



Haverling

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

ADJUDICATION AND REVIEW COMMITTEE AGENDA

7.30 pm	Thursday 17 October 2013	Town Hall Romford
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Members 11: Quorum 4

COUNCILLORS:

Conservative Group (5)	Residents' Group (2)	United Kingdom Independence Party (1)	Labour Group (1)	Independent Residents' Group (1)
Frederick Thompson (Vice Chair) Robert Benham Rebecca Bennett Pam Light Barry Oddy	Barbara Matthews (Vice-Chair) John Mylod	Ted Eden (Chairman)	Denis O'Flynn	Michael Deon Burton

**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 DISCLOSURE OF PECUNIARY INTERESTS

Members are invited to disclose any pecuniary interest in any of the items on the agenda at this point of the meeting.

Members may still disclose any pecuniary interest in an item at any time prior to the consideration of the matter.

4 MINUTES (Pages 1 - 4)

To approve as correct the minutes of the meeting held on 11 April 2013 and authorise the Chairman to sign them.

5 HOUSING COMPLAINTS (Pages 5 - 14)

Members are invited to consider a report concerning the various strategies employed by the Housing Services to deal with tenants' complaints.

6 CORPORATE COMPLAINTS - MEMBERS/MPS ENQUIRIES (Pages 15 - 30)

A presentation by the Head of Exchequer Services

7 LOCAL GOVERNMENT OMBUDSMAN - ANNUAL LETTER JUNE 2013 (Pages 31 - 38)

Members are invited to note the Annual Letter and decide whether it should be circulated to the Overview and Scrutiny committees.

8 LOCAL GOVERNMENT OMBUDSMAN STATISTICAL UPDATE: 1 APRIL - 30 SEPTEMBER 2013 (Pages 39 - 58)

Members are invited to consider the attached statistical information and decide whether they would like some or all of the data sent to them on a monthly basis in future

9 STAGE THREE ACTIVITY 1 APRIL - 30 SEPTEMBER 2013 - ORAL UPDATE

Details of the complaints escalated to Stage Three will be tabled at the meeting.

Andy Beesley
Committee Administration Manager

Public Document Pack Agenda Item 4

**MINUTES OF A MEETING OF THE
ADJUDICATION AND REVIEW COMMITTEE
Town Hall
11 April 2013 (7.30 - 8.30 pm)**

Present:

COUNCILLORS

Conservative Group	Ted Eden (Chairman), Frederick Thompson (Vice-Chair), Robert Benham, Eric Munday, Barry Oddy and Linda Trew
Residents' Group	John Mylod
Labour Group	Denis O'Flynn

Apologies were received for the absence of Councillor Barbara Matthews.

The Chairman reminded Members of the action to be taken in an emergency. There were no declarations of pecuniary interest.

17 MINUTES

The Minutes of the Meeting held on 6 November 2012 were agreed and signed by the Chairman.

18 ORAL UPDATE ON COMPLAINTS

The Head of Customer Services provided Members with an oral report of corporate complaints and MP/Member enquiries for the four month period 1 October 2012 to the end of January 2013. The Head of Customer Services apologised for the shortened period but explained that whilst the CRM system had been updated, there had been problems (notably with a failure of the automatic reminders) along with other issues and this situation had been exacerbated by the demise of the software company 2e2 – though he was able to reassure Members that efforts had been made to secure the services of as many programmers as possible and bring them “in house” in order to complete the work and ensure CRM's continued integrity.

He also informed Members that the problems with the system accounted for some of the poorer performance figures within the report.

Members were disappointed with the problems being experienced, but considered that staff were to be commended for coping with the increase in both complaints and Member/MP enquiries whilst having to work around the CRM problems.

The Head of Customer Services further explained that due to the problems currently being experienced, it had not been possible to deliver either of the Committee's requests which had been the outcome of his presentation in November. He assured the Committee that once the problems had been resolved he would arrange for Members to see the CRM system in action and also ensure that all OSCs received regular updates.

The Committee **noted** the oral report and repeated its request for the Head of Customer Services to make arrangements for:

- Information concerning complaints etc to be made available to each of the appropriate Overview and Scrutiny committees on a regular basis and
- To make arrangements for Members to see the CRM System in action, once it became feasible to do so.

19 **CHANGES WITHIN STAGE THREE OF THE CORPORATE HEARINGS PROCESS**

Members were informed that the report before them was for the IAPs to be formally incorporated into the Constitution. The Committee was reminded that IAPs had been modelled on those of the former Standards Committee to sift out matters which were not appropriate for full hearings, whilst still fulfilling the requirement that they be considered by Councillors.

Over the past three years, the IAPs had evolved into an integral part of the Stage Three process with its meetings being set up as regular monthly meetings (formal hearings would remain ad-hoc). There was some concern that in order to avoid any awkwardness in the future if a complainant challenged the validity of an IAP decision not to allow a hearing, it would now be appropriate for the IAP to be included in the Constitution so that its status could not be challenged.

The Committee **approved** the continued use of Initial Assessment Panels and **resolved** to invite the Governance Committee to **recommend** to Council that the following changes should be made to the Constitution Part 3, 1.2 Functions delegated to general council committees:

Add wording in "Hearings Panels, General hearings" to read:

"Initial Assessment Panels – To assess complaints referred to Members for their adjudication under the agreed Corporate Complaints procedure"

And amend existing wording to read:

"To consider complaints by service users referred to them by Initial Assessment Panels relating to the service made available to them in accordance with the authority's agreed Corporate Complaints procedure."

20 **CHANGES BY THE LOCAL GOVERNMENT OMBUDSMAN AFFECTING HAVERING**

The Committee was informed that recent changes to the funding of the LGO's office meant that she had to radically reorganise the way in which her service interacted with both complainants and councils. The most significant impact on the Council was a dramatic reduction in Ombudsman investigation activity. The LGO was now referring more complainants back to councils and there had been a rise in the number of enquiries and "premature" complaints had taken the place of investigations. Where investigators had assessed – or reviewed – complaints, the only notifications from the LGO had been either outside jurisdiction or decisions not to investigate. Members were informed that at 31 March, there had been no live investigations to be carried forward to 2013/14. This had been unprecedented.

The Committee was alerted to the possibility of an increase in requests for complaints to progress to Stage Three. Members were reminded that with the return of housing to the Council, all the complaint handling which had been the responsibility of Homes in Havering would – once the reintegration had been completed – impact on the Council's complaints statistics. Escalated housing complaints were already beginning to appear on the IAP listing.

Members were reminded that as from 1 April 2013, complaints about repair and maintenance of the Council-owned housing stock had been transferred to the Housing Services Ombudsman whilst the Local Government Ombudsman retained jurisdiction for other housing related issues. How this would work in practice could not be predicted as the Ombudsmen themselves had no clear idea what the practical implications would be. The Committee would be kept fully informed about developments.

The Committee **noted** the report.

Chairman

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**ADJUDICATION & REVIEW
COMMITTEE
17 OCTOBER 2013**

Subject Heading:

HOUSING COMPLAINTS

CMT Lead:

Joy Hollister, Group Director – Children, Adults and Housing

Report Author and contact details:

Sue Witherspoon, Head of Housing & Homes
Sue.witherspoon@havering.gov.uk
01708 433 747

Policy context:

Council housing and tenancy issues

Financial summary:

None directly associated with this report

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

Ensuring a clean, safe and green borough	<input type="checkbox"/>
Championing education and learning for all	<input type="checkbox"/>
Providing economic, social and cultural activity in thriving towns and villages	<input type="checkbox"/>
Valuing and enhancing the lives of our residents	<input type="checkbox"/>
Delivering high customer satisfaction and a stable council tax	<input checked="" type="checkbox"/>

SUMMARY

- 1.1 This report provides the Committee with the number and outcome of complaints and Member Enquiries for housing services over the recent twelve month period. Since the return of the ALMO (Homes and Housing) to the Council there has been a phased integration of all housing services. However in respect to the logging of complaints and Member Enquiries full integration onto a single system has yet to be completed.
- 1.2 This report integrates information where possible though in some cases the information is not comparable. For this report where the information is

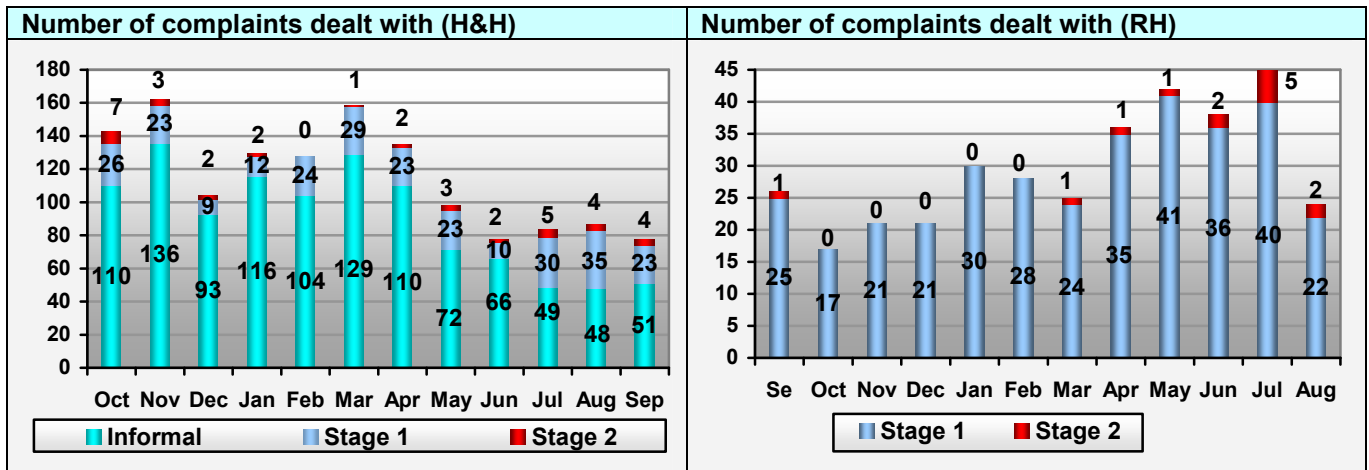
separate data for the former ALMO is identified as **H&H** and for the former Retained Housing as **RH**.

RECOMMENDATIONS

- 2.1 To note the contents of the report.
- 2.2 To receive a further report concerning the integration of the complaints functions of the different arms of the Housing Service.

REPORT DETAIL

All Complaints

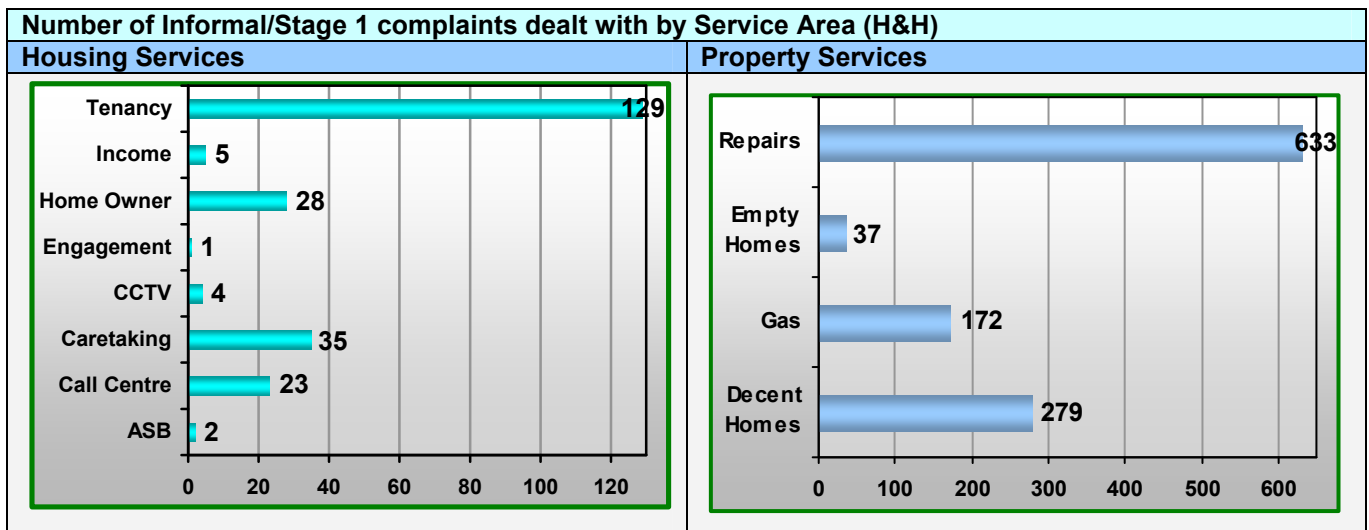


- 3.1. In the last twelve months 1296 complaints have been received by H&H which is a marginal increase on the previous twelve months (1273).
- 3.2. Complaints hit a peak twice during the year. The first peak was during the start of the autumn when complaints about damp and heating start to increase. The second peak is at the end of the financial year (March/April) and may be due to programmes coming to an end or delayed starts.
- 3.3. In the last year H&H had 35 complaints escalating to Stage 2 accounting for less than 3% of all complaints received.
- 3.4. The former Retained Housing (RH) service also receives a significant number of complaints. Over the last year 310 complaints were received at Stage 1. Of these 13 escalated to Stage 2 which equates to 4% of complaints received.
- 3.5. Very few complaints escalate to Stage 2 of the process demonstrating that the procedure for H&H and RH is robust for resolving issues.

Adjudication & Review Committee 17 October 2013

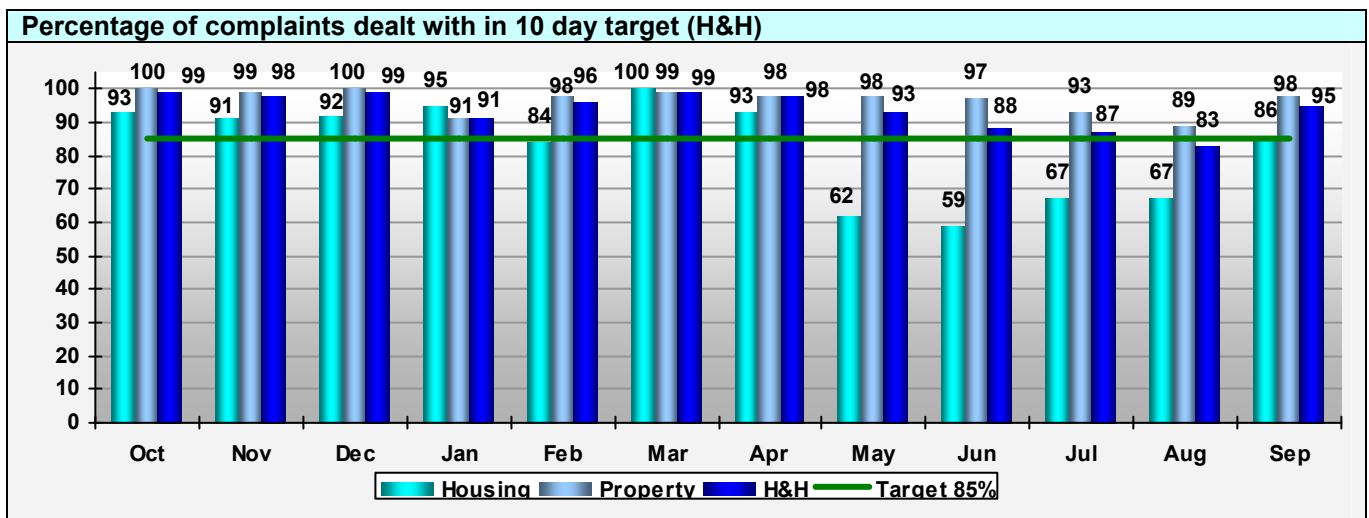
3.6 Across the council a total of 1571 Informal/Stage 1 complaints were received between October 2012 and September 2013.

