



NOTTINGHAM CITY COUNCIL
AUDIT COMMITTEE

Date: Friday, 25 November 2016

Time: 9.30 am (please note earlier start time)

Place: LB 31 - Loxley House, Station Street, Nottingham, NG2 3NG

Councillors are requested to attend the above meeting to transact the following business

Corporate Director for Strategy and Resources

Governance Officer: Mark Leavesley **Direct Dial:** 0115 876 4302

- 1 APOLOGIES FOR ABSENCE**
- 2 DECLARATIONS OF INTERESTS**
If you need advice on declaring an interest, please contact the Governance Officer above, if possible before the day of the meeting
- 3 MINUTES** 3 - 8
Last meeting held on 16 September 2016 (for confirmation)
- 4 PARTNERSHIP GOVERNANCE ANNUAL HEALTH CHECKS OF NOTTINGHAM CITY COUNCIL'S SIGNIFICANT PARTNERSHIPS** 9 - 24
Joint report of Director of One Nottingham, Director of Strategy and Policy and Head of Crime and Drugs Partnership
- 5 LOCAL GOVERNMENT OMBUDSMAN ANNUAL LETTER 2016** 25 - 86
Report of Corporate Director for Strategy and Resources
- 6 REVIEW OF ACCOUNTING POLICIES 2016-17** 87 - 90
Report of Director of Strategic Finance
- 7 STUDENT HOUSING STRATEGY**
Presentation
- 8 INTERNAL AUDIT QUARTERLY REPORT 2016/17 (1ST AND 2ND QUARTERS)** 91 - 112
Report of Director of Strategic Finance

9	TERMS OF REFERENCE AND ANNUAL WORK PROGRAMME Report of Director of Strategic Finance	113 - 116
10	TREASURY MANAGEMENT 2016/17 - HALF YEARLY UPDATE Report of Director of Strategic Management	117 - 130

CITIZENS ATTENDING MEETINGS ARE ASKED TO ARRIVE AT LEAST 15 MINUTES BEFORE THE START OF THE MEETING TO BE ISSUED WITH VISITOR BADGES

CITIZENS ARE ADVISED THAT THIS MEETING MAY BE RECORDED BY MEMBERS OF THE PUBLIC. ANY RECORDING OR REPORTING ON THIS MEETING SHOULD TAKE PLACE IN ACCORDANCE WITH THE COUNCIL'S POLICY ON RECORDING AND REPORTING ON PUBLIC MEETINGS, WHICH IS AVAILABLE AT WWW.NOTTINGHAMCITY.GOV.UK. INDIVIDUALS INTENDING TO RECORD THE MEETING ARE ASKED TO NOTIFY THE GOVERNANCE OFFICER SHOWN ABOVE IN ADVANCE.

NOTTINGHAM CITY COUNCIL

AUDIT COMMITTEE

MINUTES of the meeting held at LH 2.11 - Loxley House, Station Street, Nottingham, NG2 3NG on 16 September 2016 from 10.36 - 11.54

Membership

Present

Councillor Sarah Piper (Chair)
Councillor Steve Young (Vice Chair)
Councillor Leslie Ayoola
Councillor John Hartshorne
Councillor Anne Peach
Councillor Malcolm Wood

Absent

Councillor Dave Liversidge
Councillor Toby Neal
Councillor Andrew Rule

Colleagues, partners and others in attendance:

Tony Crawley) KPMG External Auditors
Richard Walton)
Shail Shah - Head of Audit and Risk
Theresa Channell - Head of Corporate Finance & Deputy Section 151 Officer
Sue Risdall - Finance Team Leader Technical Accounting
Tom Straw - Senior Accountant Capital Programmes
Jane O'Leary - Insurance and Risk Manager
Catherine Ziane-Pryor - Governance Officer

27 APOLOGIES FOR ABSENCE

Councillor Andrew Rule - leave

28 DECLARATIONS OF INTERESTS

None.

29 MINUTES

Subject to the following amendment, the minutes of the meeting held on 1 July 2016 were confirmed as a true record and signed by the Chair:

Minute 16, KPMG External Auditors Update: 'whilst the deadline for submitting accounts is the end of June, from May 2018 (not next year) this will be brought forward to the end of May.'

30 TRAINING SESSION - STATEMENT OF ACCOUNTS

Sue Risdall, Finance Team Leader Technical Accounting, and Tom Straw, Senior Accountant Capital Programmes, delivered a training session to the Committee on the Statement of Accounts, a copy of the presentation is included in the agenda and referred to the following topics:

- (i) purpose and background;
- (ii) format of the Statement of Accounts;
- (iii) key issues this year;
- (iv) Treasury Management Strategy;
- (v) accounting for pensions;
- (vi) the Comprehensive Income and Expenditure Statement;
- (vii) what money was spent;
- (viii) Other Comprehensive Income and Expenditure;
- (ix) Balance Sheet;
- (x) Reserve Balance;
- (xi) understanding the types of reserves including useable (general and earmarked), and unusable reserves;
- (xii) Cash Flow Statement;
- (xiii) Capital Spend;
- (xiv) Supplementary Accounts;
- (xv) the Housing Revenue Account;
- (xvi) Collection Fund;
- (xvii) Group Accounts.

The Committee welcomed the training and thanked Sue Risdall and Tom Straw.

31 STATEMENT OF ACCOUNTS 2015/16 INCLUDING THE KPMG EXTERNAL AUDIT REPORT 2015/16

Statement of Accounts 2015/16

Sue Risdall, Finance Team Leader Technical Accounting, Tom Straw, Senior Accountant Capital Programmes, and Theresa Channell, Head of Corporate Finance and Deputy Section 151 Officer, presented the Statement of Accounts and highlighted the following points:

- (a) there have been no major changes in the Statement of Accounts other than the report format which now provides a narrative following a change in the Code of Practice on Local Authority Accounting;
- (b) the Committee is asked to review and scrutinise the Statement to ensure it provides a fair and complete view of the Accounts;
- (c) the key issues identified this year include:
 - (i) The impact of reduced Government funding;
 - (ii) The short-term Treasury Management Strategy in light of the EU referendum result;
 - (iii) Pension Deficit of £623m at 31 March 2016 (this is reviewed every 3 years to set contributions to ensure that the deficit can be cleared in 18 years' time);
- (d) points highlighted within the Treasury management strategy included:
 - (i) attitude to risk;
 - (ii) reduction in long-term investment with more focus on short-term investment of a maximum of three months;

- (iii) significant increase in short-term investments to cushion the effects of the EU referendum.

Councillor's questions were responded to as follows;

- (e) with the growing trend for some small businesses to attempt to avoid business rates or appeal them, consideration is given to local intelligence and monitoring of premises, including cafes which extend seating to use outdoor space. Monitoring can be difficult but popular software packages which identify business sites on roadmaps have proved invaluable to the Counter Fraud Team. The City Council cannot charge business rates on listed buildings. It is the responsibility of owners to inform the City Council of any changes such as when larger premises are been divided into smaller units. However, changes in legislation and regulation will require a new approach;
- (f) Council Tax appeals are very different as appeals are usually lodged due to a change in circumstances. A specific team within Finance, liaise with the Counter Fraud Team and work to ensure the information provided in appeal is correct;
- (g) with regard to the level of general reserves set (£11 million), all reserves are set following comprehensive risk assessments and a range of consideration given to the level of cuts and savings required, medium-term financial plan, reductions central government grants, departmental issues. Currently set at 2-4% of the net budget received, this will be reduced on a sliding scale. The robustness of the budget and assessment of resources, signed off by the Strategic Director of Finance, is examined and the level of resources required considered, including watching the levels set by other local authorities. Is not advisable to use reserves for ongoing revenue expenditure. Finance team currently plan three or four years ahead on the Medium Term Financial Plan. The City Council needs to ensure that resources are available to enable transformation, sometimes by supporting short term funding gaps as grants are reduced/withdrawn, to enable changes to services to be implemented. Reserves are often considered an easy target but are vitally important to support the organisation through the transformation period of the next few years;
- (h) with regard to the £30 million difference between the actual and budget figures in 'total expenditure to be financed from capital sources', this is due to slippage which isn't unusual in such large capital programmes.

Colleagues from KPMG commented that as external auditors, they consider the financial arrangements, processes and planning of the City Council and do not comment on where and how funds should be allocated.

The Chair commented that future training on new business set up would be of interest.

KPMG External Audit Report 2015/16

Richard Walton and Tony Crawley, KPMG External Auditors, were in attendance to present their Audit Report for 2015/16 Statement of Accounts.

The following points were highlighted:

- (a) KPMG anticipate issuing an unqualified audit opinion on the financial statements by the end of September 2016, and confirms that the Annual Government Statement complies with the June 2007 guidance issued by CIPFA/SOLACE;
- (b) no material adjustments were identified;
- (c) the key significant financial statements audits risks are identified as
 - (i) NET2 with regard to accounting and associated Private Finance Initiative disclosures, specific to Nottingham;
 - (ii) controls over transactions, regarding the issues, now resolved, relating to the East Midlands Shared Services;
 - (iii) management override of controls. This risk is considered for every audited body but KPMG does not have any specific concerns regarding the City Council;
- (d) the accounts were received by KPMG in good time and are of a good standard;
- (e) the development of an in-house Core Statement Generator is working well and considered good practice;
- (f) with regard to risks for achieving value for money the following were identified;
 - (i) new possible group entity – Adducere;
 - (ii) delivery of savings plans - detailed consideration of the arrangements by which saving plans are agreed have not raised any concerns;
 - (iii) Better Care Fund - this was newly implemented this year and there are no concerns to raise;
- (g) the audit of financial statements is substantially complete and is predicted to meet the submission deadline for whole of government accounts of the end of October;
- (h) the key issues and recommendations of the audit include:
 - (i) with regard to the 2016/17 Northgate to Oracle Housing Benefit Payment Reconciliations 'the authority should expedite the implementation of the reconciliation of housing benefit payments between Northgate and Oracle';
 - (ii) with regard to the register of members interests, 'the authority should ensure that all members make an annual declaration to update a register of interests'.

Members of the KPMG Audit Team commended the City Council's Accounting Team for continued professional approach and communications during periods of great change within the Section.

RESOLVED

- (1) for the external auditors' report to those charged with governance' to be noted;**
- (2) for the Statement of Accounts, as attached to the report, to be approved and signed by the Chair of the Audit Committee;**

- (3) for the Draft Management Representation Letter, as attached to the report, to be approved and signed by the Chair of the Audit Committee.**

32 ANNUAL GOVERNANCE STATEMENT 2015/16

Shail Shah, Head of Audit and Risk, presented the Annual Government Statement 2015/16 and highlighted two additional 'issues worthy of noting' following Councillors' discussions at the July Audit Committee meeting:

- (i) consideration of Blueprint Partnership Ltd and Robin Hood Energy;
- (ii) the Brexit Impact;

it is noted that there will be a further Annual Governance Statement update submitted to the February 2017 meeting of the Committee.

Next year the Authority will have to work to the new CIPFA/SOLACE Code so the presentation of the Annual Government Statement will be in a different format.

Councillor's comments included:

- (a) further information on blueprint limited would be beneficial, particularly the opportunity to speak to the City Council's regeneration specialist;
- (b) with monies still locked inside the Icelandic banks, a briefing update would be appreciated on the current situation.

RESOLVED to note the report and approve the Annual Governance Statement 2015/16 as attached to the report.

33 RISK MANAGEMENT FRAMEWORK AND UPDATE

Jane O'Leary, Insurance and Risk Manager, introduced the report which presents the Draft Risk Management Framework, and asks the Committee to consider it for approval.

Insurance and Risk are already working with key departments to refresh corporate risk registers and are satisfied that risk is considered and monitored but that processes will now need to comply to the framework.

Councillor's comments and questions were responded to as follows:

- (a) the internal risk process within the framework does link to external partners in two ways as referred to within the report which may be better illustrated in the final framework document with the diagram;
- (b) the framework does not refer to external information as this is primarily covered by legislation;
- (c) transparency is important so citizens will be able to access the main body of the Corporate Risk Register;
- (d) with regard to the regularity of monitoring, Departmental Risk Registers are expected to be considered regularly at Departmental Leadership Team (DLT)

meeting including identifying areas for improvement. Ideally consideration of risk should be part of the day-to-day work;

- (e) training the staff within each department to use the framework is important;
- (f) within the hierarchy of risk responsibility, Members of the Executive Board need to be included;
- (g) included within the framework training is the importance of ensuring that partners, including supply chains, provide up to date information on changes which may impact and result in an element of risk to the City Council;
- (h) risk register and risk consideration training will be available for members of the Audit Committee;
- (i) further information will be sought with regard to the value of all City Councillors having access to 'Covalent'.

RESOLVED to approve the Risk Management Framework and its delivery strategy, as set out within the report.

34 EXCLUSION OF THE PUBLIC

RESOLVED to exclude the public from the meeting during consideration of the remaining item in accordance with Section 100A(4) of the Local Government Act 1972 on the basis that, having regard to all of the circumstances, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

35 EXEMPT MINUTE

The exempt minute of the meeting held on 1 July 2016 was confirmed as a true record and signed by the Chair.

AUDIT COMMITTEE - 25 NOVEMBER 2016

Title of paper:	Partnership Governance Annual Health Checks of Nottingham City Council's Significant Partnerships	
Directors:	Nigel Cooke, Director of One Nottingham Colin Monckton, Director of Strategy and Policy Tim Spink, Head of Crime and Drugs Partnership	Wards affected: All
Report author and contact details:	Elaine Fox, Corporate Policy Team, 0115 8764540 / elaine.fox@nottinghamcity.gov.uk	
Other colleagues who have provided input:	Steve Hales, Internal Audit Alex Karamagkalis, Project Support	
Recommendations		
1	To note the key findings from the Partnership Governance Health Checks and Register of Significant Partnerships.	
2	To note the findings and recommendations following verification of governance documentation of four of the partnerships.	

1 REASONS FOR RECOMMENDATIONS

- 1.1 It is recommended that Audit Committee note Section 2.5 and 2.6 detailing the key findings of the annual partnership governance health checks. The majority of partnerships scored 'good/excellent' in all areas. A sample of three of these health checks have been verified by colleagues from Corporate Policy and Internal Audit. Additionally the governance documents of the Green Theme Partnership were verified again this year due to the partnership being refreshed, the findings of all verifications can be found in Appendix 4.
- 1.2 Audit Committee is asked to note the removal of the Greater Nottingham Transport Partnership from the Register of Significant Partnerships. This partnership has ceased to operate due to their funding stream ending. An updated register is included in Appendix 1.

2 BACKGROUND

- 2.1 The Council has a long and successful history of working in partnership across the public, private, voluntary and third sector. The benefits and opportunities of working in partnership are well understood but risks can arise from collaborative working and the Council must ensure that its involvement in partnerships does not expose it to an unacceptable level of risk.

2.2 The Partnership Governance Framework includes an annual 'health check' of each partnership which is significant to the City Council in terms of strategic, reputational or financial importance. This health check is designed to identify any risks to the Council from its involvement in any of the partnerships. The results of these health checks are reported to Audit Committee along with remedial actions that are needed to protect the Council from an unacceptable level of risk.

2.3 The partnerships that are deemed significant to the Council in terms of their strategic, reputational or financial importance are listed in the Register of Significant Partnerships. Any changes to the register are reported to Audit Committee annually.

2.4 **Health checks**

Each partnership on the Register of Significant Partnerships is asked to complete an annual self-assessment of the 'health' of the partnership's governance, giving a score as to how well they meet the criteria. The scores from the health checks undertaken in 2016 are provided in Appendix 2.

2.5 As Appendix 2 shows, the majority of partnerships scored themselves 'Excellent' or 'Good' (1 or 2) in all areas. Based on the comments to support the self-assessment scores all were agreed with for partnerships which were not being verified this year.

2.6 This report draws Audit Committee's attention to partnerships with a rating of 3 (some key areas for improvement) or 4 (many key weaknesses) in one or more areas. In 2016 the following partnerships scored themselves 3 or 4; all of these are subject to verification this year:

2.6.i D2N2 LEP scored itself 3 for Partnership Risk Management – this is addressed in Appendix 4.

2.6.ii The Education Improvement Board scored itself 3 for the following:

- Performance Management – this is addressed in Appendix 4.
- Evaluation and Review – this is addressed in Appendix 4.

2.6.iii The Safeguarding Children Board scored itself 3 for Finance – this is addressed in Appendix 4.

2.6.vi Comments on the self-assessment scores of those partnerships whose documents were verified this year can be found in Appendix 4.

2.7 Each year the Health Checks of three of the partnerships are verified on a rolling programme. Officers from Corporate Policy and Internal Audit evaluate the three partnerships' governance documents and other documentation noted in their health check. The recommendations from the verification process can be found in Appendix 4. This year the partnerships which were verified are:

2.7.i D2N2 Local Enterprise Partnership (LEP)

2.7.ii Education Improvement Board (EIB)

2.7.iii Safeguarding Children Board

- 2.8 When Audit Committee last received a report on the verification of partnership governance concerns were expressed relating to the governance documents in place for the Green Theme Partnership and it was requested that they should be re-verified this time. Recommendations regarding their governance documents are also included in Appendix 4.
- 2.9 The previous schedule for verifying partnerships has been amended this year due to the removal of the Greater Nottingham Transport Partnership. A new schedule for verification is available to view in Appendix 5.

2.10 **Register of Significant Partnerships**

No partnerships have been added to the Register of Significant Partnerships in 2016. One partnership, the Greater Nottingham Transport Partnership, has been removed as the partnership has ceased to operate. An updated register of significant partnerships is available in Appendix 1.

2.11 **Additions for next year**

We recommend that Midlands Engine/Midlands Connect should be included on the Register of Significant Partnerships in 2017. This was not included this year as the Chair of Midlands Engine has only recently been appointed and governance arrangements have not been finalised. The partnership meets the criteria for inclusion.

2.12 **Looking Ahead**

With the potential changes which may occur as a result of devolution, the Metro Strategy, the Midlands Engine and Brexit, combined with the funding challenges facing local authorities, it is likely the partnership landscape will change significantly over the next few years. Any new and emerging partnerships will be considered for inclusion on the register of significant partnerships and the validity of partnerships currently on the register will be evaluated on an annual basis.

3 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

- 3.1 None.

4 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

- 4.1 Partnership Governance Framework, approved by the Executive Board Commissioning Sub Committee on 13 May 2009.

Appendix 1
Register of Significant Partnerships 2016

	Name of Partnership	Chair's name	Officer returning Health Check	Notes
1.	One Nottingham	Jane Todd	Loel Manders	
2.	Children's Partnership Board	Cllr David Mellen, Cllr Sam Webster	Dot Veitch	
3.	D2N2 LEP	Peter Richardson	Lewis Stringer	
	Greater Nottingham Transport Partnership	Gary Smerdon-White	Chris Carter	This partnership has discontinued
4.	Green Theme Partnership	Richard Barlow	Jane Lumb	
5.	Health and Wellbeing Board	Cllr Alex Norris	Jane Garrard	
6.	N2 Skills and Employment Board	Martin Rigley	Owen Harvey	
7.	Nottingham Crime and Drugs Partnership	Cllr Jon Collins	Phil Broxholme	
8.	Education Improvement Board	Professor Sir David Greenaway	David Anstead / Jen Hardy	
9.	Nottingham City Safeguarding Children Board	Chris Cook	John Matravers	
10.	Nottingham City Safeguarding Adults Board	Malcolm Dillion	Chair	

Appendix 2
Health check scores 2016

	Partnerships	Aims and objectives	Membership and structure	Decision making and accountability	Performance management	Evaluation and review	Equalities	Finance	Partnership Risk Management
1.	One Nottingham	1	1	1	1	1	2	2	2
2.	Children's Partnership Board	1 - 2	2	1 - 2	1 - 2	1 - 2	1 - 2	N/A	2
3.	D2N2 Local Enterprise Partnership	1	1	2	2	2	2	2	3
4.	Green Theme Partnership	2	2	2	1	1	1	No score	No score
5.	Health & Wellbeing Board	2	1	1	2	2	2	2	2
6.	N2 Skills and Employment Board	2	2	2	2	2	2	2	2
7.	Crime and Drugs Partnership	2	1	2	1	2	1	1	1
8.	Education Improvement Board	2	2	2	3	3	2	2	2
9.	Safeguarding Children Board	2	2	2	2	2	2	3	2
10.	Safeguarding Adults Board	2	2	2	2	2	2	2	2

Appendix 3

PARTNERSHIP GOVERNANCE HEALTH CHECK GUIDANCE

The health check is a guide for an annual assessment of a partnership's governance and capacity. The aim is to make an overall assessment of the effectiveness of the partnership; identify whether there is any strategic, reputational or financial risk to the Council through its membership of the partnership; and lead to proposals for changes/improvements.

Some of the detailed definitions and examples may not be directly applicable. There may be some additional definitions of good governance that the nominated lead officer will need to apply given the specific circumstances or arrangements for a partnership. Evidence to support the findings of the health check will be held by the nominated lead officer.

This health check does not substitute for the partnership itself reviewing its governance and performance. The Council's nominated lead officer and chief officer have a responsibility to support and advise the partnership to carry out its own review and take any action required to improve its governance.

The health check has 4 categories:

Score	Category	Description
1	Excellent	There is an excellent system of governance designed to achieve the partnership's and the council's objectives; any potential financial risks for the council are noted and well managed; performance is on track.
2	Good	There is a basically sound system of governance, but some weaknesses that may threaten some of the partnership's and the council's objectives; any concerns regarding management of potential financial risks to the council are minor; performance is mainly on track
3	Some key areas for improvement	There are some significant weaknesses that could threaten some of the partnership's and the council's objectives; there are some significant concerns about potential financial risks to the council and their management; performance is not on track in some areas
4	Many key weaknesses	Governance and controls are generally weak leaving the partnership's system open to significant error or abuse; the partnership's and council's objectives are unlikely to be met; there are many significant concerns about financial risks to the council and their management; performance is not on track in most areas

NOTTINGHAM CITY COUNCIL
SIGNIFICANT PARTNERSHIPS GOVERNANCE HEALTH CHECK 2016

In consultation with your partnership please complete the tables below. Once the details have been agreed by the partnership please return them to elaine.fox@nottinghamcity.gov.uk. If you require any assistance please contact Elaine Fox, Policy Officer, Nottingham City Council, on 0115 87 64540.

Name of Partnership:	
NCC Lead Councillor:	Does a Cllr attend partnership meetings? Yes / No
NCC Corporate Director (to identify which department is responsible):	
NCC Lead Officer:	
Partnership Chief Executive/Manager (if appropriate):	
Accountable body (if the partnership isn't a legal entity; if 'don't know' please state):	

We have identified 8 areas of good governance. In each area we have provided a number of clear statements to illustrate what 'excellent' looks like for that area of governance. Using the criteria where 1 is 'excellent' and 4 is 'many key weaknesses' (page 1), please record a score (1-4) for each area of good governance for your significant partnership, making relevant notes on how the score could be improved.

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Good governance	Health assessment (score 1-4)	Notes and further explanation
<p>1. Aims and objectives</p> <p>1. The partnership has clear aims and SMART objectives.</p> <p>2. The partnership has clearly allocated responsibility for achieving its objectives, and has gathered assurance that the objectives will be achieved.</p> <p>3. The partnership ensures that it uses its allocated resources to achieve its objectives.</p> <p>4. Do the aims and objectives link with relevant parts of the Council Plan / Nottingham Plan?</p>		<ul style="list-style-type: none"> •

<p>2. Membership and structure</p> <ol style="list-style-type: none"> 1. The NCC lead officer is actively engaged. 2. The structure is clear, is set out in Terms of Reference, a Memorandum of Agreement or other governing documents and is regularly reviewed, to ensure roles, responsibilities and contributions are defined for all partners. Also set out in the governing documents are whistle-blowing protocols, how to respond to compliments and complaints, risk assessments, personnel and financial management and financial and performance reporting. 3. Key partners provide effective leadership. Their leadership roles and responsibilities are understood and fulfilled. 4. The membership provides the necessary knowledge, skills and experience to do the job. Partners ensure that the right people are in the right place at the right time. 5. Changes to membership, dispute resolution and exit strategies are considered and the governing documents say what will happen if/when a partner wishes to leave. 		<ul style="list-style-type: none"> •
<p>3. Decision making and accountability</p> <ol style="list-style-type: none"> 1. Decision making is clear and transparent. Authority and delegations are set out in governing documents including: <ol style="list-style-type: none"> a. Who can make what decisions b. Delegated responsibilities 2. The partnership has a clear procedure for dealing with conflicts of interest. 		<ul style="list-style-type: none"> •

<p>3. The role of the partnership in relation to finance and the extent of its powers to make financial decisions and approvals are stated and understood.</p> <p>4. Decisions are:</p> <ul style="list-style-type: none"> a. properly recorded b. notified promptly to those who are affected by them <p>5. The partnership has:</p> <ul style="list-style-type: none"> a. A communication plan to inform service users, members and the public about the partnership, its decisions, its achievements and successes, who is accountable and responsible for what. It provides routes for people to comment/contribute to the partnership's work b. Clear lines of accountability and arrangements for the timely reporting of performance and achievements to Council officers and Councillors. c. Processes in place for scrutiny of decisions and activities at the appropriate level 		
<p>4. Performance management</p> <p>1. The partnership reviews its progress and delivery against clear outcomes, outputs and milestones and takes prompt corrective action if necessary.</p> <p>2. Delivery contracts and agreements are monitored and poor performance is tackled.</p>		<ul style="list-style-type: none"> •

<p>5. Evaluation and review</p> <ol style="list-style-type: none"> 1. The partnership regularly reviews its policies, strategies, membership and use of resources against its objectives and targets. 2. The partnership reviews its progress and delivery against clear outcomes, outputs and milestones and takes prompt corrective action if necessary. 		<ul style="list-style-type: none"> •
<p>6. Equalities</p> <ol style="list-style-type: none"> 1. The partnership assesses its policies and programmes for their impact on equalities and considers impact on inequality and deprivation as part of its performance management. 		<ul style="list-style-type: none"> •
<p>7. Finance</p> <ol style="list-style-type: none"> 1. The partnership has a financial and /or procurement plan that identifies how it proposes to use these funding to achieve its objectives. 2. The partnership has effective arrangements for financial monitoring and reporting, uses its resources well and demonstrates how it uses them to add value and ensure value for money. 3. Where applicable, for the most recent financial year the partnership has had “unqualified audit opinion” (i.e. it has passed audit without any qualifications) and any recommendations raised by auditors have been actioned. 		<ul style="list-style-type: none"> •

<p>8. Partnership Risk Management</p> <p>1. The partnership has an agreed mechanism for identifying, assessing and managing risks.</p>		<ul style="list-style-type: none"> •
<p>9. Additional information</p> <p>1. Is there anything else relating to the partnership and its governance you wish to highlight?</p>		<ul style="list-style-type: none"> •

Appendix 4

Recommendations for improvement from verification of partnership governance health checks

All partnerships

- All partnerships should consider the arrangements where their chair is accountable for dealing with disputes and complaints. If this is to fall to the chair of the partnership, there should be clear expectations and guidance for all members around this, particularly where the chair is not an employee of Nottingham City Council, to ensure any issues are dealt with in an appropriate manner. Documentation should also exist and be made available for all members of what to do in the event a complaint or dispute arises which directly involves the chair.

D2N2 Local Enterprise Partnership (LEP)

- The D2N2 LEP identified a potential issue with their conflict of interest policy, as members of the board representing business could still be eligible to vote despite having a vested interest in the outcome. The board has identified this as a potential issue which is difficult to address given the number of businesses represented, however all declarations of interest are available on the partnership's website. The board may wish to seek audit advice on how to avoid any potential risk arising from this this.
- Sub-group reports are not easily accessible from the main D2N2 LEP website; the LEP may wish to consider making them more prominent.
- The board identified a potential issue with succession planning; we advise this should be addressed at the earliest opportunity to ensure any transition arrangements are as smooth as possible.
- There was no mention of audits of finances, other than by groups connected with the LEP. It may be that the funding agencies which provide finance to the LEP have arrangements in place, if not we would recommend appropriate audit opinion is sought.
- D2N2 LEP scored itself 3 for Partnership Risk Management. This was due to a formal risk management procedure or risk register for the overall LEP not being in place; however individual ones exist for the programmes and projects. The board identified the need for a risk register, especially to govern those partners with accountable body status for various aspects of the LEP's activity. We recommend that a risk register is established as soon as possible, which would ensure the score is improved next time.

Education Improvement Board (EIB)

- Although responsibilities have been allocated to members of the Board it was not clear how members would be held to account if targets are not achieved. The Board may wish to consider how to monitor progress and detail expectations on leads of the various strands of work.
- With the establishment of a new Business Sub-Group the governance documents, including the Terms of Reference, should be revised to reflect this including membership and delegated responsibilities from the main board.

- There was no mention of a conflict of interest policy, with the comment that the board aims to improve the education of children across the city and that as decisions are made collectively there is no conflict of interest. Whilst this may be true, members of the board represent multi-academy trusts which are inspected and whose reputation and funding may be affected by poor performance, so members may have a vested interest in decisions. Therefore the board should consider establishing a conflict of interest policy in the event any issues arise.
- The Education Improvement Board scored itself 3 for Performance Management, which asks whether the partnership “reviews its progress and delivery against clear outcomes, outputs and milestones and takes prompt corrective action if necessary” and whether “delivery contracts and agreements are monitored and poor performance tackled”. The partnership commented that where action plans have been developed they are being reviewed, and a central recording system is not yet in place for Key Performance Indicators. We agree with this score on the basis development is in train. We accept the board’s intention to establish a central point for recording KPIs, and recommend that consideration is given to tackling underperformance from members.
- The Education Improvement Board scored itself 3 for Evaluation and Review. This was due to there being nothing in place yet for reporting on the work of the board on the EIB’s website and action plans not yet being formally evaluated and published. We agree with the score and would recommend some form of evaluation for all of the board’s activity is developed as soon as possible. We also recommend regular monitoring of membership, use of resources and strategies.
- No evidence was provided that suggests that the board considers value for money in financial decisions, however it did state that action plans are costed. Whilst we understand there may be experts both locally and nationally who are well placed to provide services, we recommend when allocating funding that explicit consideration should be given to how these resources add value and ensure value for money. This could perhaps include a financial plan prioritising spend.
- We recommend further consideration should be given to how to assess risk, including financial risk should funding cease, and reputational risk should the board not achieve its aims. As part of this process the board should consider how it can evidence its own role in any improvements, to ensure successes realised can be specifically attributed to board intervention and activity. One example could be to assess the impact of the Fair Workload Charter by asking teachers what effect it had in participating schools, and asking teachers new to the city if it factored in their decision making.

