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MINUTES OF A MEETING OF THE ADJUDICATION AND REVIEW COMMITTEE Town Hall Main Road Romford 25 August 2015 (7.30 - 9.20 pm)

Present:

COUNCILLORS

Conservative Group	Garry Pain (Chairman), Roger Westwood (Vice-Chair) and Meg Davis
Residents' Group	John Mylod (Vice-Chair)
East Havering Residents' Group	Linda Van den Hende
UKIP Group	David Johnson

The Chairman reminded Members of the action to be taken in an emergency.

All decisions were taken with no votes against.

There were no declarations of pecuniary interest.

Apologies were received for the absence of Councillors Julie Wilkes and Alex Donald

1 MINUTES

The Minutes of the Meeting held on 21 April 2015 were accepted and signed by the Chairman.

2 UPDATE ON MP & MEMBER ENQUIRIES - Q1 2015-16 BY THE HEAD OF BUSINESS & PERFORMANCE

The Committee received an oral update and presentation concerning MP & Member Enquiries. The main theme of this update was to inform the Committee that these were now being more carefully scrutinised and distinctions made between a simple "enquiry" and a complaint on behalf of a resident. As a direct consequence, the MP/Member Enquiry totals were reducing and the complaints totals increasing.

Members expressed satisfaction that this was being undertaken but also asked for some modifications to the information which the system produced to be put in hand, for example: whether the matter was a complaint or an enquiry, the system sent only one message "thank you for your complaint". The Committee was assured that this would be looked at and, if possible, changes made to reflect the distinction.

3 UPDATE ON CORPORATE COMPLAINTS - Q1 2015-16 OVERVIEW BY THE EXECUTIVE MANAGER OF THE CHIEF EXECUTIVE'S OFFICE

The Committee was provided with a wide range of data covering the first three month's activity under the new complaints procedure. In addition to this, Members were informed that during those first three months, the Chief Executive's Office – and Services across the Council – had been on a very steep learning curve during which valuable lessons had been learned and more robust ways of dealing with complaints were being developed.

In answer to questions from Members, The CE's Executive Manager described how a recent audit of the complaints process had revealed that there remained a number of areas – particularly in the quality of the complaint handling – where on-going improvements were indicated. This was illustrated by reference to examples drawn from StreetCare and Housing and contrasted with the high score achieved by Regulatory Services, though it was also explained that the former two services were high volume whilst the latter provided fewer complaints, but of a much more detailed and technical nature.

Members were asked to be patient with the process whilst it continued to bed in. It was explained that there were a number of areas which the audit had shown required additional training and that in most cases the root problem related to a pre-existing culture which was slowly being changed. Part of that culture had been the service-based dialogue with complainants which tended to lead to complaints being protracted and becoming unnecessarily complicated. This was further compounded because in the previous system the Service retained control of the complaint through Stage Two. Since 1 April, the CE's Office had taken this stage and it continued to be its task to train the front-line complaints handlers to deal with issues on a first and only time basis, minimising the amount of scope there was for a complaint to accrue additional elements which only served to confuse the central issue.

Members learned that of the numerous cases dealt with at Stage One, most were successfully concluded at that point. Of those which were referred to Stage Two, a significant proportion were refused because of various procedural failures and of those considered by the CE's Office and responded to by the Chief Executive, only one had been escalated to Stage Three (and that had not been upheld by Members).

In conclusion Members were asked to bear with the changes which still needed to be applied. Audits would be a continuous feature for the time-being as standards were driven up. Lessons were being learned and it was appreciated that a valuable part of the process was the feed-back and recommendations which came from Members when they deliberated on issues referred to them.

The Committee thanked the CE's Executive Manager for her lucid and informative presentation and looked forward to receiving an update of developments at its next meeting.

4 THE LGO'S ANNUAL LETTER & SUMMARY OF HAVERING'S COMPLAINTS

The report before the Committee considered the Local Government Ombudsman's Annual Letter which had been received by the Council in July and contained information of complaints dealt with in the year 2014-15. Members were reminded that the Annual Letter was the LGO's principle means of communicating a summary of its activity to every authority across England and provided a break-down of complaints referred to her throughout the year.

The Committee was reminded that the Ombudsman's figures did not provide an accurate picture of the activity she had engaged in with the borough. Members' attention was drawn to the number of references: "Referred back for local resolution" and it was explained that this was a grey area because the term could be used to indicate that a complaint was sent back to the Council to be considered under its complaints procedures or that a complainant had been advised to take the matter back to the Council. In the latter case, there was no way in which the Council could know whether a complainant had approached the Ombudsman unless that complainant chose to inform the Council and provide the reference number. As this was unlikely, this category (the largest of the outcome groups) remained the most difficult to address.

The report showed that a partial reconciliation had been undertaken and that this had revealed that the number of complaints notified to the Council did fall within the range recorded by the Ombudsman – though it was pointed-out by the clerk that although the numbers agreed, the LGO and the Council differed in certain cases of allocation. The prime example being the issue of Blue Badges; The LGO recorded them under Adult Services, whilst the Council placed this within Customer Services which reported to a completely different Head of Service and Director. The Committee accepted the findings however, agreeing that it did not matter what label was used, as long as the number and the outcome agreed, it was satisfied.

The Committee:

1. **Noted** the contents of the Ombudsman's Annual Letter.
2. **Decided** to send the Letter should be sent to the Chairman of the Overview and Scrutiny Board and its comments sought.
3. **Decided** not to send a letter of response to the Local Government Ombudsman about this year's Annual Letter.
4. **Decided** that the summary statistics provided by the LGO should be published on Calendar Brief along with an in-house commentary.
5. **Agreed** to change the best value performance indicator (BVPI) currently in use to read:

“The BVPI target for any formal reports of maladministration and injury is 0 and no more than 8 instances where the Ombudsman imposes financial penalties”

5 UPDATE ON LGO ACTIVITY FOR THE YEAR 2015-16 TO DATE

This oral update was restricted to the Local Government Ombudsman's activity for the current year to date. Members were reminded that they had recently been provided with the statistics for the previous three months and their attention was drawn to some comparative year-on-year figures which indicated that the LGO's involvement with the borough had fluctuated significantly. The cumulative total for the first five months of 2012-13 was 36, For 2013-14 over the same period, the figure was 20 and for the current year, between 1 April and the date of the meeting, the figure was 27. These figures were also lower than previous years and it seemed to indicate that the Ombudsman's ability to deal with a large volume of complaints had been curtailed somewhat.

This observation was further borne out by reference to the number of cases which were returned to the Council as not investigated. The LGO appeared to be keeping overall numbers high concerning through-put, but appeared to be very selective in what she committed to investigation.

Members were informed that the figures agreed favourably with those across the Capital and that Havering was in the top quartile for the least number of complaints registered against it during the year (the lowest number of complaints being recorded against the City of London (12) and the highest against Newham (298). Unfortunately, this was not repeated by comparison across the country as the average number of complaints was in the mid to low double figures and whilst Birmingham had 578 complaints recorded against it, this was the exception and Havering's 97 placed it in the bottom quartile (306th out of 363 authorities). It was noted that the "authorities" within the LGO's jurisdiction included the National Parks which attracted very little Ombudsman activity and many small, rural or coastal areas were likewise unlikely to receive many complaints to the Ombudsman.

In conclusion, the Committee was reminded that every case was an opportunity for the Council to better understand how to ensure that the services it provided were appropriate and fit for purpose.

