

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**. **Only cases from 1 April 2013 shown.**

Directorate	Service	Service Delivery Area	Brooklands	Cranham	Elm Park	Emerson Park	Gooshays	Hacton	Harold Wood	Havering 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
		Benefits									1									1
	StreetCare	Traffic & Parking								2	2	1		2				6		13
	Regulatory Services	Planning Issues					1		2		2			3	1	3				12
		Environmental Health											1							1
		Projects & Compliance					2													2
	Public Protection	Trading Standards																1		1
	Corporate & Customer Transformation	Customer Services	1																	1
Resources	Exchequer Services	Benefits & Revenues	1			1					2			1	3	1	1	7		17
	Asset Management	Property Services		1																1
	Legal & Democratic Svcs	School Appeals		1																1
Children, Adults and Housing	Homes & Housing	Maintenance								2										2
		Housing Needs	2				1	2							5	6		2	1	19
		Estate Services			1						1				2					4
		Home Ownership					2													2
		Council Rent													1					1
	Learning & Achievement	Child & Community Psychology/SEN						1												1
	Children & YP's Services	Safeguarding & Standards								2										2
	Adult Social Care	Unspecified																	1	1
		Access & Assessment														1				1
		Preventative & Safeguarding																2		2
		Commissioning																1		1
		Preventative & Assessment											2	2	1					5
	Children's Services	Child Protection		1																1
		Permanency																2		2
General	General	General	4							1										5
Grand Total			8	3	1	1	7	3	2	7	8	1	3	8	13	12	1	22	2	102

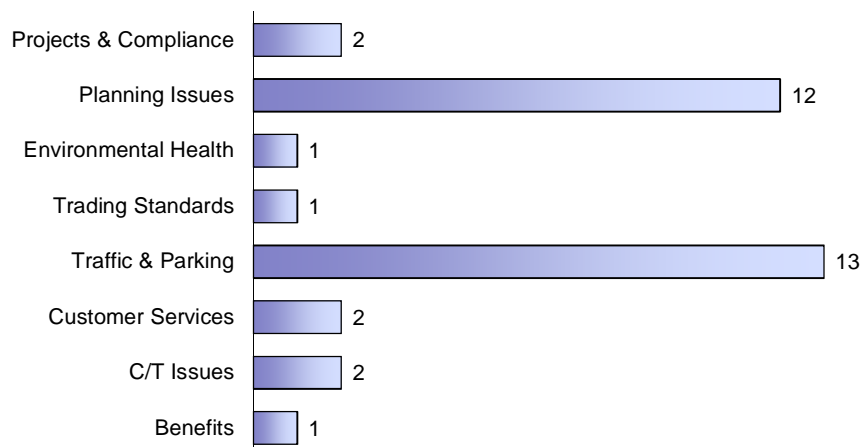
Ombudsman Activity: by Ward

Ward Totals for the month of: MARCH						
Directorate	Service	Service Delivery Area	Brooklands	Squirrels Heath	Pettits	Grand Total
Culture, Community & Economic Development	StreetCare	Traffic & Parking			1	1
	Corporate & Customer Transformation	Customer Services	1			1
Resources	Exchequer Services	Benefits & Revenues		1		1
Children, Adults and Housing	Adult Social Care	Preventative & Assessment			1	1
Grand Total			1	1	2	4

