

# COMPLAINTS AND INFORMATION GOVERNANCE

## 2017/18 AND CURRENT POSITION

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Head of Information Governance  
25 February 2019

# Complaints Context

Change complaints procedure from 3 to 2 stages  
28 August 2018

- Stage 1 – Divisional Director authority to sign off
- Stage 2 - Corporate Complaints for Chief Exec
- Improve quality and speed of resolution
- 20 working days at each stage

# Anticipated Consequences

- Improved quality and resolution at stage 1
- Increased escalation to final stage
- Workload final stage investigators
  - Improve time for residents resolution
- Ombudsman – increase volume short term if quality not addressed

# Key Statistics: Complaints

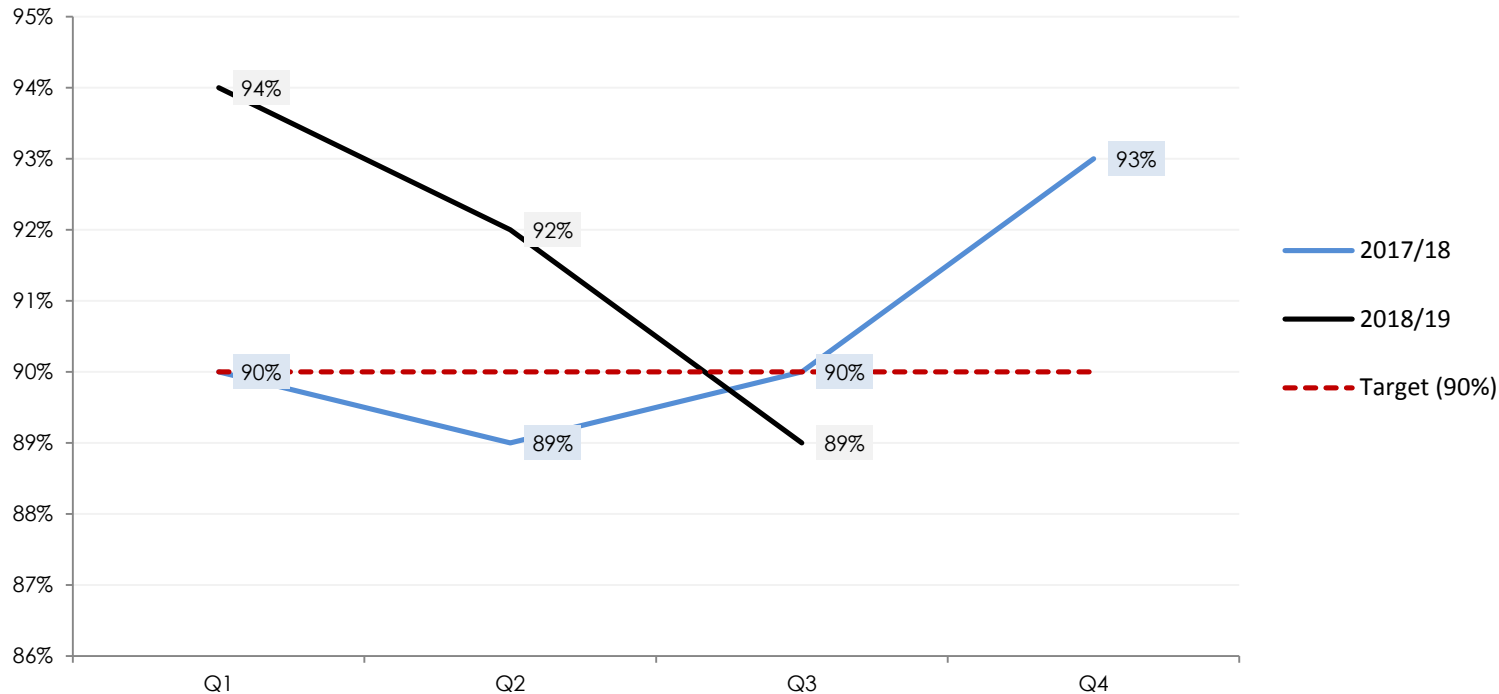
2017/18		2018/19 Q3
Stage 1 Complaints 3238		Stage 1 Complaints 774
Stage 1 On Time 91%		Stage 1 On Time 89%
Final Stage Complaints 161		Final Stage Complaints 79
Final Stage On Time 83%		Final Stage On Time 56%
Escalation Rate to Final Stage 4.97%		Escalation Rate to Final Stage 10.21%

