



# **City of York Council Annual Complaints Report April 2022 – March 2023**

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## 1 Introduction

Complaints and Feedback are managed for all council areas through the Corporate Governance Team (CGT) to ensure that comments, complaints, concerns, and compliments are dealt with in an independent and consistent way across the council.

Complaints about adult and children's social care services are dealt with under two separate pieces of legislation:

- The Children Act 1989 Representations Procedure (England) Regulations 2006
- The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009

Complaints about other council services are dealt with under the council's 4cs procedure for Complaints, Concerns, Comments and Compliments. This procedure was designed using the guidance and good practice specified in the statutory procedures and by the Local Government and Social Care Ombudsman (LGSCO) and Housing Ombudsman Service (HOS).

It is essential that all teams delivering services (including the contractors or providers of services on our behalf) formally capture and record complaints. It is only by doing so that complaints can be tracked and where things have gone wrong, managers can ensure that matters are put right. Senior managers and the CGT therefore regularly encourage teams to recognise complaints and report these to the CGT.

Staff continue to work based mainly from home, with some office working, including for team, and training sessions. Staff however continue to be available to attend appropriate venues as needed to complete their work. It is considered these arrangements have a positive impact on service provision, with staff having the flexibility to speak to customers, key staff, and managers, at a time and in a manner convenient to them and appropriate for the circumstances of the contact.

It has given team members and senior managers the ability to work more closely to respond to and resolve complaints, with the CGT providing advice to managers about appropriate remedies and responses for managers to then consider and agree or amend.

This has resulted in the ability to provide responses to the complainants' satisfaction more quickly and to provide thorough responses and explanations to explain the council's actions regardless of whether the complaint is upheld or not.

## 2 Ombudsman Investigations and Annual Review Letter

The Local Government and Social Care Ombudsman (LGSCO) is the council's regulator and following the conclusion of the relevant complaints' procedure, can investigate complaints about council services.

The exception to this is that the Housing Ombudsman Service (HOS) is the regulator for most housing related services and the Information Commissioner's Office (ICO) is the regulator for all information governance complaints, including complaints about data breaches, and responses to requests under the Data Protection Act, General Data Protection Regulation, Freedom of Information Act and Environmental Information Regulations.

### The Local Government and Social Care Ombudsman

The LGSCO provides an annual review letter about the council covering April to March each year. This includes tables presenting the number of complaints and enquiries received about the council and the decisions the LGSCO has made during the reporting period. This is to help us assess our performance in handling complaints. It includes the number of cases where the LGSCO's recommendations remedied the fault and the number of cases where they decided we had had offered a satisfactory remedy during our local complaints process. In these latter cases the LGSCO provides reassurance that we had satisfactorily attempted to resolve the complaint before the person went to them.

The LGSCO received 64 cases about the council in April 2022 to March 2023 with 74 cases being concluded within time. (This includes cases which may have been received but not concluded in the previous reporting period). Of the 74 cases, 22 were considered as a detailed investigation and of these 19 were upheld.

LGSCO decided cases	2021 - 2022		2022 - 2023	
	How many?	% Rounded down to whole number	How many?	% Rounded down to whole number
Closed after initial enquiries	29	40%	38	51%
Referred for local resolution	14	19%	6	8%
Advice given	4	5%	7	9%
Incomplete/invalid	2	2%	1	1%
Not upheld – detailed investigations	3	4%	3	4%
Upheld – detailed investigations	19	26%	19	25%
<b>Total</b>	<b>71</b>		<b>74</b>	

## The LGSCO's 19 upheld decisions had the following remedies

Remedy	Number
Apology	2
Apology, Financial redress: Avoidable distress/time and trouble	3
Apology, Financial redress: Avoidable distress/time and trouble, Financial redress: Loss of service, Provide training and/or guidance	1
Apology, Financial redress: Avoidable distress/time and trouble, Financial Redress: Quantifiable Loss, Provide training and/or guidance, Procedure or policy change/review	1
Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review	1
Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review, Provide training and/or guidance	1
Apology, Financial redress: Avoidable distress/time and trouble, Provide training and/or guidance, New appeal/review or reconsidered decision	1
Apology, Financial redress: Loss of service	1
Financial redress: Avoidable distress/time and trouble, Financial Redress: Quantifiable Loss, Financial redress: Loss of service	1
Financial redress: Avoidable distress/time and trouble, Reassessment	1
Financial Redress: Quantifiable Loss, Financial redress: Avoidable distress/time and trouble, Apology, Provide training and/or guidance, Provide services/information to others affected	1
Improved BinJ remedy	1
New appeal/review or reconsidered decision	1
No further action organisation already remedied	1
Injustice remedied during organisations complaint processes	1
No remedy as fault no injustice found	1
<b>Total</b>	<b>19</b>

The details of the 19 upheld cases are shown at Annex 1 at the end of this report. The points of particular importance in the Ombudsman's annual letter and published performance from this year are:

- 86% of all detailed investigation were upheld. This compares to an average of 72% in similar authorities. However, when considered from all decided cases it is 26% were upheld
- In 100% of cases the Ombudsman were satisfied that the authority has successfully implemented their recommendations. This compares to an average of 99% in similar authorities.
- In 11% of upheld cases the Ombudsman found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman. This compares to an average of 13% in similar authorities. In practice this means that although the Ombudsman found there had been fault, the authority had already acknowledged this and provided an appropriate remedy. The aim of the complaints team is to identify and offer appropriate remedies where fault has occurred.

Further details from the LGSCO’s annual report with the breakdown of cases dealt with and the outcomes found for this reporting period are included at annex 1.

### Housing Ombudsman Service Decided Cases

- There were 4 cases determined by the HOS.
- There were 6 different subject areas of complaint (A case can have more than one category).
- The findings were:

	Anti-Social Behaviour	Complaints Handling	Moving to a Property	Property Condition	Total	%
Service Failure	0	1	0	1	2	33%
No Mal - administration	2	1	1	0	4	67%
<b>Total</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>6</b>	

- 2 Orders for compensation were made with 100% compliance of the Orders. The details of these were:
  - £150.00 relating to property condition
  - £50.00 relating complaint handling failures

Further details from the HOS annual report with the breakdown of cases they dealt with, and the outcomes found for this reporting period can be found at:

<https://www.housing-ombudsman.org.uk/wp-content/uploads/2023/10/Landlord-Report-City-of-York-Council.pdf>

### **3 What is a Complaint?**

A complaint is an expression of dissatisfaction however made, about the actions, decisions, or apparent failings of a local authority's social services provision, and/or the level or nature of a council service or policy, which requires a response. If it is possible to resolve the complaint immediately this does not need to be logged through the complaint procedure.

A complaint is not a request for a service that is made for the first time. For example, if a customer complains that a streetlight is not working, we will treat it as a service request that we aim to fulfil by repairing it within the service level agreement. If we then fail to repair it within that timescale, and the customer is still unhappy, it should then be defined and treated as a complaint

### **4 Effectiveness of the Procedures**

The CGT offer and proactively encourage all staff and managers to participate in regular training and awareness raising, about the complaints and feedback procedures.

In addition to this, guidance is provided to assist managers in children's and adult services with completing thorough investigations and comprehensive responses including on a case-by-case basis. We have continued to work with the providers of our independent investigators, who have knowledge and experience of complaints across several authorities to ensure our practice and guidance is effective and appropriate to fulfil our obligations and ensure best practice in complaints handling.

During this reporting period the Corporate Governance Team trialled an approach of undertaking the responsibility for completing the investigating officer role for children's social care complaints, with an independent person where required. This approach was trialled in 3 cases, but unfortunately has not been effective. It has been concluded that the team do not have the capacity to complete individual investigations and reports, alongside their usual duties and we would like to take this opportunity to apologise to the service area and complainants who have experienced delays because of this trial. These cases are shown as ongoing, because although there have been significant delays, work has continued on the investigations where possible and all 3 have now been referred to the independent investigation agency for completion.

When managers in adult and children's services provide a response to a complaint, they are asked to record what will be done to resolve it, what lessons have been learnt and what action will be taken to improve services and avoid



problems being repeated, which is also in place for corporate complaints. The CGT proactively monitor the completion of both action plans and lessons learned. A summary of the information received regarding the lessons learnt and action taken is included in this report at sections 23, 39 and 48.

## **5 Themes**

The main themes this year continue to include the quality and timeliness of communication. Several complaints are logged as Lack of Action, where information had not been provided, or calls and requests for contact have not been returned.

It is noted there has been a significant number of Ombudsman recommendations including time and trouble payments and reminders about complaints handling and the need to offer appropriate resolution to complaints. Time and trouble payments are usually because of the complaints not being resolved during the internal investigation process. The CGT is working with managers across all service areas, to ensure they understand the importance of offering appropriate remedies at all stages of complaints handling and that they respond to complaints they are dealing with and provide full and clear information to others investigating complaints in a timely way.

## **6 Cost of delivering the complaints procedure including the corporate procedure and total payments:**

There are ongoing costs attached to delivering an efficient and effective complaints service. These costs should be seen against the inherent costs of not providing this service. These may include customer dissatisfaction escalating, an increase in number of and amount awarded as financial remedies being recommended by the LGSCO, increased judicial reviews and non-compliance with legislation.

The total actual spends for the full service including the Information Governance provision, salary and on-costs was £409,775.95.

The financial remedies payments made as part of the three different complaints procedures are provided at sections 21, 36 and 49 later of this report.

The council must provide investigating officers and independent people for social care complaints where required and the costs for this in this reporting period was £28,872.96 compared to £34622 last year and £60424 in the year before. This includes the core costs for the service provision. It is noted this is significantly lower than the previous year. It is considered this is due to the work to improve the quality and timeliness of responses in children's services in the previous year.

However, the numbers, types and complexity of investigations fluctuates from year to year, and this is likely to increase in future years, due to difference in numbers and types etc of complaints being received.

