

**South Ayrshire Council**

**Report by Head of Regulatory Services  
to Service and Performance Panel  
of 20 November 2018**

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**Subject: Complaints – Scrutiny Update**  
**Period: 1 April to 30 September 2018**

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**1. Purpose**

- 1.1 The purpose of this report is to provide Elected Members with complaints performance information for the period from 1 April to 30 September 2018 and compare performance to the same reporting period in 2017/18.

**2. Recommendation**

**2.1 It is recommended that the Panel:**

**2.1.1 scrutinises the contents of this report; and**

**2.1.2 requests a further report to a future meeting of the Panel providing an update on the Council's complaints performance during the period 1 October 2018 to 31 March 2019.**

**3. Background**

- 3.1 Our complaints procedure, Listening to You, has 2 stages. We expect the majority of complaints to be resolved at Stage 1. If a customer remains dissatisfied after Stage 1, they can escalate their complaint to Stage 2. If an initial complaint is complex enough to require detailed investigation, it will be handled at Stage 2 from the outset. If the complainant is not satisfied with their response at Stage 2, the next stage in the Complaints Handling Procedure is for the complainant to approach the Scottish Public Services Ombudsman and ask that they carry out an independent review into how the Council have investigated their complaint.
- 3.2 The following report provides performance data on all Stage 1 and Stage 2 complaints closed from 1 April to 30 September 2018 and is based on SPSO reporting indicators, including a breakdown per service of complaints performance.
- 3.3 [Appendix 1](#) provides an analysis of our complaints data measured against the SPSO's reporting indicators, for the period 1 April to 30 September 2018 and compares our performance to the same reporting period in 2017/18.
- 3.4 [Appendix 2](#) provides a breakdown of the reasons why complaints were raised against the Council, for the period 1 April to 30 September 2018 and compares our performance to the same reporting period in 2017/18.

- 3.5 [Appendix 3](#) outlines service improvement case studies relating to Stage 2 complaints that were upheld or partially upheld where a service improvement outcome was identified and implemented.
- 3.6 [Appendix 4](#) outlines details of complaints that have progressed to the SPSO during this reporting period, which have had recommendations made by the SPSO for the Council to improve service provision.
- 3.7 [Appendix 5](#) provides further information on Investigation complaints received by the Council that have been noted during the reporting period.
- 3.8 [Appendix 6](#) provides information from the Scottish Public Services Ombudsman on their cases from 2017/18.

#### **4. Proposals**

4.1 It is proposed that the Panel:

- 4.1.1 scrutinises the contents of this report and identifies any performance concerns or required improvement actions; and
- 4.1.2 requests a further report to a future meeting of the Panel providing an update on the Council's complaints performance during the period 1 October 2018 to 31 March 2019.

#### **5. Legal and Procurement Implications**

5.1 There are no legal implications arising from this report.

5.2 There are no procurement implications arising from this report.

#### **6. Financial Implications**

6.1 Not applicable.

#### **7. Human Resources Implications**

7.1 Not applicable.

#### **8. Risk**

##### **8.1 *Risk Implications of Adopting the Recommendations***

8.1.1 There are no risks associated with adopting the recommendations.

##### **8.2 *Risk Implications of Rejecting the Recommendations***

8.2.1 There are no risks associated with rejecting the recommendations.

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## **9. Equalities**

- 9.1 The proposals in this report have been assessed through the Equality Impact Assessment Scoping process. There are no significant potential positive or negative equality impacts of agreeing the recommendations and therefore an Equalities Impact Assessment is not required. A copy of the Equalities Scoping Assessment is attached as [Appendix 7](#).

## **10. Sustainable Development Implications**

- 10.1 ***Considering Strategic Environmental Assessment (SEA)*** - This report does not propose or seek approval for a plan, policy, programme or strategy or document otherwise described which could be considered to constitute a plan, programme, policy or strategy.

## **11. Options Appraisal**

- 11.1 An options appraisal has not been carried out in relation to the subject matter of this report.

## **12. Link to Council Plan**

- 12.1 The matters referred to in this report contribute to the Council strategic objective to 'increase the profile and reputation of South Ayrshire and the Council' and within that to the outcome 'Improve trust and confidence in the Council and increase customer satisfaction with services'.

## **13. Results of Consultation**

- 13.1 There has been no public consultation on the contents of this report.
- 13.2 Consultation has taken place with Councillor Peter Henderson, Portfolio Holder for Resources and Performance, and the contents of this report reflect any feedback provided.

**Background Papers**    **None**

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**Date:**    **13 November 2018**

## Complaints Data Analysis Against SPSO Reporting Indicators

Please find below analysis of our complaints data measured against the SPSO's reporting indicators for the period 1 April to 30 September 2018 with comparison to the same reporting period in 2017/18:

### **SPSO Indicator 1 – Complaints received per 1,000 of population**

<b>2017/18</b>	01/04 – 30/09	3 per 1,000
<b>2018/19</b>	01/04 – 30/09	3 per 1,000 ◀▶

The number of complaints received by the Council per 1,000 of the population has remained consistent for the reporting period in 2017/18 and 2018/19.

