

Report to:	Corporate and External Issues Scrutiny Committee		
Date of meeting:	23 October 2023		
Report of:	Lee Fallows, Director of Corporate Resources	Report Number:	33506
Reporting Officer:	Helen Gorman, Borough Solicitor		
Contact Officer:	Helen Gorman		
Report title:	Local Government and Social Care Ombudsman Annual Review Letter 2022-2023		
<u>Non- confidential</u>			
This report does not contain information which means it should be considered without the press or members of the public being present.			
Purpose:	To inform members of complaints made to the Local Government and Social Care Ombudsman (LG&SCO) and to discuss the LG&SCO Annual Report		
Recommendations:	The Committee is recommended to note the contents of this report.		
<u>Decision:</u>			
<u>Background documents:</u>			

<u>Consultation with other officers</u>			
Finance	No		
Legal	Yes	26/08/2023	Helen Gorman
HR	No		
Procurement	No		
Climate Change	No		
Information Governance	No		
Equality Impact Assessment	No		
Post consultation reports Please confirm that the consultation response has been taken into consideration in making the recommendations.			Y/N
Vision outcomes Please identify the appropriate Vision outcome(s) that this report relates or contributes to by putting a cross in the relevant box.			<u>1. Start Well</u> <input checked="" type="checkbox"/>
			<u>2. Live Well</u> <input checked="" type="checkbox"/>
			<u>3. Age Well</u> <input checked="" type="checkbox"/>
			<u>4. Prosperous</u> <input checked="" type="checkbox"/>
			<u>5. Clean and Green</u> <input checked="" type="checkbox"/>
			<u>6. Strong and Distinctive</u> <input checked="" type="checkbox"/>

1 INTRODUCTION & BACKGROUND

- 1.1 This report provides details of the Local Government and Social Care Ombudsman Annual Review of complaints for the year ending 31 March 2023. The Local Government and Social Care Ombudsman Annual Review Letter. The Annual Review letter is at Appendix 1. It contains details of the number of complaints received and those determined from 1 April 2022 to 31 March 2023.
- 1.2 The Annual Report letter explains the focus for the LG&SCO on the first page which is on 3 statistics:
- Complaints upheld.
 - Compliance with recommendations.
 - Satisfactory remedy provided by the authority.
- 1.3 Appendix 1 to this report contains the Annual Review letter for 2023 and a table which summarises the complaints and enquiries received in 2022/2023.
- 1.4 Appendix 2 contains a list of complaints and enquiries by service area made in 2022/2023 together with the decision reached, the reason for the decision, remedy and any service improvement recommendations.
- 1.5 Appendix 3 has details of remedies recommended by the LG&SCO and compliance with those remedies.

2 ANNUAL REVIEW LETTER 2023-2023 – PERFORMANCE

- 2.1 The table below sets out the number of complaints received, decided, subject to detailed investigation and compliance with recommendations on an annual basis since 2017.

Summary comparison table				
Year	Complaints received	Complaints decided	Detailed investigations	Compliance
2022-2023	64	66	18	16 (9 late/incomplete ¹)
2021-2022	66	69	22	7 (3 late ²)
2020-2021	38 ³	38	13	4 (3 late)
2019-2020	60	56	7	4
2018-2019	65	75	29	21 (5 late)

¹ 7 remedies were completed late, 1 remedy remains incomplete and the complaint remains unsatisfied and 1 was not completed but the complaint is marked as satisfied – further detail is at 2.2 below.

² 2 of the 3 complaints were late because of a delay in the complainant providing bank details to the Council for the financial remedy to be met.

³ Fewer complaints were received in 2020-2021. The LG&SCO stopped accepting complaints between March 2020 and June 2020 to allow local authorities to respond to the pandemic.

In previous years, the majority of complaints were referred back for local resolution, not upheld or closed after initial inquiries as shown in the table below. As will be noted from the annual review letter, the LG&SCO changed their focus this year by prioritising investigations where it appeared in the public interest to do so. It is the LG&SCO's view that this may have resulted in a change in the uphold rates as they are less likely to investigate "borderline" issues, leading to a higher proportion of fault findings overall.