The CGT however continue to work with the agency and managers to understand and manage these costs without impacting on the thoroughness or independence of the investigation. This has includes ensuring the efficiency around provision of information and arrangements for interviews with staff.

The total costs of payments made to individuals to remedy complaints are below and full details are shown in the later sections

Childrens Social Care complaints	£600.00
Adult Social Care complaints	£17,669.68
Corporate Complaints	£8,808.30
<b>TOTAL</b>	<b>£27,077.98</b>

# Annual Children’s Social Care Complaints and Representations Report April 2022 – March 2023

## 7 Context

The following information relates to complaints made during the twelve months between 1st April 2022 and 31st March 2023 for children under the Children Act 1989 Representations Procedure (England) Regulations 2006.

We are pleased there has been a decrease in the number of complaints which were responded to late and that there are no cases of complaints not receiving a response, although we are aware of 3 cases where the response remains ongoing and is over time.

The CGT continues to work with managers to ensure the below messages continue to be understood

- the importance of responding appropriately to concerns,
- improving customer experience
- reducing the need for avoidable complaints
- ensuring complaints are dealt with fully, without the need for them to be escalated to a higher stage unnecessarily

All timescales contained within this report are for working days.

In addition, the numbers of compliments are also recorded, and these are:

### Compliments received

15/16	16/17	17/18	18/19	19/20	20/21	21/22	22/23
23	6	17	22	22	59	21	35

The CGT are aware that many more compliments are received and actively work to encourage staff and teams to forward these to ensure they are recorded. This is to ensure we can provide an accurate picture of our customers’ experiences of the services they receive.

The compliments received include:

- Thanks for help with family at school and keeping school informed
- Thanks to social worker (SW) it was lovely meeting you, we appreciate your support massively
- Thanks to SW for replying to messages swiftly, been excellent in sharing relevant information and communication
- SW has been absolutely wonderful working alongside. They have been incredibly proactive

- SW has a good working relationship with foster carer. Listens and sees both sides
- Proactive in every aspect of working with the young person
- Exceptional, proactive, pleasant, supportive always available, makes time to get to know child
- Thank you for how helpful and reassuring you were and supportive
- Thanks for excellent work SW is perfect, amazing, supportive, the best
- Best social worker I have ever had. so supportive and has worked endlessly to find the best solutions for me and my family
- Parent changed their view due to the trusting relationship with SW working in open and honest way
- Kept us up to date and would involve us as parents. Supportive, understanding, considerate maintaining professionalism and empathy
- Thank you to social worker who is reliable and the best worker they have had so far.
- Thank you for being really honest and upfront about concerns
- Thank you It was really useful to talk to somebody face to face and leave with a plan
- Thank you for making an unpleasant experience a very happy positive one
- SW communication excellent, professional, prompt easy to contact
- Thank you to Hamilton House for all your hard work and excellent communication
- Work of SW invaluable - having someone who can co-ordinate support is a lifeline

The legislation makes it clear that people should be able to provide feedback and have this responded to, without this being seen as a complaint. Therefore concerns, comments and requests are also logged.

The number of concerns, comments and requests received in this period were:

### **Numbers of Concerns, Comments and Requests**

<b>15/16</b>	<b>16/17</b>	<b>17/18</b>	<b>18/19</b>	<b>19/20</b>	<b>20/21</b>	<b>21/22</b>	<b>22/23</b>
14	11	26	20	33	29	19	7

A concern is logged when someone wants to tell us about a problem, without wanting this to be considered as a complaint.

A comment or request is logged when someone suggests, or request. This is then passed to the appropriate person to respond to the issues being raised. If a person remains dissatisfied after receiving a response, this would then be logged as a complaint.

## **8 Who can make a Complaint?**

- Any child or young person (or a parent, or someone who has parental responsibility) who is being looked after by the local authority or is not looked after by them but is in need.
- Any local authority foster carer (including those caring for children placed through independent fostering agencies).
- Children leaving care
- Special Guardians
- A child or young person (or parent) to whom a Special Guardian order is in place.
- Any person who has applied for an assessment under section 14F (3) or (4).
- Any child or young person who may be adopted, their parents and guardians.
- Persons wishing to adopt a child.
- Any other person whom arrangements for the provision of adoption services extend.
- Adopted persons, their parents, natural parents and former guardians and such other person as the local authority consider has sufficient interest in the child or young person's welfare to warrant their representations being considered by them.

Where a complaint is received from a representative on behalf of a child or young person, we will, where appropriate, confirm that the child or young person is happy for this to happen, and that the complaint received reflects their views.

The CGOM in consultation with relevant operational managers will decide whether the person is suitable to act in this capacity and has sufficient interest in the child's welfare. If it is decided that a person is not suitable to act as a representative for a child, they will be informed of the decision in writing by the CGOM. The complaint will then fall outside the statutory procedure. They will however be able to complain through the 4Cs corporate complaints procedure.

Complaints may also be made by adults relating to a child or young person but are not being made on their behalf. The CGOM in consultation with operational managers will decide whether the person has sufficient interest in the child's welfare for the complaint to be considered. The child may also be consulted as part of the decision-making process.

## **9 Grading of Complaints**

Complaints are graded following an assessment of issues including severity, complexity, risk to the customer and other customers, risk to the authority, history of similar complaints and likelihood of future similar complaints. Other

considerations include, the outcomes wanted to resolve the complaint, who is best placed to consider and effectively respond to the complaint and the complainant's views of how the complaint should be dealt with.

### **Stage One.**

Is dealt with by line managers of the service area the complaint concerns, this includes where the service is being provided on behalf of the council by an external contractor. The expectation is that the managers will have the knowledge and understanding of the issues and delegated responsibility to be able to resolve complaints at this stage quickly, without the need for an in-depth formal investigation.

The legislation requires complaints at stage one to be responded to within 10 working days. This can be extended for a further 10 working days in some circumstances, for example where further time is needed to arrange an advocate, or where staff may be away from work. This can only be extended with the agreement of the complainant.

### **Stage Two.**

This stage is implemented where the complainant is dissatisfied with the findings of stage one, or where it is assessed as being appropriate to be considered and responded to at this stage, due to issues including the severity, complexity, or risk. Stage two requires an investigation conducted by either an internal manager who has not had any previous involvement in the complaint and has no line management responsibility for the area being complained about, or an external investigating officer. The Director of Children's Safeguarding adjudicates on the findings of the investigation.

The council must offer an advocate to assist children and young people in making a complaint and appoint an Independent Person to oversee the investigation process at this stage. Stage two complaints falling within the social services statutory complaints procedures should be dealt with in 25 days, although in certain cases this can be extended to 65 days.

### **Stage Three.**

The third stage of the complaints process is the review panel. Where complainants wish to proceed with complaints about statutory social service functions, the council is required to establish a complaints review panel. The panel makes recommendations to the Corporate Director of Children and Education, who then decides and provides a written response on the complaint and any action to be taken.

Complaints review panels must be made up of 3 independent panellists. There are various timescales relating to stage three complaints. These are:

- setting up the panel within 30 working days.
- producing the panel's report within 5 working days of the panel; and
- producing the local authority's response within 15 days following receipt of the report.

A further option for complainants is the LGSCO who is empowered to investigate where it appears that a council's own investigations have not resolved the complaint. Complainants can refer their complaint to the LGSCO at any time, although the Ombudsman normally refers the complaint back to the council, unless the council has been given sufficient opportunity to consider and respond to the complaint.

## **10 Activity**

The CGT recorded 46 complaints under the children's social care procedure during the year, compared with a total of 42 last year.

An additional 10 complaints were received through the 4Cs corporate complaints procedure, compared to 4 in the previous year.

## **11 Total complaints made:**

Of the 46 complaints dealt with:

- 36 were investigated at stage one of the social care procedures,
- 7 complaints in total heard at stage two with 6 of these being moved straight to stage 2, due to their complexity and or severity and 1 progressing from stage one.
- 3 complaints were raised at stage 3.

## **12 Comparison with the preceding year**

The numbers of complaints being received are small and typically fluctuate each year and this is typical of social care complaints received across Yorkshire and Humberside. The figures show a decrease of 24% for this reporting period. The reasons for this are noted in the following information.

### 13 Outcomes of Complaints – total

	2018-2019	2019 - 2020	2020 - 2021	2021-2022	2022-2023
Upheld	6	19	8	3	7
Partly upheld	19	27	17	11	15
Not upheld	14	12	16	12	17
Not proved	0	2	0	0	0
Not pursued	5	14	9	5	4
No response	-	16	2	9	0
Ongoing	0	1	3	2	3
<b>Total</b>	<b>44</b>	<b>91</b>	<b>55</b>	<b>42</b>	<b>46</b>

### 14 Response Times

A key requirement of complaints procedures is to ensure that individuals are informed of the outcome of their complaints, in an appropriate time frame.

The timescales in working days for children’s social care complaints as set out in the regulation are:

- 10 days at Stage 1 (with a further 10 days for more complex complaints or additional time if an advocate is required).
- 25 days at Stage 2 (with maximum extension to 65 days).
- 20 days for the complainant to request a Review Panel.
- 30 days to convene and hold the Review Panel at Stage 3.
- 5 days for the Panel to issue its findings: and
- 15 days for the local authority to respond to the findings.

### Details of Complaints by stage

### 15 Stage One Complaints

There were 36 stage one complaints compared to 31 last year.

We are pleased to note that as expected the numbers during this reporting period have remained similar to those in the previous year.

Although it is not considered receiving larger numbers of complaints is always a negative, because this can show that the procedure is accessible, and customers are supported to make complaints which provide invaluable feedback.

These have been categorised as follows:



## Stage One - Theme of complaint

	2019 - 20	2020 - 21	2021 - 22	2022 - 2023
Attitude of staff	-	-	1	-
Disagree with Policy	-	1	1	1
Disagree with Assessment	13	7	5	3
Discrimination	-	-	-	
Inappropriate Action	32	10	5	8
Lack of Action	22	9	11	19
Quality of Advice/ Communication	5	14	8	5
<b>TOTAL</b>	<b>72</b>	<b>41</b>	<b>31</b>	<b>36</b>

You will note that the lack of action is the highest theme this year and higher than in previous years. However, this includes failings in communication and this theme remains the highest area of complaint.

