

Complaints Learning and Performance

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1. PURPOSE OF THE REPORT

1.1 To provide SMT with an update on Housing complaints performance.

2. REPORT AND EXECUTIVE SUMMARY

- 2.1 This report gives SMT an overview of the Housing performance on complaints during quarter 4 and for the year 2016-17.
- 2.2 The number of complaints received by the Housing has decreased in the last 3 years which can be seen as positive indication on improvements in the quality of services provided. This could arguably also mean that we are getting better in identifying a complaint from a request for service or informal complaint through the council's corporate complaints procedure.

3. ANALYSIS OF COMPLAINTS

3.1 The number of complaints for 2016-17 has decreased compared to 2015-16. The same can be said for quarter 4 performance. However, the number of cases progressing to stage 2 has increased. Housing performance in relation to response times both cumulatively and quarterly for quarter 4 has improved compared to the same period in 2015-16. Quarter 4 has also seen a reduction in complaints volume and decline on response times compared to the first 3 quarters of 2016/17.

Table 1- Housing complaints volume by quarter

Quarter	Stage 1	Stage 2	Ombudsman
1	42	7	2
2	35	4	1
3	19	5	2
4	18	3	1
Grand Total	114	19	6

Table 2- Housing complaints average response time by quarter (working days)

Quarter	Stage 1	Stage 2	Ombudsman
1	16	31	62
2	16	16	12
3	20	3	44
4	22	35	
Grand Total	17	25	45

3.2 Cumulative to quarter 4 complaints Information and performance.

(Please refer to appendix A, B and C for detailed information and performance on Stage 1, Stage 2 and Ombudsman complaints, including a breakdown by Service area).

- 3.2.1 There were 279 corporate complaints in 2016-17, 139 of which were for Housing (compared to 213 Housing cases in 2015-16. This represents a 34% reduction of Housing cases year on year). Housing complaints therefore represents 49.8% of corporate complaints. This was a consistent improvement from quarter 2 (50.9%) and quarter 3 (50%).

Table 3- Corporate complaints for 2016-17

Category	Housing		Non Housing		Grand Total
Stage 1	114	50.0%	114	50.0%	228
Stage 2	19	47.5%	21	52.5%	40
Ombudsman	6	54.5%	5	45.5%	11
Grand Total	139	49.8%	140	50.2%	279

- 3.2.2 The most cited reason for complaints during the period are delays in repairs, poor workmanship, ASB, conduct of staff and condition of council property which is broadly the same for the previous year.
- 3.2.3 There has been a 41% reduction on Stage 1 complaints in 2016-17 compared to 2015-16 (193 cases). Stage 1 complaints volume has also gone down between quarters 1 to quarter 4. The response time on Stage 1 complaints has improved by 10% year on year (2016-17 17days, 2015-16 19days). Current year's Stage 1 response times were at its best during quarters 1 & 2 at 16 days and fell at 22 days in quarter 4.
- 3.2.4 In 2016-17, a total of 19 complaints have progressed to Stage 2 across housing which is 19% increase compared to 2015-16 when only 16 Stage 2 cases were received. 12 Stage 2 cases have been responded to with an average of 25 working days. This is an improvement in response time compared to 2015-16 when it took an average of 30 working days to respond to 16 Stage 2 cases.
- 3.2.5 The Housing service has received 6 Ombudsman complaints (1 case received in quarter 4). 4 of these were responded to by quarter 4 with an average response time of 45 working days, which is an improvement compared to 2015-16 when it took the service an average of 83 working days for the same period.
- 3.2.6 The Housing Service took an average of 19 working days to respond to all complaints in 2016-17 (9% improvement on response time from 2015-16 when it took the service 21 working days). 83% of the complaints received in 2016-17 (115 cases) have been responded to by end of quarter 4, which has left 24 cases outstanding.

Table 4 – Housing complaints outstanding at the end of Quarter 4 2016-17

Service Area	Stage 1	Stage 2	Ombudsman	Total
Asset Management Team	13	5	2	20
Housing Management	2	2		4
Housing Choices				
HRA Business Support Team				
Grand Total	15	7	2	24

- 3.2.7 Out of the 115 complaints responded to, 51 (44%) of these were responded to within 10 working days. An improvement from the 2015-16 when 85(40%) out of 128 cases have been responded within timescale.

Table 5– Housing complaints responded within timescale (10 working days)

Contact Category	2016-17		Total	2015-16		Total
	on time	overdue		on time	overdue	
Stage 1	45	54	99	82	111	193
Stage 2	5	7	12	2	14	16
Ombudsman	1	3	4	1	3	4
Grand Total	51	64	115	85	128	213

3.3 Quarter 4 information and performance.

3.3.1 There were 48 corporate complaints received in quarter 4 of 2016-17. The Housing service received 22 complaints during the quarter (39 Housing complaints received in the same period in 2015-16 which is a huge 44% reduction in housing related cases).

