



Policy and Resources Committee

Tuesday, 14 January 2020

NOTICE IS HEREBY GIVEN that a Meeting of the **Policy and Resources Committee** is to be held at **Council Chambers, Council Office, High Street, Elgin, IV30 1BX** on **Tuesday, 14 January 2020** at **09:30**.

BUSINESS

- 1 **Sederunt**
- 2 **Declaration of Group Decisions and Members Interests ***
- 3 **Minutes**
- 3a) **Minute of Meeting dated 29 October 2019** 5 - 12
- 3b) **Minute of Appointments Committee Meeting dated 19 November 2019** 13 - 14
- 3c) **Minute of Shortleeting Committee Meeting dated 22 October 2019** 15 - 16
- 4 **Written Questions ****
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Report by Depute Chief Executive (Education, Communities and Organisational Development)
- 6 **Rapid Rehousing Transition Plan Report** 41 - 44
Report by Depute Chief Executive (Economy, Environment and Finance)

7 Corporate Services Performance Report - October 2018 45 - 68

to March 2019

Report by Depute Chief Executive (Education, Communities and Organisational Development)

8 Complaints Annual Report 2018-19 69 -

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Report by Chief Executive

9 Question Time ***

Consider any oral question on matters delegated to the Committee in terms of the Council's Scheme of Administration.

Summary of Policy and Resources Committee

functions:

To regulate, manage and monitor the finances of the Council both capital and revenue; to deal with staffing policies and practices other than for teaching staff; to deal with equal opportunities policies and practices; to deal with procurement policies and priorities; to deal with all matters relating to the Council's duty to initiate, maintain and facilitate Community Planning; to ensure that the organisation, administrative and management processes of the Council are designed to make the most effective contribution to achieving the Council's objectives; to provide all central support services; to exercise the functions of the Council in connection with the Registration of Births, Deaths and Marriages; to deal with valuation and electoral registration matters.

Any person attending the meeting who requires access assistance should contact customer services on 01343 563217 in advance of the meeting.

GUIDANCE NOTES

* **Declaration of Group Decisions and Members Interests** - The Chair of the meeting shall seek declarations from any individual or political group at the beginning of a meeting whether any prior decision has been reached on how the individual or members of the group will vote on any item(s) of business on the Agenda, and if so on which item(s). A prior decision shall be one that the individual or the group deems to be mandatory on the individual or the group members such that the individual or the group members will be subject to sanctions should they not vote in accordance with the prior decision. Any such prior decisions will be recorded in the Minute of the meeting.

** **Written Questions** - Any Member can put one written question about any relevant and competent business within the specified remits not already on the agenda, to the Chair provided it is received by the Proper Officer or Committee Services by 12 noon two working days prior to the day of the meeting. A copy of any written answer provided by the Chair will be tabled at the start of the relevant section of the meeting. The Member who has put the question may, after the answer has been given, ask one supplementary question directly related to the subject matter, but no discussion will be allowed.

No supplementary question can be put or answered more than 10 minutes after the Council has started on the relevant item of business, except with the consent of the Chair. If a Member does not have the opportunity to put a supplementary question because no time remains, then he or she can submit it in writing to the Proper Officer who will arrange for a written answer to be provided within 7 working days.

*** **Question Time** - At each ordinary meeting of the Committee ten minutes will be allowed for Members questions when any Member of the Committee can put a question to the Chair on any business within the remit of that Section of the Committee. The Member who has put the question may, after the answer has been given, ask one supplementary question directly related to the subject matter, but no discussion will be allowed.

No supplementary question can be put or answered more than ten minutes after the Committee has started on the relevant item of business, except with the consent of the Chair. If a Member does not have the opportunity to put a supplementary question because no time remains, then he/she can submit it in writing to the proper officer who will arrange for a written answer to be provided within seven working days.

Clerk Name:

Clerk Telephone: 01343 563016

Clerk Email: committee.services@moray.gov.uk

THE MORAY COUNCIL

Policy and Resources Committee

SEDERUNT

Councillor Aaron McLean (Chair)
Councillor Graham Leadbitter (Depute Chair)
Councillor George Alexander (Member)
Councillor Frank Brown (Member)
Councillor John Cowe (Member)
Councillor Lorna Creswell (Member)
Councillor John Divers (Member)
Councillor Tim Eagle (Member)
Councillor Ryan Edwards (Member)
Councillor Donald Gatt (Member)
Councillor Louise Laing (Member)
Councillor Shona Morrison (Member)
Councillor Sonya Warren (Member)

Clerk Name:

Clerk Telephone: 01343 563016

Clerk Email: committee.services@moray.gov.uk

Minute of Meeting of the Policy and Resources Committee

Tuesday, 29 October 2019

Council Chambers, Council Office, High Street, Elgin, IV30 1BX

PRESENT

Councillor Frank Brown, Councillor John Cowe, Councillor Lorna Creswell, Councillor John Divers, Councillor Tim Eagle, Councillor Donald Gatt, Councillor Louise Laing, Councillor Graham Leadbitter, Councillor Aaron McLean, Councillor Shona Morrison, Councillor Sonya Warren

APOLOGIES

Councillor George Alexander, Councillor Ryan Edwards

IN ATTENDANCE

Chief Executive, Depute Chief Executive (Education, Communities and Organisational Development), Depute Chief Executive (Economy, Environment and Finance), Chief Financial Officer, Acting Head of HR, ICT and Organisational Development, Head of Economic Growth and Development, Transformation Officer, Economic Growth and Regeneration Manager, Estates Manager, Mr R Cooper, Facilities Officer, Head of Governance, Strategy and Performance and Mrs L Rowan, Committee Services Officer as Clerk to the Committee.

1 Chair

Councillor A McLean, being Chair of the Policy and Resources Committee, chaired the meeting.

2 Declaration of Group Decisions and Members Interests

In terms of Standing Order 20 and the Councillors' Code of Conduct, there were no declarations from Group Leaders or Spokespersons in regard to any prior decisions taken on how Members will vote on any item on the agenda or any declarations of Member's interests in respect of any item on the agenda.

3 Resolution

The meeting resolved that, in terms of Section 50A (4) and (5) of the Local Government (Scotland) Act 1973, as amended, the public and media representatives be excluded from the meeting during consideration of the items of business appearing at the relevant paragraphs of this minute as specified below, so as to avoid disclosure of exempt information of the class described in the appropriate paragraphs of Part 1 of Schedule 7A of the Act.

Paragraph Number of Minute	Paragraph Number of Schedule 7A and reason
17	1 Information relating to staffing matters
18	6 & 9 Information relating to the financial or business affairs of any particular person(s) and information on terms proposed or to be proposed by or to the Authority.

4 Minute of Meeting dated 3 September 2019

The minute of the meeting of the Policy and Resources Committee dated 3 September 2019 was submitted and approved.

5 Minute of Special Meeting dated 2 October 2019

The minute of the special meeting of the Policy and Resources Committee dated 2 October 2019 was submitted and approved.

6 Written Questions

The Committee noted that no written questions had been submitted.

7 Charging for Services

Councillor Cowe joined the meeting during discussion of this item.

Under reference to paragraph 8 of the Minute of this Committee dated 28 October 2017, a report by the Depute Chief Executive (Economy, Environment and Finance) asked the Committee to agree the default increase for fees and charges for Council services for 2020/21.

During discussion, Councillor Eagle stated that he was disappointed that the Council had to consider raising its charges by 5% although accepted the reasoning behind the proposal. He did however raise concern that a 5% increase across all services could result in a loss of income as this may deter the uptake in certain services and therefore moved that an additional recommendation be added to ensure that individual services review charges with a view to maximising income against demand. This was seconded by Councillor Brown.

There being no-one otherwise minded, the Committee agreed:

- i. that the default increase for charges for Council services for 2020/21 is 5% as set out in paragraph 3.7 of the report;
- ii. that Moray Integration Joint Board (MIJB) be requested to recommend charges for services delivered under the aegis of MIJB as set out in paragraph 3.12 of the report;

- iii. to re-affirm the current policy of permitting circus lets only if the circus concerned is a member of the Association of Circus Proprietors; and
- iv. that individual services review charges with a view to maximising income against demand.

8 Banking Set Off Agreement

A report by the Depute Chief Executive (Economy, Environment and Finance) sought approval from the Committee to enter into a set off agreement with the bank.

Following consideration, the Committee agreed to:

- i. enter the set off agreement with the Bank; and
- ii. authorise the Chief Financial Officer to sign the set off agreement.

9 Business Loan Scotland

Under reference to paragraph 15 of the Minute of the meeting of Moray Council dated 28 June 2018, a report by the Depute Chief Executive (Economy, Environment and Finance) informed the Committee of proposed changes to Business Loan Scotland of which Moray Council is a Full Member and sought approval of the recommendations within the report.

Following consideration, the Committee agreed to:

- i. approve the amendments to the Articles of Association and if approved agree to grant delegated authority to the Chief Financial Officer and Head of Economic Growth and Development to sign the Special Resolution as set out in paragraphs 3.3 and 3.4 of the report;
- ii. approve a request that the Council's investment allocation to be returned as set out in paragraph 3.5 of the report;
- iii. withdraw representation on the Business Loan Scotland board as detailed in paragraph 3.6 of the report; and
- iv. note that members will be advised should repayment not proceed as anticipated.

10 Change of May Day 2020

A report by the Depute Chief Executive (Education, Communities and Organisational Development) asked the Committee to approve changing the May Day public holiday in 2020 following a recent announcement by the UK Government to shift the Early May Bank Holiday next year from Monday 4 May to Friday 8 May to coincide with celebrations for the 75th anniversary of VE Day.

Following consideration, the Committee agreed to approve moving the May Day public holiday in 2020 from Monday 4 May to Friday 8 May to coincide with VE Day

commemoration.

11 Business Gateway Service Level Agreement Review

Under reference to paragraph 10 of the Minute of the meeting of the Economic Development and Infrastructure Services Committee dated 23 January 2018, a report by the Depute Chief Executive (Economy, Environment and Finance) informed the Committee of the review of the Business Gateway Service Level Agreement (SLA) with Highland Council and sought approval for the recommendations detailed within the report.

During discussion surrounding the services provided by Highland Council to facilitate the Business Gateway Service SLA, Councillor Brown noted that the report stated that there was little evidence provided of direct work activity associated with the SLA. He emphasised the current financial state of the Council and that £48000 would be a welcome saving given that there appeared to be no requirement to carry out substantial work in terms of SLA and therefore moved that the Committee terminate the SLA and that the saving of £48000 be returned to the Council.

In response, the Head of Economic Growth and Development advised that the Council had asked Highland Council for evidence of the work associated with the SLA however this evidence had not been forthcoming therefore the report stated that there was little evidence provided of direct work activity associated with the SLA. He further advised that the report before the Committee was asking for agreement to give the required 3 months notice to terminate the SLA and that a further report would be provided where the Committee could debate the merits of future funding associated with the SLA.

After considering the advice from the Head of Economic Growth and Development, Councillor Brown agreed to withdraw his motion.

Thereafter, the Committee agreed to:

- i. note the outcomes of the annual review of the Business Gateway SLA with Highland Council;
- ii. approve the required 3 months' notice for terminating the SLA by the end of this financial year; and
- iii. note a further report to Committee will be provided concerning future Local Growth Accelerator Programme arrangements and staffing requirements as detailed in paragraph 3.10 of the report.

12 2019 Workforce Strategy and Plan

A report by the Depute Chief Executive (Education, Communities and Organisational Development) provided the Committee with an update on the progress made against the actions set out in the 2018 Workforce Plan and proposed an updated Workforce and Organisational Development Strategy and Plan for 2019-2022.

Following consideration, the Committee agreed to:

- i. note the progress made against the actions in the 2018 Workforce Plan; and

- ii. approve the Workforce and Organisational Development Strategy as set out in Appendix A and Plan for 2019 as set out in Appendix B.

13 Property Asset Management Appraisal

Under reference to paragraph 6 of the Minute of the Meeting of the Policy and Resources Committee dated 12 December 2018, a report by the Depute Chief Executive (Economy, Environment and Finance) provided the Committee with a progress update on the key recommendations set out within the Property Asset Management Appraisal.

The Committee joined the chair in commending the Transformation Officer for his considerable efforts to improve how the Council manages its property assets, and thereafter agreed to note:

- i. the progress achieved to date as set out in Section 4 of the report;
- ii. the intention to present the Property Asset Management Structures to Council in November 2019 providing the job evaluations for all new posts have been agreed;
- iii. that a progress report on the Leisure Estate will be presented to Council in November 2019;
- iv. the revised timescales identified for the completion of key actions and agrees to continue the secondment of the Head of Housing and Property up to 31 December 2019;
- v. that a further update on the various actions within the PAMA that are nearing completion will be presented to this Committee in February 2020; and
- vi. that revenue savings of £16k and capital receipts of £914k have been achieved to date.

14 Tourism Business Improvement District - Ballot

Under reference to paragraph 7 of the Minute of the Meeting of the Economic Development and Infrastructure Services Committee dated 16 April 2019, a report by the Depute Chief Executive (Economy, Environment and Finance) informed the Committee on the ballot for the Tourism Business Improvement District (BID) and sought the Committee's approval to support the proposals.

The Committee joined the Chair in commending the work of Moray Speyside Tourism for their efforts which had resulted in a significant increase in tourism in Moray and thereafter agreed:

- i. to approve the Tourism Business Improvement District (BID) proposal and business plan for 2020 – 2025 as set out in Appendices I and II of the report; and
- ii. at the ballot stage to vote in favour of the minimum annual levy cost of £365.

15 Community Access to Sanitary Provision

Under reference to paragraph 16 of the Minute of the Meeting of the Children and Young Peoples Committee dated 29 May 2019, a report by the Depute Chief Executive (Economy, Environment and Finance) informed the Committee of the project to provide free sanitary protection to eligible members of the public throughout Moray.

Following consideration, the Committee agreed to note the contents of the report in relation to Community Access to Sanitary Provision.

16 Question Time

Councillor Morrison noted that the UK Government had been unable to set a budget which will have an impact on the Scottish Government's budget setting process and queried how this will affect the Council.

In response, the Chief Executive advised that Scottish Local Authority Chief Executives had attended a recent COSLA meeting where they had been advised that there was uncertainty over budget dates following the announcement from the UK Parliament that there would be no UK budget set on 6 November 2019 which in turn affected the Scottish Government's planned budget date of 12 December 2019. He further advised that a series of meetings are due to take place with COSLA and Scottish Government Ministers over coming days which will provide further information in terms of the implications for the Council in setting its budget which requires to be set by February 2020.

17 Museums Service [Para 1]

Under reference to paragraph 6 of the Minute of the Meeting of Moray Council dated 26 September 2018, a report by the Depute Chief Executive (Economy, Environment and Finance) asked the Committee to note the work of the Museums Service and sought approval for all Museum staff to be notified of the risk of redundancy.

Following consideration, the Committee agreed to:

- i. note the achievements of the Museums Service contained in the Annual reports 2017/18 and 2018/19 as set out in Appendices I and II of the report;
- ii. note the work done to date to develop a sustainable base from which to transfer the museum service to a trust, noting that there is no current prospect of a viable model being identified and implemented by April 2020 or shortly thereafter;
- iii. note the wider developments being investigated for a Future Falconer should a viable model be identified and in light of the council's decision in February 2019 to either transfer the museum service to a trust or close it and that all Museums staff are notified of the risk of redundancy and placed in the Councils Transform programme.

18 Proposed Sale of Property in Elgin [Para 6&9]

A report by the Depute Chief Executive (Economy, Environment and Finance) asked the Committee to approve the provisionally agreed main terms for the sale of Council land in Elgin.

Following consideration, the Committee agreed to:

- i. approve the main provisional terms of sale as set out in paragraph 5.1 of this report; and
- ii. refer the matter to the Legal Services Manager to conclude the transaction.

Minute of Meeting of the Policy and Resources Appointments Committee

Tuesday, 19 November 2019

Committee Room, Council Office, High Street, Elgin, IV30 1BX

PRESENT

Councillor Frank Brown, Councillor John Divers, Councillor Tim Eagle, Councillor Graham Leadbitter, Councillor Aaron McLean, Councillor Shona Morrison

APOLOGIES

Councillor John Cowe

IN ATTENDANCE

Depute Chief Executive (Education, Communities and Organisational Development) and Mrs C Howie, Committee Services Officer, as Clerk to the meeting.

ALSO PRESENT

Councillor Lorna Creswell as substitute for Councillor John Cowe.

1 Chair

The meeting was chaired by Councillor Aaron McLean.

2 Resolution

The meeting resolved that in terms of Section 50A (4) and (5) of the Local Government Act 1973, as amended, the public and media representatives be excluded from the meeting during consideration of the item of business appearing at paragraph 3 of this minute as specified below, so as to avoid disclosure of exempt information of the class described in paragraph 1 part 1 of Schedule 7A of the Act.

3 Appointments Committee Presentations for the Post of Head of HR, ICT and Organisational Development

Under reference to paragraph 3 of the Minute of the meeting of this Committee dated 22 October 2019, the Committee noted that following the shortlisting 3 candidates, namely 1, 2 and 3, had been invited to participate in the assessment centre and interviews in accordance with the agreed arrangement on 7 November 2019.

Following participation in the assessment centre and interviews all 3 applicants had been invited to give a presentation for the post of HR, ICT and Organisational Development.

On conclusion of the presentations the Committee discussed these and thereafter adjourned the meeting to allow a summary report to be written on each of the 3 candidates, detailing their results from the assessment centre and professional interviews on 7 November and a summary of the presentations.

4 Resumption of Meeting

The meeting resumed at 2:00pm.

5 Present

Councillors A McLean (Chair), G Leadbitter, F Brown, J Divers, T Eagle, S Morrison and L Creswell (as substitute for Councillor J Cowe).

6 Apologies

Councillor John Cowe.

7 In Attendance

The Depute Chief Executive (Education, Communities and Organisational Development) and Mrs C Howie, Committee Services Officer, as Clerk to the meeting.

8 Appointments Committee Presentations for the Post of Head of HR, ICT and Organisational Development (continued)

The Committee noted the summary information report had been issued during the adjournment and proceeded to discuss the results for each candidate.

Following lengthy discussion a motion was proposed and seconded that Candidate 1 be appointed to the post of Head of HR, ICT and Organisational Development.

As an amendment it was proposed and seconded that no appointment be made and the post of Head of HR, ICT and Organisational Development be re-advertised.

Thereafter a vote was undertaken following which it was decided to offer the post of Head of HR, ICT and Organisational Development to Candidate 1, namely Frances Garrow.

Minute of Meeting of the Policy and Resources Appointments Committee

Tuesday, 22 October 2019

Committee Room, Council Office, High Street, Elgin, IV30 1BX

PRESENT

Councillor Frank Brown, Councillor John Divers, Councillor Graham Leadbitter, Councillor Aaron McLean, Councillor Shona Morrison

APOLOGIES

Councillor John Cowe, Councillor Tim Eagle

IN ATTENDANCE

Councillor L Creswell substituted for Councillor J Cowe and Councillor D Gatt substituted for Councillor T Eagle.

The Depute Chief Executive (Education, Communities & Organisational Development) and Mrs C Howie, Committee Services Officer as clerk to the meeting.

1 Chair of Meeting

The meeting was chaired by Councillor Aaron McLean.

2 Resolution

The meeting resolved that in terms of Section 50A (4) and (5) of the Local Government (Scotland) Act 1973, as amended, the public and media representatives be excluded from the meeting during consideration of the item of business appearing at paragraph 3 of this Minute so as to avoid disclosure of exempt information of the class described in Paragraph 1 of Part I of Schedule 7A of the Act.

3 Shortleat for the Appointment of the Head of HR, ICT and Organisational Development

The meeting noted that there were 4 applicants for the post of Head of HR, ICT and Organisational Development.

Following discussion the Committee agreed that applicants 1, 2 and 3 in the papers be invited to attend the next stage of the selection process in accordance with agreed arrangements.

4 Interview Panel

The Depute Chief Executive (Education, Communities & Organisational
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Development) advised that due to the nature of the post being appointed to she had agreed to undertake the role of HR advisor for this meeting, however it would be necessary to have someone else in attendance at the next stage to form a panel of 3.

Following discussion the Committee agreed the Depute Chief Executive (Education, Communities & Organisational Development) should contact neighbouring authorities and seek assistance in providing an officer of the appropriate level. The Committee further agreed that should an officer from a neighbouring authority not be available that the Depute Chief Executive (Education, Communities & Organisational Development) arrange for a suitable officer from within Moray Council to attend.



REPORT TO: POLICY AND RESOURCES COMMITTEE 14 JANUARY 2020

SUBJECT: PARTICIPATORY BUDGETING

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 To inform the Committee of the requirement for Participatory Budgeting from 1 April 2020 and to seek approval for a Moray wide Policy Statement and Framework relating to Participatory Budgeting.
- 1.2 This report is submitted to Committee in terms of Section III (B) (1) of the Council's Scheme of Administration relating to the financial and budgetary policy of the Council

2. RECOMMENDATION

2.1 It is recommended that the Committee:

- (i) approves the Participatory Budgeting Policy Statement and Framework as detailed in APPENDIX 1;**
- (ii) instructs officers to identify service areas for Participatory Budgeting within Moray and report these back to this committee along with plans to run the appropriate Participatory Budgeting exercises for the first budget areas; and**
- (iii) requires that officers report back to Committee the outcome of the participatory budgeting exercises once completed.**

3. BACKGROUND

- 3.1 The Community Empowerment (Scotland) Act 2015 provides a range of powers to strengthen community voices with decision-making that directly impacts them. It makes particular provisions on participation in public decision making and the role that Participatory Budgeting can play in this.

- 3.2 As a consequence of this, on the 29 October 2017, the Scottish Government and COSLA agreed a framework to work together to have at least 1% of Council budgets subject to Participatory Budgeting by the end of the 2020/21 Financial Year.
- 3.3 The 1% has been defined as: “Total estimated expenditure for revenue, as per the local government finance circular, less assumed council tax intake”. This is a minimum target and can be made up of revenue and capital expenditure.
- 3.4 The intention is to move Participatory Budgeting from a community grant-making model, which has been predominant, to Mainstream Participatory Budgeting where the community is more engaged in influencing larger elements of the budget as appropriate.
- 3.5 Participatory Budgeting is a democratic way for people to have a direct say on how public money is spent. The process gives local people the opportunity to identify and discuss what matters to them in their communities and to vote on their priorities.
- 3.6 Local Authorities throughout Scotland are at various stages of implementing their Participatory Budgeting strategy and identifying areas within their service budgets to use for PB exercises.
- 3.7 Examples from other authorities include;
- (i) Stirling Council launched: “Your Stirling: You Decide” where local people were given the opportunity to decide how to spend £700,000 of budget set aside for infrastructure and environment proposals.
 - (ii) Fife Council launched: “Moving to the Mainstream. Let’s Talk about Transporting People” where the community will be involved in designing the £22m passenger transport service
 - (iii) North Ayrshire launched: “Your Environment, You Decide” where £750,000 of the open space grounds maintenance budget was allocated through a participatory budgeting exercise

4. POLICY STATEMENT AND FRAMEWORK

- 4.1 The policy statement detailed in **APPENDIX 1** was initially drafted before being presented via Money for Moray to representatives from the local community (Community Council, Money for Moray, Area Forums and the Federation of Village Halls) for their input and feedback. A subsequent meeting was then arranged between Council Officers and community representatives representing the various community groups, to discuss and agree amendments. These changes were adopted into the final document which then received sign off.

