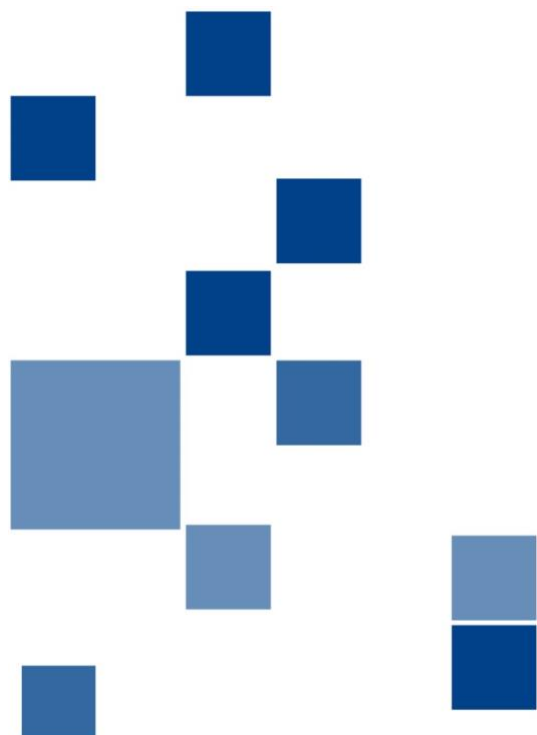


Complaints Performance 1 April 2021 – 31 March 2022

April 2022



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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 Our complaints handling procedure is on our [website](#).
- 1.4 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.
- 1.5 This report covers the period 1 April 2021 to 31 March 2022. Some totals do not equal 100% due to rounding.