Safeguarding Children Board

- The Safeguarding Children Board is revising its overall Terms of Reference, although these are available for its various sub-groups. The Board should seek to ensure this is undertaken in a timely fashion.
- The Safeguarding Children Board should ensure information on the Council’s website is as up to date as possible. The published Business Plan is for 2015-16 with no date listed for when the next would be available.
- The Safeguarding Children Board scored itself 3 for Finance, as there is pressure on the proposed budget for next year. The good governance questions relating to finance

require the partnership to effectively monitor and report on its finances, demonstrate how it uses value for money, and that finances are audited. All of these actions take place so we would recommend a score of 2 for Finance would be more appropriate.

Green Theme Partnership

The Green Theme Partnership was being verified for the second year in a row at the request of Audit Committee following last year's report.

- The partnership was able to provide minutes of its most recent meetings, we would recommend that these continue to be held in a central location accessible by a number of staff to ensure they can be found should any members of staff leave the authority.
- We did not receive updated Terms of Reference from the one received last year which was last updated in 2012, so we would recommend this is updated as soon as possible.
- We were unable to ratify the scores on the self-assessment from the documents received; this is not to say the scores were disagreed with, but we were unable to verify them from the information available to us. The partnership receives no funding at present so poses no financial risk to the council, and work continues during the period of change. We would recommend that documentation relating to the partnership should be updated as soon as possible, to include relevant policies, action plans, progress monitoring etc.
- The partnership is in a period of transition so we recommend that the partnership be verified again next year, by which time the governance should be strengthened.
- We recommend that the NCC Lead for the Green Theme Partnership should speak to the Director of One Nottingham and the Head of the Crime and Drugs Partnership, the latter of whom has been undertaking work on all of the Council's partnerships, to explore options for partnership development.

Appendix 5

Schedule for Verifying Health Checks to 2020

No.	Name of Partnership	2013	2014	2015	2016	2017	2018	2019	2020
1.	One Nottingham	Completed				Scheduled			Scheduled
2.	Children's Partnership Board			Completed			Scheduled		
3.	D2N2 LEP				Scheduled			Scheduled	
4.	Green Theme Partnership			Completed	Repeat verification	Recommend repeat verification		Scheduled	
5.	Health and Wellbeing Board		Completed			Scheduled			
6.	N2 Skills and Employment Board			Completed			Scheduled		
7.	Nottingham Crime and Drugs Partnership		Completed				Scheduled		
8.	Education Improvement Board	Not on register	Not on register		Scheduled			Scheduled	
9.	Safeguarding Children Board	Not on register	Not on register		Scheduled				Scheduled
10.	Safeguarding Adults Board	Not on register	Not on register			Scheduled			Scheduled

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AUDIT COMMITTEE – 25 NOVEMBER 2016

Title of paper:	Local Government Ombudsman Annual Letter Audit Report 2016	
Corporate Director:	Candida Brudenell Corporate Director for Strategy & Resources / Assistant Chief Executive	Wards affected: All
Report author and contact details:	Amanda Wright – Customer Experience Lead Amanda.wright@nottinghamcity.gov.uk 0115 87 63975	
Recommendation(s):		
1	To note the contents of the report.	

1 REASONS FOR RECOMMENDATIONS

This report provides a reflection of the complaints received and the decisions made on complaints about Nottingham City Council by the Local Government Ombudsman (LGO) for the period of April 2015 to March 2016.

Capturing customer experience and learning from complaints is important, it enables the council to reflect on feedback about its services and facilitates service improvements and innovation. An outcome of an upheld complaint can be a recommendation for a service improvement which is welcomed as another source of reflection and learning for the organisation.

We continue to maintain a good working relationship with the LGO teams and investigators, working in a timely manner to liaise with teams to ensure deadlines are met.

During this period the Customer Service Department at the Council began reviewing the organisations complaints process, with the intention of changing it from a four stage to a two stage process; this was in order to make it easier for citizens to complain. The new process would involve a review at stage 2 which would reflect on whether the complaint had been responded to appropriately.

Nationally the LGO received 19,702 complaints about councils in England (it does not cover Scotland or Wales), of those complaints on average 51% were upheld.

Complaints received by the LGO about Nottingham City Council

In 2015-16 the Local Government Ombudsman (LGO) received 105 complaints about Nottingham City Council services.

Service	Number of LGO complaints received
Adult Care	18
Benefits and Tax	17
Corporate & Other Services	8
Education & Children's Services	28
Environmental Services & Public Protection & Regulation	12

Highways & Transport	13
Housing	3
Other	2
Planning & Development	4
TOTAL	105

The three most common services that the LGO receives complaints about are Education and Children's Services, Benefits and Tax and Adult Care Services. This reflects the national average.

Complaint decisions made by the LGO

In 2015-16 the LGO made decisions on 112 complaints, 27 of these complaints were investigated and 13 were upheld, this gives the council a 48% uphold rate. This is an increase on upheld complaints from the previous year 2014-15 where the LGO received 109 complaints about Nottingham City Council, 26 were investigated and 6 upheld. It is not known why there has been an increase in complaints that were upheld.

The table below breaks down the decisions made on the complaints received by the LGO.

Service	Not upheld	Upheld	Referred back for local resolution	Closed after initial enquiries	Advice given	Incomplete / invalid
Adult Care	1	2	10	3	0	2
Benefits and Tax	3	5	7	4	0	1
Corporate & other services	0	0	2	5	0	1
Education & children's services	6	3	10	6	0	4
Environmental services	1	0	8	3	0	0
Highways & Transport	1	2	1	10	0	1
Housing	1	1	0	0	1	0
Planning & development	0	0	1	2	0	0
Other	0	0	0	0	1	0

The table below shows the number of decisions made by the LGO for 2014-15 in comparison with 2015-16. It also provides a comparison of the number of upheld complaints for both years.

In 2015-16 there was an increase in the number of upheld complaints about Benefits and Tax services from 0 upheld to 5 upheld complaints. There was also an increase in the number of upheld complaints about Adult Services from 0 to 2. The number of upheld complaints about Education and Children's Services remained the same at 3. The number of upheld complaints about Housing reduced from 2 to 1.

Upheld complaints

The highest number of upheld complaints was about the Benefits and Tax service with 5 upheld complaints, followed by the Education and Children's Services with 3 upheld complaints; this reflects national trends as detailed in the LGO Review of Local Government Complaints 2015-16 Report (which is included for reference with this report). 40 complaints were referred back to the council for local resolution and 33 were closed after initial enquiries were made.

	Decisions made 2014-15	Upheld complaints 2014-15	Decisions made 2015-16	Upheld complaints 2015-16
Adult Care	14	0	18	2
Benefits and Tax	25	0	20	5
Corporate and other services	5	0	8	0
Education and children's services	23	3	29	3
Environmental services	7	0	12	0
Highways and Transport	11	0	15	2
Housing	16	2	3	1
Planning and development	7	1	3	0

A frequent topic of complaint about the Education and Children's Services is the school admissions process, with parents complaining to the LGO about the decision of an appeal for a school place. Two of the complaints that were upheld were about a school admissions appeal decision from the same family but different siblings; it is unclear why this was recorded as two separate complaints as the hearing covered both children. The recommendation from this complaint was that the letter that is sent to parents explaining the decisions from appeal hearings is written in a way that is clearer for the citizen to understand. This comment has been reflected on and the letter has been changed.

Service	Number of Upheld LGO complaints
Adult Care	2
Benefits	5
Education	3
Highways	2
Housing	1
TOTAL	13

A clear theme within the upheld complaints is *Communication and Administration*, often the complaint is a result of a communication breakdown within a department or between services. A number of upheld complaints identified failings within the Council's complaint process. There is now a new complaints process used by the council.

The table below breaks down in detail the upheld complaints.

Service	Complaint	Outcome and Actions	Issues identified
Adult Care – Occupational Therapy (OT)	Two year delay for equipment requested after an OT assessment-specialist bed, chair and bathroom support equipment. The complainant also raised concerns about the drains in the bathroom.	That the council did assess and respond to the needs of the complainant in regard to the bed, chair and bathroom equipment appropriately but there were delays assessing and responding to issues about drains. Found poor communication between OT service and Nottingham City Homes. Compensation was paid to the complainant £150.	Communication between services.
Adult Care – Respite stay in Care Home	Complaint about inaccurate record keeping at a council funded care home for a citizen on a respite stay. No next of kin, or medication information recorded.	Complaint upheld and complainant received £175 compensation. Care home given an action plan of recommendations which were fulfilled after two visits.	Record Keeping, Information Governance and Safeguarding.
Housing – housing register	That the council removed the complainant from the housing register inappropriately after drugs were found by the police during a raid on a visitor to the property.	That the policy of removal from the housing register was unclear and needed review. That there was no clear detail about the length of time for removal- it was recommended that the policy be amended to reflect a specific time period and then the opportunity of review. The policy should also include information on the process of re-applying.	Council failed to include a timescale for ineligibility. Recommendations for review of council policy and procedure on removal from housing register. Policy was reviewed.
Highways – bus lane penalty charge	That the Council did not use discretion to cancel a penalty charge notice when the complainant drove in a bus lane on two occasions within the same day.	Council found not to have considered the recommendations of a tribunal to waive a penalty charge because two had been issued on the same day. Council acted on recommendations to waive charge in draft decision document from LGO so no further action required.	Tribunal recommendations be followed.
Highways- bus lane penalty charge	That the council issued two penalty charge notices for driving in a bus lane when the complainant does not own that car.	Councils recognition system was recognising the wrong digit in the car number plate. Penalty charges were issued correctly. But the LGO upheld the complaint because the complainant was incorrectly told they could not use the	Complaints procedure delay.

		complaints procedure to complain – then when it was found the complainant could use the complaints procedure it took many months to respond to the complaint. £100 compensation issued to the complainant for the frustration and delay with the complaints procedure.	
Education- Children's Social Care Complaints investigation	Unhappy with the way social services investigated a complaint about the complainant. Feels that the stage three response did not address all the concerns raised and did not remedy the complaint.	There was a delay in corresponding with the complainant. Council wrote an apology letter acknowledging this. The council did not promptly respond to the complainant at stage 1, but no significant injustice caused by this.	Communication
Education- school appeals	Complainant unhappy with school appeals decision.	No fault with the way appeal was conducted, but decision letter did not explain the decision clearly.	Communication
Education – school appeals	Complainant unhappy with school appeals decision.	No fault with the way appeal was conducted, but decision letter did not explain the decision clearly.	Communication
Benefits- Council Tax	Complainant states that the council caused a delay when issuing a receipt for a payment and that this caused the complainant stress.	LGO decided to not progress with the investigation. Because an apology and receipt has been given to the complainant by the council.	Administration
Benefits- Council Tax	That a discount was removed from the complainants council tax account based on incorrect information. That £500 was demanded from the complainant.	The council apologised for the error and refunded the £500; £150 was awarded compensation for the distress caused to be offset against future council tax payments.	Communication breakdown
Benefits- Council Tax	Complaint about administrative errors in processing council tax and housing benefits.	The council did make errors in administration, causing the complainant to be underfunded for housing benefit and council tax. The council refunded this money and apologised and reimbursed any bank and credit card charges that were caused to the sum of £32.	Communication, Administration
Benefits- Housing Benefit	That the council suspended incorrectly the complainants housing benefit based on incorrect	LGO found no fault with way council acted and they are allowed to suspend benefits if they have reason to check the	Complaints procedure delay

	information and that the complaint about the issue was not dealt with appropriately.	information they have received. Complaint handling was found to be inadequate and delays were experienced. Compensation of £100 paid to complainant.	
Benefits- Council Tax	Complaint about delays updating and processing council tax account information.	Apology and £50 compensation given to complainant. Service improvement- council tax staff to ensure they scan all documents onto Images Document System.	Administration

National comparisons- core cities

The table below shows a comparison of Nottingham City Council against the other core cities of Birmingham, Bristol, Manchester, Liverpool, Leeds, Sheffield and Newcastle.

The national average for upheld complaints is 51%, Nottingham has a lower than average percentage of complaints being upheld at 48%. The Council figures reflect the national trend with Adult Care, Benefits and Tax and Education and Children's Services being one of the main subjects of complaints.

	Nottm City	B'ham	Bristol	Manchester	Leeds	Sheffield	N'castle	Liverpool
Total LGO complaints	112	523	183	140	217	199	68	180
Total % upheld complaints	13 48%	71 66%	29 64%	28 68%	22 40%	21 47%	2 17%	21 55%
Adult Care	18	55	14	17	24	32	11	33
Benefits & Tax	17	132	33	23	27	24	15	42
Corporate & other services	8	11	15	7	16	12	2	18
Education & children's services	28	71	23	30	56	34	13	31
Environmental services	12	88	24	18	30	23	6	31
Highways & Transport	13	48	18	24	15	40	7	11
Housing	3	80	28	10	22	25	8	6
Planning & development	4	32	28	11	26	8	33	6
Other	2	6	0	2	1	1	0	2

2 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

2.1 None

3 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

3.1 None



Review of Local Government Complaints 2015-16

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Local Government Ombudsman

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At a glance



51%
investigations
upheld

3,529 recommendations to put things right

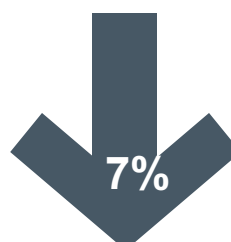


Significant changes on previous year (complaints and enquiries received):

Education &
children's services



Housing



Introduction

This report publishes the complaint statistics of the Local Government Ombudsman, for its local government jurisdiction, for the year ending 31 March 2016.

In publishing the statistics by local authority, available in data tables at the end of this report, we aim to help local authorities to analyse their complaint handling performance and provide an open resource for anyone who wishes to scrutinise local services. The report also reflects on the statistics to give our view on what they mean for the local government sector.

The headline messages from this year's statistics are:

- > we received 19,702 complaints and enquiries, which is a similar level to the previous year
- > we upheld 51% of detailed investigations, which has increased from 46% the previous year
- > the area most complained about is education and children's services
- > we also saw the biggest increase in percentage terms (13%) in complaints and enquiries about education and children's services

We know, however, that numbers alone do not tell everything about the attitude towards complaints and how they are responded to locally. Arguably of more importance is to understand the impact those complaints have on people and to learn the lessons from those complaints to improve the experience for others.

This year we are able to publish more information about the recommendations we make to

put things right when people have suffered. We made 3,529 separate recommendations to remedy injustice. These recommendations include actions for the local authority to take to remedy injustice for individuals and to prevent injustice for others by improving practice.

Our investigations can also provide local authorities with the reassurance that they have carried out a fair investigation of a complaint and satisfactorily offered to put things right, before the person decided to come to us. Our annual review letters to local authorities, published in tandem with this report, show the number of upheld cases where we were satisfied with the remedy the local authority had proposed. They also show how often each authority complied with our recommendations – we welcome that 99.9% of recommendations were complied with across all local authorities last year.

The LGO is the final stage for complaints – the person affected must have gone through their local authority's complaints process before coming to us for an independent review of the case. So in relation to the many thousands of exchanges happening daily between local authorities and people in their areas, our complaints are a relatively small proportion; however each one represents a problem that was not put right locally, or an experience that drove the person to pursue their complaint with us. This report includes examples of some of the issues we see through case studies from people who have complained.

The report concludes with advice on using the statistics to support

local scrutiny, including a set of questions to help local councillors scrutinise how their authority responds to, and learns from, complaints.

About the statistics

To reflect the changing definition of what constitutes local government services, for the purposes of this year's annual review of local government complaints we have widened the scope of the bodies classed as local government. Editions of this report from previous years counted complaint numbers for councils and national park authorities only; whereas the data in this report incorporates complaints and enquiries registered against other local bodies that fall under our jurisdiction. These include school admission appeal panels, fire authorities, transport authorities, police and crime commissioners, and some other government organisations. In this report, we use 'local authority' as an umbrella term for this larger group of organisations. The widening of the scope of bodies we have classed as local government has undoubtedly been a factor in the 6% rise in complaints and enquiries received when compared with last year's report.

The LGO also looks at complaints about independent social care providers. This includes complaints from people 'self-funding' their care without any involvement by the council. Data for independent care providers are not included in this report, but are incorporated in our annual review of social care complaints, published in the autumn.

The Ombudsman's view

The future for local government complaints

I am pleased to present the LGO's third annual review of local government complaints, which continues our commitment to openness and transparency through the publication of our complaint statistics. It adds to the suite of information we publish to help share the learning from complaints to improve local public services. I hope it will be of interest to all those working in the sector. The new statistics we include this year about our recommendations to put things right demonstrate the impact our investigations have, not just in remedying injustice for individuals but also in preventing injustice for the wider public. The review is published on the same day as LGO Annual Letters to each local authority in England. These are available on our [website](#). A combined data table is also attached to this report. During our investigations we agree that some complaints have been remedied satisfactorily by the local authority, and for the first time this year we acknowledge the number of complaints where this has happened.

This will be the last annual review of local government complaints that I present, due to my seven year term of office completing at the end of 2016. When I joined the LGO in 2010, I could not have envisaged the level of change I would witness during the period.

The role of local authority as commissioner of services has become increasingly prevalent. Nowadays service delivery typically involves a complex mix of public, private and charitable organisations working together. While local government has proven its abilities to adapt and innovate in light of budgetary challenges, these systems have inevitably changed the relationship between the citizen and public service provider. This has brought with it challenges for local authorities in retaining accountability structures and ensuring redress is accessible when things go wrong.

The devolution agenda is perhaps the biggest change to local government in a generation, and will transform the way public services are held to account. We have worked with the frontrunner combined authorities to support their thinking on developing effective and accessible complaints processes that fit the emerging new structures of local service delivery. It is important that the LGO retains its authority in the future to affect remedy in this brave new world.

The maze that people are sometimes required to navigate in order to raise a complaint about a public service has been one of my biggest concerns. It is clear that a single Public Services Ombudsman would present a more accessible and effective route to redress. Local

government can be reassured that we continue to work closely with the Cabinet Office to ensure that our 40 years plus experience of remedying local government complaints, and understanding its unique accountability structures, informs the development of any draft legislation.

Finally, I express my appreciation to those that have brought complaints to us – you can be reassured that in doing so you have helped to make services better for others. And I wish to credit those in local authorities that have worked constructively with us, sometimes in challenging situations, to ensure complaints are resolved.

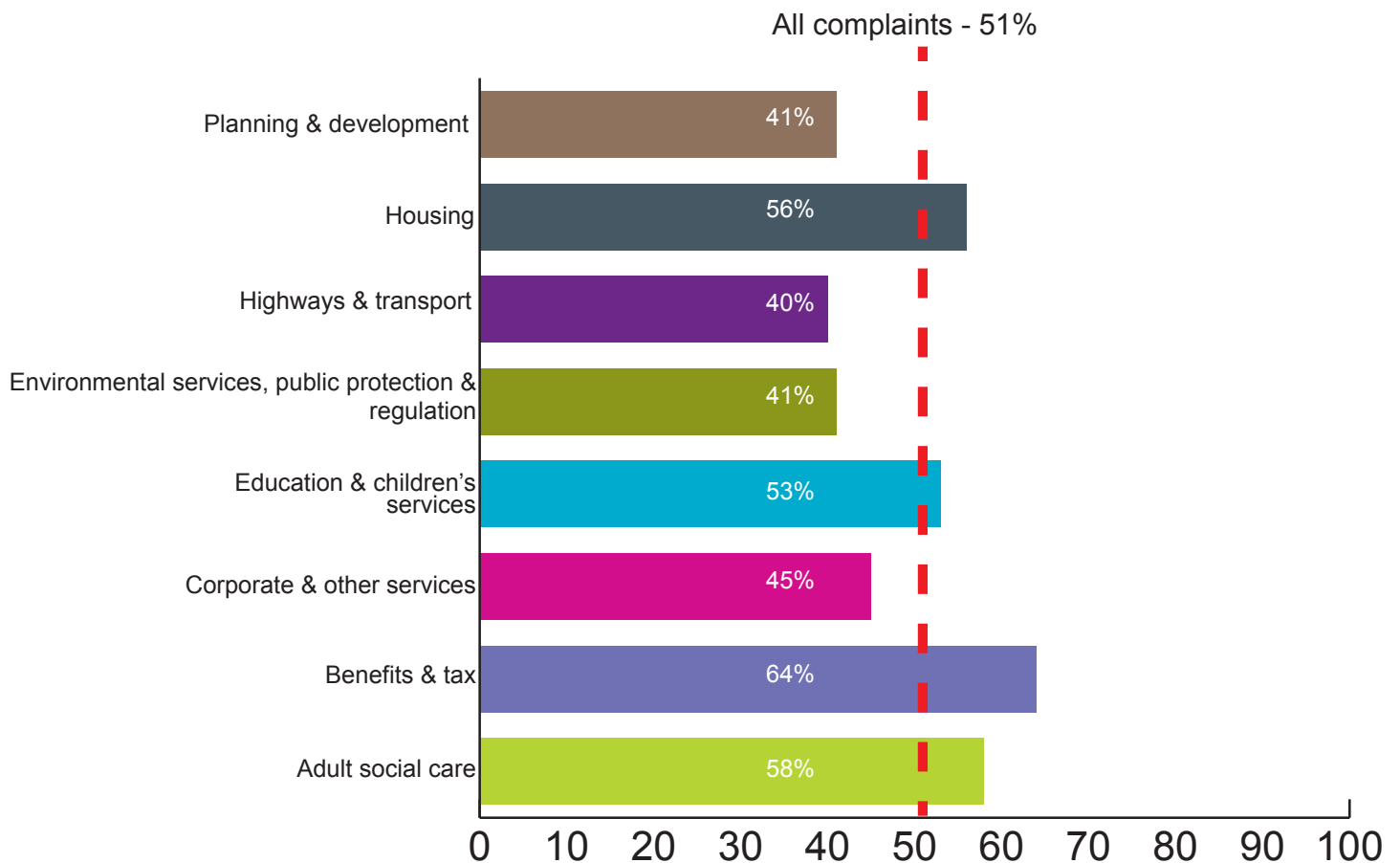
Jane Martin
Local Government Ombudsman

Making a difference

Remedying injustice

Experience tells us that the most effective and timely way to resolve a complaint is for it to be put right at the local level before the issue escalates to the Ombudsman. However, our casework tells us that a significant amount of complaints are not resolved satisfactorily locally, leaving people to ask us for an independent review. We carried out 4,464 detailed investigations, and upheld 51% of these (2,260 in number) last year.

Detailed investigations upheld

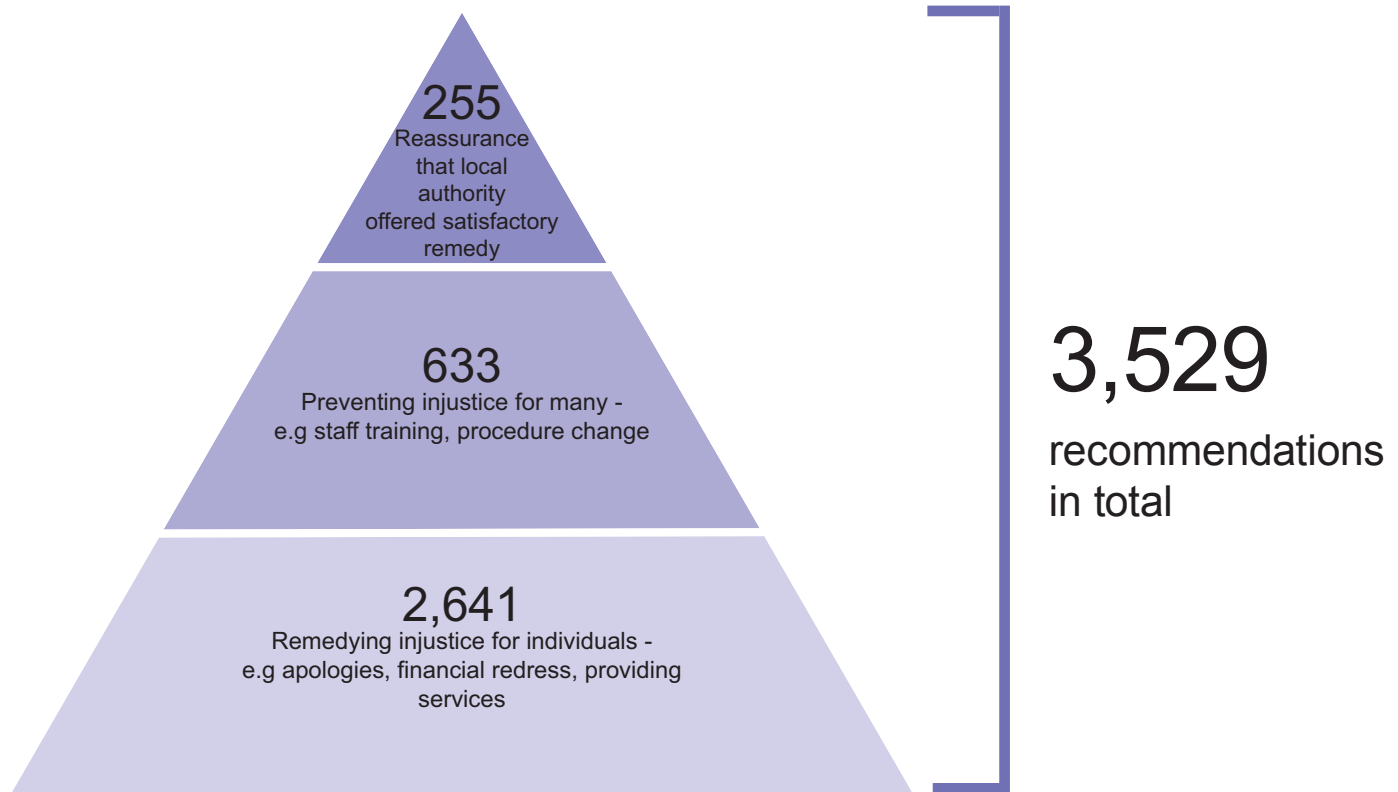


We are most likely to find fault in complaints about benefits and tax (64%), and least likely to find fault in complaints about highways and transport (40%).

We class a complaint as upheld when we find some fault in the way the local authority acted. This includes complaints where a local authority acknowledged fault in their local investigation and offered to take action to put it right, but the person still wanted an independent review of the complaint by us.

Making a difference

Recommendations to put things right



Types of remedies

If we decide the local authority has acted with fault, and the fault caused an injustice, we will make recommendations for the local authority to put things right to remedy the fault. Our recommendations are designed to place people back in the position they were in before the fault happened.

We will recommend an apology where the local authority has not already done so. A common phrase we hear is: "I simply want somebody to take responsibility for what happened".

We look to see whether remedial action needs to be taken to restore a person's situation. This may include reinstating or providing a service, making a decision on something under the right grounds, or providing information.

If the injustice cannot be remedied through remedial action we may recommend a financial payment. This may be a specific and quantifiable value, for example a tax that somebody should not have paid. But often it represents a loss that is more difficult to value, such as the impact of the loss of care services. We also make recommendations for a payment to recognise the distress that somebody has suffered as a result of the authority's errors, as well as the time and trouble someone is put to in having to pursue their complaint with us.

Impact of recommendations

Our powers allow us to investigate matters that come to our attention during an investigation if we think other people, who have not complained to us, may have suffered. We can then make recommendations to remedy the injustice to those others. In addition when we find faults with a policy decision that may have affected multiple people, we can recommend the local authority reviews its files and puts things right for other individuals similarly affected.

Making a difference

Stories we heard

Remedying injustice – putting things right for others

Katrina and her younger brother George became involved with the council's children's services department when the council became concerned about a potential risk to their safety. Following a meeting with the different agencies involved, the council placed the children on child protection plans.

Katrina complained to us that she had suffered significant distress during the period because of the way the council treated her through the process.

We did not criticise the council for initiating the child protection meeting, but found that it did not properly involve Katrina in the meeting as it should have done according to local guidance, and she was unnecessarily denied contact with one of her parents for a number of months. It also did not properly inform all the agencies involved once it had found no risk and closed the case.

Only Katrina had complained to us, but we recognised that the council's faults had also caused injustice to her brother George. The council agreed to our recommendations to put things right for both children. This included written apologies and offers of counselling for the siblings, as well as financial payments to recognise the distress caused and their uncertainty about how events may have panned out differently but for the council's faults.



Improving services

We always consider whether the issues uncovered in an investigation may affect other local people in a similar manner, and whether we can make practical recommendations to avoid that happening. Examples of this include recommendations to review council policies, change procedures, or provide staff training. We are particularly likely to recommend this type of action if we find faults with a local authority policy, standard procedure or especially poor administrative practice.

An integral part of our work is sharing our intelligence and experience from complaints to encourage better services for all. We regularly publish 'Focus Reports' that look at systemic issues found in our complaints. These feedback good practice to local authorities and raise public awareness where there is clear evidence of a public interest. We publish all of our decisions (except where there is a risk to the anonymity of those involved) and complaints data as a resource for people to interrogate. The identity of the complainant is not revealed in our decisions, but we do name the body in jurisdiction.

Local Government complaint numbers & trends



Adult social care

We received 2,584 complaints and enquiries about the responsibilities of councils for adult social care, which is a 4% increase on the previous year. We upheld 58% of complaints investigated in detail.

In our role as Local Government and Social Care Ombudsman, we can provide redress for people with unresolved complaints about any aspect of adult social care, regardless of whether or not the council funds or commissions the services. We can investigate any independent social care providers registered with the regulator, the Care Quality Commission (CQC).