Table 6 – Corporate complaints during Quarter 4 2016-17

Category	Housing		Non Housing		Grand Total
Stage 1	18	48.6%	19	51.4%	37
Stage 2	3	33.3%	6	66.7%	9
Ombudsman	1	50.0%	1	50.0%	2
Grand Total	22	45.8%	26	54.2%	48

3.3.2 The most cited reason for Housing complaints during quarter 4 were delays in repairs, condition of council property & poor workmanship. Further breakdown is available on Appendix A, B & C.

3.3.3 The same with the overall 2016/17 performance, there was 48% reduction of Housing Stage 1 complaints in quarter 4 compared to the same period in 2015/16 when there was 39 cases received. The response time for quarter 4 2016-17 has greatly improved by 50% at 23 days, compared to 2015-16 when the response time was at 44 days.

3.3.4 During quarter 4 of 2016-17, a total of 3 complaints have progressed to Stage 2 across housing which is 50% increase compared to the same period 2015-16 when only 2 Stage 2 cases were received. There were 2x Stage 2 cases that may have been prevented had we made sure that a prompt and adequate response was provided. In addition, clear coordination and communication with the customer would have aided in resolving these complaints during Stage 1.

3.3.5 The Housing Service took an average of 23 working days to respond to 12 complaints during quarter 4 (5% improvement on response time from 2015-16 when it took the service an average of 48 working days to respond to 39 complaints). 54% of the complaints received during quarter 4 2016-17 (12 cases) have been responded to by end of the quarter.

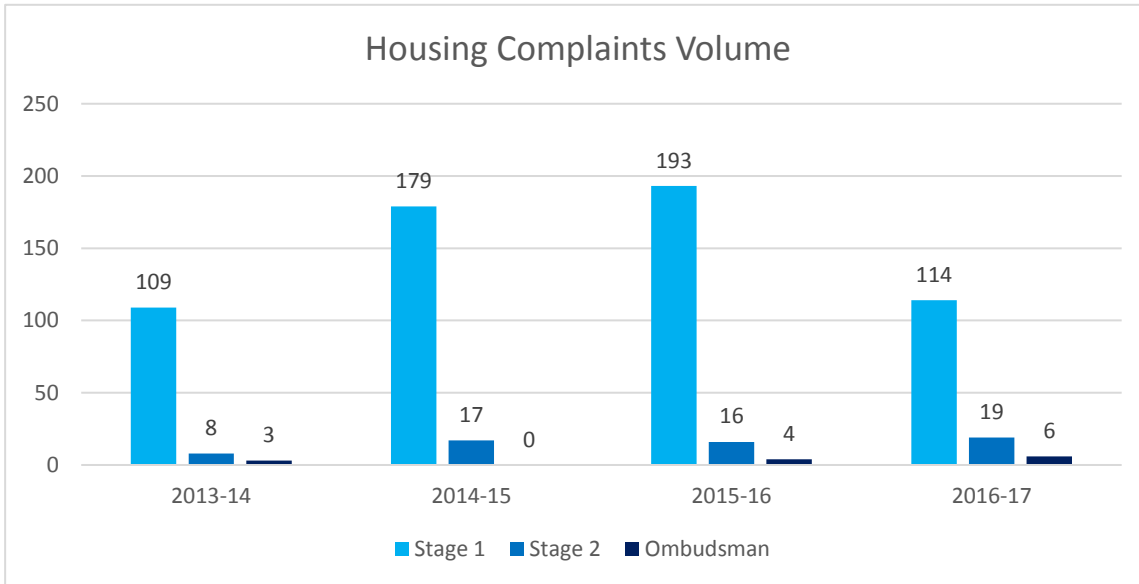
3.3.6 Of these 12 complaints, 33% were responded to within 10 working days. An improvement from 2015-16 when 12 (30%) out of 39 cases have been responded within timescale. These can be broken down further by case type on Table 5. Further breakdown by service area also available on the Appendices.

Table 7– Housing complaints responded within timescale (10 working days)