### **SPSO Indicator 2 – Complaints closed at Stage 1 and Stage 2 as a percentage of all complaints closed**

		<b>Total</b>	<b>Stage 1</b>	<b>Stage 2</b>	<b>Escalated</b>
<b>2017/18</b>	01/04 – 30/09	<b>363</b>	<b>313 (86%)</b>	<b>14 (4%)</b>	<b>36 (10%)</b>
<b>2018/19</b>	01/04 – 30/09	<b>373</b>	<b>310 (83%) ▼</b>	<b>25 (6%) ▲</b>	<b>38 (10%) ◀▶</b>

The number of complaints received by the Council has increased by a total of 10 in this reporting period compared to the same reporting period in 2017/18. There is no specific trend that has resulted in this small increase in the number of complaints received over this six month time-frame.

However, services showing the most significant *increase* in complaints in this reporting period compared to 2017/18 are as follows:

- **Housing**  
In reporting period 1 April to 30 September 2018 Housing received 77 complaints, compared to 63 for the same reporting period in 2017/18. This is an increase of 14 more complaints. Housing confirmed there was no specific trend or reason established for this increase, service users have complained across a range of issues which remains consistent with complaints received last year.
- **Early Years**  
The Early Years' Service has seen an increase in the number of complaints received in comparison to the same reporting period in 2017/18 - 3 were received last year, compared to 6 received in the same reporting period this year. This shows an increase of 100%. All additional complaints received have related to the removal of half day starts for Primary 1 pupils across South Ayrshire.

In terms of our reporting statistics, the increases in complaints received for these services is balanced against a decrease in complaints received by other services within the Council, The most significant *decreases* are as follows:

- **Customer Service Centres**

The number of complaints received relating to the provision of service at our Customer Service Centres has decreased from 12 in reporting period 1 April to 30 September 2017 to only 7 in the same reporting period in this year. This has been attributed to the Council’s Customer Services Supervisors carrying out more call observations with advisors to help identify training requirements for individual staff members.

Customer Services Officers have also been improving training guides for advisors to make them more user-friendly and to allow advisors to provide a better service to customers.

- **Revenues**

The Council’s Revenues Service has shown a significant 67% decrease in complaints received between 2017/18 and the same reporting period in 2018/19 – a decrease from 18 complaints to only 6. The Revenues Service indicated that this improvement is due to a combination of factors, namely: faster processing due to the increased use of online forms (which means customers’ accounts are updated more quickly, removing the potential for complaints); the fact that complaints are often based around customers’ individual circumstances at any given time – for example, failure to award an exemption as the qualifying criteria was not met, or Recovery Notices being issued for the first time and a customer being unhappy with the standard recovery terminology used, etc. These individual circumstances can cause fluctuations in the level of complaints.

### ***SPSO Indicator 3 – Complaints upheld, partially upheld and not upheld***

#### **Outcome of Complaints Closed at Stage 1**

		<b><i>Upheld</i></b>	<b><i>Partially Upheld</i></b>	<b><i>Not Upheld</i></b>
<b>2017/18</b>	01/04 – 30/09	<b>100 (32%)</b>	<b>46 (15%)</b>	<b>167 (53%)</b>
<b>2018/19</b>	01/04 – 30/09	94 (30%) ▼	45 (15%) ▼	171 (55%) ▲

A total of 310 complaints were closed at Stage 1 which is a small decrease of 3 complaints, from 313 complaints for the same reporting period in 2017/18.

Of these 310 Stage 1 complaints, 45% were upheld or partially upheld, indicating that over half of our customers continue to raise genuine concerns with service provision. This is a decrease of 2% from 2017/18 when 47% were either upheld or partially upheld - suggesting we are continuing to actively listen to our customers to establish where services can be improved.

#### **Outcome of Complaints Closed at Stage 2**

		<b><i>Upheld</i></b>	<b><i>Partially Upheld</i></b>	<b><i>Not Upheld</i></b>
<b>2017/18</b>	01/04 – 30/09	<b>1 (7%)</b>	<b>9 (64%)</b>	<b>4 (29%)</b>
<b>2018/19</b>	01/04 – 30/09	5 (20%) ▲	12 (48%) ▲	8 (32%) ▲

A total of 25 complaints were closed at Stage 2, which is an increase of 9 complaints, in comparison to the 14 closed at this stage for the same period in 2017/18. This suggests the Council continues to recognise when a complaint is of a serious nature and should be

investigated immediately at Stage 2. Of these 25 complaints 68% were either upheld or partially upheld indicating that our investigations have established over two-thirds of those customers have raised genuine concerns regarding a service delivery.