This report only includes the statistics for complaints about the responsibilities of councils, and touches on the most significant themes. We publish an annual review of social care complaints every autumn, which analyses the trends across the whole sector in more depth.

Assessment and care planning

We received the most complaints within adult social care about the assessment and care planning process, at 601. We also upheld 70% of detailed investigations that were specifically about care planning.

Assessment and care planning are at the heart of any council's social care responsibilities. Councils have a statutory duty to carry out an assessment for anyone in their area who appears to need care and support. If eligible, they must draw up a care plan to meet agreed outcomes which is regularly reviewed. Some of the common faults we find in this area are:

- > poor communication
- > not involving families adequately
- > delays in assessing and reviewing, and
- > inadequate information to enable people to make the right choices.

If we identify faults in the assessment and care planning process, we will look to see if direct action could restore the situation, such as carrying out an assessment or review, putting in place a service or involving the family in the process. Typically it can be difficult to quantify the impact of not providing support, but we may recommend a payment to recognise avoidable distress.

Local Government complaint numbers & trends



Adult social care

Charging

We registered 278 complaints and enquiries about charging for care, and upheld 62% of detailed investigations.

The social care system can be complex for people to understand, and it is often at a time of crisis when people first encounter the need for support. Many of the cases we see about charging relate to information being given which is inconsistent or out of line with current guidance.

Our recent Focus Report on charging explains some of the ways we typically remedy injustice in this area.

Focus Report – providing the right information on fees



Our cases show that many people are not being given the right information about charging for social care, meaning they often pay too much. People can choose to pay for more expensive care, but it must be a genuine choice.

We published a Focus Report, [*Counting the cost of care*](#), showing some of the common issues around care 'top-up' fees.

We told some of the stories of people who come to us for help. These included people who had been given confusing or incorrect advice by their council, or those who were not offered a genuine choice of affordable care home that did not require a top-up fee. Other stories included peoples' finances being assessed before their care needs, and councils abdicating responsibility for the top-up to the care home.

To put things right we can recommend action such as an apology, a refund of top-up fees that should not have been charged or a reassessment of needs. We often make recommendations to review procedures to ensure others are not affected.

The report provides insight from our complaints to help councils (and care providers) implement best practice. We also provide questions for councillors to help them scrutinise services locally. By achieving significant publicity for the report we raised public awareness of the right to sound information to enable informed decisions about care.

Local Government complaint numbers & trends



Adult social care

Home care

People may prefer to have their care needs met in their own home to have a level of independence and maintain familiarity with their surroundings.

We experienced a 29% increase in the number of complaints and enquiries received about councils' provision of home care (also known as domiciliary care) from 218 the previous year to 281 this year. This contrasts with a steady decline in the number of people receiving home care funded by local authorities – it fell by 20% between 2009 and 2015¹.

This means that, as a proportion of all people receiving home care with local authority involvement, more are bringing a complaint to us.

There could be a number of reasons for this. However, the outcome may be seen positively: that more people are coming forward to make their concerns

heard. On the other hand, we upheld a high level of complaints (67%), which would indicate councils are often getting it wrong in this area.

Common faults include failure to provide services, such as cancelled or short visits, inaccurate invoicing for and recording of visits, poor communication between the commissioning council and the home care provider and not seeking timely medical assistance.

Some of our complaints reflect issues that have been highlighted by the sector. The Care Quality Commission's (CQC) report *Not just a number* found common issues were undermining the majority of good home care².

These included a lack of consistency of care workers and missed or late visits, amongst others. More recently, a study by UNISON found that 74% of local authorities in England were

limiting some home care visits to 15 minutes³. Guidance by the National Institute for Health and Care Excellence (NICE), introduced in September 2015 advises that home care visits should be no shorter than half an hour unless they are for basic tasks and part of a wider support package or to check someone is safe and well⁴.

¹ [United Kingdom Homecare Association \(UKHCA\) Summary: An Overview of the domiciliary care market in the UK Homecare – May 2016](#)

² [Care Quality Commission - February 2013](#)

³ [Suffering alone at home, Unison, 2014](#)

⁴ Home care: delivering personal care and practical support to older people living in their own homes (NICE guidelines NG21), September 2015

Local Government complaint numbers & trends



Benefits and tax

We received 2,562 complaints and enquiries about benefits and tax. We upheld 64% of those cases we investigated.

Council tax

We registered 1,511 complaints and enquiries in this area. Where we completed an investigation, 61% of cases resulted in complaints being upheld.

Some of the common issues we find include problems with the administration of individuals' council tax accounts, delays in responding to complainants and providing inaccurate information. We receive a number of complaints and enquiries about changes to discount schemes on council tax for empty properties, after councils were given additional powers to manage these schemes locally.

Enforcement agents (bailiffs)

There has been an increase in the amount of complaints and enquiries received about the actions of bailiffs recovering council tax. The increase was at 46% on the previous year (86 received this year and 59 the previous year).

As councils take more action to recover debts the use of bailiffs will undoubtedly increase. While bailiff action can be an unpleasant experience we upheld very few complaints this year about the

actions of a bailiff using their 'Taking Control of Goods' powers.

Business rates

We registered 143 complaints and enquiries about business rates. While we carried out proportionately fewer detailed investigations than in previous years, we upheld a higher percentage of them. On issues of rating the liability for business rates, there is a specific route to redress through the courts. However we find some common issues around delays in dealing with information, as well as councils' discretionary decisions on business rate reliefs.

Complaints about council tax and business rates are often about how councils take action to recover debts. Despite a tax being properly due, we sometimes find a council unreasonably delayed in billing someone, resulting in them receiving a sudden and unexpected demand for a large debt. In these cases we may recommend some of the debt is waived.

In some cases we help people that come to us by advising on the best way to get their problem resolved. This may be to a Valuation Tribunal if the dispute is about liability to pay tax. We

have found councils at fault for not making the appeal route clear to complainants and for incorrectly dealing with liability issues through the corporate complaints process rather than the correct appeal process.

Housing benefit

The majority of our benefits-related complaints are about housing benefit. We registered 752 complaints and enquiries and upheld 68% of investigations. We look at the way councils deal with the claims and how they advise of appeal rights. We also consider landlord complaints that councils have not made a direct payment of housing benefit to them.

If we find that an unnecessary delay by a council caused an injustice, we may recommend it make a payment to reflect this. We can also recommend councils pay landlords for sums lost if we find fault in this area. We may also recommend a council reviews its administrative processes.

Local Government complaint numbers & trends



Benefits & tax

Council tax support and council tax benefit

Council tax benefit was abolished in April 2013, but we still receive some complaints about council tax benefit overpayments. We registered 119 complaints and enquiries last year. Common faults we find in this area include when a council delays in dealing with a claim or passing a case to appeal. If a council is taking steps to recover tax, but we find fault in the way the original claim was handled, we can consider how the person has been affected and make a suitable recommendation to put this right. For example, we can recommend the council determines a claim without delay or reimburses costs incurred by the complainant caused by the delay in determining a claim.

Stories we heard

Council tax - unreasonably late billing

Between 2003 and 2006 Angela shared a rented flat with three other tenants. They believed the landlord was responsible for paying the council tax. Neither the tenants nor the landlord told the council they were renting the flat.

The previous owner of the flat had died, and between 2002 and 2010 the council sent bills to his representative. The bills were not paid, but the council did nothing about chasing this up until July 2010 when it was told the flat had been sold. It billed the new owner, who told the council about Angela and her co-tenants. The council sent the four tenants bills for more than £4,600 to the only address it had – the property. No payments were received. In 2011 the council instructed bailiffs who were unable to find Angela or the other tenants and passed the debt back to the council in mid 2012. In early 2014 the council found Angela's current address; it could not find the address of the other tenants. It wrote to Angela asking her to either pay the debt in full or make an arrangement to do so.

Angela complained about being asked to pay such a large sum so long after she had left the property. She said she had no addresses for her former flat mates.

We found the council was right to say Angela and her co-tenants were all liable for the debt. But we also found the council was at fault in having delayed for so long in checking if the late owner had sold the property. It was also at fault in its delays in trying to contact Angela after it billed her; there were long periods when no action was taken to find Angela's new address. The council agreed to our recommendations to reduce Angela's debt to 25% of the total, which is what she should have paid if she had been billed in time, and then to halve this total because of the further delays in contacting her.



Local Government complaint numbers & trends



Education and children's services

During this period, we received 3,438 complaints and enquiries about education and children's services. This is the highest volume of complaints we deal with in comparison with other subject areas. We upheld 53% of those cases we investigated.

Child protection

We registered 903 complaints and enquiries in this area. Where we completed an investigation, 68% of cases resulted in complaints being upheld. This is considerably higher than the average for all complaints (51%).

Child protection complaints relate to safeguarding procedures which are intended to protect children from the risk of neglect or abuse. Often complaints are made by parents or family members, about or on behalf of a child or young person. They may consider that something has gone wrong in the process and the child or young person has been left at risk of harm as a result. We also receive complaints from people who have been investigated due to child protection concerns being raised. By their nature these complaints require sensitive handling and sometimes the outcome the complainant desires is something that only the courts could decide – for example revoking a decision to remove a child from the family.

Where we find fault in child protection complaints, recommendations to review safeguarding procedures is particularly important to avoid the likelihood of other children being similarly affected.

Children's statutory complaints procedure

Many complaints we receive are about or involve councils' application of the statutory children's social care complaints process. This is designed to ensure the rights and needs of the child are at the heart of the process and that young people's voices are heard. Once a complaint has been accepted via this procedure, complainants have a right to progress through each stage: local resolution; investigation; and independent review. We regularly see instances where councils fail to follow the process, or its guiding principles. In these cases we may recommend a financial payment if failures have caused or compounded the person's distress.

Child sexual exploitation

Recent inquiries into the failures to prevent child sexual exploitation in some areas are well publicised. We have only received a small number of complaints on the subject. But, we have seen some instances where a council has taken a lack of consent from a young person to justify not investigating a complaint or for failing to take safeguarding action. This is of concern given the young person may not perceive themselves to be a victim or vulnerable to potential exploitation and do not therefore recognise they may be in need of protection. A failure to properly consider and assess a young person when such concerns have been raised may leave them at continued risk.

Local Government complaint numbers & trends



Education and children's services

School admission appeals

We registered 654 complaints and enquiries in this area. We investigated fewer complaints than in previous years but upheld significantly more cases, 43% in 2015-16 compared to 26% 2014-15. We do not have jurisdiction to consider complaints about Academies and Free Schools and so the number of complaints we are able to consider has reduced significantly as more schools have converted to Academy status.

Common themes in the complaints we uphold are poor administrative practices such as insufficient information provided or new information presented on the day of the appeal; inadequate recording of the decision making process; panels taking into account irrelevant information and poorly communicated decisions leaving appellants with no understanding of how the decision was reached.

When we find fault and are satisfied it has caused an injustice we usually recommend the admission authority holds a fresh appeal with a different panel, to restore faith that the parents' appeal is heard impartially and fairly. We may also recommend it reviews its admission criteria or appeals procedure.

Special Educational Needs

We registered 355 complaints and enquiries about special educational needs (SEN). We upheld 70% of those cases we investigated. Again this is considerably higher than the average across all subject areas (51%). Where we do find fault, the impact on the individual and their family can be particularly acute. Cases can be complex, and we often see complaints where the relationship between the family and the council has broken down.

Delays in the process are one of the overriding features of SEN complaints we uphold. In addition we tend to find problems where there has been no holistic and timely approach to planning for future needs – particularly around the key transition points between stages of schooling and post-16 education.

Where we find fault, we can recommend a financial payment to recognise the lack of provision or ask that relevant assessments or reviews take place promptly. Unfortunately we regularly see cases where a child is left without suitable education for prolonged periods, which requires careful consideration to recommend a remedy that addresses all the issues of missing out for such time.

New arrangements for education, health and care plans (EHCPs) to replace statements of SEN came into force in September 2014. Due to the timescales of this process it is too early for us to have seen enough complaints about EHCPs to identify systemic trends. But some initial concerns are councils failing to arrange transition meetings for transfer from statements to EHCPs, or using the 20 weeks timescale as a deadline rather than aiming to complete the process as quickly as possible.

School transport

We received a significant increase in the number of complaints and enquiries about councils' provision of school transport. We have seen some emerging issues where school transport has been withdrawn without there having been any changes to the transport policy or the person's circumstances. We have also seen a number of complaints where changes to longstanding transport policies have been made without parents being informed or provided with clear and timely information about them. These type of changes often affect many families in the council areas. In some of the cases we received, the catalyst for the local changes affecting people have been the council reviewing its transport policy, or how they apply their existing policy, in light of a need to reduce costs.

Local Government complaint numbers & trends



Education and children's services

Stories we heard

Child protection – not following the children's complaints process

Petra became the adopted mother of two young girls, aged four and five. The children told her that their former foster carer had smacked them.

Petra approached the council with the allegations. It, and the council failed to convene the correct planning meetings and social workers recorded the concern as 'unsubstantiated'.

Petra later raised further concerns made by the children. She also claimed that some of the children's belongings and memory boxes were not passed on from the foster carer.

The council held a meeting chaired by an independent officer to look at whether the council had investigated the allegations properly. The meeting decided that any investigation could be traumatic for the children and doubted whether sufficient evidence would be gained.

Petra tried to pursue her complaint with the council, but it refused progress it to the second stage, so she approached us.

We found the council at fault for not following the statutory children's social care complaints process. And while the council claimed it did weigh up the evidence it may get from interviewing the children over the potential harm it may cause, it also failed to follow its own policy which said that any child or adult that reports a concern must be consulted.

The council agreed to our recommendations to apologise and agree a clear plan for interviewing the children. It also agreed to train staff, and review its procedures for how it investigates allegations, how it progresses complaints through the statutory process quickly, and how it works with foster carers to impress the importance of keeping photographs and possessions safe.

We also recommended a small financial payment to Petra and her two daughters to recognise the avoidable frustration and distress they were caused.



Local Government complaint numbers & trends



Environmental services, public protection and regulation

We received 1,714 complaints and enquiries in this area. We upheld 41% of detailed investigations.

Refuse and recycling

The highest number of complaints and enquiries were about refuse and recycling, at 487. For many people the collection of their waste is one of the most visible functions of a local authority. Failure to properly collect waste can be a serious health hazard. A common complaint is that collections have been missed, although we often find during these investigations that councils have taken satisfactory steps to remedy this locally. When we find fault in refuse complaints, there are sometimes issues with how the council handles the initial complaint. We upheld 59% of detailed investigations in this area.

Noise

We received 188 complaints and enquiries about noise nuisance. Complaints are usually about noise from a neighbouring house or business. Councils have a responsibility to investigate cases of alleged noise nuisance and to come to a decision on whether action needs to be taken to manage it. They will usually monitor the noise to determine whether it is classed as statutory nuisance. A common issue we find is delay in the process; either in taking action to assess whether the noise amounted to a nuisance, in taking action to reduce the noise or in informing the people involved on progress of the issue.

To put things right we may recommend that action is taken to address a statutory noise nuisance, such as acoustic works. If it is clear that proper action would have led to a reduction in the nuisance sooner, we will recommend a payment to recognise a loss of amenity.

Anti-social behaviour

We received 203 complaints and enquiries about anti-social behaviour. Sometimes people complaining about these issues also experience problems with noise nuisance. Similar to noise complaints, the common faults we see include delays in taking action when action was promised, and failing to keep people informed effectively. If we find fault, we can recommend the council re-evaluates the issues and may include interviewing witnesses or reviewing with the police practical measures to control anti-social behaviour. We can recommend a payment to recognise avoidable distress. If a person's complaint is about a neighbour who is a social housing tenant, then we will signpost to the Housing Ombudsman who is the correct ombudsman to handle their unresolved complaint.

Local Government complaint numbers & trends



Highways and transport

We received 2,110 complaints and enquiries about highways and transport. We upheld 40% of detailed investigations, which is the lowest of all areas of our work.

Fines

The area in which we received the most complaints and enquiries, at 751, was parking and traffic fines. For most issues related to this subject, there is a statutory process for challenging fines through a tribunal. Despite this, we still find a number of common issues, and because of the millions of penalties issued each year any improvement by councils in this area could benefit many people. We find cases where councils have not correctly informed people of their rights, particularly when making an informal challenge to a penalty charge notice. We also investigate complaints about how councils have taken recovery action on unpaid penalty charges.

Repairs and traffic management

Most other highways and transport complaints and enquiries are about traffic management, and highway repairs and maintenance. Typically these include complaints about potholes, injury to people and damage to vehicles, parking permits and issues like road closures, speed restrictions or pavement obstructions.

Where we do find fault, many recommendations will include a financial element – either cancelling fines or fees, or a payment for the time and trouble in having to pursue the issue with us.

Stories we heard

Traffic fines - failure to reverse fine

Dan and Kirsty received a penalty charge notice by post from the council for a moving traffic contravention. It contained a photograph of the car involved, but its vehicle registration was not the same as that on the notice itself. The council had clearly sent the notice to the couple in error and they wrote to point this out.

Although it was correctly addressed, Dan and Kirsty's letter to the council was returned marked 'addressee gone away'. Despite several letters and phone calls, the couple could not resolve the matter with the council and complained to us.

At our intervention, the council accepted it had been at fault and cancelled the penalty charge. It agreed to pay Dan and Kirsty £25 to recognise their time and trouble. However, this complaint should have been resolved earlier. The council's error was readily apparent and it should not have required the couple to come to us to get things sorted.



Local Government complaint numbers & trends



Housing

During the year we received 2,325 complaints and enquiries about housing, which is 7% fewer than in the previous year. Most were either about how councils allocate social housing, or their homelessness services. A smaller number were about the different ways authorities are involved with private sector housing, including licensing, enforcement activity in relation to disrepair and improvement, and other issues to do with the landlord/tenant relationship. We upheld 56% of housing investigations.

Although the responsibility for complaints about the provision and management of social housing passed to the Housing Ombudsman in April 2013, we still receive many enquiries from people who want to complain about these matters. We continue to work with the Housing Ombudsman in providing information about our respective roles, but we also urge councils to improve the advice about which Ombudsman people should complain to when they have made a final decision their complaints.

Housing allocations

We received 916 complaints and enquiries about housing allocations and we upheld 51% of detailed investigations. Using our experience of those complaints we published a Focus Report, which highlighted some of the common failures in this area and acted as a timely reminder to councils of the need to ensure their allocation policies do not exclude certain vulnerable groups. Some of the recurring problems include poor handling of requests for medical priority, not updating housing applications following a change in circumstances, and failures in how exceptional circumstances are considered by applying blanket policies.

Homelessness

We received 467 complaints and enquiries about homelessness, which is an 8% increase on the previous year. We also upheld 71% of detailed investigations.

Latest government statistics for England show that around a third of all households accepted as homeless, and around three quarters of all households placed in temporary accommodation, are in London⁵. 68% (317 out of 467) of our complaints and enquiries about homelessness were against London authorities. Recently we have seen complaints about council decisions – often but not only London boroughs – to offer accommodation outside the council's area.

We have also dealt with complaints about the way councils deal with private tenants who seek assistance when served with a notice to quit from their landlord. We have also seen evidence of 'gatekeeping', where councils

delay or avoid altogether taking a homelessness application. We continue to receive complaints that offers of temporary accommodation are unsuitable and that councils take too long to carry out reviews of the suitability of such accommodation.

In complaints about housing allocations and homelessness, injustice may be suffered by vulnerable individuals or by families. Sometimes it is clear what is needed to remedy the injustice, for example by the council making an offer of suitable accommodation or by giving additional priority to a housing application. Often the remedy will include some financial redress. Procedural change recommendations may include such things as reviewing standard processes to meet government guidance and improving the information given to local people.

⁵ Statutory Homelessness: October to December Quarter 2015

Local Government complaint numbers & trends



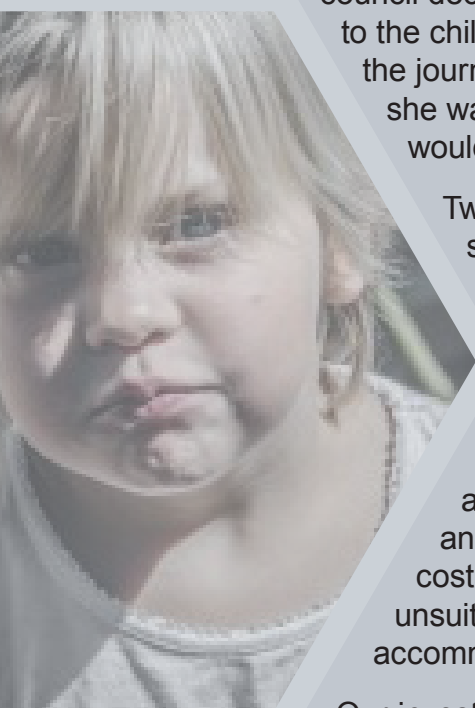
Housing

Stories we heard

Homelessness - housed out of area in unsuitable home

Anita is a single parent to three teenagers. She is on a low income and gets tax credit and Child Benefit support. The family were evicted from their London home when the landlord wanted the property back, and she applied to the council as homeless.

They were offered a three-bedroom home in a town in Essex as temporary accommodation while the council decided her homeless application. Anita was concerned about the distance to the children's schools and colleges and her job. These were in East London and the journey would take up to two hours. However she reluctantly accepted because she was advised it was the only property available and if she refused the council would consider its duty to her discharged.



Two months later Anita tried to request a review of the accommodation, stating she could not afford the significant additional transport costs; had the family been placed in London, the children would have been entitled to free bus travel. A homeless applicant, however, does not have a right to request a review of the suitability of the accommodation until a council has made a decision to accept a housing duty.

It took another month for the council to make a decision and accept a full housing duty as a homeless family in priority need. Anita lodged another review request, reiterating her concerns about the distance and costs. Ten weeks later the council concluded the temporary Essex home was unsuitable and placed the family on the transfer list for a move to more suitable accommodation.

Our investigation found the council took too long to decide the homeless application – no work happened on the case for around five months. Although the family would likely still have been placed in Essex because it was the only three-bedroom home available at the time, if the council had properly assessed the suitability of the home at the outset, taking into account the educational needs of the children, it would have recognised the need to transfer them nearer much sooner.

The council agreed to our recommendations to apologise and refund Anita the £3,000 spent on train fares over the period and pay her £500 to recognise the inconvenience and distress caused. It also offered suitable temporary accommodation in London around the time our investigation was completed.

Local Government complaint numbers & trends



Planning and development

We received 2,528 complaints and enquiries in this area and upheld 41% of investigations.

Planning applications

A large proportion of complaints and enquiries we get in planning are about planning applications – there were 1,617 received in the year. The majority are from people who object to a planning application or a council's decision to grant planning permission.

Objectors do not have a right of an appeal about a planning decision; they can take independent action in court, but with the costs usually prohibitive, we are the only realistic way for people affected by a council's planning decision to get redress. We provide individuals with redress if council administrative faults have caused them a personal injustice. However, we do receive complaints from objectors not directly affected by a development.

In the complaints where we find fault, some of the common issues are failures around publicising applications or properly considering objections to applications, explaining the reasons for decisions and considering the impact on neighbouring properties.

If we find fault causing injustice, we can recommend action to lessen the impact of development, like changes to gardens or properties to reduce overlooking, access or noise issues. In some

cases, if the application was unlikely to have been approved but for the faults identified, we may recommend a financial payment to recognise the loss of value to a property. We may recommend procedural changes or training for staff, and members of the planning committee.

Planning enforcement

We received 498 complaints and enquiries about planning enforcement. Once it is satisfied a planning contravention has taken place, a council must decide whether it is appropriate and practical to take enforcement action. There are time limits after which unauthorised development becomes immune from enforcement action, so we expect councils to investigate alleged contraventions within a reasonable timeframe. Enforcement action is discretionary, and any action taken should be proportionate to the breach identified. This means that formal action should not normally be taken unless informal negotiation fails.

A common issue raised in planning enforcement is a lack of communication. Even if we find no fault in the way a council handles the contravention itself, the failure to regularly update someone on progress invariably adds to their sense of frustration. Delays during which local people may

be suffering the consequences of unauthorised development are another problem, and on occasion result in the council losing planning control and the ability to take enforcement action.

As in planning application complaints, we would look to see if action can be taken to put right planning breaches. This may involve recommending the council takes appropriate formal enforcement action. If a council, through fault, loses planning control, we may recommend a payment to recognise a loss of amenity or value of property.

Local Government complaint numbers & trends



Planning and development

Planning enforcement - failure to retain planning control



Johan complained that a neighbour's large terrace balcony affected his privacy by overlooking his garden.

The council approved the neighbour's planning application, subject to a condition requiring him to submit detailed plans of screening measures, and build according to those plans. The council had intended the condition to also reserve the right for it to decide whether the screening was satisfactory, but failed to do this. It had assured Johan that a 1.8 metre high screen would protect his privacy.

The neighbour submitted plans that the council found unsatisfactory. After it chased the neighbour for revised plans and got no response, it decided to start enforcement action. It was at this point, that it realised the planning condition was not worded as intended and the council had lost planning control. The neighbour had met its obligations by submitting plans and building to them.

Johan decided to plant a large number of trees in an effort to protect his privacy. It is estimated it would take 3 to 5 years for them to grow to the 6 metres needed to begin to screen the impact of the balcony.

The council agreed to our recommendations. These were to make a payment to Johan for the cost of planting the trees, for the impact of the balcony on his amenities until the trees provide screening, and for his time and trouble in pursuing the complaint.

Corporate and other services



We received 988 complaints and enquiries registered about corporate and other services. We upheld 45% of detailed investigations.

Complaints in this area include: council contracts and business matters, leisure and culture, council land (when not related to planning), access to information and standards committees.

Complaints and enquiries about elections more than doubled on the previous year (from 30 to 62). This is likely due to the 2015 general election, although a number of complaints in this area were signposted to the Electoral Commission as the more appropriate body to investigate.

Supporting local scrutiny

We encourage the use of our statistics to help inform scrutiny of local public services. This report publishes our statistics for all local authorities in one place so they can easily be compared with other areas. We also publish the data in spreadsheet format on our website together with annual review letters to local authorities.

It is important to remember, however, that these statistics should be a starting point for discussion on how complaints are dealt with in an area. Different levels of complaint numbers to the Ombudsman can be caused by many factors; it is too simplistic to imply they are connected directly to good or bad services in an area. For example, low numbers may reflect poor signposting to the Ombudsman and an inaccessible complaints procedure, or it may reflect good complaint handling locally.

Local councillors have an important part to play in scrutinising local services. Many local authorities tell us they share their information about complaints with councillors, and we encourage those authorities not already doing so to start. Below are some questions councillors may consider asking to get a picture of how complaints are handled locally.

Questions for councillors

How does your council:

- > actively welcome feedback from service users about how it manages complaints?
- > report the outcomes and lessons learned from complaints to all members?
- > provide similar information that is easily accessible for the public?
- > consider how commissioned partners implement an effective complaints handling service?
- > clearly signpost its complaints procedure, including the right to come to the LGO, within all access points?