Homes and Housing Informal/Stage 1 Complaints



4.1 Property Services receive the majority of Informal and Stage 1 complaints, a total of 1121. Of these over half (633) concern repairs. Housing Services received a total of 227 complaints.

Performance H&H



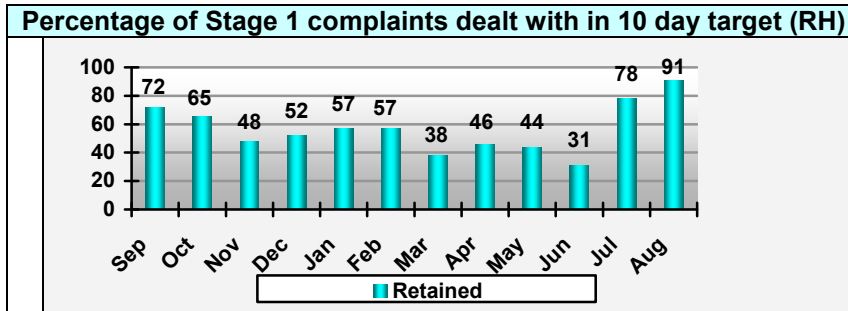
5.1 Entry into the complaints process is either at Informal or at Stage 1. Both are formal stages of the process but where a complaint can be dealt with quickly and more importantly directly with the resident the complaint is logged as Informal.

5.2 The expectation with an Informal complaint is that the resident is contacted within 2 days by telephone and it is explained how the issue is to be resolved and when. The complaint is then monitored to ensure that H&H does what it has promised to do.

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5.3 A response to a complaint is required within 10 days. The corporate target for responses is 85% within 10 days. Homes and Housing failed to achieve this target once during the last year. Although 10 days is the target it is the intention of H&H to turn complaints around in as short a time as possible whilst maintaining a high level of quality. The impact of Informal complaints has led to an average turnaround of 3.4 days.

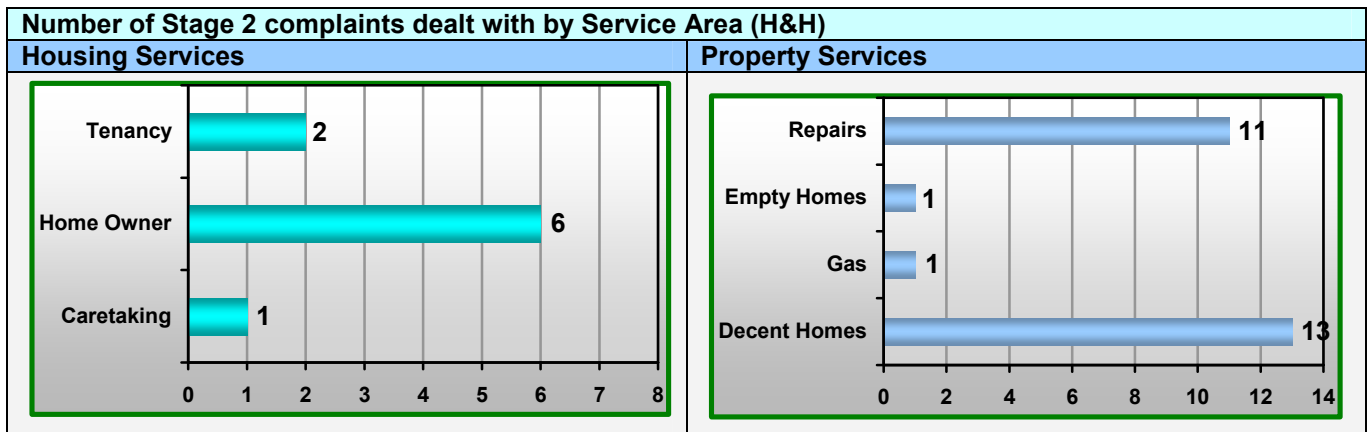
Performance RH



6.1 The RH target for a response to a Stage 1 complaint is also 10 days. Response rates are more volatile than for other Housing services.

6.2 Some of the RH processes have recently been reviewed to improve performance. This has proved to be successful as evidenced in August. However a full review of the service will be carried out as part of the transition plan and long term service improvements implemented accordingly to ensure the level of service achieved in August is maintained.

Stage 2 Complaints H&H & RH

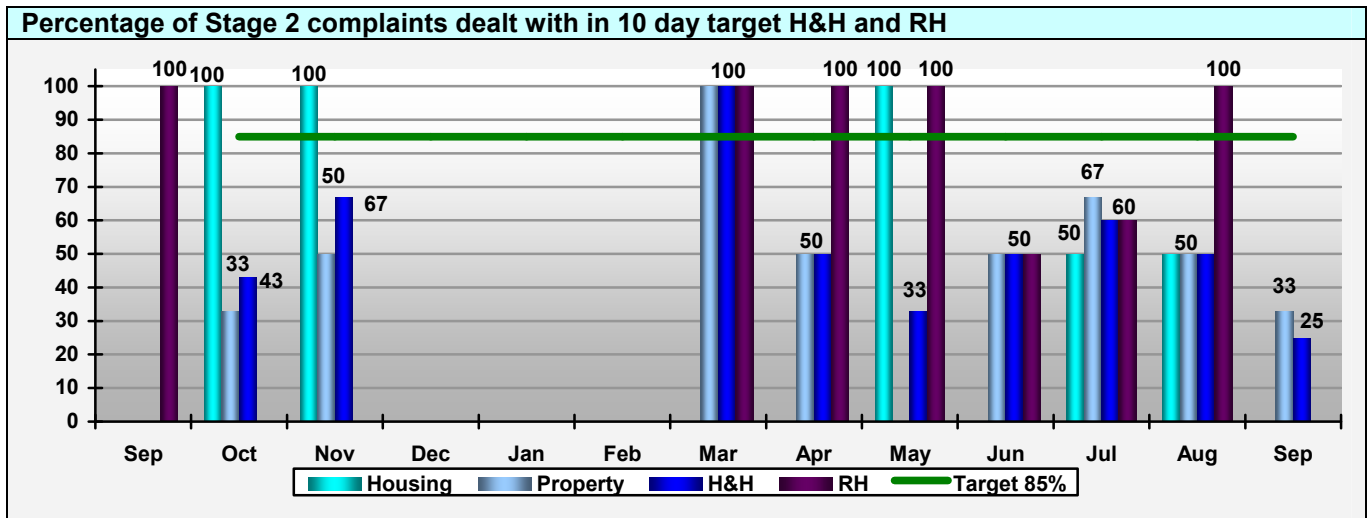


6.3 Few complaints escalate to Stage 2. During the last year H&H received a total of 35 Stage 2 complaints. H&H are able to provide a breakdown of Stage 2 complaints by directorate and service area as shown in the table above. Property Services received 26 Stage 2 complaints of which half were for Capital Works/Decent Homes. Housing Services received a total of nine Stage 2 complaints.

6.4 The former RH service received fewer Stage 2 complaints, a total of 13. The report provided by RH shows volume and performance across the service.

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The RH performance reports do not provide a breakdown by directorate or service area for further scrutiny.



6.5 As with Stage 1 complaints escalated complaints also require a response to the complaint within 10 days. The corporate target for responses is 85%. H&H has had and continues to have problems in responding to complaints within this timeframe and achieved only 43%. Compared to this RH completed 77% of Stage 2 complaints within the ten days.

6.6 Stage 2 complaints by their very nature are more complex and do require further investigation at a more senior level. Although for H&H performance in this area is weak the senior officers lean towards ensuring a thorough response for the complainant and to prevent further complaint escalation. This is usually the reason for exceeded the corporate timescales.

6.7 The average turnaround of a Stage 2 complaint is 13.5 days within H&H.

Stage 3 Complaints H&H & RH

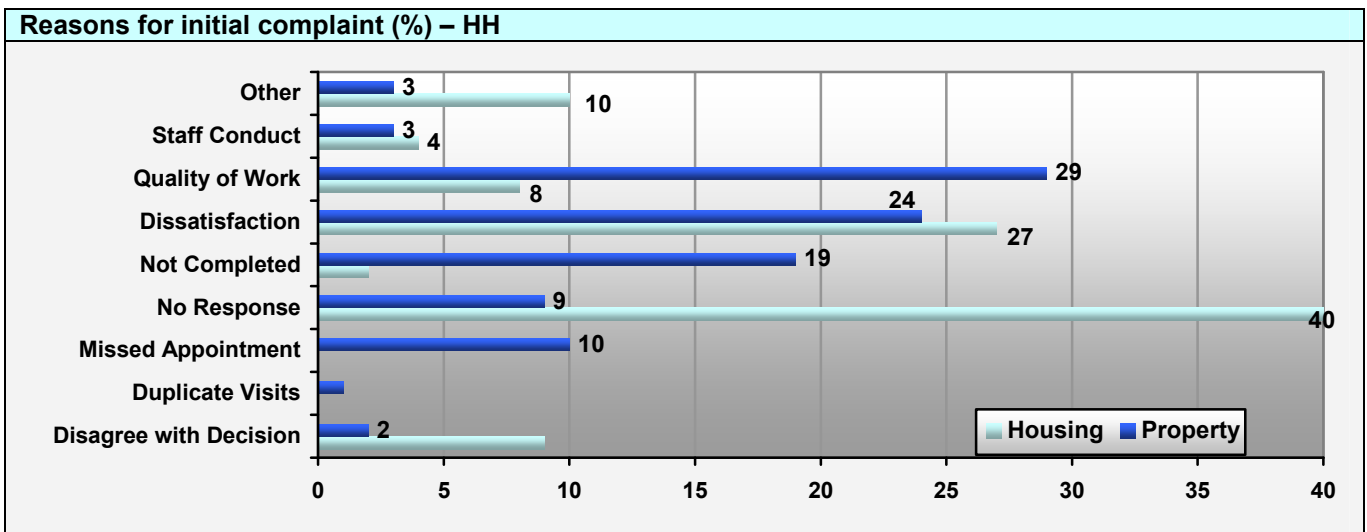
7.1 The effectiveness of the investigation at Stage 2 is evident as H&H and RH received very few Stage 3 complaints. For this reporting period H&H received only two Stage 3 complaints.

7.2 Of the two Stage 3 complaints one related to anti-social behaviour and the other was repairs. Both were only considered at the Initial Assessment Panel (AIP) and did not proceed to a full hearing. Both complaints were not upheld.

7.3 For the same period RH received only three Stage 3 complaints. Of the three complaints, two related to the tenancy and one is housing needs. Two were not upheld and one is still ongoing.

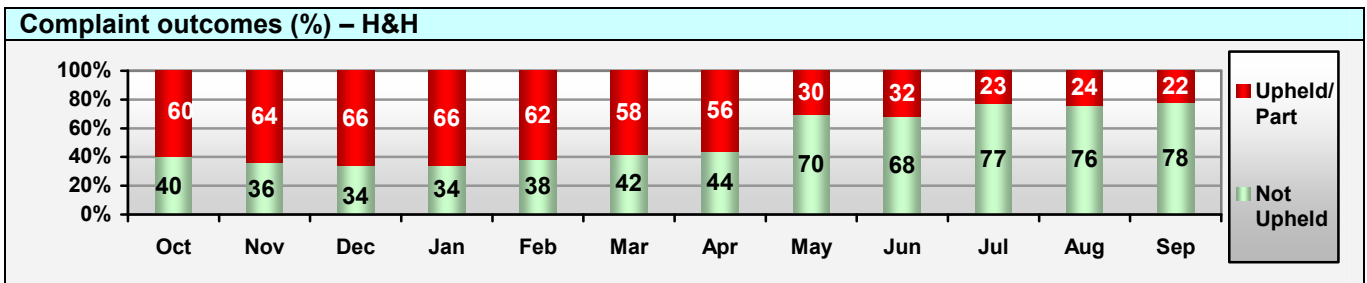
7.4 Although performance in this area is high the Council will continue to deliver a high standard of service around complaint handling and implement further improvements.

Reasons for initial Complaint H&H (Informal and Stage 1)



8.1 All complaints which are logged are categorised for the reason for dissatisfaction. Overall quality of work is the major reason for complaint although there are differences between the two service departments. Within Housing Services 40% of complaints are regarding a lack of response or communication, while in Property Services 29% are concerned with the quality of work.

Outcomes H&H



9.1 To enable better learning all complaints are assessed as to whether they were upheld or not. All complaints are monitored and scrutinised at weekly managers meetings. It is likely that this process acts as an early warning system and is one of the reasons why the vast majority of complaints do not escalate to Stage 2.

9.2 For example earlier in the year the scrutiny process identified an increase in complaints about kitchen refurbishments by one particular contractor. Following the identification of this trend meetings were set up with the contractor to identify the problems and since then complaints have fallen significantly.

9.3 Complaints remain open and subject to monitoring until all the issues are resolved and it is only at this point that the decision is taken whether the complaint is upheld or not. In 2012/13 61% of all complaints were upheld.

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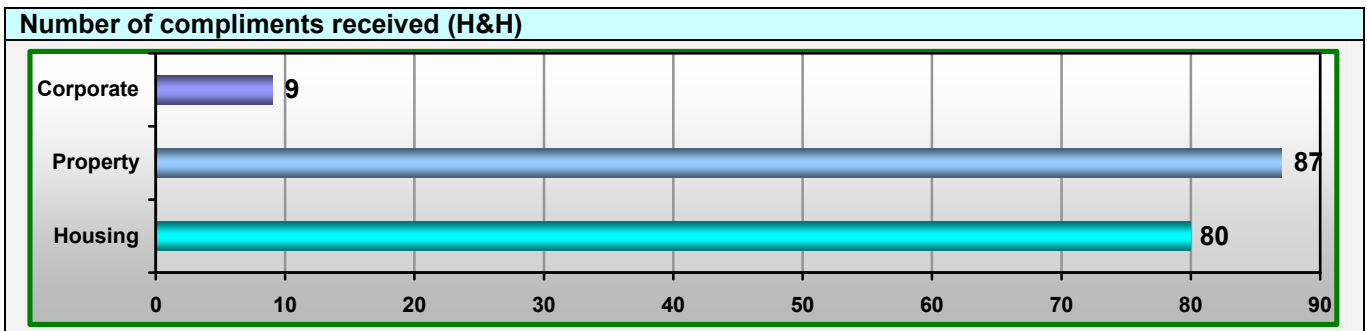
9.4 Unfortunately the corporate complaints system (CRM) does not have the facility to identify upheld or not upheld although this can be entered manually.