It is also important to note that the LG&SCO records a complaint as upheld even if there are elements of the complaint that are not upheld and if the Council has already upheld the complaint.

Year	Upheld	Not upheld	Closed after initial inquiries	Referred back for local resolution	Incomplete/invalid	Advice given
2022-2023	17	1	27	16	1	4
2021-2022	14	8	23	19	1	4
2020-2021	7	6	7	12	5	1
2019-2020	3	4	19	29	1	0
2018-2019	24	5	16	27	2	1

The table below sets out the complaints to the LG&SCO by service area as defined by the LG&SCO.

	2018-19	2019-20	2020-21	2021/22	2022-2023
Adult Services	6	2	1	1	16
Benefits and Tax	1	0	0	0	8
Corporate and other services	7	0	2	0	5
Education and Children's Services	2	0	1	3	9
Environmental Services and Public Protection and Regulation	3	1	0	2	7
Highways	0	0	0	0	6
Housing	2	0	1	0	8
Planning and Development	3	0	2	8	7
Total	24	3	7	14	66

2.2 2022-2023 details

Out of a total of 66 decisions which were made during the year 2022-2023 there were 18 detailed investigations which were carried out and 17 of these investigations resulted in the complaint being upheld. The LG&SCO states that this amounts to 94% of cases which were subject to a detailed investigation being upheld, in comparison to other similar authorities where 77% of cases were upheld. In relation to the authority providing a satisfactory remedy, this was the case in 94% of cases investigated compared to 99% in similar authorities.

As stated in the LG&SCO letter a change in focus has likely resulted in a higher rate where fault has been found.

2.3 The LG&SCO made the following additional remarks:

2.3.1 “It is disappointing that your Council failed to comply with our recommendations in a case this year. This is very rare and led to a new complaint being opened so that we could remedy the additional injustice caused by the Council’s inaction.”

The Council was required to issue a letter of apology and make a payment. Unfortunately due to a combination of errors in the letter of apology, letters being sent by the Council but not received by the complainant, an incorrect email address used by the complainant when corresponding with the Council resulting in the email not having been received, delay due to a postal strike which led to the Council being unable to pay the financial remedy by the agreed deadline as the complainant would not provide her bank details until she had received the amended letter meant that the Council had failed to comply with the recommendations.

Action taken

A separate bank account has been opened so that cheques may be issued to make payments without the need for complainants to provide their bank details.

2.3.2 “I am also concerned that the Council was warned about potential non-compliance on a further two cases, and that we recorded a further seven cases where the Council failed to implement recommendations within the agreed timescales. Non-compliance with our recommendations reflects poorly on the Council and undermines residents’ confidence that it is genuinely willing and committed to putting things right for the public.”

2.3.2.1 The first 2 cases referred to related to complaints requiring a review of policy documents. Whilst the team agreed the timescales with the LG&SCO the tasks took longer to complete and therefore were not completed in accordance with the recommendations.

2.3.2.2 With regard to the further 7 cases,

- 4 regarded difficulties in making payments as the Council was unable to pay by cheque which has been resolved for the future with the new bank account referred to above at 2.3.1.
- 3 related to the delay in the review of policy documents referred to above at 2.3.2.1.

2.3.3 “In addition, there were several occasions during the year when our investigations were delayed by the Council’s failure to respond in a timely way to our requests for information. This was particularly prevalent in complaints relating to adult social care, where we understand there have been significant staffing changes. I ask that you take action to ensure your Council responds to our enquiries promptly in future.”

With regard to the adult social care cases there has been a change in management responsibilities which appear to have resolved the delays.

