

Report to:	QSMTM Q4 2022-23
Report by:	Helen Gardner-Swift, Head of Corporate Services (HOCS) Liz Brown, Finance and Administration Manager (FAM)
Meeting Date:	27 April 2023
Subject/ Title: (and VC no)	Report on Service Standards 2022-23 VC184939
Attached Papers (title and VC no)	2022-23 Record of compliments 2022-23 Record of complaints

Purpose of report

- The purpose of this Committee Report (CR) is to inform the Senior Management Team (SMT) of our service standards performance for:
 - compliments recorded in the period 1 April 2022 – 31 March 2023
 - complaints received and how they have been dealt with in the period 1 April 2022 – 31 March 2023.

Recommendation and actions

- It is recommended that:
 - the Senior Management Team (SMT) notes the report
 - the publications arrangements set out in paragraph 32 are agreed.

Executive summary

Record of compliments 2022-23

- Each financial year we record compliments that we have received about our services.
- In 2022-23, 85 compliments were recorded, a 7.6% decrease on the number received in 2021-22 (92 compliments).
- There are no service standards or targets relating to compliments.
- The majority of compliments came from applicants (40), enquirers (26) and public authorities (15) and thanked us for a number of aspects of our work, mainly:
 - helpful, clear, professional advice
 - prompt responses to enquiries
- Compliments were also received relating to events we have taken part in.
- The attached spreadsheet “Record of Compliments” provides full details.

Record of complaints 2022-23

- The Key Document C1 Complaints Handling Procedure (CHP) sets the definition of a complaint as:

“An expression of dissatisfaction by one or more members of the public about our action or lack of action, or about the standard of service provided by or on behalf of the Scottish Information Commissioner.”

10. A complaint may relate to: failure to provide a service, inadequate standard of service, treatment by or attitude of a member of staff, disagreement with a decision where the complainant cannot use another procedure (for example an appeal) to resolve the matter, the Commissioner’s failure to follow the appropriate administrative process. These are just examples and this list set out does not cover everything.
11. We value all complaints, treat them seriously and take the appropriate action in accordance with the CHP.
12. This CR analyses the number of complaints received in 2022-23 and responded to within the timescales provided for t in the Key Performance Indicators (KPIs) in the Key Document C7 Performance and Quality Framework 2022-23.

Complaints received and closed

	2021-22	2022-23 Q1 and 2	2022-23 Q3 and 4	2022-23 Total
Total received	6	10	4	14
Total closed	5	11	5	16

13. The table shows:

- 2 complaints were open as at 31 March 2022 and closed in Q1 of 2022-23 and, therefore, are included in this years’ closure figures.
- there were no complaints open at 31 March 2023.

14. Even though the number of complaints is small, we are committed to improving our service as a result of learning from these complaints and addressing any systematic issues that may be identified.

Complaint handling

15. All complaints were either closed at the Frontline Resolution or Investigation:

- 4 complaints were closed at Frontline Resolution
- 12 were closed following an Investigation

16. The performance against our timescale targets for responding to complaints at Frontline Resolution is set out in the table below:

	Number	KPI Target %	Actual %
2022 – 2023	16		
Resolved at frontline	4	85% resolved in 5 days 100% resolved in 10 days	100% (met) -

Closed following investigation	12	85% resolved in 30 days 100% resolved in 40 days	83% (not met) 100% (met)
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17. It should be noted:

- Frontline Resolution complaints were responded to within 5 days - the target was met
- Closed Following Investigation - target was not met
 - 10 complaints were closed within 30 days and 12 complaints were closed within 40 days
 - the KPI target is affected by the low number of complaints that have been received

18. The performance against our targets for fewer than 20% of complaints closed at Investigation be upheld in part or in full was not met is set out in the table below:

Description	Target	Complaint not upheld	Complaint not upheld	Complaints Upheld in Part or in Full	Complaints Upheld in Part or in Full
Complaints upheld in part or full	Fewer than 20%	4	33%	8	67%

19. 4 complaints were not upheld, 7 complaints were partially upheld and 1 complaint was upheld in full.

20. Out of the 8 complaints that were upheld in part or in full, 5 related to delays in application case handling.

COVID-19 pandemic

21. Our priority as an organisation has been to provide key services and guidance while safeguarding the health, safety and wellbeing of our members of staff.

22. Our office premises re-opened in May 2022 and hybrid working is in place. We have continued to maintain operational output and this has included ensuring complaints are managed in line with our CHP.

Risk impact

23. The CHP seek to resolve dissatisfaction about any aspect of our service as close as possible to the point at which the complaint arises and, where appropriate, to conduct a thorough, impartial and fair investigation of the complaint so an evidence-based decision on the facts of the case can be made. A failure to respond to and manage complaints in accordance with our CHP is likely to have an adverse impact on the Commissioner's reputation and could result in referrals to the SPSO and the CHP helps to mitigate this risk.

24. This CR also contributes towards the control measures aimed at reducing the likelihood and impact of risk in dealing with complaints about our service in accordance with the CHP.

Equalities impact

25. There is no direct impact identified.

Privacy impact

26. There is no direct impact identified.

Resources impact

27. None identified.

Operational/ strategic plan impact

28. None identified.

Records management impact (including any key documents actions)

29. As Responsible Manager, the HOCS is continuing the review of the CHP in 2023-24.

Consultation and Communication

30. QSMTM Q4 minute and publication of this report.

31. A Service Standards report will be included in the Annual Report and Accounts 2022-23.

Publication

32. Publication recommendation:

- the CR should be published in full
- the attached papers, as set out below, should be withheld on the basis that the exemption in Section 38(1)(b) of the Freedom of Information (Scotland) Act 2002 would apply if a request were, at this stage, to be made for the information
 - 2022-23 Record of Compliments
 - 2022-23 Record of Complaints