- 4.2 The statement recognises and adopts the 7 key features of the PB Scotland and Scottish Government “Participatory Budgeting Charter for Scotland” contained in **APPENDIX 2**
- 4.3 The aim of Participatory Budgeting (PB) within Moray is to recognise that it can help build relationships between people, communities and public organisations by encouraging participation.
- 4.4 It is anticipated that Moray will achieve the aims of PB outlined in 4.3 above in a number of ways none of which are exclusive. These will include: using the Moray Community Planning Partnership Community Engagement Strategy and National Standards for Community Engagement; proactively involving and engaging local people in making decisions on how money is spent in their community; building on the foundation of various earlier PB projects offered in Moray by groups such as: Money for Moray, Bucks for Buckie, tsiMoray (You Choose) and the Church of Scotland Community Choices.
- 4.5 **APPENDIX 1** lays out the proposed structure for delivering PB with a Steering Group responsible for giving strategic guidance and focus to the process and a Delivery Team, including local community representation, to run the PB exercise. The makeup of the Delivery Team will be fluid and it is expected that it will change to reflect the service that has been identified.
- 4.6 Public / community voting will take place to identify the preferred option for the allocation of budget; votes will be counted, verified and results announced by the Delivery Team. There will be no appeal mechanism and it is the responsibility of the Lead Officer of the Delivery Team to ensure that the service delivers the budget in line with the outcome of the PB exercise.
- 4.7 It is anticipated that voting will be - depending upon geographical area and type/size of PB budget - a mix of digital, town hall meetings and canvassing.
- 4.8 Digital voting will require IT support and the system of choice for most local authorities is the open source platform Consul created by Madrid City Council. The platform is used in 100 cities across 55 countries. COSLA has been actively engaged to develop a pilot that explores the broad range of features of the platform.
- 4.9 The pilot is a partnership with the Scottish Government, the Digital Office for Scottish Local Government, the Improvement Service and the Democratic Society. COSLA is hosting the platform for member Councils. The first phase of the pilot began with online voting for West Dunbartonshire Council which ran between 8 and 23 February 2019 with over 4,000 votes being cast.
- 4.10 It is expected that Moray Council will adopt Consul as our own digital / online voting platform. Although Consul is a free to use platform, there is expected to be a cost element and resource impact upon the ICT department for initial setup and running.

5. **SUMMARY OF IMPLICATIONS**

(a) **Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))**

The Council's Corporate Plan recognises the value of increasing the involvement and influence of our communities in service design and elements of our budget. The plan commits to empowering and supporting communities to build capacity by becoming involved, influential and active in service design and delivery. Participatory Budgeting will help to take these commitments forward.

(b) **Policy and Legal**

The Community Empowerment (Scotland) Act 2015 makes particular provisions on participation in public decision making and the role that Participatory Budgeting can play in this.

(c) **Financial implications**

There will be cost implications associated with Participatory Budgeting, in particular from communicating and promoting the exercise within the Community; together with potential costs for setting up IT system to run an online PB voting exercise. These will be contained as far as possible to ensure they are affordable and will be identified as part of the Council's financial planning cycle as the budget areas for PB are identified.

(d) **Risk Implications**

There are no risk implications arising directly from this report. However, early indications are that it may be challenging to identify suitable budget areas amounting to 1% in the timescale required. To address this work will continue to develop PB over the financial year and to plan ahead for future PB opportunities, for example in future planned capital works.

(e) **Staffing Implications**

It is anticipated that there will be resource implications associated with Participatory Budgeting, with a requirement that Officers of the Community Support Unit, ICT and from participating service areas will be required to set up and / or assist in the running of Participatory Budgeting. It is expected that these will be met from existing resources and no additional staff will be required.

(f) **Property**

There are no property implications arising directly from this report.

(g) **Equalities/Socio Economic Impact**

The process of Participatory Budgeting creates an opportunity to address socio-economic inequalities at locality level in partnership with local community groups and community planning partners. In order to ensure that PB meets local needs, a number of locality planning projects were started in 2018 leading to local plans by and for the community that directly influence the services we provide.

(h) Consultations

Members of the Corporate and Senior Management Teams, the Head of Governance, Strategy and Performance, the Chief Financial Officer, the Equal Opportunities Officer and Mrs L Rowan, Committee Services Officer have been consulted in the preparation of this report.

6. CONCLUSION

- 6.1 This report provides details on Participatory Budgeting as it will apply to Scotland and proposes a Policy Statement and Framework for adoption and implementation of mainstream PB in relation to the Moray Council budget.**
- 6.2 The report identifies that Participatory Budgeting will require a voting mechanism which may include the free to use digital platform Consul**

Author of Report: Paul Connor, Principal Accountant
Background Papers:
Ref:

Moray Council Participatory Budgeting Policy Statement & Framework

1. INTRODUCTION

Background

- 1.1 The Community Empowerment (Scotland) Act 2015 provides a range of powers to strengthen the voices of communities in decision-making that directly matters to them. It makes particular provisions on participation in public decision making and the role that Participatory Budgeting can play in this.
- 1.2 Participatory Budgeting (PB) is a way for people to have a direct say on how public money is spent to address local needs. It gives people the opportunity to identify what matters to them in their local community and to vote on their priorities.
- 1.3 On 29 October 2017 the Scottish Government and Cosla agreed a framework to work together to have at least 1% of Council budgets subject to Participatory Budgeting (PB) by 2021. This is to ensure local decision making and the commitment to work together with wider public and third sector partners.

Benefits of Participatory Budgeting

- 1.4 PB can be used to give everyone who is affected by a decision on how money is spent an opportunity to share their views and listen to others. It provides a space for sharing information and for everyone involved to develop their knowledge about how public finances work. PB is a way for people who live and work in communities to work together to make sure that public money is used to achieve the best possible results.
- 1.5 PB is intended to:
 - Proactively involve and engage local people in making decisions on how public money is spent in their community.
 - Engage people in the design of policy and strategy that eliminates participation gaps.
 - Create a dialogue that allocates resources in a way that delivers shared and individual outcomes using direct community participation in the decision-making process.
 - Provide a clear demonstration of individual and community need in final service delivery that creates meaningful life outcomes.

Our Journey So Far

- 1.6 For many years the Council has been consulting and engaging with the public about our financial challenges, savings proposals, priorities for the community planning partnership (CPP), economic development, and a whole variety of

service specific work. Work with service users to influence service development and delivery has included: council tenants surveys to inform housing improvement; consultation on school meal menus; the Dial M bus service and the development of online payments and services in schools.

- 1.7 In 2018 we undertook our first locality planning projects along with CPP partner agencies which has resulted in local plans by and for the community that directly influence the services we provide. We have also been involved in various grants distribution participatory budget projects that have been led by the local agency Money for Moray.
- 1.8 All of this provides a great foundation for PB in Moray. Moving forward we will build a programme of PB by identifying a range of projects to involve communities in local decision making and democracy.

2. POLICY STATEMENT

Our Commitment

- 2.1 The Council’s Corporate Plan recognises the value of increasing the involvement and influence of our communities in service design and elements of our budgets. The plan commits to empowering and supporting communities to build capacity by becoming more involved, influential and active in service design and delivery. PB will help to take these commitments forward.
- 2.2 The Council recognises and will adopt the PB Scotland Participatory Budgeting Charter ([PB Charter](#)) in our PB work with local communities. The 7 Key features of the PB Charter set out below.

Fair and Inclusive	Creates new opportunities for people to become involved in ways that bring new and different voices to discussions about how public money is spent. Working together in this way encourages stronger relationships in and between different communities.
Participatory	Anyone from the communities affected by decisions on how money is spent should have opportunities to be involved at every stage of the PB process. This includes identifying what budgets are being allocated, how the PB process is planned, how it works in practice and how it is evaluated.
Deliberative	PB supports communities to access information, share ideas, listen to each other and consider different views. Sharing ideas and views helps people to learn more about different issues and leads to informed decisions that are best for the whole community
Empowering	Decisions about how public money is spent are usually

	<p>made by politicians and their officers. PB gives people and communities the power to decide what matters most to them and how public money should be used best.</p> <p>The PB process encourages more people to become involved in their community and to work together to make change happen</p>
Creative and Flexible	<p>PB processes should be designed in a way that makes it easy and attractive for people to get involved. A creative mix of face-to-face approaches and online tools should be used to distribute information, encourage participation and get the best results.</p>
Transparent	<p>Everyone involved in a PB process should be able to see why and how decisions are taken, and what effect those decisions have.</p>
Part of Our Democracy	<p>PB is a central part of our democracy in Scotland and should be standard practice for how budget decisions which affect communities are made.</p> <p>PB should be resourced and delivered as part of regular budget planning.</p>

Our Aims for PB in Moray

2.3 The Council recognises that Participatory Budgeting (PB) can help build relationships between people, communities and public organisations; encourage democratic participation by reducing barriers; target resources to where they are most needed; encourage new ideas and ensure that everyone who is affected can see how decisions about budgets are taken.

2.4 Our goals are to:

- ❖ build strong relationships between people, communities and public organisations;
- ❖ build trust between people and make joint action possible;
- ❖ encourage democratic participation by reducing barriers to involvement and making sure that everyone who wants to take part can do so;
- ❖ target resources to where they are most needed;
- ❖ encourage the testing of new ideas to help transform communities in a positive way;
- ❖ make sure that everyone who is affected can see how decisions about budgets are taken, how money is spent, and what happens as a result; and
- ❖ Improve services and service delivery by enabling residents to express what is important to them and how it can be achieved.

2.5 We will do this by

- ❖ Proactively involving and engaging local people in making decisions on how public money is spent in their community.
- ❖ Using the Moray Community Planning Partnership Community Engagement Strategy and National Standards for Community Engagement to guide us.
- ❖ Developing deliberative dialogues to influence allocation of our resources in a way that delivers shared and individual outcomes
- ❖ Using direct community participation in the decision making process.
- ❖ We will build on the foundation of various PB projects offered in Moray by groups such as Money for Moray, Bucks for Buckie, tsiMoray (You Choose), YP Decides and the Church of Scotland Community Choices.
- ❖ We will deliver a programme of PB by identifying a range of opportunities which will involve communities in local decision making and democracy.

3. IMPLEMENTATION

Types of Participatory Budgeting

- 3.1 Once a budget has been identified for PB, a lead officer will be identified and will work with a delivery team to develop a proposal for PB that suits the particular budget. This development work will include community representatives as per the PB Charter. Examples of PB project approaches are:
- i) A grant distribution model: where communities determine the distribution of defined amounts from an overall budget allocation, possibly based on a policy direction or requirement. Support may be sought from a partner to facilitate the process.
 - ii) A deliberative discussion that influences: where technical issues, including legality, feasibility, and need are worked through by the community and service experts to improve shared understanding and so that the community can provide their views and priorities on local issues to influence the matter e.g. development of a contract specification.
 - iii) A collaborative decision making process: residents will be involved in the development of a range of options alongside service experts and advisors and then choose or vote based on a 'menu of options' that may be delivered.
 - iv) Communities determine their priorities: locality planning is an example of communities working with local agencies to prepare a plan for their area that reflects the experience and priorities of the people living there. The actions will be a mix of community, single and joint agency activity and resourcing that will have been influenced by the priorities of the community.

- 3.2 The techniques and tools used for each PB exercise will depend upon the nature of the project. However, all projects will be underpinned by transparency and ensure the open gathering of views where all voices can be heard. This will involve some kind of voting process, examples of which would include: either digital, community event or a combination of both. The basis upon which decisions are made will always be made clear in advance and the results will be communicated openly.
- 3.3 To develop PB in the Council we will consider projects at different levels, from strategic cross service budgets to local operational budgets. This is explained below with some examples from other areas to illustrate what could be considered.

	Description	Examples of PB at work
Level 1	Discrete projects within service	Residents of 3 Aberdeen tower blocks voted on how £100k would be invested in their buildings
	Small policy grants	Economic development grants
Level 2	Contract reviews and specification Capital projects Whole or significant service issues	Local bus contract for the Western Isles
Level 3	Multi-service and possibly multi-agency major service (re) design	Glasgow City Council £1m PB initiatives to be used on priorities identified in the Council's strategic plan, ie. Child Poverty; Income and employment deprivation; black & ethnic minority; young people

Management and Monitoring of PB

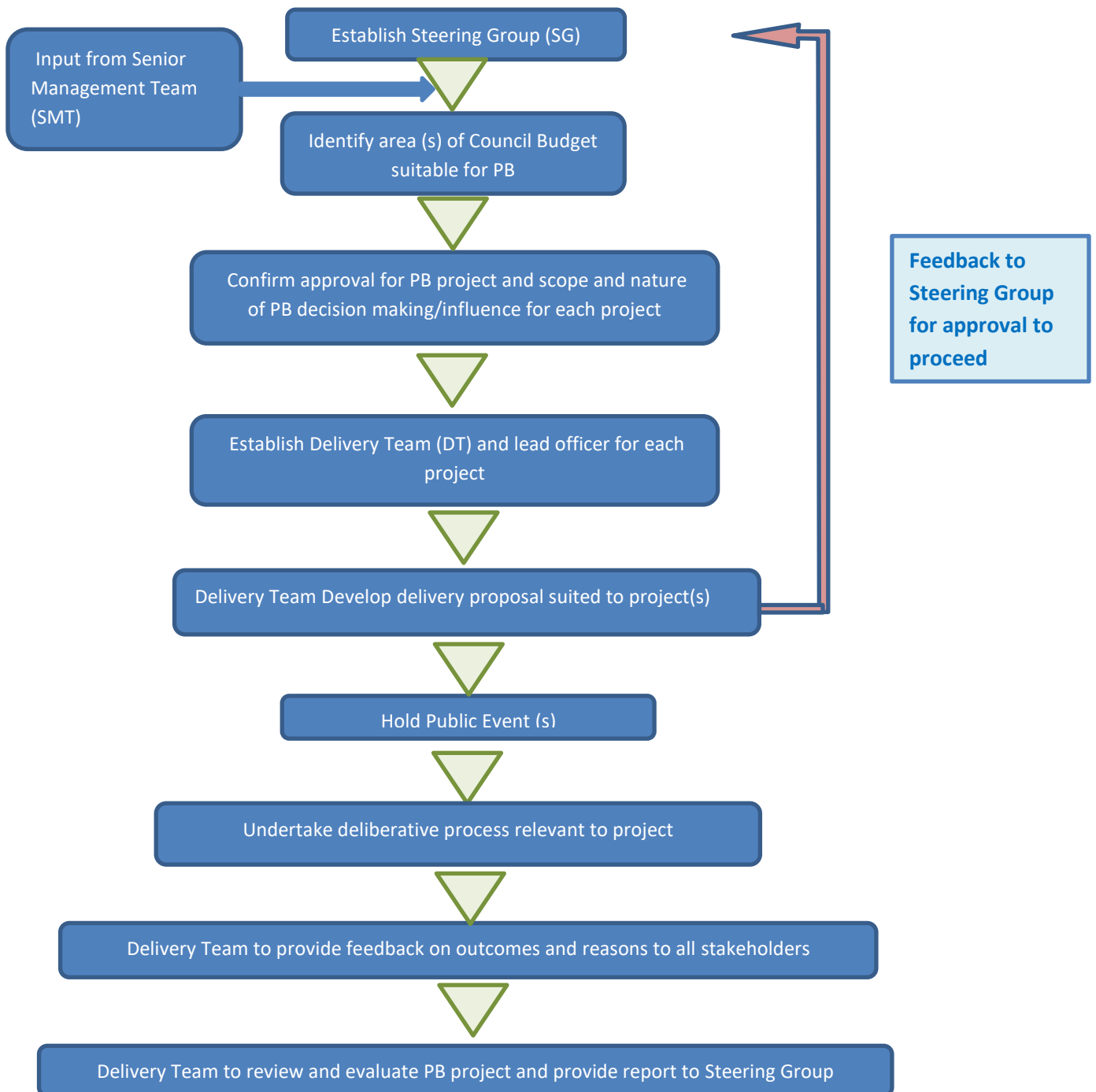
- 3.4 The Lead Officer for PB in the Council will be the Depute Chief Executive – Education, Communities and Organisational Development. They will Chair an internal steering group of officers to co-ordinate and oversee the Council's programme of PB work and ensure effective monitoring and reporting of the effectiveness of the work against the outcomes set out in the PB Charter and any local priorities set for PB projects.

3.5 They will also take account of and ensure effective links and co-ordination with other community involvement and consultation work.

The Steering Group (SG)

3.6 The purpose of this Group is to have an overarching responsibility for the PB process within Moray Council. This group will take responsibility for giving strategic guidance and focus to the process and to evaluate feedback from the Delivery Team to use in determining future PB initiatives. The Steering Group will seek authority from the Council for the approval to allocate projects to the PB process.

PARTICIPATORY BUDGETING PROCESS – MORAY COUNCIL



- i) Steering Group established to give strategic direction to PB process – which will involve input from Senior Management Team 1a - and to take ownership for delivering PB within the council.
- ii) The Steering Group identifies an area where user outcomes could be improved through the application of a PB process, and if relevant the appropriate locality.
- iii) Authorisation will be sought by Steering Group from Committee as to what budgets will be identified for PB
- iv) A Delivery Team is formed to run each of the PB initiatives and will include local community representatives. It is the responsibility of the Delivery Team to set up all of the required mechanisms for the PB process, whether that is a deliberative discussion, voting, community plans, etc. The Delivery Team must ensure wide and effective communication as part of the PB process and that results are communicated at the end of the process to all stakeholders. The DT will make connections with appropriate community groups in developing and progressing proposals for the PB process.
- v) For most schemes there will be one or more community meetings or events.
- vi) Public / community voting will take place to identify the preferred options for funding; votes are counted, verified and announced by the Delivery Team. There is no appeal mechanism. It is then the responsibility of the DT Lead Officer to ensure that the service area delivers the budget in line with the outcome of the PB exercise and takes responsibility for monitoring progress and reporting back to the Steering Group.
- vii) The Delivery Team will produce a report to the Steering Group on the outcome and effectiveness of each PB initiative in order that learning is taken forward into future events. The SG will evaluate and report back on the overall programme of PB work to the Policy and Resources Committee and the progress made towards the PB charter outcomes.

The National Standards for Community Engagement will be applied in in designing and implementing PB, ensuring: inclusion, support, planning, working together, methods and communication.



National Standards for Community Engagement

GLOSSARY OF ABBREVIATIONS

CMT – Corporate Management Team

CPP – Community Planning Partnership

DT – Delivery Team

M4M – Money For Moray

PB – Participatory Budgeting

SG – Steering Group

SMT – Senior Management Team

Participatory Budgeting Charter for Scotland

Making good PB happen

Participatory budgeting (PB) is a democratic way for people to have a direct say on how public money is spent.

A PB process gives people the opportunity to identify and discuss what matters to them in their communities and to vote on their priorities.

PB is used across the world and is now part of our democracy in Scotland.

About the charter

The PB Charter sets out seven key features of what a fair and high-quality PB process should be, accompanied by guiding statements which describe what those features should look like in practice.

The charter is designed to make sure that every PB process involves good-quality democratic participation, resulting in positive outcomes for everyone involved.

Who is the charter for?

The charter is for everyone involved in a PB process, including:

- people setting up a PB process to help them plan it properly; and
- people taking part in a PB process to help them know what they should expect.

The charter has been developed with people who have had experience of PB processes in Scotland, including those from equality groups, community organisations and public organisations.

The following terms are used throughout the charter.

- **Community**

A group of people united by at least one common characteristic, including geography, identity or shared interests.

- **Deliberative**

A formal discussion, where an issue is considered carefully.

- **Participatory**

That anyone can take part or become involved.

- **Accessibility**

Taking action to remove the barriers that prevent people from being heard and enjoying equal access to community life.

Benefits of PB

PB is a way of making sure that everyone who is affected by a decision on how money is spent has an opportunity to share their views and listen to others.

It provides a space for sharing information and for everyone involved to develop their knowledge about how public finances work.

PB is a way for people who live and work in communities to work together to make sure that public money is used to achieve the best possible results.

Done well, PB helps to:

- build strong relationships between people, communities and public organisations;
- build trust between people and make joint action possible;
- encourage democratic participation by reducing barriers to involvement and making sure that everyone who wants to take part can do so;

- target resources to where they are most needed;
- encourage the testing of new ideas to help transform communities in a positive way; and
- make sure that everyone who is affected can see how decisions about budgets are taken, how money is spent, and what happens as a result.

The seven key features of the PB Charter for Scotland are:

- **Fair and inclusive**
- **Participatory**
- **Deliberative**
- **Empowering**
- **Creative and flexible**
- **Transparent**
- **Part of our democracy**

Fair and inclusive

PB creates new opportunities for people to become involved in ways that bring new and different voices to discussions about how public money is spent.

Working together in this way encourages stronger relationships in and between different communities.

Everyone should be able to participate in community life but sometimes there are obstacles to getting involved.

PB can remove those barriers if it is carefully planned, properly resourced and support is available for those who need it.

We will know that PB is 'fair and inclusive' when:

- the PB process meets all requirements in terms of accessibility;
- within a PB process everyone has a vote;
- people who have experienced inequality are involved in designing PB processes; and
- the outcomes of a PB process help to reduce inequalities.

Participatory

Anyone from the communities affected by decisions on how money is spent should have opportunities to be involved at every stage of the PB process. This includes identifying what budgets are being allocated, how the PB process is planned, how it works in practice and how it is evaluated.

We will know that PB is 'participatory' when:

- communities have an opportunity to help shape the PB process from the start;
- priorities for the PB process are decided by communities;

- different and diverse communities discuss the issues and vote on priorities;
- a range of PB methods and events are used to make sure that different groups in the community can get involved;
- people from the communities involved say they are satisfied with the process and the outcomes;
- training and support is available to help people be involved in planning and delivering the PB process; and
- the PB process is promoted widely and in a variety of ways to encourage people to take part.

Deliberative

PB supports communities to access information, share ideas, listen to each other and consider different views.

Sharing ideas and views helps people to learn more about different issues and leads to informed decisions that are best for the whole community.

We will know that the PB process is 'deliberative' when:

- the information people need to make informed choices is available and accessible at all points in the PB process;
- people involved report increased knowledge about the issues affecting groups and individuals in their own communities and other communities;
- methods are used which allow people to express their views and which encourage discussion; and
- ideas, priorities and the choices made about how money is spent are reached through public discussions and informed by wide-ranging views.

Empowering

Decisions about how public money is spent are usually made by politicians and their officers. PB gives people and communities the power to decide what matters most to them and how public money should be used best.

The PB process encourages more people to become involved in their community and to work together to make change happen.

We will know that PB is 'empowering' when:

- communities decide how money is spent;
- people feel they have more control over the issues that affect them;
- decisions taken through a PB process lead to improved outcomes and services;
- more people are involved in wider democratic processes; and
- more people become involved in community organisations and activities.

