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**MINUTES OF A MEETING OF THE
ADJUDICATION AND REVIEW COMMITTEE
Town Hall, Main Road, Romford
6 August 2014 (7.30 - 9.50 pm)**

Present:

COUNCILLORS

Conservative Group Joshua Chapman (Chairman), Roger Westwood (Vice-Chair), Jason Frost and +John Crowder

Residents' Group John Mylod (Vice-Chair), June Alexander and Julie Wilkes

Independent Residents Group Michael Deon Burton

Apologies for absence were received from Councillors Barbara Matthews and Meg Davis (+John Crowder substituted for Meg Davis)

The clerk, on behalf of the Chairman reminded Members of the action to be taken in an emergency.

There were no declarations of pecuniary interest.

The Chairman proposed a round of introductions as this was the first time the Committee had convened since the May Elections and it would be helpful to identify the officers present and their roles.

1 MINUTES

The Minutes of the Meeting held on 17 April 2014 were accepted and signed by the Chairman.

2 PRESENTATION BY THE HEAD OF BUSINESS & PERFORMANCE (CHILDREN, ADULTS AND HOUSING) CONCERNING COMPLAINTS MANAGEMENT IN THE DIRECTORATE

Members received a presentation from the Head of Business & Performance concerning the recent – and on-going – restructure of the complaints management teams across the directorate and were provided with an overview of the number and range of complaints received and considered by the team (appended to the Minutes of the meeting).

The Committee was informed that since end April, the centralised Complaints, Information and Communications Team sitting within the Business and Performance service now dealt with all compliments,

complaints, Freedom of Information requests, Data Protection Act requests and MP / Member enquiries arising within the whole Children, Adults and Housing directorate – which included Children’s Services, Adult Social Care & Commissioning, Learning & Achievement and from the end of April 2014 Homes and Housing. It was stated that complaints were dealt with slightly differently across the four service areas.

Whilst Housing complaints were dealt with through the Council’s Corporate Complaints process, complaints within Children’s and Adult Social Care were (mostly) dealt with under various legislation procedures and school appeals were likewise not part of the Corporate Complaints process but considered by panels of Independent Persons. It was emphasised however, that whatever the route through the complaints process, a complainant could refer the matter to either an Ombudsman (Local Government or Housing) or to the Education Funding Agency if the complaint was about an appeal for a place at an Academy.

Members were informed that increasingly, complaints were resolved at an early stage – either a “pre-stage one” or an “informal” stage. It was explained that this approach had been adopted – and was being rolled-out across the directorate – because it afforded the earliest opportunity for the service to address a problem with the greatest degree of flexibility and it was shown that this approach was consistently (though not completely) successful – but it did mean that formal complaint numbers could be kept to a minimum.

By way of example Members were informed that in the first quarter of the year, Housing had received 358 complaints (more than the other services combined). Of these, 176 were dealt with at the informal stage, 167 resolved at Stage One and only 15 cases went beyond that: 11 resolved at Stage Two and four cases progressing to Stage Three.

There had been 227 Member/MP enquiries (during a period which covered the run-up to the Local Elections – so the figure was somewhat atypical). 193 (85%) concerned Homes & Housing. The other areas were very few.

During the period, there had been 162 Freedom of Information requests. It was made clear that there were fewer than 162 individual requests as most “requests” were for multiple answers and each “answer” was counted separately. 51 requests had been received for Housing, 48 for Learning and Achievement, 27 Adult Services and 36 for Children’s Services.

Data protection enquiries had totalled six: five for Housing and the sixth for Children’s Services, whilst the directorate had received a total of 90 compliments, 60 of which were for Housing and 25 for Adult Services.

The presentation concluded by the Committee being informed that the directorate was implementing a programme for more effective ways of working and that among future developments it was proposed to ensure there was Improved learning from complaints, that follow-ups with complainants was Rolled out. In addition there would be enhanced demographic monitoring, the monitoring of complaints by Wards – which

would help Members identify complaint activity within their immediate locality. The directorate would be clarifying roles and responsibilities for school complaints and implementing the reforms relating to Special Educational Needs and Disabilities (SEND) in September whilst preparing a Housing Complaints Annual Report to be brought to the committee in line with those produced for the other services.

The Committee **noted** the scope and content of the presentation and thanked the Head of Business & Performance and the Complaints, Information and Communications Team Manager.

3 PRESENTATION BY THE CORPORATE POLICY AND COMMUNITY MANAGER (COMMUNITY & ECONOMIC DEVELOPMENT) CONCERNING COMPLAINTS AND MEMBER/MP ENQUIRIES

Corporate Complaints:

Members received a presentation from the Corporate Policy and Community Manager providing them with an update on Corporate Complaints, Member and MP Enquiries for the three months from 1 April – 30 June 2014 (appended to the Minutes of the meeting). The Committee was informed that not only had the number of complaints increased over the same period in 2013 (596 against 356), but the number of cases completed within 10 working days had also increased (480 as opposed to 231) and which represented a 82% success rate in 2014 to only 65% in the same period in 2013. However, it was pointed out that this quarter included the run-up to the Local Elections and, in addition, figures recorded on the Housing database OHMS was now being added to CRM complaint figures so it was not quite “like for like”.

The services with the highest proportion of complaints remained the outward facing ones: StreetCare (131) and Homes and Housing (315). Regulatory Services (which now included Trading Standards, Licensing and Environmental Health) had 38 cases.