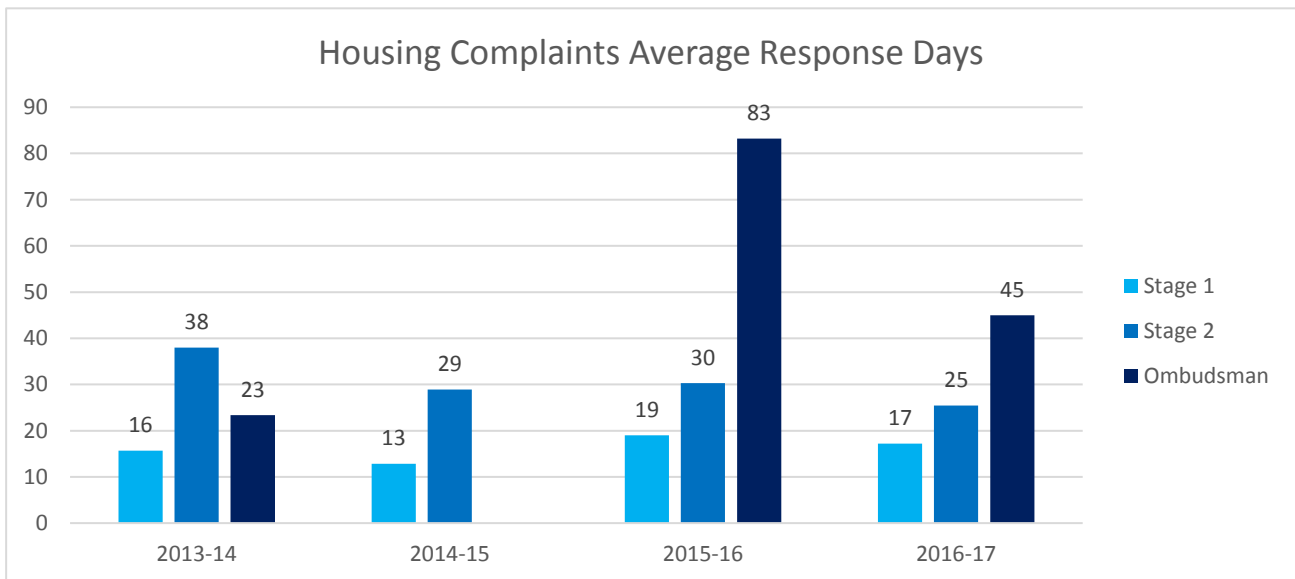
Contact Category	2016-17		Total	2015-16		Total	Grand Total
	on time	overdue		on time	overdue		
Stage 1	4	7	11	11	24	35	46
Stage 2		1	1	1	1	2	3
Ombudsman					2	2	2
Grand Total	4	8	12	12	27	39	51

3.4 Complaints Direction of Travel

3.4.1 Overall, Housing complaints has decreased dramatically in 2016-17 compared to the previous 2 years. This can be seen as a positive indication from customers on the quality of housing services provided during the current year.

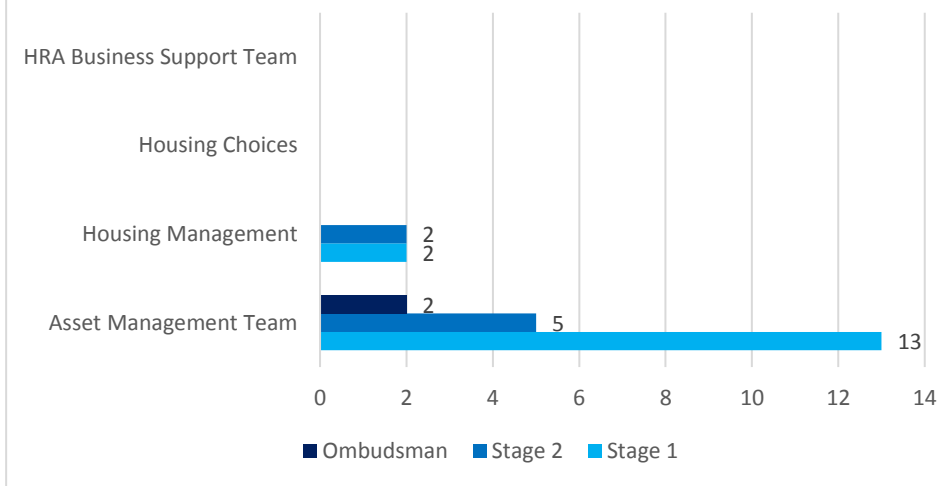


3.4.2 2016-17 average response days for Stage 1, Stage 2 and Ombudsman cases has seen an improvement compared to the previous year. Current trend shows that Housing is getting better in handling and addressing complaints which may be influenced by internal improvements on complaints management.



3.4.3 At the end of 2016-17 there were 24 outstanding complaints. This is broken down by service area below. 3 Cases has been outstanding since quarter 2, 11 cases from quarter 3 and 10 cases from quarter 4. Adequate resource needs to be allocated in resolving this complaints early in 2017/18 to prevent possible impact addressing new complaints received in 2017-18.

2016-17 Outstanding Complaints



4. ANALYSIS OF COMPLIMENTS

- 4.1 2016-17 compliments are at their highest compared to the previous year. This is a consistent improvement during Quarter 4 where compliments were 12% higher than 2015-16. It is also evidence that we are now getting better at capturing customer compliments. Housing received 25% of 2016-17 compliments in quarter 4, with 44% received in quarter 3 and the rest during the first 2 quarters of the year.