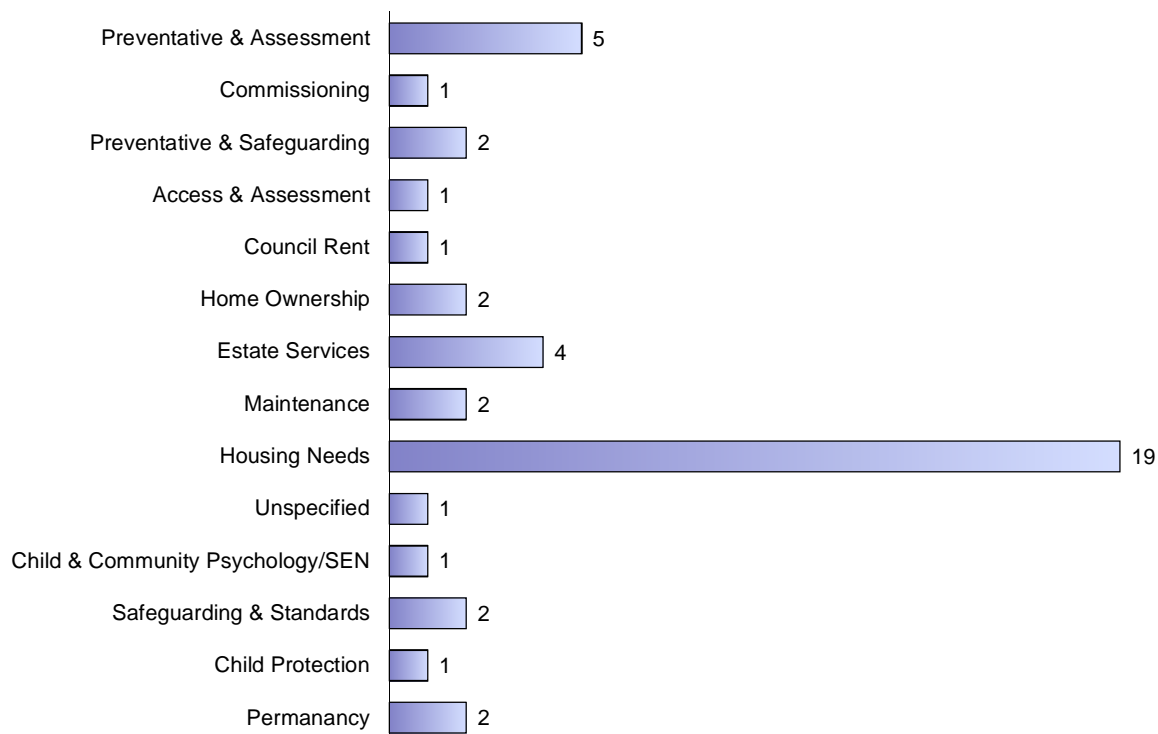
Ombudsman investigations: By Service Area in Group Directorates

From 1 April 2013

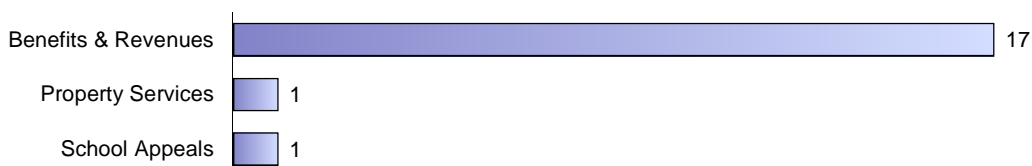
Culture, Community & Economic Development- Total from 1 April 2013 to date: 34