Member & MP Enquiries:

In the same period, MP and Member enquiries had numbered 848 compared with 911 in the same period in 2013. Of these 663 had been responded to within ten working days compared with 608 the previous year – a rise to 78% from 67%.

By far the largest number of enquiries concerned StreetCare (478 – 338 of which were responded to within 10 working days). Homes and Housing related enquiries was the second highest area of concern with 223 – of which 203 had a response within ten working days. In addition, Regulatory Services had 45 enquiries of which 37 received responses within 10 working days and Leisure Services attracted 42 enquiries of which 38 had a response within 10 working days.

An additional report element involved the 10 highest reporting MPs / Members with Andrew Rosindell MP (consistently high across each of the three months) and former councillor Andrew Curtin topping the chart with 60 enquiries during April.

The Committee **noted** the oral update and thanked the Corporate Policy and Community Manager for her presentation.

4 **REPORT ON THE LOCAL GOVERNMENT OMBUDSMAN'S ANNUAL LETTER FOR 2013/14**

The Committee was informed about the Annual Letter from the Local Government Ombudsman. It was drawn to its attention that the figures provided by the Ombudsman would not – in any way agree with those the Council had been provided with over the same period. The reason for this was principally that the Ombudsman had presented the Council with every contact she had received, whether or not that contact had been passed back to the Council. In fact, the Ombudsman stated that there had been 119 cases – but she had made 121 decisions. The Council had only received 72 cases through the year, of which only 62 appeared on the database which had been provided to the Council after requests had been made to her office in order to address the differences between the published Ombudsman figures and those the Council had been notified about.

Members were invited to read the LGO's letter and note that (for the second year running), it was a generic letter and no longer included any detail which referred specifically to Havering. Members' attention was also drawn to some discrepancies between the itemised categories which had been provided to the Council with the Annual Letter and the records held which the Ombudsman provided to the Council on request.

The Committee was informed that having had occasion to question the figures published by the Ombudsman (without the Council having had an opportunity – as had been the practice in the recent past - to reconcile the statistics held with those of the Ombudsman), the Council had been invited by the Ombudsman to provide a synopsis of the issues in order for them to be considered with a view to the Ombudsman improving and developing this aspect of her service.

The Committee:

1. **Noted** the contents of the Ombudsman's Annual Letter.
2. **Decided** that the Letter should be sent to the Chairmen of the Overview and Scrutiny Committees and their comments sought.
3. **Authorised** a letter of response to be prepared and sent to the Local Government Ombudsman about this year's letter.
4. **Authorised** the statistics provided by the LGO to be published on Calendar Brief along with a brief commentary.

5 UPDATE ON LGO ACTIVITY FOR THE YEAR TO DATE

The Committee was reminded of the recent changes made to the formal reasons given by the LGO to her decisions. Whilst this, in itself, had not been unusual and had happened twice over the past three or four years, on this occasion there had been two disquieting elements which were likely to impact on the way the public perceived Ombudsman involvement in local administration in future.

The first issue arose because the Ombudsman had made a partial change in February, but had not informed anyone that she had done so. Previously, any changes had been announced ahead of their implementation and that implementation usually coincided with the commencement of the new civic year.

A second phase of change had indeed commenced on 1 April and now the decision categories – whilst rationalised – had risen to nine, six of which referred to “maladministration” with or without “injustice” and whether or not a formal Report was involved. Members were informed that whereas the previous decisions had referred to “fault”, “local settlement” and the “Ombudsman’s discretion”, the terminology was now whether or not the local authority was guilty of “maladministration – a term which had, hitherto, been reserved for formal Reports alone. The Committee was also informed that the Chair of the Public Services Complaints Network (PSCN) for London and the Home Counties, had recently written to the LGO setting out the concerns of PSCN members about the extended use of the terms and asking for changes to be made.

This being the first meeting of the new Administration, Members were provided with an overview of the statistics which they would be receiving on a monthly basis and were invited to seek explanation if any of the figures appeared unclear (appended to the Minutes of the meeting including item 6).

The Committee **noted** the report.

6 UPDATE ON STAGE THREE ACTIVITY FOR THE YEAR TO DATE & SUGGESTED CHANGES

The Committee received a report which set out the background to the Corporate Complaints process and provided an evaluation and analysis of Stage Three activity for 2013/14 and the year to date (appended to the Minutes of the meeting for item 5). During the previous year, there had been 24 cases referred by officer for Members to consider. At the end of the year, six cases were carried forward and, at the end of July, a further six cases had been commenced.

Members were reminded that Stage Three embraced Member Reviews (currently called “Initial Assessment Panels”, formal hearings and the activity of the Ombudsmen (Local Government, Housing and Parliamentary and Health Service, all of which impacted on the Council’s complaints handling process).

The Committee was invited to consider whether the term “Initial Assessment Panel” (IAP) which had been coined in 2012, should now be renamed “Member Review Panel” to bring its name into line with what the IAP had become in practice. It was explained that since the IAP had been established, fewer and fewer corporate complaints had been referred to formal hearings as Members decided that the issues before them could be addressed without the need for a formal hearing. Members were assured that – apart from the name – the panels would retain the discretion to refer any matter they wished to a formal hearing, so in reality, the position would be merely matching the panel’s name to what it was already doing in practice.

The reason for making this request was that a request would need to be made to the Governance Committee for the name change to be made in the Constitution.