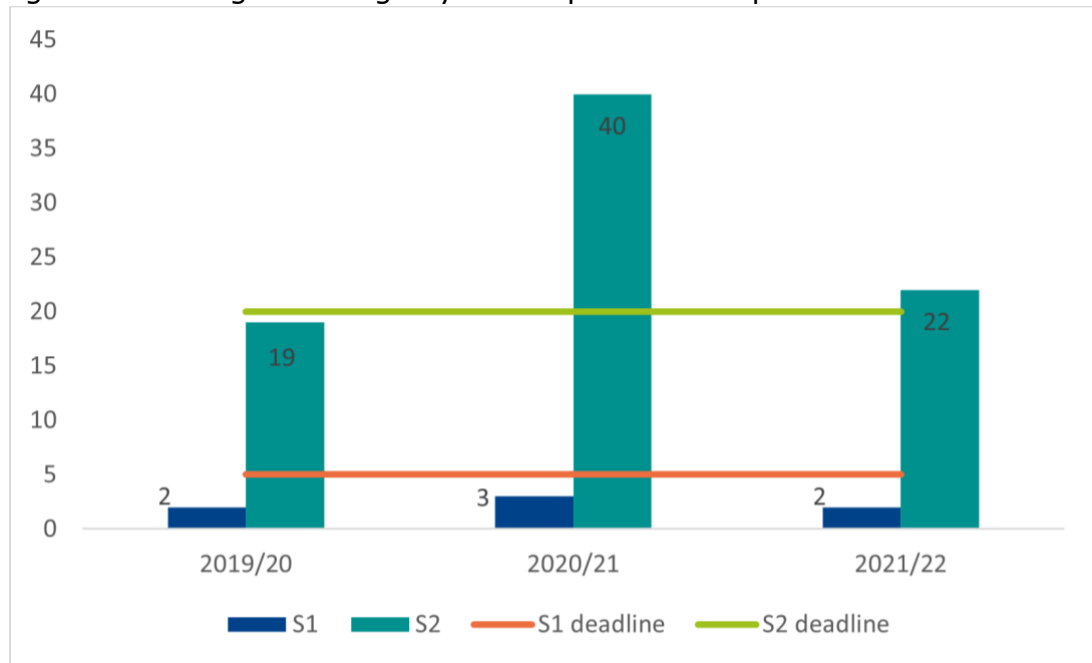
2. Performance summary

| No. | Indicator | Performance April 2020 – March 2021 | Performance April 2021 – March 2022 | Comments on current performance |
|-----|--|---|---|--|
| 1. | Complaints received per 1,000 registrants | 0.6 | 2.4 | On 28 March 2022 there were 163,750 individual registrants on the Register. We received 399 complaints in 2021/22 |
| 2. | Percentage of complaints closed at stage one | 91% | 96% | We responded to 401 complaints. 384 of these were closed at stage one |
| 3. | Percentage of complaints closed at stage two | 9% | 4% | We closed 17 complaints at stage two. This includes 10 complaints which were escalated from stage one to stage two |
| 4. | Average working days to respond at stage one | 3 | 2 | Our agreed timescale to respond to a stage one complaint is five working days |
| 5. | Average working days to respond at stage two | 40 | 22 | Our agreed timescale to respond to a stage two |

| | | | | |
|-----|--|-----|-----|--|
| | | | | complaint is 20 working days |
| 6. | Stage one complaints closed within five working days | 94% | 98% | We closed 378 stage one complaints within five working days |
| 7. | Stage two complaints closed within twenty working days | 89% | 76% | 13 of the 17 stage two complaints were closed within 20 working days |
| 8. | Stage one complaints with an extension | 2% | 1% | We extended the deadline in two stage one complaints |
| 9. | Stage two complaints with an extension | 0% | 18% | We extended the deadline in three stage two complaints |
| 10. | Proportion of complaints where complainant was satisfied | 95% | 98% | Due to reporting methods, this figure is indicative only. See para 2.7 for detail |
| 11. | Stage one complaints upheld | 14% | 5% | 18 stage one complaints were upheld |
| 12. | Stage one complaints not upheld | 69% | 25% | 96 stage one complaints were not upheld |
| 13. | Stage one complaints partially upheld | 17% | 4% | 17 stage one complaints were partially upheld |
| 14. | Stage one complaints resolved | N/A | 66% | 'Resolved' is an outcome introduced on 1 April 2021. 253 stage one complaints were resolved. |
| 15. | Stage two complaints upheld | 22% | 18% | 3 stage two complaints were upheld |
| 16. | Stage two complaints not upheld | 67% | 76% | 13 stage two complaints were not upheld |
| 17. | Stage two complaints partially upheld | 11% | 6% | 1 stage two complaint was partially upheld |

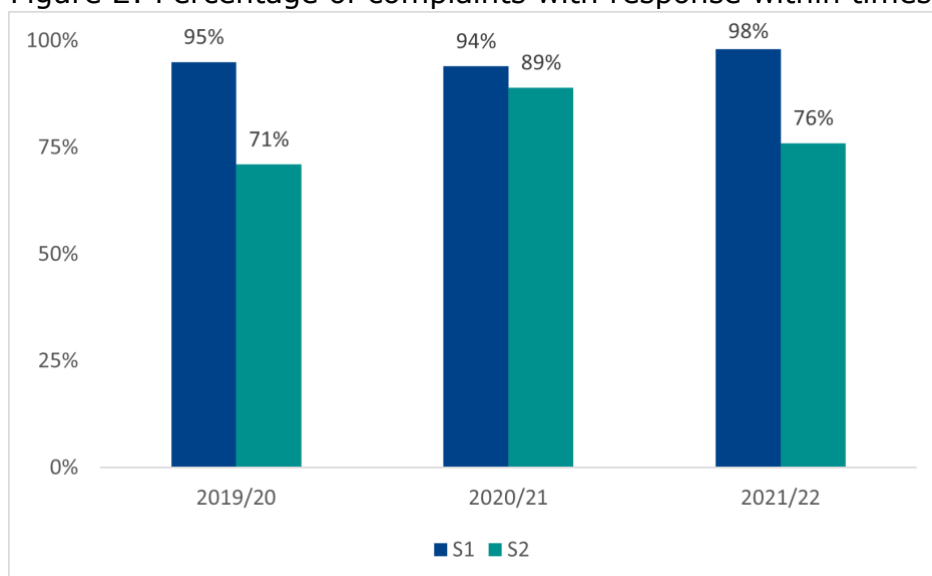
2.1 Our agreed timescales are to respond to stage one complaints within five working days, and stage two complaints within twenty working days. The following set of charts presents key information relating to our ability to respond within these timescales.

