



West Lothian  
Council

## ***Performance Committee***

West Lothian Civic Centre  
Howden South Road  
LIVINGSTON  
EH54 6FF

26 September 2014

A meeting of the **Performance Committee** of West Lothian Council will be held within the **Conference Room 3, West Lothian Civic Centre, Livingston** on **Friday 3 October 2014** at **2:00pm**.

For Chief Executive

### **BUSINESS**

1. Apologies for Absence
2. Order of Business, including notice of urgent business
3. Declarations of Interest - Members should declare any financial and non-financial interests they have in the items of business for consideration at the meeting, identifying the relevant agenda item and the nature of their interest.

### **Public Session**

4. Confirm Minute of Meeting of Performance Committee held on Monday 18 August 2014 (herewith).
5. Community Care Services - Report by Head of Social Policy (herewith).
6. Complaint Performance Report Quarter 1: 2014/15 - Report by Depute Chief Executive (herewith).

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NOTE      **For further information please contact Eileen Rollo on 01506 281621 or email [eileen.rollo@westlothian.gov.uk](mailto:eileen.rollo@westlothian.gov.uk)**

DATA LABEL: Public

MINUTE of MEETING of the PERFORMANCE COMMITTEE of WEST LoTHIAN COUNCIL held within COUNCIL CHAMBERS, WEST LoTHIAN CIVIC CENTRE, LIVINGSTON, on 18 AUGUST 2014.

Present – Councillors Stuart Borrowman (Chair), Tony Boyle, Greg McCarra, Carl John, John McGinty

1. DECLARATIONS OF INTEREST

There were no declarations of interest made.

2. MINUTE

The committee confirmed the Minute of its meeting held on 12 June 2014 as a correct record. The Minute was thereafter signed by the Chair.

3. COMMUNITY REGENERATION :-

3 COMMUNITY REGENERATION PRESENTATION AND REPORT

The committee considered a presentation and report (copies of which had been circulated) by the Head of Area Services providing information on current and planned activity in relation to Community Regeneration within West Lothian.

It was advised that the Communities WLAM grouping comprised of four teams from Community Regeneration unit within Area Services. The current Community Regeneration unit was created in June 2011 as part of a wider restructuring of Area Services.

The focus of the unit was to engage with individuals and communities to improve life chances, based on evidence that those living in the worst 20% of area would experience worse outcomes across a range of indicators.

The report advised that increasingly, the focus of Community Regeneration engagement activity would be aligned to key life stage groups within defined communities suffering from the effects of multiple deprivations, where solutions were complex and multi-faceted.

The Head of Area Services advised that engagement delivery was proactive and tailored to individual and community needs, including a range of services ranging from universal as a means of initial engagement to being highly targeted at specific groups.

In practise, engagement and activity was planned and delivered with partners involving locally based staff, residents and groups wherever possible in relation to issues identified by the community. These were

planned and reported through Local Area Committees and Policy Development and Scrutiny Panels.

The report went on to advise that a Regeneration Framework was agreed by West Lothian Council and the Community Planning Partnership and that five themes had been identified as core for the West Lothian Regeneration Framework.

The report advised that the management team regularly discussed and reviewed common PI's to confirm fitness for purpose and in the past year mainly focussed on customer satisfaction, piloting longitudinal studies and measuring "distance travel". A specific current focus was on how to measure impact rather than activity and was in the early stages of developing and piloting systems and processes to measure "distance travelled".

The Regeneration Framework contained targets based on halving the gap between those in the worst 20% of datazones and the West Lothian average.

In conclusion the report advised that the Community Regeneration continued to deliver and develop planned activity targeted at the most disadvantaged areas in West Lothian.

There then followed a number of questions particularly in relation to staff satisfaction and the challenge of measuring the impact of each activity on individuals and the wider community.

#### Decision

To note the terms of the report.

#### 4. LOCAL GOVERNMENT BENCHMARKING FRAMEWORK

The committee considered a report (copies of which had been circulated) by the Depute Chief Executive advising that West Lothian Council participated in the Local Government Benchmarking Framework (LGBF) to compare a number of key performance indicators.

The report advised that the Local Government Benchmarking Framework (LGBF) was focused on providing a consistent approach to benchmarking across Scottish local authorities with the aim to improve council's performance and establish a standard data set of performance indicators.

The Improvement Service published the comparative performance of the 32 Scottish local authorities in an annual National Benchmarking Report as detailed in Appendix 1.

The information contained in the report should be read and understood in the context that Scottish councils represent very diverse communities in terms of geography, population, deprivation levels and community needs.

Additional geographical ranking by category was provided was provided in

Appendix 2 to show the average ranking against all other local authorities including comparator benchmarking (family) groups.

In conclusion the report advised that the LGBF National Benchmarking Report 2014 provided the public with comparative analysis of Scottish local authorities' performance for 2012/13. This was the second report published and it was intended that the LGBF data set would expand and diversify each year to present a more detailed and representative view of councils' performance.

The report recommended that the committee note the findings of the report and the supplementary analysis of West Lothian Council's performance and rankings in each category.

There then followed a number of questions and discussions during which the committee requested comparative figures from previous years to show any changes in performance and clarification in relation to rankings of A, B, C and unclassified roads that were considered for maintenance treatment.

#### Decision

1. To note the terms of the report.
2. To provide comparative figures from previous year to show any changes in performance.
3. To provide clarification in relation to maintenance of A, B, C and unclassified roads.

#### 5. WORKPLAN

To note the workplan and consider additional item in relation to grass cutting and general maintenance of landscaped areas.





West Lothian  
Council

## **PERFORMANCE COMMITTEE**

### **COMMUNITY CARE SERVICES**

#### **REPORT BY HEAD OF SOCIAL POLICY**

##### **A. PURPOSE OF REPORT**

The purpose of this report is to provide Performance Committee with an overview of the performance of Community Care Services in West Lothian.

##### **B. RECOMMENDATION**

It is recommended that the Performance Committee:

1. Notes the performance report for Community Care Services:
2. Provide feedback and recommendations on the performance of Community Care Services
3. Identify any issues and recommendations for performance improvement

##### **C. SUMMARY OF IMPLICATIONS**

###### **I Council Values**

Focusing on our customers' needs  
Being honest, open and accountable  
Making best use of our resources  
Working in partnership

###### **II Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)**

Community Care Services are governed by a range of statutory duties relating to the care and protection of vulnerable adults. Key policy aim is to shift the balance of care in favour of community based services and reducing social and health inequalities typically experienced by people who experience frailty or disability.

###### **III Implications for Scheme of Delegations to Officers**

None

###### **IV Impact on performance and performance Indicators**

The appendix details a sample of indicators used to measure service performance.

###### **V Relevance to Single Outcome Agreement**

We live in resilient, cohesive and safe communities  
People most at risk are protected and supported to achieve improved life chances  
Older people are able to live independently in the community with an improved quality of life

		We live longer, healthier lives and have reduced health inequalities
<b>VI</b>	<b>Resources - (Financial, Staffing and Property)</b>	None
<b>VII</b>	<b>Consideration at PDSP</b>	None
<b>VIII</b>	<b>Other consultations</b>	None

## **D. TERMS OF REPORT**

### **D1 Service Overview**

Community Care comprises a wide range of services provided to adults with care needs. Services include Care at Home, Care Homes, Occupational Therapy, Sheltered Housing and Housing with Care, Support for People with Learning and Physical Disabilities, and Support for People with Mental Health Problems.

The main aim of the service is to promote, enable and sustain independence and social inclusion for service users and carers. The service is segmented by key user groups as follows;

- Older People
- Physical Disability
- Learning Disability
- Mental Health

It is anticipated that an increasing number of people will seek control of their own care and support provision by accessing Direct Payments or other Self Directed Support options.

The nature of the demographic and economic challenges has highlighted the need for effective outcome focused partnership working, particularly, but not exclusively, between health and social care.