Local Government Ombudsman/Housing Ombudsman H&H and RH

10.1 Since April 2013 the Housing Ombudsman service has been launched with responsibility for all housing complaints. Between April 2013 and September 2013 the Housing Service has received 12 enquiries from the Ombudsman. The LGO has not formally investigated any of these as they have all either been referred to the Council's complaints procedure or the complainant has been advised that the matter they have raised is outside the jurisdiction of the LGO/HO.

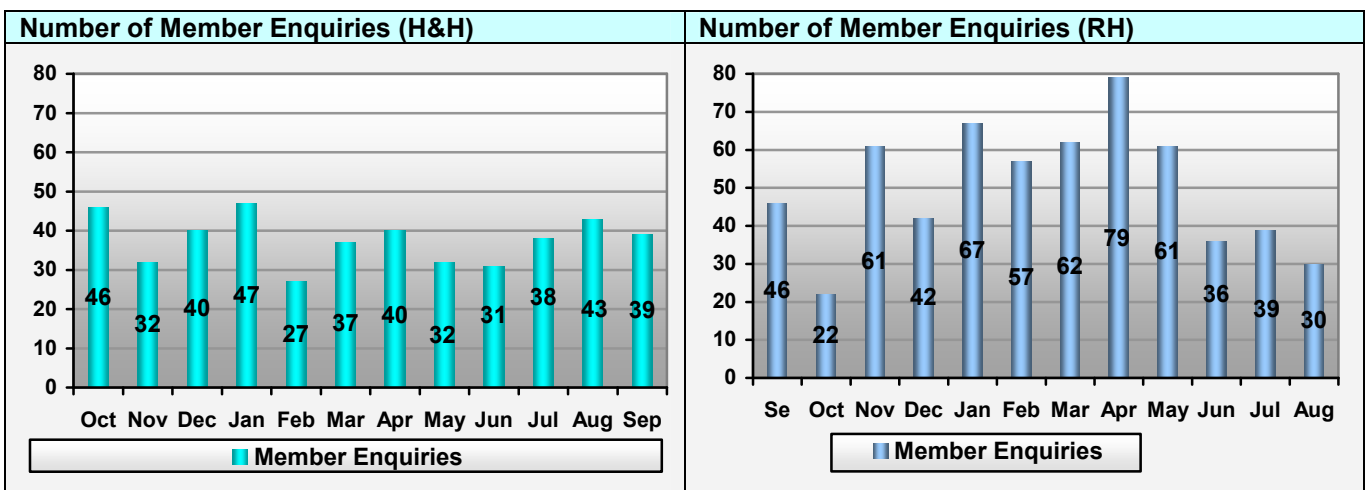
10.2 This is an excellent performance by the Housing Service, and is in part testimony to the work of the Councils Complaints and Quality Assurance Teams and the robustness of the processes.

Compliments



11.1 Complaints are one side of insight into how services are performing but also compliments provide further feedback. In the last twelve months 176 compliments have been made by residents to H&H. Compliments are not currently logged by RH on CRM although they are recorded separately. Since May ten compliments have been recorded.

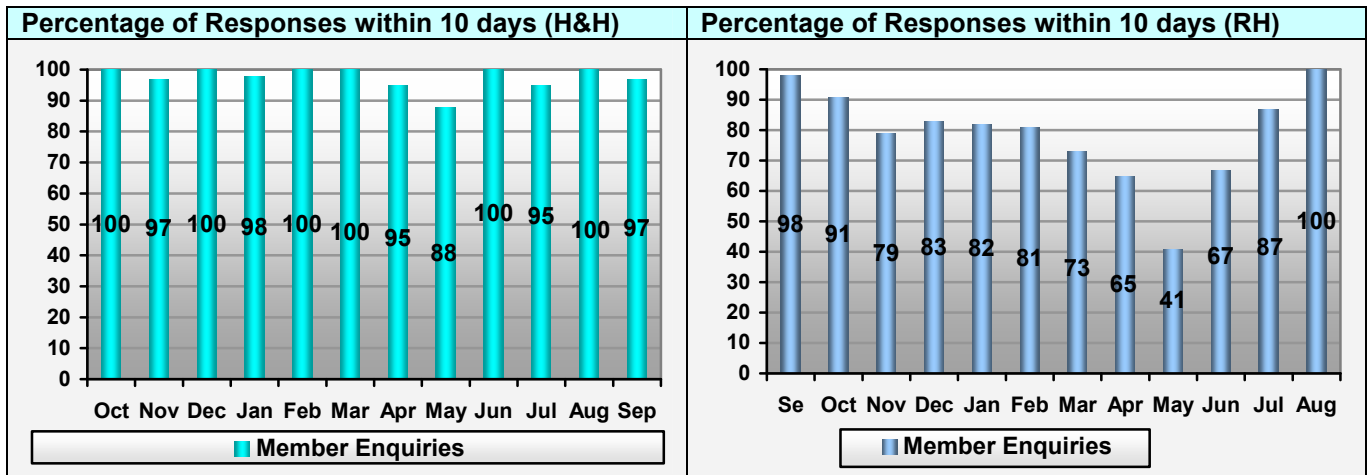
Members Enquiries



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12.1 In the last twelve months 436 Member Enquiries were received in H&H and 602 by RH. There is a target to respond within 10 working days. In the last year the H&H has achieved 98% of responses within ten days which meets the corporate response target of 95% while the RH was 76%. Overall across Homes and Housing 85% of all Members Enquiries are responded to within 10 working days.

12.2 All Member enquiries which are not fully resolved within the 10 working days are placed within a similar monitoring process as that with complaints. Members are updated on progress and the enquiry is only closed once it is fully resolved.



13.1 In April 2013, the Housing Service was moved as part of the Senior Management Restructure into the Children’s Adults and Housing Department. It is proposed that there should be one Complaints Service for the whole of the department, and therefore the Quality Assurance Team and the Complaints Officers on the former Retained Housing side will be transferred into a new Division within the overall department. This Division will be called the Business and Performance Service, Children’s, Adults and Housing.

13.2 Once the service has been brought together, the Group Director will bring forward proposals for restructuring the service to provide the most cost effective service dealing with members’ enquiries and complaints. This restructure is likely to take place in January 2014.

IMPLICATIONS AND RISKS

Financial implications and risks:

There are none associated with this report, but the Service has been subject to various costs and penalties for findings made against it

Legal implications and risks:

There are none associated with this report though in some cases legal issues have needed to be addressed.

Human Resources implications and risks:

There are none associated with this report.

Equalities implications and risks:

There are none associated with this report.

BACKGROUND PAPERS

None

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Corporate Complaints Members/MP Enquiries

Jeff Potter
Head of Exchequer Services
October 2013

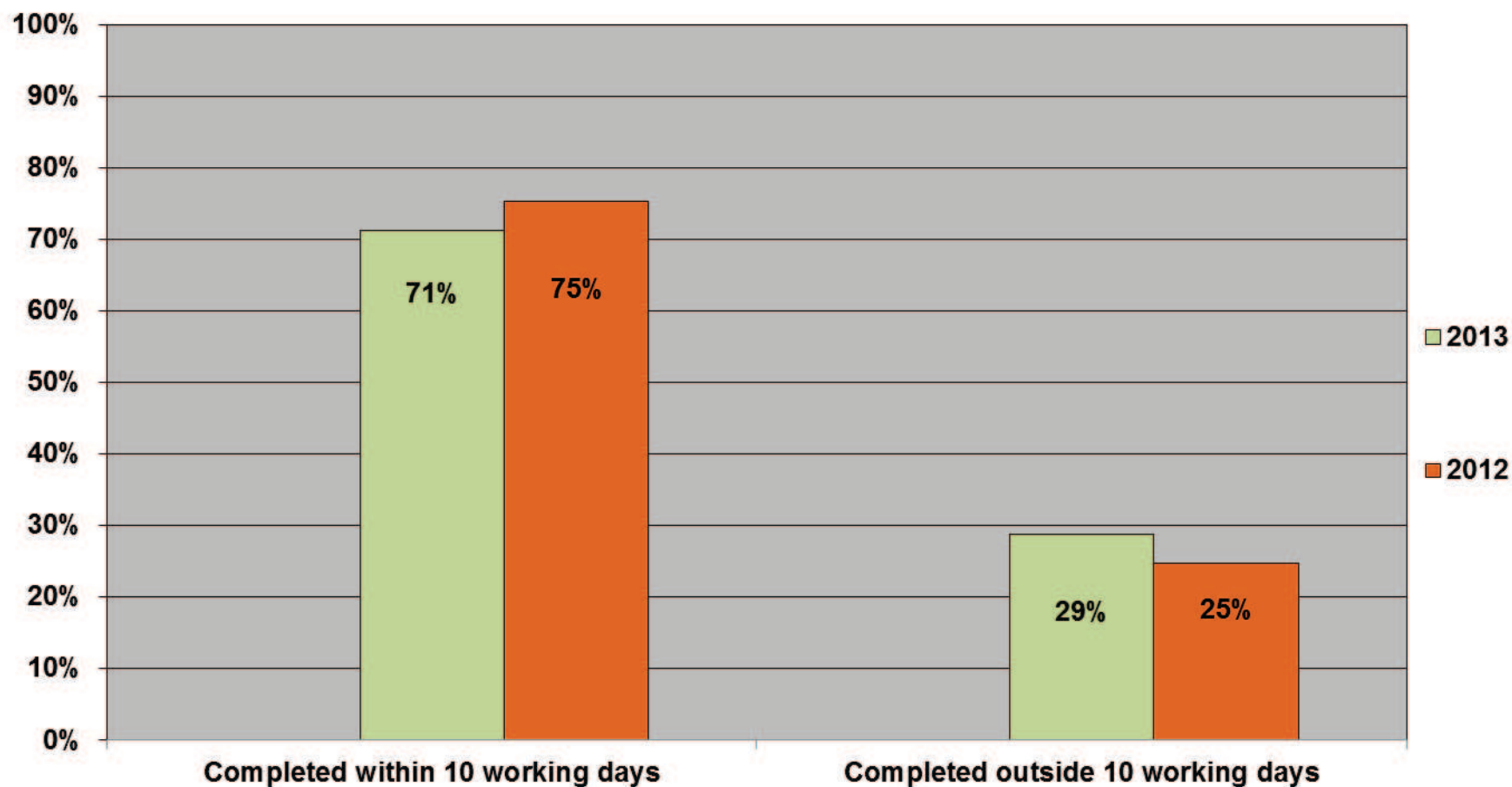
Corporate Complaints

Apr 2013 – August 2013

How many Complaints have we received?

From 1st April 2013 to 31st August 2013:

596 complaints were logged onto CRM **425** were completed in 10 working days. For the same period last year **470** complaints were logged and **354** were completed in 10 working days.

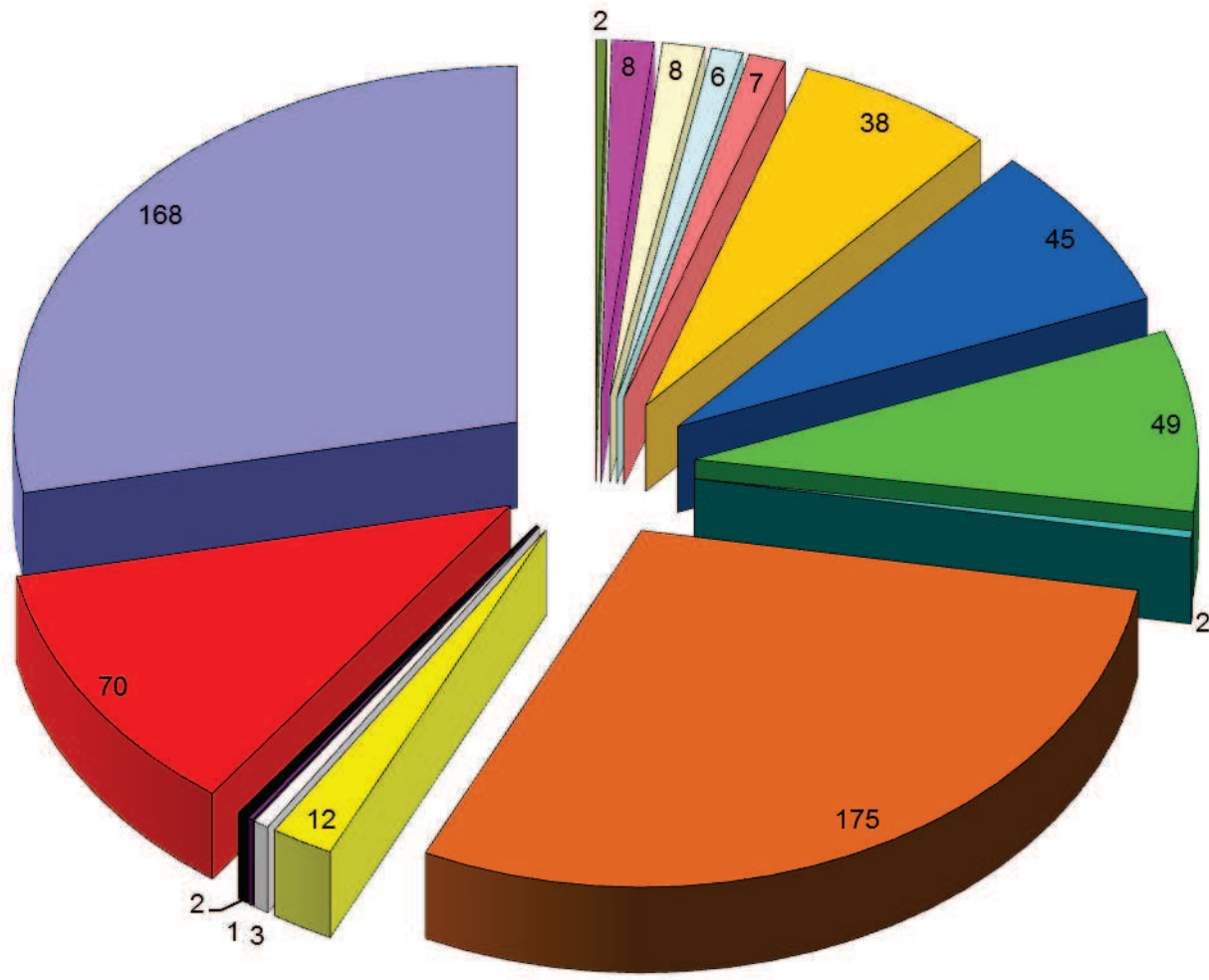


Service Totals – April 2013 to August 2013

Service Area	Number of Complaints logged	Completed within 10 days	Not Completed within 10 days	% completed in 10 days
Adult Social Services	2	1	1	50%
Asset Management	8	7	1	88%
Business Systems	8		8	0%
Children Services	6	3	3	50%
Communications	7	7		100%
Culture & Leisure	38	29	9	76%
Customer Services	45	41	4	91%
Exchequer Services	49	45	4	92%
Finance / Benefit Fraud	2	2		100%
Homes & Housing	175	97	78	55%
Learning & Achievement	12	11	1	92%
Legal & Democratic Services	3	3		100%
People & Change	1		1	0%
Regeneration	2	2		100%
Regulatory Services	70	59	11	84%
StreetCare	168	118	50	70%
Totals	596	425	171	
	100%	71%	29%	