### Outcome of Escalated Complaints

		<b>Upheld</b>	<b>Partially Upheld</b>	<b>Not Upheld</b>
<b>2017/18</b>	01/04 – 30/09	<b>5 (14%)</b>	<b>11 (30%)</b>	<b>20 (56%)</b>
<b>2018/19</b>	01/04 – 30/09	<b>8 (21%) ▲</b>	<b>12 (32%) ▼</b>	<b>18 (47%) ▼</b>

In 2017/18 44% of complaints that were escalated from Stage 1 to a Stage 2 investigation were either upheld or partially upheld. This figure has increased to 53% (ie by 9%) in the same reporting period for 2018/19, suggesting that our investigations are recognising when services are below the high standards the Council seeks to achieve.

**Further detailed analysis of Stage 1, Stage 2 and Escalated complaints is outlined in [Appendix 2](#).**

### SPSO Indicator 4 – Average Times (in working days)

		<b>Stage 1</b>	<b>Stage 2</b>	<b>Escalated</b>
<b>2017/18</b>	01/04 – 30/09	5	24	22
<b>2018/19</b>	01/04 – 30/09	5 ◀▶	26 ▲	22 ◀▶

The average time to respond to a Stage 1 and Escalated complaint has remained at 5 working days between 2017/18 and the same reporting period in 2018/19.

The average time taken to respond to Stage 2 complaints has increased from 24 days in 2017/18 to 26 days in 2018/19. While Council Services strive to ensure complaints are addressed within SPSO time scales, complaints (particularly at Stage 2) often require complex and detailed investigation and Council investigators are encouraged to ensure they thoroughly investigate a customer's complaint.

### SPSO Indicator 5 – Performance against Timescales

		<b>Stage 1</b>	<b>Stage 2</b>	<b>Escalated</b>
<b>2017/18</b>	01/04 – 30/09	81%	64%	81%
<b>2018/19</b>	01/04 – 30/09	84% ▲	80% ▲	76% ▼

Improvements have been shown in the Council's response against SPSO statutory time scales for both Stage 1 and Stage 2 complaints. 84% of Stage 1 complaints for this reporting period were responded to within statutory SPSO time scales (ie 5 working days) showing a 3% increase from the same reporting period in 2017/18.

A significant improvement has also been shown in the time taken to respond to Stage 2 complaints, with 80% of Stage 2 complaints being issued within the statutory SPSO time scale of 20 working-days, as opposed to 64% in 2017/18.

### **SPSO Indicator 6 – Number of Cases where an Extension is Authorised**

		<b>Stage 1</b>	<b>Stage 2</b>	<b>Escalated</b>
<b>2017/18</b>	01/04 – 30/09	21	2	3
<b>2018/19</b>	01/04 – 30/09	16 ▼	4 ▲	8 ▲

An extension, when required, is undertaken in consultation with the complainant when it is established the complaint is complex and requires time to fully investigate.

For this reporting period 28 complaints were subject to an authorised extension compared to 26 in 2017/18, an increase of 2 cases. In particular complaints escalated from Stage 1 to Stage 2 have seen an increase from 3 in 2017/18 to 8 extensions being agreed in 2018/19. While this is a significant increase, the emphasis is, as stated, on ensuring all aspects of complaints are thoroughly investigated and, to allow this, extensions are, therefore, required at times to ensure a full investigation is undertaken.

### **SPSO Indicator 7 – Customer Satisfaction**

To gauge Customer Satisfaction in our complaints process we actively encourage members of the public to provide us with their feedback on their experience. This feedback allows us to establish where our process can be strengthened to meet customer needs. A survey is available online for anyone using our service to complete, and Information Governance also invites a sample of customers to provide us with this helpful feedback. In April 2018 improvements were made to our Survey, to streamline responses and help us obtain additional meaningful customer feedback. As a result of this there are no comparative figures for responses from 2017/18.

Between 1 April and 30 September 2018, 60 requests were issued to members of the public inviting them to participate in our Customer Satisfaction Survey. 30% responded to our invitation, which is an increase of 4% from the 26% return in 2017/18.

Feedback received from the 30% who responded indicates that:

	<b>Strongly Agree/ Agree</b>	<b>Disagree or Strongly Disagree</b>
<i>It was easy for me to make a complaint to the Council</i>	67%	33%
<i>My complaint was understood by the Council</i>	61%	39%
<i>My complaint was thoroughly investigated</i>	39%	61%
<i>My complaint was taken seriously</i>	56%	44%
<i>I was kept up-to-date with the progress of my investigation</i>	33%	67%
<i>I was given a clear explanation of the decisions made</i>	50%	50%
<i>The information I was given was easy to understand</i>	72%	28%
<i>I am satisfied the investigation addressed my concern</i>	28%	72%
<i>My complaint was responded to within the appropriate time scales</i>	56%	44%
<i>The procedure for taking my complaint to the next stage was clear</i>	50%	50%

Analysis of the response received indicates:

**Things we are doing well**

72% of respondents to our survey advised us they received a clear response to their complaint, indicating our Complaints Investigators communicate their reasoning and investigation findings in a concise and user friendly manner.

