

## Commission monthly performance indicators

The data sets for the year to date (30 October) are attached.

The rolling 12 month inputs of new complaints (10,222) remain broadly in line with the business plan prediction (10,000). The large increase in schools admission complaints we experienced in 2008/09 was maintained in 2009/10; this is concentrated in the London office which receives 46% of such cases (the office only deals with London authorities north of the Thames and in the South East).

The output of the teams is holding up well, despite the final tranche of voluntary redundancies leaving at the end of September. The prediction for the year of 120 decisions per investigator compares well with the 12 month rolling average of 119.6. However caseloads for some individuals are high (average caseload in Coventry is well above that in London and York) and the Deputy Ombudsmen describe the situation as 'fragile' with no spare capacity to deal with any upsurge of work. We currently have 80fte investigators and 9 senior investigators in post.

In our 2010/11 grant submission to CLG we said that, based on current trends (post the introduction of Council First) we considered it would be prudent to plan for between 11,000 and 11,500 LGov complaints being referred to the teams for investigation in 2010/11. Based on a planned output of 120 decisions per investigator, we would need between 87 and 92 investigators and 9 seniors (plus another 3 investigators for local authority training and communications activity). We would be able accommodate this many staff within our anticipated £12,650,000 2010/11 CLG grant.

On the basis of these plans, up to 15 new LGovt investigators/case managers are currently being recruited to supplement the current 80 fte staff, but they would not be able to make a significant contribution to output for at least six months. The need to train new staff in this area at the same time as new staff are being taken on for the new jurisdictions will also severely impact on output over the first six months of next year. A high proportion of the investigative staff next year will be new recruits.

The level of contacts at LGOAT remains high. The rolling 12 month total is 81,000 contacts (including phone, email and other written communications), but only 18,000 result in cases registered on COIN.

Nigel Karney  
Deputy Chief Executive & Secretary

25 November 2009

# Commission monthly performance indicators

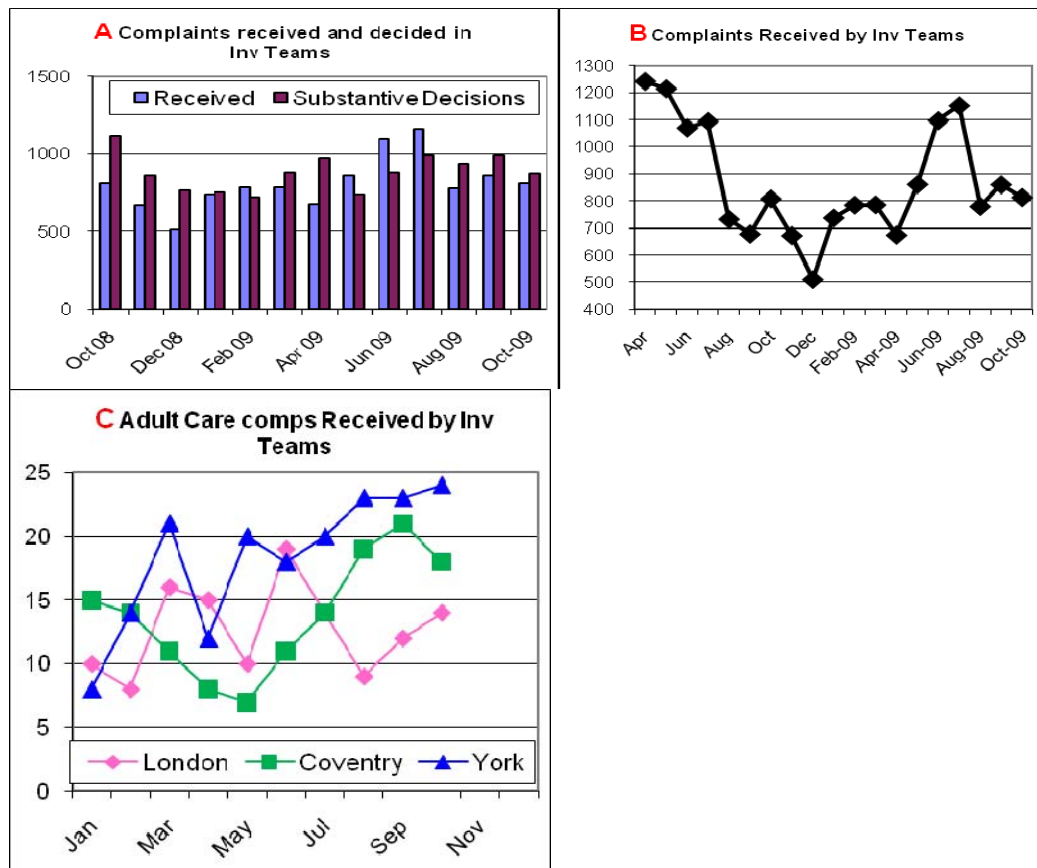
for the period ending 30 October 2009

## Summary Page

### Notes:

The Commission Performance Indicators are set out as follows:

