

Appendix 1

# Local Government OMBUDSMAN

16 June 2009

Mr A North  
Chief Executive  
Cheltenham Borough Council  
DX 7406  
Cheltenham

Cheltenham Borough Council Chief Executive and Leaders Office			
PASSED TO			
REC'D			
18 JUN 2009			
Date of Response		Type of Response	
Initials of Responder		File Ref.	

Our ref: JRW/rt  
(Please quote our reference when contacting us)

If telephoning contact: Mr D Pollard on 02476 820062  
or email: d.pollard@lgo.org.uk

Dear Mr North

## Annual Review 2008/09

I am writing to give you a summary of the complaints about your Council that my office has dealt with over the past year, set out in the annual review attached. We have changed the name from annual letter to annual review to better describe the updated document format. I hope you find the review a useful addition to other information you have on how people experience or perceive your services.

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

We will publish all the annual reviews on our website ([www.lgo.org.uk](http://www.lgo.org.uk)) and share them with the Audit Commission. We will wait for four weeks after this letter before doing so, to give you an opportunity to consider the review first. If any material factual inaccuracy is found we will reissue it. We will also publish on our website a summary of statistics relating to the complaints we have received and dealt with against all authorities.

I would again be happy to consider requests for me or a senior colleague to visit the Council to present and discuss the letter with councillors or staff. We will do our best to meet the requests within the limits of the resources available to us.

I am also arranging for a copy of this letter and the review to be sent to you electronically so that you can distribute it easily internally and put the annual review on your Council's website. You do not need to include this covering letter on your website.

/...

The Oaks No 2  
Westwood Way  
Westwood Business Park  
Coventry  
CV4 8JB

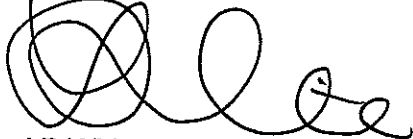
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**Jerry White**  
Local Government Ombudsman  
**Neville Jones**  
Deputy Ombudsman

Page 2  
Mr A North

This is the last Annual Review that I will have the honour of presenting to your authority. I retire from my position as Local Government Ombudsman on 30 September 2009, after more than fourteen years in post, in order to become Professor in London History at Birkbeck, University of London. I would like to take this opportunity to thank you for the unfailing courtesy I have received from officers and Members of the Council during my period in office; and I offer the Council warmest wishes for the future.

Yours sincerely

A handwritten signature in black ink, consisting of several loops and a final flourish.

J R White  
Local Government Ombudsman

**LGO Advice Team**

Enquiries and complaints received	Housing	Benefits	Public Finance inc. Local Taxation	Planning and building control	Other	Total
Formal/informal premature complaints	0	1	0	2	2	5
Advice given	1	0	0	1	4	6
Forwarded to investigative team (resubmitted premature)	1	0	0	0	0	1
Forwarded to investigative team (new)	2	0	1	6	3	12
<b>Total</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>9</b>	<b>9</b>	<b>24</b>

**Investigative Team**

Decisions	MI reps	LS	M reps	NM reps	No mal	Omb disc	Outside jurisdiction	Total
01/04/2008 / 31/03/2009	0	1	0	0	3	4	0	8

**Average local authority response times 01/04/2008 to 31/03/2009**

Response times	FIRST ENQUIRIES	
	No. of First Enquiries	Avg no. of days to respond
1/04/2008 / 31/03/2009	7	18.8
2007 / 2008	6	22.3
2006 / 2007	10	21.2

Types of authority	<= 28 days %	29 - 35 days %	> = 36 days %
District councils	60	20	20
Unitary authorities	56	35	9
Metropolitan authorities	67	19	14
County councils	62	32	6
London boroughs	58	27	15
National park authorities	100	0	0

**The Local Government Ombudsman's  
Annual Review**

**Cheltenham Borough Council**

**for the year ended  
31 March 2009**

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

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# Section 1: Complaints about Cheltenham Borough Council 2008/09

## Introduction

This annual review provides a summary of the complaints we have dealt with about Cheltenham Borough Council. We have included comments on the authority's performance and complaint-handling arrangements, where possible, so they can assist with your service improvement.

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

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

## Changes to our way of working and statistics

A change in the way we operate means that the statistics about complaints received in 2008/09 are not directly comparable with those from 2007/08. Since 1 April 2008 the new LGO Advice Team has been the single point of contact for all enquiries and new complaints. The number of calls to our service has increased significantly since then. It handles more than 3,000 calls a month, together with written and emailed complaints. Our advisers now provide comprehensive information and advice to callers at the outset with a full explanation of the process and possible outcomes. It enables callers to make a more informed decision about whether putting their complaint to us is an appropriate course of action. Some decide to pursue their complaint direct with the council first.

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

## Enquiries and complaints received

Our Advice Team received 24 complaints and enquiries during the year. The bulk of these (nine) were about planning and building control matters.