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Adur District Council	0	5	0	0	1	0	1	4	0	11
Allerdale Borough Council	1	2	1	0	2	0	0	23	0	29
Amber Valley Borough Council	0	4	0	0	2	0	1	13	0	20
Arun District Council	0	5	2	0	4	0	0	8	0	19
Ashfield District Council	0	5	3	0	0	1	2	4	0	15
Ashford Borough Council	0	7	3	0	3	0	2	8	0	23
Aylesbury Vale District Council	0	11	3	0	3	0	3	9	0	29
Babergh District Council	0	3	1	0	2	0	6	6	1	19
Barking and Dagenham London Borough Council	7	33	5	23	22	23	27	5	0	145
Barnet London Borough Council	20	48	4	17	15	42	38	32	3	219
Barnsley Metropolitan Borough Council	9	9	5	10	7	4	3	11	1	59
Barrow Borough Council	0	5	0	0	1	0	0	3	0	9
Basildon Borough Council	0	10	0	0	7	2	4	9	1	33
Basingstoke and Deane Borough Council	0	4	2	0	3	0	1	12	0	22
Bassetlaw District Council	0	3	1	0	2	2	5	7	0	20
Bath and North East Somerset Council	5	3	4	6	4	4	2	12	0	40
Bedford Borough Council	4	2	1	14	5	1	5	4	2	38
Bexley London Borough Council	6	25	3	13	7	5	12	6	1	78
Birmingham City Council	55	132	11	71	88	48	80	32	6	523
Blaby District Council	0	3	0	0	1	1	2	5	0	12
Blackburn with Darwen Council	9	9	1	13	5	3	0	2	0	42
Blackpool Borough Council	9	6	6	10	6	2	3	5	0	47
Bolsover District Council	0	2	4	0	1	0	1	2	0	10
Bolton Metropolitan Borough Council	6	9	2	8	8	2	2	5	1	43
Boston Borough Council	0	2	2	1	0	0	0	5	0	10
Bournemouth Borough Council	12	9	2	12	9	4	11	7	0	66
Bracknell Forest Council	4	1	1	8	1	1	2	7	1	26
Braintree District Council	0	4	2	1	1	0	1	4	0	13
Breckland District Council	0	2	2	0	1	0	1	9	0	15
Brent London Borough Council	17	24	3	15	13	42	52	14	3	183

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Brentwood Borough Council	0	6	0	0	0	0	0	3	0	9
Brighton and Hove City Council	27	13	4	28	4	12	13	21	1	123
Bristol City Council	14	33	15	23	24	18	28	28	0	183
Broadland District Council	1	0	0	0	2	0	1	6	0	10
Broads Authority	0	0	2	0	0	0	0	1	0	3
Bromley London Borough Council	35	39	7	20	8	8	38	17	1	173
Bromsgrove District Council	0	3	3	0	2	0	1	5	0	14
Broxbourne Borough Council	0	0	1	0	3	1	4	7	0	16
Broxtowe Borough Council	0	7	1	0	2	0	3	3	1	17
Buckinghamshire County Council	13	0	3	16	4	17	0	0	1	54
Burnley Borough Council	0	3	0	0	3	2	2	2	0	12
Bury Metropolitan Borough Council	13	5	1	11	13	5	2	3	0	53
Calderdale Metropolitan Borough Council	13	7	4	19	11	11	2	13	0	80
Cambridge City Council	0	2	0	0	4	0	7	4	0	17
Cambridgeshire County Council	15	0	5	26	1	10	0	0	0	57
Camden London Borough Council	14	10	6	9	8	25	38	11	4	125
Cannock Chase District Council	0	7	2	0	1	0	1	0	0	11
Canterbury City Council	1	4	3	1	3	0	5	11	0	28
Carlisle City Council	1	3	2	0	1	0	2	3	0	12
Castle Point Borough Council	0	4	1	0	3	0	3	2	0	13
Central Bedfordshire Council	7	7	4	12	4	7	6	18	0	65
Charnwood Borough Council	0	4	0	0	2	0	4	5	0	15
Chelmsford City Council	0	2	3	0	1	0	3	7	0	16
Cheltenham Borough Council	0	1	0	0	0	0	1	4	0	6
Cherwell District Council	0	4	2	0	4	3	4	16	0	33
Cheshire East Council	15	12	16	23	12	13	0	27	1	119
Cheshire West and Chester Council	6	8	11	14	9	10	3	13	1	75
Chesterfield Borough Council	0	1	1	0	0	2	3	0	0	7
Chichester District Council	0	3	1	0	1	2	2	11	0	20
Chiltern District Council	0	3	0	0	5	0	2	1	0	11

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Chorley Borough Council	0	5	0	0	1	0	2	3	0	11
Christchurch Borough Council	0	1	0	0	0	0	2	6	0	9
City of Bradford Metropolitan District Council	19	21	12	19	12	14	4	12	1	114
City of London	2	0	0	1	3	2	1	1	0	10
Colchester Borough Council	1	3	2	0	3	2	6	8	0	25
Copeland Borough Council	0	2	0	0	4	0	0	2	0	8
Corby Borough Council	0	3	2	0	6	1	4	1	0	17
Cornwall Council	46	21	9	50	13	15	9	73	1	237
Cotswold District Council	0	1	0	0	2	0	0	6	0	9
Coventry City Council	12	16	11	20	21	20	6	3	0	109
Craven District Council	0	0	2	0	2	0	1	3	0	8
Crawley Borough Council	0	3	0	0	2	1	9	4	2	21
Croydon London Borough Council	31	33	5	30	25	23	67	14	0	228
Cumbria County Council	10	2	2	30	2	7	0	0	0	53
Dacorum Borough Council	0	5	0	0	4	1	5	7	1	23
Darlington Borough Council	12	1	1	1	6	4	0	4	0	29
Dartford Borough Council	0	5	1	1	3	1	6	3	0	20
Dartmoor NPA	0	0	0	0	0	0	0	1	0	1
Daventry District Council	0	4	2	0	2	0	3	5	0	16
Derby City Council	12	11	2	24	7	3	3	3	1	66
Derbyshire County Council	36	1	2	38	3	15	0	1	0	96
Derbyshire Dales District Council	0	0	1	0	0	0	0	7	1	9
Devon County Council	42	0	6	60	5	33	0	2	0	148
Doncaster Metropolitan Borough Council	13	6	3	12	11	5	9	11	1	71
Dorset County Council	24	0	2	14	4	7	0	1	0	52
Dover District Council	0	4	0	0	2	2	3	3	0	14
Dudley Metropolitan Borough Council	6	6	4	13	14	9	11	9	1	73
Durham County Council	32	23	9	28	26	17	9	38	1	183
Ealing London Borough Council	19	28	8	19	17	35	34	20	3	183
East Cambs District Council	0	1	2	0	2	1	0	1	0	7

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
East Devon District Council	1	3	3	0	2	0	4	10	0	23
East Dorset District Council	1	4	0	0	1	2	1	5	0	14
East Hampshire District Council	0	1	2	0	3	0	1	8	0	15
East Herts District Council	0	3	4	0	1	2	0	9	0	19
East Lindsey District Council	0	3	3	0	7	0	0	18	1	32
East Northamptonshire Council	0	1	1	0	2	0	1	5	0	10
East Riding of Yorkshire Council	15	5	6	15	8	9	3	14	0	75
East Staffordshire Borough Council	0	2	0	0	2	1	0	3	0	8
East Sussex County Council	51	0	4	32	1	7	0	2	0	97
Eastbourne Borough Council	0	12	1	1	3	0	5	1	0	23
Eastleigh Borough Council	0	1	0	0	0	0	4	9	0	14
Eden District Council	0	2	1	0	3	0	1	11	0	18
Elmbridge Borough Council	1	0	0	1	1	3	3	9	0	18
Enfield London Borough Council	16	41	3	13	6	16	47	14	1	157
Environment Agency	0	0	0	0	6	0	0	0	0	6
Epping Forest District Council	0	4	0	0	5	1	20	8	0	38
Epsom and Ewell Borough Council	0	5	0	0	3	2	1	8	0	19
Erewash Borough Council	1	2	1	0	2	1	0	5	1	13
Essex County Council	52	0	8	146	11	58	1	2	1	279
Exeter City Council	0	1	0	1	2	1	6	8	0	19
Exmoor NPA	0	0	0	0	0	0	0	0	0	0
Fareham Borough Council	0	2	0	0	1	1	0	4	1	9
Fenland District Council	0	5	0	0	7	1	3	13	1	30
Forest Heath District Council	1	0	0	0	0	0	1	3	0	5
Forest of Dean District Council	0	2	1	0	3	0	0	6	0	12
Fylde Borough Council	0	3	0	0	1	0	0	4	0	8
Gateshead Metropolitan Borough Council	7	2	6	8	12	6	9	6	2	58
Gedling Borough Council	0	3	1	0	0	0	3	6	0	13
Gloucester City Council	0	4	0	0	3	0	1	6	0	14
Gloucestershire County Council	23	0	4	24	1	10	0	0	0	62

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Gosport Borough Council	0	7	1	0	1	1	3	1	0	14
Gravesham Borough Council	0	5	1	0	1	1	13	2	0	23
Great Yarmouth Borough Council	1	4	0	1	2	0	3	5	0	16
Royal Borough of Greenwich	16	24	4	25	11	9	37	9	2	137
Guildford Borough Council	0	1	2	1	0	1	2	8	1	16
Hackney London Borough Council	14	21	11	18	2	17	29	4	0	116
Halton Borough Council	3	1	1	13	5	4	0	4	0	31
Hambleton District Council	0	1	0	1	2	0	0	7	0	11
Hammersmith and Fulham London Borough Council	5	20	2	14	4	26	29	11	2	113
Hampshire County Council	37	0	4	58	4	15	0	1	0	119
Harborough District Council	0	3	2	0	4	0	1	10	0	20
Haringey London Borough Council	14	60	7	27	19	23	56	12	2	220
Harlow District Council	0	5	2	1	8	0	4	0	0	20
Harrogate Borough Council	0	1	1	1	4	1	2	11	1	22
Harrow London Borough Council	13	26	4	11	10	34	17	20	0	135
Hart District Council	0	1	0	0	0	1	0	4	1	7
Hartlepool Borough Council	3	4	2	2	2	0	1	5	0	19
Hastings Borough Council	0	6	2	0	2	1	5	8	0	24
Havant Borough Council	0	2	0	0	2	2	2	4	0	12
Havering London Borough Council	8	13	2	13	3	12	27	9	0	87
Herefordshire Council	10	3	5	13	5	7	3	13	3	62
Hertfordshire County Council	35	0	4	62	3	26	0	5	0	135
Hertsmere Borough Council	0	3	2	1	0	0	3	9	0	18
High Peak Borough Council	0	2	1	0	1	0	0	7	0	11
Hillingdon London Borough Council	16	20	4	19	3	8	36	11	4	121
Hinckley and Bosworth Borough Council	0	1	1	0	3	0	2	10	0	17
Horsham District Council	0	3	0	0	0	1	2	13	0	19
Hounslow London Borough Council	15	41	7	15	9	24	35	22	1	169
Huntingdonshire District Council	0	7	2	0	2	0	1	11	0	23
Hyndburn Borough Council	0	2	0	0	3	0	1	3	0	9

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Ipswich Borough Council	0	1	0	1	1	0	3	1	0	7
Isle of Wight Council	19	7	2	9	3	9	7	4	0	60
Council of the Isles of Scilly	0	0	0	1	0	1	0	0	0	2
Islington London Borough Council	13	9	4	12	6	14	31	9	2	100
Royal Borough of Kensington and Chelsea	8	7	3	9	3	17	18	9	2	76
Kent County Council	62	0	5	98	7	10	2	1	0	185
Kettering Borough Council	0	3	0	0	0	1	4	3	0	11
King's Lynn and West Norfolk Borough Council	0	1	4	0	3	1	1	7	1	18
Kingston upon Hull City Council	11	13	5	27	13	5	8	2	2	86
Royal Borough of Kingston upon Thames	9	10	1	7	3	16	20	5	1	72
Kirklees Metropolitan Borough Council	19	13	13	18	8	6	3	13	0	93
Knowsley Metropolitan Borough Council	8	1	1	8	1	2	5	1	0	27
Lake District NPA	0	0	1	0	0	1	0	1	0	3
Lambeth London Borough Council	16	53	15	20	14	29	86	7	3	243
Lancashire County Council	68	0	5	68	3	14	0	1	0	159
Lancaster City Council	0	4	2	0	2	0	3	1	0	12
Leeds City Council	24	27	16	56	30	15	22	26	1	217
Leicester City Council	17	16	9	25	11	9	12	4	1	104
Leicestershire County Council	22	1	5	30	4	16	0	2	0	80
Lewes District Council	0	6	2	0	2	0	2	5	1	18
Lewisham London Borough Council	22	39	5	31	12	7	37	9	0	162
Lichfield District Council	0	2	0	0	1	0	2	3	0	8
Lincoln City Council	0	6	2	0	7	1	9	2	1	28
Lincolnshire County Council	36	0	2	28	3	9	0	2	1	81
Liverpool City Council	33	42	18	31	31	11	6	6	2	180
Luton Borough Council	12	14	8	17	6	4	11	3	0	75
Maidstone Borough Council	0	7	2	0	4	4	7	19	0	43
Maldon District Council	0	3	2	0	1	1	2	7	0	16
Malvern Hills District Council	0	2	1	0	0	0	1	4	0	8
Manchester City Council	17	23	7	30	16	24	10	11	2	140

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	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Mansfield District Council	1	7	5	0	6	0	0	3	1	23
Medway Council	16	14	4	20	3	11	17	12	0	97
Melton Borough Council	0	1	0	0	0	0	0	1	0	2
Mendip District Council	0	3	3	0	5	1	1	10	0	23
Merton London Borough Council	7	11	3	11	3	20	10	5	0	70
Mid Devon District Council	0	0	0	0	3	0	3	4	1	11
Mid Suffolk District Council	0	1	4	0	2	1	2	5	0	15
Mid Sussex District Council	0	1	0	0	3	3	0	10	0	17
Middlesbrough Borough Council	6	9	4	8	4	4	0	3	0	38
Milton Keynes Council	7	8	5	5	6	8	13	4	2	58
Mole Valley District Council	0	1	0	0	1	0	1	10	1	14
New Forest District Council	0	1	4	0	3	2	2	10	0	22
New Forest NPA	0	0	2	0	0	0	0	6	0	8
Newark and Sherwood District Council	1	3	1	1	3	0	0	9	0	18
Newcastle City Council	11	15	2	13	6	7	8	3	3	68
Newcastle-under-Lyme Borough Council	1	13	3	0	2	1	2	11	0	33
Newham London Borough Council	10	24	14	19	11	66	86	9	4	243
Norfolk County Council	45	0	3	40	6	14	0	1	1	110
North Devon District Council	1	3	1	0	2	3	4	9	0	23
North Dorset District Council	0	5	0	0	1	0	1	3	0	10
North East Derbyshire District Council	0	3	2	0	3	0	2	9	0	19
North East Lincolnshire District Council	9	13	7	8	4	1	2	3	0	47
North Hertfordshire District Council	1	3	4	0	4	1	1	3	0	17
North Kesteven District Council	0	1	0	0	3	0	4	4	0	12
North Lincolnshire Council	7	2	1	7	3	5	0	9	1	35
North Norfolk District Council	0	3	1	1	4	0	0	5	0	14
North Somerset Council	5	27	5	14	9	5	3	10	0	78
North Tyneside Metropolitan Borough Council	6	10	5	13	3	5	6	7	1	56
North Warwickshire Borough Council	0	2	2	0	1	0	3	2	0	10
North West Leicestershire District Council	1	1	0	0	4	1	1	4	0	12

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
North York Moors NPA	0	0	0	0	0	0	0	3	0	3
North Yorkshire County Council	37	0	3	31	2	16	0	4	0	93
Northampton Borough Council	1	13	3	0	6	4	9	8	1	45
Northamptonshire County Council	23	0	4	73	2	13	1	1	0	117
Northumberland Council	9	5	11	18	6	11	5	22	1	88
Northumberland NPA	0	0	0	0	0	0	0	0	0	0
Norwich City Council	0	14	2	0	7	2	8	3	1	37
Nottingham City Council	18	17	8	28	12	13	3	4	2	105
Nottinghamshire County Council	37	0	4	37	2	15	0	0	0	95
Nuneaton and Bedworth Borough Council	0	2	1	0	4	0	1	1	2	11
Oadby and Wigston Borough Council	2	2	1	0	3	0	6	0	0	14
Oldham Metropolitan Borough Council	7	13	4	21	8	2	3	5	2	65
Oxford City Council	0	8	2	2	4	2	13	4	1	36
Oxfordshire County Council	22	0	3	21	2	9	0	2	0	59
Peak District NPA	0	0	1	0	0	0	0	2	0	3
Pendle Borough Council	0	6	0	0	2	1	1	5	0	15
Peterborough City Council	6	5	0	17	4	5	6	6	0	49
Plymouth City Council	13	17	6	15	15	14	4	17	1	102
Poole Borough Council	7	2	1	8	5	6	2	8	0	39
Portsmouth City Council	13	8	2	15	5	5	2	1	1	52
Preston City Council	0	6	1	0	2	1	3	8	2	23
Purbeck District Council	0	0	0	0	1	0	0	1	0	2
Reading Borough Council	8	7	3	12	3	13	9	4	1	60
Redbridge London Borough Council	23	23	7	23	6	28	18	32	3	163
Redcar and Cleveland Council	7	10	1	8	5	1	2	4	1	39
Redditch Borough Council	0	4	0	0	5	0	3	2	0	14
Reigate and Banstead Borough Council	0	5	0	0	2	1	1	12	0	21
Ribble Valley Borough Council	0	2	2	0	1	0	0	4	0	9
Richmond upon Thames London Borough Council	6	9	1	6	4	3	12	7	0	48
Richmondshire District Council	0	0	2	0	1	0	2	0	0	5

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Rochdale Metropolitan Borough Council	8	15	2	10	12	6	2	9	0	64
Rochford District Council	0	1	1	0	0	2	2	1	0	7
Rossendale Borough Council	0	4	0	0	3	0	0	2	0	9
Rother District Council	0	2	2	0	3	0	0	11	0	18
Rotherham Metropolitan Borough Council	6	4	3	17	3	3	4	1	2	43
Rugby Borough Council	0	1	0	0	1	0	0	5	0	7
Runnymede Borough Council	1	4	0	0	0	0	3	5	0	13
Rushcliffe Borough Council	0	4	0	0	0	0	0	3	0	7
Rushmoor Borough Council	1	2	0	0	3	0	2	1	0	9
Rutland County Council	1	2	3	3	0	0	0	1	0	10
Ryedale District Council	0	1	0	0	2	0	0	3	0	6
Salford City Council	13	26	5	17	12	7	3	6	1	90
Sandwell Metropolitan Borough Council	23	17	6	17	7	5	21	7	1	104
Scarborough Borough Council	1	3	5	0	10	4	3	7	0	33
Sedgemoor District Council	0	1	3	0	1	0	2	6	0	13
Sefton Metropolitan Borough Council	24	14	4	30	4	6	4	12	1	99
Selby District Council	0	4	0	0	3	1	7	8	0	23
Sevenoaks District Council	0	3	0	0	3	1	3	10	1	21
Sheffield City Council	32	24	12	34	23	40	25	8	1	199
Shepway District Council	0	5	3	0	1	3	5	4	0	21
Shropshire Council	22	7	4	8	8	4	3	26	1	83
Slough Borough Council	4	6	2	8	1	6	17	3	0	47
Solihull Metropolitan Borough Council	9	2	0	6	7	5	4	4	0	37
Somerset County Council	21	0	3	27	1	9	0	0	0	61
South Buckinghamshire District Council	0	2	0	0	1	0	0	7	0	10
South Cambridgeshire District Council	0	5	2	0	4	0	2	5	0	18
South Derbyshire District Council	0	1	0	0	2	0	1	6	0	10
South Downs NPA	0	0	0	0	0	1	0	1	0	2
South Gloucestershire Council	15	8	1	16	6	1	3	4	0	54
South Hams District Council	0	5	2	0	1	0	0	7	0	15

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
South Holland District Council	0	1	1	0	0	3	1	5	0	11
South Kesteven District Council	1	2	0	0	2	1	0	3	0	9
South Lakeland District Council	0	1	1	0	2	0	0	6	0	10
South Norfolk District Council	0	0	3	0	2	0	2	12	0	19
South Northamptonshire District Council	0	0	1	0	1	0	0	6	0	8
South Oxfordshire District Council	0	3	2	0	2	1	2	9	0	19
South Ribble Borough Council	0	2	3	1	2	0	0	2	1	11
South Somerset District Council	0	1	1	0	1	1	3	9	0	16
South Staffordshire District Council	0	2	0	0	2	0	0	6	1	11
South Tyneside Metropolitan Borough Council	10	1	4	14	4	5	8	4	1	51
Southampton City Council	10	7	7	18	12	5	5	3	0	67
Southend-on-Sea Borough Council	11	11	1	10	5	6	6	3	1	54
Southwark London Borough Council	9	30	5	16	15	14	72	12	3	176
Spelthorne Borough Council	0	1	0	0	1	1	4	5	0	12
St Albans City Council	0	6	2	0	4	3	1	11	0	27
St Edmundsbury Borough Council	0	1	0	0	0	0	2	7	0	10
St Helens Metropolitan Borough Council	9	2	2	4	9	4	0	6	0	36
Stafford Borough Council	0	0	2	0	4	0	0	17	1	24
Staffordshire County Council	38	0	3	39	4	14	1	3	1	103
Staffordshire Moorlands District Council	0	1	0	0	1	1	0	10	0	13
Stevenage Borough Council	0	4	1	0	0	1	8	2	2	18
Stockport Metropolitan Borough Council	17	11	6	18	5	5	5	11	0	78
Stockton-on-Tees Borough Council	2	3	2	15	7	3	2	5	0	39
Stoke-on-Trent City Council	12	20	3	20	13	8	5	5	1	87
Stratford-on-Avon District Council	0	1	0	0	1	0	1	6	0	9
Stroud District Council	0	2	0	0	0	0	5	9	0	16
Suffolk County Council	24	0	1	48	3	15	0	1	0	92
Suffolk Coastal District Council	0	1	0	0	0	1	3	5	0	10
Sunderland City Council	7	10	7	19	2	1	2	5	3	56
Surrey County Council	69	0	5	57	4	29	0	3	0	167

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Surrey Heath Borough Council	0	3	2	0	0	2	1	4	0	12
Sutton London Borough Council	8	8	2	14	3	4	11	13	0	63
Swale Borough Council	0	0	1	0	5	2	3	10	1	22
Swindon Borough Council	5	9	0	7	7	6	6	5	1	46
Tameside Metropolitan Borough Council	8	10	5	20	5	3	2	4	0	57
Tamworth Borough Council	0	2	2	0	2	0	6	1	0	13
Tandridge District Council	1	3	0	0	3	1	6	8	0	22
Taunton Deane Borough Council	0	0	2	0	0	0	1	14	0	17
Teignbridge District Council	0	2	0	0	6	0	6	9	0	23
Telford and Wrekin Borough Council	8	8	3	10	3	1	1	5	0	39
Tendring District Council	1	3	1	0	1	0	1	14	0	21
Test Valley Borough Council	0	0	0	0	0	1	0	4	0	5
Tewkesbury Borough Council	0	1	0	0	3	2	1	3	0	10
Thanet District Council	0	7	3	0	9	0	12	10	0	41
Three Rivers District Council	0	5	1	0	0	0	0	8	0	14
Thurrock Council	8	19	3	13	9	4	19	7	0	82
Tonbridge and Malling Borough Council	0	3	3	0	0	1	1	4	0	12
Torbay Council	7	6	9	14	9	11	2	9	1	68
Torridge District Council	0	0	1	0	2	3	2	11	2	21
Tower Hamlets London Borough Council	10	19	11	22	13	19	48	6	1	149
Trafford Metropolitan Borough Council	16	21	1	10	7	12	2	6	0	75
Transport for London	0	0	1	0	11	189	0	0	0	201
Tunbridge Wells Borough Council	0	4	0	0	0	3	3	11	0	21
Uttlesford District Council	0	2	0	0	1	0	1	7	0	11
Vale of White Horse District Council	0	8	1	0	1	1	1	9	0	21
Wakefield City Council	19	7	2	8	15	8	3	18	1	81
Walsall Metropolitan Borough Council	10	9	4	23	6	2	2	11	0	67
Waltham Forest London Borough Council	10	24	8	17	17	26	40	6	2	150
Wandsworth London Borough Council	9	22	4	13	5	5	26	13	2	99
Warrington Council	11	6	2	9	6	2	1	2	1	40

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Warwick District Council	0	6	2	0	5	2	1	4	0	20
Warwickshire County Council	33	0	1	23	2	8	0	0	0	67
Watford Borough Council	1	7	4	0	2	2	8	1	0	25
Waveney District Council	0	8	2	0	0	1	0	0	0	11
Waverley Borough Council	0	5	2	0	2	2	4	11	0	26
Wealden District Council	2	4	2	0	4	0	3	8	0	23
Wellingborough Borough Council	0	4	1	0	1	2	2	3	0	13
Welwyn Hatfield Borough Council	0	3	1	0	4	0	7	4	3	22
West Berkshire Council	4	3	2	14	1	2	2	5	0	33
West Devon Borough Council	0	1	0	0	1	0	1	3	0	6
West Dorset District Council	0	1	1	0	1	0	0	8	0	11
West Lancashire Borough Council	0	2	1	0	4	0	2	5	1	15
West Lindsey District Council	0	1	1	0	1	0	0	11	0	14
West Oxfordshire District Council	0	2	0	0	4	2	1	5	0	14
West Somerset District Council	0	1	1	0	1	0	1	2	0	6
West Sussex County Council	43	0	6	36	6	18	0	6	0	115
Westminster City Council	6	52	3	8	14	14	30	5	0	132
Weymouth and Portland Borough Council	0	0	0	0	6	0	0	2	0	8
Wigan Metropolitan Borough Council	9	16	10	14	10	5	4	9	0	77
Wiltshire Council	19	5	5	34	10	11	6	18	1	109
Winchester City Council	0	6	1	0	2	1	5	17	2	34
Royal Borough of Windsor and Maidenhead	14	3	2	14	4	7	0	9	1	54
Wirral Metropolitan Borough Council	17	13	3	21	10	7	2	14	1	88
Woking Borough Council	1	1	3	0	2	2	2	1	0	12
Wokingham Borough Council	3	2	4	15	2	2	1	10	0	39
Wolverhampton City Council	7	6	8	20	5	7	8	3	0	64
Worcester City Council	0	4	0	0	3	2	3	2	0	14
Worcestershire County Council	20	0	3	28	2	7	0	1	0	61
Worthing Borough Council	0	2	1	0	2	0	3	1	0	9
Wychavon District Council	0	5	1	0	1	0	0	13	0	20

Data sheets - complaints & enquiries received (by category) 2015-16

	Adult Social Care	Benefits & tax	Corporate & other services	Education & children's services	Environmental services, public protection & regulation	Highways & transport	Housing	Planning & development	Other	Total
Wycombe District Council	0	9	1	0	3	1	1	4	0	19
Wyre Borough Council	0	3	4	0	1	0	0	4	0	12
Wyre Forest District Council	0	1	0	0	2	2	1	1	1	8
York City Council	11	11	5	13	7	7	6	9	0	69
Yorkshire Dales NPA	0	0	0	0	0	0	0	2	0	2
Totals	2526	2550	960	3234	1699	2085	2232	2522	167	17975

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Adur District Council	0	0	5	3	1	0	0	9	0	0	100
Allerdale Borough Council	0	0	4	6	0	20	100	30	20	0	100
Amber Valley Borough Council	0	0	5	7	4	5	56	21	4	0	100
Arun District Council	0	1	5	8	1	2	67	17	0	1	100
Ashfield District Council	2	2	6	5	2	0	0	17	0	0	100
Ashford Borough Council	2	1	11	5	1	2	67	22	1	0	100
Aylesbury Vale District Council	0	2	7	8	4	4	50	25	1	2	100
Babergh District Council	1	2	7	6	3	3	50	22	2	0	100
Barking and Dagenham London Borough Council	6	7	66	45	16	7	30	147	6	1	100
Barnet London Borough Council	11	8	123	46	7	18	72	213	14	0	100
Barnsley Metropolitan Borough Council	4	2	28	10	8	6	43	58	5	0	100
Barrow Borough Council	0	0	5	0	4	1	20	10	1	0	100
Basildon Borough Council	1	0	19	9	2	2	50	33	2	0	100
Basingstoke and Deane Borough Council	1	0	6	12	1	3	75	23	2	0	100
Bassetlaw District Council	0	0	8	6	3	0	0	17	0	0	100
Bath and North East Somerset Council	4	0	11	9	9	9	50	42	6	0	100
Bedford Borough Council	3	0	12	10	9	2	18	36	0	1	100
Bexley London Borough Council	2	3	33	21	6	13	68	78	9	2	100
Birmingham City Council	22	30	264	104	36	71	66	527	60	5	100
Blaby District Council	0	0	4	7	0	2	100	13	1	0	100
Blackburn with Darwen Council	0	0	15	14	2	7	78	38	7	0	100
Blackpool Borough Council	4	0	18	12	9	7	44	50	6	1	100
Bolsover District Council	2	0	3	3	2	0	0	10	0	0	100
Bolton Metropolitan Borough Council	4	3	21	9	5	5	50	47	4	1	100
Boston Borough Council	0	0	2	5	2	0	0	9	0	0	100
Bournemouth Borough Council	2	2	32	17	10	10	50	73	8	1	100
Bracknell Forest Council	2	0	12	6	4	2	33	26	1	0	100
Braintree District Council	1	0	7	1	0	0	0	9	0	0	100
Breckland District Council	1	0	4	5	2	2	50	14	1	0	100
Brent London Borough Council	7	11	92	49	10	26	72	195	18	4	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Brentwood Borough Council	0	0	5	3	2	0	0	10	0	0	100
Brighton and Hove City Council	8	0	38	37	33	21	39	137	12	5	100
Bristol City Council	5	15	66	45	16	29	64	176	12	3	100
Broadland District Council	1	1	0	5	5	2	29	14	2	0	100
Broads Authority	0	0	0	2	0	0	0	2	0	0	100
Bromley London Borough Council	12	1	73	36	19	28	60	169	23	1	100
Bromsgrove District Council	0	0	4	4	2	6	75	16	5	1	100
Broxbourne Borough Council	1	0	3	5	6	3	33	18	2	0	100
Broxtowe Borough Council	2	1	5	4	3	0	0	15	0	0	100
Buckinghamshire County Council	6	1	18	25	5	5	50	60	5	0	100
Burnley Borough Council	0	2	4	5	2	0	0	13	0	0	100
Bury Metropolitan Borough Council	1	1	25	12	10	5	33	54	4	1	100
Calderdale Metropolitan Borough Council	3	0	28	23	11	12	52	77	11	0	100
Cambridge City Council	1	1	8	3	1	2	67	16	1	0	100
Cambridgeshire County Council	3	1	26	15	9	12	57	66	11	0	100
Camden London Borough Council	9	14	57	30	17	12	41	139	9	0	100
Cannock Chase District Council	1	1	5	3	1	1	50	12	1	0	100
Canterbury City Council	3	1	10	8	5	2	29	29	1	0	100
Carlisle City Council	0	0	3	3	3	0	0	9	0	0	100
Castle Point Borough Council	1	0	8	3	1	0	0	13	0	0	100
Central Bedfordshire Council	3	2	21	19	4	10	71	59	9	0	100
Charnwood Borough Council	1	1	7	2	2	1	33	14	0	0	100
Chelmsford City Council	1	2	11	2	1	0	0	17	0	0	100
Cheltenham Borough Council	0	1	1	2	1	1	50	6	0	0	100
Cherwell District Council	2	0	8	14	3	4	57	31	4	0	100
Cheshire East Council	7	2	41	34	25	20	44	129	16	3	100
Cheshire West and Chester Council	5	1	24	29	11	12	52	82	9	1	100
Chesterfield Borough Council	0	2	1	3	1	0	0	7	0	0	100
Chichester District Council	0	0	3	14	0	2	100	19	2	0	100
Chiltern District Council	1	0	5	4	0	0	0	10	0	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Chorley Borough Council	0	1	4	7	1	1	50	14	0	0	100
Christchurch Borough Council	1	0	4	2	2	0	0	9	0	0	100
City of Bradford Metropolitan District Council	6	2	44	36	16	12	43	116	7	0	100
City of London	0	0	3	5	0	0	0	8	0	0	100
Colchester Borough Council	2	3	12	4	1	1	50	23	0	0	100
Copeland Borough Council	0	0	3	3	2	0	0	8	0	0	100
Corby Borough Council	0	2	6	6	2	1	33	17	1	0	100
Cornwall Council	8	3	97	64	26	34	57	232	21	4	100
Cotswold District Council	0	0	4	1	2	1	33	8	1	0	100
Coventry City Council	5	3	51	28	11	11	50	109	8	1	100
Craven District Council	1	0	4	2	0	0	0	7	0	0	100
Crawley Borough Council	2	3	7	7	2	2	50	23	0	1	100
Croydon London Borough Council	10	10	110	41	20	21	51	212	21	0	100
Cumbria County Council	5	1	25	14	4	7	64	56	6	0	100
Dacorum Borough Council	2	1	15	3	5	2	29	28	0	0	100
Darlington Borough Council	1	1	5	8	5	12	71	32	9	2	100
Dartford Borough Council	2	0	9	5	3	1	25	20	1	0	100
Dartmoor NPA	1	0	0	0	0	0	0	1	0	0	100
Daventry District Council	0	0	8	5	2	0	0	15	0	0	100
Derby City Council	2	2	24	30	6	5	45	69	4	0	100
Derbyshire County Council	4	0	42	24	13	12	48	95	9	2	100
Derbyshire Dales District Council	1	0	5	2	0	1	100	9	0	0	100
Devon County Council	11	1	44	45	28	18	39	147	12	2	100
Doncaster Metropolitan Borough Council	2	4	37	17	13	10	43	83	7	0	100
Dorset County Council	1	0	20	16	6	5	45	48	4	0	100
Dover District Council	1	0	5	4	2	1	33	13	0	1	100
Dudley Metropolitan Borough Council	2	6	29	19	5	7	58	68	7	0	100
Durham County Council	10	3	48	74	33	25	43	193	16	2	100
Ealing London Borough Council	9	4	97	48	13	12	48	183	8	2	100
East Cambs District Council	0	0	2	5	1	2	67	10	1	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
East Devon District Council	1	0	6	7	8	8	50	30	6	1	100
East Dorset District Council	0	0	6	5	2	1	33	14	0	0	100
East Hampshire District Council	2	0	6	4	3	0	0	15	0	0	100
East Herts District Council	0	0	8	9	1	0	0	18	0	0	100
East Lindsey District Council	3	2	9	13	5	1	17	33	0	1	100
East Northamptonshire Council	1	1	5	3	3	1	25	14	0	0	100
East Riding of Yorkshire Council	2	1	30	18	15	10	40	76	5	1	100
East Staffordshire Borough Council	0	0	4	6	1	0	0	11	0	0	100
East Sussex County Council	9	0	32	30	22	28	56	121	26	1	100
Eastbourne Borough Council	3	0	13	3	1	5	83	25	3	2	100
Eastleigh Borough Council	0	0	4	4	5	1	17	14	1	0	100
Eden District Council	0	0	7	1	8	1	11	17	0	0	100
Elmbridge Borough Council	1	0	5	7	1	4	80	18	4	0	100
Enfield London Borough Council	7	5	76	38	8	25	76	159	19	2	100
Environment Agency	1	0	3	2	3	0	0	9	0	0	100
Epping Forest District Council	1	1	10	8	13	9	41	42	5	2	100
Epsom and Ewell Borough Council	0	0	2	8	2	4	67	16	2	1	100
Erewash Borough Council	1	1	4	3	1	3	75	13	2	0	100
Essex County Council	7	1	89	70	73	24	25	264	21	0	100
Exeter City Council	0	0	9	2	4	3	43	18	1	1	100
Exmoor NPA	0	0	0	0	0	0	0	0	0	0	100
Fareham Borough Council	1	0	5	1	1	0	0	8	0	0	100
Fenland District Council	2	1	14	8	2	2	50	29	2	0	100
Forest Heath District Council	1	0	1	2	0	3	100	7	2	0	100
Forest of Dean District Council	1	0	5	5	0	0	0	11	0	0	100
Fylde Borough Council	0	0	3	4	1	1	50	9	0	0	100
Gateshead Metropolitan Borough Council	2	6	22	17	5	2	29	54	2	0	100
Gedling Borough Council	0	1	4	4	1	0	0	10	0	0	100
Gloucester City Council	0	0	4	6	2	4	67	16	3	1	100
Gloucestershire County Council	4	0	25	16	16	5	24	66	5	0	100