Children, Adults and Housing -Total from 1 May 2013 to date: 44



Resources - Total from 1 May 2013 to date: 19

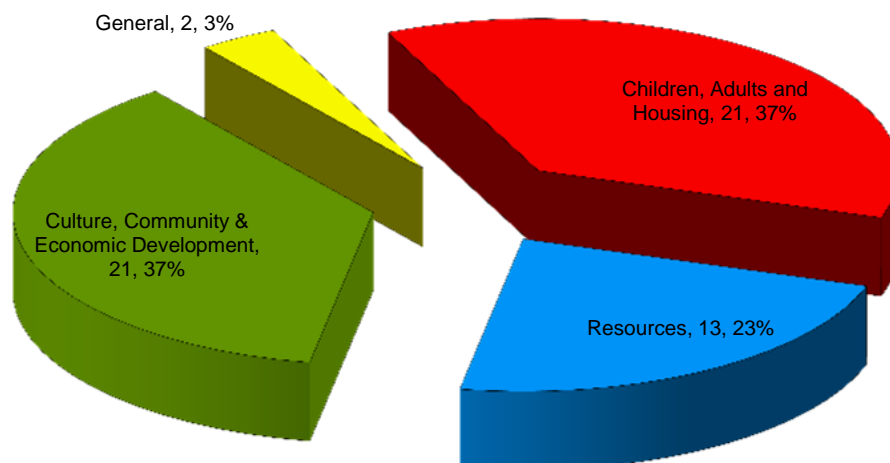


General & Member Issues - Total to date: 5

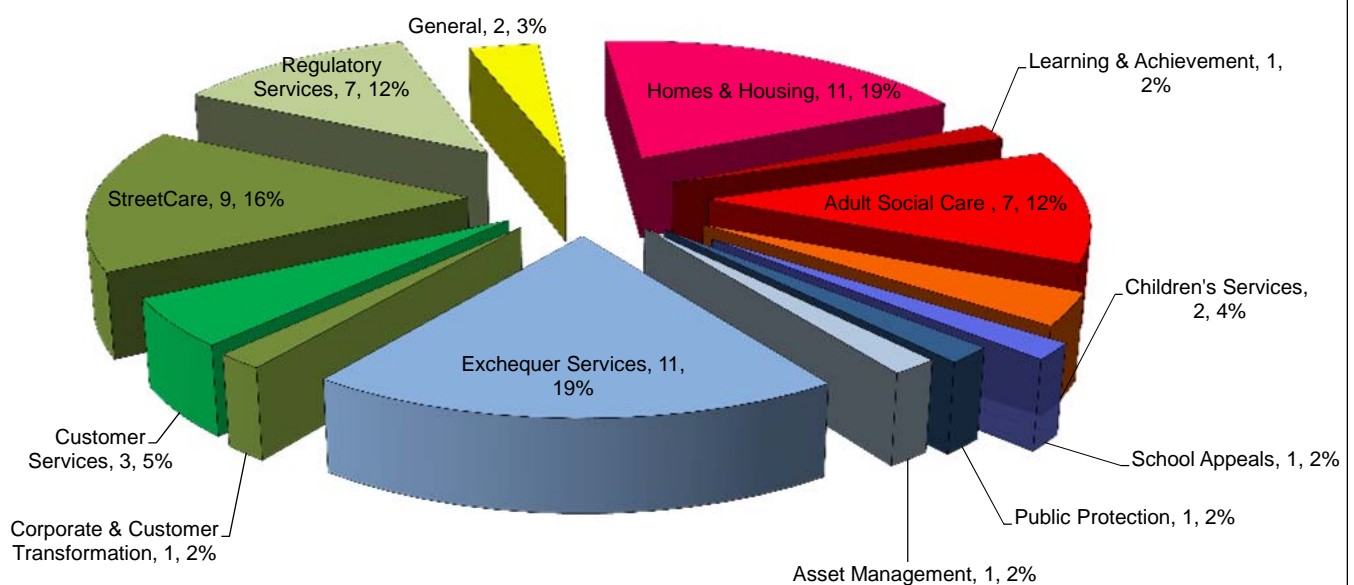


Evaluation of Ombudsman Activity

Directorate Involvement - Total of complaint *elements* from the LGO (*whether investigated or not*) to 31 March 2014: 57
Referrals from the Ombudsman dealt with as Corporate Complaints (Prematures) or Enquiries are not shown

