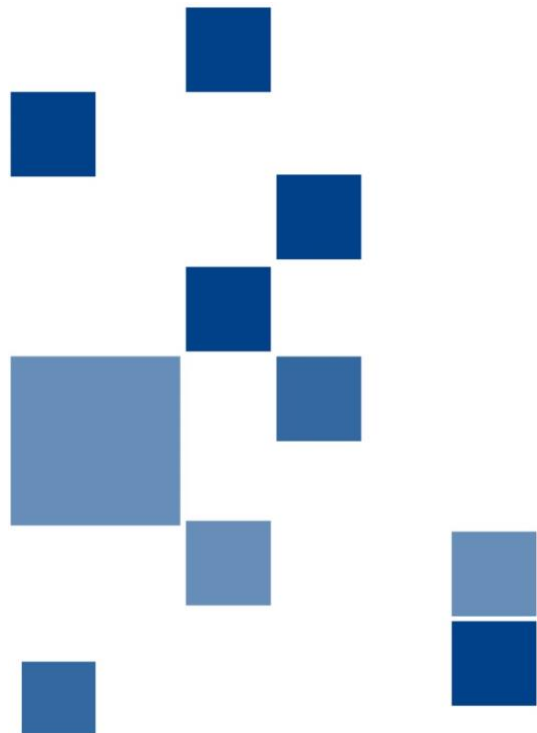


# **Complaints Performance 1 April 2020 – 31 March 2021**

April 2021



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## 1. Introduction

- 1.1 We seek to provide excellent customer service across our organisation. Complaints are an opportunity to make improvements and learn from where we have fallen short.
- 1.2 We follow the model complaints handling procedure (CHP) developed by the Scottish Public Services Ombudsman (SPSO). If complainants remain unsatisfied with our response once they have gone through our process, they can complain to the SPSO. The SPSO will then decide whether to open an investigation or not.
- 1.3 The SPSO published a revised model complaints handling procedure in January 2020. We adopted this revised model on 1 April 2021.
- 1.4 Our complaints handling procedure is on our [website](#).
- 1.5 In addition to this annual performance report, we publish a quarterly summary of performance on the complaints we receive, the actions we take and areas for improvement we have identified. We also report on our performance in responding to complaints in terms of timescales and process.
- 1.6 This report covers the period 1 April 2020 to 31 March 2021. Some totals do not equal 100% due to rounding.