1. A front page to highlight the main indicators and areas of interest as text and charts.
2. Performance tables of the current month, 3 and 12 month rolling information.
3. Graphs showing longer term trends in performance.
  - The number of complaints received, and substantive (excluding premature) decisions taken by the investigative teams for the past 12 months is illustrated below **A**. Over the 12 months (**Tables 3 and 5**) there have been 10222 registered complaints and 10329 substantive decisions.
  - **Table 2 and B** indicates that complaints received by the teams has a seasonal pattern, with a fall in August and a levelling off as school admission complaints have reduced.
  - The number of Adult Care cases registered is illustrated in **C** below (**Table 3**). The York Office receives more of this category of complaint (222 in 12 months) than either the London (151) or Coventry Office (164).



## Initial Contact

**Table 1: LGOAT to end of October 2009**

	month	3 mos	12mos	Prev Year 12mos	Diff
Calls received	3396	9,862	39593		
<b>Calls answered</b>	<b>3348</b>	<b>9,736</b>	<b>38785</b>		
% Abandon rate					
% <i>within 1 minute</i>	93.4%	93.1%	88.0%		
Ave resp time (minutes:seconds)	00:15				
Ave length of call (minutes:seconds)	05:11	05:17	04:58		
<b>Written Correspondence</b>					
Total numbers of post items received	<b>1098</b>	<b>3410</b>			
Total number of new complaints	305	1021			
<b>Email Correspondence</b>					
Total numbers of email items received	<b>2752</b>	<b>7385</b>			
Total number of new complaints (not web)	210	498			
Total number of new web complaints	325	903			
<b>Total number of contacts to LGOAT</b>	<b>7198</b>	<b>20531</b>			
<b>Total number of cases registered on COIN</b>	<b>1717</b>	<b>4939</b>	<b>17932</b>		

	this year	%	last year	%	Diff
<b>Month of September 2009</b>					
Advice given - complain to the council	129	7.5	108	6.3	21
Advice given - go to advice agency	23	1.3	21	1.2	2
Advice given - go to another organisation	45	2.6	44	2.6	1
Advice given - Jurisdiction	29	1.7	26	1.5	3
Complainant asks not to proceed	13	0.8	52	3.0	-39
Forward to investigative team	625	36.4	514	30.1	111
Forward to investigative team (26(5) resub)	118	6.9	269	15.7	-151
Forward to investigative team as (26(5) exception	134	7.8	37	2.2	97
Insufficient data to make a decision	256	14.9	151	8.8	105
26(5) premature complaint	345	20.1	487	28.5	-142
<b>Total</b>	<b>1717</b>	<b>100</b>	<b>1709</b>	<b>100.0</b>	<b>8</b>

	this year	%	last year	%	Diff
<b>3 month rolling</b>					
Advice given - complain to the council	338	6.8	366	7.5	-28
Advice given - go to advice agency	50	1.0	37	0.8	13
Advice given - go to another organisation	165	3.3	127	2.6	38
Advice given - Jurisdiction	87	1.8	103	2.1	-16
Complainant asks not to proceed	36	0.7	152	3.1	-116
Forward to investigative team	1775	35.9	1525	31.1	250
Forward to investigative team (26(5) resub)	390	7.9	653	13.3	-263
Forward to investigative team as (26(5) exception	491	9.9	78	1.6	413
Insufficient data to make a decision	742	15.0	467	9.5	275
26(5) premature complaint	865	17.5	1398	28.5	-533
<b>Total</b>	<b>4939</b>	<b>100.0</b>	<b>4906</b>	<b>100.0</b>	<b>33</b>

12 month rolling	this year		last year		Diff
		%		%	
Advice given - complain to the council	1088	6.1			
Advice given - go to advice agency	136	0.8			
Advice given - go to another organisation	606	3.4			
Advice given - Jurisdiction	435	2.4			
Complainant asks not to proceed	137	0.8			
Forward to investigative team	6638	37.0			
Forward to investigative team (26(5) resub)	1902	10.6			
Forward to investigative team as (26(5) exception	1272	7.1			
Insufficient data to make a decision	2500	13.9			
26(5) premature complaint	3218	17.9			
<b>Total</b>	<b>17932</b>	<b>100.0</b>			

### COIN updates when a complaint has been resubmitted

This means that a complaint that was once recorded as **26(5) premature complaint** will now be recorded as **Forwarded to investigation team (26(5) resub)**

This means that over time the number of premature complaints will appear to decrease **It is a record of the situation that is occurring when the COIN report is run**

