

PLYMOUTH CITY COUNCIL

Subject: Analysis of Local Government and Social Care Ombudsman
Annual Report 2017/18

Committee: Audit Committee

Date: 1 October 2018

Cabinet Member: Councillor Sally Haydon

CMT Member: Andrew Hardingham
(Interim Strategic Director for Transformation and Change)

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Ref:

Key Decision: No

Part: 1

Purpose of the report:

Every year the Local Government and Social Care Ombudsman (LGSCO) sends each council an annual review letter which outlines the Ombudsman's position in relation to complaints monitoring. The publication of the 2017/8 annual report provides an opportunity to review and discuss complaints that have been received about Plymouth during the period 1 April 2017 to 31 March 2018.

After investigation, the LGSCO upheld only fifteen complaints of the one hundred and twenty one (12.4%) complaints they made decisions about in relation to Plymouth City Council. This is an improvement on the rate upheld for 2016/17 which was 14.7%.

This briefing provides analysis of the LGSCO annual review data and presents an annual summary for Plymouth comparing our local statistics with the relative benchmarks. It also highlights the lessons learned, how individual teams and services have responded to the LGSCO complaints and what our Council has done differently following LGSCO intervention.

The Corporate Plan:

The analysis and organisational learning contained within this paper will contribute towards new corporate performance indicators: percentage of complaints resolved at first stage and percentage of complaints resolved at second stage. This indicator sits within the 'How we will deliver' theme, supporting the council to provide quality public services and listening to our customers and communities.

Implications for Medium Term Financial Plan and Resource Implications: Including finance, human, IT and land:

No specific financial implications result from the LGSCO report.

Other Implications: e.g. Child Poverty, Community Safety, Health and Safety and Risk Management:

None

Equality and Diversity

Has an Equality Impact Assessment been undertaken? No

Recommendations and Reasons for recommended action:

1. To approve the Recommendations set out in paragraph 2.3 of this Report.
 2. To note the progress made to date and approve the proposals set out in paragraph 2.4 of this Report.
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Alternative options considered and rejected:

Published work / information:

[Local Government Ombudsman Annual Review Report 2018](#)

Background papers:

None

Sign off:

Fin	akh.18 .19.99	Leg	ALT/ 3050 8	Mon Off		HR		Assets		IT		Strat Proc	
Originating SMT Member Andrew Hardingham, Interim Director for Transformation & Change													
Has the Cabinet Member(s) agreed the contents of the report? Yes													

I. BACKGROUND INFORMATION

The Local Government and Social Care Ombudsman (LGSCO) publishes annual complaint statistics for councils, all adult social care providers (including care homes and home care agencies) and some other organisations providing local public services. This report in part provides an analysis of those statistics for Plymouth for 2017/18. This report also attempts to capture the lessons learned from the complaints.

Complaint Statistics

Peer group benchmarking is provided for each of the service area sections. However, care is required in interpreting the data information in this report as the volume of complaints against an authority do not prove that it is a 'poor' or 'good' performing council. The LGSCO suggests that that high volumes of complaints can be a sign of an open, learning organisation, as well as sometimes being an early warning of wider problems. They also suggest that low complaint volumes can be a worrying sign that an organisation is not alive to user feedback, rather than always being an indicator that all is well.

Organisational Learning

Currently, the LGSCO sends complaints via the link officer, the Customer Liaison Manager, within the Customer Services Department. The complaint is then monitored centrally to ensure that the LGSCO receives the required responses in the timescales set with each case. Once a complaint is received it is disseminated into the relevant service area, where an investigation takes place and a response is formulated as well as remedial action undertaken. Once the LGSCO has concluded its involvement, responsibility for remedial action is held locally within each team/service where the complaint was upheld.

2 SUMMARY OF COMPLAINTS UPHELD, KEY MESSAGES AND RECOMMENDATIONS

2.1 Complaints upheld summary

The table below provides summarised details for all LGSCO upheld complaints

Service	Complaint Description	Remedial Action	Changes and Learning
Adult Social Care	1	Complaint received about failure to properly assess & meet care needs, or to assist in the moving to an alternative accommodation	Reassessment A new SW was appointed and the assessment rescheduled (both client and LGO were fully updated when it became clear the original SW would be absent long term). The assessment took place, the client was switched to a commissioned service rather than direct payments due to the difficulties experienced in finding a suitable care provider. ASC complaints process reviewed and wef May 2018 all ASC complaints are investigated under a revised Livewell South West process. Improvements will be monitored and reviewed.
	2	Complaint received that the Council proposed reducing care and support following a reassessment of needs and delayed agreeing support plan. This caused distress and worry and incurred legal costs in challenging the Council's views.	Financial Redress £1539 An apology was issued and refund of legal costs. An additional payment was made to cover time, trouble and distress. The SW did not consider all medical information before proposing to reduce care and support package. The package was not reduced at any time during this dispute. Specifics of this case were followed up with supervision sessions. ASC complaints process reviewed and wef May 2018 all ASC complaints are investigated under a revised Livewell South West process. Improvements will be monitored and reviewed.
	3	Complaint received re: delay in completing care assessment in 2015; Refused to allow Direct Payments to hire a personal assistant (PA), and did not explain the decision; Changed the Social Worker unnecessarily several times; Rejected request for two extra hours of care provision per day, and did not explain the decision; Failed to keep proper records, delay in responding to complaints.	Financial Redress £200 Fault found in relation to communication of reasoning to reject two additional hours and fully record its decision. There was also delay in responding and dealing with some of the complaint. An apology has been issued and a payment provided for the injustice occurred. ASC complaints process reviewed and wef May 2018 all ASC complaints are investigated under a revised Livewell South West process. Improvements will be monitored and reviewed.

Planning & Development	4	<p>Complaint received regarding rejection at the validation stage to an application for planning consent for the conversion of a neighbouring business unit to residential units in 2014;</p> <p>a. Publish all relevant information about the application on its website at the time;</p> <p>b. Refer to and consider all relevant planning policies in the officer's report;</p> <p>c. Take relevant information in to account when granting consent;</p> <p>d. Properly consider what insulation was needed to protect occupiers from noise created by his nightclub and ensure it was in place.</p> <p>As a result, the commercial viability has been affected.</p>	Apology, Procedure change	<p>Procedures have been changed as a result of the LGO decision; - Guidance on this matter has been written in the DM Manual and Team Managers have been informed not to sign off any decision notice that excludes a local validation requirement unless a clear justification is provided by the case officer as part of the officer report and / or through another written explanation.</p> <p>- Most responses are now gathered through the consultation cloud in IDOX so will be automatically uploaded on the website. However if a consultation response is provided through another source (e.g. email) then it is the responsibility of the case officer to ensure it is uploaded to the website.</p> <p>- Case officers have been informed to provide more comprehensive notes of site visits and to record these on IDOX.</p> <p>- Team managers will regularly remind staff of the importance of following the DM Manual.</p>
Benefits and Tax	5	Complaint re: decision on liability for Council Tax and failure to update its database to reflect the customers desired billing address	Financial Redress £93.50	All staff members reminded of procedures with provision of additional training as required.
	6	Complaint received that the Council failed to inform customer of the terms of a payment arrangement for council tax arrears, before it referred the case to the enforcement agents.	Financial Redress £75	All staff members reminded of procedures with provision of additional training as required.
	7	Complaint received regarding the Council not responding to the complainant's contact about application to its emergency fund. No injustice caused, as the Council no longer has an emergency fund.	No further action required	Customer was on a single point of contact (SPOC) register. SPOC process to be reviewed.

Environmental Services & Public Protection & Regulation	8	Complaint received, applied for an assisted bin collection, it took six months for the problem to be resolved. Considers that the current system is not user friendly for people with dementia.	Financial Redress £50, Procedure or policy change/review	A review of the assisted collection policy and the assessment process and the criteria for eligibility will be undertaken in light of the lessons learned from this case.
Highways and Transport	9	Complaint received that the Council wrongly decided eligibility for a parking permit following a change of use application.	Reassessment, Procedure or policy change/review	Parking Services has amended its policy so that residential properties that have parking permit exclusions can now be appealed where it can be demonstrated the change has not led to an increase in parking demand and/or that the scheme zone is undersubscribed.
Housing	10	Complaint received about the Council's handling of request for housing help in a potential eviction situation. Fault by the Council due to accumulation of significant rent and council tax arrears.	Financial Redress £600, Training	Frontline training was addressed. In April 2018 the service responded to new legislation and a new IT system which have changed the way the service is providing advice. Staff have been merged across Customer Services and Community Connections so that training and processes are managed and joined up.
	11	Discontinued this investigation because the Council has offered a satisfactory remedy for the complaint and that the person was wrongly charged for cleaning and other works carried out at their former temporary accommodation.	Apology	Property management for temporary accommodation provision e.g. maintenance or repairs/damage/license breaching etc is now undertaken by a property management company as a result of lessons learned regarding customer support and/or evidence collection.
Education and Children's Services	12	Fault found in the handling of this complaint re: PCCs refusal to agree to a request for investigation at stage 2 of the statutory children's complaints procedure.	Financial redress £150, New appeal/review or reconsidered decision, Procedure or policy change/review	The complaint has now been accepted at Stg2 and investigation is ongoing. Financial redress has been paid. Learning has been addressed with the team and a review of procedures are due to take place within 8 weeks.
	13	Fault found in the handling of this complaint re: PCCs refusal to agree to a request for investigation at stage 2 of the statutory children's	Financial redress £150, New appeal/review or reconsidered	The complaint has now been accepted at Stg2 and investigation is ongoing. Financial redress has been paid. Learning has been addressed with the team and a review of procedures are due to take place within 8 weeks.

		complaints procedure.	decision, Procedure or policy change/review	
14		Fault found in the handling of this complaint re: PCCs refusal to agree to a request for investigation at stage 2 of the statutory children's complaints procedure.	Financial redress £150, New appeal/review or reconsidered decision, Procedure or policy change/review	The complaint has now been accepted at Stg2 and investigation is ongoing. Financial redress has been paid. Learning has been addressed with the team and a review of procedures are due to take place within 8 weeks.
15		The Ombudsman found significant delays in the Council producing an Education Health and Care Plan. However, this has not caused an injustice, as education was available throughout the period and an appeal to Tribunal would not have resolved any concerns any earlier.	No further action required	The delay in finalising an Education, Health and Care Plan had been due to negotiation around the setting for provision. Plans are now finalised within the timescale of 20 weeks. Further negotiation then takes place to resolve the issues after the plan is finalised.

