

ADJUDICATION AND REVIEW COMMITTEE SUPPLEMENTARY AGENDA

4 November 2014

The following items are attached for information and are submitted with the agreement of the Chairman

5 PRESENTATION BY THE HEAD OF REGULATORY SERVICES CONCERNING COMPLAINTS MANAGEMENT ACROSS THE SERVICE (Pages 1 - 12)

Presentation by Patrick Keyes – Head of Regulatory Services

6 PRESENTATION BY THE HEAD OF BUSINESS & PERFORMANCE CONCERNING CORPORATE COMPLAINTS (Pages 13 - 20)

Phillipa Brent-Isherwood – Head of Business & Performance

8 UPDATE ON STAGE THREE ACTIVITY (Pages 21 - 26)

10 UPDATE ON LGO AND HOUSING OMBUDSMAN ACTIVITY TO END OF OCTOBER (Pages 27 - 34)

**Andrew Beesley
Committee Administration
Manager**

This page is intentionally left blank

Adjudication & Review Committee

4 November 2014

**Regulatory Services
Complaint Handling**

Regulatory Services Comprises

- **Public Protection:**
 - Environmental Health
 - Licensing
 - Trading Standards
- **Planning Control & Enforcement**
- **Building Control**
- **Bereavement Services (Cemeteries and Crematorium)**
- **Registrars (Births, Deaths and Marriages)**
- **Development & Transportation Policy (Strategic)**
- **Emergency Planning & Business Continuity**

Complaint Routes

- Corporate Complaint System (CRM)
- Ombudsman
- Members

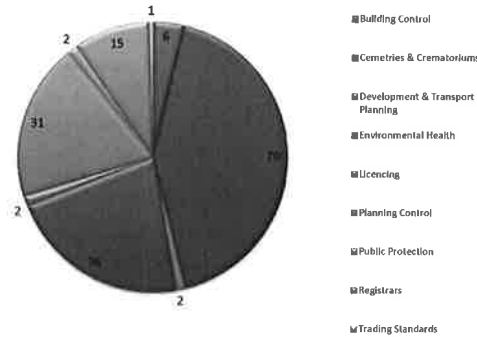
- Complaint stages – 1, 2 & 3
- Applies to all services
- Regulatory Services came into being in May 2013

Complaint Themes

- Dissatisfaction with Service level/quality
- Not done as much as complainant expects/ desires
- Disagreement with a decision
- Delay, speed, perceived bureaucracy
- Staff behaviour
- Messed up – apology due

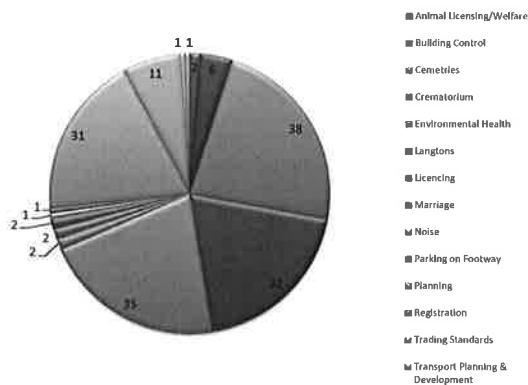
Regulatory Services Overview

- Stage 1 Complaints (Jun 13 – Sept 14)



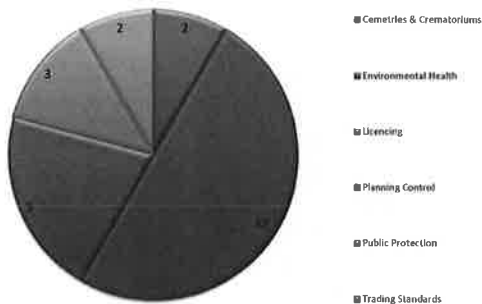
Regulatory Services Overview

- Stage 1 Complaints



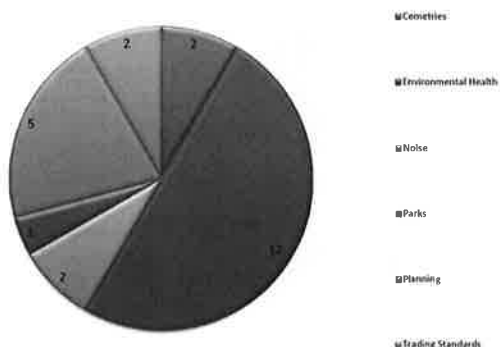
Regulatory Services Overview

- Stage 2 complaints (Jun 13 – Sept 14)



Regulatory Services Overview

- Stage 2 complaints (Jun 13 – Sept 14)

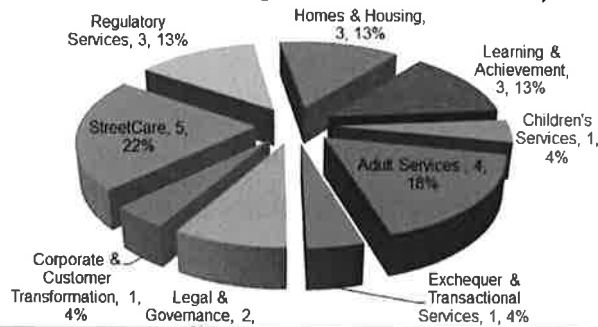


Regulatory Services Complaints

	Stage 1				Stage 2	Stage 3
	Number Logged	Completed In 10 days	Completed In 10 days (%)	Completed over 10 days	Number Logged	Number Logged
June 2013	22	19	86	3	4	
July 2013	10	9	90	1	4	
August 2013	14	11	79	3	3	1
September 2013	13	8	62	5		
October 2013	17	11	65	6		
November 2013	7	5	71	2	2	
December 2013	3	3	100	0		
January 2014	7	7	100	0		
February 2014	2	1	50	1	1	
March 2014	9	9	100	0		
April 2014	11	8	73	3	1	
May 2014	12	11	92	1		
June 2014	15	13	87	2	3	
July 2014	12	10	83	2	2	
August 2014	4	4	100	0	3	
September 2014	7	6	86	1	1	
Total	165	135	82	29	24	1

Ombudsman

Service Area Involvement - Total complaint elements from the LGO (whether investigated or not) to 30 September 2014: 23 (6 cases were brought forward from 2013/14)



Regulatory Services' 3 Service Principles

In any given case we expect RS staff to be :

- Professional
- Approachable
- *Outcome* rather than process focussed

Translating Principles to Complaint Handling (1)

- Some complaints derive from regulatory outcome, eg a planning decision
- Response:
 - Inform, explain, clarify
 - Review our generic advice
 - Usually not recorded initially as a complaint unless specific decision error or handling issue eg missed consultation

Translating Principles to Complaint Handling (2)

Approachability:

- Aim to nip in bud, eg call, visit , apologise eg Cems and Crems, EH, Planning
- Clarify basis of complaint
- Manage user expectations
- Be proportionate in response

Translating Principles to Complaint Handling (3)

Focus on **outcome** not process:

- Plain language including to assist Members
- Manage user expectations
- Give realistic resolution timeframes and parameters for what we can/can't do and why

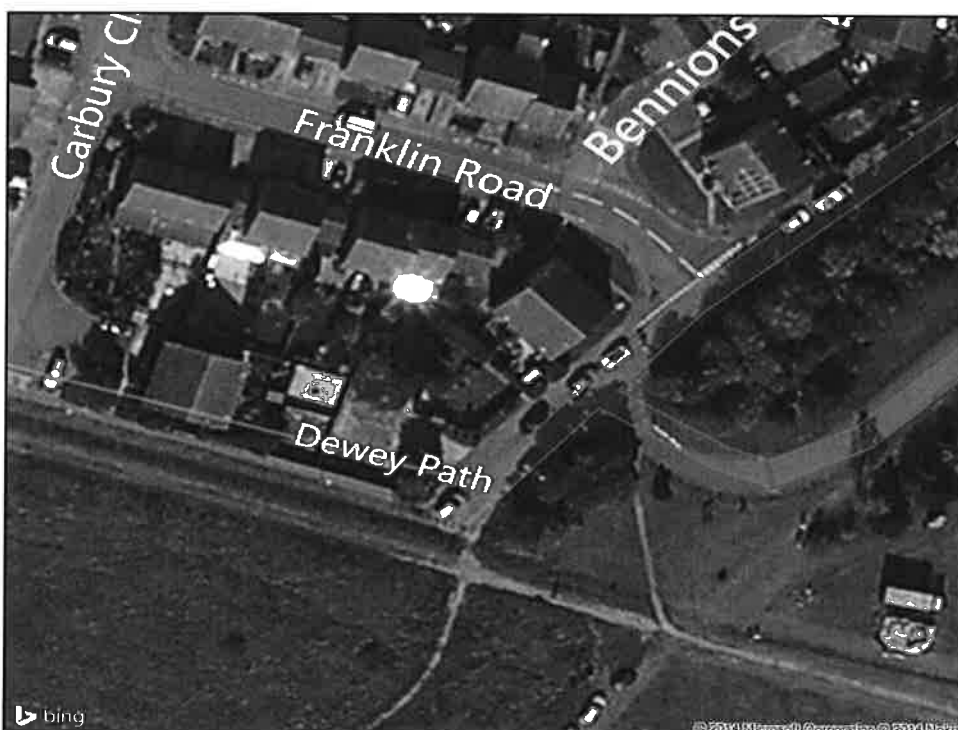
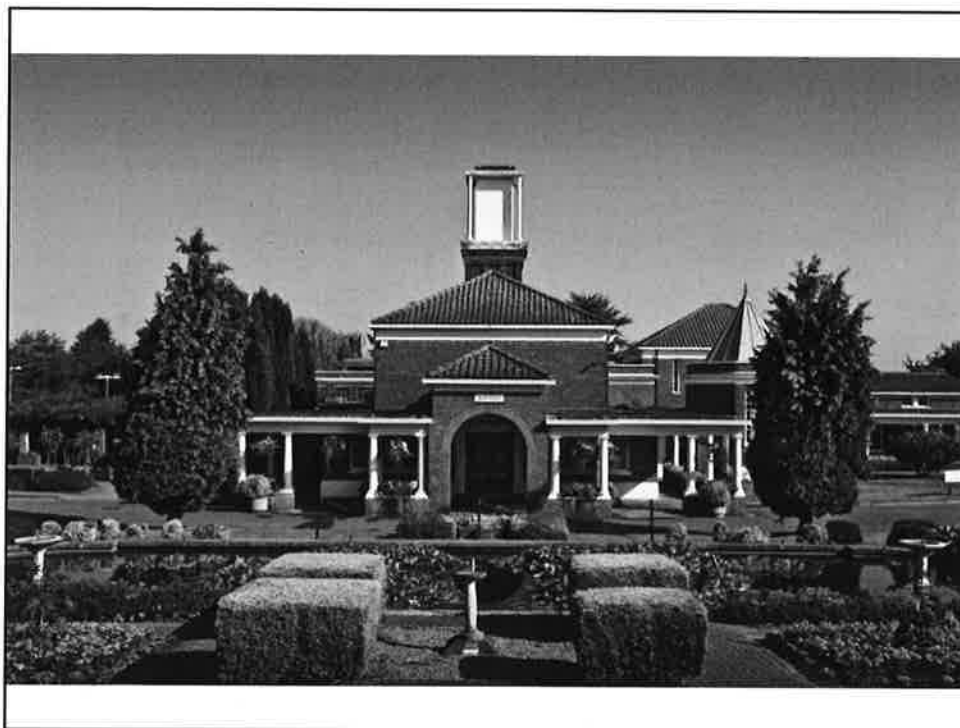
Translating Principles to Complaint Handling (4)

By the nature of what we do Regulatory Services complaints can be technically complex and time consuming:

- Gathering information, eg historical records
- Assessing site conditions
- Cross service liaison
- External agencies / crossover
- Spotting the seriousness early on
- Isolating key complaint contact within a group
- Persistent complainants
- Areas for interpretation and judgement

Complaints - 3 example cases

1. Simple, timely resolution
2. Middle range
3. Protracted - nature/ complexity/players





Learning from Complaints

- Share with staff member subject of complaint
- RS feedback complaint/compliment sessions
- High level sensitive, cross service complaints at Regulatory Services Management Team
- Cross service complaint protocol invoked 2014
- Team meetings and staff 1 to 1s
- Revise our processes/information

Compliments

Main themes:

- Staff going extra mile
- Achieving/resolving an issue
- Staff manner/helpfulness even where not achieved outcome were seeking
- Timeliness
- Professionalism
- Empathy

Questions

Quarter 2 Overview - Corporate Complaints and Members/MP Enquiries

Phillipa Brent-Isherwood
Head of Business & Performance
November 2014

Corporate Complaints July to September 2014

How many complaints have we received?

From 1st July to 30th September 2013 (Q2):

308 complaints were logged on CRM (Stage 1)

Of these 245 (79.55%) were completed in 10 working days

From 1st July to 30th September 2014 (Q2):

572 complaints were logged on CRM (Stage 1)*

Of these 498 (87.06%) were completed in 10 working days

From 1st April to 30th June 2014 (Q1):

546 complaints were logged on CRM (Stage 1)*

Of these 479 (87.72%) were completed in 10 working days

*A proportion of these are from the OHMS system and would not have been included in the previous report.