# Key Statistics: Complaints

Stage 1	2017/18		2018/19 Q3
Stage 1	% Upheld /Part Upheld 41%		% Upheld /Part Upheld 46%
	Average Days To Respond 8		Average Days To Respond 15
Final Stage	% Upheld /Part Upheld 38%		% Upheld /Part Upheld 48%
	Average Days To Respond 21		Average Days To Respond 26

# Stage 1 Complaints Trends over Time (FY / FQ)

Complaint Response in Target (%)

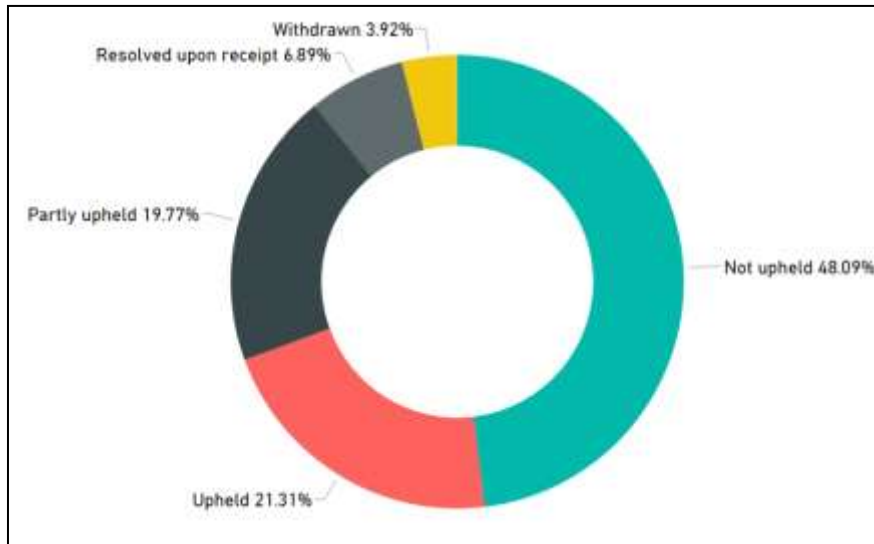


Complaint Count(No.)

FinancialQuarter	2017/18	2018/19
Q1	759	909
Q2	1030	762
Q3	674	775
Q4	776	

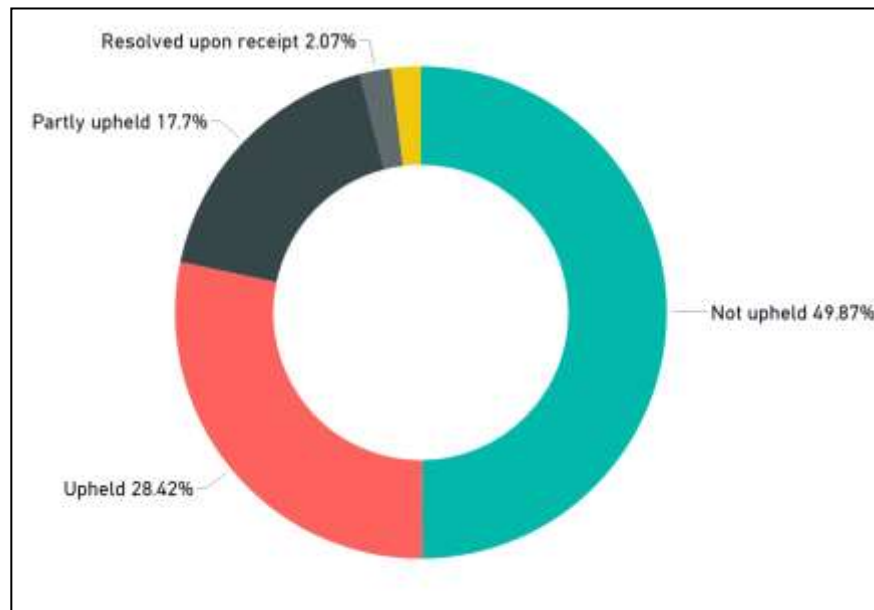
# Stage 1 Complaint Outcomes

2017/18



Outcome	Count
Not upheld	1557
Upheld	690
Partly upheld	640
Resolved upon receipt	223
Withdrawn	127
Resolved at first point of contact	1

2018/19 Q3



Outcome	Count
Not upheld	386
Upheld	221
Partly upheld	137
Resolved upon receipt	16
Withdrawn	15

# Stage 1 Top 10 Complaint Categories

2017/18

THH Repairs	318
Domestic refuse	200
Council Tax	178
Lettings	160
ASB and THEOs	139
Dry recycling	133
THH Housing Management	116
Waste and recycling other	103
Parking Enforcement	85
THH Estate Parking	83