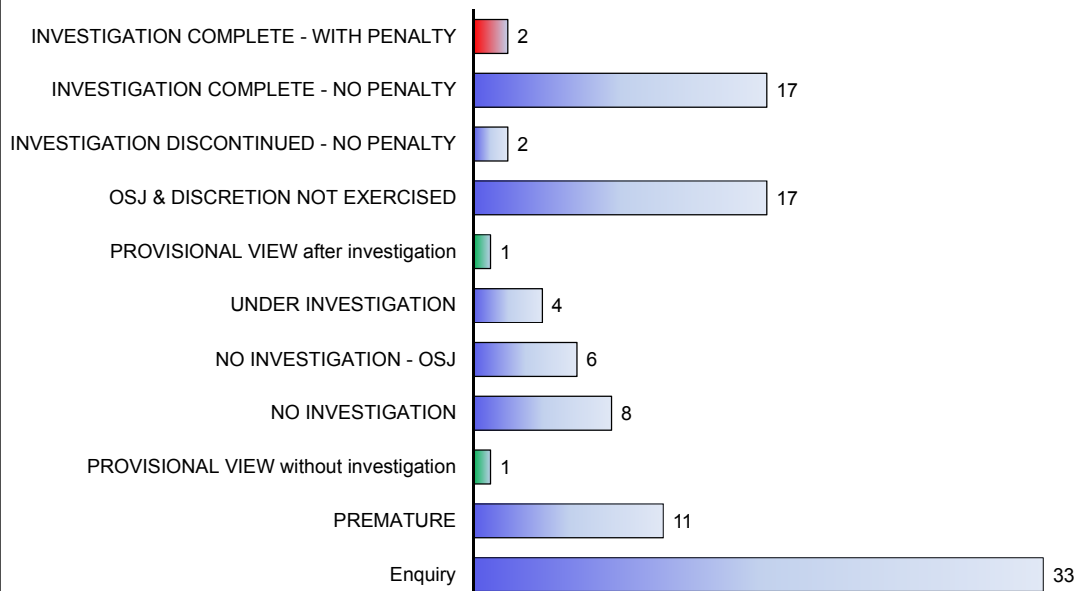


Service Area Involvement - Total of complaint elements from the LGO (*whether investigated or not*) to 31 March 2014: 57
Referrals from the Ombudsman dealt with as Corporate Complaints are not shown



Evaluation of Ombudsman Activity

Total of ALL complaints received between 1 April 2013 - 31 March 2014: 102
including enquiries and premature complaints referred back to the Council & dealt with under the Corporate Complaints procedure



Identifying multiple contacts from the Ombudsman: Year to 31 March 2014

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

Children, Adults & Housing

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

44

30

Culture, Community & Economic Development

Regulatory Services	D	I	D	I	I	I	E→P	E→D	E→D	D	E	E→P
Revs & Bens (pre Move)	D	E	I									
StreetCare	E→D	I	E→D	D	D	D	I	E→P	D	D		
Corporate & Customer Transformation	D	D										

Complaint ELEMENTS

34

Individual COMPLAINTS

28

Resources

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

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: One complaint resulted in four entries

NOTE: One complaint began in one Svce & went to another but was still the same LGO reference and so not counted.