- A focus on prevention and upstream investment to avoid, delay or reduce the need for formal health and social care intervention.
- A focus on shifting the balance of care more towards community and home based care.
- A greater emphasis on personalisation, or individualised services, and a move to increased service user / carer responsibility and control over their care and support provision.

### **D2 Performance Measurement and West Lothian Assessment Model (WLAM)**

Community Care has a proud history of being recognised as a leader in Scotland in terms of achieving better outcomes for service users. Of particular note, the service is recognised for developing innovative new models of care and for performance in key national indicators, such as delayed discharge. Recent achievements of the team include:

- COSLA Gold Award (2013) winner; *Securing a Workforce for the Future*
- Celebrating Success (2013) winner; *Team of the Year*

The service is in the early stages of developing a comprehensive approach to performance management. At the WLAM Review Panel in 2012, the Panel recommended that the service improve the scope and relevance of indicators and provide more robust



benchmarking information.

The service approach to performance management has matured and the service was able to present a better spread of high level indicators across the major domains at Review Panel in August 2014. As part of the review of the performance indicators, a number of poorly constructed customer results have been discontinued and new results for employee satisfaction and key activities have been added.

Overall feedback from the Review Panel in August 2014 was much more positive and recognised the progress made to date. The service will continue to refine its performance management approach and key areas recommended by the Panel for improvement include:

- Building capacity across management tiers to ensure that the performance approach is sustainable
- Continue to develop the scope of the service performance indicators
- Continue to develop the approach to benchmarking and use of comparative data

Appendix 1 offers a representative sample of performance indicators covering the key themes of;

- Customer Results
- People Results
- Service Results
- Efficiency Measures
- Effectiveness Measures

The service will develop a focused and timetabled action plan to deliver the improvements identified by both the Chief Executives review panel and the Performance Committee.

## **E. CONCLUSION**

The report and attached appendix summarise the work and the performance of Community Care Services

The Performance Committee is asked to consider the report, consider any performance measures they would like to explore further and provide any recommendations on performance improvement.

## **F. BACKGROUND REFERENCES**

None

Appendices/Attachments:

Appendix 1 – Covalent Performance Indicators

Contact Person:

Alan Bell, Senior Manager, Community Care, Support and Services, 01506 281937:

[alan.bell@westlothian.gov.uk](mailto:alan.bell@westlothian.gov.uk)

Pamela Main, Senior Manager, Assessment and Prevention, 01506 281936:

[Pamela.main@westlothian.gov.uk](mailto:Pamela.main@westlothian.gov.uk)

**Jennifer Scott**

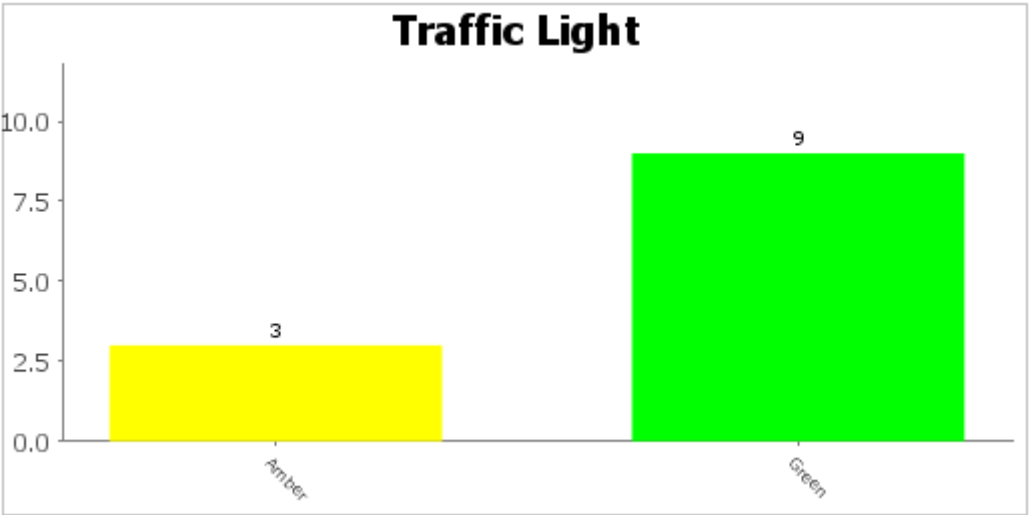
Head of Social Policy

Date: 3 October 2014

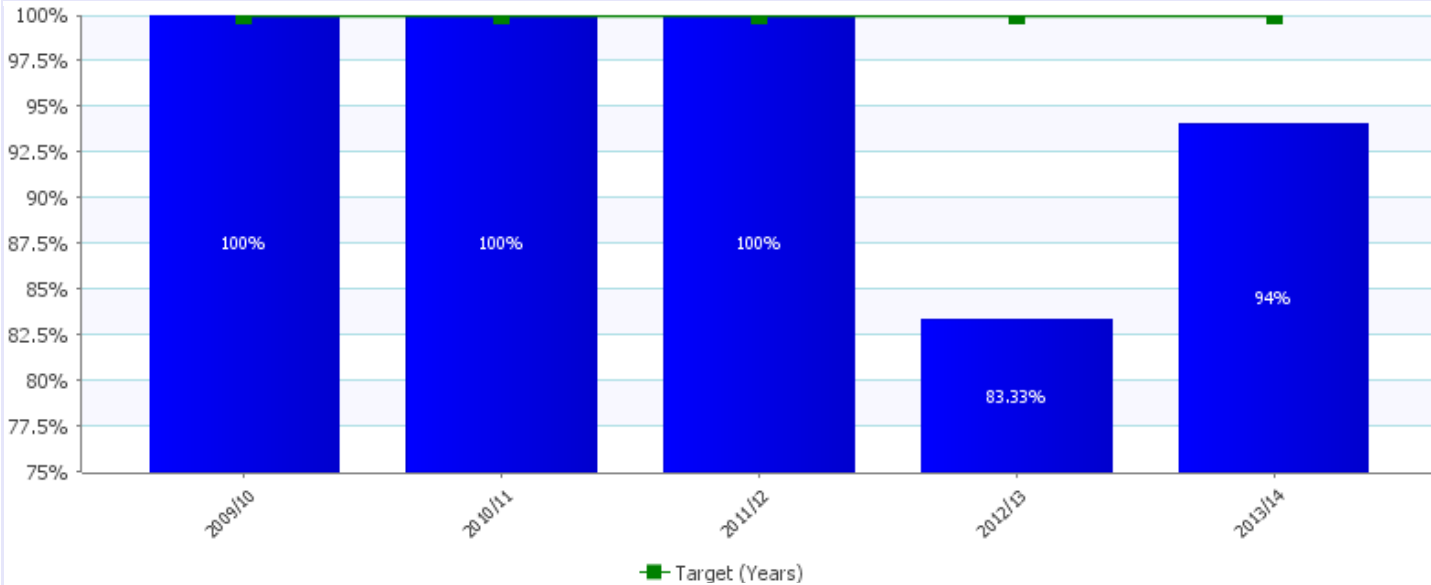




# Community Care - Performance Committee Report

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## Performance Committee – Community Care (appendix 1)