**LAST YEAR'S DATA RUN THIS YEAR** (this is very different to last years PIs)

## Complaints received

**Table 2: Complaints received by Investigative teams**

**Note: This table has been re-formatted to show two features**

**A: Complaints received by the investigative teams (complaints received)**

**b: Number of "contacts" received by the organisation**

	This Year					Previous Year				
	Inv Team		LGO AT		Comm	Comm	LGO AT		Inv Team	
Team	A: Complaints received less 26(5)s	26(5)	26(5)*	Jurisd	B: Contacts received	B: Contacts received	26(5)*	Jurisd	26(5)	A: Complaints received less 26(5)s
<b>Month of October 2009</b>										
A	255	0							0	334
B	281	0							0	284
C	277	0							0	259
Comm	813	0	592	29	1,434	1,767	864	26	0	877
<b>3 month rolling</b>										
A	867	1							0	866
B	882	0							0	783
C	771	1							0	751
Comm	2,520	2	1,593	87	4,202	4,920	2,417	103	0	2,400
<b>12 month rolling</b>										
A	3,632	1							617	4,312
B	3,351	0							758	4,027
C	3,231	7							810	3,615
Comm	10,214	8	6,208	435	16,865	18,729	4,367	223	2,185	11,954

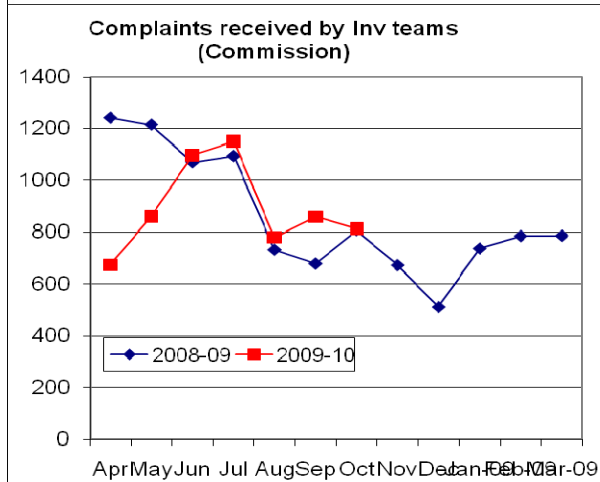
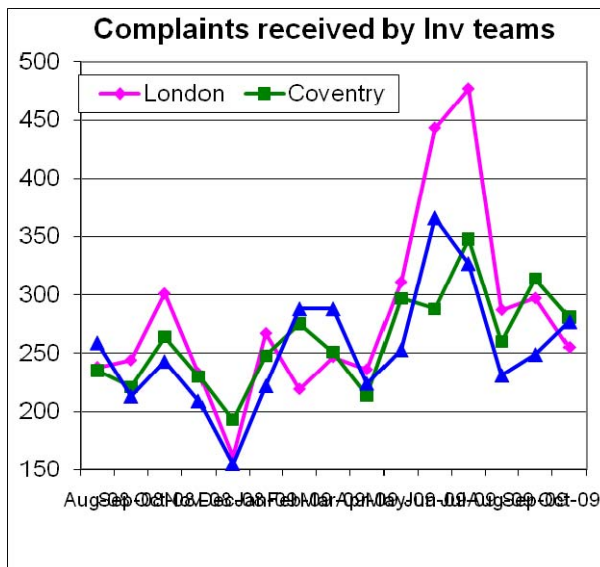
**A: To enable a rough office comparison; the number of substantive complaints received in the office this year could be compared with the total number received by the office minus the number of premature decisions taken in the same time period last year. This is an approximation only. These numbers have been highlighted in blue.**

**B: To try and compare the number of "contacts" the organisation has received in a time period we could compare the total number (includes premature) received last year with the number received in the investigative teams and the number of premature decisions\* made by LGO AT this year. These numbers have been highlighted in red.**

**Extreme caution** must be used when using this data we are mixing up complaints received and decisions taken in a time period; and retrieving historical data on the number of premature complaints decided by LGO AT in a time period is not straight forward\*\*.

\* For premature decisions made by LGO AT (26(5) AT) Advice given - complain to the council, Forwarded to inv team (26(5) resubb and S.26(5) premature complaint have been added together.

\*\* S.26(5) premature complaint can be updated to Forwarded to inv team (26(5) resubb. for example.

