



Haverling

L O N D O N B O R O U G H

ADJUDICATION AND REVIEW SUB COMMITTEE AGENDA

7.30 pm	Wednesday 26 October 2011	Town Hall Main Road Romford
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Members 11: Quorum 4

COUNCILLORS:

**Conservative Group
(6)**

**Residents' Group
(2)**

**Labour Group
(1)**

**Independent
Residents' Group
(1)**

Osman Dervish
(Chairman)

Barbara Matthews
(Vice-Chair)

Denis O'Flynn

Michael Deon Burton

Frederick Thompson
(Vice-Chair)

John Mylod

Robert Benham

Eric Munday

Barry Oddy

Linda Trew

**Ian Buckmaster
Committee Administration & Member Support Manager**

**For information about the meeting please contact:
Grant Soderberg 01708 433091
grant.soderberg@haverling.gov.uk**

AGENDA ITEMS

1 CHAIRMAN'S ANNOUNCEMENTS

The Chairman will announce details of the arrangements in case of fire or other events that might require the meeting room or building's evacuation.

2 APOLOGIES FOR ABSENCE & SUBSTITUTE MEMBERS

(if any) – receive.

3 DECLARATIONS OF INTERESTS

Members are invited to declare any interests in any of the items on the agenda at this point of the meeting. Members may still declare an interest in an item at any time prior to the consideration of the matter.

4 MINUTES (Pages 1 - 4)

The Minutes of the meeting of the Adjudication and Review **Committee** held on 27 April 2011 are provided here for information of Members as they were signed by the Chairman of the Governance Committee at its meeting held on 2 June 2011.

5 ADULT SOCIAL CARE ANNUAL COMPLAINTS, COMMENTS AND COMPLIMENTS REPORT 2010 - 2011 (Pages 5 - 22)

Members are invited to note the contents of this report which was presented to the Individuals Overview & Scrutiny Committee on 19 July

6 SOCIAL CARE AND LEARNING (CHILDREN AND YOUNG PEOPLE'S SERVICES) ANNUAL COMPLAINTS AND COMPLIMENTS REPORT 2010 / 11 (Pages 23 - 36)

Members are invited to note the contents of this report which is to be presented to the Children's Overview & Scrutiny Committee in November.

7 CRM DEVELOPMENT

An oral update concerning the progress so far in the development and use of the new CRM system by the CRM Programme Manager.

8 CRM STATISTICAL UPDATE (Pages 37 - 72)

Appended are screen-shots of spread-sheets from CRM statistics covering April – August. If available, the statistics for September will be presented at the meeting.

9 THE LOCAL GOVERNMENT OMBUDSMAN - ANNUAL LETTER 2010 - 2011 (Pages 73 - 82)

Attached with Briefing.

10 LOCAL GOVERNMENT OMBUDSMAN - STATISTICS 1 APRIL - 30 SEPTEMBER 2011 (Pages 83 - 88)

Attached.

11 URGENT BUSINESS

To consider any other item in respect of which the Chairman is of the opinion, by reason of special circumstances which shall be specified in the minutes, that the item should be considered at the meeting as a matter of urgency.

**Ian Buckmaster
Committee Administration
& Member Support Manager**

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Agenda Item 4

MINUTES OF A MEETING OF THE ADJUDICATION AND REVIEW COMMITTEE Wednesday 27 April 2011 (7.30pm – 8.30pm) At Havering Town Hall

Present:

COUNCILLORS:

Conservative Group Dennis Bull (Chairman), Sandra Binion, Garry Pain, Barry Oddy and Peter Gardner

Residents' Group June Alexander and John Mylod

Independent Residents' Group Michael Deon Burton

Labour Group

Councillor Keith Wells was also present at the invitation of the Chairman

All decisions were reached without dissent.

18 MINUTES

The Minutes of the Meeting held on 18 January 2011 were agreed and signed by the Chairman. There were no matters arising.

19 NEW CRM (CUSTOMER RELATIONSHIP MANAGEMENT) SYSTEM & CUSTOMER COMPLAINTS

A further presentation was given to Members by the CRM Project Manager and the Program Manager tasked with replacing the existing Oracle based CRM system with a Microsoft Dynamic version that would interface with Outlook, the council-wide applications software to inform them as to the current position of the installation of the new system and when it would start.

Members remained enthusiastic about the scope of the system, its flexibility and apparent user-friendliness. Questions were asked to ascertain the system's operating capacity and Members were provided with encouraging predictions. Members particularly liked the idea that the new system was not only easier to access, but that the way it was constructed meant that many enquiries – from different services – could be made and that the records would be updated in real-time, making them far more useful than the current static format.

The new system had been scheduled to go live at the beginning of April, but during testing, some anomalies had come to light which were being rectified. The Committee was informed that the revisions were undergoing testing and the system should be going live during May.

20 CRM (STATISTICAL UPDATE)

The CRM Program Manager presented the CRM statistics for the previous three months. A Member observed that there had been a sharp increase in complaints raised against Culture & Community in March and was reminded that the old Revenues and Benefits Service had been transferred there from the Finance & Commerce directorate and that the period was in fact the one in which the Council Tax bills would have been sent out; hence the rise in complaints (even though there had been no change in CT from the previous year).

Another Member asked about the management of complaints against Homes in Havering (HiH) through CRM and was reminded that HiH was not part of either the existing CRM system or the new version, though it was hoped that this could be changed at some point in the future.

The oral report was **noted**.

21 LOCAL GOVERNMENT OMBUDSMAN – STATISTICAL UPDATE: 1 January to 31 March 2011

The clerk drew the Committee's attention to the charts appended to the agenda and asked whether there were any questions about them. As there were none, he asked Members to note in particular that Culture and Community (the most outward looking directorate) had over 50% of the Ombudsman's activity; that almost half of the contacts were premature complaints which filtered into the Corporate complaints process – though he reminded Members that several of those went on to become investigations.

In addition, during the past year, Romford Town and Gooshays wards had produced the highest number of complaints with 14 apiece. Whilst Homes in Havering had accounted for 24% of all complaints, Housing and Public Protection and Development and Building Control each returned 16% which was in line with national averages.

The oral report was **noted**.

22 LOCAL GOVERNMENT OMBUDSMAN – OVERVIEW OF LAST YEAR (2010/11)

The clerk presented a briefing to the Committee in which Members were informed of changes and developments emanating from the Ombudsman's office during the past year. Members were informed that the biggest changes were just coming into force and involved the greater involvement of the Ombudsman in Social Care coupled with a change in computer software and the current interregnum after the retirement of Tony Redmond. The clerk said that currently a replacement was not yet in place but that his region was being administered by Jane Martin (one of the remaining two local government Ombudsmen).

The clerk also warned the Committee that further changes were being contemplated with new powers being granted to the Ombudsman (such as the alarming change in the status of the Ombudsman's decisions which are expected to soon be given the force of law. A further area to be kept in mind was that concerning social housing. The Local Government Ombudsman was already in negotiations with his opposite number in Social Housing to hand over some jurisdiction as and when the necessary legislation was in place. The clerk reminded Members that if and when that happened, housing complaints could become rather less straight-forward than they were at present as there could be two Ombudsmen involved with one tenant's complaint if it crossed the boundary between repairs and maintenance and tenancy issues.

Members **noted** the briefing and asked the clerk to keep them informed of future developments.

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ADJUDICATION & REVIEW SUB-COMMITTEE

REPORT

26 October 2011

Subject Heading:

ADULT SOCIAL CARE COMPLAINTS,
COMMENTS AND COMPLIMENTS
ANNUAL REPORT 2010-2011

CMT Lead:

Andrew Ireland

Report Author and contact details:

Veronica Webb
Mercury House, Mercury Gardens
Romford RM1 3SL
Tel: 01708 432589
e-mail: veronica.webb@havering.gov.uk

Policy context:

Adult Social Care Statutory Complaints
Policy & Procedures

Financial summary:

There are no specific financial
implications, as costs are contained within
the Adult Social Care budget.

The subject matter of this report deals with the following Council Objectives

Clean, safe and green borough	<input type="checkbox"/>
Excellence in education and learning	<input type="checkbox"/>
Opportunities for all through economic, social and cultural activity	<input type="checkbox"/>
Value and enhance the life of every individual	<input checked="" type="checkbox"/>
High customer satisfaction and a stable council tax	<input checked="" type="checkbox"/>

SUMMARY

This report was presented to the Individuals Overview & Scrutiny Committee on the 19 July 2011, and is attached for Adjudication and Review Members to note.

RECOMMENDATIONS

That Members note the contents of the report presented to Individuals Overview & Scrutiny Committee on 19 July 2011.

REPORT DETAIL

The attached report outlines the complaints received within Adult Social Care during the period April 2010 to March 2011. It shows the types of complaints; number of complaints, giving a breakdown of the teams receiving complaints; response times; who complained in terms of age, ethnicity, gender and faith and the reasons for complaint. The report also outlines the compliments received during this period, as well as outlining the service improvements made as a result of complaints.

IMPLICATIONS AND RISKS

Financial implications and risks:

There are none associated with this cover report.

Legal implications and risks:

There are none associated with this cover report.

Human Resources implications and risks:

There are none associated with this cover report.

Equalities implications and risks:

There are none associated with this cover report.

BACKGROUND PAPERS

1. Individuals Overview & Scrutiny Committee report 19 July 2011
2. Annual Report 2010-2011 Adult Social Care Complaints, Comments and Compliments



Havering
LONDON BOROUGH

ANNUAL REPORT 2010-2011

ADULT SOCIAL CARE

Complaints, Comments And Compliments

**Prepared for: Director of Social Care & Learning
Andrew Ireland**

**Assistant Director Transformation (Commissioning)
Joe Coogan**

**Head of Adult Social Care
David Cooper**

**Prepared by: Veronica Webb
Senior Complaints & Information Officer**

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

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ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

1. Executive Summary

There has been a major restructure within Adult Social Care with changes across all service areas, which came into effect from 1 April 2011. Adult complaints merged with Children's complaints, bringing together Information and Communications under one team from 1 March 2011. In that respect there will be changes to the annual report for next year, with a joint report covering both Children's and Adults.

It is noted that there has been a decrease in the number of complaints from last year. This will need to be explored and revisited in terms of publicity, training and accessibility.

This year again External Homecare and External Nursing/Residential Homes have the highest number of complaints. The overall number of complaints continues to decrease, with a decrease in the number of complaints about homecare of 44.8%. However, residential/nursing home complaints have increased by 24.1% from last year.

The report shows that there has been a significant increase in 'quality of service' and 'behaviour of staff' as complaint reasons from last year, which mainly have been attributed to the external provider agencies. Through the Quality and Suspension meetings a number of home care agencies and nursing/residential homes were suspended until standards were brought up to an appropriate level. It was found that where changes in management occurred, this had impacted negatively on the service. The Quality Team and the Complaints Manager work closely with the home care agencies and the residential/nursing homes, providing advice and guidance. In addition the Local Government Ombudsman issued guidance on complaints relating to self-funders, which was circulated to all provider agencies.

The changes to Adult Social Care will help to deliver a new more efficient and effective system of delivering adult social care services. The new system is arranged around four key stages:

- Front Door (Access)
- Reablement (Prevention)
- Assessment, Reassessment, Support Planning and Brokerage (purchasing support and managing budget)
- Review, Quality Assurance, Safeguarding and best use of resources.

The new system involves the creation of an enlarged Front Door team, offering prompt and accurate information, advice and services to people at the first point of contact. There will also be further development of the Reablement Service to widen the offer to more new and existing service users.

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

2. Introduction

Under the National Health Service and Community Care Act 1990 and Children Act 2004, it is a requirement for local authority Adult Social Care and Children's Services to have a system of receiving representations by, or on behalf of, users of those services. Havering Adult Social Care welcomes all feedback, whether this is a comment on improving the service, complaint on what has gone wrong with the service or compliment about how well a service or individual has performed.

Havering has adopted the statutory guidelines for complaints management as outlined by the Department of Health and good practice principles of the Local Government Ombudsman and has encompassed this within its new procedures as follows:

- Informal - where a complaint does not fit into the statutory process; is being dealt with by a provider agency; or is a minor concern which can be dealt with within 5 working days.
- Formal - **Local resolution** – where the complaint is considered low-medium risk aim to respond within 10 working days where possible. Where a complaint is considered medium – high risk aim to respond within 10-20 working days. Where a complaint is considered complex and may require an independent investigation, aim to respond within 25-65 working days. Timescales may vary in agreement with the complainant.

Although there is no longer a Stage 3 Review Panel in the regulations, it has been agreed within Havering to have an option for complaints to be reviewed by a Hearings Panel.

Complainants who remain dissatisfied will have the right to progress to the Local Government Ombudsman.

The time limit for complaints to be made has remained at 12 months.

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

3. Complaints received

3.1 The number of complaints for 2010/11 has dropped by approximately 13% from the previous year and is the lowest number for four years. The Complaints, Information and Communication Team will continue to publicise the complaints processes to service users, to minimise the proportion of any reduction that can be attributed to lack of awareness about the process.

Total Number of Complaints			
2010/11	2009/10	2008/9	2007/8
141	192	217	197

3.2 The table below shows the Ombudsman referrals. The number of Ombudsman referrals is the lowest for four years. 'Ombudsman discretion' is where the Ombudsman decides not to pursue an investigation. 'Case completed not premature' means the local authority has responded to the Ombudsman and the provisional view from the Ombudsman has not yet been received .

	Apr10- Mar11	Apr09 - Mar10	Apr08 - Mar09	Apr07 – Mar08
Local settlement with penalty		3		
No maladministration after investigation		1		
Ombudsman discretion	1	1	2	1
Cases under investigation/ongoing			2	3
Maladministration			1	
Cases completed not premature	1			
Premature				1

3.3 The table overleaf shows the breakdown of complaints for teams, which takes into account complaints that may involve more than one team.

3.3.1 External home care, although receiving the highest number of complaints, as at 31 March 2011 had 1,497 clients receiving home care on average per week, with 12,840 hours being provided. This means that for every 42 clients and for 366 hours of care there is just one complaint. Of those complaints involving external home care agencies, there were six (20.67%) on Individual Service Funds (ISF); two (6.90%) on Direct Payments and two (6.90%) on Personal Budgets. The remainder are from clients continuing to use traditional services.

3.3.2 Across Adult Social Care Teams there has been a slight decrease from last year, for Care Management & Review, Mental Health and Physical Disability Teams, with a slight increase for Learning Disability Team. The number of complaints involving Occupational Therapy has significantly decreased by 48%.

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

	Apr10- Mar11	Apr09- Mar10
Adult Protection Team	1	0
Appointee and Receivership	1	0
Commissioning	3	1
Day centres	2	1
Direct Payments	2	1
External Homecare	35	44
External Nurs/Res	29	22
Havering Direct	11	13
Hospital Discharge Team	16	16
In House Homecare	0	0
LD 62 Western Road	0	0
LD Nason Waters	0	2
LD St Bernards	0	0
LD Team	8	6
MH CMHT Romford	1	0
MH MHAIT Team	0	1
MH Mental Health Provider Team	4	5
Meal on Wheels	2	0
Non Social Services	4	13
OP Care Assessment & Review	17	19
OT Team	16	31
PD Team	2	4
PD Yew Tree Lodge DC	1	2
Reablement	1	1
Royal Jubilee Court	0	1
St Georges ICAT Team	0	4
Transport	3	2
Welfare Rights Unit	0	1

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

3.4 The table below shows the breakdown of complaints by resolution stages. Complaints are again this year being dealt with at an early stage, preventing escalation. It should also be noted that informal complaints also include provider agency complaints. There were two joint health and social care complaints this year.

	Enquiry	Formal	Informal	Joint health and adult social care formal complaint
Adult Protection Team			1	
Appointee and Receivership		1		
Commissioning	1	1		
Day Centres			2	
Direct Payments			2	
External Homecare	1	8	21	
External Nurs/Res	2	8	19	
Havering Direct		4	1	
Hospital Discharge Team		4	9	2
LD Team		4	4	
MH CMHT Romford			1	
MH Mental Health Provider Team		3	1	
Meal on Wheels			2	
Non Social Services	1	1	1	
OP Care Management & Review	2	9	5	
OT Team		5	10	
PD Team			1	
PD Yew Tree Lodge DC	1	1	1	
Reablement Service			1	
Transport	1		2	

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

3.5. The table below shows the reasons for complaints. Complaints about 'Quality of Service' have increased by 96.9% from last year, as well as 'Behaviour of Staff' (81.8%), which will need to be closely monitored. Complaints about 'Level of Service' and 'Need of Service' have also increased from last year. This may be representative by the number of reviews that have taken place over the year resulting in changes in service provision. Adult Social Care is also driving to increase service users' independence where possible. This may involve the withdrawal or reduction of an existing service, where a detailed assessment has found that level of service to be contrary to promoting the service user's independence.

	Access to Information	Behaviour of Staff	Change of Service	Closure of Service	Data protection	Delay in Decision Making	Delay to implement a Service	Dispute decision
Apr10-Mar11	4	22	4	2	1	2	11	16
Apr09-Mar10	3	4	2	0	0	0	2	23
	Eligibility	External to Social Services	Financial Issues	Incorrect Information	Incorrect Invoicing	Incorrect assessment	Lack of Communication	Level of Service
Apr10-Mar11	5	4	14	4	1	5	24	27
Apr09-Mar10	8	4	7	2	0	2	17	7
	Need of Service	Non Delivery of a Service	Quality of Service	Safeguarding Issues	Welfare Concerns			
Apr10-Mar11	27	7	33	3	19			
Apr09-Mar10	15	8	1	1	7			

3.6 The chart below shows the complaint outcomes. Where compensation was offered this was in relation to external providers. As last year, 'Explanation Given' is the main outcome. This reinforces the need to ensure that information is clear, precise and accurate.

	Apology given	Assessment to be carried out	Assistance to find alternative services	Change in Practices	Change in Procedures	Change of Provider	Change of Social Worker
Apr10-Mar11	29	13	4	5	1	1	2
Apr09-Mar10	30	16	3	2		1	0
	Compensation Offered	Complaint Withdrawn	Explanation given	Financial Assistance awarded	Hours increased	Information given	
Apr10-Mar11	2	1	43	0	7	1	
Apr09-Mar10	0	3	58	1	0	0	
	No further action required	Progressed to Formal	Re-Imbursement	Services Reinstated	Training Identified	Other	
Apr10-Mar11	5	0	0	1	1	12	
Apr09-Mar10	5	2	1	0	7	30	

4. Complaint Response Times

Efforts continue to increase performance in meeting response deadlines. There has been a slight improvement from last year on responses between 10-20 days and over 20 days, but improvement is needed on responding within 10 days.

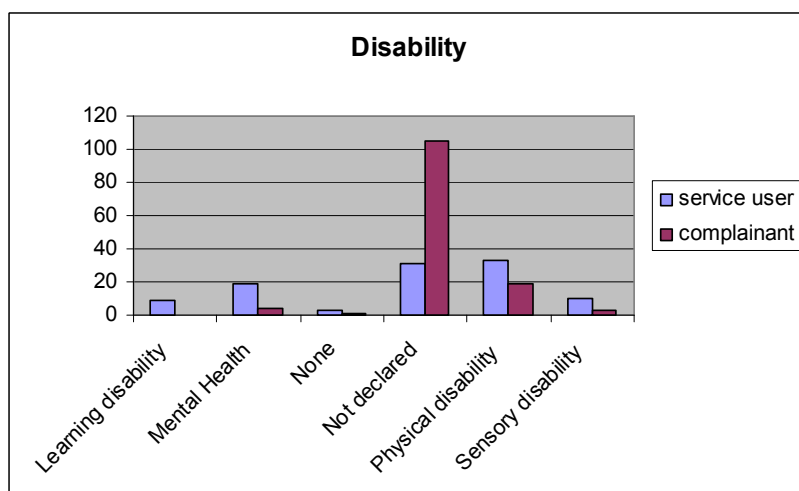
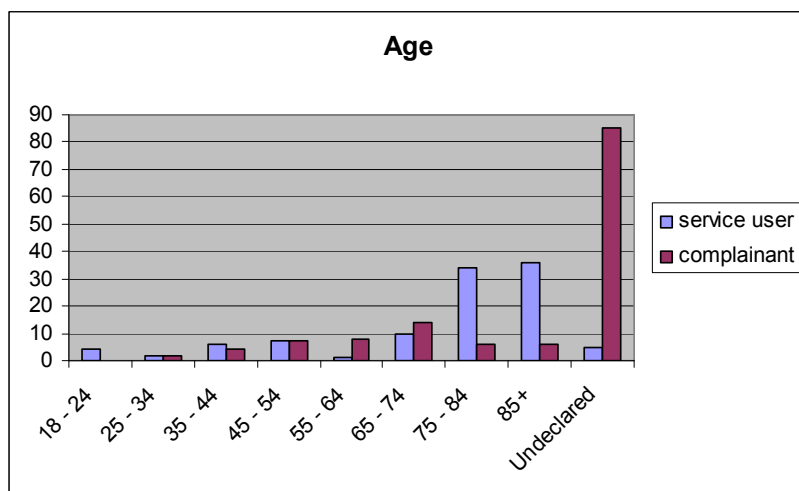
ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

It should be noted that 65% of complaints responded to over 20 days involved external agencies, who operate under different timescales. The Complaints, Information and Communications Team will continue to work with the Quality Team and these providers, to emphasise the importance of responding swiftly and effectively to service users' complaints or enquiries.

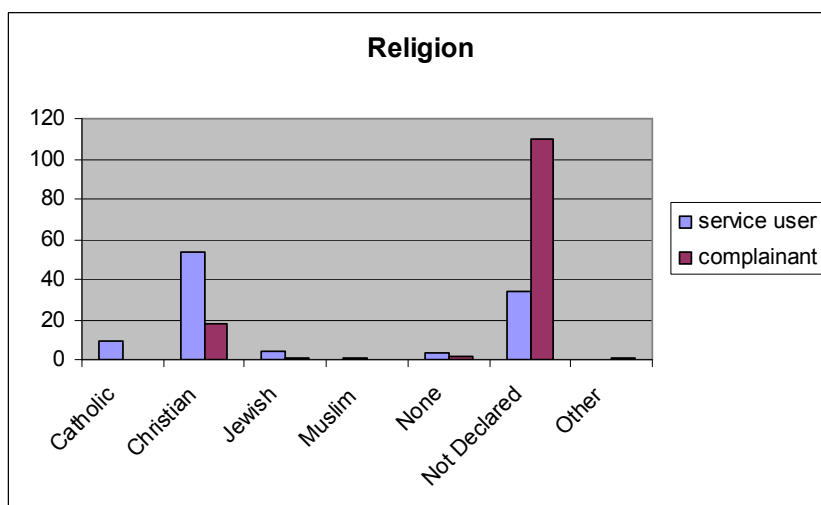
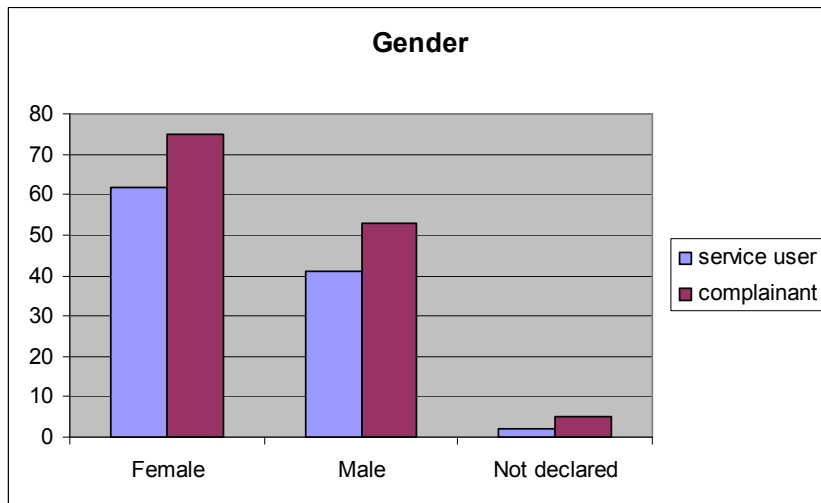
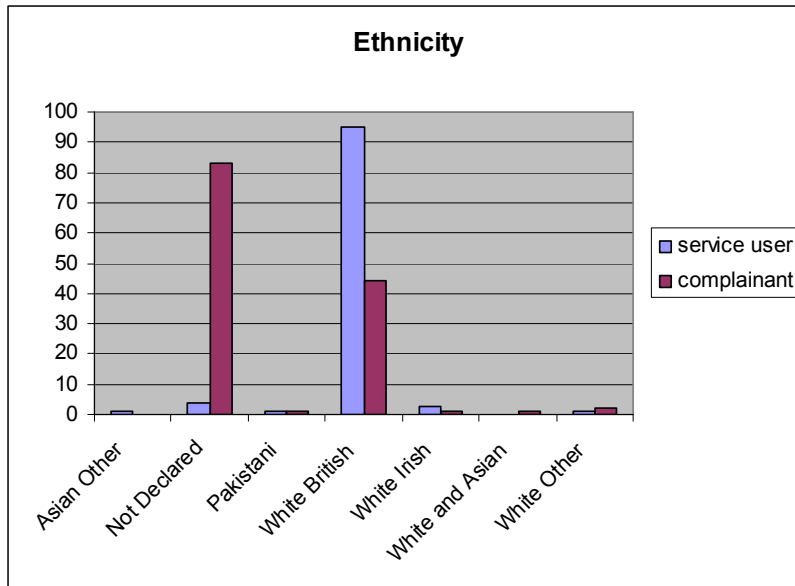
	Within 10 days		10-20 days		Over 20 days	
	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10	Apr10-Mar11	Apr09-Mar10
Informal	50.00%	57.2%	21.95%	17.9%	26.83%	24.8%
Formal	20.41%	22.9%	24.49%	22.9%	46.94%	54.2%

5. Monitoring Information

The following charts show the breakdown of age, disability, ethnicity, gender and religion for service users and complainants. Monitoring information is to be reviewed, focusing on the service user. Complainant's information is not always reliable, i.e. complainant may complete monitoring information as the service user, not themselves.



