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## Policy and Resources Committee

Tuesday, 04 June 2019

**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, 04 June 2019** at **09:30**.

### BUSINESS

**1 Sederunt**

**2 Declaration of Group Decisions and Members Interests \***

**3 Resolution**

Consider, and if so decide, adopt the following resolution:  
"That under Section 50A (4) and (5) of the Local Government (Scotland) Act 1973, as amended, the public and media representatives be excluded from the meeting for Items 13 and 14 of business on the grounds that it involves the likely disclosure of exempt information of the class described in the relevant Paragraphs of Part 1 of Schedule 7A of the Act."

**4 Minute of Meeting dated 9 April 2019** **7 - 12**

**5 Written Questions \*\***

**6 Improvement and Modernisation Programme Update** **13 - 28**

Report by Corporate Director (Corporate Services)

**7 Community Asset Transfers - Common Good Halls** **29 - 32**

Report by Corporate Director (Corporate Services)

**8 Community Asset Transfers - Annual Report** **33 - 40**

Report by Corporate Director (Corporate Services)

<b>9</b>	<b>Health and Safety Annual Report 2018</b> Report by Corporate Director (Corporate Services)	<b>41 - 56</b>
<b>10</b>	<b>Digital Public Services - End of Project Report</b> Report by Corporate Director (Corporate Services)	<b>57 - 92</b>
<b>11</b>	<b>Complaints Annual Report 2017-18</b> Report by the Chief Executive	<b>93 - 136</b>
<b>12</b>	<b>Question Time ***</b> Consider any oral question on matters delegated to the Committee in terms of the Council's Scheme of Administration.	

**Item(s) which the Committee may wish to consider with  
the Press and Public excluded**

**13 Clock Tower, The Square, Dufftown**

- Information relating to the financial or business affairs of any particular person(s);
- Information on proposed terms and/or expenditure to be incurred by the Authority;

**14 14-16 Reidhaven Street Cullen**

- Information on proposed terms and/or expenditure to be incurred by the Authority;

**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: Moira Patrick  
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# **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: Moira Patrick  
Clerk Telephone: 01343 563016  
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**Minute of Meeting of the Policy and Resources Committee**

**Tuesday, 09 April 2019**

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

**PRESENT**

Councillor George Alexander, Councillor Frank Brown, Councillor John Cowe, Councillor Lorna Creswell, Councillor John Divers, Councillor Ryan Edwards, Councillor Louise Laing, Councillor Graham Leadbitter, Councillor Marc Macrae, Councillor Aaron McLean, Councillor Shona Morrison

**APOLOGIES**

Councillor Tim Eagle, Councillor Sonya Warren

**IN ATTENDANCE**

The Chief Executive, the Corporate Director (Economic Development, Planning & Infrastructure), the Head of Financial Services, the Head of Development Services, the Estates Manager, the Asset Management Coordinator and the Democratic Services Manager as Clerk to the Meeting.

**ALSO PRESENT**

Councillor D Ross.

**1 Chair**

Councillor A McLean, being the 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, Councillors the meeting noted that 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.

<u>Paragraph No. of Minute</u>	<u>Paragraph No. of Schedule 7A</u>
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14	6, 9 and 12
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#### **4 Minute of Meeting dated 12 February 2019**

The Minute of the Meeting dated 12 February 2019 was submitted and approved.

#### **5 Written Questions \*\***

The Committee noted that no written questions had been submitted.

#### **6 Corporate Asset Management Plan**

A report was submitted by the Corporate Director (Corporate Services) providing the Committee with a report of progress made against the Corporate Asset Management Plan for 2018/19 and asking the committee to consider targets for 2019/20.

Following consideration the Committee agreed to:

- i) note the work done to date to meet the targets set in the Corporate Asset Management Plan for 2018/19;
- ii) note the status of Asset Management Plans for each type of asset as set out in Appendix 2 of the report;
- iii) note that the focus of asset management planning in the council has become sustainable financial planning with a focus on cost reduction, and
- iv) approve the targets set in the Corporate Asset Management Plan for 2019/20 as detailed in Appendix 3 of the report.

#### **7 Improvement and Modernisation Programme: Consultancy Support for Organisational Design and Management Structure Project**

Under reference to paragraph 5 of the Minute of the special meeting of Moray Council dated 12 December 2018, a report was submitted by the Corporate Director (Corporate Services) seeking the Committee's approval under the terms of the Council's Procurement Procedures for the use of consultancy services.

On the invitation of the Chair Councillor Ross stated that he wished to register his concern in regard to the report on two points. In terms of the process, the council advertised without success and in his view, as there was time, the council should have re-advertised. Secondly he asked whether the expenditure was really

necessary when the council is reducing staff such as school crossing patrollers and cleaners, could it not be undertaken in house and finally he was of the view that this should have been presented to the full council.

In response the Chief Executive advised that whilst the original report on the Improvement and Modernisation Programme was presented to the full council as with a number of areas within the Programme there are aspects that require approval of the service committee and this is one line in the programme that has been brought before the service committee in accordance with the Council's Scheme of Administration. He further advised that in terms of the other points raised by Councillor Ross these had been set out in some detail in the report under paras 4.3 and 5 (d) Risk Implications of the report.

Thereafter following consideration the Chair moved approval of the recommendations. There being no one otherwise minded the Committee approved the use of consultancy services to support the delivery of the Organisational Design and Management Structure project within the Council's Improvement and Modernisation Programme.

Councillor Ross left the meeting at this juncture.

## **8 Planning Charges**

A report was submitted by the Corporate Director (Economic Development, Planning & Infrastructure) informing the Committee of the proposed charges for planning related enquiries that are not covered by statutory fees set by the Scottish Government.

Following consideration the Committee agreed to the fees, following a review of non-statutory requests for non-material variations to approves schemes, pre-application advice, and enquiries relating to Listed Buildings as set out in Appendix 1 of the report.

## **9 Delegation of Trading Standards Powers to East Ayrshire Trading Standards**

A report was submitted by the Corporate Director (Economic Development, Planning & Infrastructure) asking the Committee to consider the delegation of powers afforded to Moray Council Trading Standards to East Ayrshire Trading Standards for the purpose of acting as host authority for Trading Standards Scotland (TSS). The principal purpose of the delegation is to ensure that TSS can continue to process personal data for law enforcement purposes under Part 3 of the Data Protection Act 2018.

Following consideration the Committee noted the report and agreed to the delegation of powers to East Ayrshire Trading Standards for the purpose of acting as host authority for Trading Standards Scotland (TSS).

A report was submitted by the Corporate Director (Corporate Services) inviting the Committee to consider an asset transfer request and options for the future in respect of land at Lesser Borough Briggs, Elgin.

During discussion Councillor Brown stated that he was surprised that the area of Common Good land at Deans Haugh which had been improved as a result of the recent flood alleviation work and which could only be used for sports purposes had been rejected by the Elgin Sports Community Trust and whilst he was supportive of the principles of seeking further use for the land, was not in favour of the Asset Transfer to the Trust of the land which could be offered for commercial development which could generate income for the Common Good and further stated that the Elgin Sports Community Trust reconsider the facilities at Deans Haugh which was available to them now for a token fee.

The Chair sought clarification regarding the recommendations and whether if the Committee agreed to undertake a public consultation to expose the site for sale or lease, this would also mean that the Committee were agreeing to the Asset Transfer Request made by Elgin Sports Community Trust?

In response the Head of Financial Services advised that any decision taken today by the Committee were only in relation to the public consultation and that any decision subsequent to that consultation would require a report to come back to the committee outlining the results of the consultation for its consideration and to take a decision at that stage whether or not to petition the court for consent to facilitate the disposal of the site.

Thereafter Councillor Brown stated that it was the position of him and the other two Conservative Councillors for Elgin that there is no need to undertake a public consultation on a proposal to expose the site for sale or lease and moved that the Committee delete recommendations 2.1 (ii) - (v) of the report and agree recommendation 2.1 (i) to decline the Asset Transfer Request made by Elgin Sports Community Trust for a rent-free lease of the site at Lesser Borough Briggs, Elgin as detailed in the Appendix to the report.

On a division there voted:

For the motion (3):

Councillors Brown, Macrae and Alexander.

For the amendment (8):

Councillors Cowe, Leadbitter, A McLean, Creswell, Divers, Edwards, Laing and Morrison.

Abstentions (0):

Accordingly, the Amendment became the finding of the Committee and it was agreed:

- i) decline to consider the Asset Transfer Request made by Elgin Sports Community Trust for a rent-free lease of the site at Lesser Borough Briggs, Elgin as shown in the Appendix to the report;

- instruct officers to undertake a public consultation (on a proposal to expose the site for sale or lease on the open market) in accordance with the legislative provisions for the disposal of Common Good property, as detailed in section 4(b) of the report;

- ii) instruct officer to report back to this Committee with the results of the public consultation to allow the Committee to consider whether to proceed to petition the court;

- note that exposing the site for sale or lease on the open market would not be a barrier to Elgin Sports Community Trust submitting a formal asset transfer request under Part 5 of the Community Empowerment (Scotland) Act 2015 at any time, and

- iv) note that obtaining court consent would facilitate the disposal of the site by means of a sale or long lease to Elgin Sports Community Trust in the even of a transfer price being agreed.

## **11 Trust Property - 3 Logie Cottages Forres**

A report was submitted by the Corporate Director (Economic Development, Planning & Infrastructure) inviting the Committee to consider the future of 3 Logie Cottages, Forres which is a dwelling house held under a Public Trust.

Following consideration the Committee agree to instruct:

- i) the Estates Manager to sell the subjects at 3 Logie Cottages, Forres, on the open market, bringing the trust to an end, and

- ii) the Head of Legal and Democratic Services to bring a report back to this Committee with suitable alternative options for the Trustees to agree the distribution of the proceeds of the sale in accordance with the terms of the Trust.

## **12 Application for Discretionary Non-Domestic Rates Remission - The Woodlands Trust**

A report was submitted by the Corporate Director (Corporate Services) asking the Committee to consider The Woodlands Trust's application for a discretionary award of Non-Domestic Rates relief for its premises.

Following consideration the Committee agreed to approve the application, on its individual merits, from The Woodlands Trust and award the maximum twenty per cent discretionary Non-Domestic Rates relief for its premises at Unit 1, Forres Enterprise Park, Forres.

### **13 Complaints Annual Report 2016-17**

A report was submitted by the Chief Executive asking the Committee to consider the Complaints Annual Report 2016/17.

Following consideration the Committee agreed to:

- i) note the contents of the Complaints Annual Report 2016/17;
- ii) welcome the performance as indicated in the report;
- iii) note the actions being taken to improve performance where required, and
- iv) approve the report for submission to the Scottish Public Sector Ombudsman (SPSO).

### **14 Question Time \*\*\***

Councillor Laing asked if there has been an increase in the number of FOI requests submitted to the Council over the last few months. In response the Chief Executive advised that he would seek an answer and that be provided to all members.

Under reference to paragraph 9 of the Minute of the meeting of this committee dated 12 February 2019 in relation to charging for services, Councillor Brown asked if a letter had been written to the Scottish Government highlighting the statutory charges that the Council is required to set that fall within the remit of the Integration Joint Board. In response the Chief Executive advised that he will follow this up and advise the Committee in due course.

### **15 Flood Compensation - Haugh Road Elgin [Paras 6,9 and 12]**

A report was submitted by the Corporate Director (Economic Development, Planning & Infrastructure) advising the Committee of settlement of a compensation claim arising from the Elgin Flood Alleviation Scheme and asked the Committee to agree to homologate the decision of the Head of Legal and Democratic Services to settle the claim.

Following consideration the Committee agreed to homologate the decision of the Head of Legal and Democratic Services to settle the flood compensation claim, as detailed in paragraph 5 of the report.




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**REPORT TO: POLCY AND RESOURCES COMMITTEE 4 JUNE 2019**

**SUBJECT: IMPROVEMENT AND MODERNISATION PROGRAMME UPDATE**

**BY: CORPORATE DIRECTOR (CORPORATE SERVICES)**

**1. REASON FOR REPORT**

- 1.1 To inform the Committee of the progress made in developing the projects set out in the Council's Improvement and Modernisation Programme (IMP).
- 1.2 This report is submitted to Committee in terms of Section III (A) 2 of the Council's Scheme of Administration relating to long term financial plans.

**2. RECOMMENDATION**

- 2.1 **It is recommended that the Committee consider and note the progress made in the development of the projects in the Improvement and Modernisation Programme.**

**3. BACKGROUND**

- 3.1 It is well reported and recognised that the council will continue to face a challenging financial situation moving forward. There have been a series of reports to the council setting this out, most recently in the Financial Planning report to the Council on 27 February 2019 when the 2019/20 budget was set (para 4 of Minute refers)
- 3.2 To support the delivery of further savings and improve the financial stability of the council, the Corporate Plan sets out the intention to develop an Improvement and Modernisation Programme (IMP) with the aim of transforming council services.
- 3.3 The Special Council meeting on 12 December 2018 agreed the content of projects and overall direction for the IMP and instructed that regular progress reports be brought to the Policy and Resources Committee (para 5 of Minute refers). For ease of reference the introduction to the programme and the design principles that will guide the work are attached at **Appendix A**. While a fuller description of projects was provided to the Council on 12 December, the IMP summary has been used to update on progress (**Appendix B**).

Appendix B also shows (using tracked changes) recommended amendments to the definitions of projects from the Chief Executive in relation to Streams 7 and 8: Transforming Education and Transforming Children's Services. These are proposed to add clarity to the scope of the planned work.

- 3.4 Projects are progressing using the Council's project management procedures which involve a series of 5 gateways as projects proceed from inception to completion with monitoring of progress of strategic projects through CMT and the 3 Transformation Boards:

Gateway 1: Strategic assessment and business justification (project mandate) considered by CMT as project initiation board;

Gateway 2: Outline business case – projects considered by relevant Board from this point onwards;

Gateway 3: Full business case – investment decision (some smaller projects may proceed directly to this stage);

Gateway 4: project planning, initiation and delivery;

Gateway 5: project close and post project review.

- 3.5 Good progress is being made on the projects within Streams 1 to 6 with all of the relevant projects having commenced. It has proven more challenging to secure progress in Streams 7 and 8 relating to Education and Children's Services. Therefore, resources have been deployed to provide support from Corporate Services for a number of projects (commissioning, transport) and project mandates have now been produced to initiate these. Service input will be critical to the further development and delivery of these projects.

#### 4. **SUMMARY OF IMPLICATIONS**

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

The IMP is the development of the commitment in the Corporate Plan to a programme of modernisation and improvement to contribute to a financially stable council. The work set out in the appendix to this paper is the implementation of the projects aimed at delivering this commitment.

(b) **Policy and Legal:** None

(c) **Financial implications:** There are no direct financial implications at this time. Any project costs to date are within the terms of the approval given on 12 December. The aim of the IMP is to contribute towards the future financial sustainability of the council by transforming services and reducing costs.

(d) **Risk Implications:** There is a considerable risk that the delayed progress in some of the significant projects within Education and Children's services has a substantial impact on the Council's future financial position given the proportion of the council budget that these services account for. The Chief Executive is working closely with the

services on these issues. Consideration is also being given to appropriate management and leadership for these areas given the changes in staffing that are anticipated over the next few weeks.

- (e) **Staffing Implications:** There are specific staffing considerations related to the various projects and these are being addressed as projects are considered and initiated. Cost implications are built into the business case for each project to ensure an appropriate return on investment.
- (f) **Property:** No direct implications from this report, although property is the subject of one of the work streams and the issues arising from this will be reported in due course.
- (g) **Equalities/Socio Economic Impact:** None
- (h) **Consultations:** the corporate management team have been consulted in the preparation of this report to co-ordinate the project updates for their areas of responsibility.

## 5. **CONCLUSION**

- 5.1 **The IMP is a key strand of the council's future financial planning contained within the current corporate plan. Good progress has been made across work streams 1 to 6 with all of these projects having commenced. Progress has been more challenging in Education and Social care projects and resources have been deployed to assist resulting in progress in a number of projects. There continue to be significant risks associated with delayed projects and the Chief Executive is providing support and direction to ensure progress is made.**

Author of Report: Denise Whitworth  
Background Papers: Report to council 12 December 2018  
Ref:



## Improvement and Modernisation Programme

### Transformation to Achieve

To deliver savings, a programme of work is being prepared to support our priority of having a financially stable council that provides valued services to our Communities. To this end, possible areas of work aimed at improving the financial sustainability of council services have been identified using the Reform Matrix in the table below. Some projects have started to progress and business mandates will continue to be developed and progressed through the Council's gateway process using our project management procedures in order to assess and prioritise them into a programme of modernisation and improvement work.

#### **Reform Matrix**

<b>Transformation (different service)</b>	Centralise/ amalgamate in-house; Share services; Outsource/ Commission; ALEOs/Trusts
<b>Redesign of services (i.e. efficiency – same service leaner/new approach)</b>	Digital Services; Redesign Jobs; Streamline processes (e.g. contact centre, SharePoint, energy management); Rationalise asset base (including Schools, CATs); Simplify Governance
<b>Redefine Services</b>	Stop; Reduce; Community contribution / provision of services
<b>Income generation and commercialisation</b>	Charges; Sponsorship; Council Tax; Investment Portfolio; New services to compete with private sector; Sale of assets

We will continue to apply the Reform Matrix to identify and develop further opportunities.

Detail will continue to be added to the programme of work as projects develop, including values for financial planning purposes. The projects will report through programme boards that form the project governance arrangements.

A lead officer has been assigned to each project (or set of projects) and will report through the 3 programme boards that form the project governance arrangements.

## **DESIGN PRINCIPLES**

The Design Principles and Guidelines establish direction and boundaries for the formation of this programme of transformation work.

### **What we want to achieve (the council of the future):**

1. Sustainability:           Realistic and sustainable revenue budget position  
Flexibility to meet future change and demand
2. Customer Focus:        Increased community capacity and engagement  
Improved outcomes in areas of priority need
3. Priority Resourcing:    Deliver evidence based outcomes  
Resources re/directed to priorities

### **How we will work to achieve this:**

- Transformation :
  - Be open to alternative delivery models that bring advantage
  - Accept measured risks to support, opportunity and innovation
  - Adopt a more entrepreneurial approach to generating income
- Partnership :
  - Work in partnership and collaborate to secure benefits that may not be possible on our own
  - Develop shared understanding with our communities, workforce and partners
- Efficiency:
  - Streamline our processes and governance
  - Embrace and exploit technology to our advantage
  - Rationalise out asset base aligned to priorities

### **As a result we expect:**

- Balanced budget
- Re-investment in priority areas - money shifting between services
- Less services and different delivery methods
- Reduced service standards in some areas and improved standards in others
- Greater community self-reliance

04-06-19

## IMPROVEMENT AND MODERNISATION PROGRAMME PROGRESS SUMMARY

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
<b>1.</b>	<b>STREAM 1: ASSET MANAGEMENT</b>							
1.1	<b>Property Asset Management Stage 1 (including area office review)</b>	Align property assets and their long term management to council priorities to ensure affordable and sustainable asset base	Nov 18	Mar 21	Fewer buildings reduced operating costs new income	200	In progress	Work is underway. A Change Management Plan detailing how the previously agreed transfer of management of the school estate to Housing and Property Services has been framed and will be finalised once the wider corporate restructuring proposals are agreed. The office review is 75% complete. Closure of Auchernack is on track for 31.8.19.
<b>2.</b>	<b>STREAM 2: TRANSFORMING CUSTOMER SERVICE</b>							
2.1	<b>ICT and Digital</b>	Add value and efficiency to service delivery by	2018	Ong oing	<ul style="list-style-type: none"> <li>Improve access for</li> </ul>	250	In progress	Project mandates being produced for

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
		increasing adoption of online, no contact services			customers <ul style="list-style-type: none"> <li>• Consistency of approach</li> <li>• Reduce paper work</li> <li>• Increased productivity</li> <li>• Increase efficiencies</li> <li>• Reduced face to face and telephone contact</li> <li>• Reduce overtime</li> </ul>			each area of work. Scheduled for end of June are: <ol style="list-style-type: none"> <li>i) School Business support – mandate agreed with projected benefits of £150k</li> <li>ii) Customer services</li> <li>iii) Integrated Children’s services</li> <li>iv) Housing repairs</li> <li>v) Adult services</li> </ol>
2.2	<b>Customer Services Re-design</b>	deliver a culture change in customer service delivery towards an enabling approach for most customers with supported service delivery for those who need it	Nov 2018	Nov 2019	Single service for first point of contact  Efficiencies and savings through economies of scale, simplified and consistent processes and harnessing available technology	250	Started	Mandates have been prepared to take forward work from I-ESE diagnostic: <ol style="list-style-type: none"> <li>i) Service improvement (failure demand) mandate approved with projected benefits of £38k and further to be determined in investigation stage</li> </ol>

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
								ii) Future service development – mandate drafted and to be considered by cmt 24/5
<b>3.</b>	<b>STREAM 3: ALTERNATIVE SERVICE DELIVERY MODELS</b>							
3.1	<b>Museums Trust</b>	Explore all avenues to create a sustainable future for the Museums service	Sept 2018		Sustainable service Reduced ongoing cost to council	30	Ongoing	Given value saving is now to be progressed at Departmental level and so removed from IMP. Expert commissioned to investigate income generation and operating models using Moray Great Places funding. Report due in October. Additional external funding decision awaited to support digitisation and valuation of collections.
3.2	<b>Leisure Services Review</b>	explore all avenues to create a sustainable future for the Leisure Estate and identify the			More efficient and effective Leisure Estate which meets the strategic need for the area	Tbc	Started	i-ESE have been commissioned as instructed by Council (12/12/18). Plan in

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
		strategic priorities for the services within Leisure			Reduction in the subsidy provided			place and work commenced.in place for this part of project. Due to complete for autumn and further direction to be considered at that time
<b>4.</b>	<b>STREAM 4: INTERNAL TRANSFORMATION</b>							
4.1	<b>Review and Expansion of Flexible Working</b>	reduce reliance on physical buildings and enable the property estate to be reduced in size and to reduce running costs by extending and expanding flexible working			Enabling project for other change  Reduction in buildings or reduced use that reduces running costs		In progress	ICT have drafted mandate, although gaps in benefits realisation – to be completed based on DBS experience and considered by cmt in absence of other data. Delivery of technology will be completed by end May. ICT supporting the analysis of data to inform definition of benefits and provide base reference point for future work.
4.2	<b>Organisational Design and Management</b>	Ensure that the organisation is designed and structured to meet		Concl usion			In progress	External consultation engaged and report to CEx due 31/5.

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
	<b>Structure</b>	the challenges of the future as efficiently and effectively as possible and that it is flexible enough to adjust to meet future requirements		of consultation to council 7/8/2019				Plan to consider at council meeting on 27/6
4.3	<b>Organisational Design and Governance Review</b>	Review Moray Council Committee Structures, Scheme of Delegation and reports to committee with a view to faster, more focused and efficient decision making and Investigation of any cost savings			Reduce bureaucracy Streamline decision making processes Effective governance structures			To be considered further once outcome above is known
<b>5.</b>	<b>STREAM 5: INCOME/COMMERCIAL</b>							
5.1	Income maximisation projects	<ol style="list-style-type: none"> <li>1. Charge for staff car parking</li> <li>2. Sale fuel @ harbours to boats</li> <li>3. Sale ice @ harbours</li> <li>4. Charges for waste collection</li> </ol>			Increased income as set against each project	51	In progress	Progressed as part of budget process. Fuel and Ice projects are ready to commence but are dependent on external funding the decisions for which should be known during the summer. Implementation of waste collection and partaking changes

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
								are underway. Monitoring now at departmental level
5.2	Sponsorship – public realm, website; docs issued	Generate income from advertising, sponsorship and other commercial opportunities	May 19		Additional income Improved maintenance of facilities		Started	Business case approved and moving to recruit officer to progress project
<b>6.</b>	<b>STREAM 6: SERVICE EFFICIENCY AND TRANSFORMATION</b>							
6.1	Service reviews – direct services	Cleaning Waste Collection Street Sweeping			Reduced cost per each project	438	Impleme nted	Progressed as part of budget process. Implementation underway Monitoring now at departmental level
6.2	Service efficiency – HR/Pay	Utilising Payroll-HR system for employee and manager self-service & workflow			Reduced administration costs Improved service	55	Impleme nted	Progressed as part of budget process. Implementation underway
<b>7</b>	<b>STREAM 7: TRANSFORMING EDUCATION</b>							
7.1	“Schools for the Future”	<u>Provide the essential infrastructure for the delivery of education in Moray</u> <u>Setting out the strategic direction for the operating model for future education services</u>			<u>Better outcomes and other benefits to pupils and the local economy designed to ensure that they are inclusive and welcoming places that meet the needs of all who use them.</u>			

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
		<u>in Moray in terms of leadership, the curriculum and the school estate (including digital and campus options)</u>						
<u>7.2</u>	<u>“Schools for the Future” - Leadership</u>	<u>Setting out the strategic direction for the operating model for future education services in Moray in terms of leadership</u>	<u>Feb 2019</u>	<u>2021</u>	<u>Head Teachers in more control of curriculum, staffing and budgets</u>			Project mandate to be produced. Education Services Officer Working Group progressing this.
<u>7.3</u>	<u>“Schools for the Future” - Curriculum</u>	<u>Setting out the strategic direction for the operating model for future education services in Moray in terms of the curriculum</u>			<u>Providing better outcomes for children and young people.</u>			Project mandate to be produced. Senior officers working with Education Scotland to progress this.
<u>7.4</u>	<u>“Schools for the Future” – learning estate and investment programme (including digital and campus options)</u>	<u>Digitally enabled low carbon schools and campuses/community hubs (including digital options)</u>			<u>Providing better outcomes and other benefits to pupils and the local economy designed to ensure that they are inclusive and welcoming places that meet the needs of all who use them.</u>			Project mandate to be produced. Cross-service Steering Group progressing this.
<u>7.52</u>	School Business	Rationalise business support across council			<u>Efficiencies and savings through simplified and</u>			Digital project progressing as

04-06-19

	TITLE	DESCRIPTION	TIMING	BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
	Support	and schools  Digital implementation and service (payments, absence reporting, reporting generally)		<u>consistent processes and using available technology.</u>			above at 2.1. This project concerns the organisational design of the delivery model for school business support in future
7.63	Transport Review in education and children's services	<u>Review commissioning of transport services to provide better options, better outcomes for children, young people and families and reduce overall cost.</u>	May 19	<u>Direct solutions away from use of this resource and towards more proportionate and sustainable resources.</u>		Started	ICT and Direct service supporting the development of project mandate and base data gathering. Service have increased scrutiny and monitoring pending the project progressing a long term improvement
7.7	<u>High School Pilot</u>						
<b>8</b>	<b>STREAM 8: TRANSFORMATION OF CHILDREN'S SERVICES</b>						
	Overall Stream Benefits		More effective and efficient service delivery of a quality service that effects real change and measurable outcomes Better outcomes for young people and families Reduced costs across all areas Improved partnership working				
8.1	<u>Service Review</u>	<u>Establish new approach, culture and ways of working in social work services</u>		<u>More efficient use of resources in delivering outcomes More children in kinship care Reduced — complaints from families</u>			

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
					<del>number of formal proceedings</del> <del>unallocated child care cases</del> <del>number on child protection register</del>			
8.12	Commissioning	<p>1. <u>Reprovisioning of out of area placements/ strategic review of residential provision.</u></p> <p>4.2. Review commissioning of services to align with the new ethos and provide different options for older young people and shift in resources to community based care as the core</p>	May 19	Apr 20	<p><del>Vibrant blended economy of service provision</del> <u>More foster; kinship and community based care.</u></p> <p><del>More accessible services that can respond to need and provide sustainable services</del> <u>More proactive commissioning.</u></p>		Started	<p>1. Service has put management arrangements in place for closer scrutiny of cases pending progress of this project</p> <p>2. Lead officer appointed from procurement team. Project mandate approved and progressing appointment of resource to support project. Service contact to be confirmed. Project to proceed in 3 stages:</p> <p>i) establish current position re contracts (Sep 19)</p> <p>ii) review of</p>

04-06-19

	TITLE	DESCRIPTION	TIMING		BENEFITS	CASH £'000	STATUS	PROGRESS UPDATE (as at 17 May 2019)
								commissioning to provide flexible set of contracts (apr 20) iii) review commissioning delivery options (apr 20)
8.23	ASN	Build a more collaborative approach with education to determining needs and considering options for support for ASN services			<u>Community hub approach / locality approach with integrated teams in a local context.</u> <del>Direct solutions away from more intensive use of resources</del>  <del>More flexible use of resources</del>			Project mandate to be produced.
8.4	<del>Out of Area (OOA)</del>	<del>Review out of area placements to provide different options that fit with the new approach, provide better results for the YP and reduce overall cost</del>			<del>More children cared for locally</del> <del>Reduced average cost of care package (OOA)</del>			Moved into commissioning project



**REPORT TO: POLICY & RESOURCES COMMITTEE ON 4 JUNE 2019**

**SUBJECT: COMMUNITY ASSET TRANSFERS – COMMON GOOD HALLS**

**BY: CORPORATE DIRECTOR (CORPORATE SERVICES)**

**1. REASON FOR REPORT**

- 1.1 This report brings forward proposals for expediting the statutory consultation requirements of section 104 of the Community Empowerment (Scotland) Act 2015 in relation to the potential transfer of three common good properties.
- 1.2 This report is submitted to committee in terms of section III (B) (16) of the council's Scheme of Administration relating to the management of common good and trust property and section III (B) (59) relating to the determination of community asset transfer requests.