2.2 Key Messages

The key messages from the analysis of the 2017/18 LGSCO Annual Report data are as follows:

- Plymouth has seen an increase in the total number of complaints received by the LGSCO in comparison to the previous year; ninety eight complaints in 16/17 and one hundred and twenty seven complaints in 17/18.
- Whilst more complaints were received, we have seen a decrease in the number of complaints that require a detailed investigation by the LGSCO; 26% in 16/17 and 21% in 17/18.
- There was also a reduction in the upheld rate. The LGSCO upheld only fifteen complaints of the one hundred and twenty one (12.4%) complaints they made decisions about in relation to Plymouth City Council. This is an improvement on the rate upheld in 2016/17 which was 14.7%.
- Highways and Transport were the only area to show a decrease in total number of complaints in comparison to the 2016/17 report.
- There has been a significant increase in complaints received about Benefits and Tax; from nineteen complaints in 16/17 to thirty four in 17/18. Although, only five (14%) of the thirty four complaints required a detailed investigation which is a significant decrease in comparison with 16/17 which was 37%.
- Adult Social Care and Education and Children's Services account for 46% of the upheld complaints.
- The LGSCO has reported experiencing the Council to be very resistant to accepting fault despite clear and numerous failings in implementing the statutory children's complaints procedures.
- In response to the 2015/16 Annual Report, PCC implemented a two stage complaints process on 1st April 2018. This aimed to reduce the number of complaints being escalated to the LGSCO and signs are positive after an analysis of the first quarter of 2018/19. Between 1.04.2018 and 30.06.2018 the number of complaints requiring a decision from the LGSCO was four, this is a reduction in comparison with the first quarter of 2017/18 when twelve decisions were made. This position will be monitored throughout the remainder of the year.

2.3 Recommendations

As a result of the data analysed from the complaints escalated to LGSCO the following recommendations have been put together to ensure that PCC is learning lessons from customer feedback;

1. Address the comments made by the LGSCO in respect of statutory children's complaints procedures.
2. Work with Livewell South West to strengthen the complaints handling process and ensure lessons learned are driving service improvements across organisations in respect of Adult Social Care.
3. Work with Street Services to improve the customer experience (complaints are included in the LGSCO category Environmental Services and Public Health and Regulation).

4. Further develop the monitoring of corporate performance in respect of customer feedback and ensure customer feedback is used to resolve any issues through the implementation of lessons learned.

2.4 Progress update

The following activity has occurred to support delivery of the recommendations:

Recommendation 1 – Customer Liaison Manager is working to join up the activity undertaken in relation to complaints management across Council departments, particularly focusing on clarifying the roles and responsibilities of Feedback Coordinators, Investigating Officers and the use of complaints management systems. This includes working more closely with the Statutory Complaints Team, currently based in Finance, and ensuring monitoring and reporting processes are in place at the same standard as corporate complaints monitoring.

Children’s Social Care has seen a change in structure with a number of new managers appointed, resulting in investigations taking longer than expected and sometimes not as robustly as expected. The Statutory Complaints Team have provided some adhoc training to new managers and are currently developing a new training package, in conjunction with Heads of Service, to cover undertaking investigations and providing responses to complaints.

The Children’s Social Care complaint process has three stages. Should a complainant remain dissatisfied with their response at the first stage, they can request for their concerns to be escalated to a second stage. Stage 2 involves an external investigation being completed by an Investigating Officer and overseen by an Independent Person, this has a financial impact of approximately £4,000 per investigation. The Statutory Complaints Team Leader and Service Manager, or Head of Service, meet with any complainants suggesting dissatisfaction after stage 1 to try and reach a mutually satisfactory outcome and avoid moving to stage 2. In 2017/18, resolutions at informal meetings avoided £52,000 worth of stage 2 complaint costs.

Recommendation 2 – The Customer Liaison Manager has been working with the Information Governance Manager, Complaints Team Leader and Head of Service to review current processes. A meeting has also been undertaken with the Livewell Southwest Complaints and Litigation Manager. This resulted in the design of a ‘to be’ process for managing Adult Social Care complaints, the role of the triage process on receipt of complaints, reporting requirements to ensure compliance with timescales, and an agreed regular meeting schedule for reviewing the process across the organisations.

Recommendation 3 – A Street Services Modernisation Board meets monthly and has invited the Customer Liaison Manager to provide a key link between the service and customer services. This includes a focussed effort on setting customer expectations through consistency of messaging across the website, the contact centre/first stop shop and digital systems as well as updating policy wording, service standards and associated performance measures as the service modernises. Customer feedback, including complaints, is monitored on a monthly basis and a quarterly review was also considered at Place DMT. Street Services are using feedback to create hotspot mapping to help identify and realign issues as well as using learning from complaints. This has resulted in action being taken within the back office function to improve the quality and timeliness of responses to complaints, particularly at Stage 2.

Recommendation 4 – Departmental Balanced Scorecards now include measures of;

- Number of complaints received
- % of complaints upheld

- % of complaints closed within timeframe
- Number of LGO complaints received
- Number of LGO decisions made.

Information is also provided in the narrative that details the stage 1 & 2 breakdown for the complaint's indicators.

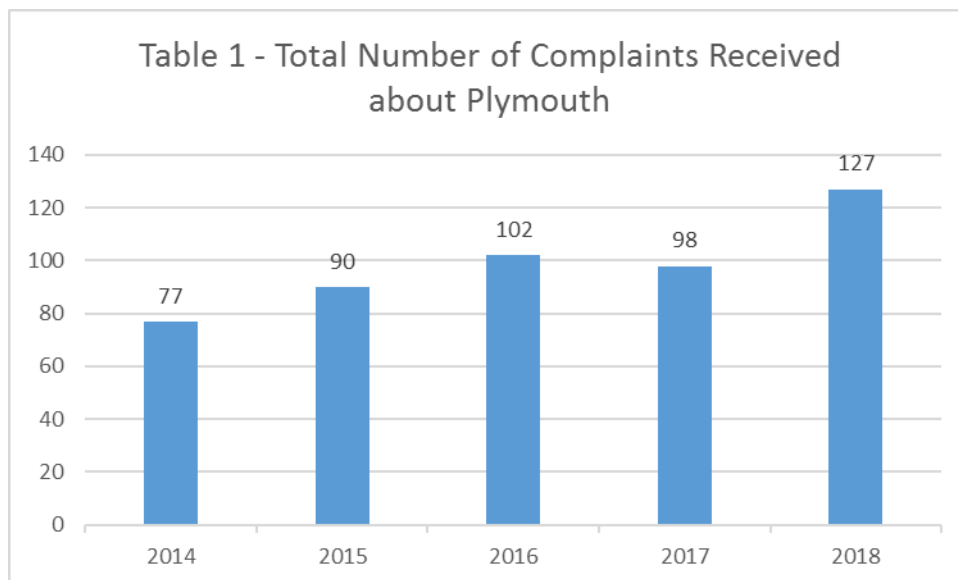
Whilst measures are important to understand our performance, a key focus will be placed on how services use customer feedback to resolve issues. Lessons learned from upheld complaints and customer feedback will be monitored at regular performance meetings and built into corporate quarterly performance monitoring. Each quarterly report will include complaints and any specific lessons learned from departments; quarter 1 monitoring included clarification of action being taken in Children's Social Care and Street Services as a result of customer feedback.

3. COMPLAINT STATISTICS 2017/18 OVERALL PLYMOUTH RESULTS

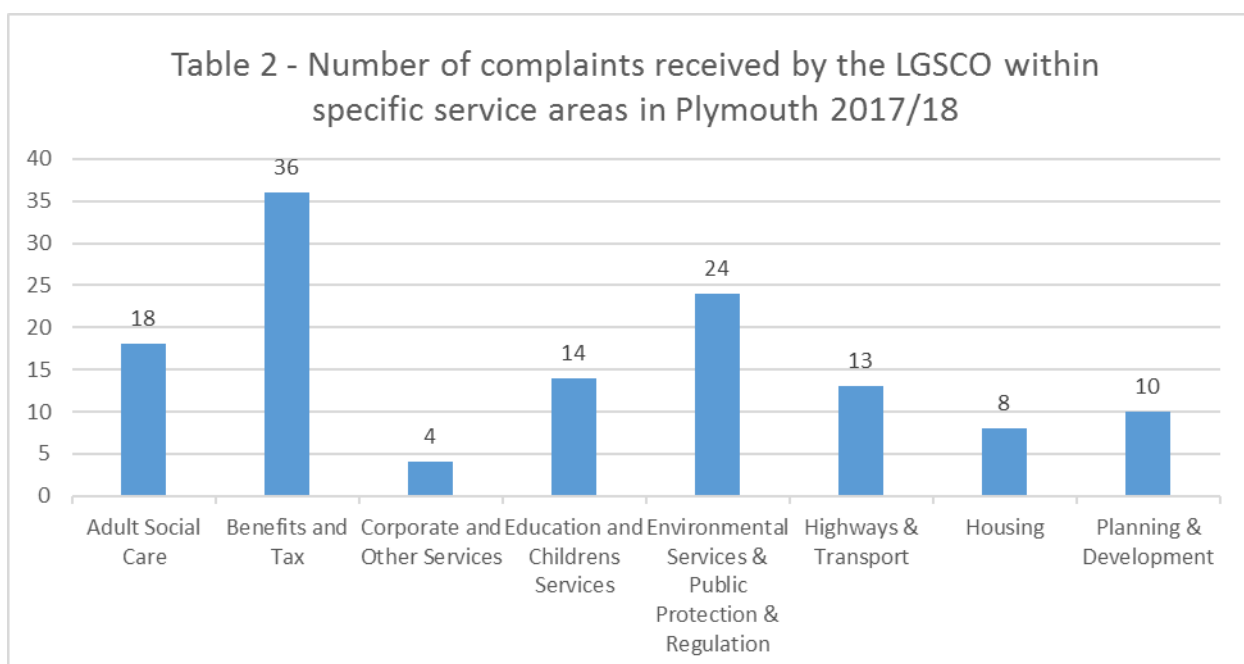
3.1 Complaints received

It is important to note that not all complaints are decided in the same year that they are received. The number of complaints received by the LGSCO for Plymouth in 2017/18 was one hundred and twenty seven. However figures in this report mainly reflect the decisions received during 17/18 which totalled one hundred and twenty one.