Table 8 – Compliments by quarter and category

Quarter	3rd Party/Contractor	Member of Staff	Service Area
2	2	13	3
3	1	9	16
4		5	10
Grand Total	3	27	29

- 4.2 There were 59 compliments received in 2016-17, 15 of which were all received in quarter 4 of the year. This is broken down below in comparison to 2015-16.

Table 9 – Compliments received by Service area

	2016-17	2015-16	Change
Asset Management Team	47	28	67.86%
Housing Management	10	6	66.67%
Housing Choices	1	6	-83.33%
HRA Business Support Team	1	1	0.00%
Grand Total	59	41	43.90%

- 4.3 49% of compliments are attributable to the service area, closely followed by member of staff at 46% and 3rd party/contractor at 5%. Service area and member of staff compliments come hand in hand as the latter are the instrument for providing a lasting impression about the service area. Compliments should be shared to staff on a regular basis.

- 4.4 Compliments reporting from customers is at its best to date. Team Managers are encouraged to carry on promoting awareness on compliments reporting to Corporate Business Development Team. It is recommended that all Team Managers ensure that compliments are captured by emailing the details to feedback@nwleicestershire.gov.uk

5. ANALYSIS OF COMPENSATION CLAIMS

- 5.1 Housing's annual budget for compensation is £15,000. Housing processed 56 compensation claims in 2016-17 with a total of £16,542.38. 2016-17 Quarter by quarter compensation activity based on volume and amount processed can be further analysed as follows:

Table 10 – Housing compensation activity 2016-17

	Compensation Claims Processed		Amount	
Quarter 1	11	20%	£2,369.88	14%
Quarter 2	18	32%	£4,209.52	25%
Quarter 3	14	25%	£7,601.89	46%
Quarter 4	13	23%	£2,361.09	14%
Total	56		£16,542.38	

- 5.2 The most paid was £2,050.00 and was as a result of an Ombudsman complaint in relation to kitchen installation. The least paid was £2.00 due to an un-franked letter sent to tenant.
- 5.3 In 2016-17 there has been 5 compensation payments made following a complaints for a total of £4,086.82. There were 2 cases paid within quarter 4 for a total of £300.00 (this represents 7% of compensation in relation to complaints for the current year)

The breakdown is as follows:

Table 11– Housing compensation paid by service area in 2016-17 cumulative to Quarter 4

Service Area	Number of Claims	£ Payment	Avg £ Per Claim
Asset Management Team	51	16,247.58	318.58
Housing Management	4	292.80	73.20
Housing Choices	0	-	-
HRA Business Support Team	1	2.00	2.00
Total	56	16,542.38	295.40

Table 12 – Housing compensation paid by reason in 2016-17 cumulative Quarter 4

Categories	Number of Claims	£ Paid per Category	Avg £ Per Claim
Damage Caused by Leak	13	5,371.94	413.23
Damage Caused by Contractor	4	458.33	114.58
General Compensation	14	6,779.34	484.24
No Heating and Hot Water	4	499.88	124.97
No Heating	2	358.00	179.00
Damage Caused by Operative	3	162.97	54.32
Missed Appointment	10	364.78	36.48
Email From Maintenance Officer	2	689.00	344.50
Follow On From Complaint	4	1,858.14	464.54
Total	56	16,542.38	295.40

Table 13 – Housing compensation paid by service area in 2016-17 during Quarter 4

Service Area	Number of Claims	£ Payment	Avg £ Per Claim
Asset Management Team	13	2,361.09	181.62
Housing Management	0	-	-
Housing Choices	0	-	-
HRA Business Support Team	0	-	-
Total	13	2,361.09	181.62

Table 14 – Housing compensation paid by reason in 2016-17 during Quarter 4

Service Area	Number of Claims	£ Payment	Avg £ Per Claim
Asset Management Team	13	2,361.09	181.62
Housing Management	0	-	-
Housing Choices	0	-	-
HRA Business Support Team	0	-	-
Total	13	2,361.09	181.62

5.4 There were 9 outstanding compensation claims at the end of 2016-17 summarised by reason below.

Table 15 – Outstanding Compensation Claims at the end of 2016-17

Reason for Claim	Asset Management Team
Damage Caused by Leak	1
Damage Caused by Operative	1
Damp	1
General Compensation	4
No Heating	1
No Heating and Hot Water	1
Grand Total	9

5.5 A new compensation form has been designed by the HRA Business Support Team. This is in line with Cabinet approval of the revised compensation policy in April 2017. The main areas of the policy have been embedded on the new form for transparency. Full details of the claim including current/previous claims are requirement when completing the new form. The Communications team are currently reviewing the wordings on the policy to ensure this is easy to understand by customers. SMT are requested to provide feedback on the contents and layout of the revised claim form. Please refer to Appendix D for the compensation form.

6. LEARNING

6.1 It was agreed in March 2017 following presentation of the quarterly complaints learning and performance report that officers responding to complaints are to identify learning following closure of complaints. These are summarised below by service area.