Complaints escalated to Stage 2 between July and September 2014

5.30% of complaints were escalated to Stage 2. The Corporate Performance target is not to exceed 10%.

	Stage 1 Complaints Logged	Stage 2 Complaints Logged	Escalated to Stage 2 (%) - Monthly
July	209	9	4.13 (9 of 218)
August	186	9	4.62 (9 of 195)
September	177	14	7.33 (14 of 193)
Escalated to Stage 2 (%) - Quarterly			5.30 (32 of 604)

Service Breakdown – July to September 2014

	Stage 1 Logged	Completed within 10 days	Stage 2 Logged	Completed within 10 days
Adult Services	-	-	-	-
Business & Performance	-	-	-	-
Children's Services	1	100% (1 of 1)	-	-
Communications	1	100% (1 of 1)	-	-
Corporate & Customer Transformation	31	97% (30 of 31)	-	-
Corporate Policy & Community	1	100% (1 of 1)	-	-
C, C & ED Director	-	-	-	-
Culture & Leisure	16	100% (16 of 16)	1	100% (1 of 2)
Economic Development	4	75% (3 of 4)	-	-
Homes & Housing	344	90% (308 of 344)	10	60% (6 of 10)
Learning & Achievement	7	43% (3 of 7)	-	-
oneSource	22	86% (19 of 22)	2	50% (1 of 2)
Public Health	-	-	-	-
Regulatory Services	23	87% (20 of 23)	5	100% (5 of 5)
Streetcare	122	79% (96 of 122)	14	50% (7 of 14)
Total	572	87% (498 of 572)	32	63% (20 of 32)

Breakdown by Topic

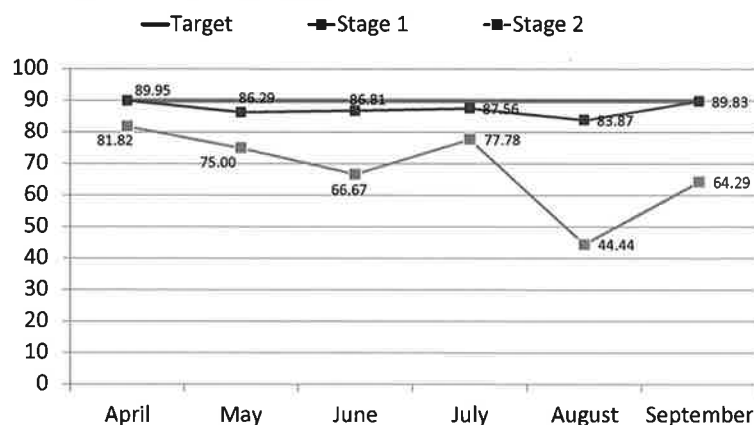
Top 3 Topics of complaints are:

	1 st	2 nd	3 rd
Q1 2014 (April – June)	Housing Services (51)	Waste (27)	Parking Tickets (13)
Q2 2014 (July – September)	Housing Services (62)	Waste (44)	Parking Tickets (23)
Q2 2013 (July – September)	Housing Services (89)	Street Cleaning (21)	Parking Tickets (19)

Housing Services and Parking Tickets have been in the top 3 topics not only this quarter and last quarter, but also Q2 last year.

Due to problems replacing the maintenance contractor in housing, customer complaints and Member enquiries have increased for in maintenance works. The new contractor is now in place, and is under ongoing scrutiny and actions are in place to improve performance. For capital works there has been a problem with one contractor and after attempts to resolve the issues, they are now no longer being used.

Corporate Complaints Completed (%) within 10 days (April to September 2014)



What does this information tell us?

- Total number of complaints logged at Stage 1 on CRM between July and September varied: 308 (2013) and 572 (2014)*
- 572 Stage 1 complaints were investigated with 498 being resolved within 10 days (Q2 2014)
- Of those completed over the 10 days, 46 were completed under 15 days and 27 were completed up to 40 days
- 32 (5.30%) complaints were escalated to Stage 2 (the target is not to exceed 10%)
- Performance has improved. 87% of Stage 1 complaints were completed within 10 days (Q2 2014), compared to 80% (Q2 2013). Performance has stayed the same 87% since last quarter (Q1 2014) the target is 90%
- Top two areas with most Corporate Complaints logged on CRM are Homes & Housing (344) and Streetcare (122)

*A proportion of these are from the OHMS system and would not have been included in the previous report

Members / MP Enquiries July to September 2014

How many enquiries have we received?

From 1st July to 30th September 2013 (Q2):

1,139 Members / MP Enquiries were logged

Of these 1,000 (87.80%) enquiries were completed within 10 working days.

From 1st July to 30th September 2014 (Q2):

1,234 Member / MP Enquiries were received*

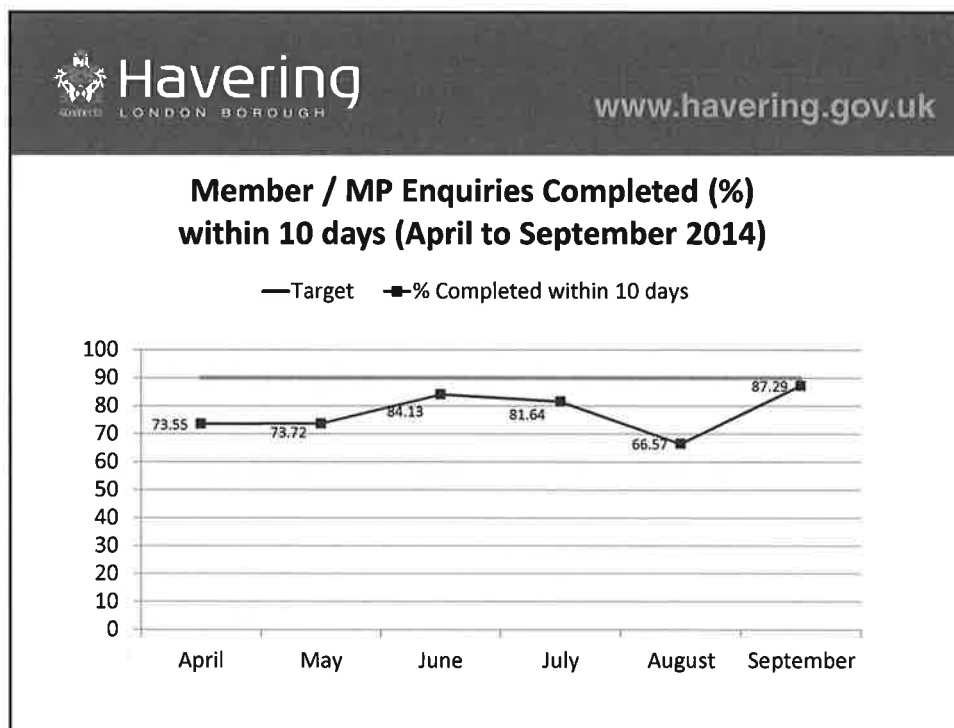
Of these 976 (79.09%) enquiries were completed within 10 working days.