The report summarised the effects which the changes to the funding of the Ombudsman had had to the way in which she was able to deploy and use her resources. The most significant change was the fall-off in the number of referrals (Premature complaints) down from 49 in 2012/13 to 10 in the year just ended. Another area of significant change was in the fall in the number of complaints actually investigated and the rise in formal Enquiries which were followed by Decisions with no further reference to the Council. This latter, it was argued, was in part responsible for escalation in the number of requests for Stage Three Member Reviews.

The Committee:

1. **Noted** the report
2. **Requested** that this form of report continue to come to it on a regular basis
3. **Authorised** the change of name of the “Initial Assessment Panel” to “Member Review Panel” and that a report be sent to the Governance Committee to make any necessary changes to the text in the Constitution

7 **REVISION OF THE FORMAL PROCESS FOR MEMBER CONDUCT COMPLAINTS**

The Chairman introduced this subject, explaining that he had recently Chaired a panel set up to consider the conduct of certain Members and had been surprised to be told – when he had asked for a copy of the procedures governing such panels – that none existed. He had felt that this was most unsatisfactory and had been even more amazed when having dealt with the

matter he had received a Code of Conduct which had been approved by Council on 13 June 2012.

He considered that the confusion over this important element needed to be addressed as a matter of urgency and invited the Committee to agree to initiate a review of the current Havering Code in comparison with a number of other councils' codes in order to draft a suitable Code to go forward with.

The Committee **resolved** to initiate a review of the current Code of Conduct and directed that five other codes be provided to it for comparison and that this be available for the next meeting.

Chairman

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Managing Complaints across the Children, Adults & Housing Directorate

Pippa Brent-Isherwood (Head of Business & Performance)
Coral Hayden (Complaints, Information and Communications Team Manager)

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Agenda for Tonight

- Overview of the centralised complaints function within CAH
- How different types of complaints are dealt with
- Volumes
- Integration of Housing complaints team
- Planned future developments

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Scope of the Service

- Compliments
- Complaints
- FoI requests
- DPA requests
- MP / Member enquiries
- Children's Services
- Adult Social Care & Commissioning
- Learning & Achievement
- (from end April 2014) Homes and Housing

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Dealing with Children's Services Complaints

- Pre – Stage 1 (non-statutory)
- Stage 1 – Local resolution
- Stage 2 – Formal, independent investigation
- Stage 3 – Review Panel
- Corporate Complaints
- Local Government Ombudsman

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Children's Services Complaints - Volumes

Year	Pre-Stage 1	Stage 1	Stage 2	Stage 3	Corporate	LGO
2011/12	29	48	8	10	0	0
2012/13	27	46	49	5	0	0
2013/14	31	41	12	2	0	0

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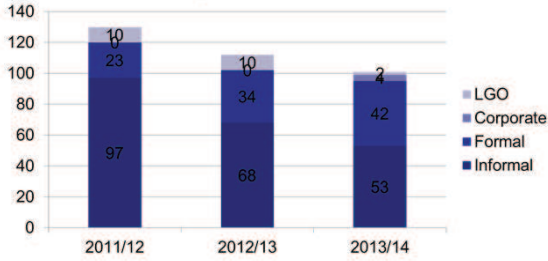
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Dealing with Adult Social Care & Commissioning Complaints

- Informal
- Formal
- Corporate Complaints
- Local Government Ombudsman

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Adult Social Care & Commissioning Complaints - Volumes



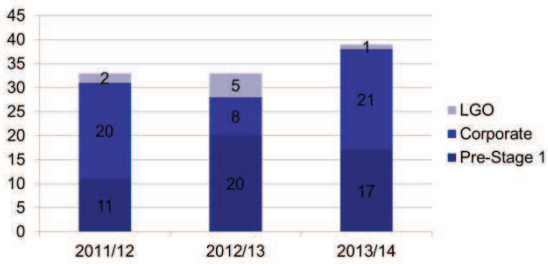
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Dealing with Learning & Achievement Complaints

- Pre – Stage 1
- Corporate complaints
- Local Government Ombudsman

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Learning & Achievement Complaints - Volumes



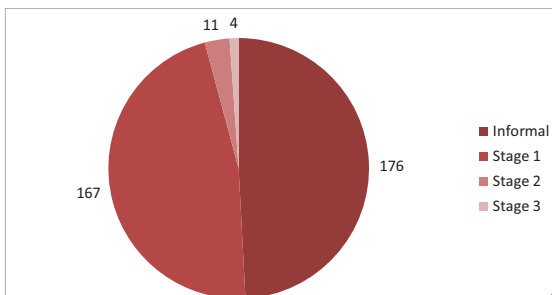
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Dealing with Homes & Housing Complaints

- Informal
- Stage 1
- Stage 2
- Stage 3
- Housing Ombudsman

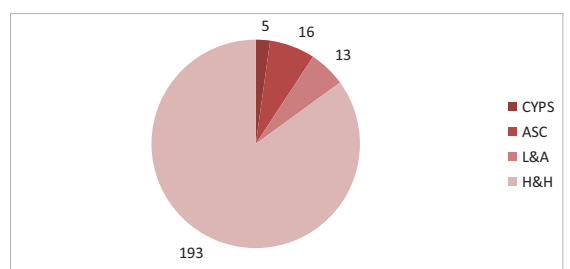
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Homes & Housing Complaints - Volumes