Creative and flexible

PB processes should be designed in a way that makes it easy and attractive for people to get involved. A creative mix of face-to-face approaches and online tools should be used to distribute information, encourage participation and get the best results.

PB in Scotland is a developing process which requires the confidence to take risks – to be flexible, to listen, to do things differently, try new things and to learn from mistakes as well as successes. This will help to make sure that PB in Scotland can really create positive change.

We will know PB is ‘creative and flexible’ when:

- a range of methods has been considered and used as part of the PB process;
- support is in place for people who plan and deliver the PB process so they can ‘take risks’;
- PB processes are continuously evaluated and improved as a result; and
- PB in Scotland learns from and keeps pace with developing practice across the world.

Transparent

Everyone involved in a PB process should be able to see why and how decisions are taken, and what effect those decisions have.

We will know that PB is ‘transparent’ when:

- information on the process and how people can get involved is clear and accessible;
- information on budgets is publicly accessible and understandable;
- it is clear who is accountable for the PB process;
- voting rules are clear and well understood; and
- people know the result of the process and what difference their involvement has made.

Part of our democracy

PB is a central part of our democracy in Scotland and should be standard practice for how budget decisions which affect communities are made.

PB should be resourced and delivered as part of regular budget planning.

We will know that PB is 'part of our democracy' when:

- people expect to have a direct say in each budget cycle;
- public agencies have staff and systems in place to support good-quality PB processes;
- communities and community organisations have the skills and knowledge, as well as time and funding, to get involved and support the PB process;
- the PB process continues uninterrupted from one budget round to the next; and
- over time, PB is shown to improve outcomes, reduce inequalities and encourage people to be more involved in democratic processes.

For more information about the charter, as well as how it was developed visit

www.pbscotland.scot/charter



REPORT TO: POLICY AND RESOURCES COMMITTEE ON 14 JANUARY 2020

SUBJECT: RAPID REHOUSING TRANSITION FUNDING

BY: DEPUTE CHIEF EXECUTIVE (ECONOMY, ENVIRONMENT AND FINANCE)

1. REASON FOR REPORT

- 1.1 To inform the Committee of progress on funding received from the Scottish Government for the implementation of Moray's Rapid Rehousing Transition Plan.
- 1.2 This report is submitted to Committee in terms of Section III B (2) of the Council's Scheme of Administration relating to the management of the Council's finances.

2. RECOMMENDATION

2.1 It is recommended that the Policy and Resources Committee:-

- (i) **considers and notes the level of funding made available by the Scottish Government to deliver the Council's Rapid Rehousing Transition Plan (RRTP); and**
- (ii) **agrees that officers in Housing and Property Services can now draw down the money awarded for 2019/20 (£97k) and 2020/21 (£93k) from the General Revenue Grant to develop the plan.**

3. BACKGROUND

- 3.1 In August 2018, the Scottish Government asked that all local authorities produce a Rapid Rehousing Transition Plan (RRTP) with the aim of ending rough sleeping, transforming the use of temporary accommodation and ending homelessness in Scotland within a 5 year period.
- 3.2 On 20 November 2018, the Communities Committee approved the Council's draft RRTP for submission to the Scottish Government (paragraph 5 of the Minute refers).
- 3.3 In June 2019, the Government announced investment in support of rapid rehousing transition. Nationally the total £24m over the first three years (£8m per annum from 2019/20).

- 3.4 The funding distribution agreed by the Scottish Government and the COSLA Settlement Distribution Group (SDG) was calculated on the basis on the average amount of homeless assessments completed, by authority, based on the last years, 2016/17, 2017/18 and 2018/19.
- 3.5 Applying this methodology, Moray was allocated £97k for 2019/20 and £93k for 2020/21. This funding is being paid through the Local Government General Revenue Grant. Funding for year 3 of the RRTP has still to be determined by the Scottish Government and the COSLA (SDG). The Scottish Government expects that local authorities will use their RRTP funding allocations for the purpose of supporting transformational change in homelessness services.
- 3.6 Officers have reviewed the RRTP taking account of the resources available to deliver plan priorities. On 17 December 2019, the Communities Committee considered and noted the funding provided by the Scottish Government for the implementation of the Council's RRTP and Action Plan.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

The Local Housing Strategy focuses on a set of outcomes that contribute to the achievement of the Council's wider strategic aims and priorities, in particular meeting statutory obligations to homeless households.

(b) Policy and Legal

The Scottish Social Housing Charter sets out standards against which the Scottish Housing Regulator will assess local authorities as part of its inspection regime.

(c) Financial implications

As above, Moray was allocated £97k for 2019/20 and £93k for 2020/21 and this funding is being paid through the Local Government General Revenue Grant. The revised RRTP will be delivered within the specified funds with no further cost to the authority.

The RRTP Action Plan will be reviewed annually. This review will include a review of the financial implications at that time.

(d) Risk Implications

There are no risk implications arising directly from this report.

(e) Staffing Implications

The funding provided by the Scottish Government will support staffing proposals within the Homelessness Team as set out in the RRTP Action Plan. Any appointments made will be done on an initial 2 year fixed term basis only and this will be covered by the Scottish Government grant funding received. The RRTP Action Plan will be reviewed annually. This review will include a review of the staffing implications at that time.

(f) Property

There are no property requirements/implications arising directly from this report.

(g) Equalities/Socio Economic Impact

A RRTP Equalities Impact Assessment has been developed and published.

(h) Consultations

Consultation on this report has taken place with the Depute Chief Executive (Economy, Environment and Finance), the Acting Head of Housing and Property, Head of Financial Services and Lissa Rowan, Committee Services Officer.

5. CONCLUSION

- 5.1 The Scottish Government has provided funding for the implementation of the Council's RRTP and Action Plan. Officers in Housing and Property Services are seeking approval from this Committee to drawdown these funds to begin the implementation of the plan.**

Author of Report: Gordon McCluskey, Housing Needs Manager
Background Papers:
Ref:



REPORT TO: POLICY AND RESOURCES COMMITTEE ON 14 JANUARY 2020

SUBJECT: CORPORATE SERVICES PERFORMANCE REPORT – OCTOBER 2018 TO MARCH 2019

BY: DEPUTE CHIEF EXECUTIVE (EDUCATION, COMMUNITIES AND ORGANISATIONAL DEVELOPMENT)

1. REASON FOR REPORT

- 1.1 The purpose of this report is to outline the performance of the service for the period from October 2018 to March 2019.
- 1.2 This report is submitted to Committee in terms of Section III A (4) and (B) (58) of the Council's Scheme of Administration relating to contributing to public performance reporting and the development and monitoring of the Council's Performance Management Framework.

2. RECOMMENDATION

2.1 It is recommended that the Policy and Resources Committee:

- (i) scrutinises performance outlined in this report;**
- (ii) notes the actions being taken to seek improvements where required.**

3. BACKGROUND

- 3.1 The revised performance management framework was approved at a meeting of The Moray Council on 22 May 2013 (item 8 of the minute refers). As a result, performance will be reported on a 6 monthly basis.
- 3.2 The Policy and Resources Committee at its meeting on 9 April 2013 (para 7 of the minute refers) approved the development of a quarterly monitoring document which will provide supporting information for the Performance Management Framework and 6-monthly performance reports will refer to the document.

- 3.3 This report sets out progress against service plans for Legal and Democratic Services, Financial Services and HR&ICT, which together form the Corporate Services Departmental Service Plan as shown in **APPENDIX 1** and **APPENDIX 2**.

4. SUMMARY OF IMPLICATIONS

(a) Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))

Performance measurement is used to ensure the efficient and sustainable delivery of services to meet the Council's priorities in the Corporate Plan and the 10 Year Plan (Local Outcomes Improvement Plan).

This report identifies the areas of the Service Plan that have fallen behind schedule and where more work is required.

(b) Policy and Legal

None

(c) Financial implications

None

(d) Risk Implications

None

(e) Staffing Implications

None

(f) Property

None

(g) Equalities/Socio Economic Impact

An Equality Impact Assessment is not needed because the report is to inform the Committee on performance.

(h) Consultations

Corporate Services Service Managers and Heads of Departments were consulted.

5. CONCLUSION

- 5.1 Performance during the second half of 2018/19 is broadly as expected. 70.6% of the performance indicators with targets met or exceeded those**

targets. The work to implement all the actions contained in the Corporate Services Service Plan achieved 71% progress for the year; 60 out of 111 actions were completed (54%); 49 of the incomplete actions had made at least 50% progress; while 45 were overdue (41%). The delays in completion were due to workload and staff availability, the impact of posts being dis-established as part of the budget savings, and changing priorities as a result of the revised budget. Twenty one out of 29 complaints were responded to within target timescales (72.4%).

Author of Report: Denise Whitworth
Background Papers: Held by Carl Bennett, Research and Information Officer
Ref: SPMAN-1108985784-139
Appendix 1: SPMAN-1108985784-138
Appendix 2: SPMAN-1108985784-137

1. PERFORMANCE AGAINST SERVICE PLAN OBJECTIVES

Service Plan	Progress	Number of Actions Overdue	Number of Actions Completed
Corporate Services' Service Plan 2018-19	72%	45	60
CPS18FS Financial Services Plan 2018-20	63%	3	6
CPS18HR Corporate Workforce Plan 2018-19 (Revised Nov 18)	84%	25	40
CPS18ICT ICT Service Plan	67%	10	7
CPS18LD Legal and Democratic Services - Service Plan Actions	74%	7	7

- 1.1 Progress of the Corporate Services' Service Plan (72%) was behind schedule at the end of 2018/19. There were a number of recurring themes, including waiting for partners to identify priorities, workload pressures on sections, and rescheduling work to fit in with other priority work. However, the themes mentioned most were the impact of budget savings and the reduction in staffing levels in some services, and the work to identify savings taking priority over the actions published in Service Plans at the start of the year.

Human Resources Service - Corporate Workforce Plan

- 1.2 The Corporate Workforce Plan was reviewed and revised during the first half of 2018/19 in light of the additional workload facing the Human Resources team as a result of the budget proposals, amongst other factors. The Human Resources Service Pressures Report, which was submitted to the Policy & Resources Committee at their meeting held on 27 November 2018, provided members with full details. The actions that were put on hold at this meeting are identified as "on hold" in the sections below. The revised plan had achieved 84% of its planned progress by the end of 2018/19.

- 1.2.1 The impact on achieving the aims of the plan is considered below for each of the priorities in the Workforce Plan.

1.2.2 **Priority 1: Workforce Transformation and Change**

Aim: to manage the contraction and re-shaping of the Council workforce to achieve a sustainable skilled and motivated workforce for the future aligned to the Council's priorities.

- Progress on the actions that contribute to this priority was 90% at the end of the reporting period.

- Transform has been used extensively to support the workforce whose posts were at risk as a result of the budget proposals (Action CPS18HR01.01).
- Supporting the Moray Integration Joint Board with implementing the health and safety aspects has achieved 50% progress (Action CPS18HR01.03b) with further progress dependent upon identifying the work that is to be prioritised.

1.2.3 Priority 2: Employee Culture Engagement/Morale and Motivation

Aim: to continue to develop effective communication and engagement across the workforce to sustain and improve engagement in a challenging environment and continue to develop a positive workforce culture.

- Progress against the aim was 79% for the year. Delivery of a reduced employee engagement programme was agreed at the meeting of the Policy and Resources committee on 27 November 2018 (Item 10 of the minutes refers) due to the workload pressures on the Human Resources team (Action CPS18HR02.01).
- The actions to improve and promote a positive workforce culture and improve employment improvement achieved 50% of the expected progress. A culture action plan is in place, however with the loss of an HR Adviser for almost half of the reporting period little progress has been made on implementing the action plan during Quarter 4 (Action CPS18HR02.02).

1.2.4 Priority 3: Developing Leadership Capacity.

Aim: to prepare and develop current and future leaders to meet the demands of local government of the future to ensure the continuous improvement of services.

- 81% progress was made against this priority over the year. Note that 2 of the Actions are not due to be completed until 31 Jul 2019 and are making good progress.
 - A revised programme for leadership development has been agreed (Action CPS18HR03.01), which will start to be implemented in June 2019 using a range of external providers, combined with building capacity internally.
 - The provision of management and supervisory training to address management standards and create a more positive workforce culture was 85% complete at the end of the year (Action CPS18HR03.02). Enhanced training on soft skills for change management has been developed and is scheduled to commence

in late May/early June. A revised manager induction module is being scheduled into regular training provision.

- Training for elected members has been developed and provided as required with specific sessions facilitated by members of the Corporate Management Team (CMT). Work on developing a structured approach has been delayed due to the impact of budget work and will be carried forward (Action CPS18HR03.03).

1.2.5 Priority 4: Workforce/Employee Development

Aim: to ensure that employees have the skills, competencies and experience required and are prepared to meet current and future requirements.

- develop the quality of the review experience (Action CPS18HR04.02) and the Management Appraisal Framework (Action CPS18HR04.03) – on hold
- Overall progress on the revised activity in support of this priority was 93% for the year, with the remaining action being the implementation of a Violence and Aggression plan. A survey went live during March 2019 and the analysis of the results will be carried forward to next year's plan with an action plan to follow (Action CPS18HR04.04).

1.2.6 Priority 5: Health and Wellbeing

Aim: to pro-actively support the health and well-being of employees.

- 73% of the work planned for this priority was completed. The action to work with employees and their representatives to improve workforce consultation was delayed due to the impact of budget reductions, and specific areas of joint activity have yet to be agreed (Action CPS18HR05.02). The programme of risk assessments was 65% complete at the end of the year (Action CPS18HR05.03) and the timescales for the survey on violence and aggression was amended, with a consequent impact on the progress of developing the Health and Safety culture of Moray Council (Action CPS18HR05.05).
- The revised health and safety arrangements to control the activities of contractors (Action CPS18HR05.06) was 50% complete at the end of the year with a revised briefing for new contractors completed. Progress has been delayed due to the impact of budget cuts on the health and safety team with monitoring processes and arrangements still to be agreed.
 - Note that since 2013/14 the number of health and safety incidents reported across all departments within Moray Council has shown

a gradual decrease (Figure 2, Page 14). This may be indicative of an improving safety culture, with staff implementing the health and safety system effectively.

1.2.7 Priority 6: Workforce and Succession Planning

Aim: to address workforce issues in relation to demographic changes and skill shortages and develop strategies to address the consequences.

- All activity on this priority was put on hold with the approval of the Policy and Resources Committee.

1.2.8 Priority 7: Recruitment and Retention

Aim: to ensure that Council Services are as well-resourced as possible by making the Moray employment package as attractive as possible and deploying appropriate recruitment strategies.

- Two actions on hold (Actions CPS18HR07.01 and CPS18HR07.02).
- Action on the third action, to Work with Educational Services to develop recruitment strategies (both long and short term) for the improvement of Teacher recruitment (Action CPS18HR07.03) was partly delayed by human resources workload.
 - The pilot scheme for newly qualified teachers was completed. However, initial steps to consider recruiting from abroad was another of the actions put on hold in November 2018 with the approval of the Policy and Resources Committee.
 - No progress was made during the year on the activity to consider managed career paths to reduce number of long term vacancies in teacher posts in primary, secondary and promoted posts.

1.2.9 Priority 8: Reward and Recognition

Aim: to have in place fair and competitive pay and conditions that are recognised as such and are free of bias.

- Two actions on hold (Actions CPS18HR08.01 and CPS18HR08.02). The third action in this priority was the undertaking of an equal pay audit, which has been completed during 2018/19 (Action CPS18HR08.03).

Information and Communication Technology (ICT) Objectives

1.3 The ICT Service Plan is due to be completed in September 2019. However, the 67% progress reported at the end of 2018/19 is behind the planned schedule.

1.3.1 Priority 1: Transformation

***Aim:** to create a digital first approach to improve efficiency by delivering more services online; supporting flexible and mobile working; and improving capabilities for shared working within the Moray IJB.*

- Work to extend the availability of online services available to the public made good progress (73%) enabling the public to undertake more transactions using the customer portal (Action CPS18ICT01.02). At the meeting of the Policy & Resources committee held on 4 June 2019 it was reported that more than 80 services are now online for residents to access at any time including applying for a garden waste permit; registering for school and nursery places; viewing and accepting council house offers; school payments including school meals; and booking leisure classes. It was revealed that 40% of visits to Moray Council's website were made out of traditional office hours, prompting a three-year project to improve online payments and form-filling, as well as the introduction of a nationally-used, secure public services customer portal. Streamlined booking, ordering and payment has been welcomed by residents: 70% of all garden waste permits were applied and paid for online; 100% of all sports development sessions in 2019 have been booked online and 80% of all primary schools meals are paid for online.
- In addition, the activity that delivered digital infrastructure to schools (e.g. interactive panels, wifi, computers and laptops) was completed (Action CPS18ICT01.06).
- Little progress was made on the action to deliver flexible and mobile working (just 5%) (Action CPS18ICT01.01). Given that the Windows 10 project is now underway, there would have been a lot of duplicated effort to migrate users to Windows 7 virtual desktops, only to migrate the same users to Windows 10 virtual desktops in a short space of time. Provision had been made in the 2018/19 capital allocation for the requisite server infrastructure to scale up the virtual desktop environment but it is now best to defer this and align the work with the Windows 10 project.
- A solution to enable staff to register and access the interchange outwith the council network has been developed as part of the intranet improvement (Action CPS18ICT01.04). The action was 95%

complete and the remaining activity is to carry out security testing before making this option available online. The security testing will be scheduled with the Council's third party testing provider alongside other services in the 1st quarter of 2019/20.

- The establishment of a digital culture within Moray Council only achieved 40% progress. Various material has been identified to make available to staff and while some sign-posting has been made available on the interchange this likely needs further work to establish a digital culture. Recent approval to join the Digital Office will provide access to additional material that will target this area (Action CPS18ICT01.05).

1.3.2 Priority 2: Decision Support

Aim: to optimise the use of data by services, elected members and the public; data will be requested once, will be available to all who need it, and accurate and timely information will be readily accessible.

- This priority is planned to be delivered by the end of September 2019, and the 73% progress made during 2018/19 indicates the actions remain on schedule.

1.3.3 Priority 3: Compliance

Aim: to ensure the Council's ICT infrastructure and systems are secure, meet the required accreditation standards, are robust, and consistently supported; to implement a secure email solution to ensure continued communication with other government bodies.

- Again, this priority is planned to be delivered by the end of September 2019, and work is on schedule (75% complete at the end of the year). The work to update the Council to Windows 10 and Microsoft Office 2016 is making good progress (Action CPS18ICT03.02). Moreover, secure email has been implemented and is now available (Action CPS18ICT03.04).
- Two actions were almost completed:
 - (Action CPS18ICT03.01, 90% complete) As part of the Information Security action Moray Council received Public Services Network¹ accreditation and the Scottish Government's Cyber Essentials accreditation. The remaining activity to be carried forward to 2019/20 is a review of the Council's Information

¹ The Public Services Network is the UK government's high-performance network, which helps public sector organisations work together, reduce duplication and share resources.

and Communications Technology (ICT) Security Policy in line with the standard for IT Security Management (ISO 27000).

- (Action CPS18ICT03.05, 95% complete) A new ICT structure was introduced on 1st April 2019 and all calls across the range of ICT services are now being logged on the service desk. The remaining work is to develop and implement revised incident management arrangements.
- The action on Business Continuity was half-completed during the year (Action CPS18ICT03.03). A replacement for the corporate firewall has been procured and the software upgraded paving the way for the phase 2 replacement. The current business continuity template and previous Business Impact Assessments have been reviewed but preparation of the revised plan is still outstanding.

1.3.4 Priority 4: Forward Planning

***Aim:** to assess the impact of new or alternative technologies, including cloud-based computing and the Internet of Things on delivering efficiency savings to the Council*

- This priority too extends until the end of September 2019 and is concerned with deriving efficiencies from maturing technologies. However, only 49% progress has been made at the end of March 2019 with 4 of the 7 actions behind schedule.
- 5% progress was made on the assessment of a cloud computing strategy, and the Cloud adoption strategy paper will carry over to 2019/20 (Action CPS18ICT04.01).
- The action on application development (Action CPS18ICT04.02) was delayed after review to enable the ICT team to work on new priorities identified within the efficiency programme. Similarly, an element of the work on Unified Communications, the introduction of Internet Protocol (IP) telephony, was deferred until 2019/20 in line with the in-year financial measures (Action CPS18ICT04.04). Progress was made on identifying a supplier for the telephony and the contact centre project, and a 12-month trial is in operation for a new video-conferencing system. The business case for Unified Communications will be carried forward to 2019/20.
- The review of Moray Council's application portfolio aimed to rationalise the number of applications in use throughout the council, reduce the number of systems to be supported and consolidate the number of data sources (Action CPS18ICT04.05). Progress was 60% during 2018/19 with the team exploring opportunities for rationalising

applications within the asset management area including roads, waste, lands & parks and housing. A project mandate will be prepared for consideration by the asset management working group

- The action to consider the potential for the Internet of Things to deliver improvements to service delivery and efficiencies (Action CPS18ICT04.07) has yet to begin, and is scheduled to be completed by the end of September 2019.

Financial Services

1.4 Overview of Financial Services' Service Plan

1.4.1 Priority 1: Support the Financial Planning Process

Aim: to support elected members and budget managers with all aspects of the Financial Planning Process including the Procurement Strategy.

- This priority was 80% complete at the end of the financial year, with just one action to be completed.
- The work to implement the Procurement Strategy Action plan (Action CPS18FS01.03) has stalled due to a lack of available resources restricting progress.

1.4.2 Priority 2: Provide financial advice/support for the Council's large strategic projects

Aim: to provide support to the council's Transformation Board and other Project Boards in the delivery of strategic projects.

- The actions for this priority were completed as planned for the year with the nomination and approval by the partner local authorities of a preferred bidder for the Ness energy from waste project.
- In addition, the first six months operating accounts for groups running Community Centres and Town Halls under the Community Asset Transfer scheme (e.g. Dufftown, Keith and Elgin) have been submitted for final review and reconciliation of deficit funding (Action CPS18FS02).

1.4.3 Priority 3: Progress Phase 1 of the new HR/Payroll system

Aim: to deliver an efficient, integrated HR / Payroll system, meeting all statutory requirements.

- Implementation of the Council's new HR/payroll system remains behind schedule with only 15% progress made so far (Action CPS18FS03). An implementation plan is in place and work is underway. However, progress continues to be delayed by resource issues.

1.4.4 Priority 4: VAT leisure review

***Aim:** to investigate potential savings identified through recent VAT tribunal cases regarding the provision of leisure services and to identify associated changes to ways of working.*

- This action (CPS18FS04) stalled during the second half of 2018/19 and remains at 60% complete. An analysis of the provision of leisure services was completed for the years 2015 to 2018, which highlighted a number of issues that are now being investigated. Changes to income streams are impacting on the review and will need to be incorporated into the scope of the action.