We treated five of these complaints and enquiries as premature and in a further six cases advice was given (usually to pursue the matter through the Council's complaints process). The 13 remaining complaints were referred to the investigative team either as new complaints to be considered or as premature complaints that had been resubmitted.

## Complaint outcomes

I decided eight complaints during the year. In three cases I found no evidence of maladministration. In a further four I used my discretion not to investigate the complaint further. Two of these concerned planning applications and one involved public finance. These were cases where even though there may have been some fault by the Council there was no significant injustice to the complainant that warranted my pursuing the matter further. In the fourth, a building control case, there was evidence that the complainant had made the same claim against the builder which was now made against the Council. The complainant won the legal case, but for substantially less than was claimed. I exercised my discretion not to investigate that same claim

against the Council. The remaining complaint was the subject of a local settlement which I detail below.

### **Local settlements**

A 'local settlement' is a complaint where, during the course of our investigation, a council takes or agrees to take some action that we consider to be a satisfactory response to the complaint. In 2008/09, 27.4% of all complaints the Ombudsmen decided and which were within our jurisdiction were local settlements. Of the complaints we decided against your authority one was determined as a local settlement which represents 12.5% of the cases determined in jurisdiction.

In that case the Council had decided that it would be unsafe for its contractors to continue to collect waste for recycling through the side passageway of the complainant's house. The Council explained how it had reached this decision and I considered that there was no fault in that process. I could not, therefore, question the decision which the Council had made. However, the complainant was disabled and on the assisted collection scheme. A number of suggestions were made by the Council to try to meet the complainant's wish for recyclable waste to continue to be collected. A compromise was finally achieved which I decided was satisfactory: garden waste in bags would be collected from the front of the house for recycling if the complainant could arrange for these to be brought to the front, all other recyclable waste would be put in the household refuse bin and collected as usual from the rear of the property.

Of the eight complaints that I decided in the year one was resubmitted after initially being referred to your Council as premature. In that case I found no maladministration.

### **Liaison with the Local Government Ombudsman**

Formal enquiries were made on seven complaints during the year. Your Council's average response time was 18.8 days. I ask councils to reply to enquiries within 28 days. I commend your Council's excellent time, an improvement on last year's good average time of 22.3 days. I am pleased that your Policy Officer (Customer Relations and Governance) was able to attend our seminar for Local Authority Complaints Officers in November last year. I know that members of my staff welcome this opportunity to meet and exchange views with Complaints Officers, and hope that your officer found it equally useful.

### **Training in complaint handling**

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

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

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## **Conclusions**

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

**J R White  
Local Government Ombudsman  
The Oaks No 2  
Westwood Way  
Westwood Business Park  
Coventry  
CV4 8JB**

**June 2009**

## Section 2: LGO developments

### Introduction

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

### Council First

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

### Statement of reasons: consultation

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

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

### Making Experiences Count (MEC)

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

### Training in complaint handling

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

### Adult Social Care Self-funding

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

### **Internal schools management**

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

### **Further developments**

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

**J R White  
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The Oaks No 2  
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**June 2009**

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

## Introduction

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

### Table 1. LGO Advice Team: Enquiries and complaints received

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

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

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

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

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

## Table 2. Investigative Team: Decisions

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

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

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

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

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

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

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

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

## Table 3. Response times

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

## Table 4. Average local authority response times 2008/09

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

Summary of customer interactions logged on the corporate complaints system for 1 <sup>st</sup> April 2008 – 31 <sup>st</sup> March 2009				
	Number of Stage 1 Complaints	Number of Stage 2 Complaints	Number of Stage 3 Complaints	Number of Compliments
<b>Chief Executive's Group</b>				
Policy and Performance	2	0	1	0
<b>Corporate Services</b>				
Human Resources	0	0	0	0
Customer Access and Service Transformation	15	2	3	2
Finance and asset management	3	0	0	0
Legal services	1	0	0	0
<b>Social and Community</b>				
Wellbeing and Culture	46	0	0	20
Public Protection	9	0	0	41
Community Services	6	0	1	2
<b>Environment</b>				
Built environment	35	1	1	45
Operations	49	3	1	19
<b>Total</b>	166	6	7	129

**Summary of FOI, EIR and DPA requests received for  
1<sup>st</sup> April 2008 – 31<sup>st</sup> March 2009**

	DPA	EIR	FOI	Request Total
<b>Chief Executive's Group</b>				
Policy and Performance	0	0	20	20
<b>Corporate Services</b>				
Human Resources	0	0	16	16
Customer Access and Service Transformation	3	0	40	43
Finance and asset management	0	0	35	35
Legal services	0	0	24	24
<b>Social and Community</b>				
Wellbeing and Culture	0	0	16	16
Community Services	2	12	32	46
<b>Environment</b>				
Built environment	0	0	18	18
Operations	0	1	22	23
<b>Cheltenham Borough Homes</b>				
Housing	0	0	11	11
<b>Total</b>	<b>5</b>	<b>13</b>	<b>234</b>	<b>252</b>