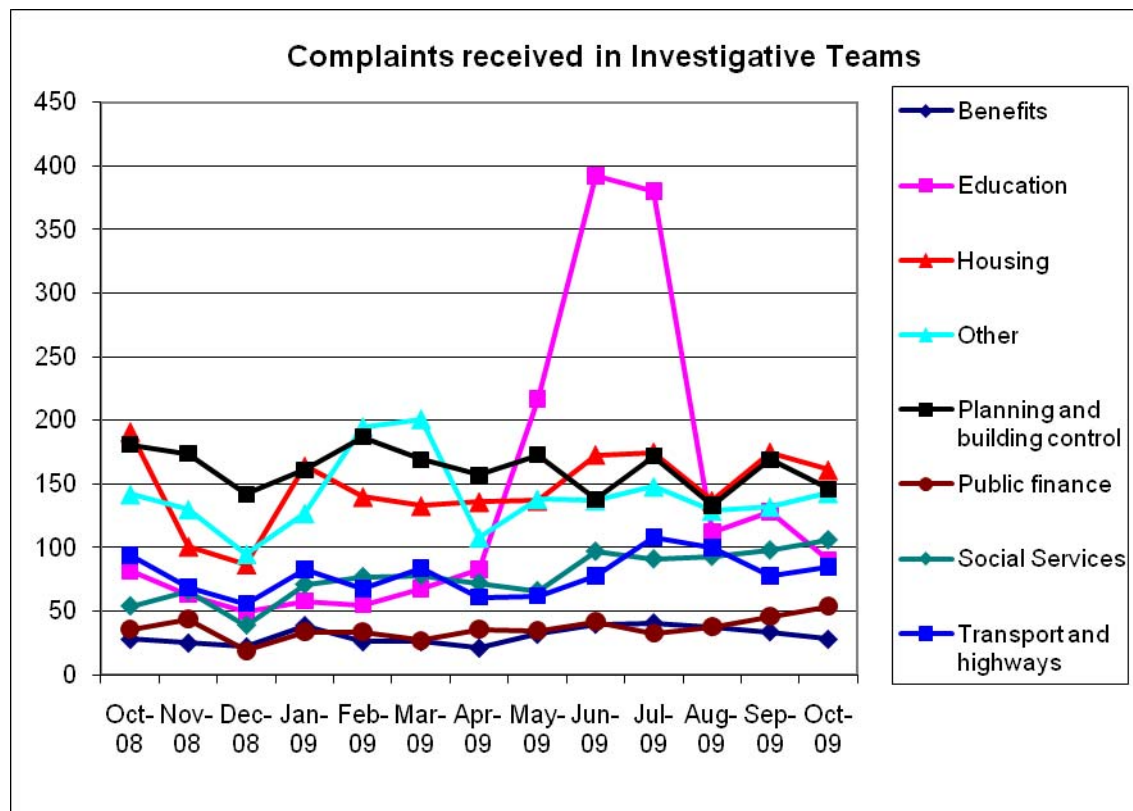


The graphs above are complaints received by the investigative teams under the new arrangements.

## Complaints received

**Table 3: Complaints received by investigative teams by category to end of October 2009**

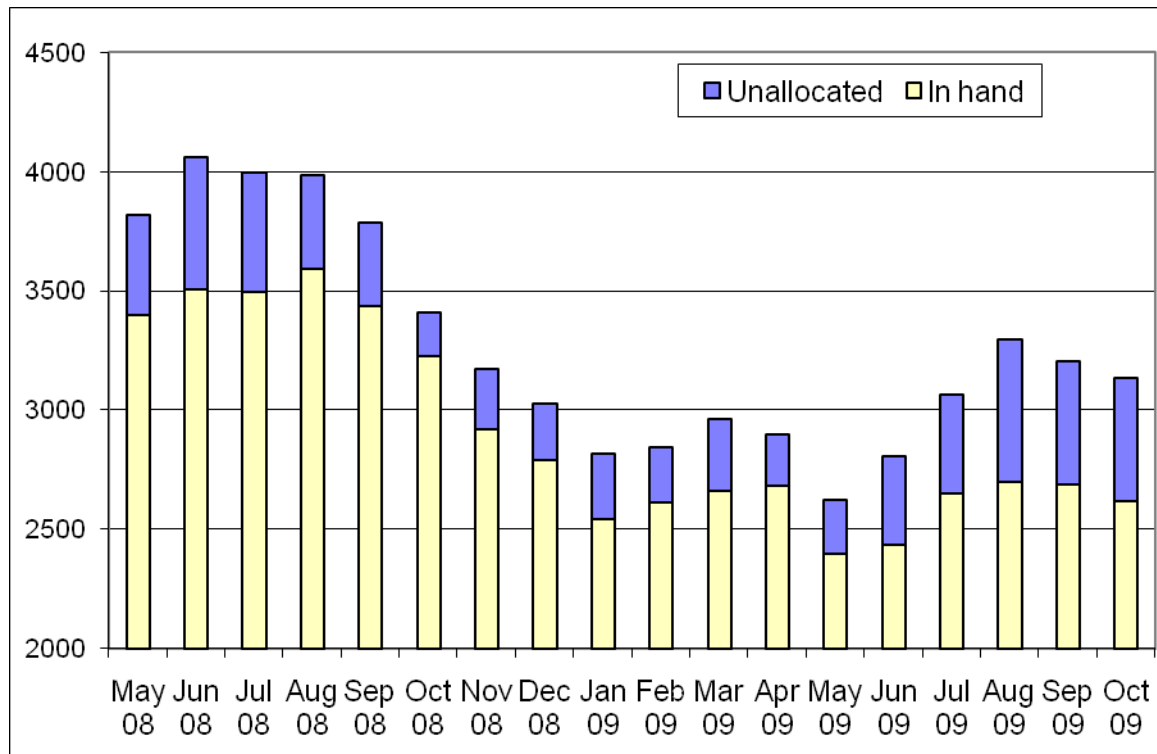
Category	Month				3 month roll				12 month roll			
	A	B	C	Comm	A	B	C	Comm	A	B	C	Comm
<i>Adult Care Services</i>	14	18	24	56	35	64	72	171	151	164	222	537
<i>Benefits</i>	9	9	10	28	33	35	33	101	137	130	124	391
<i>housing benefit</i>	8	7	10	25	30	32	28	90	120	113	99	332
<i>Children Family services</i>	15	15	20	50	44	40	57	141	142	145	193	480
<i>Education</i>	30	29	31	90	129	100	101	330	764	428	525	1717
<i>school admissions</i>	14	10	15	39	81	54	58	193	599	293	374	1266
<i>Transport Highways</i>	32	32	21	85	138	82	53	273	482	296	218	996
<i>parking</i>	17	11	8	36	69	38	19	126	223	123	70	416
<i>Housing</i>	55	52	54	161	186	153	144	483	740	572	500	1812
<i>housing allocations</i>	15	11	12	38	53	33	27	113	195	121	103	419
<i>housing repairs</i>	21	18	25	64	63	44	64	171	240	197	179	616
<i>Other</i>	39	59	45	143	128	169	123	420	501	596	674	1771
<i>antisocial behaviour</i>	11	12	10	33	29	35	27	91	130	132	112	374
<i>Planning</i>	40	53	53	146	125	192	143	460	559	852	634	2045
<i>enforcement</i>	7	6	8	21	20	17	25	62	115	135	108	358
<i>planning applications</i>	28	41	42	111	92	155	98	345	374	609	444	1427
<i>Local taxation</i>	21	14	19	54	50	47	46	143	157	168	148	473
<b>Total</b>	<b>255</b>	<b>281</b>	<b>277</b>	<b>813</b>	<b>868</b>	<b>882</b>	<b>772</b>	<b>2522</b>	<b>3633</b>	<b>3351</b>	<b>3238</b>	<b>10222</b>