Legal and Democratic Services

1.5 The Legal and Democratic Services' Service Plan was 74% complete at the end of the financial year 2018/19.

1.5.1 Legal Services

***Aim:** to provide legal support to corporate and strategic projects and changes in legislation that effect the delivery of Council services, provide training updates for Councillors, while achieving required budget savings.*

- It's now over a year since any activity from the Scottish Local Authority Legal Sections benchmarking team, therefore this action has been closed, although still incomplete, as it's beyond Moray Council's control (Action CPS17LD01.02).
- The legal team has been busy providing support to the numerous Community Asset Transfer requests that have been received during the first half of the year since the decision was approved by the Moray Council in February 2018 to secure community asset transfers (CAT) of town halls and community centres as part of its budget process (Actions CPS18LD01.02 & CPS18LD01.03).

- One of the actions carried over from last year was the implementation of the **Idox**² licensing module to transform the Licensing Service's processes to deliver efficiency savings and reduce the time it takes to process and resolve licensing applications (Action CPS17LD01.06). The action remains at 90% complete.
- The Legal team are still waiting for the Appeals Committee to sit to enable the final element of training to be given to the relevant elected members (Action CPS18LD01.04).

1.5.2 Democratic Services

***Aim:** to provide efficient, cost-effective support for committees and provide Registrar services for Moray residents as efficiently as possible, and provide support to Returning Officer in the organisation and administration of all elections.*

- The action to complete the digitisation of the burial ground records (Action CPS17LD02.05) is still being held up waiting for the contractor to complete their actions (progress remains at 90%). In the meantime the team have been working with the data that has been provided.
- A feasibility study for re-locating the Registrars has not been started due to the council asset management review, which is currently being undertaken and which may impact the options available for the feasibility study (Action CPS18LD02.01).

1.5.3 Customer Services

***Aim:** to support the ICT team in delivering the Digital Project, and reviewing the level of service provided to meet required budget savings.*

- Work in support of the Council Tax element of the Digital Project was completed as planned. However, the impact of this work and how it is received by the public won't be known until the project has been in operation for a while (Action CPS18LD03.01).
- The work that has been in place to meet housing benefit claims timescales (Action CPS18LD03.04) is showing promise with the average time for processing new claims being maintained between 24 and 25 days during 2018/19 (Indicator CPS011), compared to a maximum of 29 days in Q3 2017/18. Similarly, 'change of circumstances' is taking around 9 days on average (Indicator CPS012) compared to a maximum of over 12 days in Q3 2017/18.

² Idox is a leading supplier of specialist software, services and content to the public sector.

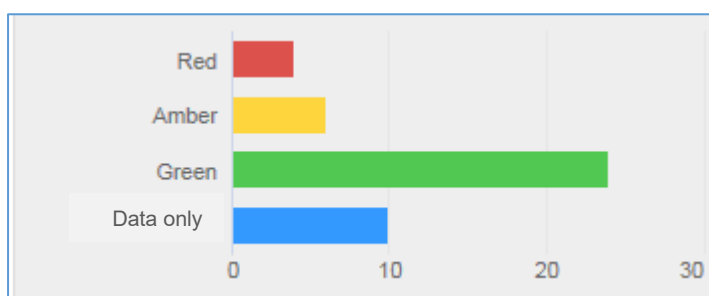
- The preparation for the Barclay Commission of non-domestic rates was 10% complete at the end of the financial year and is being carried forward into 2019/20 (Action CPS18LD03.03).

2. SUMMARY OF PERFORMANCE

Performance Indicators

2.1. Corporate Services monitor performance through 44 performance indicators, 34 of which have targets set and 10 are contextual. A summary of performance for the 12 areas that comprise Corporate Services is below.

- Red PIs are significantly above/below the set targets
- Amber PIs are just above/below the set targets
- Green PIs meet or exceed the set targets
- Blue PIs are contextual with no targets set



Service – Department	Red	Amber	Green	Data Only
	4	6	24	10
▲ Corporate Services - Audit		1	2	
📄 Corporate Services - Corporate Resources				1
✅ Financial Services - Accountancy			4	
✅ Financial Services - Payments			3	
❌ Human Resources and ICT - Human Resources	2	2	3	
❌ Human Resources and ICT - ICT Applications	1			
✅ Human Resources and ICT - ICT Infrastructure			2	2
❌ Legal and Democratic Services - Customer Services	1	1		1
▲ Legal and Democratic Services - Democratic Services		1	3	
✅ Legal and Democratic Services - Legal Services			1	2
✅ Legal and Democratic Services - Registrars			1	1
▲ Legal and Democratic Services - Revenues		1	5	3

Performance indicators requiring monitoring (Amber)

Internal Audit

2.2. Delivery of the Audit Plan, as approved by Audit and Scrutiny Committee, covered a nine month period from June 2018 to March 2019 (Indicator FICT055). Overall for the year 94% of the Audit Reports were issued within the target timescales. However, in Quarter 4 only 85% of the audit reports were issued on time (the target is 90%). This was due to the Audit manager workload relating to the external inspection of internal audit, governance, risk management and servicing committee that led to some slippage in clearing reports. This indicator is expected to be back above target in Quarter 1 2019/20.

Human Resources

2.3. The absence rate due to sickness for teachers rose from an average of 5.9 days per teacher in 2016/17 to 6.4 in 2017/18 (Indicator CS016B.1).

2.3.1. The absence rate due to sickness for the remainder of the Council staff has also risen, from 11 days per employee on average in 2016/17 to 11.5 days in 2017/18 (Indicator CS016B.2).

2.3.2. The 2018/19 absence rates are not yet available for either of these indicators.

Legal and Democratic Services – Customer Services

2.4. The percentage of telephone calls answered against those received (Indicator CPS058) was 91.82% for 2018/19 compared to the target of 93%. In Quarter 3 2018/19 the target was achieved with 93.13% of calls answered; the first time the target has been met since Quarter 1 2017/18. In Quarter 4 2018/19 the proportion of calls answered had dropped to 90.86% due to the high volume of calls for the Waste Service. The additional calls fell into 3 main categories: garden waste permits, decisions not to issue bins and higher than normal volume of missed bins. The Service is still receiving calls for garden waste permits but these are reducing. This target has proved to be challenging, but the Service routinely exceeds answering over 91% of all calls received.

Legal and Democratic Services – Democratic Services

2.5. The percentage of committee draft minutes issued on time was 80.8% for 2018/19 overall, just below the revised target of 85%. Note, however, that this performance would have exceeded the previous target of 80% (Indicator

CS003). The number of committee draft minutes is relatively low (47 for the year) so a small number of draft minutes being issued late has a disproportionate impact. Of the 47 issued 38 were on time, and just 2 more would have achieved the target. The reasons for being issued late were workload pressures, staff absence, and a one-off formatting issue relating to the new committee management system.

Legal and Democratic Services – Revenues

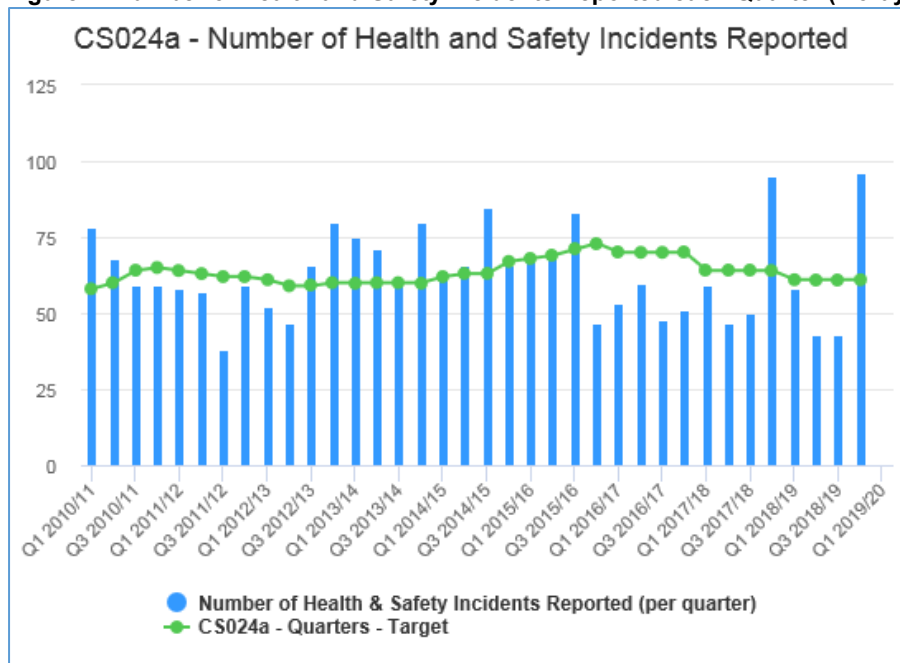
2.6. The average time to process new housing benefits claims (Indicator CPS011) was 24.8 days, almost 2 days longer than the target of 23 days, but an improvement on the 27.4 days at the end of 2017/18.

Performance indicators requiring action (Red)

Human Resources – Health and Safety

2.7. The number of Health & Safety incidents rose significantly in Quarter 4 to 96, approximately 50% higher than the target of 61. This showed a similar pattern to 2017/18 when the number reported in Quarter 4 was also much higher than the previous 3 quarters. The reason, if indeed there is an underlying cause, is not clear (Indicator CS024a, see Figure 1).

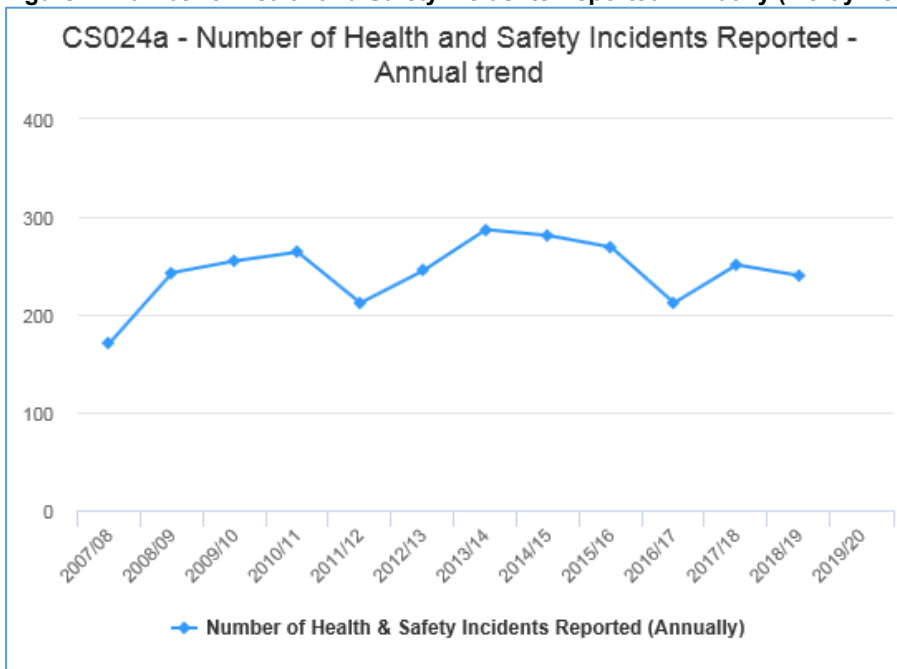
Figure 1: Number of Health and Safety Incidents Reported each Quarter (Moray Council)



2.7.1. However, for the full year 2018/19 the 240 reported incidents were marginally below the target of 244, which is based on the average of

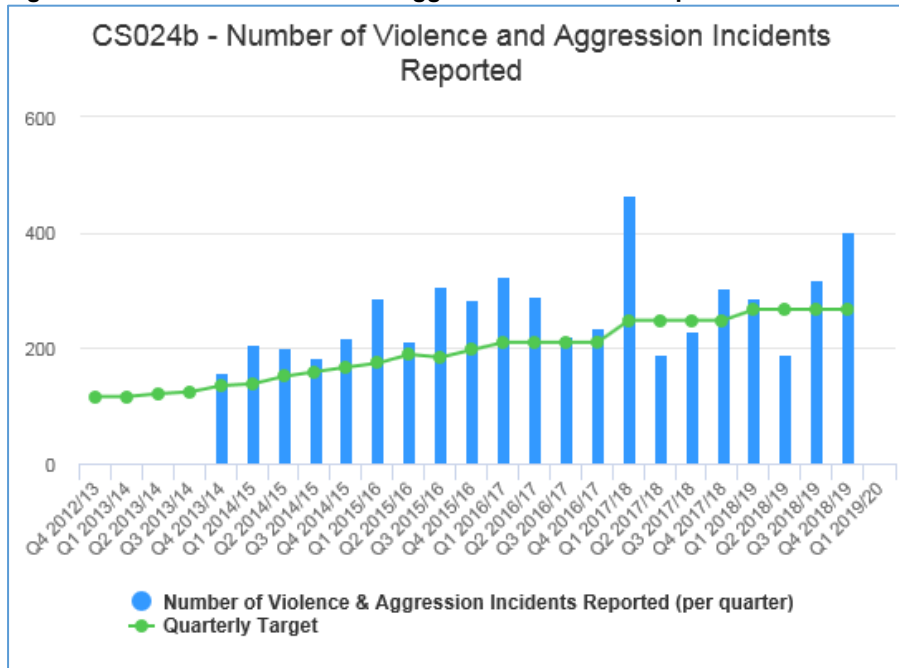
the previous 3 years. Indeed, the trend has been gradually dropping for the past 5 years (see Figure 2).

Figure 2: Number of Health and Safety Incidents Reported Annually (Moray Council)



2.7.2. The number of Violence and Aggression incidents reported during the second half of 2018/19 was significantly higher than in the first half of the year, and above the target based on the average of the past 3 years. There were 721 incidents reported between October 2018 and the end of March 2019, compared to 478 between April and the end of September 2018 (Indicator CS024b). Overall for the year there were 1,199 reported incidents, 12% above the target of 1,068 set for the full year. Specific work is being undertaken in order to identify root causes and underlying themes so that improvement work can be carried out.

Figure 3: Number of Violence and Aggression Incidents Reported each Quarter (Moray Council)



Information and Communication Technology

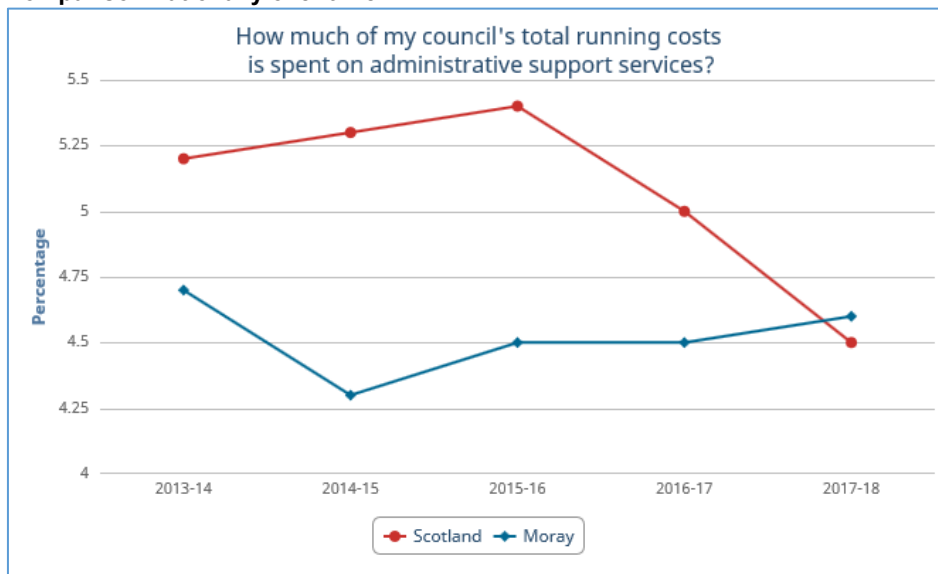
2.8. Progress on the ICT Action Plan (Indicator FICT173) fell behind the original plan during the second half of the year as the focus of the ICT workload was directed in other areas. The primary reason was the need to support services in delivering efficiency savings. Projects included: garden waste permits; alignment with Moray Leisure Centre with the introduction of the Fit Life card; and the introduction of the new car parking machines. While the digital services project has delivered core solutions enabling fast track development of new solutions, this is only part of the picture as the new solutions have to consider the end to end business process. The ICT restructuring also resulted in some delays with the preparations for the new structure being introduced on 1st April. The projects that were not completed as planned were prioritised against the emerging projects identified for efficiency savings. This re-prioritising of the workload is likely to continue as new requests are emerging such as the need to develop a solution for staff parking.

Legal and Democratic Services – Customer Services

2.9. The percentage of telephone calls answered within 20 seconds (Indicator CPS059) was 62.27% this quarter, compared to the 74% target. Q4 stats have been heavily influenced by the high volume of calls for the Waste Service. The additional calls fell into 3 main categories: (New) Garden Waste Permits; the decision not to issue bins; and higher than normal volume of missed bins.

Corporate Resources

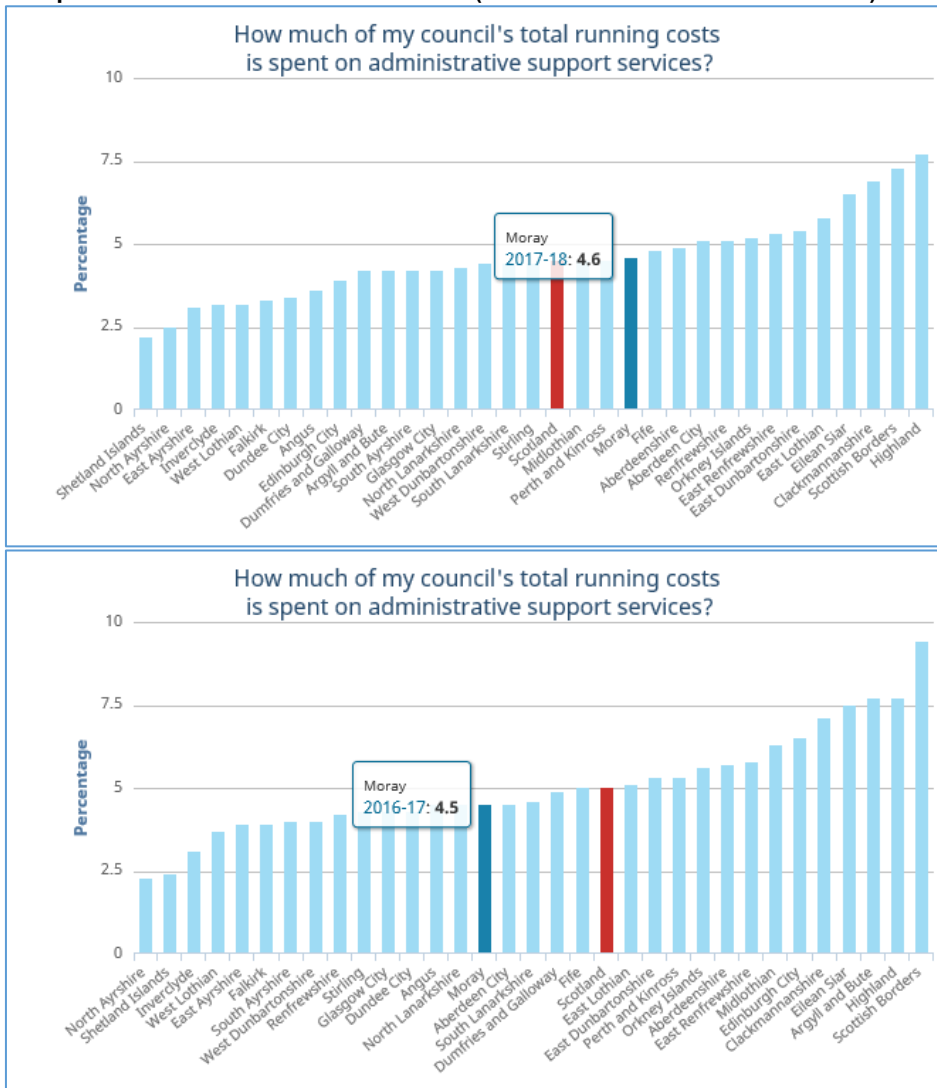
Figure 4: Improvement Service Local Government Benchmarking Framework (Indicator CORP1) – Comparison nationally over time



2.10. Support service costs for Moray Council rose by 3.5% in 2017/18 to £10.58 from £10.22M (revised figure) in 2016/17. Gross expenditure rose by approximately £5.6M from £225.3M to £230.9M, leading to a slight increase in the percentage cost of support services for the Moray Council from 4.54% to 4.58%. This increase has led to Moray Council being ranked 20th highest out of the 32 Scottish Councils for cost of Support Services, compared to a ranking of 15th in 2016/17; the lowest ranking for the last 8 financial years. Highland Council has the highest support costs as a proportion of total gross expenditure at 7.69%, with Shetland Islands Council the lowest at 2.20%.

2.10.1. For the first time Moray Council spending as a percentage of total gross expenditure is above the Scottish average, which has reduced to 4.47% from 5.00% in 2016/17 (Figure 4).

Figure 5: Improvement Service Local Government Benchmarking Framework (Indicator CORP1) – Comparison with other Local Authorities (2017-18 with 2016-17 - lower chart)



Moray highlighted in darker blue; Scotland in red

Complaints

2.11. There were 30 complaints received by Corporate Services during the six month period to the end of March 2019 (Figure 6). 29 complaints were responded to during the same period; 21 (out of 26) frontline within the 5 working days target, while all 3 investigative complaints took longer than the 20 working day target. There were no escalated investigative complaints. Just 3 complaints (10.3%) were upheld and 9 (31%) were part upheld. Seventeen complaints were not upheld (58.6%).