2018/19 Q3

THH Repairs	108
Domestic refuse	48
Waste and recycling other	45
Council Tax	27
THH Housing Service Centre	26
Dry recycling	25
Other Housing Options Issues	25
THH Estate Parking	24
Lettings	22
THH Leasehold Service	21

## Stage 1 Complaints: Top 20 Complaint Categories by Complaint Cause

Classification category	1st Time Service Request via Complaint or Enquiry	Charges	Failure / Delay to deliver service	General Enquiry	Legal / Regulatory	Non Council Issues	Other service issues	Payments	Policy / Procedure	Poor communications	Poor quality of work or service	Rudeness or conduct
THH Repairs	2		128	5			58			19	94	12
Domestic refuse	21		136				10				26	7
Council Tax		78	14	3			6	23	6	25	13	10
Lettings			17	16			47		8	36	23	13
ASB and THEOs	21		2	6		1	7	1	94	1	1	5
Dry recycling	6		89	1		1	6		21	3	4	2
THH Housing Management	2		27	12		1	24	1	26	10	8	5
Waste and recycling other	16		26	2			15		19		9	16
Parking Enforcement	2	1	18	11			7		8	2	19	17
THH Estate Parking	1	1	39	5			20		4	5	8	
Benefits Claimants		14	13	1	1			10	17	12	7	5
Parking Permits		11	8	5			2	8	34	3	6	2
THH Housing Service Centre	1		25				12		3	3	12	10
Food and garden recycling	6		47				2		2	2	3	
Fostering				1					61			
Parking Appeals		4	7	7	1		2	6	25	1	6	1
Road maintenance and repairs	11		22				3				15	
THH Leasehold Service		8	14	1			9	2	2	5	9	
THH Capital Delivery	1		14	4			6		1	1	15	2
Street cleansing	13		25			1					1	1
<b>Total</b>	<b>103</b>	<b>117</b>	<b>671</b>	<b>80</b>	<b>2</b>	<b>4</b>	<b>236</b>	<b>51</b>	<b>331</b>	<b>128</b>	<b>279</b>	<b>108</b>

## Stage 1: 2017 / 18

Classification category	Count	RoT %	U / PU %
THH Repairs	318	91 %	67 %
Domestic refuse	200	95 %	71 %
Council Tax	178	90 %	35 %
Lettings	160	94 %	29 %
ASB and THEOs	139	91 %	16 %
Dry recycling	133	92 %	68 %
THH Housing Management	116	80 %	28 %
Waste and recycling other	103	94 %	65 %
Parking Enforcement	85	100 %	5 %
THH Estate Parking	83	95 %	37 %
Benefits Claimants	80	94 %	41 %
Parking Permits	79	100 %	8 %
THH Housing Service Centre	66	86 %	61 %
Food and garden recycling	62	98 %	77 %
Fostering	62	100 %	
Parking Appeals	60	98 %	18 %
Road maintenance and repairs	51	86 %	49 %
THH Leasehold Service	50	100 %	32 %
THH Capital Delivery	44	89 %	64 %
Street cleansing	41	98 %	37 %
<b>Total</b>	<b>2110</b>	<b>93 %</b>	<b>44 %</b>

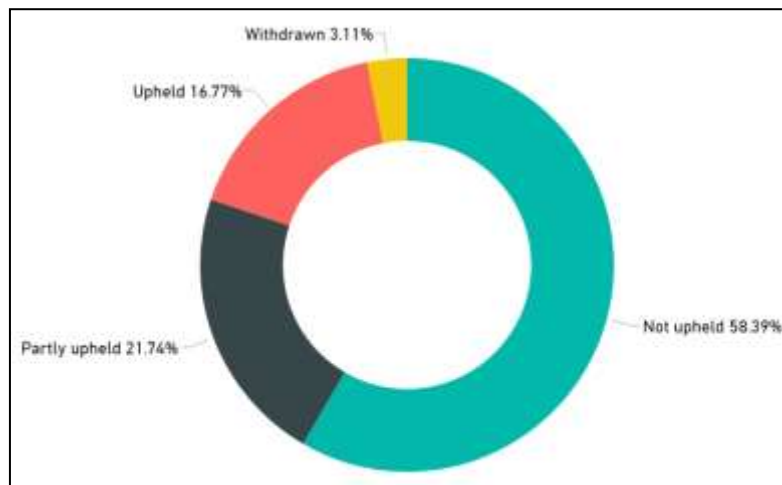
Classification category	1st Time Service Request via Complaint or Enquiry	Charges	Failure / Delay to deliver service	General Enquiry	Legal / Regulatory	Other service issues	Payments	Policy / Procedure	Poor communications	Poor quality of work or service	Rudeness or conduct
THH Repairs	1		58			1			3	36	9
Domestic refuse	4		30						2	12	
Waste and recycling other	12		15			3	1	1	1	11	1
Council Tax		2	13		1		4	3	3	1	
THH Housing Service Centre			15							7	4
Dry recycling	2		20						1	2	
Other Housing Options Issues			3	2		8		1	6	2	3
THH Estate Parking	1		17							6	
Lettings			11	1		2		3	4	1	
THH Leasehold Service		2	12		1					6	
Benefits Claimants		4	4				1	4	5	2	
THH Housing Management	1		8	2		3				5	1
Bulk waste	1		15						2	1	
Parking Permits		4		3				8		4	
Parking Appeals	1		2				1	11		2	1
General street cleansing	2		3	1					1	6	
Parking Enforcement			4					2		3	3
Pest Control	4		3			2			2		
Noise Nuisance	1		3	1					2	2	1
PCN Debt Recovery							1	9			
Road maintenance and repairs	3				1				1	5	
<b>Total</b>	<b>33</b>	<b>12</b>	<b>236</b>	<b>10</b>	<b>3</b>	<b>19</b>	<b>8</b>	<b>42</b>	<b>33</b>	<b>114</b>	<b>23</b>