Additionally, over two-thirds of our survey respondents (67%) also advised us they found it easy to make a complaint to the Council.

**Things we could do better**

Our respondents indicated their dissatisfaction in how thoroughly their complaint was investigated (61% felt that we had not carried out a thorough investigation); 67% of respondents felt they were not kept up-to-date with their complaint progress; while 72% felt the investigation did not address their concerns.

Analysis of this feedback also established that those respondents who had indicated having had an unsatisfactory experience had also not received the response they had hoped for from the Council following our complaints investigation. This may be a contributing factor to the dissatisfaction noted above.

Information Governance are now taking forward the feedback we have received on how we can improve our Complaints Process with Service Leads. We are providing support in improving communication and ensuring complaints investigations are being undertaken thoroughly which includes our Support Officer (Complaints and Information) meeting with individual services to provide bespoke training on complaints handling procedures and policy. Additionally, the results of our survey have been communicated to all Service Leads to stress the importance of communication during complaints investigations.

**SPSO Indicator 8 – Learning from Complaints**

Please see [Appendix 3](#) for further information on learning from complaints.

**Additional Information – Most Common Reasons for Complaints**

The top 3 reasons for complaints received by the Council (as categorised within the Complaints Handling system) are:

	<b>01/04 to 30/09 (2017/18)</b>	<b>01/04 to 30/09 (2018/19)</b>
<b>Stage 1</b>	Quality of Service	Quality of Service
	Other	Other
	Employee Behaviour	Employee Behaviour
<b>Stage 2</b>	Quality of Service	Quality of Service
	Employee Behaviour	Other
	Policy/Procedure	Employee Behaviour

Please see [Appendix 2](#) for additional information.



**Additional Information – Breakdown of Complaints by Service:**

	<b>2017/18</b>	<b>2018/19</b>	
<b>Asset Management</b>	0	10	▲
<b>Benefits</b>	7	2	▼
<b>Building Standards</b>	0	1	▲
<b>Children and Families</b>	21	29	▲
<b>Communications</b>	1	0	▼
<b>Community Care</b>	48	35	▼
<b>Criminal Justice</b>	1	0	▼
<b>Customer Service Centre</b>	12	7	▼
<b>Early Years</b>	3	6	▲
<b>Enterprise</b>	0	2	▲
<b>Education Central</b>	3	3	◀ ▶
<b>Elections</b>	1	0	▼
<b>Environmental Health</b>	5	3	▼
<b>Facilities</b>	2	6	▲
<b>Finance</b>	0	2	▲
<b>Housing</b>	63	77	▲
<b>Insurance</b>	1	0	▼
<b>Leisure</b>	23	27	▲
<b>Libraries</b>	3	2	▼
<b>Neighbourhood Services</b>	51	60	▲
<b>Planning</b>	7	11	▲
<b>Property Maintenance</b>	57	62	▲
<b>Psychological Services</b>	0	1	▲
<b>Registration</b>	3	0	▼
<b>Revenues</b>	18	6	▼
<b>Roads</b>	0	1	▲
<b>SAMS</b>	1	0	▼
<b>Primary Schools</b>	16	15	▼
<b>Secondary Schools</b>	8	3	▼
<b>Scottish Welfare Fund</b>	7	1	▲
<b>Trading Standards</b>	0	1	▲
<b>Other</b>	1	0	▼

Please note Asset Management failed to close of their complaints timeously on Lagan. Resulting in the above figures showing 10 complaints closed but the majority of these complaints were closed outwith this accounting period. This Service has now received extra training to prevent future reoccurrence.

## Reasons for Complaints

The undernoted Table 1 provides a breakdown of reasons for complaints received and closed by the Council at Stage 1, between 1 April and 30 September 2018, in comparison to figures in the same reporting period in 2017/18. The categories allocated are based on pre-defined categories that can be allocated to a case within the Council's corporate complaints system, Lagan.

The categories reflect the high level categories stipulated by the SPSO.

**Table 1 – Reasons for Stage 1 Complaints**

<b>Category</b>	<b>2017/18</b>		<b>2018/19</b>		
<b>Subject</b>	<b>Number</b>	<b>% of Total Stage 1</b>	<b>Number</b>	<b>% of Total Stage 1</b>	
Quality of Service/ Service Provision	231	74%	192	62%	▼
Other	25	8%	28	9%	▲
Employee Behaviour	23	7%	57	18%	▲
Damage to Property/ Personal Injury	15	5%	5	2%	▼
Policy Procedure	7	2%	11	3%	▲
Lack of Information	6	2%	7	2%	◀▶
Waiting Times/ Missed App	4	1%	8	3%	▲
Case Unresolved	1	0.5%	1	0.5%	◀▶
Discrimination *	0	0%	1	0.5%	▲
Service Cuts*	1	0.5%	0	0%	▼
<b>Total</b>	<b>313</b>	<b>100%</b>	<b>310</b>	<b>100%</b>	

The following categories have been collated from the Council's Complaints Handling System (Lagan) based on information entered by Services handling complaints at a service level. This gives an overview of the Categories of Stage One complaints.