From 1st April to 30th March 2014 (Q1):

840 Member / MP Enquiries were received*

Of these 661 (78.69%) were completed within 10 working days.

*A proportion of these are from the OHMS system and would not previously have been included in the previous report.



Havering
LONDON BOROUGH

www.havering.gov.uk

**Number of enquiries logged per Service
(July to September 2014)**

Service Area	Number of Enquiries logged	Completed within 10 days	% completed within 10 days
Adult Services	21	21	100%
Business & Performance	-	-	-
Children's Services	7	3	43%
Communications	1	1	100%
Corporate & Customer Transformation	1	1	100%
Corporate Policy & Community	-	-	-
C, C & ED Director	8	6	75%
Culture & leisure	36	33	92%
Economic Development	-	-	-
Homes & Housing	260	225	87%
Learning & Achievement	10	10	100%
oneSource	5	4	80%
Public Health	-	-	-
Regulatory Services	53	48	91%
Streetcare	832	624	75%
Total	1,234	976	79%

Breakdown by Topic

Top 3 Topics of Member Enquiries are:

	1 st	2 nd	3 rd
Q1 2014 (April – June)	Housing Services (77)	Schemes (Streetcare) (60)	Street Cleaning (47)
Q2 2014 (July – September)	Housing Services (124)	Street Cleaning (88)	Schemes (Streetcare) (78)
Q2 2013 (July – September)	Road & Highway Maintenance (215)	Street Cleaning (120)	Housing Services (118)

Housing Services and Street Cleaning have been in the top 3 topics not only this quarter and last quarter, but also Q2 last year.

Most of the Street Cleaning Enquiries should have been logged as a service request. When this happens we should see a reduction in the number of Enquiries.

Top 10 reporting Members / MPs 2014

July		August		September	
1.	Andrew Rosindell (47)	1.	Ray Morgan (35)	1.	Andrew Rosindell (51)
2.	Ray Morgan (43)	2.	Andrew Rosindell (21)	2.	Angela Watkinson (24)
3.	John Wood (38)	3.	Angela Watkinson (21)	3.	Stephanie Nunn (23)
4.	Ronald Ower (24)	4.	John Wood (17)	4.	Damien White (21)
5.	Damien White (22)	5.	Ronald Ower (16)	5.	Jeffery Tucker (18)
6.	Robert Benham (20)	6.	Joshua Chapman (15)	6.	Ray Morgan (15)
7.	Angela Watkinson (20)	=7.	Barry Mugglestone (13)	7.	Barry Mugglestone (14)
8.	Jon Cruddas (19)	=7.	Damien White (13)	=8.	Brian Ealing (13)
9.	Stephanie Nunn (16)	=7.	Jason Frost (13)	=8.	Roger Ramsey (13)
=10.	Joshua Chapman (14)	=7.	Julie Wilkes (13)	=8.	Wendy Brice-Thompson (13)
=10.	Linda Trew (14)				

What does this information tell us?

- Streetcare (832) and housing (260) received the majority of Members / MP enquiries
- Total number of enquiries logged on CRM has increased from 1,139 in Q2 2013/14 to 1,234 in Q2 2014/15* (Total Number of Enquiries logged on CRM in Q1 was 850).
- 1234 Member Enquiries were investigated with 976 being resolved within 10 days
- Of those completed over the 10 days, 125 were completed under 15 days and 135 were completed up to 65 days
- Performance has declined year on year (79% (976 of 1,234) of enquiries were completed within 10 days (Q2 2014), compared to 88% (1,000 of 1,139) (Q2 2013)) but has improved since last quarter 78% (661 of 850) (Q1 2014). The target is 90%

*A proportion of these are from the OHMS system and would not have been included in the previous report

Planned Next Steps

- Complaint best practice group – A complaint group to be established to share best practice, better understand complaint issues, solve any problems staff are encountering and improve outcomes
- Member Enquiries Forms – Online forms to log enquiries on the Portal have been drafted and are awaiting testing, to go live before Christmas
- Members Portal Training – 1:1 training sessions for Members on using the Portal
- Increase use of the Portal – Currently 18 Members have logged an enquiry through the Portal. The iPad user group and Members Development group should help to address this

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 2014) are shown.**

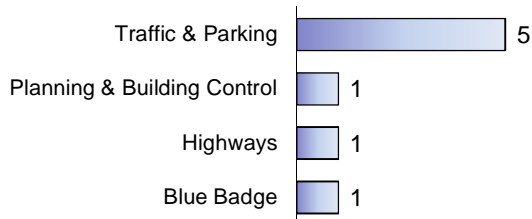
Directorate	Service	Service Delivery Area	Brooklands	Cranham	Elm Park	Gooshays	Hacton	Havering Park	Heaton	Pettits	Rainham & Wennington	Romford Town	South Hornchurch	O/S Borough	Grand Total
Culture, Community & Economic Development	StreetCare	Traffic & Parking			1	1		1		1		1			5
		Highways					1								1
		Blue Badge												1	1
	Regulatory Services	Planning & Building Control											1		1
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance				1									1
		Property Maintenance		1					1						2
		Housing Needs	1			1						1		1	4
		PSL							1					1	2
	Children's Services	Under 12s	1												1
		Triage MASH & Assessment											1	1	
oneSource	Exchequer & Transactional Services	Benefits & Council Tax									1				1
Grand Total			2	1	1	3	1	1	2	1	1	2	1	4	20

Stage Three Activity: by Ward

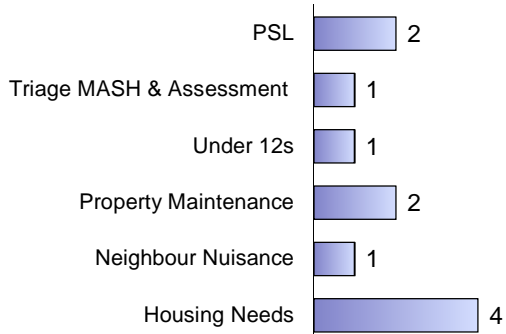
New Stage Three Requests - Ward Totals for the month of: OCTOBER					
Directorate	Service	Service Delivery Area	Heaton	O/S Borough	Grand Total
Culture, Community & Economic Development	StreetCare	Blue Badge?		1	1
Children, Adults & Housing	Homes & Housing	PSL	1	1	2
Grand Total			1	2	3