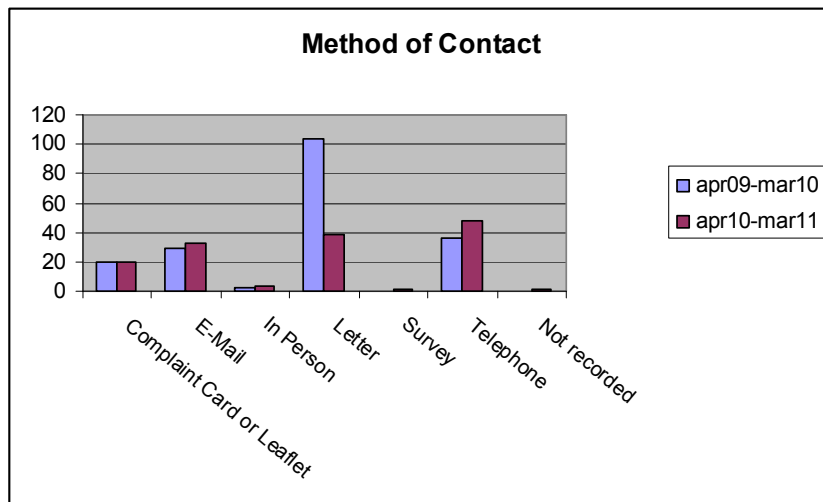
ADULT SOCIAL CARE ANNUAL REPORT 2010-2011



ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

6. How Complainants Contacted Us

There has been a shift from letter to telephone as being the preferred method of contact this year, with also an increase in those preferring to contact us by e-mail.



7. Expenditure

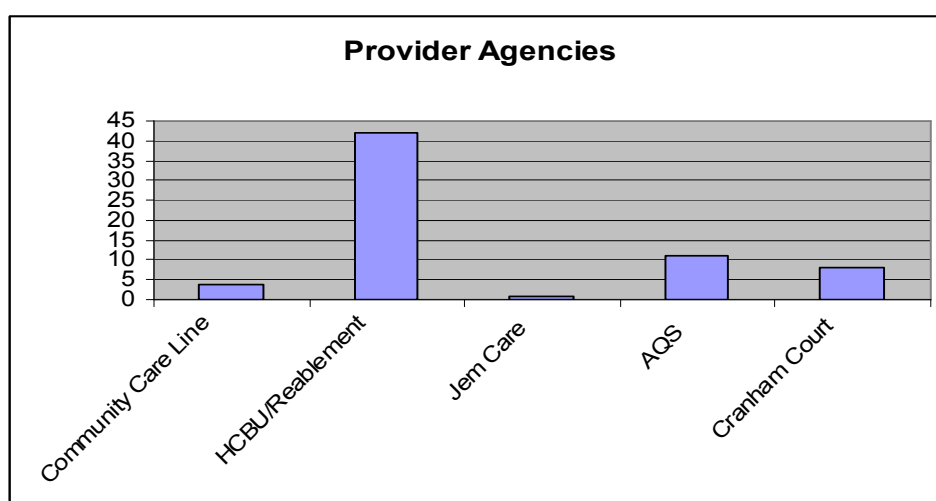
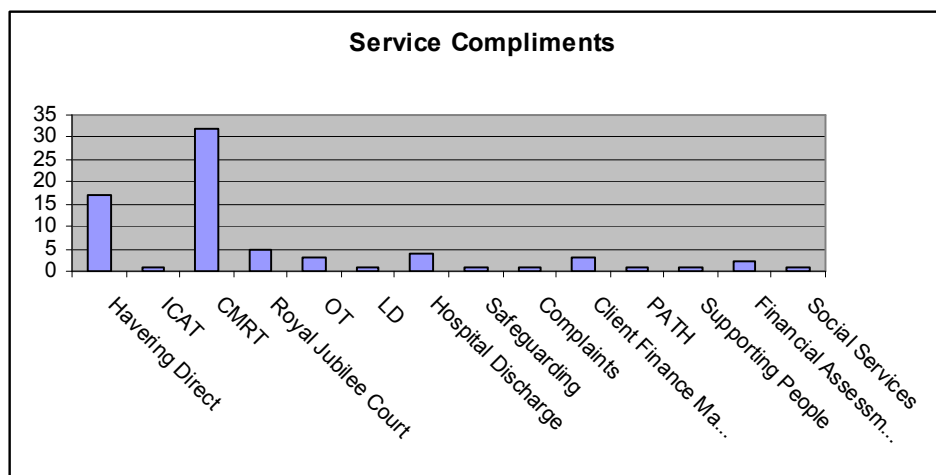
Expenses incurred this year was for the reprinting of the complaints leaflets and contained within the Adult Social Care, Quality & Performance Team budget. With the merging of Children's and Adults Complaints, any future expenses in relation to publicity will be met within the Complaints, Communications & Information Team budget. Expenses incurred for Adult Social Care in relation to independent investigators, reimbursement/compensation will continue to be met through the relevant service area.

	Apr10-Mar11	Apr09-Mar10	Apr08-Mar09
Independent Investigator	0	£1,800	£5,634.14
Ex-gratia/reimbursement	0	£892	£11,024
Publicity material (leaflets)	530.15	£598	£1,598
TOTAL	£530.15	£3,290	18,256.14

8. Compliments

Overleaf is a breakdown of compliments received by teams and provider agencies. With the introduction of satisfaction surveys being used within Care Management & Review Team, their compliments increased significantly. Provider Forums did not take place this year and this may have resulted in the decrease in the number of compliments received from provider agencies.

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Some examples of the types of compliments received are as follows:

'I appreciate the help and support I was given by the Social Services Teams and London Borough of Havering. Without such help, life would have been very difficult.'
(Care Management & Review Team)

A customer praises the prescription method 'It was lovely to go and choose as it made them feel more involved in the process.'
(Occupational Therapy)

'I would like to thank you very very much for all your help with my father's finances.'
(Appointeeship & Receivership)

'I would like to take this opportunity to thank you and your colleagues.. most sincerely for the first-rate service you have provided me.. like to commend my key worker .. for the excellent manner in which he carried out his duties..' (Community Care Line)

'It has been of considerable comfort to my brother and myself to know that they (parents), and we, have had such efficient and caring support....' (Hospital Discharge Team)

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'... has worked 100% and under these difficult times he is a credit to the social services and the learning disabilities team.' (Learning Disability Team)

'The quality of care, facilities, atmosphere, comfort and surroundings are first class.' (Royal Jubilee Court)

..'nurses and carers for mum were so professional, compassionate and so very caring.' I always felt secure knowing she was being well looked after whilst I could not be with her and that she was safe. ..' (Cranham Court Nursing Home)

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

9. Member Enquiries

There have been a total of 67 MP/Councillor enquiries this year for Adult Social Care, with 70% being completed within 10 days and 30% outside 10 days. Although it is recognised that there needs to be improvement to responses outside 10 days, there are two factors that contribute to this. Firstly, a number of those completed outside 10 days have involved external agencies and secondly, the recording on the Customer Relations Management (CRM) system does not take into account the actual response date, but when it is closed on the system. Efforts are underway to address the reasons for delay and how the process can be improved.

10. Conclusion

With the changes across the services within Adult Social Care moving towards a front door approach, the emphasis will be to deal with enquiries, complaints and issues as soon as possible, providing the appropriate support, advice and guidance. The structures were implemented in April 2011, and therefore will need time to be fully embedded. Complaints will play an important role in identifying possible areas for improvement over the next year.

The report has highlighted again the need for clear, accurate, precise and consistent information. The bringing together of Children's and Adult Complaints, Information and Communications functions within one team, will help to achieve this. The developments to the Council website and intranet will also contribute towards improvements in this area.

It will be important to monitor the impact of the new legislation that has given further powers to the Local Government Ombudsman around provider agency complaints and self-funders to see what additional information can be captured through this route.

For the year ahead there needs to be a focus on our new teams to ensure that they are equipped with the training, advice and guidance necessary to ensure that the service provided is of the required standard.

11. Complaints Action Plan

Issues Identified	Lessons Learnt	Action to be taken	Department	Timescale	Review
Information provided to service users inconsistent	Clarity of service provision to be given in a consistent manner at outset	Induction programme for new and existing staff	Quality & Safeguarding	Currently being developed - review October 2010	Induction and training for staff on the transformation agenda has taken place. The induction pages has been improved and being piloted. Additionally an Adult Social Care website is being developed, which will provide high quality and accessible information for both staff and the public in one place.
Disputes on eligibility criteria for Disabled parking days	Written criteria needed at outset to inform service users.	Information letter outlining criteria will be provided at point of contact	Occupational Therapy	To be implemented July 2010 – review October 2010	This was implemented and there has been no further complaints.
Communication between staff and service users is poor	<ul style="list-style-type: none"> requests for change in social worker not acknowledged Process for notifying service users when key staff leave i.e. via e-mail Service users require updates on progress of their cases, e.g. decisions taken at Panel, outcome of assessments etc. 	<ul style="list-style-type: none"> Change in social worker requests to be responded to in writing. E-mail account identifies or is forwarded to designated person and ICT to be notified of termination 1 month after person has left. Electronic/ manual systems to be explored. 	<p>All Service Areas</p> <p>All Service Areas</p> <p>Performance/ Corporate</p>	<p>Currently being implemented across all service areas – review October 2010</p> <p>Ongoing</p>	<ul style="list-style-type: none"> With the changes across all services within Adult Social Care, this will need to be revisited with the new teams. This also will need to be revisited, not only in light of the changes across Adult Social Care, but also with the introduction of Shared Services. As part of the corporate direction to provide customers access to their information, the website is currently being developed/ updated which will be looking to integrate the CRM database. This is at its first phase.

ADULT SOCIAL CARE ANNUAL REPORT 2010-2011

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ADJUDICATION & REVIEW SUB-COMMITTEE

REPORT

26 October 2011

Subject Heading:

Social Care and Learning (Children and Young People's Services) Annual Complaints and Compliments Report 2010/11

CMT Lead:

Andrew Ireland

Report Author and contact details:

Coral Hayden
Complaints, Information & Communication
Team Manager
Tel: 01708 433056

Policy context:

Service Quality and Customer Relationships

Financial summary:

There are no specific financial implications, as costs are contained within the Social Care and Learning (Children and Young People's Services) budget.

SUMMARY

The report provides information about the numbers and types of complaints handled by the Children and Young People's Service during 2010/11 and how they were dealt with to minimise the impact of justifiable concerns and to reduce the likelihood of future complaints. This report has yet to be presented to the Social Care & Learning Overview & Scrutiny Committee which is scheduled for 10 November 2011.

RECOMMENDATIONS

To note the content of the report and the attached appendix 1 that sets out the position for 2010/11.

REPORT DETAIL

1.0 Introduction

The separate Appendix 1 contains the summary report on the position regarding service complaints handled in relation to the Children and Young People's Services during the period 1 April 2010 to 31 March 2011. It also shows the compliments received.

2.0 Key Issues

The reason for reporting complaints on Children and Young People's Services separately is because they are handled under specific regulations that individually define the statutory process into 3 formal stages (Stage 1, 2 and 3). Havering introduced an informal Pre Stage 1 process in 2005 to support a better complaints practice and avoid complaints escalating to statutory processes.

Some of the key messages that arise from the report during 2010/11 are that:

- The overall number of complaints are around 176 (46 matters raised by MP's and Councillors). There has been a significant increase in statutory Stage 1 complaints in comparison to the previous year 2009/10 (table 1 page 7 of appendix 1).
- The Pre Stage 1 process (40) has been very successful in resolving many initial concerns, with both more handled through that process and with none moving from that stage to the formal stage 1 process.
- Matters raised through Councillor or MP routes are monitored through these processes (page 4 of appendix 1, see table 1 on page 7).
- The overall number of Stage 1 complaints has increased from the previous year by 32. The reason being the Children with Disability Team have reviewed service user's packages of care which have led to numerous complaints from parents. There has been an increase in complaints made by the Children's Advocacy Service (page 7 of appendix 1, see table 1 - 4).

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- The number of Stage 1 complaints, that escalated to a Stage 2 complaint had increased in 2010/11 by 6 complex complaints (page 7 - 8 of appendix table 1, 2, 3 and 5).
- There were two Stage 3 complaints for the financial year 2010/11. However one has rolled over to 2011/12 due to the complexity. (pages 7- 8 of appendix 1, see table 1, 2, 3 and 6).
- For 2010/11 7 Compliments were received, these are in relation to the good work Children and Young People's Services have carried out (page 7 & 9 of appendix 1 and table 1 and 7).
- 7 complaints were submitted to the Local Government Ombudsman (LGO). The outcomes from these complaints were: 4 referred back as a premature complaint and investigated locally as a statutory Stage 1 complaint. 1 complaint was investigated by the LGO and no maladministration was found. 1 LGO Discretion – no or insufficient injustice. 1 LGO on going.
- Most complaints are initiated by parents and very few by children and young people.
- The majority of complaints relate to the alleged behaviour of staff or the quality of service.
- A number of future actions have been identified as a result of the Annual Complaints and Compliments Report 2010/11. These are set out on page 7 of the appendix 1. Most are continuous development matters, but with one or two specific new actions. Key is the continuation of a staff training programme.

3.0 Future Arrangements

Currently, the Council has a corporate complaints model that captures non social care complaints, principally education, children services activity. Attached to that are separate regulated processes, for the Children's Social Care and Adult Social Care (inc. health aspects) Service. These complaints systems are statutory and have separate defined and differing regulated processes.

There has been a major restructure within Social Care & Learning Directorate, whereby Children's and Adult complaints have now merged. It is envisaged that the annual report of 2011/12 will include combined data and more effective comparisons about performance in managing and dealing with complaints across all services. Proposals are being considered to bring complaints services within Social Care and Learning (Learning and Achievement, Adult Social Care and Children and Young People's Services) together in the future and as part of that change consideration will be given to how a wider service report can be provided.

IMPLICATIONS AND RISKS

Financial implications and risks:

The Children's Complaints Service has a small annual operational budget of £14,460. That includes the need on occasion to commission Independent People, which is the least predictable cost associated with the service. There are no new financial implications or risks arising from this report.

Legal implications and risks:

There are no apparent legal implications from noting this Report. The complaints process is governed by the Children Act 1989 Representations Procedure (England) Regulations 2006.

Human Resources implications and risks:

There are no new HR implications or risks arising from this report.

Equalities implications and risks:

The report demonstrates that there is a transparent and structured (both informal and formal) route for concerns or complaints, including those relating specifically to matters of equality of treatment, to be registered for review and action where required.

BACKGROUND PAPERS

Appendix 1 attached which draws on the electronic and paper recording systems held within the Social Care and Learning Directorate.



APPENDIX 1

Social Care and Learning: Children and Young People's Services

Annual Report 2010 – 2011 Complaints and Compliments

Prepared for:

Sue Butterworth, Acting Group Director of Children's Services

Kathy Bundred Interim, Head of Children and Young People's Services

Prepared by:

Coral Hayden Complaints, Information & Communication Team Manager

Natalia Nash Complaints & Information Officer

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1. Introduction:

There has been a major restructure within Social Care & Learning Directorate, whereby Children's and Adult complaints have now merged. This will ensure complaints are streamlined and monitored more effectively ensuring prompt responses are met within timescale. This infrastructure has brought together Information Governance and Communications under one team and ensure consistency in every day practice is maintained. It is envisaged that the annual report of 2011/12 will include combined data and more effective comparisons about performance in managing and dealing with complaints across all services. Proposals are being considered to bring complaints services within Social Care and Learning (Learning and Achievement, Adult Social Care and Children and Young People's Services) together in the future and as part of that change consideration will be given to how a wider service report can be provided.

This report covers the complaints, representations and compliments received about children and young people services (C&YPS). It covers complaints made by children or young people. It also applies to parents, foster carers and people in which the local authority consider has an sufficient interest in the child or young person's welfare to warrant his/her representations being considered by them, under the complaints and representations procedures established through the Local Authority Social Services Complaints (England) Regulations 2006.

The report sets out the types of complaints/compliments received and the effectiveness of our services in meeting statutory requirements, including timescales, independence and the processes set out in the regulations.

The requirements (as set out in the Children's Act 2004 and Every Child Matters guidance) that govern the way in which C&YPS social services complaints are recorded and managed mean that they have to be separately recorded from the Council's CRM – Customer Relations Management System. (For further information see "**Getting the Best from Complaints**" web link:-

<https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DFES-2055-2006>

Complaints that relate to Children and Young People's Services that do not fall within the statutory requirements are recorded on the Council's Corporate CRM system.

There are a number of different codes (attributes) which can be used to identify the nature of Children and Young People's Services complaints. Only those that relate to the specific data recorded over the reported year (1 April 2010 – 31 March 2011) are used here. Tables are included at the end of the report.

2. Corporate Complaints:

The Corporate Complaints Procedure has been in existence since September 2008. All service areas complaints/compliments are recorded on the Corporate Customer Relations Management System (CRM) and responded within 10 working days. All complaints outstanding for more than 10 working days are reviewed by the Head of Service. All complaints outstanding for more than 20 working days are reviewed by the Group Director and Chief Executive.

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Due to the Statutory Complaints Procedure, Children and Young People's Services would normally be exempt from the corporate procedures. In 2010/11 there were 18 complaints logged under the Corporate Complaints Procedure, out of them 18 complaints 11 were dealt with as a Corporate Complaint. In the previous year 2009/10 we received 17 and 5 of these complaints were dealt with as a Corporate Complaint. These complainants were not technically eligible to make a complaint under the Statutory Complaints Procedure, but could do so in relation to a service received by Children and Young People's Services.

3. Members Correspondence:

Since February 2010 the Council set up new procedures for dealing with correspondence from MP's and Councillors. These procedures now ensure managers are directly accountable for Members enquiries in their area and set a challenging timetable for responding and dealing with correspondence effectively, 10 working days. All correspondence not dealt with within 20 days is referred to the appropriate Assistant / Group Director and the Chief Executive.

The number of Members correspondence items in 2010/11 was 46 as compared to the previous year 2009/10 when there were 37.

4. Pre Stage 1 Enquiries:

Children and Young People's Services introduced a Pre Stage 1 Enquiry system in 2005 which continues to be a success. Pre Stage 1 Enquiries deal with complainant's issues at an early stage, enabling the services to achieve a quick resolution. Although it is not a statutory requirement to resolve dissatisfaction at Pre Stage 1 this process has been found to be very effective in reaching a speedy resolution to concerns and avoid matters escalating into formal complaints.

The number of enquiries received at Pre Stage 1 from an eligible person in 2010/11 was 49 in comparison with the previous year 2009/10 where there were 45.

The majority of Pre Stage 1 complaints were about the quality of service and level of service.

5. Stage 1 Complaints:

Stage 1	Local Resolution	The complaints procedure requires complaints at stage 1 to be responded to within 10 working days (with an automatic extension to a further ten days where agreed with the complainants).
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From 1 April 2010 to 31 March 2011 the Complaints Section recorded 63 Stage 1 complaints, compared to 31 in the previous year, this is an increase of 100%. The reason being the Children with Disability Team have reviewed service user's packages of care which have led to numerous complaints from parents. There has been an increase in complaints made by the Children's Advocacy Service.

The majority of Stage 1 complaints were about the alleged behaviour of staff and quality of service.

- Out of the 63 Stage 1 complaints there were 14 complaints recorded against the behaviour of staff – 7 were upheld (fully or partially). An example of a complaint

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against behaviour of staff was where a complainant claimed they were dissatisfied with the treatment by the social worker and in particular how the social worker had spoken to them.

- 29 complaints were against quality of service - 15 were upheld (fully or partially). It is evident that many complaints of this type arise because of the nature of the service interventions rather than the way issues are handled.

Of the 63 complaints:

28 were upheld (either fully or partially)

35 were not upheld

During 2010/11 63 complaints were received, 51 complaints were responded to within the 10 working days timescale, 12 complaints were responded to within 20 working days.

The majority of complaints were made by parents. There are a low number of complaints made by children or young people directly. The Children Advocacy Service made 7 complaints on behalf of these young people and 4 complaints were made by young people under the age of 25.

Social work staff and the Action for Children Advocacy Service continue to work to ensure that children and young people have access to the processes that result in their complaints being heard.

6. Stage 2 Complaints:

Stage 2	Formal Investigation (by an Independent Investigating Officer and Independent Person)	The Head of Service adjudicates on the findings. The timescale for investigation is 25 working days, although in certain cases this can be extended to 65 days.
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From 1 April 2010 to 31 March 2011 there were 7 Stage 2 complaints that fell within the Statutory Complaints Process. This being an increase of 6 in comparison to the previous year (2009/10) when there were 1 Stage 2 complaints. Two complaints rolled over into the next financial year 2011/12. These complaints were unable to be resolved at a local level and due to the complexity of the complaints, these remain on going.

7. Stage 3 Review Panels:

Stage 3	Review Panel (managed independently of Children and Young People's Services and conducted by Havering's Democratic Services). The panel consists of an independent Chairperson and two independent members.	The Panel will review the complaint within 30 working days of the complainants request to go to Stage 3. The complainant will receive a letter of finding and recommendations from the chairperson of the panel within 5 working days. The complainant will then be given a copy of the minutes and receive a final response from the Group Director within 15 working days.
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- In 2010/11 there were two Stage 2 complainants that requested to go to a Stage 3. One of the Stage 3 Review Panels took place within timescale.
- The other Review Panel requested to go to Stage 3 and rolled over into the next financial year 2011/12.

The outcomes from these Stage 3 Review Panels were:

- The complainant received a formal apology.

8. Local Government Ombudsman complaints and enquiries.

Complaints made to the Local Government Ombudsman and Decision

There were 7 complaints submitted. Please see the table below which sets out the details/outcomes:

Service Area	Ombudsman Discretion - no or insufficient Injustice	Premature Complaint	Local Settlement with a Penalty	No Investigation	No Maladministration after Investigation	Still Ongoing
Children with Disabilities Team	1	3	0	0	0	0
Looked After Children Team	0	1	0	0	0	0
Psychology Service	0	0	0	0	1	1
TOTAL	1	4	0	0	1	1

9. Compliments:

In 2010/11 7 compliments were received, compared to 22 in 2009/10.

10. Expenditure on Investigation of Complaints:

There are ongoing costs attached to the delivery of an effective complaints service in line with government regulation. The major part of the costs are associated with the staff resource time spent receiving, handling and resolving complaints which include the hidden cost of social work staff. There are thus service and budgetary benefits from reducing complaints. A small budget is held separately to commission Independent People to carry out investigations and determine outcomes at the later stages. Expenditure in 2010/11 for that element was £5,706.00 against a budget £14,460. Compared to the cost in 2009/10 where the cost was £14,000.94 and this amount was due to the quantity of Stage 2 complaint invoices that had rolled over from 2008/09

For 2010/11 the Complaints Section had introduced a new system, whereby we only commission one External Investigating Person and use an Internal Independent Person, who is independent of the service area to investigate Stage 2 complaints.