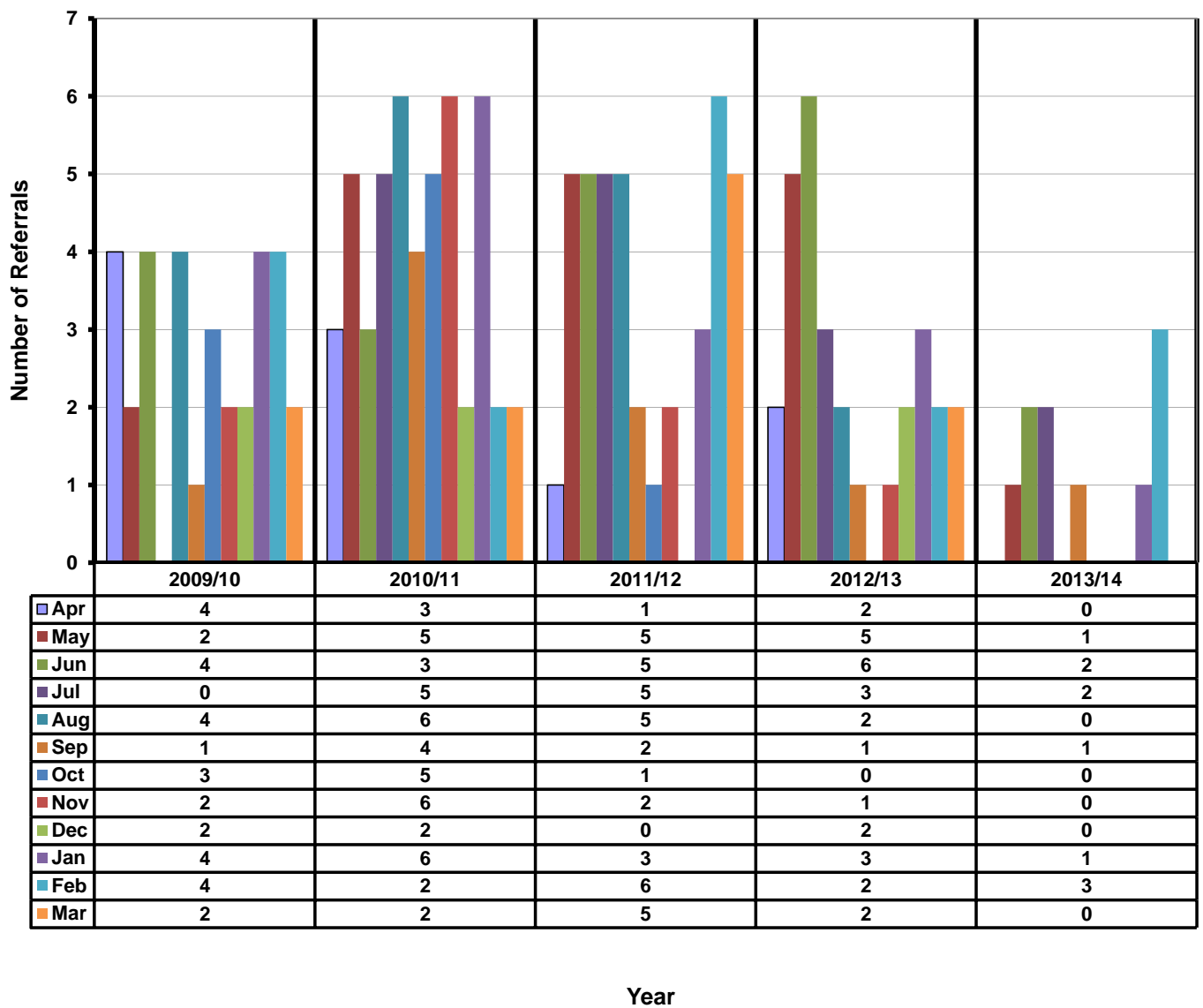
5

2

102

72

LGO Referrals - Premature Complaints - year-on-year



Year
Prematures:
Cases Referred:
Total:

2009/10	2010/11	2011/12	2012/13	2013/14	Grand Total
32	49	40	29	10	160
59	45	59	73	62	298
91	94	99	102	72	458

Local Government Ombudsman **Complaint Elements** - by Service 1 - 28 April 2013 (Pre Restructure) and also 29 April 2013 - 31 March 2014 (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

Provisional year-end statistics pending LGO figures

	Finance & Commerce						
	Social Care & Learning						F&C
	Culture & Community					SCL	
	Public Protection	Housing Issues	StreetCare	Customer Services	Benefits & Revenues	Homes & Housing	Learning & Achievement
							Development & Building Control
Complaints under investigation - "A":	0	0	0	0	0	0	1
Provisional Views Received - "B":	0	0	0	0	0	0	0
Complaints determined:							
Investigation complete & report Issued S30(1)	0	0	0	0	0	0	0
Investigation complete (with financial penalty)	0	0	0	0	0	0	0
Investigation complete (no financial penalty)	1	1	1	0	0	0	1
Investigation discontinued	0	0	0	0	1	0	0
No investigation	0	0	0	1	0	0	0
OSJ & discretion not exercised	0	0	1	0	1	1	0
OSJ & no discretion	0	0	0	0	0	0	0
Complaint Elements Completed - not Premature - "C":	1	1	2	1	2	1	1
Prematures & LGO enquiries - "D":	0	1	1	0	1	1	0
Totals - A, B, C & D:	1	2	3	1	3	2	1