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	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Gosport Borough Council	0	1	5	6	1	0	0	13	0	0	100
Gravesham Borough Council	2	3	8	7	3	0	0	23	0	0	100
Great Yarmouth Borough Council	1	0	8	7	0	0	0	16	0	0	100
Royal Borough of Greenwich	5	8	66	28	16	12	43	135	7	0	100
Guildford Borough Council	0	1	6	4	2	4	67	17	1	0	100
Hackney London Borough Council	6	6	52	31	11	12	52	118	10	0	100
Halton Borough Council	3	0	10	10	2	4	67	29	3	0	100
Hambleton District Council	0	0	5	3	1	0	0	9	0	0	100
Hammersmith and Fulham London Borough Council	5	10	41	42	8	12	60	118	7	0	100
Hampshire County Council	4	1	60	25	7	17	71	114	15	1	100
Harborough District Council	0	0	5	8	4	1	20	18	1	0	100
Haringey London Borough Council	10	14	89	55	14	32	70	214	28	2	100
Harlow District Council	0	3	9	6	2	1	33	21	1	0	100
Harrogate Borough Council	2	0	8	6	4	3	43	23	1	0	100
Harrow London Borough Council	5	1	63	34	17	16	48	136	13	0	100
Hart District Council	2	0	2	2	0	1	100	7	1	0	100
Hartlepool Borough Council	0	0	7	4	4	1	20	16	0	0	100
Hastings Borough Council	2	0	10	6	2	3	60	23	1	1	100
Havant Borough Council	1	0	7	4	1	0	0	13	0	0	100
Havering London Borough Council	4	5	44	21	9	14	61	97	9	1	100
Herefordshire Council	4	0	24	10	15	14	48	67	7	2	100
Hertfordshire County Council	5	1	66	29	24	17	41	142	14	2	100
Hertsmere Borough Council	0	0	8	3	5	3	38	19	0	0	100
High Peak Borough Council	0	0	4	4	2	2	50	12	1	1	100
Hillingdon London Borough Council	7	5	55	24	18	11	38	120	9	0	100
Hinckley and Bosworth Borough Council	0	0	5	3	3	0	0	11	0	0	100
Horsham District Council	0	0	6	7	2	3	60	18	3	0	100
Hounslow London Borough Council	7	4	86	40	12	29	71	178	21	2	100
Huntingdonshire District Council	0	0	8	11	1	1	50	21	0	0	100
Hyndburn Borough Council	1	0	4	2	0	1	100	8	1	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Ipswich Borough Council	0	1	3	3	1	0	0	8	0	0	100
Isle of Wight Council	0	0	25	11	5	14	74	55	11	1	100
Council of the Isles of Scilly	0	0	1	1	0	0	0	2	0	0	100
Islington London Borough Council	6	10	42	20	11	10	48	99	7	1	100
Royal Borough of Kensington and Chelsea	5	2	30	22	13	8	38	80	6	0	100
Kent County Council	3	1	74	44	28	34	55	184	30	1	100
Kettering Borough Council	0	0	3	4	2	2	50	11	1	1	100
King's Lynn and West Norfolk Borough Council	2	1	8	4	1	2	67	18	2	0	100
Kingston upon Hull City Council	3	4	41	24	3	8	73	83	6	0	100
Royal Borough of Kingston upon Thames	2	3	31	16	4	5	56	61	4	0	100
Kirklees Metropolitan Borough Council	4	2	34	27	7	13	65	87	9	0	100
Knowsley Metropolitan Borough Council	0	0	15	8	1	4	80	28	3	0	100
Lake District NPA	0	0	0	3	0	0	0	3	0	0	100
Lambeth London Borough Council	13	26	103	57	26	26	50	251	19	3	100
Lancashire County Council	5	0	65	36	15	33	69	154	29	1	100
Lancaster City Council	1	1	2	5	1	2	67	12	1	0	100
Leeds City Council	8	12	66	68	33	22	40	209	13	3	100
Leicester City Council	7	3	48	29	11	16	59	114	13	0	100
Leicestershire County Council	7	0	30	32	10	7	41	86	5	2	100
Lewes District Council	1	0	9	7	1	1	50	19	1	0	100
Lewisham London Borough Council	6	1	93	29	15	18	55	162	15	1	100
Lichfield District Council	2	0	4	2	2	0	0	10	0	0	100
Lincoln City Council	0	5	10	6	4	2	33	27	2	0	100
Lincolnshire County Council	6	1	38	14	13	9	41	81	8	0	100
Liverpool City Council	12	2	72	44	17	21	55	168	18	1	100
Luton Borough Council	2	1	27	28	10	5	33	73	5	0	100
Maidstone Borough Council	1	0	11	16	7	8	53	43	3	1	100
Maldon District Council	1	0	5	8	2	1	33	17	0	1	100
Malvern Hills District Council	0	0	2	5	0	1	100	8	1	0	100
Manchester City Council	7	5	64	42	13	28	68	159	21	1	100

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	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Manchester City Council	1	0	10	11	1	3	75	26	2	1	100
Medway Council	3	3	41	30	8	19	70	104	14	2	100
Melton Borough Council	0	0	1	0	0	0	0	1	0	0	100
Mendip District Council	1	0	11	4	4	13	76	33	2	0	100
Merton London Borough Council	2	2	28	25	11	11	50	79	7	3	100
Mid Devon District Council	0	2	2	4	3	0	0	11	0	0	100
Mid Suffolk District Council	1	1	6	1	2	4	67	15	1	2	100
Mid Sussex District Council	0	0	3	8	6	2	25	19	1	0	100
Middlesbrough Borough Council	3	0	16	11	4	6	60	40	5	0	100
Milton Keynes Council	2	5	21	20	6	9	60	63	9	0	100
Mole Valley District Council	1	1	4	6	1	0	0	13	0	0	100
New Forest District Council	0	0	5	14	2	2	50	23	1	0	100
New Forest NPA	0	1	1	3	2	1	33	8	1	0	100
Newark and Sherwood District Council	0	0	7	5	1	6	86	19	3	1	100
Newcastle City Council	4	5	33	13	10	2	17	67	2	0	100
Newcastle-under-Lyme Borough Council	0	0	18	10	5	2	29	35	2	0	100
Newham London Borough Council	15	13	108	69	16	27	63	248	20	1	100
Norfolk County Council	8	0	43	29	9	8	47	97	6	0	100
North Devon District Council	3	1	10	6	4	2	33	26	1	0	100
North Dorset District Council	0	0	4	3	2	2	50	11	0	1	100
North East Derbyshire District Council	1	0	7	6	2	0	0	16	0	0	100
North East Lincolnshire District Council	1	0	18	20	3	4	57	46	2	1	100
North Hertfordshire District Council	0	0	7	7	3	0	0	17	0	0	100
North Kesteven District Council	2	0	2	6	2	0	0	12	0	0	100
North Lincolnshire Council	3	0	18	5	3	3	50	32	3	0	100
North Norfolk District Council	1	0	5	4	2	1	33	13	0	1	100
North Somerset Council	3	1	32	14	7	15	68	72	12	0	100
North Tyneside Metropolitan Borough Council	2	2	22	20	8	5	38	59	3	1	100
North Warwickshire Borough Council	0	0	3	5	1	0	0	9	0	0	100
North West Leicestershire District Council	0	0	8	1	4	1	20	14	0	0	100

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	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
North York Moors NPA	0	0	2	1	0	0	0	3	0	0	100
North Yorkshire County Council	5	0	30	29	19	19	50	102	18	0	100
Northampton Borough Council	2	2	20	18	2	6	75	50	5	1	100
Northamptonshire County Council	4	1	52	23	10	17	63	107	17	0	100
Northumberland Council	2	1	36	23	14	11	44	87	9	1	100
Northumberland NPA	0	0	0	0	0	0	0	0	0	0	100
Norwich City Council	4	3	14	15	1	7	88	44	5	1	100
Nottingham City Council	9	3	40	33	14	13	48	112	9	1	100
Nottinghamshire County Council	8	0	33	31	9	10	53	91	9	1	100
Nuneaton and Bedworth Borough Council	2	1	1	4	0	2	100	10	2	0	100
Oadby and Wigston Borough Council	0	0	10	5	0	2	100	17	1	0	100
Oldham Metropolitan Borough Council	5	0	32	20	7	5	42	69	2	0	100
Oxford City Council	7	8	11	10	2	2	50	40	1	0	100
Oxfordshire County Council	2	1	18	19	8	7	47	55	4	0	100
Peak District NPA	0	0	1	2	0	1	100	4	1	0	100
Pendle Borough Council	0	0	5	7	2	2	50	16	1	0	100
Peterborough City Council	3	0	28	11	3	4	57	49	2	0	100
Plymouth City Council	4	1	46	26	12	19	61	108	16	0	100
Poole Borough Council	3	0	15	10	9	3	25	40	2	1	100
Portsmouth City Council	4	1	25	12	3	2	40	47	2	0	100
Preston City Council	2	0	7	5	4	2	33	20	1	0	100
Purbeck District Council	0	0	2	0	1	1	50	4	0	0	100
Reading Borough Council	7	1	22	12	10	5	33	57	3	1	100
Redbridge London Borough Council	5	2	70	54	18	13	42	162	10	0	100
Redcar and Cleveland Council	1	1	23	6	4	1	20	36	1	0	100
Redditch Borough Council	0	0	7	3	2	0	0	12	0	0	100
Reigate and Banstead Borough Council	0	0	11	4	3	4	57	22	1	0	100
Ribble Valley Borough Council	0	0	4	2	1	1	50	8	1	0	100
Richmond upon Thames London Borough Council	4	1	19	15	9	11	55	59	9	1	100
Richmondshire District Council	0	2	0	2	0	1	100	5	0	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Rochdale Metropolitan Borough Council	2	2	30	22	6	7	54	69	4	1	100
Rochford District Council	1	0	5	2	1	0	0	9	0	0	100
Rossendale Borough Council	0	0	7	1	3	2	40	13	1	0	100
Rother District Council	1	0	5	7	4	2	33	19	1	0	100
Rotherham Metropolitan Borough Council	4	2	19	10	8	9	53	52	9	0	100
Rugby Borough Council	0	0	0	4	2	2	50	8	1	0	100
Runnymede Borough Council	1	0	4	4	2	1	33	12	1	0	100
Rushcliffe Borough Council	0	0	5	0	0	1	100	6	1	0	100
Rushmoor Borough Council	0	0	7	0	0	0	0	7	0	0	100
Rutland County Council	1	0	1	6	1	0	0	9	0	0	100
Ryedale District Council	0	0	2	2	2	0	0	6	0	0	100
Salford City Council	4	3	45	22	7	6	46	87	5	0	100
Sandwell Metropolitan Borough Council	9	7	52	21	5	11	69	105	10	0	100
Scarborough Borough Council	5	2	10	8	4	0	0	29	0	0	100
Sedgemoor District Council	0	0	6	5	3	1	25	15	0	0	100
Sefton Metropolitan Borough Council	7	1	52	22	8	12	60	102	9	0	100
Selby District Council	0	0	8	8	3	2	40	21	2	0	100
Sevenoaks District Council	1	0	5	9	6	1	14	22	1	0	100
Sheffield City Council	8	10	72	63	24	21	47	198	19	2	100
Shepway District Council	1	2	6	6	6	0	0	21	0	0	100
Shropshire Council	5	3	29	18	15	15	50	85	10	0	100
Slough Borough Council	2	2	23	8	6	8	57	49	6	0	100
Solihull Metropolitan Borough Council	1	0	15	11	5	10	67	42	7	0	100
Somerset County Council	2	0	36	12	4	14	78	68	12	1	100
South Buckinghamshire District Council	0	1	4	3	2	1	33	11	0	0	100
South Cambridgeshire District Council	1	0	8	5	7	3	30	24	1	0	100
South Derbyshire District Council	1	1	2	4	1	0	0	9	0	0	100
South Downs NPA	0	0	0	1	0	1	100	2	1	0	100
South Gloucestershire Council	4	0	24	13	11	8	42	60	5	1	100
South Hams District Council	0	0	5	6	8	2	20	21	1	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
South Holland District Council	1	1	1	6	3	0	0	12	0	0	100
South Kesteven District Council	0	0	3	5	1	0	0	9	0	0	100
South Lakeland District Council	0	1	2	6	1	0	0	10	0	0	100
South Norfolk District Council	0	0	4	11	4	2	33	21	1	1	100
South Northamptonshire District Council	0	1	1	4	0	1	100	7	0	0	100
South Oxfordshire District Council	0	0	5	8	5	4	44	22	3	1	100
South Ribble Borough Council	2	0	4	3	0	0	0	9	0	0	100
South Somerset District Council	0	0	4	6	6	1	14	17	1	0	100
South Staffordshire District Council	1	0	4	0	2	7	78	14	4	0	100
South Tyneside Metropolitan Borough Council	2	1	18	11	12	6	33	50	4	0	100
Southampton City Council	3	2	34	14	5	7	58	65	6	1	100
Southend-on-Sea Borough Council	4	1	25	12	7	7	50	56	4	0	100
Southwark London Borough Council	9	21	69	42	13	22	63	176	19	1	100
Spelthorne Borough Council	0	0	7	4	0	1	100	12	0	0	100
St Albans City Council	0	0	15	4	3	4	57	26	2	1	100
St Edmundsbury Borough Council	0	0	4	3	2	1	33	10	0	0	100
St Helens Metropolitan Borough Council	0	0	11	13	6	4	40	34	2	1	100
Stafford Borough Council	1	0	3	8	3	3	50	18	1	1	100
Staffordshire County Council	5	1	48	25	12	15	56	106	13	0	100
Staffordshire Moorlands District Council	0	0	6	5	2	0	0	13	0	0	100
Stevenage Borough Council	1	4	6	2	1	3	75	17	0	0	100
Stockport Metropolitan Borough Council	4	0	38	20	6	4	40	72	3	0	100
Stockton-on-Tees Borough Council	5	0	12	8	8	12	60	45	6	3	100
Stoke-on-Trent City Council	7	2	36	26	6	12	67	89	7	2	100
Stratford-on-Avon District Council	0	0	4	3	4	0	0	11	0	0	100
Stroud District Council	1	2	3	5	8	0	0	19	0	0	100
Suffolk County Council	7	0	36	27	13	8	38	91	7	0	100
Suffolk Coastal District Council	0	0	2	6	3	0	0	11	0	0	100
Sunderland City Council	8	2	22	14	5	8	62	59	6	2	100
Surrey County Council	10	0	71	46	16	20	56	163	18	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Surrey Heath Borough Council	0	0	5	4	0	1	100	10	1	0	100
Sutton London Borough Council	5	4	24	19	6	7	54	65	5	0	100
Swale Borough Council	2	0	11	8	1	1	50	23	1	0	100
Swindon Borough Council	3	3	26	11	3	4	57	50	2	0	100
Tameside Metropolitan Borough Council	4	1	24	12	2	7	78	50	4	1	75
Tamworth Borough Council	0	2	5	3	2	2	50	14	0	1	100
Tandridge District Council	2	3	6	5	6	2	25	24	2	0	100
Taunton Deane Borough Council	0	1	9	1	2	1	33	14	0	0	100
Teignbridge District Council	0	0	13	2	3	2	40	20	2	0	100
Telford and Wrekin Borough Council	0	0	16	11	8	7	47	42	5	1	100
Tendring District Council	0	1	3	7	4	3	43	18	1	0	100
Test Valley Borough Council	0	0	2	4	1	0	0	7	0	0	100
Tewkesbury Borough Council	0	0	3	4	1	3	75	11	1	1	100
Thanet District Council	2	2	20	13	3	1	25	41	1	0	100
Three Rivers District Council	0	0	4	7	3	1	25	15	0	0	100
Thurrock Council	3	4	41	22	5	9	64	84	7	1	100
Tonbridge and Malling Borough Council	0	0	5	6	2	0	0	13	0	0	100
Torbay Council	6	1	21	20	12	10	45	70	9	0	100
Torridge District Council	2	0	6	7	5	3	38	23	3	0	100
Tower Hamlets London Borough Council	7	11	78	35	13	9	41	153	7	1	100
Trafford Metropolitan Borough Council	2	0	26	21	5	17	77	71	12	0	100
Transport for London	8	3	95	79	6	7	54	198	3	3	100
Tunbridge Wells Borough Council	0	1	8	6	2	2	50	19	2	0	100
Uttlesford District Council	0	0	6	3	3	1	25	13	1	0	100
Vale of White Horse District Council	0	0	13	5	1	2	67	21	1	0	100
Wakefield City Council	3	3	20	24	18	7	28	75	6	0	100
Walsall Metropolitan Borough Council	5	0	31	18	7	6	46	67	5	0	100
Waltham Forest London Borough Council	4	5	54	58	11	18	62	150	13	0	100
Wandsworth London Borough Council	7	6	39	26	8	26	76	112	10	1	100
Warrington Council	1	2	15	11	5	9	64	43	8	1	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Warwick District Council	2	2	7	6	3	1	25	21	1	0	100
Warwickshire County Council	3	1	23	22	6	4	40	59	4	0	100
Watford Borough Council	0	0	16	9	1	0	0	26	0	0	100
Waveney District Council	1	0	5	3	0	2	100	11	2	0	100
Waverley Borough Council	2	1	5	10	4	4	50	26	3	0	100
Wealden District Council	0	0	7	6	5	1	17	19	0	0	100
Wellingborough Borough Council	1	0	5	2	4	2	33	14	1	0	100
Welwyn Hatfield Borough Council	3	4	10	3	4	3	43	27	2	1	100
West Berkshire Council	2	0	13	9	5	5	50	34	4	0	100
West Devon Borough Council	0	0	3	0	0	4	100	7	4	0	100
West Dorset District Council	0	0	7	3	1	3	75	14	3	0	100
West Lancashire Borough Council	2	1	6	2	4	0	0	15	0	0	100
West Lindsey District Council	1	0	5	1	0	3	100	10	3	0	100
West Oxfordshire District Council	0	1	4	6	3	0	0	14	0	0	100
West Somerset District Council	0	0	2	0	0	2	100	4	2	0	100
West Sussex County Council	5	0	42	44	14	9	39	114	6	0	100
Westminster City Council	8	6	58	36	8	20	71	136	17	1	100
Weymouth and Portland Borough Council	0	0	3	3	2	0	0	8	0	0	100
Wigan Metropolitan Borough Council	3	2	33	28	7	12	63	85	8	2	100
Wiltshire Council	6	1	33	34	19	21	53	114	16	1	100
Winchester City Council	2	5	13	6	2	3	60	31	1	0	100
Royal Borough of Windsor and Maidenhead	4	0	28	14	7	4	36	57	3	0	100
Wirral Metropolitan Borough Council	8	1	27	25	14	21	60	96	18	0	100
Woking Borough Council	0	1	3	5	3	2	40	14	2	0	100
Wokingham Borough Council	2	1	13	8	6	10	63	40	7	0	100
Wolverhampton City Council	1	2	30	24	10	6	38	73	4	1	100
Worcester City Council	0	0	6	5	3	4	57	18	2	0	100
Worcestershire County Council	2	2	21	12	8	8	50	53	6	1	100
Worthing Borough Council	0	0	2	5	3	1	25	11	1	0	100
Wychavon District Council	0	0	7	6	3	2	40	18	2	0	100

Data sheets - complaints & enquiries decided (by outcome) 2015-16

	Invalid or incomplete	Advice given	Referred back for local resolution	Closed after initial enquiries	Not upheld	Upheld	Uphold rate (%)	Total	Complaints remedied by LGO	Complaints remedied by Authority	Compliance rate (%)
Wycombe District Council	0	0	8	5	3	5	63	21	2	2	100
Wyre Borough Council	0	0	5	5	2	0	0	12	0	0	100
Wyre Forest District Council	0	1	5	2	1	0	0	9	0	0	100
York City Council	2	4	14	26	9	13	59	68	12	0	100
Yorkshire Dales NPA	0	0	0	1	2	0	0	3	0	0	100
Totals	876	569	7406	4968	2162	2237	51	18218	1648	155	99.94

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Reference	Category	Decision Date	Decision
14020331	Adult Care Services	20/04/15	Referred back for local resolution
14005000	Adult Care Services	27/05/15	Upheld
15001435	Adult Care Services	02/06/15	Closed after initial enquiries
15004972	Adult Care Services	23/06/15	Referred back for local resolution
15005098	Adult Care Services	25/06/15	Referred back for local resolution
15005250	Adult Care Services	29/06/15	Referred back for local resolution
15000669	Adult Care Services	10/08/15	Not Upheld
15009547	Adult Care Services	09/09/15	Referred back for local resolution
15010226	Adult Care Services	14/10/15	Closed after initial enquiries
15005563	Adult Care Services	16/10/15	Closed after initial enquiries
15012612	Adult Care Services	03/11/15	Referred back for local resolution
15012752	Adult Care Services	05/11/15	Referred back for local resolution
15013032	Adult Care Services	10/11/15	Referred back for local resolution
15015280	Adult Care Services	22/12/15	Referred back for local resolution
15018028	Adult Care Services	12/02/16	Incomplete/Invalid
15018700	Adult Care Services	23/02/16	Incomplete/Invalid
15018939	Adult Care Services	11/03/16	Referred back for local resolution
15013641	Adult Care Services	31/03/16	Upheld
15000790	Benefits & Tax	01/05/15	Referred back for local resolution
15001619	Benefits & Tax	20/05/15	Closed after initial enquiries
14018021	Benefits & Tax	25/06/15	Upheld
15006329	Benefits & Tax	15/07/15	Referred back for local resolution
15001174	Benefits & Tax	27/07/15	Not Upheld
15006014	Benefits & Tax	05/08/15	Closed after initial enquiries
14018490	Benefits & Tax	23/09/15	Not Upheld
14018166	Benefits & Tax	05/10/15	Upheld
15006248	Benefits & Tax	07/10/15	Closed after initial enquiries
15005326	Benefits & Tax	13/10/15	Closed after initial enquiries
14015977	Benefits & Tax	21/10/15	Upheld
14020079	Benefits & Tax	03/12/15	Upheld
15014542	Benefits & Tax	08/12/15	Referred back for local resolution
15015104	Benefits & Tax	17/12/15	Referred back for local resolution
15017919	Benefits & Tax	10/02/16	Referred back for local resolution
15009135	Benefits & Tax	23/02/16	Upheld
15013487	Benefits & Tax	10/03/16	Not Upheld
15018393	Benefits & Tax	10/03/16	Referred back for local resolution
15003261	Benefits & Tax	16/03/16	Referred back for local resolution
15020116	Benefits & Tax	17/03/16	Incomplete/Invalid
15001688	Corporate & Other Services	22/05/15	Closed after initial enquiries
15005378	Corporate & Other Services	30/06/15	Incomplete/Invalid
15007766	Corporate & Other Services	07/08/15	Referred back for local resolution
15008677	Corporate & Other Services	17/09/15	Closed after initial enquiries
15009070	Corporate & Other Services	25/09/15	Closed after initial enquiries
15013648	Corporate & Other Services	15/12/15	Closed after initial enquiries
15016299	Corporate & Other Services	15/01/16	Referred back for local resolution
15013082	Corporate & Other Services	04/03/16	Closed after initial enquiries
14017975	Education & Childrens Services	15/05/15	Not Upheld
15003794	Education & Childrens Services	04/06/15	Referred back for local resolution
15007371	Education & Childrens Services	03/08/15	Referred back for local resolution
15006345	Education & Childrens Services	04/08/15	Closed after initial enquiries
15006245	Education & Childrens Services	12/08/15	Closed after initial enquiries
15008749	Education & Childrens Services	25/08/15	Referred back for local resolution
15009018	Education & Childrens Services	01/09/15	Referred back for local resolution
15009064	Education & Childrens Services	01/09/15	Incomplete/Invalid
15006991	Education & Childrens Services	03/09/15	Closed after initial enquiries
15009498	Education & Childrens Services	09/09/15	Referred back for local resolution

15006767	Education & Childrens Services	25/09/15	Not Upheld
15010876	Education & Childrens Services	02/10/15	Incomplete/Invalid
15010916	Education & Childrens Services	05/10/15	Referred back for local resolution
15011990	Education & Childrens Services	22/10/15	Referred back for local resolution
15009017	Education & Childrens Services	28/10/15	Not Upheld
15011211	Education & Childrens Services	10/11/15	Closed after initial enquiries
15011360	Education & Childrens Services	16/11/15	Closed after initial enquiries
15011273	Education & Childrens Services	23/11/15	Closed after initial enquiries
15014185	Education & Childrens Services	01/12/15	Referred back for local resolution
15012185	Education & Childrens Services	09/12/15	Not Upheld
15010664	Education & Childrens Services	14/12/15	Not Upheld
15004580	Education & Childrens Services	25/01/16	Upheld
15017496	Education & Childrens Services	04/02/16	Referred back for local resolution
15017524	Education & Childrens Services	04/02/16	Incomplete/Invalid
15018534	Education & Childrens Services	19/02/16	Incomplete/Invalid
15019764	Education & Childrens Services	11/03/16	Referred back for local resolution
15016426	Education & Childrens Services	17/03/16	Upheld
15016620	Education & Childrens Services	17/03/16	Upheld
15016810	Education & Childrens Services	23/03/16	Not Upheld
14020457	Environmental Services & Public Protection & Regulation	27/04/15	Closed after initial enquiries
14008246	Environmental Services & Public Protection & Regulation	01/05/15	Not Upheld
15001869	Environmental Services & Public Protection & Regulation	06/05/15	Referred back for local resolution
15006360	Environmental Services & Public Protection & Regulation	07/08/15	Closed after initial enquiries
15006009	Environmental Services & Public Protection & Regulation	10/08/15	Closed after initial enquiries
15008829	Environmental Services & Public Protection & Regulation	26/08/15	Referred back for local resolution
15010945	Environmental Services & Public Protection & Regulation	05/10/15	Referred back for local resolution
15010356	Environmental Services & Public Protection & Regulation	14/10/15	Referred back for local resolution
15012914	Environmental Services & Public Protection & Regulation	10/12/15	Referred back for local resolution
15014515	Environmental Services & Public Protection & Regulation	06/01/16	Referred back for local resolution
15017920	Environmental Services & Public Protection & Regulation	10/02/16	Referred back for local resolution
15018735	Environmental Services & Public Protection & Regulation	17/03/16	Referred back for local resolution
14018511	Highways & Transport	15/04/15	Closed after initial enquiries
14020854	Highways & Transport	15/04/15	Incomplete/Invalid
15000587	Highways & Transport	29/04/15	Closed after initial enquiries
15000249	Highways & Transport	06/05/15	Closed after initial enquiries
15000207	Highways & Transport	15/05/15	Closed after initial enquiries
15001566	Highways & Transport	28/05/15	Closed after initial enquiries
15003372	Highways & Transport	26/06/15	Closed after initial enquiries
15004535	Highways & Transport	21/07/15	Closed after initial enquiries
15007280	Highways & Transport	30/07/15	Referred back for local resolution
15007399	Highways & Transport	26/08/15	Closed after initial enquiries
15001480	Highways & Transport	07/09/15	Upheld
15008874	Highways & Transport	30/09/15	Closed after initial enquiries
15012566	Highways & Transport	10/12/15	Closed after initial enquiries
15008265	Highways & Transport	01/02/16	Not Upheld
14015441	Highways & Transport	24/02/16	Upheld
14018087	Housing	01/06/15	Not Upheld
15003598	Housing	02/06/15	Advice given
15002763	Housing	26/08/15	Upheld
15016123	Housing	13/01/16	Referred back for local resolution
15014531	NULL	08/12/15	Advice given
15005564	Other	02/07/15	Advice given
15005353	Planning & Development	22/07/15	Referred back for local resolution
15010224	Planning & Development	06/10/15	Closed after initial enquiries
15008952	Planning & Development	01/12/15	Closed after initial enquiries
15012299	Planning & Development	15/02/16	Not Upheld

21 July 2016

By email

Ian Curryer
Chief Executive
Nottingham City Council

Dear Ian Curryer,

Annual Review Letter 2016

I write to you with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2016.