11. Compensation Payments:

The Council can provide compensation if, after a complaint has been investigated, or as an outcome of a Local Government Ombudsman's investigation (LGO), it is concluded that:

- the Ombudsman finds that there has been maladministration by the Council causing injustice to the complainant; and

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- he would recommend that compensation should therefore be paid to the complainant.

There were no compensation payments paid, nor any LGO payments for 2010/11.

12. Future Actions to Learn and Improve from Complaints:

As a result of the annual review of complaints and compliments:

- There will be continued training/support to new and existing staff.
- The complaints section will continue to work with service teams by monitoring and reviewing the implementation of all recommendations made at Stage 1 and 2.
- Continuation of Satisfaction' survey forms will be distributed to complainants at the closure date of Stage 1. Analysis of the data will be filtered into suggested outcome/s to improve processes.
- Continuation of the internal Service Improvement Report which will examine more closely data in detail around themes, trends and gaps. This report will assist the service and highlight specific areas that need to be improved.
- The Head of Service will continue to monitor the effectiveness of the adjudication meetings with the Independent People on their investigation findings to identify any gaps in service and future needs.
- There will be continued joint working with the Action for Children Advocacy Service, as the organisation supports being the voice of young people.

TABLES RELATING TO 2009/10 COMPLAINTS AND COMPLIMENTS

13. Table 1 – Complaint Activity:

Complaint Stage	2009/10	2010/11
Corporate Complaints	5	18
Members Correspondence (from MP's & Cllrs)	37	46
Pre-Stage 1	45	49
Pre Stage 1 to Stage 1	-	-
Direct Stage 1 Complaints	31	63
Stage 1 escalated to Stage 2	1	6
Direct Stage 2 Complaints	-	1
Stage 2 Withdrawn	-	-
Stage 2 rolled over from 2009/10 into the financial year of 2010/11	-	-
Stage 2 escalated to Stage 3	-	2
Stage 3 Review Panels rolled over from 2009/10	-	-
Local Government Ombudsman	4	7
Compliments	22	7

14. Table 2 – Outcome of Complaints

Stages	Upheld (either fully or partially)	Not upheld	Withdrawn
Pre Stage 1	As this is not a statutory requirement this is not recorded.		
Stage 1	28	38	-
*Stage 2	6	-	-

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**Stage 3	1	-	-
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*A Stage 2 investigation is still ongoing due to the nature of the complaint.

**A Stage 3 review panel is still pending this is due to the complexity.

44% Stage 1 Complaints were upheld (either fully or partially)

56% Stage 1 Complaints were not upheld

15. Table 3 – Response Times of Complaints

	Stage 1	Stage 2	Stage 3
Within 10 Working Days	51	-	-
Within 20 Working Days	12	-	-
Within 25 Working Days	-	-	-
Within 30 Working Days	-	4	
Within 65 Working Days	-	-	-
Outside of Timescale	-	2	1
Withdrawn	-	-	-
Ongoing	-	1	1

16. Table 4 – Stage 1 Complaints – Local Resolution

Stage 1 – How complaints were received:

	TOTAL
Complaint Form	14
E-Mail	17
In Person	3
Letter	20
Telephone	8
Online	1
TOTAL	63

Stage 1 – Nature of complaint:

	TOTAL
Behaviour of Staff	14
Data protection	2
Dispute Decision	8
Incorrect Information	2
Level of Service	5
Quality of Service	29
Lack of Communication	2
Non Delivery of a Service	1
TOTAL	63

17. Table 5 – Stage 2 Complaints – Formal Investigation:

Stage 2 - How complaints were received:

	TOTAL
E-mail	3
Letter	3
Telephone	1
TOTAL	7

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Stage 2 - Nature of Complaint:

	TOTAL
Quality of Service	7
Totals	7

18. Table 6 – Stage 3 – Review Panels:

Stage 3 – How Review Panels were received:

	TOTAL
E-mail	2
TOTAL	2

Stage 3 - Nature of Complaint:

	TOTAL
Quality of Service	2
TOTAL	2

19. Table 7 – Compliments:

Compliments – How Compliments were received:

	TOTAL
Complaint Form	3
E-Mail	3
Letter	1
TOTAL	7

Compliments – Nature of Compliment:

	TOTAL
Help and Support	2
Professional Staff	1
Level of Service	3
Attitude of Staff	1
TOTAL	7

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Agenda Item 8

Corporate Complaints reports April - August 2011.txt

Please find attached reports for Corporate Complaints logged on CRM in April 2011.

Also attached is the monthly stats showing numbers and percentage completed within 10 working days for each Service. The total figures and percentages don't include the 12 that were changed to 'not a complaint'. This number is shown separately.

Complaint performance has increased significantly by 17% compared to March 2011.

There were less complaints logged in April 2011 compared to March 2011 (50 in April and 72 in March). The percentage of complaints completed within 10 working days has increased from 75% in March to 92% in April.

Percentage completed within 10 working days

December 2010 - 92%

January 2011 - 67%

February 2011 - 79%

March 2011 - 75%

April 2011 - 92%

Please find attached reports for Corporate Complaints logged on CRM in May 2011.

Also attached is the monthly stats showing numbers and percentage completed within 10 working days for each Service. The total figures and percentages don't include the 8 that were changed to 'not a complaint'. This number is shown separately.

Complaint performance has decreased significantly from 92% in April to 56% in May.

There was an issue last month with the Oracle CRM system. This stopped all new complaint email notifications going out to Complaint Owners. Staff who registered complaints assumed that the notifications were going out to Complaint Owners. Complaint Owners assumed that there were simply no complaints coming in. Thus the situation remained unnoticed until 22 May. It has since been fixed on the 26th of May.

Percentage completed within 10 working days

January 2011 - 67%

February 2011 - 79%

March 2011 - 75%

April 2011 - 92%

May 2011 - 56%

As you may already be aware, all Services went "live" on the new MS Dynamics CRM system, on 22 June. Though this went well, there were a few teething problems. These have now been resolved, however there are still various pockets of training needs across the organisation. I have been meeting with CRM users to help them to better understand how cases should be correctly dealt with on the new CRM system.

Please see attached. These were complaints logged on the old Oracle CRM system only, covering 1st of June to 22nd of June. 45 complaints were logged on the old

Oracle system in June. 27 complaints were logged on the new system in. We are still working on the reporting system and this hasn't gone live as yet.

I have therefore provided the data from the Oracle CRM system to the 22nd of June.

Corporate Complaints reports April - August 2011.txt

It is my intention to provide you with a report in August covering July's performance as well as a comparison with the final week of June. The total figures and percentages don't include those that were changed to 'not a complaint'. This number is shown separately.

Percentage completed within 10 working days
February 2011 - 79%
March 2011 - 75%
April 2011 - 92%
May 2011 - 56%
June 2011 - 73%

Please find attached reports for Corporate Complaints logged on CRM in July 2011. I apologise for the delay in sending this report. I have also attached the monthly stats showing numbers and percentage completed within 10 working days for each Service. The total figures and percentages don't include the 7 that were changed to 'not a complaint'. This number is shown separately.

There were 77 complaints logged in July 2011. The percentage of complaints completed within 10 working days is 63% (Stage 1 and 2).

Percentage completed within 10 working days
May 2011 - 56%
June 2011 - 73%
July 2011 - 63%

Please find attached reports for Corporate Complaints logged on CRM in August 2011. I have also attached the monthly stats showing numbers and percentage completed within 10 working days for each Service. The total figures and percentages don't include the 13 that were changed to 'not a complaint'. This number is shown separately.

There were 79 complaints (Stage 1 and 2) logged in August 2011. Performance has increased slightly by 3% compared to July 2011. The percentage of complaints completed within 10 working days is 66% (Stage 1 and 2).

Percentage completed within 10 working days
May 2011 - 56%
June 2011 - 73%
July 2011 - 63%
August 2011 - 66%

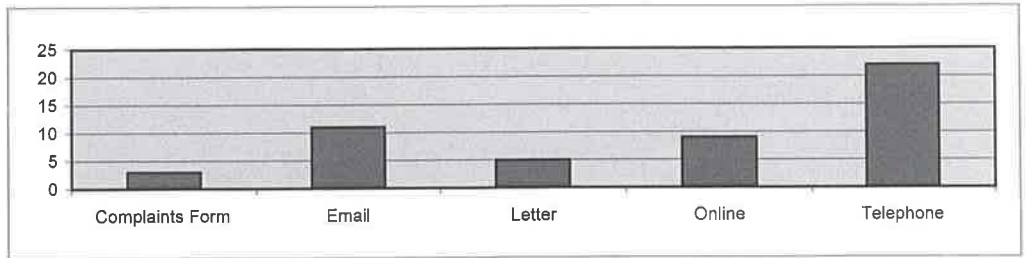
Corporate Complaints Stats

April 2011

Date of report: 24 May 2011

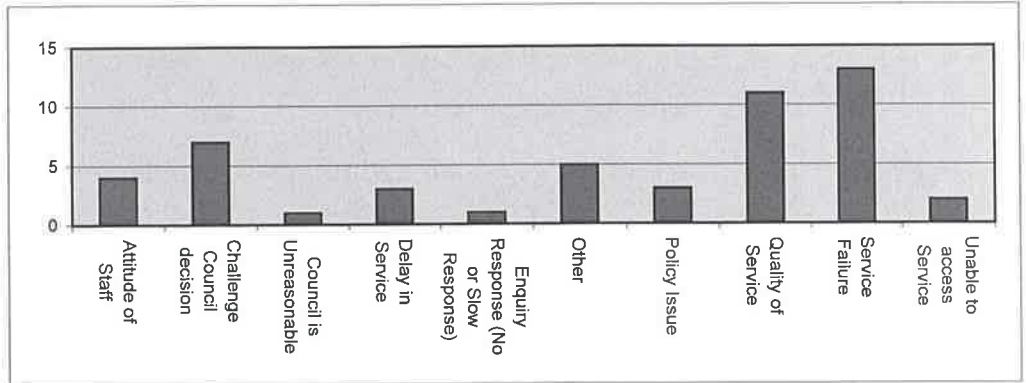
Contact method

Complaints Form	3
Email	11
Letter	5
Online	9
Telephone	22
TOTAL	50



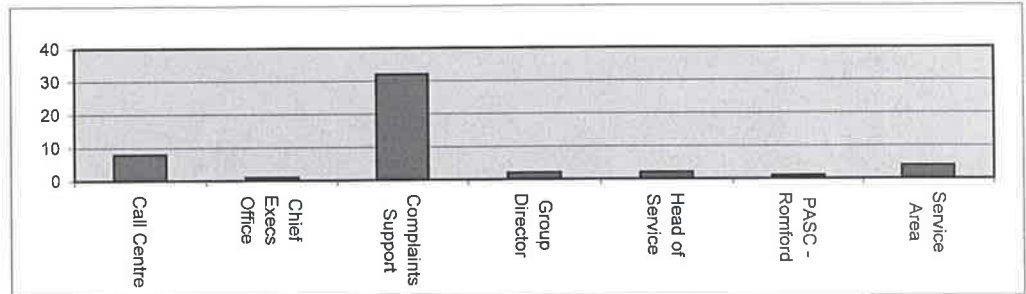
Complaint Reason

Attitude of Staff	4
Challenge Council decision	7
Council is Unreasonable	1
Delay in Service	3
Enquiry Response (No or Slow Re	1
Other	5
Policy Issue	3
Quality of Service	11
Service Failure	13
Unable to access Service	2
TOTAL	50



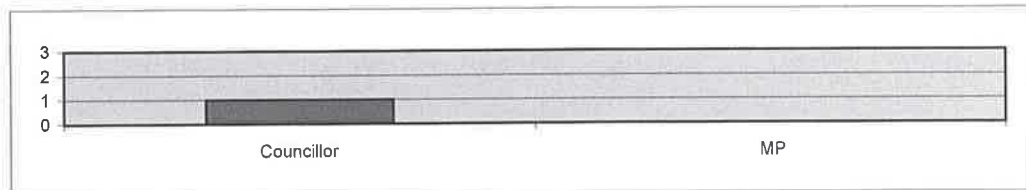
Received by

Call Centre	8
Chief Execs Office	1
Complaints Support	32
Group Director	2
Head of Service	2
PASC - Romford	1
Service Area	4
TOTAL	50



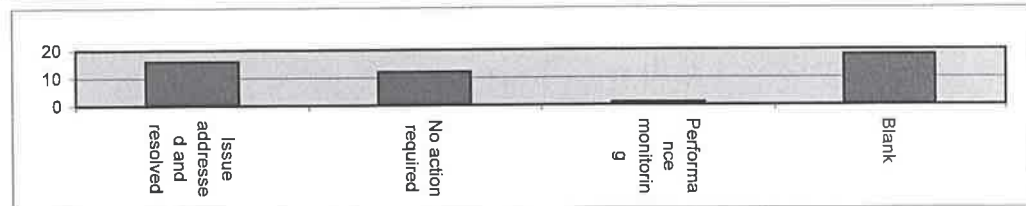
Via Cllr or MP

Councillor	1
MP	1
TOTAL	1



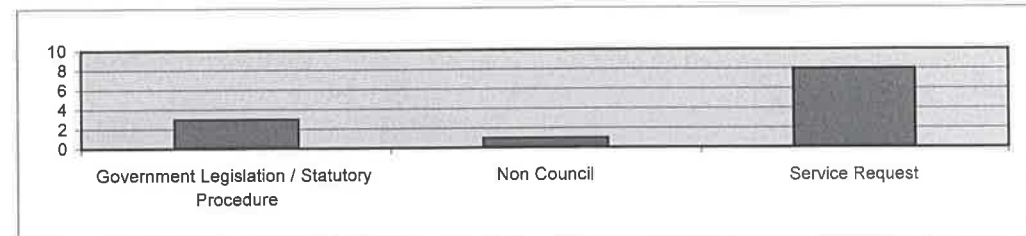
Complaint Outcome

Issue addressed and resolved	16
No action required	12
Performance monitoring	1
Blank	18
TOTAL	47



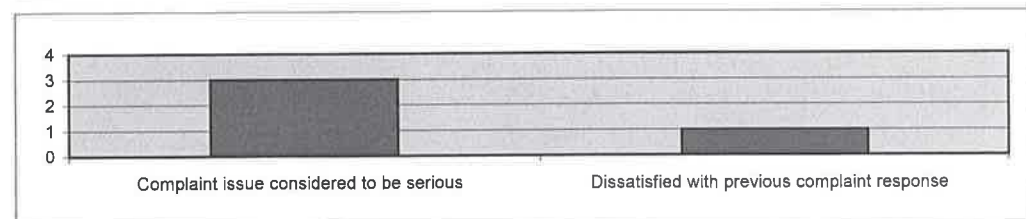
Reason Changed to 'Not a complaint'

Government Legislation / Statutory Procedure	3
Non Council	1
Service Request	8
TOTAL	12



High Level complaints

Complaint issue considered to be serious	3
Dissatisfied with previous complaint response	1
TOTAL	4

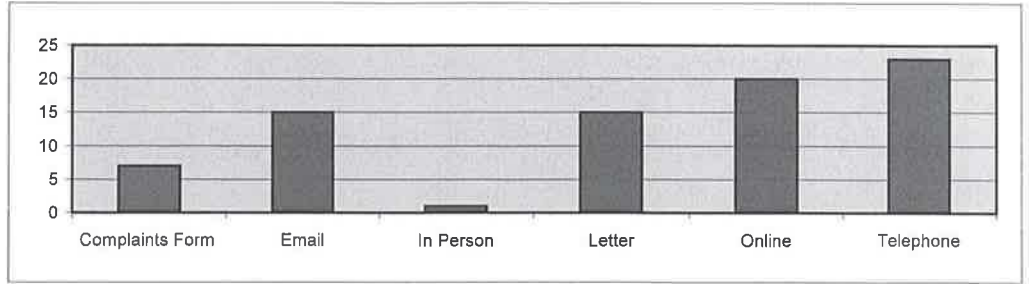


Corporate Complaints Stats May 2011

Date of report: 21st June 2011

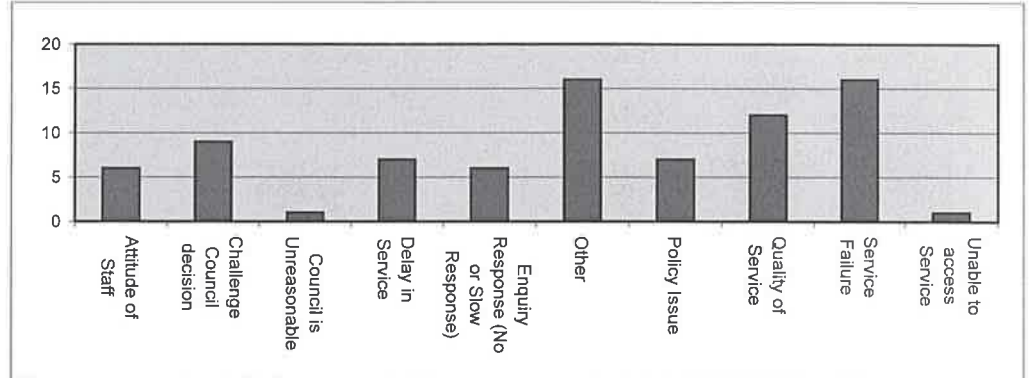
Contact method

Complaints Form	7
Email	15
In Person	1
Letter	15
Online	20
Telephone	23
TOTAL	81



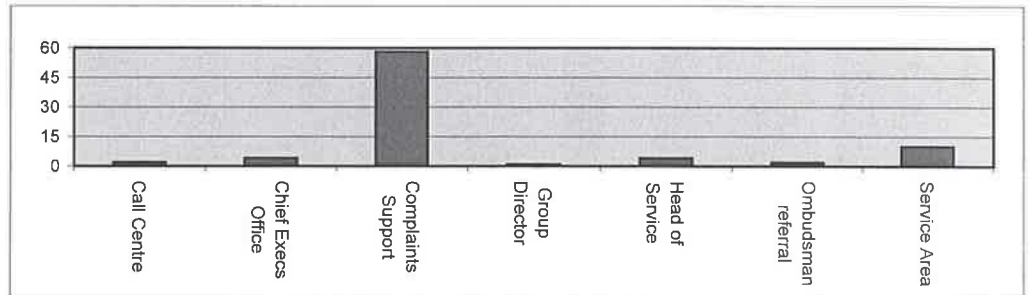
Complaint Reason

Attitude of Staff	6
Challenge Council decision	9
Council is Unreasonable	1
Delay in Service	7
Enquiry Response (No or Slow Re	6
Other	16
Policy Issue	7
Quality of Service	12
Service Failure	16
Unable to access Service	1
TOTAL	81



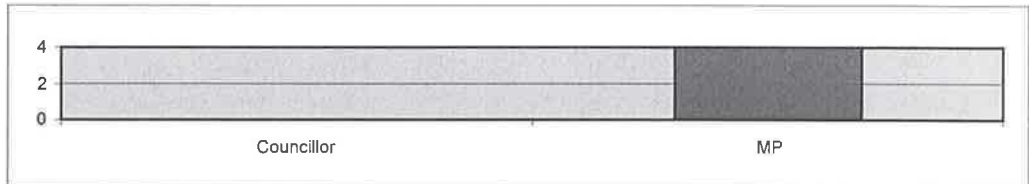
Received by

Call Centre	2
Chief Execs Office	4
Complaints Support	58
Group Director	1
Head of Service	4
Ombudsman referral	2
Service Area	10
TOTAL	81



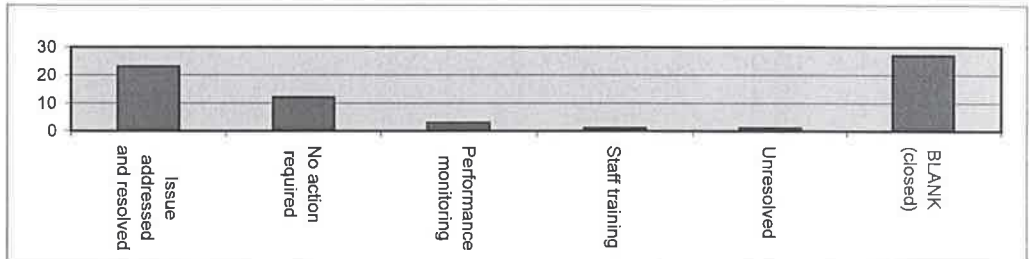
Via Cllr or MP

Councillor	4
MP	4
TOTAL	4



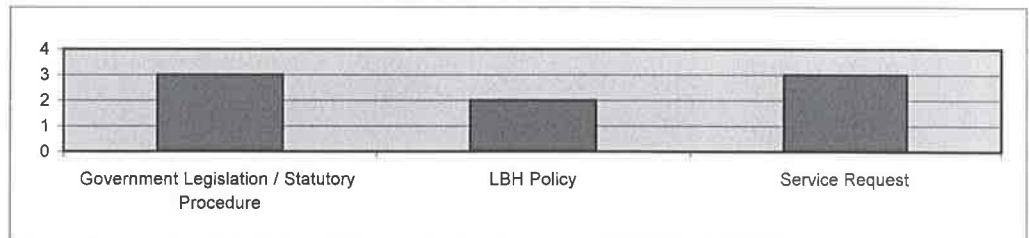
Complaint Outcome

Issue addressed and resolved	23
No action required	12
Performance monitoring	3
Staff training	1
Unresolved	1
BLANK (closed)	27
TOTAL	67



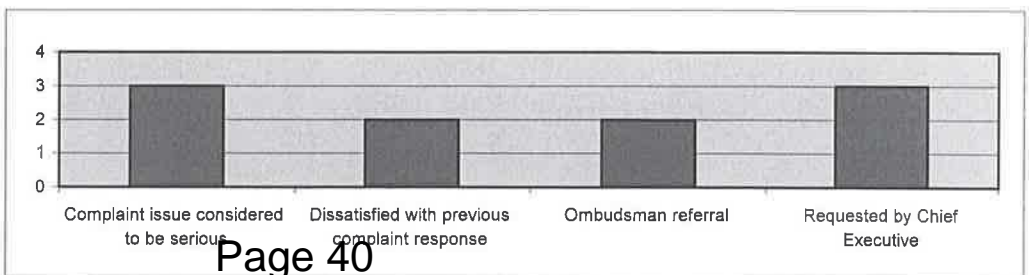
Reason Changed to 'Not a complaint'

Government Legislation / Statutory Procedure	3
LBH Policy	2
Service Request	3
TOTAL	8



High Level complaints

Complaint issue considered to be serious	3
Dissatisfied with previous complaint response	2
Ombudsman referral	2
Requested by Chief Executive	3
TOTAL	10