Services Totals Apr 13 – Aug 13

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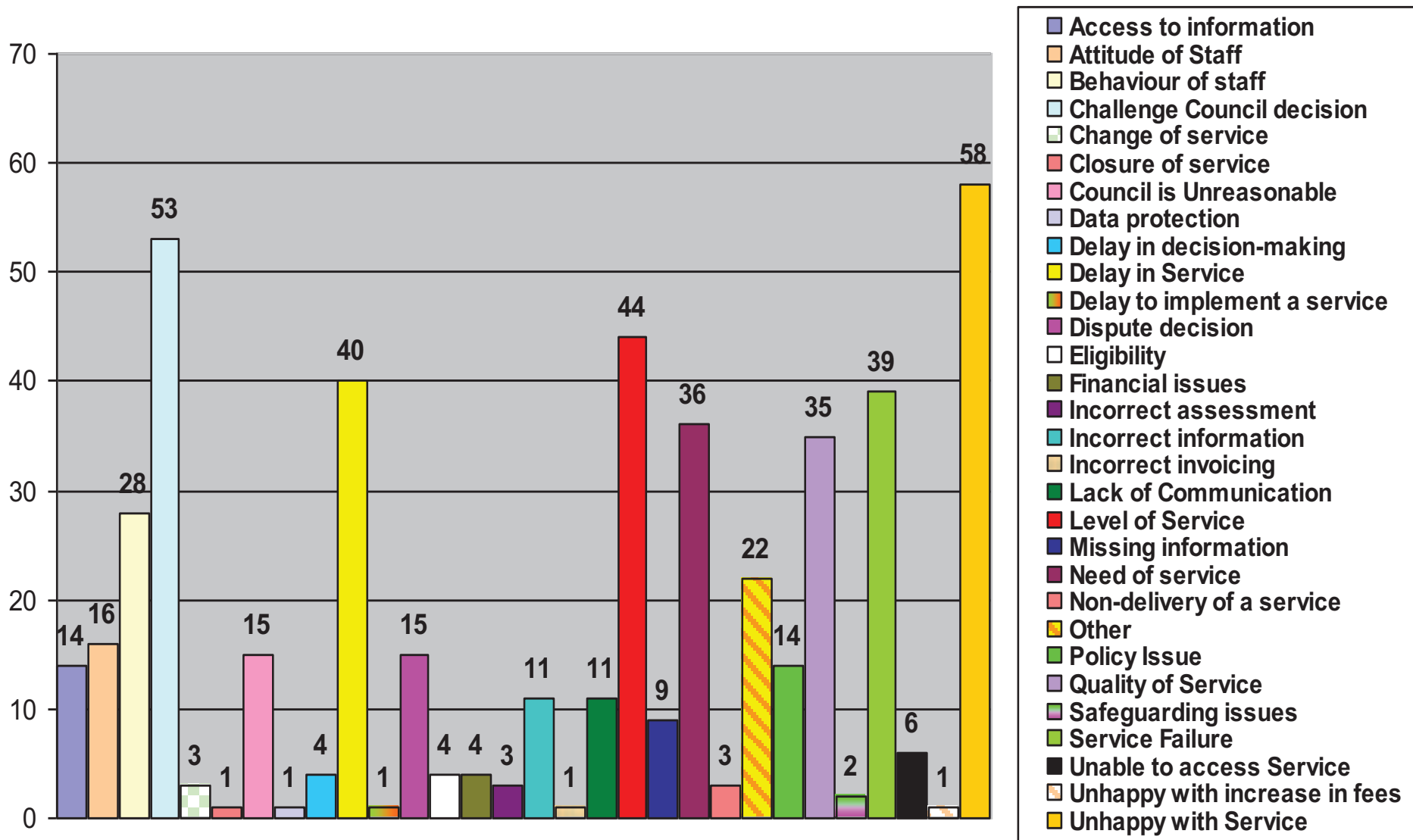


Number of Complaints logged

- Adult Social Services
- Asset Management
- Business Systems
- Children Services
- Communications
- Culture & Leisure
- Customer Services
- Exchequer Services
- Finance / Benefit Fraud
- Homes & Housing
- Learning & Achievement
- Legal & Democratic Services
- People & Change
- Regeneration
- Regulatory Services
- StreetCare

What are the reasons for the complaints?

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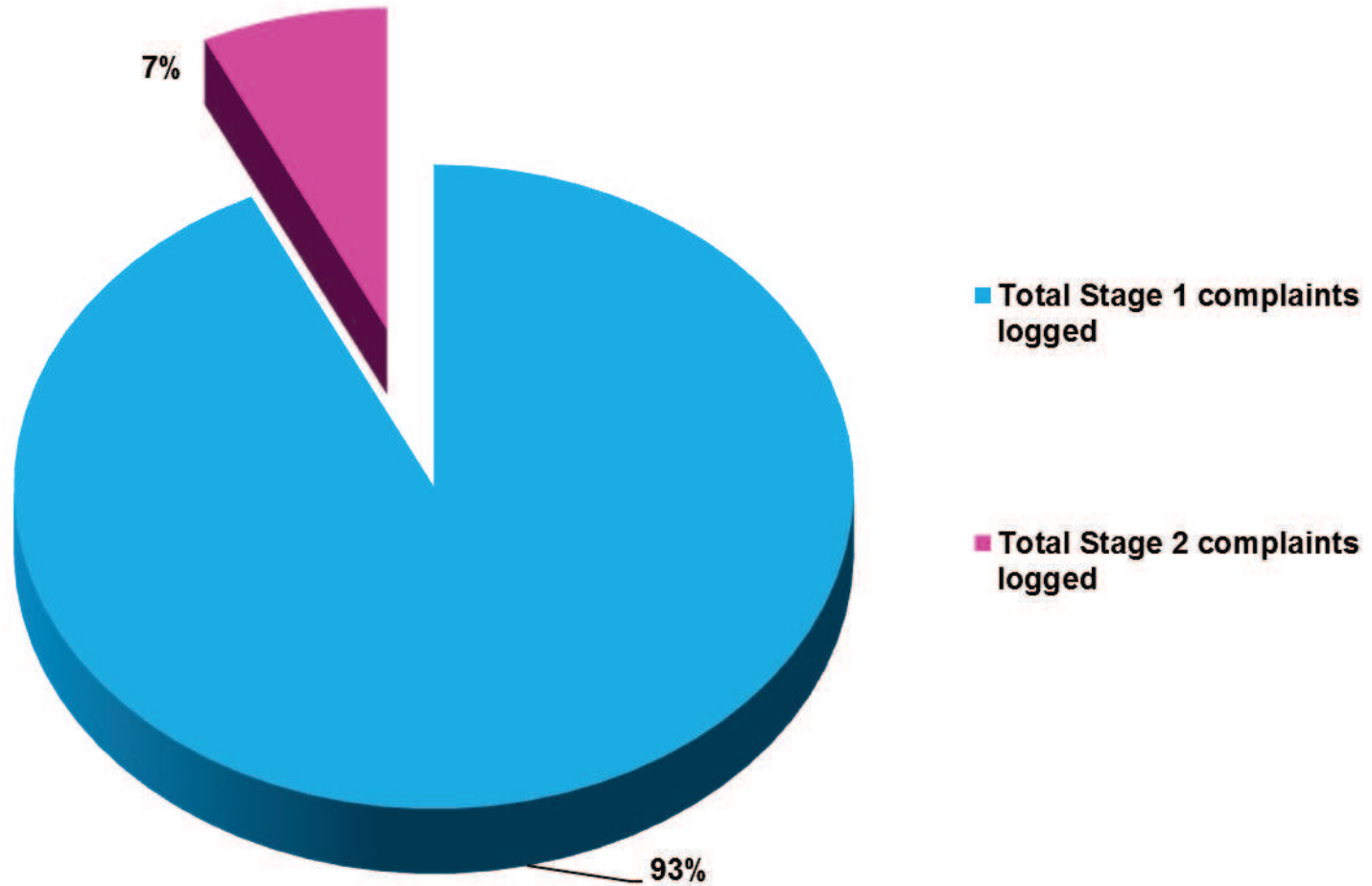
Total escalated to Stage 2 between Apr and Aug 2013

7% of complaints escalated to Stage 2. The Corporate Performance target is **10%** complaints.

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	Total complaints logged	Total Stage 1 complaints logged	Total Stage 2 complaints logged
Apr-13	111	109	2
May-13	119	113	6
Jun-13	126	116	10
Jul-13	124	113	11
Aug-13	116	105	11
Totals	596	556	40
%age moved to Stage 2		93%	7%

% escalated to Stage 2 between Apr – Aug 2013

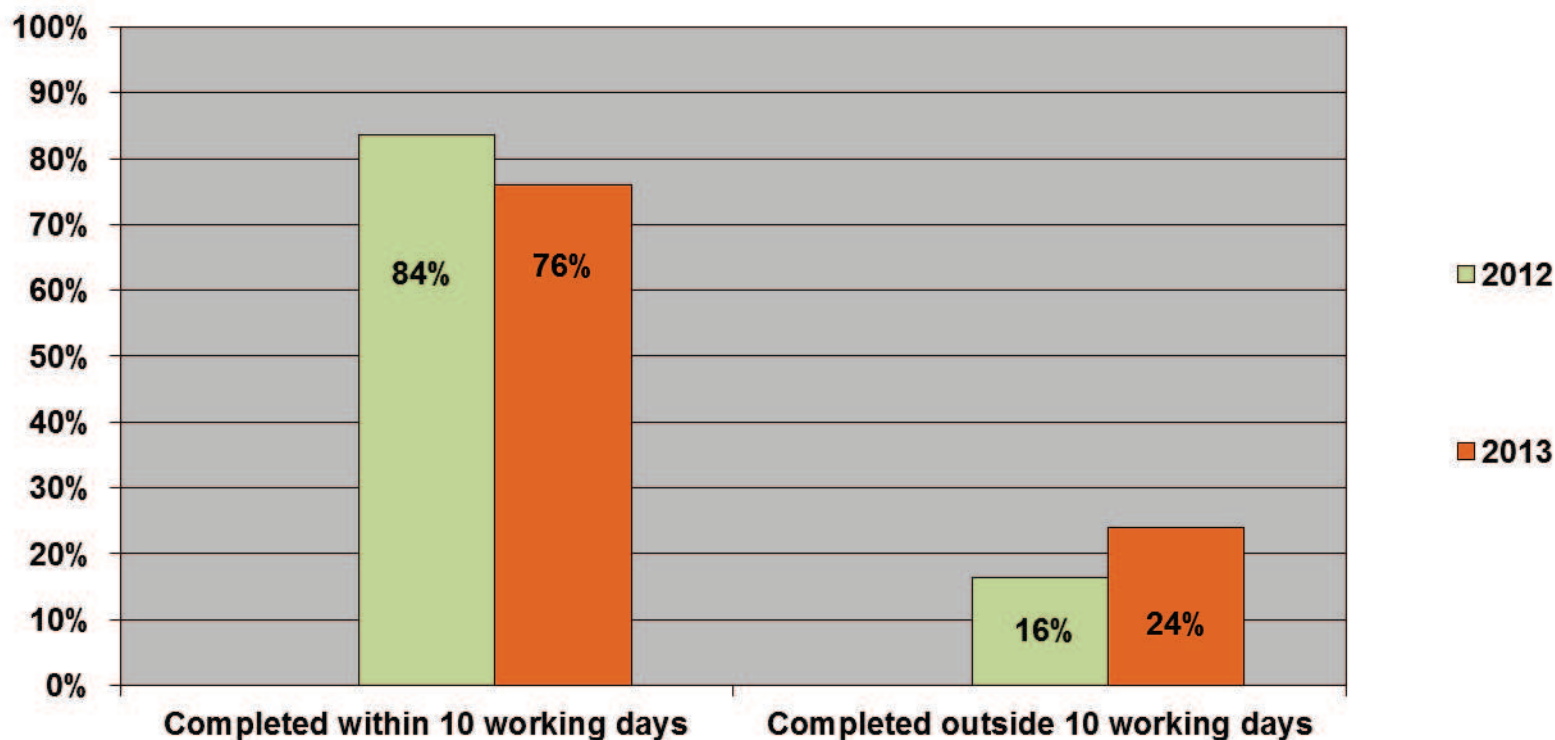


What does this information tell us?