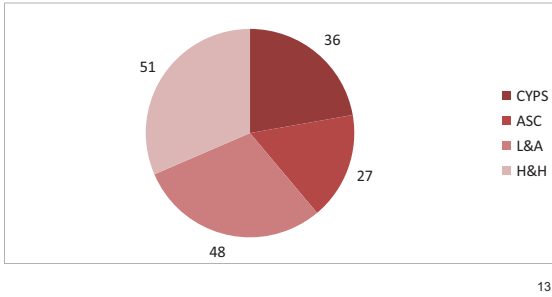
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MP / Member Enquiries - Volumes



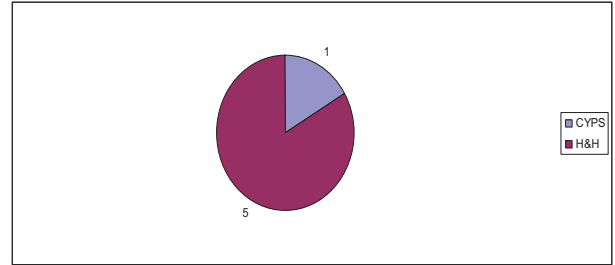
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Freedom of Information Requests - Volumes



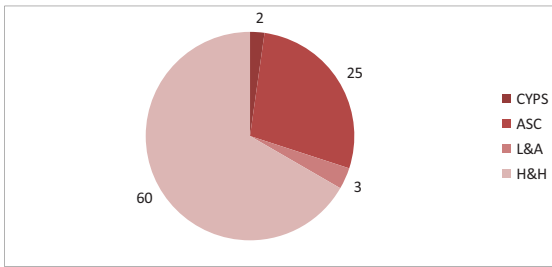
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Data Protection Act Requests - Volumes



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Compliments - Volumes



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Integration of Housing Team

- Service Level Agreement
- Rolled out FOI, DPA and CRM training to Housing staff
- Joint Team Meetings
- Workshop to look at effective ways of working; sharing best practice etc
- Improved data monitoring
- Audit on Housing Systems(OHMS/CRM)
- Recruitment of posts filled (Aug 2014)
- Move of Housing staff from Chippenham Road to Mercury House August 2014

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More Effective Ways of Working

- Implementing various templates and raising awareness around timescales/exemptions for FOIs / DPAs.
- Cross-training of staff
- Team tracking
- Joint up complaint responses to keep continuity and consistency across the directorate
- Ensuring corporate policies are implemented
- To produce a Housing Annual Report
- Implemented Good Practice Guide around DPA breaches
- Having a streamlined service

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Future Developments

- Improved learning from complaints
- Rolling out follow-ups with complainants
- Enhanced demographic monitoring
- Monitoring complaints by Wards
- Clarifying roles and responsibilities for school complaints
- SEND complaints procedure
- Housing Complaints Annual Report

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Any questions?

Minute Item 3

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Quarter 1 Overview - Corporate Complaints and Members/MP Enquiries

Claire Thompson
Corporate Policy & Community Manager
July 2014

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Corporate Complaints April to June 2014

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How many complaints have we received?

From 1st April to 30th June 2014:
596 complaints were logged on CRM (Stage 1 and Stage 2)*
Of these 480 (81.54%) were completed in 10 working days

From 1st April to 30th June 2013:
356 complaints were logged on CRM (Stage 1 and Stage 2)
Of these 231 (64.89%) 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.

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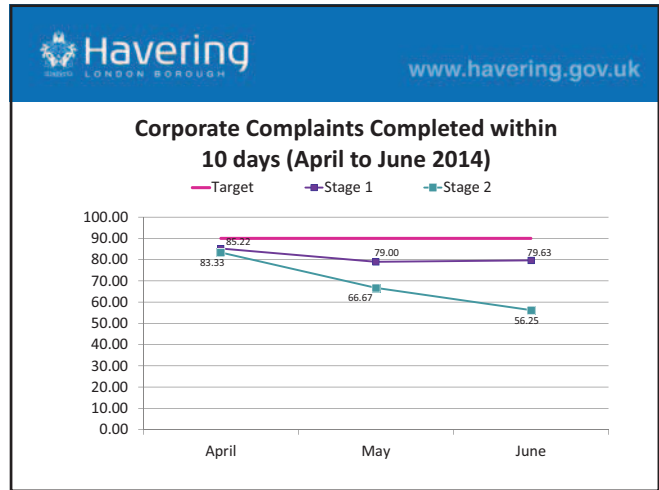
Complaints escalated to Stage 2 between April and June 2014

5.20% 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
April	203	6	2.87 <small>(6 of 209)</small>
May	200	9	4.30 <small>(6 of 209)</small>
June	162	16	8.99 <small>(16 of 178)</small>
Escalated to Stage 2 (%) - Quarterly			5.20 <small>(21 of 396)</small>