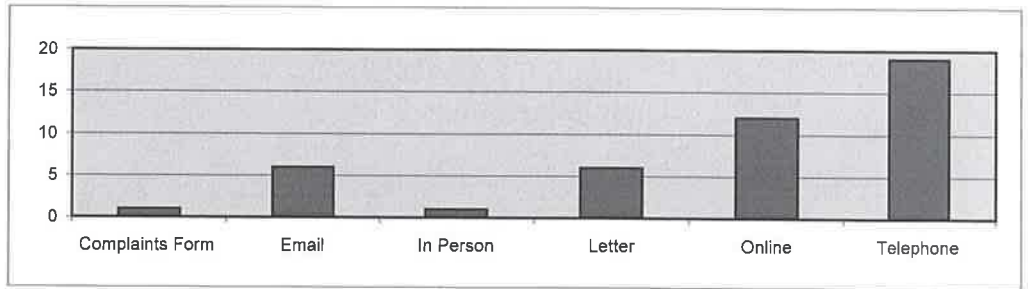


Corporate Complaints Stats June 2011

Date of report: 25th July 2011

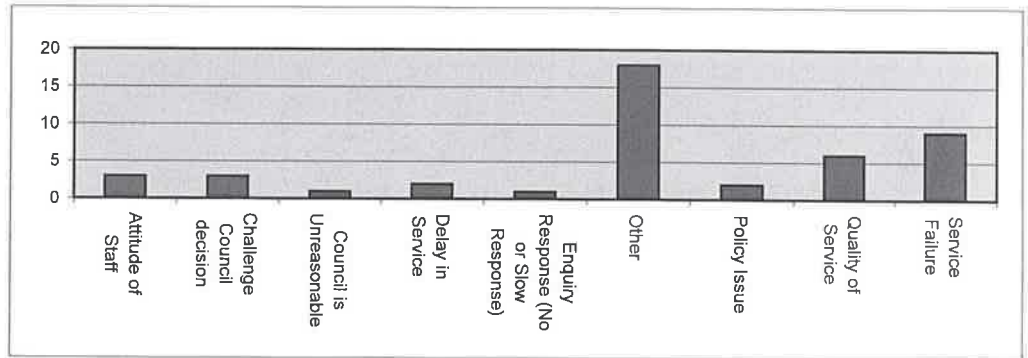
Contact method

Complaints Form	1
Email	6
In Person	1
Letter	6
Online	12
Telephone	19
TOTAL	45



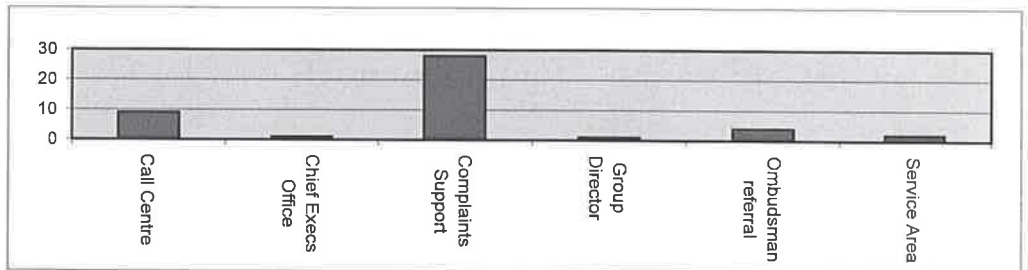
Complaint Reason

Attitude of Staff	3
Challenge Council decision	3
Council is Unreasonable	1
Delay in Service	2
Enquiry Response (No or Slow Re	1
Other	18
Policy Issue	2
Quality of Service	6
Service Failure	9
TOTAL	45



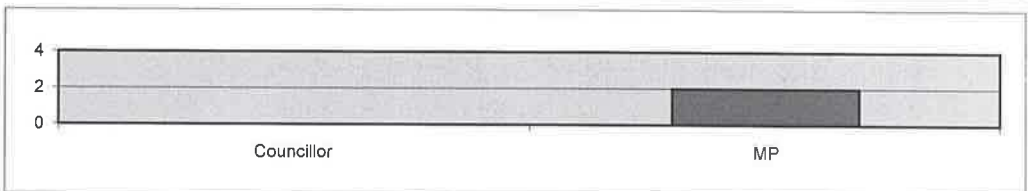
Received by

Call Centre	9
Chief Execs Office	1
Complaints Support	28
Group Director	1
Ombudsman referral	4
Service Area	2
TOTAL	45



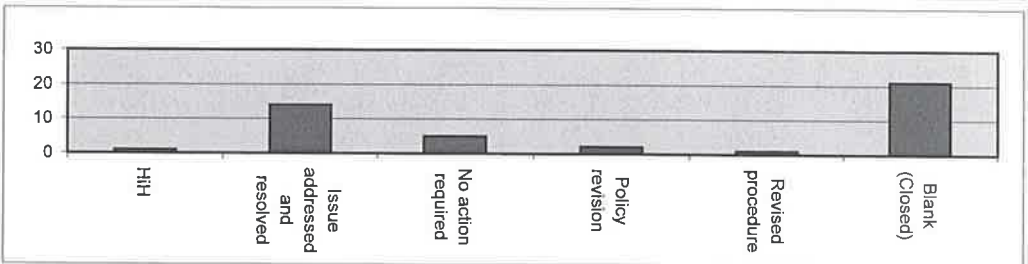
Via Cllr or MP

Councillor	2
MP	2
TOTAL	2



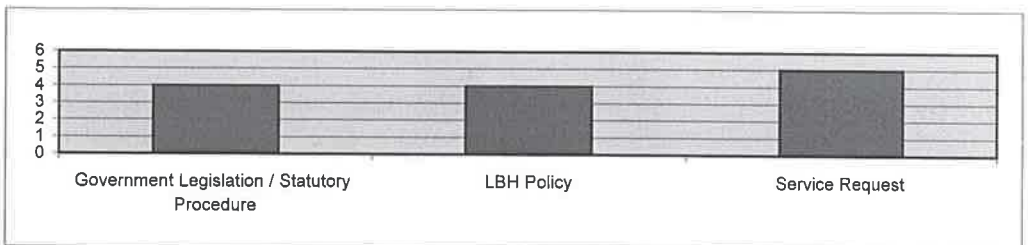
Complaint Outcome

HiH	1
Issue addressed and resolved	14
No action required	5
Policy revision	2
Revised procedure	1
Blank (Closed)	21
TOTAL	44



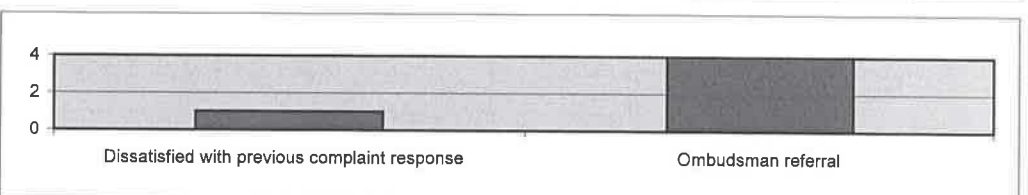
Reason Changed to 'Not a complaint'

Government Legislation / Statutory Procedure	4
LBH Policy	4
Service Request	5
TOTAL	13



High Level complaints

Dissatisfied with previous complaint response	1
Ombudsman referral	4
TOTAL	5



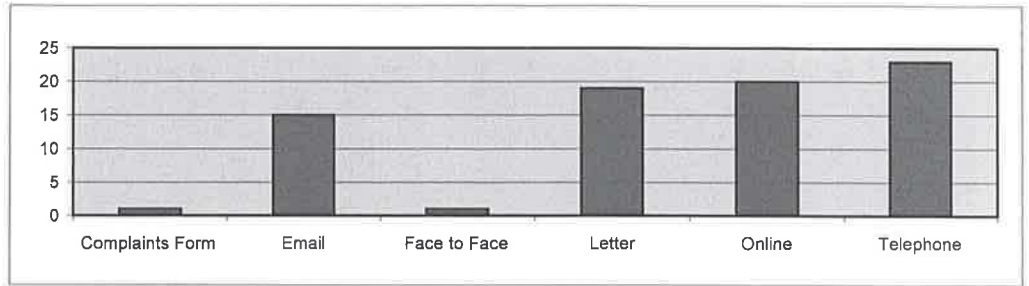
**Corporate Complaints Stats
July 2011**

Date of report: 02 September 2011

Stages 1 and 2

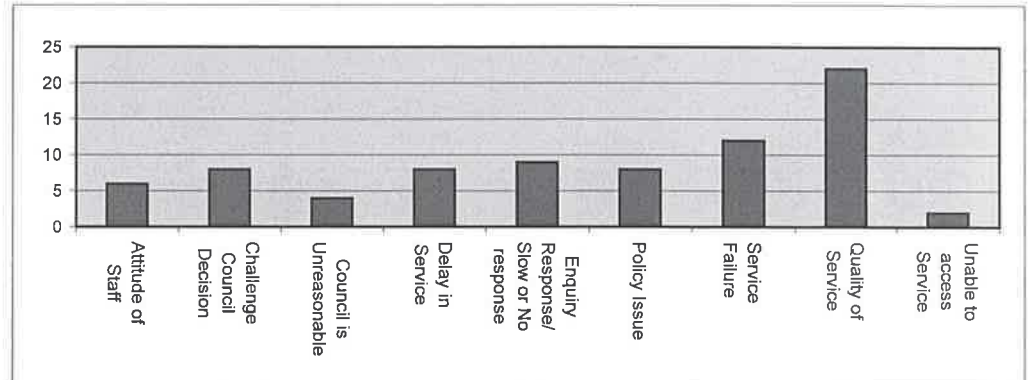
Contact method

Complaints Form	1
Email	15
Face to Face	1
Letter	19
Online	20
Telephone	23
TOTAL	79



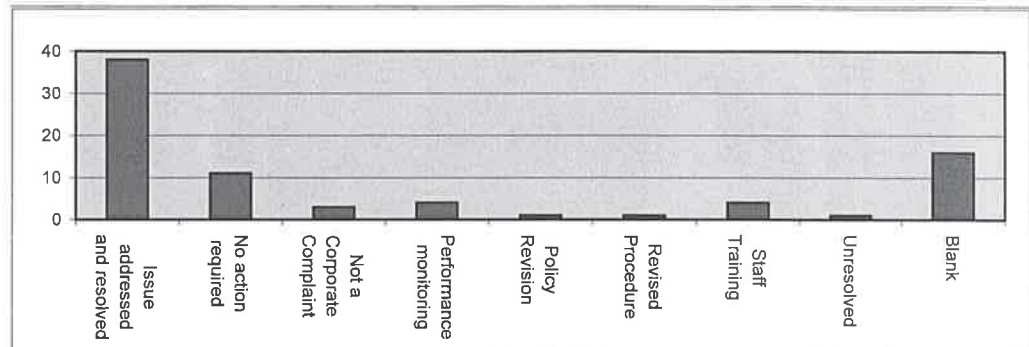
Complaint Reason

Attitude of Staff	6
Challenge Council Decision	8
Council is Unreasonable	4
Delay in Service	8
Enquiry Response/ Slow or No response	9
Policy Issue	8
Service Failure	12
Quality of Service	22
Unable to access Service	2
TOTAL	79



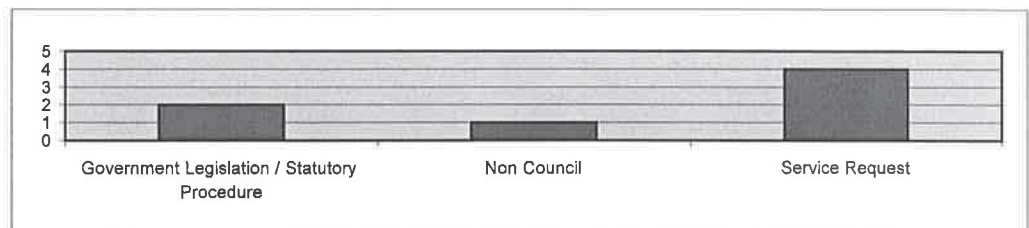
Complaint Outcome

Issue addressed and resolved	38
No action required	11
Not a Corporate Complaint	3
Performance monitoring	4
Policy Revision	1
Revised Procedure	1
Staff Training	4
Unresolved	1
Blank	16
TOTAL	79



Reason Changed to 'Not a complaint'

Government Legislation / Statutory Procedure	2
Non Council	1
Service Request	4
TOTAL	7



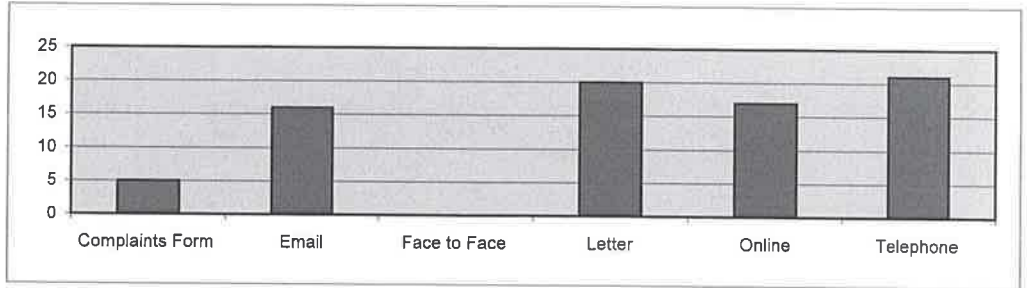
Corporate Complaints Stats August 2011

Date of report: 21 September 2011

Stages 1 and 2

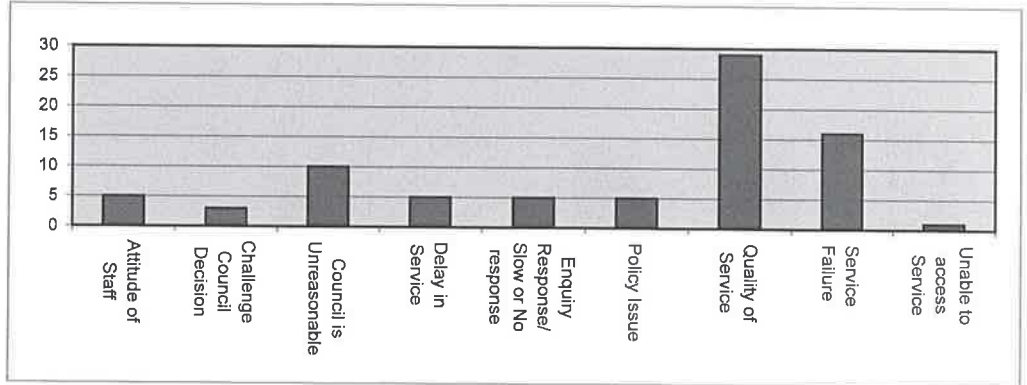
Contact method

Complaints Form	5
Email	16
Face to Face	
Letter	20
Online	17
Telephone	21
TOTAL	79



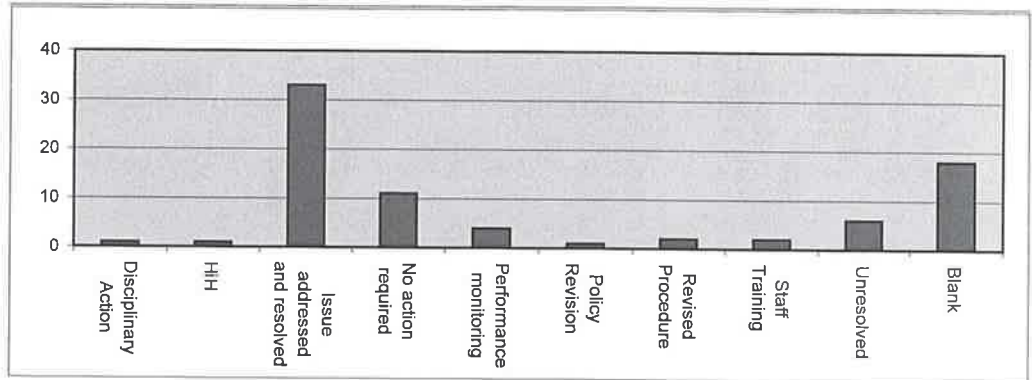
Complaint Reason

Attitude of Staff	5
Challenge Council Decision	3
Council is Unreasonable	10
Delay in Service	5
Enquiry Response/ Slow or No response	5
Policy Issue	5
Quality of Service	29
Service Failure	16
Unable to access Service	1
TOTAL	79



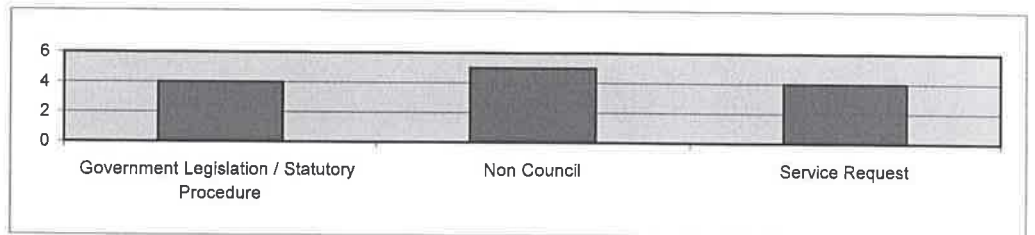
Complaint Outcome

Disciplinary Action	1
HiH	1
Issue addressed and resolved	33
No action required	11
Performance monitoring	4
Policy Revision	1
Revised Procedure	2
Staff Training	2
Unresolved	6
Blank	18
TOTAL	79



Reason Changed to 'Not a complaint'

Government Legislation / Statutory Procedure	4
Non Council	5
Service Request	4
TOTAL	13

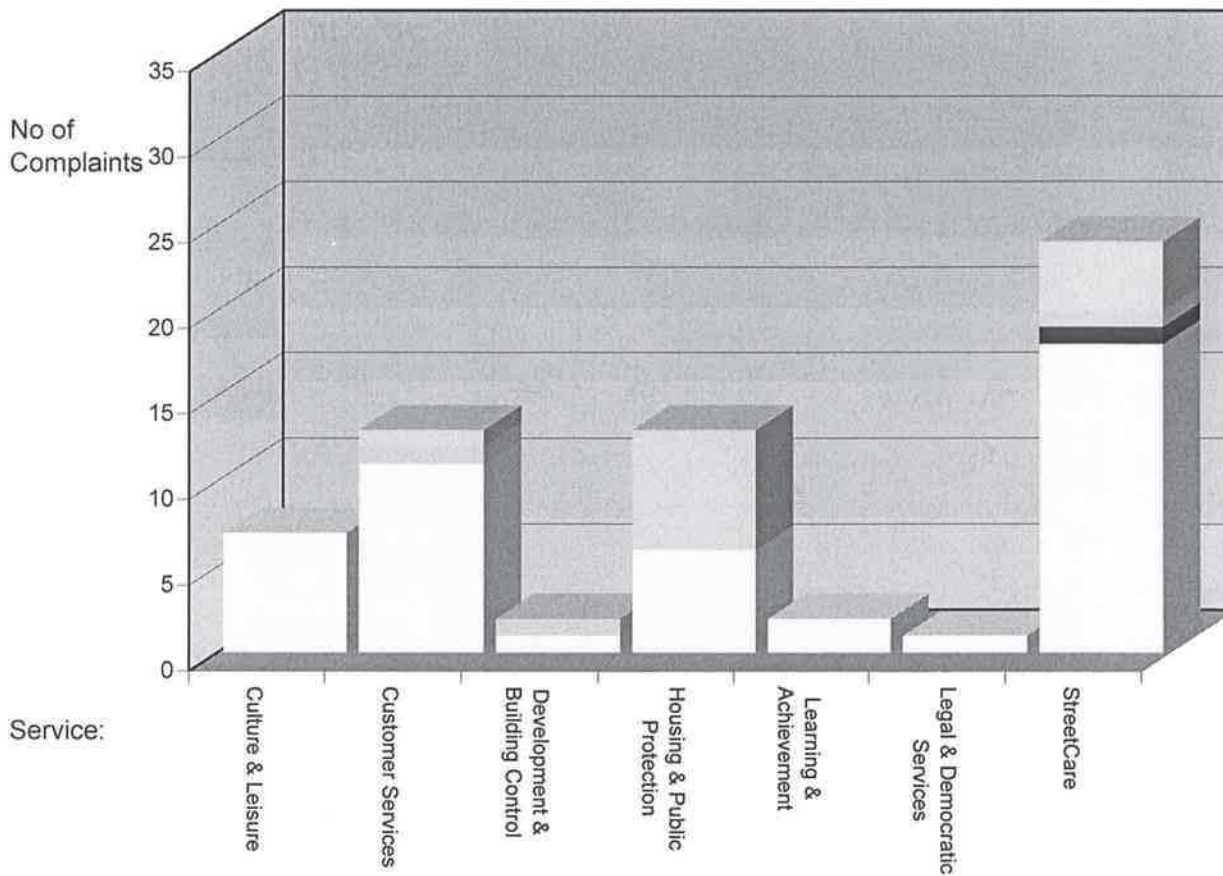


Corporate Complaints Totals by Service April 2011

Date of report: 24 May 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Culture & Leisure	7	14%	7			
Customer Services	12	24%	11		1	1
Development & Building Control	2	4%	1		1	
Housing & Public Protection	6	12%	6			7
Learning & Achievement	2	4%	2			
Legal & Democratic Services	1	2%	1			
StreetCare	20	40%	18	1	1	4
Totals	50	100%	46	1	3	12

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Changed to 'Not a complaint'

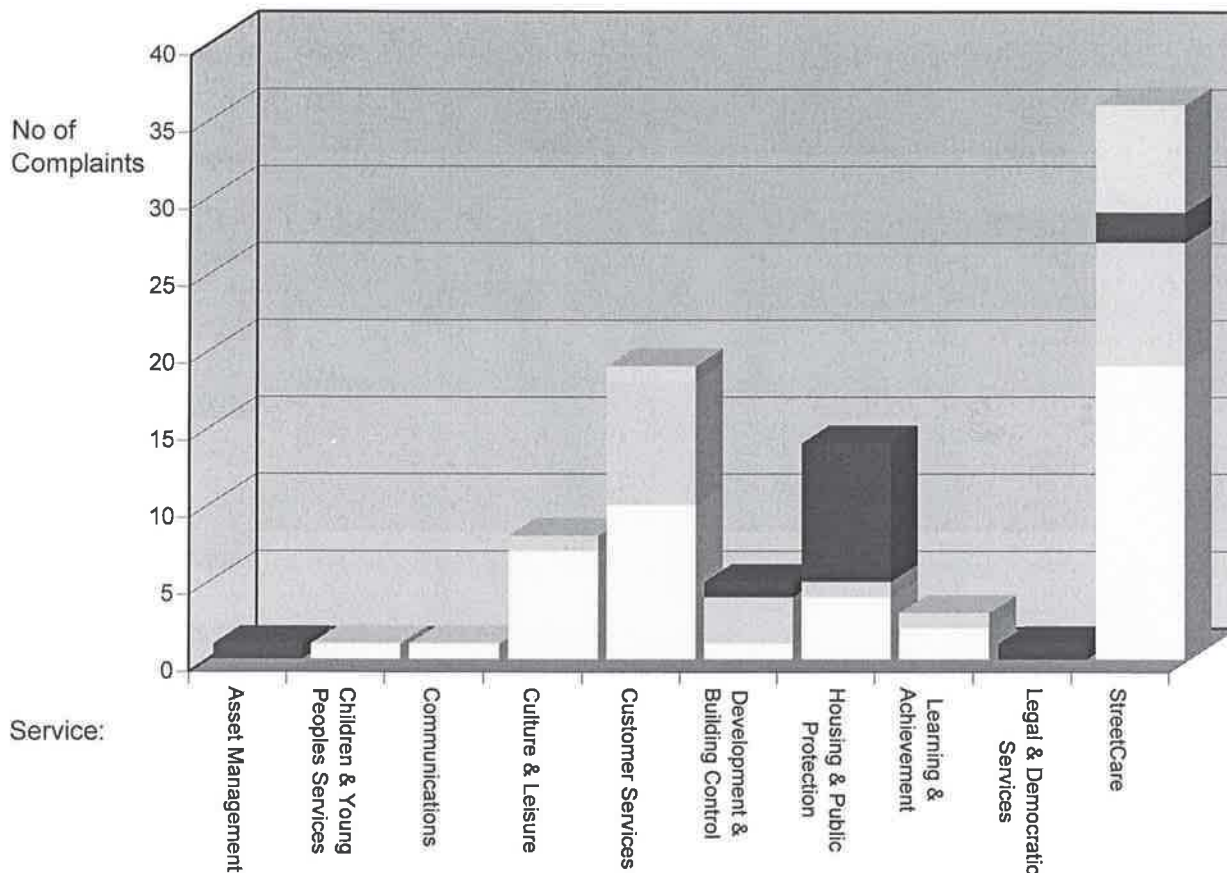


Corporate Complaints Totals by Service May 2011

Date of report: 21st June 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Asset Management	1	1%			1	
Children & Young Peoples Services	1	1%	1			
Communications	1	1%	1			
Culture & Leisure	8	10%	7	1		
Customer Services	18	22%	10	8		1
Development & Building Control	5	6%	1	3	1	
Housing & Public Protection	14	17%	4	1	9	
Learning & Achievement	3	4%	2	1		
Legal & Democratic Services	1	1%			1	
StreetCare	29	36%	19	8	2	7
Totals	81	100%	45	22	14	

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Changed to 'Not a complaint'