- The top 2 areas with the most corporate complaints logged on CRM are:
 - Homes & Housing (175)
 - Streetcare (168)
- Most complaints (93%) are resolved at Stage 1, only 7% escalating to Stage 2. The target is not to exceed 10%.
- Total number of complaints logged on CRM have increased from 470 in 2012 to 596 in 2013 for the same period last year (April – August) and
- Percentage of complaints completed in 10 days have decreased from 75% to 71%

Members / MP Enquiries April 2013 - August 2013

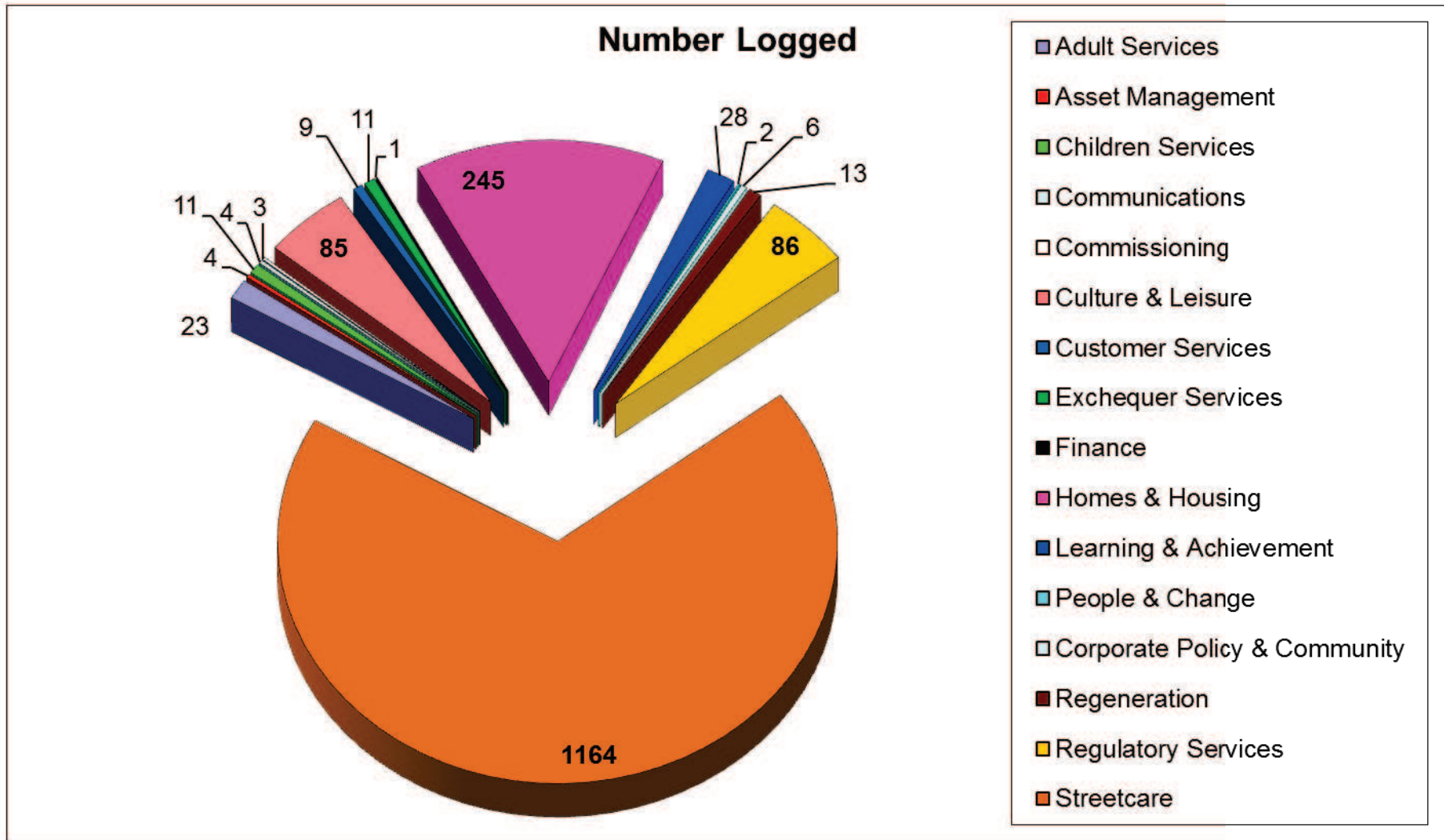
From 1st April 2013 to 31st August 2013, **1695** Enquiries were logged on CRM. **1288** enquiries were completed within 10 working days. For the same period in **2012**, **1437** complaints were logged and **1202** were completed in 10 working days.



Number of Enquiries Logged per Service (April – August 2013)

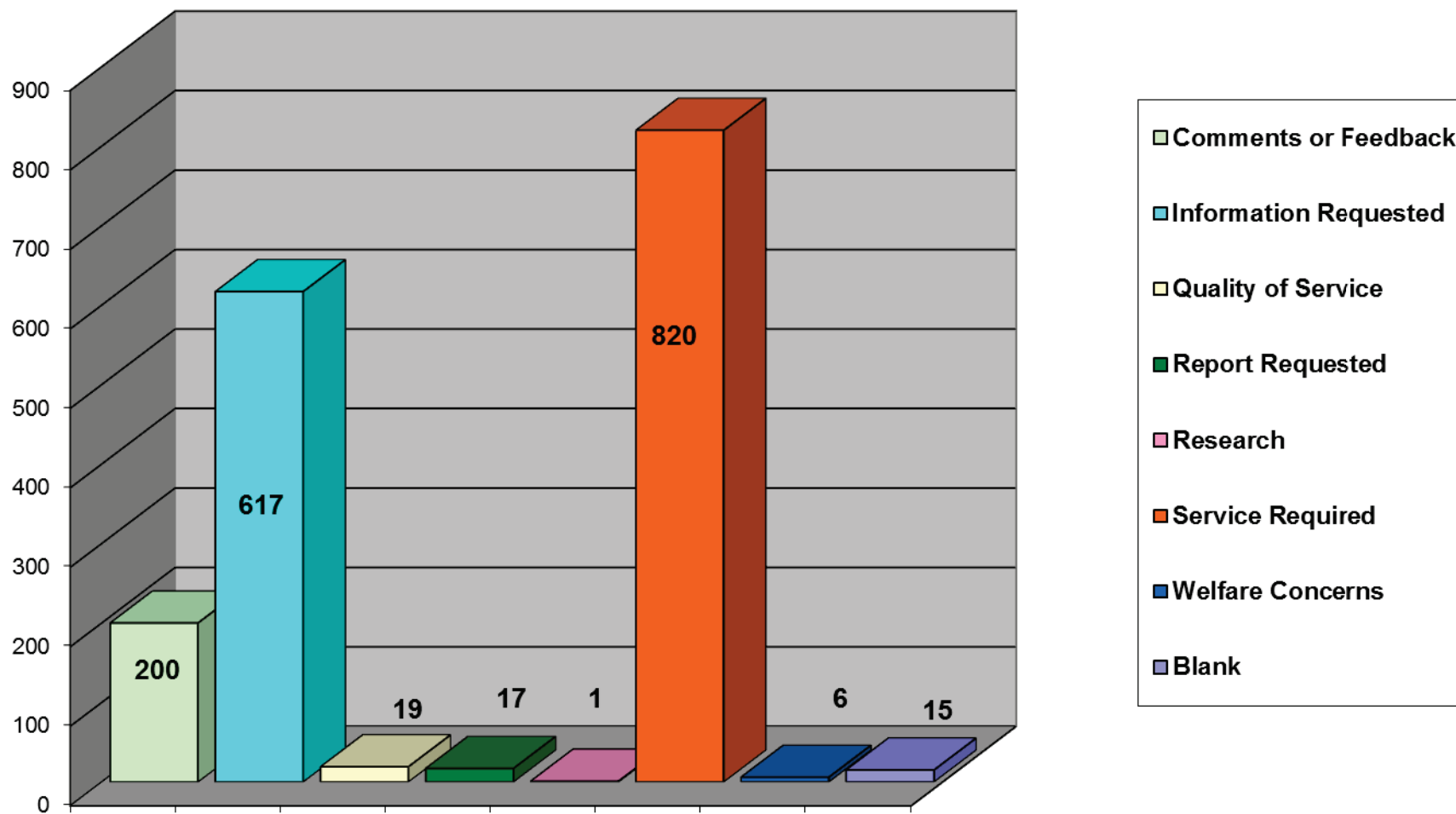
Service Area	Number Logged	Completed within 10 days	Not completed within 10 days	% completed in 10 days
Adult Services	23	16	7	70%
Asset Management	4	4		100%
Children Services	11	6	5	55%
Communications	4	4		100%
Commissioning	3	3		100%
Culture & Leisure	85	76	9	89%
Customer Services	9	9		100%
Exchequer Services	11	10	1	91%
Finance	1	1		100%
Homes & Housing	245	164	81	67%
Learning & Achievement	28	26	2	93%
People & Change	2	1		50%
Corporate Policy & Community	6	4	2	67%
Regeneration	13	13		100%
Regulatory Services	86	71	15	83%
Streetcare	1164	880	284	76%
Totals	1695	1288	406	
		76%	24%	

Service Totals- Apr to Aug 2013



Why do Councillors / MPs contact us?

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Summary

- Streetcare receives majority of the Members / MP Enquiries (1,164)
- Mostly Councillors / MP contact us because a service or information is required.
- Total number of enquiries logged on CRM have increased from 1437 in 2012 to 1695 in 2013 for the same period last year (April – August) and
- Percentage of enquiries completed in 10 days have decreased from 84% to 76%

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ADJUDICATION & REVIEW COMMITTEE 17 OCTOBER 2013

Subject Heading:

**LOCAL GOVERNMENT OMBUDSMAN –
Annual Letter, 2012-13**

CMT Lead:

Ian Burns, Acting Assistant Chief
Executive

Report Author and contact details:

Grant Soderberg, Committee Officer
01708 433091
grant.soderberg@havering.gov.uk

Policy context:

Ombudsman commentary on complaints
presented to her over the previous year to
assist the Council to ensure good practice
is maintained

Financial summary:

None directly associated with this report

**Has an Equality Impact Assessment
(EIA) been carried out?**

Not required.

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

The Annual Report from the Local Government Ombudsman was received in July.

RECOMMENDATIONS

1. That the Committee note the contents of the Ombudsman's Annual Letter.
2. That the Committee decide whether the Letter should be sent to the Chairmen of the Overview and Scrutiny Committees and their comments sought.

REPORT DETAIL

Background:

1. The Annual Letter has become the usual method of formally communicating with councils over the past few years. As the this year's letter states, *"This year we have only presented the total number of complaints received and will not be providing the more detailed information that we have offered in previous years. The reason for this is that we changed our business processes during the course of 2012/13 and therefore would not be able to provide you with a consistent set of data for the entire year."*
2. The figure for complaints received provided within this letter is: **57** which compares reasonably favourably for London boroughs (an average of 79), but the problem is: I cannot agree the figure quoted with the records I have compiled.
3. I have contacted the Ombudsman's office in pursuit of clarification for the discrepancy, but have been informed that the Ombudsman is not going to provide any further detail or clarification about its original figure.
4. A detailed review of the statistics collected through the year show that there were 129 distinct contacts from the LGO in the form of enquiries, premature complaints referred to the Council for resolution through its complaints procedure and "investigations". These are either investigations proper – where the Council is asked to provide answers to questions or Ombudsman decisions – where the Council is informed that the Ombudsman is not going to undertake an investigation, usually because the matter is outside her jurisdiction.
5. As reported to the Committee on previous occasions, some of these cases appear in more than one form; indeed during 2012/13, there were two instances of one case starting as an enquiry, being referred back to the Council as "premature" and then appearing as either an investigation or a decision. The majority of cases recorded during the year were single contacts (46 in total). The remainder (24 cases) involved two points of contact; mostly in the form of an enquiry followed by either a referral (premature) or a decision not to investigate or an investigation.
6. Appended to this report is a copy of the LGO's Annual Letter and a copy of the end summary provided to Members and Senior Management once final figures had been checked for the year 1 April 2012 to 31 March 2013.

The Future:

7. The difficulty faced by the Local Government Ombudsman this year has been in part caused by heavy cuts to her funding which have resulted in the number of Ombudsmen dealing with local government across England being reduced from three to one (currently Dr Jane Martin), the reduction to its staffing levels,

the recent departure from its headquarters at Millbank Tower to more modest accommodation in London – and with most of its activity now being conducted in Coventry – and changes to its technology (which has led directly to the lack of supporting analysis being provided this year to councils.

8. It is hoped that by the close of 2013/14 the reorganisation among the Ombudsman's personnel and to its technological infrastructure will be complete and more detailed data will be once more available to councils in order that proper comparisons can be made. The current year has seen several changes in the way the Ombudsman has approached complaints made to her service, most of which, (we have been informed) have been rejected and the complainant referred back to the council involved for action to be taken through its complaints procedure. We may not know whether a complainant has already approached the Ombudsman when a complaint is made, but the likelihood is there will be a percentage of complaints now in the corporate complaints system which would, in previous years, have been the subject of an investigation.
9. Whilst this restrained climate continues and if funding levels remain depressed, it is probable that councils – including Havering – will continue to receive a steady stream of enquiries followed either by referrals or Ombudsman decisions not to investigate.

IMPLICATIONS AND RISKS

Financial implications and risks:

There have been financial implications during the year 2012-13 because of Ombudsman activity. Any penalties and compensation is met from within existing budgets of the services affected.

Legal implications and risks:

There are no direct legal implications from this report.

Human Resources implications and risks:

There are none associated with this report.

Equalities implications and risks:

There are none associated with this report

BACKGROUND PAPERS

Electronic records of the complaints

16 July 2013

By email

Ms Cheryl Coppell
Chief Executive
London Borough of Havering

Dear Ms Coppell

Annual Review Letter

I am writing with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2013. This year we have only presented the total number of complaints received and will not be providing the more detailed information that we have offered in previous years.

The reason for this is that we changed our business processes during the course of 2012/13 and therefore would not be able to provide you with a consistent set of data for the entire year.

In 2012/13 we received 57 complaints about your local authority. This compares to the following average number (recognising considerable population variations between authorities of a similar type):

District/Borough Councils-	10 complaints
Unitary Authorities-	36 complaints
Metropolitan Councils-	49 complaints
County Councils-	54 complaints
London Boroughs-	79 complaints

Future development of annual review letters

We remain committed to sharing information about your council's performance and will be providing more detailed information in next year's letters. We want to ensure that the data we provide is relevant and helps local authorities to continuously improve the way they handle complaints from the public and have today launched a consultation on the future format of our annual letters.

I encourage you to respond and highlight how you think our data can best support local accountability and service improvements. The consultation can be found by going to www.surveymonkey.com/s/annualletters

LGO governance arrangements

As part of the work to prepare LGO for the challenges of the future we have refreshed our governance arrangements and have a new executive team structure made up of Heather Lees, the Commission Operating Officer, and our two Executive Directors Nigel Ellis and Michael King. The Executive team are responsible for the day to day management of LGO.

Since November 2012 Anne Seex, my fellow Local Government Ombudsman, has been on sick leave. We have quickly adapted to working with a single Ombudsman and we have formally taken the view that this is the appropriate structure with which to operate in the future. Our sponsor department is conducting a review to enable us to develop our future governance arrangements. Our delegations have been amended so that investigators are able to make decisions on my behalf on all local authority and adult social care complaints in England.

Publishing decisions

Last year we wrote to explain that we would be publishing the final decision on all complaints on our website. We consider this to be an important step in increasing our transparency and accountability and we are the first public sector ombudsman to do this. Publication will apply to all complaints received after the 1 April 2013 with the first decisions appearing on our website over the coming weeks. I hope that your authority will also find this development to be useful and use the decisions on complaints about all local authorities as a tool to identify potential improvement to your own service.

Assessment Code

Earlier in the year we introduced an assessment code that helps us to determine the circumstances where we will investigate a complaint. We apply this code during our initial assessment of all new complaints. Details of the code can be found at:

www.lgo.org.uk/making-a-complaint/how-we-will-deal-with-your-complaint/assessment-code

Annual Report and Accounts

Today we have also published *Raising the Standards*, our Annual Report and Accounts for 2012/13. It details what we have done over the last 12 months to improve our own performance, to drive up standards in the complaints system and to improve the performance of public services. The report can be found on our website at www.lgo.org.uk

Yours sincerely

A handwritten signature in black ink that reads "Jane Martin". The signature is written in a cursive style with a horizontal line underneath.