Stage Three Activity: By Service Area in Group Directorates

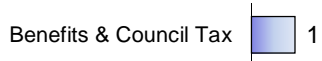
Culture, Community & Economic Development - B/Forward 1. From 1 April 2014. 7. Total to date: 8



Children, Adults & Housing Services - B/Forward 5. From 1 April 2014, 6. Total to date: 11



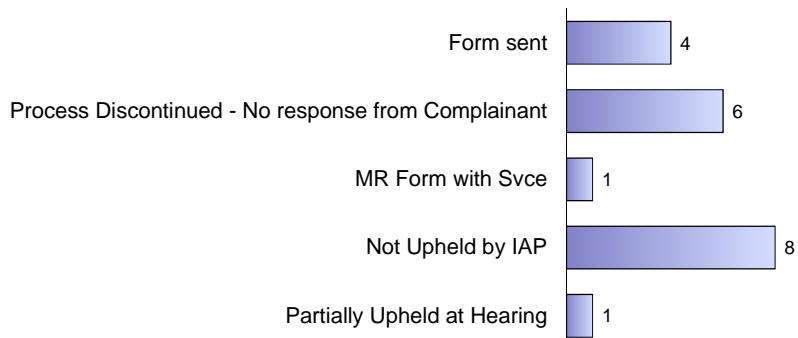
oneSource - From 1 April 2014. Total to date: 1



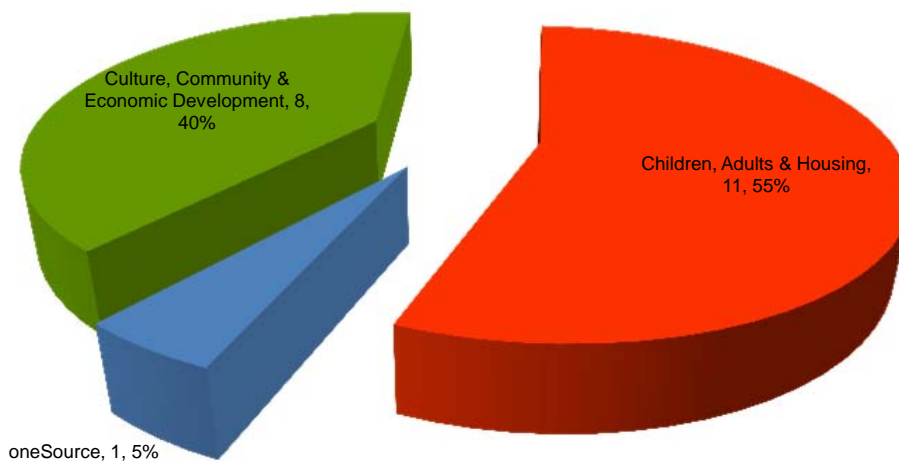
Evaluation of Stage Three Activity

**Total of ALL Stage Three hearing requests received & processed between
1 April 2014 - 31 March 2015: 14**

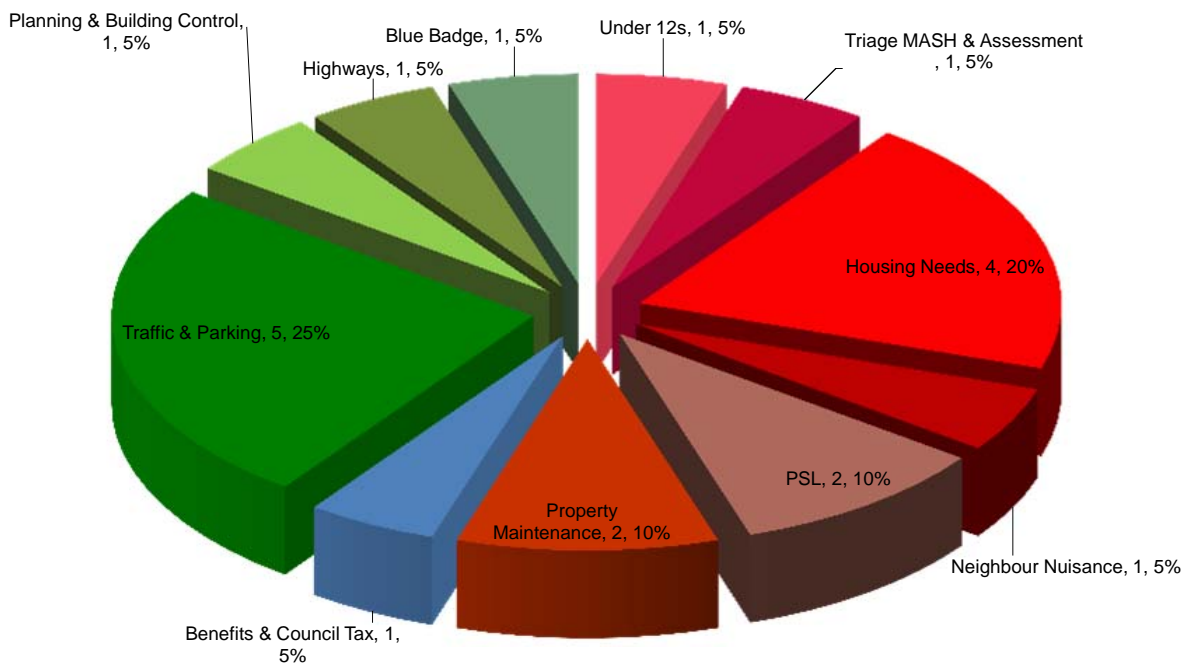
There were 6 ongoing complaints brought forward from 2013/14



Total of Stage Three hearing requests to date by Directorate: 20



Total of Stage Three hearing requests to date by Service: 20



Stage Three Complaints - by Service 1 April 2014 - 31 March 2015:
(Six cases were brought forward from 2013/14)

		Culture, Community & Economic Development				Children, Adults & Housing						oneSource					
		StreetCare	Trading Standards, Licensing & Environmental Health	Planning & Building Control	Culture & Leisure	Learning & Achievement	Children's Services	Business & Performance	Adult Services	Homes & Housing (Housing Needs)	Homes & Housing (Estate & Maintenance)	School Appeals	Benefits & Council Tax	Business rates	Asset Management	General: Member & non 'Service specific' issues	
PROCESS	Potential S3 complaint notified:-	0	0	0		0	0			0	1		0				1
	Awaiting return of S3 MR form from complainant:-	1	0	0		0	0			1	2		0				4
	Complaint discontinued:-	3	0	1		0	1			0	0		0				5
	Awaiting Service response:-	1	0	0		0	0			0	0		0				1
	Awaiting IAP or Adjudured:-	0	0	0		0	0			0	0		0				0
OUTCOME	Complaint not upheld at IAP:-	2	0	0		0	0			3	2		1				8
	Complaint PARTIALLY upheld at IAP:-	0	0	0		0	0			0	0		0				0
	Complaint upheld at IAP:-	0	0	0		0	0			0	0		0				0
	Awaiting Hearing:-	0	0	0		0	0			0	0		0				0
	Complaint not upheld by hearing:-	0	0	0		0	0			0	0		0				0
	Complaint PARTIALLY upheld by hearing:-	0	0	0		0	1			0	0		0				1
	Complaint upheld by hearing:-	0	0	0		0	0			0	0		0				0
Total complaints:-	7	0	1	0	0	2	0	0	4	5	0	1	0	0	0	20	