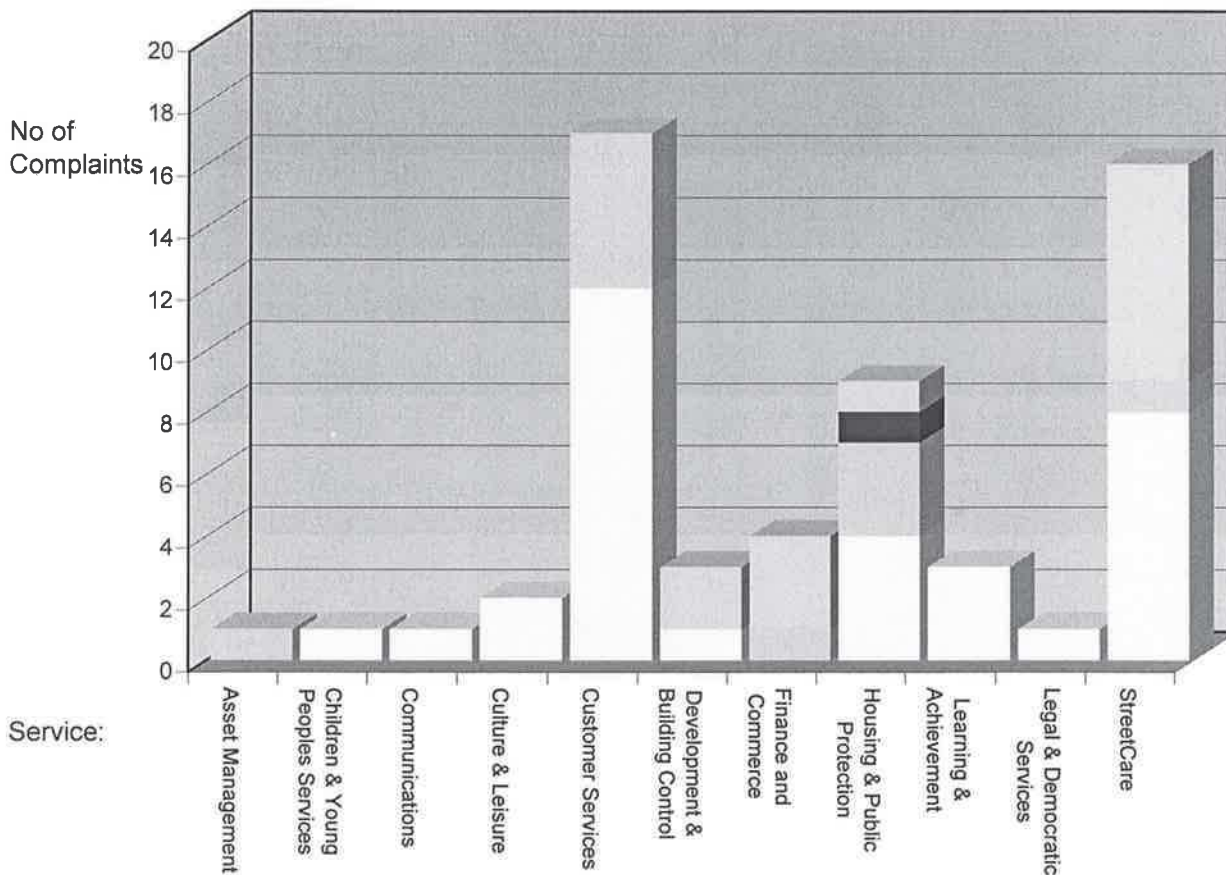


Corporate Complaints Totals by Service June 2011

Date of report: 25th July 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Asset Management	1	2%		1		
Children & Young Peoples Services	1	2%	1			
Communications	1	2%	1			
Culture & Leisure	2	4%	2			
Customer Services	17	38%	12	5		
Development & Building Control	1	2%	1			2
Finance and Commerce	1	2%		1		3
Housing & Public Protection	8	18%	4	3	1	1
Learning & Achievement	3	7%	3			
Legal & Democratic Services	1	2%	1			
StreetCare	9	20%	8	1		7
Totals	45	100%	33	11	1	13

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Changed to 'Not a complaint'



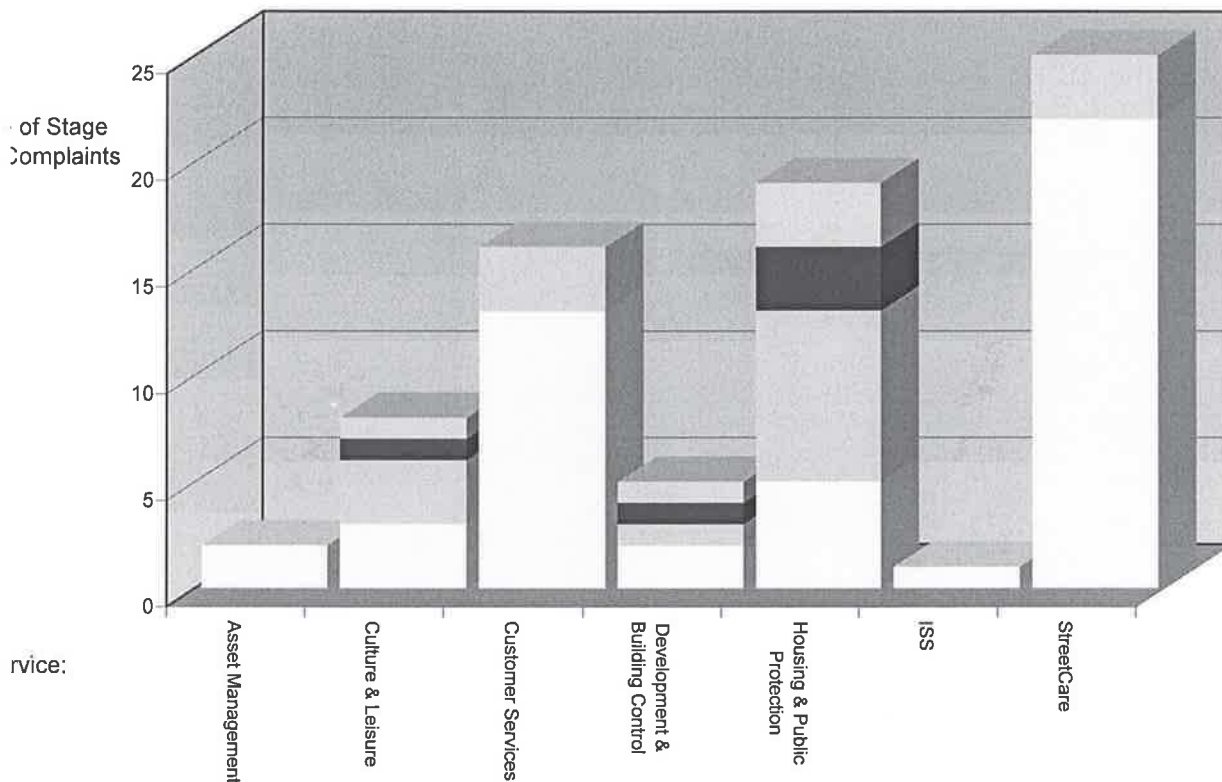
Corporate Complaints Totals by Service July 2011

Stage 1

Date of report: 02 September 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Asset Management	2	3%	2			
Culture & Leisure	7	9%	3	3	1	1
Customer Services	16	21%	13	3		
Development & Building Control	4	5%	2	1	1	1
Housing & Public Protection	16	21%	5	8	3	3
ISS	1	1%	1			
StreetCare	31	40%	22	8	1	2
Totals	77		48	23	6	7
	100%		62%	30%	8%	

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Changed to 'Not a complaint'



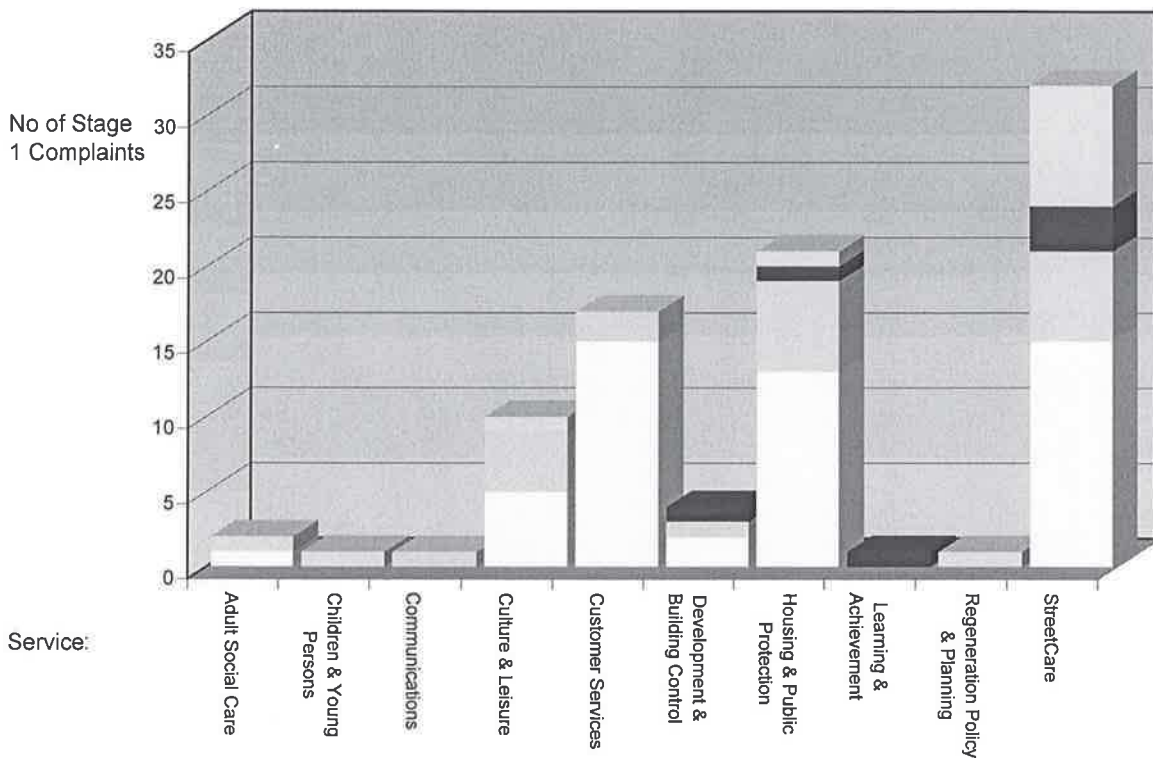
**Corporate Complaints Totals by Service
August 2011**

Stage 1

Date of report: 21 September 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Adult Social Care	1	1%	1			1
Children & Young Persons						1
Communications	1	1%		1		
Culture & Leisure	9	12%	5	4		1
Customer Services	17	22%	15	2		
Development & Building Control	4	5%	2	1	1	
Housing & Public Protection	20	26%	13	6	1	1
Learning & Achievement	1	1%			1	
Regeneration Policy & Planning						1
StreetCare	24	31%	15	6	3	8
Totals	77	100%	51	20	6	13

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Changed to 'Not a complaint'

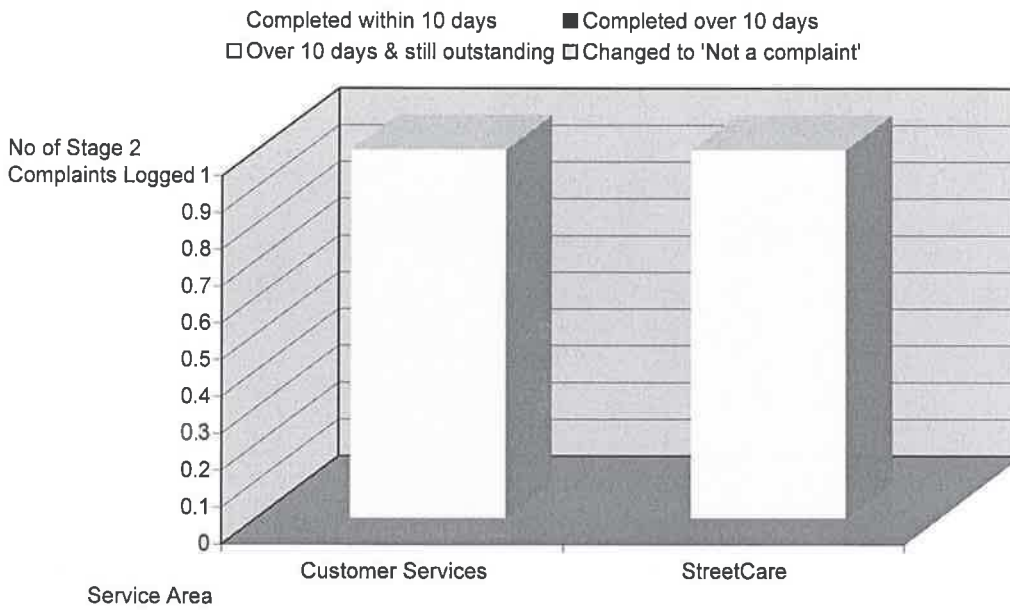


**Corporate Complaints Totals by Service
July 2011**

Stage 2

Date of report: 02 September 2011

Service Area	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Customer Services	1	50%	1	0	0	0
StreetCare	1	50%	1	0	0	0
Totals	2		2	0	0	0
	100%		100%	0%	0%	

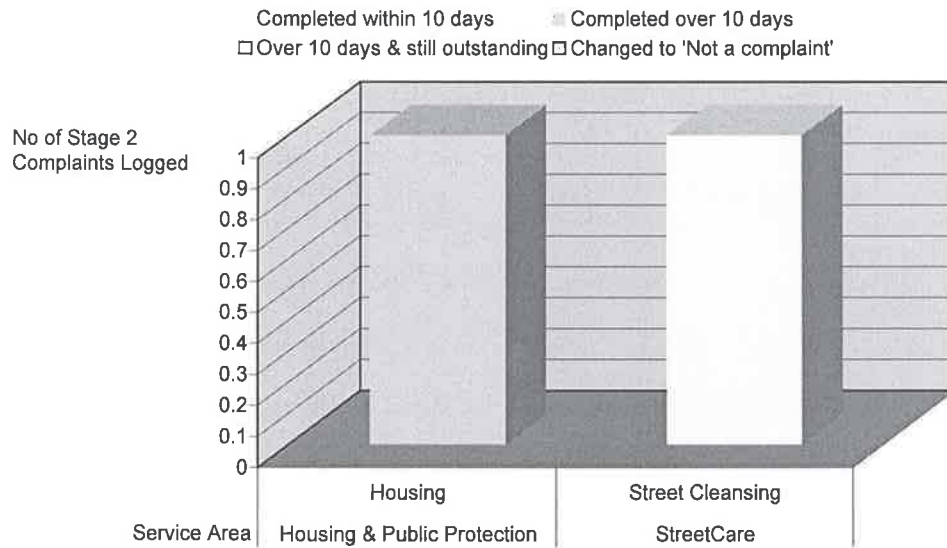


**Corporate Complaints Totals by Service
August 2011**

Stage 2

Date of report: 21 September 2011

Service Area	Complaint Topic	Number of Complaints logged	%	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Changed to 'Not a complaint'
Housing & Public Protection	Housing	1	50%		1		
StreetCare	Street Cleansing	1	50%	1			
Totals		2	100%	1	1	0	0



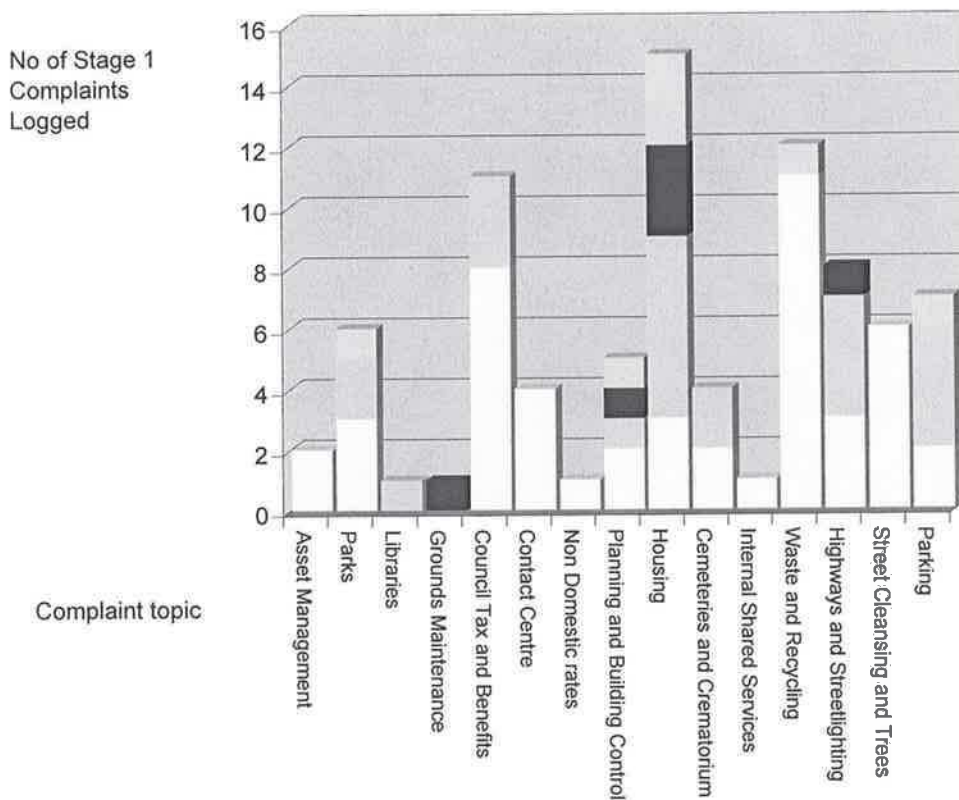
Corporate Complaints Totals by Topic July 2011

Stage 1

Date of report: 02 September 2011

Service Area	Number of Complaints logged	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Change to Not a complaint
Asset Management	2	2			
Parks	5	3	2		1
Libraries	1		1		
Grounds Maintenance	1			1	
Council Tax and Benefits	11	8	3		
Contact Centre	4	4			
Non Domestic rates	1	1			
Planning and Building Control	4	2	1	1	1
Housing	12	3	6	3	3
Cemeteries and Crematorium	4	2	2		
Internal Shared Services	1	1			
Waste and Recycling	11	11			1
Highways and Streetlighting	8	3	4	1	
Street Cleansing and Trees	6	6			
Parking	6	2	4		1
Totals	77	48	23	6	7
	100%	62%	30%	8%	

Completed within 10 days
 Completed over 10 days
 Over 10 days & still outstanding
 Change to Not a complaint

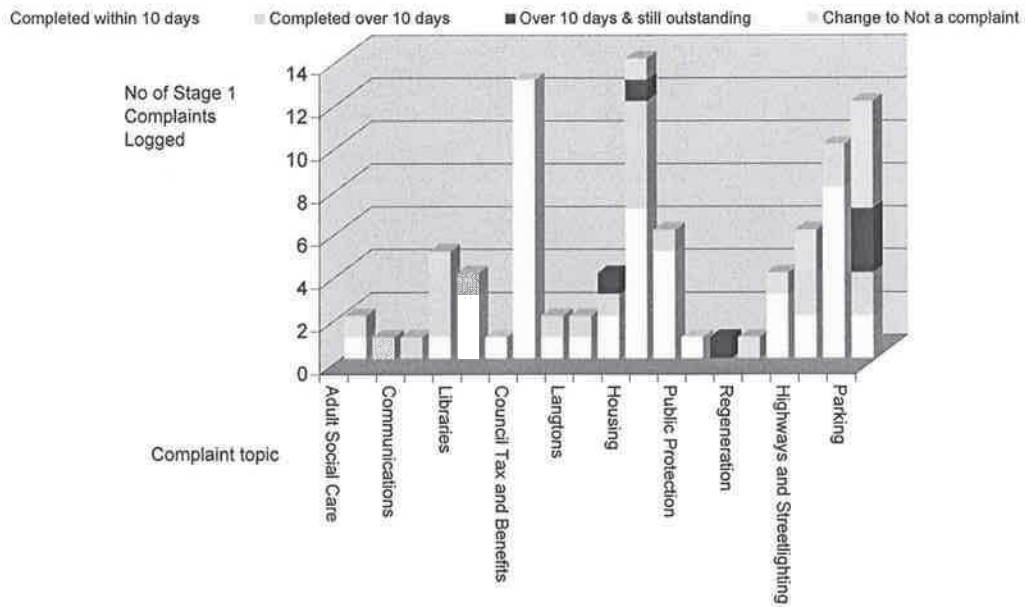


**Corporate Complaints Totals by Topic
August 2011**

Date of report: 21 September 2011

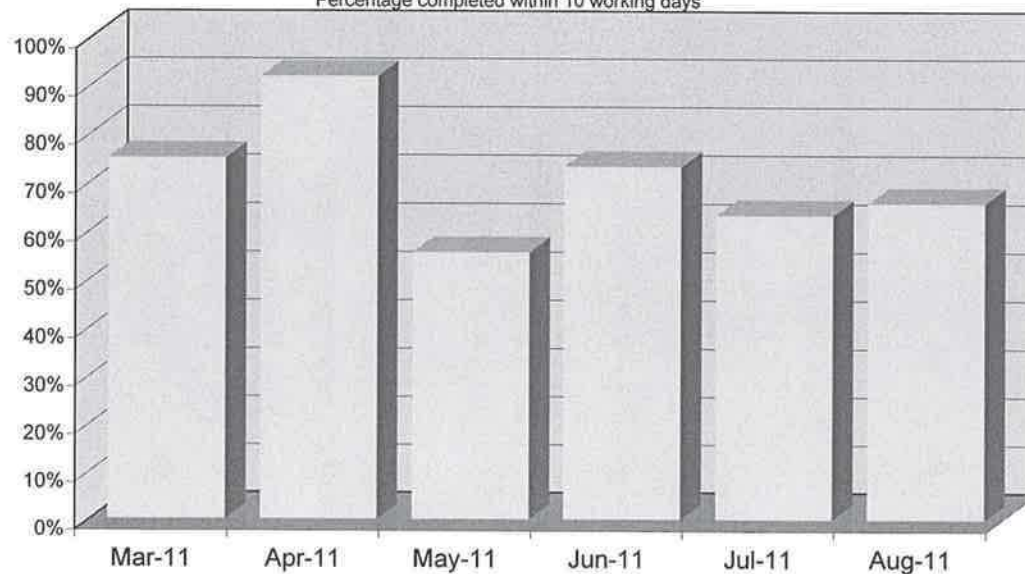
Stage 1

Complaint Topic	Number of Complaints logged	Completed within 10 days	Completed over 10 days	Over 10 days & still outstanding	Change to Not a complaint
Adult Social Care	1	1			1
Childrens Services					1
Communications	1		1		
Parks	4	1	3		1
Libraries	4	3	1		
Sports	1	1			
Council Tax and Benefits	13	13			
Contact Centre	2	1	1		
Langtons	2	1	1		
Planning and Building Control	4	2	1	1	
Housing	13	7	5	1	1
Cemeteries and Crematorium	6	5	1		
Public Protection	1	1			
Learning & Achievement	1			1	
Regeneration					1
Waste and Recycling	3	3			1
Highways and Streetlighting	4	2	2		2
Street Cleansing and Trees	10	8	2		
Parking	7	2	2	3	5
Totals	77	51	20	6	13
	100%	66%	26%	8%	



	Mar-11			Apr-11			May-11			Jun-11			Jul-11			Aug-11		
	Number logged	completed in 10 days	%age completed in 10 days	Number logged	completed in 10 days	%age completed in 10 days	Number logged	complete d in 10 days	%age complete d in 10	Number logged	complete d in 10 days	%age complete d in 10	Number logged	complete d in 10 days	%age complete d in 10	Number logged	complete d in 10 days	%age complete d in 10
Adult Social Care Asset Management Building Learning Futures	1	1	100%				1	0	0%	1		0%	2	2	100%	1	1	100%
Children & Young Peoples Services Communications	3	1	33%				1	1	100%	1	1	100%						
Culture & Leisure	14	14	100%	7	7	100%	1	1	100%	1	1	100%	7	3	43%	1	0	0%
Customer Services	18	15	83%	12	11	92%	8	7	88%	2	2	100%	17	14	82%	9	5	56%
Democratic Services							18	10	56%	17	12	71%	17	14	82%	17	15	88%
Development & Building Control Finance	4	1	25%	2	1	50%	5	1	20%	1	1	100%	4	2	50%	4	2	50%
Housing & Public Protection Internal Shared Services	5	3	60%	6	6	100%	14	4	29%	1	1	100%	16	5	31%	1	1	100%
Learning & Achievement	3	1	33%	2	2	100%	3	2	67%	8	4	50%	1	1	100%	21	13	62%
Legal Services	1	1	100%	1	1	100%	3	2	67%	3	3	100%				1	0	0%
Regeneration & Strategic Planning StreetCare	1	1	100%	1	1	100%	1	0	0%	1	1	100%						
	23	17	74%	20	18	90%	29	19	66%	9	8	89%	32	23	72%	25	16	64%
Total complaints completed within 10 days		54			46			45			33			50			52	
Total No of Complaints Logged		72			50			81			45			79			79	
% completed within 10 days		75%			92%			56%			73%			63%			66%	