<b>P:SPCC002_6b.2 Percentage of Care Inspectorate Inspections undertaken within Registered Learning Disability Services graded good or above.</b>		<b>PI Owner:</b> zSPCC_PIAAdmin; Pamela Main
<b>Description</b>	The Care Inspectorate, the external body responsible for auditing the quality of care services, inspects registered care services annually. Grades can vary from 1 - 6 (1 being unsatisfactory and 6 being excellent). This indicator reports the percentage of grades of 4 (good) and above. The Grades measure how well the Service is doing against National Care Standards.	<b>Display to the Public ?</b> Yes
 <p>100% 97.5% 95% 92.5% 90% 87.5% 85% 82.5% 80% 77.5% 75%</p> <p>100% 100% 100% 83.33% 94%</p> <p>2009/10 2010/11 2011/12 2012/13 2013/14</p> <p>Target (Years)</p>		<b>2013/14 result</b>  <p>75% 90% 95% 100% 94%</p>
		<b>Status:</b> 
		<b>Current Value:</b> 94%
		<b>Current Target:</b> 100%
		<b>Red Threshold:</b> 90%
		<b>Amber Threshold:</b> 95%
<b>Trend Chart Commentary:</b> For 2012/13 performance in this indicator declined, largely as a result of 2 specific services where the Care Inspection identified some improvements required in the themes of staffing and management resulting in the grades reducing from 'good' to 'adequate'. This did not affect the grades for Quality of Care and Support which remained at 'Good' and 'Very Good'. No aspect of any service was assessed as less than adequate. For 2013/14, the grades improved as expected but one element of the action plan for one service area had not been fully completed. This related to customer participation and although significant progress had been made, the previous grade could not be upgraded until there was full compliance with the action plan. the remaining action will be complete well within the timeframe for the next inspection.		<b>Notes on Latest Data Entry:</b> 07-Aug-2014 One registered service was awarded a grade of three in one of the quality themes. The required action has since been implemented but the grade will not be reviewed until the next unannounced inspection.

## Performance Committee – Community Care (appendix 1)

### CP:SPCC003\_9b.1c Number of adults with learning disability provided with support to enable them to obtain employment or training for employment.

**Description** The service provides a diverse range of support to adults with learning disability to enable them to sustain their independence. Accessing employment is important for those able to do so and the support they receive is critical to making this possible. This is an important measure for the Learning Disability service, consistent with the Scottish Government's priorities. Examples of Employment Support would be help with literacy, numeracy or job coaching.



#### Trend Chart Commentary:

Since 2009/10 performance has been above target, however it is anticipated that the economic environment in context of higher unemployment rates will continue to present difficulties given that there will be even more competition for employment opportunities and less resources available for employers to commit to people who need support in the workplace. The challenging economic environment accounts for the decrease in the figures in 2011/2012 and 2012/2013.

2013/14 performance remains consistent with a slight increase. In the context of the current economic environment this is a significant achievement. It is anticipated that it will take many years for the impact of investment to be realised given the dependency on the pace of cultural change i.e. employers being prepared to offer jobs in quite challenging circumstances.

**PI Owner:** zSPCC\_PIAAdmin; Pamela Main

**Display to the Public ?** Yes

2013/14 result



**Status:**



**Current Value:**

15

**Current Target:**

12

**Red Threshold:**

9

**Amber Threshold:**

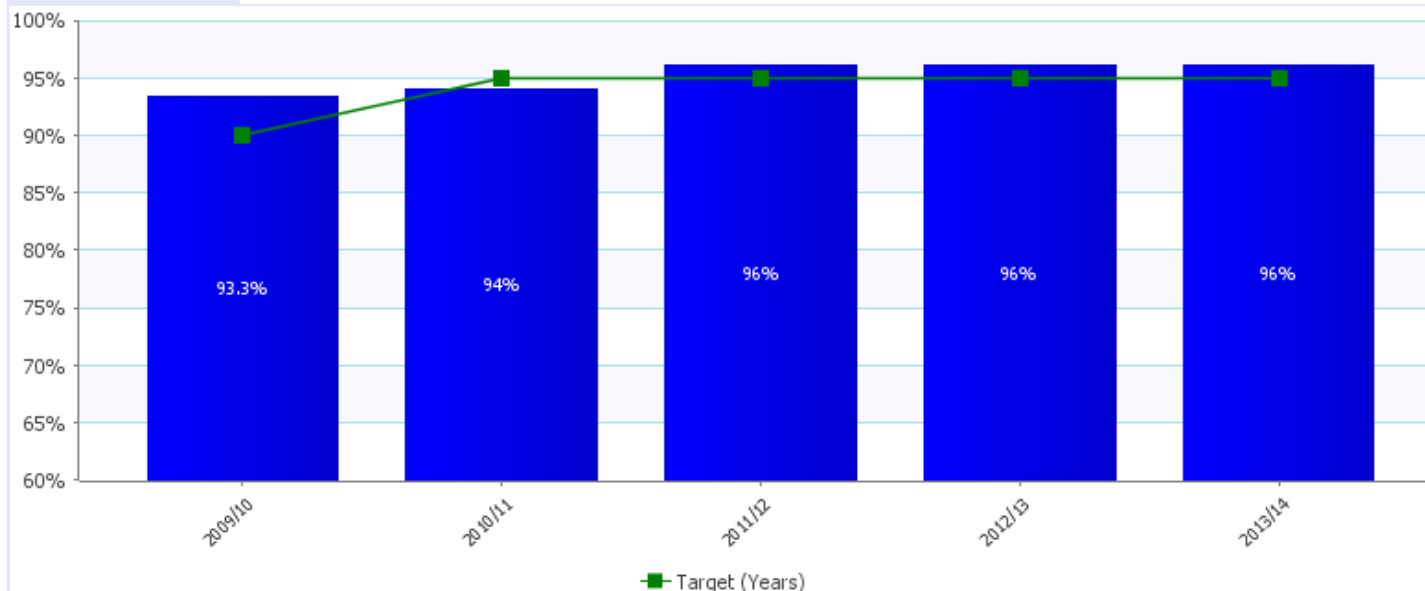
13

**Notes on Latest Data Entry:**

## Performance Committee – Community Care (appendix 1)

### P:SPCC011\_6a.7 Percentage of respondents in the Housing with Care annual survey who rated the overall quality of the service as good or excellent.

**Description** The Housing with Care service conducts an annual survey of all its tenants. This indicator records the percentage of tenants who rated the overall quality of the service as good or excellent.



#### Trend Chart Commentary:

The level of overall customer satisfaction in Housing with Care has been consistently high. In the most recent customer survey, of the 150 questionnaires issued, 122 were returned.