6.2 Housing Management

6.2.1 In quarter 4 Housing Management received 4 complaints broken down as follows:

Table 16 – Quarter 4 Housing Management Complaints Received.

Complaint Category	Stage 1	Stage 2
Delays in Repairs	1	
Allocation of Council Properties	1	
ASB	1	
Failure to provide a service		1
Grand Total	3	1

6.2.3 2x Stage 1 complaints received in quarter 4 have been responded to, with 1 case resulting to further action. No learning has been identified from these cases.

6.3 Asset Management Team

6.3.1 In Quarter 4, there were 17 complaints received by Asset Management Team

Table 17 – Quarter 4 Asset Management Team Complaints Received.

Complaint Category	Stage 1	Stage 2	Ombudsman
Delays in Repairs	4		
Complaints against the council not being handled correctly	1		
Condition of Council Property	4	1	1
Conduct of Staff	1		
General Repairs Issue	1		
Poor Workmanship	2		
Unsatisfied with stage 1 response		1	
Damage by Contractor	1		
Grand Total	14	2	1

6.3.2 9 out of the 17 cases received in quarter 4 have been responded to (8 stage 1, and 1 stage 2 cases). At the time of writing the report no feedback was received in relation to learning identified on Asset Management Team completed cases.

6.4 Housing Choices

6.4.1 In quarter 4, Housing Choices received 1 Stage 1 case and responded to it in the same period.

Table 18 – Quarter 4 Housing Choices Complaints Received.

Complaint Category	Stage 1
Choice Based Lettings Banding	1
Grand Total	1

6.4.2 There was no learning identified on the closure of this complaint.

6.5 HRA Business Support Team

6.5.1 Nil complaints were received during quarter 4.

7. Housing Ombudsman

7.1 **Memorandum of Understanding between the Housing Ombudsman and the Regulator of Social Housing**

7.1.1 A Memorandum of agreement has been created between the Housing Ombudsman and the Regulator for Social housing on 21 April 2017. This means that the Housing Ombudsman is now able to inform the regulator of potential systemic issues relating to compliance with the regulator's standards.

7.2 **The Housing Ombudsman complaints process**

7.2.1 The Housing Ombudsman has a 3 step process when dealing with complaints. This should be made clear to customers when dealing with complaints. They are as follows:

- Step 1 – Tenant makes a formal complaint to the landlord (81% of cases resolved at this stage by using landlord's complaints procedure- Stage 1 and Stage 2)
- Step 2 – Tenant contacts a designated person (Not required but should be expressed by customer if not preferred) – MP, Local Councillor or tenant panel (11% of cases referred to Housing Ombudsman)
- Step 3 - Contacting the Housing Ombudsman (8 weeks from the end of the landlord's complaints process)
 - a. Early Resolution process
 - b. Investigation

6.2.2 Housing currently do not have a Tenant Panel. SMT are invited to consider its setup which could aide on complaints resolution and identifying areas for improvement on complaints handling.

7. RECOMMENDATION

7.1 That SMT:

- 7.1.1 note the report contents
- 7.1.2 provide feedback on the revised Housing compensation form
- 7.1.3 consider setting up a Tenant Complaints Panel
- 7.1.4 ensure that all closed complaints are reviewed at the end of each month and identified learning reported to the Business Support Team Leader by case handlers.

Report Written by: Rommel Villarico 09 March 2017

Appendix A – Stage 1 Complaints

Stage 1 complaints – 2016-17 Cases received

Service Area	2016-17	2015-16	Change
Asset Management Team	80	155	-48%
Housing Management	29	29	0%
Housing Choices	5	8	-38%
HRA Business Support Team	0	1	-100%
Grand Total	114	193	-41%

Stage 1 complaints – Quarter 4 Cases received

Service Area	2016-17	2015-16	Change
Asset Management Team	14	30	-53%
Housing Management	3	4	-25%
Housing Choices	1	1	0%
HRA Business Support Team			
Grand Total	18	35	-49%