**2. RECOMMENDATION**

- 2.1 **The committee is invited to grant delegated authority to the Corporate Director (Corporate Services) to undertake the statutory consultations required by section 104 of the Community Empowerment (Scotland) Act 2015 in respect of three town halls held on common good titles, being Buckie Fishermen's Hall, Findochty Town Hall and Forres Town Hall.**

**3. BACKGROUND**

- 3.1 On 11 April 2018, Moray Council approved transitional arrangements aimed at enabling successful asset transfers of seven town halls and community centres to the community (para 6 of the Minute refers). Three of these halls are held on common good titles, being Buckie Fishermen's Hall, Findochty Town Hall and Forres Town Hall.
- 3.2 Section 104 of the Community Empowerment (Scotland) Act 2015 (the Act) requires that before taking a decision to dispose of a common good property the council must first publish details of its proposals, notify certain specified bodies, and invite those bodies to make representations. Section 104 of the Act came into force on 27 June 2018. The transitional arrangements were not considered to be disposals requiring consultation.
- 3.3 Each of the three halls concerned has been leased to a community group under the approved transitional arrangements. These community groups are now preparing their formal asset transfer requests. Each group has the option

of making a request under Part 5 of the Act, in which case the council would be obliged to consider the request and proceed with a statutory consultation. Requests under Part 5 of the Act are seen as a last resort for community bodies that have been unable to otherwise reach agreement with an authority.

- 3.4 The council is not obliged to consider a request made outside of Part 5 of the Act. Consequently, in these circumstances officers would need to seek authority from this committee before proceeding to public consultation. The consultation required by section 104 of the Act is time consuming and the requirement to seek authority to proceed can add a significant delay before the request can be determined.
- 3.5 Granting delegated authority to officers to proceed to statutory consultation will reduce the time from receipt of a valid asset transfer request to its determination by up to 2 months. The results of the consultation will come back to committee for consideration before a final decision is made.
- 3.6 Under the proposed arrangements, statutory consultation would not commence until a valid asset transfer request is received from a viable community group.

#### **4. SUMMARY OF IMPLICATIONS**

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

Where the property is held on a common good title, the interests of the inhabitants of the former burgh will take precedence over the council's Corporate Plan and 10 Year Plan (LOIP).

##### **(b) Policy and Legal**

Common good assets are administered by the council in relation to each former burgh within its administrative area. Common good property is owned outright by the council by virtue of Section 222(2) of the Local Government (Scotland) Act 1973. In administering these assets, the council is required to have regard to the interests of the inhabitants of the area to which the common good formerly related.

Section 104 of the Community Empowerment (Scotland) Act 2015 requires that before taking any decision to dispose of a common good property the council must first publish details of the proposed disposal. In publishing these details, the council must:

- (i) notify the relevant community council and any community body that is known to have an interest in the property, and
- (ii) invite those bodies to make representations in respect of the proposals.

In deciding whether or not to dispose of the property, the council must have regard to any representations made, whether by those invited or by some other relevant party.

##### **(c) Financial Implications**

There are no financial implications arising directly from the recommendation in this report to delegate authority.

**(d) Risk Implications**

There are no risk implications arising directly from this report.

**(e) Staffing Implications**

Approving the recommendation will reduce the amount of staff time required to process asset transfer requests for these three properties.

**(f) Property**

There are no property implications arising directly from this report.

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

An Equalities Impact Assessment is not required as agreeing the recommendations would have no impact on service delivery.

**(h) Consultations**

Consultation has taken place with the Legal Services Manager, Paul Connor Principal Accountant, Lissa Rowan Committee Services Officer, and Equal Opportunities Officer. All comments are incorporated in the report.

Ward Members for Buckie and Forres have been made aware of this report and may make their views known at committee.

**5. CONCLUSION**

**5.1 Officers do not have authority to proceed to public consultation when a community body makes an asset transfer request for a property held on a common good title.**

**5.2 Granting delegated authority to the Corporate Director (Corporate Services) to proceed to statutory consultation will reduce the time from receipt of a valid request to its determination by up to 2 months.**

Author of Report: Andrew Gray, Asset Management Coordinator  
Background Papers: Held by author  
Ref:





**REPORT TO: POLICY & RESOURCES COMMITTEE ON 4 JUNE 2019**

**SUBJECT: COMMUNITY ASSET TRANSFERS – ANNUAL REPORT**

**BY: CORPORATE DIRECTOR (CORPORATE SERVICES)**

**1. REASON FOR REPORT**

1.1 This report meets the reporting requirements of section 95 of the Community Empowerment (Scotland) Act 2015 in relation to Community Asset Transfer requests for the period up to 31 March 2019.

1.2 This report is submitted to Committee in terms of section III (B) (59) of the Scheme of Administration relating to Community Asset Transfer requests.

**2. RECOMMENDATION**

**2.1 The Committee is invited to consider and note that:**

- (i) the asset transfer provisions contained in Part 5 of the Community Empowerment (Scotland) Act 2015 (the Act) do not apply to land held by the Council under a Public Trust;**
- (ii) during the year ending 31 March 2019 no valid asset transfer requests were made to the Council under Part 5 of the Act;**
- (iii) during the same period four asset transfer requests were dealt with outside of the provisions of the Act, details of which are set out in the Appendix to this report;**
- (iv) all community groups submitting a formal Expression of Interest in a Council property asset are signposted to both internal and external sources of additional guidance and support;**
- (v) a series of targeted training and workshop events have been delivered to community groups by the Community Support Unit over the reporting period; and,**
- (vi) in the event of a formal review request being received in respect of a decision made by this Committee in relation to an asset transfer request made under the Act, further training will be made available to Elected Members prior to its consideration.**

### **3. BACKGROUND**

- 3.1 Community Asset Transfer (CAT) is concerned with the transfer of property assets held by public authorities to community-controlled bodies. Moray Council, like many other local authorities, has a long history of transferring assets to the community on a voluntary basis, either through the granting of long leases or the transfer of ownership.
- 3.2 Part 5 of the Community Empowerment (Scotland) Act 2015 (the Act), which gives community transfer bodies a right to request a transfer of land held by public authorities, came into force on 23 January 2017. Section 95 of the Act requires each relevant authority to publish an asset transfer report for the reporting year commencing 1 April by the end of June each year. This report covers the period 1 April 2018 to 31 March 2019.
- 3.3 The Act provides community-controlled bodies, known as community transfer bodies for the purposes of the Act, with various rights and protections. Notwithstanding these provisions, there is no requirement that all asset transfer requests be made under the Act. The formal guidance prepared by the Scottish Government for public authorities and community transfer bodies recognises that the rights provided by the Act can be used where agreement cannot otherwise be reached.
- 3.4 The legislation requires two areas to be covered in the report. The first relates to asset transfer requests received under the Act and decisions made in respect of these. The second relates to actions taken by the Council to promote the use of asset transfer requests and to support community transfer bodies in the making of such requests.
- 3.5 During the period covered by this report, the Council did not receive any valid asset transfer requests made under the Act. However, in the interests of openness and transparency, details of those requests received outside of the Act are included in this report.
- 3.6 One request was submitted to the Council under the Act. However, as it was made for a Public Trust property, it was progressed outwith the Act. This is because the Act only applies to the Council when acting in its capacity as a local authority. Where the Council Members act as Trustees under a Public Trust, they are not acting in the capacity of a local authority but in their capacity as Trustees under and in terms of the Trust. Consequently, the Act confers no rights on community-controlled bodies in these cases.
- 3.7 All of the other community bodies that made asset transfer requests during the reporting year were aware of the provisions of the Act but chose not to avail themselves of the rights and protections provided.
- 3.8 Officers dealt with forty-nine cases over the period 1 April 2018 to 31 March 2019. Of these, twenty-eight remained current at the end of the reporting period. These figures exclude enquiries that did not progress to a formal Expression of Interest. Details of those that progressed to a formal asset transfer request during the reporting period are included in the **Appendix**.
- 3.9 Following the Council's budget decision to make all of its town halls and two of its community centres available for transfer to the community, a series of workshops and drop-in sessions were delivered. These were targeted at

community groups who had shown interest in taking over responsibility for Council assets. Subsequently, a programme of more detailed workshops and training events customised to the type of facilities involved was put in place.

- 3.10 Temporary arrangements were agreed in respect of seven town halls and community centres to allow community groups an opportunity to take over responsibility for running the facilities while preparing a business case in support of a full asset transfer. Details of these are included in the **Appendix**.
- 3.11 Generally, all groups enquiring about CAT will be signposted to both internal and external sources of additional guidance and support. Once an Expression of Interest is received, an officer will meet with the group to assess their readiness to proceed and identify its development needs. Officer support for community groups is prioritised based on the following categories:
- (i) High – council initiatives, e.g. halls, community centres, public toilets.
  - (ii) Medium – community initiatives supported by operating service.
  - (iii) Low – community initiatives where operating service is neutral.
  - (iv) Unsupported – community initiatives where a transfer is likely to be detrimental to current or future council service delivery.
- 3.12 On 24 October 2018, training on determining asset transfer requests made under Part 5 of the Act was made available to Elected Members. This training was aimed at members of the Policy and Resources Committee. Due to the low numbers of requests expected under these provisions, a further training event for all elected Members aimed at determining review requests made under the Act will be scheduled prior to such a request being considered.

#### **4. SUMMARY OF IMPLICATIONS**

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

Where the property is a Common Good asset, the interests of the inhabitants of the former burgh will take precedence over the Council's Corporate Plan and 10 Year Plan (LOIP).

Where the property is held under a Public Trust, it is burdened with the trust purposes. Consequently, a request must be considered only in relation to the trust purposes.

Transferring assets to the community can support the 10 Year Plan (LOIP) aim of creating more resilient and sustainable communities with less need for universal services provided by the public sector. It can also be consistent with the Corporate Plan value of promoting community empowerment as a means of supporting communities take on more responsibility.

The Council's corporate priority of working towards a financially stable Council should be taken into consideration when dealing with requests for a transfer of an asset at less than market value.

**(b) Policy and Legal**

On 21 March 2017, the Policy and Resources Committee approved the following policy statement in relation to Community Asset Transfers (para 5 of the Minute refers).

*“Moray Council recognises the important role that the transfer of property assets can play in empowering communities and strengthening their resilience. Where appropriate, the Council will use the transfer of assets to give more control to communities and local people, inspire them to find local solutions to community needs, and as a means of helping communities become more sustainable in the long term. In determining all asset transfer requests, the Council will have regard to the guidance provided by the Scottish Government in relation to asset transfer requests made under Part 5 of the Community Empowerment (Scotland) Act 2015, whether or not such requests are made under the provisions contained in the Act.”*

Where assets are transferred at less than market value, such disposals must comply with the Disposal of Land by Local Authorities (Scotland) Regulations 2010, which requires that the Council must be satisfied that the proposed transfer is reasonable and that the disposal is likely to contribute to at least one of the following purposes:

- a) Economic Development,
- b) Regeneration,
- c) Public Health,
- d) Social Wellbeing, or
- e) Environmental Wellbeing.

Reasonableness is taken to imply that the requested discount is the minimum necessary to allow the project to proceed and that it is proportionate to the costs and benefits of the project.

**(c) Financial Implications**

There are no financial implications arising directly from this report.

**(d) Risk Implications**

There are no risk implications arising directly from this report. Risks will be minimised where all those involved in the process, including Elected Members have received appropriate training.

**(e) Staffing Implications**

There are no staffing implications arising directly from this report. Following the Council’s budget decision to make all of its town halls and two of its community centres available for transfer to the community, the Council agreed to create a temporary Community Support Officer post for up to two years, based in the Community Support Unit, to ensure that adequate support would be available to facilitate successful transfers.

**(f) Property**

There are no property implications arising directly from this report.

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

An Equalities Impact Assessment is not required as agreeing the recommendations would have no impact on service delivery.

**(h) Consultations**

Consultation has taken place with the Legal Services Manager, Democratic Services Manager, Community Support Manager, and Equal Opportunities Officer. All comments are incorporated in the report.

**5. CONCLUSION**

**5.1 This report meets the reporting requirements of the Community Empowerment (Scotland) Act 2015 for the period from 1 April 2018 to 31 March 2019.**

**5.2 Although no asset transfer requests were made to the Council under the provisions contained in Part 5 of the Act during the reporting period, in the interests of openness and transparency, this report includes details of all requests progressed outside of these provisions.**

**5.3 The report provides details of the actions taken to promote the use of asset transfer requests, support communities in the making of such requests, and ensure that requests are determined appropriately.**

Author of Report: Andrew Gray, Asset Management Coordinator  
Background Papers: Held by author  
Ref:



## Appendix

Asset Transfer Requests dealt with outside of the provisions contained in Part 5 of the Community Empowerment (Scotland) Act 2015 during the period 1 April 2018 to 31 March 2019.

**Table 1. Assets transferred during reporting period.**

Ref	Transferred	Property Asset	Organisation
CAT/020/ATR	05/10/18	Former Abbeylands Primary School, Kinloss	Morayvia

**Table 2. Requests approved but not yet transferred during reporting period.**

Ref	Approved	Property Asset	Organisation
CAT/027/ATR	21/03/17	Former Cabrach School, Schoolhouse and Hall	Cabrach Trust
CAT/038/ATR	27/11/18	Marine Park, Marine Court, Lossiemouth	Action Marine Park
CAT/062/ATR	27/11/18	Portknockie Bowling Green and Tennis Courts	Portknockie Bowling and Tennis Club

**Table 3. Requests refused during reporting period.**

No requests were refused during the reporting period.			
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**Table 4. Requests received but not determined during reporting period.**

Ref	Received	Property Asset	Organisation
CAT/060/ATR	08/01/19	Land at Lesser Borough Briggs, Elgin	Elgin Sports Community Trust

**Table 5. Interim leases agreed and current during reporting period.**

Ref	Entry	Property Asset	Organisation
CAT/068/EOI	01/07/18	Fishermen's Hall, North Pringle Street, Buckie	Friends of the Fishermen's Hall
CAT/079/EOI	01/07/18	Longmore Hall, Banff Road, Keith	Longmore Community Hall
CAT/059/EOI	02/07/18	Mechanics Institute, High Street, Forres	Forres Area Community Trust
CAT/073/EOI	23/07/18	Town Hall, Station Road, Findochty	Findochty Town Hall
CAT/069/EOI	01/08/18	Town Hall, Trinity Place, Elgin	Elgin Town Hall for the Community
CAT/076/EOI	01/08/18	Community Centre, Church Street, Dufftown	Dufftown Community Centre
CAT/067/EOI	01/09/18	Residential Centre, Seafield Road, Cullen	Three Kings Cullen Association





**REPORT TO: POLICY AND RESOURCES COMMITTEE ON 4 JUNE 2019**

**SUBJECT: HEALTH AND SAFETY ANNUAL REPORT 2018**

**BY: CORPORATE DIRECTOR (CORPORATE SERVICES)**

**1. REASON FOR REPORT**

- 1.1 To ask the Committee to consider the annual Health and Safety report and approve the progress noted, proposed future actions and carry forward of outstanding actions for the next year.
- 1.2 This report is submitted to Committee in terms of Section III (B) (27) (c) and (30) of the Council's Scheme of Administration relating to the formulation, supervision and review as necessary of the policy and practices of the Council for all employees in relation to health, safety and welfare.

**2. RECOMMENDATION**

- 2.1 It is recommended that the Committee:
- i) **considers the content of the annual health and safety report, as set out in Appendix 1, and the progress towards the outcomes established in the last report;**
  - ii) **approve the carry forward of outstanding actions and proposed future actions for 2018.**

**3. BACKGROUND**

- 3.1 The Health and Safety at Work Act requires that organisations ensure the safety of employees and others who may be affected by their actions.

The main elements needed to provide protection are:

- Making plain the organisation's commitment to have good standards of health and safety management;
- Defining the roles that people at all levels play in ensuring the good standards are maintained;

- Having systems in place to ensure awareness of hazards and assessment of risks to employees, customers, partners and others who may be affected by our activities;
  - Having in place effective arrangements to eliminate or control those risks;
  - Monitoring the system in place and reviewing it on an ongoing basis;
  - Providing access to health and safety advice and support;
  - Engagement with employees at all stages of the process to ensure adequacy.
- 3.2 As part of this process, a report is provided every year on the Health and Safety provision within the Council.
- 3.3 The Annual Health and Safety Report for 2018 is set out in **Appendix 1**. It summarises the Council's health and safety performance corporately and is based on statistics for the period 1 January 2018 to 31 December 2018. The report highlights the Council's safety performance and provides information on the types of accidents reported.
- 3.4 The report highlights that the number of accidents and dangerous occurrences reported in 2018 was broadly similar to the numbers reported in the previous two reports. However, there is some variation in the reporting at departmental level: Education had 18% more reports in 2018 compared to 2017 whilst Environmental Services and Social Care report fewer incidents of 6% and 17% respectively. It is difficult to draw out the reasons for this as there are no obvious causes. However, there has been an increased focus from the trade unions to encourage employees in schools to report behavioural issues and this is an upward trend in Education which may provide some explanation of the higher overall figures.
- 3.5 Progress on planned work this year has been undertaken through identification of the priority issues to be addressed within the context of a reduced corporate resource and balanced against the reactive operational demands. The main areas of progress have been continued improvement of the health and safety culture with regular communications, partial completion of planned audits of risk assessments, sharing learning and dissemination of regular safety alerts. Areas with less progress have been reviewing policy and development work and joint inspections and non-completion of the full planned list of audits of risk assessments, largely due to the impact of budget savings proposals and a low number of health and safety trade union representatives available to carry out the joint inspections.
- 3.6 The Annual Health and Safety Report for 2018 also sets out the main themes for development and planned work over the next year. This incorporates the recent restructure of the corporate resource and focuses on vehicle and transport, violence and aggression, contractor control, safe working methods, improved monitoring and reporting as well as continued development of the health and safety culture and a planned programme of fire risk assessments.

#### 4. **SUMMARY OF IMPLICATIONS**

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

This report provides information relating to Health and Safety activities within the Council to enable this learning and to ensure that the council continues to provide a safe and healthy workplace for employees to deliver services.

(b) **Policy and Legal**

Ensuring the health and safety of staff and service users is a statutory duty on the Council. An annual report is an effective method of recognising achievement and highlighting opportunities for further improvement.

(c) **Financial implications**

There are no financial implications arising directly from this report. Accidents can have implications for Council resources and may result in losses that are difficult to quantify.

(d) **Risk Implications**

Health and safety is included within all levels of the Council's risk register.

(e) **Staffing Implications**

Staff time will be required to implement the actions set out in the report. This will be accommodated within existing resources by adjusting the priorities to be worked on.

(f) **Property**

None.

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

None.

(h) **Consultations**

CMT and the Central Health and Safety Committee have been consulted about the report at **Appendix 1**.

#### 5. **CONCLUSION**

- 5.1 **The 2018 annual health and safety report shows that the Council continues to provide a health and safe environment for its employees and service users. While progress continues to be moderate, it also shows that some actions are starting to impact positively on an improved safety culture. It is planned to continue this work to allow the Council's safety culture to continue to develop with a focus on**

**supporting managers and employees to take responsibility for and give priority to the health and safety of themselves and others.**

Author of Report: Frances Garrow, Acting Joint Head of HR & ICT  
Background Papers:  
Ref:

## The Moray Council

# HEALTH & SAFETY ANNUAL REPORT (January to December 2018)

## 1. Purpose

- 1.1 The purpose of this report is to provide information on the performance of the council in ensuring the health and safety of staff and service users. Monitoring data is utilised and recommendations for improvements needed to procedures and systems are made.
- 1.2 The national situation on incidents and enforcement action in similar organisations is also considered so that continuous learning regarding the national context can take place.

## 2. Summary of Key Themes

- 2.1 Improving the Council's safety culture continues to be a key issue. While the long term nature of implementing and sustaining a change in culture is recognised as challenging, there are indications from the Council's workforce plans and previous health and safety reports that the safety culture is improving.
- 2.2 As an organisation with an extensive range of different work environments and activities and therefore differing cultures, a triage approach ensures that the Health and Safety resources within the Council will continue to be targeted on specific higher risk areas and groups. Regular and structured monitoring ensures that there is an overview of improvements to ensure they have embedded within the requisite areas and work groups. This implements the remodelled approach using the Plan, Do, Check, and Act management system.
- 2.3 Demonstration of poor behaviours identified through analysis of incident investigation reports are highlighted at a strategic level through the Central Health & Safety and departmental safety committees and forums.

## 3. Review and Monitoring of Council Performance

### 3.1 Statistical Review

- 3.1.1 **Appendix A** sets out an analysis of the Health and Safety incidents that were reported during the year January to December 2018 and compares these to previous years.

- 3.1.2 The main points to note are:

- i) Four more accidents were reported in 2018 compared to 2017.
- ii) There is a wider fluctuation in the numbers for types of incidents than last year with increases in some areas and reductions in others.

- iii) While the severity of the incidents on the whole continues to be declining, this is not to be relied on as a measure of success and recent fines have been imposed on other employers where no injury had been incurred, but there were multiple repeated examples of poor practice.
- iv) Certain good indicators of improvement have been noted among all the information collated to monitor safety performance and learning points will be extracted for wider application where appropriate.
- v) Reported incidents of violence and aggression in schools continue to rise, which are challenging in terms of categorisation and management.

### 3.2 Review of Incidents/Accidents

3.2.1 The following incident summary is presented as a sample to illustrate the nature and range of risks the council has faced and to inform decisions on improvements for the future with accompanying remedial actions.

- i. A case of equipment failure involving a cherry picker almost had catastrophic consequences. The platform was in its cradle at the time so no one was injured, but the consequences could have been extremely serious had it been fully in operation. An investigation was carried out, deficiencies with maintenance and inspection arrangements were highlighted and improvements have since been put in place.
- ii. A series of excavation collapses in graveyards highlighted that operatives were being put at serious risk while working in the lair to install or remove shoring. This suggested that shoring arrangements are inappropriate and information from other councils suggested that safer systems of work are indeed available. These are currently being pursued by the section in question.
- iii. A pupil was injured when an item of PE apparatus failed during a class. The injury was minor but this near miss identified opportunity for improvement. The cause was put down to a poor quality repair and this in turn led to questions about maintenance arrangements. Investigation into this matter is ongoing but the issues involved have implications for value-for-money as well as safety.
- iv. A series of vehicle incident reports was received towards the end of 2018 and this highlighted possible problems, mainly in Direct Services. No serious injuries were suffered, though financial costs in terms of equipment damage were incurred. Vehicles and transport are among the most high risk issues the Council faces and a study into this trend is currently being carried out to ascertain the causes.

### 3.3 Review of Policy and Development Work

3.3.1 Progress on agreed actions is noted below. Managing the unpredictability of the operational work and the requirement for a structured approach continues to be challenging. Looking ahead, the central Health and Safety resource has been restructured to be better able to balancing the reactive operational requirements and planned work. To support this change and the ongoing service, external support is being sought on a shared service basis to ensure

that strategic and specialist health and safety expertise is available to support the council team in the delivery of the council's statutory obligations for safety.

- 3.3.2 Improve workforce consultation and improvement – while it was identified as part of the workforce plan that joint inspections with trade union representatives should be arranged, this has not been possible due to the very low number of trade union health and safety representatives. It is hoped that arrangements to hold joint inspections may be implemented in the coming year.
- 3.3.3 Managing risk – risk assessment audits have been completed in 3 of the high risk areas. Action plans to improve quality are being progressed by one department and inspections to monitor adherence to controls are taking place. Training on revised systems of work is undertaken where improvements are implemented, however specific training on monitoring of practice and the full programme of audits has been impacted by the budget savings on the central Health and Safety team therefore this work will be carried forward to the 2019 plan.
- 3.3.4 Sharing success and learning from experience – the communications and engagement plan with topics agreed by the Health and Safety Committee saw a succession of safety related articles promoting learning published during the year and targeted activity within specific services for learning from incidents within other authorities.
- 3.3.5 Developing the Health and Safety culture – safety alerts are disseminated after serious incidents either within this Council or other councils and organisations to prompt control action and reports are being provided to Directors within higher risk areas. Communications in Connect and the HR Bulletin continue to promote the responsibilities of managers, supervisors and employees with regard to their and others' health and safety. A joint survey on violence and aggression in schools was conducted in March 2019 in conjunction with the trade unions as a response to concerns regarding increasing numbers of incidents being reported in schools and the impact on the workforce. This is the first such survey and analysis of this will help inform the Council's approach in putting improvements in place.
- 3.3.6 Contractor Control – a briefing for new contractors was completed and monitoring processes and arrangements are to be developed, however this work has been delayed due to the impact of budget savings and will be carried forward to the 2019 plan.
- 3.3.7 As part of the work to improve the health and safety culture of the workforce training to support Moray Management Methods, including Health and Safety, has been implemented and is now an integral and regular part of the corporate training calendar. Work on the integration of health and safety into all departmental service plans with regular measurement of progress which would also contribute significantly towards a faster pace of change has been delayed due to resource issues and will be carried forward as part of the improvement work in 2019.

3.3.8 While there continue to be a number of groups within services that consider specific health and safety issues, improved communication between the central health and safety team and the departmental and service groups will be developed to improve corporate oversight and to keep the health and safety profile raised within services and teams.

#### 3.4 Service Demands and Update

3.4.1 The corporate Health and Safety function has been restructured as part of the 2019-20 budget savings work to address corporate and service requirements.