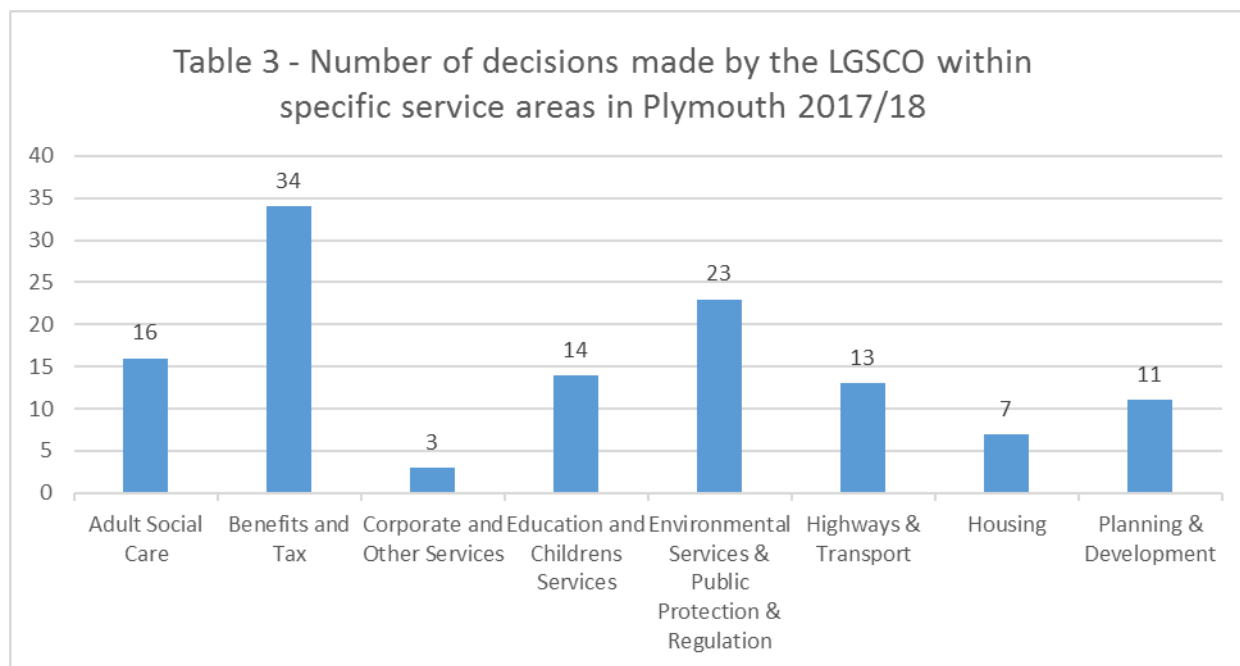
The table below shows the total number of complaints received by the LGSCO about Plymouth since 2014.



The table below shows the distribution of the complaints received within each of the specific service areas in 2017/18.



The table below shows the distribution of the complaint decisions made by the LGSCO for Plymouth within each of the specific service areas in 2017/18.



3.2 Complaint Decisions

A total of one hundred and twenty one decisions were made by the LGSCO for Plymouth in 17/18; this is an increase in comparison to the previous year when one hundred and two decisions were made, but this was likely to be the case given the increase in total number of complaints received.

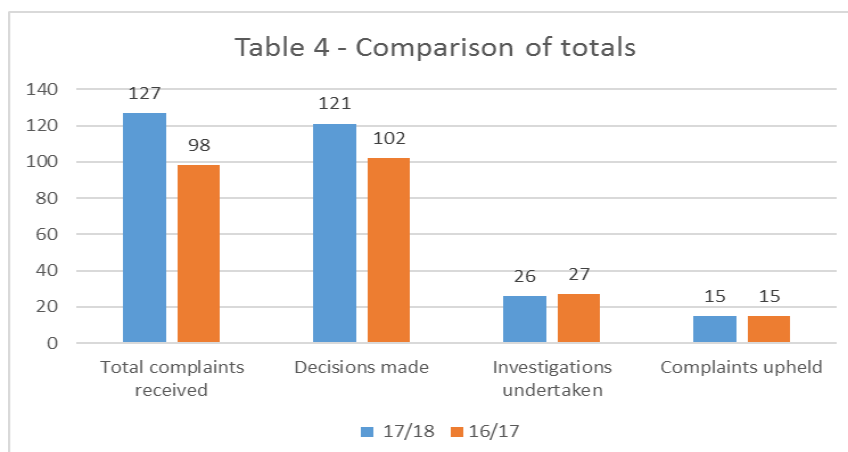
In 2017/18, of the complaints received for England, where a detailed investigation occurred, 57% were upheld – this is known as the upheld rate. In Plymouth, the LGSCO conducted a detailed investigation into twenty six complaints, of those fifteen were upheld so our upheld rate is 58%. In comparison to 2016/17 data, the upheld rate has increased by 2%.

When comparing the upheld rate to the total number of decisions made though, we have seen a decrease of almost 2.5% this year;

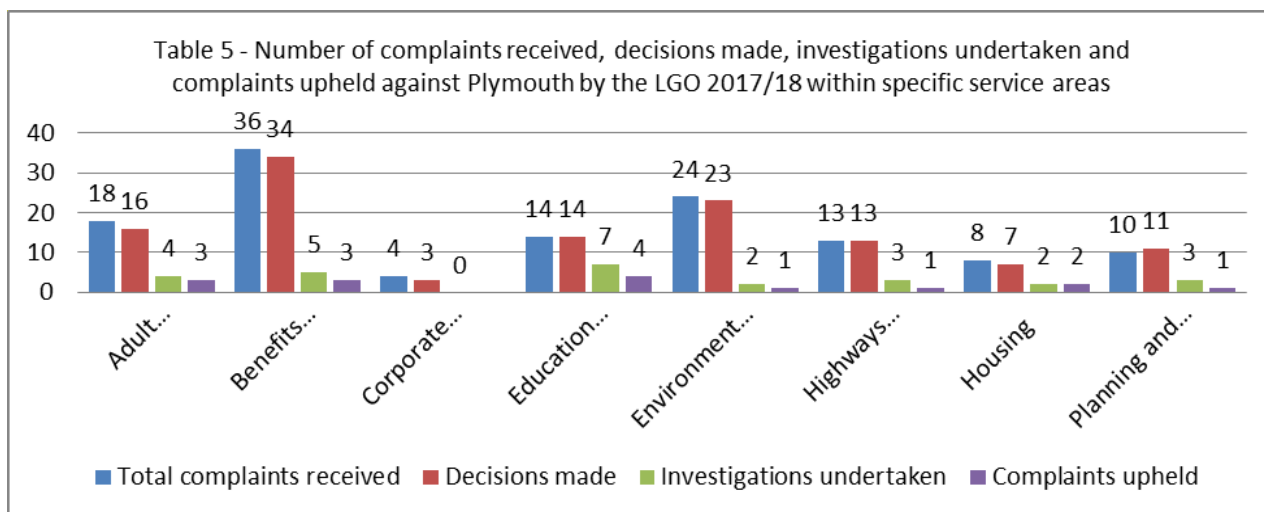
2016/17 fifteen complaints upheld of one hundred and two decisions made (14.7%)

2017/18 fifteen complaints upheld of one hundred and twenty one decisions made (12.4%).

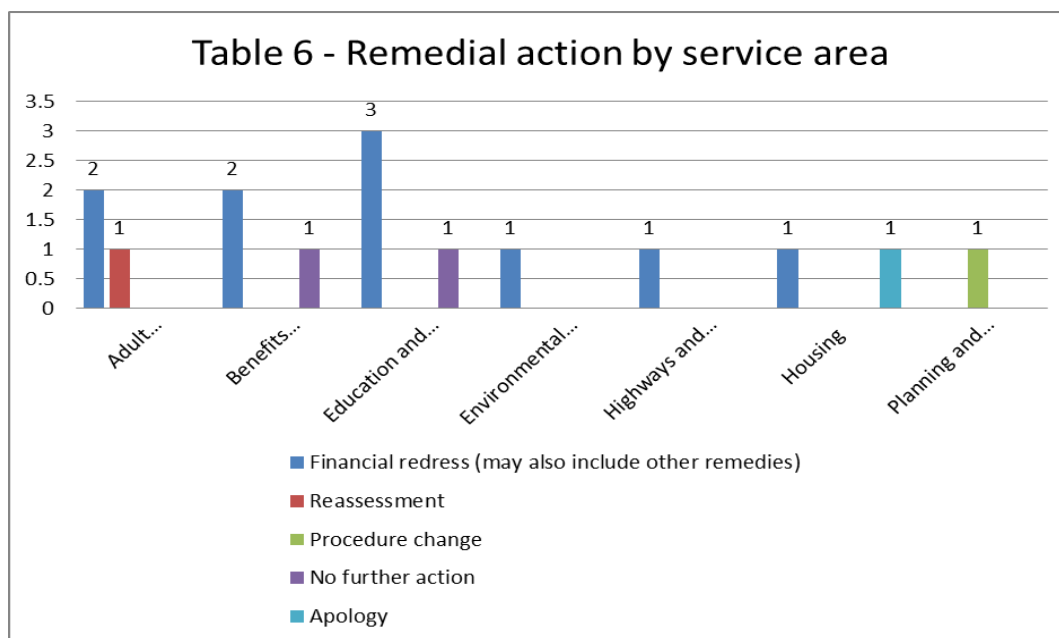
The table below shows the total numbers of complaints received, decisions made, detailed investigations undertaken and complaints upheld in both 16/17 and 17/18.



The table below shows the breakdown of the total numbers of complaints received, decisions made, detailed investigations undertaken and complaints upheld by service area for 17/18.



The table below shows the remedial action by service area as recommended by the LGSCO.



Appendix 1 provides more information around the one hundred and twenty one decisions made and outcomes of detailed investigations. Clarification of the categories of decisions made can be found in Appendix 2.