The Committee **noted** the oral update.

6 UPDATE ON STAGE THREE ACTIVITY

The clerk informed the Committee that he had not been able to provide a formal report, but drew Members' attention to the information provided earlier by the CE's Executive Manager. Members were reminded that since 1st April there had been four MRPs which together had considered seven complaints and of those, one was upheld, two had been partially upheld and

four had not been upheld. Members were also reminded that there were three more complaints (from the previous complaints procedure) which were due to be considered within the next few days.

Members were then informed that with the start of the new complaints process, a decision had been taken to produce minutes for MRPs as well as Hearings. The reasoning for this had been to raise the level of transparency of the complaints process and to properly close the formal administration of the Stage Three element.

A Member raised his concerns about this arguing that it could curtail the free discussion which took place during the deliberation Members conducted before coming to a decision. He – and the rest of the Committee - was reassured when it was explained that the Minute was largely formulaic in that it provided the information which would be in the public domain anyway. It gave the name of the Service area which was the subject of the complaint and a brief outline of the salient issues – but not in such detail that the complainant could be identified.

The Minute referred to any significant points and gave the Panel's decision as well as any recommendations. What was not included were any details which were still recorded on the Decision Notice and this document was used to inform the complainant, the Head of Service and the CE's Office. Members were reminded that Minutes were always produced when a complaint went to a Hearing and this had always been the case; it was simply that when the MRP had been initially set up, its purpose had been very different to the way it functioned now.

Having been reassured that the anonymity of the complainant was being maintained and that details of the private deliberations were not going to be revealed, the Committee considered that this was a helpful development and would strengthen the Council's position with regard to its management of complaints.

The Committee:

Noted the oral update and

Approved the continued use of a formal Minute to publically conclude the complaints process.

Chairman

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Minute Item 5

Local Government Ombudsman (LGO) and Housing Ombudsman Service (HOS) cases and decisions on Standards issues Updates for May, June & July 2015

The following pages are intended to provide Members with an overview of complaints considered by the Local Government and Housing Services Ombudsmen.

I apologise for the absence of these reports on a monthly basis, but it has not been feasible to process the data until now. 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 31st July 2015, cases by Ward

In the following PDF will be found a chart showing current Ombudsman activity displayed in Service Area within Directorates. A recent audit of data discovered that there were only five cases bopen at the 31st March and this has been amended so some of the information displayed from April to June will look slightly different in the July statistics.

Ombudsman Cases summary:

During the past three months, the LGO has had 26 contacts with the Council: Seven in May, 11 in June and eight in July. Of these, 10 were enquiries and of these, five were referred back to the Council for consideration through its complaints procedure, two led to the LGO coming to a decision without further reference to the Council and two led onto investigations. A further enquiry has, so far, gone no further, whilst there was a fifth "Premature" which came from an enquiry in April.

The remaining six cases were notifications by the LGO – without prior contact – that a complaint had been received and was being investigated (5) and one case where the LGO simply announced a decision. Of the four June cases where the Ombudsman chose to conduct an investigation, three draft decisions have been received. Of these, two indicate that there was some fault in the way the Council had acted – one causing injustice to the complainant, whilst the third was a finding of no fault.

On the whole, the LGO has found very few failings by the Council.

The Housing Ombudsman Service

During the period 1st May – 31st July the Housing Ombudsman has raised six cases with the Council. These are currently being processed and the most interesting procedural point of note is that the HOS appears to have adopted the LGO's way of presenting cases and requesting information.

Standards issues:

There was one issue which came before an Assessment Panel during the period. The matter was considered and dismissed.

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@onesource.com

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 ten cases brought forward from 2014/15.

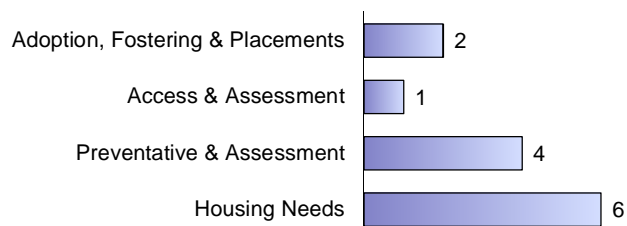
Directorate	Service	Service Delivery Area	Cranham	Gooshays	Hacton	Heaton	Hylands	Mawneys	Pettits	Romford Town	South Hornchurch	Upminster	O/S Borough	Grand Total
Children, Adults and Housing	Adult Services	Preventative & Assessment	1	2									1	4
		Access & Assessment											1	1
	Housing	Housing Needs		2				1	1	1			1	6
	Children's Services	Adoption, Fostering & Placements				2								2
Communities & Resources	Regulatory Services	Planning issues					1		1					2
	StreetCare	Traffic & Parking									1	1		2
		Highways			2					2			2	6
	Customer Services	Blue Badges					1							1
oneSource	Finance	Fraud				1								1
Grand Total			1	4	2	3	2	1	2	3	1	1	5	25

Ward Totals for the month of: MAY

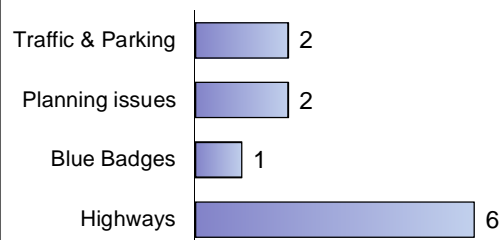
Directorate	Service	Service Delivery Area	Hacton	Heaton	Gooshays	Pettits	O/S Borough	Grand Total
Children, Adults and Housing	Adult Services	Preventative & Assessment			1			1
	Housing	Housing Needs				1	1	2
	Children's Services	Adoption, Fostering & Placements		1				1
Communities & Resources	StreetCare	Highways	2				1	3
Grand Total			2	1	1	1	2	7

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

Children, Adults and Housing - B/Forward 5. From 1 April 2015 to date 8. Total: 13