On occasions, an extension of time is required to provide the requested information (the LG&SCO can ask for information to be provided in 3 or 5 working days which is not always possible) and these requests for extensions are recorded as being provided late. This issue has been raised with the LG&SCO. However, there is a need for officers to be reminded to prioritise requests for information for the LG&SCO. Contracts with 3rd parties can also be an issue as accessing information from them can be challenging at times. The Corporate Leadership Team has been informed of these issues and requested to ensure their directorates prioritise providing information in the required timescales.

2.4 Remedy not complete but satisfied.

This was a complaint which the LG&SCO did not investigate but advised that they would record as “upheld” as the Council had already upheld the complaint.

2.5 2022-2023 Remedies

The details of the cases can be found in Appendix 2 and the financial remedies at Appendix 5.

2.6 Training

The LG&SCO training for effective complaint handling has been delivered to 3 separate cohorts of officers during the municipal year.

3 IMPACTS AND IMPLICATIONS

3.1 Financial

Not applicable.

3.2 Legal

Any legal implications are considered within the report.

3.3 HR

Not applicable.

3.4 Climate Change

Not applicable.

3.5 Information Governance

No implications.

4 RECOMMENDATIONS

4.1 The Committee is recommended to note the contents of this report.

Appendix 1

Annual Review letter 2022/2023

19 July 2023

By email

Ms Johnson
Chief Executive
Bolton Metropolitan Borough Council

Dear Ms Johnson

5 **Annual Review letter 2022-23**

I write to you with your annual summary of complaint statistics from the Local Government and Social Care Ombudsman for the year ending 31 March 2023. The information offers valuable insight about your organisation's approach to complaints. As always, I would encourage you to consider it as part of your corporate governance processes. As such, I have sought to share this letter with the Leader of your Council and Chair of the appropriate Scrutiny Committee, to encourage effective ownership and oversight of complaint outcomes, which offer such valuable opportunities to learn and improve.

The end of the reporting year, saw the retirement of Michael King, drawing his tenure as Local Government Ombudsman to a close. I was delighted to be appointed to the role of Interim Ombudsman in April and look forward to working with you and colleagues across the local government sector in the coming months. I will be building on the strong foundations already in place and will continue to focus on promoting improvement through our work.

6 **Complaint statistics**

Our statistics focus on three key areas that help to assess your organisation's commitment to putting things right when they go wrong:

Complaints upheld - We uphold complaints when we find fault in an organisation's actions, including where the organisation accepted fault before we investigated. We include the total number of investigations completed to provide important context for the statistic.

Over the past two years, we have reviewed our processes to ensure we do the most we can with the resources we have. One outcome is that we are more selective about the complaints we look at in detail, prioritising where it is in the public interest to investigate. While providing a more sustainable way for us to work, it has meant that changes in uphold rates this year are not solely down to the nature of the cases coming to us. We are less likely to carry out investigations on 'borderline' issues, so we are naturally finding a higher proportion of fault overall.

Our average uphold rate for all investigations has increased this year and you may find that your organisation's uphold rate is higher than previous years. This means that comparing uphold rates with previous years carries a note of caution. Therefore, I recommend comparing this statistic with that of similar organisations, rather than previous years, to better understand your organisation's performance.

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

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

Finally, we compare the three key annual statistics for your organisation with similar authorities to provide an average marker of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data, and a copy of this letter, will be uploaded to our interactive map, [Your council's performance](#), on 26 July 2023. This useful tool places all our data and information about councils in one place. You can find the detail of the decisions we have made about your Council, read the public reports we have issued, and view the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

7 Your organisation's performance

It is disappointing that your Council failed to comply with our recommendations in a case this year. This is very rare and led to a new complaint being opened so that we could remedy the additional injustice caused by the Council's inaction. I am also concerned that the Council was warned about potential non-compliance on a further two cases, and that we recorded a further seven cases where the Council failed to implement recommendations within the agreed timescales. Noncompliance with our recommendations reflects poorly on the Council and undermines residents' confidence that it is genuinely willing and committed to putting things right for the public.