From 29 April 2013 - revised Directorates & Services

Culture, Community & Economic				Children, Adults & Housing				Resources			
StreetCare	Public Protection	Development & Building Control	Customer Services	Children & YP's Services	Adult Social Care	Homes & Housing (Housing Needs)	Homes & Housing (Estate & Maintenance)	Exchequer Services	Legal & Democratic Services	Asset Management	General: Member & non 'Service specific' issues
0	0	0	0	0	2	1	0	0	0	0	0
0	0	1	1	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0
1	0	0	0	0	0	0	0	1	0	0	0
0	0	4	0	0	2	3	2	1	1	0	0
0	0	0	0	1	0	0	0	0	0	0	0
2	0	0	0	0	1	0	0	3	0	0	1
4	1	1	0	1	2	1	0	3	0	1	0
0	0	0	0	0	0	0	2	3	0	0	1
7	1	5	0	2	5	4	4	11	1	1	2
3	0	7	0	3	3	12	3	6	0	0	3
10	1	13	1	5	10	17	7	17	1	1	5

Complaint Elements under Investigation	4
Complaint Elements - <i>PVs Recd whether investigated or not</i>	2
Completed/Omb D./OSJ/No Inv.	52
Premature - or enquiries	44
Total of Complaint Elements	102

0
2
17
2
8
17
6
52

44

102

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

	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 <u>investigated cases</u> 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**

	117	Cases referred by the Ombudsman (may contain more than one COMPLAINT element)	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	15	Cases (Investigations) b/fwd from 2011/12												
	102	New Cases were reported from 1 April 2012 to date (including Prematures & enquiries)	5	14	9	8	8	5	7	10	4	12	10	10
Of which	29	were Premature - normally L2 complaints referred back to the Council	2	5	6	3	2	1	0	1	2	3	2	2
and	27	were "informal" enquiries by the LGO/AT	2	3	0	1	4	2	2	2	1	3	3	4
	27	were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion PV etc.)	0	3	2	1	1	0	3	3	0	5	5	4
	0	Provisional Views open at the month end pending Final Decision and closure	0	0	0	0	0	0	0	0	0	0	0	0
and	34	Investigations completed	1	11	1	2	1	3	3	1	3	5	3	0
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	38	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

	10	Cases (Investigations) were b/fwd from 2010/11	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
	99	New Cases were reported from 1 April 2011 to date - by month	4	9	9	13	12	3	2	9	4	6	19	9
Of which	39	were Premature - normally L2 (but incl. LGO/LGOAT informal enquiries)	1	5	5	5	5	2	1	2	0	3	6	5
	13	were not investigated (decisions already made by the LGO: OSJ, Omb's Discretion etc.)	1	3	2	2	0	0	0	4	0	1	0	0
and	41	Investigations completed (or Provisional Views received) - analysed by month:	4	2	3	3	3	6	7	0	3	1	4	4
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				
The	10	cases 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	Elm Park	Gooshays	Hacton	Havering Park	Heaton	Hylands	Mawneys	Pettits	Romford Town	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					1				1	1	5
		Street Cleaning & Environmental Maintenance		1		1												2
	Regulatory Services	Projects & Compliance				2										1		3
Resources	Asset Management	Property Services		1														1
	Exchequer Services	Housing Benefits													1			1
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance				2									1			3
		Property Maintenance				2			1									3
		Housing Needs	1								1		1	1				4
		Home Ownership				1												1
	Children & YP's Services	Permanency															1	1
		Safeguarding & Standards						1										1
		Under 12s	1															1
General	General	General	1														1	2
Grand Total			3	2	1	8	1	1	1	1	1	1	1	2	2	2	3	30

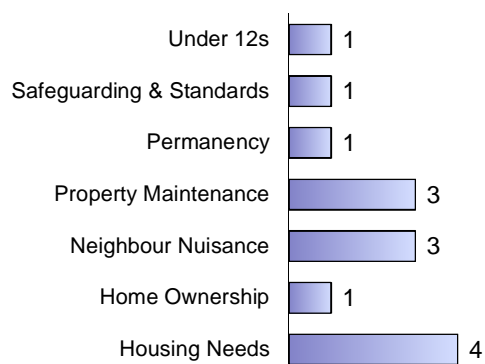
Ward Totals for the month of: MARCH						
Directorate	Service	Service Delivery Area	Brooklands	Romford Town	Gooshays	Grand Total
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance			1	1
		Housing Needs	1	1		2
	Grand Total			1	1	1

