

14. In March 2018 Cabinet agreed to purchase the land at Neasham Road from the Darlington Farmers Auction Mart and others to help facilitate the move out of the town centre. This was in recognition that the location was unsuitable for a Mart operation, both undesirable in the context of wider regeneration opportunities and impacts on the neighbourhood around Bank Top, and furthermore is constraining DFAM's growth opportunity. The acquisition of the land at Neasham Road not only assisted with this priority but enables the Council to bring forward significant additional development of affordable and social housing to meet an identified need within the borough
15. £3.14m was allocated from the investment fund being the balance of funding required for the move. The funding will be repaid from future Section 106 receipts from affordable housing along with any capital receipts received from the site. This scheme has now received planning permission for the whole site for the development of 449 homes, 155 privately owned homes delivered by a Joint Venture company, 150 Council owned affordable houses and outline planning for 144 homes to a registered provider or council owned affordable homes.
16. Following the grant of planning permission, development of the site at Neasham Road is now underway with construction of the site infrastructure progressing very well. Subject to the weather it is expected that the part of the site earmarked for Council Housing will be the first to start in early 2022 followed shortly afterwards by the Esh/DBC JV development. Opportunities to acquire land in third party ownership adjacent to the site have been taken with a view to assembling further development opportunities.

#### **West Park Joint Venture**

17. The Council entered into a Joint Venture Company with our framework partners to build and sell houses at West Park and agree funding of £12m to facilitate this. The scheme is part of the larger West Park Village and will be completed over a seven-year period. The Council is anticipated to receive a pre-tax profit on the venture of £2.1m and is ahead of



target at present, it is anticipated returns will be higher than originally anticipated when the scheme is complete.

18. The site continues to see high levels of interest and good demand from potential buyers, at the time of writing the scheme is ahead of schedule with 82 plots either reserved, exchanged or legally completed. The site is experiencing some issues in regard to supply of materials due to the global pandemic with delivery periods for material extended, however good progress is being made and it is not anticipated it will affect the gross profit margin.

#### **Middleton St. George Joint Venture**

19. In January 2019 Cabinet approved the establishment of a Joint Venture company to provide the infrastructure, build and sell 55 new homes private sale and affordable in Middleton St George. All plots have been sold or reserved and the anticipated pre-tax profit dividend is anticipated to be higher than the original estimate of £0.594m, this will be confirmed in the year end accounts. Furthermore as the scheme was slightly delayed due to Covid the surplus on the loan arrangements will also be higher than budgeted.

#### **Esh DBC JV Limited**

20. Building upon the success of the joint venture housing companies, Cabinet approved the establishment of a joint venture company in December 2019 to provide the infrastructure, build and sale of homes under an investment programme within the North East under the company name Esh DBC JV Limited.
21. This company takes a longer-term view and is not site specific which enables funds to be reinvested over a longer term. All sites are subject to qualifying investment criteria for residential development and it is envisaged the sites would be outside the boundaries of Darlington but within the North East region.
22. The company is based on a 50:50 split between the Council and Esh Homes Ltd with the company delivering profits equally the two parties. The estimated average pre-tax profit share for the Council per annum is £1m however cashflows will be recycled into new land and WIP until the fourth year of operation when the first dividend of £1m is anticipated.
23. The company is still in its infancy however one site has been purchased for the development of 75 houses in the Gateshead area and pre-construction works are progressing.

#### **Neasham Road Joint Venture**

24. Cabinet agreed to establishing a Joint Venture company with our framework partners to build and sell houses on the Neasham Road site. The company has been set up and as noted in paragraph 16, infrastructure works are progressing well with the first homes for sale anticipated in 2022. Pre-tax profits from the site are anticipated at £1.1m.

### **Land Purchase – Land at Faverdale**

25. An opportunity arose to purchase the 74 acres of land for employment use to the east of Faverdale East Business Park which Cabinet approved in March 2020. This is part of a long-term strategy for opening up land for development. A number of expressions of interest have been made with a view to developing out the Council's site and it is intended to bring a report to Cabinet in October with a recommendation for taking the site forward.

### **Summary**

26. The investment fund has been used for 11 schemes to date four of which have been recycled back into the fund.
27. The agreed Investment fund of £50m has a commitment against it of £37.64m leaving a balance of £12.36m uncommitted.
28. The joint venture schemes are anticipated to generate over £6m in profit dividend to assist the Medium Term Financial Plan, along with a further surplus on loan repayments.
29. The investment fund is being utilised as envisaged facilitating wide economic benefits as well as a direct positive impact on the Councils financial position.

**ECONOMY AND RESOURCES SCRUTINY COMMITTEE  
2 SEPTEMBER 2021**

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**ECONOMY AND RESOURCES SCRUTINY COMMITTEE –  
WORK PROGRAMME**

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**SUMMARY REPORT**

**Purpose of the Report**

1. To consider the work programme items scheduled to be considered by this Scrutiny Committee during the next Municipal Year and to consider any additional areas which Members would like to suggest should be included.