## Stage One - Responding in time performance

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022	%*	2022 - 2023	%*
Within 10 days	31	43%	20	49%	11	35%	22	61%
Within 20 days	8	11%	6	15%	1	3%	8	22%
Over 20 days	20	28%	7	17%	16	52%	2	6%
Not Pursued	13	18%	8	19%	3	10%	4	11%
<b>TOTAL</b>	<b>72</b>		<b>41</b>		<b>31</b>		<b>36</b>	

\*% figures are rounded to the nearest whole number

We are pleased the timescale for responding to complaints has improved and this continues to be something we will work together with managers in children's services to maintain.

## Stage One - Outcomes

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022	%*	2022 - 2023	%*
Upheld	16	22%	8	19%	3	10%	7	19%
Partially Upheld	15	21%	7	17%	7	22%	10	28%
Not Upheld	10	14%	16	39%	9	29%	14	39%
Not Proven	2	3%	0	-	0	-	0	0
Not Pursued	13	18%	8	19%	3	10%	4	11%
No response	16	22%	2	5%	9	29%	0	-
Ongoing							1	3%
<b>TOTAL</b>	<b>72</b>		<b>41</b>		<b>31</b>		<b>36</b>	

\*% figures are rounded to the nearest whole number

## 16 Stage Two Complaints

### Stage Two - Theme of Complaint

	2019 - 2020	2020 - 2021	2021 - 2022	2022 - 2023
Attitude of staff	-		-	-
Disagree with Policy	-	-	-	-
Disagree with Assessment	6	1	-	1
Discrimination	-	-	-	-
Inappropriate Action	6	6	4	2
Lack of Action	4	2	3	3
Quality of Advice/ Communication	1	-	3	1
<b>TOTAL</b>	<b>17</b>	<b>9</b>	<b>10</b>	<b>7</b>

### Stage Two – Responding in time performance

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022	%*	2022 - 2023	%*
Within 25days	3	17%	2	21%	0	-	0	-
Within 65 days	3	17%	-	-	0	-	0	-
Over timescale	9	51%	4	44%	7	70%	7	100%
Not Pursued	1	6%	-	-	1	10%		-
Ongoing	1	6%	3	33%	2	20%	2	Over timescale
<b>TOTAL</b>	<b>17</b>		<b>9</b>		<b>10</b>			

It is noted, all responses at this stage were “over the timescale”. It is important to remember, complaints at this stage are often complex, with several elements and there may also be the need to arrange advocates and appointments with both staff and complainants, particularly at adjudication.

### Stage Two Outcomes

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022	%*	2022 - 2023	%*
Upheld	2	12%	-	-	-	-	0	-
Partially Upheld	11	65%	6	67%	4	40%	3	43%
Not Upheld	2	12%	-	-	3	30%	2	29%
Not Pursued	1	6%	-	-	1	10%	0	-
No response sent	-	-	-	-	-	-	0	-
Ongoing	1	6%	3	33%	2	20%	2	29%
<b>TOTAL</b>	<b>17</b>		<b>9</b>		<b>10</b>		<b>7</b>	

The CGT are continuing to work to ensure the complaints at this stage receive responses. The 2 ongoing at this stage and the one at stage 1 are the cases the CGT initially attempted to complete investigations for and have now been referred to the independent agency for completion.

## **17 Stage Three Complaints**

There were 3 children's stage three complaint, compared with 1 in the previous reporting period.

The process at stage three of the Children's Social Care Complaints Procedure is an independent review panel that will consider whether the investigation, findings, and recommendations at stage two, were thorough, logical, and fair. The Panel then provides a report to the Corporate Director of Children and Education with their conclusions and any recommendations considered appropriate. The Corporate Director would then respond confirming whether they agree with the conclusions and any recommendations made.

### Stage Three - Theme of Complaint

	2019 - 2020	2020 - 2021	2021 -2022	2022 - 2023
Attitude of staff	-	-	-	-
Disagree with Policy	-	-	-	-
Disagree with Assessment	-	-	-	-
Discrimination	-	-	-	-
Inappropriate Action	-	4	1	1
Lack of Action	2	1		2
Quality of Advice/ Communication	-	-	-	-
<b>TOTAL</b>	-	<b>5</b>	<b>1</b>	<b>3</b>

### Stage Three - Responding in time performance

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022		2022 - 2023	
Within 15 days	1	50%	3	60%	-	-	0	-
Over 15 days	1	50%	1	20%	-	-	3	100%
Not Pursued	-	-	1	20%	1	100%	0	-
<b>TOTAL</b>	<b>2</b>		<b>5</b>		<b>1</b>		<b>3</b>	

### Stage Three Outcomes

	2019 - 2020	%*	2020 - 2021	%*	2021 - 2022		2022 - 2023	%*
Upheld	1	50%	-	-	-	-	0	-
Partially Upheld	1	50%	4	80%	-	-	2	66%
Not Upheld	-		-	-	-	-	1	33%
Not Pursued	-		1	20%	1	100%	0	-
No response sent	-		-	-	-	-	0	-
<b>TOTAL</b>	<b>2</b>		<b>5</b>		<b>1</b>		<b>3</b>	

In addition to the information given above for complaints made through the children's' social care complaints procedure, 5 complaints were received as a 4cs corporate grade one and 5 as a corporate grade two. Complaints are dealt with under the corporate procedure when the complainant is not complaining with the consent of the customer, or it is considered they are not complaining in the customer's best interest.

## 18 Percentage escalation

The following table indicates how many complaints in children’s services have been escalated. By measuring these figures as a percentage, we can gauge the implied customer satisfaction levels.

### Percentage escalation

	Number	% Escalated to next stage	% Implied customer satisfaction
Stage 1 to Stage 2	1 of 36	3%	97%
Stage 2 to Stage 3	3 of 7	43%	57%

It is important to note that whilst only a small number of complaints have escalated in this reporting period, the implied customer satisfaction needs to be considered alongside the next reporting period, particularly as 1 complaint remains ongoing from stage one and 2 from stage two.

## 19 Equalities Monitoring Information

Following the guidance produced by the Department of Health and the Department for Education and Skills, we must seek to identify who is making complaints to get a greater understanding of them. The following information was provided:

### Gender

	2019 - 2020	2020 - 2021	2021 - 2022	2022 -2023
Male	17	24	14	16
Female	64	29	27	28
Male & Female	0	2	1	2
Total	<b>0</b>	<b>55</b>	<b>42</b>	<b>46</b>

## 20 Who made the complaints

- 7 complaints were made by a child or young person via an advocate.
- 39 complaints were made by adults’ family members of a child about the services received by them and their family.

The CGOM is aware most complaints about Children’s Services are not made by children or young people receiving a service. To ensure that children are aware of and are supported to use the complaints and feedback procedure, the team works closely with the Children’s Rights team and where appropriate, other support and advocacy services and others making a complaint on behalf of a child or young person.

The council has a statutory obligation to offer advocacy support to any child or young person making a complaint and the Children’s Rights team make people aware of the options available for raising comments, concerns, complaints, and compliments and provide advocacy support to assist with this where requested.

The CGT are also available to attend meetings with staff members, children, and young people and on occasions foster carers to raise awareness of and understanding about how people can use the procedure.

## 21 Costs and Payments

The council has an obligation to ensure independence in the children’s social care complaints procedure. This includes a requirement for:

- A person independent of the council to oversee all complaints at stage two made by children and young people.
- To ensure the investigator at stage two has not had any involvement in the complaint or line management responsibility for the services being complained about.
- To have a panel of 3 independent people at stage three.

These costs can be found in the section 6.

In addition to this the council provides financial recompense if, after a complaint has been investigated or as part of an LGSCO’s investigation, it is concluded that:

- the LGSCO would find that there has been maladministration by the council causing injustice to the complainant; and
- the LGSCO would recommend that financial recompense should therefore be paid to the complainant.

LGSCO recommendation - in recognition of the frustration, distress and uncertainty caused as a result of poor transitions planning.	£600.00
<b>Total</b>	<b>£600.00</b>

## 22 Alternative Dispute Resolution

It is important to note that the Department for Education and Skills Guidance makes it clear that nothing in the procedure should preclude Alternative Dispute Resolution and that if agreed by both complainant and the CGOM, the council should explore this option.

Possible alternatives which may be considered by the CGOM include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

## 23 Learning Lessons/Practice Improvements

The council is always happy to consider appropriate ways of resolving a customer's complaint. Some of the types of action the council has undertaken to resolve complaints have been issuing apologies, meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place. This has been particularly relevant in the case of communicating effectively with customers and putting strategies into place to ensure that people are kept up to date. The council also offers a re-assessment of needs where possible, to ensure that nothing has been missed or that circumstances have not changed.

Complaints provide senior managers with useful information in respect of the way that services are delivered. The consideration of complaints has included the agreement to undertake the following actions, in addition to apologies and financial recompense:

- Reminders to staff about procedures and what is required.
- Review procedures for transition planning with young people approaching 18, in particular how it ensures plans for post-18 accommodation are in place well before the young person's 18<sup>th</sup> birthday
- Remind to all social workers and team managers of the importance to capture and record all discussions, phone calls, messages, meetings and emails with parents and professionals within the children's records.
- Reminder to staff to clearly record why actions have not been achieved
- Review and update transfer protocol
- Remind to staff that when updating 3 monthly summaries the assessment should consider wider family networks and children's relationships within their networks.
- Reminders to staff to consider offering support to facilitate discussions about any barriers to contact and resolutions that could be agreed and to look at re-establishing regular contact
- Use learning to assist understanding of sibling relationships and the need to promote these throughout our work.
- Agree appropriate communication plans about information that can be shared and cannot be shared and timescales and frequency of communication
- Review and updating of care and support plan
- Copies of relevant information including, relevant guidance, details of locally available support, minutes, assessments etc provided within appropriate timescales
- Reminder to relevant staff to speak to relevant people and adhere to timescales when dealing with complaints
- Records updated

- Reminders to ensure all letters include the name and signature of the author and any other relevant contact details
- Review of all current referrals to Occupational, with a review of procedures to ensure timescale for allocation are clear.
- Review and reminders to ensure clear, effective, and timely communication



## Annual Adult Social Care Complaints Report April 2022 to March 2023

### 24 Context

This report provides information about complaints made during the twelve months between 1st April 2022 and 31st March 2023 for adults under the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009.