Figure 6: Total number of complaints received quarterly by Corporate Services (Q4 2013-14 to Q4 2018-19)



LIST OF OVERDUE SERVICE PLAN ACTIONS

WORKFORCE PLAN

Code	Title	Progress (at 31 Mar 2019)	Original Due Date
CPS18HR01.03b	Work in partnership to support the IJB on the integration of health and social care - Health & Safety Actions	50%	29 Mar 2019
CPS18HR02.01	Deliver Employee Engagement Programme	75%	29 Mar 2019
CPS18HR02.02	Implement actions to improve and promote a positive workforce culture and improve employee involvement and influence in the workplace	50%	29 Mar 2019
CPS18HR03.02	Provide management and supervisory training to address management standards and a more positive workforce culture	85%	29 Mar 2019
CPS18HR04.04	Organisational Development support to services as required	75%	29 Mar 2019
CPS18HR05.02	Act together with employees and their representatives to improve workforce consultation and improvement	65%	28 Feb 2019
CPS18HR05.03	Manage risks well by implementing our health and safety system effectively	65%	29 Mar 2019
CPS18HR05.05	Developing the Health and Safety Culture of the Council	77%	29 Mar 2019
CPS18HR05.06	Contractor Control	50%	29 Feb 2019
CPS18HR06.01	Develop and implement the corporate approach to apprenticeships and other schemes aimed at young workers – NOW ON HOLD	35%	29 Mar 2019
CPS18HR07.03	Work with Educational Services to develop recruitment strategies (both long and short term) for the improvement of Teacher recruitment	40%	30 Apr 2019

ICT SERVICE PLAN

Code	Title	Progress (at 31 Mar 2019)	Original Due Date
CPS18ICT01.01	Flexible and mobile working	5%	29 Mar 2019
CPS18ICT01.04	Intranet Improvement	95%	31 Oct 2018
CPS18ICT01.05	Establish a digital culture within the council	40%	28 Feb 2019
CPS18ICT03.01	Information security	90%	29 Mar 2019
CPS18ICT03.03	Business Continuity	50%	29 Mar 2019

Code	Title	Progress (at 31 Mar 2019)	Original Due Date
CPS18ICT03.05	Support methodology	95%	29 Mar 2019
CPS18ICT04.01	Assess Cloud Strategy	5%	29 Mar 2019
CPS18ICT04.02	Application development	25%	31 Oct 2018
CPS18ICT04.04	Unified communications	55%	31 Jan 2019
CPS18ICT04.05	Rationalise Applications	60%	31 Jan 2019

FINANCIAL SERVICES

Code	Title	Progress (at 31 Mar 2019)	Original Due Date
CPS18FS01.03	Implement the Procurement Strategy and Action Plan and update and implement Departmental Procurement Action Plans	40%	29 Mar 2019
CPS18FS03	Progress Phase 1 of the new HR / Payroll system	15%	29 Mar 2019
CPS18FS04	VAT leisure review	60%	29 Mar 2019

LEGAL AND DEMOCRATIC SERVICES

Code	Title	Progress (at 31 Mar 2019)	Original Due Date
CPS17LD01.06	Look at IDOX module for licensing	90%	30 Sep 2018
CPS18LD01.02	Prioritise resources on corporate projects and strategic infrastructure projects identified in the 4 year plan	50%	29 Mar 2019
CPS18LD01.03	Monitor and react to areas of significant increased activity and potential decreased activity	50%	29 Mar 2019
CPS18LD01.04	Ongoing training for Councillors	98%	29 Mar 2019
CPS17LD02.05	Registrars: Finalise digitisation of burial ground records.	90%	31 Dec 2018
CPS18LD02.01	Undertake a feasibility study for re-locating the Registrars	0%	29 Mar 2019
CPS18LD03.03	Preparation for the Barclay Commission review of Non Domestic Rates	10%	29 Mar 2019



REPORT TO: POLICY AND RESOURCES COMMITTEE ON 14 JANUARY 2020

SUBJECT: COMPLAINTS ANNUAL REPORT 2018-19

BY: CHIEF EXECUTIVE

1. REASON FOR REPORT

- 1.1 The Policy and Resources Committee is asked to consider the Complaints Annual Report 2018-19.
- 1.2 This report is submitted to Committee in terms of Section III (B) (45) of the Council's Scheme of Administration relating to developing and monitoring public relations, public reporting, publicity and corporate communications.

2. RECOMMENDATION

2.1 It is recommended that the Committee:

- (i) **consider the content of the Complaints Annual Report, seek clarification on any points arising, and otherwise approve the report; and**
- (ii) **note that the annual report will then be submitted to the Scottish Public Sector Ombudsman (SPSO).**

3. BACKGROUND

- 3.1 All councils are required to publish their performance against the national performance indicators set by the SPSO. The attached report presents our performance against these performance indicators for the 2018-19 reporting period. **(Appendix)**
- 3.2 Complaints handling is part of the council's performance management framework. Members receive six monthly updates on complaints performance through routine reports to service committees.
- 3.3 Complaints received per 1,000 head population increased from 5.75 in 2017-18 to 6.4 in 2018-19 and is significant compared to 4.31 in 2016-17. This increase can be viewed as positive as it reflects continued public confidence in reporting complaints. Decreasing staff numbers has placed a greater pressure upon departments to maintain service provision and this may

attribute to the increased number of recorded complaints, 611 in 2018-19 compared to 551 in 2017-18. Our complaint recording has increased by 10% whereas nationally across all councils complaint recording has decreased by 11%.

- 3.4 During 2018-19, 81% of complaints were dealt with at frontline resolution stage compared to 19% dealt with at the investigation stage. The front line response handling is a 15% improvement on the 66% in 2017-18 and more in keeping with SPSO requirements to deal with customers complaints at this earlier stage.
- 3.5 Over one-third (39%) of frontline (stage one) complaints were 'upheld', or 'partially upheld' in 2018-19, similar to 2017-18. For stage two complaints 'upheld' or 'partially upheld' at the investigation stage, the proportion in 2018-19 remained unchanged at 43%, the same as in 2017-18. Indeed over the past 5 years the proportion of stage two complaints (including after escalation) has been consistently around 40%. This demonstrates that complaints continue to be acknowledged, apologies are given with learning and improvement outcomes sought and implemented.

4. **SUMMARY OF IMPLICATIONS**

(a) **Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP))**

This report supports the Scottish Government's national outcomes, in particular the commitment to be accountable to the community as stated: "Our public services are high quality, continually improving, efficient and responsive to local people's needs."

Effective handling of complaints is used to ensure the efficient and sustainable delivery of services to meet the Council's priorities in the Moray Council Corporate Plan 2023. As part of the *Improving Value* the Complaints Handling Process enables us to be open about our performance, including opportunities to improve, and also to learn from our experiences and failures, and change accordingly.

(b) **Policy and Legal**

There is a statutory requirement to report to the SPSO annually on the performance indicators. The 'Social Work' complaints procedure, is now aligned into the model Complaints Handling Procedures.

(c) **Financial implications**

It is not anticipated that there will be any financial implications as the recommendations in this report relate to publicising performance information.

(d) **Risk Implications**

Performance reporting is a statutory requirement of the SPSO's Complaints Handling Policy. Failure to report may result in SPSO making a declaration of non-compliance against the Council. Non-

compliance with the statutory duty relating to national standards being adopted would present risk in terms of reputational damage and a loss of public confidence in our ability to deliver quality improvements based on complaints analysis, and ultimately to maintaining and improving service standards.

(e) Staffing Implications

There are no staffing implications related to this report.

(f) Property

There are no property implications related to this report.

(g) Equalities

The Equal Opportunities Officer has been consulted in the preparation of this report and the equalities impact has been identified as uncertain.

The Equal Opportunities Officer has recommended that where services are experiencing high volumes of complaints, the management of respective services should arrange to identify common complaint issues and any learning arising. This will help to ensure that complaints are not arising from situations where customer diversity needs have not been considered or addressed, e.g. disability or cultural issues.

(h) Consultations

The Corporate Management Team has been consulted on the contents of annual report. The Performance Management Officer and Equal Opportunities Officers have been consulted in the preparation the Complaints Annual Report.

5. CONCLUSION

5.1 The Complaints Annual Report presents our performance against the national performance indicators set by SPSO.

Author of Report: Alasdair McEachan, Head of Governance, Strategy & Performance

Background Papers: SPSO PIs

Ref: SPMAN-1108985784-178

Moray Council

Complaints Handling Annual Report



2018/19

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1. Chief Executive's Foreword

Scotland's public sector has a duty to the people it serves, and part of that duty involves responding positively to complaints. This annual report serves three purposes: to comply with a national requirement to report against a suite of eight Scottish Public Service Ombudsman (SPSO) Performance Indicators (PIs); internally to inform management to help us learn from complaints and improve services; and externally to provide information and feedback to the public who engaged with us during the complaints process.

In this report you will find details of how we have performed in dealing with complaints, the outcomes of some investigations and how we have changed our services as a result. I am pleased to see many work practices modified as a result of a complaint, which I feel shows we are listening to the public when they're not happy.

Naturally, not every complaint is upheld, but clearly, they are all addressed at either frontline stage or through a more detailed, thorough investigation within respective timescales including authorised extensions. We take our commitment to the SPSO framework seriously and I am confident that our customer care will continue to improve as a result of complaints we receive.

Roddy Burns
Chief Executive

2. Introduction

- 2.1** This Complaints Handling Annual Report summarises the council's performance in terms of handling customer complaints received between 01 April 2018 and 31 March 2019.
- 2.2** The 2018-2019 reporting period provides the sixth full year of data under the new model Complaints Handling Procedure. This annual report is presented in accordance with the National Performance Framework, which was published in August 2013. The Complaints Standard Authority developed a suite of eight Performance Indicators in association with the Local Authority Complaint Handlers Network on which we are represented. These indicators are a valuable source of information about council services as this helps to identify recurring or underlying problems, derive learning from complaints and highlight potential areas for improvement.
- 2.3** The Complaints Standard Authority, in association with the Local Authority Complaint Handlers Network, is working on a revision of the model Complaint Handling Procedure for introduction in April 2020. Part of their proposal is to amend the suite of Performance Indicators from 8 to 6. Performance Indicator 7 on customer satisfaction is to be removed and many councils have taken the decision not to include this indicator in their 2018/19 annual report. Poor customer service survey response rates and a lack of customer understanding in survey completion have provided limited opportunity to benchmark either locally or at a national level. We will provide a brief report on customer satisfaction within this report.
- 2.4** Performance Indicator 8 – Learning from Complaints – we now include quarterly information on the number of completed learning outcomes for each complaint that was upheld or partially upheld.
- 2.5** The council always aims to provide the highest possible quality of service to our community, but we recognise that there are times when we fail to meet the expectations of our customers. The council welcomes feedback as it provides information that helps services learn from complaints and to modify and improve the way services are delivered. Complaints are viewed as a positive communication tool and are encouraged.

We regard a complaint as any 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 us or on our behalf.

2.6 Our complaints procedure has two stages:

- **Stage one** – ‘frontline resolution’: we will always try to resolve complaints quickly, within five working days, and in exceptional circumstances extend for a further five days.
- **Stage two** – ‘investigation’: if customers remain dissatisfied with our stage one response, they can escalate their complaint to stage two. Complaints that are complex or need detailed investigation from the outset can be looked at immediately at stage two. These complaints will be acknowledged within three working days and a written response provided within twenty working days; this can be extended in exceptional circumstances.

2.7 Following completion of our complaints process, if a customer remains dissatisfied, they can ask the SPSO to consider their complaint further and we advise them of this entitlement.

2.8 In support of the Complaints Handling Procedure, the council has a Complaints Management System enabling us to record, track and report on complaints information across all services. Within this system, we record how we have dealt with and responded to complaints.

2.9 Monitoring complaints information, the preparation and publication of quarterly reports and this annual report helps to provide a clear basis for identifying service failures (‘learning from complaints’) and information on how effectively the council is handling complaints (‘complaints performance’).

2.10 The Performance Indicators covered in this report provide a tool that the council and the public can use to judge objectively how well complaints are being handled and how they inform service improvement activity.

2.11 The complaints performance data in this report will also inform our Annual Public Performance Report summarising our performance against the Statutory Performance Indicators.

2.12 Compliance with the Complaints Handling Procedure is monitored by Audit Scotland in conjunction with the SPSO and in line with the principles of the Best Value Shared Risk Assessment arrangements.

2.13 A new two stage statutory social work complaints process was introduced on 1 April 2017 and social work complaints administered under the new process are included in this annual report.

3 Executive Summary

3.1 This report is written against the backdrop of continued financial constraints that have required Moray Council to implement several budget savings measures that have impacted on some Service areas. Within this context it may not be surprising to note that the number of complaints received and dealt with has again shown an increase.

3.2 Improvement has been made in complaints performance in relation to stage one complaints:

- complaints received being closed off at stage one -
81% in 2018/19 versus 66% in 2017-18 giving a 15% increase in complaint handling.
- stage one complaints being upheld -
Increased to 31% in 2018/19 versus 26% in 2017-18
- stage one complaints closed off within the five working day target -
Increased to 81% versus 78% in 2017-18.

This shows a marked improvement in both dealing with and closing off complaints at the point closest to delivery. The increase in upheld complaints has afforded us opportunity to learn and improve our service provision.

- 3.3** As in 2017-18, our complaint recording has continued to rise. This year the rate has risen to 6.40 per 1,000 population versus 5.75 in 2017-18 (Note: the rate across Scotland in 2017-18 was 10.36% per 1,000 population).

We continue to provide quarterly data to the Local Authority Complaint Handlers Network along with 30 other councils (one council did not submit data) for benchmarking purposes. Each council has varying methods of recording complaints preventing meaningful comparison. A sub group of the network is working with the SPSO Complaints Standards Authority to agree revised Performance Indicators for introduction in April 2020.

It is encouraging to see that in 2018-19, Education dealt with 43% of their complaints at front line versus 22% in 2017-18. Community Care also showed improvement increasing from 60% in 2017-18 to 67% in 2018-19. Integrated Children's Services continued to deal with most of their complaints at stage two, increasing from 68% in 2017-18 to 84% in 2018-19. Further guidance and training sessions will be delivered by the Complaints Officer to school and social care staff with the aim of increasing the recording of stage one complaints and having these closed off at this stage.

The Complaints Officer continues to monitor MP/MSP correspondence to ensure it is dealt with as either an enquiry or as a complaint as defined within our Complaints Policy.

- 3.4** Performance in resolving stage one complaints within the 5-working day timescale has shown improvement with scope for further improvement. One of the biggest factors in not meeting the 5-working day target is administration of complaints. The Complaints Officer will deliver training to complaint administrators and staff to improve this. This year, 77% were completed on time compared to 87% completed on time in 2017-18. Of the 111 complaints closed off beyond 5 working days, 24 (22%) had an approved extension, this was up 19% from 2017-18 however there is still room for further improvement.
- 3.5** Performance in resolving stage two complaints within the 20-working day timescale is another area for further improvement. This year, 53% were completed on time meaning that almost half of all stage two complaints were responded to out with the timescale. Of the 45 complaints closed off beyond 20 working days, only 4 (9%) had an approved extension, down 6% from 2017-18. Weekly monitoring by the Complaints Officer has made limited impact on authorised extensions for stage one and stage two complaints. Monitoring will continue along with management training to improve upon this.
- 3.6** There was a very encouraging 97% completion rate of the Learning Outcomes section within our Complaint Management System for each upheld and partially upheld complaint. Examples of where we have learned and made improvements to a policy or procedure can be found within Section 4.8 of this report.

4 Complaints Performance Indicators

The aim of the model Complaints Handling Procedure is for as many complaints as possible to be resolved at the frontline (i.e. at stage one) with as few as possible requiring progression to investigation (i.e. stage two) in order to improve both the customer's experience and the council's service provision.

The SPSO Performance Indicators provide the minimum requirement for a local authority to self-assess, report on performance and to undertake benchmarking activities. These indicators are:

- Indicator 1 – complaints received per 1,000 of population

- Indicator 2 – closed complaints
- Indicator 3 – complaints upheld, partially upheld and not upheld
- Indicator 4 – average times
- Indicator 5 – performance against timescales
- Indicator 6 – number of cases where an extension is authorised
- Indicator 7 – customer satisfaction
- Indicator 8 – learning from complaints

A breakdown of 2018-19 figures for relevant indicators will be explained in this section together with 2017-18 figures and some data from previous years to allow for benchmark comparisons. A breakdown of indicator figures for services is included as an appendix.

4.1 Indicator 1

This indicator records the total number of complaints received by the council. 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). To allow for a fair comparison across all 32 councils in Scotland, the figure of complaints per 1,000 of population is used.

Table 1: Number of complaints received by Moray Council (per 1,000 population)

Complaints received by Moray Council	2017-18	2018-19
Total number of received	551	611
Population (mid-year population estimate)	95,780	95,520
Number of complaints per 1,000 population	5.75	6.40

*Some of the complaints dealt with during the period relate to complaints raised before April 2018, and some raised in March 2019 would be unresolved before the end of March 2019. So, there will not be a direct correlation between numbers received and numbers responded to.

Compared to the 2017-18 figures, there has been an increase of 10.9% in the number of complaints received and a slight drop of around 0.3% in the population size. Consequently, the number of complaints per 1,000 population has increased by 11.2% compared to 2017-18 (Table 1).¹

Many complaints continue to be received by Environmental Services (76%). Complaints to Direct Services, one of the services that has the most direct contact with Moray residents, has shown an 32% increase since 2017-18. However, the other service with direct contact with residents, Housing & Property Service has recorded a 9% reduction in complaints compared to 2017-18.

The Complaints Officer has continued to pick up under recording across a few departments. Further training has been given to try and improve on this.

4.2 Indicator 2

This indicator provides information on the number of complaints closed at stage one and stage two as a percentage of the 597 closed complaints (note that there were 611 complaints received with 14 not closed during the reporting period). 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.

This indicator will report:

- the number of complaints closed at stage one as % of all complaints
- the number of complaints closed at stage two as % of all complaints
- the number of complaints closed at stage two after escalation as % of all complaints

Figure 1: Percentage of complaints closed at Stages One and Two (2014-15 through to 2018-19)



During 2018-19 four-fifths of complaints were dealt with at frontline resolution stage compared to one-fifth dealt with at the investigation stage. This is a considerable increase from the 66.3% dealt with at frontline in 2017-18, and 35% more than in 2014-15 when fewer than half of all complaints were resolved at this stage (45.7%).

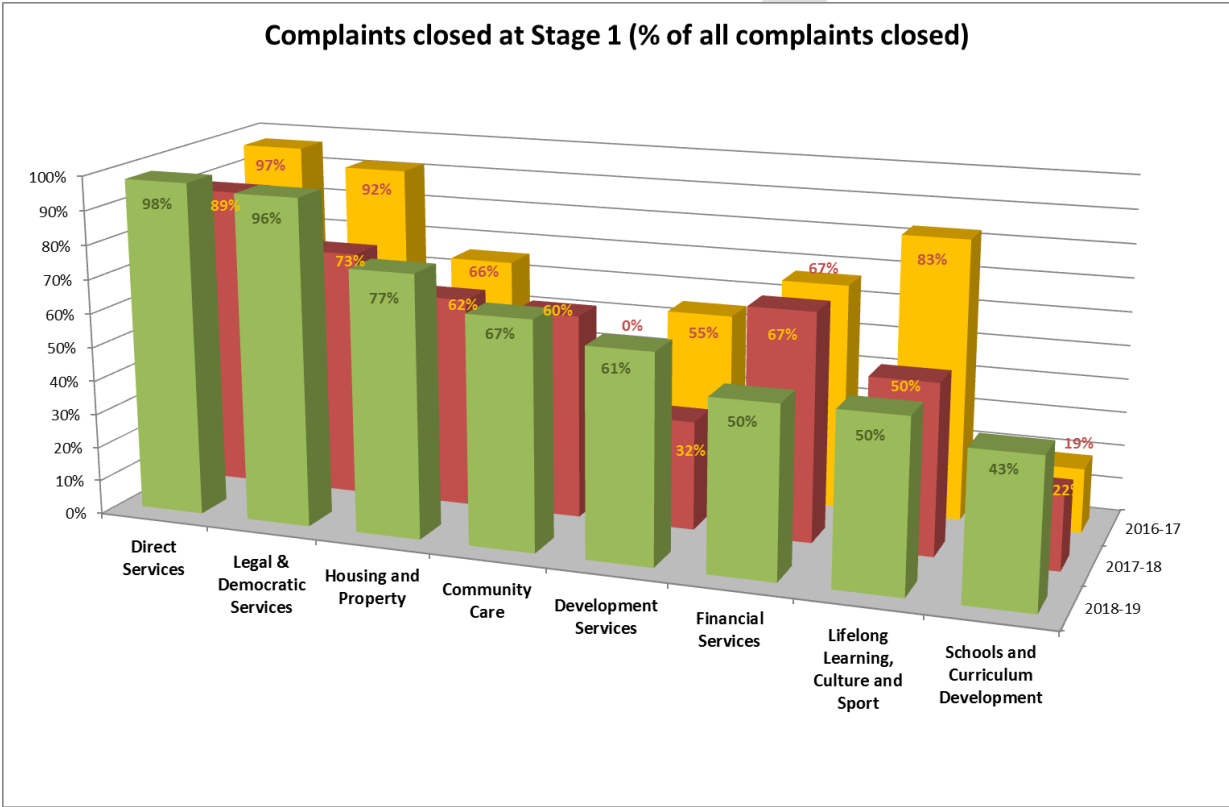
It is heartening to see that most complaints continue to be dealt with at frontline, as suggested by the SPSO’s guidance on the Complaints Handling Procedure to “take every opportunity to resolve service users’ complaints at the first point of contact if at all possible.” Continued emphasis is placed on highlighting the complaints model to individual services at the quarterly Complaints Administration Group meetings and providing complaints handling inputs to department staff, including the sharing of best practice to improve effective.

As in previous reporting periods Environmental Services received most complaints – 451 (76%). This is to be expected as they are responsible for busy service provision such as roads, waste management and planning where complaints often arise. Education and Social Care were the next highest – 94 (16%); Corporate Services – 52 (9%) received the remaining complaints. (See Figure 23 – Appendix).

Direct Services continue to lead the way in resolving complaints at frontline – 251 (98%). In 2018-19 Housing and Property continued their improvement of recent years and resolved 133 (77%) of complaints at frontline, which compares favourably to the 46% resolved at frontline in 2015-16. Community Care have built upon their performance in recent years. In 2016-17 all 10 of the complaints raised concerning Community Care were dealt with at stage two, whereas in 2018-19 the majority were dealt with at frontline (18 complaints equivalent to 67%).

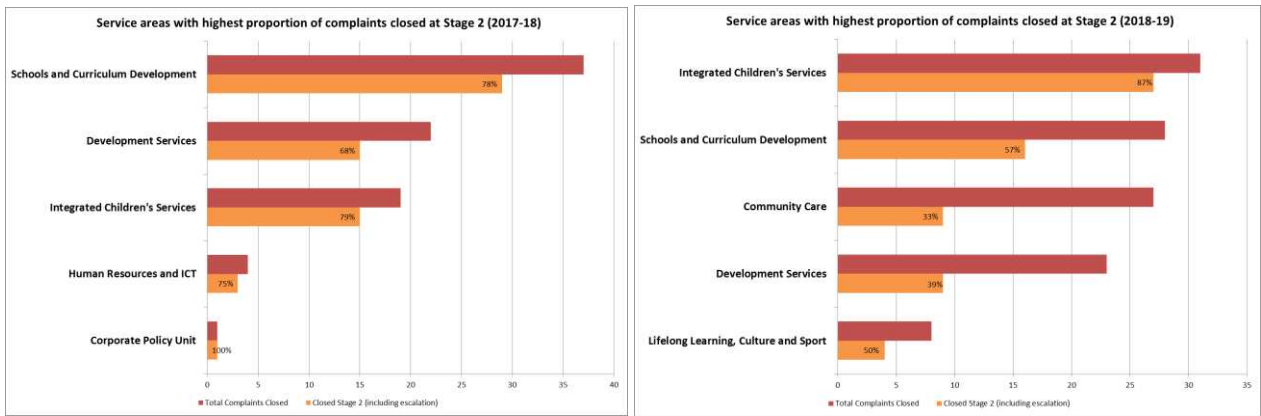
Two services resolve most complaints at the investigation stage; Integrated Children’s Services (84%) & Schools and Curriculum Development (57%), although it should be noted the relatively low number of complaints both services receive in comparison to Direct Services & Housing and Property.

Figure 2: Complaints closed at Stage One as a % of all complaints closed (2016-17 through to 2018-19)



27 out of 31 Integrated Children’s Services complaints (87%) were dealt with at stage two, while 16 out of the 28 Schools and Curriculum Development (57%) complaints were resolved at stage two (Figure 3). 2 out of 3 complaints raised against Human Resources & Information Communications Technology were closed at the investigative stage, but due to the small number this is not considered statistically significant.