**Summary**

2. Members are requested to consider the attached draft work programme (**Appendix 1**) for the next Municipal Year which has been prepared based on Officers recommendations and recommendations previously agreed by this Scrutiny Committee.
3. Once the work programme has been approved by this Scrutiny Committee, any additional areas of work which Members wish to add to the agreed work programme will require the completion of a quad of aims in accordance with the previously approved procedure.

**Recommendation**

4. Members are requested to consider and approve the attached draft work programme as the agreed work programme and consider any additional items which they might wish to include.

**Elizabeth Davison  
Group Director of Operations**

**Background Papers**

There were no background papers used in the preparation of this report.

Shirley Wright: Extension 5998

S17 Crime and Disorder	This report has no implications for Crime and Disorder
Health and Well Being	This report has no direct implications to the Health and Well Being of residents of Darlington.
Carbon Impact	There are no issues which this report needs to address.
Diversity	There are no issues relating to diversity which this report needs to address
Wards Affected	The impact of the report on any individual Ward is considered to be minimal.
Groups Affected	The impact of the report on any individual Group is considered to be minimal.
Budget and Policy Framework	This report does not represent a change to the budget and policy framework.
Key Decision	This is not a key decision.
Urgent Decision	This is not an urgent decision.
Council Plan	The report contributes to the Council Plan in a number of ways through the involvement of Members in contributing to the delivery of the Plan.
Efficiency	The Work Programmes are integral to scrutinising and monitoring services efficiently (and effectively), however this report does not identify specific efficiency savings.
Impact on Looked After Children and Care Leavers	This report has no impact on Looked After Children or Care Leavers

## MAIN REPORT

### Information and Analysis

5. The format of the proposed work programme has been reviewed to enable Members of this Scrutiny Committee to provide a rigorous and informed challenge to the areas for discussion.
6. The Council Plan sets the vision and strategic direction for the Council through to May 2023, with its overarching focus being 'Delivering Success for Darlington'.
7. In approving the Council Plan, Members have agreed to the vision for Darlington which is a place where people want to live and businesses want to locate, where the economy continues to grow, where people are happy and proud of the borough and where everyone has the opportunity to maximise their potential.
8. The vision for the Economy Portfolio is :-

**'a borough where economic growth is high and the benefits are enjoyed by all residents'**

by delivering

- More sustainable and well paid jobs
- More businesses
- More homes

9. The vision for the Resources Portfolio is :-

**'a Council that is financially stable and delivering much needed services and support for the Borough'**

### Forward Plan and Additional Items

10. Once the Work Programme has been agreed by this Scrutiny Committee, any Member seeking to add a new item to the work programme will need to complete a quad of aims. A revised process for adding an item to a previously approved work programme, has been agreed by the Monitoring and Co-ordination Group.
11. Details of the items included on the Forward Plan has been attached at **Appendix 2** for information.

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## ECONOMY AND RESOURCES SCRUTINY COMMITTEE WORK PROGRAMME

	Topic	Timescale	Lead Officer	Scrutiny's Role
<b>RESOURCES</b>				
	Workforce Strategy	Presentation held on 31 August 2021	Brett Nielsen/Helen Whiting	N/A
232	Performance Management Framework	6 January 2022 Work being undertaken to look at relevant Pl's (14 July 2021)	Relevant Assistant Directors	To understand/monitor and challenge the indicators
61 60	Medium-Term Financial Plan - Monitoring	Quarterly monitoring reports to be submitted to meetings of this Scrutiny Committee  4 November 2021 3 February 2022	Brett Nielsen	To contribute and challenge the Medium-Term Financial Plan and assist with the implementation and development of the required savings
	Project in a Box  Repeat session to be arranged.	Presentation held on 16 July 2021	Brian Robson	To demonstrate the new project management system to Members
	Medium-Term Financial Plan	December - January	Brett Nielsen	To provide a response to Cabinet on the proposals in relation to the Medium-Term Financial Plan

131 132 133	Capital Programme and project Position Statement	Quarterly monitoring reports to be submitted to meetings of this Scrutiny Committee  2 September, 2021 4 November 2021 3 February 2022	Brian Robson	To look at the position
75	Complaints, Compliments and Comments - Annual Report 2019/20	Item elsewhere on this agenda	Lee Downey	To look at the position
16	Complaints Made to Local Government Ombudsman	Item elsewhere on this agenda	Lee Downey	To consider the outcome of cases which have been determined by the Local Government and Social Care Ombudsman (LGSCO) and the Housing Ombudsman (HO) and forward any view to Cabinet
	Customer Services and Digital Strategy	Presentation to be arranged – To be programmed	Anthony Sandys	To brief Members on the work being undertaken
	Department for Works and Pension – Universal Credit	Presentation arranged for 7 September 2021	Anthony Sandys	To brief Members on the process and position