**PI Owner:** zSPCC\_PAdmin; Alan Bell

**Display to the Public ?** Yes

#### 2013/14 result



**Status:**

**Current Value:** 96%

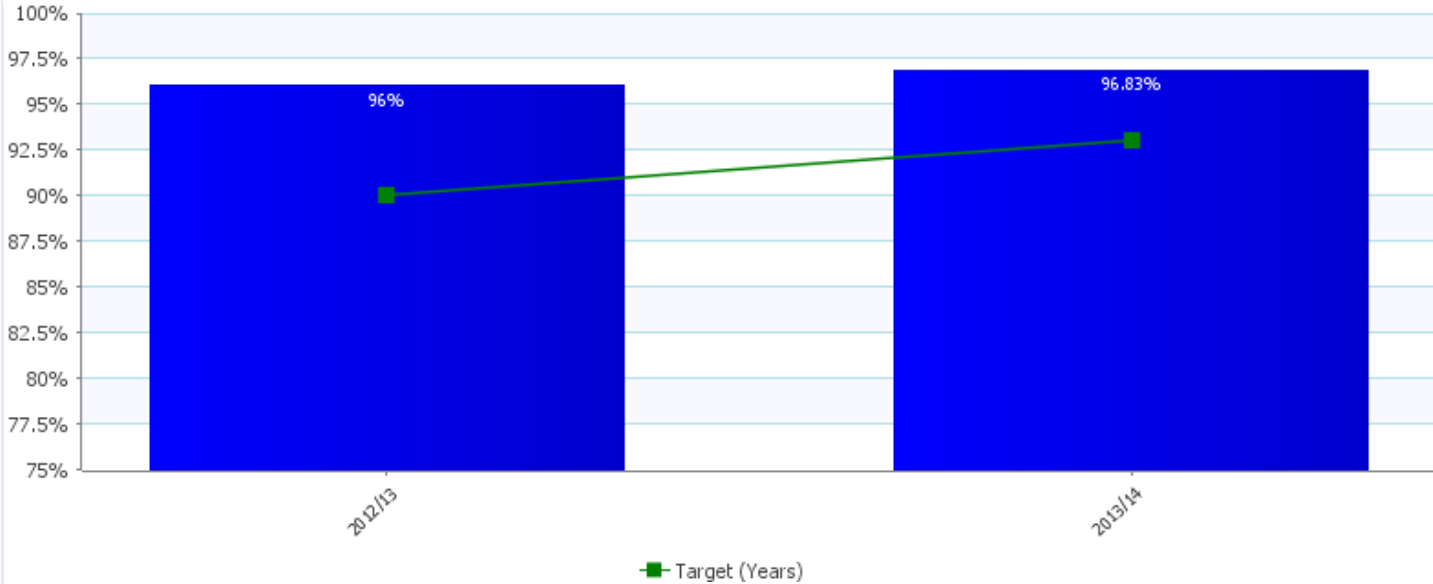


**Current Target:** 95%

**Red Threshold:** 80%

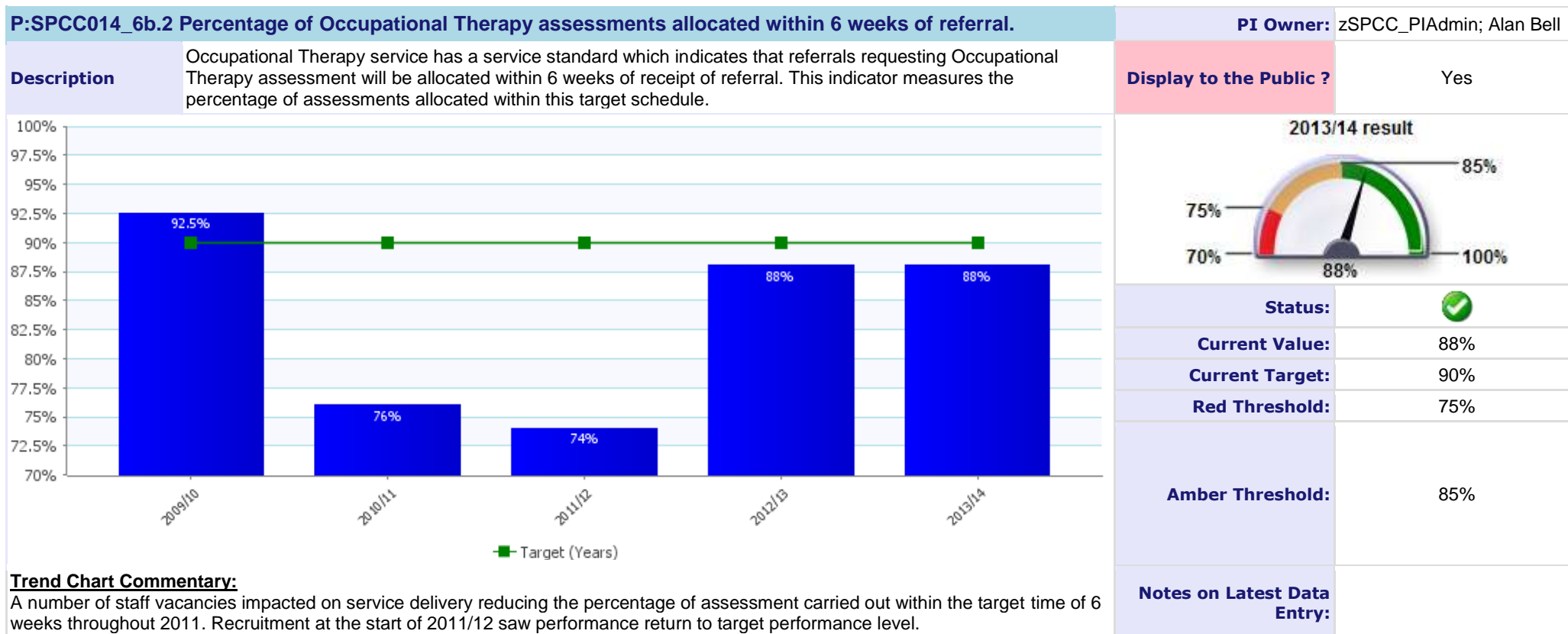
**Amber Threshold:** 90%

**Notes on Latest Data Entry:**

## Performance Committee – Community Care (appendix 1)

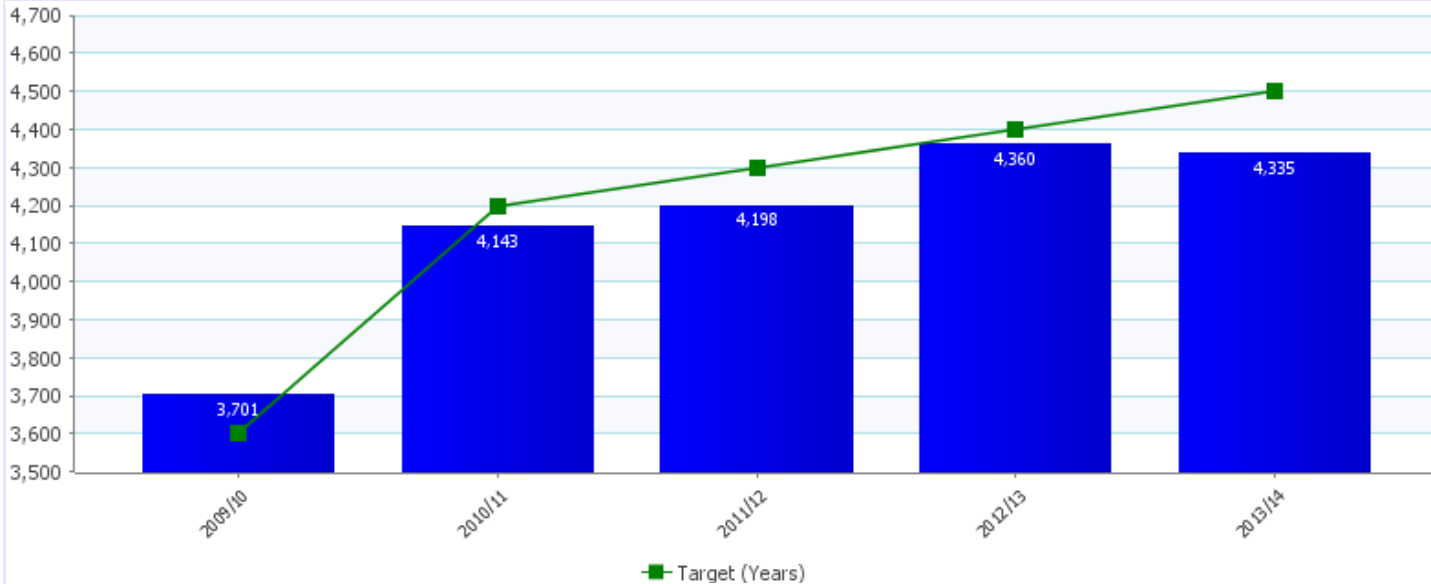
<b>P:SPCC013_6a.7 Percentage of service users who rated the overall quality of the Occupational Therapy Service as good or excellent.</b>		<b>PI Owner:</b> zSPCC_PAdmin; Alan Bell
<b>Description</b>	The Occupational Therapy service conducts an annual survey on a sample of its service users. This indicator records the percentage of respondents in the annual survey who rated the overall quality of the service as good or excellent.	<b>Display to the Public ?</b> Yes
 <p>100% 97.5% 95% 92.5% 90% 87.5% 85% 82.5% 80% 77.5% 75%</p> <p>2012/13 2013/14</p> <p>96% 96.83%</p> <p>— Target (Years)</p>		<p><b>2013/14 result</b></p>  <p>75% 96.83% 100%</p> <p>88% 92%</p>
<b>Trend Chart Commentary:</b>		<b>Status:</b> 
In 2011/12, the service reviewed its approach to customer consultation and information prior to that date is not comparable.		<b>Current Value:</b> 96.83%
For 2013/2014, there were a total of 126 responses to the 'Overall Quality of this Service' question.		<b>Current Target:</b> 93%
		<b>Red Threshold:</b> 88%
		<b>Amber Threshold:</b> 92%
		<b>Notes on Latest Data Entry:</b>