Service Breakdown – April to June 2014

	Stage 1 Logged	Within 10 days	Stage 2 logged	Within 10 days
Adult Services	2	50% (1 of 2)	1	100% (1 of 1)
Business & Performance	-	-	-	-
Children's Services	5	80% (4 of 5)	-	-
Communications	5	100% (5 of 5)	-	-
Corporate & Customer Transformation	17	100% (17 of 17)	-	-
Corporate Policy & Community	-	-	-	-
C, C & ED Director	-	-	1	0% (0 of 1)
Culture & Leisure	18	89% (16 of 18)	-	-
Economic Development	1	0% (0 of 1)	-	-
Homes & Housing	315	78% (246 of 315)	9	45% (4 of 9)
Learning & Achievement	2	100% (2 of 2)	-	-
oneSource	31	100% (31 of 31)	2	100% (2 of 2)
Public Health	-	-	-	-
Regulatory Services	38	92% (35 of 38)	4	100% (4 of 4)
Streetcare	131	79% (103 of 131)	14	64% (9 of 14)
Total	565	81% (460 of 565)	31	65% (20 of 31)



- What does this information tell us?**
- Total number of complaints logged on CRM between April and June varied: 356 (2013) and 596 (2014)
 - 565 Stage 1 complaints were investigated with 460 being resolved within 10 days
 - 31 (5%) complaints were escalated to Stage 2 (the target is not to exceed 10%)
 - Performance has improved compared to same time last year. 81% of Stage 1 complaints were completed within 10 days, compared to 65% last year (the target is 90%)
 - Top two areas with most Corporate Complaints logged on CRM are Homes & Housing (315) and Streetcare (131)

**Members / MP Enquiries
April to June 2014**

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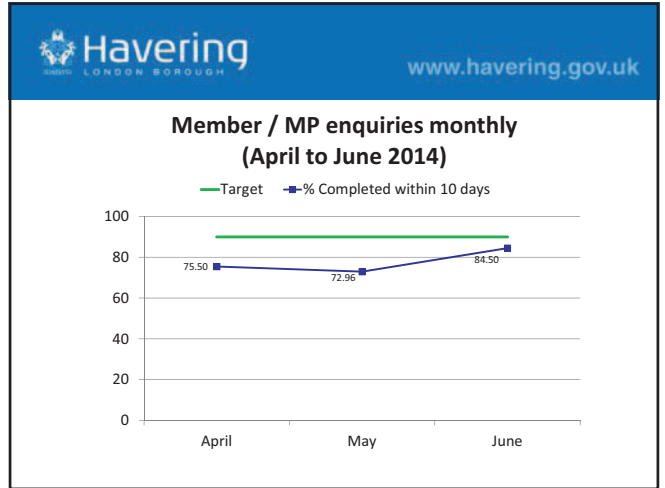
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How many enquiries have we received?

From 1st April to 30th June 2014:
848 Member / MP Enquiries were received*
Of these 663 (78.18%) enquiries were completed within 10 working days.

From 1st April to 30th June 2013:
911 Members / MP Enquiries were logged
Of these 608 (66.74%) enquiries 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.

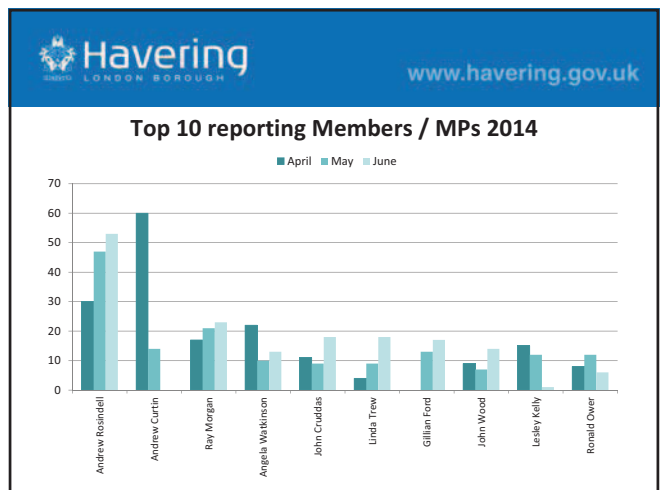


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Number of enquiries logged per Service (April to June 2014)

Service Area	Number of Enquiries logged	Completed within 10 days	% completed within 10 days
Adult Services	16	12	75%
Business & Performance	-	-	-
Children's Services	5	4	80%
Communications	2	1	50%
Corporate & Customer Transformation	-	-	-
Corporate Policy & Community	1	1	100%
C, C & ED Director	10	7	70%
Culture & leisure	42	38	90%
Economic Development	6	4	67%
Homes & Housing	223	203	91%
Learning & Achievement	13	12	32%
oneSource	7	6	86%
Public Health	-	-	-
Regulatory Services	45	37	82%
Streetcare	478	338	71%
Total	848	663	78%



What does this information tell us?

- Streetcare received the majority of Members / MP enquiries (478)
- Total number of enquiries logged on CRM has decreased from 911 in 2013/14 to 848 in 2014/15 for the same period
- Performance has improved compared to same time last year. 67% (608 of 911) of enquiries were completed within 10 days, compared to 78% (663 of 848) last year

Minute Item 6

Local Government Ombudsman (LGO) and Housing Ombudsman Service (HOS) cases & Stage Three 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 July 2014, cases by Ward

In the following PDF will be found a chart showing current Ombudsman activity shown 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 July.

Definitions of Ombudsman terms:

This will be the last time this table is included in this briefing. If there are any changes, they will be notified here for three or four months.