Stage 1 complaints – 2016-17 Top 5 popular reasons

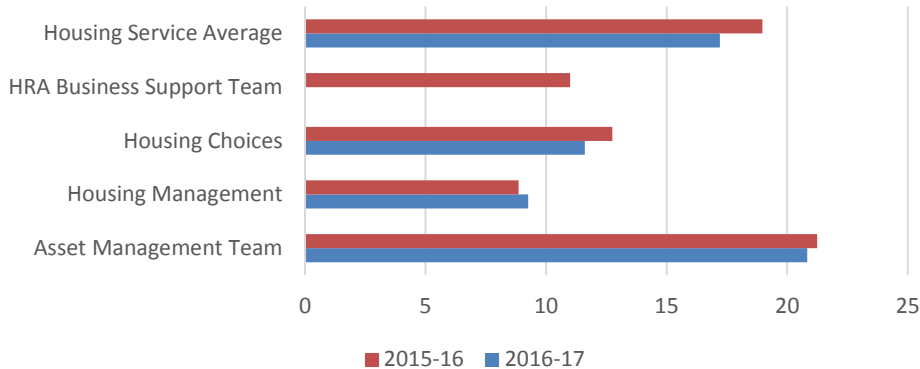
Asset Management Team	2016-17	2015-16
Delays in Repairs	53	74
Failure to provide a service		34
Other		7
Poor communication		7
Conduct of Staff	3	6
Poor workmanship	7	
Condition of Council Property	5	
Housing Management		
Conduct of Staff	7	6
Failure to provide service		4
Policy		4
ASB	7	3
Unacceptable standard of service		3
General Housing Management	3	
Other	2	
Right to Buy	1	
Housing Choices		
Allocation of Council Properties	1	4
Choice Based Lettings Banding	2	
Conduct of Staff	1	1
Policy	1	2
The Council has acted wrongly or unfairly		1
HRA Business Support Team		
Policy		1

Stage 1 complaints – Quarter 4 Top 5 popular reasons

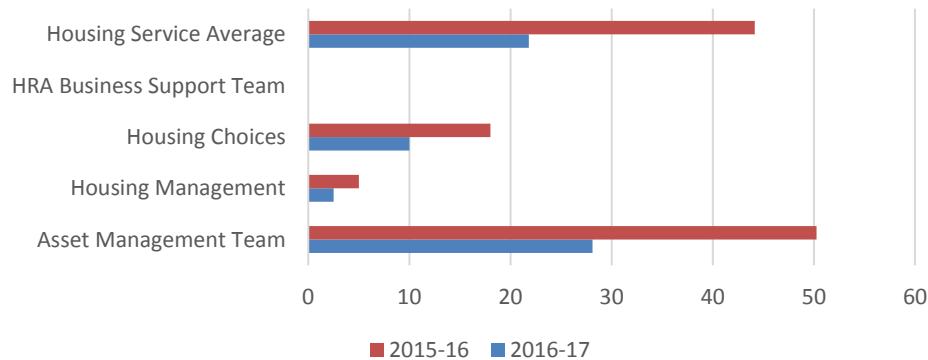
Asset Management Team	2016-17	2015-16
Delays in Repairs	4	18
Condition of Council Property	4	

Follow on From Compensation		
DHIP		2
Poor workmanship	2	1
Poor Communications		5
Conduct of Staff	1	2
Housing Management		
Allocation of Council property	1	1
ASB	1	
Conduct of staff		1
Policy		1
Delays in Repairs	1	
Poor Communications		1
Housing Choices		
Allocation of Council Properties		1
Choice Based Letting Banding	1	
HRA Business Support Team		

Stage 1 complaints – 2016-17 Average Response (working days)



Stage 1 complaints – Quarter 4 Average Response (working days)



Stage 1 complaints – 2016-17 Complaints responded within timescale (10 working days)

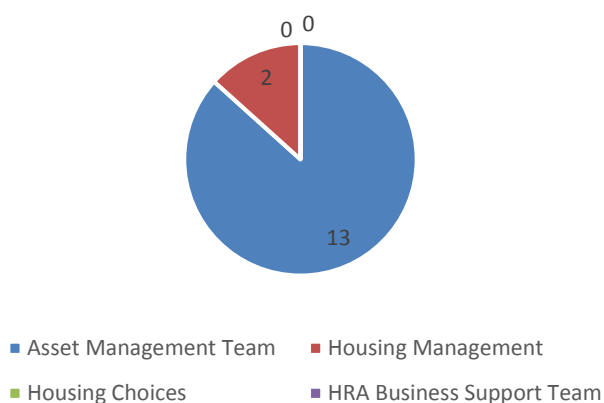
Service Area	2016-17	2015-16
Asset Management Team	36%	34%

Housing Management	70%	83%
Housing Choices	40%	63%
HRA Business Support Team		0%
Housing Performance	45%	42%

Stage 1 complaints – Quarter 4 Complaints responded within timescale (10 working days)

Service Area	2016-17	2015-16
Asset Management Team	13%	23%
Housing Management	100%	100%
Housing Choices		0%
HRA Business Support Team		
Housing Performance	36%	31%

Stage 1 complaints – Outstanding by end of 2016-17



Appendix B – Stage 2 Complaints

Stage 2 complaints – 2016-17 cases received

Service Area	2016-17	2015-16	Change
Asset Management Team	11	14	-21%
Housing Management	7	2	250%
Housing Choices	1	0	100%
HRA Business Support Team			
Grand Total	19	16	19%