Percentage completed within 10 working days



**Corporate Complaints Stats
April 2011**

Date of report: 24 May 2011

Outcome blank

Service Area	Complaint area	Work Days			Complaint Outcome	Status
		Open	SR No.	SR Date		
Legal & Democratic Services	Committee Administration and Member Support: Legal & Democratic	1	1092872	08-Apr-11		Closed
Learning & Achievement	Education/Schools: Learning & Achievement	1	1096428	20-Apr-11		Closed
Learning & Achievement	Education/Schools: Learning & Achievement	2	1095924	18-Apr-11		Closed
Housing & Public Protection	Trading Standards: Housing & Public Protection	1	1096300	19-Apr-11		Closed
Housing & Public Protection	Environmental Health & Licensing: Housing & Public Protection	2	1093436	11-Apr-11		Closed
Culture & Leisure	Grounds Maintenance: Culture & Leisure	4	1098122	28-Apr-11		Closed
StreetCare	Highways & Street lighting: StreetCare	5	1094136	12-Apr-11		Closed
StreetCare	Highways & Street lighting: StreetCare	10	1094526	13-Apr-11		Closed
StreetCare	Highways & Street lighting: StreetCare	5	1092648	07-Apr-11		Closed
StreetCare	Highways & Street lighting: StreetCare	10	1089724	01-Apr-11		Closed
StreetCare	Highways & Street lighting: StreetCare	9	1089812	04-Apr-11		Closed
StreetCare	Waste & Recycling: StreetCare	1	1095702	18-Apr-11		Closed
StreetCare	Waste & Recycling: StreetCare	1	1097280	26-Apr-11		Closed
StreetCare	Waste & Recycling: StreetCare	1	1096456	20-Apr-11		Closed
StreetCare	Parking: StreetCare	10	1092512	07-Apr-11		Closed
Customer Services	Council Tax/Revenues: Customer Services	4	1095142	15-Apr-11		Closed
Customer Services	Langtons & Registration: Customer Services	2	1092322	07-Apr-11		Closed
Customer Services	Langtons & Registration: Customer Services	10	1091762	05-Apr-11		Closed

**Corporate Complaints Stats
May 2011**

Date of report: 21st June 2011

Outcome blank

Service Area	Complaint area	SR No.	SR Date	Work Days		Complaint Outcome	Status
				Open			
Communications	Communications/Living in Havering: Communications	1106316	24-May-11	9		Closed	
Culture & Leisure	Grounds Maintenance: Culture & Leisure	1105986	31-May-11	1		Closed	
Culture & Leisure	Parks: Culture & Leisure	1103436	18-May-11	8		Closed	
Customer Services	Benefit Street Name F-Z: Customer Services	1103838	19-May-11	11		Closed	
Customer Services	Benefit Street Name F-Z: Customer Services	1103954	20-May-11	2		Closed	
Customer Services	Langtons & Registration: Customer Services	1105448	27-May-11	10		Closed	
Customer Services	Langtons & Registration: Customer Services	1103222	17-May-11	17		Closed	
Customer Services	Langtons & Registration: Customer Services	1099334	04-May-11	5		Closed	
Development & Building Control	Planning Control & Enforcement: Development & Building Control	1099000	03-May-11	18		Closed	
Development & Building Control	Planning Control & Enforcement: Development & Building Control	1098962	03-May-11	7		Closed	
Development & Building Control	Planning Control & Enforcement: Development & Building Control	1102120	13-May-11	13		Closed	
Housing & Public Protection	Housing Services: Housing & Public Protection	1098822	03-May-11	7		Closed	
Housing & Public Protection	Housing Services: Housing & Public Protection	1099558	05-May-11	29		Closed	
Housing & Public Protection	Trading Standards: Housing & Public Protection	1102982	17-May-11	3		Closed	
Learning & Achievement	Education/Schools: Learning & Achievement	1106344	31-May-11	4		Closed	
Learning & Achievement	Education/Schools: Learning & Achievement	1103870	20-May-11	11		Closed	
Learning & Achievement	Education/Schools: Learning & Achievement	1105050	25-May-11	4		Closed	
StreetCare	Highways & Street lighting: StreetCare	1103136	17-May-11	11		Closed	
StreetCare	Highways & Street lighting: StreetCare	1102918	17-May-11	11		Closed	
StreetCare	Highways & Street lighting: StreetCare	1102298	13-May-11	12		Closed	
StreetCare	Highways & Street lighting: StreetCare	1103998	20-May-11	11		Closed	
StreetCare	Highways & Street lighting: StreetCare	1102934	17-May-11	6		Closed	
StreetCare	Parking: StreetCare	1103088	17-May-11	12		Closed	
StreetCare	Street Cleansing & Trees: StreetCare	1100664	09-May-11	14		Closed	
StreetCare	Street Cleansing & Trees: StreetCare	1100074	06-May-11	6		Closed	
StreetCare	Waste & Recycling: StreetCare	1104966	25-May-11	4		Closed	
StreetCare	Waste & Recycling: StreetCare	1103836	19-May-11	8		Closed	

**Corporate Complaints Stats
June 2011**

Date of report: 25th July 2011

Outcome blank

Page 56

Service Area	Complaint area	SR No.	SR Date	Work Days		Complaint Outcome	Status
				Open			
Customer Services	Call Centre: Customer Services	1107060	06-Jun-11	10		Closed	
Communications	Communications/Living in Havering: Communications	1108612	14-Jun-11	10		Closed	
Customer Services	Council Tax/Revenues: Customer Services	1108816	15-Jun-11	3		Closed	
Customer Services	Council Tax/Revenues: Customer Services	1106230	01-Jun-11	11		Closed	
Learning & Achievement	Education/Schools: Learning & Achievement	1108794	15-Jun-11	6		Closed	
Learning & Achievement	Education/Schools: Learning & Achievement	1107934	10-Jun-11	2		Closed	
Housing & Public Protection	Environmental Health & Licensing: Housing & Public Protection	1110276	22-Jun-11	8		Closed	
Housing & Public Protection	Environmental Health & Licensing: Housing & Public Protection	1109652	20-Jun-11	7		Closed	
Culture & Leisure	Grounds Maintenance: Culture & Leisure	1107736	09-Jun-11	1		Closed	
StreetCare	Highways & Street lighting: StreetCare	1107360	07-Jun-11	10		Closed	
StreetCare	Highways & Street lighting: StreetCare	1109076	16-Jun-11	9		Closed	
Housing & Public Protection	Housing Services: Housing & Public Protection	1109510	20-Jun-11	1		Closed	
Finance and Commerce	Human Resources: Finance and Commerce	1106082	01-Jun-11	13		Closed	
Customer Services	Langtons & Registration: Customer Services	1107928	10-Jun-11	6		Closed	
Customer Services	Langtons & Registration: Customer Services	1107104	06-Jun-11	13		Closed	
Customer Services	Langtons & Registration: Customer Services	1108922	15-Jun-11	6		Closed	
Legal & Democratic Services	Legal Services: Legal & Democratic Services	1106372	02-Jun-11	4		Closed	
Asset Management	Strategic Property Services: Asset Management	1106558	02-Jun-11	19		Closed	
Customer Services	Sundry Debts/Income: Customer Services	1106544	02-Jun-11	15		Closed	
StreetCare	Waste & Recycling: StreetCare	1107300	07-Jun-11	10		Closed	
StreetCare	Waste & Recycling: StreetCare	1109820	21-Jun-11	6		Closed	

Corporate Complaints Stats

April 2011

Date of report: 24 May 2011

Completed over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days Open	Reason for delay	Summary
StreetCare	Parking: StreetCare	08-Apr-11	1092996	11		Delay in receiving new Blue Badge

Completed over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days		Reason for delay	Summary
				Open			
Culture & Leisure	Libraries: Culture & Leisure	12-May-11	1101788	13		No notifications received in workflow Original response sent 3/6 so should have been closed at that time. Further emails recd since have been responded to	Library book fine
Customer Services	Council Tax/Revenues: Customer Services	31-May-11	1105992	11			Council Tax
Customer Services	Langtons & Registration: Customer Services	17-May-11	1103222	17			Death Registration
Customer Services	Council Tax/Revenues: Customer Services	23-May-11	1104378	16		CRM system didn't generate complaint emails	re council tax
Customer Services	Benefit Street Name F-Z: Customer Services	13-May-11	1102286	12			Time taken to deal with claim
Customer Services	PASC: Customer Services	17-May-11	1103144	13			Parking Permit
Customer Services	Council Tax/Revenues: Customer Services	19-May-11	1103782	18			Direct Debit Guarantee Letter
Customer Services	Call Centre: Customer Services	19-May-11	1103798	13			Council Tax
Customer Services	Benefit Street Name F-Z: Customer Services	19-May-11	1103838	11			Complaint Letter re: Benefits
Development & Building Control	Development & Building Control Planning Control & Enforcement:	31-May-11	1105972	14		Away from office	P0164.11 Warwick Road
Development & Building Control	Development & Building Control Planning Control & Enforcement:	03-May-11	1099000	18			Planning Application P1588.10
Development & Building Control	Development & Building Control Housing Services: Housing & Public	13-May-11	1102120	13			Planning issues
Housing & Public Protection	Protection Education/Schools: Learning &	05-May-11	1099558	29			Homeless Application
Learning & Achievement	Achievement	20-May-11	1103870	11			Lack of response
StreetCare	Street Cleansing & Trees: StreetCare	09-May-11	1100664	14			Havering employee
StreetCare	Parking: StreetCare	05-May-11	1099742	12			Dangerous Parking of Smart Car
StreetCare	Parking: StreetCare	17-May-11	1103088	12			Visitors Parking Permit
StreetCare	Highways & Street lighting: StreetCare	20-May-11	1103998	11			Injury
StreetCare	Highways & Street lighting: StreetCare	17-May-11	1103136	11			Raised zebra crossing
StreetCare	Highways & Street lighting: StreetCare	17-May-11	1102918	11			Personal injury
StreetCare	Parking: StreetCare	04-May-11	1099816	15			Re: behaviour of Civil Enforcement Officer
StreetCare	Highways & Street lighting: StreetCare	13-May-11	1102298	12			Driving across a pavement

Corporate Complaints Stats

June 2011

Date of report: 25th July 2011

Completed over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days		Summary
				Open	Reason for delay	
Asset Management	Strategic Property Services: Asset Management	02-Jun-11	1106558	19		noise in market place
Customer Services	Langtons & Registration: Customer Services	06-Jun-11	1107104	13		re Registrars Department
Customer Services	Sundry Debts/Income: Customer Services	02-Jun-11	1106544	15		Housing Benefits issues
Customer Services	Council Tax/Revenues: Customer Services	06-Jun-11	1106822	17		Council Tax
Customer Services	Non Domestic Rates: Customer Services	15-Jun-11	1108752	11		Business Rates
Customer Services	Council Tax/Revenues: Customer Services	01-Jun-11	1106230	11		Council Tax arrears £34 A/c no 530313757
Finance and Commerce	Human Resources: Finance and Commerce	01-Jun-11	1106082	13		HR/Performance
Housing & Public Protection	Housing Services: Housing & Public Protection	02-Jun-11	1106482	33	staff issues	Customer Services
Housing & Public Protection	Housing Services: Housing & Public Protection	20-Jun-11	1109508	12		Housing issue
Housing & Public Protection	Housing Services: Housing & Public Protection	07-Jun-11	1107374	14	staffing issues	No response to letters
StreetCare	Parking: StreetCare	02-Jun-11	1106376	11	under investigation	Car Parking - Closing of Barriers

Corporate Complaints Stats

July 2011

Date of report: 02 September 2011

Completed over 10 days

Service Area	Regarding Service	Start Date	End Date	Work Days		Case Number	Stage	Complaint Reason	Method of Contact	Summary
				Open						
Culture & Leisure	Libraries	18/07/11	01/08/11	11		ENQ-0002862	Stage 1	Policy Issue	Online	Online renewals
Culture & Leisure	Parks	20/07/11	03/08/11	11		ENQ-0003016	Stage 1	Policy Issue	Online	Cars entering and leaving Rafaels Park
Culture & Leisure	Parks	26/07/11	16/08/2011	16		ENQ-0003473	Stage 1	Attitude of Staff	Email	Attitude of Park Protection Officer not happy the council tax dept communication
Customer Services	Council tax and Benefits	14/07/11	28/07/11	11		ENQ-0002649	Stage 1	Service Failure	Telephone	
Customer Services	Council tax and Benefits	14/07/11	02/08/2011	14		ENQ-0002692	Stage 1	Council is Unreasonable	Telephone	Council Tax Summons and staff
Customer Services	Council tax and Benefits	19/07/11	08/08/11	15		ENQ-0002939	Stage 1	Service Failure	Telephone	receiving a council tax bill for 11 years ago Planning Application P0216.10 - 36 Upper Rainham Road
Development & Building Control	Planning & Building Control	19/07/11	02/08/11	11		ENQ-0002935	Stage 1	Quality of Service	Letter	Committal of remains delayed through administrative error
Housing & Public Protection	Cemeteries & Crematorium	04/07/11	19/07/11	12		ENQ-0001864	Stage 1	Quality of Service	Telephone	Repair Grant for Council property
Housing & Public Protection	Housing	05/07/11	19/07/11	11		ENQ-0001903	Stage 1	Delay in Service	Letter	not being able to get through to psl dept
Housing & Public Protection	Housing	14/07/11	28/07/2011	11		ENQ-0002651	Stage 1	Quality of Service	Telephone	Housing
Housing & Public Protection	Housing	13/07/11	01/08/11	14		ENQ-0002582	Stage 1	Challenge Council decision	Online	Asked tign document without necessary support people present
Housing & Public Protection	Housing	19/07/11	10/08/2011	17		ENQ-0003004	Stage 1	Council is Unreasonable	Letter	Requesting review of housing decision
Housing & Public Protection	Housing	07/07/11	02/08/2011	19		ENQ-0002124	Stage 1	Challenge Council decision	Email	request response to application for a housing transfer.
Housing & Public Protection	Housing	14/07/11	10/08/2011	20		ENQ-0002645	Stage 1	Enquiry Response (No or Slow Response)	Letter	Streetcare
StreetCare	Highways & Street lighting	26/07/11	08/08/2011	10		ENQ-0003545	Stage 1	Delay in Service	Online	
StreetCare	Highways & Street lighting	28/07/11	16/08/2011	14		ENQ-0003806	Stage 1	Quality of Service	Telephone	work done on property without prior notice Footway Parking Signage requested & CCTV car attendance
StreetCare	Highways & Street lighting	14/07/11	03/08/11	15		ENQ-0002625	Stage 1	Policy Issue	Letter	Deteriorating of road
StreetCare	Highways & Street lighting	12/07/11	03/08/11	17		ENQ-0002423	Stage 1	Quality of Service	Letter	Condition of road surface
StreetCare	Highways & Street lighting	21/07/11	15/08/2011	18		ENQ-0003235	Stage 1	Quality of Service	Online	
StreetCare	Parking	11/07/11	25/07/11	11		ENQ-0002308	Stage 1	Enquiry Response (No or Slow Response)	Email	Lack of response
StreetCare	Parking	19/07/11	08/08/2011	15		ENQ-0002891	Stage 1	Policy Issue	Email	Visitor Permits
StreetCare	Parking	18/07/11	08/08/2011	16		ENQ-0002851	Stage 1	Policy Issue	Complaints Form	Parking
StreetCare	Parking	11/07/11	05/08/2011	20		ENQ-0002304	Stage 1	Delay in Service	Email	Lack of response to complaint

**Corporate Complaints Stats
August 2011**

Date of report: 21 September 2011

Stage 1 and Stage 2

Completed over 10 days

Service Area	Regarding Service	Stage 1 Start Date	Stage 1 End Date	Work Days Open	Case Number	Stage	Complaint Reason	Method of Contact	Summary
Communications	Communications	31/08/11	14/09/11	11	ENQ-0006752	Stage 1	Service Failure	Telephone	informaton via website, Living, Councillor allowances and Election results
Culture & Leisure	Libraries	25/08/11	08/09/11	11	ENQ-0006138	Stage 1	Policy Issue	Email	Library Book Fine
Culture & Leisure	Parks	25/08/11	19/09/11	18	ENQ-0006099	Stage 1	Service Failure	Email	Harrow Lodge Park
Culture & Leisure	Parks	05/08/11	26/08/11	16	ENQ-0004378	Stage 2	Quality of Service	Telephone	noise from a council vehicle opening park
Culture & Leisure	Parks	01/08/11	21/09/11	38	ENQ-0004032	Stage 1	Attitude of Staff	Online	DANGEROUS COUNCIL DRIVER
Customer Services	Contact Centre	11/08/11	21/09/2011	30	ENQ-0004722	Stage 1	Quality of Service	Telephone	waiting time on s/care 11/08/2011
Customer Services	Langtons & Registration	02/08/11	16/08/11	11	ENQ-0004106	Stage 1	Attitude of Staff	Complaints Form	Attitude of staff
Development & Building Control	Planning & Building Control	08/08/11	09/09/11	25	ENQ-0004495	Stage 1	Service Failure	Letter	Building Control Issues - 118 Squirrels Heath Road
Housing & Public Protection	Cemeteries & Crematorium	24/08/11	07/09/11	11	ENQ-0005988	Stage 1	Unable to access Service	Letter	Unable to access the Book of Remembrance in Romford Cemetery
Housing & Public Protection	Housing	02/08/11	18/08/11	13	ENQ-0004173	Stage 1	Quality of Service	Letter	Claims case has been mishandled on numerous occasions
Housing & Public Protection	Housing	04/08/11	23/08/11	14	ENQ-0004319	Stage 1	Quality of Service	Telephone	homes for havering not calling back
Housing & Public Protection	Housing	04/08/11	25/08/2011	16	ENQ-0004343	Stage 1	Attitude of Staff	Email	Housing Application - Allocation concerned over council garages being handed over to developers
Housing & Public Protection	Housing	08/08/11	01/09/11	19	ENQ-0004458	Stage 1	Council is Unreasonable	Telephone	Contesting decision by housing department to refuse mutual exchange
Housing & Public Protection	Housing	02/08/11	26/08/11	19	ENQ-0004171	Stage 2	Council is Unreasonable	Letter	
Housing & Public Protection	Housing	02/08/11	26/08/11	19	ENQ-0004073	Stage 1	Enquiry Response (No or Slow Response)	Complaints Form	Vacant Property
StreetCare	Highways & Street lighting	24/08/11	08/09/11	12	ENQ-0006029	Stage 1	Challenge Council decision	Telephone	Paving Slab Dispute
StreetCare	Highways & Street lighting	23/08/11	16/09/11	19	ENQ-0005947	Stage 1	Quality of Service	Telephone	new width restriction in Victoria Road too narrow
StreetCare	Parking	24/08/11	19/09/2011	19	ENQ-0006039	Stage 1	Delay in Service	Telephone	Delay in Parking Fine Refund
StreetCare	Parking	11/08/11	15/09/2011	26	ENQ-0004797	Stage 1	Attitude of Staff	Email	Complaint re CEO HG200
StreetCare	Street Cleansing & Trees	08/08/11	22/08/11	11	ENQ-0004454	Stage 1	Service Failure	Telephone	Overhanging Tree Branch
StreetCare	Street Cleansing & Trees	15/08/11	16/09/11	25	ENQ-0005006	Stage 1	Service Failure	Online	Street sweeping

Corporate Complaints Stats

April 2011

Date of report: 24 May 2011

Outstanding over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days	Reason for delay	Summary
				Open		
Development & Building Control	Planning Control & Enforcement: Developmer	07-Apr-11	1092628	29		Complaint regarding Planning, Environmental Health, Building Regulation Breaches, Gas Safety, Food Safety, & Environmental determinants of health
StreetCare	Highways & Street lighting: StreetCare	12-Apr-11	1093964	26		Insurance issue
Customer Services	Langtons & Registration: Customer Services	27-Apr-11	1097582	17		Registration of birth

Corporate Complaints Stats

May 2011

Date of report: 21st June 2011

Outstanding over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days		Summary
				Open	Reason for delay	
Asset Management	Transport Services: Asset Management	13-May-11	1102262	26		Pick up and drop off point
Development & Building Control	Planning Control & Enforcement: Developmer	11-May-11	1101434	28		Planning Application P0204.11 - 22 River Drive
Housing & Public Protection	Housing Services: Housing & Public Protector	04-May-11	1099216	33		Complaint about PSL
Housing & Public Protection	Housing Services: Housing & Public Protector	11-May-11	1101416	28		Re-housing request
Housing & Public Protection	Housing Services: Housing & Public Protector	13-May-11	1102092	26		Housing Needs
Housing & Public Protection	Housing Services: Housing & Public Protector	17-May-11	1103064	24		Vacant property
Housing & Public Protection	Housing Services: Housing & Public Protector	17-May-11	1103158	24		Housing Application
Housing & Public Protection	Housing Services: Housing & Public Protector	19-May-11	1103606	22		Council property
Housing & Public Protection	Housing Services: Housing & Public Protector	19-May-11	1103828	22		PSL flat above her property which is leaking
Housing & Public Protection	Housing Services: Housing & Public Protector	24-May-11	1104756	19		Staff member not returning calls
Housing & Public Protection	Housing Services: Housing & Public Protector	25-May-11	1104802	18		Housing Application
Legal & Democratic Services	Legal Services: Legal & Democratic Services	27-May-11	1105616	16		Councillor Peter Gardner and "Special Relationships"
StreetCare	Highways & Street lighting: StreetCare	11-May-11	1101378	28		Uneven Paving Slabs
StreetCare	Highways & Street lighting: StreetCare	12-May-11	1101818	27		Accident relating to open manhole

Corporate Complaints Stats

June 2011

Date of report: 25th July 2011

Outstanding over 10 days

Service Area	Complaint Area	SR Date	SR Number	Work Days Open	Reason for delay	Summary
Housing & Public Protection	Housing Services: Housing & Public Protection	16-Jun-11	1109220	27		Allocation issues

**Corporate Complaints Stats
July 2011**

Date of report: 02 September 2011

Outstanding over 10 days

Service Area	Regarding Service	Start Date	Case Number	Stage	Complaint Reason	Method of Contact	Summary	Complaint Status
Culture & Leisure	Grounds Maintenance	22/07/11	ENQ-0003303	Stage 1	Quality of Service Enquiry Response (No or Slow Response)	Telephone	damage to wall when grass was cut by s/care.	Open
Development & Building Control	Planning & Building Control	28/07/11	ENQ-0003802	Stage 1	Enquiry Response (No or Slow Response)	Email	COMPLAINT RE LACK OF RESPONSE/DELAY	Open
Housing & Public Protection	Housing	14/07/11	ENQ-0002642	Stage 1	Enquiry Response	Letter	lackof response to request for a housing transfer	Open
Housing & Public Protection	Housing	25/07/11	ENQ-0003332	Stage 1	Quality of Service	Email	Dissatisfaction with service from the Housing PSL team	Open
Housing & Public Protection	Housing	21/07/11	ENQ-0003252	Stage 1	Service Failure Enquiry Response (No or Slow Response)	Letter	Unhappy with response from careline	Open
StreetCare	Highways & Street lighting	21/07/11	ENQ-0003232	Stage 1	Response)	Online	Vehicle Crossing Application	Stage 1 - IO Assigned

**Corporate Complaints Stats
August 2011**

Date of report: 21 September 2011

Stage 1 and Stage2

Outstanding over 10 days

Service Area	Regarding Service	Stage 1		Complaint Reason	Method of Contact	Summary	Complaint Status	
		Start Date	Case Number					
Development & Building Control	Planning & Building Control	22/08/11	ENQ-0005733	Stage 1	Service Failure	Email	Planning Inforcement & Environmental Health issues Unhappy with offer of temporary accommodation (hostel)	Open
Housing & Public Protection	Housing	23/08/11	ENQ-0005930	Stage 1	Council is Unreasonable	Letter	Education	Open
Learning & Achievement	Education & Schools	26/08/11	ENQ-0006258	Stage 1	Policy Issue	Online	Parking disc increase	Open
StreetCare	Parking	16/08/11	ENQ-0005068	Stage 1	Council is Unreasonable	Online	Visitor permits	Open
StreetCare	Parking	16/08/11	ENQ-0005071	Stage 1	Council is Unreasonable	Online	Driving on a pavement as a shortcut	Open
StreetCare	Parking	17/08/11	ENQ-0005269	Stage 1	Policy Issue	Online		