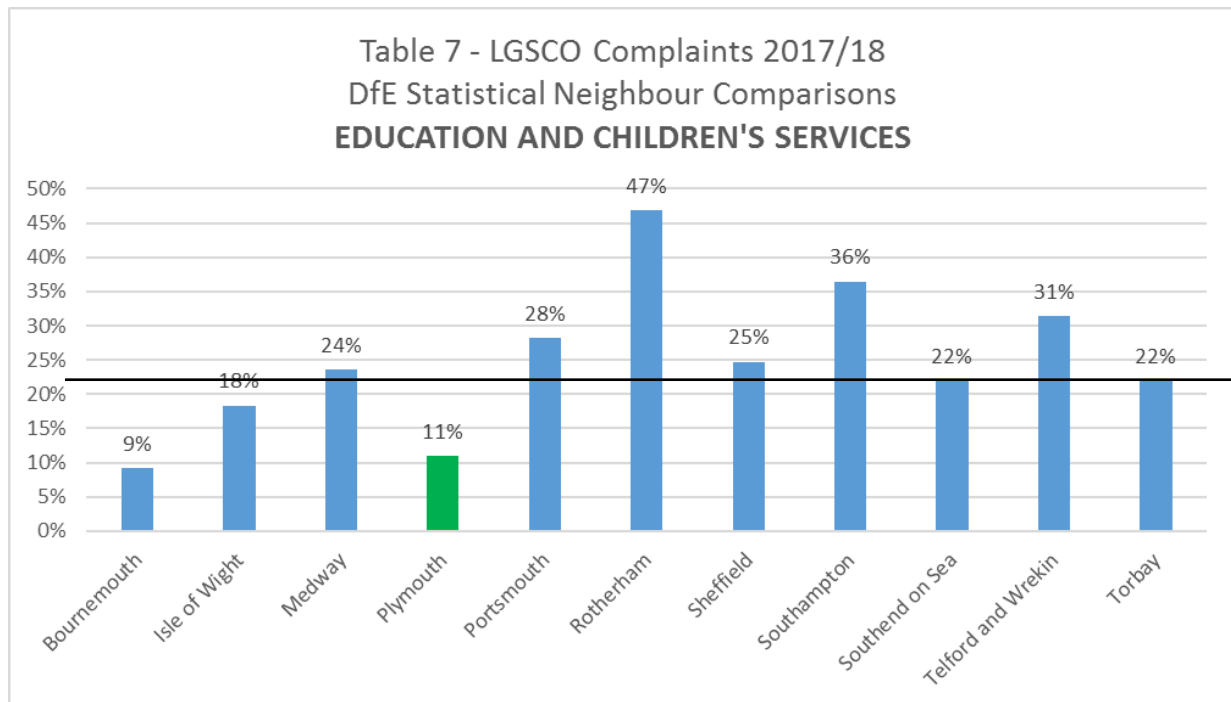
Appendix 3 illustrates the remedial action recommended by the LGSCO following their detailed investigations. Lessons learned from each of the upheld complaints can be found in the next section within each of the service area headings.

Appendix 4 shows the volumes and upheld rates of corporate and statutory complaints in comparison with LGSCO complaints.

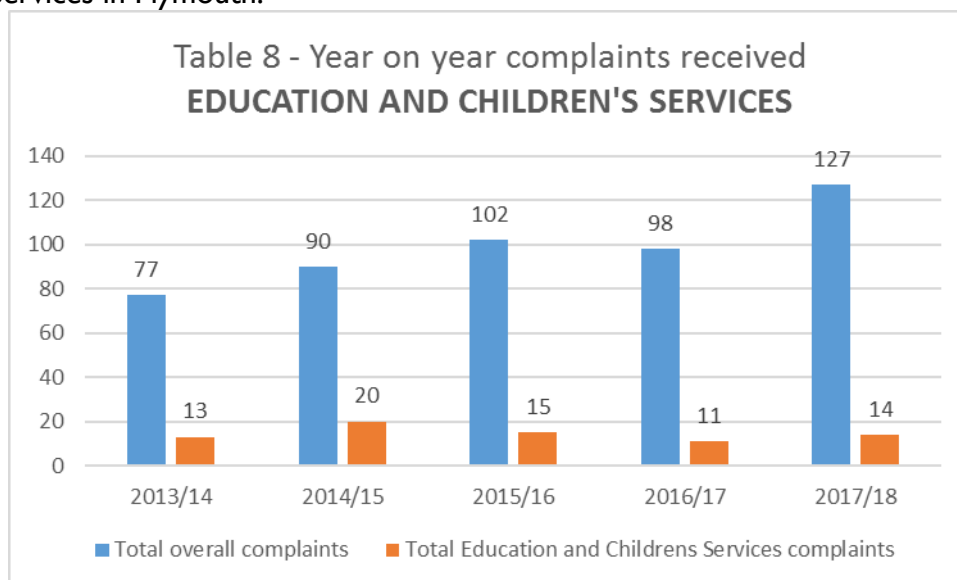
4. ANALYSIS OF COMPLAINTS RECEIVED FOR PLYMOUTH BY THE LGSCO

4.1 Education and Children’s Services

The average amount of complaints received about Education and Children’s Services within the DfE benchmarking group is nineteen (25% of total overall complaints received). Plymouth performs favourably with less than the statistical neighbour average.



In total the LGSCO received fourteen complaints and enquiries relating to Education and Children’s Services in Plymouth.

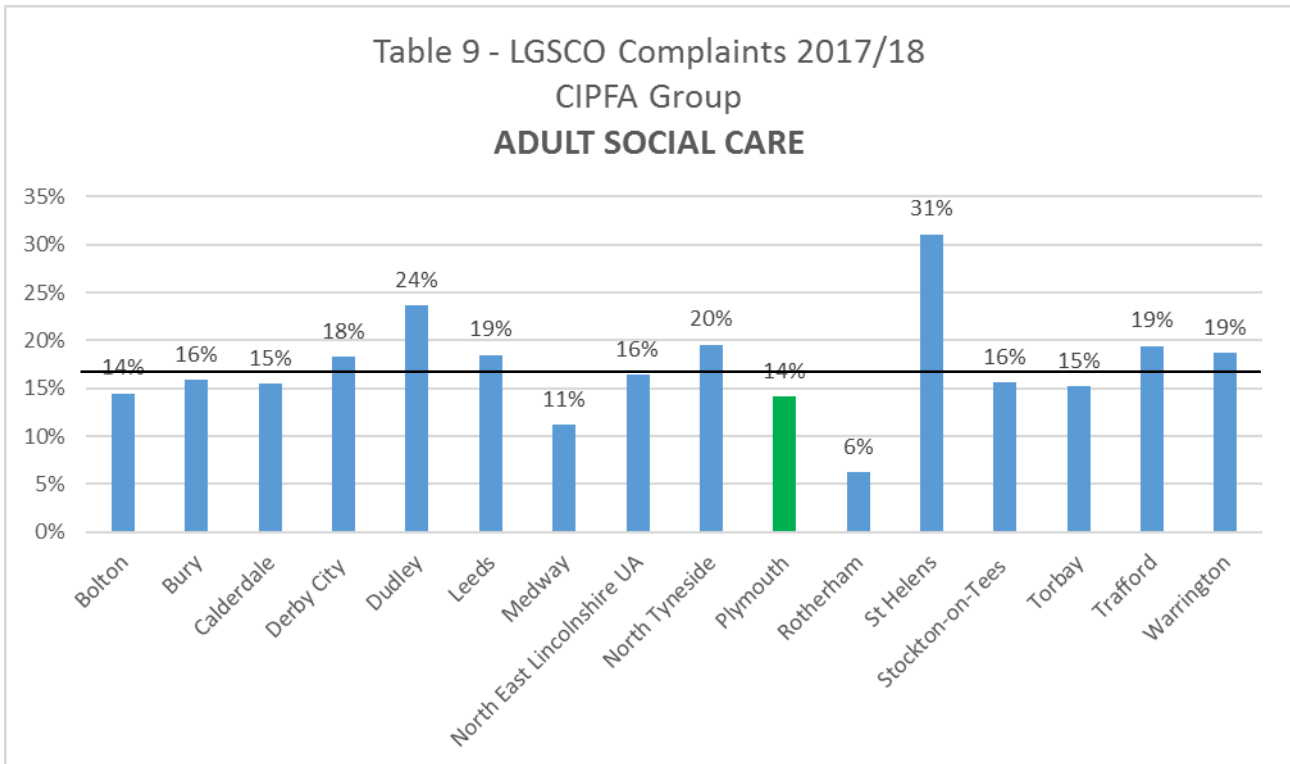


UPHELD COMPLAINTS AND LESSONS LEARNED

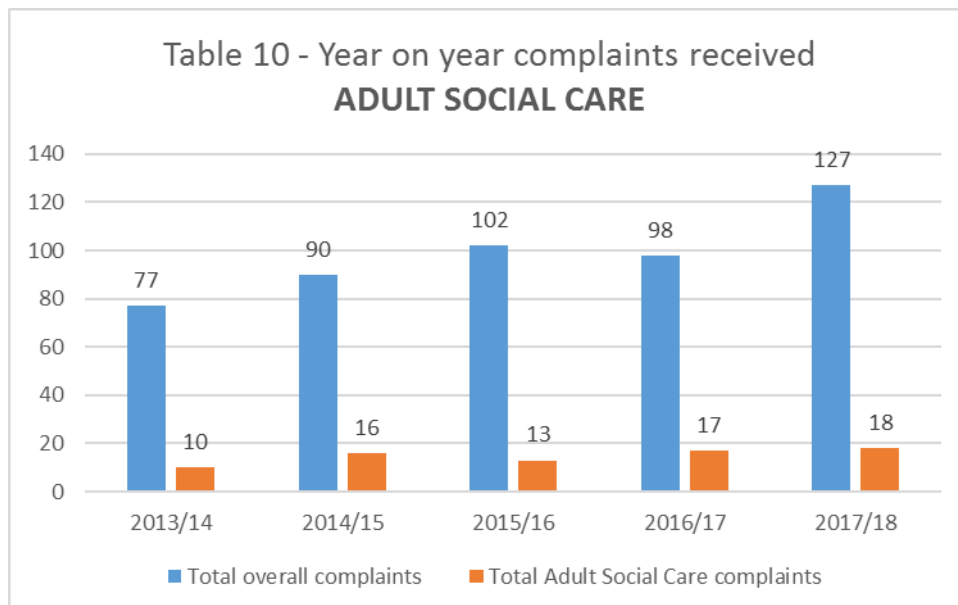
Of the fourteen complaints received by the LGSCO, four were upheld. Three related to referrals to stage 2 of the statutory Children’s Social Care complaints process and the Council was found to be at fault in respect of not moving the complaints into the second stage. The complaints have all now been moved to stage 2 and as a result of lessons learned from these cases, a review of procedures will be undertaken.