The enclosed tables present the number of complaints and enquiries received and the decisions we made about your authority during the period. I hope that this information will prove helpful in assessing your authority's performance in handling complaints.

Last year we provided information on the number of complaints upheld and not upheld for the first time. In response to council feedback, this year we are providing additional information to focus the statistics more on the outcome from complaints rather than just the amounts received.

We provide a breakdown of the upheld investigations to show how they were remedied. This includes the number of cases where our recommendations remedied the fault and the number of cases where we decided your authority had offered a satisfactory remedy during the local complaints process. In these latter cases we provide reassurance that your authority had satisfactorily attempted to resolve the complaint before the person came to us. In addition, we provide a compliance rate for implementing our recommendations to remedy a fault.

I want to emphasise that these statistics comprise the data we hold, and may not necessarily align with the data your authority holds. For example, our numbers include enquiries from people we signpost back to the authority, but who may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside an annual review of local government complaints. The aim of this is to be transparent and provide information that aids the scrutiny of local services.

Effective accountability for devolved authorities

Local government is going through perhaps some of the biggest changes since the LGO was set up more than 40 years ago. The creation of combined authorities and an increase in the number of elected mayors will hugely affect the way local services are held to account. We have already started working with the early combined authorities to help develop principles for effective and accessible complaints systems.

We have also reviewed how we structure our casework teams to provide insight across the emerging combined authority structures. Responding to council feedback, this included reconfirming the Assistant Ombudsman responsible for relationship management with each authority, which we recently communicated to Link Officers through distribution of our manual for working with the LGO.

Supporting local scrutiny

Our corporate strategy is based upon the twin pillars of remedying injustice and improving local public services. The numbers in our annual report demonstrate that we continue to improve the quality of our service in achieving swift redress.

To measure our progress against the objective to improve local services, in March we issued a survey to all councils. I was encouraged to find that 98% of respondents believed that our investigations have had an impact on improving local public services. I am confident that the continued publication of our decisions (alongside an improved facility to browse for them on our website), focus reports on key themes and the data in these annual review letters is helping the sector to learn from its mistakes and support better services for citizens.

The survey also demonstrated a significant proportion of councils are sharing the information we provide with elected members and scrutiny committees. I welcome this approach, and want to take this opportunity to encourage others to do so.

Complaint handling training

We recently refreshed our Effective Complaint Handling courses for local authorities and introduced a new course for independent care providers. We trained over 700 people last year and feedback shows a 96% increase in the number of participants who felt confident in dealing with complaints following the course. To find out more, visit www.lgo.org.uk/training.

Ombudsman reform

You will no doubt be aware that the government has announced the intention to produce draft legislation for the creation of a single ombudsman for public services in England. This is something we support, as it will provide the public with a clearer route to redress in an increasingly complex environment of public service delivery.

We will continue to support government in the realisation of the public service ombudsman, and are advising on the importance of maintaining our 40 years plus experience of working with local government and our understanding its unique accountability structures.

This will also be the last time I write with your annual review. My seven-year term of office as Local Government Ombudsman comes to an end in January 2017. The LGO has gone through extensive change since I took up post in 2010, becoming a much leaner and more focused organisation, and I am confident that it is well prepared for the challenges ahead.

Yours sincerely



Dr Jane Martin
Local Government Ombudsman
Chair, Commission for Local Administration in England

For further information on how to interpret our statistics, please visit our website:
<http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
18	17	8	28	12	13	3	4	2	105

Decisions made

				Detailed Investigations			
Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Not Upheld	Upheld	Uphold Rate	Total
9	3	40	33	14	13	48%	112

Notes

Our uphold rate is calculated in relation to the total number of detailed investigations.

The number of remedied complaints may not equal the number of upheld complaints. This is because, while we may uphold a complaint because we find fault, we may not always find grounds to say that fault caused injustice that ought to be remedied.

The compliance rate is the proportion of remedied complaints where our recommendations are believed to have been implemented.

Complaints Remedied

by LGO	Satisfactorily by Authority before LGO Involvement	Compliance Rate
9	1	100%

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AUDIT COMMITTEE – 25th NOVEMBER 2016

Title of paper:	Review of Accounting Policies 2016-17	
Director(s)/ Corporate Director(s):	Geoff Walker Director of Strategic Finance	Wards affected: All
Report author(s) and contact details:	Susan Risdall, Team Leader – Technical Accounting susan.risdall@nottinghamcity.gov.uk 0115 8763653	
Other colleagues who have provided input:	Sam Hawrylak, Senior Accountant – Financial Accounting Tom Straw, Senior Accountant – Capital Programmes	
Recommendation(s):		
1	Review and agree the Statement of Accounting Policies for inclusion in the 2016/17 annual accounts (within appendix 1).	
2	Review and agree the proposals where International Financial Reporting Standards (IFRS) allow a degree of choice.	

1 REASONS FOR RECOMMENDATIONS

- 1.1 Part 3 of the Annual Accounts and Audit Regulations 2015 (the Regulations) require the City Council to produce an annual Statement of Accounts. In accordance with IFRS, the Statement of Accounts must include a statement of accounting policies.
- 1.2 The Regulations also require a draft of the Statement of Accounts to be prepared and certified by the responsible financial officer by 30 June. In accordance with best practice for local authorities, the draft accounting policies should be reviewed by Audit Committee before the draft 2016/17 Statement of Accounts is produced.
- 1.3 In addition, where IFRS allows a degree of choice, Audit Committee should be aware of and confirm the choices made.

2 BACKGROUND

- 2.1 The draft 2016/17 accounting policies are included in Appendix 1. The policies are reviewed annually to identify any which should be removed as they are no longer relevant or have no material effect to the Statement of Accounts for 2016/17. With effect from 2016/2017 there is new requirement to measure and disclose Highways Network Assets at depreciated replacement cost. There have been no other significant changes to the accounting policies from 2015/16.

In order to give the main focus to the core financial statements, only the critical Accounting Policies will be included in the body of the Statement of Accounts with a full version shown as an appendix.

2.2 Critical Accounting Policies

The critical accounting policies provide the fundamental bases for producing the Statement of Accounts and warrant particular consideration. The only changes from 2015/16 are the policy for the valuation of the Highways Network Asset and the depreciation methodology for Housing Stock. The proposed 2016/17 Critical Accounting Policies are shown below:

Accruals of Expenditure and Income

The revenue and capital accounts of the Council are maintained on an accrual basis. This means that income and expenditure are recognised in the accounts in the period in which they are earned or incurred and not when money is received or paid. Where income and expenditure has been recognised but cash has not been received or paid, a debtor or creditor is recorded in the Balance Sheet.

Government Grants and Contributions

Government Grants and contributions are credited to income in the Comprehensive Income and Expenditure Statement only when there is reasonable assurance that any attached conditions will be met. Specific grants are credited to the relevant service line, while non-ring fenced and capital grants are credited to Taxation and Non-specific grant income.

Any grants received where conditions have not been met are carried in the Balance Sheet as creditors.

Charges to Revenue for Non-Current Assets

Service revenue accounts, support services and trading accounts are debited with the following amounts to record the real cost of holding non-current assets during the year:

- Depreciation attributable to the assets used by the relevant service.
- Revaluation and impairment losses attributable to the clear consumption of economic benefits on tangible fixed assets used by the service and other losses where there are no accumulated gains in the Revaluation Reserve against which the losses can be written off.
- Amortisation of intangible fixed assets attributable to the service.

Valuation of Non-Current Assets

Generally non-current assets are valued initially at cost and subsequently revalued at fair value. The main exceptions are infrastructure, which are generally valued at depreciated historical cost, council dwellings, which are valued at Existing Use Value for Social Housing and heritage assets, which are valued at market value by an external valuer.

Valuation of the Highways Network Asset

Carriageways, footways and cycletracks, structures (e.g. bridges), street lighting, street furniture, traffic management systems and land which together form a single integrated Highways Network Asset. This is valued at Depreciated Replacement Cost.

Interests in Companies and Other Entities

Inclusion in the Council's Group Accounts is, in accordance with the Code, dependent upon the extent of the Council's interest and control over an entity. In the Council's single-entity accounts, the interests in companies and other entities are shown as investments and valued at cost less any provision for losses.

2.3 Choices made under IFRS

For some policies the IFRS provide different options that can be used. The choices made in these instances have been applied consistently over the years, however, it would be prudent for Audit Committee to reaffirm the choices made. The key proposals are detailed below:

De Minimus Capital Expenditure

All assets acquired can be included in the Balance Sheet, regardless of their cost. However where the current value is less than the following amounts the Council may choose to exclude the asset from the Balance Sheet:

	£m
Vehicles and Plant	0.003
Computer Equipment	0.005
Land & Buildings	0.010

Componentisation

Where an asset consists of significant components that have different useful lives and or depreciation methods to the remainder of the asset, these components are separately identified and depreciated accordingly. The Council has chosen to only apply componentisation where the value of the asset is in excess of £3m.

Depreciation (including amortisation of intangible assets)

Certain Property Plant and Equipment components and Intangible Assets are written down over time and charged to revenue. International Financial Reporting Standards allow the Council to assess the period as well as the depreciation method. The following assets are depreciated on a straight line basis over their individually assessed useful life, unless otherwise stated:

- Buildings, vehicles, plant, furniture and equipment
- Infrastructure and Community are depreciated over 25 years
- Intangible assets are depreciated over 5 years
- [Dwellings, based upon major components current price data allocated on a straight line basis over the useful life.](#)

2.4 The draft accounting policies will also be reviewed by the external auditors, KPMG, and therefore are still subject to change. Any major changes will be highlighted to Audit Committee at a future meeting.

3 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

3.1 None

4 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

4.1 Annual Accounts 2015/16
Accounting and Audit Regulations 2015
Code of Practice on Local Authority Accounting in the United Kingdom 2016/17

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AUDIT COMMITTEE – 25 NOVEMBER 2016

Title of paper:	Internal Audit Half Yearly Report 2016/17	
Director:	Geoff Walker Director of Strategic Finance	Wards affected: All
Report author and contact details:	Shail Shah – Head of Audit and Risk Tel: 0115 8764245 Email: shail.shah@nottinghamcity.gov.uk	
Other colleagues who have provided input:	N/A	
Recommendations:		
1	To note the performance of Internal Audit during the period.	
2	To note and approve the proposed arrangements for external assessment of Public Sector Internal Audit Standards.	

1 REASONS FOR RECOMMENDATIONS

1.1 This report outlines the work of the Internal Audit service (IA) for the first and second quarters of 2016/17.

- **Appendix 1** - Analysis of High Risk findings in Final Audit Reports issued in the period.
- **Appendix 2** - List of final audit reports issued in the period with analysis of recommendations and level of assurance.
- **Appendix 3** - Summary of position against updated Internal Audit Plan 2015/16.

Standards

- 1.2 The service works to a Charter endorsed by the Audit Committee. This Charter governs the work undertaken by the service, the standards it adopts and the way it interfaces with the Council. IA colleagues are required to adhere to the code of ethics, standards and guidelines of their relevant professional institutes and the relevant professional auditing standards. It has adopted, and at the last assessment in 2015 was found to substantially comply with the principles contained in the Public Sector Internal Audit Standards (PSIAS), which is a requirement of the Account and Audit Regulations 2015, and associated regulations, in respect of the provision of an IA service. The service has internal quality procedures and is ISO9001:2008 accredited.
- 1.3 The Internal Audit service has been undertaking an external peer review of the Leeds City Council Internal Audit service as part of PSIAS requirements, the results of which will be reported to the Leeds City Council Corporate Governance and Audit Committee in January 2017.
- 1.4 Members are advised that the Internal Audit Service is to have an external peer review early next year under the requirements of the Public Sector Internal Audit Standards. The review will be carried out by Birmingham City Council Internal Audit Service and

the outcome of this is due to be reported in spring 2017. The review will follow the requirements as laid out in the Local Government Application Note to the UK PSIAs.

Local Performance Indicators (PIs)

1.5 Performance against PIs is illustrated in **Table 1**.

Table 1 : Performance v PI Targets					
Indicator		Target	Period	Actual Year	Comments
1	% of all recommendations accepted.	95%	97%	97%	Above Target
2	% of high recommendations accepted.	100%	100%	100%	On Target
3	Average number of working days from draft agreed to the issue of the final report	8	2	2	Above Target
4	% of staff receiving at least three days training per year.	100%	cumulative	22%	On Target
5	% of customer feedback indicating good or excellent service.	85%	cumulative	99%	Above Target
6	Number of key / high risk systems reviewed	10	0	0	Programmed for Q3 & Q4

Activity

- 1.6 **Appendix 3** summarises the internal audit plan for 2016/17. NCC Internal Audit also provides an internal audit service for other organisations. The IA Plan is produced annually and allocates audit resources throughout the year to review risks to the Council's vision, values and strategic priorities, by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes. The construction of the plan is informed by consideration of a range of factors including the Council Plan, the Council's Risk Register, previous internal and external audit activity, emerging themes and priorities, professional networks, the Council's transformation and improvement activity, and changes to national, local and regional policy. The Plan is regularly reviewed and adapted as risks and priorities change and develop through the year.
- 1.7 The Internal Audit section incorporated the Corporate Counter Fraud Team during 2015/16 with a view to identifying additional income and savings for the Council. This new approach has been successful to date with the agreed income target for 2016/17 of £400,000 being exceeded in the first six months, totalling £486,000. The team also helps the council to make savings which total £237,000.

Summary of Activity

1.8 A summary of reports issued within the last 6 months is included in the Appendix 2. The following sections highlight any key issues and outcomes.

1.9 Key Financial Systems

During the first part of the year we have completed the reporting for the remaining key financial systems audits for 2015/16. Work on the 2016/17 systems is programmed for quarters 3 and 4. We have also carried out analysis of payments to suppliers to support East Midlands Shared Services in reclaiming any duplicated payments.

1.10 Schools

Our schools audits are planned to coincide with the school terms with the majority taking place in spring and summer terms. We have completed the audits programmed for summer 2016. We have contributed an awareness-raising article on mandate fraud to the Scene publication which is distributed to local authority schools.

1.11 Compliance and Risk-Based Audits

We have completed compliance and risk based audits across all departments in the first part of the year, including a review of Performance Indicators which will support the Human resources and Organisational Transformation division in ensuring the existence of effective organisational performance management and accountability.

We have completed the majority of programmed grants audits in the first part of the year. These are generally necessary because government departments require the Head of Internal Audit to confirm compliance with grant conditions and that claimed expenditure is eligible for grant.

1.12 Governance and Ethics

We coordinated the completion of the Annual Governance Statement process for 2015/16, during quarters 1 and 2. During quarter 4 we will be commencing the process to provide an Annual Governance Statement for 2016/17. We provide advice to departmental colleagues which supports them in making good decisions and setting up procedures which comply with the organisation's values, policies and processes. During quarter 3 we will be looking at colleague expenses and councillor allowances. We plan to expand our work in this area to include organisational culture and behavioural insights in 2017/18.

1.13 Fraud and Investigations

We have implemented a Corporate Counter Fraud plan that projects the scope of our activities over the next 3 years. This year we have concentrated efforts on Council Tax and Non-Domestic Rates. We continue to assist in identifying and investigating fraud in Right To Buy and tenancies, and work with colleagues in Nottingham City Homes. We support the Monitoring Officer in respect of Whistleblowing reports, most of which are received by Internal Audit. We advise on or carry out investigations in relation to suspected fraud and irregularities up to and including attendance in court as witness. We have continued to provide an e-learning tool on fraud awareness – which is available to departmental and school-based colleagues, and councillors, and have

highlighted current fraud risks to colleagues through the council intranet. During the first part of the year we coordinated the provision of data to the National Fraud Initiative and will coordinate and support investigation of returned data matches during quarter 4.

1.14 Information and Technology

We carry out a range of information and technology audits during the year which support management in understanding and addressing the related governance, risk and control issues. During the first part of the year we have reported on Automatic Number Plate Recognition and IT Vulnerability Testing. A number of other IT audits will be reported in quarter 3 including an update on IT Security including a recommendation to bring an annual IT Governance report to this committee, and recommendations addressing vulnerabilities in access control. In addition to this work access control is a standard part of key financial systems audits and will be covered as a compliance element where appropriate in other audits. Following recruitment of a specialist we are developing our offer in this area.

1.15 Other / Consultancy

No significant consultancy work has been carried out in this period.

1.16 **Table 2** shows that actual days achieved are less than expected at this point in the year. During the first two quarters we have been affected by restructure, which has taken up substantial amount of time. Whilst some recruitment has taken place, effective from September/October, we still have four vacancies which we have not yet been able to fill. In mitigation, we have retained the services of an experienced contractor until March 2017. The resources obtained during September/October should enable us to increase the productive days during the final two quarters.

TABLE 2: ACTUAL v PLANNED AUDIT DAYS		
Total Planned Days	Actual to date	Comments
2132	884	Less than expected at this point as explained above

1.17 **Table 3** shows that in the year to date, acceptance of recommendations is above the target of 95% for all recommendations and is meeting the 100% target for high recommendations.

TABLE 3: RECOMMENDATIONS ACCEPTED				
	To Date		Period	
	All	High	All	High
Total recommendations made	198	59	198	59
Rejected	4		4	
Total recommendations accepted	194	59	194	59
% accepted	98%	100%	98%	100%

2 BACKGROUND

- 2.1 The Audit Committee's terms of reference include responsibility for receiving reports on the work undertaken by IA and for monitoring its performance. The Public Sector Internal Audit Standards (PSIAS) set the responsibility for the management of Internal Audit with the Board. In practical terms this Board responsibility is vested in the Audit Committee and Section 151 Officer who exercise their Board responsibility via the Constitution and the associated policies and procedures of the City Council. This report is one of the regular updates on work planned and undertaken by the service.

3 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

- 3.1 None

4 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

- Accounts and Audit Regulations 2015
- Internal Audit Plan 2016/17
- Public Sector Internal Audit Standards (2016 update)

Bulwell St Mary's Church of England Primary School

Executive Summary

<p>School : Bulwell St Mary's Church of England Primary School</p> <p>Date of Review: 21 March 2016</p>	<p>Overall Opinion Limited Assurance</p> <p>Direction of Travel: Previous report 12 July 2013</p>	
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Summary: Although certain procedures were found to meet the standards of good practice, our review identified a number of significant weaknesses in the school's financial management procedures where improvements need to be made. Concerns have been raised over the general lack of oversight regarding the school's finances. A number of key documents/decisions could not be evidenced as having being approved by Governors i.e. approval of annual budget, finance policy. The Office Manager (part-time) is responsible for the authorisation of all invoices with no delegated approval seen by Governors. Bank reconciliations are not reviewed independently and payment of additional hours for staff are not authorised.

With the school soon to become an Academy, the Governors should look towards recruiting an experienced Business Manager in order that some of the above concerns can be addressed.

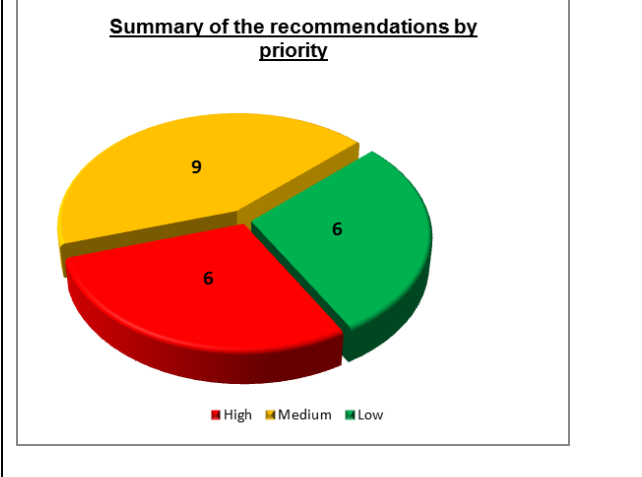
Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status

- High Priority Recommendations:**
- 01 The Financial Administration and Control Policy should be presented to Governors annually to be reaffirmed and this should be recorded in the minutes of the Governors meeting.
 - 07 Given the size and budget of the school, the Governors should consider implementing procedures which will allow for greater control over the day-to-day financial administration of the school.
 - 08 Governor's approval of the budget should be recorded in the minutes of the meeting.
 - 10 The school should retain evidence that the benchmarking website has been used to:
 - Compare its performance to other schools
 - Identify areas for improvement and set targets where needed.
 The findings of the benchmarking activities should be discussed with Governors.
 - 13 The school should ensure that documents relating to quotes or tenders are retained.

Governors should be presented with quotes/tenders for purchases over £5000 and their approval of the preferred supplier should be documented in the minutes.
 - 16 All invoices should be authorised by an appropriate person before being processed for payment.

A summary of the recommendation priority is shown below:



Dovecote Primary School
Executive Summary

School : Dovecote Primary School

Date of Review: 25 May and 22 June 2016

Overall Opinion
Limited Assurance

Direction of Travel:

Previous Audit Report 29 August 2013 Limited Assurance



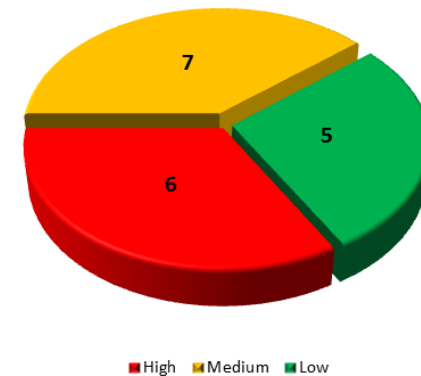
Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status, School Website

High Priority Recommendations:

- R1 Once updated, the Financial Administration and Control Policy should be presented to Governors annually to be reaffirmed and this should be recorded in the minutes of the Governor’s meeting.
- R2 The school should work on improving the coding of income and expenditure to ensure the clarity of Outturns and reduce work by School Business Manager (SBM) on providing explanations.
- R3 SBM and Head Teacher should work with School’s Finance Team during 2016/17 and access training required. The level of future finance service required by the school should be considered.
- R5 The school should review the delegation of budgets to staff and consider reverting budgetary control to the Head Teacher or SBM if adequate control is not in place.
- R7 The school should ensure that cash flow is monitored so that the bank account does not go overdrawn. School’s Finance should be notified immediately if cash flow becomes an issue.
- R15 Annual entitlement should be calculated for all (FTE) staff and monitored via an Annual Leave Card.

Summary of the recommendations by priority



Dunkirk Primary School

Executive Summary

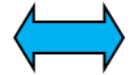
Company : Dunkirk Primary School

Date of Review: 15 July 2016

Summary: We consider that most of the arrangements in place within the school are satisfactory and provide sound systems of control. Our review identified some areas where improvements could be made. These include the recorded approval by Governors of the Finance Policy and preferred suppliers and use of Annual Leave cards for Full Time Equivalent Staff. Due to these recommendations being classed as a high priority, it is important that it is implemented within the next three months.

Overall Opinion
Significant Assurance

Direction of Travel:



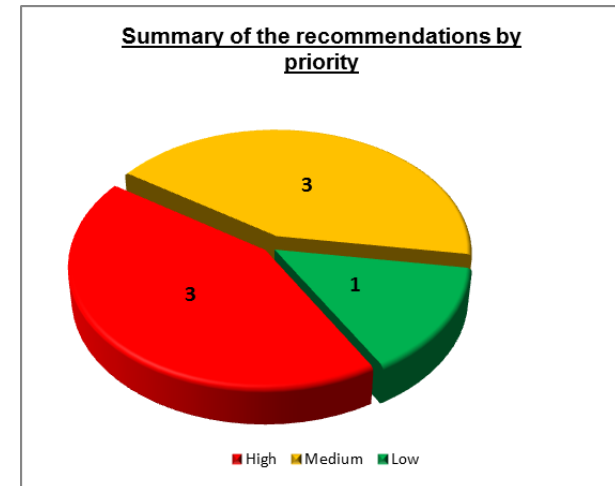
Previous Audit Report 23 October 2013
Significant Assurance

Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status, Website

High Priority Recommendations

- R1 The Finance Policy should be presented to Governors annually to be reaffirmed and this should be recorded in the minutes of the Governors meeting.
- R4 The school should ensure that Governors are presented with quotes for purchases over £5000 and their approval of the preferred supplier is documented in the minutes. Where alternative quotes are unavailable or not like for like, the reasons should be presented to Governors.
- R7 Annual Entitlement should be calculated for staff and monitored via an Annual Leave Card.



Robin Hood Primary School

Executive Summary

School : Robin Hood Primary

Date of Review: 5 July 2016

Summary: We consider that most of the arrangements in place within the school are satisfactory and provide sound systems of control. Our review identified some areas where improvements could be made. These include the recorded approval by Governors of the Finance Policy and an independent check on purchase card usage. Due to these recommendations being classed as a high priority, it is important that it is implemented within the next three months.

Overall Opinion

Significant Assurance

Direction of Travel:

Date of last report - 14 June 2013, Significant Assurance



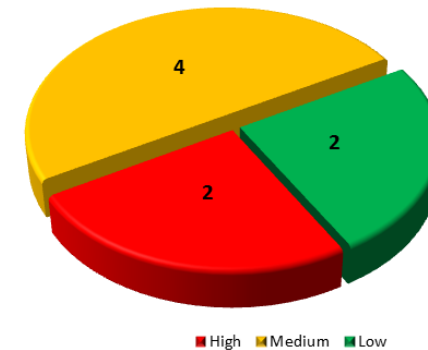
Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status, School Website

High Priority Recommendations:

- 01 The Financial Administration and Control Policy should be presented to Governors annually to be reaffirmed and this should be recorded in the minutes of the Governors meeting.
- 07 The Head Teacher should review purchase card receipts and the bank statement each month and sign to confirm purchases are authorised and reconciliation is correct.

Summary of the recommendations by priority



Southglade Primary & Nursery School

Executive Summary

School : Southglade Primary & Nursery School

Date of Review: 10 May 2016

Summary: We consider that most of the arrangements in place within the school are satisfactory and provide sound systems of control. Our review identified some areas where improvements could be made in particular to leave cards being allocated to all year round staff. Due to this recommendation being classed as a high priority, it is important that it is implemented within the next three months.

Overall Opinion

Significant Assurance

Direction of Travel:

Date of last report: 17 July 2013

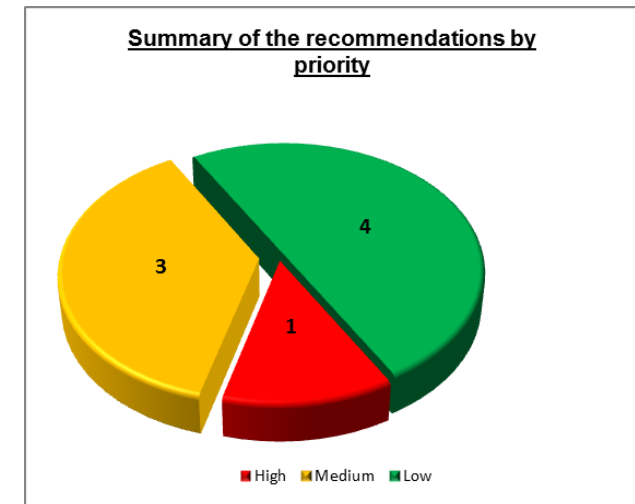


Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status, Website

High Priority Recommendations:

- 09 Annual Entitlement should be calculated for staff and monitored via an Annual Leave Card.



Whitegate Primary & Nursery School

Executive Summary

Company : Whitegate Primary & Nursery School

Date of Review: 12 July 2016

Summary: We consider that most of the arrangements in place within the school are satisfactory and provide sound systems of control. Our review identified some areas where improvements could be made in particular to approval of the Finance Policy and purchases from staff members. Due to these recommendations being classed as high priority, it is important that they are implemented within the next three months. It is noted that some of the recommendations made are of a minor point.

