

Notice of Meeting

Overview and Scrutiny Committee

Date: Wednesday 18 September 2019

Time: 5.30 pm

Venue: Conference Room 1, Beech Hurst, Weyhill Road, Andover,
Hampshire, SP10 3AJ

For further information or enquiries please contact:

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Legal and Democratic Service

Test Valley Borough Council,
Beech Hurst, Weyhill Road,
Andover, Hampshire,
SP10 3AJ

www.testvalley.gov.uk

The recommendations contained in the Agenda are made by the Officers and these recommendations may or may not be accepted by the Committee.

PUBLIC PARTICIPATION SCHEME

If members of the public wish to address the meeting they should notify the Legal and Democratic Service at the Council's Beech Hurst office by noon on the working day before the meeting.

Membership of Overview and Scrutiny Committee

MEMBER

WARD

Councillor I Jeffrey (Chairman)	Mid Test;
Councillor Z Brooks (Vice-Chairman)	Andover Millway;
Councillor G Bailey	Blackwater;
Councillor D Baverstock	Romsey Cupernham;
Councillor C Borg-Neal	Andover Harroway;
Councillor T Burley	Andover Harroway;
Councillor D Coole	Anna;
Councillor C Donnelly	Andover Downlands;
Councillor C Dowden	North Baddesley;
Councillor A Finlay	Chilworth, Nursling & Rownhams;
Councillor S Gidley	Romsey Abbey;
Councillor N Gwynne	Romsey Cupernham;
Councillor K Hamilton	Andover Harroway;
Councillor N Lodge	Andover Downlands;
Councillor R Meyer	Andover Winton;
Councillor K North	Andover Romans;
Councillor J Parker	Romsey Tadburn;
Councillor R Rowles	Andover Winton;

Overview and Scrutiny Committee

Wednesday 18 September 2019

AGENDA

The order of these items may change as a result of members of the public wishing to speak

- 1 Apologies**
- 2 Public Participation**
- 3 Declarations of Interest**
- 4 Urgent Items**
- 5 Minutes of the meeting held on 17 July and 5 September 2019**
- 6 Call in Items**
- 7 Urgent decisions taken since last meeting**
- 8 Updates on Panels**

Lead Members to update the Committee on the progress of their Panels (10 mins)
- 9 Appointment to Budget and Audit Panels**

To appoint Members to the Budget and Audit Panels (10 minutes)
- 10 Annual Report on Complaints** **5 - 53**

Annual summary of complaints dealt with under the Council's formalised procedure 2018/19 for consideration by the Overview and Scrutiny Committee (20 minutes)

- | | | |
|-----------|---|----------------|
| 11 | <u>The Annual Internal Audit Report 2018-19</u> | 54 - 65 |
| | To consider the internal audit work covering the financial year 2018-19 and the results of an external assessment of conformance with the Public Sector Internal Audit Standards (20 minutes) | |
| 12 | <u>Work Programme Report</u> | 66 - 69 |
| | To consider the outputs from the discussions at the OSCOM annual Away Day (20 minutes) | |
| 13 | <u>Programme of Work for the Overview & Scrutiny Committee</u> | 70 - 84 |
| | To enable Members to keep the Committee's future work programme under review (10 minutes) | |

ITEM 10

Annual Report on Complaints

Report of the Chief Executive (Portfolio: Corporate)

Recommended:

That the annual report be considered and endorsed.

SUMMARY:

- The Chief Executive and Services together dealt with 204 complaints under the Council's formal procedure, in the year 2018/19.
- The Local Government and Social Care Ombudsman (LGSCO) made preliminary enquiries about 7 complaints relating to TVBC and began an investigation into 2 of these for the year ended 31 March 2019.

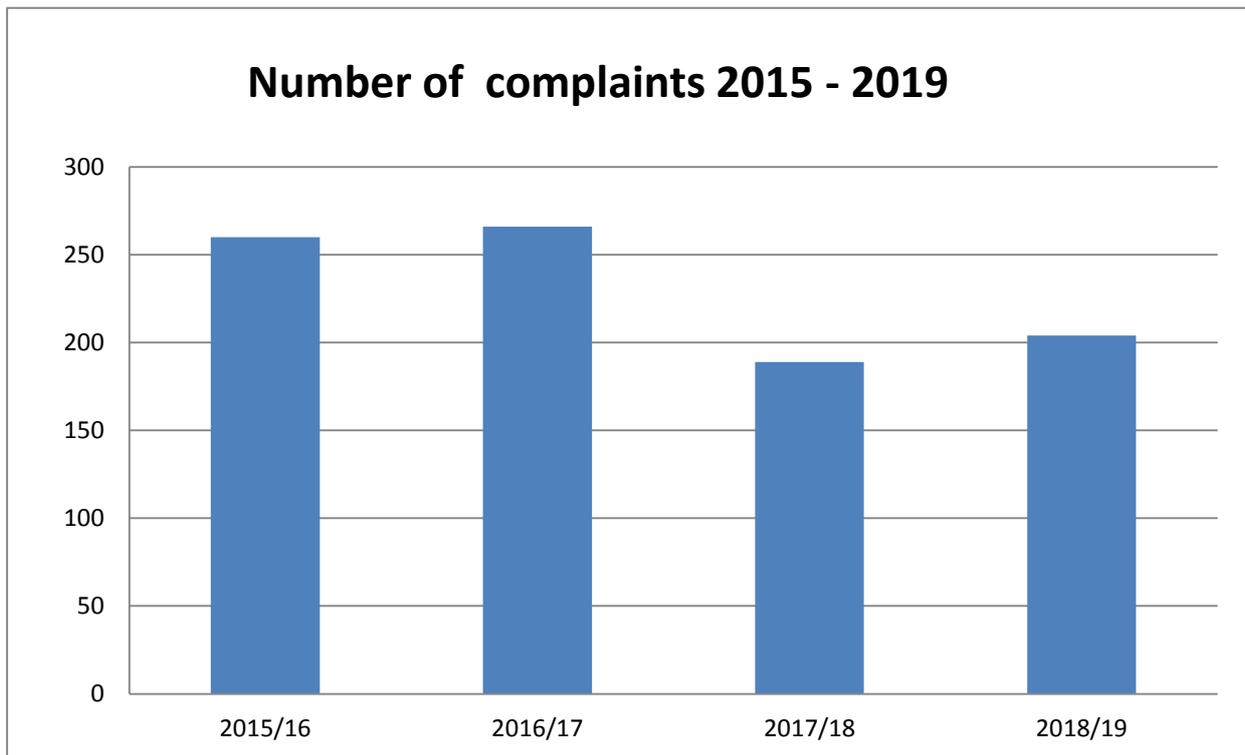
1 Background

- 1.1 To facilitate the periodic monitoring of complaints and review by this Committee each year, Services are required to prepare an annual summary of complaints dealt with under the Council's formalised procedure (the year runs from 1 April 2018 to 31 March 2019).
- 1.2 A complaint is defined within the Council as: *"an expression of dissatisfaction, however made, about the standard of service, action or lack of action by the Council, or its staff, affecting an individual customer or group of customers."*
- 1.3 Complaints recorded under the formal procedure (and dealt with in this summary report) do not include those 'first time' representations which were effectively requests for a service and dealt with as such. Accordingly, a new report of a missed bin, or a broken swing, for example, would not be registered and dealt with as a complaint, but as a request for action. Of course, in the event that the Council failed to respond to the 'request' appropriately, then that may generate a complaint. Appeals against the level of Housing Benefit or Council Tax Support awarded are not treated as complaints but are dealt with under a separate appeals route.

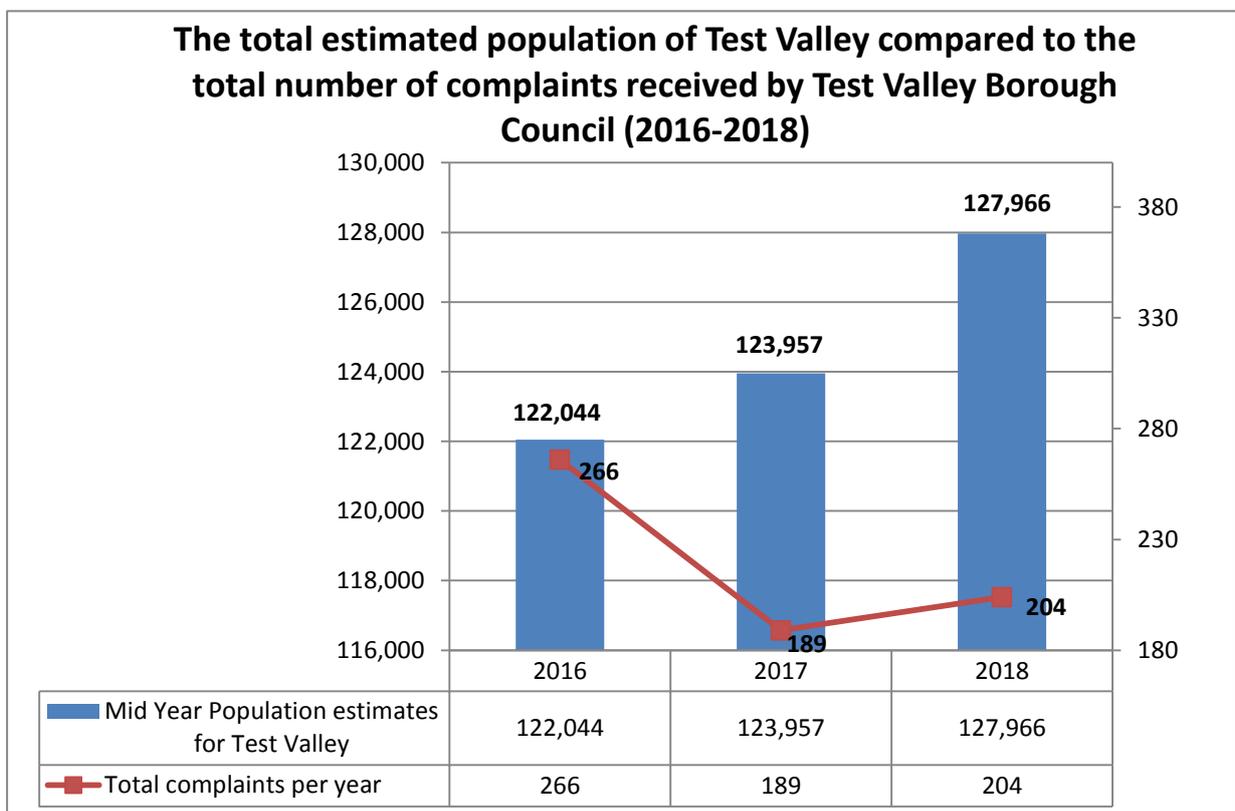
2 Complaints 2018/19

- 2.1 In the year 2018/19 there were 204 service level complaints (those dealt with by more than one service at the same time are counted as one complaint). From these 204 complaints, 14 were escalated to the Chief Executive and 7 were the subject of LGSCO enquiries.

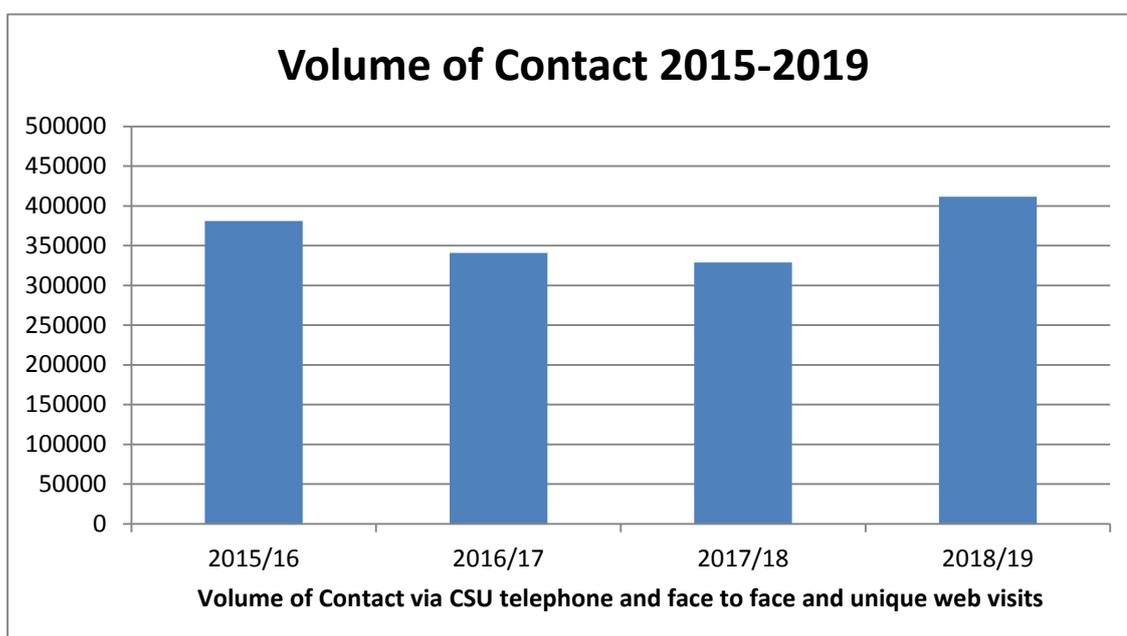
2.2 This year sees an increase of 15 complaints in the number of complaints received from the previous year (189 in 2017/18).