3.4.2 The main unexpected demands on the safety section came from the effects of budget savings, both within the team and across the wider Council. The staffing reduction within the team made it more difficult to devote resources to the provision of direct training and also required a greater focus on prioritisation based on risk. There has also had to be greater emphasis on the Health and Safety team being an enabling service, with more focus on providing professional advice and guidance in helping services look after their own health and safety and a subsequent reduction in undertaking inspections, risk assessments etc except in the most most high level situations.

#### 3.5 Future Action Planning

3.5.1 The main health and safety themes arising from sections 3.2 and 3.4 will be incorporated into the current service plan, departmental plans and safety committee requirements will be merged into the next service planning cycle.

### **4. External Context and National Developments**

4.1 A survey of the top ten health and safety prosecutions for 2018 show a continuation for the trend for high fines for defendants found guilty of safety breaches, ie, from £1 to £2.3M.

4.2 No local authorities featured on the list this year but a number of the prosecutions involved activities that councils carry out or could be involved in. Three of the cases were due to accidents involving vehicles or transport operations, which are high risk areas for this organisation also.

4.3 Significantly there was one fine (£1M) where no injury had been incurred and the defendant was found guilty of multiple breaches of poor standards, eg, blocked fire escapes and failure to observe the organisation's own procedures.

### **5. Conclusions and Proposed Developments**

5.1 The number of accidents reported has remained relatively static during 2018 and more detailed work will be undertaken in higher risk areas to continue to work towards prevention of such incidents with improved reporting and monitoring arrangements where possible.

5.2 The Moray Management Methods training and the contractor control modules being offered in tandem with procurement will continue to provide a good

opportunity to further enhance the abilities of managers to better control the risks that their workers face at an operational level. Monitoring processes and arrangements will be developed to support this with reference to the Plan-Do-Check-Act cycle to help ensure that risk elimination or control becomes more integral to our ways of working and will assist managers in creating a supportive environment of risk awareness and management.

- 5.3 Targeted auditing and inspection of the risk assessments for high-risk issues in all high risk areas will continue in line with the aims of the safety policy contributing towards improved use of safe working methods.
- 5.4 The results of the violence and aggression in schools survey will be fully analysed to provide quantitative and qualitative context to the situation with actions for improvement identified and taken forward as part of the planned work with services.
- 5.5 The Scottish Fire and Rescue Service have indicated that they are required to conduct further fire risk assessments through audits in schools and this work will require resourcing.

## 6. Action Plan

- 6.1 The developments above have been taken to create the action plan to address the main findings from this report. These will become the focus of the work of the Health and Safety service during 2019 in addition to the work carried over from the current action plan and management of operational work in response to reactive situations.

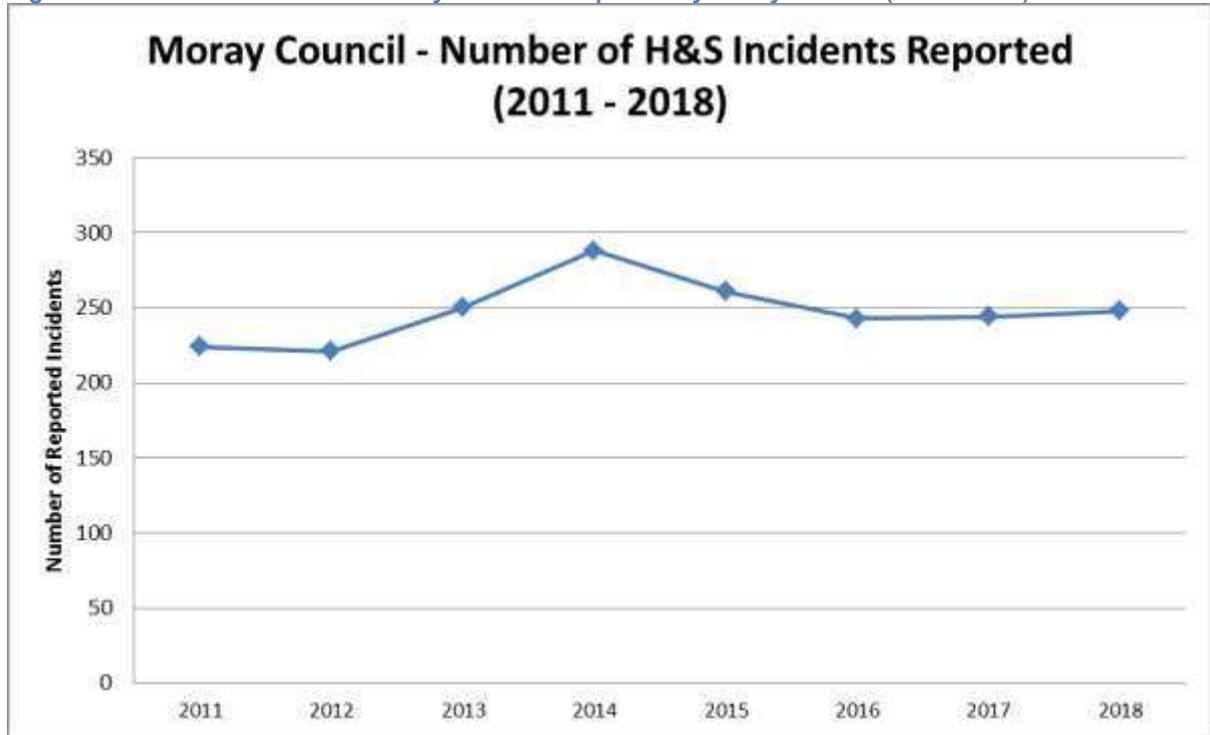
<b>Actions</b>	<b>Target for Completion</b>
Vehicle and Transport – investigate underlying issues and develop action plans to address and mitigate risks	December 2019
Violence and Aggression – use survey and statistics as evidence base for identification of issues, develop improvement plan in conjunction with services	July 2019
Contractor Control – development of arrangements and processes for monitoring of site performance	October 2019
Safe Working Methods – risk assessments in targeted high risk areas to be audited and improvement plans agreed with implementation milestones and timescales with training for all operatives to be carried out on revised safe systems of work using a prioritised approach	March 2020
Improved reporting and monitoring arrangements and training for all supervisors and managers on monitoring of practice	October 2019
Culture – communications and engagement activity in collaboration with Workforce Culture team to continue to enhance manager and employee awareness of health and safety responsibilities	March 2020
Fire Risk Assessments – audits in schools from Scottish Fire and Rescue Service	March 2020



**HEALTH AND SAFETY INCIDENTS 2018**  
**SUMMARY FOR POLICY & RESOURCES COMMITTEE**

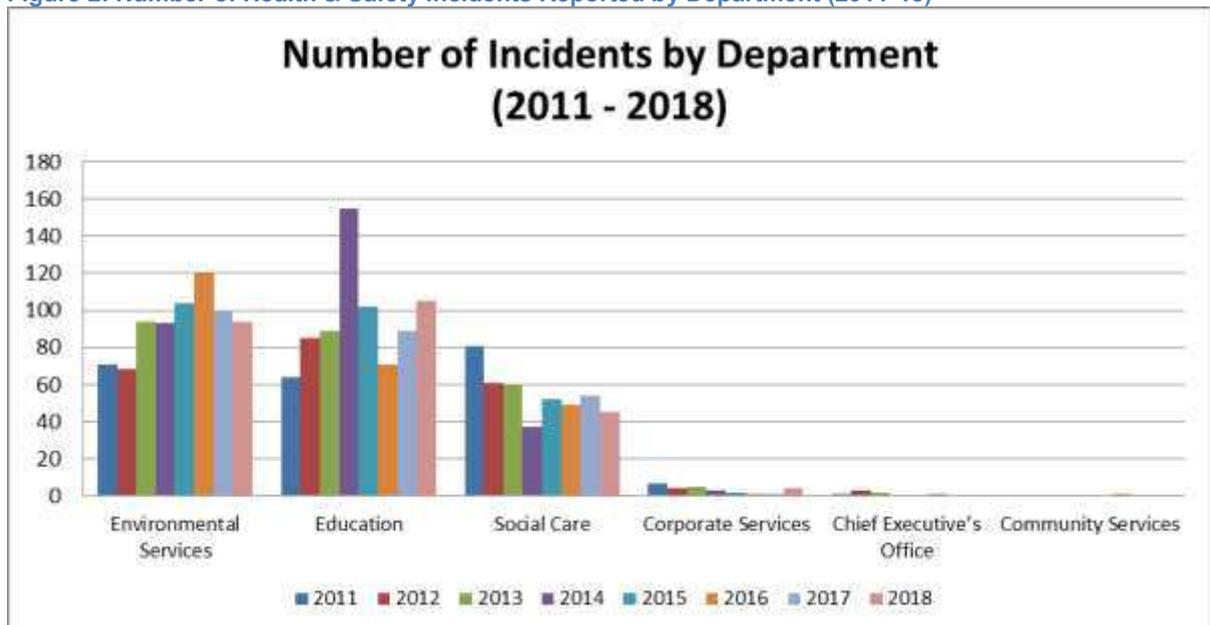
The following information is based on the data for incidents reported during 2018.

Figure 1: Number of Health and Safety Incidents Reported by Moray Council (2011 - 2018)



The number of accidents and dangerous occurrences reported in 2018 was broadly similar to the numbers reported in 2016 and 2017. The 248 reports received represent a 2% increase from the 244 reports submitted in 2017, and remains below the peak of 288 reported in 2014 (Figure 1).

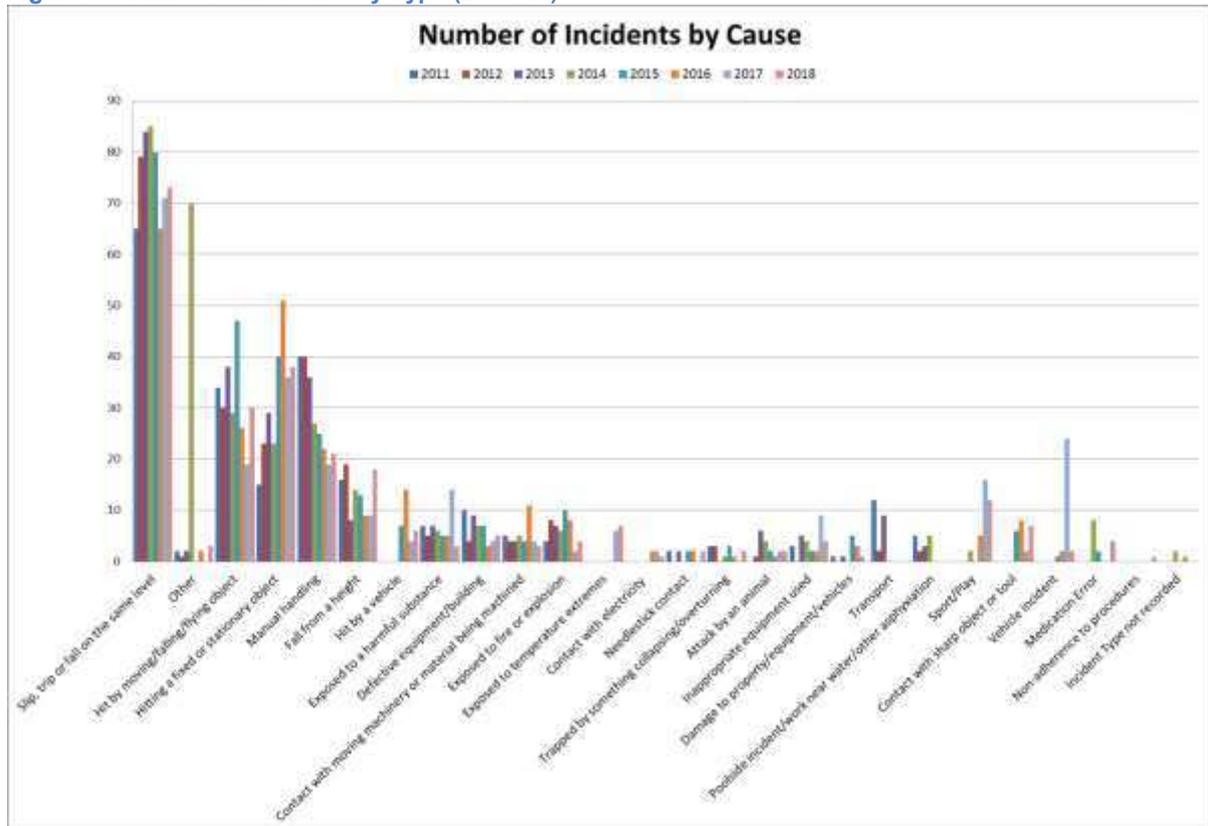
Figure 2: Number of Health & Safety Incidents Reported by Department (2011-18)



## Appendix A

The number of incidents reported by the Education Department continues the upwards trend of recent years with 18% more reports in 2018 compared to 2017 (105 reports in 2018; 89 in 2017). At the same time Environmental Services has had fewer incidents reported (94 in 2018 compared to 100 in 2017; a 6% reduction). Social Care reported incidents are reduced from last year (45 in 2018 compared to 54 in 2017), but remains close to the average of 51 incidents reported per year since 2012 (Figure 2).

Figure 3: Number of Incidents by Type (2013-18)

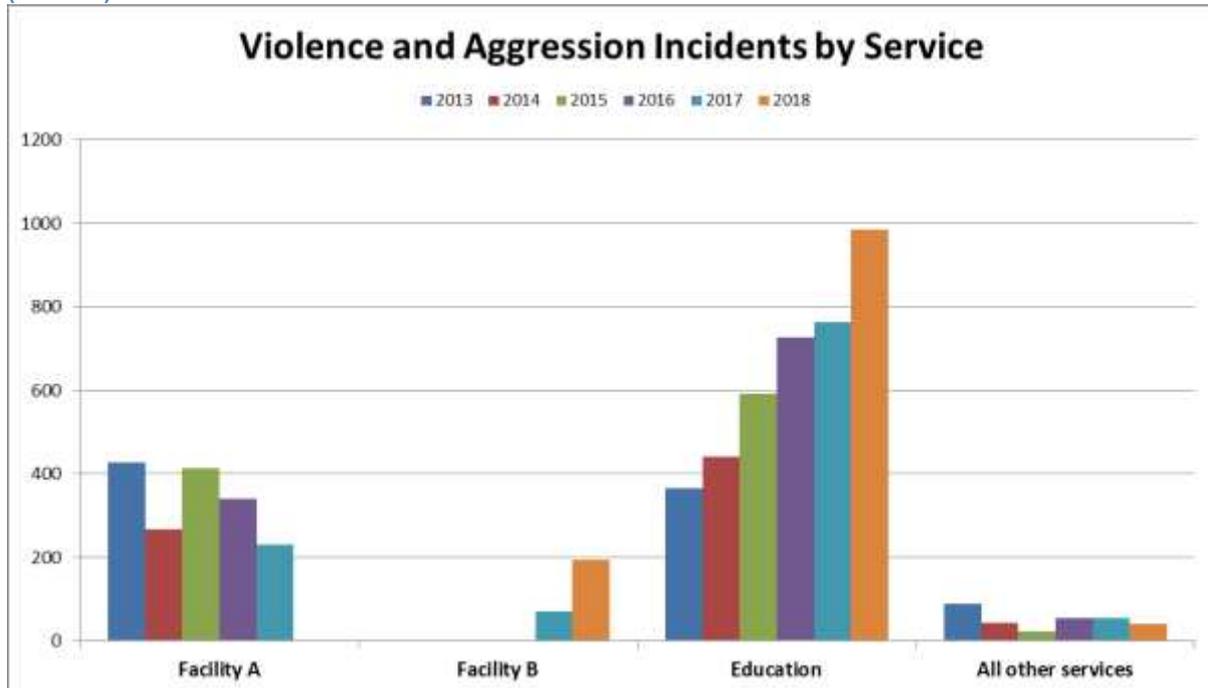


As Figure 3 illustrates “Slip, trips or falls” continue to be the highest number of incidents reported (73 in 2018) but remains below the 84 and 85 reported in 2013 and 2014. However, the trend for the past 3 years has shown a small, gradual increase. “Hitting a fixed or stationary object” accounted for 38 (15%) of reported incidents, similar to 2017, while “Hit by moving/falling/flying object” has shown an increase from the low of 19 recorded in 2017 up to 30, close to the 5-year average of 31.5.

In 2016 and 2017 there were 9 reports in each year of “fall from a height”. This figure increased to 18 in 2018, above the 5-year average of 11.8. The number of “Sport/Play” incidents is similar to the number reported in 2017 (12 incidents compared to 16 in 2017). The largest reduction in incident categories is “Vehicle incident”, which was the subject of 24 reports in 2017, but just 2 in 2018. There was a similar reduction in people who were “Exposed to a harmful substance” from 14 in 2017 to 3 in 2018.

## INCIDENTS OF VIOLENCE AND AGGRESSION 2018

Figure 4: Violence and Aggression Incidents by Service, based on quarterly performance report data (2013-18)



### Adult Services

During the first full year of operation of a purpose build adult care facility there has been a significant reduction in the number of incidents reported even with a two-fold increase in the number of service users. For the last full year at Facility A (2016) there were 85 incidents per user on average, whereas for the first full year at the Facility B (2018) the average number of annual incidents has been 24 per user, a reduction of over 70%.

### Schools

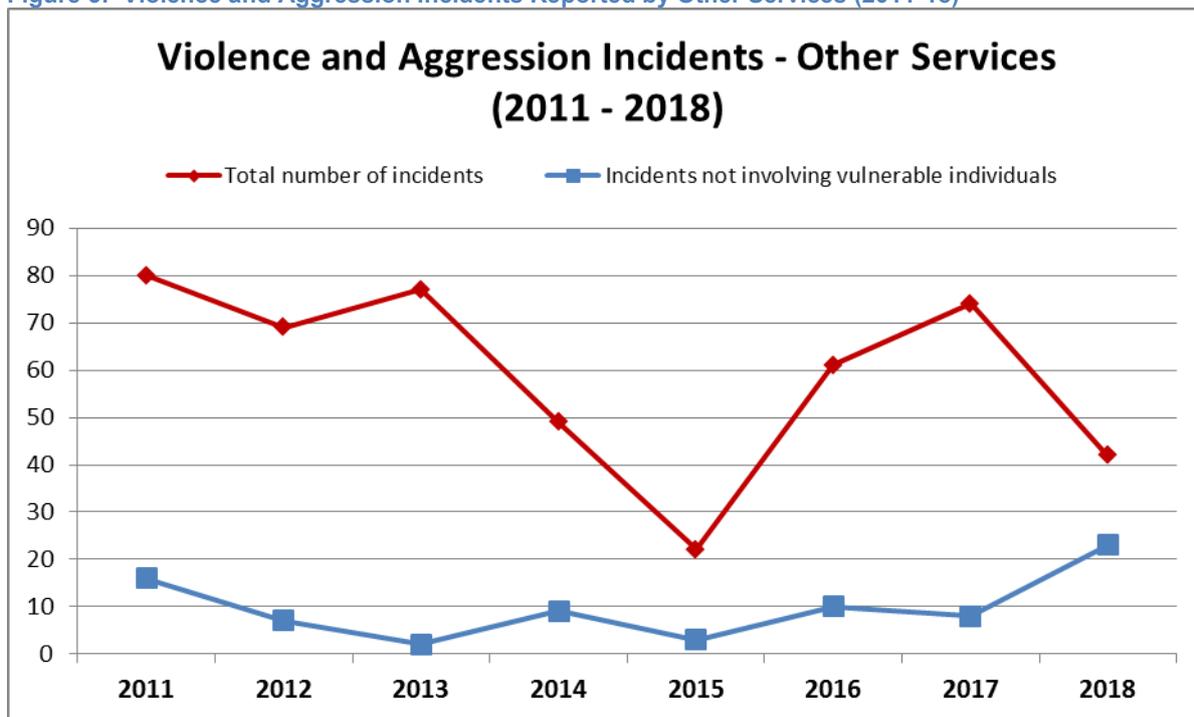
The number of incidents of violence and aggression involving school pupils/students fluctuates from year to year, but in 2018 the number reported has risen to 980, from 659 in 2017, which represents an increase of 48%. While increased reporting of incidents will be contributing to this, a survey has been undertaken to quantify the scope and scale of the situation and to contribute towards the formation of a baseline of information from which future improvement actions may be identified.

### Other Services

The number of Violence & Aggression incidents reported by services within Moray Council during 2018 was 43% lower than in 2017 (42 compared to 74 the previous year). Figure 5 also illustrates the number of incidents that did not involve individuals who were identified as having additional support needs. The trend has generally

Appendix A

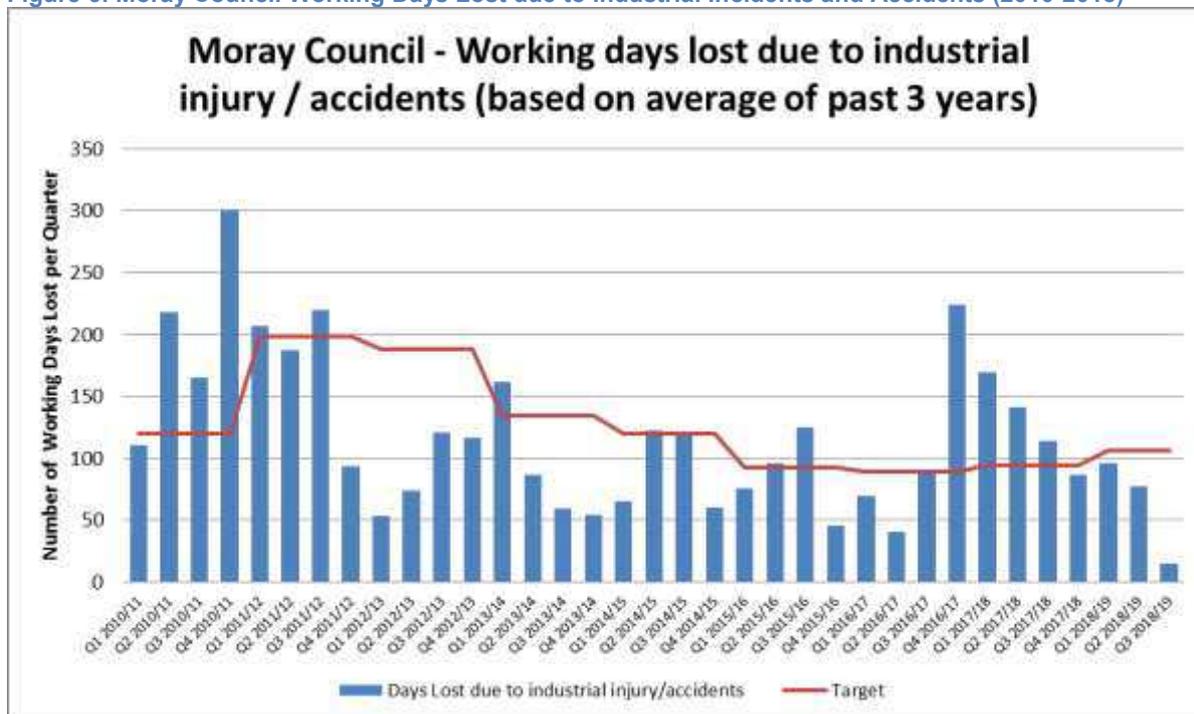
Figure 5: Violence and Aggression Incidents Reported by Other Services (2011-18)



been increasing since 2015, and had the highest annual rise in 2018 since recording started in 2011.

**WORKING DAYS LOST DUE TO INDUSTRIAL INJURY/ACCIDENT 2010-2018**

Figure 6: Moray Council Working Days Lost due to Industrial Incidents and Accidents (2010-2018)



The number of working days lost due to industrial injury or accident fluctuates from quarter-to-quarter, but after a step-change upwards in Q4 2016/17 (January to March 2017) has continued to reduce steadily each quarter and at the end of 2018

## Appendix A

(Q3 2018/19) the lowest figure recorded since recording started in 2006 (just 15 days lost compared to 77 days in Q2 2018/19).

The statistics indicate that the continued efforts to improve the safety culture of the organisation, minimise the risk profile and identify hazardous situations before they result in injuries appear to be contributing towards achieving these aims.





**REPORT TO: POLICY AND RESOURCES COMMITTEE ON 4 JUNE 2019**

**SUBJECT: DIGITAL PUBLIC SERVICES – END OF PROJECT REPORT**

**BY: CORPORATE DIRECTOR (CORPORATE SERVICES)**

**1. REASON FOR REPORT**

- 1.1 To provide Committee with a report of progress against the Digital Services project and to seek approval to formally close the project.
- 1.2 This report is submitted to Committee in terms of Section III (B) (42) of the Council's Scheme of Administration relating to the development and implementation of information technology policies.

**2. RECOMMENDATION**

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

- (i) consider and note the progress made against the Digital Services project contained within the end of project report set out in APPENDIX I;**
- (ii) note that outstanding work not accomplished as part of the project will be transferred to the Improvement & Modernisation Programme where appropriate; and**
- (iii) approve the closure of the Digital Services project.**

**3. BACKGROUND**

- 3.1 The Digital Public Services project was approved by this Committee on 14 April 2015 (paragraph 9 of the minute refers) and regular progress reports have been provided since then.
- 3.2 The project had a series of aims and objectives associated with it which was intended to introduce a transition from the traditional face to face and telephone services to online services providing customers with an improved service offering and service managers to review their service delivery model.

- 3.3 While the shift to online services presented the project team with a number of challenges to overcome, significant progress has been made with more than 80 services now available through online provision.
- 3.4 A number of core solutions have been deployed as a direct result of the project including a secure personal/citizen account, customer portal, electronic forms for structured data capture and an improved online payments solution. These solutions sit at the heart of our online service provision providing the foundations for future online services.
- 3.5 One of the project deliverables, improvement to the online reporting of requests for council house repairs, has not been progressed at this time. Processing of repairs is currently the subject of review and should be completed before a solution can be considered to automate the processing requirements. Where appropriate this will be carried forward into the Improvement and Modernisation programme of work.
- 3.6 The Digital Services project has delivered solutions enabling change but it is the role of the service manager to embrace the new ways of working and identify efficiencies through a review of their service delivery models.
- 3.7 An end of project report, highlighting progress since the start of the project through to the close of the project on 31 March 2019 has been included as **APPENDIX I** to this report.

#### 4. **SUMMARY OF IMPLICATIONS**

- (a) **Corporate Plan and 10 Year Plan (Local Outcomes Improvement Plan (LOIP)):** The council's corporate plan identifies a key priority as "Work towards a financially stable council that provides valued services to our communities" and references the use of ICT and Digital to underpin this priority.
- (b) **Policy and Legal:** None.
- (c) **Financial implications:** The following table summarises the total capital and revenue budget approved by this Committee on 14 April 2015 and the associated expenditure to 31 March 2019.

<b>2015 – 2019</b>	<b>Capital £000s</b>	<b>Revenue £000s</b>	<b>Total £000s</b>
Original budget	700	1,250	1,950
Revised budget *	573	797	1,370
Actual Expenditure	482	680	1,162
Variance	91	117	208

(\* as the project developed and requirements and likely costs were better understood the budget requirement was revised on an annual basis.)

The original project budget was based on the understanding of the project requirements and indicative costs from suppliers at the time. The

combination of making further use of existing solutions and utilising national contracts resulted in budget revisions throughout the project and significant savings against the original budget request.

The digital services project has been an enabler for change and services are now in a position to use the solutions implemented to consider alternative delivery models for their service delivering efficiencies for the council.