**Corporate Complaints Stats
April 2011**

Date of report: 24 May 2011

Changed to not a complaint

Service Area	Complaint Area	SR Date	SR Number	Status	Work Days		Complaint Outcome	Summary
					Open	Reason changed		
Customer Services	Council Tax/Revenues: Customer Services	05-Apr-11	1091732	Closed	6	Service Request	Not a Corporate Complaint	Council Tax notification
Housing & Public Protection	Environmental Health & Licensing: Housing & F	19-Apr-11	1096248	Closed	4	Service Request		Noise Disturbance
Housing & Public Protection	Environmental Health & Licensing: Housing & F	15-Apr-11	1095100	Closed	6	Service Request		Noise Disturbance
Housing & Public Protection	Environmental Health & Licensing: Housing & F	04-Apr-11	1089972	Closed	2	Service Request	Not a Corporate Complaint	Noise in Market Place
Housing & Public Protection	Environmental Health & Licensing: Housing & F	15-Apr-11	1095110	Closed	6	Service Request		The Durham Arms Public House
Housing & Public Protection	Environmental Health & Licensing: Housing & F	21-Apr-11	1096828	Closed	2	Service Request		Vandalism to Main Entrance Glass
								Halal Stall outside closed pub (at the junction of South Street & Brentwood Road) has re-opened and is trading o/s designated area.
Housing & Public Protection	Environmental Health & Licensing: Housing & F	19-Apr-11	1096370	Closed	4	Service Request	Not a Corporate Complaint	Incorrect rent payments
Housing & Public Protection	Housing Services: Housing & Public Protection	06-Apr-11	1092072	Closed	1	Service Request	Issue addressed and resolved	
StreetCare	Highways & Street lighting: StreetCare	13-Apr-11	1094312	Closed	6	Non Council Government Legislation /		Roneo Corner traffic management
StreetCare	Parking: StreetCare	14-Apr-11	1094768	Closed	1	Statutory Procedure Government Legislation /	Not a Corporate Complaint	Penalty Charge Notice
StreetCare	Parking: StreetCare	04-Apr-11	1089942	Closed	9	Statutory Procedure Government Legislation /	Not a Corporate Complaint	Penalty Charge Notice
StreetCare	Parking: StreetCare	27-Apr-11	1097668	Closed	6	Statutory Procedure	Issue addressed and resolved	about blue badge department

**Corporate Complaints Stats
May 2011**

Date of report: 21st June 2011

Changed to not a complaint

Service Area	Complaint Area	SR Date	SR Number	Status	Work Days Open	Reason changed	Complaint Outcome	Summary
Customer Services	Benefit Street Name F-Z: Customer	18-May-11	1103364	Closed	1	Government Legislation /		Abundant Life re: Mr S Joao
StreetCare	Highways & Street lighting: StreetC	20-May-11	1104066	Closed	11	Statutory Procedure Service Request	Not a Corporate Complaint	Dangerous skip poor council workmanship of installing a new
StreetCare	Highways & Street lighting: StreetC	25-May-11	1104952	Closed	5	LBH Policy	Not a Corporate Complaint	lamppost outside my house
StreetCare	Highways & Street lighting: StreetC	13-May-11	1102256	Closed	12	Service Request	Not a Corporate Complaint	Pothole damage to vehicle
StreetCare	Parking: StreetCare	09-May-11	1100336	Closed	2	LBH Policy	Not a Corporate Complaint	Parking Disc
StreetCare	Parking: StreetCare	09-May-11	1100398	Closed	2	Service Request	No action required	Unresolved complaint
StreetCare	Parking: StreetCare	03-May-11	1098942	Closed	21	Government Legislation / Statutory Procedure	No action required	complaint about Civil Enforcement Officer HG425
StreetCare	Parking: StreetCare	18-May-11	1103374	Closed	1	Government Legislation / Statutory Procedure	Not a Corporate Complaint	Penalty Charge Notice HG22534504

Corporate Complaints Stats

June 2011

Date of report: 25th July 2011

Changed to not a complaint

Service Area	Complaint Area	SR Date	SR Number	Status	Work Days Open	Reason changed	Complaint Outcome	Summary
StreetCare	Highways & Street lighting: StreetC	17-Jun-11	1109304	Closed	4	Service Request	Not a Corporate Complaint	Footpath conditions
Housing & Public Protection	Housing Services: Housing & Public	20-Jun-11	1109514	Closed	6	Service Request		Hosuing issue
StreetCare	Parking: StreetCare	14-Jun-11	1108380	Closed	1	Government Legislation / Statutory Procedure	Not a Corporate Complaint	Failure to provide a request for information
StreetCare	Parking: StreetCare	14-Jun-11	1108400	Closed	1	Government Legislation / Statutory Procedure	Not a Corporate Complaint	PCN Appeal
StreetCare	Parking: StreetCare	01-Jun-11	1106188	Closed	6	Government Legislation / Statutory Procedure	Not a Corporate Complaint	Parking Ticket
StreetCare	Parking: StreetCare	07-Jun-11	1107350	Closed	2	Statutory Procedure	Not a Corporate Complaint	Penalty Charge Notice
StreetCare	Parking: StreetCare	15-Jun-11	1108746	Closed	1	Service Request	Issue addressed and resolve	Illegal Driving/Parking of a Motor Vehicle
StreetCare	Parking: StreetCare	08-Jun-11	1107548	Closed	1	Service Request	Issue addressed and resolve	Parking Enforcement
Development & Building Control	Planning Control & Enforcement: D	06-Jun-11	1107110	Closed	1	Service Request		Planning Application
Development & Building Control	Planning Control & Enforcement: D	16-Jun-11	1109106	Closed	1	LBH Policy		Planning permission
Finance and Commerce	Financial Services	16-JUN-2011	1109242	Closed	8	LBH Policy	Not a Corporate Complaint	I Pads for council workers
Finance and Commerce	Financial Services	14-JUN-2011	1108408	Closed	11	LBH Policy	Not a Corporate Complaint	ipads
Finance and Commerce	Financial Services	02-JUN-2011	1106374	Closed	19	LBH Policy	Not a Corporate Complaint	Payment of Travel Expenses

**Corporate Complaints Stats
July 2011**

Date of report: 02 September 2011

Changed to not a complaint

Service Area (Complaint)	Regarding Service	Case Number	Outside Corporate Complaint - Authorised	Outside Of Corporate Complaints Policy?	Reason why outside corporate complaint	Stage	Start Date	End Date	Summary
Culture & Leisure	Parks	ENQ-0002331	Authorised	Yes	Non Council	Stage 1	11/07/11		Damage to fencing
Housing & Public Protection	Housing	ENQ-0002338	Authorised	Yes	Government Legislation / Statutory Procedure	Stage 1	11/07/11		Lack of assistance
Housing & Public Protection	Housing	ENQ-0002438	Authorised	Yes	Service Request	Stage 1	12/07/11		Out of hours phone centre
Housing & Public Protection	Housing	ENQ-0002468	Authorised	Yes	Government Legislation / Statutory Procedure	Stage 1	12/07/11		Housing difficulties
StreetCare	Parking	ENQ-0002893	Authorised	Yes	Service Request	Stage 1	19/07/11		Penalty Charge Notice
Development & Building Control	Planning & Building Control	ENQ-0002899	Authorised	Yes	Service Request	Stage 1	19/07/11		Unsafe and unsecure building site
StreetCare	Waste & Recycling	ENQ-0003319	Authorised	Yes	Service Request	Stage 1	25/07/11	27/07/11	Street Mechanics in Lindfield and Brosley Roads

August 2011

Date of report: 21 September 2011

Changed to not a complaint

Service Area	Regarding Service	Case Number	Outside Corporate Complaints Policy	Reason why outside Corporate complaints	Stage	Stage 1	Stage 1	Summary
						Start Date	End Date	
Adult Social Care	Adult Social Care	ENQ-0006295	Yes	Service Request	Stage 1	26/08/11	01/09/11	Disability Grant
Children & Young Peoples Services	Childrens Services	ENQ-0006762	Yes	Government Legislation / Statutory Procedure	Stage 1	31/08/11	01/09/11	Foster Care
Culture & Leisure	Parks	ENQ-0004144	Yes	Non Council	Stage 1	02/08/11		Removal of dog waste bins Pages Wood
Housing & Public Protection	Housing	ENQ-0004317	Yes	Non Council	Stage 1	04/08/11	16/09/11	homes for having never contacting him back
Regeneration Policy & Planning	Regeneration	ENQ-0004940	Yes	Non Council	Stage 1	15/08/11		Syringe
StreetCare	Highways & Street lighting	ENQ-0004462	Yes	Service Request	Stage 1	08/08/11		Drains delay in restoring the white parking bays lines on the
StreetCare	Parking	ENQ-0005008	Yes	Service Request	Stage 1	15/08/11	22/08/11	highway after vehicle crossover installed
StreetCare	Parking	ENQ-0005231	Yes	Government Legislation / Statutory Procedure	Stage 1	17/08/11		Penalty Charge Notice Evidence
StreetCare	Parking	ENQ-0005483	Yes	Service Request	Stage 1	19/08/11		Parking Bays
StreetCare	Parking	ENQ-0006292	Yes	Government Legislation / Statutory Procedure	Stage 1	26/08/11		PCN
StreetCare	Parking	ENQ-0006420	Yes	Government Legislation / Statutory Procedure	Stage 1	30/08/11		disputing 2 parking tickets issued in 2008
StreetCare	Waste & Recycling	ENQ-0004428	Yes	Non Council	Stage 1	05/08/11		Attitude of staff
StreetCare	Highways & Street lighting	ENQ-0005219	Yes	Non Council	Stage 1	17/08/11		Car Park Lighting

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24 June 2011

Ms C Coppel
Chief Executive
London Borough of Havering
Town Hall
ROMFORD RM1 3BD

Dear Ms Coppel

Annual Review Letter

We are writing with our annual summary of statistics on the complaints made to us about your authority for the year ending 31 March 2011. We hope the information set out in the enclosed tables will be useful to you.

The statistics include the number of enquiries and complaints received by our advice team, the number that the advice team forwarded to my office and decisions made on complaints about your council. Not all complaints are decided in the same year that they are received. This means that the number of complaints received and the number decided will be different.

The statistics also show the time taken by your authority to respond to written enquiries and the average response times by type of authority.

Enquiries and complaints received

Last year there were 112 enquiries and complaints about your council, very similar to previous years. Of these, 47 complaints were regarded as premature because the council had not yet had an opportunity to deal with the matter itself, and in 15 cases enquirers were given advice. The remaining 50 complaints were forwarded to my investigative team to consider. The service areas with the highest numbers of forwarded complaints were housing (13), education and children's services (10), and planning and development (9).

As you know, we consider it important to deal with complaints as swiftly as possible and council response times to our enquiries are a significant factor in achieving timely outcomes. From formal enquiries made on 24 complaints this year, your average response time was 21.7 days, which is within the 28 day target and an improvement on last year's figure.

Complaint outcomes

We came to decisions on 42 complaints against your council. We closed 27 complaints because there was either no or insufficient evidence of fault to justify further investigation or where we exercised our general discretion not to pursue an investigation, generally because the level of injustice claimed was insufficient to justify expending further resources. We found another seven complaints were outside our jurisdiction.

10th Floor
Millbank Tower
Millbank
London
SW1P 4QP
T: 020 7217 4620
F: 020 7217 4621
W: www.lgo.org.uk
Advice Team: 0300 061 0614

Jane Martin
Local Government
Ombudsman
Nigel Ellis
Deputy Ombudsman

A 'local settlement' is a complaint where, during the course of our investigation, a council takes or agrees to take some action that we consider to be a satisfactory response to the complaint. Last year, 23% (8) of the complaints we decided against your authority which were within our jurisdiction were local settlements. Across England this figure was 27.1%, so the council's figure is close to the norm.

Housing

Three of the settlements involved housing repairs. In one case the council delayed in acting on various minor items of disrepair and other works needed by a tenant who was known to be vulnerable. Once this fault had been identified, the council was proactive in addressing the outstanding issues, agreeing to apologise and to pay compensation for the injustice caused. In another the council made a welcome offer of compensation after it had delayed for about 18 months in responding to a complaint from a property owner affected by a leak from the roof shared by her home and a council owned property. The council agreed to pay half the complainant's repair costs and compensation for its delay.

With a complaint from a homeless man with mental health problems we found the council had delayed for around two months in taking a homelessness application. It then placed the man in substandard temporary accommodation for ten weeks without properly addressing his concerns about poor conditions and disrepair there. Compensation was agreed to reflect the distress and uncertainty caused to the complainant.

Education & children's services

Two settlements related to education complaints. In one, the council delayed in carrying out a review at secondary school age of a statement of special educational needs for a boy whose place at a special school it had been funding. The council considered his needs could be met at a mainstream school, but his parents wanted him to remain at the special school. His parents kept him at the special school and were subsequently successful in their appeal for him to remain, but by then they had been liable for the school's fees. In the circumstances the council agreed to reimburse these.

Highways & transport

Another settlement came in a parking case where the council had issued a penalty charge notice and the complainant was incorrectly told he could pay the fine and still contest the validity of the notice. In response to the complaint, the council agreed he could restart the appeal process. The subsequent appeal to the parking adjudicator was successful, and the penalty was cancelled.

Communicating decisions

We want our work to be transparent and our decisions to be clear and comprehensible. During the past year we changed the way we communicate our decisions and reasons. We now provide a stand-alone statement of reasons for every decision we make to both the citizen who has complained and to the council. These statements replace our former practice of communicating decisions by letter to citizens that are copied to councils. We hope this change has been beneficial and welcome comments on this or any other aspect of our work.

In April 2011 we introduced a new IT system for case management and revised the brief descriptions of our decisions. Our next annual letter will use the different decision descriptions that are intended to give a more precise representation of complaint outcomes and also add further transparency to our work.

Extended powers

During 2010/11 our powers were extended to deal with complaints in two significant areas.

In October 2010 all complaints about injustice connected to adult social care services came under our jurisdiction. The greater use of direct payments and personalised budgets mean that it is particularly important for us to be able to deal with such complaints irrespective of whether a council has arranged the care. The increasing number of people who arrange and pay for their own social care now have the right to an independent and impartial examination of any complaints and concerns they may have about their care provider.

In the six months to April 2011 we received 89 complaints under our new adult social care powers. Between 2009/10 and 2010/11 complaints about care arranged or funded by councils doubled from 657 to 1,351.

The Apprenticeships, Skills, Children & Learning Act 2009 introduced powers for us to deal with complaints about schools by pupils or their parents. This was to be introduced in phases and currently applies in 14 council areas. By the end of 2010/11 we had received 169 complaints about schools in those areas and 183 about schools in other areas where we had no power to investigate. The Education Bill currently before Parliament proposes to rescind our new jurisdiction from July 2012.

Our new powers coincided with the introduction of treasury controls on expenditure by government departments and sponsored bodies designed to reduce the public spending deficit. This has constrained our ability to inform care service users, pupils and their parents of their new rights.

Assisting councils to improve

For many years we have made our experience and expertise available to councils by offering training in complaint handling. We regard supporting good complaint handling in councils as an important part of our work. During 2010/11 we surveyed a number of councils that had taken up the training and some that had not. Responses from councils where we had provided training were encouraging:

- 90% said it had helped them to improve their complaint handling
- 68% gave examples of how the knowledge and skills gained from the training had been applied in practice
- 55% said that complaints were resolved at an earlier stage than previously
- almost 50% said that citizens who complained were more satisfied.

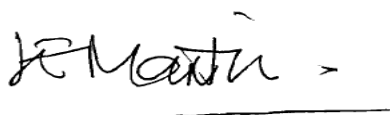
These findings will inform how we develop and provide training in the future. For example, the survey identified that councils are interested in short complaint handling modules and e-learning.

Details of training opportunities are on our web site at www.lgo.org.uk/training-councils/

More details of our work over the year will be included in the 2010/11 Annual Report. This will be published on our website at the same time as the annual review letters for all councils (14 July).

If it would be helpful to your council we should be pleased to arrange for a senior manager to meet and explain our work in greater detail.

Yours sincerely



Dr Jane Martin
Local Government Ombudsman

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For further information on interpretation of statistics click on this link to go to www.lgo.org.uk/CouncilsPerformance

LGO Advice Team

Enquiries and complaints received	Adult Care Services	Benefits & Tax	Corporate & Other Services	Education & Childrens Services	Environmental Services & Public Protection & Regulation	Highways & Transport	Housing	Other	Planning & Development	Total
Formal/informal premature complaints	1	7	0	4	7	4	22	0	2	47
Advice given	0	1	0	6	1	1	5	1	0	15
Forwarded in investigative team (resubmitted)	0	2	1	2	1	0	3	1	2	12
Forwarded to investigative team (new)	3	2	2	8	1	3	10	2	7	38
Total	4	12	3	20	10	8	40	4	11	112

Investigative Team

Decisions	Reports: maladministration and injustice	Local settlements (no report)	Reports: Maladministration no injustice	Reports: no Maladministration	No Maladministration (no report)	Ombudsman's discretion (no report)	Outside jurisdiction	Total
2010 / 2011	0	8	0	0	12	13	7	40

Adult social care decisions made from 1 Oct 2010*

	Not to initiate an investigation	Total
2010 - 2011	2	2

*These decisions are not included in the main decisions table above. They use the new decision reasons from 1/10/10.

Response times	First enquiries	
	No of first Enquiries	Avg no of days to respond
01/04/2010 / 31/03/2011	24	21.7
2009 / 2010	31	29.7
2008 / 2009	32	24.2

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Provisional comparative response times 01/04/2010 to 31/03/2011

Types of authority	<= 28 days %	29 - 35 days %	> = 36 days %
District councils	65	23	12
Unitary authorities	59	28	13
Metropolitan authorities	64	19	17
County councils	66	17	17
London boroughs	64	30	6
National parks authorities	75	25	0



ADJUDICATION & REVIEW COMMITTEE

26 October 2011

BRIEFING

Introduction:

This briefing aims to provide an overview of conclusions reached by the Local Government Ombudsman in investigations concluded during the year April 2010 / March 2011 which were either Maladministration (with or without injury), and Local Settlement with penalty and to show which service areas were involved and what compensation was paid to the complainants over and above other remedial work which itself would have some cost implication.

Analysis:

The table below shows the service area, finding, award and gives a brief description of what that penalty was for.

Service	Notes/Details of penalty	Amount
HiH – Repairs	Compensation	900.00
HiH – Repairs	Compensation & 50% cost of roof	150.00
	Cost to Council via HiH	652.50
		1,702.50
Housing Needs	Compensation (plus appt with OH)	250.00
Children Svce (SEN)	Compensation & refund of school fees	300.00
		15,000.00
Housing Needs	Compensation	300.00
Additional Educational Needs	Compensation & letter of apology	250.00
	Cost to Council:	16,100.00
	Total costs for the year:	17,802.50

Observations:

The above represent less than 8% of Ombudsman activity (last year, the figure was around 15%) and the settlement figure for the year is seriously skewed by the Ombudsman's awarding a refund of school fees in one case. Even with that, the cost to the Council for 2009/10 was £5,650.00 out of a total of £8,954.20 whilst in 2008/09 the sum was £21,820.00, of which £20,565.00 was the responsibility of the Council. Again, the figure is distorted by a single award of £20k in respect of the Council's previous finding of Maladministration. [A recent (September) finding of Maladministration – also relating to Housing – has attracted a penalty of £5,000 – to be confirmed].

Current Position:

The LGO continues to be headed up by Dr Jane Martin following the retirement of Tony (now Sir Anthony) Redmond, though – it is rumoured - a new Ombudsman may be appointed during the autumn. During the year, the LGO's Advice Team (based in Coventry) has become more settled into its filtering role. In the Council's new CRM system, the Advice Team's contact details are being added to the standard wording in the letters / e-mails sent to complainants at the end of each stage of the complaints process. Apart from a sensible way of informing complainants about their rights to request the Ombudsman to consider issues with Council departments, the Ombudsmen are now becoming more insistent that the provision of this sort of information is necessary in any complaint in order to ensure proper transparency.

The Ombudsman is also making more use of the "informal" approach to ascertain whether an investigation is the correct course of action. By informal in this sense, I mean that the Council receives a request for confirmation as to whether the Council is already dealing with the complaint and if it is, where it is in the complaints process. This usually comes from the Advice Team and the Council is given 10 working days in which to respond, but this year there have been two instances of similar approaches from Investigators (and in one of those the Council was given *five* days in which to respond). Changes in the working methods mean that the monitoring and management of the Ombudsman's business has to be modified and refined in order to ensure the Council's high standard of response is returned as often as possible within the 28 days response period.

