

SPSO Local Authority Complaints Handling Procedure - Performance Indicators

Data Submission Template For:

Angus

Data should only be entered into the white cells, all grey cells are based on formulas and will calculate automatically when the white cells are completed.

	2017/18 01 Apr - 31 Mar	Data collation guidance
<b>INDICATOR 1: Complaints received per 1000 of population</b>  <b>1a - Complaints Received:</b> 1 (i) total number of complaints received in the period 1 (ii) population (mid year population estimates)  <b>1a the total number of complaints received per 1,000 population</b>  Note field only - to clarify complaints not included in 1(i)	301  116,520  2.6    303  116,520  2.6    236  77.9%  51  16.8%  16  5.3%  TRUE	This indicator records the total number of complaints received by the Local Authority.  This is the sum of the number of complaints received at stage one, (frontline resolution) and the number of complaints received directly at stage two (investigation).  It should not include service requests, invalid complaints or complaints escalated from stage one to stage two, but does include complaints that are later withdrawn or remain unresolved  To identify the population Local authorities should use the statistics produced by the National Records of Scotland (www.gro-scotland.gov.uk) which produces population estimates for each local authority.  All counts are based on "case closed" (i.e. responded to) to ensure complaints are counted at the point they end  This does not include requests for service, nor does it include complaints that are later withdrawn or remain unresolved.  Note field only - to clarify volume and reason(s) for complaints not included in 1(iii) and the gap between the number of complaints received and closed in the same year  The term "closed" refers to a complaint that has had a response sent to the customer and at the time no further action is required (regardless at which stage it is processed and whether any further escalation takes place).  This <b>does not include</b> requests for service or invalid complaints, nor does it include complaints that are later withdrawn or remain unresolved.
<b>INDICATOR 2: Closed Complaints</b>  <b>2a - Stage 1:</b> 2 (i) number of complaints - closed at stage 1  <b>2a the number of complaints closed at stage 1 as % all complaints closed</b>  <b>2b - Stage 2:</b> 2 (ii) number of complaints - closed at stage 2  <b>2b the number of complaints closed at stage 2 as % all complaints closed</b>  2 (iii) number of complaints - closed after escalation  <b>2c the number of complaints closed after escalation as % all complaints closed</b>  <b>Check</b> Number of complaints closed at Stage 1, Stage 2 and Following Escalation = Total number of complaints closed in the year	236  77.9%  51  16.8%  16  5.3%  TRUE	There is a requirement for a formal outcome (upheld, partially upheld or not upheld) to be recorded for each complaint.  This must include all Stage 1 complaints and any alternative outcomes must be attributed to the Upheld, Not Upheld or Partially Upheld outcomes.  For example: a policy outcome could be attributed to Not Upheld
<b>INDICATOR 3: Stage 1 Complaints upheld, partially upheld and not upheld</b>  <b>3a - Upheld Stage 1</b> 3 (i) number of complaints - upheld at stage 1  Stage 1: number of complaints - closed at stage 1 (frontline resolution)  <b>3a the number of complaints upheld at stage 1 as % of all complaints closed in full at stage 1</b>  <b>3b - Not Upheld Stage 1</b> 3 (ii) number of complaints - not upheld at stage 1  Stage 1: number of complaints - closed at stage 1 (frontline resolution)  <b>3b the number of complaints not upheld at stage 1 as % of all complaints closed in full at stage 1</b>  <b>3c - Partially Upheld Stage 1</b> 3 (iii) number of complaints - partially upheld at stage 1  Stage 1: number of complaints - closed at stage 1 (frontline resolution)  <b>3c the number of complaints partially upheld at stage 1 as % of all complaints closed in full at stage 1</b>  <b>Check</b> Upheld, not upheld & partially upheld complaints at Stage 1 = Number of complaints closed at Stage 1	67  236  28.4%  101  236  42.8%  68  236  28.8%  TRUE	There is a requirement for a formal outcome (upheld, partially upheld or not upheld) to be recorded for each complaint.  This must include all Stage 1 complaints and any alternative outcomes must be attributed to the Upheld, Not Upheld or Partially Upheld outcomes.  For example: a policy outcome could be attributed to Not Upheld
<b>INDICATOR 3: Stage 2 Complaints upheld, partially upheld and not upheld</b>  <b>3a - Upheld Stage 2</b> 3 (iv) number of complaints - upheld at stage 2  Stage 2: number of complaints - closed at stage 2 (investigation)  <b>3a the number of complaints upheld at stage 2 as % of all complaints closed in full at stage 2</b>	7  51  13.7%	There is a requirement for a formal outcome (upheld, partially upheld or not upheld) to be recorded for each complaint.  This must include all Stage 1 complaints and any alternative outcomes must be attributed to the Upheld, Not Upheld or Partially Upheld outcomes.  For example: a policy outcome could be attributed to Not Upheld

SPSO Local Authority Complaints Handling Procedure - Performance Indicators

Data Submission Template For:

Angus

Data should only be entered into the white cells, all grey cells are based on formulas and will calculate automatically when the white cells are completed.