In addition, there were several occasions during the year when our investigations were delayed by the Council's failure to respond in a timely way to our requests for information. This was particularly prevalent in complaints relating to adult social care, where we understand there have been significant staffing changes. I ask that you take action to ensure your Council responds to our enquiries promptly in future.

I hope we will see an improvement in performance this year. If there is any support my office can provide to help improve the situation, please do let me know.

8 Supporting complaint and service improvement

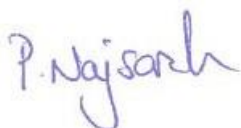
I know that complaints offer organisations a rich source of intelligence and insight that has the potential to be transformational. These insights can indicate a problem with a specific area of service delivery or, more broadly, provide a perspective on an organisation's culture and ability to learn. To realise the potential complaints have to support service improvements, organisations

need to have the fundamentals of complaint handling in place. To support you to do so, we have continued our work with the Housing Ombudsman Service to develop a joint complaint handling code that will provide a standard for organisations to work to. We will consult on the code and its implications prior to launch and will be in touch with further details.

In addition, our successful training programme includes practical interactive workshops that help participants develop their complaint handling skills. We can also offer tailored support and bespoke training to target specific issues your organisation might have identified. We delivered 105 online workshops during the year, reaching more than 1350 people. To find out more visit www.lgo.org.uk/training or get in touch at training@lgo.org.uk.

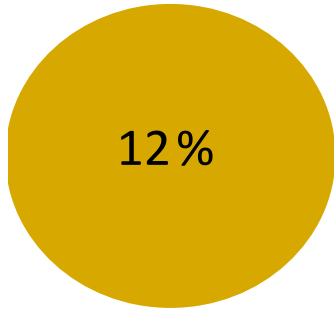
We were pleased to deliver three online complaint handling courses to your staff during the year. I welcome your Council's investment in good complaint handling training and trust the courses were useful to you.

Yours sincerely,



Paul Najsarek
Interim Local Government and Social Care Ombudsman
Interim Chair, Commission for Local Administration in England

Complaints upheld		
	<p>94% of complaints we 17 investigated were upheld. upheld decisions</p>	<p>Statistics are based on a total of 18 investigations for the period between 1 April 2022 to 31 March 2023</p>
	<p>This compares to an average of 77% in similar organisations.</p>	
Compliance with Ombudsman recommendations		
	<p>In 94% of cases we were satisfied the organisation had successfully implemented our recommendations.</p> <p>This compares to an average of 99% in similar organisations.</p>	<p>Statistics are based on a total of 16 compliance outcomes for the period between 1 April 2022 to 31 March 2023</p>
<ul style="list-style-type: none"> • 	<p>r recommendations is rare. An organisation with complaints where it failed to comply and identify</p>	<p>a compliance rate below 100% any year.</p>
Satisfactory remedy provided by the organisation		



In **12%** of upheld cases we found the organisation had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **10%** in similar organisations.

