

Committee:	Executive	Agenda Item No.:	7.
Date:	10th August 2009	Status	Open
Category	3. Part of the Budget and Policy Framework		
Subject:	Annual Review from the Local Government Ombudsman		
Report by:	Customer Service and Access Officer		
Other Officers Involved	Support Officer (Customer Service)		
Director	Chief Executive Officer		
Relevant Portfolio Holder	Customer Focused Service		

RELEVANT CORPORATE AIMS

CUSTOMER FOCUSED SERVICES – Providing excellent customer focused services

STRATEGIC ORGANISATIONAL DEVELOPMENT – Continually improving our organisation.

The effective management of complaints is central to good customer service. It also provides a good source of information which the Council can use to improve services.

TARGETS

Local Performance Indicators CSP3, CSP4 and CSP5 for number of complaints and response times

VALUE FOR MONEY

N/A

THE REPORT

Purpose

To provide information contained within the Annual Review 2008/09 from the Local Government Ombudsman (LGO).

The Annual Review provides a summary of the complaints that the LGO received for Bolsover District Council over the last financial year. It also contains a covering letter and a statistical breakdown of the complaints together with an explanatory note. You will notice that the Ombudsman has also changed the way they report the information, distinguishing between the LGO Advice Team (enquiries and complaints) and Investigative Team (decisions). These documents have been appended for your information.

Key points from the Annual Review:

- The LGO received 13 enquiries and complaints during 2008/09, of which 7 were forwarded to the Investigative Team. The spread of complaints by subject is fairly evenly divided between Housing and Other, there were no Planning complaints.
- Our average response time to first enquiries was 24.7 days, a significant improvement to the 2007/08 figure of 34.8 days and well within the LGO's target of 28 days.
- The LGO has noted that the Council's prompt response to enquiries is important in helping them provide a quality service to complainants.
- The LGO decided 12 complaints, 5 were found to have insufficient evidence of maladministration, 4 were discontinued, 2 were outside jurisdiction and 1 resulted in a local settlement.

ISSUES/OPTIONS FOR CONSIDERATION

The contents of the Ombudsman's letter and the Council's performance

IMPLICATIONS

Financial: - None

Legal: - None

Human Resources: None

RECOMMENDATION(S)

That Executive receive the report and the LGO Annual Review 2008/09

REASON FOR DECISION TO BE GIVEN IN ACCORDANCE WITH THE CONSTITUTION

To keep Members informed of Ombudsman complaints

ATTACHMENTS: - Annual Review 2008/09 dated June 2009

FILE REFERENCE:

SOURCE DOCUMENT:

16 June 2009

Mr W Lumley
Chief Executive Officer
Bolsover District Council
Sherwood Lodge
Bolsover
CHESTERFIELD S44 6NF

Our Ref: Annual Letter/AS/sw
(Please quote our reference when contacting us)

Dear Mr Lumley

Annual Review 2008/09

I enclose an annual review summarising the complaints about your Council that my office has dealt with over the past year. I hope you find the review a useful addition to other information you have on how people experience or perceive your services.

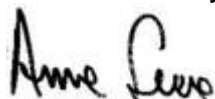
The review is split into two sections. The first is about complaints about your Council and the second provides a general update on LGO developments. This includes our proposal to introduce 'statements of reasons' for Ombudsmen decisions. I would welcome your views on this.

All the annual reviews will be published on our website (www.lgo.org.uk) and shared with the Audit Commission four weeks after this letter. If you feel there is any material factual inaccuracy in the review please let me know so that I can consider and, if necessary, reissue the review. A summary of statistics for all authorities will also be published on our website.

If it would be helpful, I or a senior colleague would be willing to present and discuss the annual review with councillors or staff.

A copy of this letter and the review is being sent to you electronically. I should be grateful if you could put the annual review on your Council's website. You do not need to include this covering letter on your website.

Yours sincerely



Anne Seex
Local Government Ombudsman

**The Local Government Ombudsman's
Annual Review
Bolsover District Council
for the year ended
31 March 2009**

The Local Government Ombudsman (LGO) provides a free, independent and impartial service. We consider complaints about the administrative actions of councils and some other authorities. We cannot question what a council has done simply because someone does not agree with it. If we find something has gone wrong, such as poor service, service failure, delay or bad advice, and that a person has suffered as a result, the Ombudsmen aim to get it put right by recommending a suitable remedy. The LGO also uses the findings from investigation work to help authorities provide better public services through initiatives such as special reports, training and annual reviews.

Contents of Annual Review

<u>Section 1: Complaints about Bolsover District Council 2008/09</u>	7
<u>Introduction</u>	7
<u>Enquiries and complaints received</u>	7
<u>Complaint outcomes</u>	7
<u>Liaison with the Local Government Ombudsman</u>	8
<u>Training in complaint handling</u>	8
<u>Conclusions</u>	8
<u>Section 2: LGO developments</u>	9
<u>Introduction</u>	9
<u>Council First</u>	9
<u>Statement of reasons: consultation</u>	9
<u>Making Experiences Count (MEC)</u>	9
<u>Training in complaint handling</u>	9
<u>Adult Social Care Self-funding</u>	9
<u>Internal schools management</u>	9
<u>Further developments</u>	9
<u>Appendix 1: Notes to assist interpretation of the statistics 2008/09</u>	11
<u>Appendix 2: Local authority report 2008/09</u>	

Section 1: Complaints about Bolsover District Council 2008/09

Introduction

This annual review provides a summary of the complaints we have dealt with about Bolsover District Council.