The number of complaints increased slightly this year after a decrease last year. The number remains relatively stable, despite the increase in housing and population in the borough, as shown below.



- 2.3 Customer Service unit figures for the year indicate that they received over 75,740 telephone calls which has decreased from 86,100 the previous year. The number of face to face contacts for the year was 12,599, a decrease from 13,112 the previous year. The website received over 323,348 unique visitors for 2018/19. A unique visitor is an individual that uses the website, however an individual may use the website numerous times. Therefore, the number of times the site was entered better illustrates the use of the website and these totalled over 629,770 sessions for 2018/19. This has increased from 505,650 sessions in 2017/18.
- 2.4 The number of telephone contacts continues to decrease from previous years, and this can be attributed to self serve processes put in place to enable and encourage customers to do their business with the Council electronically. Overall, the total number of customer contacts via telephone or face to face for 2018/19 has reduced from the previous year.



- 2.5 The following table gives a breakdown of the number of complaints. At seminars arranged by the LGSCO, representatives of the Institute of Customer Service have previously advised on the Customer Satisfaction Index and accepted customer service industry standards. The number of our complaints account for less than 1% of overall transactions and this falls well within these industry standards.

Stage of complaints process	Number of complaints
Service level	204
Chief Executive escalations	14 (from the 204 above)
Local Government and Social Care Ombudsman	7

2.6 The annual complaints logs contain personal information that should not be published. This corresponds with the Ombudsman’s view that it is neither necessary, nor desirable, for the Council to make such details public. As a result the information provided in this report is largely statistical in nature. Councillors should refer to the Complaints and Communications Officer if they require more details about a specific case. Full details of all the complaints are available and these can be provided to committee members on request. However, this information is strictly confidential.

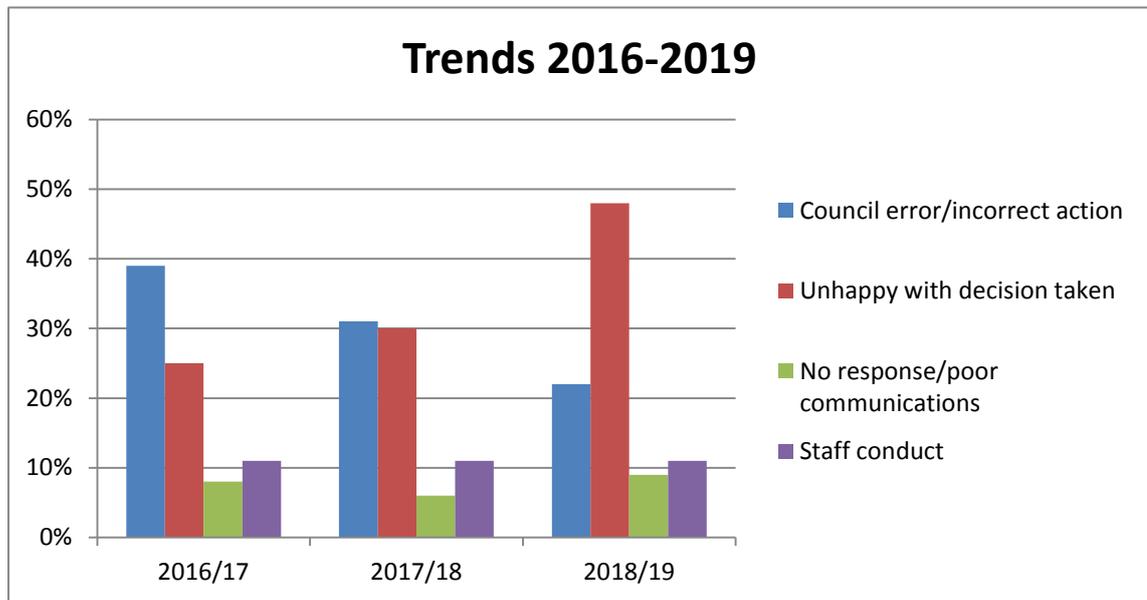
2.7 Specific Service Considerations

The number of complaints and compliments received can be broken down across the services as follows:

Service	Number of complaints	As a % overall	Compliments
Environmental	102	50	126
Planning & Building	27	13.24	38
Estates and Economic	26	12.75	2
Revenues (incl CSU)	23	11.27	16
Communities & Leisure	11	5.39	7
Housing & Environmental Health	6	2.94	1
Legal & Democratic	2	0.98	Not logged
Chief Executive	2	0.98	Not logged
Finance	1	0.49	Not logged
Cross Service	4	1.96	n/a
CEX escalations from the 204 service level complaints	14	6.86	n/a

- 2.8 The number of complaints for each service does not, of course, necessarily provide a direct correlation with the standard of customer service provided, and these overall results cannot be treated in isolation. Each of these service results are heavily influenced by the type of business transacted by that service, for example, the number of customer facing transactions carried out, the public profile of the actions carried out by that service, and whether the customer has alternative formal routes for redress or appeal.
- 2.9 The Environmental Service receives the highest number of complaints but these are very low when considering the number of interactions it has with the public. For example, in 2018/19, the Environmental Service provided waste and recycling collections to almost 55,000 properties within Test Valley each week. This totals almost 2,900,000 collections a year. Using this example, the number of complaints received equates to only 0.003% of collections.
- 2.10 In 2018/19, the Planning and Building Service dealt with 4,381 planning related matters, comprising of 1,512 planning applications, 448 pre-app enquiries, 1,004 condition discharge applications, 628 tree applications and 789 planning enforcement cases. Against this background, the figures show that the number of complaints received against the volume of work undertaken by the Planning and Building Service equates only to approximately 0.6% of the work carried out.
- 2.11 An analysis of the root cause of complaints received has shown that the majority of complaints can be categorised into four main types:

Type of complaint	Percentage
Council error/incorrect action	22
Unhappy with decision/action taken by Council	48
Staff conduct	11
No response received/poor communication	9
Other	10



3 Learning Points

- 3.1 The Council treats every complaint as an opportunity to identify learning outcomes and improve service provision. Complaints are valuable not only in identifying service improvements but in improving public perception and satisfaction with the Council as a whole. Each complaint can be an opportunity to make changes or service improvements on a small or greater scale.
- 3.2 Annexes 3 – 9 are reports that provide specific detail on a selection of complaints within different services as examples to illustrate this. The report on the complaints escalated to the Chief Executive (Annex 3) details every complaint that progressed to Stage 2 of the complaints process.
- 3.3 Examples of some of the learning points and improvements made as a result of complaints during 2018/19 include:
- Managers continuing to use trends identified in the learning outcomes to resolve recurring issues and using examples of these complaints for training and discussion in team meetings.
 - Reviewing and improving communication with residents on tree removals that may impact them or their property.
 - Ensuring continuity in communication for ongoing complaints and keeping the complainant informed on updates.
 - Ensuring adequate photos are taken and included in planning reports.
 - Reviewing fraud cases to ensure information held from DWP is up to date.

4 Time Taken to Respond

- 4.1 The Council's service standard is to respond in full to a complaint within 10 working days of receipt, or if this is not possible within that time (for example, because of the complexity of the complaint, the number of third parties involved or awaiting additional information), a holding response is sent to the customer. This standard was met in 82% of service complaints, with 167 out of 204 complaints answered in this time frame.
- 4.2 When a complaint is escalated to stage 2, the Chief Executive has 15 working days to respond. This standard was met in 86% of escalated complaints with 12 out of 14 complaints answered in this time frame. Where it is not possible to respond within this time frame, the complainants are made aware that there will be a delay.

5 Unreasonable or Unreasonably Persistent Complainants

- 5.1 There are currently no complainants determined as vexatious.

6 The Local Government and Social Care Ombudsman

- 6.1 The Local Government and Social Care Ombudsman (LGSCO) produces an annual letter which is attached as Annex 1. Annex 2 contains a guide to understanding the statistics provided. The number of complaints or enquiries received by the LGSCO does not necessarily match with the number of complaints progressed to the LGSCO by the Council. This is because in some cases, complainants approaching the LGSCO directly may be given advice or be referred to another organisation and the Council may not be aware of this. The LGSCO will also refer a complainant back to the Council if the complaint has not completed the local authority's complaints procedure and in some cases, the complainant may choose not to come back to the Council.
- 6.2 During the year 2018/19 the Council received 7 initial complaint enquiries from the LGSCO of which the LGSCO opted to investigate only 2.

The table below also includes a complaint counted on the 2017/18 report as it was under investigation but was not completed within that year.

INVESTIGATED			
Date	Subject Matter	Action Taken	LGSCO outcome
23 Jan 18	<p>Complaint from previous year as investigation not completed in 2017/18.</p> <p>The LGSCO only investigated part of this complaint regarding the Andover Airfield site</p>	<p>Information and previous responses sent to LGSCO as requested.</p> <p>Final decision provided on 27 June 2018.</p>	<p>Decision: The Ombudsman found no fault by the Council in how it attempted to install acoustic fencing to mitigate the noise from a business park near the complainant's home. However, the Ombudsman did find fault by the Council</p>

	development. Specifically that the Council “assumed responsibility from the developer for installing acoustic fencing but failed to do so” as sections of the fencing have yet to be installed.		with regards to its delay in bringing this matter to a conclusion. This caused the complainant unnecessary frustration. The Council agreed to pay the complainant financial redress in recognition of this. A letter was sent with apology and payment and complaint closed by LGSCO with a compliance outcome of remedy completed.
31 May 18	LGSCO investigated complaint regarding the alleged failure of the Planning department to deal with breaches of planning consent at the property next door to the complainant, including how the application and approval for extension were handled.	Information provided as requested, including clarification that all alleged breaches have been investigated and where required, retrospective applications received. The Council will continue to seek remedies for any breach of control and respond to unauthorised works. Decision provided 7 September 2018.	Decision: The Ombudsman has found the Council was not at fault and that the Council properly considered the objections raised by the complainant and the Parish Council before granting planning permission. It also took informal enforcement action in response to the breaches of planning control reported by the complainant, which it was entitled to do.
14 Aug 18	LGSCO investigated complaint regarding the retention of an Article 4 Direction over rural land.	Information and clarification provided as requested. Decision provided 23 October 2018.	Decision: The Ombudsman has found the Council was not at fault as it reviewed whether the directions were still necessary and followed the correct guidance before deciding to retain them.
NOT INVESTIGATED			
Date	Subject Matter	Action Taken	LGSCO outcome
3 May 18	LGSCO notified the Council of a complaint they received regarding the Council’s decision to close one block of public toilets in their town and demolish another. They allege that the	CEX provided previous responses and clarification on how the identical, pre-filled complaint forms were processed as part of a campaign to “Save Andover Public Toilets”.	Decision: The Ombudsman does not intend to investigate this complaint. This is because it is unlikely to find fault in the Council’s actions.

	community toilet scheme (CTS) now in operation is not fit for purpose.	Decision to not investigate provided 21 June 2018.	
21 Jul 18	LGSCO request for information on a complaint regarding a path that has not been created as part of a development. However the planning application is still under consideration.	Information and clarification provided to LGSCO as requested. Decision to not investigate provided 22 August 2018.	Decision: The complaint is that the footpaths required under a planning permission have not been created. The Ombudsman will not investigate this complaint because the matter is being considered in a new planning application which has not yet been determined.
26 Sept 18	Withdrawn complaint. LGSCO notified of a complaint received regarding a Housing Benefit claim and how it was assessed, including an appeal.	Information and previous responses provided to LGSCO as requested. Notification that the complaint was withdrawn received 4 October 2018.	Decision: This complaint was withdrawn by the complainant and therefore the LGSCO did not investigate it.
6 Feb 19	The LGSCO notified the Council of a complaint they received about the lack of enforcement action regarding an alleged flytipping of soil near the complainant's property.	Information and clarification provided to LGSCO as requested. Decision to not investigate provided 20 February 2019.	Decision: The Ombudsman will not investigate this complaint about the Council's decision not to take enforcement action against someone the complainant says carried out a fly-tip. This is because there is insufficient evidence of fault by the Council.
15 Feb 19	The LGSCO advised that a complaint had been received regarding the advice officers gave, in response to a Planning and Building query.	No action was required as the LGSCO advised immediately of their decision not to investigate this complaint. This was currently dealt with by the Council at Stage 1 and 2 of the complaints process. Decision provided 15 February 2019.	Decision: The Ombudsman will not investigate this complaint. This is because the complaint is late and it is unlikely he would find fault by the Council.