## Stage 1: 2018 / 19 Q3

Classification category	Count	RoT %	U / PU %
THH Repairs	108	92 %	67 %
Domestic refuse	48	90 %	79 %
Waste and recycling other	45	96 %	58 %
Council Tax	27	100 %	44 %
THH Housing Service Centre	26	100 %	88 %
Dry recycling	25	80 %	80 %
Other Housing Options Issues	25	80 %	20 %
THH Estate Parking	24	96 %	46 %
Lettings	22	82 %	27 %
THH Leasehold Service	21	90 %	43 %
Benefits Claimants	20	100 %	25 %
THH Housing Management	20	85 %	55 %
Bulk waste	19	84 %	53 %
Parking Permits	19	100 %	16 %
Parking Appeals	18	100 %	22 %
General street cleansing	13	69 %	31 %
Parking Enforcement	12	100 %	17 %
Pest Control	11	100 %	18 %
Noise Nuisance	10	70 %	20 %
PCN Debt Recovery	10	100 %	
Road maintenance and repairs	10	70 %	50 %
<b>Total</b>	<b>533</b>	<b>91 %</b>	<b>51 %</b>

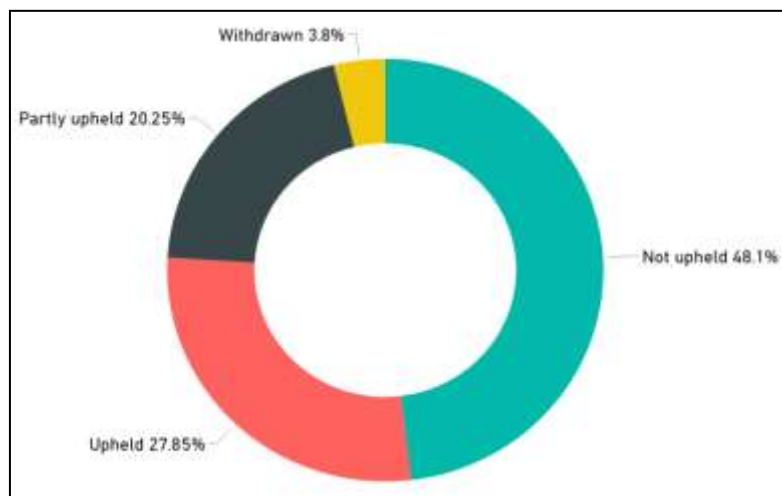
# Final Stage Complaint Outcomes

2017/18



Outcome	Count
Not upheld	95
Partly upheld	35
Upheld	27
Withdrawn	5

2018/19 Q3



Outcome	Count
Not upheld	38
Upheld	22
Partly upheld	16
Withdrawn	3

# Final Stage Top 10 Complaint Categories

2017/18

THH Repairs	28
Lettings	10
Benefits Claimants	9
THH Leasehold Service	9
Personalised Disabled Bay	8
THH Capital Delivery	8
Development Management	6
Parking Appeals	6
Council Tax	5
THH Leasehold RTB and Resales	5

2018/19 Q3

THH Repairs	9
Other Housing Options Issues	8
Parking Permits	7
Benefits Claimants	6
Domestic refuse	4
Parking Appeals	4
Parking Enforcement	3
Corporate Property and Capital Delivery Other	2
Dry recycling	2
Homeless	2