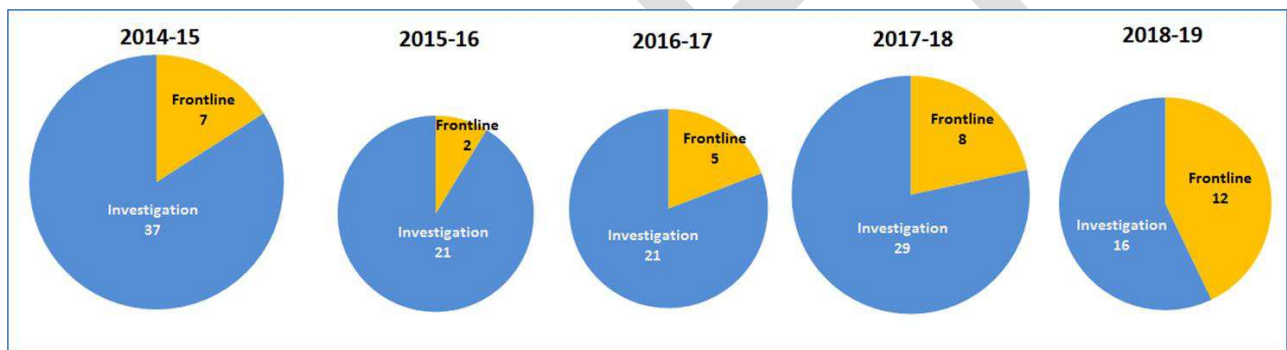
Figure 3: Complaints closed at Stage Two as a % of all complaints closed (2018-19 compared to 2017-18)



Stage two complaints often involve speaking with several witnesses, meeting with complainants and liaising with partner agencies. In such circumstances, concluding these enquiries and providing a written response to a complainant normally exceeds five working days.

There were 9 fewer complaints received by Schools and Curriculum Development than in 2017-18 (Figure 4), and of the 28 recorded 12 (43%) were resolved at frontline stage; double the 22% concluded at frontline in 2017-18 and continuing the trend of recent years.

Figure 4: Schools and Curriculum Development complaints resolved (2014-15 through to 2018-19)



4.3 Indicator 3

There is a requirement for a formal outcome (upheld, partially upheld or not upheld) to be recorded for each complaint.

This indicator will report:

- the number of complaints upheld at stage one as % of all complaints closed at stage one
- the number of complaints not upheld at stage one as % of all complaints closed at stage one
- the number of complaints partially upheld at stage one as % of all complaints closed at stage one
- the number of complaints upheld at stage two as % of all complaints closed at stage two
- the number of complaints not upheld at stage two as % of all complaints closed at stage two
- the number of complaints partially upheld at stage two as % of all complaints closed at stage two
- the number of escalated complaints upheld at stage two as % of all escalated complaints closed at stage two
- the number of escalated complaints not upheld at stage two as % of all escalated complaints closed at stage two
- the number of escalated complaints partially upheld at stage two as % of all escalated complaints closed at stage two

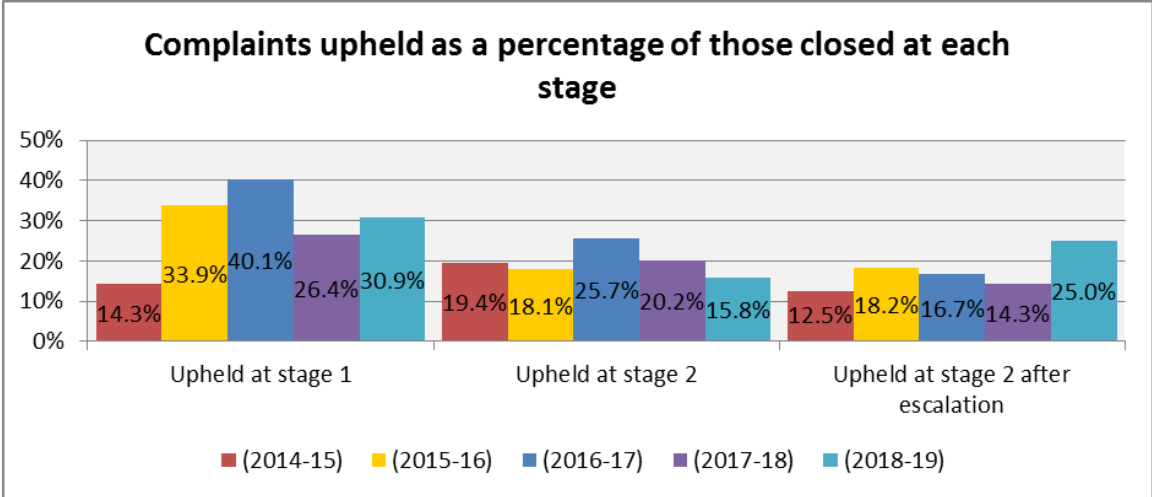
A complaint is defined as ‘upheld’ when the information in support of the complaint outweighs the service provided. A ‘partially upheld’ complaint results when there are several complaint issues raised and some, but not all, of them are upheld. Complaints are ‘not upheld’ when there is little or no information to support the complaint; that the service provided was of a reasonable standard in line with typical expectations; or if a request for services was misdirected as a complaint. The council reviews all complaints and each customer should be contacted to confirm to them whether their complaint has been ‘upheld’, ‘partially upheld’ or ‘not upheld’ together with an explanation of the findings.

Over one-third (39%) of frontline (stage one) complaints were ‘upheld’, or ‘partially upheld’ (Figures 5 & 6) in 2018-19, similar to 2017-18. In 2016-17 the proportion was 47.8%, and in 2015-16 it was 46%, compared to just one-quarter in 2014-15. This proportion demonstrates that mistakes are being acknowledged, apologies given with learning and improvement outcomes sought and implemented.

For stage two complaints ‘upheld’ or ‘partially upheld’ at the investigation stage, the proportion in 2018-19 remained unchanged at 43%, the same as in 2017-18 and 2016-17. Indeed over the past 5 years the proportion of stage two complaints (including after escalation) has been consistently around 40%.

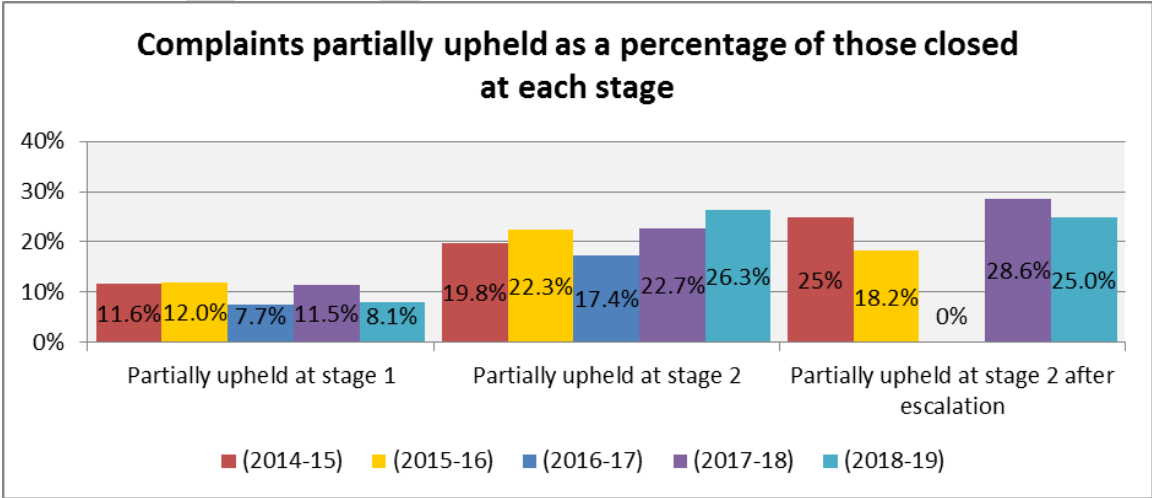
Upheld Complaints

Figure 5: Complaints upheld as a percentage of those closed at each stage (2014-15 through to 2018-19)



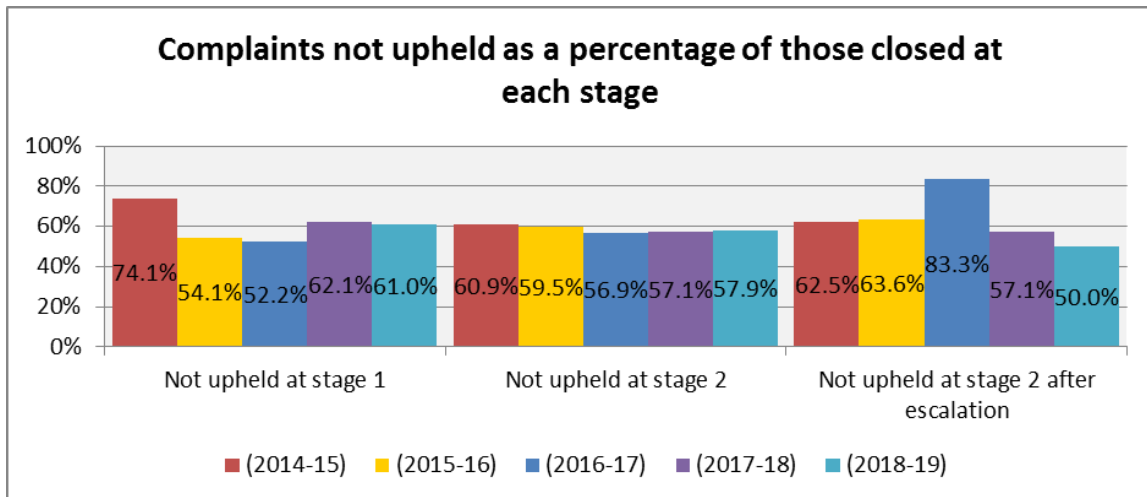
Partially Upheld Complaints

Figure 6: Complaints partially upheld as a percentage of those closed at each stage (from 2014-15 to 2018-19)



Not Upheld Complaints

Figure 7: Complaints not upheld as a percentage of those closed at each stage (from 2014-15 to 2018-19)



For all the complaints closed during 2018-19, at both stages one and two, 40% were fully 'upheld' or 'partially upheld' overall, the same as in 2017-18. This shows that many customers continue to raise concerns with service provision and, although the majority of complaints are not upheld, a significant proportion of all complaints require us to review and improve the way services are being delivered.

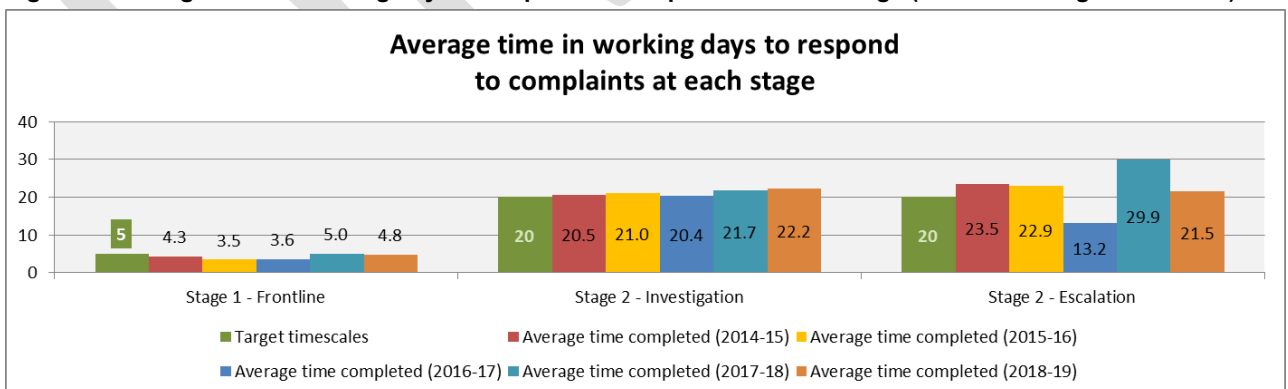
4.4 Indicator 4

This represents the average time in working days to close complaints at stages one and two of the model CHP.

This indicator will report:

- the average time in working days to respond to complaints at stage one
- the average time in working days to respond to complaints at stage two
- the average time in working days to respond to complaints after escalation

Figure 8: Average time in working days to respond to complaints at each stage (2014-15 through to 2018-19)



The average time taken to respond to frontline complaints remains within the SPSO's target 5 working day timescale. The number of frontline complaints closed on time increased significantly to 372 in 2018-19 compared to 271 in 2017-18. However, the proportion that was closed within 5 days (77%) was almost unchanged from 78% in 2017-18 (Figure 9).

Frontline resolution times, at an average of 4.8 days in 2018-19, are similar to 2017-18 (5.0 days) but are higher compared to previous years: 3.6 days in 2016-17, 3.5 days in 2015-16 and 4.3 days in 2014-15.

The average time for resolving stage two investigation complaints rose again in 2018-19 to 22.2 days (compared to 21.7 days in 2017-18); outside the Complaint Handling Procedures' guidelines and higher than the 21 days recorded in 2015-16. Conversely, the time taken on average to resolve the escalated stage two investigations reduced from 29.9 days in 2017-18 to 21.5 days in 2018-19.

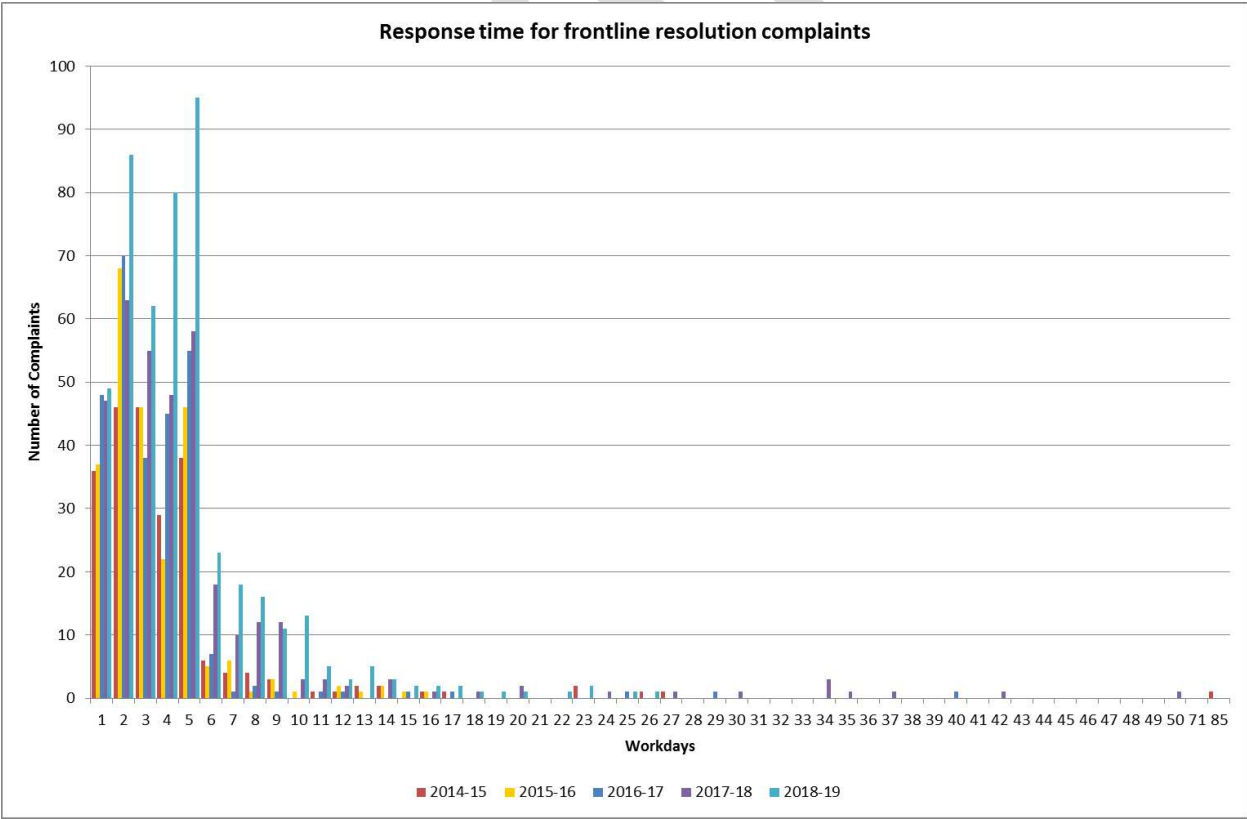
Although the majority of frontline complaints are dealt with within 5 working days, the proportion exceeding the maximum extension period of 10 working days remains at 6%, double the 3% in both 2016-17 and 2015-16. Those complaints extended should have been closed as a frontline resolution complaint (stage one) and escalated to investigation (stage two).

In 2017-18 there were 77 frontline complaints that took longer than 5 working days to close, much higher than the figures recorded in 2016-17 (18), 2015-16 (23) and 2014-15 (30). However, in 2018-19 the number rose significantly to 111, which may be indicative of the increased workload on staff. There were 12 frontline complaints taking longer than 15 days to resolve in 2018-19. There were 14 such cases in 2017-18, compared to 4 in 2016-17 and just 1 in 2015-16.

Four services account for the majority taking longer to resolve than the SPSO guidance: 50 complaints relating to Direct Services, 29 for Housing & Property Services, 14 for Community Care and 12 for Legal & Democratic Services. They ranged from 1 to 21 working days overdue. The frontline complaint that took the longest time to resolve (26 working days) was raised against Direct Services and concerned the closure of public toilets in Cullen.

Weekly monitoring continues to take place with complaint administrators for relevant departments being reminded to ensure they follow the correct database timeline process for stages.

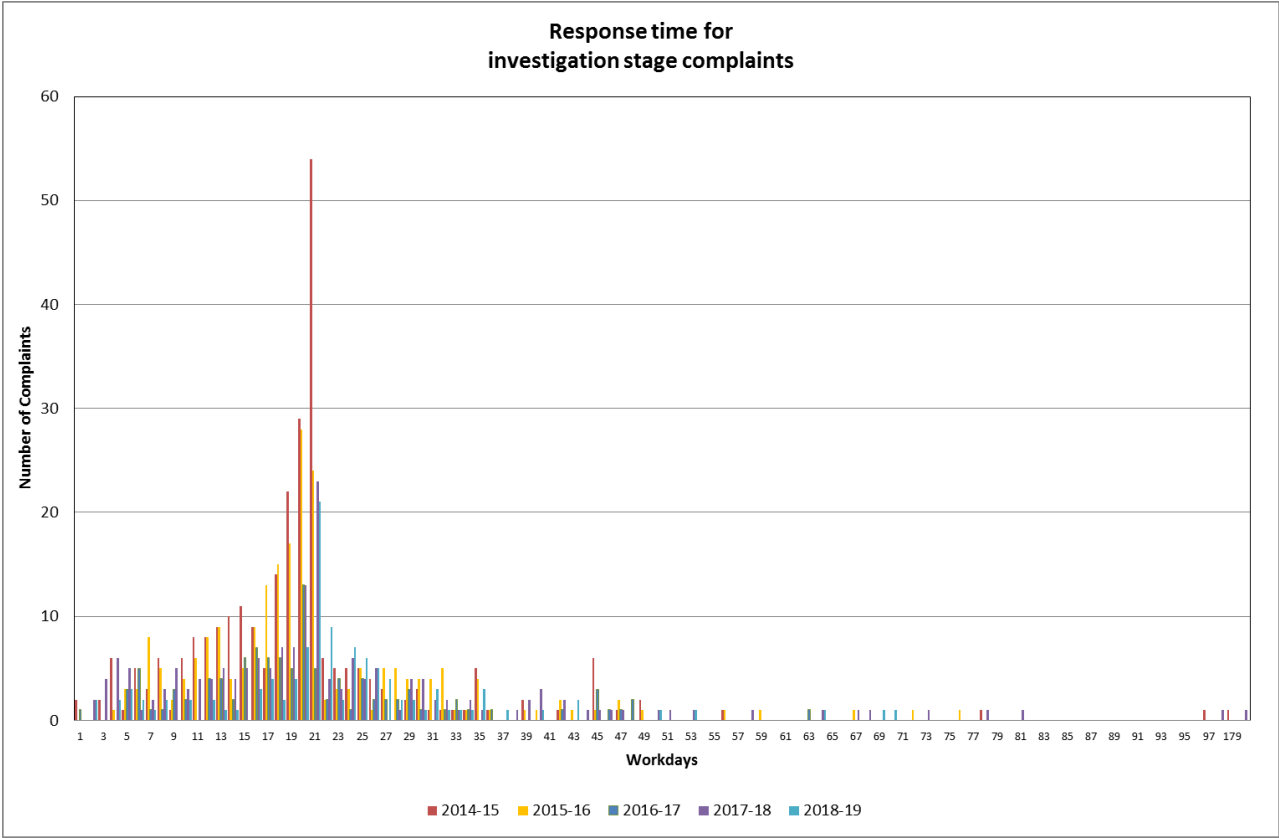
Figure 9: Response Time for frontline resolution complaints (2014-15 through to 2018-19)



The majority (59%) of the investigations were responded to within the 20 day timescale or within agreed extension periods (Figure 10). Of the 125 complaints closed at stage two (investigation and escalated), 56 (49%) took longer than the target response time. Integrated Children's Services complaints often require investigation of lengthy and complicated issues. This accounted for 17 of their 27 investigations taking more than 20 days to complete. In 2017-18 one of the Schools and

Curriculum Development investigations took 179 days to resolve; the longest of all complaints to be closed during the 5 years for which data has been collected. However, the longest resolution time in 2018-19 was much reduced at 69 days. This was an investigation into a complaint made against the Integrated Children’s Services.

Figure 10: Response time for Investigation Stage Complaints (including Escalated Investigations) (2014-15 through to 2018-19)



4.5 Indicator 5

The number and percentage of complaints at each stage which were closed in full within the set timescales of five and 20 working days.

The model Complaints Handling Procedure requires complaints to be closed within five working days at stage one and 20 working days at stage two. This indicator will report:

- the number of complaints closed at stage one within five working days as % of total number of stage one complaints
- the number of complaints closed at stage two within 20 working days as % of total number of stage two complaints
- the number of escalated complaints closed within 20 working days as a % of total number of escalated stage two complaints

The analysis provided for Indicator 4 is equally applicable for this indicator.

Table 2: Indicator 5 - Closure timescales (2014-15 through to 2018-19)

Performance Against Timescales		Number of complaints closed at stage one within 5 working days as a %	Number of complaints closed at stage two within 20 working days as a %	Number of escalated complaints closed at stage two within 20 working days as a %
2018-19	Total no. of complaints	482	95	20
	No. of complaints within timescales	372	50	9
	Meeting target times	77%	53%	45%
2017-18	Total no. of complaints	348	163	14
	No. of complaints within timescales	271	109	4
	Meeting target times	78%	67%	29%
2016-17	Total no. of complaints	274	103	6
	No. of complaints within timescales	271	63	5
	Meeting target times	99%	61%	83%
2015-16	Total no. of complaints	242	215	11
	No. of complaints within timescales	219	133	7
	Meeting target times	90%	62%	64%
2014-15	Total no. of complaints	224	258	8
	No. of complaints within timescales	195	146	8
	Meeting target times	87%	57%	100%

Despite the support given to services by the Complaints Officer during 2018-19 the Council did not improve its performance for closing frontline complaints within the target times; 77% compared to 78% in 2017-18. Note, however, that in 2016-17, when 99% of frontline complaints were resolved within 5 days there were 274 complaints, which is 56% of the total for 2018/19. This additional volume may have contributed to the delay in responding. The services have also struggled to close stage two complaints within 20 working days (53% compared to 67% in 2017-18). Our performance for escalated complaints varies significantly from year to year due to small sample sizes. However, closing less than a half of such complaints on time in 2018-19 is disappointing. Performance issues continue to be discussed with complaint administrators and highlighted through quarterly management reports. Closer monitoring and reinforcement was and will continue to be done to try and improve further on this performance.