- 6.3 The LGSCO publishes the statistics for all local authorities each year. This enables a comparison to be made between comparable authorities based on the CIPFA (Chartered Institute of Public Finance and Accountancy) 'Nearest Neighbours Model'. The model provides a "family group" of local authorities that are comparable for bench-marking purposes. However, it is important to note that this is not an exact comparison due to the unique nature of each authority and the services they provide, as well as the geographical area and related issues. It can therefore only be used for ascertaining an approximate and informal bench-mark.

Authority Name	Total complaints assessed	Decision: Complaint not upheld	Decision: Complaint upheld
Test Valley Borough Council	7	2	1
Ashford Borough Council	19	1	1
East Hampshire District Council	17	4	4
South Oxfordshire District Council	10	3	0
Vale of White Horse District Council	12	0	0

7 Other matters

- 7.1 The reporting of complaints is embedded in the Council's performance management process, giving further opportunity for issues to be raised throughout the year, and for wider corporate trends to be identified should they arise.

8 Conclusion

- 8.1 Complaints at service level have slightly increased this year, after a significant decrease last year and a largely static previous three years. The number of complaints escalated to the Chief Executive has also slightly increased this year from 12 in 2017/18 to 14 in 2018/19. Heads of Service continue to be encouraged to escalate a complaint to the Chief Executive if required, in the interests of efficiency and the Council continues to signpost complaints to the LGSCO as recommended.
- 8.2 Complaints are also occasionally raised via social media channels, including Twitter and Facebook, which continue to be monitored by both CSU and the Communication Team. They respond to Twitter enquiries and monitor Facebook messages, directing complainants to the complaints process where necessary.

- 8.3 The consistency of complaints reporting suggests that the complaints process continues to work effectively. Where necessary, trends are identified and managed by individual Services. The Complaints and Communications Officer will continue to work closely with Services to identify ways to effectively manage and resolve complaints.
- 8.4 The Committee is requested to consider the annual complaints report for 2018/19.

<u>Background Papers (Local Government Act 1972 Section 100D)</u>			
<u>Confidentiality</u> It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.			
No of Annexes:	9		
Author:	Rebecca Rodford	Ext:	8109
File Ref:			
Report to:	Overview and Scrutiny Committee	Date:	18 September 2019

24 July 2019

By email

Roger Tetstall
Chief Executive
Test Valley Borough Council

Dear Mr Tetstall

Annual Review letter 2019

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2019. The enclosed tables present the number of complaints and enquiries received about your authority, the decisions we made, and your authority's compliance with recommendations during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

Complaint statistics

As ever, I would stress that the number of complaints, taken alone, is not necessarily a reliable indicator of an authority's performance. The volume of complaints should be considered alongside the uphold rate (how often we found fault when we investigated a complaint), and alongside statistics that indicate your authority's willingness to accept fault and put things right when they go wrong. We also provide a figure for the number of cases where your authority provided a satisfactory remedy before the complaint reached us, and new statistics about your authority's compliance with recommendations we have made; both of which offer a more comprehensive and insightful view of your authority's approach to complaint handling.

The new statistics on compliance are the result of a series of changes we have made to how we make and monitor our recommendations to remedy the fault we find. Our recommendations are specific and often include a time-frame for completion, allowing us to follow up with authorities and seek evidence that recommendations have been implemented. These changes mean we can provide these new statistics about your authority's compliance with our recommendations.

I want to emphasise the statistics in this letter reflect the data we hold and may not necessarily align with the data your authority holds. For example, our numbers include

enquiries from people we signpost back to your authority, some of whom may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside our annual review of local government complaints. For the first time, this includes data on authorities' compliance with our recommendations. This collated data further aids the scrutiny of local services and we encourage you to share learning from the report, which highlights key cases we have investigated during the year.

New interactive data map

In recent years we have been taking steps to move away from a simplistic focus on complaint volumes and instead focus on the lessons learned and the wider improvements we can achieve through our recommendations to improve services for the many. Our ambition is outlined in our [corporate strategy 2018-21](#) and commits us to publishing the outcomes of our investigations and the occasions our recommendations result in improvements for local services.

The result of this work is the launch of an interactive map of council performance on our website later this month. [Your Council's Performance](#) shows annual performance data for all councils in England, with links to our published decision statements, public interest reports, annual letters and information about service improvements that have been agreed by each council. It also highlights those instances where your authority offered a suitable remedy to resolve a complaint before the matter came to us, and your authority's compliance with the recommendations we have made to remedy complaints.

The intention of this new tool is to place a focus on your authority's compliance with investigations. It is a useful snapshot of the service improvement recommendations your authority has agreed to. It also highlights the wider outcomes of our investigations to the public, advocacy and advice organisations, and others who have a role in holding local councils to account.

I hope you, and colleagues, find the map a useful addition to the data we publish. We are the first UK public sector ombudsman scheme to provide compliance data in such a way and believe the launch of this innovative work will lead to improved scrutiny of councils as well as providing increased recognition to the improvements councils have agreed to make following our interventions.

Complaint handling training

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. In 2018-19 we delivered 71 courses, training more than 900 people, including our first 'open courses' in Effective Complaint Handling for local authorities. Due to their popularity we are running six more open courses for local authorities in 2019-20, in York, Manchester, Coventry and London. To find out more visit www.lgo.org.uk/training.

Finally, I am conscious of the resource pressures that many authorities are working within, and which are often the context for the problems that we investigate. In response to that situation we have published a significant piece of research this year looking at some of the

common issues we are finding as a result of change and budget constraints. Called, [Under Pressure](#), this report provides a contribution to the debate about how local government can navigate the unprecedented changes affecting the sector. I commend this to you, along with our revised guidance on [Good Administrative Practice](#). I hope that together these are a timely reminder of the value of getting the basics right at a time of great change.

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

Local Authority Report: Test Valley Borough Council

For the Period Ending: 31/03/2019

For further information on how to interpret our statistics, please visit our [website](#)

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
0	1	2	0	2	0	0	6	1	12

Decisions made

Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Detailed Investigations			Total
				Not Upheld	Upheld	Uphold Rate (%)	
1	0	3	5	3	1	25	13

Note: The uphold rate shows how often we found evidence of fault. It is expressed as a percentage of the total number of detailed investigations we completed.

Satisfactory remedy provided by authority

Upheld cases where the authority had provided a satisfactory remedy before the complaint reached the Ombudsman	% of upheld cases
0	0

Note: These are the cases in which we decided that, while the authority did get things wrong, it offered a satisfactory way to resolve it before the complaint came to us.

Compliance with Ombudsman recommendations

Complaints where compliance with the recommended remedy was recorded during the year*	Complaints where the authority complied with our recommendations on-time	Complaints where the authority complied with our recommendations late	Complaints where the authority has not complied with our recommendations	
1	1	0	0	Number
	100%		-	Compliance rate**
<p>Notes:</p> <p>* This is the number of complaints where we have recorded a response (or failure to respond) to our recommendation for a remedy during the reporting year. This includes complaints that may have been decided in the preceding year but where the data for compliance falls within the current reporting year.</p> <p>** The compliance rate is based on the number of complaints where the authority has provided evidence of their compliance with our recommendations to remedy a fault. This includes instances where an authority has accepted and implemented our recommendation but provided late evidence of that.</p>				

Interpreting LGSCO complaints data

Received cases

This is the number of complaints and enquiries we received within a given period. You should be cautious when using these statistics to monitor the performance of organisations within our jurisdiction. This is because the number of new cases we receive doesn't simply depend on the number of problems people have with local services. There are lots of other factors to consider. For example:

- **Demographics.** An organisation that serves a large population is likely to see more complaints reach us. This could also influence the kind of complaints that are made to us. For example, a community that includes a high proportion of older people may raise more complaints about adult social care services.
- **Local conditions.** Sometimes, one-off events can generate multiple complaints about the same organisation. For example, we might receive several complaints from people who oppose a council's decision to grant planning permission for a large housing development.
- **Expectations.** Not everyone who receives a poor service goes on to raise a complaint with us and some people are less likely to complain than others. So a fall in the number of received complaints may reflect lower expectations rather than an improvement in services.
- **Signposting.** A high number of received complaints might reflect an organisation that is good at letting people know they can ask us for an independent investigation.

Decided cases

This is the number of decisions we make on the cases we see. It is important to know that not all complaints and enquiries are appropriate to investigate. We report our decisions by the following outcomes:

- **Invalid or incomplete.** We were not given enough information to consider the issue.
- **Advice given.** We provided early advice, or explained where to go for the right help.
- **Referred back for local resolution.** We found the complaint was brought to us too early because the organisation involved was not given the chance to consider it first.
- **Closed after initial enquiries.** We assessed the complaint but decided against completing a full investigation. This might be because the law says we're not allowed to investigate it, or because it would not be an effective use of public funds if we did.
- **Upheld.** We completed a detailed investigation and found evidence of fault, or we found the organisation accepted fault early on.
- **Not upheld.** We completed a detailed investigation but did not find evidence of fault.

Our uphold rate shows how often we find organisations get things wrong. It is expressed as a percentage of the detailed investigations we complete.

Remedied cases

When we find fault in the way an organisation carries out its duties, we consider whether this caused an injustice to the person who was affected. If so, we make recommendations about what the organisation should do to put things right.

- **Complaints remedied by authority.** This is the number of cases in which we decided that, while it did get things wrong, the organisation took satisfactory action to remedy the injustice caused.
- **Complaints remedied by LGO.** This is the number of cases which required our direct intervention to put things right for the person who was affected.

Chief Executive escalations and cross service complaints 2018/19

Across service complaints summary

CEX service complaints:	2
Number of cross service complaints:	4
Number of escalations to the Chief Executive:	14
<i>Of these 14 escalated complaints:</i>	
Referrals to the LGSCO	7, of which the LGSCO declined to investigate 5.
Escalated complaints breakdown:	
Planning enforcement	4
Planning applications	2
Other planning	2
Environmental enforcement	1
Environmental Health matters	1
Benefits and Council Tax	1
Tree works	1
Insurance matter	1
Licensing	1

CEX service complaints and/or cross service complaints

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
12 Nov 18	<p>CEX complaint: Complaint to CEX alleging that there has been a “cover up” by the Council and that the corporate director has refused to cooperate with them.</p> <p>This is further to a complaint to Planning and Building that the sewer system feeding their property has been severed and blocked off by the occupiers of the property next to theirs. Also alleged that the initial survey undertaken by the P&B department was incorrect and raised queries regarding Council Tax relief.</p>	Response from CEX reiterating that the concerns regarding the sewage system remain a civil matter. The corporate director has met with, and had extensive communication with the complainant and there is no evidence of refusal to assist or obstruction. The complainant has been directed through the correct channels for complaints and signposted to the complaints procedure.		29 Nov 18
21 Mar 19	<p>CEX complaint: Complainant is unhappy that they were sent Test Valley News via the post, as they consider this to be a waste of money and bad for the environment. Particularly as they have opted into e-billing for their Council Tax bill.</p>	Email from Complaints and Communications Officer to confirm that the Council is looking at various options and ways to digitalise communications with residents, as part of an ongoing wider strategy. Part of this will be looking at how residents want to receive the newsletter as well as considerations around data protection and other factors.		26 Mar 19

18 Apr 18	<p>Cross service complaint with H&EH and P&B</p> <p>Complainant had an issue with a neighbour's tree branches overhanging their car parking area, causing sap and bird droppings to fall on their car as well as falling branches. They were advised by Environmental Health that this was a private dispute as the tree was on private land.</p>	<p>Response from H&EH HoS to reiterate that the problem described is not actionable under the legislation referred to (the Environmental Protection Act 1990). Also advised that as they had concern regarding tree branches falling, this has been raised with P&B tree team.</p> <p>P&B advised that overall the tree appears to be in fair condition, has obviously received attention and does not require any further work at this time. Response from P&B HoS to complainant to confirm this.</p>		20 Apr 18
22 May 18	<p>Cross service complaint with ENV and CSU</p> <p>Resident ordered a garden waste bin online but nothing arrived after 10 working days. They are unhappy with the lack of delivery date information once item was paid for and they felt the CSU officer's attitude was not helpful when they enquired about it.</p>	<p>Unfortunately the bin had been delivered to the wrong address. The matter has now been corrected and the bin delivered to the correct address.</p> <p>The complaint was discussed with the CSU advisor and the manager left a voicemail for the resident apologising for their experience and inviting them to contact the manager again if they wished to.</p>	To ensure that deliveries are made to the correct address. CSU advisors reminded of the importance of dealing with complainants politely and professionally.	30 May 18

4 Oct 18	<p>Cross service complaint with C&L and HEH:</p> <p>Resident is unhappy about “the state of the High St in Andover due to the mess created by the person camped outside M&S.” They are also unhappy about antisocial behaviour occurring in town.</p>	<p>Response from the HEH HoS, providing clarification on what action the Council is taking in these matters.</p>		11 Oct 18
29 Nov 18	<p>Cross service complaint with C&L and HEH:</p> <p>The resident is upset at the trees being cut down behind their property, which acted as a screen from the industrial estates. They now believe they will have significant noise pollution and lack of privacy from the industrial estate. The complainant also previously submitted a claim for alleged damage to their white sofa due to cat walking in fruit in garden from the trees prior to them being cut.</p>	<p>Response sent explaining that the Council's insurers are looking into the damage to sofa.</p> <p>An officer visited the site and responded with clarification on why the work was done, explaining that the elder tree responds well to coppicing and will regrow from the cut stump to fill the space. The existing holly would also grow into the available space. The boundary hedge is intact.</p>	<p>To ensure residents are informed of tree works near their properties.</p>	17 Dec 19