2

satisfactory remedy decisions

Statistics are based on a total of

17 upheld decisions for the period between 1 April 2022 to 31 March

2023

Appendix 2

Complaints and enquiries made

Reference	Category	Received
21004995	Environmental Services & Public Protection & Regulation	22/08/2022
21006196	Education & Childrens Services	15/11/2022
21012428	Adult Care Services	27/04/2022
22000084	Housing	05/04/2022
22000306	Planning & Development	07/04/2022
22000371	Highways & Transport	08/04/2022
22000602	Planning & Development	29/06/2022
22000604	Environmental Services & Public Protection & Regulation	12/04/2022
22000697	Adult Care Services	14/04/2022
22000700	Environmental Services & Public Protection & Regulation	20/04/2022
22000845	Education & Childrens Services	31/03/2023
22001176	Corporate & Other Services	28/09/2022
22001534	Environmental Services & Public Protection & Regulation	09/05/2022
22001678	Education & Childrens Services	09/05/2022
22001774	Education & Childrens Services	11/05/2022
22002595	Adult Care Services	27/05/2022
22002829	Education & Childrens Services	01/06/2022
22003953	Planning & Development	23/06/2022
22003960	Education & Childrens Services	23/06/2022
22004322	Education & Childrens Services	30/06/2022
22004333	Highways & Transport	29/06/2022
22004686	Adult Care Services	11/07/2022
22004801	Corporate & Other Services	12/07/2022
22005023	Housing	15/07/2022
22005882	Benefits & Tax	22/09/2022
22006278	Planning & Development	03/10/2022
22006303	Corporate & Other Services	11/08/2022
22006474	Adult Care Services	10/08/2022
22006775	Benefits & Tax	16/08/2022
22006959	Planning & Development	23/08/2022
22007063	Corporate & Other Services	24/08/2022
22007656	Housing	07/09/2022
22007902	Housing	10/11/2022
22007923	Corporate & Other Services	19/10/2022
22008242	Benefits & Tax	02/02/2023
22008406	Highways & Transport	26/10/2022
22008843	Environmental Services & Public Protection & Regulation	29/09/2022
22009152	Adult Care Services	04/10/2022
22009159	Housing	10/11/2022
22009211	Highways & Transport	06/10/2022
22009303	Housing	07/10/2022
22009304	Education & Childrens Services	20/10/2022
22009673	Planning & Development	13/10/2022
22009716	Adult Care Services	18/10/2022
22009840	Benefits & Tax	18/10/2022
22010535	Adult Care Services	01/11/2022

22010677	Adult Care Services	03/11/2022
22010766	Corporate & Other Services	03/11/2022
22012035	Highways & Transport	10/01/2023
22012429	Education & Childrens Services	09/12/2022
22012479	Planning & Development	13/12/2022
22012794	Benefits & Tax	16/12/2022
22013652	Adult Care Services	12/01/2023
22013771	Housing	16/01/2023
22013965	Benefits & Tax	18/01/2023
22014004	Planning & Development	16/01/2023
22014910	Housing	02/02/2023
22015798	Benefits & Tax	21/02/2023
22016424	Benefits & Tax	02/03/2023
22016488	Adult Care Services	03/03/2023
22016688	Environmental Services & Public Protection & Regulation	08/03/2023
22017136	Benefits & Tax	16/03/2023
22017525	Highways & Transport	23/03/2023
22017840	Housing	28/03/2023

Appendix 3 –

Copy of decided

Reference	Category	Decision	Decision reason	Remedy	Service Improvement Recommendations
21000188	Planning & Development	Upheld	fault no inj	Provide training and/or guidance	The Council will remind officers of the legal requirement to keep consultation responses on the planning file and that the Ombudsman considers it fault not to keep written records of site meetings.
21002888	Adult Care Services	Upheld	fault no inj		
21004995	Environmental Services & Public Protection & Regulation	Upheld	fault & inj	Provide training and/or guidance, Provide services/information to others affected, Provide information/advice to person affected, Apology	The Council agree to remind relevant staff in its planning, environmental health, community safety and complaints teams about the anti-social behaviour case review process and that they should direct complainants to the process where it might apply.
21006196	Education & Childrens Services	Closed after initial enquiries	Not warranted by alleged fault		
21006247	Adult Care Services	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Provide services to person affected, Procedure or policy change/review, Provide training and/or guidance	The Council will review its policy on direct payments to make sure the person is notified directly, in writing, of arrears on their direct payment account so that action can be taken. The Council will review its policy on auditing direct payment accounts to

					make sure accounts are properly audited at least annually (including telling the person in writing if they are in arrears), and to make sure the Council takes action itself about arrears rather than allowing them to build up. The Council will share this decision with appropriate managers and within appropriate team meetings so that the learning here is shared amongst staff.
21010557	Education & Childrens Services	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review	The Council will: advise social workers to mark the date the placement plan is given to foster carers. The Council will: introduce a target deadline of twelve weeks for when decisions about a foster carer's registration will be made.
21010602	Adult Care Services	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Provide training and/or guidance, Procedure or policy change/review	Reviews its procedures to ensure the Council makes reasonable adjustments for housing applicants with disabilities and complies with its duty under the Equality Act 2010. Ensures the care provider reviews its procedures to retrieve care records from a service user's property in the event they have passed away. By training or other means, ensures the care provider's staff

