

Report to:	QSMTM Q2 2022-23
Report by:	Helen Gardner-Swift, Head of Corporate Services (HOCS) Liz Brown, Finance and Administration Manager (FAM)
Meeting Date:	27 October 2022
Subject/ Title: (and VC no)	Report on Service Standards 2022-23 Q1 and Q2 VC176121
Attached Papers (title and VC no)	2022-23 Record of compliments – Q1 and Q2 2022-23 Record of complaints – Q1 and Q2

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 2022-23 Q1 and Q2
 - complaints received and how they have been dealt with in 2022-23 Q1 and Q2.

Recommendation and actions

- It is recommended that:
 - the SMT notes the CR
 - the SMT agree the publications arrangements set out in paragraph 30.

Executive summary

Record of compliments 2022-23 Q1 and Q2

- Each financial year we record the compliments that we have received about our services.
- In 2022-23 Q1 and Q2 we recorded 29 compliments, a 22% decrease on the number received in 2021-22 Q1 and Q2 (37 compliments).
- There are no service standards or targets relating to compliments.
- The majority of compliments came from:
 - enquirers (14), thanking us for prompt and informative responses, and
 - applicants (10) for keeping them up to date.
- The attached pdf document “Service Standards - Record of Compliments” provides full details.

Record of complaints 2022-23 Q1 and Q2

- The Key Document C1 Complaints Handling Procedure (CHP) defines 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.”

9. 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 does not cover everything.
10. We value all complaints, treat them seriously and take the appropriate action in accordance with the CHP.
11. This CR analyses the number of complaints received and responded to in 2022-23 Q1 and Q2 as regards the timescales set out in the Key Performance Indicators (KPIs) in the Key Document C7 Performance and Quality Framework 2022-23.

Complaints received and closed – Q1 and Q2

	2020-21	2021-22	2022-23 Q1 and 2	2022-23 Q3 and 4	2022-23 Total
Total received	15	6	10		10
Total closed	14	5	11		11

12. 2 complaint cases were open as at 31 March 2022 and closed in Q1 of 2022-23 and therefore included in this years’ closure figures.
13. 1 complaint case was open at 30 September 2022.
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 – Q1 and Q2

15. All complaint cases were either closed at the Frontline or Investigated:
 - 3 were closed at Frontline Resolution
 - 8 were closed following an Investigation
16. The 3 complaint cases closed at Frontline met the complaint Key Performance Indicator (KPI) target, however those that were handled at Investigation did not.

	Number	KPI Target %	Actual %
Complaints closed Q1 and Q2	11		
Resolved at frontline	3	85% resolved in 5 days 100% resolved in 10 days	100% (met) -
Closed following investigation	8	85% resolved in 30 days 100% resolved in 40 days	75% (not met) 100% (met)

Complaint closure outcomes – Q1 and Q2

17. For the 8 complaint cases closed following an Investigation:
- 3 were not upheld (37%)
 - 5 were upheld in part (63%)
18. Therefore, the KPI that fewer than 20% of complaints be upheld in part or full has not been met for Q1 and Q2.

COVID-19 pandemic

19. Our priority as an organisation has been to continue to provide key services and guidance within available resource while safeguarding the health, safety and wellbeing of our members of staff.
20. 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

21. 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.
22. 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

23. There is no direct impact identified.

Privacy impact

24. There is no direct impact identified.

Resources impact

25. None identified.

Operational/ strategic plan impact

26. None identified.

Records management impact (including any key documents actions)

27. As Responsible Manager, the HOCS anticipates that the current review of the CHP will be completed during 2022-23 Q3.

Consultation and Communication

28. QSMTM Q2 minute and publication of this report.
29. A service standards report is included in the Annual Report.

Publication

30. 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