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

Local Government Ombudsman Complaint Elements - by Service 1 April 2012 to 31 March 2013:
 (Includes 26 complaints elements (15 cases) brought forward from 2011/12)

NB: Change in directorates as 31 October - Social Care & Learning splits into Adults and Health & Children's Services
 2011/12 BVPI target for maladministration is 0 and for local settlement (with penalty) is no more than 8

Complaints determined:	Culture & Community										Social Care & Learning				Finance & Commerce		Total of Complaint Elements	
	ACE	Customer Services - Other	StreetCare	Customer Services (CT Issues, Benefits & NDR)	Culture & Leisure	Housing & Public Protection (to 30/09/12)	Homes in Havering (to 30/09/12)	Housing, Homes & Public Protection (from 1/10/12)	Children and Young People's Services	Learning & Achievement	Adult Social Care	Financial Services	Development & Building Control	General: Member & non 'Service specific' issues	Complaint Elements under Investigation	Complaint Elements Received		Completed/Omb D./OSJ/No Inv.
Complaints under investigation - "A":	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	72	56
Provisional Views Received - "B":	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Complaints determined:																		
Report Issued	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Injustice remedied during enquiries (with financial penalty)	0	0	0	1	0	1	1	1	1	2	0	0	1	0	0	0	9	9
Injustice remedied during enquiries (no financial penalty)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2
No or minor injustice & other	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Not enough evidence of fault	1	1	0	1	0	12	0	1	0	0	1	0	1	0	14	0	31	31
Investigation not justified & Other	0	0	0	2	0	0	0	1	0	0	0	0	0	1	0	4	4	4
No reason to use exceptional power to investigate	1	0	3	1	0	1	3	0	2	0	0	0	1	0	13	13	13	13
No power to investigate	0	0	3	2	0	0	1	2	1	0	1	0	3	0	13	13	13	13
Complaint Elements Completed - not Premature - "C":	2	1	6	7	0	14	4	8	2	3	5	0	19	1	72	72	72	72
Prematures & informal LGO & LGOAT enquiries - "D":	0	2	6	7	1	2	8	9	3	2	2	4	10	0	56	56	56	56
Totals - A, B,C & D:	2	3	12	14	1	16	12	17	5	5	7	4	29	1	128	128	128	128

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ADJUDICATION & REVIEW COMMITTEE 17 OCTOBER 2013

Subject Heading:

**LOCAL GOVERNMENT OMBUDSMAN –
Evaluation of activity 1 April 2013 to
date**

CMT Lead:

Ian Burns, Acting Assistant Chief
Executive

Report Author and contact details:

Grant Soderberg, Committee Officer
01708 433091
grant.soderberg@havering.gov.uk

Policy context:

To review recent and current Ombudsman
activity to ensure Council standards and
good practice is maintained

Financial summary:

None directly associated with this report

**Has an Equality Impact Assessment
(EIA) been carried out?**

Not required.

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

The Committee last convened in April 2013. Since then a full six months have elapsed during which time the Ombudsman has engaged with the Council on a number of service delivery issues. The purpose of this report is to inform the Committee of the nature of that activity and to assess whether recommendations should be made to the Council's senior management in order to address any identified issues.

RECOMMENDATIONS

1. That the Committee note the report.
2. That the Committee decide whether any recommendations should be made to the Council's senior management.

REPORT DETAIL

Background:

1. April 1 2012 saw the commencement of a year in which the LGO (along with many other public bodies) found itself working with far less resources at its disposal and yet with pressure to ensure high quality outcomes for those complaints which it deemed appropriate to investigate.
2. In previous years, Havering had a steady flow of communication from the LGO with a good percentage of premature complaints being referred back to the Council for it to attempt to resolve within its complaints process, but also a continuous stream of live investigations. Uniquely, the Council started April 2013 with no on-going complaints brought forward. All outstanding complaints were closed before 31 March.

Current Position:

3. During the year to date, the Council has seen a significant change in the way in which the Ombudsman handles complaints referred to her. At the end of September, Havering had received 59 contacts from the LGO in respect of 46 separate complaints (the difference being due to the rise of "enquiries" by the LGO to determine whether an investigation should be undertaken or not). Because there is no way of knowing whether an enquiry will result in an investigation, it is recorded as a distinct contact – as it will always result in the Council having to do some work in providing a response (perhaps with material information) to the LGO in order that she had sufficient data on which to make a decision.
4. If an investigation ensued, it is recorded as a distinct entity because investigations form the basis of the Ombudsman's Annual Letter and on which she bases her evaluation of how each authority is managing concerns from individuals and where that organisation sits in comparison with its neighbours and in the overall picture for England.
5. In order to ensure that Members and senior management receive the most relevant information, some changes have been made to the way in which information is recorded and displayed. The principal method of keeping Members informed of Ombudsman activity remains via a monthly "snapshot" with a brief summary in Calendar Brief. Unless the Committee considers this

practice should change, or has any suggestions for enhancing the information provided, it is proposed to continue with the current format.

6. For the best part of a year, CMT along with a number of Heads of Service and other officers have received a full set of statistics displayed in various ways in order to show the material from different perspectives. Appended to this report is a copy of the statistics e-mailed to CMT for Ombudsman (and Stage Three) activity up to 30 September.
7. Until now, the Committee has only really been presented with this level of detail when it convened, but at a time when the Council is coming under greater scrutiny from different agencies and the public at large, the Committee is asked whether it feels it would be helpful to its on-going oversight of Ombudsman activity if all members of the committee received copies of the information provided to management. If Members consider this would be beneficial – but that they do not want all of the information provided, it is possible to have a different version for the Committee.
8. The most significant development which can be now considered to be a “trend” is the notification of a final decision by the Ombudsman without the Council being asked to provide any information. Whilst these were not unknown before the start of the current year, they now account for around 50% of all LGO “decisions” – and a good many of those are on the grounds of being outside the Ombudsman’s jurisdiction.
9. There has also been a rise in the number of cases where the LGO notifies the Council of her “Provisional View” and asks the Council to comment if it wishes to. Whether the service involved takes advantage of this or not, a final decision usually follows around three weeks later. The number of actual investigations has, as a consequence of these changes in the way in which the Ombudsman works, decreased markedly – as the appendix clearly shows.
10. In the area of “premature complaints” there appears to be an ambivalence being displayed by the LGO. The Ombudsman stated – back in 2012/12 - that these would all but disappear because they would be deflected informally at the reception end of the process and complainants informed that if they had not used the council’s complaints process, they needed to do that before approaching the Ombudsman. In reality, some complainants get through this pre-selection and an Investigator (at the Assessment phase) decides that the issue ought to be considered by the authority involved before the LGO’s resources were used and so refers the complaint back to the council.
11. Whilst there are a few referrals, there are far fewer than in the previous two years (when the Ombudsman centralised her reception area for three regional offices in Coventry and promoted the “Council First” code of practice. Since then, apart from the dramatic drop in referrals the Ombudsman now no longer monitors those cases so referred – though if the Council showed dilatoriness in addressing the complaint and the complainant returned to the Ombudsman at the end of the process, that could be considered to be an unacceptable factor and the Ombudsman could be quite critical of a council which did that on a regular basis (it would almost certainly involve some element of maladministration in any case).

Data:

12. In September, a new graphic was added to those already available. This matrix shows, at a glance, the relationship between enquiries, referrals (prematures) and investigations. Where an enquiry is linked to a referral or investigation, they are shown linked. Other “stand alone” contacts are shown as such.

The Future:

13. The recent appearance on the scene of the Housing Ombudsman Service (HOS) cannot be ignored. At the time of this report, Havering has had only a limited contact from his office and it is clear that he has quite a different methodology which it is going to be interesting to see how it works out.
14. Initially informed that the practice was “broadly similar” to that of the LGO, it transpires that it is anything but. The HOS’s approach is to work along-side the parties as they move through the complaints process – the “critical friend” approach. This has the effect of adding another level of intrusion for the service involved in the complaint as it must balance its resources against the “advice” from the HOS and what the complainant wants the Council to do to address their complaint to their satisfaction.
15. Whilst this is pure speculation at this point in time (and on such a limited base), the impact of the HOS needs to be carefully monitored as it is likely that, as his service becomes better known, the HOS will begin to increase in prominence – in much the same way as the LGO did a decade or so ago.
16. As far as can be seen at this mid-point in the year, the number of contacts from the Ombudsman looks as though it will remain broadly the same as the past few years – around 100+ for the whole year – but Ombudsman activity is not something which can be pre-determined and so such forecasts can be, at best, only an approximation and at worst, meaningless that is why it remains vitally important for Members to “keep their fingers on the pulse” of complaints in general and the external scrutiny and activity of the Ombudsmen.
17. In conclusion, it is reasonable enough to expect the actions of the various Ombudsmen (and we cannot omit mention of the Parliamentary and Health Service Ombudsman [PHSO] from the list) to continue to feature as a real factor in the scrutiny of the Council’s management of the complaints of the residents (or otherwise) of Havering and so it is important that the Committee continues to involve itself in, monitor and direct the oversight of this important element of the Council’s corporate activity.

IMPLICATIONS AND RISKS

Financial implications and risks:

None directly associated with this report, but timely reminders could avoid unnecessary cost to the Council in having to pay compensation and making good what should have been done first time.

Legal implications and risks:

There are no direct legal implications from this report.

Human Resources implications and risks:

There are none associated with this report.

Equalities implications and risks:

There are none associated with this report

BACKGROUND PAPERS

Electronic records of the complaints

Appendix

Local Government Ombudsman (LGO) and Housing Ombudsman Service (HOS) cases & Stage Three decisions - Monthly Update

LGO Current Position: to 30 September 2013

In the following PDF will be found a chart showing current Ombudsman activity shown in Service Area within Directorates. Due to the reorganisation of services within directorates which took place on 29 April, the services have been re-integrated within the new structure.

LGO cases by Ward:

The second page contains the Ward chart. I have returned to the cumulative and month format. Members are invited to contact me if they would like more specific details.

Definitions of Local Government Ombudsman terms:

The decision terminology currently used for the foreseeable future is set out below (with the previous terminology). The LGO's office also periodically publishes update information and I hope to be able to store a copy of this within the LGO section on the Intranet where links will allow Members to obtain more information.

Current Decision Reasons	New Decision Reasons from 1 April 2013
Out of jurisdiction	Not in jurisdiction (OJ) and no discretion
	Not in jurisdiction (OJ) and discretion not exercised
No to initiate an investigation (formerly Ombudsman's discretion)	Not investigated
To discontinue investigation injustice remedied (formerly local settlement)	To discontinue investigation
To discontinue investigation (formerly Ombudsman's discretion)	
Investigation complete, satisfied with authority's actions, not appropriate to issue a report	Investigation complete and satisfied with authority actions of proposed actions and not appropriate to issue report S30(1B)
Investigation complete – report issued	Investigation complete and appropriate to issue a report S30(1)

Having will continue to split decisions which find fault with the Council into those in which no financial penalty has been imposed and those where the Council is being asked to make some sort of financial settlement. You will also continue to see references to LGO enquiries and to cases which the LGO has referred back to the Council as being "Premature". However, because the LGO is no longer monitoring those, the reference will simply be an acknowledgement of receipt.

Local Government Ombudsman Cases:

During **September** there were **eight** new contacts from the LGO's office. Four enquiries; one premature complaint referred back to the Council; a notification of a complaint that was outside jurisdiction and a notice of a provisional view. One investigation commenced and two investigations were completed – neither of which involved the Council in a penalty. The following chart shows which services were involved and from which wards complaints emanated.

Other LGO news:

Confirmation has now been received that the LGO has vacated Millbank Tower in London to other premises and has taken the opportunity to concentrate **all** contact in the Coventry address. Complaints cannot be made by e-mail; instead complainants need to complete an "on-line" complaints form on the LGO web site.

Housing Ombudsman Service

There has been no change in status for any of the three HOS notifications during September.

Stage 3 complaints:

Two new notifications of escalated complaints commenced during September. One relates to housing issues, the other to an action under the Children Act which will be considered by a Panel of Independent Persons in due course. The IAP did not convene in September, though there should be business for it to consider in October.

Stage 3 statistics:

I have now begun appending some basic statistics to Calendar Brief showing how Stage Three referrals for Councillor review are developing. These can be found following the LGO stats.

Standards issues:

There was one hearing conducted under the Standards procedures during September.

Other News:

We are continuing to add to the final decisions from the Ombudsman and these can be viewed on the Intranet and can be accessed via:

<https://intranet.havering.gov.uk/index.aspx?articleid=21830>

You will find a general page with other links to various LGO organisations and links to further pages set out in complaint categories and within each of these will be found PDFs containing the LGO final decisions. A glossary of abbreviations used with the decisions will be found on the general page. In future, decisions will be added as they are received.

Another page has been added on which more comprehensive monthly statistics can be found in PDF format. These charts are made available to senior management and if any Councillor wishes to have more information concerning these statistics, would they please contact me.

Since 1 April, the Housing Ombudsman Service has assumed responsibility for considering complaints in respect of Council owned social housing and it will be interesting to see what the implications for Havering will be. I still remain unconvinced that a distinct set of statistics will need to be produced to record his involvement, but I will continue to keep this under review.

Grant Söderberg, (extn) 3091, e-mail: grant.soderberg@havering.gov.uk

Ombudsman Activity: by Ward

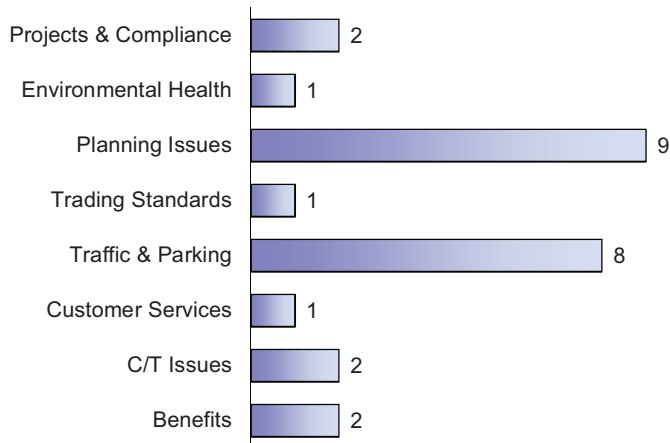
Detailed summary of Ombudsman activity by service area within Directorate & Service and by wards. Wards not shown have <u>no</u> Ombudsman activity within them. Wards and services highlighted contain the highest activity <u>to date</u> . Only cases from 1 April 2013 shown.																			
Directorate	Service	Service Delivery Area	Brooklands	Cranham	Gooshays	Hacton	Harold Wood	Having Park	Heaton	Hylands	Mawneys	Pettits	Romford Town	Squirrels Heath	St Andrews	O/S Borough	Not Given	Grand Total	
Culture, Community & Economic Development	Customer Services	Customer Services												1				1	
		C/T Issues			1												1		2
	StreetCare	Benefits								2									2
		Traffic & Parking							2	1	1								8
	Regulatory Services	Trading Standards																	1
		Planning Issues			1			2					3	1	2				9
		Environmental Health										1							1
		Projects & Compliance			2														2
	Resources	Exchequer Services																	7
		Benefits & Revenues		1									1			1	4		1
Property Services																		1	
Asset Management																		1	
Children, Adults and Housing	Legal & Democratic Svcs	School Appeals		1														1	
		Maintenance						2										2	
	Homes & Housing	Housing Needs			1	2									2		1		8
		Estate Services								1				1					2
	Learning & Achievement	Home Ownership																	2
		Child & Community Psychology/SEN			2		1												1
	Adult Social Care	Safeguarding & Standards						2											2
		Unspecified																1	1
		Preventative Care												1					1
	Children's Services	Child Protection																	1
Permanency																1		1	
General	General						1											3	
Grand Total			3	3	7	3	2	7	4	1	1	5	3	5	1	12	2	59	