<i>Decision Reasons from 1 April 2013</i>	<i>What changed in February 2014</i>	<i>Decision Reasons from 1 April 2014</i>
<i>Not in jurisdiction (OJ) and no discretion</i>	<i>No Change</i>	<i>Closed after initial enquiries – out of jurisdiction</i>
<i>Not in jurisdiction (OJ) and discretion not exercised</i>		<i>Closed after initial enquiries – no further action</i>
<i>Not investigated</i>		<i>Not upheld: No further action</i>
<i>To discontinue investigation</i>		<i>Not upheld: No Maladministration and Injustice</i>
<i>Investigation complete and satisfied with authority actions or proposed actions and not appropriate to issue report S30(1B)</i>	<i>Investigation complete: Maladministration and Injustice</i>	<i>Upheld: Maladministration and Injustice</i>
	<i>Investigation complete: Maladministration, No Injustice</i>	<i>Upheld: Maladministration, No Injustice</i>
	<i>Investigation complete: No Maladministration</i>	<i>Not upheld: No Maladministration</i>
<i>Investigation complete and appropriate to issue a report S30(1)</i>	<i>Investigation complete and report issued: Maladministration and Injustice</i>	<i>Report issued: Upheld; maladministration and injustice</i>
	<i>Investigation complete and report issued: Maladministration, No Injustice</i>	<i>Report issued: Upheld; maladministration, no injustice</i>
	<i>Investigation complete and report issued: No Maladministration</i>	<i>Report issued: Not upheld; no maladministration</i>

LGO's Annual Letter:

The LGO's Annual Letter was received during July and will be considered by the Adjudication & Review Committee at its meeting on 6 August after which it may be referred for wider reference and comment. More will be made available in the August update.

Ombudsman Cases summary:

During July the Council received three new contacts from the Ombudsman. One concerned a school appeal which was received, responded to in three days and received both a provisional view and final decision before the end of the month – which was that the complaint was not upheld and there was no maladministration. There were two enquiries received during the month one relating to traffic and parking, the other to housing – both were responded to within five working days and so far, no further action has come from the Ombudsman. One additional final decision was received (in respect of an open investigation) and that too was "not upheld: no maladministration".

The Housing Ombudsman Service

There was one new notification from the Housing Ombudsman during July which is being addressed by the service.

Stage Three Member reviews:

During July there was one new notification – concerning housing maintenance. This is currently proceeding. There was one case considered by Members at IAP on 3 July concerning benefits and Tax which was not upheld and at an IAP held on 24 July, a housing complaint was adjourned in order for the Service to apply a new procedure. This will be reviewed again in August.

Standards issues:

There was one hearing conducted under the Standards procedures during July and the outcome was that the issues involved did not breach the Code of Conduct.

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.haverinq.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@haverinq.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.

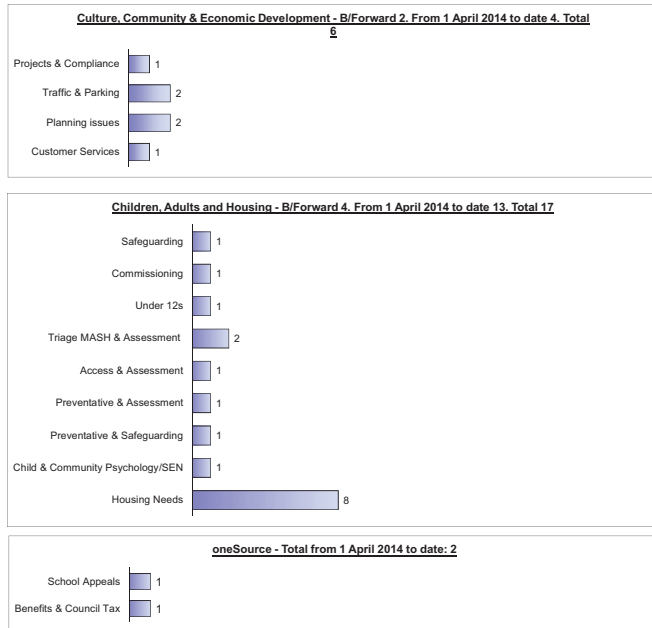
Directorate	Service	Service Delivery Area	Brooklands	Cranham	Gooshays	Hacton	Mawneys	Pettis	Romford Town	South Hornchurch	Squirrels Heath	St Andrews	O/S Borough	Grand Total	
Culture, Community & Economic Development	Regulatory Services	Projects & Compliance			1									1	
		Planning Issues									2			2	
	Corporate & Customer Transformation	Customer Services	1											1	
	StreetCare	Traffic & Parking					1					1		2	
Children, Adults and Housing	Homes & Housing	Housing Needs	1		2				2			2	1	8	
	Learning & Achievement	Child & Community Psychology/SEN				1								1	
	Children's Services	Triage MASH & Assessment								2				2	
		Under 12s		1										1	
	Adult Services	Preventative & Safeguarding												1	1
		Preventative & Assessment							1						1
		Access & Assessment												1	1
		Commissioning												1	1
		Safeguarding									1			1	
oneSource	Exchequer & Transactional Services	Benefits & Council Tax									1			1	
	Legal & Governance	School Appeals		1										1	
Grand Total			3	1	3	1	1	1	2	2	4	3	4	25	