There is not a mandatory requirement for services to input this information when completing cases on our Lagan system but they are encouraged to complete these fields.

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
<b>Customer Services</b>	Accuracy of Information	2	1
	Quality of Customer Service	1	5
	Customer Journey	3	0
	Service Delivery - Finance	1	1
<b>Community Care</b>	Arrol Park	2	1
	Homecare	19	13
	Ayr North Locality Team	1	2
	Ayr South Locality Team	3	1
	Prestwick Locality Team	1	1
	Girvan/Maybole Locality Team	4	3
	Mental Health Team	1	2
	Telecare	2	1
	Sensory Impairment	2	0
<b>Schools</b>	Ayr Academy	0	0
	Ayr Grammar	2	0
	Barr Primary	0	0
	Barassie Primary	2	2
	Belmont Academy	0	1
	Braehead Primary	2	1
	Carrick Academy	0	1
	Coylton Primary	0	1
	Dailly Primary	0	0
	Dalmilling Primary	0	0
	Doonfoot Primary	0	0
	Dundonald Primary	3	0
	Forehill Primary	0	0
	Gardenrose Primary	1	0
	Girvan Primary	1	0
	Glenburn Primary	0	1

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
	Kincaidston Primary	0	0
	Kingcase Primary	0	2
	Kyle Academy	0	0
	Marr College	3	0
	Newton Primary	0	0
	St Cuthbert's Primary	0	0
	Struthers Primary	1	1
	Symington Primary	0	1
	Troon Primary	1	0
	Childcare	1	0
	Nursery	2	0
<b>Facilities</b>	Catering Services	0	0
	Public Convenience	0	2
	School crossing patrol	1	1
<b>Children and Families</b>	Children and Families Disability Team	1	6
	Ayr North Locality Team	1	1
	Ayr South Locality Team	2	3
	Girvan/Maybole Locality Team	6	0
	Prestwick/Troon Locality Team	2	3
	Initial Response Team	2	2
	Children's Houses	3	2
	Family Placement and Adoption Team	1	1
	Management Team	2	
<b>Housing</b>	Housing Policy	0	1
	Housing Access	11	3
	Customer Landlord Relations	13	10
	Neighbour Communication	4	5
	Quality Maintenance	16	35
<b>Leisure</b>	Citadel	5	3
	Golf	3	7
	Swimming Pools	6	8
	Town Hall	0	0
<b>Libraries</b>	Troon Library	1	1
<b>Neighbourhood Services</b>	Dog Bin	0	0

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
	Missed Bin	7	8
	Bin Return	4	0
	Wheelie Bin Delivery	0	0
	Burials	0	0
	Grass Cutting	5	4
	Litter	3	1
	Beaches	2	1
	Other	0	5
	Play Areas	0	0
	Special Uplifts	0	1
	Staff	1	3
	Street Sweeping	4	0
	Waste Collection	3	2
	Weed Removal	0	1
	Parks	1	1
	Paths	1	0
	Recycling Facilities	2	1
	Waste Recycling	1	0
	Trees	1	1
<b>Benefits</b>	Other	2	1
	Service Delivery	3	1
<b>Property Maintenance</b>	Communication	7	4
	Dissatisfied with Repair	22	25
	Private Owner	2	3
	Staff Attitude/Behaviour	2	6
	Other	12	8

The undernoted table provides an overview of reasons for complaints received and closed by the Council at Stage 2 between 1 April and 30 September 2018 compared to the same reporting period in 2017/18. These categories reflect the high level categories stipulated by the SPSO.

**Table 2 - Reasons for Stage 2 Complaints**

<b>Category</b>	<b>01/04 – 30/09 2017/18</b>		<b>01/04 – 30/09 2018/19</b>		
<b>Subject</b>	<b>Number</b>	<b>% of Total Stage 2</b>	<b>Number</b>	<b>% of Total Stage 2</b>	
Quality of Service/ Service Provision	11	79%	15	60%	▼
Policy and Procedure	1	7%	2	8%	▲
Employee Behaviour	1	7%	4	16%	▲
Damage to Property/ Personal Injury	0	0%	1	4%	▲
Case Unresolved	0	0%	0	0%	◀▶
Discrimination	0	0%	0	0%	◀▶
Lack of Information	0	0%	1	4%	▲
Other	1	7%	2	8%	▲
<b>Total</b>	<b>14</b>	<b>100%</b>	<b>25</b>	<b>100%</b>	

The undernoted categories have been collated from the Council's Complaints Handling System (Lagan) using information entered by Services handling complaints at a service level. Providing this information on the Lagan system is not a mandatory requirement and it is therefore not logged for all complaints, although Services are encouraged to provide this information on the system.