- (d) **Risk Implications:** A risk register was maintained for the project with all major risks reported on a regular basis to the corporate Project Management Office and the Digital Services Working Group. Further enhancement to the online service delivery model will be delivered through the Improvement and Modernisation programme.
- (e) **Staffing Implications:** A core project team of 4 staff was employed for the duration of the project and supported, where appropriate, by the secondment of staff from the service acting as service specialists. All contracts have been terminated and the project is now operating as Business as Usual.
- (f) **Property:** None.
- (g) **Equalities/Socio Economic Impact:** No direct implications although increasing services available online and by telephone improves accessibility and choice for all.
- (h) **Consultations:**

The Digital Services Working Group and the Transforming Council Board have been consulted in the development of the end of project report.

## 5. **CONCLUSION**

- 5.1 **This was an ambitious project and breaking new ground for Moray Council in a number of areas. While the project suffered several setbacks in the areas of supplier performance, resourcing availability and some technical challenges a number of core solutions are now in place to enable further improvements to our digital services portfolio.**
- 5.2 **The work associated with digital services has been mainstreamed into the developmental workload of the ICT service which will focus on the delivery of the Improvement and Modernisation programme of work.**

Author of Report: Phil McDonald, Acting Joint Head of HR & ICT Services  
Background Papers:  
Ref:





<b>PROJECT REF/NAME</b>	<b>Digital Services 14-0012</b>			
<b>PROJECT SPONSOR</b>	<b>- Corporate Director – Corporate Services</b>			
<b>COMPLETED BY</b>	<b>Andy Donegan</b>			
<b>DATE</b>	<b>28<sup>th</sup> February 2019</b>			
<b>Project Category (Choose from drop down list)</b>	<b>Strategic</b>			
<b>Summary</b>	<ul style="list-style-type: none"> <li>• Summary of project performance</li> </ul>			
<b>Schedule</b>	<b>Original Planned end date</b>	August 2018	<b>Actual end date</b>	March 2019
<b>Funding</b>	<b>Original Planned budget</b>	£1,300,000	<b>Actual spend</b>	£1,162,000

# End of Project Report – Stage 5

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## 1. Report Purpose

*This is the End of Project Report for the Digital Services Project that was approved by Policy and Resources Committee on the 14<sup>th</sup> April 2015.*

The purpose of the report is to reflect on progress against the objectives identified at the outset, review the benefits realised and identify outstanding actions and lessons learned.

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### **2. Report Executive Summary**

The Digital Services project originated from the Scottish Governments “Scotland’s Digital Future” agenda where digital public services were identified as a key theme.

Digital Public services recognises the rapid development in technology, in particular mobile technology, the increasing use of the internet across all age groups and the demand for online service delivery accessible 24/7.

The society of IT Managers (SOCITM) produced a report in 2012 that estimated the costs of transactions depending on the channel used, these being face to face, telephone or e-mail. The report indicated that face to face was 57 times and telephone 19 times more expensive than online.

A comparison of cost for Moray, indicate that face to face at the access points is £8.54 falling to £6.66 when reception duty are added. Telephone calls are £3.18 falling to £2.89 when switchboard calls are included.

From figures available from the contact centre during 2014 showed that the potential to introduce savings by achieving channel shift from traditional channels to online could be significant.

The drivers and justification for the project were based on Moray Council having a responsibility to provide excellent customer services to the public and value for money to the tax payer. People now expect services to be available 24/7 and accessible online.

The project team was established and work commenced in August 2015 to deliver solutions across the five themes and nine customer groups.

At the start of the project various consultation exercises were undertaken with the public and staff, the outcomes helped to identify priorities and maximise benefit. A review of existing systems was undertaken to identify opportunities to re-use, expand functionality or where new system would be required.

As the team worked through the project a number of risks and issues were identified and managed to minimise the impact. There were also a number of changes identified that were approved by the digital services working group and reported to and approved at P&R.

The work delivered has resulted in a significant increase on the number of services available online and available 24/7. It has also introduced new systems that provide stable and robust solutions to continue development and expand online service delivery.

## ***End of Project Report – Stage 5***

The solutions implemented have provided many benefits both to the public accessing council services but also to departments delivering the services. The benefits identified will continue to deliver as the public continue to use the online services.

A number of milestones were set during the project; many have been achieved plus additional work that was introduced to meet other council priorities and initiatives including garden waste and Moray Leisure. One outstanding milestone for council house repairs has been identified which is also highlighted as an outstanding risk. The Digital Services working group has agreed that a review be completed of the available options before a decision on work for this milestone is progressed.

Financial monitoring was maintained during the project to ensure best value throughout the project. Tough negotiation with suppliers, the use of national contracts and reassessment of requirements resulted in a reduction on the initial budget identified.

As always with a project of this size and complexity a number of lessons have been learned and these will be shared to help future projects.

### **3. Project Objectives**

The project set out a number of objectives at the outset. The project as it developed then set out a number of targets to help measure the success of implementation and to show the uptake of the new services being delivered.

The objectives set out were:

- Channel Shift
  - Expand the number of online services
  - Provide 24/7 access where appropriate
  - Well-designed simple to use services
  - Cost effective and where possible service efficiencies
- Introduce a citizen account
  - Secure single sign on
- Better Use of Data
  - Provide open data sets
- Information Sharing
  - Ensure data is shared according to current legislation.
- Digital Awareness
  - Encourage public to use digital solutions

Work was delivered across all customer groups to varying levels. A significant amount of solutions have been delivered for the majority of the customer

## ***End of Project Report – Stage 5***

groups. External factors nationally have impacted in the work achievable for two of the customer groups.

Details of the work and solutions provided for each group can be found in [\(Appendix 1\)](#) .

### **3.1 Progress against Objectives**

Significant progress against the objectives has been achieved. The number of online services has expanded considerably with over 80 services now available 24/7. These include some major services such as an improved online payment solution, leisure bookings and school payments.

A full list of online services can be found in [\(Appendix 2\)](#)

As online services continue to expand we are seeing significant increase in uptake with over 25000 online requests submitted using the e-form solution since it was launched in 2017. 100% of all sports development courses booked online in 2019

Online card payments have increased for like for like transactions and where we have introduced new online payments solutions these have seen significant uptake with over 80% of paid for primary school meals, 70% of garden waste permit applications and a continuous month on month increase for registrar copy certificates paid online.

We are also seeing an increase in the number of services accessed out with working hours with 40% of all website visits made between 5pm and 9am, 16% of e-forms submitted at weekends up from 11%. These indicate that the objective of increased 24/7 access to services where appropriate and putting customers at the centre have been achieved and will continue to be achieved going forward.

The feedback received from users using online services has generally been positive, indicating that users generally find these simple to use.

The secure single sign on account has provided a robust and stable platform to expand online services for the future. The number of registered users has increased to over 10000 resulting in over 10% of the population of Moray now having a myaccount, this will continue to expand as more services become available.

The project has delivered over 40 Open Data sets on the council website and the ARCGIS portal along with a number of dashboards. Information sharing has been limited to internal sharing of data only as sharing with third parties wasn't identified during the project, however with the introduction of the new GDPR legislation significant work was done to ensure compliance.

## ***End of Project Report – Stage 5***

The project team identified a set of SMART (Specific, Measureable, Achievable, Relevant, Time-bound) targets to measure the progress against the objectives and show the success and uptake of the new services.

From the ambitious targets that were set and the progress against these there is certainly an appetite for the public to use online services but the uptake rate can be influenced by the customer group and their willingness to use online channels.

The details of the targets and the progress can be found in [\(Appendix 3\)](#) .

### **4. Benefits**

The approved business case set out a number of benefits the project would deliver. Many of the benefits identified were linked to the public, by providing services online that were available 24/7 where appropriate, providing a choice to how to access services, well designed simple to use and where possible provide efficiency to service delivery.

Due to the difference in transaction cost between face to face, telephone and online then achieving significant channel shift would also provide the benefit of services being accessed through more cost effective channels which could provide service efficiencies.

As well as the potential savings through channel shift a number of benefits have been identified across all the solutions that have been delivered. The details of these are available in [\(Appendix 4\)](#)

#### **4.1 Benefits not Realised**

Many of the benefits identified will continue to deliver as the use of online services increases. As technology develops and new solutions are identified then more opportunities will become available. One area where benefits have not been realised is:

- Increase work scheduling through online bookings

The uncertainty over the call handling for council house repairs has impacted on this work being progressed. A review of the available options is being prepared, once available a decision will be taken on how best to progress work for online bookings.

## ***End of Project Report – Stage 5***

The outstanding work has been identified as a risk and a responsible person allocated to progress to resolution.

### **4.2 Measurement of Benefits**

The financial benefits have still to be realised. A different approach was taken for the Digital Services project compared with DBS programme. Now that the solutions have been delivered it will be the responsibility of services to deliver based on the benefits they identified.

- As identified within the lessons learned a balance needs to be achieved between identifying benefits at the outset before the true value is known and being able to put a value against the benefits.
- The solutions introduced by the project, provide ICT as an enabler to deliver new solutions required by other services in a relatively short timescale. An example of this has been the introduction of the garden waste permits, which would not have been achievable in the timescales allocated without the Digital Services project.

A full list of the benefits still to be realised with areas of responsibilities agreed with the working group and are detailed in [\(Appendix 4\)](#) .

## **5. Risks Issues and Changes**

The major change that was identified and approved was the extension of the project. The project was initially planned to finish in the summer of 2018 but was extended to the 31<sup>st</sup> March 2019 to allow for work to continue.

A list of all the other major changes approved can be found in [\(Appendix 5\)](#).

A number of risks and issues were identified and managed throughout the project. All the risks and issues have been managed to a conclusion except for one outstanding risk. The one major risk still outstanding is regarding the call handling for council house repairs. The digital services working group have approved the recommended actions and a responsible person has been identified to monitor to resolution.

The major risks and issue identified and one outstanding risk are identified in [\(Appendix 6\)](#).

## ***End of Project Report – Stage 5***

### **6. Project Performance**

#### **6.1 Project Schedule Overview**

The project has delivered a significant number of changes across the council that now provide a robust platform to enable continual development going forward.

The project encountered a number of challenges throughout the duration that the team managed successfully on a number of fronts including new technology, new processes and delivering solutions directly to the public. Progress at the beginning of the project was slow as a number of building blocks had to be introduced to provide the new solutions including secure online portal, improved online payment solution and integrated e-form solution. However since these have been delivered the number of online services has increased significantly and regularly throughout the project.

There was also some initial hesitancy from some services to engage with the project, however as new online services have been delivered it has open minds to the potential for online service delivery.

The use of online services by the public has also started to expand; it has taken time for public confidence to build and to change attitudes towards accessing services online. This will only continue to develop as customer expectations for secure online services are delivered consistently and meet expectations.

The one area not addressed is council house repairs where an options appraisal is being produced to review the options.

The lack of a secure national business account and the introduction of the Moray Integrated Joint Board restricted the amount of work achievable for these two customer groups.

A number of milestones were identified at the start of the project based around the customer groups. New milestones were set throughout the duration of the project as additional work and solutions were identified.

A table listing the milestones set against the deliverables can be found in [\(Appendix 7\)](#).

## End of Project Report – Stage 5

### 7. Budget Performance

#### 7.1 Financial Summary

Capital Expenditure

Details of Expense	Original Budget	Revised Budget	Actual Expenditure	Closing Variance
2015/2016 to March 2019	£700 000	£573,000	£482,000	£91,000

The capital expenditure delivered new and expanded solutions to allow continued development and future expansion for online service delivery. The solutions provided include new Income management, E-form solution, customer portal, online school payments and leisure bookings and upgrades to revenues systems, housing and infrastructure.

Revenue Expenditure

Details of Expense	Original Budget	Revised Budget	Actual Expenditure	Closing Variance
2015/2016 to March 2019	£1,250,000	£797,000	£680,000	£117,000

### 8. Lessons Learned

#### 8.1 What went well

During the duration of the project a number of lessons were learned. The most significant lessons learned included:

- The use of Agile project management delivery methods allowed for continuous review and iterative developments.
- The secondment of staff into the project team accelerated the decision making process
- A more robust method of benefit realisation and agreement with the service before development begins.
- A full list of the lessons learned and the details of these can be found in [\(Appendix 8\)](#).

## ***End of Project Report – Stage 5***

### **9. Follow on Actions**

#### **9.1 Post Project Tasks**

A number of follow up actions have been agreed by the Digital Services working group to be taken forward to deliver new solutions or to further develop what has already been delivered.

The actions to be taken forward will be incorporated into the Improvement and Modernisation programme. The full list of actions agreed can be found in [\(Appendix 9\)](#).

### **10. Project Closure**

#### **10.1 Conclusion**

The project progressed successfully and introduced significant online solutions for the majority of the customer groups. Due to the introduction of the Integrated Joint Board and the lack of a secure business account there was only limited work undertaken for the Social Care and Business customer groups.

The project has delivered a framework and robust solutions that can be used as a catalyst to continue and expand the opportunities to deliver more services online and provide a platform for the Improvement and Modernisation programme.

The project has also opened minds to the potential that online service delivery offers to services to be delivered in alternative ways. It will however need departments to closely review working practices and consider how these can be changed to meet any new service delivery model.

The project has delivered many benefits but more needs to be done to ensure maximum benefits are achieved and translated to financial efficiencies. Services must use the benefits identified as a method to change, improve efficiencies and increase productivity

As technology continues to develop and change the way people want to engage and access services the council must adapt quickly and innovatively to meet these demands in a cost effective manner.

At the heart of this staff need to be empowered to identify new ways of working that drive efficiencies and increase productivity.

## ***End of Project Report – Stage 5***

Security must remain a top priority and major consideration to ensure legislation and accreditation standards are achieved. Any failings in this area can have major consequences both financial and reputational.

We know that the public are willing and generally able to engage with the council through digital channels if the solutions provided are secure, easy to use and reliable. Where the public are unable to access then providing assistance to use digital channels can both help encourage channel shift and benefit the public to the advantages of improved digital skills

### **10.2 Project Closure Recommendations**

- Continue to work on the progress that has already been made with online services and incorporate into the Improvement and Modernisation programme
- Carry out a digital maturity assessment to identify strengths, weakness and identify opportunities across the whole council.
- Make digital service delivery a priority within all service plans
- Continue to explore and consider new technologies to further expand opportunities to improve efficiencies and productivity
- Utilise the data held by the council to ensure that service delivery is targeted providing maximum benefit
- Where possible use data to be proactive rather than reactive to service delivery
- Use data available to identify failure demand and reduce costs based on failure
- Continuous engagement with the public to ensure digital solutions are simple to use and meet requirements.

<b>Meeting Date</b>	4 June 2019
<b>Comments</b>	Any relevant comments from the approving authority should be documented here.

## *End of Project Report – Stage 5*

### **11. Version History**

<b>Version</b>	<b>Date</b>	<b>Details</b>
1.0	05/03/2019	Draft report
2.0	13/03/2019	Approved by Digital Services Working Group

## Appendix 1

Work undertaken for each of the customer groups

At the outset the plan was to have a standard approach and timescale for each customer group. It was quickly realised that this approach would only be partially relevant for some customer groups and inappropriate for other groups.

	<b>Web Content</b>	<b>Eforms</b>	<b>Citizen Account</b>	<b>Open Data</b>	<b>Additional Work</b>
<b>Council House Tenant</b>	Completed	Completed	Completed	Not progressed	Online Booking
<b>Environmental</b>	Completed	Completed	Completed	Completed	N/A
<b>Householder</b>	Completed	Completed	Completed	Completed	Income management
<b>Parent/Guardian/Pupil</b>	Completed	Completed	Completed	Completed	Online school payments
<b>Social Care<sup>1</sup></b>	Not progressed	Not progressed	Not progressed	Not progressed	Call Handling
<b>Leisure</b>	In Progress	Completed	N/A	Not progressed	Gladstone leisure bookings
<b>Business</b>	Improvement Service working to deliver a business account. When available this will allow future developments with this customer group.			Completed	N/A
<b>Internal/Visitor</b>	Completed <sup>2</sup>	Completed	N/A	Completed	N/A

<sup>1</sup> The work in this area hasn't progressed due to the creation of the Moray Integrated Joint Board. ICT are represented in the Infrastructure group which provides awareness to MIJB requirements.

<sup>2</sup> The interchange project using ICT staff has delivered new staff engagement website with external authenticated access being made available.

## Appendix 2

Below is a list of all available online services:

Improved web content including service status page

No.	Main Description	Detail
1	Improved Online Payments (including)	Council Tax
		Housing Rent
		Account receivable invoices
		Tenants insurance
		Housing benefit overpayments and sundry debts
		Non domestic rates
		Garage rent
		Registrars copy certificates
		Taxi licence fees
		Garden waste
		School meals
		Other school costs
		Visiting harbour fees
		Library events
		Heritage centre
Books		
Planning and building control		
2	Online Leisure bookings	
3	Sports development bookings	
4	Council Tax change of address	
5	Registrars copy certificates	
6	Education	Online payments
		Registration
		Placing request
		Apply for school transport
		School crossing patrol complaint
		Early year's registration
7	Waste	Garden waste permit
		Report damaged missing bin
		Special collection
		Domestic waste look-up issues
8	Housing	Apply for a council house
		Apply for garage
		Check rent balance
		Instalment plan
		View Council house waiting list
		Apply for grass cutting
		Housing repairs
		Repair feedback
Permission applications		

## Appendix 2

No.	Main Description	Detail
		Mutual exchange
		Census and equalities
		Report empty home
9	Roads	Report road surface (pothole)
		Report pavement/footpath
		Report Cycle path
		Report structure/wall
		Report drain/ditch
		Report manhole cover
		Report markings/cat's eyes
		Report road sign
		Report Street light fault
		Report verge
		Report advertising boards
10	Transportation	Challenge parking excess charge
		Report out of order parking ticket machine
		Request a disabled parking bay
		Mini bus hire
		Report damaged bus shelter
11	Lands and Parks	Report fault with play park equipment
		Report fault with park furniture
		Report non-native species
		Report grass cutting issues
		Report dangerous trees and hedges
		Litter bin fault
12	Development Services	Planning applications
		Building standard application
		Local development plan
		Copy documents
		Building warrant enquiry
		Public health complaint
		Planning permission enquiry
		Premises hygiene report
		Food Complaint
13	Licences	Taxi driver's licence
		Taxi vehicles licence
		Taxi booking office
		Other licences via (gov.uk)
14	Anti-Social Behaviour	Alcohol misuse
		Abandoned vehicle
		Dog Fouling
		Drugs/substance abuse
		Fly tipping

## Appendix 2

No.	Main Description	Detail
		Graffiti Harassment Litter Noise Nuisance neighbours Other Rowdy behaviour Seagull feeding Vandalism
15	Social Care	Volunteer requests Carer self-assessment
16	Property	Note of interest property sales Note of interest property lease
17	Libraries	Housebound reader Library membership application Essential skills volunteer Course enquiry
18	Customer engagement	Feedback Council meetings Councillor Surgeries Consultations School and Nursery closures Online services disruption and Road closure.

### Appendix 3

Table showing progress against the targets set;

Target	Progress
<p>Increase Moray Council web site sessions by 25%</p>	<p>The number of web site sessions has increased year on year at the same time the number of pages being viewed has also increased significantly. We have also seen a massive shift on the technology being used to access the web site with mobile being the preferred option. We are also seeing an increase in the number of sessions and pages being viewed out with normal office hours and the weekend.</p>
<p>Decrease calls for targeted services within the contact centre by 30%</p>	<p>There has been no overall reduction in call volumes over the past 3 years in fact we have seen a very slight increase of 2%:</p> <p>Total Calls:2015 174900 Total calls 2018 178400</p> <p>This can be accounted for in a number of ways. New functions have been added to the contact centre resulting in additional calls :</p> <p>NDR 3600 Income Maximisation 1000 Complaints 400</p> <p>Calls recorded that were previously not included: Switchboard 6700 Access point 650</p> <p>In addition policy changes locally and nationally are also seen to have an impact: The 3 week bin collection resulting in an increase in the number of missed bin calls up by 600. New car parking charges resulting in an increase in calls about carparks by 800 Universal credit has resulted in an increase of 1000 rent arrear calls Early indications show that the garden waste changes have also resulted in a significant increase in calls even with around 70% of applications completed online.</p> <p>There have also been increases in demand for some services where no work has taken place including: Dial-a-bus now receiving an additional 1000 calls Council house repairs receiving an additional 3500 calls.</p> <p>Taking these factors into consideration like for like would show a moderate decrease of 9% in calls recorded in Lagan</p>

	We have no telephone call data for services not currently in the contact centre and have introduced new solutions online thereby reducing calls directly to the services for: Registrars, school payments, catering s and leisure bookings.
Decrease face to face contact for targeted services at access points by 20%	There has been a reduction of 17.5% on the number of recorded face to face between second half of 2016 to the second have of 2018.
Increase uptake of online payment for service delivery charges	There has been an increase in the number of existing online card payments received since the new online payment system was introduced. We have also introduced a number of new services that are able to be paid online, This includes the online payment for school meals, and Registrars copy certificates, the new garden waste charges, visiting harbour and rover tickets and taxi licences.
Introduce school on line enrolment achieve 30%	Online school enrolment and placing requests was introduced for P1 2018/19 registration week with 15% of all new P1s register online in the first year and 26% in year two. A new nursery registration was introduced for 2019/20 registration week. The online solution was used extensively throughout the academic year as families moved into or around Moray.
Introduce primary school online meal payment achieve 50%	By the end of February 2019 over 80% of paid for primary school meals were paid online which has been achieved in relatively short period of time. We have also seen a large increase in the amount collected online for secondary school meals with 40% more collected between August and December 2018 compared to the same period in 2017. The new online school system is now being used to provide online payments for trips, uniforms, events and subject costs in many schools.
Introduce bookings for leisure facilities, sports activities and active schools	100% sports development bookings made online in January 2019 and is live in the leisure centres. The team have also worked to deliver the reciprocal agreement with Moray Leisure and the Council centres. Work continues to deliver a more integrated and online solution between the partners.
Increase no of registered users of myaccount to 10% of eligible residents	The number of registered myaccount users is over 9700 which is more than 10% of the Moray population.
Introduce fully integrated online booking solution for housing repairs	Due to the on-going uncertainty around council house repair reporting, a new options appraisal is being developed to consider the options.
Introduce E-billing for council tax by March 2018 and achieve 20% uptake.	E-billing has been introduced as part of the billing for the 2019/20 council tax year. Promotion started with the issuing of the 2019/20 bills with several staff being used to trial the system.
Provide an online subscription and notification facility	An online subscription and notification is now available. The solution provides the ability for the public to get information sent directly to them. The system has also introduced service status information on the homepage of the council website providing a traffic light status for school information and closures, road status information, online services and council

	building status.
To make available 4 Open data sets that support the application process or usage of other services by March 2018	43 open data sets now available on the ARCGIS website

## Appendix 4

### Benefits Identified

Solution	Description	Direct	In direct	Internal	External	Short Term	Long Term
<b>Web Content</b>							
	Increase online services	Yes	Yes	Yes	Yes	Yes	Yes
	Increase services available 24/7	Yes	Yes	Yes	Yes	Yes	Yes
	Improved content	Yes	Yes	Yes	Yes		Yes
<b>E-forms</b>							
	Improved information gathering when form completed	Yes		Yes	Yes	Yes	Yes
	Allowed integration to Income Management system increasing online payment capabilities	Yes		Yes	Yes	Yes	Yes
	Introduced mapping allowing accurate location information to be submitted	Yes		Yes	Yes	Yes	Yes
	Introduced the ability to upload documentation and photographs improving information made available to officers	Yes		Yes	Yes	Yes	Yes
	Integrated to back end systems reducing the need for double keying		Yes	Yes		Yes	Yes
	Allow for automated responses to be issued when forms submitted and help better manage expectations		Yes	Yes		Yes	Yes
	Increased the availability to apply, report, and submit requests		Yes		Yes	Yes	Yes
<b>Citizen Account</b>							
	Authenticated access to personal information		Yes		Yes	Yes	Yes
	Single sign on for all council services except leisure		Yes		Yes	Yes	Yes
	Ability to use across many Scottish Government services		Yes		Yes	Yes	Yes

	Increased security	Yes	Yes	Yes	Yes	Yes	Yes
Online school Payments							
	Live reporting	Yes		Yes		Yes	Yes
	Improved information	Yes		Yes		Yes	Yes
	Improved debt management	Yes		Yes		Yes	Yes
	Reduce cash handling	Yes		Yes	Yes	Yes	Yes
	Remove the need for meal tickets to be printed and distributed.		Yes	Yes	Yes	Yes	Yes
	Improve information on meal choices and popular days		Yes	Yes	Yes	Yes	Yes
	Reduced travel to site	Yes		Yes		Yes	Yes
	Centralised configuration ensuring changes implemented quicker and consistently	Yes		Yes		Yes	
	Improved communication to primary school catering staff	Yes		Yes		Yes	
	Saved on postage	Yes		Yes			
	Introduced online ordering reducing telephone calls and improving time management.	Yes		Yes		Yes	Yes
	Reduce cash collection duties including receipting, banking time and the associated risks	Yes	Yes	Yes		Yes	Yes
	Consistent approach across all primary school for meal selection		Yes	Yes		Yes	Yes
	Reduce administration of free school meals	Yes		Yes		Yes	Yes
	Provides cross check for primary school absences		Yes	Yes		Yes	
	Removes need for duplication		Yes	Yes		Yes	
	Increased flexibility		Yes		Yes	Yes	Yes
	Provides 24/7 access for payment		Yes		Yes	Yes	Yes

	Increases social inclusion as no difference for pupils receiving FSM		Yes		Yes		Yes
	Information available on meal choices		Yes		Yes		Yes
	Email receipts provided to parents		Yes	Yes	Yes		Yes
	Email notification on low balance		Yes		Yes	Yes	Yes
	Real time account information available		Yes		Yes		
<b>Leisure Bookings</b>							
	Provides public with real-time access to class availability		Yes		Yes	Yes	Yes
	Allows for upfront payment	Yes			Yes	Yes	Yes
	Reduce the need for invoices to be issued	Yes		Yes	Yes	Yes	Yes
	Reduces debt recovery	Yes			Yes	Yes	Yes
	Improves management reporting		Yes	Yes		Yes	Yes
	Provides waiting list functionality increasing class attendance		Yes	Yes	Yes	Yes	Yes
<b>School Registration</b>							
	Reduced paperwork received	Yes		Yes			
	Reduction in data entry as information is collated	Yes		Yes			
	Improved notification to schools	Yes		Yes			
	Available 24/7 to public		Yes		Yes		
	Removes the need to present documentation in person at a school	Yes	Yes	Yes	Yes		
	Better support of military and other families moving to the area		Yes		Yes		
	Email acknowledgement confirming receipt of the request		Yes	Yes	Yes		
<b>Text/Email housing</b>							
	Reduced time taken for housing offers to be received	Yes	Yes	Yes	Yes		Yes
	Reduced time for offers to be accepted or	Yes	Yes	Yes	Yes		Yes

	rejected prior to viewing						
	Reduced time taken for housing to be re-offered after rejection	Yes	Yes	Yes			Yes
	Reduced outgoing mail	Yes		Yes		Yes	
	Increased reminders to tenants	Yes	Yes	Yes	Yes		Yes
	Improved customer recording in i-world		Yes	Yes			Yes
<b>Licence Reminders</b>							
	Reduced number of licence reminder letters	Yes		Yes		Yes	
	Reduced printing	Yes		Yes		Yes	
	Reduced postage	Yes		Yes		Yes	
<b>Public Engagement</b>							
	Improved information	Yes	Yes		Yes		Yes
	Reduce customer contact		Yes	Yes	Yes		Yes
<b>Open Data</b>							
	Inspire 2009 Scotland Meets legislation		Yes	Yes	Yes		Yes
	Improved Information		Yes		Yes		Yes
	Reduce FOI		Yes	Yes			Yes
<b>Income Management</b>							
	PCI/DSS Compliance		Yes	Yes			Yes
	reduction in the online payment transaction costs	Yes		Yes		Yes	Yes
	Increased the potential for more online payments to be introduced		Yes	Yes			Yes
	paperless account receivable transactions	Yes		Yes			Yes
	Centralised bank reconciliation removing some function from the service areas	Yes	Yes	Yes			Yes
	Automated bank reconciliation with coding allowing direct processing into bank ledger	Yes		Yes			Yes
	Provide the ability to introduce new payment methods including paperless direct debit and reoccurring card payments		Yes	Yes	Yes		Yes

Council tax/E-billing							
	Reduce postage	Yes		Yes	Yes	Yes	Yes
	Reduce printing	Yes		Yes	Yes	Yes	Yes
	Reduce carbon foot print		Yes		Yes		Yes

**Benefits still to be achieved**

<b>Benefit</b>	<b>Online Council tax and e-billing</b>	<b>Online leisure bookings</b>	<b>School Online Payments</b>	<b>Increase channel shift</b>	<b>Increase online payments</b>	<b>Paperless direct debit</b>
<b>Benefit owner</b>	Eric Bell	Ken Brown & Kim Paterson	Lindsey Stanley/Fiona Michie	Eric Bell	Diane Beattie	Diane Beattie and James Taylor
<b>Measurement/ Observation Method</b>	No of registered e-bill users	No of online bookings made	Total income received for school charges	Number of transactions	Value of transactions	Not of paperless DD submitted
<b>Baseline measurement (pre project)</b>	45000 annual bills with around the same number issued throughout the year	20000 bookings for leisure and 1800 sports development sessions	Value available through e-shop	Contact centre transactions	Income management system	Not available

<b>To be measured by (who?)</b>	Revenues	Leisure and sports development	Education business support	ICT and customer services	Payments service	Payments and revenues
<b>Frequency</b>	6 monthly	6 monthly	6 monthly	6 monthly	6 monthly	6 monthly
<b>Proposed date of next measurement</b>	September 2019	June 2019	July 2019	August 2019	August 2019	August 2019
<b>To be reported to</b>	P&R	P&R	P&R	P&R	P&R	P&R

## Appendix 5

A list of the major changes agreed throughout the project a full list of all changes can be found in the RADIC log

<b>Change Ref No.</b>	<b>Date Approved (dd/mm/yy)</b>	<b>Change Description e.g. Scope / timescales / costs</b>	<b>Date Closed (dd/mm/yy)</b>
C1	22/12/2015	Change the timescale on the public engagement to progress work once a secure authentication solution has been delivered as part of the project.	31/05/2016
C2	10/02/16	Merge groups 8 and 9	4/05/2016
C3	7/6/2016	Increase communication officer role to 1.0FTE from 0.4 FTE	7/6/2016
C4	3/05/2017	Online bookings allow solutions not to be linked with myaccount	3/05/2017
C5	31/01/2018	Remove work from customer groups 5/6/7/8	31/01/2018
C6	22/08/2018	Extend project to March 2019 incorporating work as business as usual in ICT	22/08/2018

Appendix 6

This details the major risks and issues identified during the project and a summary of the actions taken to mitigate and resolve. The full list is available in the RADIC log.