All timescales contained within this report are for working days. The structures for reporting have changed and are reflected in the reporting for adult service as shown in the below tables.

In addition, the numbers of compliments are also recorded were:

	19/20	20/21	21/22	22/23
<b>Be Independent</b>	1	4	1	0
<b>Commissioning &amp; Contract Management</b>	-	1	-	3
<b>Community Provision</b>	22	10	6	10
<b>Assessment</b>	10	9	-	0
<b>Care Homes</b>	6	5	-	0
<b>Mental health Safeguarding &amp; DOLS</b>	3	19	18	12
<b>Learning Disability</b>	-	-	1	6
<b>Older People</b>	-	-	11	21

The CGT are aware that many more compliments are received and actively work to encourage staff and teams to forward these to ensure they are recorded. This is to ensure that we can provide a true picture of our customers' experiences of the services they receive.

The compliments received included:

- Worker is very pleasant, easy to talk to and understands the family situation
- Super kind and helpful
- Collection of PPE excellent and friendly service. Collection easy and uncomplicated.
- OT helpful in delivering adaptations
- Worker really responsive and kept in touch
- Worker made me feel a bit less anxious
- Worker liaised between everyone to bring the task to a successful outcome. Appreciate this skilful dedication.

- Quickly responded to relative after a fall. this is a massive help, letting me live my life with reduced worry
- Carers kind, patient, efficient and went the extra mile
- Exemplary work, you are all very much appreciated.
- Thanks for suggesting support place, relative had fun and laughter and a good quality of life

The legislation makes it clear that people should be able to provide feedback and have this responded to without this being seen as a complaint. Therefore concerns, comments and requests are also logged.

### Number of Concerns, Comments and Requests received

	19/20	20/21	21/22	22/23
<b>Be Independent</b>	1	-	-	-
<b>Commissioning &amp; Contract Management</b>	2	2	-	-
<b>Commissioning Provision</b>	-	2	-	-
<b>Joint Commissioning</b>	-	-		-
<b>Assessment</b>	10	2	-	
<b>Care Homes</b>	3	2	-	-
<b>Community Provision</b>	8	3	7	2
<b>Mental health Safeguarding &amp; DOLS</b>	9	5	9	4
<b>Learning Disability</b>			1	6
<b>Older People</b>			5	3

## 25 Who can make a Complaint?

Someone who:

- The local authority has a power or duty to provide or secure the provision of a social service for him/her and
- His/her need for such a service has (by whatever means) come to the attention of the Authority.

This definition also applies to a person acting on behalf of someone who meets the above requirements.

A complaint can be made by a representative where the CGOM receives permission from the eligible person, usually in writing, giving their permission for the representative to make the complaint on their behalf. A representative will also be able to make a complaint where the eligible person is not capable of making the complaint themselves, this includes when they have died.

The CGOM will decide if a person is suitable to act as a representative, if it is decided they are not acting in the eligible person's best interests, they will inform them in writing of the reasons for this.

If a customer is not eligible under the terms of the Act, they will always be able to have their complaint looked at under the council's 4Cs corporate complaints procedure.

## 26 Grading of Complaints

The Department of Health designed the following tool to assess the seriousness of complaints and decide the relevant action:

### Step 1: Decide how serious the issue is

Seriousness	Description
Low	Unsatisfactory service or experience not directly related to care. No impact or risk to provision of care. <b>OR</b> Unsatisfactory service or experience related to care, usually a single resolvable issue. Minimal impact and relative minimal risk to the provision of care or the service. No real risk of litigation.
Medium	Service or experience below reasonable expectations in several ways, but not causing lasting problems. Has potential to impact on service provision. Some potential for litigation.
High	Significant issues regarding standards, quality of care and safeguarding of or denial of rights. Complaints with clear quality assurance or risk management issues that may cause lasting problems for the organisation, and so require investigation. Possibility of litigation and adverse local publicity. <b>OR</b> Serious issues that may cause long-term damage, such as grossly substandard care, professional misconduct, or death. Will require immediate and in-depth investigation. May involve serious safety issues. A high probability of litigation and strong possibility of adverse national publicity.

### Step 2: Decide how likely the issue is to recur

Likelihood	Description
Rare	Isolated or 'one off' – slight or vague connection to service provision.
Unlikely	Rare – unusual but may have happened before.
Possible	Happens from time to time – not frequently or regularly.
Likely	Will probably occur several times a year.
Almost certain	Recurring and frequent, predictable.

### Step 3: How to categorise the risk

Seriousness	Likelihood of recurrence				
	Rare	Unlikely	Possible	Likely	Almost Certain
Low	Low				
		Moderate			
Medium					
			High		
High				Extreme	

The CGT grades the complaints as:

- Low = Green - Can be resolved locally
- Medium = Amber - Needs a response from the Corporate Director
- High = Red - Needs a response from the Corporate Director

Complainants are contacted by the CGT to design a complaint plan and agree an appropriate response timescale. This is often done through an acknowledgment letter requesting the complainant to confirm the council’s understanding of the complaint and the timescale for response.

Following the response, a complainant can ask the Local Government and Social care Ombudsman (LGSCO) to investigate if they remain dissatisfied.

### 27 Activity

The CGT recorded 40 complaints under the adult social care procedure during the year 2022 – 2023, compared with a total of 42 the previous year.

In addition to the above there were two grade 1 and one grade 2 complaints about adult social care services made under the corporate 4Cs procedure.

Complaints are dealt with under the corporate 4Cs procedure when the complainant is not complaining with the consent of the customer, or it may be considered they are not complaining in the customer’s best interest.

### 28 Comparison with the preceding year

The figures show a small decrease increase in the number of complaints received in 2021 – 2022 through the adults’ social care procedures.

## 29 Outcomes of complaints:

	2019 - 2020	2020 – 2021	2021 - 2022	2022 -2023
Upheld	15	6	7	12
Partly upheld	12	6	13	13
Not upheld	16	13	17	11
Not proved	1	0	0	0
Not pursued	3	0	1	2
No response	6	3	4	1
Ongoing	0	0	0	1
<b>Total</b>	<b>53</b>	<b>28</b>	<b>42</b>	<b>40</b>

## 30 Response Times

A key requirement of the reform of complaints procedures is the importance of informing service users of the outcome of their complaints, in an appropriate time frame.

The Department of Health guidance on deciding how long it should take to respond to a complaint states:

*“If someone makes a complaint, your organisation has to acknowledge it within three working days. The person making the complaint will want to know what is being done – and when. However, accurately gauging how long an issue may take to resolve can be difficult, especially if it is a complex matter involving more than one person or organisation. To help judge how long a complaint might take to resolve, it is important to:*

- address the concerns raised as quickly as possible*
- stay in regular contact with whoever has complained to update them on progress*
- stick to any agreements you make – and, if for any reason you can’t, explain why.*

*It is good practice to review any case lasting more than six months, to ensure everything is being done to resolve it.”*

## Details of Complaints

### 31 Green Complaints

There were 27 complaints graded as Green in adult services compared to 34 last year.

It is however noted 1 complaint received no response and the CGT are continuing to work with managers to ensure all complaints receive a response.

Complaints graded at this level were categorised as follows:

Com = Community Provision  
Provision  
MH/S/DOLS = Mental health Safeguarding & DOLS  
LD = Learning Disability  
OP = Older People

#### Green Theme of complaint

	Com Provision	MH/S/DOLS	LD	OP	Total
Attitude of staff	-	-	-	-	-
Disagree with Policy	-	-	-	-	-
Disagree with Assessment	2	1	1	1	5
Discrimination	-	-	-	-	-
Inappropriate Action	2	-	3	3	8
Lack of Action	1	3	3	1	8
Quality of Advice/Communication	1	3		2	6
<b>TOTAL</b>	<b>6</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>27</b>

It is also noted that 1 complaint did not receive any response, which is a decrease from 4 in the last reporting period. This is something which will continue to be brought to the attention of senior managers to assist with improving this for future complaints.

## Green Response Times

	Com Provision	MH/S/DOLS	LD	OP	Total
<b>Within 10 days</b>	4	3	5	5	<b>17</b>
<b>Within 25 days</b>	2	1	1	1	<b>5</b>
<b>Over 25 days</b>	-	1	1	1	<b>3</b>
<b>Not Pursued</b>	-	2	-	-	<b>2</b>
<b>TOTAL</b>	<b>6</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>27</b>

It is important to remember that the legislation and guidance for adults does not prescribe actual timescales for responses. However, we do manage and monitor performance in this area using best practice across the different complaints' legislation and guidance. The above table highlights that we are responding to most complaints at this stage within the shortest timescale (10 working days). It is noted that 1 complaint did not receive a response.

## Green Outcomes

	Com Provision	MH/S/DOLS	LD	OP	Total
<b>Upheld</b>	4	1	3	2	<b>10</b>
<b>Partially Upheld</b>	1	1	2	4	<b>8</b>
<b>Not Upheld</b>	1	2	2	1	<b>6</b>
<b>No Response</b>	-	1	-	-	<b>1</b>
<b>Not Pursued</b>	-	2	-	-	<b>2</b>
<b>TOTAL</b>	<b>6</b>	<b>7</b>	<b>7</b>	<b>7</b>	<b>27</b>

## 32 Amber Complaints

There were 4 complaints graded as Amber in adult services compared to 5 in the previous year.