Ward Totals for the month of: JULY

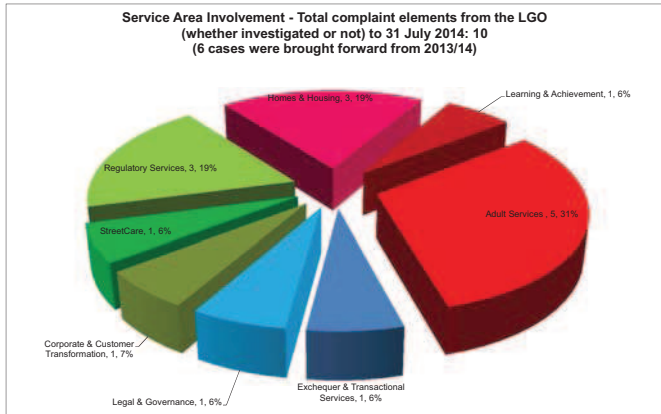
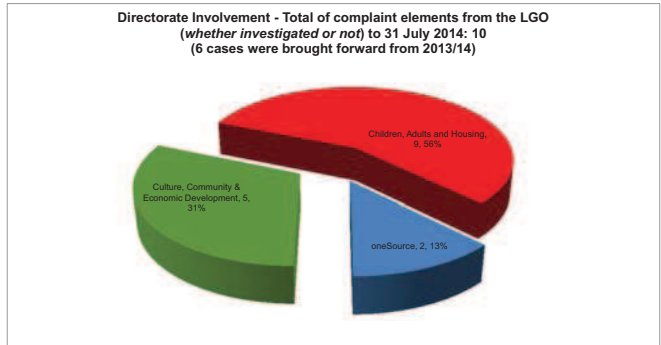
Directorate	Service	Service Delivery Area	Cranham	St Andrews	Grand Total
Culture, Community & Economic Development	StreetCare	Traffic & Parking		1	1
oneSource	Legal & Governance	School Appeals	1		1
Grand Total			1	1	2

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

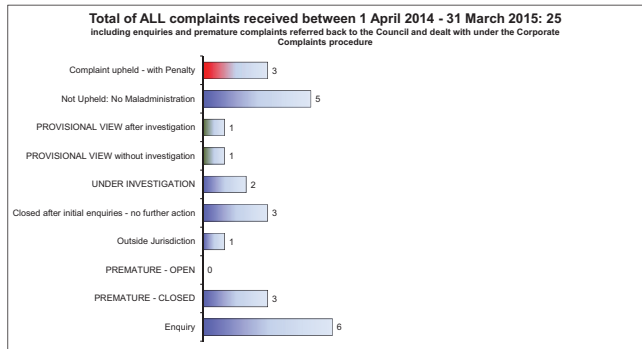


Evaluation of Ombudsman Activity



Printed on: 04/08/2014

Evaluation of Ombudsman Activity



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

Service Area	Complaint Elements	Individual Complaints
Children, Adults & Housing		
Homes & Housing	I E → P P D E → D E	
Adult Services	I I I D I	17
Children's Services	E → P E	14
Learning & Achievement	I	
Culture, Community & Economic Development		
Regulatory Services	I D D	6
StreetCare	D E	6
Corporate & Customer Transformation	I	
oneSource		
Council Tax & Benefits	D	2
Business Rates		2
Asset Management		
School Appeals	I	
General & Member Issues		
TOTAL		25
		22

Notes:

Printed on: 04/08/2014

	Culture, Community & Economic Development				Children, Adults & Housing						oneSource				Complaint Elements under Investigation	Complaint Elements - PVs Read whether Investigated or not	Completed/Omb D./OSJ/No Inv.	Premature - or enquiries	Total of Complaint Elements
	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					
Complaints under investigation - "A":	0	0	0	0	0	0	0	2	0	0	0	0	0	0	0	=	2		
Provisional Views Received - "B":	0	0	0	0	0	0	0	2	0	0	0	0	0	0	0	+	2		
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	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				0
Upheld; maladministration and injustice	0	0	1	0	1	0	0	0	1	0	0	0	0	0	0				3
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	1	1	0	0	0				5
Closed after initial enquiries - out of jurisdiction	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0				0
Closed after initial enquiries - no further action	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0				2
Not upheld; No further action	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0				2
Complaint Elements Completed - not Premature - "C":	1	0	3	1	1	0	0	1	3	0	1	1	0	0	0				12
Prematures & LGO enquiries - "D":	1	0	0	0	0	3	0	0	5	0	0	0	0	0	0				9
Totals - A, B, C & D:	2	0	3	1	1	3	0	5	8	0	1	1	0	0	0	=	25		25

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

22 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
6 Ongoing Complaints (Investigations only) b/fwd from 2013/14												
16 New Complaints were reported from 1 April 2013 to date (including Prematures & enquiries)	3	5	5	3	0	0	0	0	0	0	0	0
Of which 3 were Premature - normally L2 complaints referred back to the Council	2	1	0	0	0	0	0	0	0	0	0	0
and 3 were enquiries by the LGO which have NOT been changed by further actions	0	1	0	2	0	0	0	0	0	0	0	0
7 were not investigated (decisions already made by the LGO e.g. OSJ, Provisional View etc.)	0	3	4	0	0	0	0	0	0	0	0	0
and 1 Provisional View on investigated cases currently pending LGO decision	1	0	0	0	0	0	0	0	0	0	0	0
Leaving 7 Investigations completed	3	0	2	2	0	0	0	0	0	0	0	0
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 **7** 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