I hope that the review will be a useful addition to other information your authority holds on how people experience or perceive your services.

Two appendices form an integral part of this review: statistical data for 2008/09 and a note to help the interpretation of the statistics.

Changes to our way of working and statistics

A change in the way we operate means that the statistics about complaints received in 2008/09 are not directly comparable with those from 2007/08. Since 1 April 2008 the new LGO Advice Team has been the single point of contact for all enquiries and new complaints. The number of telephone calls to our service has increased significantly since then to more than 3,000 a month. Our advisers now provide comprehensive information and advice to people who telephone, write or e-mail. It enables citizens to make informed decisions about whether to put their complaint to us.

This means that direct comparisons with some previous year-statistics are difficult and could be misleading. So this annual review focuses mainly on the 2008/09 statistics without drawing those comparisons.

Enquiries and complaints received

A total of 13 enquiries and complaints were made about your Council in 2008/09. These were evenly divided between Housing and Other. Seven complaints were received by the investigation team, four about housing and three about other issues. Although direct comparisons cannot be made with previous years because of the changes in how we record contacts, it is interesting that there were no enquiries or complaints about Planning and Building Control, in contrast to previously.

Complaint outcomes

Local settlements

We will often discontinue enquiries into a complaint when a council takes or agrees to take action that we consider to be a satisfactory response – we call these local settlements. In 2008/09, 27.4% of all complaints the Ombudsmen decided and which were within our jurisdiction were local settlements. Of the complaints we decided on the same basis against your authority, only one led to a local settlement (10% of the total).

The local settlement was for a waste management complaint. The complainants' bin was stolen. The Council refused to replace it and said they had to buy a new bin without serving the proper notice, which denied them their right of appeal. No rubbish was collected for six months because of the dispute. During the investigation it became clear that the Council could not locate its policy. The Council told my office that it had no

discretion to act outside the policy it could not find. To resolve the complaint, the Council provided a new bin and paid £75 for time and trouble in pursuing the matter. It also agreed to locate the policy and publish it on its website. If it could not be located, then it would adopt and publish one urgently.

Liaison with the Local Government Ombudsman

We made three first enquiries to your Council during 2008/09 and the average response time was 24.7 days. This is within the target of 28 days and a significant improvement on the time taken in the previous two years (34.8 days and 34.1 days respectively). The Council's prompt responses to enquiries are important in helping us to provide a quality service to complainants.

Training in complaint handling

Part of our role is to provide advice and guidance about good administrative practice. We offer training courses for all levels of local authority staff in complaints handling and investigation. All courses are presented by experienced investigators. They give participants the opportunity to practise the skills needed to deal with complaints positively and efficiently. We can also provide customised courses to help authorities to deal with particular issues and occasional open courses for individuals from different authorities.

I have enclosed some information on the full range of courses available together with contact details for enquiries and bookings.

Conclusions

I welcome this opportunity to give you my reflections about the complaints my office has dealt with over the past year. I hope that you find the information and assessment provided useful when seeking improvements to your Council's services.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2009

Section 2: LGO developments

Introduction

This annual review also provides an opportunity to bring councils up to date on developments – current and proposed – in the LGO and to seek feedback. It includes our proposal to introduce a ‘statement of reasons’ for Ombudsmen decisions.

Council First

From 1 April 2009, the LGO has considered complaints only where the council’s own complaints procedure has been completed. Local authorities have been informed of these new arrangements, including some notable exceptions. We will carefully monitor the impact of this change during the course of the year.

Statement of reasons: consultation

The Local Government and Public Involvement in Health Act 2007 made provision for the LGO to publish statements of reasons relating to the individual decisions of an Ombudsman following the investigation of a complaint. The Ombudsmen are now consulting local government on their proposal to use statements of reasons. The proposal is that these will comprise a short summary (about one page of A4) of the complaint, the investigation, the findings and the recommended remedy. The statement, naming the council but not the complainant, would usually be published on our website.

We plan to consult local authorities on the detail of these statements with a view to implementing them from October 2009.

Making Experiences Count (MEC)

The new formal, one stage complaint handling arrangement for adult social care was also introduced from 1 April 2009. The LGO is looking to ensure that this formal stage is observed by complainants before the Ombudsmen will consider any such complaint, although some may be treated as exceptions under the Council First approach. The LGO also recognises that during the transition from the existing scheme to the new scheme there is going to be a mixed approach to considering complaints as some may have originated before 1 April 2009. The LGO will endeavour to provide support, as necessary, through dedicated events for complaints-handling staff in adult social care departments.