4.2 Adult Social Care Services

The average amount of complaints received about Adult Social Care Services within the CIPFA Family Group is 17% of total overall complaints received. Plymouth performs favourably against the family group average.



In total Plymouth received eighteen complaints and enquiries relating to Adult Social Care Services. This is the highest seen over recent years.

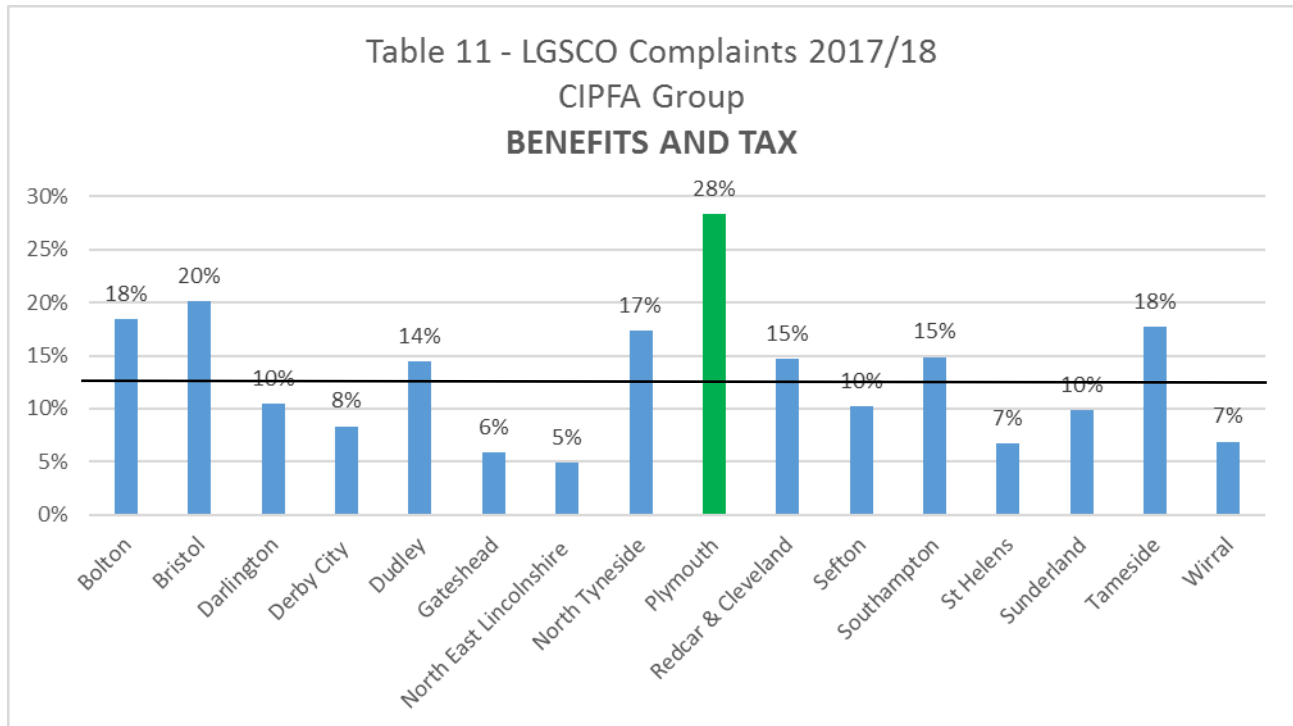


UPHELD COMPLAINTS AND LESSONS LEARNED

Of the eighteen complaints received by the LGSCO, three were upheld. Following these cases Adult Social Care complaints processes were reviewed and are now investigated under a revised Livewell South West process.

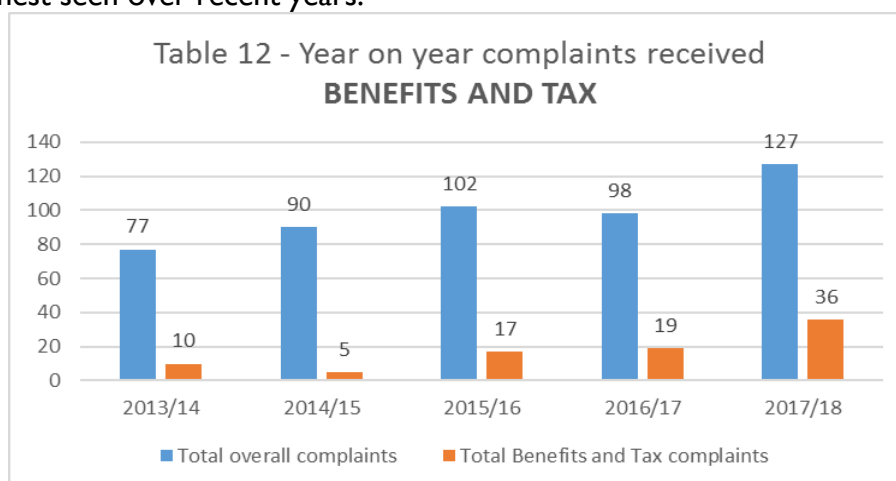
4.3 Benefits and Tax Services

The average amount of complaints received about Benefits and Tax Services within the CIPFA Family Group is 13% of total overall complaints. Plymouth does not perform favourably against the family group average.



Whilst Plymouth does not perform favourably in terms of the total number of benefits and tax related complaints, our upheld rate is 8% which is better than the average upheld rate across the group which is 12%.

In total Plymouth received thirty-six complaints and enquiries relating to Benefits and Tax Services. This is the highest seen over recent years.

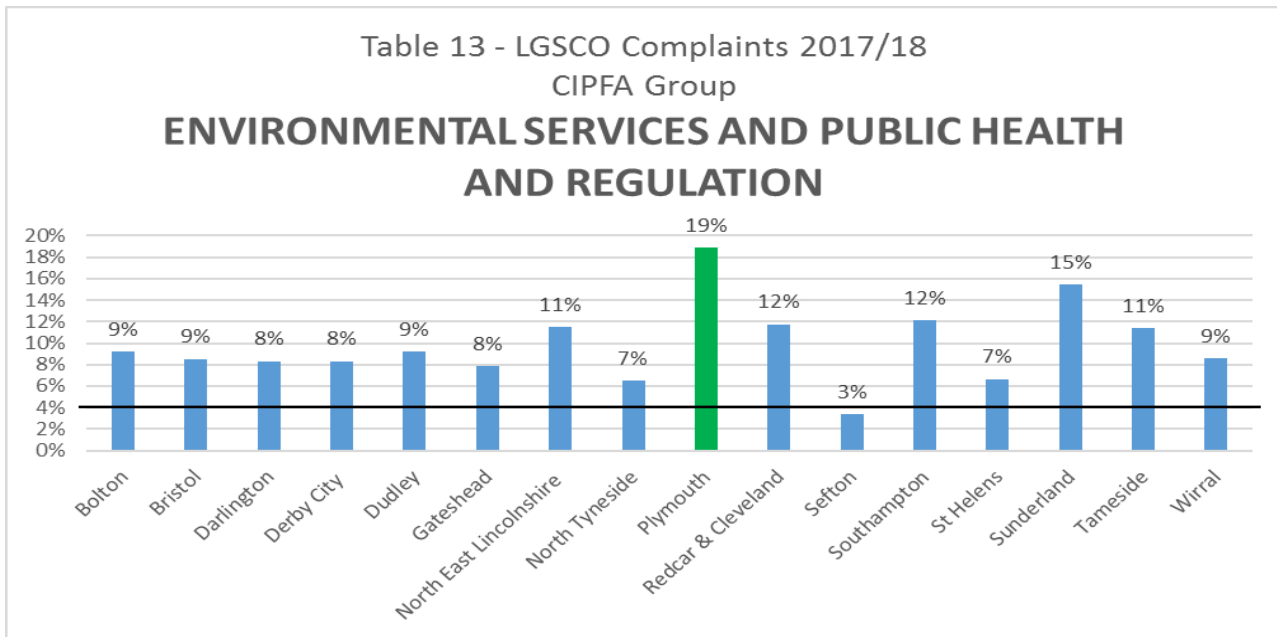


UPHELD COMPLAINTS AND LESSONS LEARNED

Of the thirty-six complaints received, three complaints were upheld by the LGSCO. All staff members have been reminded of procedures with additional training being provided where required.

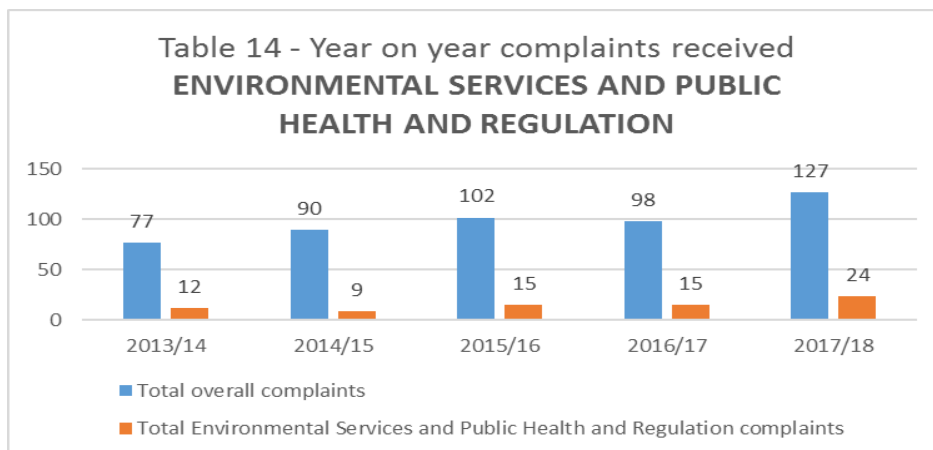
4.4 Environmental Services and Public Health and Regulation

The average amount of complaints received about Environmental Services and Public Health and Regulation Services within the CIPFA Family Group is 9% of total overall complaints received. Plymouth does not perform favourably against the family group average.



Whilst Plymouth does not perform favourably in terms of the total number of environmental services and public health and regulation related complaints, our upheld rate is 3% which is much better than the average upheld rate across the group which is 14%.

In total Plymouth received twenty four complaints and enquiries relating to Environmental Services, Public Protection and Regulation Services, which is the highest seen over recent years. This correlates with corporate feedback volumes, where complaints about street and waste services account for the majority of complaints received by PCC.