Overall Opinion

Significant Assurance

Direction of Travel:

Previous Audit Report 2 July 2013 Significant Assurance



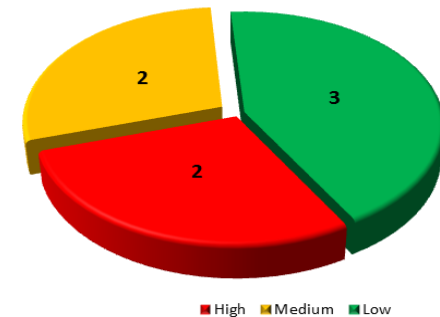
Scope and Approach: The scope of this review was limited to;

Leadership & Governance, People Management, Policy & Strategy, Processes, Purchasing, Invoice Processing, Banking Arrangements, School Fund, Income, Single Status, Website

High Priority Recommendations:



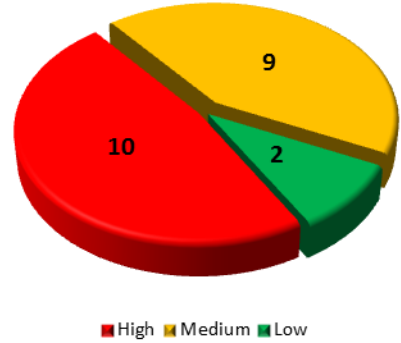
- 01 The Financial Administration and Control Policy should be presented to Governors annually to be reaffirmed and this should be recorded in the minutes of the Governors meeting.
- 03 The school should carefully consider the whole life cost of purchases and additional benefits such as guarantees and warranties available on new items. The reasons for purchasing from staff should be recorded and include quotes or internet research. Governor approval should be sought for purchases from staff.

Summary of the recommendations by priority





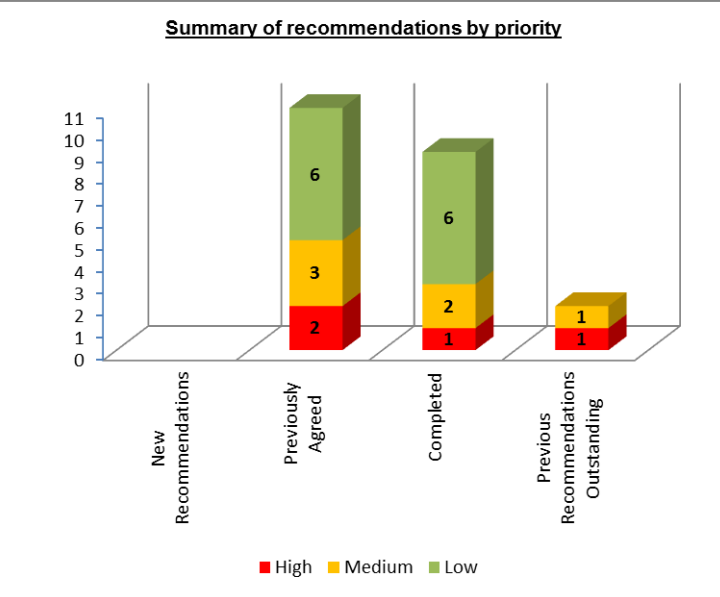
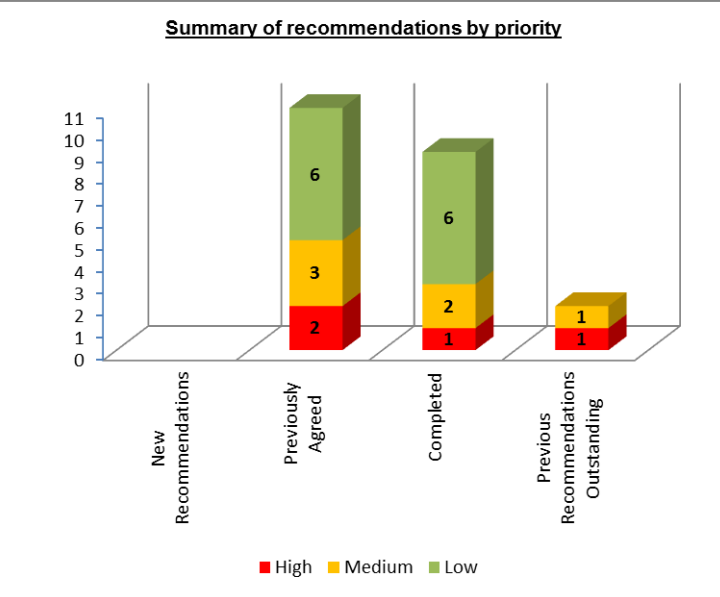
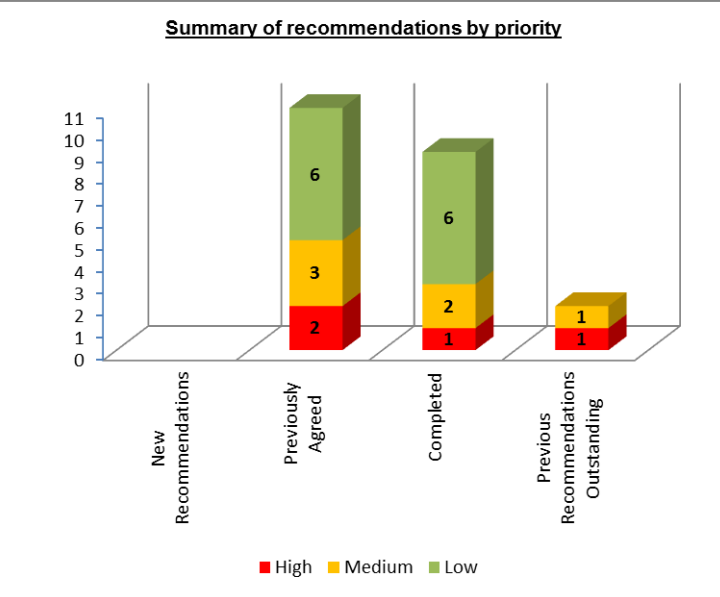
Adult Residential 2015-16

Executive Summary

<p>Organisation: Nottingham City Council Directorate: Children and Adults</p> <p>Previous reviews: The Oaks, Oakdene and Laura Chambers were included in the Establishment Visits Report 2014 Client Cash 2011-2012</p>	<p>Overall Opinion: Limited Assurance</p>		<p>Direction of Travel: Overall, there has been no change to the level of controls that are in operation.</p> 								
<p><u>Scope and Approach:</u> The following areas were reviewed:</p> <table border="1" data-bbox="898 635 2094 884"> <tr> <td data-bbox="898 635 1496 884"> <ul style="list-style-type: none"> financial training and written instructions additional payroll payments client monies and property safe security petty cash </td> <td data-bbox="1500 635 2094 884"> <ul style="list-style-type: none"> purchase cards social funds DBS and Right to Work Asset/inventory Registers </td> </tr> </table>				<ul style="list-style-type: none"> financial training and written instructions additional payroll payments client monies and property safe security petty cash 	<ul style="list-style-type: none"> purchase cards social funds DBS and Right to Work Asset/inventory Registers 						
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<p>High Priority Recommendations made to all homes:</p> <p>R01 Uniform written procedures should be drawn up for all financial areas of work across Adult Residential Services.</p> <p>R04 Receipts should be issued and retained for all cash receipts from relatives. When issuing cash to staff, a voucher should be signed by the recipient to confirm receipt.</p> <p>R13 Managers should be aware of their responsibilities regarding DBS and RTW. Standardised processes should be adopted across Adult Residential Services.</p> <p>R15 Care should be taken in calculating and checking payroll enhancements. Reference should be made to the Pay Policy particularly concerning annual leave.</p>		<p>Summary of the recommendations by priority</p>  <table border="1" data-bbox="1563 1050 1962 1394"> <thead> <tr> <th>Priority</th> <th>Count</th> </tr> </thead> <tbody> <tr> <td>High</td> <td>10</td> </tr> <tr> <td>Medium</td> <td>9</td> </tr> <tr> <td>Low</td> <td>2</td> </tr> </tbody> </table>		Priority	Count	High	10	Medium	9	Low	2
Priority	Count										
High	10										
Medium	9										
Low	2										



Environmental Health (HMO)

Executive Summary

<p>Organisation: Nottingham City Council Directorate: Commercial Operations</p>	<p>Overall Opinion: Significant Assurance</p>		<p>Direction of Travel: Improving </p>																						
<p>Previous reviews: Environmental Health (HMO) 5th March 2015</p>		<p><u>Scope and Approach:</u> The scope was limited to a review of outstanding recommendations from the 2015 report.</p>																							
<table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>High Priority Recommendations</p> <p>R2 An independent senior officer should be required to check and approve each application when it has been assessed to ensure that the assessment is correct and the correct fee requested (and to complete documentation to evidence the approval).</p> </td> <td style="width: 50%; vertical-align: top;"> <p style="text-align: center;">Summary of recommendations by priority</p>  <table border="1" style="margin-top: 10px;"> <caption>Data for Summary of recommendations by priority</caption> <thead> <tr> <th>Category</th> <th>High</th> <th>Medium</th> <th>Low</th> </tr> </thead> <tbody> <tr> <td>New Recommendations</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Previously Agreed</td> <td>2</td> <td>3</td> <td>6</td> </tr> <tr> <td>Completed</td> <td>1</td> <td>2</td> <td>6</td> </tr> <tr> <td>Previous Recommendations Outstanding</td> <td>1</td> <td>1</td> <td>0</td> </tr> </tbody> </table> </td> </tr> </table>				<p>High Priority Recommendations</p> <p>R2 An independent senior officer should be required to check and approve each application when it has been assessed to ensure that the assessment is correct and the correct fee requested (and to complete documentation to evidence the approval).</p>	<p style="text-align: center;">Summary of recommendations by priority</p>  <table border="1" style="margin-top: 10px;"> <caption>Data for Summary of recommendations by priority</caption> <thead> <tr> <th>Category</th> <th>High</th> <th>Medium</th> <th>Low</th> </tr> </thead> <tbody> <tr> <td>New Recommendations</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Previously Agreed</td> <td>2</td> <td>3</td> <td>6</td> </tr> <tr> <td>Completed</td> <td>1</td> <td>2</td> <td>6</td> </tr> <tr> <td>Previous Recommendations Outstanding</td> <td>1</td> <td>1</td> <td>0</td> </tr> </tbody> </table>	Category	High	Medium	Low	New Recommendations	0	0	0	Previously Agreed	2	3	6	Completed	1	2	6	Previous Recommendations Outstanding	1	1	0
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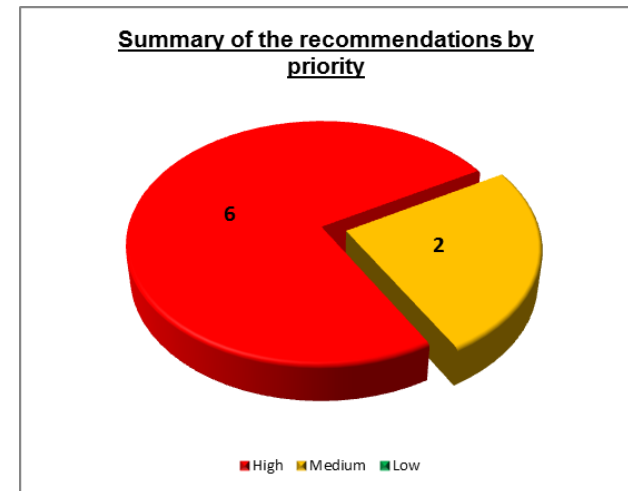
Automatic Number Plate Recognition (ANPR)

Executive Summary

<p>Organisation: Nottingham City Council Directorate: Commercial and Operations</p>	<p>Overall Opinion: Limited Assurance</p>		<p>Direction of Travel: This area has not been reviewed previously.</p> 
<p>Previous reviews: None</p>	<p><u>Scope and Approach:</u> The scope of this review covered:</p> <ul style="list-style-type: none"> NCC's guidance and procedures for operating ANPR within its car parks and depots taking into account ICO guidance. re the operation of the ANPR system Access controls to the systems and the completeness and accuracy of data 		



High Priority Recommendations

- R1 The ownership and purpose for which the data is being collected and processed should be reviewed and clearly communicated.
- R2 The use of three systems should be reviewed and consideration given to consolidating them to a single system in order that:
 - Operational and maintenance costs can be controlled
 - There are clear agreements with the suppliers to ensure that responsibilities and costs are clearly defined and known
 - The systems are appropriately maintained.
- R3 All ANPR operating systems should be reviewed to ensure that the IT risks are managed and controlled.
- R4 Data quality should be reviewed on a quarterly basis in line with Home Office Guidance, to ensure that the data is complete and accurate.
- R5 Privacy Impact Assessments should be undertaken with copies lodged with Information Management Services
- R6 ANPR signage should be installed at all establishments where ANPR is found to be operating.



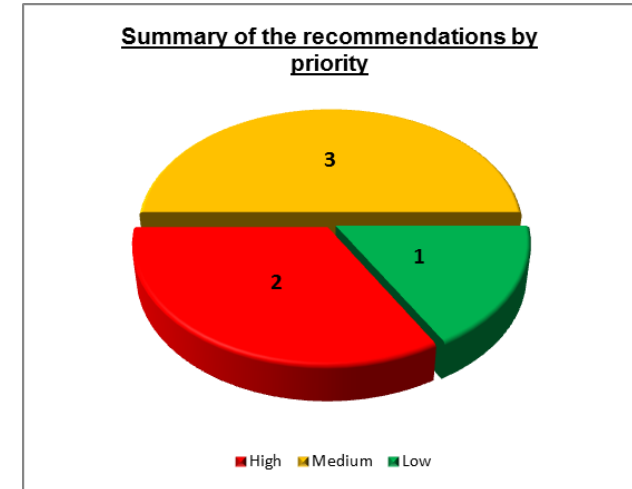
Performance Indicators 2015-16

Executive Summary

Organisation: Nottingham City Council Directorate: Corporate Services	Overall Opinion: Limited Assurance		Direction of Travel: Key Performance Indicators have not been subject to any recent review by internal Audit. 
Previous review:	<u>Scope and Approach:</u> This review considered the following aspects of the service: <ul style="list-style-type: none">• KPI definitions.• Source and suitability of primary data.• Accuracy of reported figures.• Maintenance of records.		


High Priority Recommendations

- R1 Records maintained should be version controlled at the point of submission to enable independent verification of figures reported.
- R2 Management checks should be undertaken pre and post input to Covalent.



Works Perks 2016-17

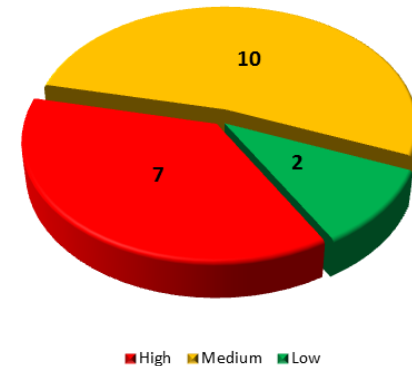
Executive Summary

<p>Organisation: Nottingham City Council Directorate: Corporate Resources</p>	<p>Overall Opinion: Limited Assurance</p>		<p>Direction of Travel: Not previously audited</p>
<p>Previous review: No previous review</p>	<p><u>Scope and Approach:</u> This review considered the following aspects of the service:</p>		
	<ul style="list-style-type: none"> • Policies are available • Applications are processed correctly • Deductions are accurate and timely 	<ul style="list-style-type: none"> • Costs/deductions are monitored • Outstanding balances are recovered for leavers 	
	<p>The review will look at the Car and Holiday Plus salary sacrifice scheme.</p>		

High Priority Recommendations



- R1 Oracle should be adjusted to show one deduction from the gross pay. Monies incorrectly paid over to HMRC should be recovered.
- R3 Legal advice should be undertaken as to what the next steps should be regarding the employees being paid below the NMW.
- R4 An exercise should be undertaken by Works Perks to ensure that no other employee is currently being paid below the NMW.
- R5 A check list should be devised that ensures the appropriate checks are undertaken before any salary sacrifice is agreed. This should be signed and dated by the person undertaking the checks.
A senior member of staff should ensure all checks have been carried out. This should be signed and dated as confirmation.
- R7 A system should be implemented that ensure employees paid through an external payroll provider have the correct deductions set up. There should be continual monitoring to ensure the payroll provider pay the deductions over to NCC.
- R8 The employee should be contacted and an arrangement put in place to recover outstanding deductions.
- R12 NCC should ensure that OMP is being paid at the correct rate.

Summary of the recommendations by priority



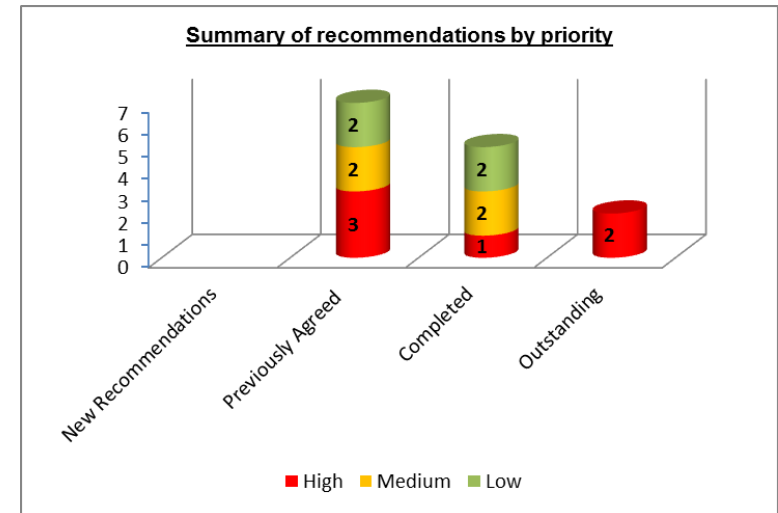
Equality Impact Assessments - Follow-up

Executive Summary


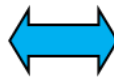
<p>Organisation: Nottingham City Council Directorate: HR & Transformation</p>	<p>Overall Opinion: Limited Assurance</p>		<p>Direction of Travel:</p> 
<p>Previous reviews: Equality Impact Assessments 14 September 2014</p>	<p><u>Scope and Approach:</u> The scope was limited to the ECR Team's work with departments to improve the early consideration of Equalities, the quality of written EIAs and record keeping.</p>		

High Priority Recommendations

- R1 ECR Team, with the Equalities Board, to consider and implement good practise in early monitoring of activity across NCC.
- R2 Importance of 'SMART' actions and monitoring to be reinforced in future training and ECR Team quality checking. Names/job title and dates to be added to actions. Actions and monitoring to be included on service implementation plans.



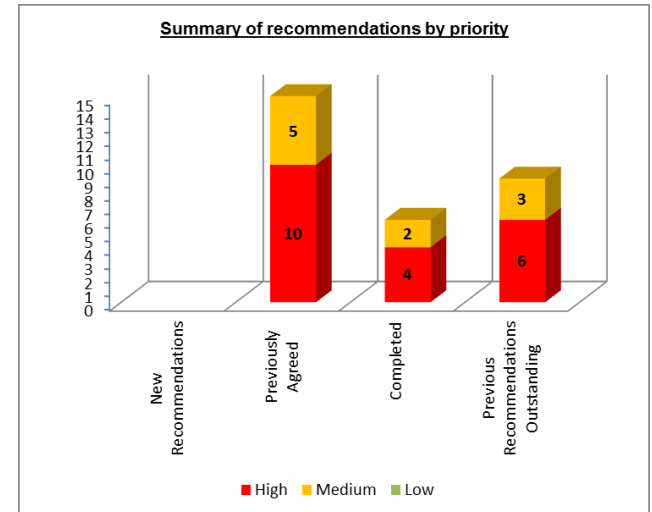
**NCC Accounts Receivable
Executive Summary**

<p>Organisation: Nottingham City Council Directorate: Resilience</p>	<p>Overall Opinion: Limited Assurance</p>		<p>Direction of Travel: Overall, there has been no change to the level of controls that are in operation.</p> 
<p>Previous reviews: Final NCC AR Testing & Reporting 2014-15</p>		<p><u>Scope and Approach:</u> The agreed scope for this review included</p> <ul style="list-style-type: none"> • Follow up of previous recommendations • Monitoring arrangements for Adult Residential Services and Fairer Charging debt • Reconciliation of AR to the General ledger 	

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High Priority Recommendations

- R1 Financial Regulations should be re-drafted to take account of third parties being involved within the debt collection process.
- R5 Clarity is required for both EMSS and Heads of Service to ensure that all the debt is effectively collected; this should then be built into any SLA with EMSS.
- R8 All data should be passed to the consolidated debt system. (Compliance with the 2005 Debt Management Policy)
- R9 All debt over 6 years old should be formally reviewed in conjunction with EMSS and Nottingham Revenues and Benefits Ltd to decide which debts are no longer cost effective to collect and need to be written off.
- R14 Those areas raising bulk invoices should be reviewed in order that the process may be streamlined and become more efficient with the possibility of introducing feeder systems from source records.
- R15 An urgent review is required to clear these items to ensure that customer accounts are accurate and complete.



Final Audit Reports issued Q1 & Q2

Final Audit Reports issued 1st April to 30th September 2016

Department	Division	Activity	Level of assurance	No of Accepted Recommendations		
				High	Medium	Low
Children & Adults	Safeguarding	Foster Care & Adoption 2014-15 - Follow-up	Significant Assurance	0	4	3
	Safeguarding Total			0	4	3
	Schools	Fernwood Infant School	Significant Assurance	0	2	1
		Rufford Primary School	Significant Assurance	0	0	0
		Bulwell St Mary's CofE Primary School	Limited Assurance	6	9	6
		Claremont Primary & Nursery School	Significant Assurance	0	3	3
		Dovecote Primary School	Limited Assurance	6	7	5
		Dunkirk Primary School	Significant Assurance	3	3	1
		Greenfields Community School & Foundation Unit	Significant Assurance	0	1	1
		Robin Hood Primary School	Significant Assurance	2	4	2
		Southglade Primary School	Significant Assurance	1	3	4
		Welbeck Primary School	High Assurance	0	0	2
	Whitegate Primary School	Significant Assurance	2	1	4	
	Schools Total			20	33	29
Social Care provision	Adult Residential	Limited Assurance	9	8	2	
Social Care provision Total			9	8	2	
Children and Adults Total				29	45	34
Commercial & Operations	Community Protection	Environmental Health (HMO) - Follow-up	Significant Assurance	2	3	4
		Rogue Landlord Grant 15-16	Grant	0	0	0
	Community Protection Total			2	3	4
	Neighbourhood Services	Automatic Number Plate Recognition	Limited Assurance	6	2	0
Neighbourhood Services Total			6	2	0	
Commercial and Operations Total				8	5	4

Department	Division	Activity	Level of assurance	No of Accepted Recommendations		
				High	Medium	Low
Development & Growth	Economic Innovation & Employment	Woodfield industries – Follow-up	Significant Assurance	0	1	0
		Housing Grants	Significant Assurance	0	1	0
	Economic Innovation & Employment Total			0	2	0
	Housing Partnership	Housing Rents 2015-16	Significant Assurance	0	2	1
		Housing Partnership Total			0	2
	Planning & Transport	Growth Point 2015-16	Grant	0	0	0
		Better Bus Area 2 Grant 2015-16	Grant	0	0	0
		LA Bus Subsidy Ring-fenced (Revenue) Grant 2015-16	Grant	0	0	0
		Local Transport Plan 2015-16 Grant	Grant	0	0	0
	Planning & Transport Total			0	0	0
	Strategic Asset & Property Management	Estate Rents – Follow-Up	Significant Assurance	0	1	1
		Strategic Asset & Property Management Total			0	1
	Development & Growth Total			0	5	2
Strategy & Resources	Information Technology	IT Vulnerability Testing	Significant Assurance	0	1	0
		Information Technology Total			0	1
	HR & Organisational Transformation	Performance Indicators	Limited Assurance	2	3	1
		Works Perks	Limited Assurance	7	10	2
		Equality Impact Assessments Follow-up	Limited Assurance	3	2	2
	Organisational Transformation Total			12	15	5
	Strategic Finance	Bank Reconciliation 2015	High Assurance	0	0	1
		NCC AR Testing 2015-16	Limited Assurance	10	5	0
		Treasury Management 2015	High Assurance	0	0	1
		Council Tax & NNDR 2015-16	Significant Assurance	0	10	2
Strategic Finance Total			10	15	4	

Department	Division	Activity	Level of assurance	No of Accepted Recommendations		
				High	Medium	Low
Strategy & Resources Total				22	31	9
			Grand Total	59	86	49

APPENDIX 3

SUMMARY OF POSITION AGAINST UPDATED INTERNAL AUDIT PLAN 2016/17

Audit Title	Planned Days	Actual Days
Strategic Risk Register	30	0
Resources	114	21
Chief Executive/Transformation	70	37
Children & Families	125	62
Commercial & Operations	65	2
Development	110	49
Corporate Audits	371	144
Fraud / Counter Fraud	600	286
Corporate Fraud Strategy	73	12
Companies / Other Bodies	354	177
Consultancy, Advice and Support	120	62
Developments / Other Work	100	32
Total Days	2132	884

AUDIT COMMITTEE - 25 NOVEMBER 2016

Title of paper:	Terms of reference and annual work programme	
Director:	Geoff Walker Director of Strategic Finance	Wards affected: All
Report author and contact details:	Shail Shah, Head of Audit and Risk 0115 876 4245 shail.shah@nottinghamcity.gov.uk	
Recommendations:		
1	Note the role and functions of the Audit Committee and the benefits arising from its existence.	
2	Endorse the outline work programme at Appendix 1 and the terms of reference at Appendix 2 .	

1 REASONS FOR RECOMMENDATIONS

Although an Audit Committee is not a legal requirement it reflects best practice reinforces the importance of probity, and performance and risk management. This report outlines the core functions of the Audit Committee, the benefits that will arise for the City Council and an outline annual work programme.

1.1 Role of the Audit Committee

The purpose of an Audit Committee is to provide independent assurance on the adequacy of the governance and control environment, effectiveness of the Risk Management Framework, and to oversee the annual financial reporting process.

1.2 Benefits of the Audit Committee

The benefits to be gained from operating an effective Audit Committee are that it:

- Raises greater awareness of the need for internal control and the implementation of audit recommendations;
- Increases public confidence in the objectivity and fairness of financial and other reporting;
- Reinforces the importance and independence of internal and external audit and any other similar review process, for example by providing a view on the annual governance statement;
- Provides additional assurance through a process of independent and objective review.

1.3 **Governance Role**

The Audit Committee aims to improve corporate focus on governance by:

- Providing assurance on the adequacy of the Risk Management Framework and the associated control environment;
- Scrutinising the Council's financial and non-financial performance to the extent that it affects the Council's exposure to risk and weakens the control environment;
- Overseeing the financial reporting process
- Approving the Council's Statement of Accounts;
- Commenting on the scope and nature of external audit;
- Overseeing proposed and actual changes to the Council's policies and procedures pertaining to governance

1.4 **Functions of the Committee**

The Audit Committee fulfils the functions listed in Appendix 2.

2 BACKGROUND

2.1 An Audit Committee is central to the provision of effective corporate governance, which partly depends on a systematic strategy, clear framework and processes for managing risk. Good governance also maintains and increases public confidence in the objectivity and fairness of financial and other reporting as well as helping to deliver improved services. It is important that local authorities have independent assurance about the mechanisms underpinning these aspects of governance.

2.2 It is recognised that high performing councils develop effective financial and non-financial control mechanisms. The development of expertise made available by the establishment of an Audit Committee, meeting on a regular cycle, and with Terms of Reference focussed on the key audit control and risk management areas critical to the Council's performance is a key part of these mechanisms.

2.3 The Committee's outline work programme is attached as Appendix 1. The work programme supports the Council's aim to improve its efficiency and effectiveness. It has been developed to address the Terms of Reference for the Committee approved by the City Council which are included as Appendix 2. In accordance with CIPFA guidance, the Committee is politically balanced and will not have Executive membership. Membership will continue to be reviewed in accordance with guidance from the Department of Communities & Local Government (DCLG).

3 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

None

4 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

Advice note from CIPFA Technical Audit Committees – Practical Guidance for Local Authorities (CIPFA)

Appendix 1

Audit Committee Programme of work 2016 / 2017

REPORT TITLE	Provisional DATE ▷ LEAD ▽	24/02/17	28/04/17	05/17	07/17	09/17	11/17
		Annual Governance Statement Interim Report	GW/SS				
Annual Governance Statement	GW/SS						
Internal Audit Plan	GW/SS						
Annual Governance Statement Mid-Year Update	GW/SS						
Audit Committee Annual Report	Cllr P						
Audit Committee Role & Annual Work Programme	GW/SS						
Audit Committee Training Activity	GW/SS						
Counter Fraud Strategy	GW/SS						
EMSS Update	GW/SS						
Internal Audit Annual Report & Audit Charter	GW/SS						
Internal Audit Performance	GW/SS						
Internal Audit Reports Selected for Examination	GW/SS						
Performance Management Framework	AP/CC						
KPMG – Annual Audit Letter	KPMG						
KPMG – Certification of Claims & Returns Annual Report	KPMG						
KPMG – Report to Those Charged with Governance	KPMG						
KPMG – Regular update/statement progress	KPMG						
KPMG – External Audit Plan	KPMG						
LGO Annual Report	LN						

- KEY : PEOPLE**
- Cllr P Councillor Piper
 - TC Theresa Channell
 - KPMG External Auditor
 - NC Nigel Cooke
 - LN Lynne North
 - R Jane O’Leary
 - SS Shail Shah
 - GW Geoff Walker
 - CC Chris Common
 - IG Simon Salmon / Mick Dunn
 - GD Glyn Daykin

KEY : PURPOSE

- As required
- For approval
- Reviewing performance

Audit Committee Terms of Reference

TITLE	AUDIT COMMITTEE
POWERS / REMIT	
<p>(a) Main Purposes:</p> <ol style="list-style-type: none"> 1. Provide assurance of the adequacy of the risk management framework and the associated control environment; 2. Scrutinise the council's financial and non-financial performance to the extent that it affects the council's exposure to risk and weakens the control environment; 3. Oversee the financial reporting process; 4. Approve the Council's Statement of Accounts; 5. Comment on the scope and nature of external audit; 6. Oversee proposed and actual changes to the council's policies and procedures pertaining to governance. <p>(B) Main Functions:</p> <ol style="list-style-type: none"> 1. Reviewing the mechanisms for the assessment and management of risk; 2. Approving the council's statement of accounts; 3. Receiving the council's reports on the Statement on the Annual Governance Statement and recommending their adoption; 4. Approving Internal Audit's strategy, planning and monitoring performance; 5. Receiving the Annual Report and other reports on the work of Internal Audit; 6. Considering the external auditor's annual letter, relevant reports and the report to those charged with governance and the council's responses to them; 7. Considering arrangements for and the merits of operating quality assurance and performance management processes; 8. Considering the exercise of officers' statutory responsibilities and of functions delegated to officers; 9. To recommend external audit arrangements for the council; 10. To receive and consider the results of reports from external inspectors, ombudsman and similar bodies and from statutory officers; 11. Overseeing the Partnership Governance Framework, including annual health checks and the Register of Significant Partnerships. 	
ACCOUNTABLE TO: Council	
MEETINGS: Normally six per annum plus specials where required	
MEMBERSHIP: 9 non-executive members (politically balanced) plus 1 independent member.	
ESTABLISHED SUB COMMITTEES: None.	