## Complaints Workload

**Table 4: Complaints workload at end of October 2009**

	A	B	C	Comm	Prev year
<b>Total complaints allocated to investigators at 31/03/09</b>	723	1,014	941	2,678	3,875
<b>Total complaints allocated to investigators at 31/10/09</b>					
in hand less than 13 weeks	469	586	461	1,516	1,725
in hand between 13 to 26 weeks	264	256	165	685	821
in hand between 26 to 52 weeks	78	134	96	308	510
<b>in hand over 52 weeks</b>	<b>26</b>	<b>39</b>	<b>33</b>	<b>98</b>	<b>163</b>
<b>TOTAL IN HAND</b>	<b>837</b>	<b>1,015</b>	<b>755</b>	<b>2,607</b>	<b>3,219</b>
Per investigator	32.0	40.9	32.2	35.0	
<b>TOTAL UNALLOCATED AT 31/10/09</b>	244	148	123	515	343
unallocated more than 4 wks at 31/10/09	52	19	20	91	77
<b>TOTAL IN HAND, UNALLOCATED AND STOCKPILED</b>	<b>1,081</b>	<b>1,163</b>	<b>878</b>	<b>3,122</b>	<b>3,562</b>
Total complaints per investigator	41.4	46.8	37.4	42.0	



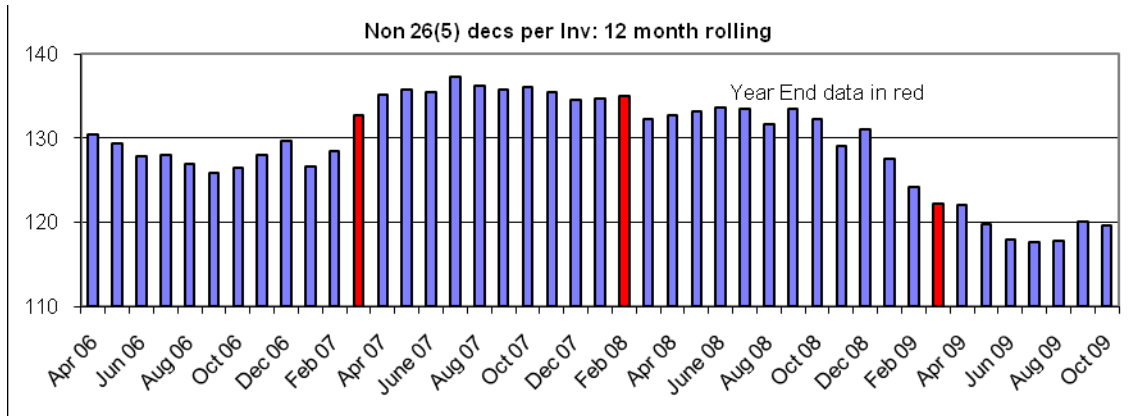
## Complaints Decisions

**Table 5: Decisions**

<b>Month of October 2009</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Prematures	0	0	0	0	0
Outside jurisdiction	37	46	47	130	129
Ombudsman's discretion	48	47	94	189	227
No or insuff evidence of mal	112	139	108	359	508
Local settlement	76	60	53	189	270
Reports (no of complaints)	2	0	3	5	4
<b>Total decisions (ex 26(5)s)</b>	<b>275</b>	<b>292</b>	<b>305</b>	<b>872</b>	<b>1,138</b>
Total decisions	275	292	305	872	1,138
<b>Total decisions (ex 26(5)s): planned</b>	<b>284</b>	<b>284</b>	<b>284</b>	<b>852</b>	
<i>non 26(5) Dec per investigator</i>	<b>10.5</b>	<b>11.7</b>	<b>13.0</b>	<b>11.7</b>	
<b>3 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Prematures	1	0	1	2	0
Outside jurisdiction	130	137	115	382	386
Ombudsman's discretion	207	162	199	568	679
No or insuff evidence of mal	416	438	344	1,198	1,407
Local settlement	243	194	180	617	791
Reports (no of complaints)	13	18	8	39	35
<b>Total decisions (ex 26(5)s)</b>	<b>1009</b>	<b>949</b>	<b>846</b>	<b>2,804</b>	<b>3,298</b>
Total decisions	1,010	949	847	2,806	3,298
<b>Total decisions (ex 26(5)s): planned</b>	<b>1,704</b>	<b>1,704</b>	<b>1,704</b>	<b>5,112</b>	
<i>non 26(5) Dec per investigator</i>	<b>35.9</b>	<b>36.8</b>	<b>32.6</b>	<b>35.1</b>	
<b>12 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Prematures	1	0	7	8	2,625
Outside jurisdiction	489	481	395	1,365	2,077
Ombudsman's discretion	763	623	858	2,244	2,810
No or insuff evidence of mal	1,360	1,469	1,358	4,187	4,983
Local settlement	906	750	744	2,400	2,900
Reports (no of complaints)	40	74	19	133	118
<b>Total decisions (ex 26(5)s)</b>	<b>3,558</b>	<b>3,397</b>	<b>3,374</b>	<b>10,329</b>	<b>12,888</b>
Total decisions	3,559	3,397	3,381	10,337	15,513
<b>Total decisions (ex 26(5)s): planned</b>	<b>3,333</b>	<b>3,333</b>	<b>3,333</b>	<b>10,000</b>	
<i>non 26(5) Dec per investigator</i>	<b>118.4</b>	<b>124.8</b>	<b>116.1</b>	<b>119.6</b>	

**Total decisions (ex 26(5)s): planned**

This year's targets have been used above to indicate if current performance (albeit some/most was in last year) is at a level to meet **this years target**.



## Complaints Decisions

**Table 5a: Decisions to end of October 2009**

### 3 month rolling

#### Investigators in Decisions Bands\*

	A	B	C	Comm	Prev year
35 and above	15	17	10	42	53
between 30 and 34	3	6	9	18	15
between 25 and 29	3	3	2	8	13
less than 25	6	0	6	12	19
Investigators Head Count	27	26	27	80	100

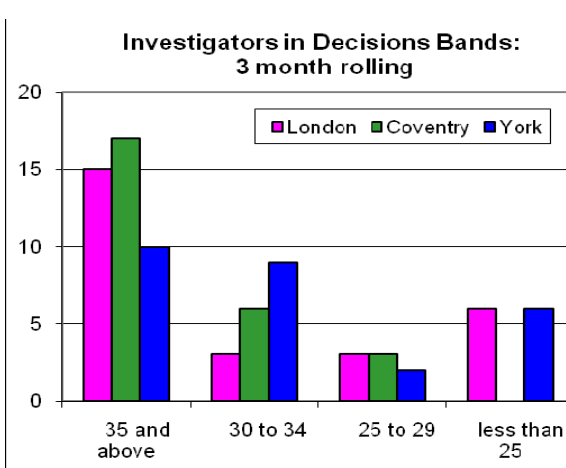
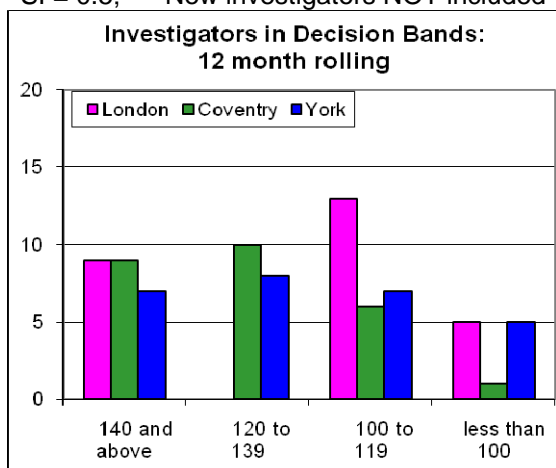
### 12 month rolling