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
<b>Schools</b>	Belmont Academy	0	0
	Carrick Academy	0	0
	Doonfoot Primary	1	0
	Holmston Primary	0	1
<b>Children and Families</b>	Children and Families Disability Team	0	0
	Fostering	0	2
<b>Community Care</b>	Prestwick Locality Team	1	0
	Sensory Impairment	1	0
<b>Housing</b>	Customer Landlord Relations	0	2
	Quality Maintenance	1	2
<b>Leisure</b>	Golf	0	0
<b>Neighbourhood Services</b>	Other	0	0
<b>Planning</b>	Objection	0	0
	Other	1	0

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
	Pre Planning	0	0
	Planning Enforcement	0	2
	Planning Application	1	1
<b><i>Property Maintenance</i></b>	Customer/Landlord Relation	1	0
	Dissatisfied with Repair	1	1
	Private Owners	0	1
	Other	0	2

**Table 3 - Reasons for Escalated Complaints**

The following table provides a breakdown of the reasons for a complaint being escalated from Stage 1 to Stage 2. A customer can ask for their complaint to be escalated from Stage 1 to Stage 2 when they remain dissatisfied with our response at Stage 1:

<b>Category</b>	<b>01/04 – 30/09 2017/18</b>		<b>01/04 – 30/09 2018/19</b>		
<b>Subject</b>	<b>Number</b>	<b>% of Total Stage 2</b>	<b>Number</b>	<b>% of Total Stage 2</b>	
Quality of Service/ Service Provision	28	77%	26	68%	▼
Employee Behaviour	5	14%	1	3%	▼
Case Unresolved	1	3%	0	0%	▼
Damage to Property/Personal Injury	1	3%	3	8%	▲
Policy and Procedure	1	3%	3	8%	▲
Lack of Information	0	0%	0	0%	◀▶
Other	0	0%	5	13%	▲
<b>Total</b>	<b>36</b>	<b>100%</b>	<b>38</b>	<b>100%</b>	

The following has been collated from the Council's Complaints Handling System (Lagan) using information entered by Services handling complaints at a service level. Providing this information on the Lagan system is not a mandatory requirement and it is therefore not logged for all complaints. However, services are actively encouraged to provide this information.

<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
<b>Customer Services</b>	Waiting Times	0	0
<b>Schools</b>	Ayr Grammar	1	1
	Carrick Academy	1	0
	Belmont Academy	0	0
	Girvan Primary	0	1
	Glenburn Primary	0	0
	Kingcase Primary	0	1
	Symington Primary	0	0
	Marr College	1	0
	Queen Margaret Academy	1	1
	Symington Primary	0	2



<b>Service</b>	<b>Subject</b>	<b>01/04 – 30/09 2017/18</b>	<b>01/04 – 30/09 2018/19</b>
<b><i>Children and Families</i></b>	Girvan/Maybole Locality Team	1	0
	Management Team	0	1
	Ayr South Locality Team	0	2
	Children and Families Disabilities Team	0	3
<b><i>Housing</i></b>	Customer Landlord Relations	4	0
	Access	3	0
	Neighbour Communication	0	1
	Quality Maintenance	2	4
<b><i>Leisure</i></b>	Golf	0	1
<b><i>Neighbourhood Services</i></b>	Missed Bin	0	0
	Other	0	1
<b><i>Planning</i></b>	Planning Application	1	3
<b><i>Property Maintenance</i></b>	Dissatisfied with Repair	1	1
	Contact/Communication	2	1
	Other	1	2
	Private Owners	1	1
	Staff Attitude	1	0

## **Service Improvement Case Studies**

### **Housing Services**

During this reporting period the Housing Service have upheld three complaints relating to external service providers undertaking work as part of the modernisation programme, this has included issues with the standard of the finish and failure to repair any damage caused by the upgrade. As a result and in an effort to improve provision of this service, Housing have updated their processes and expanded the participation Clerk of Work in housing modernisation projects to ensure that any issues are identified at an early stage and all issues are recorded and tracked then followed up with the Contractor.

### **Asset Management**

The Estates service received a complaint from a client who was disappointed that she had been refused planning approval on the unit she wished to hire. She felt this had been as a result of poor communication from the service. The service investigated the complaint and although they did not uphold her complaint, they have updated their procedures to ensure that communication is clearer with respect to planning issues associated with property, and, where applicable, the existing type of use class that is acceptable for the property will be clearly specified.

**Scottish Public Services Ombudsman Improvement Cases**

During the reporting period 1 April to 30 September 2018, no decision notices were published by the Ombudsman relating to South Ayrshire Council.

## **Stage 2 Complaints Monitoring**

All Stage 2 complaints investigated by the Council are monitored and each quarter any complaints which are considered to be serious or high risk are reported to the Integrity Group.