Future Developments:

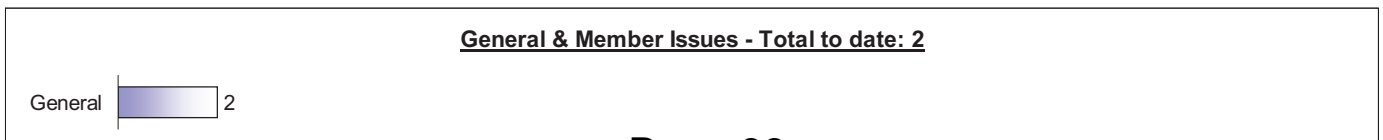
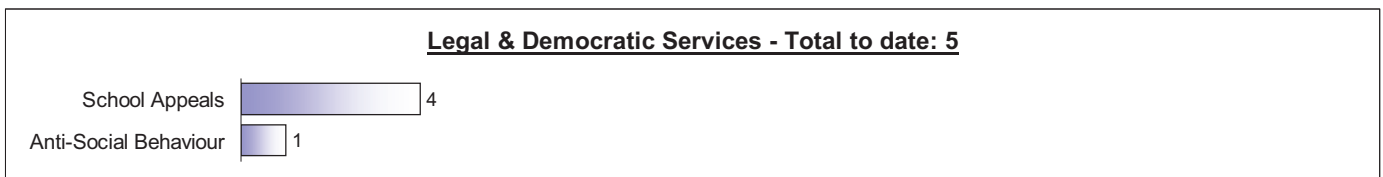
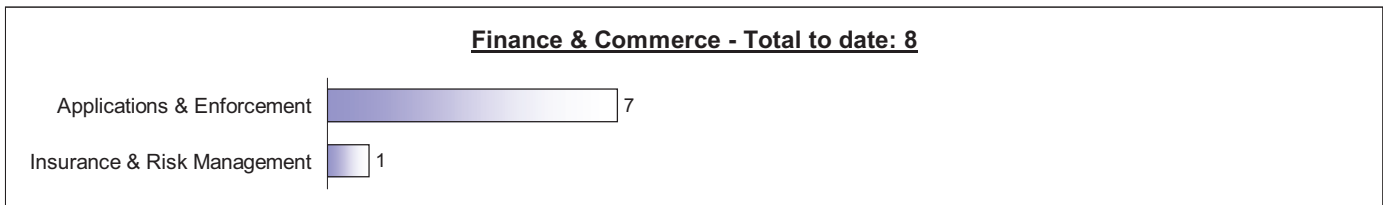
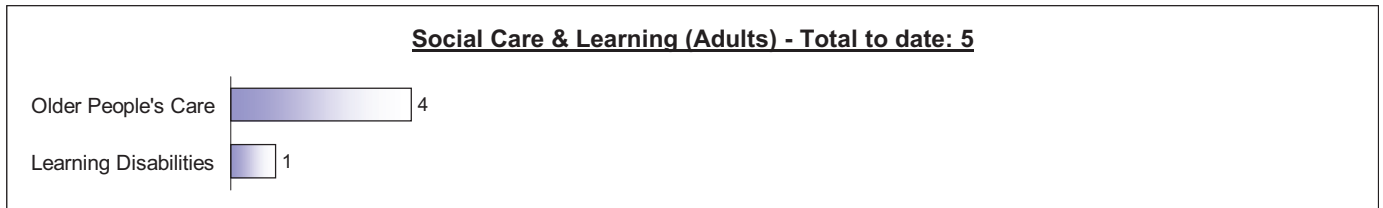
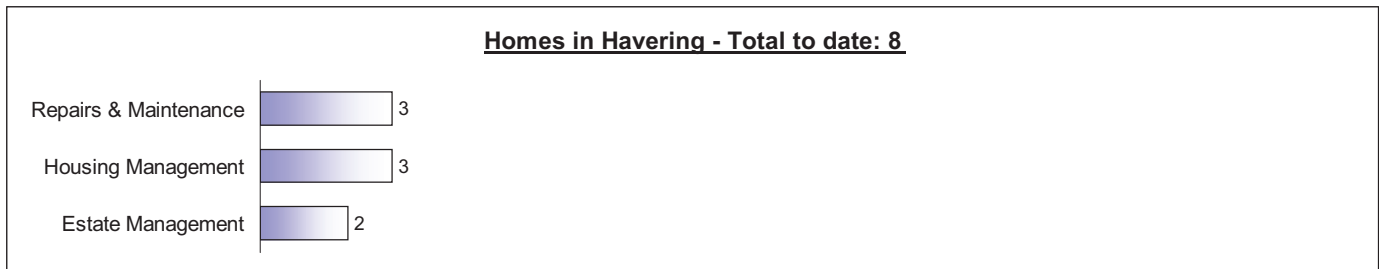
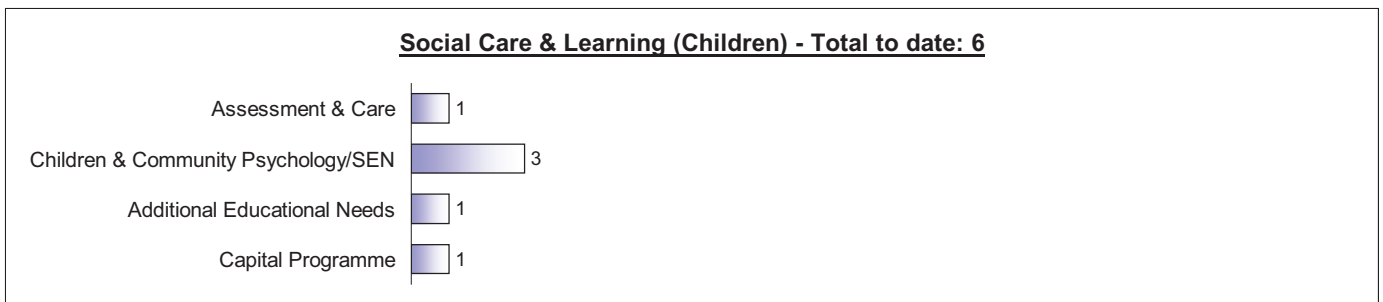
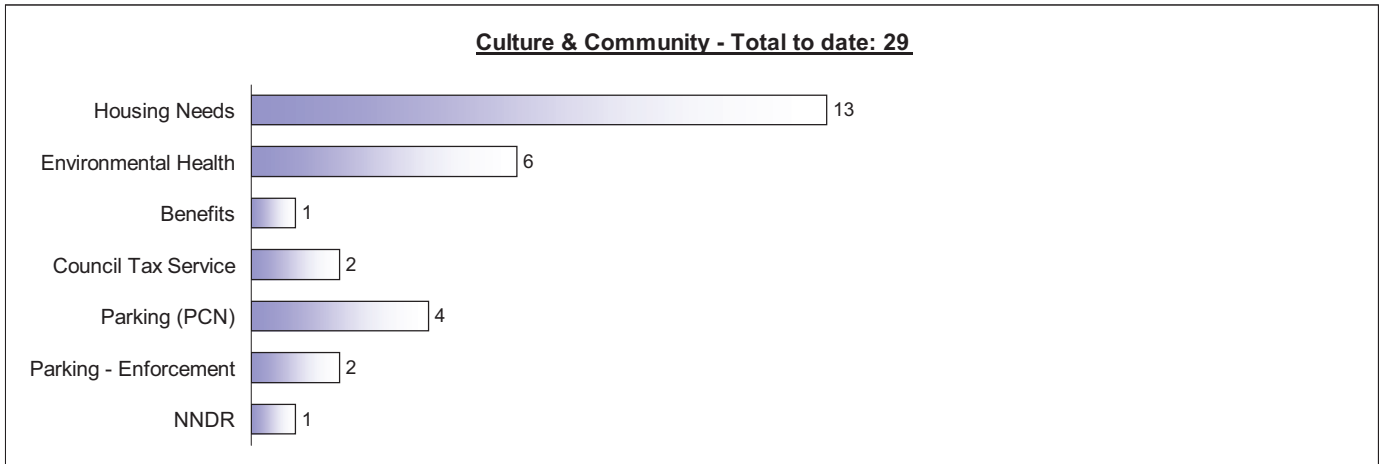
In July I attended a meeting of the Public Sector Complaints Network where Dr Martin and the Housing Ombudsman Dr Mike Biles presented what we hoped was going to be a "road map" for the way in which public sector housing was to be dealt with between the two ombudsmen. After an hour it became apparent that either neither of them genuinely had any real idea how the process was to function (referring to the fact that the matter was still in the House of Lords and then had to re-pass the Commons), or they were being very careful about what they said. The result was that we were none the wiser.

The change in Education provision, with the creation of Academies, means that the LGO's involvement with school appeals is greatly lessened. Whilst it was envisioned that the Ombudsman's authority would be extending into school management, this remains a pilot scheme and may not materialise. Appeals against Independent Panels' decisions made for academy places are now to the Secretary of State for Education in the form of the Young Peoples Learning Agency. It will be interesting to see how that works, but it should be noted that Havering has not had any large number of Education appeals challenged – and those that were have invariably been found to be without merit.

Finally, the Ombudsman has new powers and scope to investigate Adult Social care complaints – particularly in respect of care homes - and it is important that when reviewing and revising monitoring procedures, the advice offered by the Ombudsman should be incorporated wherever appropriate. Failure to do so could well leave the Council open to criticism and even findings of maladministration. With this in mind, a member of Adult Social Care responsible for complaint handling, attended a training seminar on that subject at Millbank Tower on 12 September. The Service reports that it appeared as though the Council was already applying many of the recommendations being presented

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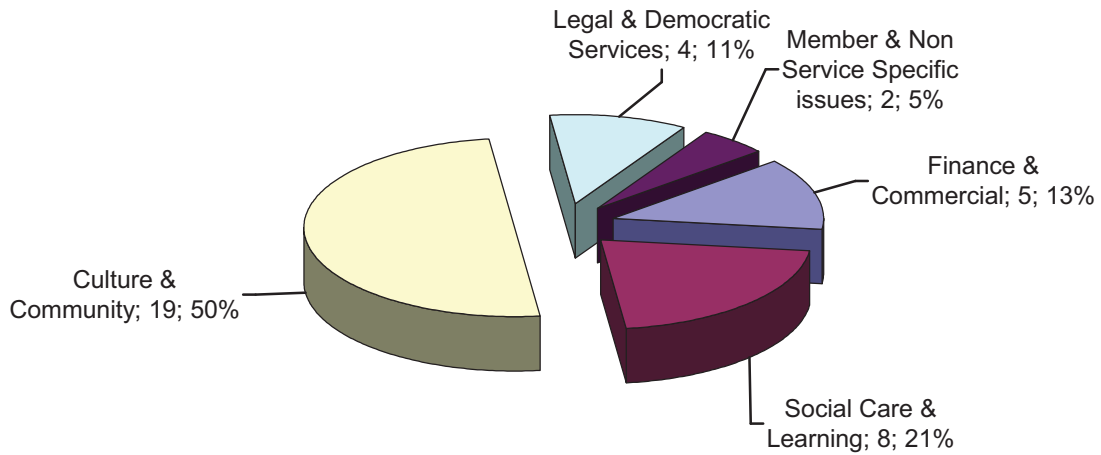
Ombudsman investigations: By Service Area in Agenda Item 10
From 1 April 2011



Evaluation of Ombudsman Activity

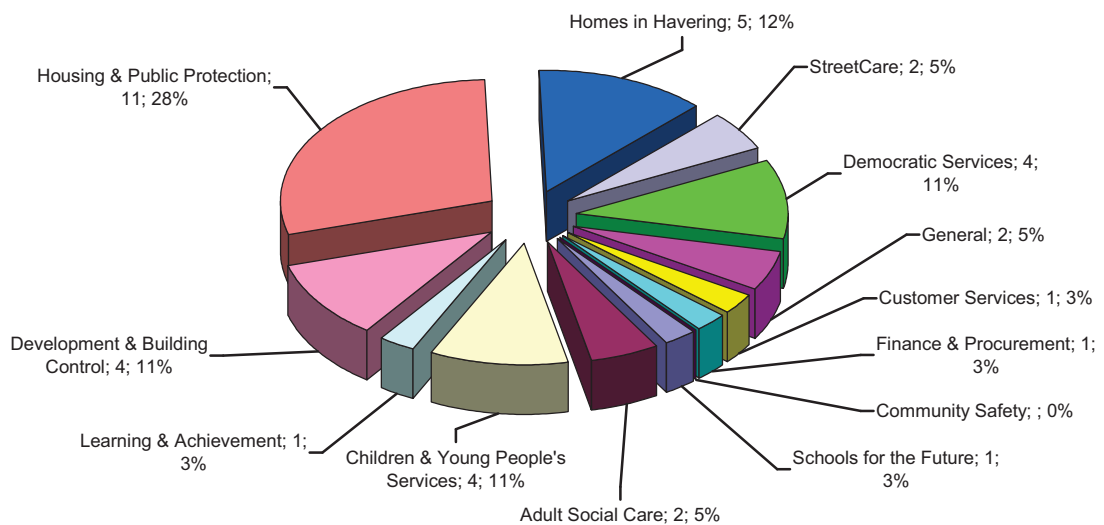
Directorate Involvement - Total of complaints from the LGO (whether *investigated* or not) to 30 September 2011: 38

Referrals from the Ombudsman dealt with as Corporate Complaints (Prematures) are not shown



Service Area Involvement - Total of complaints from the LGO (whether *investigated* or not) to 30 September 2011: 38

Referrals from the Ombudsman dealt with as Corporate Complaints are not shown

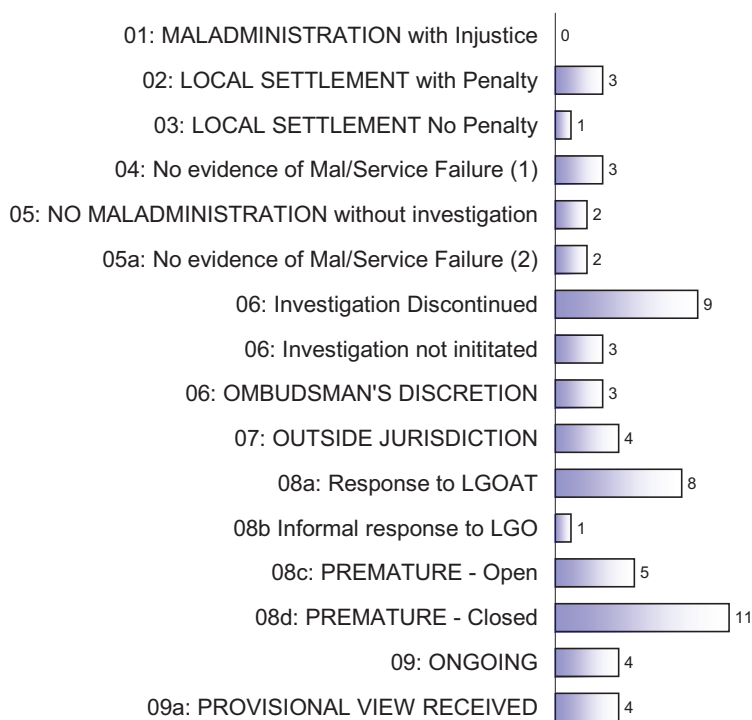


Evaluation of Ombudsman Activity

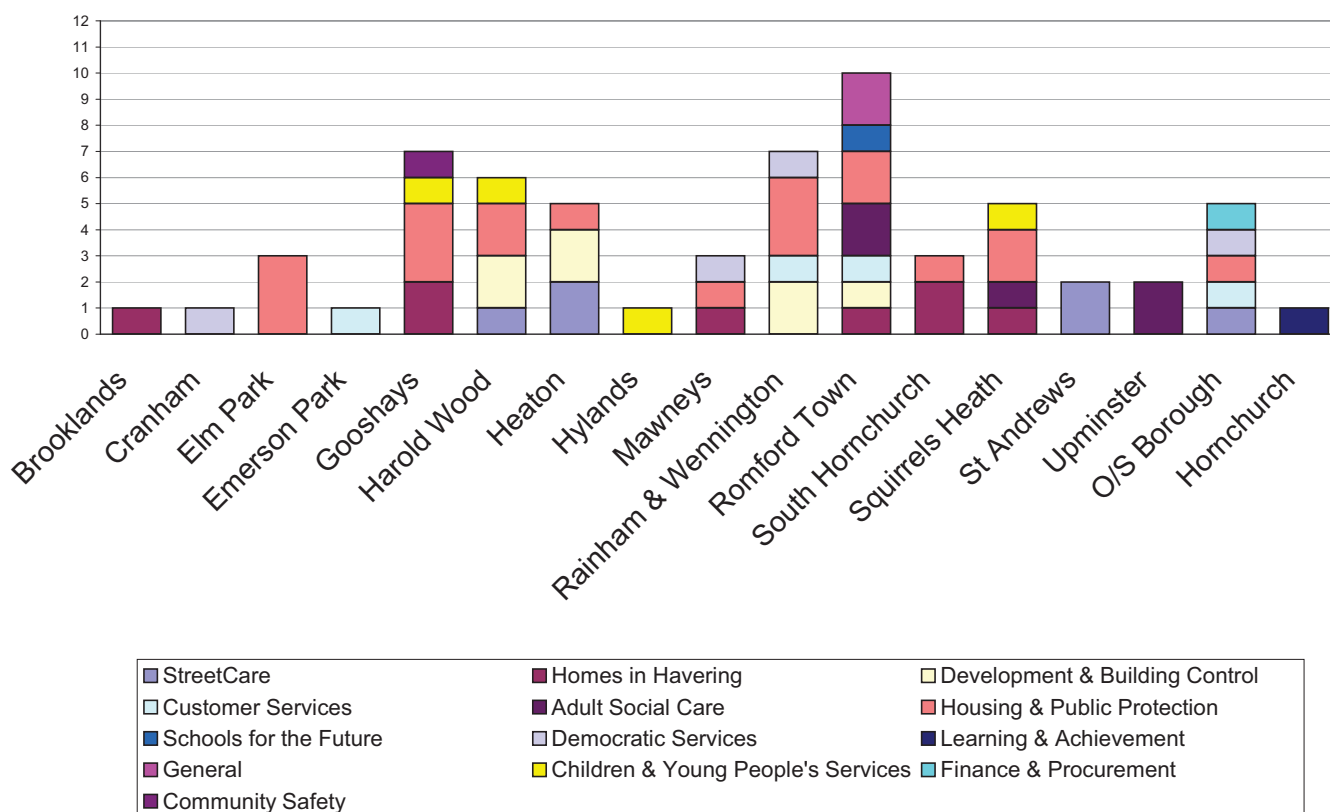
Total of ALL complaints received between 1 April & 30 September 2011: 52

(including Premature complaints referred back to the Council & dealt with under the Corporate Complaints Procedure)

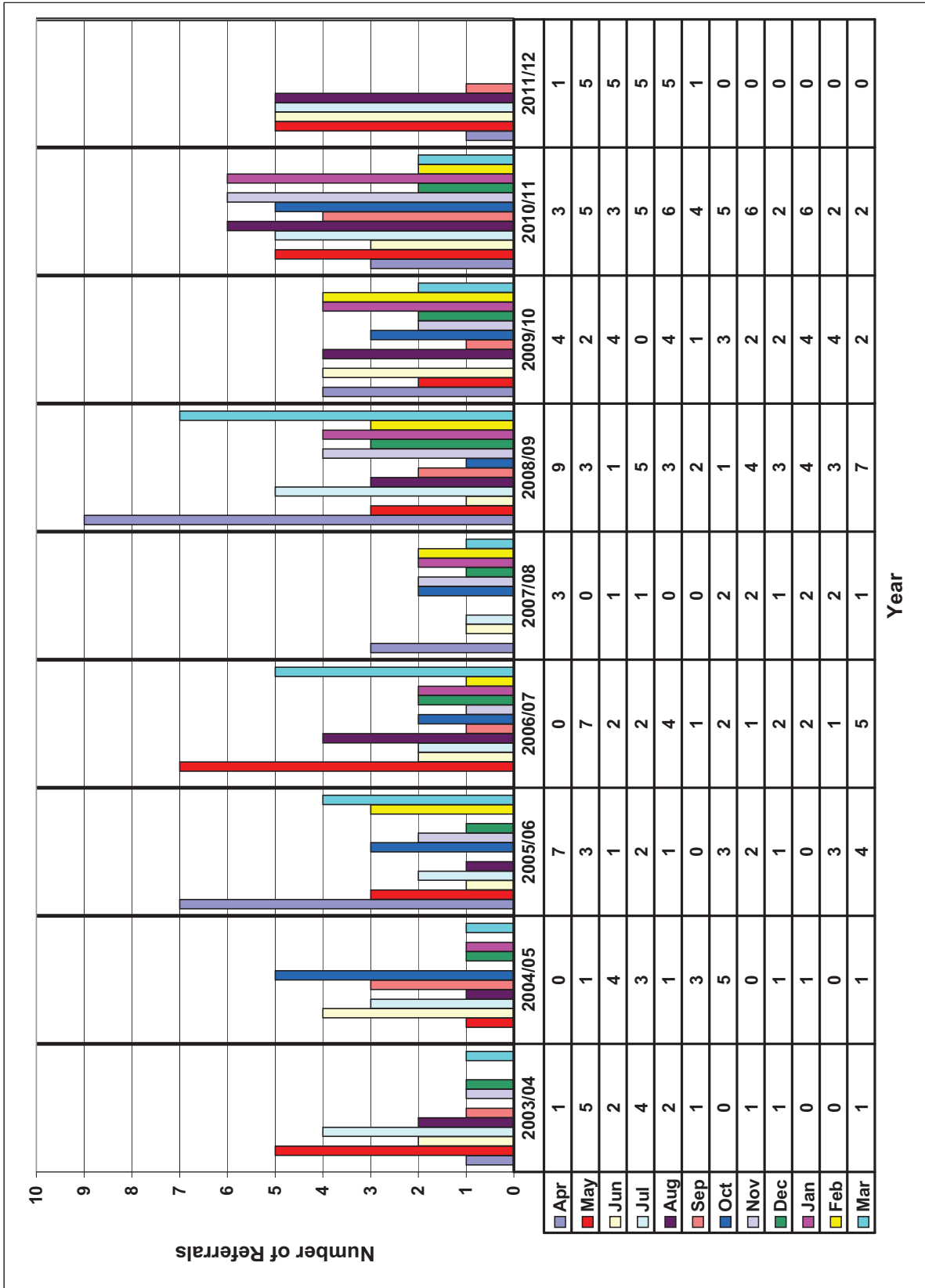
Plus: complaints brought forward from 2010/11: 11



Total of ALL complaint elements to 30 September 2011: 63
including 11 brought forward from 2010/11.



LGO Referrals - Premature Complaints - year-on-year



Year	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11	2011/12	Grand Total
Prematures:	18	20	27	29	15	45	32	49	22	257
Cases Referred:	51	60	52	83	71	46	59	45	27	494
Total:	69	80	79	112	86	91	91	94	49	751

Local Government Ombudsman Complaint Elements - by Service 1 to 30 September 2011:

(Includes 11 complaints elements (10 cases) brought forward from 2010/11)

2011/12 BVPI target for maladministration is 0 and for local settlement (with penalty) is no more than 8

	Culture & Community				Social Care & Learning				Finance & Commerce		Complaint Elements under Investigation	Complaint Elements Received	Completed/Omb D./OSJ/No Inv.	Premature - or LGOAT answered	Total of Complaint Elements
	ACE	Culture & Leisure	StreetCare	Customer Services (CT Issues, Benefits & NDR)	Housing & Public Protection	Homes in Havering	Children and Young People's Services	Learning & Achievement	Schools for the Future	Adult Social Care					
Complaints under investigation - "A":	1	0	1	0	2	0	1	0	0	0	0	0	0	0	0
Provisional Views Received - "B":	0	0	0	2	1	0	0	0	0	0	0	5	4	30	63
Complaints determined:															
Maladministration	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Local Settlement with Penalty	0	0	0	0	0	1	0	0	0	0	0	0	0	3	3
Local Settlement no Penalty	0	0	0	0	0	1	0	0	0	0	0	0	0	1	1
No Evidence of Mal/Svce Failure (1)	0	0	0	0	0	0	0	1	0	0	0	0	0	3	3
No Evidence of Mal/Svce Failure (2)	1	0	0	0	1	0	0	0	1	0	0	1	0	4	4
Investigation not started / Investigation Discontinued	2	0	1	0	4	2	2	0	0	0	2	1	0	15	15
Outside Jurisdiction	0	0	0	0	1	1	0	1	0	0	0	0	0	4	4
Cases Completed - not Premature - "C":	3	0	1	0	8	5	3	1	1	2	1	3	2	30	30
Prematures & informal LGO & LGOAT enquiries - "D":	1	0	4	2	8	3	0	0	0	3	0	3	0	24	24
Totals - A, B, C & D:	5	0	6	4	19	8	4	1	1	5	1	0	7	2	63

Local Government Ombudsman Referrals: 1 April 2011 – 31 March 2012 - Analysed by Month

59 Cases referred by the Ombudsman (may contain more than one COMPLAINT element)

10 Cases (Investigations) were b/fwd from 2010/11

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
New Cases were reported from 1 April 2011 to date - by month	4	9	9	13	12	2	0	0	0	0	0	0
were Premature - normally L2 (but incl. LGO/LGOAT informal enquiries)	1	5	5	5	5	1	0	0	0	0	0	0
12 were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion etc.)	1	3	2	2	4	0	0	0	0	0	0	0
and 21 Investigations were completed overall - analysed by month:	4	2	3	3	3	6	0	0	0	0	0	0
Leaving 4 Cases currently Ongoing, Provisional Views received, or to be c/fwd (if open at 31 March)												

During the year to date **14** new cases have been responded to in an average of

There has/have also been **15** new cases which have not needed a response

There is/are currently **3** complaints - including L2 referrals - awaiting initial response

The Ombudsman's anticipated response time is currently **28 calendar** days

cases brought forward from 2010/11, were responded to in an average of

The average of all **24** investigations requiring a response is

23 days

22 days

6 Cases (Investigations) were b/fwd from 2009/10

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
New Cases were reported from 1 April 2010 to date - by month	5	7	5	14	10	7	9	9	4	10	8	6
were Premature - normally L2 (but incl. LGOAT 10 day enquiries)	3	5	3	5	6	4	5	6	2	6	2	2
19 were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion etc.)	0	0	2	5	2	1	1	0	0	4	2	2
and 21 Investigations were completed overall - analysed by month:	2	0	1	0	5	3	3	1	2	2	1	1
Leaving 11 Cases (Investigations) currently ongoing or to be c/fwd (if open at 31 March)												

During the year to date **26** new cases have been responded to in an average of

There has/have also been **21** new cases which have not needed a response

There is/are currently **2** complaints - including L2 referrals - awaiting initial response

The Ombudsman's anticipated response time is currently **28 calendar** days

cases brought forward from 2009/10, were responded to in an average of

The average of all **32** investigations requiring a response is

21 days

23 days

6 Cases (Investigations) were b/fwd from 2008/09 (Responses on 2 were outstanding at 31 March)

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
New r/investigation(s) was/were reported from 1 April 2009 to date - by month	10	7	12	6	11	7	7	8	7	6	4	6
was/were Premature cases - normally L2 (but incl. LGOAT answers)	4	2	4	0	4	1	3	2	2	4	4	2
26 was/were not subject to Investigation(s)	2	1	4	2	3	5	0	2	3	2	0	2
and 34 Investigation(s) was/were completed overall - analysed by month:	0	0	4	4	3	3	3	5	2	3	1	6
Leaving 5 Cases (Investigations) Open or c/fwd												

During the year to date **39** new case(s) has/have been responded to in an average of

There has/have also been **56** new case(s) which has/have not needed a response

There is/are currently **2** complaint(s) awaiting initial response

The Ombudsman's anticipated response time is currently **28 calendar** days

cases brought forward from 2007/08, were responded to in an average of

The average of all **45** investigations requiring a response is

26 calendar days

30 days

26 days