Ombudsman Activity: by Ward

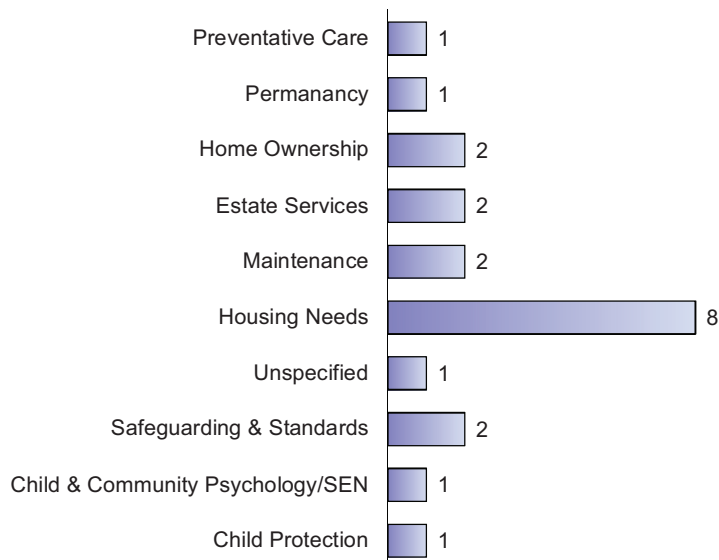
Ward Totals for the month of: SEPTEMBER							Cranham	Gooshays	Romford Town	Squirrels Heath	O/S Borough	Grand Total
Directorate	Service	Service Delivery Area										
Culture, Community & Economic Development	Regulatory Services	Planning Issues				1						1
	Exchequer Services	Benefits & Revenues									2	2
Resources	Legal & Democratic Svcs	School Appeals				1						1
	Homes & Housing	Housing Needs							1			1
Children, Adults and Housing		Estate Services						1				1
	Children's Services	Home Ownership						1				1
		Permanancy									1	1
Grand Total						1	2	1	1	1	3	8

Ombudsman investigations: By Service Area in Group Directorates From 1 April 2013

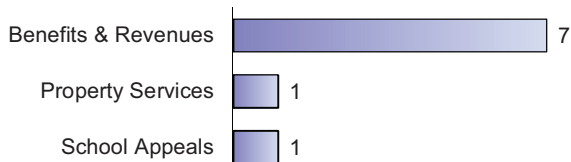
Culture, Community & Economic Development- Total from 1 April 2013 to date: 26



Children, Adults and Housing -Total from 1 May 2013 to date: 21



Resources - Total from 1 May 2013 to date: 9

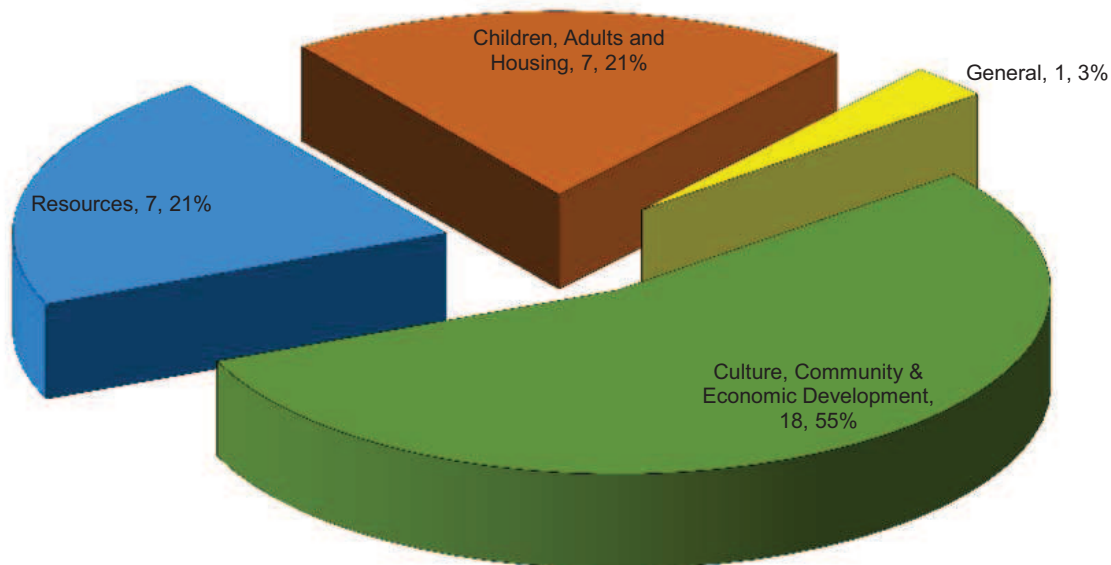


General & Member Issues - Total to date: 3

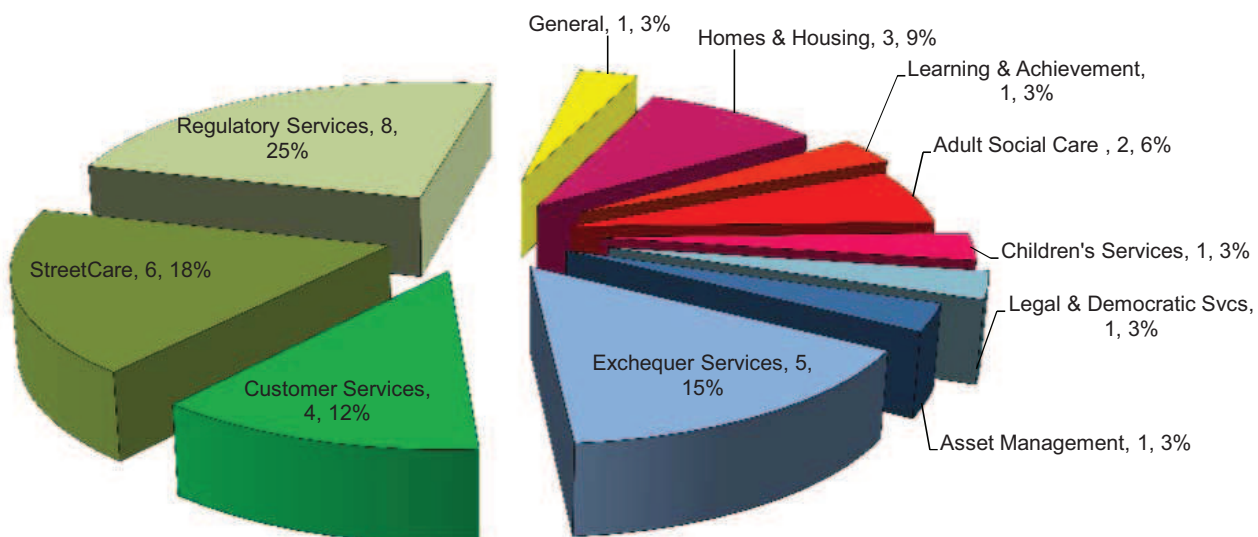


Evaluation of Ombudsman Activity

Directorate Involvement - Total of complaint elements from the LGO (whether investigated or not) to 30 September 2013: 33
Referrals from the Ombudsman dealt with as Corporate Complaints (Prematures) or Enquiries are not shown



Service Area Involvement - Total of complaint elements from the LGO (whether investigated or not) to 30 September 2013: 33
Referrals from the Ombudsman dealt with as Corporate Complaints are not shown



Evaluation of Ombudsman Activity

Identifying multiple contacts from the Ombudsman: Year to 30 SEPTEMBER 2013

KEY: E = Enquiry, P = Premature, D = LGO Decision (without investigation), I = Investigation

Children, Adults & Housing

Homes & Housing	E → D	E → I	P	D	E → P	P	E	E → P	E	E
Adult Services	D	I								
Children's Services	E → P	D	E							
Learning & Achievement	I									

Culture, Community & Economic Development

Regulatory Services	D	I	D	I	I	I	E → P	E → D	E → D	D
StreetCare	E → D	I	E → D	D	D	D				
Corporate & Customer Transformation	D									

Resources

Exchequer Services	D	E → D	I	D	I	E → D	D	E	D
Asset Management	D								
School Appeals	I								
General & Member Issues	E → P	D							

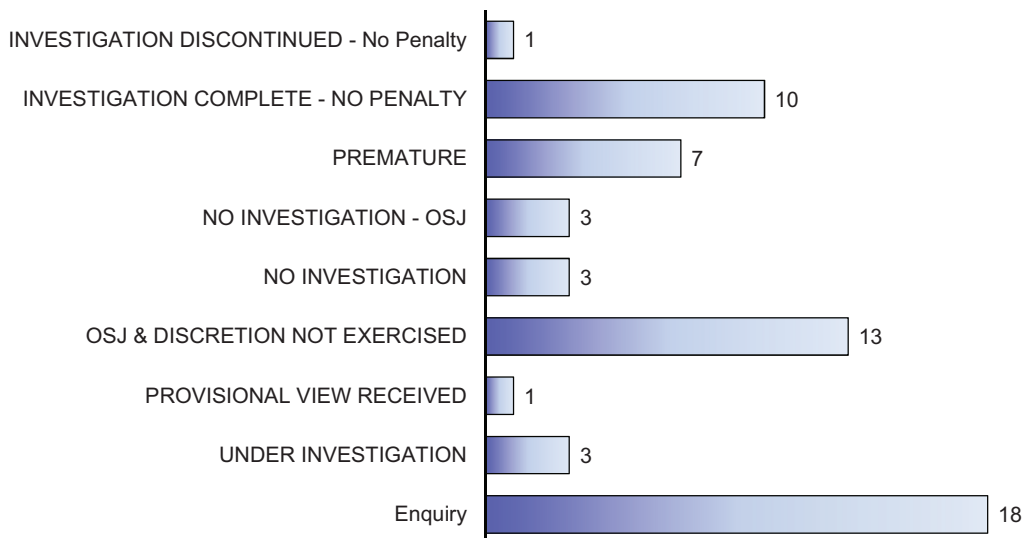
Complaint ELEMENTS	22	Individual COMPLAINTS	17
Complaint ELEMENTS	22	Individual COMPLAINTS	17
Complaint ELEMENTS	12	Individual COMPLAINTS	10
Complaint ELEMENTS	3	Individual COMPLAINTS	2
	<u>59</u>		<u>46</u>

NOTE: Three complainants in ONE planning issue. LGO treated it as one investigation, though it will show in the LGO's annual figures as three complaints

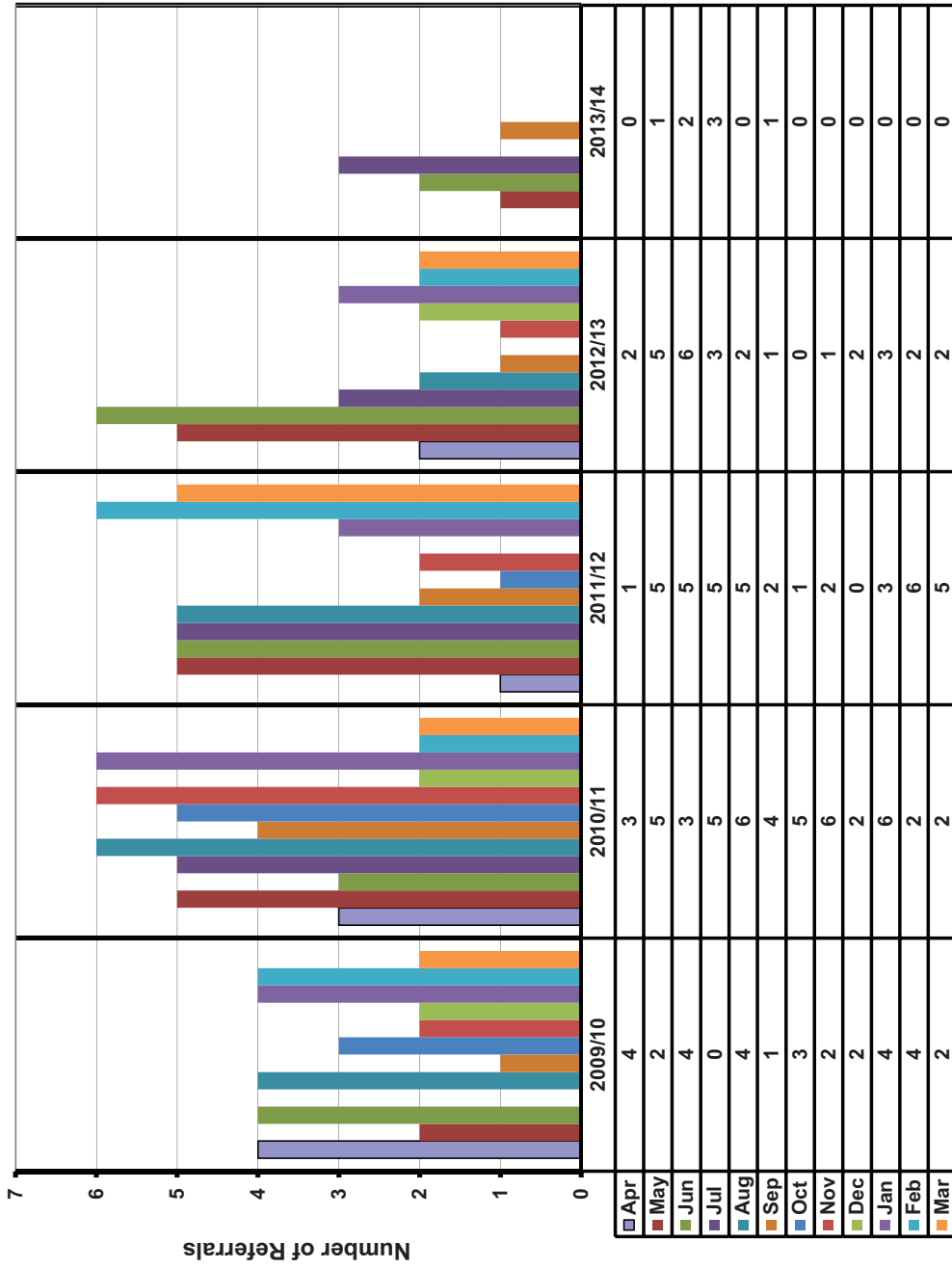
NOTE: 11 complaints have been investigated to date (but three were dealt with together as one issue)

Total of ALL complaints received between 1 April - 30 September 2013: 59

including enquiries and premature complaints referred back to the Council & dealt with under the Corporate Complaints procedure



LGO Referrals - Premature Complaints - year-on-year



Year	2009/10	2010/11	2011/12	2012/13	2013/14	Grand Total
Prematures:	32	49	40	29	7	157
Cases Referred:	59	45	59	73	39	275
Total:	91	94	99	102	46	432