# Final Stage Complaints: Top 20 Complaint Categories by Complaint Cause

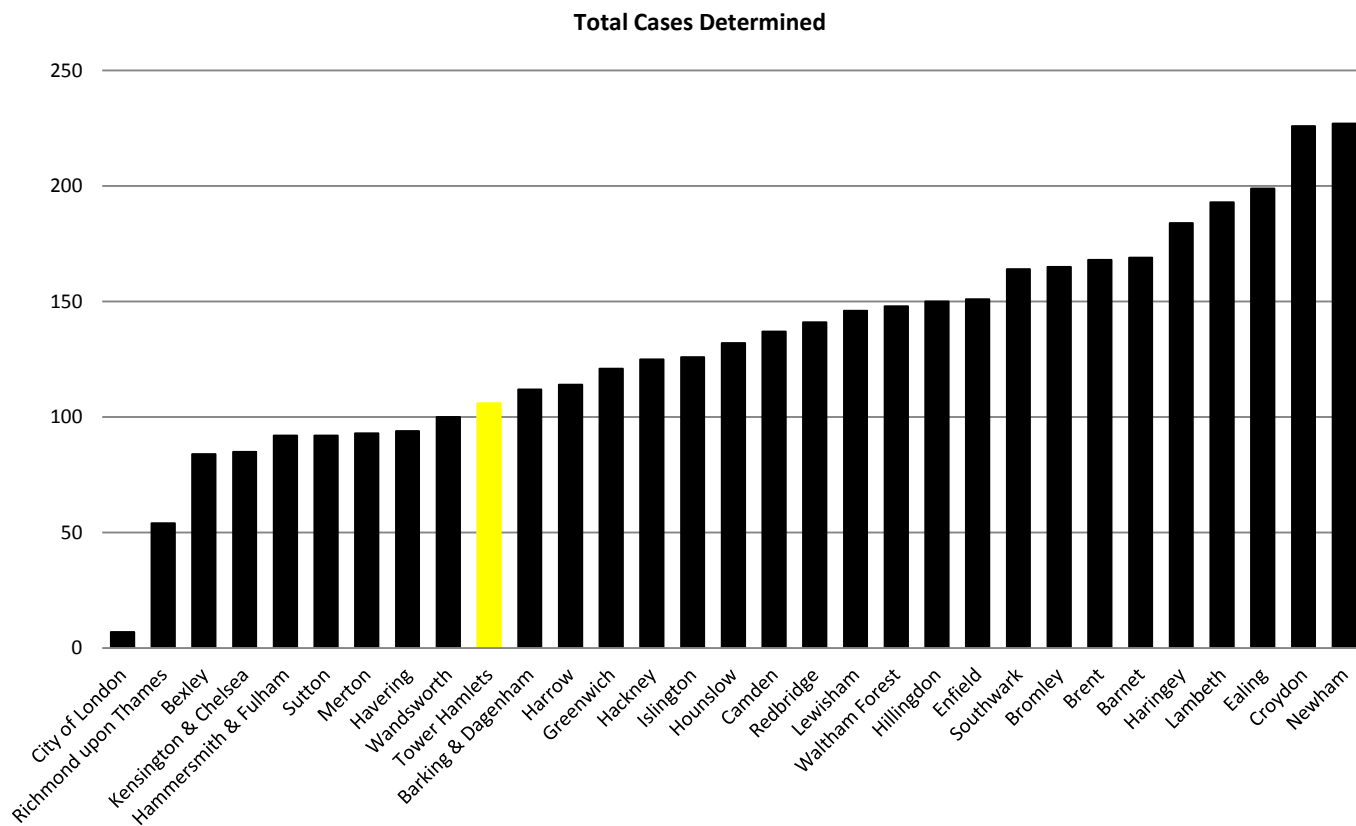
Final Stage: 2017 / 18

Classification category	1st Time Service Request via Complaint or Enquiry	Charges	Failure / Delay to deliver service	General Enquiry	Legal / Regulatory	Non Council Issues	Other service issues	Payments	Policy / Procedure	Poor communications	Poor quality of work or service	Rudeness or conduct	Total	Classification category	Count	RoT %	U / PU %
THH Repairs			7				5			3	13		28	THH Repairs	28	82 %	64 %
Lettings							3		2	3	1	1	10	Lettings	10	80 %	30 %
Benefits Claimants					1				3	3	1	1	9	Benefits Claimants	9	89 %	33 %
THH Leasehold Service			3				1	1		2	2		9	THH Leasehold Service	9	44 %	44 %
Personalised Disabled Bay							1		7				8	Personalised Disabled Bay	8	100 %	13 %
THH Capital Delivery	1				1		1				5		8	THH Capital Delivery	8	88 %	63 %
Development Management				1			1			3	1		6	Development Management	6	100 %	17 %
Parking Appeals			1	1					3	1			6	Parking Appeals	6	100 %	17 %
Council Tax		3								1	1		5	Council Tax	5	100 %	60 %
THH Leasehold RTB and Resales			4								1		5	THH Leasehold RTB and Resales	5	100 %	20 %
Legal Services			2		1				1				4	Legal Services	4	75 %	25 %