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 superseded 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
and 1 Provisional View on investigated cases currently pending LGO decision	0	0	0	0	0	0	1	0	0	0	0	0
Leaving 15 Investigations completed	0	0	2	0	5	2	1	1	0	4	1	0
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
and 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
Leaving 34 Investigations completed	1	11	1	2	1	3	3	1	3	5	3	0
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 **9** new cases which have not needed any response at all

There is/are currently **0** complaints (including L2 referrals) awaiting initial response

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

15 cases were brought forward from 2011/12 (including 2 Prematures), responded to in an average of **22** days

The average of all **33** investigations requiring a response is

Stage Three Activity: by Ward

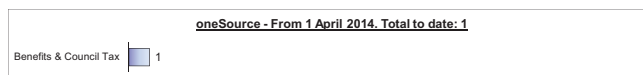
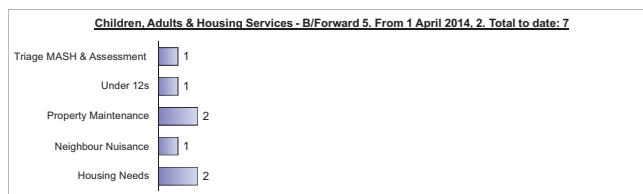
Detailed summary of **Stage Three** Hearing requests by service area within Directorate & Service and by wards. Wards **not shown** have **no** complaints activity within them. Wards and services highlighted contain the highest activity **to date**. **ALL outstanding cases (including those commenced before 31 March 2014) are shown.**

Directorate	Service	Service Delivery Area	Brooklands	Cranham	Elm Park	Geoslays	Haivering Park	Heaton	Petfits	Rainham & Wennington	Romford Town	South Hornchurch	Out of Borough	Grand Total
Culture, Community & Economic Development	StreetCare	Traffic & Parking			1		1		1					3
	Regulatory Services	Planning & Building Control										1		1
Children, Adults & Housing	Homes & Housing	Neighbour Nuisance				1								1
		Property Maintenance		1				1						2
	Children's Services	Housing Needs	1								1			2
		Under 12s	1											1
	Triage MASH & Assessment											1	1	
oneSource	Exchequer & Transactional Services	Benefits & Council Tax								1				1
Grand Total			2	1	1	1	1	1	1	1	1	1	1	12

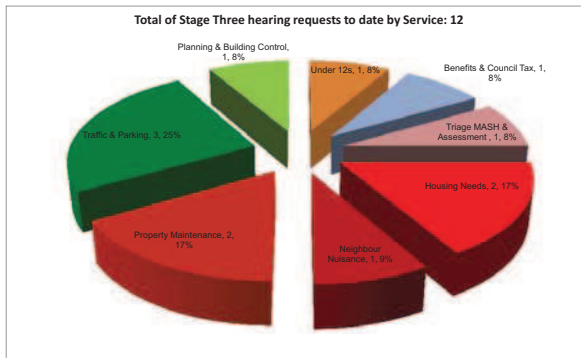
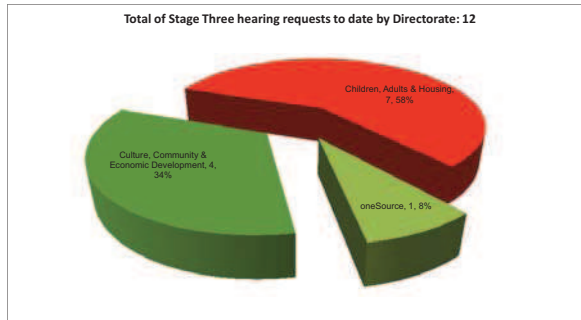
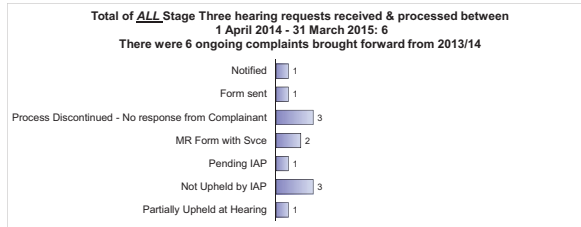
Ward Totals for the month of: JULY				
Directorate	Service	Service Delivery Area	Cranham	Grand Total
Children, Adults & Housing	Homes & Housing	Property Maintenance	1	1
Grand Total			1	1

Printed on: 04/08/2014

Stage Three Activity: By Service Area in Group Directorates



Evaluation of Stage Three Activity



Printed on: 04/08/2014

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					1
	Awaiting return of S3 MR form from complainant:-	0	0	0		0	1			0	0		0			1
	Complaint discontinued:-	2	0	1		0	0			0	0		0			3
	Awaiting Service response:-	0	0	0		0	0			1	1		0			2
	Awaiting IAP:-	0	0	0		0	0			1	0		0			1
OUTCOME	Complaint not upheld at IAP:-	1	0	0		0	0			0	1		1			3
	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:-	3	0	1	0	0	2	0	0	2	3	0	1	0	0	12	

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

12	Total number of Stage Three requests	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Mar
6	Cases b/fwd from 2013/14	3	0	2	1	0	0	0	0	0	0	0
6	Stage Three request notified [memo]	1	0	3	2	0	0	0	0	0	0	0
6	Stage Three requests OPENED from 1 April 2014 to date	0	2	0	1	0	0	0	0	0	0	0
Of which	3 Did not proceed / Process Discontinued	0	2	0	1	0	0	0	0	0	0	0
3	Were not upheld by IAP	0	2	0	1	0	0	0	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											