Training in complaint handling

Effective Complaint Handling in Adult Social Care is the latest addition to our range of training courses for local authority staff. This adds to the generic Good Complaint Handling (identifying and processing complaints) and Effective Complaint Handling (investigation and resolution), and courses for social care staff at both of these levels. Demand for our training in complaint handling remains high. A total of 129 courses were delivered in 2008/09. Feedback from participants shows that they find it stimulating, challenging and beneficial in their work in dealing with complaints.

Adult Social Care Self-funding

The Health Bill 2009 proposes for the LGO to extend its jurisdiction to cover an independent complaints-handling role in respect of self-funded adult social care. The new service will commence in 2010.

Internal schools management

The Apprenticeship, Skills, Children and Learning Bill (ASCL) 2009 proposes making the LGO the host for a new independent complaints-handling function for schools. In essence, we would consider the complaint after the governing body of the school had considered it. Subject to legislation, the new service would be introduced, in pilot form, probably in September 2010.

Further developments

I hope this information gives you an insight into the major changes happening within the LGO, many of which will have a direct impact on your local authority. We will keep you up to date through LGO Link as each development progresses but if there is anything you wish to discuss in the meantime please let me know.

**Mrs A Seex
Local Government Ombudsman
Beverley House
17 Shipton Road
YORK
YO30 5FZ**

June 2009

Appendix 1: Notes to assist interpretation of the statistics 2008/09

Introduction

This year, the annual review only shows 2008/09 figures for enquiries and complaints received, and for decisions taken. This is because the change in the way we operate (explained in the introduction to the review) means that these statistics are not directly comparable with statistics from previous years.

Table 1. LGO Advice Team: Enquiries and complaints received

This information shows the number of enquiries and complaints received by the LGO, broken down by service area and in total. It also shows how these were dealt with, as follows.

Formal/informal prematures: The LGO does not normally consider a complaint unless a council has first had an opportunity to deal with that complaint itself. So if someone complains to the LGO without having taken the matter up with a council, the LGO will usually refer it back to the council as a 'premature complaint' to see if the council can itself resolve the matter. These are 'formal premature complaints'. We now also include 'informal' premature complaints here, where advice is given to the complainant making an enquiry that their complaint is premature. The total of premature complaints shown in this line *does not include* the number of resubmitted premature complaints (see below).

Advice given: These are enquiries where the LGO Advice Team has given advice on why the Ombudsman would not be able to consider the complaint, other than the complaint being premature. For example, the complaint may clearly be outside the Ombudsman's jurisdiction. It also includes cases where the complainant has not given enough information for clear advice to be given, but they have, in any case, decided not to pursue the complaint.

Forwarded to the investigative team (resubmitted prematures): These are cases where there was either a formal premature decision, or the complainant was given informal advice that their case was premature, and the complainant has resubmitted their complaint to the Ombudsman after it has been put to the council. *These figures need to be added to the numbers for formal/informal premature complaints (see above) to get the full total number of premature complaints. They also needed to be added to the 'forwarded to the investigative team (new)' to get the total number of forwarded complaints.*

Forwarded to the investigative team (new): These are the complaints that have been forwarded from the LGO Advice Team to the Investigative Team for further consideration. The figures may include some complaints that the Investigative Team has received but where we have not yet contacted the council.

Table 2. Investigative Team: Decisions

This information records the number of decisions made by the LGO Investigative Team, broken down by outcome, within the period given. **This number will not be the same as the number of complaints forwarded from the LGO Advice Team** because some complaints decided in 2008/09 will already have been in hand at the beginning of the year, and some forwarded to the Investigative Team during 2008/09 will still be in hand at the end of the year. Below we set out a key explaining the outcome categories.

MI reps: where the LGO has concluded an investigation and issued a formal report finding maladministration causing injustice.

LS (local settlements): decisions by letter discontinuing our investigation because action has been agreed by the authority and accepted by the Ombudsman as a satisfactory outcome for the complainant.

M reps: where the LGO has concluded an investigation and issued a formal report finding maladministration but causing no injustice to the complainant.

NM reps: where the LGO has concluded an investigation and issued a formal report finding no maladministration by the council.

No mal: decisions by letter discontinuing an investigation because we have found no, or insufficient, evidence of maladministration.

Omb disc: decisions by letter discontinuing an investigation in which we have exercised the Ombudsman's general discretion not to pursue the complaint. This can be for a variety of reasons, but the most common is that we have found no or insufficient injustice to warrant pursuing the matter further.

Outside jurisdiction: these are cases which were outside the Ombudsman's jurisdiction.

Table 3. Response times

These figures record the average time the council takes to respond to our first enquiries on a complaint. We measure this in calendar days from the date we send our letter/fax/email to the date that we receive a substantive response from the council. The council's figures may differ somewhat, since they are likely to be recorded from the date the council receives our letter until the despatch of its response.

Table 4. Average local authority response times 2008/09

This table gives comparative figures for average response times by authorities in England, by type of authority, within three time bands.