Complaints escalated to the Chief Executive

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
20 Apr 18	Multi-service complaint regarding neighbour's tree causing damage to their car with P&B element escalated as complainant unhappy with HoS response.	CEX response reiterating that the HoS relied upon the expert advice of the Council's arboriculturalist who has inspected the tree in question. This does not require works to be done to it and therefore there is nothing further to add to the previous response. Signposted to LGSCO.	To be sensitive to the difficulty of managing expectations of the public.	20 Apr 18
17 May 18	Escalated complaint regarding the Article 4 Direction over land at Timsbury. The complainant is still waiting for a response to the Subject Access Request they submitted, and does not agree with points made in the stage 1 response.	Letter from Corporate Director in CEX absence reiterating stage 1 response and advising that the SAR is currently being progressed. Email also sent from L&D HoS to complainant to confirm.		6 Jun 18
17 Jul 18	Complaint escalated to CEX regarding rodent activity and baiting. The complainant believes the source of the activity is stemming from the neighbouring garden due to the state of the gardens.	CEX response clarifying no evidence that this is the case and reiterating what has previously been investigated.	To continue to do our utmost to reconcile the expectations of the public with our legal position.	27 Jul 18
19 Jul 18	Escalated complaint regarding the advice officers gave in response to a P&B query.	CEX response reiterating previous clarification and that there had not been incorrect advice given.		17 Aug 18

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
27 Jul 18	Escalated complaint as resident is unhappy with a conservation enforcement matter.	CEX letter reiterating clarification on enforcement matter and that the officers dealt with the breach correctly.		14 Aug 18
17 Aug 18	Escalated complaint regarding a discrepancy in Council Tax and the Benefits Officer who dealt with call, who they believe was rude to them. They do not believe the matter was dealt with correctly by the manager.	Letter from CEX reiterating previous apology from the manager, dated 16 Aug, for any upset caused and that the matter had been raised with the particular Officer who tried to answer the Council Tax Support query as best they could and that this is now resolved. Reiterated that the complaints procedure had been followed correctly and the Officer's Manager had dealt with the complaint appropriately.		24 Aug 18
7 Sept 18	Complaint regarding lack of enforcement action against an alleged breach concerning hedgerow planting.	CEX response providing clarification and detailing the previous action taken. The council's approach is consistent with advice from both the Landscape Gardening Officer and the Royal Horticultural Society, which advises planting to be carried out in the planting season, and is both reasonable and proportionate.	To continue to do our utmost to reconcile the expectations of the public with what the Council considers to be proportionate and reasonable enforcement actions.	21 Sept 18
17 Oct 18	Escalated complaint as the complainant's private hire operator license was refused. Complainant also claims Licensing department	CEX investigated and responded advising route to appeal and provided clarification around confidentiality and that there was no obstruction in following	To reconcile the expectations of the public with the legally prescribed procedures	09 Nov 18

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
	has been obstructive and unhelpful and also raised a further issue of confidentiality.	the correct process.	followed for licensing matters.	
8 Jan 19	Escalated complaint alleging fly tipping of soil near resident's property as they remain unhappy with the lack of enforcement action.	CEX response to advise that there was insufficient evidence and reasons given why it is not appropriate to proceed with formal enforcement action at this time		24 Jan 19
25 Jan 19	<p>Escalated complaint regarding the A303 services being occupied in breach of condition 7 and an allegation that it is endangering road safety.</p> <p>Second email as the complainant remains unhappy with the CEX response.</p>	<p>CEX response confirming that the breach of control has been dealt with properly and in accordance with National Planning Guidance, taking the views of Highways England fully into account.</p> <p>Second response explaining that Highways England remains in discussion with the owners of the site to resolve the outstanding issues, in order to enable the access to be used without traffic management in place. As the work involves some work to the public highway, it can only be undertaken within the scope of a legal agreement between the applicant and the Secretary of State for Transport. For this reason, it is not expedient for the Council to take</p>		12 Feb 19

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
		enforcement action.		
6 Feb 19	Escalated complaint as they are unhappy with the decision to remove a Willow tree and would like an explanation as to why requests for contact prior to the works were ignored.	CEX response apologising for the lack of response to their latter correspondence. CEX explained that the decision to fell the tree was based on the judgment of a professional arboriculturalist, taking into account the species, position of the tree and informed by the complaint of it growing into to a private boundary and the long term implications of this.		26 Feb 19
22 Feb 19	Escalated complaint that the Council has failed to compensate for considerable damage caused by a tree falling.	CEX response advising that LGSCO will not investigate a complaint until it has completed the local authority's complaints procedure. Email confirmed that the complaint is premature, as the matter is still with the Council's insurers and that as the matter has now had a stage 2 response, the complainant can now approach the LGSCO.	This is a current insurance claim.	28 Feb 19

Date	Subject Matter	Response	Lessons Learnt/Changes made	Date of Closure
31 Mar 19	<p>Escalated complaint that incorrect information has been provided relating to planning applications and enforcement action has not been taken.</p> <p>Second email asking for clarification on points raised in CEX letter.</p>	<p>CEX response clarifying the requirements of Class A, Part 6 of the General Permitted Development Order (GPDO) and confirming that the situation remains under investigation by the Planning Enforcement team now that the building has been erected.</p> <p>Second response providing clarification.</p>	<p>To continue to do our utmost to reconcile the expectations of the public with what the Council considers to be proportionate and reasonable enforcement actions.</p>	17 Apr 19
28 Mar 19	<p>Escalated complaint regarding the manner in which a planning application was determined and that there were inadequate photographs presented as part of the report.</p> <p>The complainants allege that there is a “casual approach” undertaken by the Planning and Building Service and that there is a failing of governance within it.</p>	<p>CEX response advising that the case officer did enter the site and walk the footpath to assist with the assessment of the proposed development.</p> <p>The Head of Planning and Building has reminded his team of the need to ensure adequate photographs are presented at committee meetings to assist members understanding of any proposal.</p> <p>Although there are factors that could have been improved, the report did provide Members with adequate information to make their decision.</p>	<p>To ensure adequate photographs are presented at committee meetings and additional training provided for all officers attending the committee meetings.</p>	17 Apr 19

Community & Leisure Services Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	11
<i>Of these 11 complaints:</i>	
Escalations to Chief Executive	1
Escalations to the LGSCO	0
Multi-service complaints	2
Countryside/ green spaces/ parks	2
Tree works	3
The Lights	3
Other	3

Examples of complaints that resulted in explicit learning points or service improvements (3)

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
17 Aug 18	<p>Complaint regarding a children’s workshop at The Lights theatre. Complainant stated that the website did not specify this was a children’s only event and adults were to drop off and return at the end, resulting in the customer purchasing an unnecessary parking ticket. In addition, it was described as a workshop to sing and dance to Disney songs. It did not specify it was a choreographed session where children would learn a specific dance and rehearse it to perform to parents at the end. The complainant believes they were mis-sold the event.</p>	<p>Response sent stating that workshops are tailored to specific age groups by professional tutors and the age groups are always stated in Lights brochures and website listings. Workshops for children under 5 always state that an accompanying adult is required. For older groups this is not required as tutors are all very experienced and able to manage class size.</p> <p>Comments will be taken on board and if required, the Lights will make the website and brochure information clearer. A refund was offered.</p> <p>Box office staff are always available to any enquiries prior to booking.</p>	<p>Website and brochure information to be made clearer if required for future workshops.</p>	20 Aug 18

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
22 Oct 18	The customer visited the Lights and was allocated the seats in the back row, directly in front of the sound / lighting room. Their complaint is that the air conditioning was cold and blowing on their seats and the experience at the Lights was not enjoyable.	Complaint investigated and tickets to see another show were offered to the customer.	Front of house staff will monitor any further issues with the seats and a meeting planned with a team of consultants.	30 Oct 18
16 Jan 19	Complaint regarding the tree works that were undertaken behind their property and the lack of response to their correspondence.	Response from officer explaining why the tree was felled and confirming that communication with residents around tree removal will be reviewed, to ensure the reasons for such work are fully explained.	To review communication with residents on tree removals that may impact them or their property.	29 Jan 19

Estates and Economic Development Services Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	26
<i>Of these 26 complaints:</i>	
Escalations to Chief Executive	0
Escalations to the LGSCO	1, which the Ombudsman declined to investigate.
Multi-service complaints	0
Staff conduct	1
Parking restrictions and permits	6
Parking enforcement	14
Penalty Charge Notices	3
Lack of response/ delay	1
Other	1

Examples of complaints that resulted in explicit learning points or service improvements (4)

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
23 Apr 18	<p>Parents park on the yellow area by Vigo School which is not enforced during the school run time.</p> <p>The Ice cream van continually parks on the resident's drop curb and also on the same yellow line, which is putting children at risk.</p>	Response advising that current vacancies are being advertised and the frequency of patrols will increase.	To send enforcement to Vigo road/Colenzo drive twice a month during school hours to try mitigate this issue.	27 Apr 18
21-Aug-18	Complaint that vehicles illegally parked on pavements and on double yellow lines in Nursling Estate are not being penalised with enforcement.	<p>Responses reporting that as a result of additional patrolling including late night enforcement, 32 penalty charge notices have been issued to vehicles parked in contravention of the parking restrictions.</p> <p>Referred some matters to HCC and confirmed that the enforcement team will continue to arrange as much patrolling as resources allow.</p>	Ensuring patrols are made twice a week to Nursling Industrial Estate.	18-Sept-18

11 Oct 18	Complaint on the lack of contact regarding parking situation in Osborne Road, Andover. People are parking in the residents' bays that require a permit.	Officer sent a letter dated 25/10/18 to complainant with an apology for errors in procedures regarding the original enquiry and clarified the original enquiry outlining the restrictions in place in Osborne Road.	Ensuring enquiries are dealt with accordingly and correctly within the Parking Admin Team.	25 Oct 18
6 Nov 18	Complaint concerning the parking problem at Floral way. Residents are unable to park even though they have a permit. There are no parking attendants to stop parents parking by school. The complainant asked why they need to pay for a permit when they can't park.	Response explaining the residents' permit parking scheme was implemented in Floral Way by the Council's Traffic Management Team following consultation with residents. The Council is advertising for current vacancies. The council is also trying to arrange joint patrolling of the Floral Way Zone with some PCSO's for the next few months to help raise awareness of the restrictions and help educate parents.	Enforcement team to try and vary their patrolling rotas to ensure mornings are also covered.	9 Nov 18

Environmental Services Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	102
<i>Of these 102 complaints:</i>	
Escalations to Chief Executive	1
Escalations to the LGSCO	1, which the Ombudsman declined to investigate.
Multi-service complaints	1
Bin collections	32
Garden Waste scheme	4
Lack of response/action	10
Damage to property	7
Crew/Officer conduct	15
Grass cutting/grounds maintenance	17
Other	17

Example of complaint that resulted in explicit learning points or service improvements (18)				
Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
17 Apr 18	Complaint regarding pesticide use at Fishlake meadows and along the canal paths.	Street Scene Manager met with the resident and discussed use of pesticides and reassured them regarding the possible ill effects on pets. Customer is now satisfied.	Warning signs will be used when spraying in the area as a courtesy measure.	27-Apr-18
19 Apr 18	Complaint that one of the flaps on the back of a waste collection vehicle was not secured properly, allowing recyclables and paper to come out of the vehicle along the lane.	<p>Head of Service investigated and it was an agency driver on that day. They were spoken to regarding cleaning any loose waste from the back end of the vehicle before going to/leaving transfer station site.</p> <p>Both loaders have been given instructions to ensure the hopper and surrounding apparatus are clear of waste before commencing travel.</p>	Agency notified of the incident and future drivers are to be informed of this requirement.	27 Apr 18

4 May 18	Complaint that the waste collection vehicle has damaged the bank at the edge of the resident's property by turning the corner and the warning posts on that corner have been destroyed. They would like the edge of the bank repaired and the posts replaced with concrete ones.	The verge was repaired and Hampshire County Council was contacted regarding the replacement posts.	Route order changed so that the corner is not damaged.	10 May 18
8 May 18	The resident's bins are being missed and they have previously complained. There was an agreement with Eastleigh Council for bins to be collected on TVBC's behalf, but they are continually missed.	Waste and Recycling Manager investigated and confirmed that this issue has now been resolved as TVBC has arranged to take back responsibility for collection of these bins.	TVBC have taken back responsibility for collection of these bins. Properties are now more easily identified on Council Map system.	24 May 19
10 May 18	Complaint regarding employees visibly smoking whilst emptying bins. In particular one who was smoking, balancing a phone to his ear and moving a bin across the road.	Waste and Recycling Manager raised issue with supervisors, regarding the council smoking policy and use of mobile phones.	Issue to be highlighted in next service newsletter and raised with all crews at the next team briefing.	10-May-18