### Amber Theme of Complaint

	Com Provision	MH/S/ DOLS	LD	OP	Total
Attitude of staff	-	-	-	-	-
Disagree with Policy	-	-	-	1	1
Disagree with Assessment	-	-	-	-	-
Discrimination	-	-	-	-	-
Inappropriate Action	-	-	2	-	2
Lack of Action	-	-	1	-	1
Quality of Advice/ Communication	-	-	-	-	-
TOTAL	-	-	3	1	4

### Amber Response Times

	Com Provision	MH/S/ DOLS	LD	OP	Total
Within 25days	-	-	2	1	3
Within 65 days	-	-	-	-	-
Over timescale	-	-	1	-	1
Not Pursued	-	-	-	-	-
TOTAL	-	-	3	1	4

### Amber Outcomes

	Com Provision	MH/S/ DOLS	LD	OP	Total
Upheld	-	-	-	-	-
Partially Upheld	-	-	2	1	3
Not Upheld	-	-	-	-	-
Ongoing	-	-	1	-	1
TOTAL	-	-	3	1	4

The 1 case ongoing at this stage is over the timescale, which arose because of managers reallocating the investigation role several times. The CGT have now allocated the investigation to the independent agency for completion.



### 33 Red Complaints

There were 9 complaints graded Red in adult services, compared to 3 last year.

#### Red Theme of Complaint

	Com Provision	MH/S/ DOLS	LD	OP	Total
Attitude of staff	-	-	-	-	-
Disagree with Policy	-	-	-	-	-
Disagree with Assessment	-	1	-	2	3
Discrimination	-	1	-	-	1
Inappropriate Action	-	-	-	1	1
Lack of Action	-	-	2	1	3
Quality of Advice/ Communication	-	-	-	1	1
TOTAL	-	2	2	5	9

#### Red Response Times

	Com Provision	MH/S/ DOLS	LD	OP	Total
Within 25days	-	-	1	1	2
Within 65 days	-	1	-	2	3
Over timescale	-	1	1	2	4
TOTAL	-	2	2	5	9

#### Red Outcomes

	Com Provision	MH/ S/ DOLS	LD	OP	Total
Upheld	-	1	1	-	2
Partially Upheld	-	-	1	1	2
Not Upheld	-	1	-	4	5
TOTAL	-	2	2	5	9

### 34 Equalities Monitoring Information

Following the guidance and best practice, it is important to understand who is making complaints and so we seek to identify who is making complaints. Only the following information was provided:

#### Gender

Male: 13  
 Female: 26  
 Male and Female: 1

### 35 Who made the complaints

- 25 complaints were received directly from a customer
- 13 complaints were made by a family member
- 2 complaints were made by an advocate

### 36 Payments

The council provides financial recompense if, after a complaint has been investigated or as part of an LGSCO's investigation, it is concluded that the LGSCO would find that there has been maladministration by the council causing injustice to the complainant with a recommendation that financial recompense should therefore be paid to the complainant.

#### Detail of payments made

LGSCO recommendation - to acknowledge the distress and uncertainty experienced as a result of the handling of care charge contributions and its limited support.	£150.00
- To acknowledge the unnecessary time and trouble	£100.00
- Credit note for top up charges	£4,236.72
LGSCO recommendation – For the failure to set up Direct Payments for support and unclear communication	£200.00
Action from complaint response – For the lack of clarity around charging for homecare following admission into residential care.	£1765.76
Action from complaint - reimbursed the amount of her contribution during the 12 weeks of the property disregard to recognise the error made.	£8,058.00
LGSCO recommendation - To recognise the distress, frustration and unnecessary time and trouble experienced in chasing answers to complaints; and	£200.00
• To recognise the avoidable uncertainty the Council's faults around care planning and safeguarding caused him.	£300.00
LGSCO recommendation – To remedy the poor record keeping and missed opportunities to identify concerns	£600.00
LGSCO recommendation – Total reimbursement for travel costs	£259.20
• In recognition of the time taken to provide transport.	£250.00

<ul style="list-style-type: none"> <li>• For the time and trouble taken to make the complaint.</li> </ul>	£250.00
LGSCO recommendation – To recognise the significant distress and the time and trouble to deal with complaint	£1000.00
<ul style="list-style-type: none"> <li>• To acknowledge the delay in setting up direct payments, causing uncertainty and frustration</li> </ul>	£300.00
<b>Total</b>	<b>£17,669.68</b>

It is noted there has been a significant increase in the payments made or reimbursed and much of these following Ombudsman recommendations and including time and trouble payments. These payments are usually because of the complaints not being resolved during the internal investigation process. The CGT is working with managers across all service areas, to ensure they understand the importance of offering appropriate remedies at all stages of complaints handling.

### **37 Alternative Dispute Resolution**

It is important to note that the complaints regulations and guidance for adult social care complaints are that a plan needs to be agreed between the complainant and the CGOM about how the complaint will be dealt with and responded to, what outcomes are wanted and what can be realistically achieved.

Possible alternatives which may be considered by the CGOM include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

### **38 Complaints dealt with by the local authority and NHS Bodies**

The CGT works with contracted agencies and statutory agencies to identify the main themes concerned in a complaint. Informal agreements are in place to provide the customer with a co-ordinated response with the agency responsible for the provision of the main areas of complaint taking the lead with co-operation from the other agencies as required.

### **39 Learning Lessons/Practice Improvements**

The council is always happy to consider appropriate ways of resolving a customer's complaint including meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place.

The council also offers a re-assessment of needs where possible, to ensure that nothing has been missed or that circumstances have not changed.

Complaints provide senior managers with useful information in respect of the way that services are delivered, so that improvements can be made. The complaints manager is continuing to encourage work with teams across the council to ensure learning from complaints is leading to improvements in services and that evidence of actions being completed are provided. Some of the actions which have been logged include the following, in addition to apologies and financial recompense:

- Review policy to ensure a consistent approach on top up charges. This includes where an individual has been assessed to be able to afford a more expensive care home, has refused the Council's offer of a care home and agreed to meet such charges in writing.
- Provide training to its staff to ensure timely accurate advice and guidance regarding top up charges and, where applicable, requests for support with finding suitable care homes are actioned without delay.
- Reminder to all staff around the importance of clear explanations to individuals and their representatives, confirmed in writing where possible and documented on case records, about the financial implications of significant changes in support arrangements.
- Remind staff of the importance of making sure any questions, queries, or difficulties they are unable to deal with are passed to the correct person in the council and raised with a manager to assist with this if needed.
- Remind all relevant staff of the importance of setting up contracts for care in a timely way and of the importance of early and regular communication about funding arrangements.
- Review and re-issue guidance to relevant staff
- Carry out the financial reconciliation of care account to decide if there is a further refund due.
- Ensure that direct payments are securely in place
- Reminders to appropriate staff to ensure they consider carrying out a carers assessment if it appears a carer may have any level of need for support
- Reminders to appropriate staff to ensure guidance and support is given when asked about direct payments and ensure proper consideration is given to these requests.

## **40 Public Health**

Complaints about services related to the functions of Public Health also fall under the legislation “Local Authority Social Services and National Health Service Complaints (England) Regulations 2009” and are therefore dealt with in the same way as those for adult social care services.

<b>Compliments</b>	<b>0</b>
<b>Complaints</b>	<b>0</b>
<b>Comments &amp; Concerns</b>	<b>0</b>

## Annual Corporate Complaints Procedure Report April 2022 to March 2023

### 41 Context

This is the seventh year we have produced an annual report for complaints considered under the Corporate Complaints Procedure. This procedure covers all complaints about services provided by the council where no statutory procedure exists.

There were 733 complaints at grade 1 in this reporting period compared with 627 last year.

The number of comments logged were 728 compared to 1326 last year.

It is considered the arrangements under the 4Cs procedure, have continued to show consistent results in the assessment and grading of customer complaints and feedback.

This continues to result in a significant reduction in the number of complaints which did not receive a response, as well as an improvement in the timescales for response.

We are continuing to work to ensure that every complaint is responded to. Those that did not receive a response were because of oversights. Additional measures have been implemented to reduce the risk of this reoccurring.

All timescales contained within this report are for working days.

In addition, the numbers of compliments are also recorded, and these are shown below for the directorates as they were known during the reporting period.