					are aware of its procedure in the event a service user cannot be contacted.
21011825	Adult Care Services	Upheld	fault no inj		
21012376	Environmental Services & Public Protection & Regulation	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Provide services to person affected	
21012428	Adult Care Services	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review	Within two months of my final decision, the Council will write to the Ombudsmen to explain what action it will take to ensure the care home has: - a robust process in place for managing the medication of residents to ensure all medications are properly recorded and administered. This should include a process of audit and monitoring to promptly identify any omissions; and - a clear policy and protocol for maintaining hygiene standards in the care home to prevent the spread of infection. This should include guidance for staff on laundering dirty clothes and ensuring residents are supported to maintain personal hygiene.

21013122	Adult Care Services	Upheld	fault & inj - no further action organisation already remedied		
21018000	Adult Care Services	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble	
22000084	Housing	Closed after initial enquiries	No worthwhile outcome achievable by investigation		
22000306	Planning & Development	Referred back for local resolution	Premature Decision - advice given		
22000371	Highways & Transport	Closed after initial enquiries	26(6)(a) tribunal Other		
22000602	Planning & Development	Closed after initial enquiries	Other reason not to investigate		
22000604	Environmental Services & Public Protection & Regulation	Referred back for local resolution	Premature Decision - advice given		
22000697	Adult Care Services	Closed after initial enquiries	Not warranted by alleged fault		
22000700	Environmental Services & Public Protection & Regulation	Closed after initial enquiries	Not warranted by alleged fault		
22001176	Corporate & Other Services	Closed after initial enquiries	Not warranted by alleged fault		
22001534	Environmental Services & Public Protection & Regulation	Referred back for local resolution	Premature Decision - referred to Organisation		
22001678	Education & Childrens Services	Referred back for local resolution	Premature Decision - advice given		
22001774	Education & Childrens Services	Closed after initial enquiries	Not warranted by alleged fault		

22002595	Adult Care Services	Closed after initial enquiries	No worthwhile outcome achievable by investigation		
22002829	Education & Childrens Services	Advice given	Signpost - go to complaint handling		
22003953	Planning & Development	Referred back for local resolution	Premature Decision - referred to Organisation		
22003960	Education & Childrens Services	Upheld	fault & inj	New appeal/review or reconsidered decision, Provide training and/or guidance	The Council agreed to remind all school admissions appeal clerking staff of the need to record the reasons for the panel's decisions at both stages of the appeal deliberations and explain the reasons for the decisions to parents and carers in the decision letter.
22004322	Education & Childrens Services	Upheld	fault & inj	Apology, Provide training and/or guidance	The Council will remind all school admission appeal clerking staff of the need to record the panel's reasons at both stages of the deliberations and explain them to parents/carers in the decision letter.
22004333	Highways & Transport	Closed after initial enquiries	Not warranted by alleged fault		
22004686	Adult Care Services	Closed after initial enquiries	Not warranted by alleged injustice		
22004801	Corporate & Other Services	Advice given	Previously considered and decided		

22005023	Housing	Upheld	fault & inj	Apology, Financial redress: Loss of service, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review	The Council agreed to discuss lessons from this complaint at a quarterly meeting where it reviews its adaptations service. This was to consider how it, and its partners, could further improve performance to ensure it met Government expectations on the timescales for DFG works to complete and to improve communications with landlords to prevent delays in obtaining landlord consent for works through lengthy exchanges of information. The Council will also complete the work of ensuring DFG applicants are kept informed of likely timescales at each stage of their journey through the process.
22005882	Benefits & Tax	Closed after initial enquiries	26B(2) not made in 12 months		
22006303	Corporate & Other Services	Upheld	Injustice remedied during LGO consideration	Financial redress: Avoidable distress/time and trouble	
22006474	Adult Care Services	Referred back for local resolution	Premature Decision - referred to Organisation		
22006775	Benefits & Tax	Referred back for local resolution	Premature Decision - advice given		
22006959	Planning & Development	Closed after initial enquiries	Not warranted by alleged fault		