4.6 Indicator 6

The number and percentage of complaints at each stage where an extension to the five or 20 working day timeline has been authorised.

The model Complaints Handling Procedure allows for an extension to the timescales to be authorised in certain circumstances. This indicator will report:

- the number of complaints closed at stage one where extension was authorised, as a % of all complaints at stage one

- number of complaints closed at stage two where extension was authorised, as a % of all complaints at stage two

This is an area where there is still room for improvement, but there has been a significant increase in the number of frontline extensions being approved (22% in 2018-19 compared to 10% or lower in previous years).

Table 3: Indicator 6 – Extensions (2014-15 through to 2018-19)

Number of cases where an extension is authorised		% of complaints at stage one where the extension was authorised	% of complaints at stage two where the extension was authorised
2018-19	Total no. of overdue complaints	111	56
	No. of complaints with authorised extensions	24	9
	Percentage with extensions	22%	16%
2017-18	Total no. of overdue complaints	77	63
	No. of complaints with authorised extensions	4	11
	Percentage with extensions	5%	17%
2016-17	Total no. of overdue complaints	42	37
	No. of complaints with authorised extensions	4	11
	Percentage with extensions	10%	30%
2015-16	Total no. of overdue complaints	23	86
	No. of complaints with authorised extensions	1	13
	Percentage with extensions	4%	15%
2014-15	Total no. of overdue complaints	18	63
	No. of complaints with authorised extensions	1	24
	Percentage with extensions	6%	38%

The council always aims to respond to complaints as quickly as possible. There are, however, times when a complaint is particularly complex, and it is identified that a thorough investigation of the issues will require time out with the prescribed timescales. In these situations, the council agrees with a complainant to extend the timescale for closing the complaint and will detail the reasons such as having to interview several potential witnesses and for a need to gather reports from a variety of sources. A senior manager must always approve such an extension before it is granted, and this is recorded with revised time limits on our complaints database.

However, as the data in Table 3 testifies, many complaints taking longer than the stipulated times still do not receive such approvals.

Figure 11 gives a breakdown by service where frontline complaints were extended without authorisation. As can be seen 24 overdue frontline complaints (22%) had authorised extensions

mainly by the Community Care team (note that there were three complaints which were extended but were then resolved in under 5 days). None of the complaints resolved in more than 5 days at frontline by Direct Services received an authorised extension. Thirty-five of these were resolved between 6 and 10 days, and should have been extended by a manager.

Housing and Property Services reduced non authorised extensions at front line by 70% down from 28 in 2017-18 to 6 in 2018-19.

Figure 12 gives a breakdown by service where complaints were extended without authorisation for investigations. Housing and Property had the highest proportion of authorised extensions for investigations that took longer than 20 working days to resolve with 5 out of 15 (33%). Integrated Children's Services had the next highest number with 3 out of 17 (17.6%).

Despite the revised complaints database, which was introduced in April 2017, the expectation that this would allow for closer monitoring to identify complaints that have extended beyond 20 days without authorisation has proved over-optimistic. Senior management are still being notified of such cases and administrators reminded weekly to update the database, but there is still scope for significant improvement.

Figure 11: Frontline complaints not responded to in stipulated timescales, without authorised extensions (2018-19)

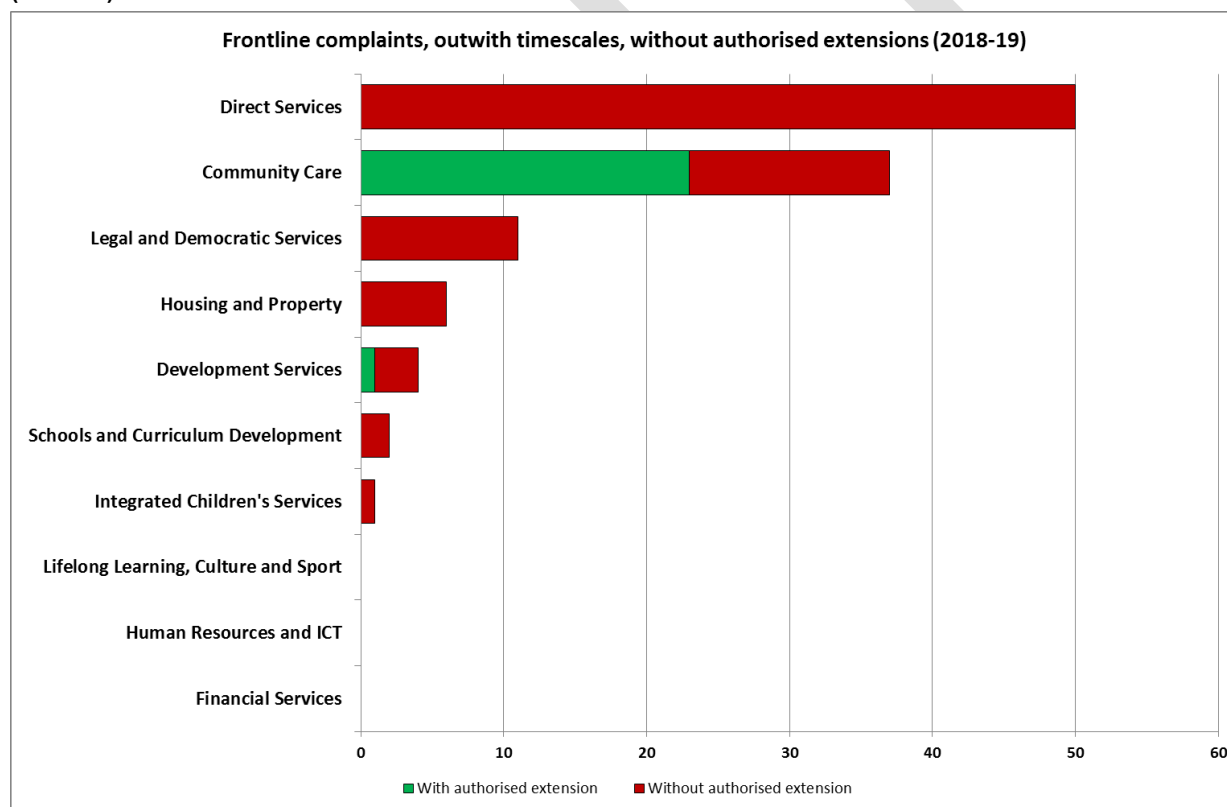
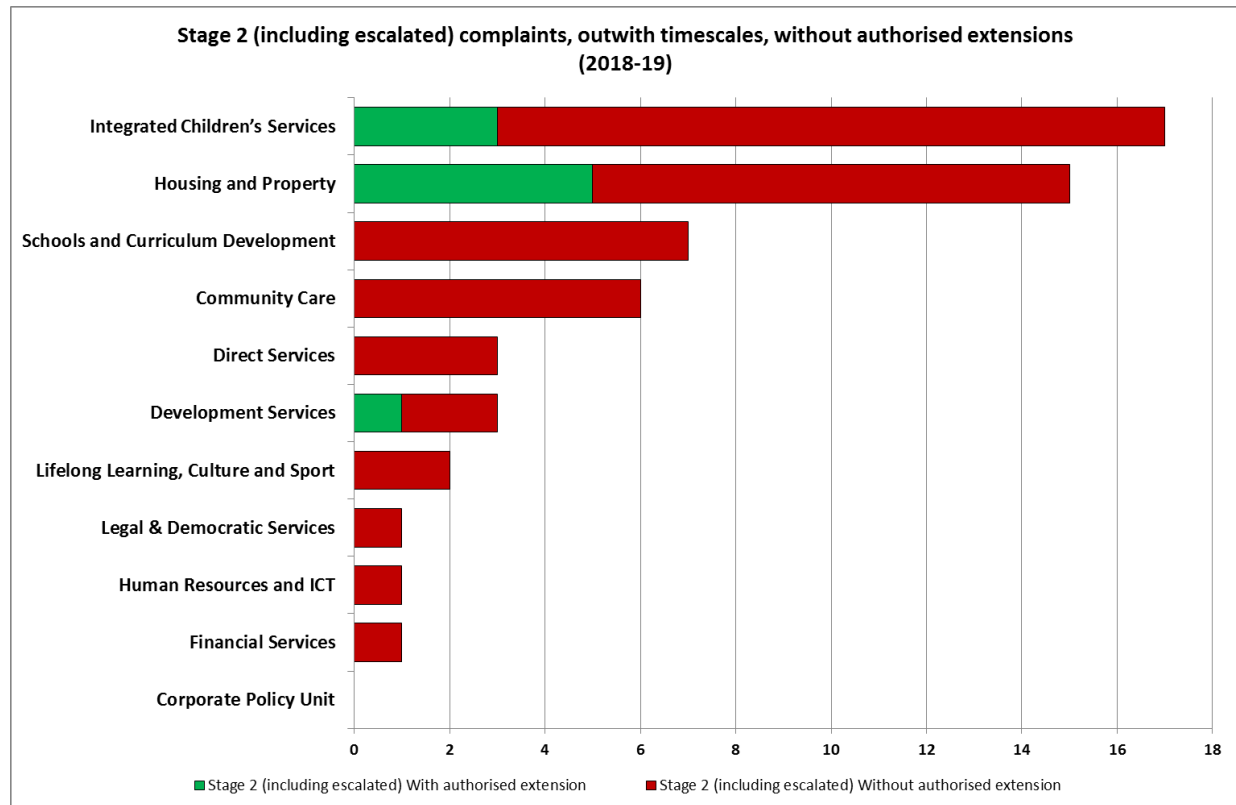


Figure 12: Stage two (including escalated) complaints not responded to in stipulated timescales, without authorised extensions (2018-19)



4.7 Indicator 7

The SPSO currently requires a statement to report on customer satisfaction with the complaints service provided although this is currently being reviewed as part of the SPSO revision of the Model Complaint Handling Procedure. A brief report is included on customer satisfaction.

A customer satisfaction survey was sent out to customers with the aim of helping the council focus on areas where improvements or change could be made to our complaints handling procedure and service provision.

In assessing customer satisfaction within the complaints service, customers were asked to consider:

- how satisfied they were with the way their complaint was handled
- how easy the complaints process was to follow
- how well we complied with the CHP
- how well we provided service delivery, timeliness and information
- how professional the attitude of staff was

Customer Satisfaction Feedback Survey

Complaints Handling Customer Feedback Surveys were sent to every complainant when they were informed of the outcome of their complaint. In 2018/19, 551 surveys were sent out, 360 by email and 191 by post. We received 24 (13%) postal responses and 119 (33%) online responses, giving an overall survey response of 143 (26%). This was an 11% increase from 2017-18.

Arising from the survey, the main dissatisfactions are:

- not contacting customers to confirm complaints and outcomes sought;
- not updating customers;
- management not taking responsibility;
- not adhering to policy timescales;

- not taking the issues seriously;
- trying to dissuade customers from making a complaint;
- not apologising for poor service provision;
- had to chase up a response;
- the response was defensive;
- only received a single sentence response;
- investigator didn't appear to have the training to do their job;
- response letter full of spelling mistakes;
- the staff member needs to attend a customer relations course, their attitude was appalling

In 2018 -19, some positive feedback comments were received. These included:

- staff did their job well in resolving the issue;
- customer complaint resolved within 24 hours;
- staff member sent me a refund and an understanding letter of apology;
- issue had been ongoing for a year so used the complaint process and staff resolved it within a week

4.8 Indicator 8 – Lessons learned: a statement outlining changes or improvements to services or procedures as a result of the consideration of complaints.

The council has a clear commitment to listen to our customers and act on their feedback. Learning from complaints is a continuous process that helps the council to resolve common issues and further improve the services that are provided. The council is continually working on learning from complaints and implementing changes to working practices as a direct result of investigating complaints.

4.8.1. Learning Outcomes

Managers review complaints that are upheld or partially upheld to determine if change or improvement would prevent re-occurrence. When a complaint is upheld or partially upheld, the remedies offered will generally fall into one or more of the following four categories:

- **Redress** – Putting things right where they have gone wrong, admitting where mistakes have been made.
- **Reimbursement** – Covering vouched actual costs incurred as a direct result of mistakes made by the council.
- **Reinforcement** – Recognising that a correct council policy/procedure has not been followed or we have fallen short of what could be expected. Training and instructing staff to prevent re-occurrence.
- **Revision** – Reviewing current practice to amend and improve working practices.

The Complaints Management System has a specific learning outcome section for managers to complete when complaints are closed. Where they have been upheld or partially upheld, any learning outcomes and service improvements are recorded.

Complaint Officer monitoring and database processing by Complaint administrators have ensured that more detailed closures are being recorded. The below information provides a quarterly breakdown of completion of the learning outcomes section in the complaints database.

Complaints Summary – Learning opportunities

Quarter 1	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Not Upheld</i>
Number of Complaints Closed	49	13	81
Learning Outcomes Completed	47 (95.9%)	11 (84.6%)	Nil

Quarter 2	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Not Upheld</i>
Number of Complaints Closed	38	18	92
Learning Outcomes Completed	37 (97.4%)	17 (94.4%)	Nil

Quarter 3	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Not Upheld</i>
Number of Complaints Closed	38	23	102
Learning Outcomes Completed	36 (94.7%)	22 (95.7%)	Nil

Quarter 4	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Not Upheld</i>
Number of Complaints Closed	46	21	103
Learning Outcomes Completed	46 (100%)	21 (100%)	Nil

Closed complaints – numbers upheld or partially upheld by type of complaint

Closed complaints by Complaint Type	Qtr 1		Qtr 2		Qtr 3		Qtr 4	
	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>
Repairs/Capital/ Planned maintenance	12	3	12	4	17	4	17	4
Household Collections	13	0	4	0	14	0	14	0
Process/Procedure	10	1	7	3	2	3	6	7
Complaint Against Staff	7	2	9	6	2	6	6	7
Allocations	0	2	0	2	0	2	0	0
Road Maintenance	3	0	0	0	0	1	0	0
Housing Estate Management	1	0	0	1	1	0	0	0
Housing Disputes	0	0	1	1	0	0	0	0
Lighting	1	0	0	0	0	0	0	0
Housing Support	0	0	0	0	0	1	0	0
Bullying	1	0	0	0	0	0	0	0
Footpaths/pavement	0	1	0	0	0	0	0	0
Council Tax	0	0	1	0	0	0	0	0
Planning Permission	0	1	0	0	0	0	0	0
Estates	0	0	0	0	0	1	0	0
Public/School transport	0	0	0	0	0	0	1	0
N/A	0	0	0	0	0	0	0	1
Other	1	3	4	1	2	5	2	2

Closed complaints – numbers upheld or partially upheld by type of complaint with learning outcomes

Closed complaints by Complaint Type with Learning Outcomes	Qtr 1		Qtr 2		Qtr 3		Qtr 4	
	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>	<i>Upheld</i>	<i>Partially Upheld</i>
Repairs/Capital/ Planned maintenance	12 (100%)	3 (100%)	12 (100%)	4 (100%)	17 (100%)	4 (100%)	17 (100%)	4 (100%)
Household Collections	13 (100%)	0 (N/A)	3 (75%)	0 (N/A)	13 (93%)	0 (N/A)	14 (100%)	0 (N/A)
Process/Procedure	8 (80%)	0 (0%)	7 (100%)	3 (100%)	1 (50%)	3 (100%)	6 (100%)	7 (100%)
Complaint Against Staff	7 (100%)	2 (100%)	9 (100%)	5 (83%)	2 (100%)	6 (100%)	6 (100%)	7 (100%)
Allocations	0 (N/A)	2 (100%)	0 (N/A)	2 (100%)	0 (N/A)	1 (50%)	0 (N/A)	0 (N/A)
Road Maintenance	3 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)
Housing Estate Management	1 (100%)	0 (N/A)	0 (N/A)	1 (100%)	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)
Housing Disputes	0 (N/A)	0 (N/A)	1 (100%)	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)
Lighting	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)
Housing Support	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)
Bullying	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)
Footpaths/pavement	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)

Council Tax	0 (N/A)	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)
Planning Permission	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)
Estates	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	1 (100%)	0 (N/A)	0 (N/A)
Public/School transport	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	1 (100%)	0 (N/A)
N/A	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	0 (N/A)	1 (100%)
Other	1 (100%)	2 (67%)	4 (100%)	1 (100%)	2 (100%)	5 (100%)	2 (100%)	2 (100%)

For the majority of complaints that were upheld or partially upheld a learning outcome was recorded on the complaints database (237 out of 246 complaints, equivalent to 96.3%). All complaints received in quarter 4 that were upheld or partially upheld had learning outcomes noted.

The following is a summary of some learning outcome actions taken to change a procedure or policy in resolving complaints that were upheld or partially upheld in 2018-19:

Table 4: Actions taken in response to complaints upheld (2018-19)

Department	You said...	We listened and took action on the following upheld complaints...
Legal and Democratic Services	Despite you adding a note to your council tax account, there was a failure in our system and we wrongly implemented recovery procedure relating to your account.	In upholding your complaint, we apologised and introduced new steps in our procedure to prevent this happening in the future.
Financial Services	Arising from a system error, we sent you an adhoc letter asking you to confirm the details of an invoice.	In upholding your complaint, we apologised and put in place a procedure where all such letters being sent out will be checked over by a manager.
Housing and Property	We delayed sending your entitled payment due to a staff absence.	In upholding your complaint, we apologised, sent payment and put in place additional cover arrangements for any staff absences.
Community Care	Basic details were missing from a document and the	In upholding your complaint, we apologised and revised our process.

Department	You said...	We listened and took action on the following upheld complaints...
	language/phrasing used in the document caused distress.	All documents in draft are now clearly marked as such. Staff have been asked to include risk conversations in the care programme approach.
Integrated Children's Services	Our facilitation and practical arrangements of a meeting was unsatisfactory.	In upholding your complaint, we apologised, and management highlighted the issues you raised to staff to address and implement changes.
Schools and Curriculum Development	We failed to deal with your child being bullied.	In upholding your complaint, we apologised and revised the school anti bullying policy.

5. Scottish Public Services Ombudsman/Benchmarking

In 2018-19, the Local Authority Complaint Handlers Network continued to benchmark across all 32 councils. 1 council didn't provide their annual data so results were drawn from the remaining 31 councils.

The below tables provide some information on how Moray Council compares with overall recorded complaint national statistics:

Complaints Received	2017-18	2018-19
Moray Council	551 (1%)	611 (1%)
Nationally	62,884	56,178

Complaints Received Per 1000 Population	2017-18	2018-19
Moray Council	5.75	6.40
Nationally	11.6	10.36

Complaints Closed	2017-18	2018-19
Moray Council	525	597
Nationally	60,952	54,782

Nationally there was an 11% reduction in the number of complaints recorded in 2018-19. In contrast, Moray Council had an 11% increase in complaint recording demonstrating continued public confidence in reporting complaints.

Average Time in Working Days – Stage one	2017-18	2018-19
Moray Council	4.97	4.8
Nationally	8.3	7.1
Average Time in Working Days – Stage two	2017-18	2018-19
Moray Council	21.7	22.2
Nationally	23.6	29.9

Nationally, many Councils do not meet their target of resolving stage one complaints within 5 working days although there has been a 16% reduction in the time taken from 2017-18. Moray Council achieved this target and reduced the average time taken to resolve frontline complaints by a further 3.4%.

Both nationally and locally the stage two complaints targets of 20 working days was not met with a 2% increase for Moray Council and a 21% increase nationally. This could be indicative of reducing staff numbers and, for Moray Council, the increase in the number of complaints dealt with.

6. Summary

The council is committed to customer service and values feedback from our service users. Customer views and experiences are important to us as they help us to understand what we do well and identify where we need to improve. We want our customers to feel that their feedback is valued, that we will listen and act on lessons learned in order to improve service provision. Use of digital technology complements written survey requests providing additional opportunity to receive public feedback.

Only by utilising the Complaint Handling Procedure and adhering to the robust performance management framework, will we learn from complaints, improve services and increase customer confidence in our service provision. We have made good use of the learning and improvement section of the Complaints Management System to demonstrate that we are learning from complaints. Increased complaint numbers reveals continued public confidence in reporting complaints.

It is importance that we aim to deal with complaints quickly, keep complainants informed and advise them what to do if they remain dissatisfied. Staff training, intranet guidance and Complaint Officer monitoring will help to achieve this aim. The complaints section in the Moray Council website provides the public with policies, reports and general information on how a complaint can be reported and dealt with.

The results of the complaints survey showed an increased return rate with some useful feedback given. It remains the case that satisfaction with the complaints handling process appears to be influenced by how satisfied the customer was with the outcome of their complaint. We used the easy-to-use online option and sent paper copies; however, this produced a low number of survey responses meaning we were restricted in assessing the effectiveness of it as a learning tool. We will continue to use both online and hard copy methods for our survey.

Welcoming, recording, managing and resolving complaints in an effective manner will increase public confidence in our application of the Complaint Handling Procedure and afford us opportunity to learn and improve our service provision.

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APPENDIX

Please note that due to rounding, some totals may add up to slightly more or less than 100%.