The majority of Stage 2 complaints were undertaken at the Stage 2 level because they involved either a response from more than one service, or were too complex to resolve within 5 working days at Stage 1.

However, in reporting period 1 April to 30 September 2018 no Stage 2 complaints were identified as being serious or high risk, ie those that would have a serious impact on the Council's ability to provide services to the public.

## Scottish Public Services Ombudsman Statistics<sup>1</sup>

The SPSO recently published its Statistical Report for complaints received in respect of South Ayrshire Council services. Details of the Statistics Reported by the SPSO, from April to March each reporting year, are as follows:

### Local Authority Complaints Received 2017-18

Subject Group	South Ayrshire Council			Sector Total	Rank	Complaints as % of total
	South Ayrshire Council	Rank	Complaints as % of total			
Housing	9	1	31.03%	316	1	21.44%
Social Work	3	2=	10.34%	254	2	17.23%
Education	3	2=	10.34%	151	3	10.24%
Planning	3	2=	10.34%	134	4	9.09%
Finance	3	2=	10.34%	112	6	7.60%
Roads & Transport	2	6	6.90%	104	7	7.06%
Environmental Health & Cleansing	1	7=	3.45%	116	5	7.87%
Welfare Fund - Community Care Grants	1	7=	3.45%	7	13	0.47%
Legal & Admin	0	-	0.00%	71	8	4.82%
Recreation & Leisure	0	-	0.00%	24	9	1.63%
Land & Property	0	-	0.00%	17	10	1.15%
Building Control	0	-	0.00%	16	11	1.09%
Personnel	0	-	0.00%	12	12	0.81%
Other	0	-	0.00%	6	14	0.41%
Consumer Protection	0	-	0.00%	4	15=	0.27%
National Park Authorities	0	-	0.00%	4	15=	0.27%
Fire & Police Boards	0	-	0.00%	3	17	0.20%
Economic Development	0	-	0.00%	2	18=	0.14%
Welfare Fund - Crisis Grants	0	-	0.00%	2	18=	0.14%
Subject Unknown or Out Of Jurisdiction	4	-	13.79%	119	-	8.07%
<b>Total</b>	<b>29</b>		<b>100.00%</b>	<b>1,474</b>		<b>100.00%</b>
Complaints as % of Sector	2.0%			100.0%		

### Complaints Received by Subject 2016-17

Subject Group	South Ayrshire Council	Rank	Complaints as % of total	Sector Total	Rank	Complaints as % of total
Housing	9	1	30.0%	388	1	25.4%
Environmental Health & Cleansing	5	2	16.7%	124	5	8.1%
Social Work	4	3	13.3%	219	2	14.3%
Education	3	4=	10.0%	144	4	9.4%
Finance	3	4=	10.0%	120	6	7.9%
Planning	1	6=	3.3%	160	3	10.5%
Roads & Transport	1	6=	3.3%	112	7	7.3%
Building Control	1	6=	3.3%	34	9	2.2%
Land & Property	1	6=	3.3%	19	11	1.2%
Legal & Admin	0	-	0.0%	73	8	4.8%
Recreation & Leisure	0	-	0.0%	29	10	1.9%
Welfare Fund - Community Care Grants	0	-	0.0%	14	12	0.9%
Other	0	-	0.0%	8	13=	0.5%
Valuation Joint Boards	0	-	0.0%	7	13=	0.5%
National Park Authorities	0	-	0.0%	6	15	0.4%
Economic Development	0	-	0.0%	5	16=	0.3%
Personnel	0	-	0.0%	5	16=	0.3%
Welfare Fund - Crisis Grants	0	-	0.0%	5	16=	0.3%
Consumer Protection	0	-	0.0%	4	16=	0.3%
Fire & Police Boards	0	-	0.0%	4	16=	0.3%
Subject Unknown or Out Of Jurisdiction	2	-	6.7%	48	-	3.1%
<b>Total</b>	<b>30</b>		<b>100.0%</b>	<b>1528</b>		<b>100.0%</b>
Complaints as % of Sector	2.0%			100.0%		

<sup>1</sup> Please note this information was provided by the Scottish Public Services Ombudsman and the Information Governance Team are therefore unable to provide any analysis of these statistics.

**Local Authority Complaints Determined 2017-18**

Stage	Outcome Group	South Ayrshire	
		South Ayrshire Council	Sector Total
Advice	Not duly made or withdrawn	7	253
	Out of jurisdiction (discretionary)	0	3
	Out of jurisdiction (non-discretionary)	0	5
	Premature	7	381
	<b>Total</b>	<b>14</b>	<b>642</b>
Early Resolution	Not duly made or withdrawn	1	38
	Out of jurisdiction (discretionary)	1	99
	Out of jurisdiction (non-discretionary)	4	113
	Outcome not achievable	2	85
	Premature	2	53
	Proportionality	5	314
	Resolved	0	29
	<b>Total</b>	<b>15</b>	<b>731</b>
Investigation	Fully upheld	1	47
	Some upheld	1	49
	Not upheld	1	69
	Not duly made or withdrawn	0	1
	Resolved	0	3
	<b>Total</b>	<b>3</b>	<b>169</b>
<b>Total Complaints</b>		<b>32</b>	<b>1,542</b>