Stage 2 complaints – Quarter 4 cases received

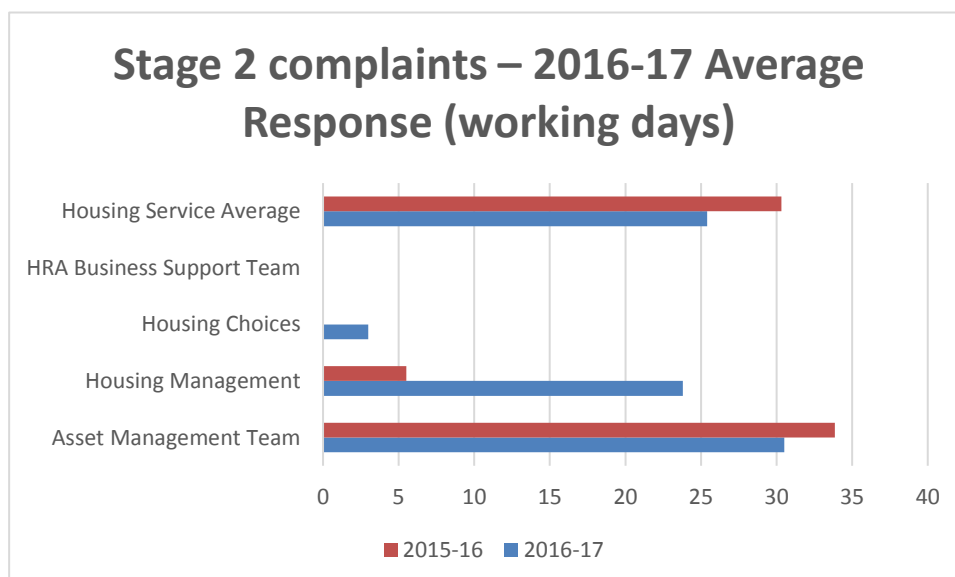
Service Area	2016-17	2015-16	Change
Asset Management Team	2	1	100%
Housing Management	1		100%
Housing Choices			
HRA Business Support Team			
Grand Total	3	2	50%

Stage 2 complaints – 2016-17 Top 5 popular reasons

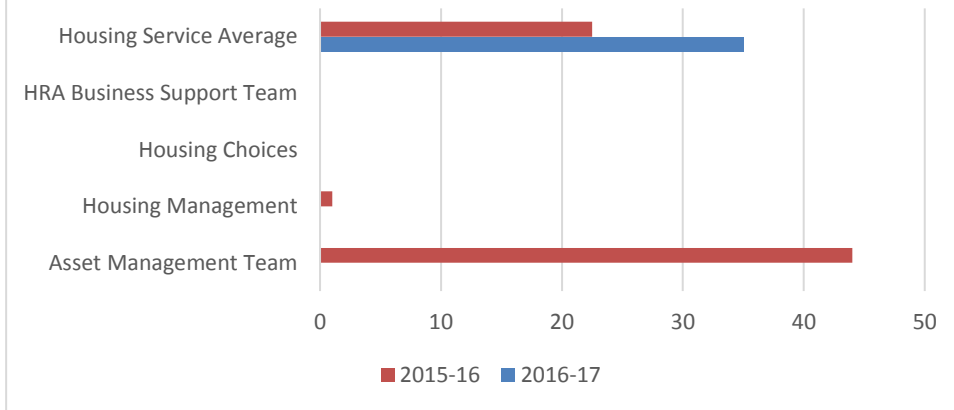
	2016-17	2015-16
Asset Management Team		
Delays in Repairs	7	10
Failure to provide a service	1	2
Policy		1
Conduct of Staff	1	
Poor workmanship	1	1
Condition of Council Property	1	
Housing Management		
The Council has acted wrongly or unfairly		1
ASB	1	
Conduct of Staff	3	1
Estate Management	1	
Unsatisfied with stage 1 response	1	
Failure to provide service	1	
Housing Choices		
Poor communication and failure to respond to enquiries	1	
HRA Business Support Team		

Stage 2 complaints – Quarter 4 Top 5 popular reasons

	2016-17	2015-16
Asset Management Team		
Condition of Council Property	1	
Poor workmanship		1
Unsatisfied with stage 1 response	1	
Housing Management		
Conduct of Staff		1
Failure to provide service	1	
Housing Choices		
HRA Business Support Team		



Stage 2 complaints – Quarter 4 Average Response (working days)



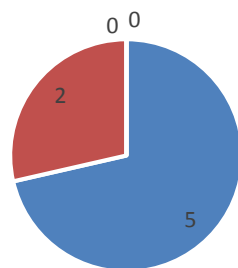
Stage 2 complaints – 2016-17 Complaints responded within timescale (10 working days)

Service Area	2016-17	2015-16
Asset Management Team	33%	0%
Housing Management	40%	100%
Housing Choices	100%	
HRA Business Support Team		
Housing Performance	42%	13%

Stage 2 complaints – Quarter 4 Complaints responded within timescale (10 working days)