## Performance Committee – Community Care (appendix 1)





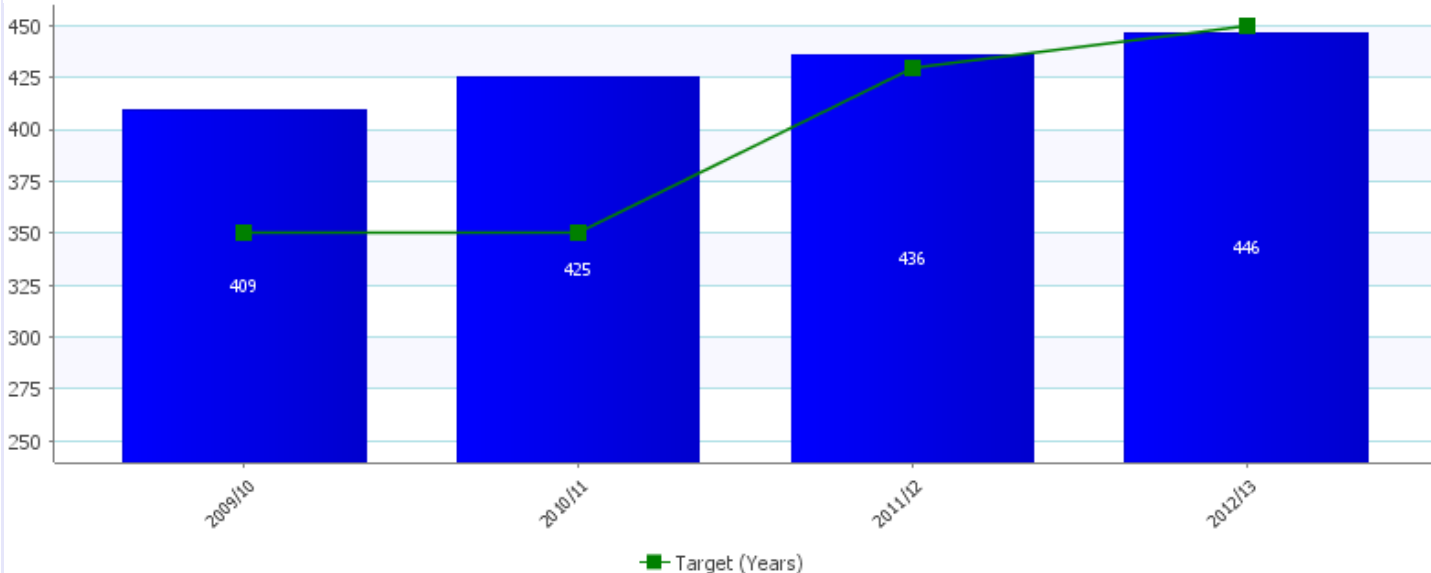

## Performance Committee – Community Care (appendix 1)

P:SPCC015_9b.2a Number of households receiving telecare.		PI Owner:	zSPCC_PIAAdmin; Aileen Maguire																		
Description	This indicator measures the total number of households receiving telecare, enabling people to stay independently in their own homes for as long as possible where it meets their needs, is based on choice and is safe for them and their carers. This is a key performance measure in the government's Reshaping Care for Older People programme.	Display to the Public ?	Yes																		
 <p>2013/14 result</p>  <table><thead><tr><th>Year</th><th>Current Value</th><th>Target</th></tr></thead><tbody><tr><td>2009/10</td><td>3,701</td><td>3,701</td></tr><tr><td>2010/11</td><td>4,143</td><td>4,143</td></tr><tr><td>2011/12</td><td>4,198</td><td>4,198</td></tr><tr><td>2012/13</td><td>4,360</td><td>4,360</td></tr><tr><td>2013/14</td><td>4,335</td><td>4,500</td></tr></tbody></table> <p>■ Target (Years)</p>		Year	Current Value	Target	2009/10	3,701	3,701	2010/11	4,143	4,143	2011/12	4,198	4,198	2012/13	4,360	4,360	2013/14	4,335	4,500	Status:	
Year	Current Value	Target																			
2009/10	3,701	3,701																			
2010/11	4,143	4,143																			
2011/12	4,198	4,198																			
2012/13	4,360	4,360																			
2013/14	4,335	4,500																			
		Current Value:	4,335																		
		Current Target:	4,500																		
		Red Threshold:	4,200																		
		Amber Threshold:	4,300																		
		Notes on Latest Data Entry:																			
<p><b>Trend Chart Commentary:</b></p> <p>Telecare is an important element of the Scottish Governments strategy to support older people for as long as possible in their own home. West Lothian has invested consistently in its Telecare programme which is proportionately one of the biggest in the UK. The trend chart to 2012/13 demonstrates consistent growth in this programme.</p> <p>There is a slight dip in the trend for 13/14 in terms of the number of households in receipt of telecare. This information is sensitive to atypical trends given that it is based on a snapshot report in March of every year. There is a possibility that we are experiencing a natural 'plateau' in demand given the significant investment since 2009/10. However this will be closely monitored and reviewed in 2014/15.</p>																					




## Performance Committee – Community Care (appendix 1)

<b>P:SPCC019_9b.1a Number of delayed discharges from hospital per month (St Johns).</b>		<b>PI Owner:</b>	zSPCC_PIAAdmin; Pamela Main
<b>Description</b>	This indicator measures the number of people waiting more than 4 weeks to be discharged from hospital into a more appropriate care setting. This is a key performance measure in the Government's Reshaping Care for Older People strategy. From April, 2013, National Guidance changed the weeks waiting more than from 6 weeks to 4 weeks.	<b>Display to the Public ?</b>	Yes
<p>■ Target (Months) ● Benchmark</p>		<b>August 2014 result</b> 	
		<b>Status:</b>	✓
		<b>Current Value:</b>	0
		<b>Current Target:</b>	0
		<b>Red Threshold:</b>	4
		<b>Amber Threshold:</b>	1
<b>Trend Chart Commentary:</b> Despite the challenge of ongoing growth in demand, performance in this area of activity has been consistently in the top 3 in Scotland ( <a href="http://www.isdscotland.org/">http://www.isdscotland.org/</a> ) . The marginal increase in delays in March, April and May, 2014 relate to temporary supply difficulties in the care home market. Supply has been restricted due to a restriction on admissions being placed on a local care home pending compliance with an Improvement Notice.		<b>Notes on Latest Data Entry:</b>	