Other Housing Options Issues			1			1			2				4	Other Housing Options Issues	4	100 %	50 %
Parking Enforcement											2	2	4	Parking Enforcement	4	75 %	50 %
Parking Permits		1							3				4	Parking Permits	4	75 %	
THH Housing Management			1	1			1			1			4	THH Housing Management	4	75 %	50 %
PCN Debt Recovery			1						1			1	3	PCN Debt Recovery	3	100 %	33 %
Pollution	1	1								1			3	Pollution	3	100 %	67 %
THH Estate Services							1	1		1			3	THH Estate Services	3	100 %	33 %
Customer relations					1		1						2	Customer relations	2		
Domestic refuse	1		1										2	Domestic refuse	2		100 %

Final Stage: 2018 / 19 Q3

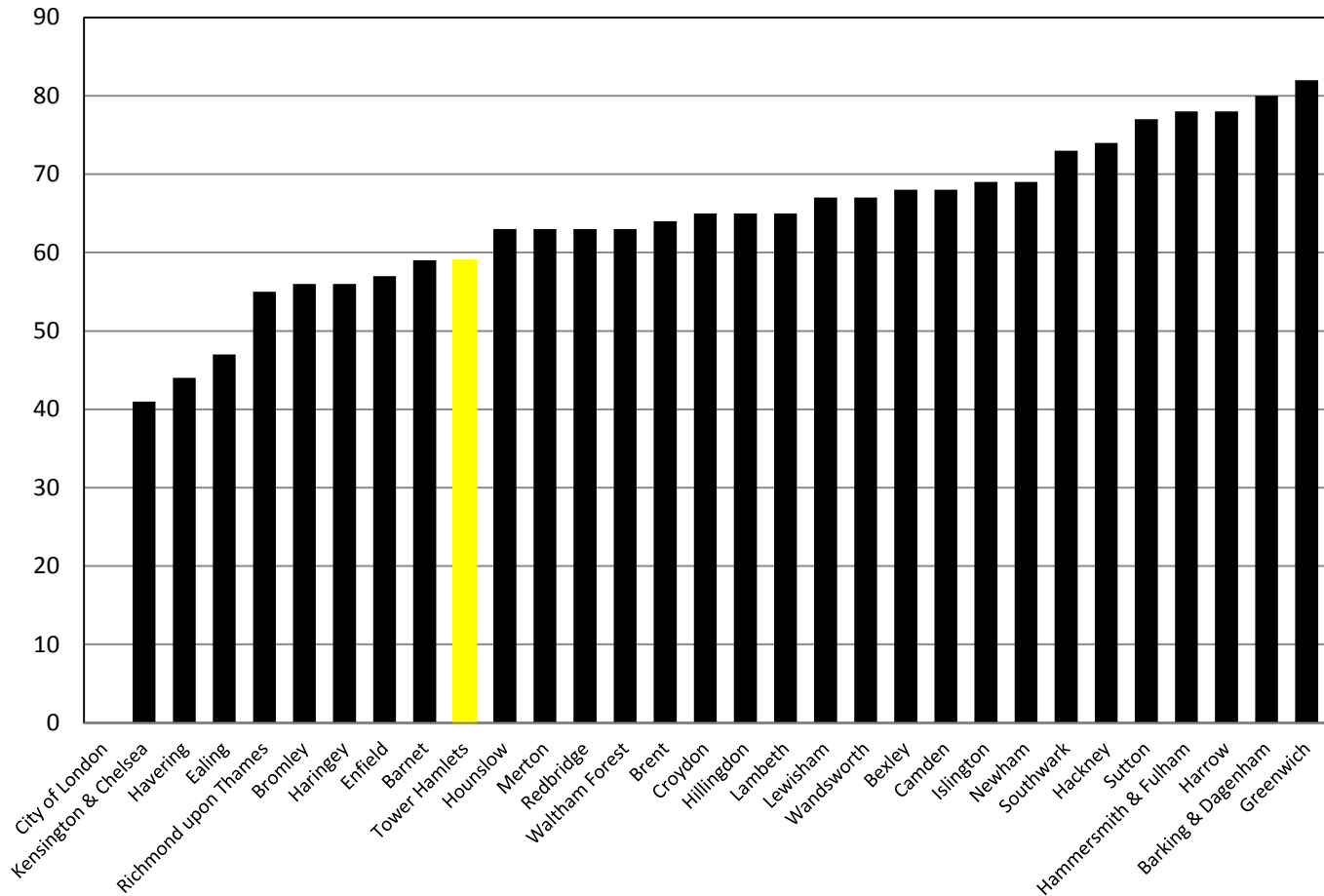
Classification category	1st Time Service Request via Complaint or Enquiry	Charges	Failure / Delay to deliver service	General Enquiry	Legal / Regulatory	Non Council Issues	Other service issues	Payments	Policy / Procedure	Poor communications	Poor quality of work or service	Rudeness or conduct	Total	Classification category	Count	RoT %	U / PU %
THH Repairs			7								1	1	9	THH Repairs	9	33 %	33 %
Other Housing Options Issues			1	2		1	2		1		1		8	Other Housing Options Issues	8	63 %	75 %
Parking Permits	1								5	1			7	Parking Permits	7	86 %	43 %