Communities & Resources - B/Forwards 5. From 1 April 2015 to date 6. Total: 11

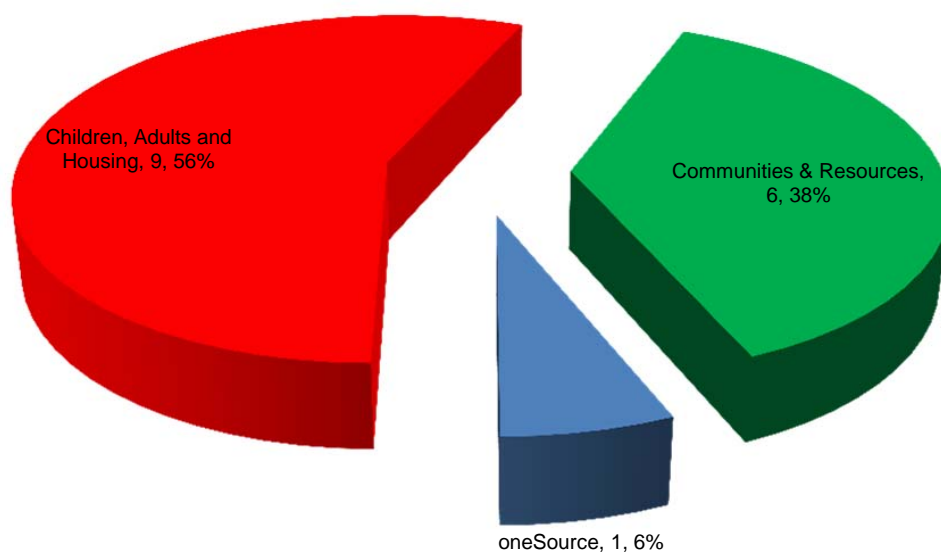


oneSource - Total from 1 April 2015 to date: 1

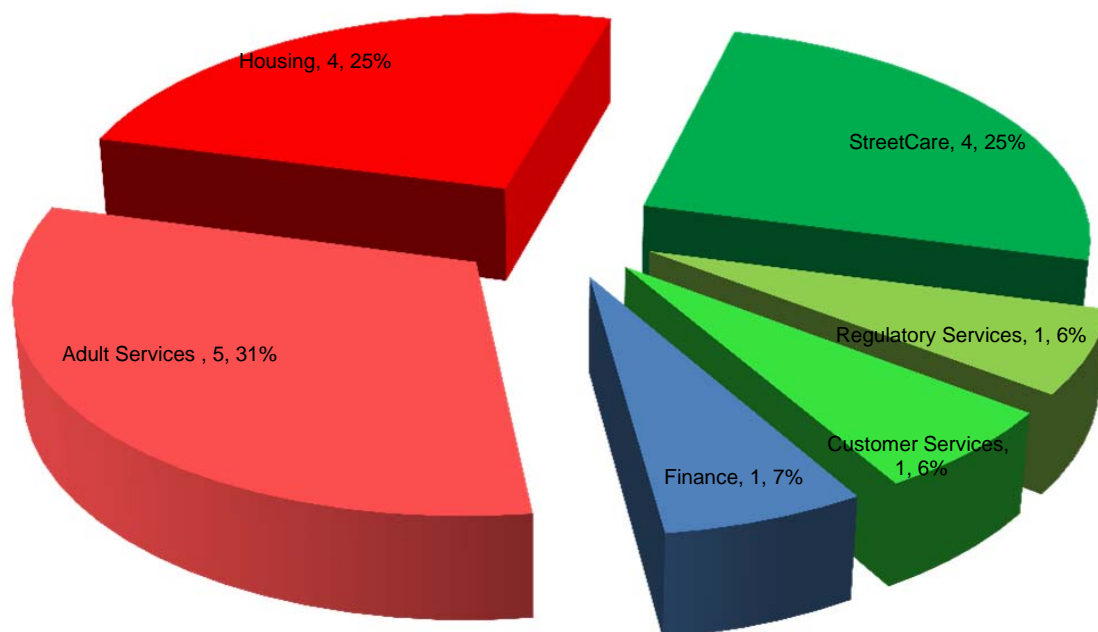


Evaluation of Ombudsman Activity

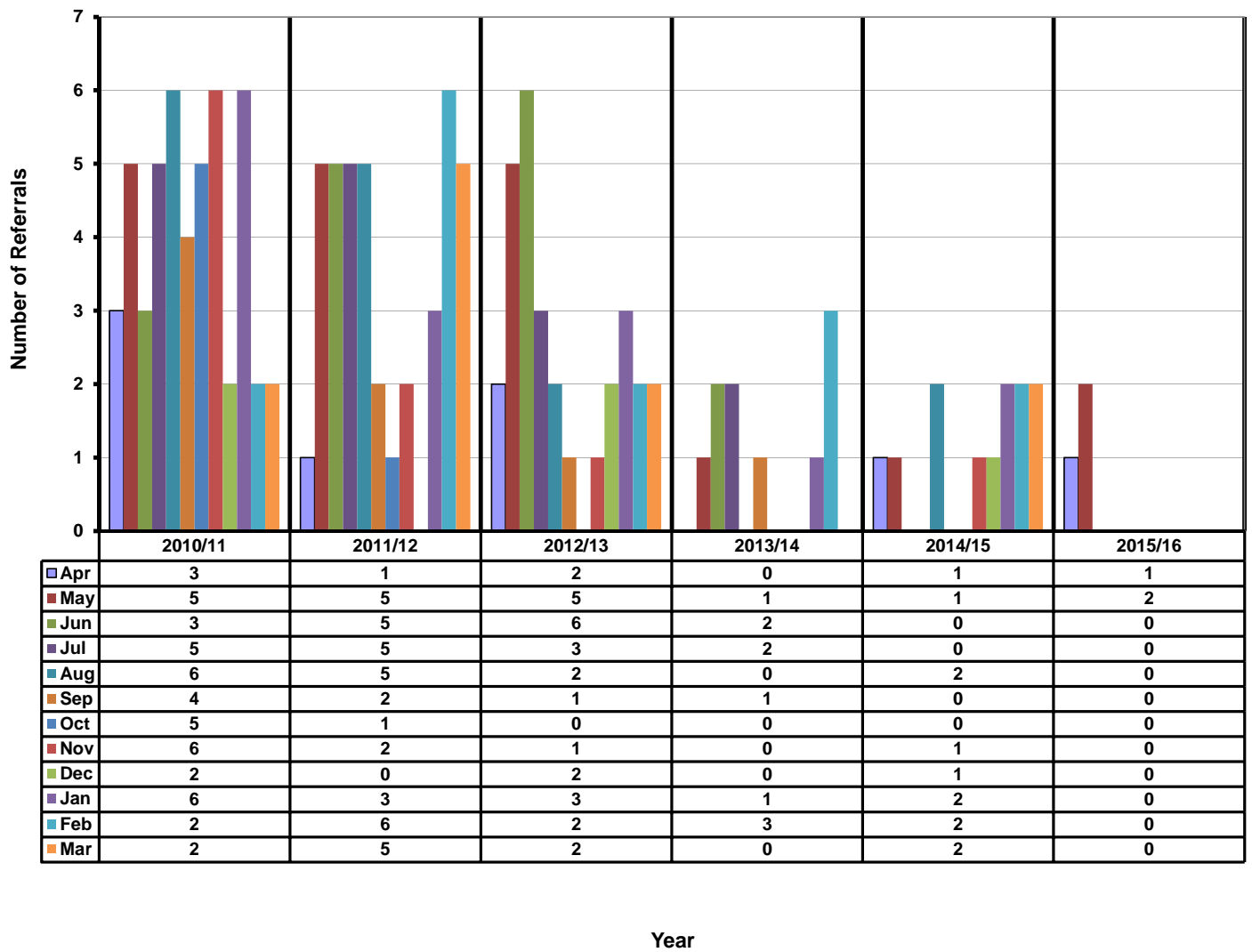
**Directorate Involvement - Total of complaint elements from the LGO
(whether investigated or not) to 31 May 2015: 6
(10 ongoing cases were brought forward from 2014/15)**



**Service Area Involvement - Total complaint elements from the LGO
(whether investigated or not) to 31 May 2015: 6
(10 ongoing cases were brought forward from 2014/15)**



LGO Referrals - Premature Complaints - year-on-year



Year	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	Grand Total
Prematures:	49	40	29	10	12	3	143
Cases Referred:	45	59	73	62	42	9	290
Total:	94	99	102	72	54	12	433