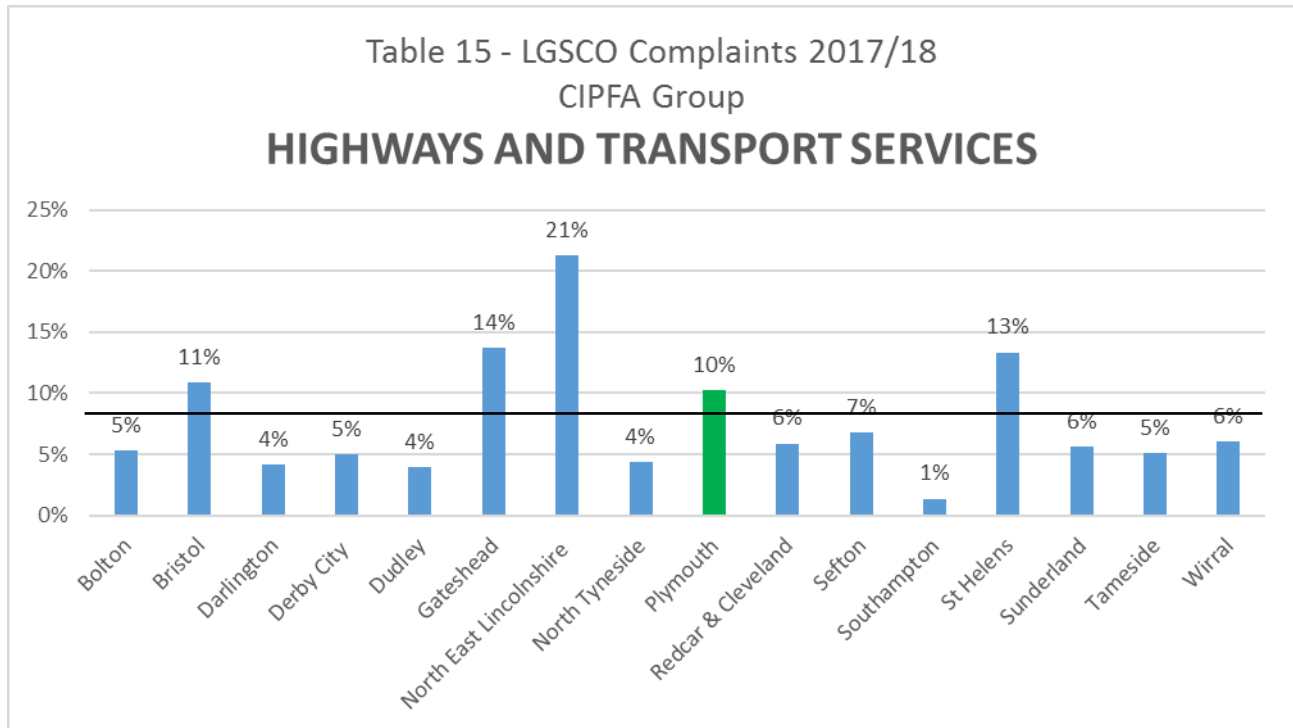


UPHELD COMPLAINTS AND LESSONS LEARNED

Of the twenty four complaints received, one was upheld and related to a delay with an assisted bin collection application. A review of the assisted collection policy and the assessment process and the criteria for eligibility will be undertaken in light of the lessons learned from this case.

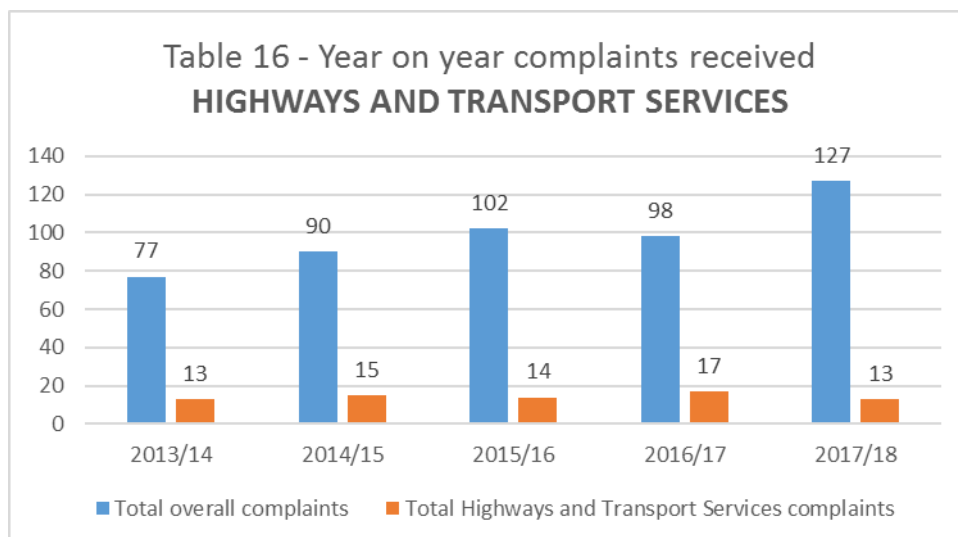
4.5 Highways and Transport Services

The average amount of complaints received about Highways and Transport Services within the CIPFA Family Group is 8% of total overall complaints received. Plymouth does not perform favourably against the family group average.



Whilst Plymouth does not perform favourably in terms of the total number of highways and transport services related complaints, our upheld rate is 8% which is much better than the average upheld rate across the group which is 24%.

In total Plymouth received thirteen complaints and enquiries relating to Highways and Transport Services. This is the lowest seen over recent years.

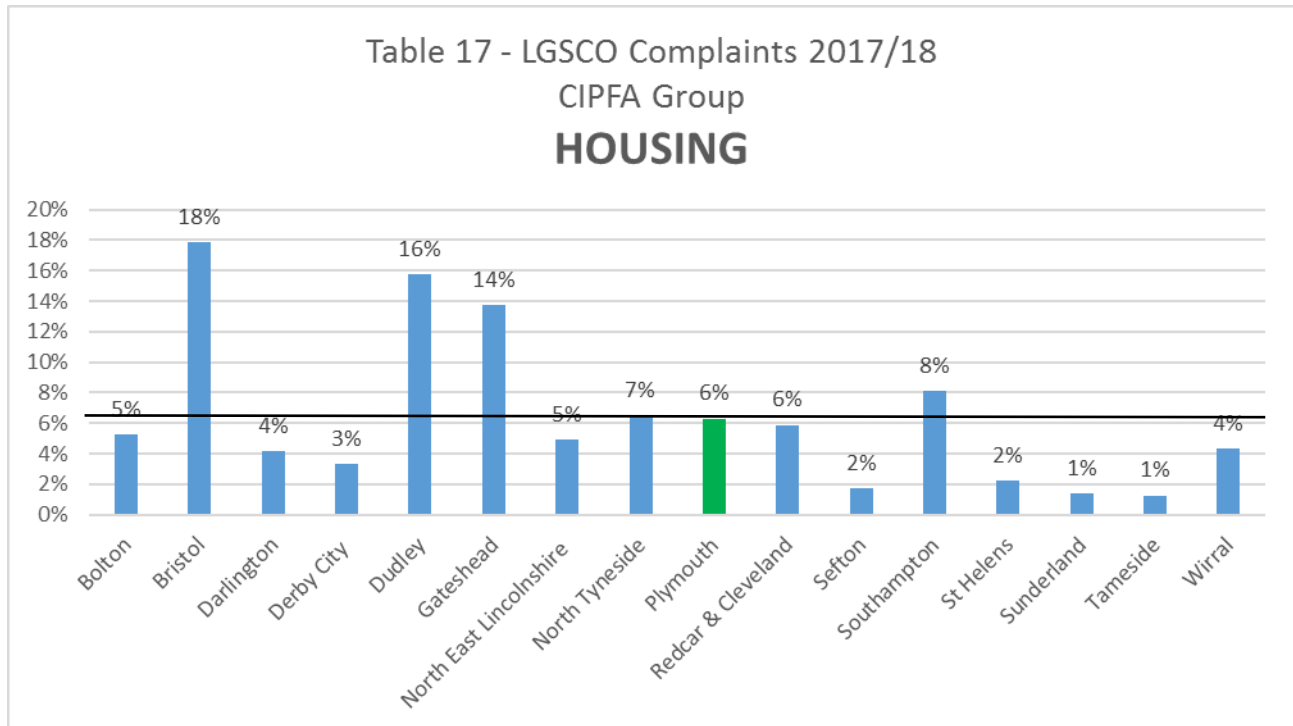


UPHELD COMPLAINTS AND LESSONS LEARNED

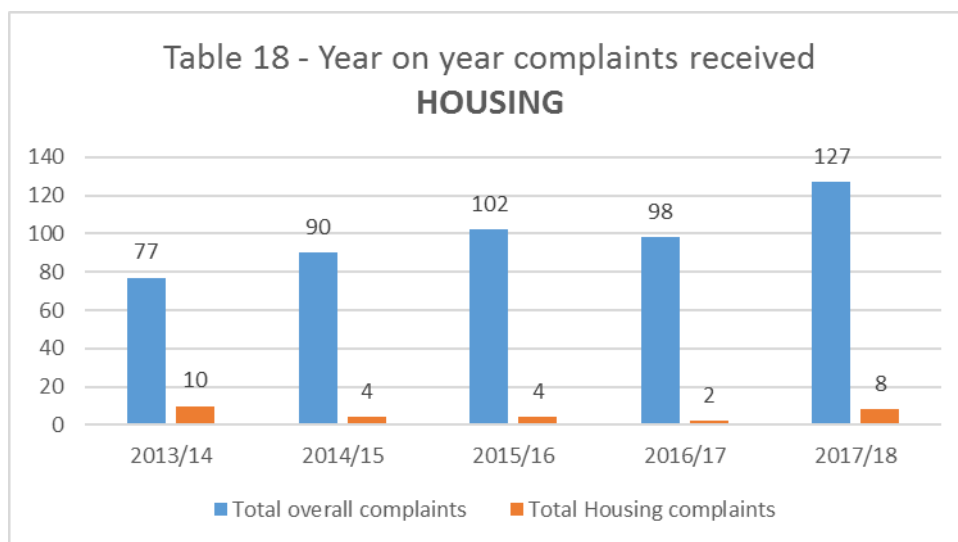
Of the thirteen complaints received, one complaint was upheld by the LGSCO and related to parking. Lessons learned from the case have meant that policy has been amended.

4.6 Housing Services

The average amount of complaints received about Housing Services within the CIPFA Family Group is 7% of total overall complaints received. Plymouth performs favourably against the family group average.