Stage Three Complaints: 1 April 2014 – 31 March 2015 - Analysed by Month

20	Total number of Stage Three requests	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Mar
6	Cases b/fwd from 2013/14											
13	Stage Three request notified [memo]	3	0	2	2	1	2	3	0	0	0	0
14	Stage Three requests OPENED from 1 April 2014 to date	1	0	3	2	3	2	3	0	0	0	0
Of which	6 Did not proceed / Process Discontinued	0	2	0	1	2	0	1	0	0	0	0
	8 Were not upheld by IAP	0	2	0	1	0	3	2	0	0	0	0
	0 Were partially upheld by IAP	0	0	0	0	0	0	0	0	0	0	0
	0 Were upheld by IAP	0	0	0	0	0	0	0	0	0	0	0
	0 Were not upheld at Hearing	0	0	0	0	0	0	0	0	0	0	0
	1 Was partially upheld at Hearing	1	0	0	0	0	0	0	0	0	0	0
	0 Were upheld at Hearing	0	0	0	0	0	0	0	0	0	0	0
Leaving	5 Ongoing open - and notified - cases											

This page is intentionally left blank

Local Government Ombudsman (LGO) and Housing Ombudsman Service (HOS) cases and decisions on Standards issues Monthly Update

The following few pages are intended to provide Members with an overview of complaints considered by councillors at Stage Three of the Corporate Complaints process or by the Local Government and Housing Services Ombudsmen.

This is but a brief summary and I can provide you with additional details about activity within your ward should you require it. There is also a link to much more detail concerning all cases considered by the LGO should you wish to see what complaints have been brought against the council. If you require any further information about that database, please contact my colleague Jacqui Barr (extn. 2439).

LGO Current Position: to 31 October 2014, cases by Ward

In the following PDF will be found a chart showing current Ombudsman activity displayed in Service Area within Directorates. As there were six cases open at 31 March, they have been brought forward as part of the overall statistics. These are included in the "year to date" figures and I have added a summary for those cases added during **October**.

Ombudsman Cases summary:

During **October** the Council received four new contacts from the Ombudsman, three of which were enquiries. One involved Traffic & Parking, another was in relation to Housing Needs whilst the third enquiry was about Benefits. The fourth contact was an investigation about a school appeal. All contacts have been answered. During the month, the Council was informed that two cases had been ended, one involving Children's Services, the other, a school appeal. Neither was upheld and no maladministration was recorded. In addition, a "premature" case referred to the Council was closed as the complainant had not pursued the matter and also during the month, the Council was informed that a case which had been recorded against Adult Social care was not against Havering and so this was removed and the records amended accordingly.

The Housing Ombudsman Service

During October a recently closed Housing Ombudsman case was re-opened as it appeared not all the issues had been successfully addressed. During the month, the Council closed three old cases which had been closed by the Housing Ombudsman, but which had not been notified to the Council.

Standards issues:

There was no activity under the Standards procedures during October, though at the request of the Chair of the Adjudication & Review Committee, a review of the protocols and procedure of the way in which Havering deals with complaints about complaints about Member conduct has commenced.

Other information:

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.

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 **no** Ombudsman activity within them. Wards and services highlighted contain the highest activity **to date**. Includes six cases brought forward from 2013/14.

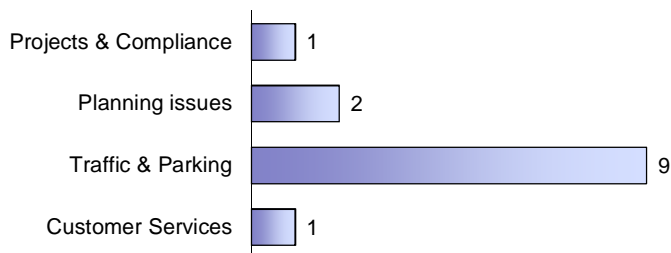
Directorate	Service	Service Delivery Area	Brooklands	Cranham	Elm Park	Emerson Park	Gooshays	Hacton	Harold Wood	Havering Park	Hylands	Mawneys	Pettits	Rainham & wenington	Romford Town	South Hornchurch	Squirrels Heath	St Andrews	Upminster	O/S Borough	Grand Total	
Culture, Community & Economic Development	Regulatory Services	Projects & Compliance					1														1	
		Planning issues																2				2
	Corporate & Customer Transformation	Customer Services	1																		1	
	StreetCare	Traffic & Parking			1						2	1			1	1		2	1		9	
Children, Adults and Housing	Homes & Housing	Housing Needs	1				3								2			2		2	10	
	Learning & Achievement	Child & Community Psychology/SEN						1	2												3	
		Quality Assurance/School Improvement				1																1
	Children's Services	Triage MASH & Assessment															2					2
		Under 12s	2																			2
	Adult Services	Preventative & Assessment												1								1
		Access & Assessment																			1	1
Commissioning																				1	1	
Safeguarding																	1				1	
oneSource	Exchequer & Transactional Services	Benefits & Council Tax								1				2			1				4	
	Legal & Governance	School Appeals		1		1							1								3	
Grand Total			4	1	1	2	4	1	2	1	2	1	2	2	3	3	4	4	1	4	42	