<i>Total Premature Complaints</i>	9	434
<i>Premature Rate</i>	28.1%	28.1%

<i>Total Investigation Decisions</i>	3	165
<i>Total Upholds</i>	2	96
<i>Uphold Rate</i>	66.7%	58.2%

<i>Old Uphold Rate Calculation</i>		
<i>Total Cases 'Fit for SPSO'</i>	3	169
<i>Total Upholds</i>	2	96
<i>Uphold Rate</i>	66.7%	56.8%

In 2017/18 a total of 32 complaints were made to the SPSO regarding South Ayrshire Council, which is a small increase from the 29 received in 2016/17 (figures outlined below). Of these 32 complaints advice was provided by the SPSO to the complainant in 14 cases, an early resolution was reached in 15 cases and 3 resulted in a full investigation.

Of the 3 full investigations undertaken 1 was fully upheld (ie SPSO found in favour of the complainant); 1 was partially upheld and 1 was not upheld (ie SPSO found in favour of the Council). This is an increase from the 1 referral to the SPSO in 2016/17 (which was not upheld by the SPSO).

As these statistics are provided to the Council by the SPSO it is not possible to provide further analysis.

### Local Authority Complaints Determined 2016-17

Stage	Outcome Group	2016-17	
		South Ayrshire Council	Sector Total
Advice	Not duly made or withdrawn	8	279
	Out of jurisdiction (non-discretionary)	0	3
	Outcome not achievable	0	1
	Premature	9	467
	<b>Total</b>	<b>17</b>	<b>750</b>
Early Resolution	Not duly made or withdrawn	1	43
	Out of jurisdiction (discretionary)	2	82
	Out of jurisdiction (non-discretionary)	0	111
	Outcome not achievable	2	115
	Premature	1	57
	Proportionality	5	132
	Resolved	0	20
	<b>Total</b>	<b>11</b>	<b>560</b>
Investigation	Fully upheld	0	52
	Some upheld	0	42
	Not upheld	1	60
	Not duly made or withdrawn	0	1
	Resolved	0	1
	<b>Total</b>	<b>1</b>	<b>156</b>
<b>Total Complaints</b>		<b>29</b>	<b>1,466</b>

<i>Total Premature Complaints</i>	10	524
<i>Premature Rate</i>	34.5%	35.7%
<i>Fit for SPSO Total (Investigations)</i>	1	156
<i>Total Cases Upheld / Some Upheld</i>	0	94
<i>Uphold Rate (total upheld / total fit for SPSO)</i>	0.0%	60.3%

## 1. Proposal details

Proposal Title <b>Complaints – Scrutiny Update</b>	Lead Officer <b>Wynne Carlaw</b>
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2. Which communities, groups of people, employees or thematic groups do you think will be, or potentially could be, impacted upon by the implementation of this proposal? Please indicate whether these would be positive or negative impacts

Community, Groups of People or Themes	Negative Impacts	Positive impacts
The whole community of South Ayrshire	-	-
People from different racial groups, ethnic or national origin.	-	-
Women and/ or men (boys and girls)	-	-
People with disabilities	-	-
People from particular age groups for example Older people, children and young people	-	-
Lesbian, gay, bisexual and heterosexual people	-	-
People who are proposing to undergo, are undergoing or have undergone a process to change sex	-	-
Pregnant women and new mothers	-	-
People who are married or in a civil partnership	-	-
People who share a particular religion or belief	-	-
Thematic Groups: Health, Human Rights, Rurality and Deprivation	-	-

3. Do you have evidence or reason to believe that the proposal will support the Council to:

General Duty and other Equality Themes	Level of Negative and/ or Positive Impact (high, medium or low)
Eliminate discrimination and harassment faced by particular communities or groups	Low impact
Promote equality of opportunity between particular communities or groups	Low impact
Foster good relations between particular communities or groups	Low impact
Promote positive attitudes towards different communities or groups	Low impact
Increase participation of particular communities or groups in public life	Low impact
Improve the health and wellbeing of particular communities or groups	Low impact
Promote the human rights of particular communities or groups	Low impact
Tackle deprivation faced by particular communities or groups	Low impact

## 4. Summary Assessment

<b>Is a full Equality Impact Assessment (EQIA) required?</b> (A full EQIA must be carried out on all high and medium impact proposals)		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>Rationale for decision:</b>  <b>This report is an analysis of performance that allows scrutiny. There are no proposals at this stage to alter the way we provide services or Council policies.</b>			
Signed :	<b>Catriona Caves</b>	Head of Service	
Date:	<b>26 October 2018</b>	Copy to equalities@south-ayrshire.gov.uk	