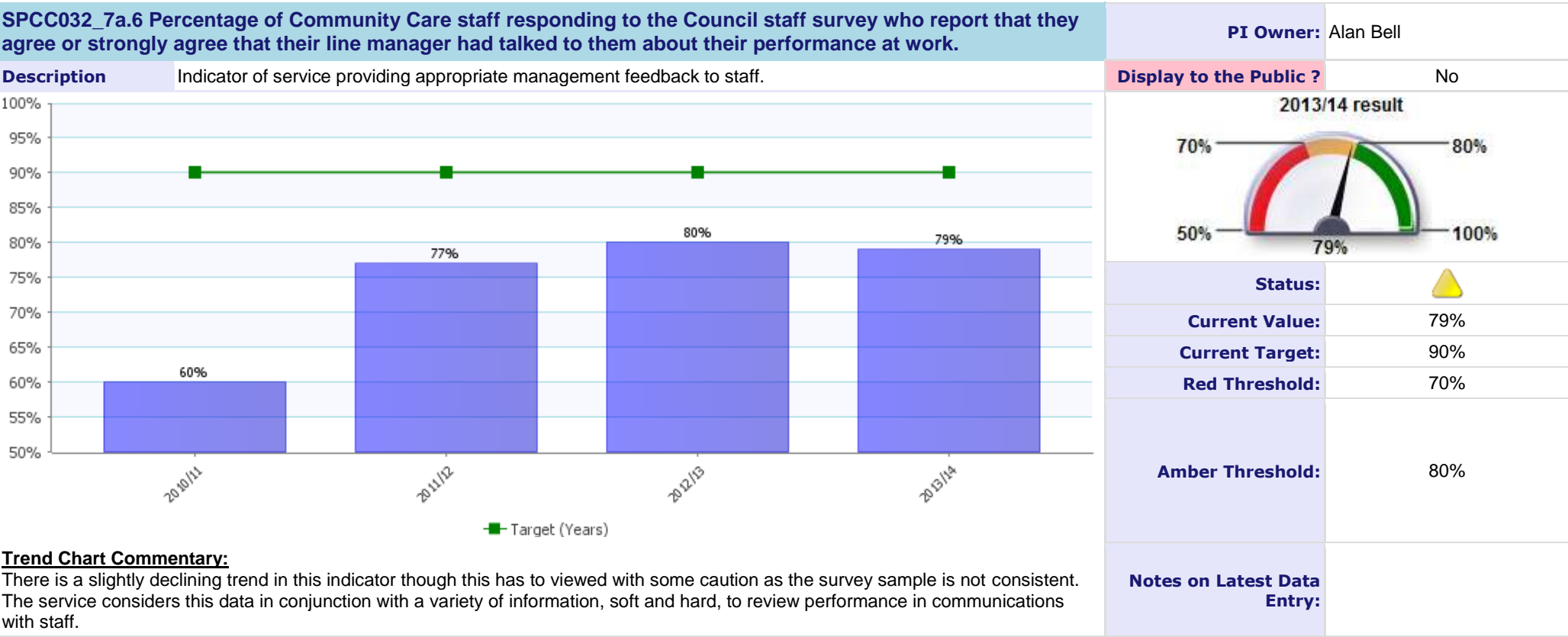
## Performance Committee – Community Care (appendix 1)

<b>P:SPCC023_9b.1b Total number of homecare hours provided as a rate per 1000 of population aged 65+.</b>		<b>PI Owner:</b>	zSPCC_PIAAdmin; Aileen Maguire
<b>Description</b>	This is an Audit Scotland Specified Performance Indicator, used by all Scottish authorities. Each annual target is set to equal the previous year's performance and the aim is to monitor the rate of people, receiving care services in their homes as a rate per 1K of population aged 65+	<b>Display to the Public ?</b>	Yes
 <p>—■ Target (Years)</p>		<p><b>2012/13 result</b></p> 	
		<b>Status:</b>	✓
		<b>Current Value:</b>	446
		<b>Current Target:</b>	450
		<b>Red Threshold:</b>	350
		<b>Amber Threshold:</b>	410
<p><b>Trend Chart Commentary:</b></p> <p>The overall pattern of service remains consistent with our approach in terms of targeting those in greatest need and supporting people to live at home independently. This is reflected in relatively high percentages of people receiving; personal care; evening/overnight care and weekend care, in comparison with other local authorities.</p> <p>In 2012/13, we were ranked 23rd out of 32 Scottish Local Authorities. We attribute this to the impact of a model of care which has focused on early intervention and prevention. Investing in services which support independence such as re-ablement and telecare achieves better outcomes for older people and allows us to target resources to those in greatest need.</p> <p>This information is collated for the National Social Care Survey which is not due to be returned until the end of July 2014 and then will not be published until November 2014. As such the 2013/14 data is not available until later in the year.</p>		<b>Notes on Latest Data Entry:</b>	17-Jan-2014 This represents an increase in the rate per 1000 aged 65+ receiving home care and is consistent with our strategic goals.

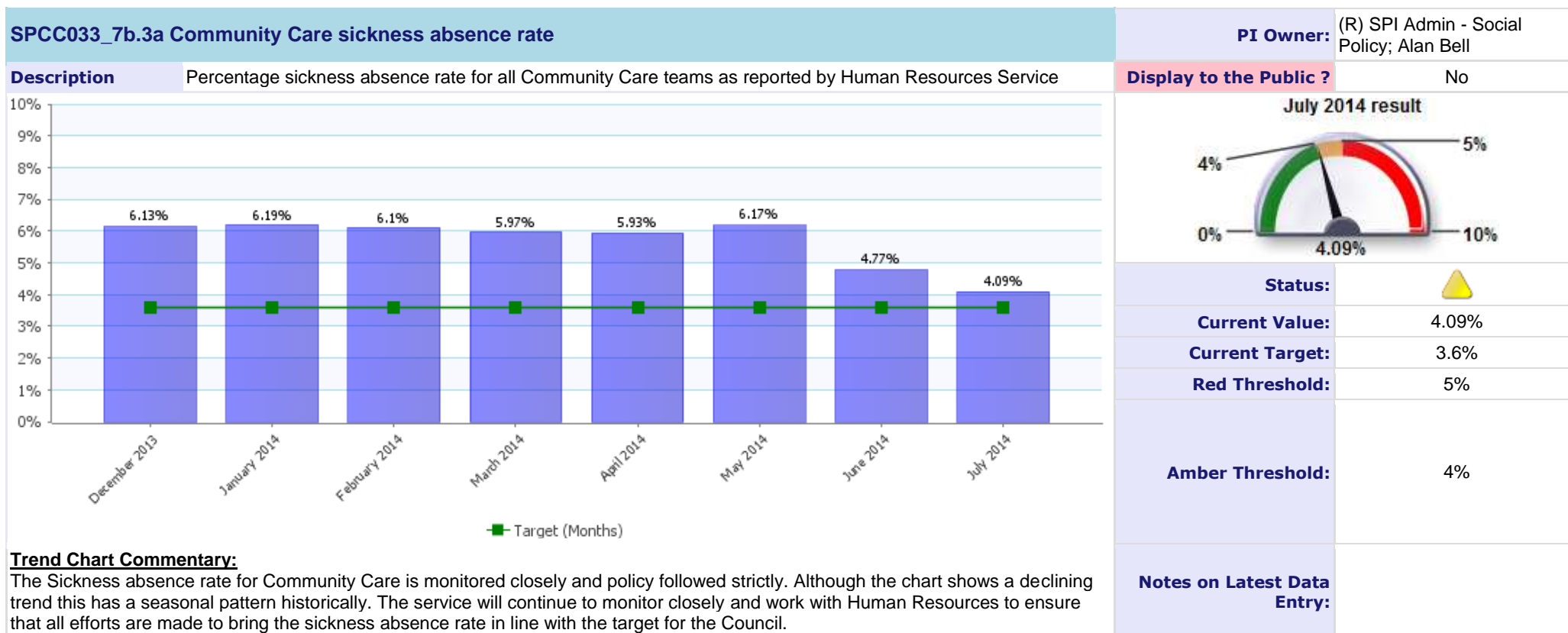
## Performance Committee – Community Care (appendix 1)