### Number of Compliments Received

Directorate	2020 - 2021	Directorate	2021 – 2022	2022 - 2023
<b>CCS</b>	34	<b>Corporate Services</b>	9	12
<b>CEC</b>	5	<b>Customer &amp; Communities</b>	25	43
<b>EAP</b>	79	<b>People</b>	6	0
<b>HHASC</b>	64	<b>Place</b>	137	144
<b>TOTAL</b>	<b>182</b>	<b>TOTAL</b>	<b>177</b>	<b>199</b>

The compliments received included thanks for:

- Thank you for help with blue badge application
- Acted super quick on report of fly tipping
- Thanks for sorting VOA
- Thanks for helping to understand council tax bill
- Extremely helpful with council tax request
- Thank you for help with benefits
- thank you for hedge cutting
- Thanks for bulky waste collection
- CSR for registry office was good
- Advisor who was incredibly clear, informed, and efficient
- Thank you for help with parking application
- Thanks for repainting parking bay
- Great advice and telephone manner
- Towpath looks wonderful, thank you to your team I am so impressed and very happy
- Thanks for putting shield on light
- Drainage crew came to the rescue to retrieve keys from the drain
- Thanks to NEO officer
- Thanks for tenants' choice
- Professional and helpful service provided when attending a repair
- Thanks for fixing my taps
- New kitchen fitted and the guys were swift and professional
- Joiner incredible guy, great at his job, and a delight to have working on the property
- Thank you for gas inspection
- Thanks to gas engineer
- Good job on bathroom works
- Tiling, was done to a wonderful standard
- Thanks for work with loft hatch replacement
- Thanks for helping with move
- Thank you for help with great falls prevention service
- Thanks for help with relatives flooded house
- Thanks for EV charging at monks cross
- New parking portal is great
- Thanks to grass cutters
- Street cleaners have done a great job
- Thank you for hedge cutting
- Thank you to the cleaning team
- Thank you for clearing the path
- Thanks for helping with death certificate

- Thanks for help when registering death
- Thanks for the most special and memorable days of our live
- Cycle track has been cut back and is much easier to use and navigate
- Thanks to the crew for collecting waste
- Thanks to refuse crew for staying with until ambulance arrived
- Thank you to waste crew for returning recycling boxes to the front of property and not leaving them on the street in the wind
- Thanks to waste crew
- Thanks to crew for returning phone and bank cards
- Bin crew helpful
- Crew spotted her keys in the recycling and alerted customer to it
- Bin men are always very helpful
- Crew went to the assistance of resident
- Thanks for clearing road

The good practice from the statutory processes is clear that people should be able to provide feedback and have this responded to without this being seen as a complaint. Therefore concerns, comments and requests are also logged in the 4Cs corporate procedure, and these are shown below:

### Number of Concerns, Comments and Requests

Directorate	2020 - 2021	Directorate	2021 - 2022	2022 - 2023
CCS	309	Corporate Services	58	28
CEC	9	Customer & Communities	203	104
EAP	1056	People	3	8
HHASC	235	Place	1062	584
<b>TOTAL</b>	<b>1609</b>	<b>TOTAL</b>	<b>1326</b>	

### 42 Who can make a Complaint?

The council’s corporate complaint policy and procedures states we will accept complaints from

- a member of public or anyone acting on behalf of a customer with the proper authority and consent,

And using any of the following contact methods:

- in person
- by phone
- by letter
- by email
- through our website. [www.york.gov.uk](http://www.york.gov.uk)



### **43 Grading of Complaints**

The CGT assess the appropriate stage to investigate a complaint or referral to the relevant Ombudsman, taking account of issues such as:

- risk to the customer and the authority
- severity of the risk
- whether the issues in question are a one off, are a reoccurrence and likelihood of reoccurrence.

### **44 Response Times**

It is considered good practice that a key requirement of a complaint procedure is the importance of informing service users of the outcome of their complaints in an appropriate time frame.

The new 4cs process for investigating and responding to corporate complaints was implemented at the beginning of this reporting period.

This changed the process from 3 stages to 2 grades.

The timescales have been changed to:

- Grade One - 20 working days (10 for Housing Complaints in line with the Housing Ombudsman guidance)
- Grade Two - 30 working days (20 for Housing Complaints in line with the Housing Ombudsman guidance)

In addition to the above all complaints under the 4Cs are investigated and responded to by the CGT.

## Details of complaints

### 45 Grade One Complaints

#### Primary theme by directorate

##### 2021-2022

	Staff attitude	Disagree with assessment	Disagree with policy	Discrimination	Inappropriate action	Lack of action	Quality of advice, communication/work	TOTAL
Corporate Services	-	-	-	-	-	5	2	7
Customer & Communities	1	20	12	-	16	43	10	102
People	-	2	-	-	-	1	-	3
Place	4	38	79	1	54	298	41	515
<b>Total</b>	<b>5</b>	<b>60</b>	<b>91</b>	<b>1</b>	<b>70</b>	<b>347</b>	<b>53</b>	<b>627</b>

##### 2022 - 2023

	Staff attitude	Disagree with assessment	Disagree with policy	Discrimination	Inappropriate action	Lack of action	Quality of advice, communication/work	TOTAL
Corporate Services	-	-	-	-	-	3	-	3
Customer & Communities	-	19	18	-	28	57	12	134
People	-	-	-	-	1	5	-	6
Place	-	42	77	-	66	372	33	590
<b>Total</b>	<b>-</b>	<b>61</b>	<b>95</b>	<b>-</b>	<b>95</b>	<b>437</b>	<b>45</b>	<b>733</b>

#### Outcome by directorate

##### 2021-2022

	upheld	Not upheld	Partly upheld	Not pursued	No response	%*	Not proven	TOTAL
Corporate Services	1	2	3	-	-	-	1	7
Customer & Communities	34	45	14	9	-	-	-	102
People	2	-	-	1	-	-	-	3
Place	191	162	100	52	2	-	8	515
<b>Total</b>	<b>228</b>	<b>209</b>	<b>117</b>	<b>62</b>	<b>2</b>	<b>-</b>	<b>9</b>	<b>627</b>

%\* are rounded up or down to the nearest whole number

## 2022 -2023

	upheld	Not upheld	Partly upheld	Not pursued	No response	%*	Not proven	TOTAL
Corporate Services	2	-	-	-	1	33%	-	3
Customer & Communities	24	80	27	2	0	0%	1	134
People	2	3	1	-	0	0%	-	6
Place	196	234	116	32	3	0.5%	9	590
<b>Total</b>	<b>224</b>	<b>317</b>	<b>144</b>	<b>34</b>	<b>4</b>	<b>0.5%</b>	<b>10</b>	<b>733</b>

## Responding in time performance by directorate

### 2021-2022

	In time	%*	Out of time	%*	Not pursued	%*	TOTAL
Corporate Service	5	71%	2	29%	-	-	7
Customers & Communities	85	83%	8	8%	9	9%	102
People	1	33%	1	33%	1	33%	3
Place	353	69%	108	21%	54	10%	515
<b>Total</b>	<b>444</b>	<b>71%</b>	<b>119</b>	<b>19%</b>	<b>64</b>	<b>10%</b>	<b>627</b>

### 2022 - 2023

	In time	%*	Out of time	%*	Not pursued	%*	TOTAL
Corporate Service	2		1		-	-	3
Customers & Communities	113	84%	19	14%	2	1%	134
People	6	100%	0	0%	-	-	6
Place	476	80%	82	14%	32	5%	590
<b>Total</b>	<b>597</b>	<b>81%</b>	<b>102</b>	<b>14%</b>	<b>34</b>	<b>5%</b>	<b>733</b>

%\* are rounded up or down to the nearest whole number

## 46 Grade Two Complaints Primary theme by directorate

### 2021-2022

	Staff attitude	Disagree with assessment	Disagree with policy	Discrimination	Inappropriate action	Lack of action	Quality of advice, communication/work	TOTAL
Corporate Services	-	-	-	-	1	-	-	1
Customer & Communities	1	9	5	-	7	3	-	25
People	-	-	-	-	-	1	-	1
Place	-	24	501	-	54	235	24	838
<b>Total</b>	<b>1</b>	<b>33</b>	<b>506</b>	<b>-</b>	<b>62</b>	<b>239</b>	<b>24</b>	<b>865</b>

### 2022 – 2023

	Staff attitude	Disagree with assessment	Disagree with policy	Discrimination	Inappropriate action	Lack of action	Quality of advice, communication/work	TOTAL
Corporate Services	-	-	-	-	2	1	-	3
Customer & Communities	-	2	4	-	8	8	6	28
People	-	1	-	-	-	2	-	3
Place	-	35	1052	-	33	153	14	1287
<b>Total</b>	<b>-</b>	<b>38</b>	<b>1056</b>	<b>-</b>	<b>43</b>	<b>164</b>	<b>20</b>	<b>1321</b>

## Outcome by directorate

### 2021-2022

	upheld	Not upheld	Partly upheld	Not pursued	No response	%*	Not proven	TOTAL
Corporate Services	-	-	-	-	1	100%	-	1
Customer & Communities	4	13	7	1	-	-	-	25
People	-	-	1	-	-	-	-	1
Place	657	102	33	44	2	0.2%	-	838
<b>Total</b>	<b>661</b>	<b>115</b>	<b>41</b>	<b>45</b>	<b>3</b>	<b>0.3%</b>	<b>-</b>	<b>865</b>

## 2022 – 2023

	Upheld	Not upheld	Partly upheld	Not pursued	No response	%*	Not proven	TOTAL
Corporate Services	-	3	-	-	0	0%	-	3
Customer & Communities	1	21	4	2	0	0%	-	28
People	-	3	-	-	0	0%	-	3
Place	1112	111	39	20	1	-	4	1287
<b>Total</b>	<b>1113</b>	<b>138</b>	<b>43</b>	<b>22</b>	<b>1</b>	<b>-</b>	<b>4</b>	<b>1321</b>

## Responding in time performance by directorate

### 2021-2022

	In time	%*	Out of time	%*	Not pursued	%*	TOTAL
Corporate Service	-	-	1	100%	-	-	1
Customers & Communities	20	80%	5	20%	-	-	25
People	-	-	1	100%	-	-	1
Place	685	82%	109	13%	44	5%	838
<b>Total</b>	<b>705</b>	<b>82%</b>	<b>116</b>	<b>13%</b>	<b>44</b>	<b>5%</b>	<b>865</b>

### 2022 – 2023

	In time	%*	Out of time	%*	Not pursued	%*	TOTAL
Corporate Service	3	-	0	0%	-	-	3
Customers & Communities	26	93%	0	0%	2	7%	28
People	3	100%	0	0%	-	-	3
Place	1234	96%	33	3%	20	1%	1287
<b>Total</b>	<b>1266</b>	<b>96%</b>	<b>33</b>	<b>2%</b>	<b>22</b>	<b>2%</b>	<b>1321</b>

%\* are rounded up or down to the nearest whole number

## 48 Learning Lessons/Practice Improvements

The council is always happy to consider appropriate ways of resolving a customer's complaint including meeting with customers to hear their concerns and suggestions for improvements and putting these improvements into place.

Most complaints logged at grade 2 as a disagreement with policy, are again about the current policy of advising residents that the council will not pay for a replacement bin, when they report their bin has been damaged or gone missing after being collected.