Major Risks

<b>Risk Ref</b>	<b>Red / Amber</b>	<b>Description and Actions Taken</b>	<b>Date Closed</b>
R6/R26	Red	Replacement e-form solution required, new solution procured and e-forms redeveloped with a new solution	31/8/2016
R17	Red	Insufficient time to complete web site review. Extended communications officers role to 1.0 FTE for project duration	7/6/2016
R18/R21	Red	Eform solution unable to provide full functionality, alternative solution procured to meet changing demands	1/09/2016
R25	Red	Upgrade to Income management system may require full tender. All procurement channels investigated by procurement team resulted in alternative methods to ensure compliance	31/03/2017
R26/R28	Red	Remaining Idox e-forms not available. Alternative solutions identified and changes made on web page, new process introduced in contact centre and changes to emergency closure for schools and roads	1/12/2016
R42/45	Red	Inconsistent approach across schools could result in differences for online services adopted. Secondments from education to help standardise processes	24/5/2017
R52/R56/R57	Red	Supplier developments impacting on potential solutions. Continued to engage with suppliers to ensure developments continued and any new solutions were incorporated with future upgrades. PID developed to ensure full scale of work identified.	31/3/2018
R60	Red	Work with social care group affected by creation of MIJB and as the service had not gone through DBS programme. Work in the area was not progressed and approved by the working group.	29/09/2017
R65	Red	Introduction of leisure bookings delayed by leisure service removing support for implementing the solution. Worked with the service to help with recruiting new team member and with developing the solution	31/01/2019

Major Issues

Issue Ref	Major/ Critical	Description and Actions Taken	Date Closed
I10	Major	Delay in developing user stories. Asked all services to develop user stories early.	31/12/2016
I12	Major	Old e-form solution access removed alternative solutions put in place as new forms continue to be developed on the new platform	30/9/2016
I14	Major	New e-forms not available internally issued identified and resolved	4/10/2016
I18	Major	Schedule for secure citizen account not met revised plan approved by the working group	14/03/2017
I38/140	Major	Integration with Gladstone and Capita not working, Issue resolved by Gladstone and project team.	15/11/18
I39	Major	Latest version of Open revenues removes functionality. Work continued using our own forms solution.	6/11/2018
I41	Major	Gladstone join at home blank e-mails received by public. Configuration changes to resolve issue	10/01/2019

Outstanding Risks and Issues identified and agreed

Risk Ref	Red / Amber	Risk Description	Owner	Target Date
R74	Red	Plans being considered to move housing repairs to Mosstodloch impacting on council house repairs calls in the contact centre. Monitoring situation to find outcome online solution being developed that would reduce number of calls.		

**Comment [--1]:** Call handling for housing repairs. May be an idea to comment on the contrast with the principles established at the outset

## Appendix 7

List of Milestones Set and the performance against those dates

<b>Description or name of Milestone</b>	<b>Planned completion date</b>	<b>Revised completion date</b>	<b>Actual completion date</b>
Channel Shift	Aug 18	Aug 18	Business as usual
Citizen Account	Aug 18	Aug 18	Business as usual
Data Sharing	Aug 18	Aug 18	Aug 18
Better Use of Data	Aug 18	Aug 18	Business as usual
Digital Awareness	Aug 15	Aug 16	Apr 17
Income Management	Oct 17	Nov 17	Nov 17
Leisure Bookings	Dec 17	Jan 19	On going
School Payments	Nov 17	Jun 18	Dec 18
Council Tax	Apr 18	Mar 18	Oct 18
E-billing	Aug 17	Mar 18	Mar 19
Public Engagement	Feb 17	Aug 18	Aug 18
Council House Repairs	Aug 18	Mar 19	On going

## Appendix 8

### Lessons learned

Lesson No.	Lesson Description	Suggested future action	Project Impact (H, M, L)
1	Use of Agile project delivery methods	The use of this project delivery method should be considered for all projects and used where beneficial or at various times during the project lifecycle.	H
2	Secondment of staff into project teams to help with decision making and liaising with the service.	Consider secondments into project teams to assist with project delivery. Secondments empowered can assist in delivering solutions in a timely manner but can also provide and maintain communication channels with service management teams accelerating decision process	H
3	Corporate priorities	A clear understanding of corporate priorities must be communicated to ensure that conflicting service demands can be identified and clear guidance given to allow work to be prioritised.	H
4	Identifying benefits	<p>At the outset of the project a clear set of benefits are identified with an expected timeframe for them to be delivered.</p> <p>Where channel shift is identified as a benefit the SOCITM figures are used as a benchmark to calculate potential savings based on anticipated channel shift.</p> <p>The figures are reviewed by the service to provide an accurate estimate of savings and only</p>	H

Lesson No.	Lesson Description	Suggested future action	Project Impact (H, M, L)
		when this is completed a decision taken as to whether the project can be progressed.	
5	To maximise benefits high volume areas must be prioritised	To maximise the benefit of channel shift then high volume transactions need to be tackled first. The solution must consider full integration into back end systems and workflow to remove double keying and no value intervention in the process.	M
6	Service delivery principles	That consistent service delivery principles need to be adopted across the council. Customer expectations must be managed to provide unnecessary customer contact. Customer expectations when using online services differ from traditional channels due to their experience with other online providers.	M
7	Public engagement	<p>Public engagement is used regularly across the council as part of consultation exercises.</p> <p>Public engagement can also be used to minimise unnecessary contact due to service failure or disruption. Allowing customers to select to receive information on relevant and areas of interest will reduce contact looking for information.</p> <p>Public engagement should also be considered as part of online service delivery. Engaging with the public to test new solutions prior to launch and also continuous feedback to ensure</p>	M

Lesson No.	Lesson Description	Suggested future action	Project Impact (H, M, L)
		that solutions are simple to use and help identify areas of concern or potential problems.	
10	Digital First	Where a service is undertaking a review of how they deliver a service then digital should always be the first consideration.	M
11	System Rationalisation	By reviewing the capabilities of existing systems identify opportunities to expand functionality without the need to replace or provide new solutions.	M
12	Digital Awareness	<p>As expectations for online and digital service delivery increases the council must make the public aware of services available online, promote and encourage their use.</p> <p>There is also a requirement to ensure that council staff have the digital skills and confidence to use tools provided ranging from computers on desks, to handheld devices used in the field. They have the ability to identify potential changes and efficiencies through digital service delivery.</p>	M




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**REPORT TO: POLICY & RESOURCES COMMITTEE ON 4 JUNE 2019**

**SUBJECT: COMPLAINTS ANNUAL REPORT 2017-18**

**BY: CHIEF EXECUTIVE**

**1. REASON FOR REPORT**

- 1.1 The Policy & Resources Committee is asked to consider the Complaints Annual Report 2017-18.
- 1.2 This report is submitted to Committee in terms of Section III (A) (51) of the Council's Scheme of Administration relating to developing and monitoring public relations, public reporting, publicity and corporate communications.

**2. RECOMMENDATION**

- 2.1 **The meeting is invited to consider the content of the Complaints Annual Report, seek clarification on any points arising, and otherwise approve the report. 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 2017-18 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 significantly increased to 5.75 in 2017-18 compared to 4.31 in 2016-17. The Scottish average is 8.3 per 1,000 head population. This increase can be viewed as positive as it reflects continued public confidence in reporting complaints. The focus of complaint

handling is on changes and improvements to services and procedures as a result of the consideration of complaints.

- 3.4 During 2017-18 66% of complaints were dealt with at frontline resolution stage compared to 30% dealt with at the investigation stage. Although a reduction from the 72% dealt with at frontline in 2016-17, the proportion is an increase of 15% from 2015-16 and over 20% more than in 2014-15 when fewer than half of all complaints were resolved at this stage (46%). This demonstrates that our staff are seeking early resolution with complainants.
- 3.5 For all the complaints closed during 2017-18, at both stages one and two, 40% were fully 'upheld' or 'partially upheld' overall, compared to 46% in 2016-17, 43% in 2015-16 and 33% in 2014-15. This shows that a greater proportion of all complaints result in an opportunity to learn and improve the way services are being delivered.

#### **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: John Black, Complaints Officer

Background Papers: SPSO PIs

Ref: SPMAN-1108985784-19



# Complaints Handling Annual Report



2017/18

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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 handling customer complaints received between 1 April 2017 and 31 March 2018.
- 2.2 The 2017-2018 reporting period provides the fifth 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 council always aims to provide the highest possible quality of service to our community, but we recognise that there are times when we get things wrong and we fail to meet expectations. 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 means of communication 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.

- 2.4 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.
- 2.5 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.
- 2.6 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.
- 2.7 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').
- 2.8 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.
- 2.9 The complaints performance data in this report will also inform our Annual Public Performance Report summarising our performance against the Statutory Performance Indicators.
- 2.10 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.

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

DRAFT

### **3 Executive Summary**

- 3.1** This report is written against the backdrop of significant public sector financial constraints that have required Moray Council to implement 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 is the highest in recent years. In addition, this is the first full year since social work complaints started to be reported as part of the Moray Council Complaints Handling Procedure.
- 3.2** After a declining rate of complaints received over the previous three years, this year the rate has reversed the recent trend and has risen to 5.75 per 1,000 population versus 4.31 in 2016-17, and closer to the rate of 5.42 recorded in 2014-15. The rate across Scotland in 2017-18 was 8.3 per 1,000 population.
- 3.3** This year the feedback received through the complaints survey was more critical in nature than in previous years with higher levels of dissatisfaction expressed in a high percentage of the survey responses.
- 3.4** The improvements made in complaints performance in relation to stage one complaints in previous years have not been maintained:
- complaints received being closed off at stage one  
66% in 2017-18 compared with 71.5% in 2016-17, but still maintaining an improvement over 45.7% in 2014-15.
  - stage one complaints being upheld  
26% in 2017-18 compared with 40% in 2016-17, but still higher than 14% in 2014-15.
  - stage one complaints closed off within the five working day target  
78% in 2017-18 compared with 93% in 2016-17 and 87% in 2014-15

#### Areas of Good Performance

- 3.5** This shows that we are still dealing with complaints at the point closest to service delivery in most cases. However, it also may be an indicator of increasing workload, with fewer staff to respond to a growing number of complaints and suggests that it will not be easy to maintain the culture that has gradually been built up in recent years where staff showed greater confidence in acknowledging mistakes and a willingness to share lessons learned.
- 3.6** We now 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. The network is working to improve this.
- 3.7** Education and Social Care services resolve most of their complaints through stage two indicating that it is still likely that there has been under recording of minor complaint issues. This has therefore impacted upon school, social care and overall figures. Guidance and specific training sessions will also be provided for school and social care staff in order to raise awareness and increase their recording of minor complaints.
- 3.8** We identified that some complaints reported via an MP/MSP were being incorrectly recorded and dealt with as routine enquiries. We raised this issue through the quarterly Complaints Administration Group meetings and with relevant Heads of Service. The complaints officer now assesses all MP/MSP enquiries to ensure that those issues identified as meeting the definition of a complaint are dealt with through the complaints process.

**3.9** Last year we also aimed to reduce the number of complaints upheld against our policies and procedures; we stated that we would do this by using the learning and improvement framework which was circulated to management through the Complaints Admin Group. This will continue to be our aim for the coming year. Social work staff devised and used several investigation tool templates in their complaint investigations. As a result, only minimal staff time was taken to respond to a specific SPSO social work complaint enquiry.

#### Areas requiring improvement

- 3.10** Performance in resolving stage two complaints within the 20-working day timescale is an area for improvement. This year, 67% were completed on time meaning that almost a third of all stage two complaints were responded to out with the timescale. While this is an improvement on the 61% recorded in 2016-17, and over twice the proportion (29%) in 2015-16 it is still below the required level. Further, of those being closed off beyond 20 working days, this year only 16% had an approved extension, down from 27% in 2016-17.
- 3.11** Gaining approval to extend our response time beyond the five and twenty working day timescales also continues to be an area where improvement is needed. 11% of all overdue complaints received an authorised extension, a decrease in performance compared to less than a quarter last year. This indicates scope for improvement in this area and there will be a focus on this in the year ahead.
- 3.12** Complaint deadlines will be monitored weekly by the complaints officer; respective department complaint administrators and Heads of Service are made aware of non-adherence to time limits and advised to close, escalate from stage one to stage two, or apply an authorised extension.
- 3.13** When complaints are concluded as upheld, partially upheld or not upheld the learning from complaints should be completed within the complaints database. For the year ahead the Complaints Officer and complaint administrators will monitor the database to ensure that the learning and improvement section is being completed.
- 3.14** A small percentage of complaints are received through MP/MSP correspondence. Over the past year these have been monitored by the Complaints Officer to ensure complaints are dealt with in line with the complaints process and other MP/MSP correspondence is treated through a separate enquiry process.

## 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 2017-18 figures for relevant indicators will be explained in this section together with 2016-17 figures and some 2015-16 to allow for benchmark comparisons. A breakdown of indicator figures for services is included as an appendix.

### 4.1 Indicator 1

**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	2016-17	2017-18
Total number of received	414	551
Population (mid-year population estimate)	96,070	95,780
<b>Number of complaints per 1,000 population</b>	<b>4.31</b>	<b>5.75</b>

\*Some of the complaints dealt with during the period relate to complaints raised before April 2017, and some raised in March 2018 would be unresolved before the end of March 2017. So, there will not be a direct correlation between numbers received and numbers responded to.

Compared to the 2016-17 figures, there has been an increase of 33% (137) in the number of complaints received. Consequently, the number of complaints per 1,000 population has increased by 33.5% compared to 2016-17 (Table 1).<sup>1</sup>

There is no particular explanation for the increase beyond most complaints continue to be received by the services that have the most direct contact with Moray residents such as Environmental Services (77%), which includes services such as Housing and Property Services and Direct Services, all of which have shown an increase since 2016-17. HPS and DS are part of ES so this needs reviewed as suggests three distinct services.

Monitoring by the complaints officer, together with awareness training provides an assurance against under recording of complaints. It is important to recognise that complaints impact on both

<sup>1</sup> It is worth noting that MSP and MP enquiries are logged on the same database as complaints. Previously figures taken from the system for this report filtered out all MSP and MP enquiries – even though some were clearly complaint matters. This has now been rectified and this report includes all complaints, including those that have been submitted through an MSP or MP.

staff performance and morale, particularly where investigations are linked to complaints against staff.

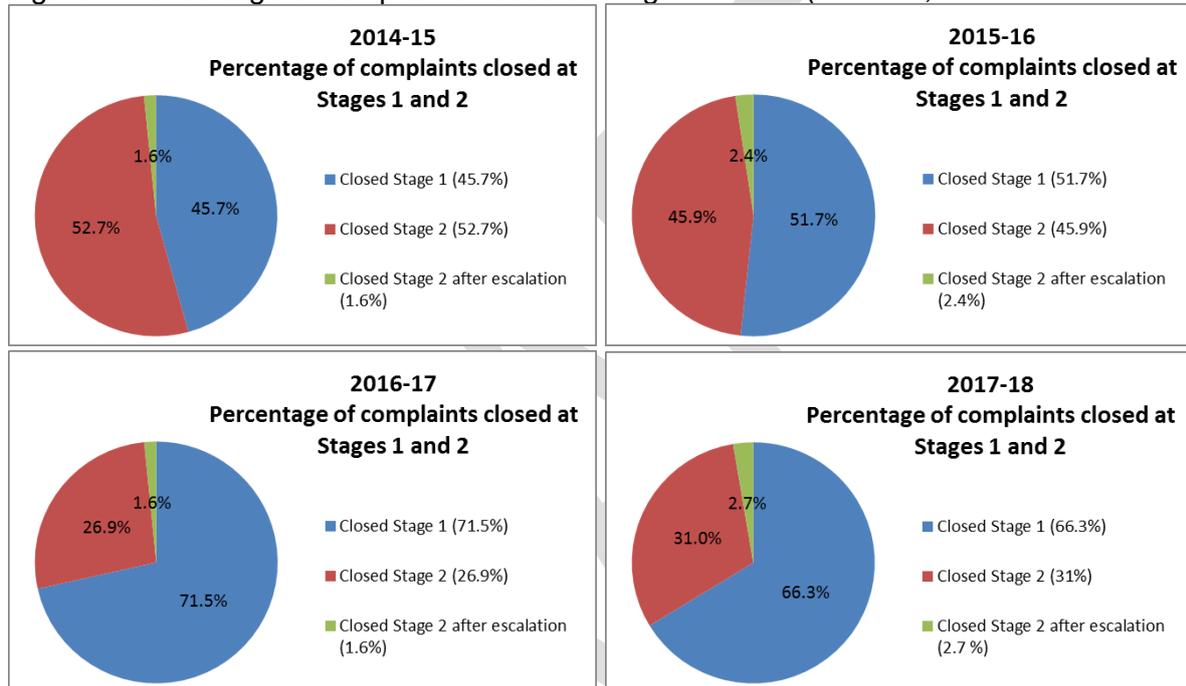
## 4.2 Indicator 2

The number of complaints closed at stage one and stage two as a percentage of the 520 closed complaints (note that there were 551 complaints received with 31 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 1 and 2 (2014-15, 2015-16 & 2016-17)



During 2017-18 66% of complaints were dealt with at frontline resolution stage compared to one-third dealt with at the investigation stage. Although a reduction from the 72% dealt with at frontline in 2016-17, the proportion is an increase of 15% from 2015-16 and over 20% 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 are 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 effectiveness.

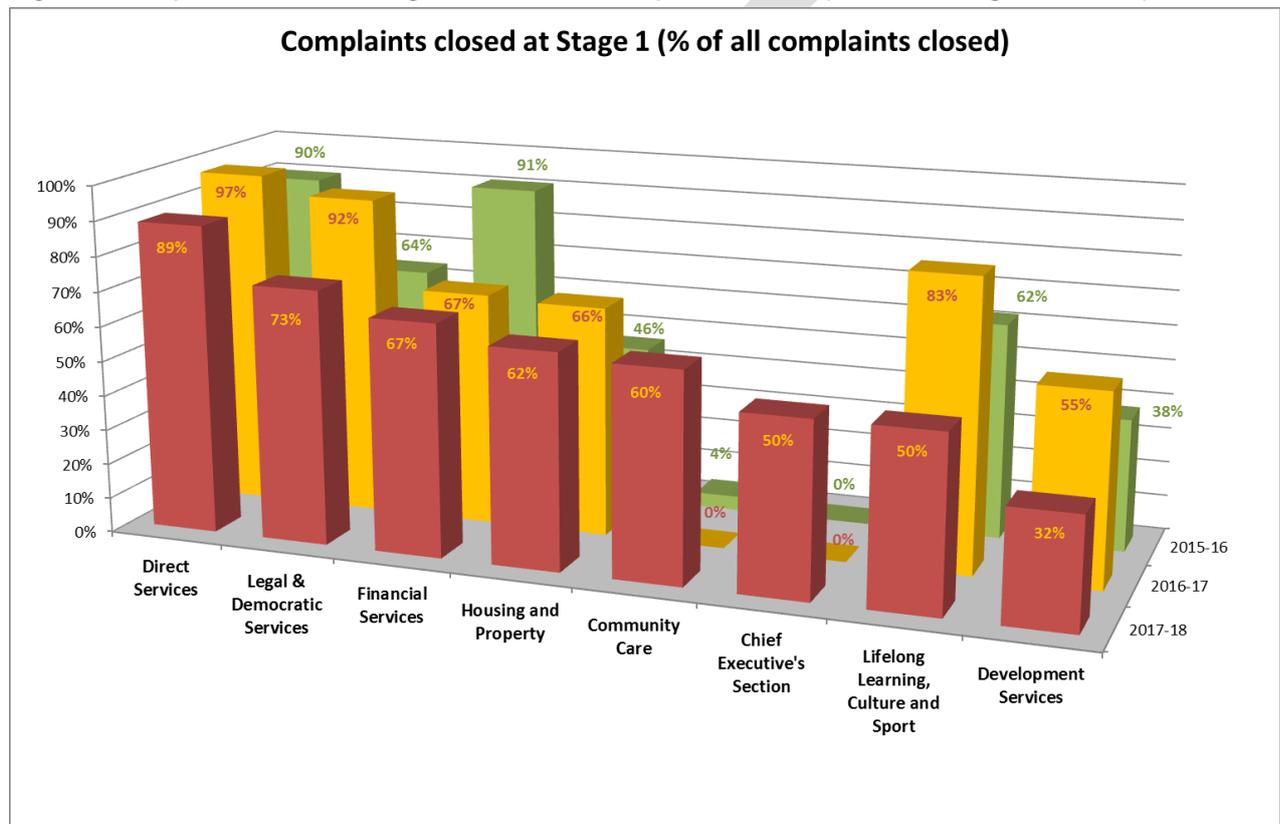
As in previous reporting periods Environmental Services received most complaints – 404 (77%). This is to be expected as they are responsible for service provision such as roads, waste management and planning. Education and Social Care were the next highest – 83 (16%); Corporate Services – 36 (7%) and the Chief Executive’s office – 2 (0.4%) received the remaining complaints. (See Figure 23 – Appendix).

Direct Services continue to lead in resolving complaints at frontline – 172 (89%).

In 2017-18 Housing and Property continued their improvement of recent years and resolved 116 (62%) of complaints at front-line, which compares favourably to the 46% resolved at front-line in 2015-16 (Figure 2). Community Care has had a transformational year. In 2016-17 all 10 of the complaints raised were dealt with at Stage 2, whereas in 2017-18 there were 15 (60%) resolved at frontline.

Three services continue to resolve most complaints at the investigation stage; Development Services (32%), Integrated Children’s Services (18%) & Schools and curriculum development (22%), although it should be noted the relatively low number of complaints these three services receive in comparison to Direct Services & Housing and Property.

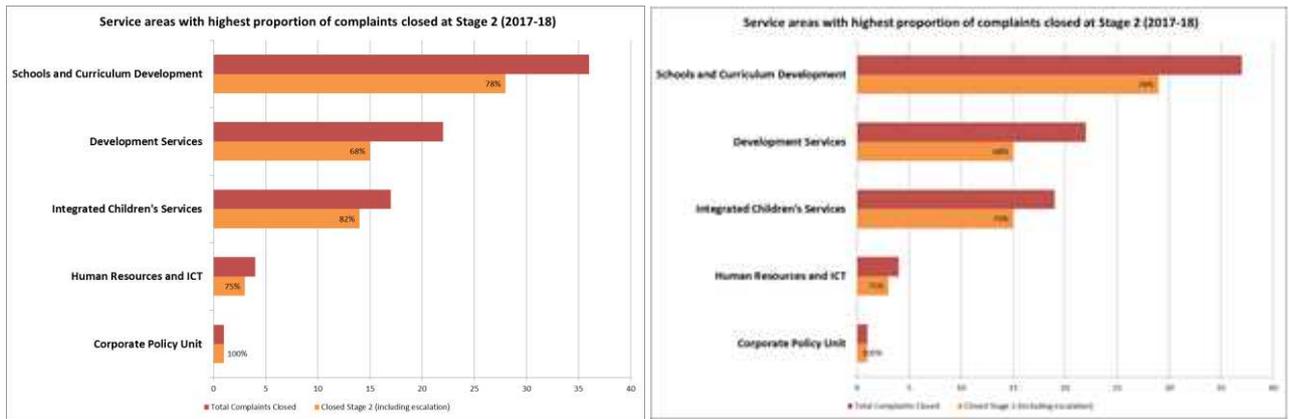
**Figure 2: Complaints closed at Stage 1 as a % of all complaints closed (2015-16 through to 2017-18)**



Unlike previous years none of the services resolve all complaints at the investigative stage any more (excluding Corporate Policy Unit that required an investigation to resolve their only complaint). However, some services continue to resolve most complaints at the investigative stage.

13 out of 19 Integrated Children’s Services complaints (82%) were dealt with at stage two, while, 29 of the 37 Schools and Curriculum Development (78%) complaints were resolved at stage 2 (Figure 3). 3 out of 4 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.