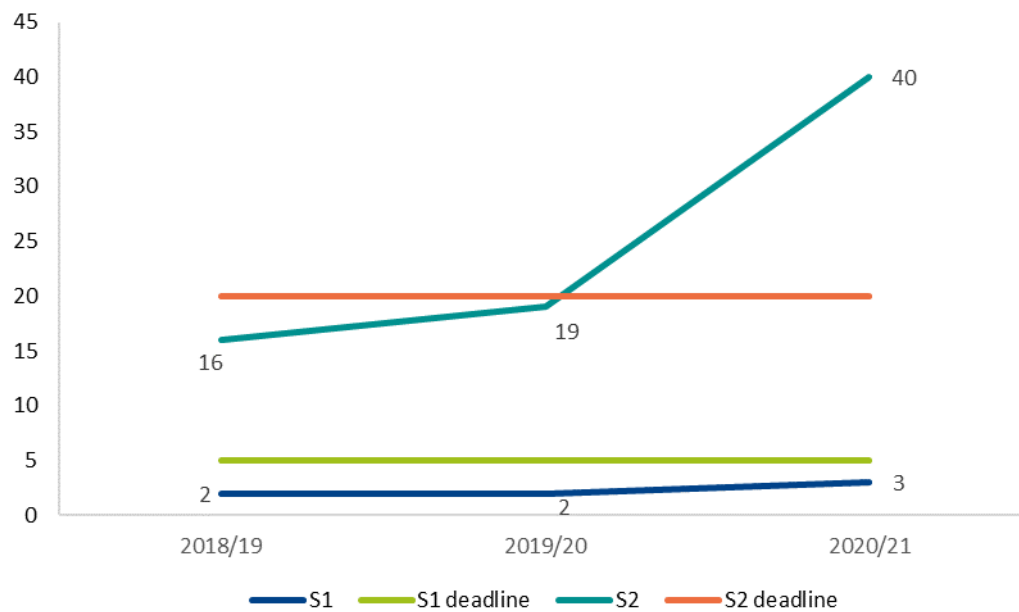
## 2. Performance summary

| No. | Indicator                                    | Performance<br>April 2019 –<br>March 2020 | Performance<br>April 2020 –<br>March 2021 | Comments on current<br>performance                                                                               |
|-----|----------------------------------------------|-------------------------------------------|-------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| 1.  | Complaints received per 1,000 registrants    | 1.25                                      | 0.6                                       | On 5 April 2021 there were 165,811 individual registrants on the Register. We received 94 complaints in 2020/21  |
| 2.  | Percentage of complaints closed at stage one | 92%                                       | 91%                                       | We responded to 95 complaints. 86 of these were closed at stage one                                              |
| 3.  | Percentage of complaints closed at stage two | 8%                                        | 9%                                        | We closed 9 complaints at stage two. This includes 5 complaints which were escalated from stage one to stage two |
| 4.  | Average working days to respond at stage one | 2                                         | 3                                         | Our agreed timescale is five working days                                                                        |

|     |                                                          |     |     |                                                                                                                                                                          |
|-----|----------------------------------------------------------|-----|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5.  | Average working days to respond at stage two             | 19  | 40  | Our agreed timescale to respond to a stage two complaint is 20 working days. One complaint had a late response of 235 days which has impacted this metric – see para 2.3 |
| 6.  | Stage one complaints closed within five working days     | 95% | 94% | We closed 81 stage one complaints within five working days                                                                                                               |
| 7.  | Stage two complaints closed within twenty working days   | 71% | 89% | 8 of the 9 stage two complaints were closed within 20 working days                                                                                                       |
| 8.  | Stage one complaints with an extension                   | 2%  | 2%  | We extended the deadline in two complaints                                                                                                                               |
| 9.  | Stage two complaints with an extension                   | 6%  | 0%  | We did not extend the deadline for any complaints                                                                                                                        |
| 10. | Proportion of complaints where complainant was satisfied | 83% | 95% | Due to reporting methods, this figure is indicative only. See para 2.6 for detail                                                                                        |
| 11. | Stage one complaints upheld                              | 23% | 14% | 12 stage one complaints were upheld                                                                                                                                      |
| 12. | Stage one complaints not upheld                          | 61% | 69% | 59 stage one complaints were not upheld                                                                                                                                  |
| 13. | Stage one complaints partially upheld                    | 16% | 17% | 15 stage one complaints were partially upheld                                                                                                                            |
| 14. | Stage two complaints upheld                              | 18% | 22% | 2 stage two complaints were upheld                                                                                                                                       |
| 15. | Stage two complaints not upheld                          | 53% | 67% | 6 stage two complaints were not upheld                                                                                                                                   |
| 16. | Stage two complaints partially upheld                    | 35% | 11% | 1 stage two complaint was partially upheld                                                                                                                               |

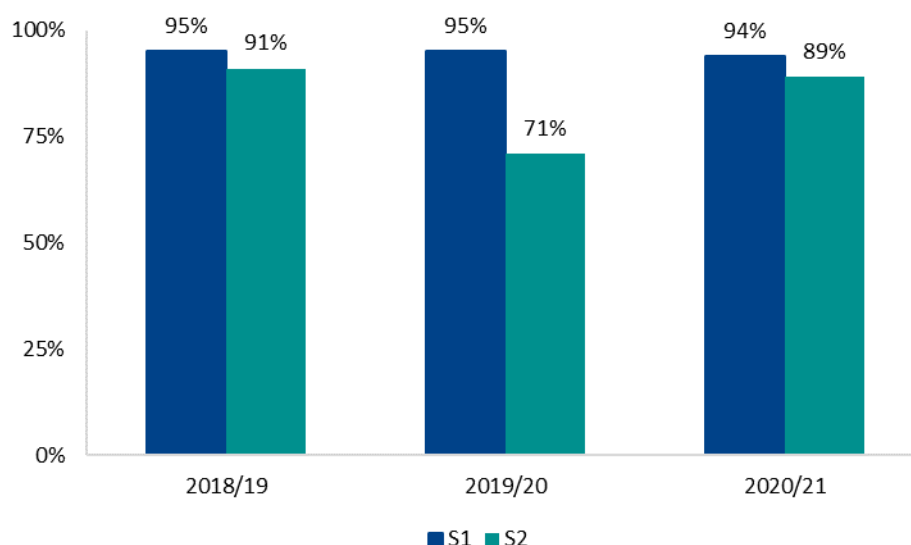
2.1 Our agreed timescales are to respond to stage one complaints within five working days, and stage two complaints within twenty working days. The following set of charts presents key information relating to our ability to respond within these timescales.