	2017/18 01 Apr - 31 Mar	Data collation guidance
<b>3a - Not Upheld Stage 2</b> 3 (v) number of complaints - not upheld at stage 2 Stage 2: number of complaints - closed at stage 2 (investigation) <b>3b the number of complaints not upheld at stage 2 as % of all complaints closed in full at stage 2</b> <b>3a - Partially Upheld Stage 2</b> 3 (vi) number of complaints - partially upheld at stage 2 Stage 2: number of complaints - closed at stage 2 (investigation) <b>3c the number of complaints partially upheld at stage 2 as % of all complaints closed in full at stage 2</b> <b>Check Upheld, not upheld &amp; partially upheld complaints at Stage 2 = Number of complaints closed at Stage 2</b>	28 51 54.9% 16 51 31.4% TRUE	
<b>INDICATOR 3: Escalated Complaints upheld, partially upheld and not upheld</b> <b>3a - Upheld following Escalation</b> 3 (vii) number of complaints - upheld after escalation Esc: number of complaints - closed after escalation <b>3a the number of escalated complaints upheld at stage 2 as % of all escalated complaints closed in full at stage 2</b> <b>3a - Not Upheld following Escalation</b> 3 (viii) number of complaints - not upheld after escalation Esc: number of complaints - closed after escalation <b>3b the number of escalated complaints not upheld at stage 2 as % of all escalated complaints closed in full at stage 2</b> <b>3a - Partially Upheld following Escalation</b> 3 (ix) number of complaints - partially upheld after escalation Esc: number of complaints - closed after escalation <b>3c the number of escalated complaints partially upheld following escalation as % of all escalated complaints closed in full</b> <b>Check Upheld, not upheld &amp; partially upheld complaints following Escalation = Number of complaints closed following Escalation</b>	4 16 25.0% 9 16 56.3% 3 16 18.8% TRUE	This must include all Stage 1 complaints and any alternative outcomes must be attributed to the Upheld, Not Upheld or Partially Upheld outcomes. For example: a policy outcome could be attributed to Not Upheld
<b>INDICATOR 4 - The average time in working days for a full response to complaints at each stage</b> <b>4a - Stage 1</b> 4 (i) sum of the total number of working days taken for all complaints closed at stage 1 Stage 1: number of complaints - closed at stage 1 (frontline resolution) <b>4a the average time in working days for a full response to complaints at stage 1</b>	1,998 236 8.5	
<b>4b - Stage 2</b> 4 (ii) sum of the total number of working days taken for all complaints closed at stage 2 Stage 2: number of complaints - closed at stage 2 (investigation) <b>4b the average time in working days for a full response to complaints at stage 2</b>	1,715 51 33.6	
<b>4c - Following Escalation</b> 4 (iii) sum of the total number of working days taken for all complaints closed after escalation Esc: number of complaints - closed after escalation <b>4c the average time in working days for a full respond to complaints after escalation</b>	835 16 52.2	

SPSO Local Authority Complaints Handling Procedure - Performance Indicators

Data Submission Template For:

Angus

Data should only be entered into the white cells, all grey cells are based on formulas and will calculate automatically when the white cells are completed.

	2017/18 01 Apr - 31 Mar	Data collation guidance
<p><b>INDICATOR 5: The number and percentage of complaints at each stage which were closed in full within the set timescales of 5 and 20 working days</b></p> <p><b>5a - Stage 1</b></p> <p>5 (i) number of complaints - closed at stage 1 within 5 working days</p> <p>Stage 1: number of complaints - closed at stage 1 (frontline resolution)</p> <p>5a the number of complaints closed at stage 1 within 5 working days as % of total number of stage 1 complaints</p> <p><i>Note field only - total number and % of complaints closed at stage 1 within agreed timescales (i.e. within 5 working days) and also within 10 working days where extension has been authorised</i></p>	<p>135</p> <p>236</p> <p>57.2%</p> <p>137</p> <p>58.1%</p>	<p>Note field only - total number and % of complaints closed at stage 1 within agreed timescales (i.e. within 5 working days) and also within 10 working days where extension has been authorised</p>
<p><b>5a - Stage 2</b></p> <p>5 (ii) number of complaints - closed at stage 2 within 20 working days</p> <p>Stage 2: number of complaints - closed at stage 2 (investigation)</p> <p>5b the number of complaints closed at stage 2 within 20 working days as % of total number of stage 2 complaints</p> <p><i>Note field only - total number and % of complaints closed at stage 2 within agreed timescales (i.e. within 20 working days) and also within the agreed timescale where extension has been authorised</i></p>	<p>30</p> <p>51</p> <p>58.8%</p> <p>30</p> <p>58.8%</p>	
<p><b>5c - Following Escalation</b></p> <p>5 (iii) number of complaints - closed after escalation within 20 working days</p> <p>Esc number of complaints - closed after escalation</p> <p>5c the number of complaints closed after escalation within 20 working days as % of total number of escalated complaints</p> <p><i>Note field only - total number and % of complaints closed after escalated within agreed timescales (i.e. within 20 working days) and within the agreed timescale where extension has been authorised</i></p>	<p>3</p> <p>16</p> <p>18.8%</p> <p>3</p> <p>18.8%</p>	
<p><b>INDICATOR 6: The number and percentage of complaints at each stage where an extension to the 5 or 20 working day timeline has been authorised</b></p> <p><b>6a - Stage 1</b></p> <p>6 (i) number of complaints - closed at stage 1 where extension was authorised</p> <p>Stage 1: total number of complaints - closed at stage 1</p> <p>6a number of complaints closed at stage 1 where extension was authorised as % of all complaints at stage 1</p>	<p>4</p> <p>236</p> <p>1.7%</p>	
<p><b>6a - Stage 2</b></p> <p>6 (ii) number of complaints - closed at stage 2 where extension was authorised</p> <p>Stage 1: total number of complaints - closed at stage 2</p> <p>6b number of complaints closed at stage 2 where extension was authorised as % of all complaints at stage 2</p>	<p>3</p> <p>51</p> <p>5.9%</p>	
<p><b>5c - Following Escalation</b></p> <p>6 (ii) number of complaints - closed after escalated where extension was authorised</p> <p>Esc total number of complaints - closed after escalated</p> <p>6b number of complaints closed after escalated where extension was authorised as % of all complaints escalated</p>	<p>2</p> <p>16</p> <p>12.5%</p>	