

**Directorate for Education**  
**Number of complaints by stage type, service, and targets met**

**Summary of complaints by stage type reference**

Stage Type	Count	Count Completed in Target Times	Percentage Completed in Target Times
Stage 1	3	3	100
Stage 2	0	0	0
Escalated Stage 1 to 2	3	3	100
Totals	6	6	100

**Summary of complaints by service, for each stage type**

Service	Count Stage 1	Count Completed in Target Times	Percentage Completed in Target Times
ALN and Inclusions Services (ALN)	2	2	100
Early Years / ALN & Inclusion	1	1	100
Totals	3	3	100

Service	Count Stage 2	Count Completed in Target Times	Percentage Completed in Target Times
Totals	0	0	0

Service	Count Escalated Stage 1 to Stage 2	Count Completed in Target Times	Percentage Completed in Target Times
ALN and Inclusions Services (ALN)	2	2	100
Early Years / ALN & Inclusion	1	1	100
Totals	3	3	100

**How the complaints were received**

By source	Count Stage 1	Count Stage 2	Count Escalated Stage 1 to Stage 2
Telephone	0	0	0
Email	3	0	3
Letter	0	0	0
On-line	0	0	0
Contact Centre	0	0	0
Other	0	0	0
Totals	3	0	3

More detailed information on the above corporate complaints data, is currently maintained, by the Education Customer Service and Complaints officer on a dedicated database.

## 1. Key complaints - identified by type or theme

Schools have their own complaints policy/process that must be dealt with by the school. However, the L.A may provide advice and guidance on the school-based policy but direct complainants back to the school for response.

All governing bodies are required by law to have a procedure in place for dealing with complaints from parents, pupils, members of staff, governors, members of the local community and others in relation to matters for which the governing body has statutory responsibility.

An overview of the complaints received and dealt with are as follows:

- ALN and Inclusion Service – SEN school placement and Panel decisions
- ALN and Inclusion Service – No EOTAS provision
- Early Years and ALN/Inclusion Services – Member of staff

## 2. Number by Category (Commissioner Case Type)

**Complaints by Commissioner Case Type, for prescribed Categories**

Category		Count Stage 1, Stage 2 & Escalated 1 to 2
1	Collaborative Working	0
2	Decision Making	0
3	Delay in Service Provision	0
4	Officer/Contractors Conduct with public (including sensitivity/empathy of staff/politeness)	0
5a	Following Council Policies	0
5b	Following relevant Legislation	0
6	Accessibility of Services	0
7	Clarity/Accuracy/Timeliness of information	0
8	Quality of Work	0
9	Openness/ Fairness and Honesty	0
10	Compliance with Complaints procedure	0
11	Combination of categories	6
Totals		6

## 3. Number by Outcome and lessons learned comments

**Complaints by Outcome Data sets as categorised by the Complaints Standards Authority.**

Service	Upheld	Not Upheld
ALN and Inclusions Services (ALN)	4	0
Early Years and ALN/Inclusion Services	0	2
Totals	4	2

**Stage 1, escalated to Stage 2 Category 11 (1, 2, 3, 5b & 7).**

The local authority has not followed the ALN code of practice at all. They have given false information throughout the last 2 years and misled the family into agreeing to delay what should have been done in the interest of their child. Their child has suffered from sensory overload and their emotional state has suffered significantly as a direct result of the failings.

**Outcome – Upheld**

**Recommendations –** *Communication can be improved. Expectations need to be clear and agreed between all parties to avoid doubt. Where expectations are not aligned or cannot be met, this needs to be communicated clearly and the way forward agreed. The rationale for decision making needs to be clear and where this is unclear this must be raised in a timely way and clarified for the avoidance of doubt. Where decisions are made that are unclear, there must be an agreed mechanism to raise any concerns and for these to be resolved before reaching a point of dispute or formal complaint. Statutory processes should be followed. Where there are exceptions the rationale for these should be clearly communicated with parents and agreed with all parties.*

**Stage 1, escalated to Stage 2 – Category 11 (1, 3 & 7).**

Delay in the completion of the building work at the new EOTAS site at Virginia Park and poor communication from the LEA.

**Outcome - Upheld**

**Recommendations -** *Communication can be improved. Expectations need to be clear and agreed between all parties to avoid doubt. Where expectations are not aligned or cannot be met, this needs to be communicated clearly and the way forward agreed. The rationale for decision making needs to be clear and where this is unclear this must be raised in a timely way and clarified for the avoidance of doubt. Where decisions are made that are unclear, there must be an agreed mechanism to raise any concerns and for these to be resolved before reaching a point of dispute or formal complaint. Statutory processes should be followed. Where there are exceptions the rationale for these should be clearly communicated with parents and agreed with all parties.*

**Stage 1, escalated to Stage 2 – Category 11 (4, 5a & 5b).**

Number of allegations made against a member of staff after parent was reported to social services for failing to secure her young child in a car seat, as defined by law. Parent was sat in the front passenger seat with her young child sat on her lap when they arrived at the setting i.e. the young child was not sat securely in a child safety seat.

A thorough investigation was undertaken by the line manager(s) and the Education Safeguarding Co-ordinator. There was no evidence to substantiate any elements of the complaint.

**Outcome - Not upheld.**

#### 4. Identified relationships to Equalities or Welsh Language

##### Complaints that relate to the Equalities or Welsh Language protected characteristics

Characteristic Strand	Count Stage 1, Stage 2 & Escalated 1 to 2	Count Completed in Target Times	Percentage Completed in Target Times
Age	0	0	0
Disability	0	0	0
Gender Reassignment	0	0	0
Marriage and Civil Partnership	0	0	0
Pregnancy and Maternity	0	0	0
Race	0	0	0
Religion/Belief or Non-belief	0	0	0
Sex	0	0	0
Sexual Orientation	0	0	0
Welsh Language	0	0	0
Totals	0	0	0

No specific characteristics links have been identified for this reporting period

#### 5. Annex – Referrals to Ombudsman, complaints resulting from appeals and examples of relevant items (points to note) specific to this reporting period

Complainant was unhappy with the LA's complaint response, as although the complaint was upheld the complainant considered the LA had missed the point, minimised the concerns and significant failings had been glossed over.

The Ombudsman carefully considered the information provided by the complainant and LA (namely the LA's complaint file and details of the actions it has taken following the complaint) and having considered all the information, no further action was taken by the Ombudsman.

It is important to recognise that the changes currently being made to the ALN and Inclusion Service are due to the implementation of the new curriculum for Wales and the ALN Act which has led to a lot of confusion and frustration of some of our stakeholders, especially parents. The LA will continue to listen and adapt its processes in line with feedback.

##### **For further information, please contact**

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