<b>P:SPCC024_9a.1a Net cost per head of population of services for older people.</b>		<b>PI Owner:</b> zSPCC_PIAAdmin; Alan Bell
<b>Description</b>	Average annual cost per person of services for people aged 65 and over. The scope of this indicator covers a range of services including Care at Home, Care Homes, Housing with Care, Occupational Therapy, and Assessment and Care Management.	<b>Display to the Public ?</b> Yes
 <p>£1,500.00 £1,250.00 £1,000.00 £750.00 £500.00 £250.00 £0.00</p> <p>£930.00 £1,013.00 £1,260.00 £1,319.00</p> <p>2011/12 2012/13 2013/14 2014/15</p> <p>—■— Target (Years)</p>		<p><b>2014/15 result</b></p>  <p>£0.00 £1,000.00 £1,100.00 £1,319.00 £1,700.00</p>
<b>Trend Chart Commentary</b>		<b>Status:</b> 
<p>The increasing average cost per person reflects the strategic shift supporting individual choices to be looked after in the community or more homely settings. Ensuring that people who's needs are increasingly complex can be supported safely at home requires enhanced care services which increases the average cost per person. The cost per person is calculated by dividing the cost of the services in scope by the estimated 65+ population (using data from the General Register Office of Scotland). Benchmarking comparisons are subject to time delay in the publishing of data; the average expenditure on services for older people in Scotland in 2012/13 was £ 1,302 (source CIPFA).</p> <p>West Lothian has a lower percentage of people aged 65+ than the Scottish Average; correcting the CIPFA average expenditure to take account of this equates to £1091 for 2012/13.</p>		<b>Current Value:</b> £1,319.00
		<b>Current Target:</b> £1,200.00
		<b>Red Threshold:</b> £1,000.00
		<b>Amber Threshold:</b> £1,100.00
		<b>Notes on Latest Data Entry:</b>



Performance Committee – Community Care (appendix 1)



## Performance Committee – Community Care (appendix 1)



## Performance Committee – Community Care (appendix 1)

SPCC035_9a.1c Net cost per head of population on social care services to adults (aged 18-64) with learning disabilities.		PI Owner:	zSPCC_PIAAdmin; Alan Bell
Description	This indicator measures the average annual expenditure on social care services to adults (aged 18-64) with learning disabilities .	Display to the Public ?	No
 <p>£120.00 £117.50 £115.00 £112.50 £110.00 £107.50 £105.00 £102.50 £100.00 £97.50 £95.00</p> <p>2012/13 2013/14 2014/15</p> <p>£104.00 £101.00 £105.00</p> <p>Target (Years)</p>		<p>2014/15 result</p>  <p>£102.00 £100.00 £95.00 £105.00 £120.00</p>	
		Status:	✓
		Current Value:	£105.00
		Current Target:	£104.00
		Red Threshold:	£100.00
		Amber Threshold:	£102.00
<p><b>Trend Chart Commentary</b></p> <p>The net cost per person is calculated by dividing the cost of the services in scope by the estimated 18-64 population (using data from the General Register Office of Scotland). Benchmarking comparisons are subject to time delay in the publishing of data; the average expenditure on social care services to adults (aged 18-64) with learning disabilities in Scotland in 2012/13 was £153 (source CIPFA).</p>		Notes on Latest Data Entry:	







**PERFORMANCE COMMITTEE**

**COMPLAINT PERFORMANCE REPORT QUARTER 1: 2014/15**

**REPORT BY DEPUTE CHIEF EXECUTIVE**

**A. PURPOSE OF REPORT**

To report to the Performance Committee the quarterly analysis of closed complaints in Quarter 1: 2014/15.

**B. RECOMMENDATIONS**

It is recommended that the Performance Committee:

1. Note the corporate and service complaint performance against the standards outlined in the council's complaint handling procedure.
2. Continue to monitor complaint performance and request additional information from services as required.

**C. SUMMARY OF IMPLICATIONS**

I.	Council Values	Focusing on customers' needs  Being honest, open and accountable
II.	Policy and Legal (including Strategic Environmental Assessment, Equality Issues, Health or Risk Assessment)	The Public Services Reform (Scotland) Act 2010
III.	Implications for Scheme of Delegations to Officers	None
IV.	Impact on performance and performance indicators	Will provide a robust approach to monitoring complaints performance information covering all council services
V.	Relevance to Single Outcome Agreement	Outcome 15 - Our public services are high quality, continually improving, efficient and responsive to local people's needs
VI.	Resources (Financial, Staffing and Property)	From existing resources
VII.	Consideration at PDSP	None
VIII.	Details of consultations	None

## D. TERMS OF REPORT

### D.1 Background

The Scottish Public Services Ombudsman (SPSO) developed and published a model Complaint Handling Procedure (CHP) in 28 March 2012. The model CHP was to ensure a standardised approach in dealing with customer complaints across the local authority sector.

All local authorities were required to adopt the model CHP by 31 March 2013. The SPSO expect that local authorities will make the best use of complaint information to inform service improvement activity.

The SPSO outlined four elements of the model CHP that that should not be amended to ensure a standardised approach across all local authorities. These are:

- The definition of a complaint
- The number of stages
- Timescales at each stage
- The requirement to record, report and publicise complaints information

### D.2 Corporate Complaint Performance

Table 1 breaks down Quarter 1 complaints by complaint category over a 5 year period.

**Table 1** Quarter 1 complaint category covering period 10/11 – 13/14

<b>Complaint Category</b>	<b>Q1 10/11</b>	<b>Q1 11/12</b>	<b>Q1 12/13</b>	<b>Q1 13/14</b>	<b>Q1 14/15</b>
Standard of Service	411	376	252	261	227
Policy Related	44	47	120	55	<b>124</b>
Employee Attitude	75	83	109	77	68
Poor Communication	45	49	116	48	<b>60</b>
Waiting Time	48	53	55	25	<b>34</b>
Missed Appointments	4	7	10	5	3
Not Categorised	-	-	-	5	1
Total Complaints	627	615	662	476	517

The current service level complaint performance varies across the council and is linked to the complexity and quantity of complaints received. Operational Services and Housing, Construction and Building Services (HCBS) are the main complaint generators by service, accounting for 59.2% (306) of all recorded complaints (517) in Quarter 1: 14/15.

The increase in Policy Related complaints have been driven by Education Services (55) and Operational Services (26) which account for 65.2% (81) of all recorded complaints in this category. The equivalent quarter in 13/14, Education Services (13) and Operational Services (16) had a combined total of 29 complaints categorised as Policy Related.

78.3% (47) of all Poor Communication complaints are generated by HCBS (25), Operational Services (11) and Education Services (11).

Appendix 1 to the report provides the council wide performance against the SPSO defined measures covering the period Quarter 1: 14/15 (April 2014 to June 2014).

### D.3 Summary of Service Complaint Performance

The Complaint Steering Board identified 4 high level indicators that provided a summary of complaints handling performance.

The 4 indicators are:

1. Total complaints received
2. Complaints closed within 5 working days
3. Complaints closed within 20 working days
4. Complaints part upheld/upheld

Table 2 provides a summary of service performance against these 4 key indicators.

**Table 2** Quarter 1: 13/14 and Quarter 1: 14/15 service performance summary

Service	Total complaints		Complaints closed within 5 working days		Complaints closed within 20 working days		Complaints part upheld/upheld	
	Q1 13/14	Q1 14/15	Q1 13/14	Q1 14/15	Q1 13/14	Q1 14/15	Q1 13/14	Q1 14/15
Area Services	48	51	78%	94.1%	71%	-	53.1%	62.7%
Corporate Services	2	2	50%	100%	-	0%	50%	50%
Education Service	50	90	46%	50%	89%	84.2%	17.7%	48.4%
Exec Office	24	21	50%	-	96%	95.2	32%	4.8%
Finance and Estates	25	27	50%	74.4%	100%	-	40%	25.9%
HC&BS	150	142	45%	65.6%	86%	87.2%	51.3%	50%
Operational Services	165	164	84%	86.7%	70%	100%	49.2%	67.3%
Planning and Economic Dev.	12	19	91%	82.4%	50%	50%	41.7%	26.3%
Social Policy	0	1	-	100%	-	-	-	0%

It should also be noted that the total number of complaints closed in a quarter may not reconcile to the total stage 1 and stage 2 complaints. This is due to the reporting period covered and/or a stage 1 complaint being closed and then re-opened at stage 2 if the complainant is dissatisfied with the stage 1 outcome i.e. it is still one complaint but dealt with at 2 different stages.