Printed on: 03/06/2015

Local Government Ombudsman **Referrals**: 1 April 2015 – 31 March 2016 - 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
10	Brought Forward Complaints from 2014/15 (Investigations only) including 4 Draft Decisions												
12	New Complaints were reported from 1 April 2015 to date (including Prematures & enquiries)	6	6	0	0	0	0	0	0	0	0	0	0
Of which	3 were Premature - normally L2 complaints referred back to the Council	1	2	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	1	2	0	0	0	0	0	0	0	0	0	0
	4 were not investigated (decisions already made by the LGO e.g: OSJ, Draft Decisions etc.)	3	1	0	0	0	0	0	0	0	0	0	0
	2 Draft Decisions on investigated cases currently pending LGO decision	0	2	0	0	0	0	0	0	0	0	0	0
and	3 Investigations completed	2	1	0	0	0	0	0	0	0	0	0	0
Leaving	7 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **0** cases have received a substantive response in an average of **#####** working days
 There have so far been **4** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **2** complaint awaiting an initial response

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

58 **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
4	Ongoing Complaints (Investigations only) b/fwd from 2013/14												
54	New Complaints were reported from 1 April 2014 to date (including Prematures & enquiries)	2	4	5	1	8	3	1	7	1	6	4	12
Of which	12 were Premature - normally L2 complaints referred back to the Council	1	1	0	0	2	0	0	1	1	2	2	2
and	4 were enquiries by the LGO which have NOT been changed by further actions	0	0	0	0	0	1	0	1	0	0	0	2
	23 were not investigated (decisions already made by the LGO e.g: OSJ, Provisional View etc.)	0	3	4	0	4	1	0	3	0	2	2	4
	3 Provisional View on investigated cases currently pending LGO decision	0	0	0	0	0	0	0	0	1	0	0	2
and	10 Investigations completed	2	0	2	1	0	0	1	2	1	0	0	1
Leaving	6 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **11** cases have received a substantive response in an average of **17** working days
 There have so far been **22** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **4** complaint awaiting an initial response
 There are currently **2** premature complaints 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
	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**

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 ten cases brought forward from 2014/15.

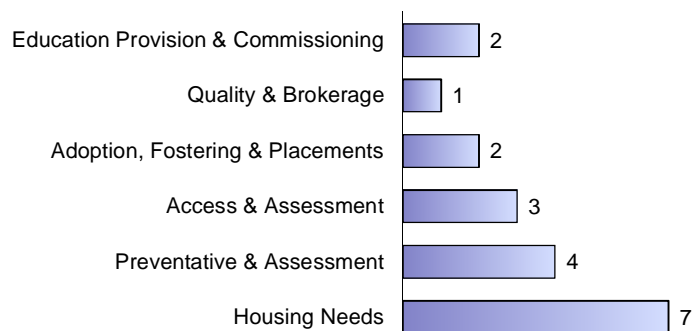
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Children, Adults and Housing	Adult Services	Preventative & Assessment	1	2											1	4
		Access & Assessment				1					1				1	3
		Quality & Brokerage													1	1
	Housing	Housing Needs		2					1	2		1			1	7
	Children's Services	Adoption, Fostering & Placements					2									2
	Learning & Achievement	Education Provision & Commissioning							2							2
Communities & Resources	Regulatory Services	Planning issues						1		1						2
		Environmental Health	1													1
	StreetCare	Traffic & Parking										1	1	1	1	4
		Highways			2							2			2	6
	Customer Services	Blue Badges			2			1								3
oneSource	Finance	Fraud					1									1
Grand Total			2	4	4	1	3	2	3	3	1	4	1	1	7	36

Ward Totals for the month of: JUNE

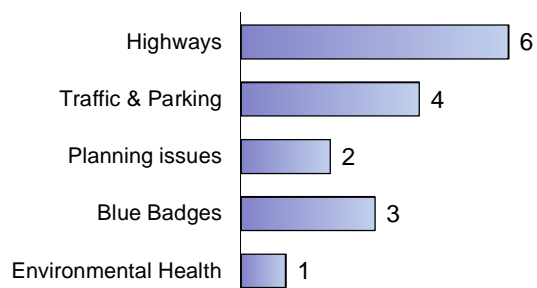
Directorate	Service	Service Delivery Area	Cranham	Hacton	Harold Wood	Mawneys	Pettits	Rainham & Wennington	Romford Town	O/S Borough	Grand Total
Children, Adults and Housing	Adult Services	Access & Assessment			1			1			2
		Quality & Brokerage								1	1
	Housing	Housing Needs					1				1
	Learning & Achievement	Education Provision & Commissioning				2					2
Communities & Resources	Regulatory Services	Environmental Health	1								1
	StreetCare	Traffic & Parking							1	1	2
	Customer Services	Blue Badges		2							2
Grand Total			1	2	1	2	1	1	1	2	11

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

Children, Adults and Housing - B/Forward 5. From 1 April 2015 to date 14. Total: 19