18 Jun 18	The resident received a card saying their recycling bin had not been taken due to contamination but their bin was taken.	Waste and Recycling Manager raised issue with Crew and a letter of apology was sent to resident.	Crew reminded of the necessity to ensure properties are correctly identified when bins are tagged.	18 Jun 18
21 Jun 18	Complaint regarding how a waste collection vehicle was being driven. The resident understands that the trucks need to cross over the wrong side of the lane but felt it was too sudden with no warning. Crew did not acknowledge the customer.	Waste Collection Supervisor(S) spoke to the resident after investigating the incident and explained the change in procedure.	Vehicle now turns around at the roundabout and no longer crosses over the road to collect the bins.	22 June 2018
16 Jul 18	Resident is unhappy that when driving their children to school, they are blocked in by the bin crew. They did not like the attitude of the operative when they spoke to him.	Collection time is consistent but there are particular issues with access to this 'dead end' residential area, due to the narrow road and parked vehicles.	Training covering consideration to other road users planned for all staff with driving duties. This is to be included in the all service training session in November 2018. This is also included within the staff handbook.	17 Jul 18
9 Aug 18	Complaint that operative used strimmer to remove weeds and the cuttings went over the customer's camper van and were left everywhere.	Street Supervisor (South) spoke to customer to apologise.	Staff reminded to be aware of people's property and be considerate when strimming and cutting grass.	9 Aug 18

17 Sept 18	Resident is unhappy that they have again been the subject of mis-addressing of a card telling them their bin is contaminated.	Waste and Recycling Manager contacted customer and the postcode held on the waste collection database was incorrect. The manager apologised for any inconvenience or upset caused.	Database amended to show correct postcode.	17 Sep 18
17 Sept 18	The resident is unhappy as it was previously agreed that the waste collection vehicle would not reverse along their narrow road and that residents would leave bins at an agreed collection point, where the crew would return them after emptying them. This has now stopped happening.	Waste Collection Supervisor (South) investigated complaint; the wrong placement of bins was due to a change around of regular staff that had previous local knowledge. Waste and Recycling Manager contacted customer by email to explain the issues and to apologise.	Supervisor spoke to permanent driver and loader to clarify where bins are to be placed.	18 Sep 18
17 Sept 18	Despite previous telephone calls, customer regularly receives cards saying we could not empty their brown bin. On one occasion they had a 'well done' tag attached but also received a postcard. Also received one saying "unable to empty brown bin" on a black bin week.	Waste Collection Supervisor has spoken to customer and apologised as the confusion has arisen due to a split post code for this road.	Address issues clarified and crew are now aware of the matter.	19 Sep 18
18 Sept 18	The resident has repeatedly requested that dog waste bins be emptied at Lords Wood West, however the bins remain unemptied.	Head of Service responded to customer and apologised for the time taken to resolve this issue. There was a problem with location and access to the bins but this has been resolved and the bins emptied.	An alternative and easier route to the bins identified.	5 Oct 18

23 Oct 18	Complaint as the cobbles on the resident's drive have been lifted and damaged by the waste collection vehicle. They have tried to replace them but are unable to and would like this repaired.	Waste Collection Supervisor North (WCS) visited site and a request was put through to the Estates team to carry out the necessary repair.	Waste Collection Supervisor to consider collecting bins from a cluster point to mitigate problems with the paving lifting.	25 Oct 18
3 Jan 19	Waste collection vehicle used customer's private driveway to turn around in, which resulted in a scuffed drive.	Waste Collection Supervisor (North) apologised to customer and assured them this would stop.	Crew instructed not to use customer's driveway for turning.	9 January 19
7 Jan 19	Customer is unhappy that plants in her garden had been strimmed back to the ground when the surrounding area was strimmed.	Street Scene Supervisor Grounds (North) contacted customer to apologise and agreed to cover the costs of replacement plants. Customer happy that the issue is now resolved.	Compensation given to replace planting.	20 Apr 19
28 Jan 19	Resident reported to their Councillor that their bin isn't being returned after emptying. The resident has mobility problems and has assisted bin collection. This has been reported twice previously.	Apology provided to the resident. A recent change in crew has resulted in this issue but this has been addressed with the crew to prevent future issues.	Crew has been made aware of this assisted collection. Comprehensive handovers to be given to new crew when there are crew changes.	28 Jan 19

<p>26 Mar 19</p>	<p>Customer has complained four times since December that the road sweeper misses Hedges Mead. It was last seen sweeping the road in early October.</p>	<p>Manager investigated and there is a recurring issue due to vehicles being parked in the narrow road and no space to turn at the end of the road. Sweeper returned to sweep and HoS spoke to customer on the phone to explain the situation.</p>	<p>Issue discussed with Supervisor and this should be noted when the vehicle cannot access the road so it can go back to sweep at another time.</p>	<p>26 Mar 19</p>
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Housing & Environmental Health Services Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	6
<i>Of these 6 complaints:</i>	
Escalations to Chief Executive	1
Escalations to the LGSCO	0
Multi-service complaints	3
Housing decision/ application/ process	1
Staff conduct	2
Enforcement	3

Example of complaint that resulted in explicit learning points or service improvements (2)

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
26 Oct 18	Complainant was walking past pods at reception in Beech Hurst after attending a meeting when a staff member asked them to be quiet as they were holding an interview and this upset them.	Response to the complainant to apologise for the incident and the Housing Manager has spoken to the officer concerned.	Officers to use a closed office if privacy is required for the interview.	29 Oct 18
1 Mar 19	Complainant is unhappy with the alleged lack of enforcement or issue of compliance notice at a mobile home site.	HoS response confirmed that there will be a meeting on this to discuss any future enforcement. It will be based on a proportionate response driven by TVBC and in light of the circumstances of local residences, with due regard to legal requirements and the conditions of the licence.	Ensuring continuity in communication for ongoing matters.	8 Mar 19

Planning & Building Services Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	27
<i>Of these 27 complaints:</i>	
Escalations to Chief Executive	8
Escalations to the LGSCO	4, of which the Ombudsman declined to investigate 2.
Multi-service complaints	1
Enforcement	9
Unhappy with planning application decision	5
Delays/ lack of response	2
Advice given	2
Planning application administration/ report/ error	5
Conservation	3
Other	1

Example of complaint that resulted in explicit learning points or service improvements (4)

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
2 Apr 18	Complaint regarding changes approved under a planning application and concerns over the red line issues and Condition 7.	<p>Meeting arranged to discuss issues on the application with the resident.</p> <p>Email sent from HoS confirming that the red site line was incorrect and that for any variation of planning permission this should have remained consistent. This should have been identified at the beginning of the process rather than at the end and an apology was given.</p>	Need for greater communication with objectors and further training for officers involved.	Meeting 1 May 18
4 Apr 18	Complaint against a member of staff and how they are treating a parish council's objection to a planning application.	Clarification given that the officers give advice on listed buildings, non-designated heritage assets and conservation areas to members of the public. There is no favoured style or design. Applicants do not have to follow the advice of the officer but this could result in a refusal of planning permission.	HoS attended parish council meeting to explain the role of the officers and the service. The parish council was assured that all representations submitted are fully taken into account in the decision making process	12 Apr 18

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
4 Mar 19	Complaint regarding the manner in which the planning application was determined. The complainants felt that the planning officer gave misleading and inaccurate presentations at the committee meeting where the report was presented.	<p>HoS response explaining that the photographs presented were not as comprehensive as would normally be expected but the Members had all the information they needed to make an informed decision from the content of the written report as all the factors and measurements were provided in the report.</p> <p>The HoS has discussed this with planning officers to ensure adequate photos are included in the reports in the future.</p>	To ensure adequate photos are taken and included in future reports. Additional training provided for all officers attending the committee meetings.	18 Mar 19
27 Mar 19	Complaint concerning the enforcement of caravans in a field as this breaches the limitations of the Lawful Development Certificate. The complainant has not received a response.	HoS response apologising for not responding earlier. Enforcement officers are working on the case and hope to complete the assessment in 2 months. If a breach has been discovered the case will be taken forward and enforcement action will be taken. The officer dealing with this will update the complainant on the situation.	All officers reminded of the need to ensure they provide timely updates on matters that are taking time to deal with even if there have been no significant changes since the last communication.	27 Mar 19

Revenues (Including Customer Services) Annual Complaints Log 2018/19

Complaints summary

Total number of complaints	23
<i>Of these 23 complaints:</i>	
Escalations to Chief Executive	1
Escalations to the LGSCO	1, which was later withdrawn by the complainant and not investigated by the Ombudsman.
Multi-service complaints	1
Universal Credit and Housing Benefits	8
Lack of response/ delay	2
Staff conduct	2
Council tax	4
Other	7

Examples of complaints that resulted in explicit learning points or service improvements (6)

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
23 May 18	Complainant is unhappy with the way an overpayment enquiry was handled.	Email sent to apologise and explain that the information from DWP regarding sanctions was not up to date so incorrect information was given to the customer.	To review sanction cases to ensure information held from DWP is up to date.	12 Jun 18
1 Aug 18	Complaint regarding a delay in dealing with an appeal.	This was a very complex case requiring management review before a final decision could be made. Additional evidence was requested and a detailed explanation of revised Housing Benefit decision was sent and the customer was satisfied with outcome.	There was a vacant benefits manager role so this limited resource available to undertake Housing Benefit appeals. The Service sought to address this as part of a full service review to take effect from 1 April 2019.	5 Sept 18
10 Aug 18	Complaint alleging a potential data protection breach as a letter was sent to a previous address after the resident notified the Council to update their records.	Email sent from HOS to apologise for error as the information was received by CTAX team and not updated on benefits records. All addresses updated following complaint.	Council Tax team managers advised that all addresses in Revenues database need to be updated.	23 Aug 18

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
14 Oct 18	Complaint as the customer had received a third letter regarding failure to return disabled band reduction form even though they had taken it to reception in person twice. They were also concerned about the whereabouts of the two missing forms as they contain personal data and requested assurance that no data breach has occurred.	Letter with apology from HoS. A batch of review forms were printed without the appropriate bar code that would ensure replies were marked as complete. The response went into the work tray and was not actioned before the reminder was sent.	To ensure barcodes are included on appropriate documents when mailings are sent to customers.	17 Oct 18
18 Jan 19	Customer was upset at not being able to wait in the TVBC reception for an early appointment with Job Centre. They were informed that the seats in reception are not for Jobcentre visitors.	HoS liaised with manager at Jobcentre and they have now advised that the appointment times have been moved back to avoid queues building at front of house. An apology was sent to the customer advising them that front of house officers have been told customers can wait in the council reception area.	Jobcentre appointment times have been moved back to reduce the number of customers calling in before their offices open.	31 Jan 19

Date	Subject Matter	Response	Lessons Learnt/ Changes made	Date of Closure
6 Mar 19	Customer is unhappy that court fees had been applied to their account as they claim they did not receive the reminder.	Clarification given on the reminder sent, with an apology as a copy of the reminder sent to the customer included an incorrect date.	Change made to the retention of reminder files produced by the system.	14 Mar 19

ITEM 11 The Annual Internal Audit Report 2018-19

Report of the Interim Shared Internal Audit Partnership Manager - (Portfolio: Finance)

Recommended:

- 1. That the work performed by the internal audit team over the previous year (April 2018 - March 2019) be endorsed.**
- 2. That the results of the External Public Sector Internal Audit Standards (PSIAS) assessment be accepted and progress on the Action plan to address the areas of non-conformance identified, as shown in Annex A, be endorsed.**

SUMMARY:

This report provides:

- An overview of the internal audit work covering the financial year 2018-19.
- The results of an External Assessment of conformance with the Public Sector Internal Audit Standards.

1 Introduction

1.1 Members of the Overview and Scrutiny Committee have requested an Internal Audit Annual Report. This paper is based on the reports provided by the Shared Internal Audit Partnership Manager to the Audit Panel in this period.

1.2 In this period there have been five Audit Panel meetings:

- 11th June 2018
- 25th July 2018
- 3rd September 2018
- 10th December 2018
- 11th March 2019

2 Opinion on the Overall Adequacy and Effectiveness of the Council's Internal Control Environment

2.1 Throughout the year an internal audit monitoring statement for the period was provided to Members of the Audit Panel. In addition, other reports to the Panel, covered statutory reports from External Audit and a paper in respect of the draft annual governance statement.

- 2.3 The overall opinion of the Shared Internal Audit Partnership Manager (as reported to the July 2019 Audit Panel meeting) is that a **substantial level of assurance** can be given that there is a generally sound system of internal control, designed to meet the Council’s objectives, and that controls are being applied consistently.
- 2.4 This opinion was qualified as a result of an external assessment of conformance with the Public Sector Internal Audit Standards (PSIAS) which highlighted 8 areas of non-compliance as they impact upon the Annual Audit Opinion in the following ways:
- Assurance mapping has not occurred and therefore the opinion is based solely on the Internal Audit work.
 - The Interim Shared Internal Audit Manager has been unable to provide assurance that a strategic framework is in place to deliver an effective Internal Audit Service
 - He has also been unable to confirm whether appropriate resources have been allocated to provide the level of Internal Audit review needed for this Authority.
 - Concerns were raised regarding the completeness and methodology of the Audit Universe. It has therefore not been possible to place assurance that the composition of the 2018/19 Audit Plan was sufficiently risk based and therefore contained sufficient scope of the Authority’s key risks.

