

<b>Statement of assurance 16/17</b>									
<b>Subject</b>	Complaints and Whistleblowing								
<b>Officer</b>	Vikki Shearing								
<b>Date</b>	June 2017								
<b>Overall judgement</b>	<table border="1"> <tr> <td><b>Excellent</b></td> <td>Best practice arrangements exist, no outstanding issues, high confidence</td> </tr> <tr> <td><b>Good</b></td> <td>Good confidence, no major issues or failings, action plan in place</td> </tr> <tr> <td><b>Fair</b></td> <td>Some good practices in place but no procedure, key issues exist, with more work to be done, action plan in place</td> </tr> <tr> <td><b>Poor</b></td> <td>Failings have occurred or are likely to occur, considerable issues exist, known weaknesses, considerable areas of concern</td> </tr> </table>	<b>Excellent</b>	Best practice arrangements exist, no outstanding issues, high confidence	<b>Good</b>	Good confidence, no major issues or failings, action plan in place	<b>Fair</b>	Some good practices in place but no procedure, key issues exist, with more work to be done, action plan in place	<b>Poor</b>	Failings have occurred or are likely to occur, considerable issues exist, known weaknesses, considerable areas of concern
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<b>What are we assuring?</b>	Effectiveness of corporate complaints and whistleblowing process								
<b>Basis of judgement</b>	<p>In 2016/17, 37 complaints were received and 34 of these were resolved within 14 working days, as set out in Service procedure. 18 of these complaints were not upheld. These figures provide the Authority with assurance that the process is being managed, numbers of complaints received are comparable to previous years for the two previous Services and in most cases corporate standards are being achieved.</p> <p>The complaint type is also monitored and figures for 16/17 demonstrate the highest number of complaints being received relating to staff conduct and responding to an incident – these are primarily driving related concerns.</p> <p>Responding to an incident/driving: 20  Corporate/staff conduct: 11  Fire Safety: 3  Recruitment: 1  Safe and Well visit: 1  Training: 1</p> <p>Monthly monitoring takes place at department level to ensure that deadlines are met and actions in relation to reaching a satisfactory resolution, are completed. A quarterly report is taken to the Finance, Governance and Audit Committee.</p> <p>In quarter 1 an internal audit provided the Authority with adequate assurance of the complaints process, with some minor improvements identified – these have been incorporated into a review and development of the electronic system used to record and monitor the complaints process.</p> <p>This recording system is monitored by protected characteristics and in 2016/17 no negative issues were reported and there were no complaints related to discrimination.</p> <p>There are arrangements for whistleblowing in place and our procedures are regularly advertised internally via the weekly update and also on the Service's website. Our procedure and guidance are clear on the various route for these to be reported. There has been one whistleblowing case raised during 17/18. This was investigated internally and it was concluded</p>								

## Item 17/40

	that there was no case to answer and no further action was taken. The internal audit incorporated whistleblowing and adequate assurance was reported for this area.				
<b>Outstanding key issues</b>	<b>Priority</b> <small>(for fair and poor judgements only)</small>			<b>Improvement required</b>	<b>Lead</b>
<b>A brief summary of the outstanding issues</b>	<b>H</b>	<b>M</b>	<b>L</b>	<b>What is being done or is proposed to address the outstanding issue</b>	<b>Who is leading</b>

Priority H – within 12 months, M – within 24 months, L - within 36 months or more.  
When agreed with Director these issues should be fed into team planning.