#### Investigators in Decisions Bands\*

	A	B	C	Comm	Prev year
140 and above	9	9	7	25	35
between 120 and 139	0	10	8	18	30
between 100 and 119	13	6	7	26	21
less than 100	5	1	5	11	14
Investigators Head Count	27	26	27	80	100

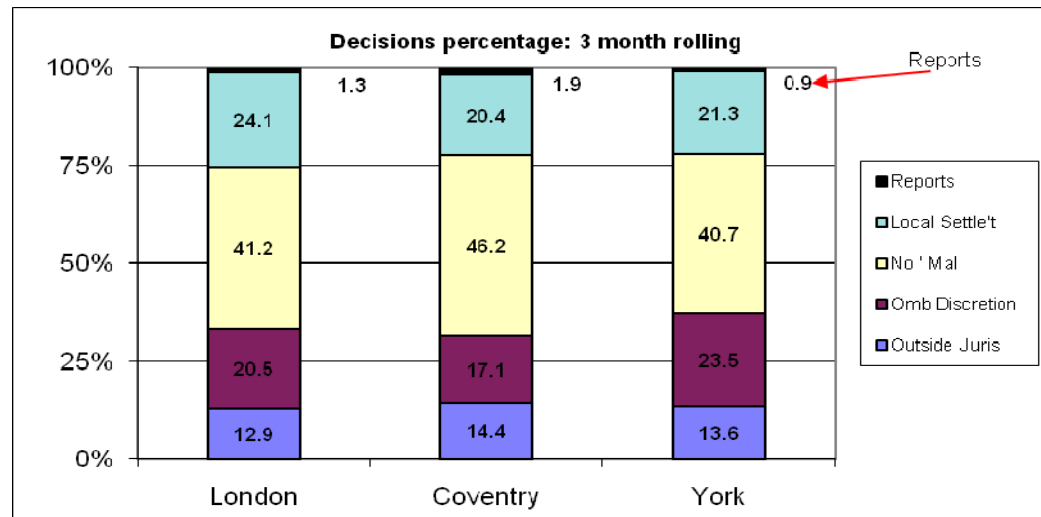
Investigator Decisions Bands\* number of investigators who have taken that number of decisions (excluding 26(5)s adjusted for FTE).

SI = 0.5; New investigators NOT included



The above graphs only have information on investigators in post (also excludes mat leave)  
 The information for **substantive decisions** have been adjusted for FTE (with SI as 0.5)

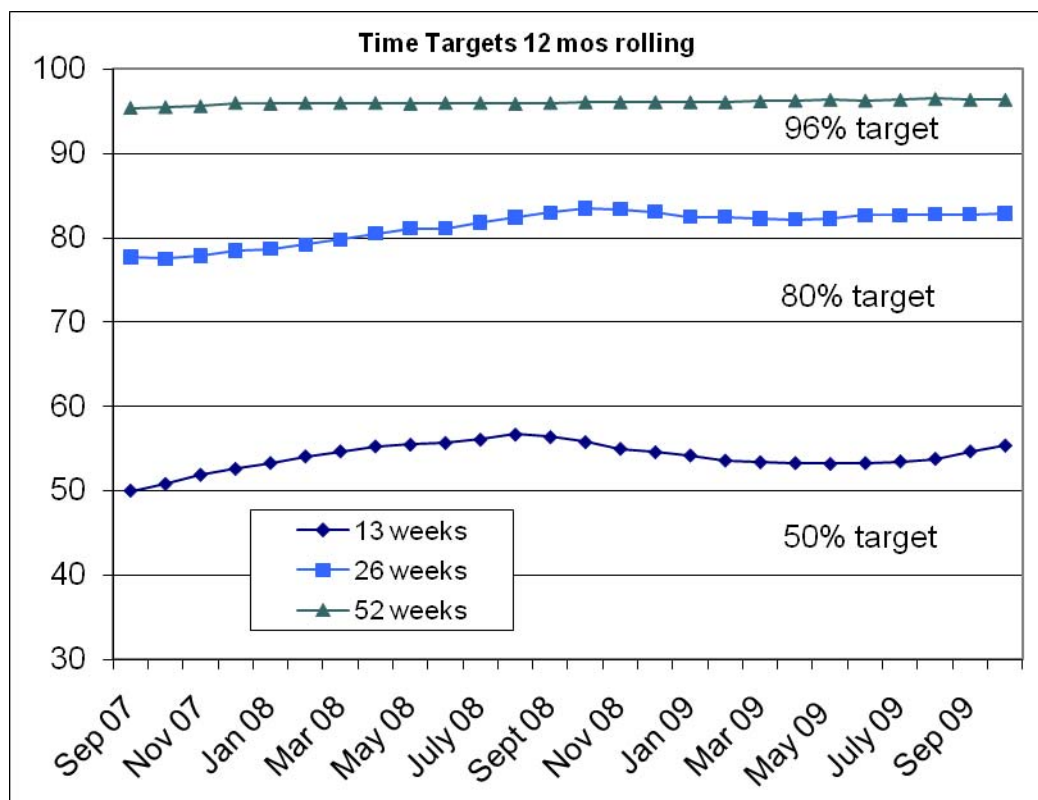
The graph below illustrates the percentage of each decision type by office.  
 The data is the three-month rolling information. In this example, August, September and October 2009.