Stage Three Activity: By Service Area in Group Directorates

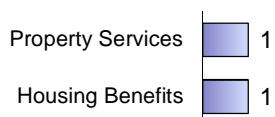
Culture, Community & Economic Development - Total to date: 12



Children, Adults & Housing Services -Total to date: 14



Resources - Total to date: 2



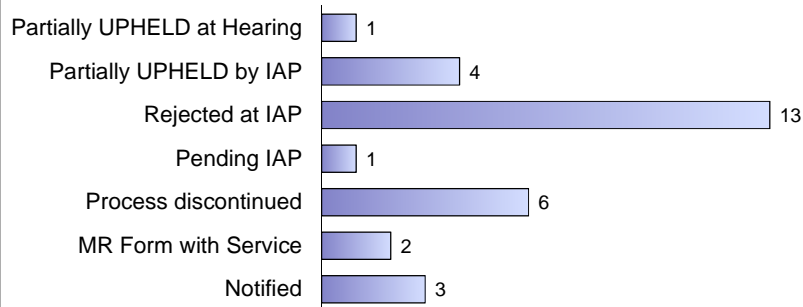
General & Member Issues - Total to date: 2



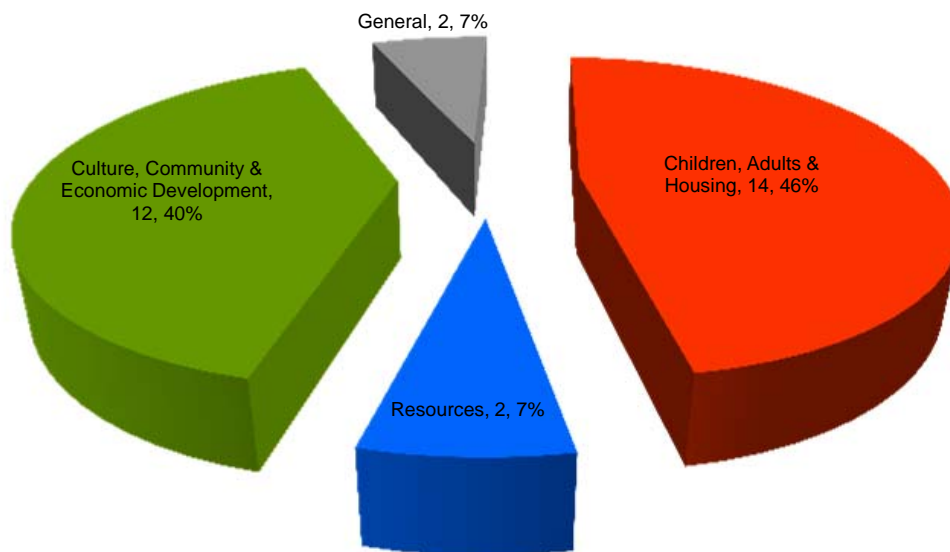
Evaluation of Stage Three Activity

Total of ALL Stage Three hearing requests received & processed between 1 April 2013 - 31 March 2014: 24