22007063	Corporate & Other Services	Closed after initial enquiries	Sch 5.4 personnel		
22007656	Housing	Not Upheld	no fault		
22007902	Housing	Closed after initial enquiries	Not warranted by alleged fault		
22007923	Corporate & Other Services	Closed after initial enquiries	Not warranted by alleged fault		
22008242	Benefits & Tax	Closed after initial enquiries	26(6)(a) tribunal Other		
22008406	Highways & Transport	Closed after initial enquiries	Not warranted by alleged fault		
22008843	Environmental Services & Public Protection & Regulation	Closed after initial enquiries	Not warranted by alleged fault		
22009152	Adult Care Services	Upheld	fault & inj	Apology, Procedure or policy change/review	Ensures it asks complainants for payment details in good time to enable it to meet the agreed timescales for making payments recommended by the Ombudsman.
22009211	Highways & Transport	Closed after initial enquiries	Not warranted by alleged fault		
22009303	Housing	Referred back for local resolution	Premature Decision - advice given		
22009304	Education & Childrens Services	Referred back for local resolution	Premature Decision - advice given		
22009673	Planning & Development	Closed after initial enquiries	Not warranted by alleged fault		
22009840	Benefits & Tax	Referred back for local resolution	Premature Decision - advice given		
22010535	Adult Care Services	Closed after initial enquiries	26A Not a suitable person or representative		

22010677	Adult Care Services	Incomplete/Invalid	Insufficient information to proceed and PA advised		
22012035	Highways & Transport	Closed after initial enquiries	Not warranted by alleged fault		
22012429	Education & Childrens Services	Referred back for local resolution	Premature Decision - advice given		
22012479	Planning & Development	Advice given	Previously considered and decided		
22012794	Benefits & Tax	Referred back for local resolution	Premature Decision - advice given		
22013652	Adult Care Services	Closed after initial enquiries	26B(2) not made in 12 months		
22013771	Housing	Referred back for local resolution	Premature Decision - advice given		
22013965	Benefits & Tax	Closed after initial enquiries	26(6)(a) tribunal Other		
22014910	Housing	Referred back for local resolution	Premature Decision - advice given		
22015798	Benefits & Tax	Closed after initial enquiries	Not warranted by alleged fault		
22016424	Benefits & Tax	Upheld	Injustice remedied during organisations complaint processes		
22016488	Adult Care Services	Referred back for local resolution	Premature Decision - advice given		
22016688	Environmental Services & Public Protection & Regulation	Closed after initial enquiries	26(6)(c) Court remedy		
22017525	Highways & Transport	Referred back for local resolution	Premature Decision - advice given		

22017840	Housing	Advice given	Signpost - go to complaint handling		
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Appendix 4