Ombudsman Activity: by Ward

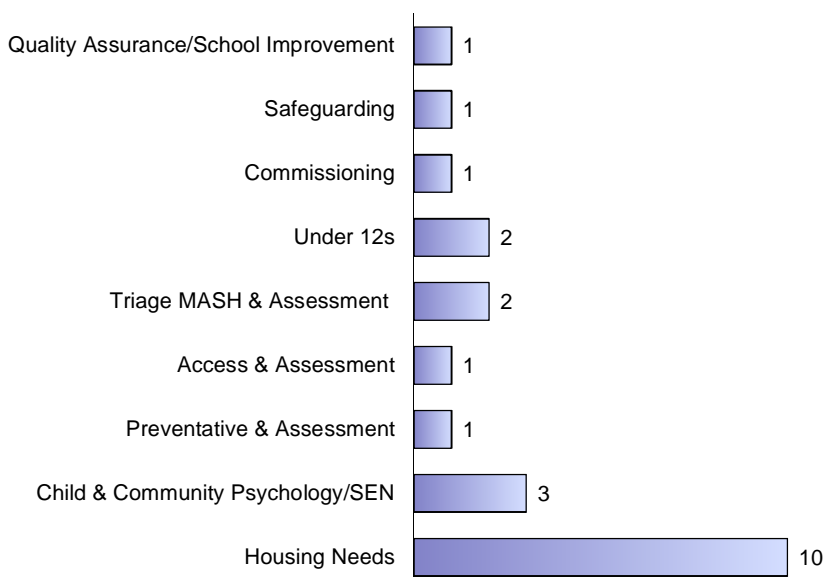
Ward Totals for the month of: OCTOBER							
Directorate	Service	Service Delivery Area	Emerson Park	Gooshays	Havering Park	South Hornchurch	Grand Total
Culture, Community & Economic Development	StreetCare	Traffic & Parking				1	1
Children, Adults and Housing	Homes & Housing	Housing Needs		1			1
oneSource	Exchequer & Transactional Services	Benefits & Council Tax			1		1
	Legal & Governance	School Appeals	1				1
Grand Total			1	1	1	1	4

Ombudsman investigations: By Service Area in Group Directorates From 1 April 2014 (including open cases brought forward)

Culture, Community & Economic Development - B/Forward 2. From 1 April 2014 to date 11. Total: 13



Children, Adults and Housing - B/Forward 3. From 1 April 2014 to date 19. Total: 22

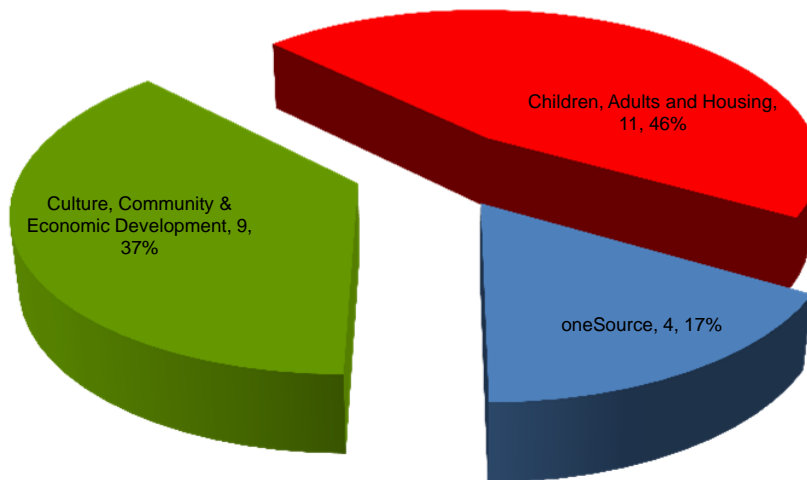


oneSource - Total from 1 April 2014 to date: 7

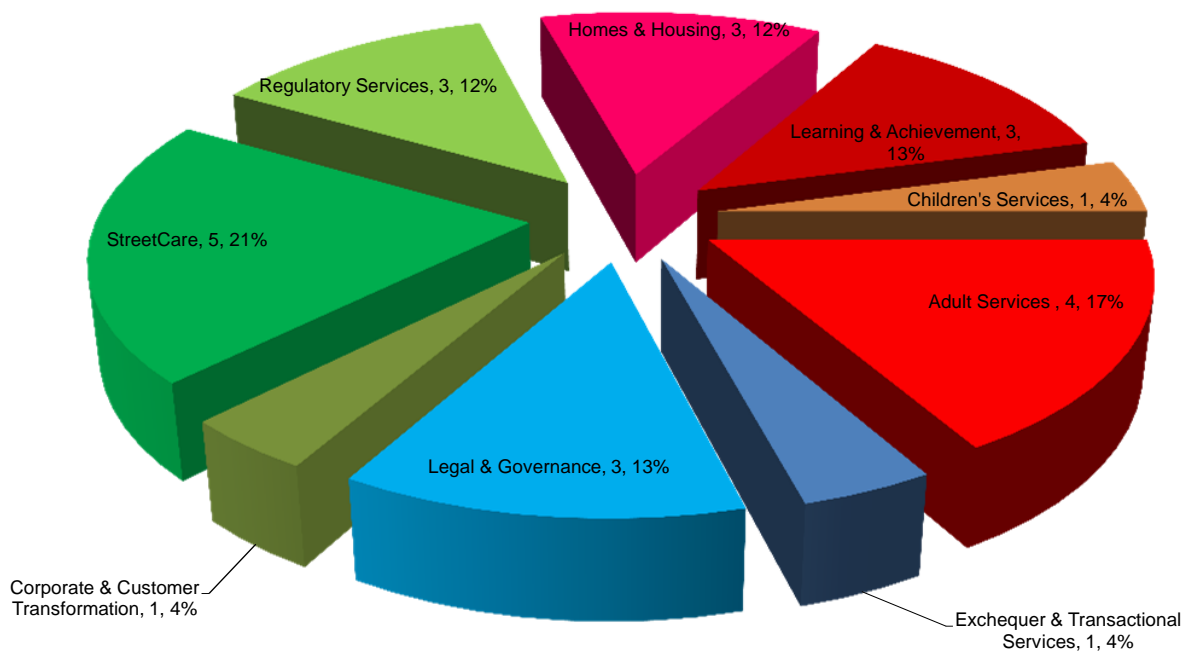


Evaluation of Ombudsman Activity

**Directorate Involvement - Total of complaint elements from the LGO
(whether investigated or not) to 31 October 2014: 24
(6 cases were brought forward from 2013/14)**