99	Council Tax Support Scheme	4 November, 2021	Anthony Sandys	To provide comment to Cabinet on the proposed scheme
	Procurement	To be programmed	Luke Swinhoe	To look at work and services of the North East Purchasing Organisation (NEPO) and the Authority's contract spend
	Strengthening Families Programme	Work to be undertaken via a Task and Finish Review Group to look at the spend across the Programme	Brett Nielsen/Jane Kochanowski	To look at the spend across the Programme
	Freedom of Information Requests	All Members' briefing to be arranged	Lee Downey	
<b>ECONOMY</b>				
	Business Week 2021	Presentation to be held on 19 October, 2021	Mark Ladyman	To update Scrutiny
	Towns Fund	Presentation held on 18 August, 2021	Mark Ladyman	To update Scrutiny
4	Investment Fund	Item elsewhere on this agenda	Brett Nielsen	To consider progress against the agreed investments being funded through the Investment Fund.

106	Economic Strategy	To be considered 4 November 2021	David Hand	To scrutinise progress of the Strategy Action Plan against outcomes and understand relationship with Tees Valley SEP and Local Plan.
114	Housing Strategy	To be considered 4 November 2021	David Hand	To scrutinise progress of the Strategy Action Plan against outcomes.
88	Broadband Infrastructure in Darlington 2012-20	6 January 2022	Jochen Werres	To scrutinise progress of the Broadband Delivery (BDUK) and Local Full Fibre Network (LFFN) programmes
	Long-term impact of Covid on the economy	To be programme	Mark Ladyman	To update Members on the scheme
209	Climate Change	To be programmed	Cabinet Member	To update on the work of the Review Group
	Youth Unemployment	Joint piece of work to be undertaken with Children and Young People Scrutiny Committee taking the lead		

**ARCHIVED ITEMS**

	Sickness Absence Year-end out-turn	Circulated to Members of the Scrutiny Committee as a briefing note	Brett Nielsen/Helen Whiting	N/A
	Health and Safety Year end out-turn	Circulated to Members of the Scrutiny Committee as a briefing note	Brett Nielsen/Joanne Skelton	N/A
	Business Grant Scheme – Additional Restrictions Grant	1 July 2021	Mark Ladyman	To update Members on the scheme

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**DARLINGTON BOROUGH COUNCIL  
FORWARD PLAN**

Appendix 2



**FORWARD PLAN  
FOR THE PERIOD: 4 AUGUST 2021 - 31 DECEMBER 2021**

<b>Title</b>	<b>Decision Maker and Date</b>
Annual Review of the Investment Fund	Cabinet 7 Sep 2021
Climate Change Action Plan	Cabinet 7 Sep 2021
Complaints Made to Local Government Ombudsman	Cabinet 7 Sep 2021
Complaints, Compliments and Comments Annual Reports 2019/20	Cabinet 7 Sep 2021
Introduction of a Civil (Financial) Penalty Policy and Enforcement Protocol – Minimum Energy Efficiency Standards	Cabinet 7 Sep 2021
Land at Faverdale / Burtree Garden Village Feasibility Work	Cabinet 7 Sep 2021
Playing Pitch and Facilities Strategy	Cabinet 7 Sep 2021
Project Position Statement and Capital Programme Monitoring - Quarter One	Cabinet 7 Sep 2021
Proposed Waiting Restrictions on Woodland Road, Outram Street and Duke Street	Cabinet 7 Sep 2021
Regulatory Investigatory Powers Act (RIPA)	Cabinet 7 Sep 2021
Schedule of Transactions	Cabinet 7 Sep 2021
School Term Dates 2022/23	Cabinet 7 Sep 2021
Annual Procurement Plan 2021/22 - Update	Cabinet 5 Oct 2021
Land at Faverdale – Former St Modwen Land Development Strategy	Cabinet 5 Oct 2021
Treasury Management Annual and Outturn Prudential Indicators 2020/2021	Council 25 Nov 2021 Cabinet 5 Oct 2021
Council Tax Support - Scheme Approval 2022/23	Cabinet 9 Nov 2021
Project Position Statement and Capital Programme Monitoring - Quarter Two	Cabinet 9 Nov 2021
Rail Heritage Quarter Update	Cabinet 9 Nov 2021
Restoration of Locomotion No 1 Replica	Cabinet 9 Nov 2021
Revenue Budget Monitoring - Quarter 2	Cabinet 9 Nov 2021
Special Educational Needs and Disabilities (SEND) Capital Projects	Cabinet 9 Nov 2021
Tees Valley Energy Recovery Facility	Cabinet 9 Nov 2021
Mid-Year Prudential Indicators and Treasury Management 2020/21	Council 27 Jan 2022 Cabinet 7 Dec 2021
Council Fleet	

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