## Complaints Decisions

Table 6: Times (ex 26(5)s)

Month of October 2009	A	B	C	Comm	Prev year
% in 13 weeks	56.5	48.3	58.4	54.4	47.8
target	50.0	50.0	50.0	50.0	50.0
% in 26 weeks	89.8	79.8	87.9	85.8	84.1
target	80.0	80.0	80.0	80.0	80.0
% in 52 weeks	99.3	97.6	95.7	97.5	97.2
target	96.0	96.0	96.0	96.0	96.0
Average time	14.5	18.1	16.3	16.3	17.1
<b>3 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
% in 13 weeks	64.5	52.7	64.5	60.5	53.7
target	50.0	50.0	50.0	50.0	50.0
% in 26 weeks	92.0	82.3	89.1	87.8	86.5
target	80.0	80.0	80.0	80.0	80.0
% in 52 weeks	99.4	95.6	96.3	97.2	96.9
target	96.0	96.0	96.0	96.0	96.0
Average time	13.2	17.8	14.7	15.2	16.2
<b>12 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
% in 13 weeks	62.0	46.5	57.4	55.4	55.8
target	50.0	50.0	50.0	50.0	50.0
% in 26 weeks	87.2	77.1	84.2	82.9	83.6
target	80.0	80.0	80.0	80.0	80.0
% in 52 weeks	97.9	95.0	96.4	96.4	96.1
target	96.0	96.0	96.0	96.0	96.0
Average time	14.5	19.2	16.4	16.7	16.5



## Reports and Post Decision

Table 7: Reports since 1 April 2009

Team	Total reports issued*	Mal/service failure and injustice	Mal/service failure and inj, remedy agreed	Mal/service failure, no injustice	No maladministration	Further reports
A	16	12	3		1	
B	23	13	8		2	1
C	8	6	1	1		
<b>Commission</b>	<b>47</b>	<b>31</b>	<b>12</b>	<b>1</b>	<b>3</b>	<b>1</b>

\*This total does not include any further reports

**Table 8: Post decision correspondence**

<b>Month of October 2009</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Compliments rec'd in period	9	20	15	44	60
<b>Comebacks received in period</b>	<b>47</b>	<b>25</b>	<b>18</b>	<b>90</b>	<b>105</b>
Comebacks terminated in period	35	31	27	93	97
Comebacks as a % of total decisions	12.8%	10.8%	8.2%	10.5%	8.2%
% of comebacks completed within 28 days	58.8%	61.3%	28.0%	51.1%	67.4%
<b>3 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Compliments rec'd in period	29	54	41	124	169
<b>Comebacks received in period</b>	<b>117</b>	<b>90</b>	<b>87</b>	<b>294</b>	<b>287</b>
Comebacks terminated in period	102	113	92	307	318
Comebacks as a % of total decisions	9.9%	11.1%	10.3%	10.4%	8.3%
% of comebacks completed within 28 days	57.1%	51.9%	37.9%	49.5%	65.3%
<b>Outcome of comebacks 3 moth rolling</b>					
i) Review req: Decision confirmed	82	100	83	265	251
ii) Review req: Dec confirmed: further expl	6	0	5	11	8
iii) Review req: Dec confirmed: new reason	0	0	0	0	2
iv) Review req: Relunched: new information	7	4	0	11	15
v) Review req: Relunched: procedural error	1	0	1	2	4
<b>Unsatisfactory original decision (ii, iii, v)</b>	<b>7</b>	<b>0</b>	<b>6</b>	<b>13</b>	<b>14</b>
<i>Unsatisfactory as % of total decisions</i>	0.6%	0.0%	0.5%	0.4%	0.3%
vi) Out of time	0	0	0	0	3
vii) Service complaint: not upheld	4	5	2	11	2
viii) Service Complaint: upheld in part	0	2	0	2	0
ix) Service complaint: upheld in full	2	0	0	2	0
x) Non-substantive response sent	0	2	1	3	1
<b>12 month rolling</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>Comm</b>	<b>Prev year</b>
Compliments rec'd in period	109	222	164	495	785
<b>Comebacks received in period</b>	<b>407</b>	<b>370</b>	<b>329</b>	<b>1106</b>	<b>1187</b>
Comebacks terminated in period	442	428	360	1,230	1,234
Combacks as a % of total decisions	12.1%	11.6%	10.0%	11.2%	7.8%
% of comebacks completed within 28 days	59.6%	53.1%	61.1%	57.8%	62.5%