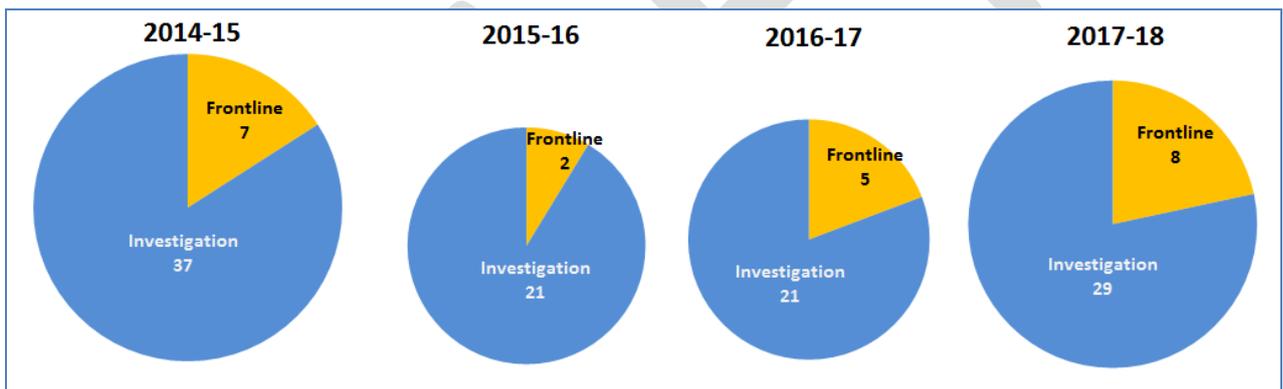
**Figure 3: Complaints closed at Stage 2 as a % of all complaints closed (2017-18 compared to 2016-17)**



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 10 more complaints received by Schools and Curriculum than in 2016-17 (Figure 4). Of the 37 recorded only 8 (22%) were resolved at frontline stage. The trend is showing an improvement compared to the 2 (9.5%) resolved at the same stage in 2015-16, and the 5 (19%) in 2016-17.

**Figure 4: Schools and Curriculum Development complaints resolved (2014-15 through to 2017-18)**



### 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

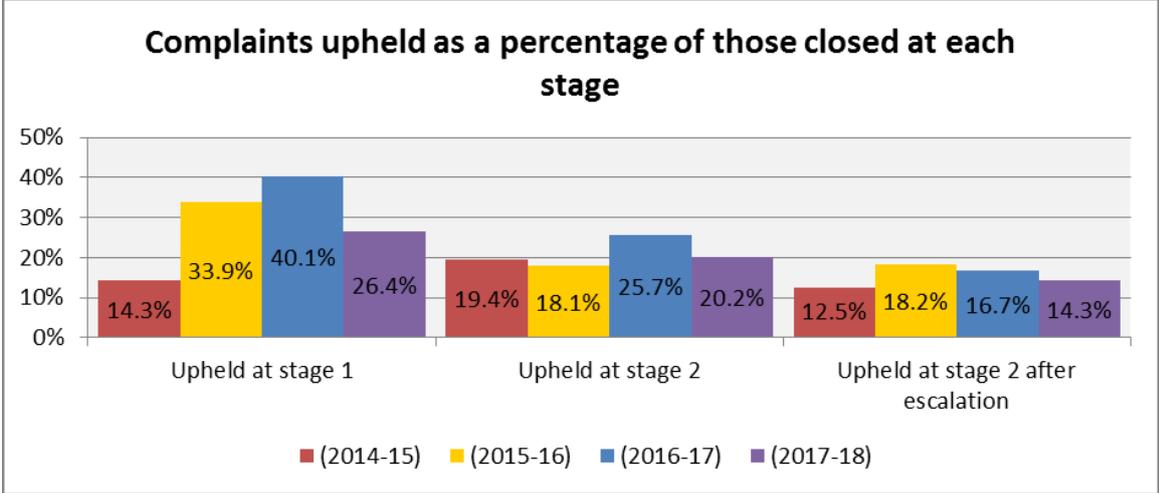
A complaint is defined as 'upheld' when it is found to be true or confirmed. A 'partially upheld' complaint results when there are several complaint issues raised and some, but not all, of them are upheld. Complaints are 'not upheld' when they are found to be untrue; that the service provided was of 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 is contacted to confirm to them whether their complaint has been 'upheld', 'partially upheld' or 'not upheld' together with an explanation of the findings.

The upwards trend over the last 3 years in frontline (stage one) complaints being 'upheld', or 'partially upheld' (Figures 5 & 6) reversed this year. In 2016-17 the proportion was 48%, in 2015-16 it was 46%, compared to just one-quarter in 2014-15. However, 38% of frontline complaints had these outcomes in 2017-18. This shows complaints are being acknowledged however there needs to be greater focus on learning and improvement in the year ahead.

For stage two complaints closed at the investigation stage as 'upheld', or 'partially upheld', the proportion in 2017-18 remained unchanged at 43%, the same as in 2016-17, and slightly higher than 40% in 2015-16 and 39% in the previous year.

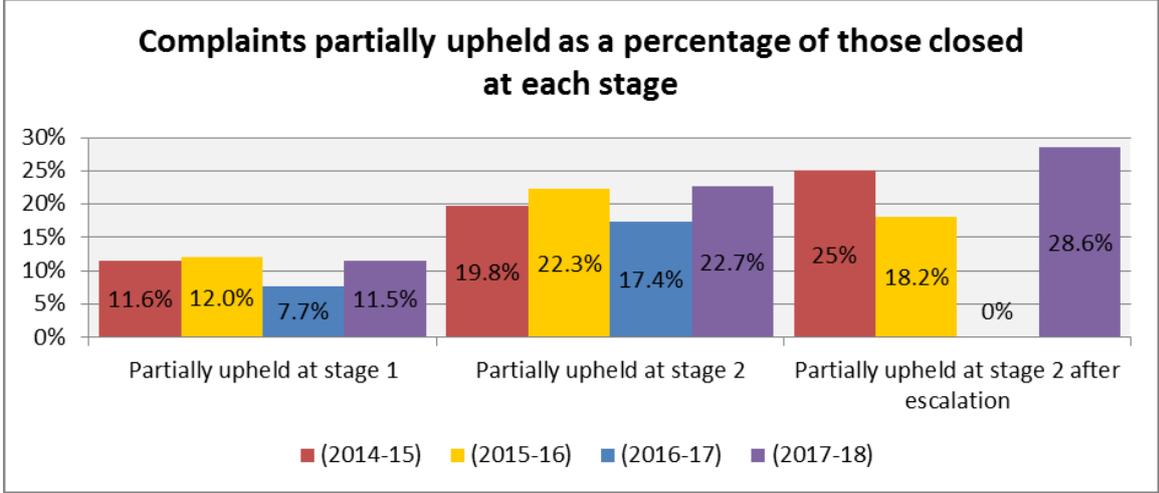
**Upheld Complaints**

Figure 5: Complaints upheld as a percentage of those closed at each stage (2014-15 through to 2017-18)



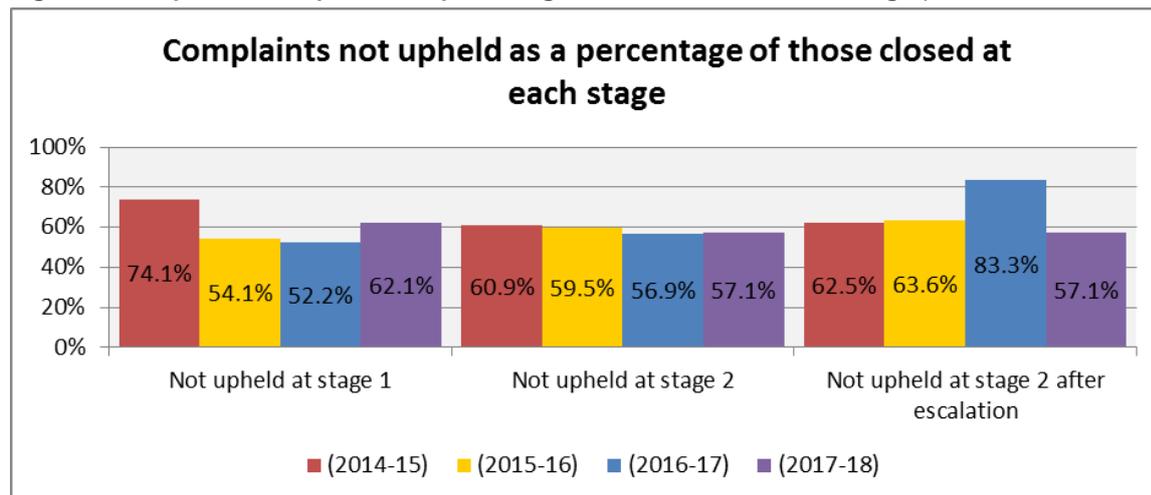
**Partially Upheld Complaints**

Figure 6: Complaints partially upheld as a percentage of those closed at each stage (from 2014-15 to 2017-18)



## Not Upheld Complaints

Figure 7: Complaints not upheld as a percentage of those closed at each stage (from 2014-15 to 2017-18)



For all the complaints closed during 2017-18, at both stages one and two, 40% were fully 'upheld' or 'partially upheld' overall, compared to 46% in 2016-17, 43% in 2015-16 and 33% in 2014-15. This shows that many customers continue to raise concerns with service provision, and a greater proportion of all complaints require us to review and improve the way services are being delivered.

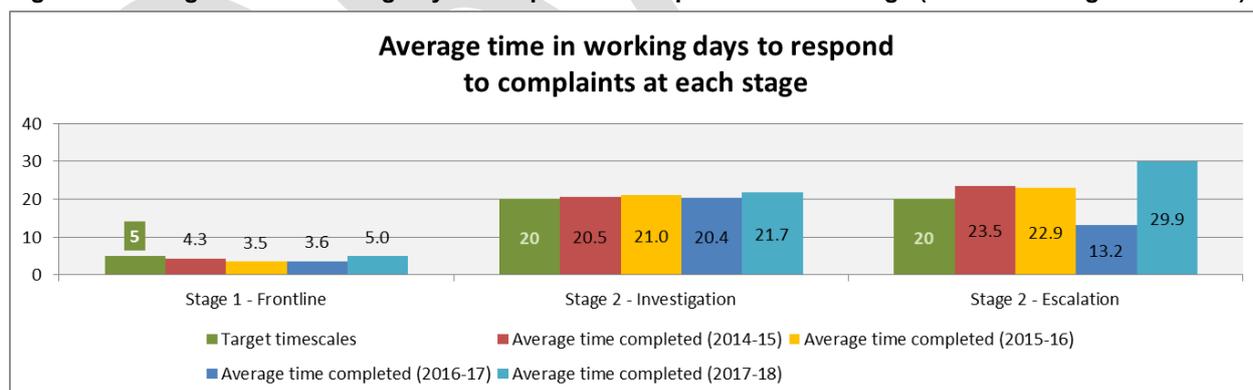
## 4.4 Indicator 4

**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 2017-18)



The average time taken to respond to frontline complaints remains below the SPSO's five day timescale. The number of frontline complaints closed on time increased slightly to 269 in 2017-18 compared to 256 in 2016-17. However, the proportion that was closed within 5 days dropped significantly to 77%, compared to 93% in 2016-17 (Figure 9).

Frontline resolution times, 4.97 days on average in 2017-18, have increased compared to recent years: 3.6 days in 2016-17, 3.5 days in 2015-16 and 4.3 days in 2014-15. It was identified that several social care complaints were dealt with a few days outside the 5 working day rule and these could have been dealt with through authorised extensions to remain within frontline process.

The average time for resolving stage two investigation complaints rose in 2017-18 to 21.7 days (compared to 20.4 days in 2016-17); outside the Complaint Handling Procedures' guidelines and higher than the 21 days recorded in 2015-16. Moreover, the escalated stage 2 investigations took over twice as long on average (29.9 days) compared to 2016-17 (13.2 days), possibly reflecting the additional complexity of Social Work complaints, which are now being undertaken within the Complaints Handling Procedure. Competing workload challenges add to this.

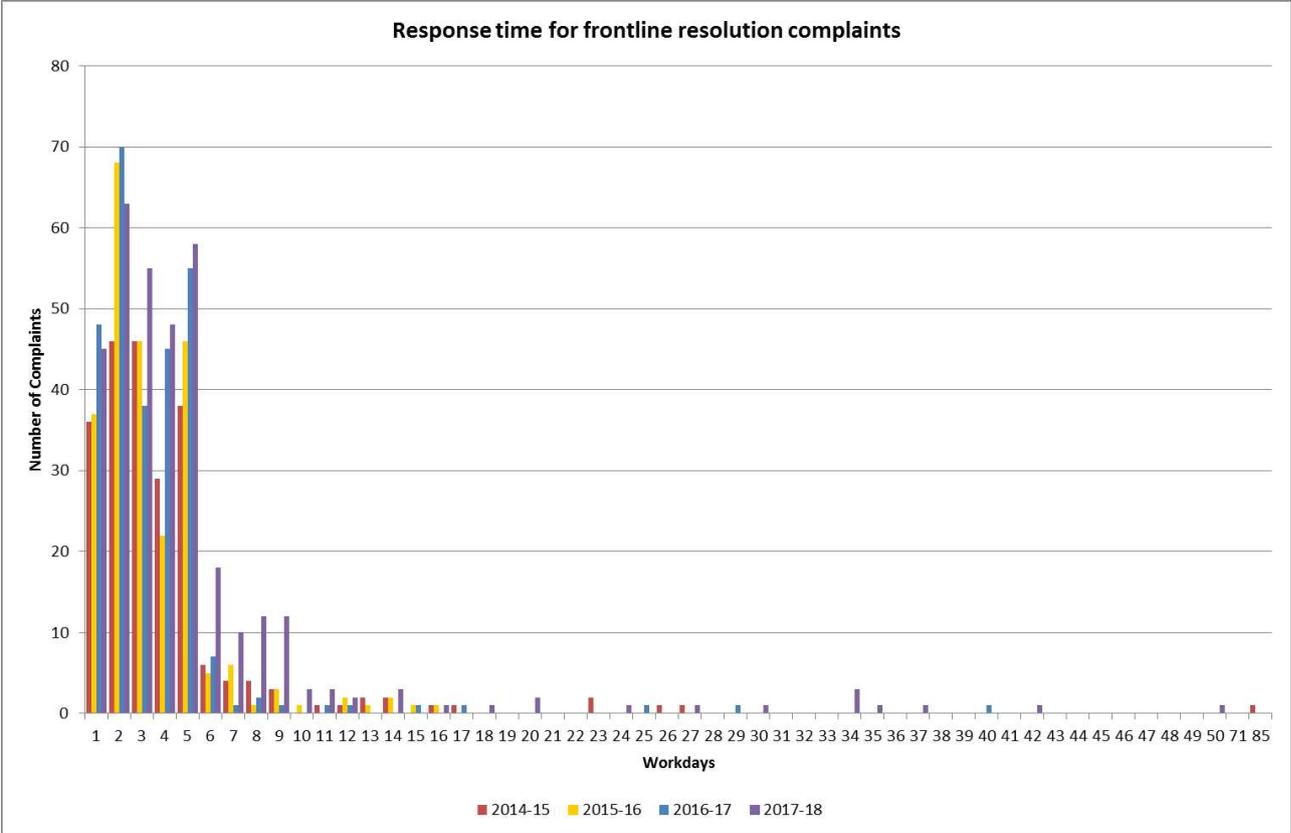
The majority of 'frontline resolution' complaints are dealt with within five working days, however, the proportion exceeding the maximum extension period of 10 working days rose to 6%, double the 3% in both 2016-17 and 2015-16, and closer to the 5% recorded in 2014-15.

18 of the frontline complaints closed during 2016-17 took longer than five days, whereas in 2017-18 the figure rose significantly to 77, much higher than the figures recorded in 2015-16 (23) and 2014-15 (30). The most significant change in 2017-18 is the number of frontline complaints taking longer than 15 days to resolve. There were 14 such cases in 2017-18, compared to 4 in 2016-17 and just 1 in 2015-16.

Three services account for the majority taking longer to resolve than the SPSO guidance: 7 complaints relating to Housing & Property Services, 6 for Direct Services and 4 for Community Care. They ranged from 1 to 37 working days overdue. The frontline complaint that took the longest time to resolve (50 working days) was raised against Human Resources by a council employee.

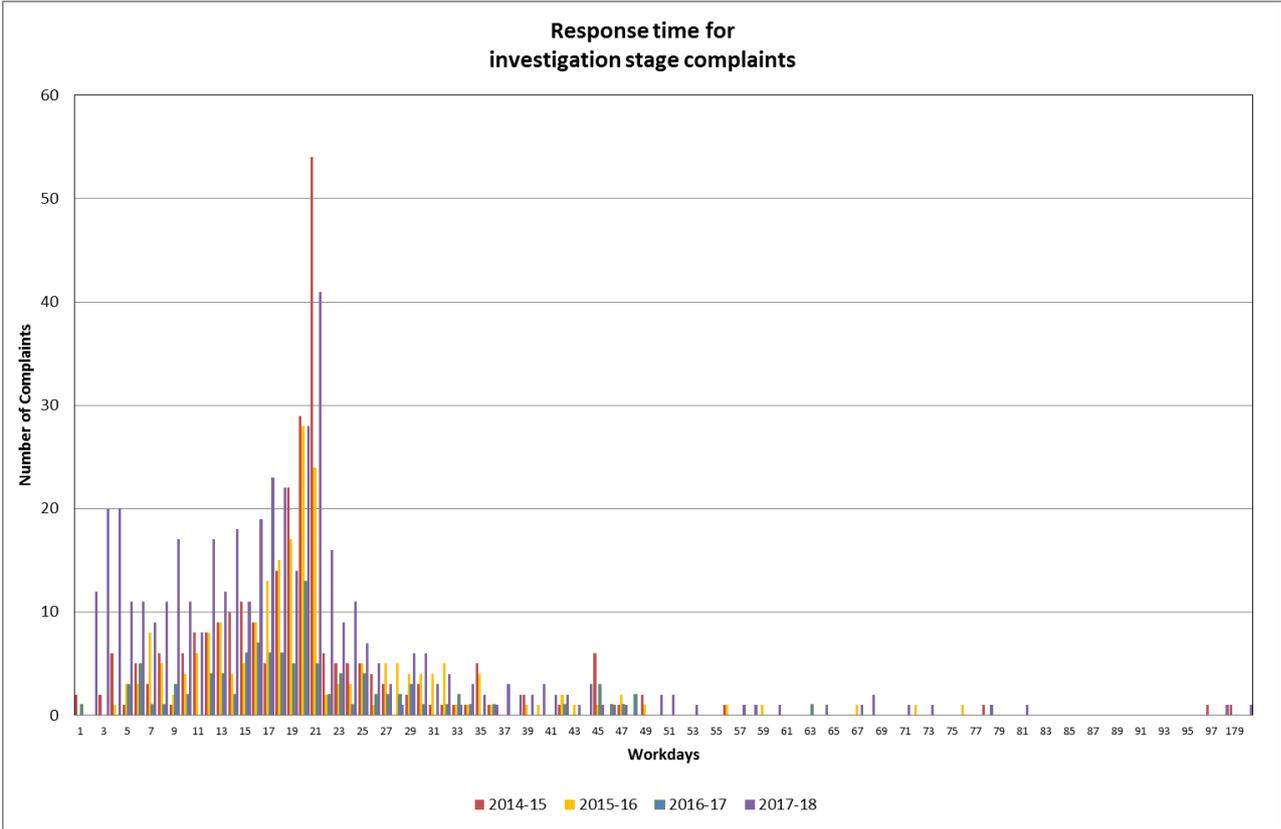
Significant improvement has been made since the implementation of the Complaints Handling Procedure since 2014-15, and weekly monitoring continues to take place with departmental complaint administrators being reminded to ensure they follow the correct database timeline process for stages.

**Figure 9: Response Time for frontline resolution complaints (2014-15 through to 2017-18)**



Most investigations were responded to within the 20 day timescale (64%) or within agreed extension periods (Figure 10). Of the 177 complaints closed at stage two (investigation and escalated), 63 (36%) took longer than the target response time. Integrated Children's Services complaints often require investigation of lengthy and complicated issues. This accounted for 9 of their 15 investigations taking more than 20 days to complete. One Schools and Curriculum Development investigation took 179 days to resolve; the longest of all complaints to be closed during the 4 years for which data has been collected. The next longest was a 134 day investigation recorded in 2014-15.

**Figure 10: Response time for Investigation Stage Complaints (including Escalated Investigations) (2014-15 through to 2017-18)**



**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 2017-18)

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 %
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%

Performance declined by closing a much lower proportion of frontline complaints within the target times; 78% compared to 99% in 2016-17. The services have performed better in closing stage two complaints within 20 working days (67% compared to 61% in 2016-17), this improvement being maintained on the 2014-15 performance of 57%. Our performance for escalated complaints varies significantly from year to year due to small sample sizes. However, closing less than a third of such complaints on time in 2017-18 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 room for improvement.

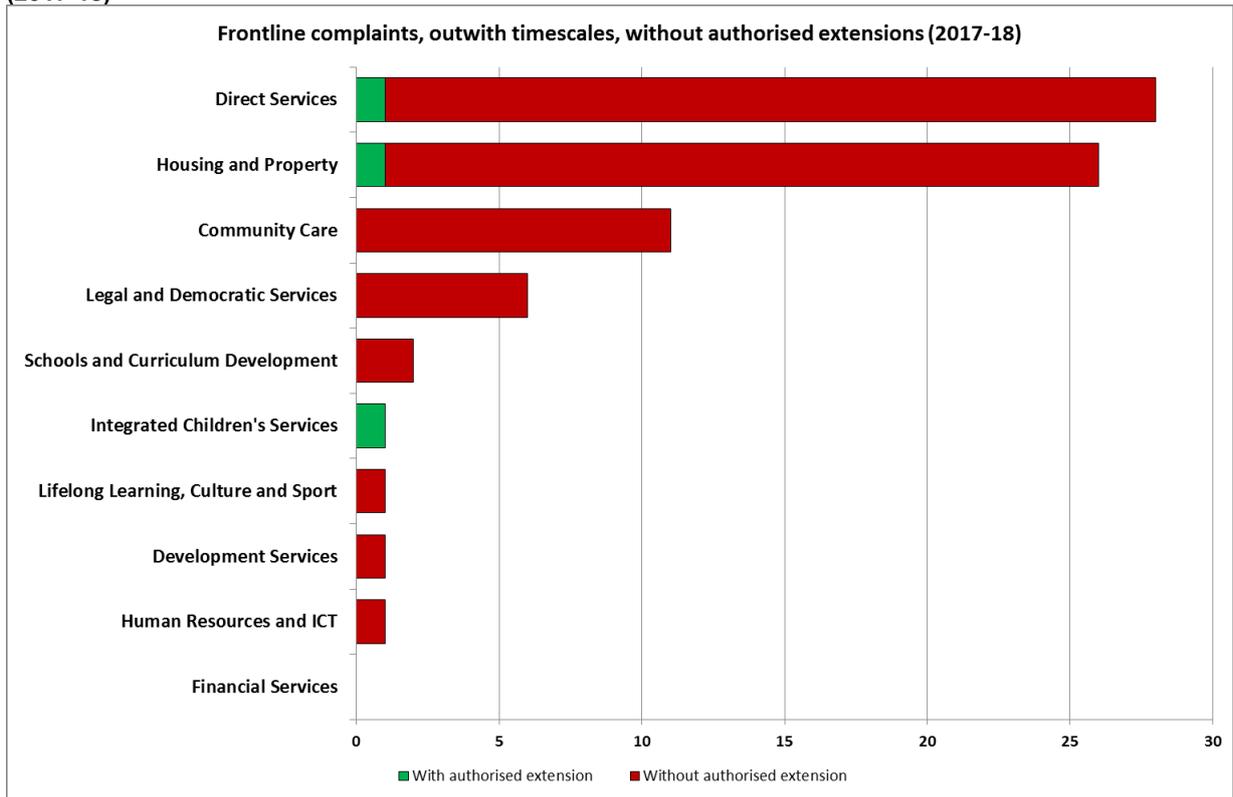
The council always aims to respond to complaints as quickly as possible. There are, however, times when a complaint is particularly complex, and it is identified that a thorough investigation of the issues will require time out with the prescribed timescales. In these situations, the council agrees with 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 Head of Service or above must always approve such an extension before it is granted, and this is recorded with revised time limits on our complaints database.

Too many complaints taking longer than the stipulated times do not receive approval. Senior management are notified of such cases and administrators reminded weekly to update the database.

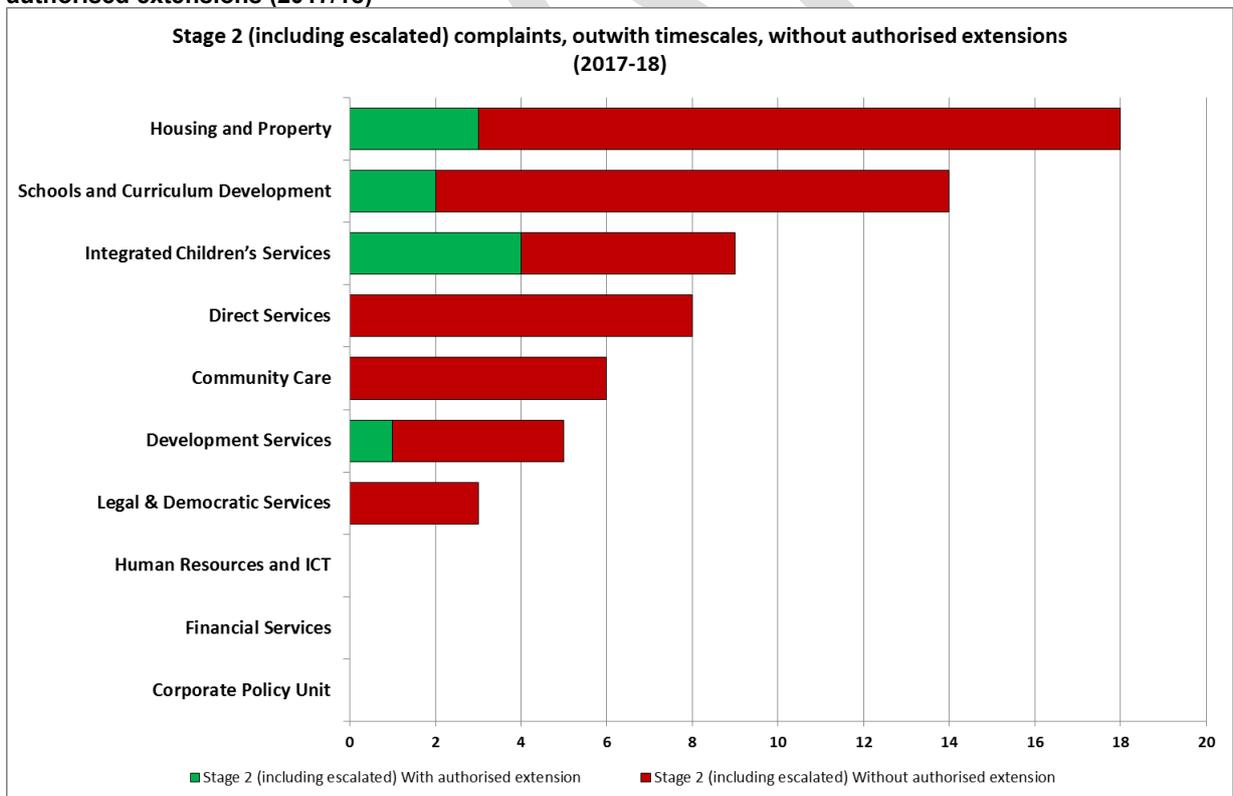
**Table 3: Indicator 6 – Extensions (2014-15 through to 2017-18)**

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

**Figure 11: Frontline complaints not responded to in stipulated timescales, without authorised extensions (2017-18)**



**Figure 12: Stage 2 (including escalated) complaints not responded to in stipulated timescales, without authorised extensions (2017/18)**



## 4.7 Indicator 7

### **The SPSO requires a statement to report on customer satisfaction with the complaints service provided.**

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, complainants are 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 are sent to every complainant when they are informed of the outcome of their complaint. In 2017/18, 513 surveys were sent out, 276 by post and 237 by email. We received 28 (10%) postal responses and 50 (21%) online responses, giving an overall survey response of 78 (15%). The survey considered 5 factors; service delivery; information; timeliness; staff professionalism and staff attitude.