Paragraph 3 of this report provides further detail on the assessment with the action plan to address these areas shown in Annex A.

- 2.5 The assurance opinions relating to the 27 audits (where an opinion had been given) are summarised as follows:

Opinion	Number	Percentage
Full Assurance	9	33%
Substantial Assurance	15	56%
Limited Assurance	3	11%

The Audits that received a limited opinion were as follows:

- Officer Expenses
- Lone Working
- Inventories

- 2.4 79% (30 of the 38 programmed audits) of the original audit plan was delivered to final or draft report stage against a target of 95%. A further 8% (3 audits) were in progress. 10.5% (4) of the programmed audits have been deferred to the 2019/20 Audit Plan and 1 audit (2.5%) was removed from the plan as approved by the Audit Panel in March 2019. Therefore, after revising the audit plan the team delivered **91%** (30 of the amended target 33 audits).
- 2.5 The team achieved 77.5% productive time against a target of 90% for the period 1 April 2018 to 31 March 2019. The below target productive rate reflects the reduced in-house resource availability predominantly the long term absence of the Shared Internal Audit Partnership Manager since September and recruitment to the Senior Auditor role. However with external support (within the existing budget) a significant amount of the audit plan was delivered. This additional support was concentrated in the core work which was completed on time to ensure the Council could complete its financial statements and supporting documents.
- 2.6 All actions arising from audit reports are agreed with the management responsible for the area/function. These actions are monitored by each Service's Performance Board and recorded on the performance management system. A review of the system was undertaken to ascertain the status of audit actions as at 31/03/19. The results as at 30th June 2019 are summarised in the table and narrative below:

Audit Actions:	Risk:	Total:	Complete:	In Progress:	Pending:
2017-18	High	1	1 (100%)	0 (0%)	0 (0%)
	Med/Low	70	47 (67%)	18 (25.5%)	5 (7.5%)
2018-19	High	0	0 (0%)	0 (0%)	0 (0%)
	Med/Low	31	21 (67.5%)	6 (19.5%)	4 (13%)
Grand Total		102	69	24	9

- 2.7 23 actions arising from the 2017-18 audit reviews remained in progress or had slipped. None were high risk. 3 actions have since been addressed. The remaining actions include:
- (a) Asset Management audit (2 actions) -. These refer to the introduction of a rolling programme of property surveys and review of procedures for the inspection and appraisal of mechanical and electrical installations.
 - (b) Bank charges (1 action) - which relates to the comparison of annual bank charges to the previous 3 years for management review.
 - (c) Cloud Security & Cyber threats (2 actions) – These relate to the provision of business continuity plans for hosted services and staff training and awareness on cyber threats.

- (d) Emergency Planning (4 actions) – These refer to training and awareness, sharing of personal information, review of control centre inventories and agreement of a set up plan (IT and telephone) for the secondary site.
- (e) Performance Management (2 actions) – These include the review of Service Performance Indicators and feasibility/benefits of utilising partnerships to explore and measure impacts at a place based level.
- (f) Pest Control (1 action) – which refers to introduction of a statement of responsibilities for the use of a Council vehicle.
- (g) Postage (1 action) – which relates to the completion of a contract for the electoral registration postage.
- (h) Programme & Project Management (3 actions) – These relate to the development of project management training and an overview of corporate projects by Officers Management Team.
- (i) Tree Management (1 action) – relates to the review of the Council's approach to the adoption of public open spaces
- (j) Valley Housing (3 actions) – These refer to the preparation and introduction of a formal recharge policy between Valley Housing and the Council, monitoring of the risks around segregation of duties and assurance of the company's compliance with the Council's policies and procedures.

2.8 10 actions arising from the 2018-19 audit reviews were in progress or had slipped. None were high risk. 4 have subsequently been completed. The remaining actions include:

- (a) CCTV (4 actions). These refer to replacement of aging CCTV, situation of CCTV computer (FMC), updating of procedures in respect of subject access requests and retendering of the alarm servicing contract.
- (b) Inventories (1 action) – which refers to the updating and consistent maintenance of equipment inventories.
- (c) Members Expenses (1 action) - which refers to information and document search facilities on the Council's website.

3 Compliance with Public Sector Internal Audit Standards

3.1 On 1st April 2013 the 'Public Sector Internal Audit Standards' (PSIAS) were formally adopted in respect of Local Government across the UK. As part of the standards, Internal Audit service providers are required to undertake annual self-assessments of the conformance with the standards and also commission

an external assessment every 5 years. As the standards were introduced in 2013, the Authority was due an external assessment in 2018/19. In agreement with the s151 Officer, an external assessment of Test Valley Borough Council's compliance with PSIAS was commissioned and undertaken in April 2019.

- 3.2 Of the 50 Standards and Elements one is not applicable and:
 - 38 were evaluated as generally conform
 - 3 as partially conform;
 - 8 as non-conform;
- 3.3 The full report produced by the external assessor was shared with the Audit Panel and discussed at its meeting on 25th July 2019. Annex A is the action plan produced to ensure that the Council conforms to the standards together with progress made to date on each action.
- 3.4 The findings identified key gaps within the strategic framework and management of the internal audit team. These key areas can be summarised as; the Audit Planning & Universe, Audit Strategy & Charter, Audit Manual and Quality Assurance & Improvement Programme.
- 3.5 Given that the main areas of non-conformance were in relation to the strategic management of the internal audit service, the actions identified will require some time to be introduced while ensuring they do not fundamentally affect the current service provision provided by the internal audit service.
- 3.6 Actions identified within the assessment that are able to be progressed in the short term have been completed and/or started. These are outlined in the attached Annex A.
- 3.7 While non-conformance was noted in significant areas, the assessor did note the positive impact the Internal Audit team has on the organisation and the value placed on it by the Officers interviewed/consulted. In addition, three areas of good practice were noted in relation to Risk Management, Corporate Performance Management and individual Audit Assignment Reporting.

Annual Audit Opinion 2019/20:

- 3.8 It is anticipated that the only note that will accompany the 2019/20 Audit Opinion will be in regards to the composition of the audit universe and audit plan for 2019/20. Due to the timing of the assessment, the audit plan for 2019/20 had already been created based on the existing audit universe which, following the assessment has been declared as inadequate. Therefore as interim Shared Internal Audit Manager, it will not be possible in the 2019/20 Audit Opinion to confirm that the Authority produced an audit plan which encompassed the key risks facing the council. However, by way of mitigation to this, the key fundamental system audits (Council Tax, Payroll, Creditors and Debtors) will be conducted under the proposed new Risk based Auditing model. Therefore, confidence will be placed that the main financial audits of the Council will incorporate a robust risk assessment to ensure the scope is adequate in determining the risks associated with those activities.

4 Corporate Objectives and Priorities

- 4.1 The work of the Internal Audit Function supports the Council's four strategic aims for maintaining and improving quality of life in Test Valley, by ensuring that the Council makes the most of its available resources and transforms the way it works, to provide even better value for money and effective service delivery.

5 Consultation/Communications

- 5.1 The Internal Audit Plan for 2018/19 involved full consultation with senior management, the Council's External Auditors and the Audit Panel.

6 Options

- 6.1 In accordance with best professional practice, currently the Public Sector Internal Audit Standards, each year a plan is produced and internal audit resources allocated to the areas of the Council's activity which need to be reviewed during the year.
- 6.2 The Council has limited options in this matter as without this the Council is at risk of providing inadequate audit coverage on high-risk areas and no assurance on the control environment.

7 Risk Management

- 7.1 The annual audit plan 2018/19 was based on the Council's risk registers and Internal Audit contributes towards the overall corporate governance framework of assurance.

8 Resource Implications

- 8.1 The Audit Plan for 2018/19 was based on **3.0 full time** equivalent auditors employed by Test Valley Borough Council and **0.4 full time** of an Audit Manager's time provided in partnership with Gosport Borough Council. However due to the current sickness of the Internal Audit Partnership Manager, only strategic support can be provided by the Interim Shared Internal Audit Partnership Manager.
- 8.2 The Internal Audit Team's independence and objectivity has been maintained in accordance with the Public Sector Internal Audit Standards. The exception to this is the Principal Auditor's role in facilitating the Council's Risk Management. In order to provide a compensating control the Risk Management Audit is undertaken by the Senior Auditor and the outcomes reported to the Head of Finance.

9 Equality Issues

- 9.1 The report is for information purposes, so the Council's EQIA process does not need to be applied.

10 Conclusion

- 10.1 This report outlines the work undertaken by Internal Audit from 1 April 2018 to 31 March 2019 and the overall performance in delivery of the 2018-19 Audit Plan.

<u>Background Papers (Local Government Act 1972 Section 100D)</u>			
None			
<u>Confidentiality</u>			
It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.			
No of Annexes:	1		
Author:	Jan Balfour (Principal Auditor)	Ext:	8234
File Ref:			
Report to:	Overview and Scrutiny Committee	Date:	18 September 2019

TEST VALLEY BOROUGH COUNCIL EXTERNAL ASSESSMENT APRIL 2019 ACTION PLAN

Ref	Action	Standards and Elements	Progress to date
MANUAL			
1.1	Audit Manual- Policy required to ensure compliance with the IIA Code of Ethics and Due Professional Care. Obtain signed annual declarations for each staff and a copies held on shared audit file. The declarations must confirm that they will work in compliance with the Code of Ethics etc and they must advise of and declare any conflicts of interest within their duties	Integrity, 1112. 1130, 1210, 1220, 2431	Actioned
1.2	Audit Manual - Include policies regarding independence and objectivity to include inter alia, hierarchy chart, audit charter, how to address conflicts, performance evaluation, training records and conflicts of interest disclosure forms (as detailed above).	Objectivity, 1130, 1220	In progress. Updated Audit Charter and Strategy approved by the Audit Panel 25/07/19
1.3	Audit Manual - Internal Audit should maintain their own policy that demonstrates how they will access information, how it will be secured, how long any documentation will be held for, where and how it be will disposed of. Also the circulation of reports and access by third parties to comply with third parties, GDPR, auditors and FOI (Freedom of Information).	Confidentiality, 1220, 2330	In progress. Updated Audit Charter and Strategy approved by the Audit Panel 25/07/19
1.4	Audit Manual - There should be a Policy document advising staff of the importance of confidentiality regarding the work they do and that they must not access information for personal interest or gain.	Confidentiality, 1220	Included in annual declaration forms. To be included in Audit Manual.
1.5	Audit Manual- Policy and procedure around testing to include: Use of CAATS (Computer Assisted Audit Techniques), and other methodologies	1220, 2310	In progress.

TEST VALLEY BOROUGH COUNCIL EXTERNAL ASSESSMENT APRIL 2019 ACTION PLAN

Ref	Action	Standards and Elements	Progress to date
1.6	Audit Manual - Procedures for all audit processes. Include procedures around pre- audit process to include original research and reviews of matrices and how evidenced and risk evaluated against - ACRES- Achievement of the organisations strategic objectives, Compliance with laws, regulations, policies, procedures and contracts, Reliability and integrity of financial and operational information, Effectiveness and efficiency of operations and programmes and Safeguarding of assets. Compile Internal audit policies and procedures relating to audit processes and ensure they have been communicated to staff or they have read and understood them	1210, 1220, 1311, 2040, 2110, 2130, 2210, 2220	In progress
REPORTING			
2.1	Reporting -The Annual year end opinion report should state that independence and objectivity of the Service have been maintained or specify where it has not been the case as per the Charter	Objectivity	Actioned
2.2	Reporting - Record and include a breakdown of the use of contingency time in progress reports to the Audit Panel	1100, 2020	Actioned
2.3	Reporting - Advise The Audit Panel and Senior Officers on the use and importance on the use of the wording "conforms with the International Standards for the Professional Practice of Internal Auditing and specifically Conforms to the Public Sector Internal Audit Standards uk"	1322, 2430	Actioned
2.4	Reporting- Report the outcomes of all assessments to Standards both self and external.		Actioned
2.5	Reporting - A reference to the Conformance with Standards and Code of Ethics should be referenced in all reports to Senior Management and The Audit Panel and on audit activity reports.	2060	Actioned
PERFORMANCE			
3.1	Performance- Personal Development Discussions (PDD's) should refer to and support professional CPD requirements	Competency, 1230	Actioned