Benefits Claimants			2					1		2	1		6	Benefits Claimants	6	100 %	33 %
Domestic refuse			3								1		4	Domestic refuse	4	100 %	50 %
Parking Appeals									2		1	1	4	Parking Appeals	4	75 %	100 %
Parking Enforcement							1					2	3	Parking Enforcement	3		33 %
Corporate Property and Capital Delivery Other	1						1						2	Corporate Property and Capital Delivery Other	2	50 %	50 %
Dry recycling			2										2	Dry recycling	2	50 %	100 %
Homeless			2										2	Homeless	2		50 %
PCN Debt Recovery					1			1					2	PCN Debt Recovery	2	50 %	100 %
Permit Transfer Scheme									2				2	Permit Transfer Scheme	2	50 %	50 %
THH Capital Delivery											1	1	2	THH Capital Delivery	2		100 %
THH Estate Parking			1								1		2	THH Estate Parking	2	50 %	50 %
THH Estate Services			1								1		2	THH Estate Services	2	50 %	
THH Housing Management			1				1						2	THH Housing Management	2	50 %	
THH Leasehold RTB and Resales			1								1		2	THH Leasehold RTB and Resales	2		100 %
Abandoned Vehicles			1										1	Abandoned Vehicles	1		100 %
Affordable Housing and Private Sector Housing				1									1	Affordable Housing and Private Sector Housing	1	100 %	
Arts and Events		1											1	Arts and Events	1	100 %	