Figure 1: Average working days to respond to complaints



- 2.2 We have improved our average time to respond to a stage one complaint from three working days in 2020/21 to two working days in 2021/22.
- 2.3 The number of stage one complaints upheld, not upheld and partially upheld has mostly been in line with the previous year's performance, however the percentage has notably dropped due to the new 'resolved' outcome being introduced, which is what the majority of stage one complaints now have as an outcome.
- 2.4 We have also improved our average time to respond to a stage two complaint from 40 to 22 working days. One stage two complaint received in 2021/22 took 71 days to respond to due to the complexity of the case. Excluding this complaint the average time would have been 19 working days.
- 2.5 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



- 2.6 We responded to 98% of all stage one complaints within the agreed timescales, a 4% increase from the previous period. Our ability to respond to stage two complaints within the allocated timescale decreased from 89% in 2020/21 to 76% in 2021/22.
- 2.7 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 these complaints about?

- 3.1 We received 399 complaints between 1 April 2021 and 31 March 2022.
- 96% (384) were received at stage one of the CHP
 - 2% (6) were received directly at stage two
 - 2% (10) were stage two complaints escalated from a previous stage one complaint.
- 3.2 Over the same period we responded to 401 complaints. Note that not all complaints received in 2021/22 received a response in the same year (as some were received at the end of March 2022 and have not yet been responded to) and some responses were to complaints received in 2020/21.
- 96% (384) were at stage one
 - 4% (17) were at stage two.

3.3 Of the stage one complaints closed, most (225 complaints) were about one of our processes. Of those, the most frequent topics involved:

- 54 about the fees process (for example, requesting a refund)
- 32 about our removal process
- 26 about qualification requirements.

The comparatively high number of complaints about processes is 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:

- 92 about MySSSC (for example, the service not working as expected)
- 41 about communications (for example, the tone of our letters or the methods we used)
- 16 about customer service (for example, poor customer service or inaccurate information provided)
- 9 about our website
- 2 about events.

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

- 14 about processes
- 2 about customer service
- 1 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 |
|---|---|
| A worker was removed for non-payment of fees, despite getting confirmation their payment had gone through online. | This was partially upheld. The worker had not paid the full amount due and was therefore removed. We explained this to them, advising their registration would be reinstated if the outstanding balance was paid. We noted we would review our system to highlight cases such as this so we could contact workers prior to removal. |

| | |
|--|---|
| An applicant was unhappy with paying more for their application fee than someone else in the same role as them. | This was resolved. We explained the applicant was charged a higher amount because their counter signatory indicated on their application a PVG check had not been carried out when it in fact had. We confirmed we had all the relevant information and arranged a refund of the overpaid balance. |
| A worker could not find their recorded training and learning on MySSSC and were concerned this was lost. | This was resolved. We offered to send the worker a copy of their archived training and learning and explained that a new process has been introduced for recording this and provided links to the guidance for doing so. |
| A worker was unhappy that they continued to receive payment reminders despite having paid their fee over the phone with us. | This was upheld. We confirmed that the payment had been made and explained due to a system error, the worker's payment information had not been updated and automatic reminders were sent. We apologised for this. |
| A worker had been provided inaccurate information on two occasions regarding applying for registration. | This was upheld. We identified the wrong information being provided as a training issue in the department and apologised for this. We confirmed guidance has been issued to staff and that further training will be provided. |
| The wording on our website regarding temporary orders was wrong. | We updated the wording on our website. |
| A worker was unhappy with the length of time their investigation was taking. | This was upheld at stage two. We apologised and confirmed we could have reached an outcome by the point of the complaint and that we did not update the worker when we said we would. We confirmed an outcome would be reached within the next four weeks, this was done. |
| A worker was unhappy their application for registration was rejected due to information being missing from their application form. | This was partially upheld. We confirmed the correct process had been followed for us requesting further information, however there was a system issue that caused the information to be missing in the first place. We confirmed if the complainant submitted a new application they would not have to pay a new application fee. |

A worker had called multiple times as they were having difficulties logging into their MySSSC account.

This was resolved. The complainant was given advice and walked through how to log in to their account while on the phone.

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