In total Plymouth received eight complaints and enquiries relating to Housing Services in 2017. This is the highest seen over recent years.

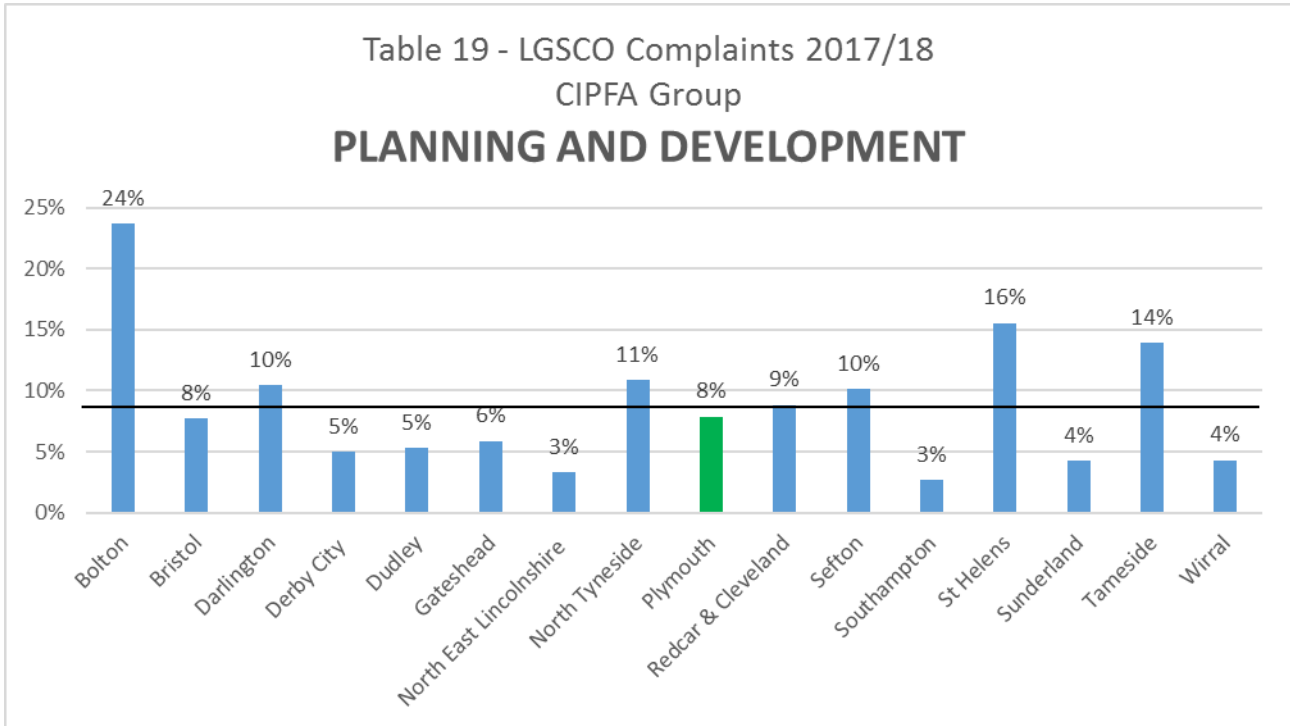


UPHELD COMPLAINTS AND LESSONS LEARNED

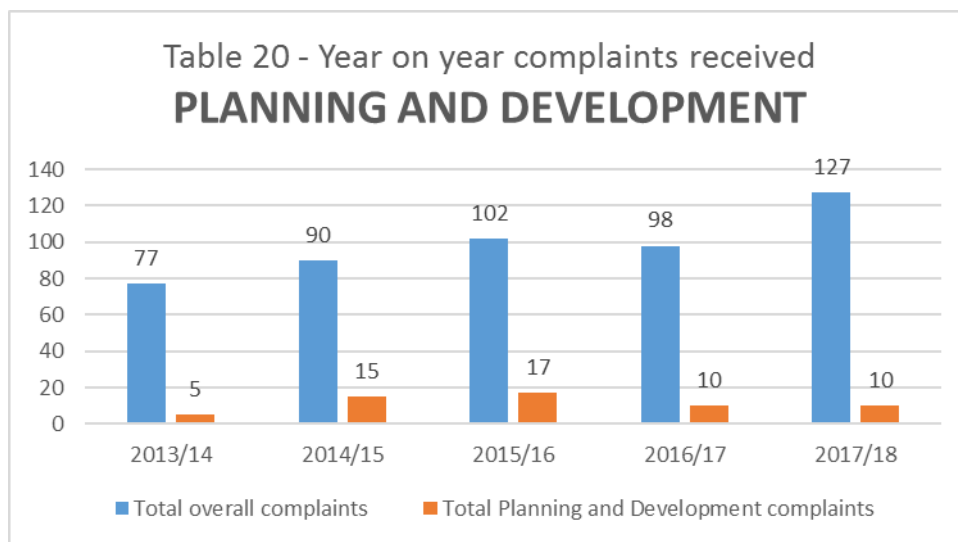
Of the eight complaints received, two were upheld. Lessons learned resulted in an outsourcing contract and changes to training and processes.

4.7 Planning and Development Services

The average amount of complaints received about Planning and Development Services within the CIPFA Family Group is 9% of total overall complaints received. Plymouth performs slightly below the family group average.



In total Plymouth received ten complaints and enquiries relating to Planning and Development Services in 2017/18.

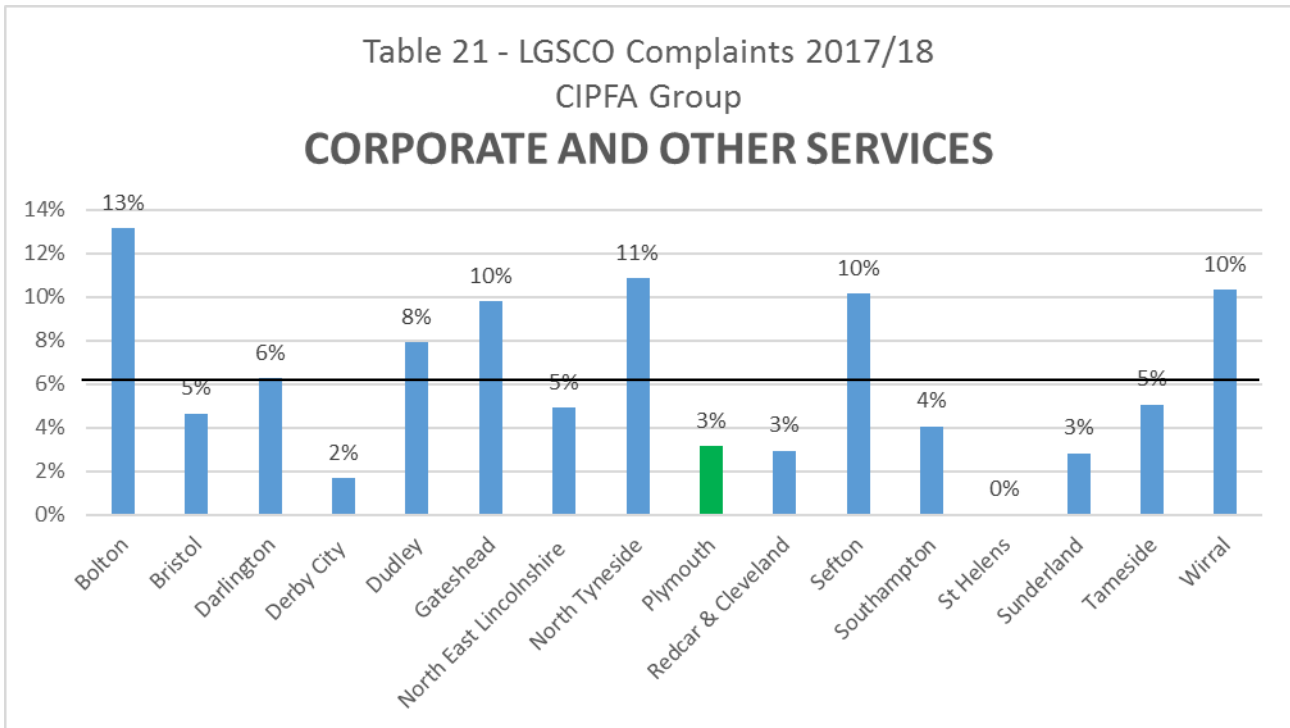


UPHELD COMPLAINTS AND LESSONS LEARNED

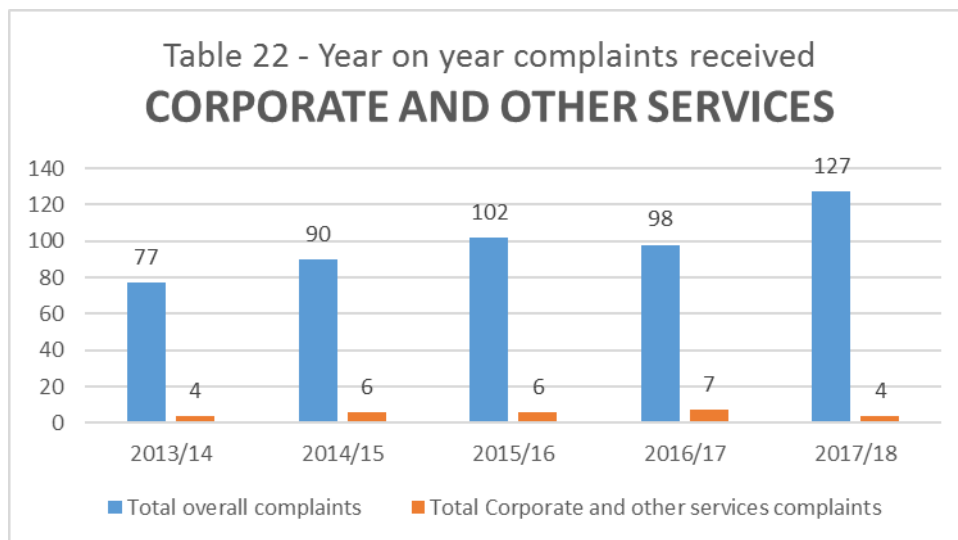
Of the ten complaints received, one was upheld and procedures have been changed as a result of the learning from this case.

4.8 Corporate Services

The average amount of complaints received about Corporate and Other Services within the CIPFA Family Group is 6% of total overall complaints received. Plymouth performs favourably against the family group average.