# Benchmarking



# Benchmarking

Percentage Upheld



# Ombudsman Stage Top 10 Complaint Categories

2017/18

THH Repairs	10
Lettings	4
Other Housing Options Issues	4
Benefits Claimants	3
Legal Services	3
Parking Appeals	3
PCN Debt Recovery	3
THH Leasehold RTB and Resales	2
ASB and THEOs	1
Bulk waste	1

2018/19 Q3

THH Repairs	3
Other Housing Options Issues	2
Planning Development Management	2

# Information Governance Context

General Data Protection Regulation and Data Protection Act – May 2018

- Much organisational preparation 2017/18 and ongoing compliance work
- Reduced time for Subject Access Requests
- Additional Data Subject Rights Requests

# Key Statistics: FOI

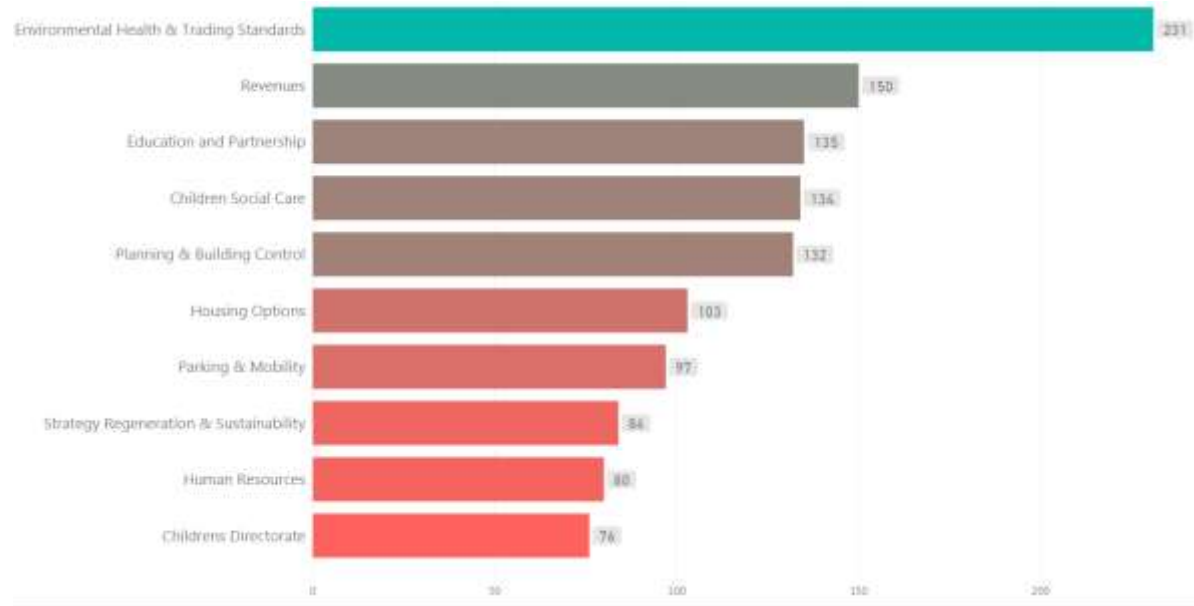
2017/18		2018/19 Q3
FOI / EIR Requests 2121		FOI / EIR Requests 491
Responded On Time 96%		Responded On Time 89%
FOI /EIR Reviews 53		FOI /EIR Reviews 10
Responded On Time 87%		Responded On Time 70%
Escalation Rate 2.5%		Escalation Rate 2%
Subject Access Requests 211		Subject Access Requests 60
Responded On Time 89%		Responded On Time 95%
ICO cases 6		ICO cases 2

# Average Days to Respond

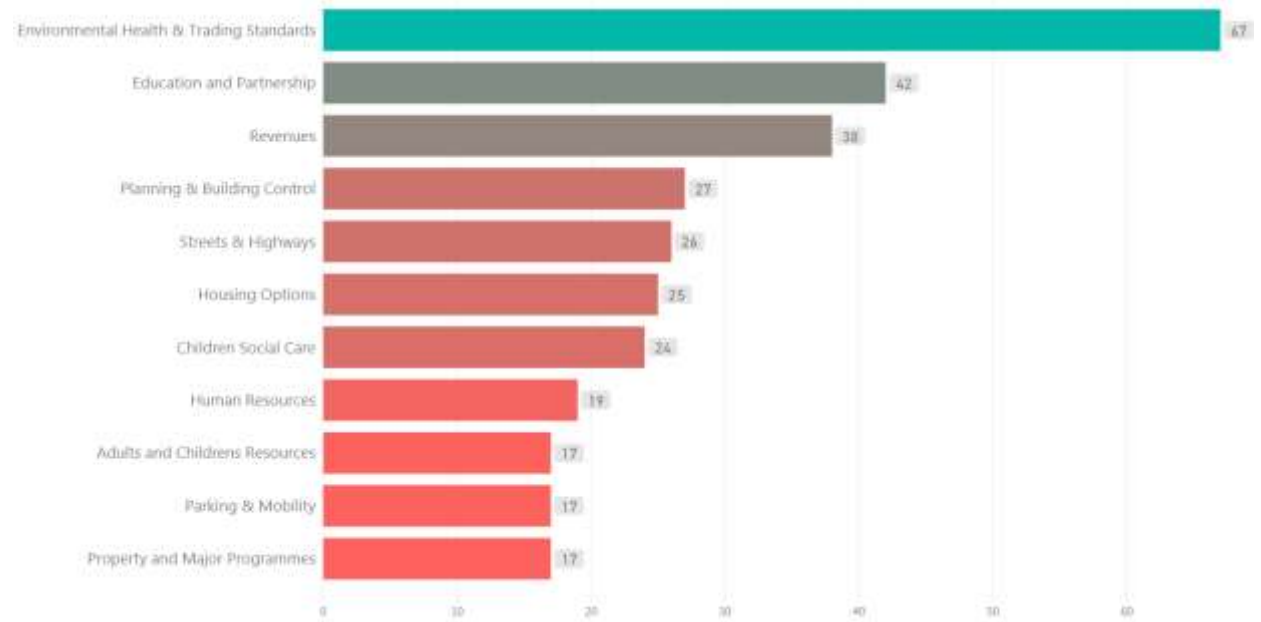
	2017/18		2018/19 Q3
FOI/EIR	14.3		14.2
FOI Review	18.8		22
SAR	19		14.6

# FOI Request Top 10 Divisions

2017/18



2018/19 Q3



Any Questions?