Communities & Resources - B/Forwards 5. From 1 April 2015 to date 11. Total: 16

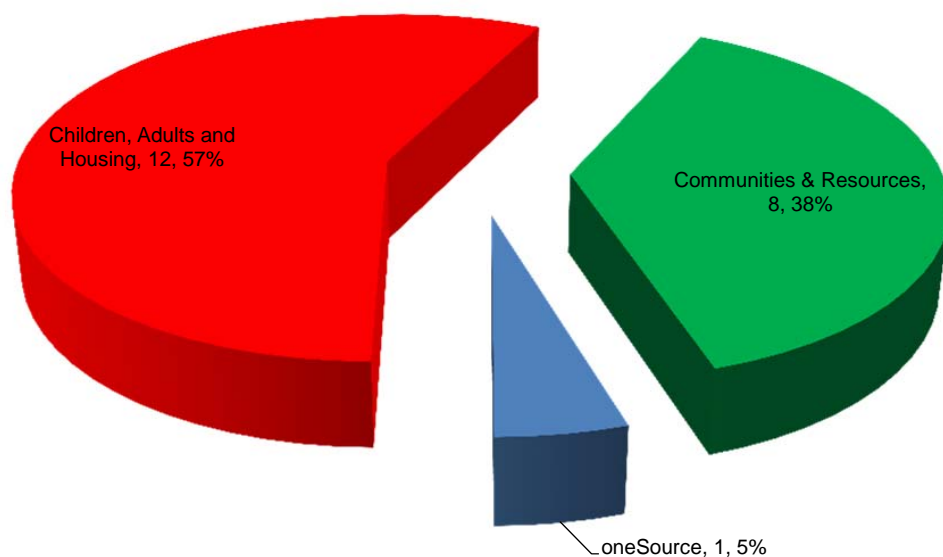


oneSource - Total from 1 April 2015 to date: 1

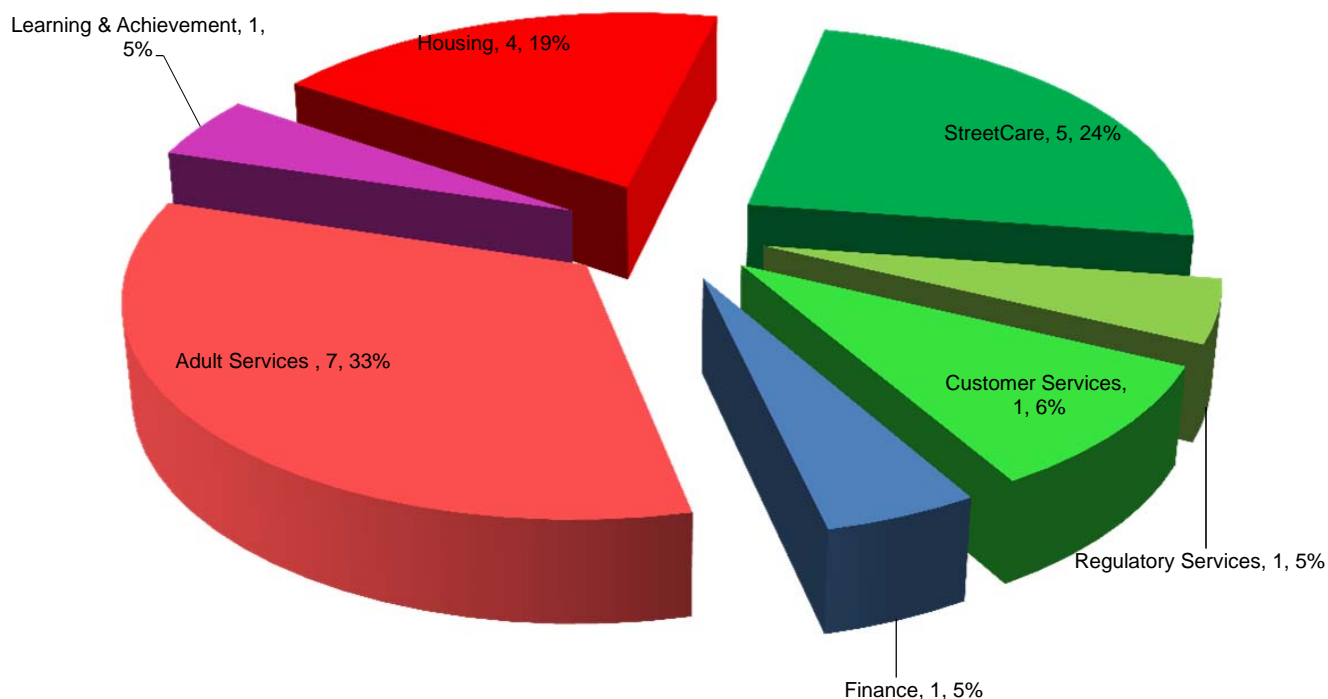


Evaluation of Ombudsman Activity

**Directorate Involvement - Total of complaint elements from the LGO
(whether investigated or not) to 30 June 2015: 11
(10 ongoing cases were brought forward from 2014/15)**



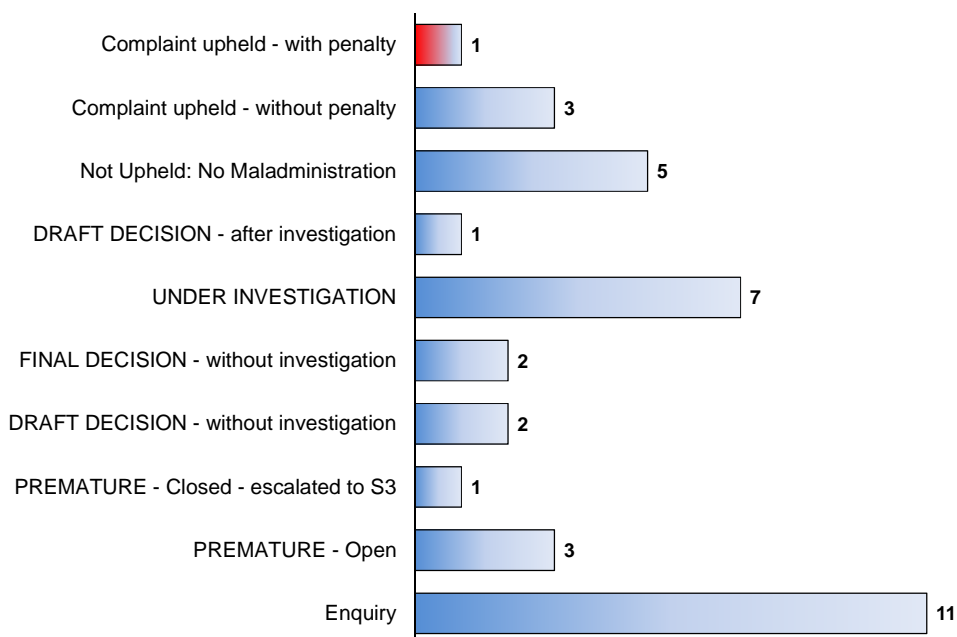
**Service Area Involvement - Total complaint elements from the LGO
(whether investigated or not) to 30 June 2015: 11
(10 ongoing cases were brought forward from 2014/15)**



Evaluation of Ombudsman Activity

Total of ALL complaints received between 1 April 2015 and 31 March 2016: 36

Including enquiries & 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 2015 to 31 March 2016

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

Children, Adults & Housing

Housing

D	E	E → P
---	---	-------

Adult Services

D	I	I	E	I	I
---	---	---	---	---	---

Children's Services

E → P

13

10

Learning & Achievement

E → D

Communities & Resources

(from 1 January 2015)

Regulatory Services

E

Public Health

E

12

9

StreetCare

E → P	E → P	D	I	E
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Corporate & Customer Transformation

E → I

Parks & Open Spaces

oneSource

Council Tax & Benefits

Finance

D

Legal Services

School Appeals

General & Member Issues

Complaint ELEMENTS

1

Individual COMPLAINTS

1

Notes:

26

20

Local Government Ombudsman Complaint Elements - by Service 1 April 2015 - 31 March 2016:
(TEN cases were brought forward from 2014/15)
 2014/15 BVPI target for maladministration is 0 and no more than 8 instances where penalties are awarded

Page 12

Complaints under investigation - "A":

Draft Decisions Received - "B":

Complaints determined:

Report issued: Upheld; maladministration and injustice

Report issued: Upheld; maladministration, no injustice

Report issued: Not upheld; no maladministration

Upheld; maladministration and injustice

Upheld; maladministration, no injustice

Not upheld; no maladministration

Closed after initial enquiries - out of jurisdiction

Closed after initial enquiries - no further action

Not upheld: No further action

Complaint **Elements** Completed - not Premature - "C":

Prematures & LGO enquiries - "D":

Totals - A, B, C & D:

Communities & Resources					Children, Adults & Housing					oneSource				
StreetCare	Parks & Open Spaces	Planning & Building Control	Public Protection	Customer Services	Learning & Achievement	Children's Services	Adult Services	Housing (Housing Needs)	Housing (Estate & Maintenance)	School Appeals	Council Tax & Benefits	Finance, Insurance & Fraud	Legal Services	General: Member & non 'Service specific' issues
4	0	0	0	1	0	0	2	1	0	0	0	0	0	0
0	0	1	0	1	0	0	2	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	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	0	0	0	0	0	0	2	1	0	0	0	0	0	0
0	0	0	0	0	0	0	1	1	0	0	0	1	0	0
1	0	0	0	0	1	0	0	0	0	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	1	0	3	3	0	0	0	1	0	0
5	0	1	1	1	1	2	1	3	0	0	0	0	0	0
10	0	2	1	3	2	2	8	7	0	0	0	1	0	0

Complaint **Elements** under Investigation

= 8

Complaint **Elements** - *PVs Recd. whether investigated or not*

+ 4

Completed/Omb D./OSJ/No Inv.