## E. CONCLUSION

The level of complaints received in Quarter 1 2014/15 has shown a slight increase

when compared to the equivalent quarter in the previous year. Services will continue to monitor complaints on a regular basis and use this information to develop and improve service delivery.

## **F. BACKGROUND REFERENCES**

SPSO publishes the Model Complaints Handling Procedure (CHP) for the local government sector in Scotland.

1. [The Local Authority Employees Guide to the Complaints Handling Procedure](#)
2. [SPSO performance indicators for the Local Authority Model Complaints Handling Procedure](#)
3. [WLC Complaints Handling Procedure](#)

### **Appendices/Attachments:**

Appendix 1 Corporate Complaint Performance Q1 14-15

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**Graeme Struthers**  
**Depute Chief Executive**

**Date: 3 October 2014**



## **WEST LOTHIAN COUNCIL: Complaints Performance Q1 2014/2015**

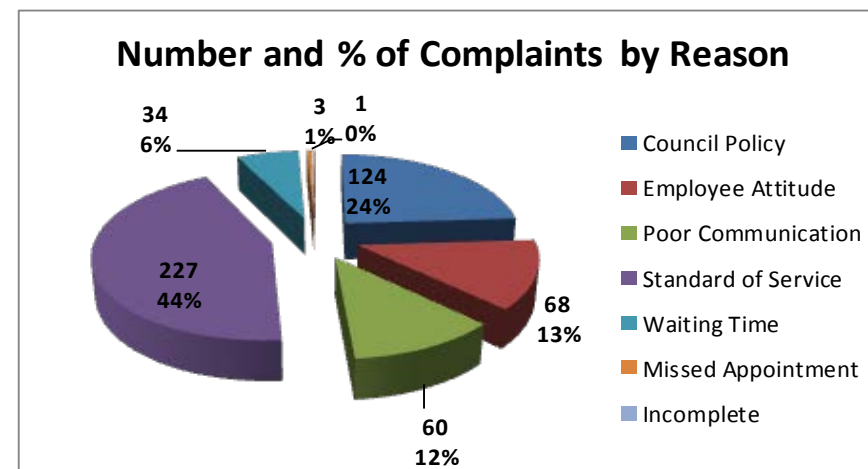
This report summarises the complaints closed within the period 01/04/2014 to 30/06/2014 for all services within the Council. For the purpose of this report all timescales are based on working days and therefore excludes Saturday, Sunday and Public Holidays in the calculations.

### **Summary**

The summary shows the number and percentages (where applicable) for each reportable indicator identified by the SPSO. This is broken down further by each functional unit on the next pages.

<b><u>Performance Indicator</u></b>	<b><u>Total</u></b>	<b><u>%</u></b>
Total number of complaints	517	
Complaints responded to in full at Stage 1	395	76 %
Complaints closed at Stage 1 within 5 working days	302	76 %
Complaints closed at Stage 1 where an extension has been authorised	2	1 %
Average working days to resolve a Stage 1 complaint	11.9	
Complaints with an outcome of UPHELD at Stage 1	106	27 %
Complaints with an outcome of NOT UPHELD at Stage 1	127	32 %
Complaints with an outcome of PART UPHELD at Stage 1	125	32 %
Complaints with another outcome* at Stage 1	34	9 %
Complaints escalated from Stage 1 to Stage 2	7	2 %
Complaints responded to in full at Stage 2	130	25 %
Complaints closed at Stage 2 within 20 working days	114	88 %
Complaints closed at Stage 2 where an extension has been authorised	1	1 %
Average working days to resolve a Stage 2 complaint	15.6	
Complaints with an outcome of UPHELD at Stage 2	17	13 %
Complaints with an outcome of NOT UPHELD at Stage 2	74	57 %
Complaints with an outcome of PART UPHELD at Stage 2	27	21 %
Complaints with another outcome* at Stage 2	10	8 %

\* refers to outcomes equal to WITHDRAWN, OUT OF JURISDICTION & EXPLANATION GIVEN



**NB:** The totals below include complaints considered at Stage 1 and Stage 2 as well as complaints escalated from Stage 1 to Stage 2.

<b>Percentage of all complaints resolved within timeline:</b>	<b>79.2%</b>	<b>(416)</b>
<b>Percentage of all complaints UPHELD:</b>	<b>23.4%</b>	<b>(123)</b>
<b>Percentage of all complaints NOT UPHELD:</b>	<b>38.3%</b>	<b>201)</b>
<b>Percentage of all complaints PART UPHELD:</b>	<b>29.0%</b>	<b>(152)</b>
<b>Percentage with another outcome selected:</b>	<b>8.4%</b>	<b>(44)</b>
<b>Percentage with no outcome selected:</b>	<b>0.9%</b>	

Service Appendix 1	Total	<u>Stage 1 Total</u>	<u>Within 5 Days</u>	<u>Stage 1 Ext</u>	<u>Average Days Open</u>	<u>Stage 1 Upheld</u>	<u>Stage 1 Not Upheld</u>	<u>Stage 1 Part Upheld</u>	<u>Stage 1 Other</u>	<u>Stage 1 to Stage2</u>	<u>Stage 2 Total</u>	<u>Within 20 Days</u>	<u>Stage 2 Ext</u>	<u>Average Days Open</u>	<u>Stage 2 Upheld</u>	<u>Stage 2 Not Upheld</u>	<u>Stage 2 Part Upheld</u>	<u>Stage 2 Other</u>
Area Services	51 9.9%	51 100%	48 94%	1 2%	3.1	20 39%	18 35%	12 24%	1 2%	0 0%	0							
Corporate Services	2 0.4%	1 50%	1 100%	0 0%	4.0	0 0%	1 100%	0 0%	0 0%	0 0%	1 50%	0 0%	0 0%	87.0	1 100%	0 0%	0 0%	0 0%
Education	90 17.4%	52 58%	26 50%	0 0%	60.8	3 6%	17 33%	29 56%	3 6%	1 2%	39 43%	33 85%	0 0%	18.8	3 8%	27 69%	9 23%	0 0%
Executive Office	21 4.1%	0 0%								0 0%	21 100%	20 95%	0 0%	11.4	1 5%	19 90%	0 0%	1 5%
Finance & Estates	27 5.2%	27 100%	19 70%	0 0%	7.4	6 22%	20 74%	1 4%	0 0%	0 0%	0							
Housing, Construction & Building Services	142 27.5%	96 68%	63 66%	1 1%	6.9	14 15%	42 44%	39 41%	0 0%	5 4%	52 37%	45 87%	1 2%	15.7	8 15%	24 46%	13 25%	7 13%
Operational Services	164 31.7%	150 91%	130 87%	0 0%	3.5	60 40%	16 11%	42 28%	30 20%	1 1%	15 9%	15 100%	0 0%	7.4	4 27%	2 13%	5 33%	2 13%
Planning & Economic Development	19 3.7%	17 89%	14 82%	0 0%	2.7	3 18%	12 71%	2 12%	0 0%	0 0%	2 11%	1 50%	0 0%	17.5	0 0%	2 100%	0 0%	0 0%
Social Policy	1 0.2%	1 100%	1 100%	0 0%	3.0	0 0%	1 100%	0 0%	0 0%	0 0%	0							

		<u>2013</u>	<u>2014</u>			
Open Cases by Service and Month Created		November	April	May	June	July
Total	55	1	5	1	12	36
Area Services	5					5
Corporate Services	5		1		2	2
Education	8				7	1
Executive Office	2					2
Finance & Estates	1					1
Housing, Construction & Building Services	20		2	1		17
Operational Services	12	1	1		3	7
Planning & Economic Development	0					
Social Policy	2		1			1