Figure 1: Average working days to respond to complaints



- 2.2 Our average time to respond to a stage one complaint has increased to three working days. This remains within the stated five day overall timescale for responding to complaints at that stage.
- 2.3 The average time to respond to a stage two complaint has increased from 19 to 40 days. This is primarily due to a complaint which received a delayed response as we were unable to provide a full reply as a result of an ongoing third party investigation. If this outlier is excluded, the average is 16 working days, which is in line with our recent performance in 2018/19 and 2019/20.
- 2.4 The change in these averages is reflected in the percentage of complaints we respond to within the respective timescales, shown in Figure 2.

Figure 2: Percentage of complaints with response within timescale



- 2.5 We responded to 94% of all stage one complaints within the agreed timescales and our ability to respond to stage two complaints within the allocated timescale has increased by from 71% in 2019/20 to 89% in 2020/21. This is despite the complaint described in paragraph 2.3.
- 2.6 We do not currently ask complainants how satisfied they are with the outcome or handling of their complaint. Recent changes to the way we record complaints at each stage of the procedure will allow us to more accurately define whether a customer was satisfied or not in the future.

### 3. What are complaints about?

- 3.1 We received 94 complaints between 1 April 2020 and 31 March 2021.
- 91% (86) were received at stage one of the CHP
  - 3% (3) were received directly at stage two
  - 5% (5) were stage two complaints escalated from a previous stage one complaint.
- 3.2 Over the same period we responded to 95 complaints. Note that not all complaints received in 2020/21 received a response in the same year (as some closed in early April 2021) and some responses were to complaints received in 2019/20.
- 91% (86) were at stage one
  - 9% (9) were at stage two.
- 3.3 Of the stage one complaints closed, most (49 complaints) were about one of our processes. Of those, the most frequent topics involved:

- 14 (29%) about fitness to practise processes
- 13 (27%) about the fees process ie requesting a refund
- 9 (18%) about fitness to practise investigation timescales

The comparatively high number of complaints about processes is to be expected given that these relate to areas of high-volume and high-impact work where we are in most contact with workers and stakeholders.

#### 3.4 We can categorise the other complaints as follows:

- 16 (19%) about communications ie the tone of our letters or the methods we used
- 13 (15%) about customer service ie poor customer service or inaccurate information provided
- 7 (8%) about MySSSC ie not working as expected
- 1 (1%) about our website.

#### 3.5 Of the stage two complaints closed, these are categorised as:

- 7 (78%) about processes
- 2 (22%) about communications.

### 4. What have we learned and what are we doing?

4.1 We always apologise when we get things wrong. Whether we uphold a complaint or not, we always look for ways to make improvements to our service and products.

#### 4.2 Case Studies

| What happened                                                                                                                                                                          | How we resolved things                                                                                                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Registrant received five texts requesting payment of annual fee despite having paid this on time, and no balance being due on MySSSC. The same thing happened the year before.         | The worker's number was on a duplicate record which recorded (incorrectly) that a fee was due. We now run an exception report to highlight duplicate mobile phone numbers on the system to prevent this happening again.                      |
| An employer received multiple emails requesting information that they had already provided. However, their emails to us were quarantined by our IT system and we did not receive them. | We identified that emails were being quarantined from various stakeholders and established processes to retrieve them. This should limit a recurrence of this issue in future and we will monitor this to ensure the issue has been resolved. |

|                                                                                                                                                                                 |                                                                                                                                                                                                     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| A worker called to update their employment and they were told this would be updated, but a removal notice would be received for their old registration which they could ignore. | This was an error on our part as we provided inaccurate information. Further training was provided to staff and this example is used for further training questions. We waived the application fee. |
| Registrant was not happy to receive necessary communications via post during the height of COVID-19.                                                                            | We updated the registrants record to only receive email correspondence in future.                                                                                                                   |
| We did not contact a worker to let them know their temporary order had expired.                                                                                                 | While it is not set out in our Rules that we need to do this, we acknowledged it would be good practise to do so. We now have a process in place to notify workers when their order expires.        |
| The wording on our website regarding temporary orders was wrong.                                                                                                                | We updated the wording on our website.                                                                                                                                                              |



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