Local Government Ombudsman Complaint Elements - by Service 1 - 28 April 2013 (Pre Restructure) and also 29 April - 30 September 2013 (Post Restructure):
 (No cases were brought forward from 2012/13)
 2012/13 BVPI target for maladministration is 0 and for local settlement (with penalty) is no more than 8

	From 29 April 2013 - revised Directorates & Services										Complaint Elements under Investigation	+ 1	+ 30	+ 25	= 59							
	Finance & Commerce					Children, Adults & Housing										Resources						
	Social Care & Learning					Culture, Community & Economic Development					Children, Adults & Housing					Resources						
	Culture & Community					SCL					F&C											
	Public Protection	Housing Issues	StreetCare	Customer Services	Benefits & Revenues	Homes & Housing	Learning & Achievement	Development & Building Control	StreetCare	Public Protection	Development & Building Control	Customer Services	Learning & Achievement	Children & YP's Services	Adult Social Care	Homes & Housing (Housing Needs)	Homes & Housing (Estate & Maintenance)	Exchange Services	Legal & Democratic Services	Asset Management	General: Member & non Service specific issues	
Complaints under investigation - "A":	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	1	0	0	0
Provisional Views Received - "B":	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
Complaints determined:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Investigation complete & report issued S30(1)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Investigation complete (with financial penalty)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Investigation complete (no financial penalty)	1	1	1	0	0	0	0	1	0	0	3	0	0	1	0	1	1	1	0	0	0	0
Investigation discontinued	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
No investigation	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
OSJ & discretion not exercised	0	0	1	0	1	1	0	0	0	0	1	1	0	1	1	0	0	2	0	1	0	0
OSJ & no discretion	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	0
Complaint Elements Completed - not Premature - "C":	1	1	1	2	1	3	1	0	1	4	1	4	0	0	1	2	0	1	5	0	1	1
Prematures & LGO enquiries - "D":	0	1	1	0	1	1	0	0	0	4	0	0	0	3	0	6	3	2	0	0	0	2
Totals - A, B, C & D:	1	2	3	1	4	2	1	1	5	10	0	0	0	4	2	6	4	7	1	1	3	3

0
0
10
1
3
13
3
30

Local Government Ombudsman Referrals : 1 April 2013 – 31 March 2014 - Analysed by Month

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
46 Referrals from the Ombudsman (by reference number) - could include multiple elements: enquiry, premature and investigation	11	7	5	9	6	8	0	0	0	0	0	0
0 Ongoing Complaints (Investigations only) b/fwd from 2012/13	0	0	0	0	0	0	0	0	0	0	0	0
46 New Complaints were reported from 1 April 2013 to date (including Prematures & enquiries)	0	1	2	3	0	1	0	0	0	0	0	0
Of which 7 were Premature - normally L2 complaints referred back to the Council	0	0	0	0	1	4	0	0	0	0	0	0
and 5 were enquiries by the LGO	6	3	2	4	5	2	0	0	0	0	0	0
22 were not investigated (decisions already made by the LGO e.g. OSJ or Provisional View given)	0	0	0	0	0	0	0	0	0	0	0	0
Provisional View on 0 investigated cases currently pending LGO decision	0	0	2	0	0	5	2	0	0	0	0	0
and 9 Investigations completed	0	0	2	0	5	2	0	0	0	0	0	0
Leaving 3 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **12** cases have received a substantive response in an average of **13** working days
 There have so far been **22** cases which were not "investigated" - though some may have required a response to LGO questions
 There are currently **1** complaint awaiting an initial response
 There are currently **1** premature complaint being processed

The Ombudsman's anticipated response time is currently **20** working days

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
117 Cases referred by the Ombudsman (may contain more than one COMPLAINT element)	5	14	9	8	8	5	7	10	4	12	10	10
15 Cases (Investigations) b/fwd from 2011/12	2	5	6	3	2	1	0	1	2	3	2	2
102 New Cases were reported from 1 April 2012 to date (including Prematures & enquiries)	2	3	0	1	4	2	2	2	1	3	3	4
Of which 29 were Premature - normally L2 complaints referred back to the Council	0	3	2	1	1	0	3	3	0	5	5	4
and 27 were "informal" enquiries by the LGO/AT	0	0	0	0	0	0	0	0	0	0	0	0
27 were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion PV etc.)	1	11	1	2	1	3	3	1	3	5	3	0
Provisional Views open at the month end pending Final Decision and closure												
0 Provisional Views open at the month end pending Final Decision and closure												
and 34 Investigations completed												
Leaving 0 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **18** new cases have been responded to in an average of **29** calendar days
 There has/have also been **23** new cases which have not needed any response at all
 There is/are currently **1** complaints (including L2 referrals) awaiting initial response
 The Ombudsman's anticipated response time is currently **28** calendar days
 Cases were brought forward from 2011/12 (including 2 Prematures), responded to in an average of **27** days
 The average of all **33** investigations requiring a response is **28** days

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
10 Cases (Investigations) were b/fwd from 2010/11	4	9	9	13	12	3	2	9	4	6	19	9
99 New Cases were reported from 1 April 2011 to date - by month	1	5	5	5	5	2	1	2	0	3	6	5
Of which 39 were Premature - normally L2 (but incl. LGO/LGOAT informal enquiries)	1	3	2	2	0	0	0	4	0	1	0	0
and 13 were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion etc.)	4	2	3	3	3	6	7	0	3	1	4	4
Leaving 15 Investigations completed (or Provisional Views received) - analysed by month:												
Leaving 15 Cases currently Ongoing (not Prematures) or to be c/fwd (if open at 31 March)												

During the year to date **51** new cases have been responded to in an average of **24** calendar days
 There has/have also been **21** new cases which have not needed any response at all
 There is/are currently **2** complaints (including L2 referrals) awaiting initial response
 The Ombudsman's anticipated response time is currently **28** calendar days
 Cases were brought forward from 2010/11, were responded to in an average of **23** days
 The average of all **61** investigations requiring a response is **24** days

Stage Three Activity: by Ward

Detailed summary of **Stage Three** Hearing requests by service area within Directorate & Service and by wards. Wards **not shown** have **no** complaints activity within them. Wards and services highlighted contain the highest activity **to date**. **ALL outstanding cases (including those commenced before 31 March 2013) are shown.**

Directorate	Service	Service Delivery Area	Brooklands	Cranham	Gooshays	Hacton	Havering Park	Hylands	Mawneys	South Hornchurch	Squirrels Heath	Upminster	O/S Borough	Grand Total
Culture, Community & Economic Development	Culture & Leisure	Parks & Open Spaces						1		1				2
	StreetCare	Traffic & Parking				1								1
		Street Cleaning & Environmental Maintenance		1										1
	Regulatory Services	Projects & Compliance			2							1		3
Resources	Asset Management	Property Services		1										1
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance			1						1			2
		Housing Needs							1					1
	Children & YP's Services	Permanency											1	1
General	General	Safeguarding & Standards					1							1
		General	1											1
Grand Total			1	2	4	1	1	1	1	1	1	1	1	15

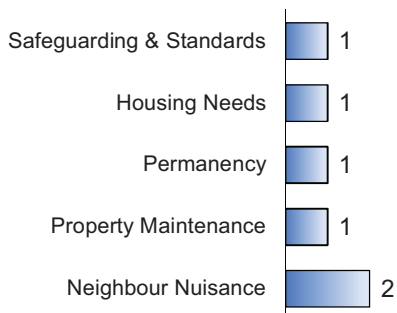
Ward Totals for the month of: SEPTEMBER			
Directorate	Service	Service Delivery Area	Grand Total
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance	1
	Children & YP's Services	Safeguarding & Standards	1
Grand Total			2

Stage Three Activity: By Service Area in Group Directorates

Culture, Community & Economic Development - Total to date: 7



Children, Adults & Housing Services -Total to date: 6



Resources - Total to date: 1



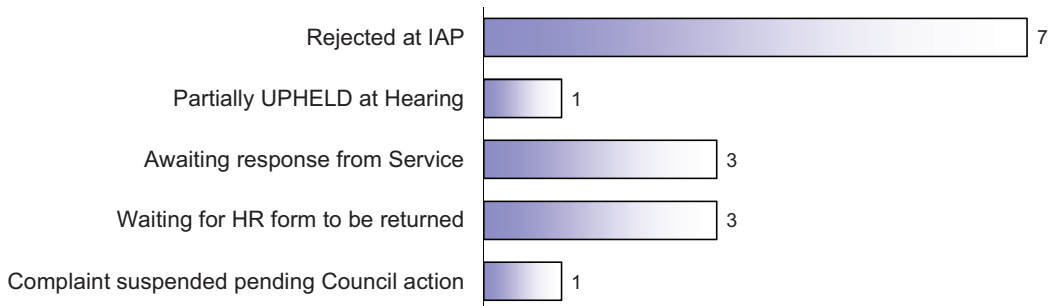
General & Member Issues - Total to date: 1



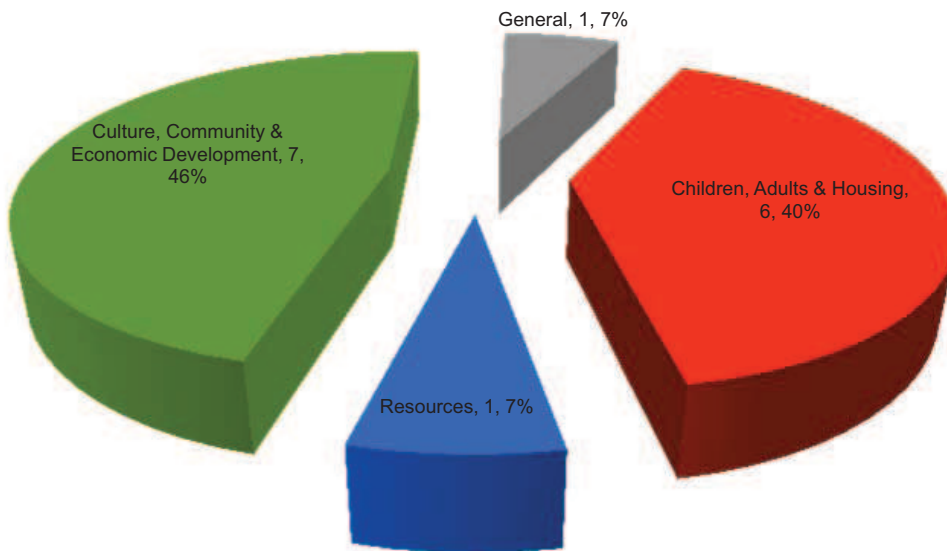
Evaluation of Stage Three Activity

Total of ALL Stage Three hearing requests received & processed between 1 April - 30 September 2013: 9

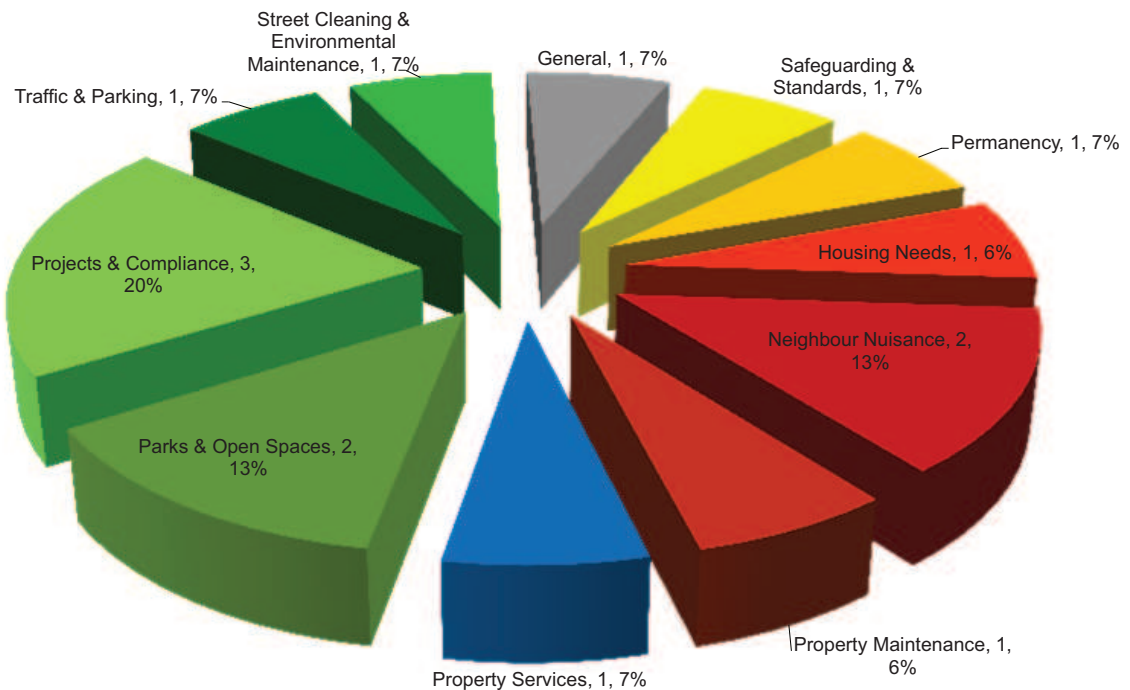
There were 6 ongoing complaints brought forward from 2012/13



Total of Stage Three hearing requests to date by Directorate: 15



Total of Stage Three hearing requests to date by Service: 15



Stage Three Complaints - by Service 1 April - 30 September 2013:
(Six cases were brought forward from 2012/13)

	Culture, Community & Economic Development			Children, Adults & Housing Services			Resources			
	Development & Building Control	Culture & Leisure	StreetCare	Children & YP Services	Homes & Housing		Asset Management	General: Member & non 'Service specific' issues		
Stage Three requests received:-	0	1	0	0	0		0	0	1	
Awaiting return of S3 Hearing Request form:-	1	0	0	1	2		0	1	5	
Complaint discontinued:-	0	0	0	0	0		0	0	0	
Awaiting Service response:-	0	0	1	0	0		0	0	1	
Awaiting IAP:-	0	0	0	0	0		0	0	0	
Rejected at IAP:-	2	1	1	0	2		1	0	7	
Awaiting Hearing:-	0	0	0	0	0		0	0	0	
Complaint UPHELD :-	0	0	0	0	0		0	0	0	
Complaint NOT upheld :-	0	0	0	0	0		0	0	0	
Complaint PARTIALLY upheld :-	0	0	0	1	0		0	0	1	
Total complaints:-	3	2	2	0	2	4	0	1	15	

Stage Three Complaints: 1 April 2013 – 31 March 2014 - Analysed by Month

15 Total number of Stage Three requests

6 Cases b/fwd from 2012/13

9 New Stage Three requests made since 1 April 2013 to date
 Of which 0 Did not proceed
 and 7 Were rejected by the IAP
 0 was not upheld at Hearing
 and 1 were partially upheld at Hearing
 0 were upheld at Hearing
 Leaving 7 Ongoing cases

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
1	1	1	0	1	4	2						
0	0	0	0	0	0	0						
3	0	0	3	1	0	0						
0	0	0	0	0	0	0						
0	0	0	0	1	0	0						
0	0	0	0	0	0	0						