AUDIT COMMITTEE – 25 NOVEMBER 2016

Title of paper:	Treasury Management 2016/17 - half yearly update	
Director:	Geoff Walker Director of Strategic Finance	Wards affected: All
Report author:	Glyn Daykin Senior Accountant - Treasury Management Tel: 0115 8763724	
Other colleagues who have provided input:	Geoff Walker, Director of Strategic Finance Theresa Channell, Head of Corporate Finance Susan Risdall, Technical Team Leader Jo Worster, Strategic Finance Team Leader	
Recommendation:		
1	To note the treasury management actions taken in 2016/17 to date.	

1 REASONS FOR RECOMMENDATIONS

- 1.1 To ensure that Councillors are kept informed of the actions taken by the Chief Finance Officer (CFO) under delegated authority. The currently adopted Treasury Management Code of Practice requires the CFO to submit at least three reports on treasury management each year; a policy and strategy statement for the ensuing financial year, a 6-monthly progress report and an outturn report after the end of the financial year.

The CIPFA Prudential Code requires local authorities to nominate a body within the organisation to be responsible for scrutiny of treasury management activity. It is considered that the City Council's Audit Committee is the most appropriate body for this function. In undertaking this function, the Audit Committee holds the responsibility to provide effective scrutiny of treasury management policies and practices.

2 BACKGROUND

- 2.1 Treasury management is the management of a local authority's cash flows, borrowings and investments, together with the management of the associated risks and the pursuit of the optimum performance or return consistent with those risks. Since 1 April 2004 councils have been required to have regard to the Prudential Code. The Code requires treasury management to be carried out in accordance with good professional practice. The City Council retains external advisors to assist with this activity.

The Authority has borrowed and invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. This report covers treasury activity and the associated monitoring and control of risk.

The half yearly update report is scheduled to be considered by Executive Board on 22 November 2016.

3 TREASURY MANAGEMENT ACTIVITY TO 30 SEPTEMBER 2016

3.1 The Economy and Interest rates during 2016/17

- **Growth and Inflation:**
The UK economy has showed reasonably strong growth with year on year growth running at a healthy pace of 2.2%. Inflation (CPI) is forecast to rise to 0.9% by the end of calendar 2016 and thereafter a rise closer to the Bank's 2% target over the coming year due to a rise in import prices since the devaluation of the Pound.
- **EU referendum:**
The UK economic outlook changed significantly on 23rd June 2016. The surprise result of the referendum on EU membership prompted forecasters to rip up previous projections and dust off worst-case scenarios. Growth forecasts had already been downgraded as 2016 progressed, the referendum and the subsequent political turmoil prompted a sharp decline in household, business and investor sentiment. Whilst the economic growth consequences of BREXIT remain speculative, there is uniformity in expectations that uncertainty over the UK's future trade relations with the EU and the rest of the world will weigh on economic activity and business investment, dampen investment intentions and tighten credit availability, prompting lower activity levels and potentially a rise in unemployment. These effects will dampen economic growth through the second half of 2016 and in 2017.
- **UK Monetary Policy:**
The repercussions of this plunge in sentiment on economic growth were judged by the Bank of England to be severe, prompting the Monetary Policy Committee to act cutting the Bank Rate to 0.25%, further gilt and corporate bond purchases (QE) and cheap funding for banks (Term Funding Scheme) to maintain the supply of credit to the economy.
- **Market reaction:**
In response to the Bank of England's policy announcement, money market rates and bond yields declined to new record lows. Since the onset of the financial crisis over eight years ago, Arlingclose's rate outlook has progressed from 'lower for longer' to 'even lower for even longer' to, now, 'even lower for the indeterminable future'.

Appendix B shows the money market interest rates and the PWLB borrowing rates for the half-year to 30 September 2016.

3.2 Local Context

At 31/03/2016 the Authority's underlying need to borrow for capital purposes as measured by the Capital Financing Requirement (CFR) was £1,195.9m.

At 30/09/2016, the Authority had £921.8m of borrowing including £229.1m of Private Finance Initiative (PFI) Debt and £62.7m of investments. The Authority's current strategy is to maintain borrowing and investments below their underlying levels, referred to as internal borrowing, subject to holding a minimum investment balance of £30m.

The Council has an increasing CFR over the next 3 years due to the capital programme, and expects to hold minimal investments and so anticipates further borrowing of c.£200m over the forecast period.

3.3 Borrowing strategy

At 30/9/2016 the Council held £692.732m of loans, an increase of £2.337m on the 31/3/2016 balance, as part of its strategy for funding previous years' capital programmes.

The Council expects to borrow up to a further £50.000m in 2016/17. The chief objective when borrowing continues to be striking an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the long-term plans change being a secondary objective.

Affordability and the "cost of carry" remained important influences on the Authority's borrowing strategy alongside the consideration that, for any borrowing undertaken ahead of need, the proceeds would have to be invested in the money markets at rates of interest significantly lower than the cost of borrowing. As short-term interest rates have remained, and are likely to remain for a significant period, lower than long-term rates, the Authority determined it was more cost effective in the short-term to use internal resources / borrow short-term loans for the majority of its borrowing requirement this year.

The fall in gilt yields and PWLB loan rates in the period leading up to the EU referendum vote provided an opportunity to borrow at below the council's target borrowing rate. The Council borrowed £20m on a fixed rate of 2.25% on a 20 year annuity basis to fund capital expenditure and maturing loans. The Public Works Loans Board (PWLB) was the Authority's preferred source of long term borrowing given the transparency and control that its facilities continue to provide.

Temporary and short-dated loans borrowed from the markets, predominantly from other local authorities, has also remained affordable and attractive. In the 6 months to 30 September £38.6m of such loans were borrowed at an average rate of 0.364% and an average life of 2 months which includes the replacement of maturing loans.

Changes in the debt portfolio over 2016/17 have achieved a reduction in the overall debt cost % whilst reducing the credit risk by repaying loans from investment balances.

Table 2 summarises the Council's outstanding external debt at 30 September 2016 showing the value of debt and the average interest rate payable on the debt:

TABLE 2: DEBT PORTFOLIO				
DEBT	1 APR 2016		30 SEPT 2016	
	£m	%	£m	%
PWLB borrowing	619.9	3.860	632.2	3.800
Market loans inc LOBO	49.0	4.348	49.0	4.348
Local bonds & Stock	0.6	3.001	0.6	3.001
Temporary borrowing	20.9	0.486	10.9	0.273
TOTAL DEBT	690.4	3.791	692.7	3.785

3.4 Debt rescheduling

The penalties (premia) for the early repayment of Public Works Loan Board (PWLB) debt, which constitutes over 90% of the Council's existing long-term borrowing, have remained prohibitively high. Therefore, no opportunities for debt rescheduling arose in the first half of 2016/17

3.5 PWLB Certainty Rate and Project Rate Update

The Council qualifies for borrowing at the 'Certainty Rate' (0.20% below the PWLB standard rate) for a 12 month period from 01/11/2015. In April the Council submitted its application to the DCLG along with the 2016/17 Capital Estimates Return to access this reduced rate for a further 12 month period from 01/11/2016.

3.6 Lender's Option Borrower's Options (LOBO) Loans

The Council holds £34.000m of LOBO loans where the lender has the option to propose an increase in the interest rate at set dates, following which the Council has the option to either accept the new rate or to repay the loan at no additional cost. £14.000m of these LOBO loans have options during the year, none have been exercised by the lender. The Council acknowledges there is an element of refinancing risk even though in the current interest rate environment lenders are unlikely to exercise their options.

In June Barclays Bank informed the Authority of its decision to cancel all the embedded options within standard LOBO loans. This effectively converts £15m of the Authority's Barclays LOBO loans to fixed rate loans removing the uncertainty on both interest cost and maturity date. This waiver has been done by 'deed poll'; it is irreversible and transferable by Barclays to any new lender.

3.7 Housing Revenue Account (HRA) Treasury Management Strategy

From 1 April 2002, the Council's HRA was allocated a separate debt portfolio based on the appropriate proportion of the Councils existing debt at that time. As a result of existing debt maturing, and not being replaced, the HRA accumulates an internal borrowing position. The interest payable in 2016/17 is expected to be £12.232m at an average rate of 4.33%. This includes £37.161m of fixed rate internal borrowing on a maturity loan basis for 30 years.

3.8 Investments

The Council has held significant investment balances over the last few years, representing income received in advance of expenditure plus balances and reserves held. Cash flow forecasts indicated that during 2016/17 the Council's investment balances would range between £40m and £110m.

The average cash balances were £84.5m during the half year. The overall average rate of interest generated on investments in the 6 months to 30 September was 0.74% against a benchmark of 0.37% (Average 7-day LIBID).

The UK Bank Rate had been maintained at 0.5% since March 2009 until August 2016, when it was cut to 0.25%. It is possible this may fall further towards zero but is not likely to go negative. Short-term money market rates have remained at relatively low levels

(see Table 1 in Appendix B). Following the reduction in Bank Rate, rates for very short-dated periods (overnight – 1 month) fell to between 0.1% and 0.2%.

As the majority of the Authority's surplus cash continues to be invested in short-dated money market instruments, it will most likely result in a fall in investment income over the year. Table 3 below summarises investment activity in 2016/17.

TABLE 3 - Investment Activity in 2016/17

Investments	Balance on 01/04/2016 £m	Balance on 30/09/2016 £m	Avg Rate/Yield (%) Avg days to maturity
Short term Investments (call accounts, deposits)			
- Banks and Building Societies with ratings of A- or higher	25.0	15.0	0.67% / 94
- Local Authorities	10.0	10.0	1.40% / 171
Long term Investments	0.0	0.0	N/A
UK Government:			
- Treasury Bills	0.0	15.0	0.47% / 36
Money Market Funds	47.2	20.4	0.36% / 1
Other Pooled Funds			
- Cash Plus funds (<i>VNAV fund</i>)	10.0	0.0	N/A
TOTAL INVESTMENTS *	80.4	60.4	0.64% / 61
- Increase/ (Decrease) in Investments £m		(20.0)	

Note: * excludes remaining balance held in Icelandic ISK Escrow account

The £20.0m decrease in balances is a reflection of the overall strategy to reduce credit risk exposure by reducing investment balances to fund the capital programme and the repaying of maturing debt.

Security of capital has remained the Council's main investment objective. This has been maintained by following the Council's counterparty policy as set out in its Treasury Management Strategy Statement for 2016/17.

The Guidance on Local Government Investments in England gives priority to security and liquidity and the Council's aim is to achieve a yield commensurate with these principles.

Counterparty credit quality was assessed and monitored with reference to credit ratings (the Council's minimum long-term counterparty rating is A- across rating agencies Fitch, S&P and Moody's); credit default swap prices, financial statements, information on potential government support and reports in the quality financial press.

Appendix A provides details of the Council's external investments at 30 September 2016, analysed between investment type and individual counterparties showing the current Fitch long-term credit rating.

3.9 Credit Risk

Counterparty credit quality as measured by credit ratings is summarised below:

Date	Value Weighted Average – Credit Risk Score	Value Weighted Average – Credit Rating	Time Weighted Average – Credit Risk Score	Time Weighted Average – Credit Rating
31/12/2015	3.48	AA	3.55	AA-
31/03/2016	4.26	AA-	3.48	AA
30/06/2016	3.83	AA-	3.52	AA-
30/09/2016	4.05	AA-	3.90	AA-

Scoring:

- Value weighted average reflects the credit quality of investments according to the size of the deposit
- Time weighted average reflects the credit quality of investments according to the maturity of the deposit
- AAA = highest credit quality = 1
- D = lowest credit quality = 26
- Aim = A- or higher credit rating, with a score of 7 or lower, to reflect current investment approach with main focus on security

3.10 Counterparty Update

Various indicators of credit risk reacted negatively to the result of the referendum on the UK's membership of the European Union. UK bank credit default swaps saw a modest rise but bank share prices fell sharply, on average by 20%, with UK-focused banks experiencing the largest falls. Non-UK bank share prices were not immune although the fall in their share prices was less pronounced.

Fitch downgraded the UK's sovereign rating by one notch to AA from AA+, and Standard & Poor's downgraded its corresponding rating by two notches to AA from AAA. Fitch, S&P and Moody's have a negative outlook on the UK.

Moody's affirmed the ratings of nine UK banks and building societies but revised the outlook to negative for those that it perceived to be exposed to a more challenging operating environment arising from the 'leave' outcome.

There was no immediate change to Arlingclose's credit advice on UK banks and building societies as a result of the referendum result. Our advisor believes there is a risk that the uncertainty over the UK's future trading prospects will bring forward the timing of the next UK recession.

The European Banking Authority released the results of its 2016 round of stress tests on the single market's 51 largest banks after markets closed on Friday 29th July. The stress tests gave a rather limited insight into how large banks might fare under a particular economic scenario. No bank was said to have failed the tests. The Royal Bank of Scotland made headline news as one of the worst performers as its ratios fell

by some of the largest amounts, but from a relatively high base. Barclays Bank and Deutsche Bank ended the test with Common Equity Tier 1 (CET1) ratios below the 8% threshold, and would be required to raise more capital should the stressed scenario be realised. The tests support our cautious approach on these banks.

3.11 Icelandic Bank deposits – update

The administrators for the recovery of Glitnir Bank deposits (£11m) have made repayment to all priority creditors, including the City Council, in full settlement of the accepted claims. However, approximately 21% (£2.3m) of this sum has been paid in ISK. Because of ongoing currency restrictions in Iceland, this sum is currently retained in an interest-bearing account with the Central Bank of Iceland, pending resolution of the currency release issues.

No other payments have been received up to 30 September 2016.

3.12 Compliance with Prudential Indicators

The Council confirms compliance with its Prudential Indicators for 2016/17 set on 7 March 2016 as part of the Council’s Treasury Management Strategy Statement.

The Council measures and manages its exposures to treasury management risks using the following indicators.

Interest Rate Exposures: This indicator is set to control the Council’s exposure to interest rate risk. The limits on net fixed and variable rate interest rate exposures are:

	2016/17 £m	2017/18 £m	2018/19 £m
Upper limit on fixed interest rate exposure	800	800	800
Actual	627		
Upper limit on variable interest rate exposure	250	250	250
Actual	3		

Maturity Structure of Borrowing: This indicator is set to control the Council’s exposure to refinancing risk. The upper and lower limits on the maturity structure of fixed rate borrowing will be:

	Lower	Upper	Actual
Under 12 months	0%	25%	5%
12 months and within 24 months	0%	25%	2%
24 months and within 5 years	0%	25%	16%
5 years and within 10 years	0%	50%	17%
10 years and within 25 years	0%	50%	29%
25 years and within 40 years	0%	25%	23%
40 years and above	0%	75%	8%

Principal Sums Invested for Periods Longer than 364 days: The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the total principal sum invested to final maturities beyond the period end will be:

	2016/17 £m	2017/18 £m	2018/19 £m
Limit on principal invested beyond year end	50	50	50
Actual	0		

Operational Boundary and Authorised Limit for External Debt: The operational boundary is based on the Council's estimate of most likely, i.e. prudent, but not worst case scenario for external debt. The authorised limit is the affordable borrowing limit determined in compliance with the Local Government Act 2003. It is the maximum amount of debt that the Council can legally owe. The authorised limit provides headroom over and above the operational boundary for unusual cash movements.

	2015/16 (max in year £m)	2016/17 (max to date £m)
Total Debt including PFI	926.7	929.7
Operational Boundary	1,030.5	1,041.2
Authorised Limit	1,050.5	1,081.2

3.13 Adoption of the CIPFA Treasury Management Code

The Council adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2011 Edition* in March 2012.

3.14 Outlook for Q3 and Q4 2016/17

The economic outlook for the UK has immeasurably altered following the vote to leave the EU. The long-term position of the UK economy will be largely dependent on the agreements the government is able to secure with the EU, particularly with regard to Single Market access.

The short to medium-term outlook has been more downbeat due to the uncertainty generated by the result and the forthcoming negotiations. Economic and political uncertainty will likely dampen or delay investment intentions, prompting lower activity levels and potentially a rise in unemployment. The downward trend in growth apparent on the run up to the referendum may continue through the second half of 2016, although some economic data has held up better than was initially expected, perhaps suggesting a less severe slowdown than feared.

Arlingclose's central case is for Bank Rate to remain at 0.25%, but there is a 40% possibility of a drop to close to zero, with a small chance of a reduction below zero. Gilt yields are forecast to be broadly flat from current levels, albeit experiencing short-term volatility.

In addition, Arlingclose believes that the Government and the Bank of England have both the tools and the willingness to use them to prevent market-wide problems leading to bank insolvencies. The cautious approach to credit advice means that the banks currently on the Authority's counterparty list have sufficient equity buffers to deal with any localised problems in the short term.

3.15 General Fund Revenue Implications

Treasury management payments comprise interest charges and receipts and provision for repayment of debt. A proportion of the City Council's debt relates to capital expenditure on council housing and this is charged to the HRA. The remaining costs are included within the treasury management section of the General Fund budget. The General Fund Treasury Management budget is £45.206m for 2016/17.

An estimated outturn for 2016/17 is included in the quarter 2 revenue monitoring report on the 22 November 2016 Executive Board agenda. The budget for 2017/18 will be submitted with the 2017/18 treasury management strategy, in February 2017.

3.16 Risk management

Risk management plays a fundamental role in treasury activities, due to the value and nature of transactions involved. The management of specific treasury management risks is set out in the Manual of Treasury Management Practices and Procedures and a risk register is prepared for the treasury function.

The key Strategic Risk relating to treasury management is SR17 'Failure to protect the Council's investments'. The rating for this risk at 30 September 2016 was Likelihood = unlikely, Impact = moderate which represents the same risk assessment as at 31 March 2016. The Treasury Management working group continue to manage this risk and take appropriate actions as required.

4 BACKGROUND PAPERS OTHER THAN PUBLISHED WORKS OR THOSE DISCLOSING EXEMPT OR CONFIDENTIAL INFORMATION

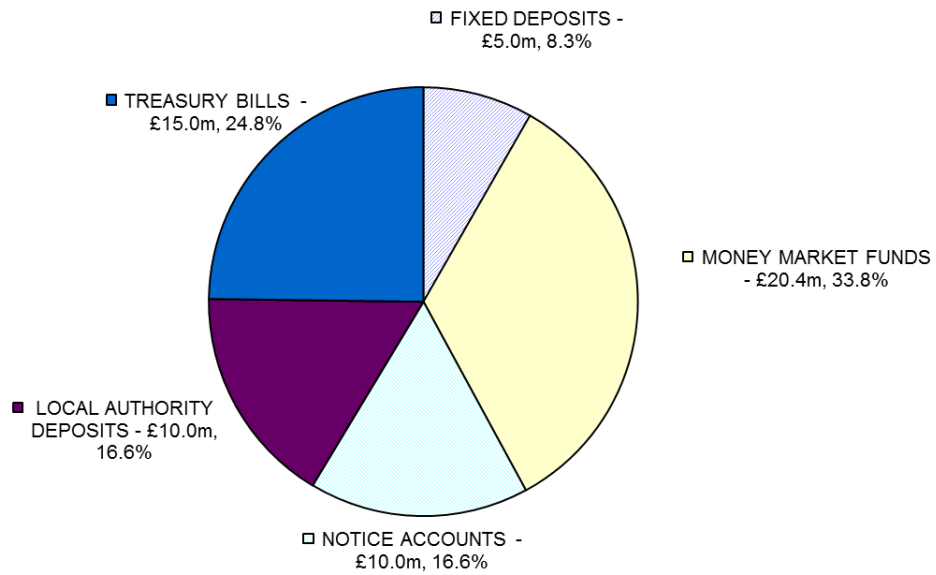
4.1 None.

5 PUBLISHED DOCUMENTS REFERRED TO IN COMPILING THIS REPORT

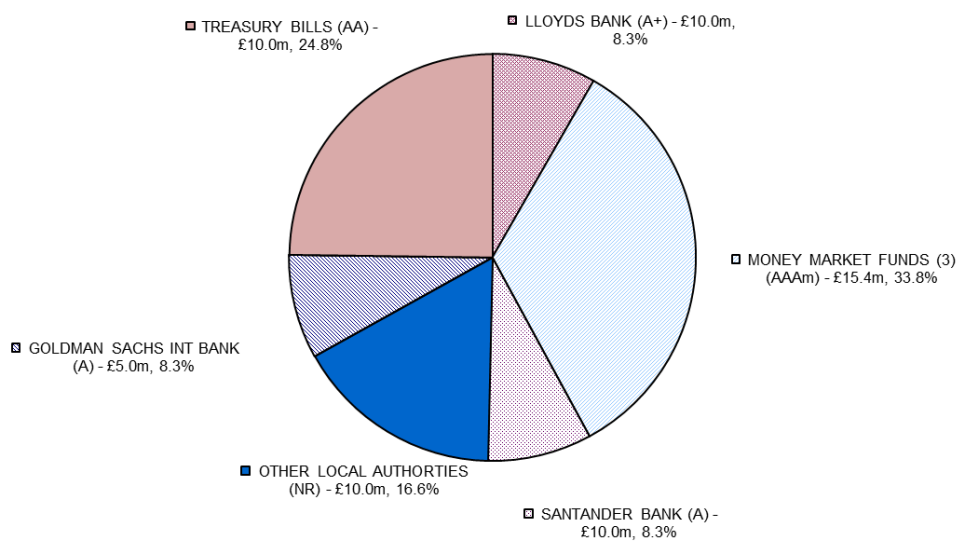
5.1 Treasury Management in the Public Services, Code of Practice 2011 – CIPFA

CIPFA statistics, Bloomberg sourced Money Market rates and PWLB loan rates 2016/17.

Type of Investments as at 30 September 2016



Investment and Fitch credit long-term rating as at 30 September 2016





Investment Benchmarking

30 September 2016

Nottingham
21 English Unitaries Average
138 LAs Average

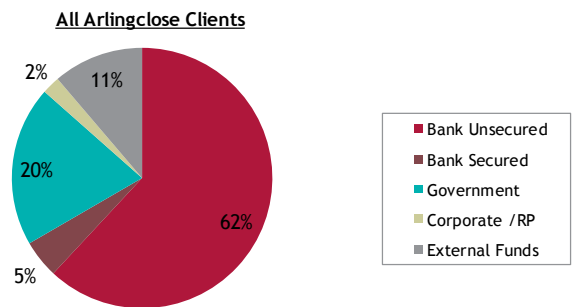
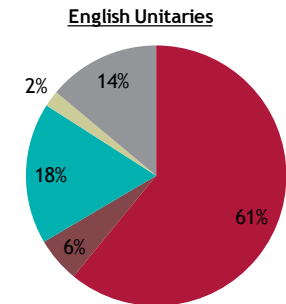
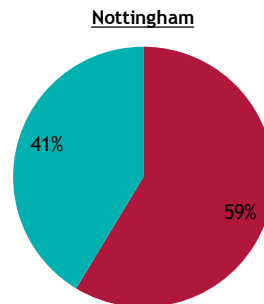
Internal Investments	£60.4m	£62.9m	£64.4m
External Funds	£0.0m	£9.1m	£7.4m
TOTAL INVESTMENTS	£60.4m	£72.2m	£71.8m

Security			
Average Credit Score	4.05	4.16	4.29
Average Credit Rating	AA-	AA-	AA-
Average Credit Score (time-weighted)	3.90	3.77	4.03
Average Credit Rating (time-weighted)	AA-	AA-	AA-
Number of Counterparties / Funds	8	16	16
Proportion Exposed to Bail-in	59%	67%	66%

Liquidity			
Proportion Available within 7 days	34%	44%	42%
Proportion Available within 100 days	83%	67%	68%
Average Days to Maturity	61	103	54

Market Risks			
Average Days to Next Rate Reset	77	106	76
External Fund Volatility	0.1%	1.8%	3.1%

Yield			
Internal Investment Return	0.64%	0.56%	0.60%
External Funds - Total Return		1.32%	1.98%
Total Investments - Total Return	0.64%	0.77%	0.86%



- Bank Unsecured
- Bank Secured
- Government
- Corporate / RP
- External Funds

Notes

- Unless otherwise stated, all measures relate to internally managed investments only, i.e. excluding external pooled funds.
- Averages within a portfolio are weighted by size of investment, but averages across authorities are not weighted.

Money Market Data and PWLB Rates

The average, low and high rates correspond to the rates during the financial year rather than those in the tables below.

Please note that the PWLB rates below are Standard Rates. Authorities eligible for the Certainty Rate can borrow at a 0.20% reduction.

Table 1: Bank Rate, Money Market Rates

Date	Bank Rate	O/N LIBID	7-day LIBID	1-month	3-month	6-month	12-month	2-yr SWAP	3-yr SWAP	5-yr SWAP
				LIBID	LIBID	LIBID	LIBID	Bid	Bid	Bid
01/04/2016	0.5	0.36	0.36	0.39	0.46	0.61	0.88	0.78	0.83	0.98
30/04/2016	0.5	0.36	0.36	0.38	0.47	0.62	0.9	0.86	0.95	1.13
31/05/2016	0.5	0.35	0.37	0.39	0.46	0.61	0.89	0.82	0.92	1.09
30/06/2016	0.5	0.35	0.36	0.39	0.43	0.55	0.8	0.49	0.49	0.6
31/07/2016	0.5	0.15	0.45	0.42	0.52	0.64	0.77	0.47	0.47	0.54
31/08/2016	0.25	0.11	0.18	0.18	0.38	0.54	0.69	0.42	0.42	0.48
30/09/2016	0.25	0.1	0.25	0.45	0.51	0.61	0.74	0.43	0.42	0.47
Minimum	0.25	0.02	0.15	0.18	0.3	0.5	0.66	0.38	0.37	0.42
Average	0.43	0.26	0.37	0.42	0.52	0.66	0.83	0.61	0.64	0.75
Maximum	0.5	0.43	0.55	0.61	0.72	0.83	1.04	0.88	0.99	1.2
Spread	0.25	0.41	0.4	0.43	0.42	0.33	0.38	0.51	0.62	0.78

Table 2: PWLB Borrowing Rates – Fixed Rate, Maturity Loans

Change Date	Notice No	1 year	4½-5 yrs	9½-10 yrs	19½-20 yrs	29½-30 yrs	39½-40 yrs	49½-50 yrs
01/04/2016	125/16	1.33	1.82	2.51	3.24	3.33	3.19	3.15
30/04/2016	165/16	1.37	1.95	2.65	3.34	3.4	3.25	3.21
31/05/2016	205/16	1.36	1.93	2.56	3.22	3.27	3.11	3.07
30/06/2016	249/16	1.17	1.48	2.09	2.79	2.82	2.61	2.57
31/07/2016	292/16	1.07	1.31	1.84	2.57	2.65	2.48	2.44
31/08/2016	336/16	1.09	1.23	1.65	2.22	2.29	2.12	2.08
30/09/2016	380/16	1.02	1.2	1.7	2.34	2.43	2.29	2.27
	Low	1.01	1.15	1.62	2.2	2.27	2.1	2.07
	Average	1.2	1.54	2.12	2.81	2.87	2.7	2.67
	High	1.4	2	2.71	3.4	3.46	3.31	3.28

Table 3: PWLB Borrowing Rates – Fixed Rate, Equal Instalment of Principal (EIP) Loans

Change Date	Notice No	4½-5 yrs	9½-10 yrs	19½-20 yrs	29½-30 yrs	39½-40 yrs	49½-50 yrs
01/04/2016	125/16	1.5	1.86	2.54	2.99	3.25	3.34
30/04/2016	165/16	1.59	1.99	2.68	3.11	3.34	3.42
31/05/2016	205/16	1.58	1.97	2.58	2.99	3.23	3.3
30/06/2016	249/16	1.24	1.51	2.11	2.55	2.79	2.86
31/07/2016	292/16	1.13	1.34	1.87	2.31	2.58	2.67
31/08/2016	336/16	1.12	1.25	1.67	2.02	2.23	2.31
30/09/2016	380/16	1.05	1.22	1.72	2.13	2.36	2.44
	Low	1.03	1.17	1.64	2	2.2	2.28
	Average	1.3	1.57	2.15	2.58	2.82	2.89
	High	1.63	2.04	2.73	3.17	3.41	3.48

Table 4: PWLB Variable Rates

	1-M Rate	3-M Rate	6-M Rate	1-M Rate	3-M Rate	6-M Rate
	Pre-CSR	Pre-CSR	Pre-CSR	Post-CSR	Post-CSR	Post-CSR
01/04/2016	0.61	0.65	0.67	1.51	1.55	1.57
30/04/2016	0.61	0.65	0.67	1.51	1.55	1.57
31/05/2016	0.65	0.66	0.7	1.55	1.56	1.6
30/06/2016	0.64	0.62	0.62	1.54	1.52	1.52
31/07/2016	0.55	0.48	0.45	1.45	1.38	1.35
31/08/2016	0.38	0.41	0.48	2.18	1.31	1.38
30/09/2016	0.38	0.4	0.48	1.28	1.3	1.38

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