Since the implementation of the 4Cs procedures, the CGT has worked with managers in waste services, which has identified that in many cases, for damaged bins, it has been caused by the wagons during emptying.

It also identified that in many cases, lost bins occurred because of bins falling into the wagon.

The current waste services policy means that when bins are reported damaged or lost, residents are told they must pay for a replacement. This means residents either must pay for a replacement or make a complaint to reach an appropriate resolution.

This creates additional time and trouble for members of the public, or costs for those who feel unable or unwilling to make a complaint. This is in addition to the additional work needed by council officers to respond to and resolve the complaints.

It is considered it would be more cost effective and efficient for the procedure to be changed so that when people report a damaged, or lost bin, some standard questions can be asked to quickly identify, whether the bin was damaged or lost and where this is the most likely cause, a new bin can be ordered, without the need for the customer to have to pay for a replacement, or have to make a complaint.

We are pleased that the number of repeated failures to collect waste, or return bins or boxes appropriately, have reduced. It has however been identified that there remained some difficulties with monitoring collections appropriately, in cases where there had been repeated failures to collect. The CGT is continuing to work with managers in waste services monitor collections, where problems have been identified to ensure collections take place appropriately.

Complaints provide senior managers with useful information in respect of the way that services are delivered, so that improvements can be made. The CGT is working with teams across the council to ensure learning from complaints is leading to improvements in services and that evidence of actions being completed are provided. In addition to the above, some of the actions which have been logged include the following, in addition to apologies and financial recompense.

- Replacement waste containers, free of charge
- Crew reminders and monitoring

- Review of procedures
- Repairs completed
- Review of Staff Training and Guidance
- Agreements about frequency of updates
- Refund of charges
- Update public information to ensure it is clear, accurate and up to date
- Complete inspections, assessments & work required
- Improved recording of information, including to identify individual circumstances and vulnerabilities
- Updated recording systems

As the council is committed to transparency and where there is no conflict or risk to the complainant's interest or could compromise their anonymity, we have included the summary details of the LGSCO findings at Annex 1.

This is like how the LGSCO determines which decisions to publish. For the decisions they do publish, they do not use real names. You can search the LGSCO's published decisions on the following link:

<http://www.lgo.org.uk/decisions>

## 49 Payments

The council provides financial recompense if, after a complaint has been investigated or as part of an LGSCO's or HOS investigation, it is concluded that the LGSCO or HOS would find that there has been maladministration by the council causing injustice to the complainant; and would recommend that financial recompense should therefore be paid to the complainant.

### Details of payments were made

HSO Order - For any distress and inconvenience caused to the resident by its ineffective complaints handling.	£50.00
LGSCO recommendation - For the time and trouble caused by repeated failure to respond to correspondence.	£100
For the uncertainty caused by the drift in dealing with the enforcement case.	£200
Complaint response - For the difficulties you have encountered in pursuing your request for answers from the council.	£250
LGSCO recommendation - To acknowledge the frustration and uncertainty he has suffered as a result of the missed green waste collections.	£100
Complaint response - For the length time taken to fix the issue and the time and trouble it has caused	£50.00

LGSCO recommendation for the distress caused by the Council's faults and the time and trouble relating to council tax support	£200.00
Removal of Court costs	£102.50
Complaint response – for inconvenience and delays to ceremony	£100.00
LGSCO recommendation - delayed replacing Mr B's Garden waste bin and failed to keep him up to date with what was happening	£30.00
Complaint response – For right to buy miscalculation reimbursement	£7,000.00
Complaint response – To recompense for loss of the contents of shed.	£400
Complaint Response – To recompense for cost of private plumber	£81.00
LGSCO recommendation - For extra parking costs.	£69.80
- As a symbolic amount, to reflect the time and trouble	£75.00
<b>Total</b>	<b>£8808.30</b>

## 50 Alternative Dispute Resolution

Based on the good practice guidance in the statutory complaints' procedures, the council also considers whether there would be an appropriate alternative way of resolving complaints, in the corporate procedure, rather than completing an investigation.

Possible alternatives which may be considered by the Corporate Governance Operational Manager include mediation, the opportunity to meet with senior managers, or the possibility of contributing to the review of policies and procedures.

- Contact anyone who complained about not receiving a parking permit due to the system fault in October 2021, and offer a refund for any extra parking costs incurred, if there is evidence of such costs
- Provide complaint handling staff with guidance on the Ombudsman's expectations that councils will offer the right of a review or appeal on decisions.
- Contact the resident to ensure a full understanding of their situation
- Self-assess complaints policy against HOS Complaint Handling Code, to ensure it is compliant with all complaint responses moving forward
- Ensure people are updated on key actions and decisions reached during an enforcement investigation and amend its policy to include this.



- Ensure repairs are completed
- Review of procedures to ensure ceremony times are clear and confusion is avoided
- Review to ensure sheds are clearly numbered with the correct flat number.
- Reminder to relevant staff to complete and sign an inventory of all belongings being removed from properties and sheds and note what has been done with them

## Annex 1

### Complaints received by the LGSCO

Category	Received
Planning & Development	12/04/2022
Adult Care Services	25/01/2023
Education & Childrens Services	05/04/2022
Corporate & Other Services	06/04/2022
Adult Care Services	07/04/2022
Adult Care Services	11/04/2022
Housing	20/04/2022
Highways & Transport	18/04/2022
Environmental Services & Public Protection & Regulation	18/05/2022
Benefits & Tax	21/04/2022
Highways & Transport	21/04/2022
Adult Care Services	03/05/2022
Housing	27/04/2022
Corporate & Other Services	11/05/2022
Environmental Services & Public Protection & Regulation	21/06/2022
Housing	14/06/2022
Planning & Development	15/06/2022
Other	15/06/2022
Highways & Transport	29/06/2022
Environmental Services & Public Protection & Regulation	08/07/2022
Highways & Transport	20/07/2022
Benefits & Tax	02/08/2022
Adult Care Services	28/07/2022
Benefits & Tax	29/07/2022
Environmental Services & Public Protection & Regulation	05/08/2022
Environmental Services & Public Protection & Regulation	05/08/2022
Education & Childrens Services	12/08/2022
Housing	08/09/2022
Environmental Services & Public Protection & Regulation	22/08/2022
Highways & Transport	23/08/2022
Benefits & Tax	24/08/2022
Adult Care Services	02/09/2022
Planning & Development	03/11/2022
Adult Care Services	06/09/2022
Education & Childrens Services	14/09/2022
Highways & Transport	16/09/2022
Planning & Development	26/09/2022
Highways & Transport	21/09/2022
Environmental Services & Public Protection & Regulation	11/10/2022
Benefits & Tax	27/10/2022
Planning & Development	26/10/2022
Benefits & Tax	24/10/2022
Adult Care Services	31/10/2022
Environmental Services & Public Protection & Regulation	28/10/2022
Planning & Development	31/10/2022
Highways & Transport	08/11/2022
Highways & Transport	16/11/2022
Highways & Transport	17/11/2022
Environmental Services & Public Protection & Regulation	29/11/2022

Planning & Development	29/11/2022
Planning & Development	14/12/2022
Environmental Services & Public Protection & Regulation	20/12/2022
Housing	04/01/2023
Housing	05/01/2023
Housing	05/01/2023
Highways & Transport	11/01/2023
Environmental Services & Public Protection & Regulation	02/02/2023
Adult Care Services	07/02/2023
Housing	07/02/2023
Highways & Transport	20/02/2023
Environmental Services & Public Protection & Regulation	06/03/2023
Education & Childrens Services	14/03/2023
Adult Care Services	24/03/2023
Corporate & Other Services	24/03/2023

## Complaints Decided by the LGSCO

Category	Decided	Decision	Decision Reason	Remedy	Service improvement recommendations
Planning & Development	06/05/2022	Closed after initial enquiries	Not warranted by alleged fault		
Housing	05/04/2022	Upheld	fault & inj	New appeal/review or reconsidered decision	
Adult Care Services	03/03/2023	Closed after initial enquiries	Not warranted by alleged fault		
Adult Care Services	16/06/2022	Upheld	fault & inj	Financial redress: Avoidable distress/time and trouble, Reassessment	
Education & Childrens Services	16/08/2022	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review, Provide training and/or guidance	The Council will remind relevant officers that complaints about the actions of the Council's children's services fall under the children's statutory complaints procedure, regardless of the young person's age when the complaint is raised. The Council will review its procedures for transition planning with young people approaching 18, in particular how it ensures plans for post-

					18 accommodation are in place well before the young person's 18th birthday.
Adult Care Services	08/04/2022	Upheld	Injustice remedied during LGO consideration	Apology	
Highways & Transport	04/04/2022	Upheld	fault & inj	Financial Redress: Quantifiable Loss, Financial redress: Avoidable distress/time and trouble, Apology, Provide training and/or guidance, Provide services/information to others affected	The Council has agreed to contact anyone who complained about not receiving a parking permit due to the system fault in October 2021 and offer a refund for any extra parking costs incurred, if there is evidence of such costs. The Council has agreed to provide parking complaint handling staff with guidance on the Ombudsman's expectations that Councils will offer the right of a review or appeal on decisions.
Planning & Development	26/08/2022	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Procedure or policy change/review	The Council should amend its policy to include updating complainants on key actions and decisions reached during an enforcement investigation.
Planning & Development	27/05/2022	Not Upheld	Other reason not to continue with investigation		
Adult Care Services	30/09/2022	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble	
Benefits & Tax	16/08/2022	Upheld	fault & inj	Improved BinJ remedy	
Highways & Transport	29/07/2022	Upheld	fault & inj - no further action organisation already remedied		
Highways & Transport	29/06/2022	Not Upheld	No worthwhile outcome achievable by further investigation		