TEST VALLEY BOROUGH COUNCIL EXTERNAL ASSESSMENT APRIL 2019 ACTION PLAN

Ref	Action	Standards and Elements	Progress to date
3.2	Performance - The competency skills list should be reviewed and updated to include PSIAS	Competency, 1230	Actioned
3.3	Performance -Link to records of all training courses and development training received by staff.	Competency, 1210	Actioned
3.4	Performance - Feedback on the performance of the Shared Internal Audit Manager should be sought from the direct key recipients of the Service such as the Lead Member of the Audit Panel, Chief Executive and s151 Officer to contribute to their Annual Performance Appraisal.	1100	Currently Absent
3.5	Performance - Compliance with Standards should form part of the PDD (Performance Development Discussions)	1220	Actioned
3.6	Performance - Consider the use of other management KPI's e.g. length of time between audit engagement and final report to review timeliness of reporting, number of drafts of same report	1311, 2240, 2420	Management Key Performance Indicators (KPI's) drafted
CHARTER AND STRATEGY			
4.1	Charter- The Audit Charter should be reviewed and updated bearing in mind the Model Internal Audit Activity Charter published by the CIIA . It should also include the nature of any assurances and define any specific non audit work such as contribution to the AGS, risk management activity and collation of work for the Audit Panel and make the requirement for the Annual Audit Opinion a KEY responsibility of the	1000, 2020, 2110, 2120, 2440	Actioned. Presented to Audit Panel 25/07/19
4.2	Charter and Strategy - All references to external Audit relying on the work of Internal audit should be removed.	1100	Actioned
4.3	Strategy- The risk assessment methodology and scoring mechanism should be included in the Strategy showing how the audit plan is to be determined and level of coverage needed to achieve the Annual Audit Opinion as required by the Charter	1110, 2000, 2020	Actioned in strategy, yet to be put in practice
4.4	Charter- The Charter should detail how Conflict of Interest Disclosures will be managed.	1120, 1130	Actioned. Presented to Audit Panel 25/07/19

TEST VALLEY BOROUGH COUNCIL EXTERNAL ASSESSMENT APRIL 2019 ACTION PLAN

Ref	Action	Standards and Elements	Progress to date
4.5	Strategy - Include a training Strategy in the Audit Strategy (or as a separate document)	1210	Actioned. Presented to Audit Panel 25/07/19
4.6	Charter-Include the basis for the Annual Audit Opinion and detail the process for the review of the Audit Plan and any changes made due to changes in priority, risk, resources.	2010, 2450	Actioned. Presented to Audit Panel 25/07/19
4.7	Charter - The reference to the Head of Finance re Audit Planning in the Charter needs to be amended to Shared Internal Audit Manager	2010	Actioned. Presented to Audit Panel 25/07/19
4.8	The Strategy should include an allowance for follow-up reviews	2500	Actioned. Presented to Audit Panel 25/07/19
UNIVERSE AND PLAN			
5.1	Universe and Plan- Review the Universe to ensure all major areas of activity and risk are up to date and Include the reviews of ethics related objectives, programmes and activities (such as code of conduct, counter fraud and corruption etc), levels of authority and responsibility (delegations), performance audits and corporate governance framework in the Audit Plan and Universe	1100, 2010, 2110	Review and methodology complete. To be actioned for 2020/21 Audit Plan
5.2	Universe and Plan- Continue to develop assurance from other providers to assist with Planning.	2050	To be actioned as part of audit planning for 2020/21
QUALITY ASSURANCE IMPROVEMENT PROGRAMME (QAIP)			
6.1	QAIP- Review supervision and include supervisory checks ensure compliance with the Standards, include Principal Auditor seeing all final reports	1220, 2340, 2440	Actioned
6.2	QAIP- Assessments both Internal and External should be performed as part of continuous improvement	1220	To be undertaken annually (next due March 2020)
6.3	QAIP- Reviewing and documenting the Audit process should be performed as part of QAIP	1220	In development

TEST VALLEY BOROUGH COUNCIL EXTERNAL ASSESSMENT APRIL 2019 ACTION PLAN

Ref	Action	Standards and Elements	Progress to date
6.4	QAIP-Develop a QAIP to establish an embedded culture of continuous improvement- refer to CIIA guide "The Quality Assurance and Improvement Programmes Guide 5/3/19 and report to senior Management and the Audit Panel	1300, 1320	In development
6.5	Review level of audit coverage of activity required by benchmarking with other local authorities.	2450	In development

ITEM 12 Overview and Scrutiny's Work Programme

Report of the Corporate Director

Recommended:

That OSCOM approves the outputs from the annual away day for inclusion in the Committee's rolling work programme.

SUMMARY:

- This report outlines the outputs from the discussions at the OSCOM annual "away day".

1 Introduction

- 1.1 The Committee held its latest annual "away day" on 13th July at Longstock Village Hall. The purpose of the event was to allow Members to undertake overview and scrutiny related training and to develop their work programme for the year and beyond. This has proved a successful way of prioritising the committee's work over recent years.
- 1.2 Members were asked to prioritise the issues that they wished to review on the basis that officers can only contribute to a limited number of full reviews during any one year. At the same time they were encouraged to make use of "round table" discussions and briefing reports to find out more about issues prior to deciding whether there is a need for a "full blown" OSCOM review.
- 1.3 Cabinet had also requested that OSCOM take part in a four "reviews" which they had instigated. Additionally, some areas of work had already been proposed by the Committee prior to the election in May. Since that time the Council, at its meeting on 4th September, has also asked the Committee to co-ordinate a review into reducing the impacts of climate change. The Council resolution was as follows:
 - i. *That the Council declare a 'Climate Emergency' and commit to investigating clear and effective options to become a carbon-neutral organisation.*
 - ii. *That the Council invite the Overview & Scrutiny Committee to establish a cross-party working group comprising Council Officers and Members (including the Environmental Portfolio Holder), with a remit to draw together the existing work of the Council in reducing the impacts of climate change and develop an action plan that identifies the steps the Council can take to achieve carbon neutrality as quickly as possible.*

- iii. *That the working group be requested to provide their draft recommendations within six months.*
- iv. *That the Council work with our communities and partners to identify opportunities for making the Borough carbon neutral.*

- 1.4 As the 'Climate Emergency' review is likely to be a wide ranging in nature the Committee may wish to consider incorporating some of the other related review ideas, that emerged from the away day, within its scope. This for example might include the proposed reviews on the waste stream, rewilding and making the Local Plan more environmentally friendly.
- 1.5 For those items that are proposed for a full review it is worth noting that a scoping template has now to be approved by the Committee. This is an initiative introduced in recent years to help ensure that the review panels are truly task and finish groups.

2 Proposed Areas for Review

- 2.1 The proposed areas for inclusion in the Committee's work programme are outlined below. It is proposed that OSCOM nominate a lead member to work up a scoping template with the appropriate Head of Service.

Reference from Council

Reducing the impacts of climate change

Proposals for full reviews to be scoped by the Committee

The promotion of healthy life styles linked to Sport and Recreation (possibly by reference to Romsey) (Head of Community and Leisure)

The reduction of the amount of waste going into the waste stream through behavioural change and the potential use of "nudge" tactics**. (*It is proposed that a scoping "round table" meeting to take place instead of Project Integra discussion prior to OSCOM's November meeting.*) (Head of Environment Services)

The current verge cutting regime in the Borough and potential links to "rewilding"**. (Head of Community and Leisure/ Head of Environment Services)

*(** Potential for inclusion within the scope of the reducing the impacts of climate change review)*

Cabinet Proposed Reviews with OSCOM involvement

Review of the Council's Key Performance Indicators

Review of the Economic Development Strategy and Action Plan

New Neighbourhoods Review

Making the Local Plan more environmentally friendly**

*(** Potential for inclusion within the scope of the reducing the impacts of climate change review)*

Roundtable Discussions

Our approach to communications (Prior to December OSCOM)
Partnership working with the Police and the CSMG
Review of the Area Planning Committee “pilot”
Mapping of youth service type provision
Housing Strategy (including social/affordable housing)

To be included within the Member Development Programme

Planning Enforcement and its “effectiveness”

To be referred to the Planning Advisory Panel

Rules for Self Build

3.0 Other Matters

3.1 In addition, there is already a commitment to hold a rural community planning discussion before the September Committee and a review of Health provision in Romsey and Andover has already been scoped and agreed by the committee, in July.

3.2 A commitment to undertake a review of the Council’s obligations under the Armed Forces Covenant has also been made, but that review remains to be scoped.

4.0 Portfolio Holder Presentations

4.1 It is also worth noting that each year the Leader gives a presentation on the progress of the Corporate Action Plan. Members will also recall that each portfolio holder has normally given a presentation to the Committee at least once over the 4 year life cycle of each Council. Cllr Ward gave a presentation to the July Committee on the Community and Leisure Portfolio.

4.2 The Committee now has slots in its work programme for further Portfolio Holder briefings in October, December and January. Following consultation with Cabinet members is proposed that the briefings be held as follows:-
October – Cllr Drew – Economic Development and Tourism
December – Cllr Bundy - Housing and Environmental Health
January – Cllr Adams King - Planning.

5.0 Conclusion

5.1 OSCOM is asked to approve the outputs from the annual away day for inclusion in the Committee’s rolling work programme.

<u>Background Papers (Local Government Act 1972 Section 100D)</u>			
<u>Confidentiality</u> It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.			
No of Annexes:			
Author:	Andy Ferrier	Ext:	8121
File Ref:			
Report to:	OSCOM	Date:	19 September 2019

ITEM 13

**Programme of Work for the
Overview & Scrutiny Committee**

Report of Head of Legal and Democratic Services

Recommended:

The Committee is requested to:

- 1. Review the outcomes on the work programme and recommendations update.**
- 2. Approve the future work programme.**

SUMMARY:

- The purpose of this report is to enable members to keep the Committee's future work programme and recommendations update under review.

1. Background

- 1.1 The OSCOM Work Programme is presented at Annex 1 for review and approval.
- 1.2 The OSCOM Task and Finish Panels update is presented at Annex 2 for the Committee's review and comments.
- 1.3 The Cabinet Work Programme is attached at Annex 3 for the Committee to consider.
- 1.4 Annex 4 tracks the recommendations to Cabinet and Council.

Background Papers (Local Government Act 1972 Section 100D)

None

Confidentiality

It is considered that this report does not contain exempt information within the meaning of Schedule 12A of the Local Government Act 1972, as amended, and can be made public.

No of Annexes:

4

Author:

Caroline Lovelock

Ext:

8014

File Ref:

Report to:

Overview and Scrutiny
Committee

Date:

18 September 2019

OVERVIEW & SCRUTINY WORK PROGRAMME 2018/19

	*Scrutiny Indicator	Requested by	Purpose of Report (Responsible Officer/ Member)
18 SEPTEMBER (ANDOVER)			
Round table discussion on Community Planning with a rural emphasis	3	Committee	To consider community planning initiations in rural areas discussion with officers (Head of Housing and Environmental Health, Head of Planning Policy, Corporate Director and Policy Manager)
The Annual Review of Complaints	2	Committee	To receive the Annual Review report. (Complaints and Improvements Officer) (20 mins)
Annual Audit Report	2	Committee	To comment and recommendations as appropriate (Head of Finance/Auditor Manager) (20 mins)
16 OCTOBER (ANDOVER)			
Budget Panel Report Draft Budget and Fees and Charges	4	Committee	To consider the Budget Panel draft budget report and to receive a verbal update from the Budget Panel Lead Member on fees and charges (Vice-Chairman) (30 mins)
Economic Development and Tourism Portfolio Holder Presentation	1	Committee	To receive a presentation from the Economic Development and Tourism Portfolio Holder (Councillor Drew) (60 mins)
Drug Intervention Services in Test Valley	3	Committee	To update the committee on the work of the Community Safety Management Group in respect of drug prevention and education services (Community Safety Manager) (20 mins)
13 NOVEMBER (ANDOVER)			
Round table discussion on Review of Integra	3	Committee	To consider the latest position on the Hampshire Waste Strategy. (Paul Wykes)
11 DECEMBER (ROMSEY)			
Round table discussion on Communications	2	Committee	To receive a presentation from the Council's Communications Manager on the Council's approach to Communication (Communications Manager)
Housing and Environmental Health Portfolio Holder Presentation	1	Committee	To receive a presentation from the Housing and Environmental Health Portfolio Holder (Councillor Bundy) (60 mins)

* Scrutiny Indicator Key:

1 : Holding to Account	2 : Performance Management	3 : Policy Review	4 : Policy Development	5 : External Scrutiny
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22 JANUARY (ROMSEY)			
Budget Strategy Update	1	Committee	To check the results of the Budget Panel chaired by the Vice Chairman and make sure all is satisfactory (Vice-Chairman) (20 mins)
Planning Portfolio Holder Presentation	1	Committee	To receive a presentation from the Planning Portfolio Holder (Councillor Adams King) (60 mins)
19 FEBRUARY (ANDOVER)			
Round table discussion on Romsey Future			
Progress Report on PIP Panel	2	Committee	To receive an update on the findings of the Public Involvement Panel (James Moody) (20 mins)

DATE TO BE CONFIRMED	*Scrutiny Indicator	Requested by	Purpose of Report (Responsible Officer/ Member)
Round table discussion on Social/Affordable Housing	3	Committee	The Head of Housing and Environmental Health to lead a discussion on the current national situation on the delivery of social/affordable housing (Head of Housing and Environmental Health)
Hampshire Fire and Rescue	5	Committee	To update the Committee on how the new structure is working