Service Area	2016-17	2015-16
Asset Management Team	0.00%	0.00%
Housing Management		100.00%
Housing Choices		
HRA Business Support Team		
Housing Performance	100.00%	100.00%

Stage 2 complaints – Outstanding by end of 2016-17



- Asset Management Team
- Housing Management
- Housing Choices
- HRA Business Support Team

Appendix C – Ombudsman Complaints

Ombudsman complaints – 2016-17 cases received

Service Area	2016-17	2015-16	Change
Asset Management Team	5	4	25.00%
Housing Management			
Housing Choices	1		100.00%
HRA Business Support Team			
Grand Total	6	4	50.00%

Ombudsman complaints – Quarter 4 cases received

Service Area	2016-17	2015-16	Change
Asset Management Team	1	2	-50.00%
Housing Management			
Housing Choices			
HRA Business Support Team			
Grand Total	1	2	-50.00%

Ombudsman complaints – 2016-17 Top 5 popular reasons

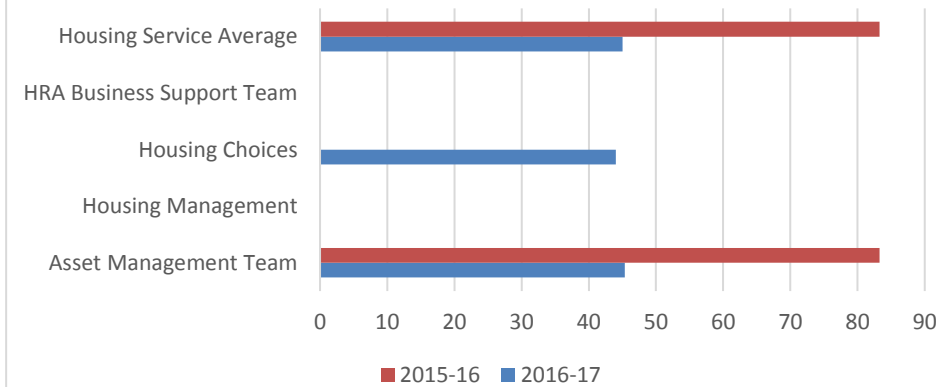
Asset Management Team	2016-17	2015-16
Delays in Repairs	1	4
Condition of Council Property	2	
DHIP	1	
General Repairs Issue	1	
Housing Management		
Housing Choices		
Council Policy - Housing	1	
HRA Business Support Team		

Ombudsman complaints – Quarter 4 Top 5 popular reasons

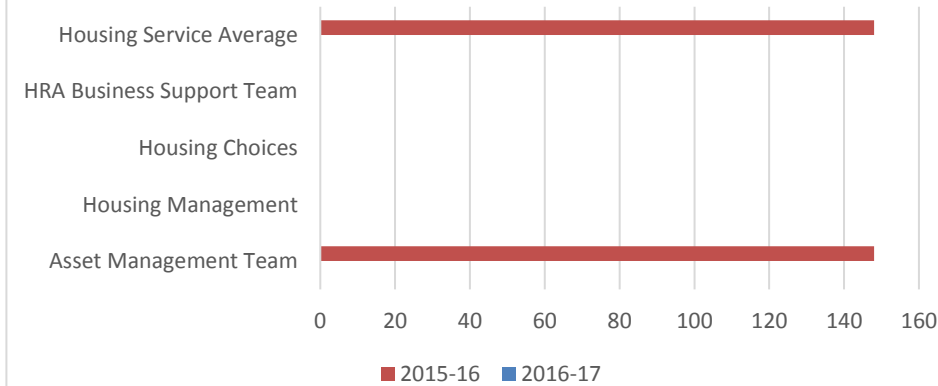
Asset Management Team	2016-17	2015-16
Delays in Repairs		2
Condition of Council Property	1	
Housing Management		
Housing Choices		
HRA Business Support Team		

Ombudsman complaints – 2016-17 Average Response (working days)

Ombudsman complaints – 2016-17 Average Response (working days)



Ombudsman complaints – Quarter 4 Average Response (working days)



Ombudsman complaints – 2016-17 Complaints responded within timescale (10 working days)

Service Area	2016-17	2015-16
Asset Management Team	33%	25%
Housing Management		
Housing Choices	0%	
HRA Business Support Team		
Housing Performance	25%	25%

Ombudsman complaints – Quarter 4 Complaints responded within timescale (10 working days)

Service Area	2016-17	2015-16
Asset Management Team		0%
Housing Management		
Housing Choices		
HRA Business Support Team		
Housing Performance		0%

Ombudsman complaints – Outstanding by end of 2016-17

Service Area	2016-17	2015-16
Asset Management Team	2	
Housing Management		
Housing Choices		
HRA Business Support Team		
Grand Total	2	

Appendix D– Revised Housing Compensation Claim Form