In 2017 -18, there were a number of positive feedback comments and these can be viewed as improvement. This included areas such as:

- happy with the complaint process; (this is an area of improvement from 2016-17 as this was previously highlighted as an area of dissatisfaction)
- frontline staff explaining to the complainant that they had a genuine reason to complain;
- staff were honest, direct but polite and listened. Realised that not all issues may be resolved but happy with middle ground and found this amicable;
- complaint fully investigated

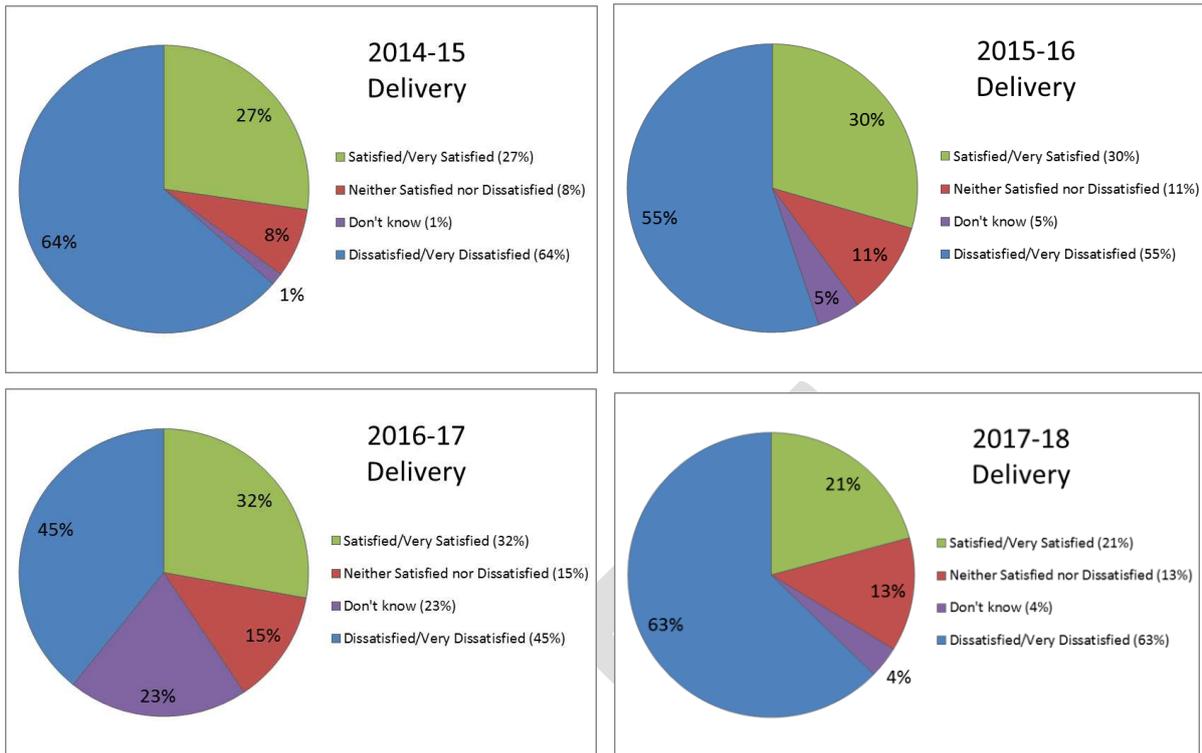
However, compared to results given in 2016-17, the public have given more reasons for their dissatisfaction in 2017-18. The complaints officer has drawn this to the attention of departments through their complaint administrators to share with Heads of Services.

Arising from the survey, the main dissatisfactions are:

- not updating customers; (same as 2016-17)
- not listening to customers; (new issue)
- management not taking responsibility; ( this was given as a positive comment in 2016-17)
- not adhering to policy timescales; (same as 2016-17)
- not taking the issues seriously; (same as 2016-17)
- not contacting the complainant to clarify their complaint issues; (this was given as a positive comment in 2016-17)
- responding to the MP but not the complainant; (new issue)
- not apologising for getting things wrong (same as 2016-17)

### 4.7.1 Service Delivery

Figure 16: Customer Satisfaction Survey – Service Delivery (2014-15 through to 2017-18)

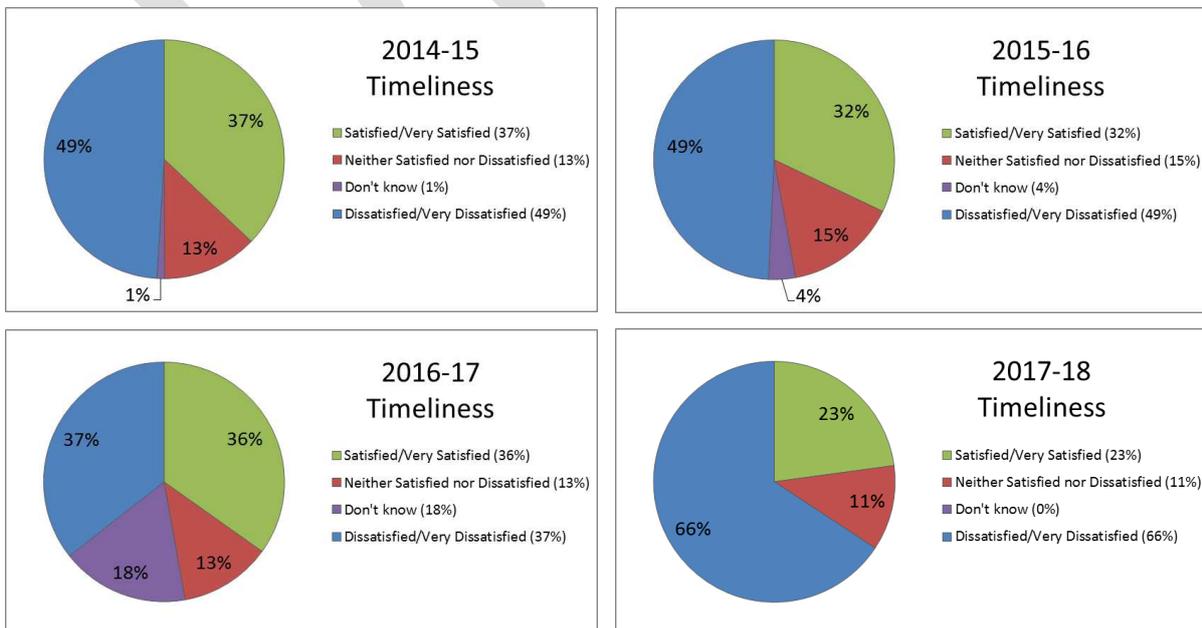


In the survey customers were asked to rate their level of satisfaction with “how our staff handled your complaint”. After the improvements shown over the last 3 years there has been a marked reduction in the number of customers who were positive about the service they received in relation to their complaint, and a corresponding rise in the proportion who were ‘dissatisfied’ or ‘very dissatisfied’.

In 2017-18 almost two-thirds of respondents had a negative perception of the service that they received (63%), like the proportion in 2014-15 (64%). This represents an 18% rise since the previous year.

### 4.7.2 Timeliness

Figure 17: Customer Satisfaction Survey – Timeliness (2014-15 through to 2017-18)



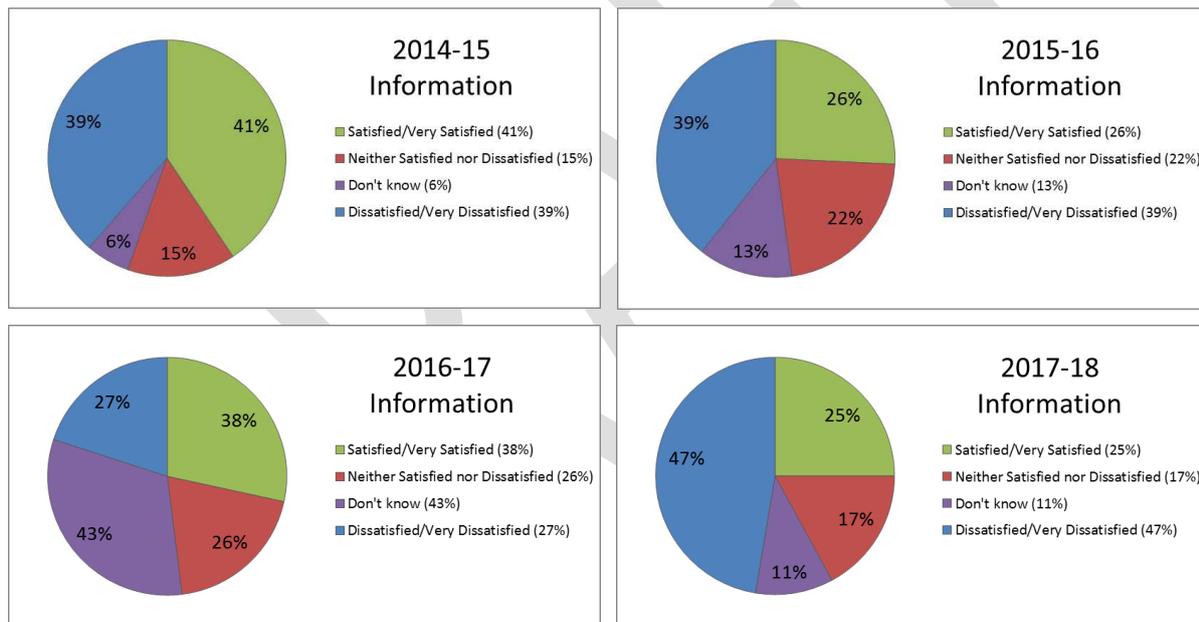
Timeliness is an issue within the complaint process with two-thirds (66%) being dissatisfied or very dissatisfied with the time taken to resolve their complaint. This is a significant increase from the one-third (37%) who reported a negative experience last year and is worse than in 2014-15 and 2015-16 when almost half (49%) of the customers were unhappy with the service provision.

Customer satisfaction for this measure dropped from 36% to 23%; a reduction also from the performance in previous years of 32% (2015-16) and 37% (2014-15). However, the statistics in the Appendix (Tables D and F) suggest that although more complaints are taking longer than the required timescales, most of the Stage 1 and Stage 2 are completed on time. The exception being escalated complaints, which are generally exceeding the timescales. It could be the case that the relatively few responses to the survey have come from people who are particularly upset with the way their complaint was handled and their views may be unrepresentative of most people who complained in 2017-18.

It is worth noting that some complaints, particularly those involving social work, can be complex, requiring lengthy investigation. Such enquiries often take us out with timescales and is an area where we need to continue to stress the importance of extensions authorised and agreed with customers. Training, closer monitoring and updating by complaint administrators are steps put in place to bring about improvement.

### 4.7.3 Information

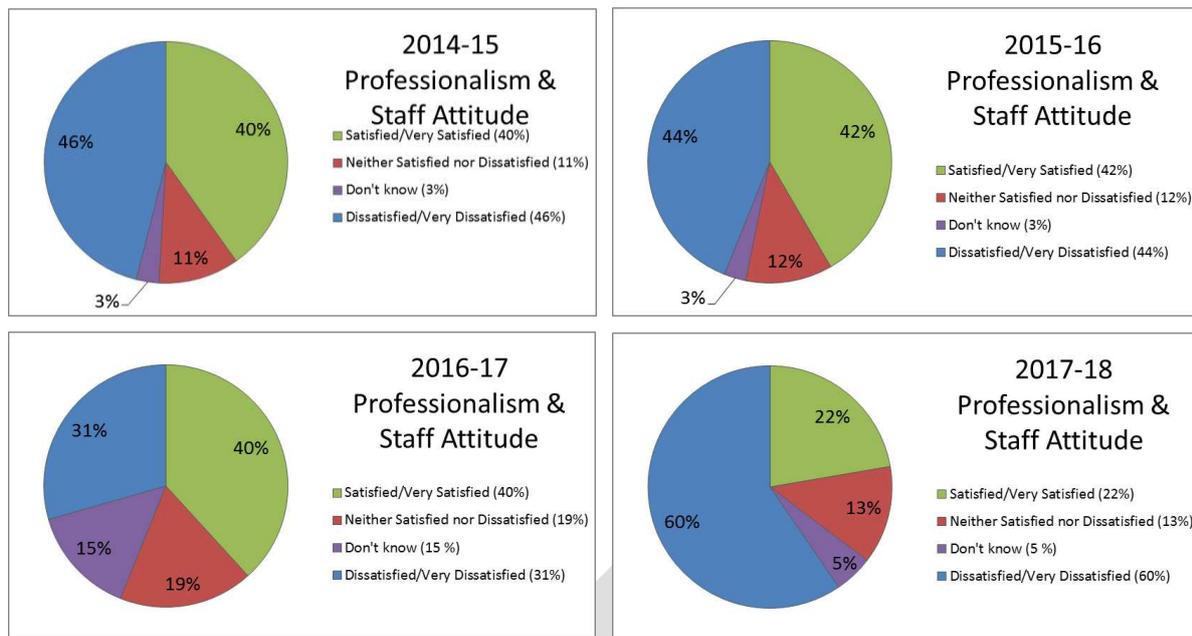
Figure 18: Customer Satisfaction Survey – Information (2014-15 through to 2017-18)



As a result of changes to the survey questions complainants are only asked to rate one aspect of performance under this heading; whether the timeline involved in the complaint was clearly outlined to them. This change makes comparison with previous years unreliable, as there were three questions in this category and the final result was averaged. However, only a quarter of the respondents were “satisfied” or “very satisfied” with the information they received about timelines for the complaint process.

#### 4.7.4 Professionalism and Staff Attitude

Figure 19: Customer Satisfaction Survey – Professionalism & Staff Attitude (2014-15 through to 2017-18)



In 2017-18 there was a sharp drop in the proportion of customers who were positive about the professionalism and attitude of the staff with just 22% being “satisfied” or “very satisfied” compared to 40% - 42% in previous years. A quarter of the respondents were “satisfied” or “very satisfied” that staff listened to them, although half were “very dissatisfied”. Respondents were also mainly negative about staff keeping them updated on progress.

#### 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.

On 1 April 2017, we moved to a new complaints handling system. This has allowed all departments, including Education, to record complaints on one system for more consistent recording and reporting purposes, and is reflected in the 2017-18 report.

##### 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 new complaints database has a specific section for managers to complete when complaints are closed. Where they have been upheld or partially upheld, any service improvements should be recorded. Complaints officer monitoring has shown that this is rarely being completed and opportunities to find root causes and implement service improvement is being missed. Complaint administrators have been encouraged to ensure that more detailed closures are recorded.

The following is a summary of some actions taken to resolve complaints that were upheld or partially upheld in 2017-18:

**Table 4: Actions taken in response to complaints upheld (2017-18)**

<b>Department</b>	<b>You said...</b>	<b>We listened and took action on the following upheld complaints...</b>
<b>Chief Executive</b>	No wheelchair access had been provided for you at an event part funded by Moray Council.	In upholding your complaint, we liaised with the organisers, revised what had to be put in place and agreed a means of access for up to 30 wheelchair users for this event and any future events held.
<b>Legal and Democratic Services/Financial Services</b>	In error, we took a direct debit from you when a cash payment had already been received.	In upholding your complaint, we contacted you, apologised and revised and adjusted future direct debit payments to correct the error.
<b>Housing and Property</b>	We caused damage to your property when replacing your heating system.	In upholding your complaint, we apologised, repaired the damage and compensated you.
<b>Community Care</b>	A staff member had driven over your garden.	In upholding your complaint, we apologised and counselled the staff member to take greater care.
<b>Integrated Children's Services</b>	We contacted you by phone against your expressed wishes.	In upholding your complaint, we apologised and agreed an alternative method of contacting you.
<b>Schools and Curriculum Development</b>	We failed to control pupil's behaviour during lunchtime in the vicinity of your home.	In upholding your complaint, we apologised, made the pupils aware of the impact of their behaviour and ensured that they no longer gathered there.

## 5. Scottish Public Services Ombudsman/Benchmarking

In 2017-18, the Local Authority Complaint Handlers Network aimed to benchmark across all 32 councils. 1 council didn't provide their annual data so results were drawn from the remaining 31 councils. The working group responsible for assessing this information identified some data quality issues, one example being:

### 1) Indicator 2 – Closed Complaints:

- Sum of the complaints closed at stage 1, stage 2 and escalated must equal total number of complaints closed
- If it doesn't then not all of the complaints being closed are being reported upon

In 2018-19, data will be submitted quarterly to the Local Authority Complaint Handlers Network.

This network continues to identify a significant disparity in how complaint information is being recorded by respective councils and they are working to identify ways for councils to provide greater consistency in their complaint recording. This prevents meaningful benchmarking between councils data.

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

<b>Complaints Received</b>	2016-17	2017-18
Moray Council	414 (0.5%)	551 (1%)
Nationally	75,726	62,884

<b>Complaints Received Per 1000 Population</b>	2016-17	2017-18
Moray Council	4.31	5.75
Nationally	14.1	11.6

<b>Complaints Closed</b>	2016-17	2017-18
Moray Council	383	525
Nationally	72,031	60,952

Nationally there was a 17% reduction in the number of complaints recorded in 2017-18. In contrast, Moray Council had a 25% increase in complaint recording demonstrating greater public confidence in reporting complaints.

<b>Average Time in Working Days – Stage 1</b>	2016-17	2017-18
Moray Council	3.6	4.97
Nationally	7.5	8.3
<b>Average Time in Working</b>	2016-17	2017-18

<b>Days – Stage 2</b>		
Moray Council	20.9	21.7
Nationally	19.4	23.6

Nationally, many councils failed to meet their target of resolving stage 1 complaints within 5 working days with a 10% increase in the time taken from 2016-17. Moray Council achieved this target although there was a 38% increase in the time taken to resolve complaints.

Both nationally and locally there was a failure to deal with stage 2 complaints within the required 20 working days with a 4% increase for Moray Council and a 22% increase nationally. This could be indicative of reducing staff numbers and, for Moray Council, the increase in the number of complaints dealt with.

DRAFT

## 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.

By utilising the Complaint Handling Procedure and adhering to the robust performance management framework, we will learn from complaints, improve services and increase confidence in service provision. We will continue to demonstrate that we are learning from complaints through the Complaints Officers highlighting this to services through complaints management, complaint administrator discussions and staff training.

It is important 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 were like previous years and despite the low 15% return rate some useful feedback was given as detailed in reasons given for satisfaction/dissatisfaction above. . We used the easy-to-use online option and sent paper copies; however, this produced a similarly 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.

## APPENDIX

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

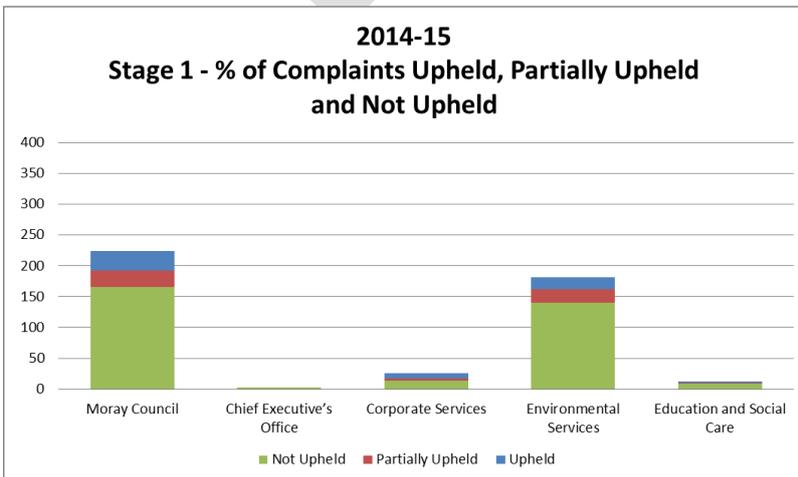
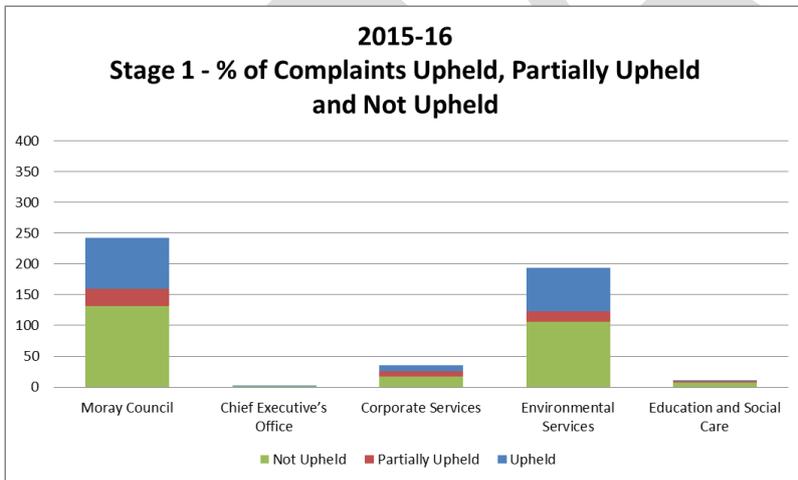
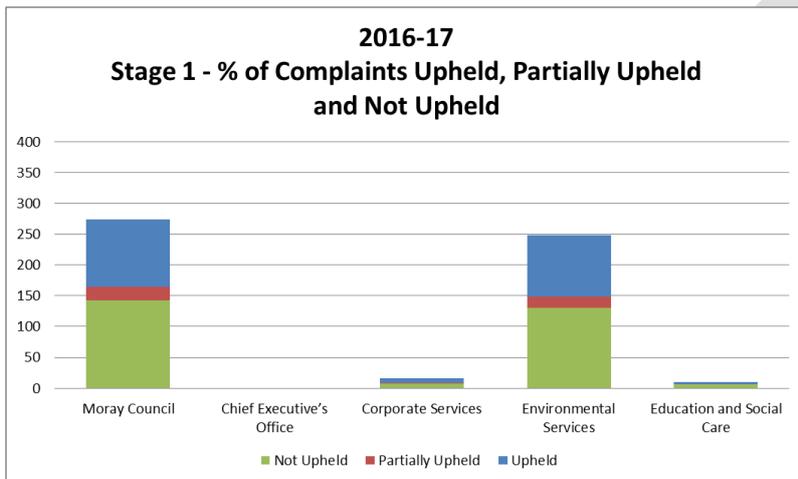
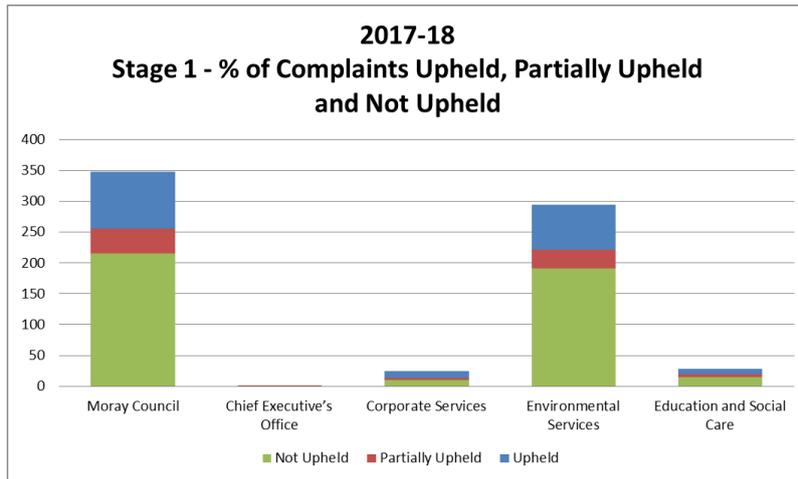
**Table A: Indicator 2 – Complaints closed at stage one and stage two as a percentage of all complaints closed**

Indicator 2 by service	2016-17				2017-18			
	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
<b>All Council</b>	<b>274</b> 72%	<b>103</b> 27%	<b>6</b> 2%	<b>383</b>	<b>348</b> 66%	<b>163</b> 31%	<b>14</b> 3%	<b>525</b>
<b>Chief Executive's Office</b>	<b>0</b> 0%	<b>2</b> 100%	<b>0</b> 0%	<b>2</b>	<b>1</b> 50%	<b>1</b> 50%	<b>0</b> 0%	<b>2</b>
Chief Executive's Section	0 n/a	0 n/a	0 n/a	0	1 100%	0 0%	0 0%	1
Corporate Policy Unit	0 0%	2 100%	0 0%	2	0 0%	1 100%	0 0%	1
Community Planning & Development	0 n/a	0 n/a	0 n/a	0	0 n/a	0 n/a	0 n/a	0
<b>Corporate Services</b>	<b>16</b> 84%	<b>2</b> 11%	<b>1</b> 5%	<b>19</b>	<b>24</b> 67%	<b>11</b> 31%	<b>1</b> 3%	<b>36</b>
Financial Services	4 67%	2 33%	0 0%	6	4 67%	2 33%	0 0%	6
Human Resources and ICT	1 100%	0 0%	0 0%	1	1 25%	3 75%	0 0%	4
Legal and Democratic Services	11 92%	0 0%	1 8%	12	19 73%	6 23%	1 4%	26
<b>Environmental Services</b>	<b>248</b> 82%	<b>50</b> 17%	<b>5</b> 2%	<b>303</b>	<b>295</b> 73%	<b>102</b> 25%	<b>7</b> 2%	<b>404</b>
Development Services	12 55%	10 45%	0 0%	22	7 32%	15 68%	0 0%	22
Direct Services	158 97%	0 0%	5 3%	163	172 89%	19 10%	3 2%	194
Housing and Property	78 66%	40 34%	0 0%	118	116 62%	68 36%	4 2%	188
<b>Education and Social Care</b>	<b>10</b> 17%	<b>49</b> 83%	<b>0</b> 0%	<b>59</b>	<b>28</b> 34%	<b>49</b> 59%	<b>6</b> 7%	<b>83</b>
Community Care	0 0%	10 100%	0 0%	10	15 60%	6 24%	4 16%	25
Integrated Children's Services	0 0%	17 100%	0 0%	17	4 21%	13 68%	2 11%	19
Lifelong Learning, Culture and Sport	5 83%	1 17%	0 0%	6	1 50%	1 50%	0 0%	2
Schools and Curriculum Development	5 19%	21 81%	0 0%	26	8 22%	29 78%	0 0%	37