* Scrutiny Indicator Key:

1 : Holding to Account	2 : Performance Management	3 : Policy Review	4 : Policy Development	5 : External Scrutiny
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BRIEFING NOTES

2018		
March	Affordable Housing Update (Head of Housing and Environmental Health)	19 March 2018
May	Safeguarding Children & Vulnerable Adults (Community Engagement Manager)	22 May 2018
June	Test Valley Partnership Annual Review (Policy Manager) Risk Management (Principal Auditor)	31 July 2018
2019		
June	Risk Management (Principal Auditor)	11 June 2019
November	Cemetery Rules and Regulations Review (Head of Community and Leisure) Hampshire County Waste Strategy (Head of Environmental Services)	
2020		
January	Planning Enforcement (Head of Planning and Building) Waste Strategy (Head of Environmental Services)	
March	Affordable Housing Update (Head of Housing and Environmental Health)	

* Scrutiny Indicator Key:

1 : Holding to Account	2 : Performance Management	3 : Policy Review	4 : Policy Development	5 : External Scrutiny
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Panel	Lead Member	Progress Update	Report back to OSCOM
Completed Panels			
Public Involvement Panel	Councillor Baverstock	Scoping document agreed by OSCOM on 20 September 2017 Report back Recommendation to Cabinet Findings of the Panel referred to the Member and Community Development working group to develop proposals further and to report back to OSCOM with proposed actions for onward submission to Cabinet	21 March 2018 18 April 2018
Planning Panel	Councillor Hibberd	Scoping template agreed Report back Panel's final report to OSCOM Recommendations considered by Cabinet	22 November 2017 25 July 2018 19 September 2018 10 October 2018
Council Tax Support Scheme	Councillor Baverstock	Meeting to be arranged early January to review the options for the Council Tax Support Scheme 2019/2020 Report back Recommendation to Cabinet on options 5, 6 and 7 Cabinet agreed to undertake consultations on options 5, 6 and 7 with a slight amendment to option 5 Panel to reconvene to consider the results of the consultation. Consultation now complete final report considered by OSCOM prior to consideration by Cabinet. Cabinet agreed at its meeting on 5 December 2018 to endorse the Panel's recommendations and a full report will be considered at Council on 23 January 2019	21 March 2018 18 April 2018 14 November 2018

Panel	Lead Member	Progress Update	Report back to OSCOM
Completed Panels			
Parking (Car Park and Streets) Panel	Councillor Baverstock	<p>First meeting held on 6 July to agree scoping template</p> <p>Scoping template agreed by OSCOM</p> <p>Meeting to look in more detail at specific areas and discuss way forward</p> <p>Meeting with Head of Planning Policy to consider the main issues and how they can be taken forward to influence the next Local Plan</p> <p>The Panel met on 20 February to discuss the draft report.</p> <p>Final report to OSCOM</p> <p>Recommendations to Cabinet</p>	<p>19 September 2018</p> <p>2 November 2018</p> <p>20 March 2019</p> <p>20 March 2019</p> <p>17 April 2019</p>
Future of High Streets in Test Valley	Councillor Hurst	<p>A Panel to be set up to review how emerging policies could influence and develop High Streets across the Borough</p> <p>Workshops to be held to gather views/evidence from stakeholders and the community and report back to OSCOM.</p> <p>Workshop held on 5 March 2019 final report to be considered.</p>	<p>24 April 2019</p>

Panel	Lead Member	Progress Update	Report back to OSCOM
Ongoing Panels			
The future of hospitals in Andover and Romsey	Councillor Baverstock	<p>Scoping report to be produced and a panel set up to include Councillors Bailey, Cockaday, Hamilton and Mutton</p> <p>Panel have met to discuss the scope of the panel.</p> <p>Further meeting organised.</p> <p>Scope to be considered by Committee</p> <p>Panel meeting held on 15 August and Zena Ludick, Operations Director for Medical Services at Hampshire Hospital NHS and Diane Blanchard, Operational Director for Family Clinical Support Service will met with the panel on Wednesday 28 August 2019.</p>	17 July 2019
Armed Forces Covenant	Councillor Borg-Neal/Councillor Hamilton	<p>Scoping report to be produced.</p> <p>Councillor Borg Neal liaising with relevant organisations. Panel would commence following the Borough Elections in May 2019.</p> <p>Members have been invited to sit on the panel.</p>	
Council Tax Support Scheme Panel	Councillor Baverstock	<p>Panel met on 21 August to consider the impact on the changes made to the scheme in 2019/20 and options for further changes to the scheme for 2020/21. Report was considered by OSCOM on 5 September 2019.</p>	

Cabinet Work Programme

August 2019

Further information

1. This is a formal notice under Regulation 9 of The Local Authorities (Executive Arrangements)(Meetings and Access to Information)(England) Regulations 2012. This edition supersedes all previous editions.
2. Documents submitted to the Cabinet or Cabinet Member(s) for decision will be in the form of a formal report, which if public and non-urgent, will be available for public inspection on this website at least 5 clear working days before the date that the decision is due to be made.
3. Background papers for such reports are listed in this Programme where their identity is known in advance of the report being written.
4. Documents shown will be available from the Democratic Services Manager at Test Valley Borough Council, Beech Hurst, Weyhill Road, Andover, Hants, SP10 3AJ. They can also be contacted at admin@testvalley.gov.uk.
5. Please note that additional documents relevant to those matters mentioned in the Work Programme may be submitted to the decision maker.
6. Whilst the majority of the Cabinet's business at the meetings listed in this Work Programme will be open to the public and media organisations to attend, this is formal notice under the above regulations that part of the Cabinet meetings listed in this Work Programme may be held in private because the agenda and reports for the meeting will contain exempt information under Part 1 of Schedule 12A to the Local Government (Access to Information) Act 1985 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it.
6. To view details of the members of the Council's Cabinet who will be making these decisions, please click the link below:
[Cabinet Members](#)

KEY DECISIONS

A key decision is one which is likely

1. to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates;

or
2. to be significant in terms of its effect on communities living or working in an area comprising two or more wards or electoral divisions in the area of the local authority.

The Council's thresholds are

- | | | | |
|----|---|---|------------------|
| a. | Decisions on spending which are within the annual budgets approved by the Council | NO THRESHOLD | NOT KEY DECISION |
| b. | Decisions on cash flow, investments and borrowings. | NO THRESHOLD | NOT KEY DECISION |
| c. | Decisions for spending or savings outside the budget, or included in the annual budget with reservations. | SPENDING EXCESS OF £75,000 PER ITEM IS A KEY DECISION | |

Arrangements for making representations to the cabinet regarding decisions contained within the work programme

A member of the public may address the Cabinet in accordance with the Public Participation Scheme. Notice must be given to the Democratic Services Manager by noon on the day before the meeting.

Members of the public are welcome to write to the appropriate Head of Service as listed in the Work Programme on any matter where a decision is to be made.

Date of Decision	Item	Key Decision	Decision maker	May include information which is not to be made public*	Documents to be submitted for consideration	Head of Service	Notice of proposed decision first published
11 Sep 2019 Andover	Corporate Financial Monitoring (4 months)	No	Cabinet	Open	Report of the Finance Portfolio Holder	Head of Finance	11 Mar 2019
11 Sep 2019 Andover	Draft Calendar of Meetings	No	Council	Open	Report of the Corporate Portfolio Holder	Head of Legal and Democratic	4 Feb 2019
11 Sep 2019 Andover	Planning Enforcement Policy 2019	Yes	Cabinet	Open	Report of the Planning Portfolio Holder	Head of Planning and Building	19 Jun 2019
11 Sep 2019 Andover	Planning Advisory Panel	No	Cabinet	Open	Report of the Planning Portfolio Holder	Head of Planning Policy	1 Aug 2019
11 Sep 2019 Andover	Estates Property Matters	No	Cabinet	Fully exempt	Report of the Finance Portfolio Holder	Head of Estates and Economic Development	1 Aug 2019
9 Oct 2019 Andover	Corporate Financial Monitoring (6 months)	No	Cabinet	Open	Report of the Finance Portfolio Holder	Head of Finance	2 May 2019
6 Nov 2019 Andover	Medium Term Financial Strategy	No	Cabinet	Open	Report of the Finance Portfolio Holder	Head of Finance	2 May 2019

6 Nov 2019 Andover	Fees and Charges	No	Cabinet	Open	Report of the Finance Portfolio Holder	Head of Finance	2 May 2019
6 Nov 2019 Andover	Asset Management Plan Update	No	Council	Open	Report of the Finance Portfolio Holder	Head of Finance	7 May 2019
6 Nov 2019 Andover	Capital Programme update	No	Council	Open	Report of the Finance Portfolio Holder	Head of Finance	7 May 2019

Part 5 – Action Tracking

Report of the Task and Finish Panel – Car Parking						
Recommendation	Agreed			Start Date	Progress Update	Completion date
	OSCOM 20.03.19	Cabinet 17.04.19	Council			
<p>1. That the parking standards and minimum dimensions of spaces currently set out in the adopted Revised Local Plan (2016) be reviewed as part of the next local plan review.</p> <p>2. That the next local plan review consider what practical steps could be taken to influence the design and layout of future parking within residential schemes.</p> <p>3. That the Council write to Government to highlight the issue of large commercial vehicles parking in residential areas and request steps are taken to enforce possible restrictions.</p>	√	√			<p><u>Agreed at Cabinet</u></p> <p>That the parking standards and minimum dimensions of spaces currently set out in the adopted Revised Local Plan (2016) be reviewed as part of the next local plan review.</p>	

Review of Town Centres						
Recommendation	Agreed			Start Date	Progress Update	Completion date
	OSCOM 24.04.19	Cabinet 20.5.19	Council			
<p>That the Council continued to support Andover and Romsey town centre through the measures identified in the Corporate Plan 2019 – 2023 (2019), the Revised Local Plan (2016) and the Economic Development Strategy (2017); and</p> <ol style="list-style-type: none"> 1. That the Head of Planning & Building and the Head of Planning Policy investigate the application of Policy LE12 and Policy LE13 of the adopted Revised Local Plan (2016); 2. That the Head of Planning & Building and the Head of Planning Policy investigate what measures could be introduced to help facilitate planning advice to those businesses whose premises are within the Borough's town centres; 3. That the Council continued to explore opportunities to secure funds to deliver public realm improvements; 	√	√			<p><u>Agreed at Cabinet</u></p> <p>That the Council continues to support Andover and Romsey town centre through the measures identified in the Corporate Plan 2019 – 2023 (2019), the Revised Local Plan (2016) and the Economic Development Strategy (2017); and</p> <ol style="list-style-type: none"> 1. That the Head of Planning & Building and the Head of Planning Policy investigate the application of Policy LE12 and Policy LE13 of the adopted Revised Local Plan (2016); 2. That the Head of Planning & Building and the Head of Planning Policy investigate what measures could be introduced to help facilitate planning advice to those businesses whose premises are within Andover and Romsey town centre; 3. That the Council continues to explore opportunities to secure funds to deliver public realm improvements; 4. That the merits of a potential Romsey Business Improvement District be explored in the future, once the experience of Andover's BID, as well as other BIDs, have been fully considered; 5. That the Council investigate ways to support existing town centre businesses; 6. That the merits of producing a town centre prospectus for each town be explored; and 7. To put in place measures to allow shoppers and visitors to provide ongoing feedback of their experience. 	

<p>4. That the merits of a potential Romsey Business Improvement District be explored in the future, once the experience of Andover's BID, as well as other BIDs, have been fully considered;</p> <p>5. That the Council continued to investigate new ways to support existing town centre businesses;</p> <p>6. That the merits of producing a town centre prospectus for each town be explored; and</p> <p>7. To put in place measures to allow shoppers and visitors to provide ongoing feedback of their experience.</p>						
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Disability Review						
	Agreed			Start Date	Progress Update	Completion date
Recommendation	OSCOM 24.4.19	Cabinet 20.5.19	Council			
<p>That Cabinet adopt the approach contained within the report as a way of working when reviewing equality issues with a range of groups.</p>	<p>✓</p>	<p>✓</p>			<p><u>Agreed at Cabinet</u></p> <p>That Cabinet adopts the approach contained within the report as a way of working when reviewing equality issues with a range of groups, and in particular;</p> <p>(a) That the Leader of the Council, as Chairman of the Test Valley Strategic Partnership, works with the Partnership to hold an annual disability focus group. This will enable public and voluntary sector partners to hear the views of people with disabilities on key issues.</p>	

					<p>(b) That the Council explores with partners of the Test Valley Partnership the potential for each partner nominating a disability champion who could help promote key issues and be a contact point for other partners and groups representing disability issues.</p> <p>(c) That the Council will organise ad-hoc focus groups and networks, as and when service changes or new key strategies are being considered, as a way in which to talk through proposals and gain feedback from people with a range of disabilities.</p>	
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