Compliance

Reference	Category	Decided	Remedy	Remedy Target Date	Remedy Achieved Date	Satisfaction with Compliance
21000188	Planning & Development	06-Apr-22	Provide training and/or guidance	09-May-22	04-May-22	Remedy complete and satisfied
21005739	Education & Childrens Services	28-Mar-22	Apology	29-Apr-22	24-Apr-22	Remedy complete and satisfied
21006040	Planning & Development	25-Jan-22	Procedure or policy change/review	25-Apr-22	26-Jul-22	Remedy completed late
21006247	Adult Care Services	28-Jul-22	Apology Financial redress: Avoidable distress/time and trouble Provide services to person affected Procedure or policy change/review Provide training and/or guidance	25-Nov-22	20-Dec-22	Remedy completed late
21008796	Planning & Development	25-Jan-22	Apology Procedure or policy change/review	25-Apr-22	21-Aug-22	Remedy completed late
21010557	Education & Childrens Services	22-Jun-22	Apology Financial redress: Avoidable distress/time and trouble Procedure or policy change/review	28-Jul-22	30-Aug-22	Remedy complete and satisfied
21010602	Adult Care Services	29-May-22	Apology Financial redress: Avoidable distress/time and trouble Provide training and/or guidance Procedure or policy change/review	01-Aug-22	03-Oct-22	Remedy not complete and not satisfied
21011573	Planning & Development	24-Feb-22	Financial redress: Avoidable distress/time and trouble	23-Apr-22	04-Apr-22	Remedy complete and satisfied
21012225	Planning & Development	28-Mar-22	Apology Procedure or policy change/review	29-Jun-22	25-Aug-22	Remedy completed late

21012376	Environmental Services & Public Protection & Regulation	06-Sep-22	Apology Financial redress: Avoidable distress/time and trouble Provide services to person affected	07-Oct-22	27-Oct-22	Remedy completed late
21012428	Adult Care Services	31-Oct-22	Apology Financial redress: Avoidable distress/time and trouble Procedure or policy change/review	30-Dec-22	03-Jan-23	Remedy completed late
21018000	Adult Care Services	29-Aug-22	Apology Financial redress: Avoidable distress/time and trouble	30-Sep-22	04-Nov-22	Remedy completed late
22003960	Education & Childrens Services	28-Nov-22	New appeal/review or reconsidered decision Provide training and/or guidance	28-Dec-22	16-Dec-22	Remedy complete and satisfied
22004322	Education & Childrens Services	28-Nov-22	Apology Provide training and/or guidance	28-Dec-22	19-Dec-22	Remedy complete and satisfied
22006303	Corporate & Other Services	02-Oct-22	Financial redress: Avoidable distress/time and trouble	10-Nov-22	11-Nov-22	Remedy not complete but satisfied
22009152	Adult Care Services	10-Nov-22	Apology Procedure or policy change/review	12-Dec-22	09-Dec-22	Remedy complete and satisfied

Appendix 5 Financial remedies

LGSCO – Financial Remedies 2022/23

Case ID	Category	Amount	Comments
21008247	Adult Care Services	£600	£400 for distress caused by failure to advise of arrears on Direct Payment account and allowing them to accrue, £200 for time and trouble in pursuing complaint.
21010557	Education & Childrens Services	£750	Payment for avoidable distress, hurt feelings and uncertainty caused by the faults identified.
21010602	Adult Care Services	£250	Payment for distress and uncertainty caused by the care provider's failure to follow its procedure when it could not contact service user and time and trouble she was put to in assisting with his housing application due to lack of reasonable adjustments.
21011573	Planning & Development	£200	Payment in recognition of time and trouble in pursuing complaint re: delays to / lack of planning enforcement investigation. (NB: Case appears on Compliance tab, but complaint was included in figures for 2021/22)
21012376	Environmental Services & Public Protection & Regulation	£150	Payment for uncertainty caused by failure to maintain hedge in 2020 and to communicate this, incorrect information re: maintenance liability and lack of response to claim of damage
21012428	Adult Care Services	£100	Payment for distress caused by care home's faults (failure to include medication on list and to launder clothes appropriately)
21018000	Adult Care Services	£350	£150 for delays to complaints process (offered by Council at Stage 2), £200 for stress caused by debt being referred to Debt Recovery Agency in error.
22005023	Housing	£1,500	£1,200 for distress and difficulties for 8 months while waiting for DFG to be completed, £300 for distress and raised expectations due to wrong advice in August 2021 re: timescales, difficulties contacting Council in June 2022 and worry for father's welfare due to delays (NB: Complaint included on Decided tab, but compliance will be included in 2023/24 figures)
22008303	Corporate & Other Services	£100	Payment for delays to complaints procedure and lack of clarity re: which stage of the process applied.