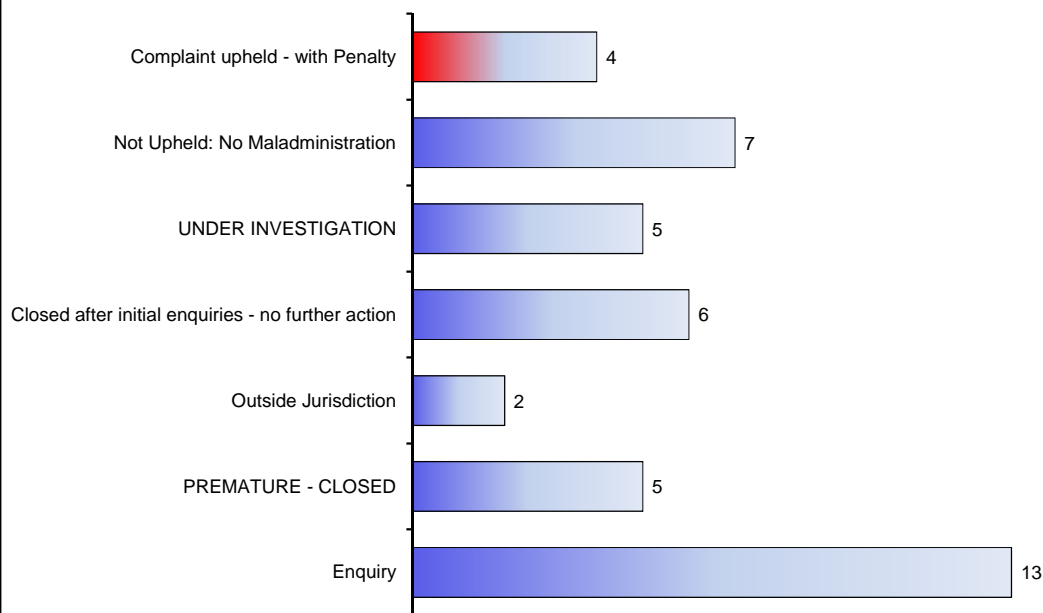


**Service Area Involvement - Total complaint elements from the LGO
(whether investigated or not) to 31 October 2014: 24
(6 cases were brought forward from 2013/14)**



Evaluation of Ombudsman Activity

Total of ALL complaints received between 1 April 2014 - 31 March 2015: 42
including enquiries and premature complaints referred back to the Council and dealt with under the Corporate Complaints procedure



Identifying multiple contacts from the Ombudsman for the year 1 April 2014 to 31 March 2015

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

Children, Adults & Housing

Homes & Housing I | E → P | P | D | E → D | E → P | E

Adult Services I | I | D | D

Children's Services E → P | E → D

Learning & Achievement I | D | E → D

22 16

Culture, Community & Economic Development

Regulatory Services I | D | D

StreetCare D | E → D | E → D | I | I | E | E

Corporate & Customer Transformation I

13 11

7 6

Complaint ELEMENTS **Individual COMPLAINTS**

oneSource

Council Tax & Benefits D | E → P | E

Business Rates

Asset Management

School Appeals I | I | I

General & Member Issues

Notes:

42

33

Local Government Ombudsman Complaint Elements - by Service 1 April 2014 - 31 March 2015:

(Six cases were brought forward from 2013/14)

2014/15 BVPI target for maladministration is 0 and no more than 8 instances where penalties are awarded

From 1 April 2014 - revised Directorates & Services including oneSource areas

Culture, Community & Economic Development				Children, Adults & Housing						oneSource					
StreetCare	Public Protection	Planning & Building Control	Customer Services	Learning & Achievement	Children's Services	Business & Performance	Adult Services	Homes & Housing (Housing Needs)	Homes & Housing (Estate & Maintenance)	School Appeals	Council Tax & Benefits	Business rates	Asset Management	General: Member & non 'Service specific' issues	Complaint Elements under investigation
2	0	0	0	0	0	0	2	0	0	1	0	0	0	0	= 5
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	+ 0
															+ 19
															+ 18
															= 42
Complaints determined:															
Report issued: Upheld; maladministration and injustice															
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Report issued: Upheld; maladministration, no injustice															
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Report issued: Not upheld; no maladministration															
Upheld; maladministration and injustice															
0	0	1	0	1	0	0	1	1	0	0	0	0	0	0	0
Upheld; maladministration, no injustice															
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Not upheld; no maladministration															
0	0	1	1	0	0	0	1	0	0	2	1	0	0	0	6
Closed after initial enquiries - out of jurisdiction															
0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1
Closed after initial enquiries - no further action															
3	0	0	0	1	0	0	0	1	0	0	0	0	0	0	5
Not upheld: No further action															
0	0	1	0	1	0	0	0	1	0	0	0	0	0	0	3
Complaint Elements Completed - not Premature - "C":															
3	0	3	1	3	1	0	2	3	0	2	1	0	0	0	19
Prematures & LGO enquiries - "D":															
4	0	0	0	1	3	0	0	7	0	0	3	0	0	0	18
Totals - A, B,C & D:															
9	0	3	1	4	4	0	4	10	0	3	4	0	0	0	42

Local Government Ombudsman Referrals: 1 April 2014 – 31 March 2015 - Analysed by Month

33 Referrals from the Ombudsman (by reference number) - could include multiple elements: enquiry, premature and investigation

		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	5 Ongoing Complaints (Investigations only) b/fwd from 2013/14												
	28 New Complaints were reported from 1 April 2013 to date (including Prematures & enquiries)	3	4	5	1	8	3	4	0	0	0	0	0
Of which	5 were Premature - normally L2 complaints referred back to the Council	2	1	0	0	2	0	0	0	0	0	0	0
and	4 were enquiries by the LGO which have NOT been changed by further actions	0	0	0	0	0	1	3	0	0	0	0	0
	12 were not investigated (decisions already made by the LGO e.g: OSJ, Provisional View etc.)	0	3	4	0	4	1	0	0	0	0	0	0
	1 Provisional View on investigated cases currently pending LGO decision	1	0	0	0	0	0	0	0	0	0	0	0
and	10 Investigations completed	3	0	2	2	1	0	2	0	0	0	0	0
Leaving	1 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **2** cases have received a substantive response in an average of **15 working days**
 There have so far been **12** cases which were not "investigated" - though some may have required a response to LGO questions
 There are currently **2** complaints awaiting an initial response
 There is currently **0** premature complaint being processed

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

Page 34

72 Referrals from the Ombudsman (by reference number) - could include multiple elements: enquiry, premature and investigation

		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	0 Ongoing Complaints (Investigations only) b/fwd from 2012/13												
	72 New Complaints were reported from 1 April 2013 to date (including Prematures & enquiries)	11	7	5	8	5	4	9	4	4	4	8	3
Of which	10 were Premature - normally L2 complaints referred back to the Council	0	1	2	2	0	1	0	0	0	1	3	0
and	4 were enquiries by the LGO which have not been superceded by a later Ombudsman "decision"	0	0	0	0	0	0	0	0	1	1	2	0
	37 were not investigated (decisions already made by the LGO e.g: OSJ, Provisional View etc.)	6	3	2	4	5	2	5	2	2	2	2	2
	1 Provisional View on investigated cases currently pending LGO decision	0	0	0	0	0	0	1	0	0	0	0	0
and	16 Investigations completed	0	0	2	0	5	2	1	1	0	4	1	0
Leaving	4 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **20** cases have received a substantive response in an average of **15 working days**
 There have so far been **37** cases which were not "investigated" - though some may have required a response to LGO questions
 There are currently **1** complaints awaiting an initial response
 There is currently **0** premature complaint being processed

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