Table A: Indicator 2 – Complaints closed at stage one and stage two as a percentage of all complaints closed

Indicator 2 by service	2017-18				2018-19			
	Stage 1 – Front line resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Total	Stage 1 – Front line resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Total
All Council	348 66%	163 31%	14 3%	525	482 81%	95 16%	20 3%	597
Chief Executive's Office	1 50%	1 50%	0 0%	2	0 n/a	0 n/a	0 n/a	0
Chief Executive's Section	1 100%	0 0%	0 0%	1	0 n/a	0 n/a	0 n/a	0
Corporate Policy Unit	0 0%	1 100%	0 0%	1	0 n/a	0 n/a	0 n/a	0
Community Planning & Development	0 n/a	0 n/a	0 n/a	0	0 n/a	0 n/a	0 n/a	0
Corporate Services	24 67%	11 31%	1 3%	36	46 88%	6 12%	0 0%	52
Financial Services	4 67%	2 33%	0 0%	6	2 50%	2 50%	0 0%	4
Human Resources and ICT	1 25%	3 75%	0 0%	4	1 33%	2 67%	0 0%	3
Legal and Democratic Services	19 73%	6 23%	1 4%	26	43 96%	2 4%	0 0%	45
Environmental Services	295 73%	102 25%	7 2%	404	398 88%	35 8%	18 4%	451
Development Services	7 32%	15 68%	0 0%	22	14 61%	8 35%	1 4%	23
Direct Services	172 89%	19 10%	3 2%	194	251 98%	3 1%	2 1%	256
Housing and Property	116 62%	68 36%	4 2%	188	133 77%	24 14%	15 9%	172
Education and Social Care	28 34%	49 59%	6 7%	83	38 40%	54 57%	2 2%	94
Community Care	15 60%	6 24%	4 16%	25	18 67%	8 30%	1 4%	27
Integrated Children's Services	4 21%	13 68%	2 11%	19	4 13%	26 84%	1 3%	31
Lifelong Learning, Culture and Sport	1 50%	1 50%	0 0%	2	4 50%	4 50%	0 0%	8
Schools and Curriculum Development	8 22%	29 78%	0 0%	37	12 43%	16 57%	0 0%	28

Table B: Indicator 3 by service – The number of complaints upheld/partially upheld/not upheld at each stage as a percentage of complaints closed in full at stage one

Indicator 3 by service – Stage 1	2017-18				2018-19			
	Upheld	Partially Upheld	Not Upheld	Total	Upheld	Partially Upheld	Not Upheld	Total
All Council	92 26%	40 11%	216 62%	348	149 31%	39 8%	294 61%	482
Chief Executive's Office	0 0%	1 100%	0 0%	1	0 0%	0 0%	0 0%	0
Chief Executive's Section	0	1 1	0	1	0 0%	0 0%	0 0%	0
Corporate Policy Unit	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
Community Planning & Development	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
Corporate Services	11 46%	3 13%	10 42%	24	14 30%	10 22%	22 48%	46
Financial Services	3 75%	0 0%	1 25%	4	1 50%	0 0%	1 50%	2
Human Resources and ICT	0 0%	0 0%	1 100%	0	0 0%	0 0%	1 100%	1
Legal and Democratic Services	8 42%	3 16%	8 42%	19	13 30%	10 23%	20 47%	43
Environmental Services	73 25%	31 11%	191 65%	295	123 31%	23 6%	252 63%	398
Development Services	0 0%	2 29%	5 71%	7	0 0%	5 36%	9 64%	14
Direct Services	48 28%	11 6%	113 66%	172	61 24%	4 2%	186 74%	251
Housing and Property	25 22%	18 16%	73 63%	116	62 47%	14 11%	57 43%	133
Education and Social Care	8 29%	5 18%	15 54%	28	12 32%	6 16%	20 53%	38
Community Care	4 27%	5 33%	6 40%	15	3 17%	5 28%	10 56%	18
Integrated Children's Services	0 0%	0 0%	4 100%	4	0 0%	0 0%	4 100%	4
Lifelong Learning, Culture and Sport	0 0%	0 0%	1 100%	1	2 50%	0 0%	2 50%	4
Schools and Curriculum Development	4 50%	0 0%	4 50%	8	7 58%	1 8%	4 33%	12

Figure 20: Stage one – % of Complaints Upheld, Partially Upheld, and Not Upheld (2014-15 through to 2018-19)

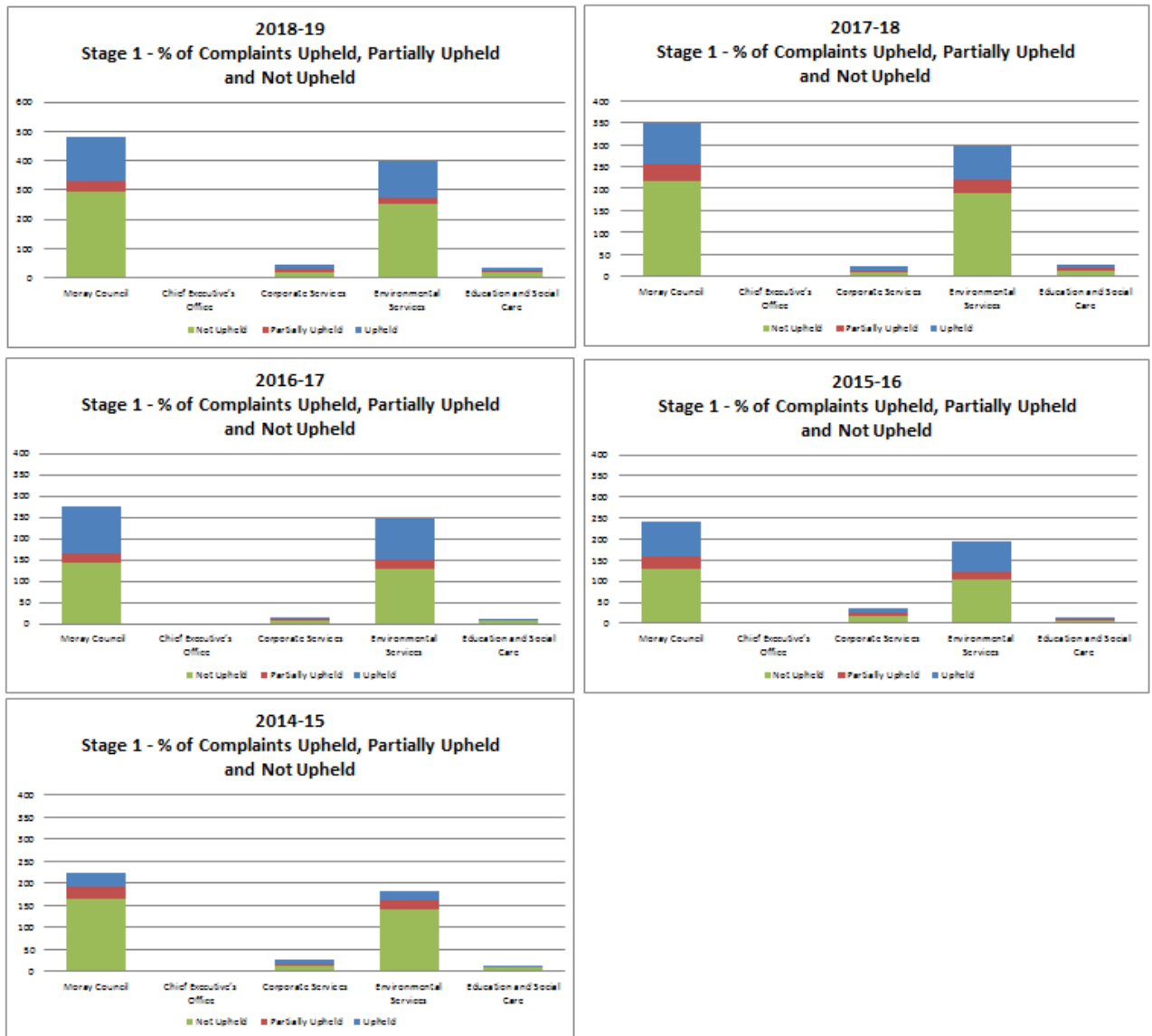


Table C: Indicator 3 by service – The number of complaints upheld/partially upheld/not upheld at each stage as a percentage of complaints closed in full at stage two (including escalated complaints)

Indicator 3 by service – Stage 2 (including escalated)	2017-18				2018-19			
	Upheld	Partially Upheld	Not Upheld	Total	Upheld	Partially Upheld	Not Upheld	Total
All Council	35 20%	41 23%	101 57%	177	20 17%	30 26%	65 57%	115
Chief Executive's Office	0 0%	0 0%	1 100%	1	0 0%	0 0%	0 0%	0
Chief Executive's Section	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
Corporate Policy Unit	0 0%	0 0%	1 100%	1	0 0%	0 0%	0 0%	0
Community Planning & Development	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
Corporate Services	7 58%	2 17%	3 25%	12	1 17%	0 0%	5 83%	6
Financial Services	2 100%	0 0%	0 0%	2	0 0%	0 0%	2 100%	2
Human Resources and ICT	2 67%	1 33%	0 0%	3	0 0%	0 0%	2 100%	2
Legal and Democratic Services	3 43%	1 14%	3 43%	7	1 50%	0 0%	1 50%	2
Environmental Services	19 17%	18 17%	72 66%	109	6 11%	14 26%	33 62%	53
Development Services	0 0%	2 13%	13 87%	15	0 0%	3 33%	6 67%	9
Direct Services	4 18%	1 5%	17 77%	22	0 0%	0 0%	5 100%	5
Housing and Property	15 21%	15 21%	42 58%	72	6 15%	11 28%	22 56%	39
Education and Social Care	9 16%	21 38%	25 45%	55	13 23%	16 29%	27 48%	56
Community Care	2 20%	4 40%	4 40%	10	0 0%	6 67%	3 33%	9
Integrated Children's Services	2 13%	8 53%	5 33%	15	10 37%	7 26%	10 37%	27
Lifelong Learning, Culture and Sport	0 0%	0 0%	1 100%	1	2 50%	0 0%	2 50%	4
Schools and Curriculum Development	5 17%	9 31%	15 52%	29	1 6%	3 19%	12 75%	16

Figure 21: Stage two – % of Complaints Upheld, Partially Upheld, and Not Upheld (2014-15 through to 2018-19)

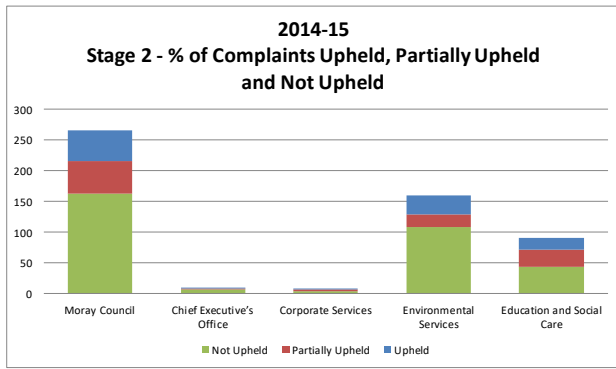
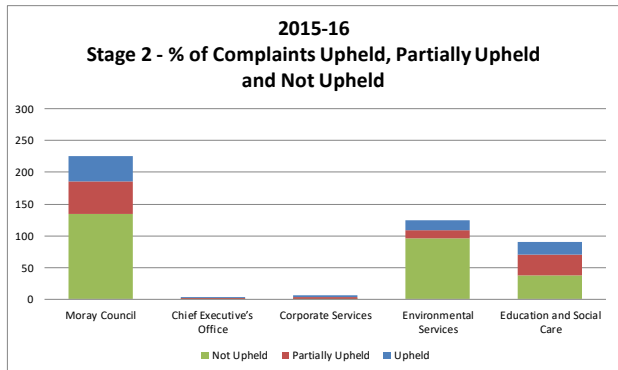
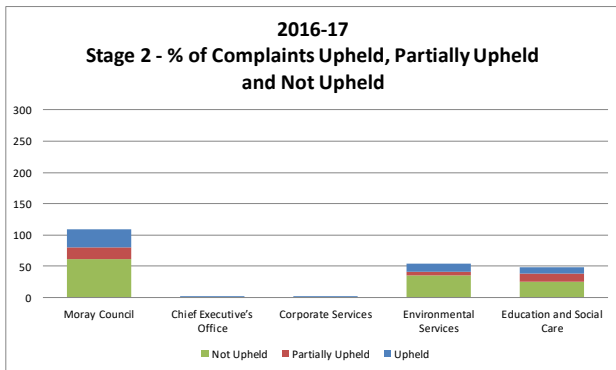
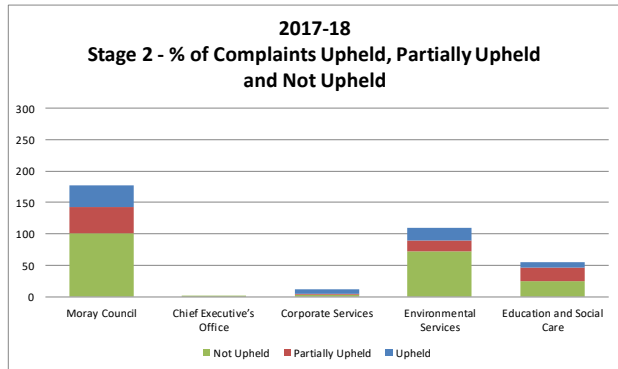
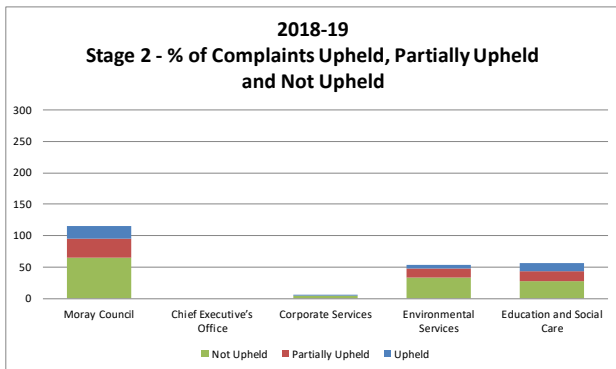


Table D: Indicator 4 by service – The average time in working days for a full response to complaints at each stage

Indicator 4 by service	2017-18			2018-19		
	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation
Target timescales (number of working days)	5	20	20	5	20	20
All Council	5.0	21.7	29.9	4.8	22.2	21.5
Chief Executive's Office	1	3.0	n/a	n/a	n/a	n/a
Chief Executive's Section	1.0	n/a	n/a	n/a	n/a	n/a
Corporate Policy Unit	n/a	3.0	n/a	n/a	n/a	n/a
Community Planning & Development	n/a	n/a	n/a	n/a	n/a	n/a
Corporate Services	7.7	11.2	38.0	4.5	18.2	n/a
Financial Services	3.8	15.5	n/a	1.5	20.0	n/a
Human Resources and ICT	50.0	7.0	n/a	1.0	13.5	n/a
Legal and Democratic Services	6.3	11.8	38.0	4.7	21.0	n/a
Environmental Services	4.5	19.5	28.4	4.6	19.0	19.1
Development Services	5.3	22.3	n/a	5.9	22.8	20.0
Direct Services	3.7	19.6	41.0	4.5	14.3	22.0
Housing and Property	5.5	18.8	19.0	4.7	18.3	18.6
Education and Social Care	8.2	29.1	30.3	6.7	24.7	43.0
Community Care	9.7	23.3	32.0	9.8	26.0	34.0
Integrated Children's Services	9.3	29.2	27.0	4.8	26.6	52.0
Lifelong Learning, Culture and Sport	8.0	11.0	n/a	3.3	20.8	n/a
Schools and Curriculum Development	5.0	30.9	n/a	3.9	22.0	n/a

Figure 22: Average time in working days for a full response to complaints at each stage (2014-15 through to 2018-19)

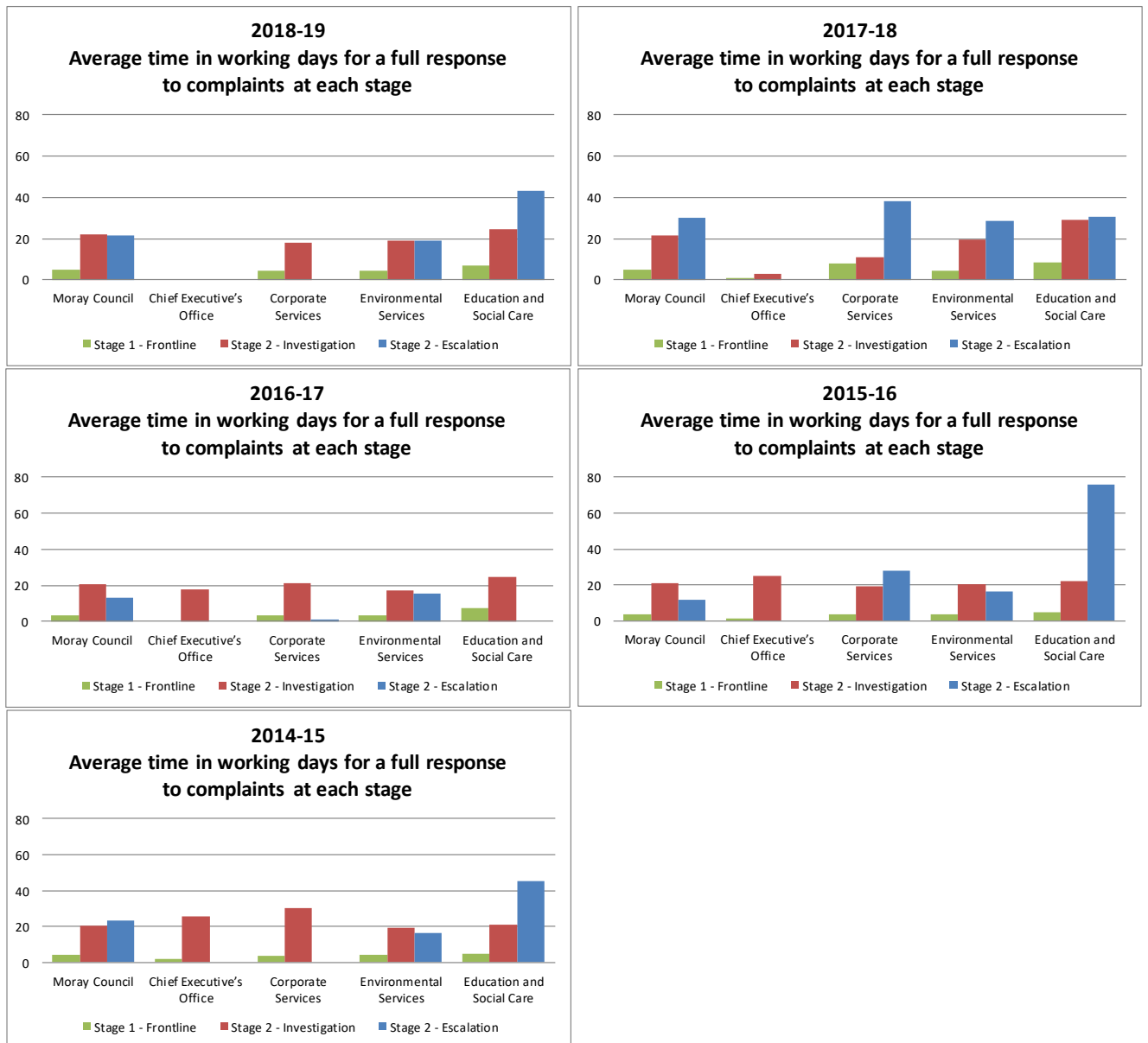


Table E: Average Time in working days to respond to complaints at each stage

Average Time in working days to respond to complaints at each stage	2017-18			2018-19		
	No. of complaints	Total time (workdays)	Average time (workdays)	No. of complaints	Total time (workdays)	Average time (workdays)
Average time in working days to respond to complaints at stage one	348	1731	5.0	482	2293	4.8
Average time in working days to respond to complaints at stage two	163	3539	21.7	95	2108	22.2
Average time in working days to respond to complaints after escalation	14	419	29.9	20	429	21.5

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Table F: Indicator 5 by service – The number and percentage of complaints at each stage which were closed in full within the set timescales of five and 20 working days

Indicator 5 by service (Refer to Table A for Totals)	2017-18			2018-19		
	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation
Target timescales (number of working days)	5	20	20	5	20	20
All Council	271 78%	109 67%	4 29%	372 77%	50 53%	9 45%
Chief Executive’s Office	1 100%	0 0%	0 n/a	0 n/a	0 n/a	0 n/a
Chief Executive’s Section	1 100%	0 n/a	0 n/a	0 n/a	0 n/a	0 n/a
Corporate Policy Unit	0 n/a	0 0%	0 n/a	0 n/a	0 n/a	0 n/a
Community Planning & Development	0 n/a	0 n/a	0 n/a	0 n/a	0 n/a	0 n/a
Corporate Services	17 71%	9 82%	0 0%	34 74%	3 50%	0 n/a
Financial Services	4 100%	2 100%	0 n/a	2 100%	1 50%	0 n/a
Human Resources and ICT	0 0%	3 100%	0 n/a	1 100%	1 50%	0 n/a
Legal and Democratic Services	13 68%	4 67%	0 0%	31 72%	1 50%	0 n/a
Environmental Services	240 81%	74 73%	4 57%	317 80%	23 66%	9 50%
Development Services	6 86%	10 67%	0 n/a	11 79%	5 63%	1 100%
Direct Services	144 84%	13 68%	1 33%	202 80%	2 67%	0 0%
Housing and Property	90 78%	51 75%	3 75%	104 78%	16 67%	8 53%
Education and Social Care	13 46%	26 53%	0 0%	21 55%	24 44%	0 0%
Community Care	4 27%	4 67%	0 0%	4 22%	3 38%	0 0%
Integrated Children’s Services	3 75%	6 46%	0 0%	3 75%	10 38%	0 0%
Lifelong Learning, Culture and Sport	0 0%	1 100%	0 n/a	4 100%	2 50%	0 n/a
Schools and Curriculum Development	6 75%	15 52%	0 n/a	10 83%	9 56%	0 n/a

Table G: Overdue complaints with formal extensions or holding letters issued

Overdue complaints that have holding letters issued, or been granted a formal extension – by service (Refer to Table A for totals)	2017-18			2018-19		
	Stage 1 – Frontline Resolution	Stage 2 - Investigation	Stage 2 - Escalated Investigation	Stage 1 – Frontline Resolution	Stage 2 - Investigation	Stage 2 - Escalated Investigation
Total number of complaints investigated	348	163	14	482	95	20
Total number of late responses	43	36	2	111	45	11
All Council	2 3%	8 15%	2 20%	24 22%	4 9%	5 45%
Chief Executive’s Office	0 0%	0 0%	- n/a	- n/a	- n/a	- n/a
Chief Executive’s Section	0 0	- n/a	- n/a	- n/a	- n/a	- n/a
Corporate Policy Unit	- n/a	0 0%	- n/a	- n/a	- n/a	- n/a
Community, Planning & Development	- n/a	- n/a	- n/a	- n/a	- n/a	- n/a
Corporate Services	0 0%	0 0%	0 0%	- n/a	0 0%	- n/a
Financial Services	- n/a	- n/a	- n/a	- n/a	0 0%	- n/a
Human Resources and ICT	0% 0%	- n/a	- n/a	- n/a	0 0%	- n/a
Legal and Democratic Services	0 0%	0 0%	0 0%	- n/a	0 0%	- n/a
Environmental Services	1 6%	4 14.3%	0 0%	1 2%	2 17%	4 44%
Development Services	0 0%	1 20%	- n/a	1 25%	1 33%	- n/a
Direct Services	1 100%	0 0%	0 0%	0 0%	0 0%	0 0%
Housing and Property	0 0%	3 17.6%	0 0%	0 0%	1 13%	4 57%
Education and Social Care	1 3%	4 17%	2 33%	23 58%	2 7%	1 50%
Community Care	0 n/a	0 0%	0 0%	23 62%	0 0%	0 0%
Integrated Children’s Services	1 1	2 29%	2 100%	0 0%	2 13%	1 100%
Lifelong Learning, Culture and Sport	0 0%	- n/a	- n/a	- n/a	0 0%	- n/a
Schools and Curriculum Development	0 0%	2 14%	- n/a	0 0%	0 0%	- n/a

Note: N/A indicates that a service had no overdue complaints at that particular stage

Table I: Percentage of complaints by department (2014-15 to 2018-19)

Given the types of service provided by each department, it is not surprising that the proportion of complaints dealt with by each department in 2018-19 is broadly like previous years and is very close to the 2017-18 and 2016-17 proportions. Environmental Services has the most direct contact with users of council services and receives the lion's share of complaints.

Figure 23: Percentage of complaints by department (2014-15 to 2018-19)