+ 9

Premature - or enquiries

+ 15

Total of **Complaint Elements**

= 36

0

0

0

1

3

3

0

2

0

9

15

36

Local Government Ombudsman Referrals: 1 April 2015 – 31 March 2016 - Analysed by Month

28 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
10 Brought Forward Complaints from 2014/15 (Investigations only) including 4 Draft Decisions												
18 New Complaints were reported from 1 April 2015 to date (including Prematures & enquiries)	6	5	7	0	0	0	0	0	0	0	0	0
Of which 4 were Premature - normally L2 complaints referred back to the Council	1	2	1	0	0	0	0	0	0	0	0	0
and 4 were enquiries by the LGO which have NOT been changed by further actions	1	1	2	0	0	0	0	0	0	0	0	0
5 were not investigated (decisions already made by the LGO e.g: OSJ, Draft Decisions etc.)	3	1	1	0	0	0	0	0	0	0	0	0
3 Draft Decisions on <u>investigated cases</u> currently pending LGO decision	0	1	2	0	0	0	0	0	0	0	0	0
and 5 Investigations completed	2	1	2	0	0	0	0	0	0	0	0	0
Leaving 7 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **1** cases have received a substantive response in an average of **18 working days**
 There have so far been **4** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **2** complaint awaiting an initial response

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

58 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
4 Ongoing Complaints (Investigations only) b/fwd from 2013/14												
54 New Complaints were reported from 1 April 2014 to date (including Prematures & enquiries)	2	4	5	1	8	3	1	7	1	6	4	12
Of which 12 were Premature - normally L2 complaints referred back to the Council	1	1	0	0	2	0	0	1	1	2	2	2
and 4 were enquiries by the LGO which have NOT been changed by further actions	0	0	0	0	0	1	0	1	0	0	0	2
23 were not investigated (decisions already made by the LGO e.g: OSJ, Provisional View etc.)	0	3	4	0	4	1	0	3	0	2	2	4
3 Provisional View on <u>investigated cases</u> currently pending LGO decision	0	0	0	0	0	0	0	0	1	0	0	2
and 10 Investigations completed	2	0	2	1	0	0	1	2	1	0	0	1
Leaving 6 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **11** cases have received a substantive response in an average of **17 working days**
 There have so far been **22** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **4** complaint awaiting an initial response
 There are currently **2** premature complaints 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
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**

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 ten cases brought forward from 2014/15.

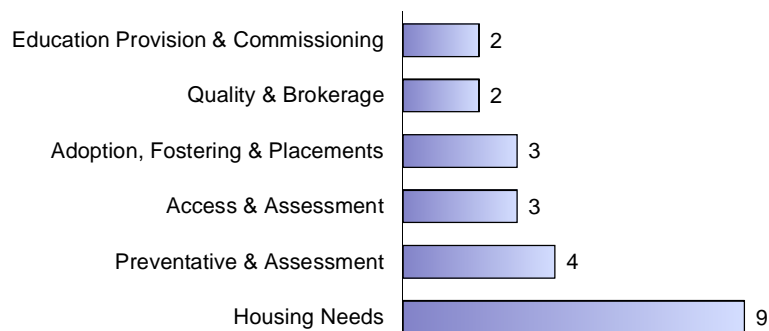
Directorate	Service	Service Delivery Area	Cranham	Goosnays	Hacton	Harold Wood	Heaton	Hylands	Mawneys	Pettits	Rainham & Wennington	Romford Town	South Hornchurch	Upminster	O/S Borough	Grand Total
Children, Adults and Housing	Adult Services	Preventative & Assessment	1	2											1	4
		Access & Assessment				1					1				1	3
		Quality & Brokerage													2	2
	Housing	Housing Needs		2			2		1	2		1			1	9
	Children's Services	Adoption, Fostering & Placements					2							1		3
	Learning & Achievement	Education Provision & Commissioning							2							2
Communities & Resources	Regulatory Services	Planning issues						1		1						2
		Environmental Health	2													2
	StreetCare	Traffic & Parking										2	1	1	1	5
		Highways			2							2			2	6
	Customer Services	Blue Badges			2											2
oneSource	Finance	Fraud					1									1
Corporate & Member Issues	Corporate	Corporate												2		2
Grand Total			3	4	4	1	5	1	3	3	1	5	1	4	8	43

Ward Totals for the month of: JULY

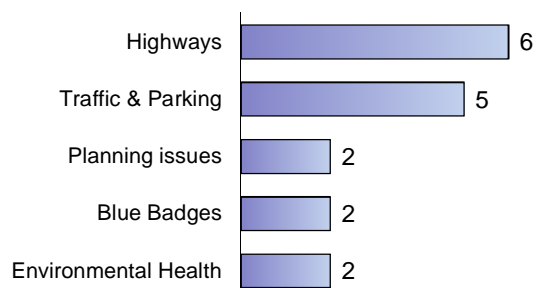
Directorate	Service	Service Delivery Area	Cranham	Heaton	Romford Town	Upminster	O/S Borough	Grand Total
Children, Adults and Housing	Adult Services	Quality & Brokerage					1	1
	Housing	Housing Needs		2				2
	Children's Services	Adoption, Fostering & Placements				1		1
Communities & Resources	Regulatory Services	Environmental Health	1					1
Grand Total			1	2	1	3	1	8

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

Children, Adults and Housing - B/Forward 5. From 1 April 2015 to date 18. Total: 23



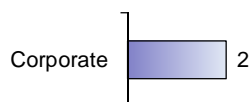
Communities & Resources - B/Forwards 5. From 1 April 2015 to date 12. Total: 17