**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 1**

Indicator 3 by service – Stage 1	2016-17				2017-18			
	Upheld	Partially Upheld	Not Upheld	Total	Upheld	Partially Upheld	Not Upheld	Total
<b>All Council</b>	<b>109</b> 40%	<b>21</b> 8%	<b>143</b> 52%	<b>273</b>	<b>92</b> 26%	<b>40</b> 11%	<b>216</b> 62%	<b>348</b>
<b>Chief Executive's Office</b>	<b>0</b> 0%	<b>0</b> 0%	<b>0</b> 0%	<b>0</b>	<b>0</b> 0%	<b>1</b> 100%	<b>0</b> 0%	<b>1</b>
Chief Executive's Section	0 0%	0 0%	0 0%	0	0 0%	1 100%	0 0%	1
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
<b>Corporate Services</b>	<b>6</b> 40%	<b>2</b> 13%	<b>7</b> 47%	<b>15</b>	<b>11</b> 46%	<b>3</b> 13%	<b>10</b> 42%	<b>24</b>
Financial Services	0 0%	0 0%	4 100%	4	3 75%	0 0%	1 25%	4
Human Resources and ICT	1 0%	0 0%	0 0%	0	0 0%	0 0%	1 100%	1
Legal and Democratic Services	6 55%	2 18%	3 27%	11	8 42%	3 16%	8 42%	19
<b>Environmental Services</b>	<b>99</b> 40%	<b>19</b> 8%	<b>130</b> 52%	<b>248</b>	<b>73</b> 25%	<b>31</b> 11%	<b>191</b> 65%	<b>295</b>
Development Services	0 0%	1 8%	11 92%	12	0 0%	2 29%	5 71%	7
Direct Services	59 37%	13 8%	86 54%	158	48 28%	11 6%	113 66%	172
Housing and Property	40 51%	5 6%	33 42%	78	25 22%	18 16%	73 63%	116
<b>Education and Social Care</b>	<b>4</b> 40%	<b>0</b> 0%	<b>6</b> 60%	<b>10</b>	<b>8</b> 29%	<b>5</b> 18%	<b>15</b> 54%	<b>28</b>
Community Care	0 0%	0 0%	0 0%	0	4 27%	5 33%	6 40%	15
Integrated Children's Services	0 0%	0 0%	0 0%	0	0 0%	0 0%	4 100%	4
Lifelong Learning, Culture and Sport	2 40%	0 0%	3 60%	5	0 0%	0 0%	1 100%	1
Schools and Curriculum Development	2 40%	0 0%	3 60%	5	4 50%	0 0%	4 50%	8

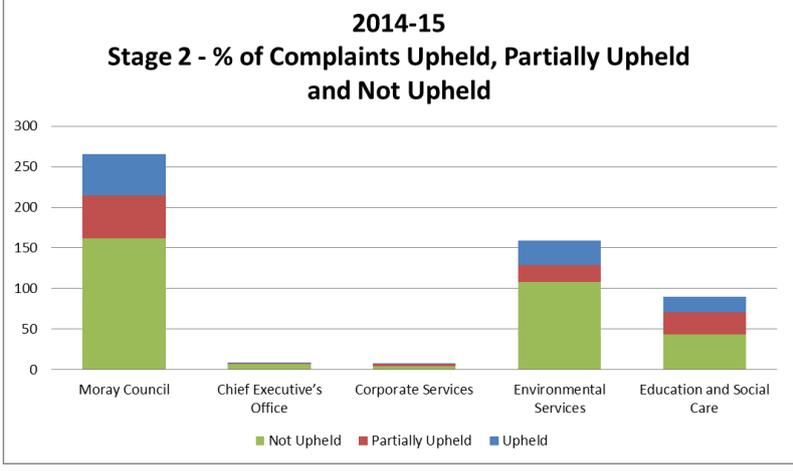
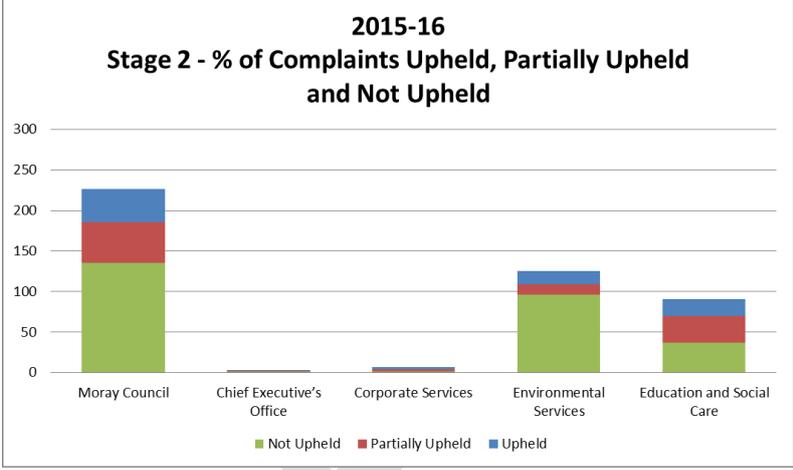
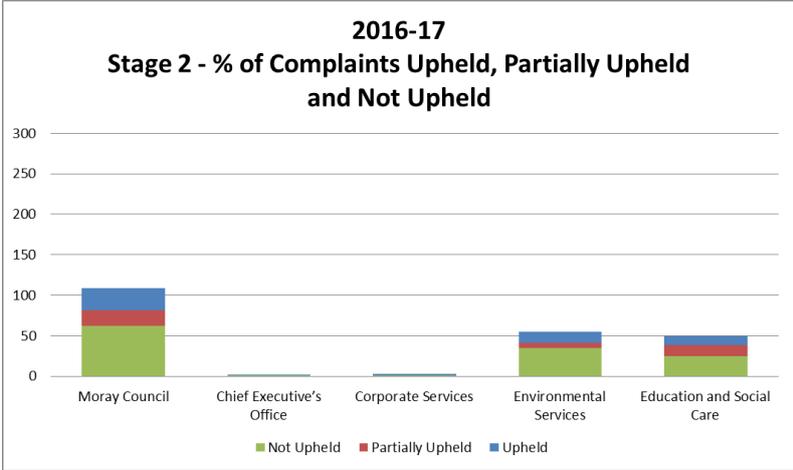
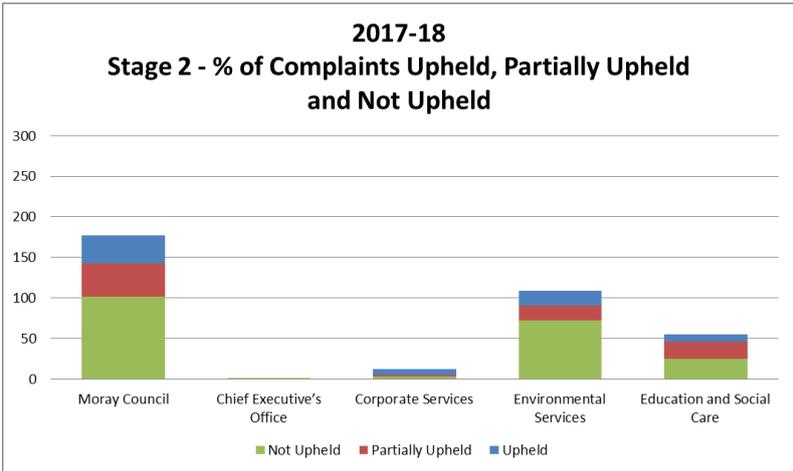
**Figure 20: Stage 1 – % of Complaints Upheld, Partially Upheld, and Not Upheld (2014-15 through to 2017-18)**



**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 2 (including escalated complaints)**

Indicator 3 by service – Stage 2 (including escalated)	2016-17				2017-18			
	Upheld	Partially Upheld	Not Upheld	Total	Upheld	Partially Upheld	Not Upheld	Total
<b>All Council</b>	<b>28</b> 26%	<b>19</b> 17%	<b>62</b> 57%	<b>109</b>	<b>35</b> 20%	<b>41</b> 23%	<b>101</b> 57%	<b>177</b>
<b>Chief Executive's Office</b>	<b>1</b> 50%	<b>0</b> 0%	<b>1</b> 50%	<b>2</b>	<b>0</b> 0%	<b>0</b> 0%	<b>1</b> 100%	<b>1</b>
Chief Executive's Section	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
Corporate Policy Unit	1 50%	0 0%	1 50%	2	0 0%	0 0%	1 100%	1
Community Planning & Development	0 0%	0 0%	0 0%	0	0 0%	0 0%	0 0%	0
<b>Corporate Services</b>	<b>2</b> 67%	<b>0</b> 0%	<b>1</b> 33%	<b>3</b>	<b>7</b> 58%	<b>2</b> 17%	<b>3</b> 25%	<b>12</b>
Financial Services	1 50%	0 0%	1 50%	2	2 100%	0 0%	0 0%	2
Human Resources and ICT	0 0%	0 0%	0 0%	0	2 67%	1 33%	0 0%	3
Legal and Democratic Services	1 100%	0 0%	0 0%	1	3 43%	1 14%	3 43%	7
<b>Environmental Services</b>	<b>14</b> 25%	<b>6</b> 11%	<b>35</b> 64%	<b>55</b>	<b>19</b> 17%	<b>18</b> 17%	<b>72</b> 66%	<b>109</b>
Development Services	2 20%	1 10%	7 70%	10	0 0%	2 13%	13 87%	15
Direct Services	0 0%	0 0%	5 100%	5	4 18%	1 5%	17 77%	22
Housing and Property	12 30%	5 13%	23 58%	40	15 21%	15 21%	42 58%	72
<b>Education and Social Care</b>	<b>11</b> 22%	<b>13</b> 27%	<b>25</b> 51%	<b>49</b>	<b>9</b> 16%	<b>21</b> 38%	<b>25</b> 45%	<b>55</b>
Community Care	2 20%	2 20%	6 60%	10	2 20%	4 40%	4 40%	10
Integrated Children's Services	7 41%	3 18%	7 41%	17	2 13%	8 53%	5 33%	15
Lifelong Learning, Culture and Sport	1 100%	0 0%	0 0%	1	0 0%	0 0%	1 100%	1
Schools and Curriculum Development	1 5%	8 38%	12 57%	21	5 17%	9 31%	15 52%	29

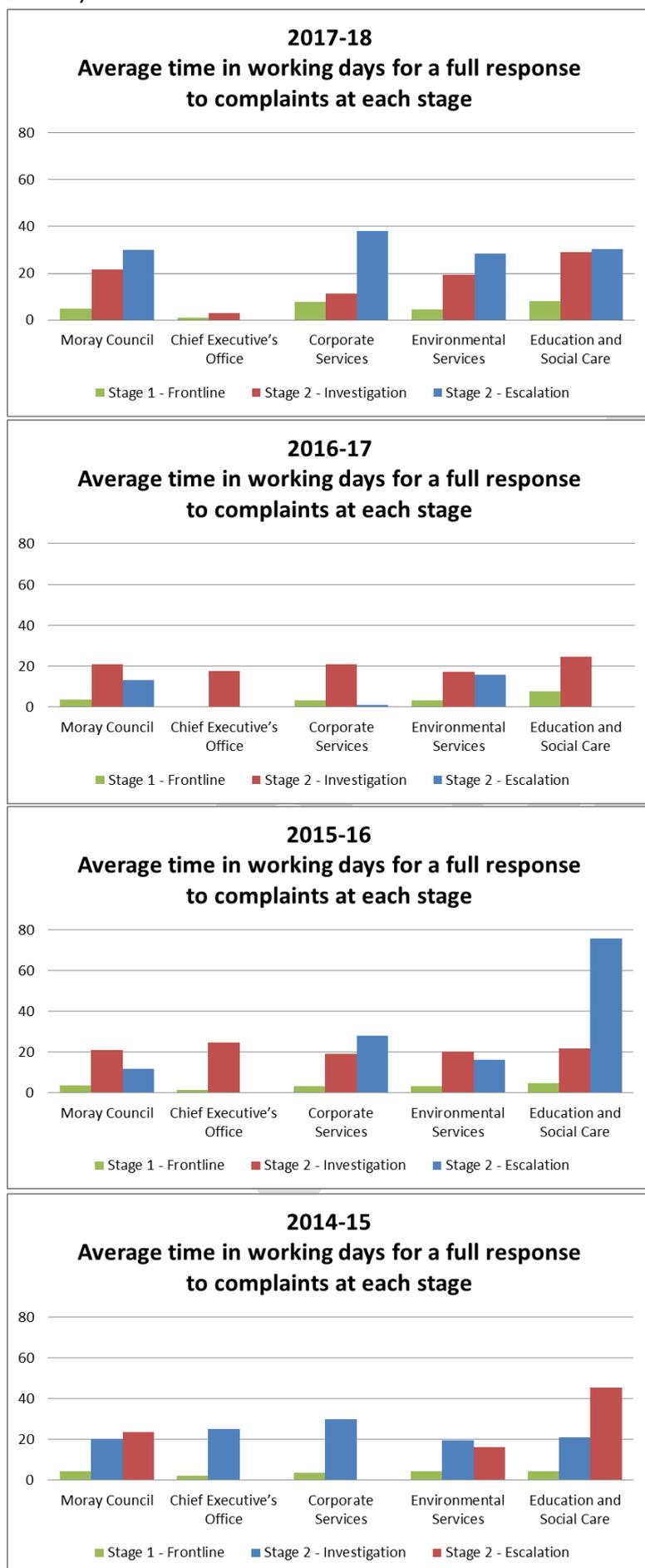
Figure 21: Stage 2 – % of Complaints Upheld, Partially Upheld, and Not Upheld (2014-15 through to 2017-18)



**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	2016-17			2017-18		
	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation
<b>Target timescales (number of working days)</b>	<b>5</b>	<b>20</b>	<b>20</b>	<b>5</b>	<b>20</b>	<b>20</b>
<b>All Council</b>	<b>3.6</b>	<b>20.9</b>	<b>13.2</b>	<b>5.0</b>	<b>21.7</b>	<b>29.9</b>
<b>Chief Executive’s Office</b>	<b>n/a</b>	<b>17.5</b>	<b>n/a</b>	<b>1.0</b>	<b>3.0</b>	<b>n/a</b>
Chief Executive’s Section	n/a	n/a	n/a	1.0	n/a	n/a
Corporate Policy Unit	n/a	17.5	n/a	n/a	3.0	n/a
Community Planning & Development	n/a	n/a	n/a	n/a	n/a	n/a
<b>Corporate Services</b>	<b>3.3</b>	<b>21.0</b>	<b>1.0</b>	<b>7.7</b>	<b>11.2</b>	<b>38.0</b>
Financial Services	2.8	21.0	n/a	3.8	15.5	n/a
Human Resources and ICT	5.0	n/a	n/a	50.0	7.0	n/a
Legal and Democratic Services	3.3	n/a	1.0	6.3	11.8	38.0
<b>Environmental Services</b>	<b>3.4</b>	<b>17.1</b>	<b>15.6</b>	<b>4.5</b>	<b>19.5</b>	<b>28.4</b>
Development Services	3.4	16.5	n/a	5.3	22.3	n/a
Direct Services	3.3	n/a	15.6	3.7	19.6	41.0
Housing and Property	3.7	17.3	n/a	5.5	18.8	19.0
<b>Education and Social Care</b>	<b>7.6</b>	<b>24.8</b>	<b>n/a</b>	<b>8.2</b>	<b>29.1</b>	<b>30.3</b>
Community Care	n/a	26.5	n/a	9.7	23.3	32.0
Integrated Children’s Services	n/a	23.8	n/a	9.3	29.2	27.0
Lifelong Learning, Culture and Sport	7.4	9.0	n/a	8.0	11.0	n/a
Schools and Curriculum Development	7.8	25.5	n/a	5.0	30.9	n/a

**Figure 22: Average time in working days for a full response to complaints at each stage (2014-15 through to 2017-18)**



**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	2016-17			2017-18		
	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	274	977	3.6	348	1731	5.0
Average time in working days to respond to complaints at stage two	103	2148	20.9	163	3539	21.7
Average time in working days to respond to complaints after escalation	6	79	13.2	14	419	29.9

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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)	2016-17			2017-18		
	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation	Stage 1 – Front line Resolution	Stage 2 – Investigation	Stage 2 – Escalated Investigation
<b>Target timescales (number of working days)</b>	<b>5</b>	<b>20</b>	<b>20</b>	<b>5</b>	<b>20</b>	<b>20</b>
<b>All Council</b>	<b>271</b> 99%	<b>63</b> 61%	<b>5</b> 83%	<b>271</b> 78%	<b>109</b> 67%	<b>4</b> 29%
<b>Chief Executive’s Office</b>	<b>0</b> n/a	<b>2</b> 100%	<b>0</b> n/a	<b>1</b> 100%	<b>0</b> 0%	<b>0</b> n/a
Chief Executive’s Section	0 n/a	0 n/a	0 n/a	1 100%	0 n/a	0 n/a
Corporate Policy Unit	0 n/a	2 100%	0 n/a	0 n/a	0 0%	0 n/a
Community Planning & Development	0 n/a	0 n/a	0 n/a	0 n/a	0 n/a	0 n/a
<b>Corporate Services</b>	<b>16</b> 100%	<b>1</b> 50%	<b>1</b> 100%	<b>17</b> 71%	<b>9</b> 82%	<b>0</b> 0%
Financial Services	4 100%	1 50%	0 n/a	4 100%	2 100%	0 n/a
Human Resources and ICT	1 100%	0 n/a	0 n/a	0 0%	3 100%	0 n/a
Legal and Democratic Services	11 100%	0 n/a	1 100%	13 68%	4 67%	0 0%
<b>Environmental Services</b>	<b>246</b> 99%	<b>42</b> 84%	<b>4</b> 80%	<b>240</b> 81%	<b>74</b> 73%	<b>4</b> 57%
Development Services	12 100%	9 90%	0 n/a	6 86%	10 67%	0 n/a
Direct Services	157 99%	0 n/a	4 80%	144 84%	13 68%	1 33%
Housing and Property	77 99%	33 83%	0 n/a	90 78%	51 75%	3 75%
<b>Education and Social Care</b>	<b>9</b> 90%	<b>18</b> 37%	<b>0</b> n/a	<b>13</b> 46%	<b>26</b> 53%	<b>0</b> 0%
Community Care	0 n/a	2 20%	0 n/a	4 27%	4 67%	0 0%
Integrated Children’s Services	0 n/a	6 35%	0 n/a	3 75%	6 46%	0 0%
Lifelong Learning, Culture and Sport	5 100%	1 100%	0 n/a	0 0%	1 100%	0 n/a
Schools and Curriculum Development	4 80%	9 43%	0 n/a	6 75%	15 52%	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)	2016-17			2017-18		
	Stage 1 – Frontline Resolution	Stage 2 - Investigation	Stage 2 - Escalated Investigation	Stage 1 – Frontline Resolution	Stage 2 - Investigation	Stage 2 - Escalated Investigation
<b>Total number of complaints investigated</b>	<b>274</b>	<b>103</b>	<b>6</b>	<b>348</b>	<b>163</b>	<b>14</b>
<b>Total number of late responses</b>	<b>43</b>	<b>36</b>	<b>3</b>	<b>77</b>	<b>53</b>	<b>10</b>
<b>All Council</b>	<b>7</b> <i>16%</i>	<b>11</b> <i>31%</i>	<b>3</b> <i>100%</i>	<b>2</b> <i>3%</i>	<b>8</b> <i>15%</i>	<b>2</b> <i>20%</i>
<b>Chief Executive’s Office</b>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>	<b>-</b> <i>n/a</i>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>	<b>-</b> <i>n/a</i>
Chief Executive’s Section	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>
Corporate Policy Unit	0 <i>0%</i>	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>	0 <i>0%</i>	- <i>n/a</i>
Community, Planning & Development	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>
<b>Corporate Services</b>	<b>1</b> <i>33%</i>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>	<b>0</b> <i>0%</i>
Financial Services	0 <i>0%</i>	0 <i>0%</i>	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>
Human Resources and ICT	- <i>n/a</i>	- <i>n/a</i>	- <i>n/a</i>	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>
Legal and Democratic Services	1 <i>100%</i>	0 <i>0%</i>	- <i>n/a</i>	0 <i>0%</i>	0 <i>0%</i>	0 <i>0%</i>
<b>Environmental Services</b>	<b>4</b> <i>0%</i>	<b>3</b> <i>6.5%</i>	<b>2</b> <i>50%</i>	<b>1</b> <i>6%</i>	<b>4</b> <i>14%</i>	<b>0</b> <i>0%</i>
Development Services	0 <i>0%</i>	0 <i>0%</i>	- <i>n/a</i>	0 <i>0%</i>	1 <i>20%</i>	- <i>n/a</i>
Direct Services	4 <i>0%</i>	0 <i>0%</i>	2 <i>50%</i>	1 <i>100%</i>	0 <i>0%</i>	0 <i>0%</i>
Housing and Property	0 <i>0%</i>	3 <i>7.3%</i>	- <i>n/a</i>	0 <i>0%</i>	3 <i>18%</i>	0 <i>0%</i>
<b>Education and Social Care</b>	<b>2</b> <i>0%</i>	<b>8</b> <i>25%</i>	<b>1</b> <i>100%</i>	<b>1</b> <i>3%</i>	<b>4</b> <i>17%</i>	<b>2</b> <i>33%</i>
Community Care	0 <i>0%</i>	1 <i>17%</i>	- <i>n/a</i>	0 <i>n/a</i>	0 <i>0%</i>	0 <i>0%</i>
Integrated Children’s Services	- <i>n/a</i>	7 <i>30%</i>	1 <i>100%</i>	1 <i>100%</i>	2 <i>29%</i>	2 <i>100%</i>
Lifelong Learning, Culture and Sport	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>	0 <i>0%</i>	- <i>n/a</i>	- <i>n/a</i>
Schools and Curriculum Development	2 <i>0%</i>	0 <i>0%</i>	- <i>n/a</i>	0 <i>0%</i>	2 <i>14%</i>	- <i>n/a</i>

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

**Table H (i): Customer Satisfaction Feedback Survey (2015-16)**

<b>Service Delivery Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
How satisfied or dissatisfied were you that The Moray Council handled your complaint in line with the council's Complaint Handling Procedure?	5 9%	12 22%	5 9%	4 7%	24 44%
How satisfied were you with the way this problem was handled?	3 6%	7 14%	3 6%	11 22%	27 53%
Being able to deal directly with someone who could help you?	6 9%	14 21%	13 20%	15 23%	16 24%
In the response to your complaint (i.e. clear, concise, accurate)?	8 11%	15 21%	8 11%	10 14%	26 37%
The response to your complaint covered all the aspects you raised?	9 13%	12 17%	9 13%	10 14%	27 38%
The final response to your complaint?	5 7%	15 22%	5 7%	7 10%	30 44%
The overall service that you received in relation to how your complaint was handled?	7 10%	16 23%	5 7%	6 9%	32 46%
<b>Timeliness Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
Time taken for someone to contact you about your complaint?	10 14%	15 21%	9 13%	18 25%	19 27%
The time taken to deal with the complaint from start to finish?	9 13%	11 16%	12 17%	8 12%	24 35%
<b>Information Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
The Moray Council complaints handling process is easy to follow.	1 2%	9 18%	13 26%	6 12%	12 24%
Complaint was dealt with using communication methods that met your needs (i.e. email, telephone, letter, etc)?	2 4%	11 23%	11 23%	4 9%	16 34%
On how to make a complaint (e.g. our complaints procedure leaflet or the information on our website)?	9 13%	12 17%	12 17%	8 11%	20 28%
<b>Professionalism and Staff Attitude Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
Someone took responsibility for dealing with your complaint?	11 15%	21 30%	8 11%	14 20%	16 23%
How well the complaints handling staff did their jobs?	14 21%	12 18%	8 12%	12 18%	19 28%

**Table H (ii): Customer Satisfaction Feedback Survey (2016-17)**

<b>Service Delivery Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
How satisfied or dissatisfied were you that The Moray Council handled your complaint in line with the council's Complaint Handling Procedure?	7 10%	14 19%	7 10%	8 11%	18 25%
How satisfied were you with the way this problem was handled?	4 5%	10 14%	9 12%	13 18%	17 23%
Being able to deal directly with someone who could help you?	12 16%	19 26%	13 18%	5 7%	17 23%
In the response to your complaint (i.e. clear, concise, accurate)?	6 8%	13 18%	11 15%	9 12%	24 33%
The response to your complaint covered all the aspects you raised?	8 11%	11 15%	8 11%	13 18%	21 29%
The final response to your complaint?	11 15%	11 15%	6 8%	9 12%	18 25%
The overall service that you received in relation to how your complaint was handled?	10 14%	14 19%	12 16%	10 14%	15 21%
<b>Timeliness Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
Time taken for someone to contact you about your complaint?	11 15%	18 25%	9 12%	14 19%	13 18%
The time taken to deal with the complaint from start to finish?	11 15%	11 15%	9 12%	12 16%	13 18%
<b>Information Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
The Moray Council complaints handling process is easy to follow.	3 4%	12 16%	17 23%	3 4%	7 10%
Complaint was dealt with using communication methods that met your needs (i.e. email, telephone, letter, etc)?	3 4%	21 29%	10 14%	8 11%	8 11%
On how to make a complaint (e.g. our complaints procedure leaflet or the information on our website)?	8 11%	16 22%	17 23%	5 7%	14 19%
<b>Professionalism and Staff Attitude Questions</b>	<b>Very Satisfied</b>	<b>Satisfied</b>	<b>Neither Satisfied nor Dissatisfied</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
Someone took responsibility for dealing with your complaint?	12 16%	19 26%	13 18%	5 7%	17 23%
How well the complaints handling staff did their jobs?	11 15%	14 19%	13 18%	6 8%	15 21%

**Table H (iii): Customer Satisfaction Feedback Survey (2017-18)**

Note that the satisfaction surveys were amended in 2017 and a simplified, reduced set of questions is now sent to complainants to obtain their feedback.

<b>Service Delivery Questions</b>	<b>Very satisfied</b>	<b>Satisfied</b>	<b>Neither nor</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
If you said 'yes', how satisfied are you that we followed the policy in dealing with your complaint?	2 12%	1 6%	1 6%	0 0%	13 76%
Please rate your level of satisfaction with how our staff handled your complaint.	27 20%	6 4%	34 25%	21 15%	50 36%
I felt that staff understood my complaint.	10 14%	9 12%	9 12%	10 14%	35 48%
The response covered all aspects of my complaint.	7 9%	9 12%	8 10%	17 22%	36 47%
I received a full and clear explanation of the outcome of my complaint.	4 6%	9 13%	11 16%	10 14%	36 51%
I was satisfied with the outcome of my complaint.	11 15%	5 7%	8 11%	8 11%	40 56%
<b>Timeliness Questions</b>					
	<b>Very satisfied</b>	<b>Satisfied</b>	<b>Neither nor</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
How satisfied were you with the time we took to provide a response to your complaint?	13 19%	3 4%	8 11%	14 20%	32 46%
From the day you reported your complaint, how long did it take us to provide you with a response?	<b>0-5 days</b>	<b>6-10 days</b>	<b>11-15 days</b>	<b>16-20 days</b>	<b>20+ days</b>
	12 22%	8 15%	5 9%	0 0%	29 54%
<b>Professionalism and Staff Attitude Questions</b>					
	<b>Very satisfied</b>	<b>Satisfied</b>	<b>Neither nor</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
I felt that staff listened to me.	12 17%	6 8%	9 13%	9 13%	36 50%
The staff kept me updated on the progress of my complaint.	7 10%	9 12%	11 15%	10 14%	36 49%
<b>Information Question</b>					
	<b>Very satisfied</b>	<b>Satisfied</b>	<b>Neither nor</b>	<b>Dissatisfied</b>	<b>Very Dissatisfied</b>
The timeline involved in my complaint was clearly outlined to me.	7 10%	12 18%	13 19%	6 9%	30 44%

**Table I: Percentage of complaints by department (2014-15 to 2017-18)**

Given the types of service provided by each department, it is not surprising that the proportion of complaints dealt with by each department in 2017-18 is broadly like previous years and is very close to the 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 2017-18)**