In total Plymouth received four complaints and enquiries relating to Corporate and Other Services in 2017. This is a decrease on previous years.



UPHELD COMPLAINTS AND LESSONS LEARNED

Of the four complaints received, none were upheld.

Appendix I – Decisions made by the LGSCO for Plymouth in 2017/18

	Total complaints received	Decisions				Detailed investigations		
		Invalid or Incomplete	Advice Given	Referred Back for Local Resolution	Closed after Initial Enquiries	Not Upheld	Upheld	Uphold Rate (%)
Adult Social Care	16	1		7	4	1	3	75%
Benefits and Tax	34	2		9	18	2	3	60%
Corporate and Other Services	3		1		2	0	0	0%
Education and Children's Services	14		1	5	1	3	4	57%
Environmental Services, Public Protection and Regulation	23			20	1	1	1	50%
Highways and Transport	13		1	2	7	2	1	33%
Housing	7	1		4			2	100%
Planning and Development	11			1	7	2	1	33%
2017/18 Totals	121	4	3	48	40	11	15	58%
2016/17 Totals	102	5	37	0	32	12	15	56%

Appendix 2 – How to understand the categories in the breakdown tables on the LGSCO’s Annual Review Letter 2017/18

Invalid or incomplete. We were not given enough information to consider the issue.

Advice given. We provided early advice, or explained where to go for the right help.

Referred back for local resolution. We found the complaint was brought to us too early because the organisation involved was not given the chance to consider it first.

Closed after initial enquiries. We assessed the complaint but decided against completing a full investigation. This might be because the law says we’re not allowed to investigate it, or because it would not be an effective use of public funds if we did.

Upheld. We completed a detailed investigation and found evidence of fault, or we found the organisation accepted fault early on.

Not upheld. We completed a detailed investigation but did not find evidence of fault.

APPENDIX 3 – Remedies for those complaints upheld by the LGSCO following detailed investigation in 2017/18 for Plymouth

	Upheld	Remedies for those upheld								
		Financial redress	Reassessment	Procedure change	No further action	Apology	Financial Redress, Training	Financial Redress, Procedure or policy change/review	Reassessment, Procedure or policy change/review	Financial redress, New appeal/review or reconsidered decision, Procedure or policy change/review
Adult Social Care	3	2	1							
Benefits and Tax	3	2			1					
Corporate and Other Services	0									
Education and Children's Services	4				1					3
Environmental Services, Public Protection and Regulation	1							1		
Highways and Transport	1								1	
Housing	2					1	1			
Planning and Development	1			1						
2017/18 Totals	15	4	1	1	2	1	1	1	1	3

APPENDIX 4 – Corporate and Statutory Complaints 2017/18

The LGSCO only consider complaints that have already been through the authority’s complaints process. The following tables have been included to show complaint statistics from our corporate and statutory complaints processes in 2017/18. A comparison is also made with Table 2 and Table 5 from this report to show volumes of corporate, statutory and LGSCO complaints as well as upheld complaint volumes.

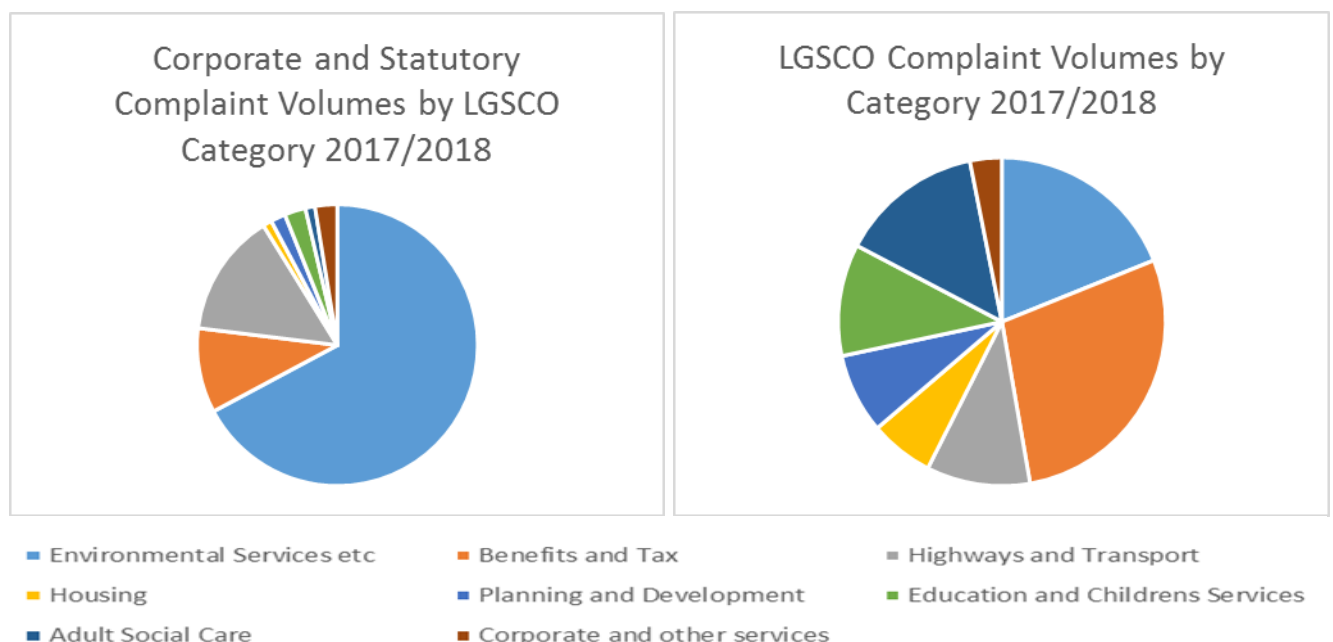
Table 24 below shows the number of corporate complaints recorded in the Council’s digital platform, Firmstep, during 2017/18 and includes the number of complaints upheld with a percentage upheld rate.

Table 24	Children's Services	Executive Office	People	Place	ODPH	Transformation and Change	Other
No. of Complaints	7	3	70	4526	76	651	7
No. Upheld	1	3	18	1613	27	264	0
Upheld rate (%)	14.3%	100.0%	25.7%	35.6%	35.5%	40.6%	0

Table 25 below shows the number of statutory complaints closed during 2017/18 and includes the number of complaints upheld or partially upheld with a percentage upheld/partially upheld rate.

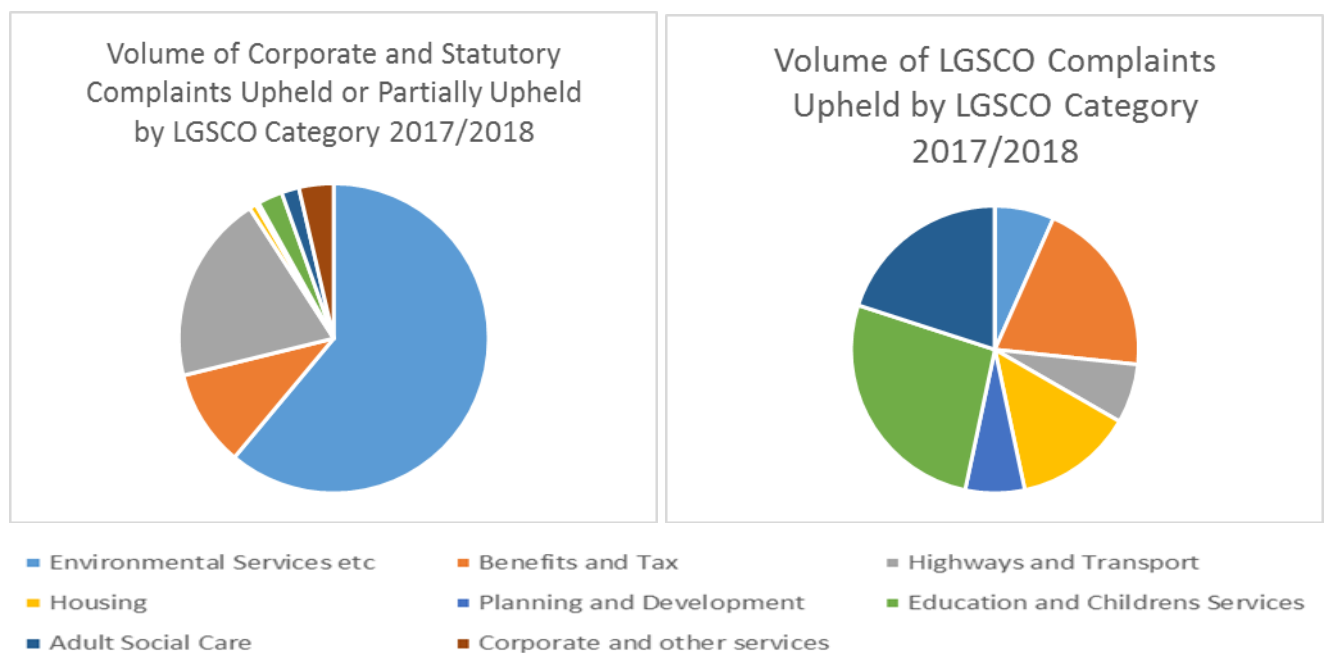
Table 25	Children's Social Care	Adults Social Care
No. of Complaints closed	128	61
No. Upheld	7	17
No. Partially Upheld	44	20
Upheld/Partially Upheld rate (%)	40%	61%

The pie charts below compare the volume of corporate and statutory complaints (shown in Tables 24 and 25) with the volume of LGSCO complaints for 2017/18 (shown in Table 2) by LGSCO category. The categories used by the LGSCO differ to our service structure so corporate and statutory complaints have been amalgamated into the relevant LGSCO category where possible.



These pie charts show that the combination of Environmental Services and Benefits and Tax complaints account for the majority (77%) of corporate and statutory complaints and for almost half (47%) of LGSCO complaints.

The pie charts below compare the volume of upheld or partially upheld corporate and statutory complaints (shown in Tables 24 and 25) with the volume of upheld LGSCO complaints (shown in Table 5) for 2017/18 by LGSCO category. The categories used by the LGSCO differ to our service structure so corporate and statutory complaints have been amalgamated into the relevant LGSCO category where possible.



These pie charts show that corporately Environmental Services have the most upheld complaints and that Adult Social Care and Education and Children’s Services have the highest upheld volumes following LGSCO investigations. These three service areas feature in the recommendations of this report, where it is proposed action is taken to support a reduction in upheld rates through the use of customer feedback to resolve issues and improve the customer experience.