oneSource - Total from 1 April 2015 to date: 1

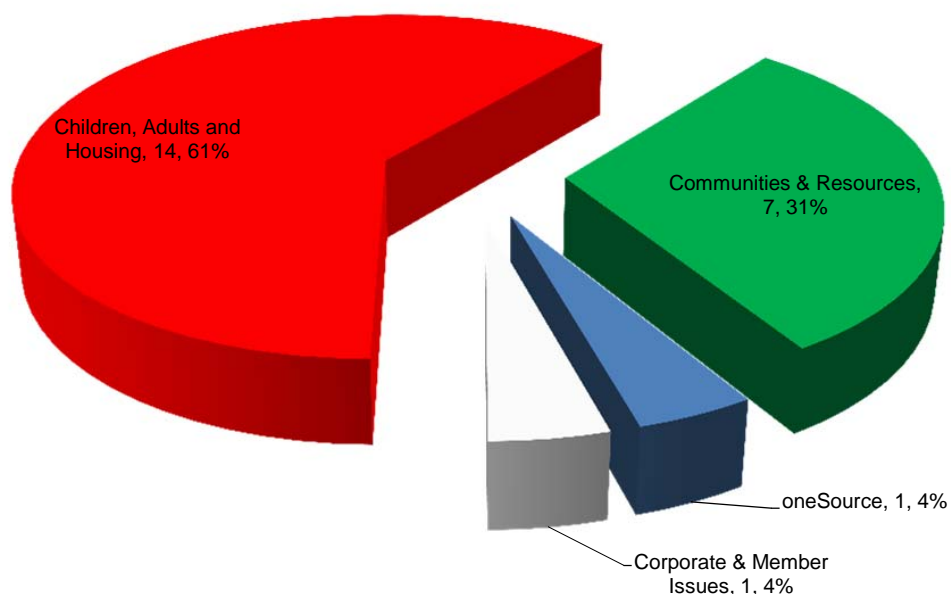


Corporate & Member Issues - Total from 1 April 2015 to date: 2

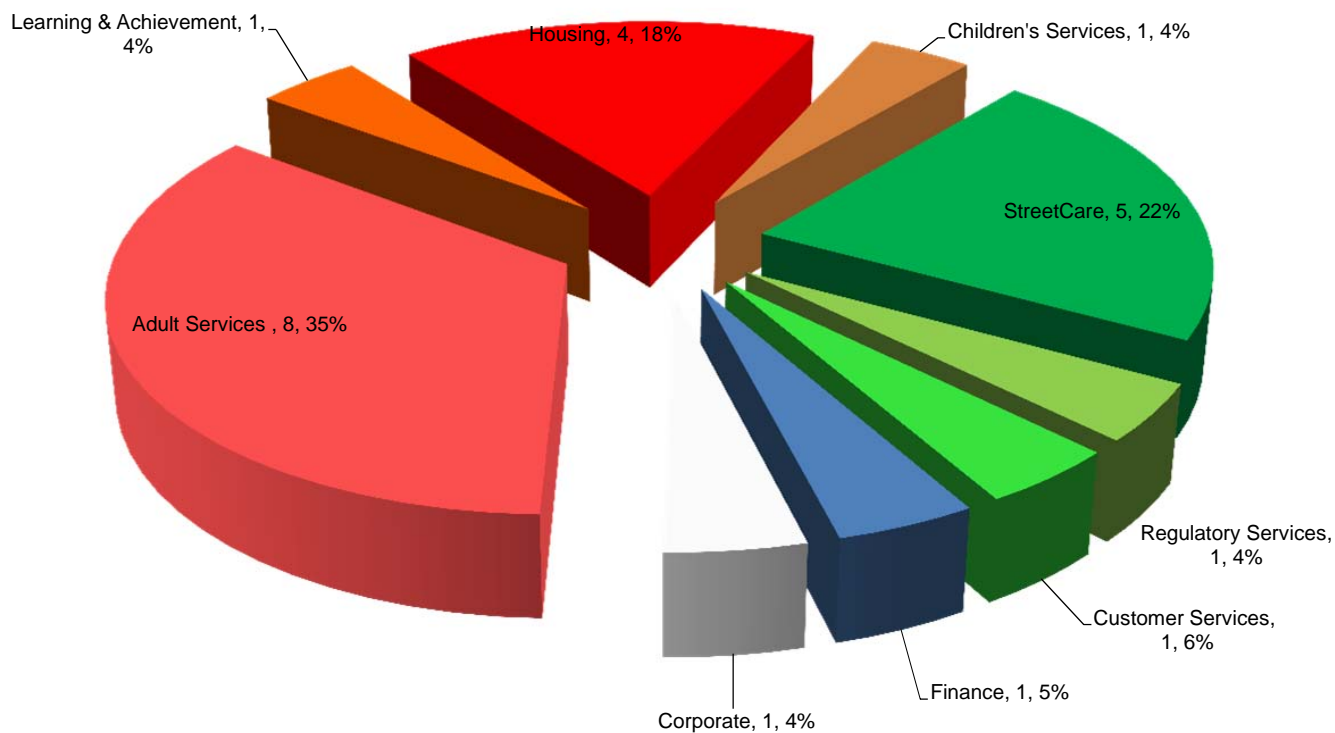


Evaluation of Ombudsman Activity

**Directorate Involvement - Total of complaint elements from the LGO
(whether investigated or not) to 31 July 2015: 14
(9 ongoing cases were brought forward from 2014/15)**



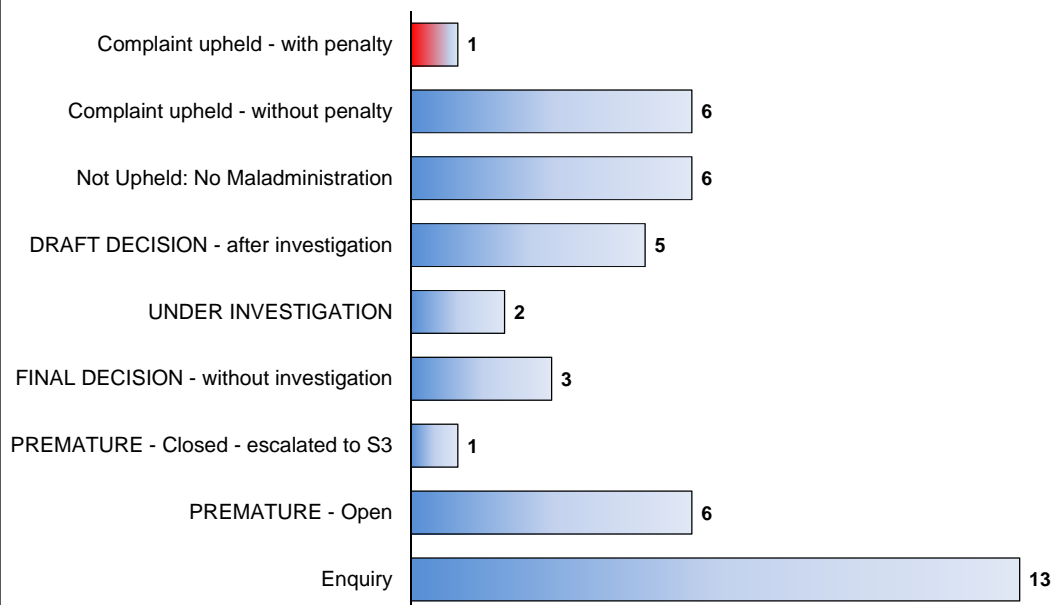
**Service Area Involvement - Total complaint elements from the LGO
(whether investigated or not) to 31 July 2015: 14
(9 ongoing cases were brought forward from 2014/15)**



Evaluation of Ombudsman Activity

Total of ALL complaints received between 1 April 2015 and 31 March 2016: 43 (including 9 cases open at 31 March 2015 & brought forward)

Includes enquiries & premature complaints referred back to the Council and dealt with under the Corporate Complaints pr



Identifying multiple contacts from the Ombudsman for the year 1 April 2015 to 31 March 2016

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

Children, Adults & Housing

Housing: D, E, E → P, E → P

Adult Services: D, I, I, E, I, I
 Children's Services: E → P, I
 Learning & Achievement: E → D

17 13

Communities & Resources

(from 1 January 2015)

Regulatory Services: E
 Public Health: E → P
 StreetCare: E → P, E → P, D, I, E
 Corporate & Customer Transformation: E → I
 Parks & Open Spaces:

12 8

oneSource

Council Tax & Benefits

Finance: D

Legal Services

School Appeals

Corporate & Member Issues: E → D

Complaint ELEMENTS

Individual COMPLAINTS

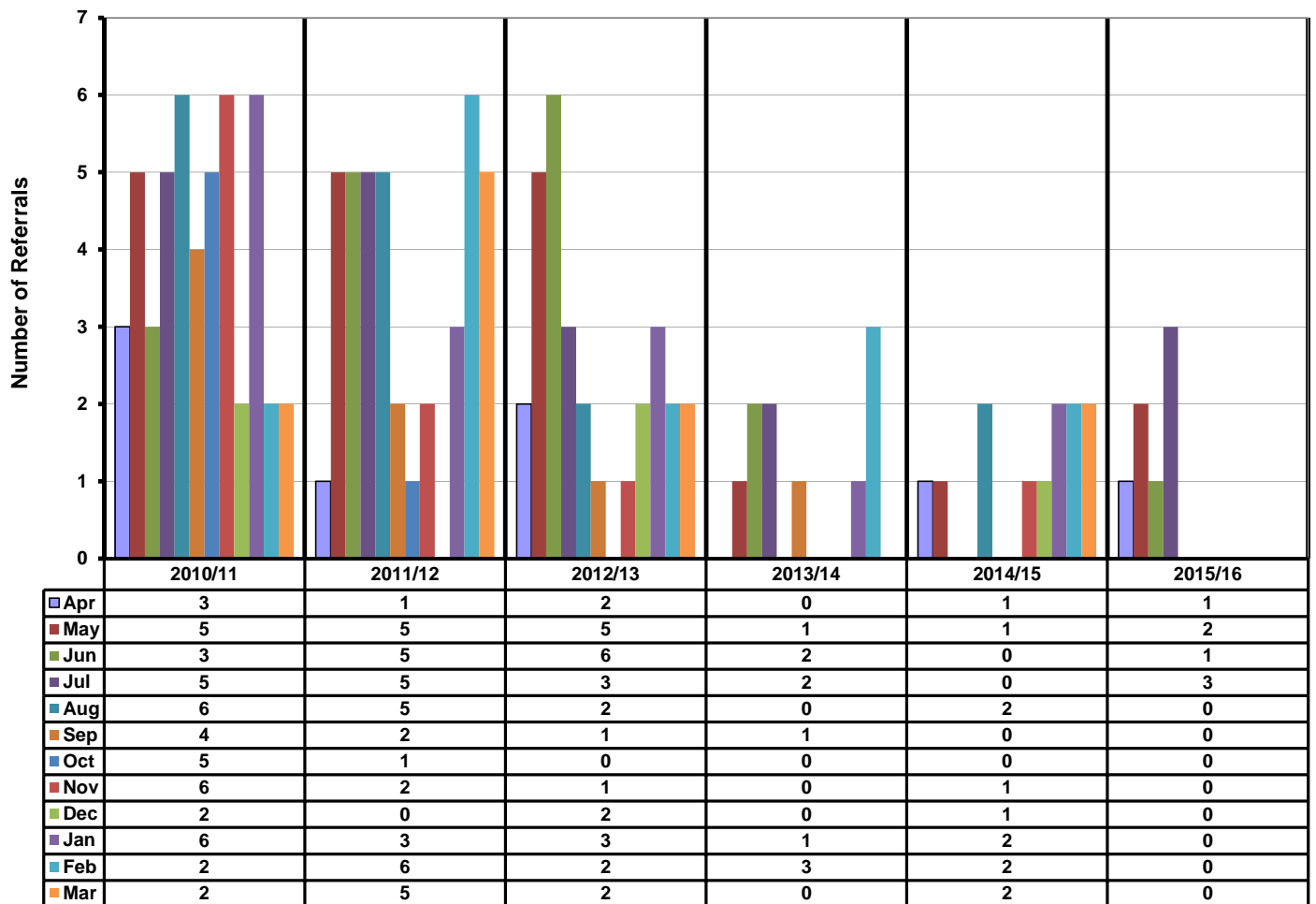
1 1

2 1

Notes:

32 23

LGO Referrals - Premature Complaints - year-on-year



Year	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	Grand Total
Prematures:	49	40	29	10	12	7	147
Cases Referred:	45	59	73	62	42	16	297
Total:	94	99	102	72	54	23	444

Local Government Ombudsman Complaint Elements - by Service 1 April 2015 - 31 March 2016:

(TEN cases were brought forward from 2014/15)

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

Page 19

Complaints under investigation - "A":

Draft Decisions Received - "B":

Complaints determined:

Report issued: Upheld; maladministration and injustice

Report issued: Upheld; maladministration, no injustice

Report issued: Not upheld; no maladministration

Upheld; maladministration and injustice

Upheld; maladministration, no injustice

Not upheld; no maladministration

Closed after initial enquiries - out of jurisdiction

Closed after initial enquiries - no further action

Not upheld: No further action

Complaint **Elements** Completed - not Premature - "C":

Prematures & LGO enquiries - "D":

Totals - A, B,C & D:

Communities & Resources					Children, Adults & Housing					oneSource				
StreetCare	Parks & Open Spaces	Planning & Building Control	Public Protection	Customer Services	Learning & Achievement	Children's Services	Adult Services	Housing (Housing Needs)	Housing (Estate & Maintenance)	School Appeals	Council Tax & Benefits	Finance, Insurance & Fraud	Legal Services	Corporate: Member & non 'Service specific' issues
0	0	0	0	0	0	1	1	0	0	0	0	0	0	0
2	0	0	0	1	0	0	1	1	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	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
2	0	0	0	0	0	0	3	1	0	0	0	0	0	0
0	0	1	0	0	0	0	3	1	0	0	0	1	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
1	0	0	0	0	1	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
3	0	1	0	0	1	0	6	3	0	0	0	1	0	1
6	0	1	2	1	1	2	1	5	0	0	0	0	0	1
11	0	2	2	2	2	3	9	9	0	0	0	1	0	2

Complaint Elements under Investigation	2	5	16	20	43
Complaint Elements - PVs Recd whether investigated or not					
Completed/Omb D./OSJ/No Inv.					
Premature - or enquiries					
Total of Complaint Elements					

Local Government Ombudsman **Referrals**: 1 April 2015 – 31 March 2016 - Analysed by Month

32 **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
	9 Brought Forward Complaints from 2014/15 (Investigations only) including 4 Draft Decisions												
	23 New Complaints were reported from 1 April 2015 to date (including Prematures & enquiries)	6	5	6	6	0	0	0	0	0	0	0	0
Of which	7 were Premature - normally L2 complaints referred back to the Council	1	2	1	3	0	0	0	0	0	0	0	0
and	2 were enquiries by the LGO which have NOT been changed by further actions	1	1	0	0	0	0	0	0	0	0	0	0
	6 were not investigated (decisions already made by the LGO e.g: OSJ, Draft Decisions etc.)	3	1	1	1	0	0	0	0	0	0	0	0
	5 Draft Decisions on investigated cases currently pending LGO decision	0	0	0	5	0	0	0	0	0	0	0	0
and	10 Investigations completed	3	0	4	3	0	0	0	0	0	0	0	0
Leaving	2 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **6** cases have received a substantive response in an average of **17 working days**
 There have so far been **6** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **2** complaint awaiting an initial response

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

58 **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
	4 Ongoing Complaints (Investigations only) b/fwd from 2013/14												
	54 New Complaints were reported from 1 April 2014 to date (including Prematures & enquiries)	2	4	5	1	8	3	1	7	1	6	4	12
Of which	12 were Premature - normally L2 complaints referred back to the Council	1	1	0	0	2	0	0	1	1	2	2	2
and	4 were enquiries by the LGO which have NOT been changed by further actions	0	0	0	0	0	1	0	1	0	0	0	2
	23 were not investigated (decisions already made by the LGO e.g: OSJ, Provisional View etc.)	0	3	4	0	4	1	0	3	0	2	2	4
	3 Provisional View on investigated cases currently pending LGO decision	0	0	0	0	0	0	0	0	1	0	0	2
and	10 Investigations completed	2	0	2	1	0	0	1	2	1	0	0	1
Leaving	6 Cases currently being investigated (not Prematures or PVs) or to be c/fwd (if open at 31 March)												

During the year to date **11** cases have received a substantive response in an average of **17 working days**
 There have so far been **22** cases which were not "investigated" - though some may have required a response to LGO questions
 There is currently **4** complaint awaiting an initial response
 There are currently **2** premature complaints 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
	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**