Environmental Services & Public Protection & Regulation	05/05/2022	Closed after initial enquiries	No worthwhile outcome achievable by investigation		
Environmental Services & Public Protection & Regulation	01/04/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Highways & Transport	01/04/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Education & Childrens Services	06/04/2022	Referred back for local resolution	Premature Decision - advice given		
Corporate & Other Services	27/04/2022	Closed after initial enquiries	Other Agency better placed		
Adult Care Services	21/11/2022	Upheld	fault & inj	Financial redress: Avoidable distress/time and trouble, Financial Redress: Quantifiable Loss, Financial redress: Loss of service	
Adult Care Services	18/11/2022	Upheld	fault & inj	Apology	
Housing	20/04/2022	Advice given	Signpost - go to complaint handling		
Highways & Transport	26/04/2022	Closed after initial enquiries	26(6)(c) Court remedy		
Environmental Services & Public Protection & Regulation	16/08/2022	Closed after initial enquiries	26A Not a suitable person or representative		
Benefits & Tax	17/05/2022	Closed after initial enquiries	Not warranted by alleged fault		
Highways & Transport	22/04/2022	Referred back for local resolution	Premature Decision - advice given		
Adult Care Services	17/10/2022	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Financial Redress: Quantifiable	The Council will review its existing policy to ensure a consistent approach on top up charges. This includes where an individual has been assessed to be able to afford a

				Loss,Provide training and/or guidance,Pro cedure or policy change/revie w	more expensive care home, has refused the Council's offer of a care home and agreed to meet such charges in writing. The Council has no duty to source care arrangements for service users who are self-funders of their care. The Council will provide training to its staff to ensure timely accurate advice and guidance is provided to residential care users, or their representatives, regarding top up charges. And, where applicable, requests for support with finding suitable care homes are actioned without delay.
Housing	27/04/2022	Advice given	Signpost - go to complaint handling		
Corporate & Other Services	12/05/2022	Closed after initial enquiries	26(6)(a) tribunal ICO FOIA only		
Environmental Services & Public Protection & Regulation	22/06/2022	Closed after initial enquiries	Sch 5.1 court proceedings		
Housing	14/06/2022	Incomplete/invalid	Insufficient information to proceed and PA advised		
Planning & Development	24/06/2022	Closed after initial enquiries	Not warranted by alleged fault		
Other	15/06/2022	Advice given	Signpost - go to complaint handling		
Highways & Transport	14/07/2022	Closed after initial enquiries	Not warranted by alleged fault		
Environmental Services & Public Protection & Regulation	12/07/2022	Closed after initial enquiries	Sec 26(7) - all or most		
Highways & Transport	22/07/2022	Closed after initial enquiries	26(6)(c) Court remedy		
Benefits & Tax	29/03/2023	Upheld	fault no inj		

Adult Care Services	03/01/2023	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble, Financial redress: Loss of service, Provide training and/or guidance	The Council will issue reminders to appropriate staff to ensure they consider carrying out a carers assessment if it appears a carer may have any level of need for support. The Council will issue reminders to appropriate staff to ensure guidance and support is given when asked about direct payments and ensure proper consideration is given to these requests.
Benefits & Tax	29/07/2022	Referred back for local resolution	Premature Decision - advice given		
Environmental Services & Public Protection & Regulation	08/09/2022	Closed after initial enquiries	Not warranted by alleged fault		
Environmental Services & Public Protection & Regulation	18/08/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Education & Childrens Services	12/09/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Housing	10/10/2022	Closed after initial enquiries	Sch 5.5A/5.5B Social housing landlord		
Environmental Services & Public Protection & Regulation	24/10/2022	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble	
Highways & Transport	07/12/2022	Not Upheld	no fault		
Benefits & Tax	28/09/2022	Closed after initial enquiries	Not warranted by alleged fault		
Adult Care Services	23/11/2022	Closed after initial enquiries	Other reason not to investigate		
Planning & Development	30/11/2022	Closed after initial enquiries	Not warranted by alleged fault		
Adult Care Services	27/09/2022	Closed after initial enquiries	Not warranted by alleged fault		

Education & Childrens Services	06/10/2022	Referred back for local resolution	Premature Decision - advised		
Highways & Transport	03/10/2022	Closed after initial enquiries	26(6)(c) Court remedy		
Planning & Development	26/09/2022	Referred back for local resolution	Premature Decision - advice given		
Highways & Transport	07/10/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Environmental Services & Public Protection & Regulation	28/10/2022	Closed after initial enquiries	Not warranted by alleged fault		
Benefits & Tax	13/03/2023	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and trouble	
Planning & Development	18/11/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Benefits & Tax	24/10/2022	Referred back for local resolution	Premature Decision - advice given		
Adult Care Services	30/11/2022	Closed after initial enquiries	No worthwhile outcome achievable by investigation		
Environmental Services & Public Protection & Regulation	08/02/2023	Upheld	fault & inj	Apology, Financial redress: Loss of service	
Planning & Development	15/11/2022	Closed after initial enquiries	Not warranted by alleged injustice		
Highways & Transport	23/11/2022	Closed after initial enquiries	26(6)(a) tribunal Other		
Highways & Transport	14/12/2022	Closed after initial enquiries	Not warranted by alleged fault		
Highways & Transport	19/12/2022	Closed after initial enquiries	26B(2) not made in 12 months		
Environmental Services & Public Protection & Regulation	09/03/2023	Upheld	fault & inj	Apology, Financial redress: Avoidable distress/time and	The Council has agreed to remind staff of the Council's duty under the Equality Act to ensure that it



				trouble,Provide training and/or guidance,New appeal/review or reconsidered decision	evidences consideration during decision making where somebody has a protected characteristic.
Planning & Development	20/01/2023	Closed after initial enquiries	Not warranted by alleged fault		
Environmental Services & Public Protection & Regulation	19/01/2023	Upheld	Injustice remedied during organisations complaint processes		
Housing	04/01/2023	Advice given	Signpost - go to complaint handling		
Housing	05/01/2023	Advice given	Signpost - go to complaint handling		
Housing	05/01/2023	Advice given	Signpost - go to complaint handling		
Highways & Transport	18/01/2023	Closed after initial enquiries	26(6)(c) Court remedy		
Environmental Services & Public Protection & Regulation	02/02/2023	Advice given	Signpost - go to complaint handling		
Highways & Transport	17/03/2023	Closed after initial enquiries	No worthwhile outcome achievable by investigation		
Environmental Services & Public Protection & Regulation	22/03/2023	Closed after initial enquiries	Not warranted by alleged injustice		
Education & Childrens Services	30/03/2023	Closed after initial enquiries	Not warranted by alleged fault		
Corporate & Other Services	27/03/2023	Closed after initial enquiries	Sch 5.4 personnel		

#### Abbreviations

Mal – maladministration

Inj – injustice

PA – person affected (customer/complainant)

Rep – representative for the PA

## Compliance with Agreed Remedies

Category	Decided	Remedy	Remedy Target Date	Remedy Achieved Date	Satisfaction with Compliance
Environmental Services & Public Protection & Regulation	13-Jan-22	Financial redress: Avoidable distress/time and trouble Provide services to person affected Provide services/information to others affected	13-Jul-22	28-Apr-22	Remedy complete and satisfied
Housing	04-Jan-22	Apology Financial redress: Avoidable distress/time and trouble Provide training and/or guidance	04-Apr-22	03-Apr-22	Remedy complete and satisfied
Housing	04-Apr-22	New appeal/review or reconsidered decision	05-May-22	28-Apr-22	Remedy complete and satisfied
Adult Care Services	15-Jun-22	Financial redress: Avoidable distress/time and trouble Reassessment	16-Jul-22	04-Aug-22	Remedy completed late
Education & Childrens Services	15-Aug-22	Apology Financial redress: Avoidable distress/time and trouble Procedure or policy change/review Provide training and/or guidance	16-Nov-22	17-Nov-22	Remedy complete and satisfied
Adult Care Services	07-Apr-22	Apology	16-May-22	09-May-22	Remedy complete and satisfied
Highways & Transport	03-Apr-22	Financial Redress: Quantifiable Loss Financial redress: Avoidable distress/time and trouble Apology Provide training and/or guidance Provide services/information to others affected	04-Jul-22	03-Jul-22	Remedy complete and satisfied
Planning & Development	25-Aug-22	Apology Financial redress: Avoidable distress/time and trouble Procedure or policy change/review	25-Nov-22	16-Nov-22	Remedy complete and satisfied

Adult Care Services	29-Sep-22	Apology Financial redress: Avoidable distress/time and trouble	31-Oct-22	10-Oct-22	Remedy complete and satisfied
Benefits & Tax	15-Aug-22	Improved BinJ remedy	16-Aug-22	15-Aug-22	Remedy complete and satisfied
Adult Care Services	21-Nov-22	Financial redress: Avoidable distress/time and trouble Financial Redress: Quantifiable Loss Financial redress: Loss of service	21-Dec-22	09-Jan-23	Remedy completed late
Adult Care Services	18-Nov-22	Apology	16-Dec-22	06-Dec-22	Remedy complete and satisfied
Adult Care Services	16-Oct-22	Apology Financial redress: Avoidable distress/time and trouble Financial Redress: Quantifiable Loss Provide training and/or guidance Procedure or policy change/review	16-Jan-23	17-Jan-23	Remedy complete and satisfied
Adult Care Services	03-Jan-23	Apology Financial redress: Avoidable distress/time and trouble Financial redress: Loss of service Provide training and/or guidance	03-Apr-23	09-Mar-23	Remedy complete and satisfied
Environmental Services & Public Protection & Regulation	23-Oct-22	Apology Financial redress: Avoidable distress/time and trouble	24-Nov-22	23-Nov-22	Remedy complete and satisfied
Benefits & Tax	17-Mar-23	Apology Financial redress: Avoidable distress/time and trouble	14-Apr-23	26-Mar-23	Remedy complete and satisfied
Environmental Services & Public Protection & Regulation	08-Feb-23	Apology Financial redress: Loss of service	08-Mar-23	08-Mar-23	Remedy complete and satisfied