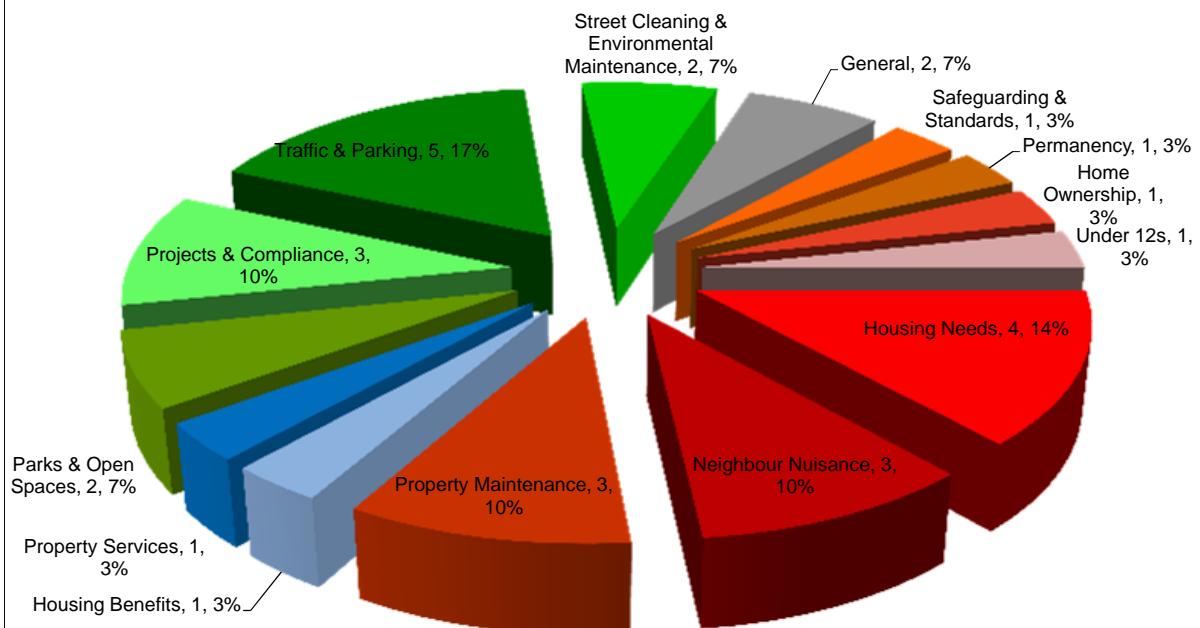
There were 6 ongoing complaints brought forward from 2012/13



Total of Stage Three hearing requests to date by Directorate: 30



Total of Stage Three hearing requests to date by Service: 30



Stage Three Complaints - by Service 1 April 2013 - 31 March 2014:
(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		Exchequer Services	Asset Management	General: Member & non 'Service specific' issues	
Stage Three requests to be processed:-	0	0	0	0	3		0	0	0	3
Awaiting return of S3 MR form from complainant:-	0	0	0	0	0		0	0	0	0
Complaint discontinued:-	1	1	1	1	1		0	0	1	6
Awaiting Service response:-	0	0	0	1	1		0	0	0	2
Awaiting IAP:-	0	0	1	0	0		0	0	0	1
Rejected at IAP:-	2	1	3	0	4		1	1	1	13
Complaint PARTIALLY upheld by IAP:-	0	0	2	0	2		0	0	0	4
Awaiting Hearing:-	0	0	0	0	0		0	0	0	0
Complaint UPHELD :-	0	0	0	0	0		0	0	0	0
Complaint NOT upheld:-	0	0	0	0	0		0	0	0	0
Complaint PARTIALLY upheld:-	0	0	0	1	0		0	0	0	1
Total complaints:-	3	2	7	3	11		1	1	2	30

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

30 Total number of Stage Three requests		Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
6 Cases b/fwd from 2012/13													
3	Stage Three request notified	0	0	0	0	0	0	0	0	0	0	0	3
21	New Stage Three requests made since 1 April 2013 to date	1	1	0	1	4	2	0	2	6	2	2	0
Of which	6 Did not proceed / Process Discontinued	0	0	0	0	1	0	0	0	1	2	2	0
13	Were rejected by the IAP	3	0	3	1	0	0	2	2	0	0	2	0
4	Were partially upheld by the IAP	0	0	0	0	0	0	0	0	0	0	3	1
0	were not upheld at Hearing	0	0	0	0	0	0	0	0	0	0	0	0
1	was partially upheld at Hearing	0	0	0	1	0	0	0	0	0	0	0	0
0	were upheld at Hearing	0	0	0	0	0	0	0	0	0	0	0	0
Leaving	3 Open cases												