

OPG Annual customer survey 2016

Lay financial guardian survey

Inventory & Management Plan

We targeted

- 200 lay financial guardians in 1 year managing an estate less than £20,000 and where a simplified account was submitted
- 74 replied = 37% response rate
- Questionnaires sent out via e-mail and post [70 replied by post]
- We were interested to find out feedback on information we send out, our communication, our information

Before you were appointed, you said ...

51 were aware of our role to supervise

40 knew an inventory of estate would be required

38 knew a management plan would be required

52 knew about the principles of the AWI Act

11 contacted us before their court hearing

After you were appointed, we sent you a letter with a certificate confirming your appointment. The powers granted to you by the court were attached to the certificate.

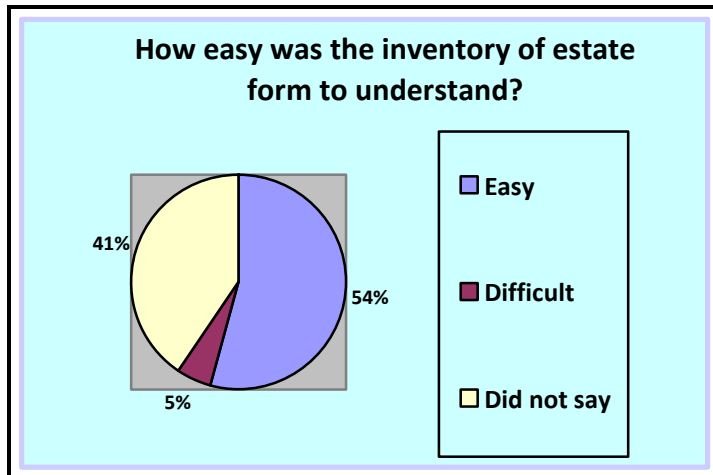
- 68 said that the powers were easy to understand
- 70 said it was clear that we made it clear in our letter that an inventory /management plan would be required
- 63 said we made it clear in the letter about the fee payment
- 67 said it was clear in the letter that fee exemption would apply under certain circumstances

About the process, you said...

65 said that 3 months was a realistic time to prepare the inventory and management plan

28 did not know that their powers would be limited until we authorised the inventory/management plan

About the inventory form, you said ...

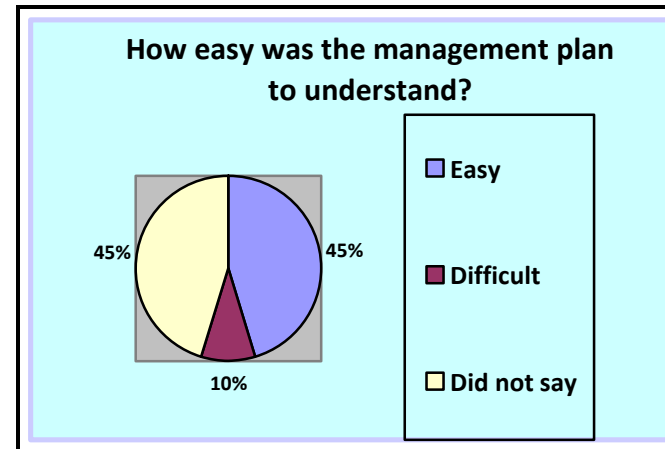


- 69 said the inventory guidance was helpful
- 69 said it was made clear in the guidance that supporting evidence e.g. bank statements would be requirement

About the management plan, you said ...

29 were asked to complete the management plan

- 31 found the guidance booklet helpful
- 27 said they followed what they planned to do
- 23 said that completing the forms helped to plan for the year ahead

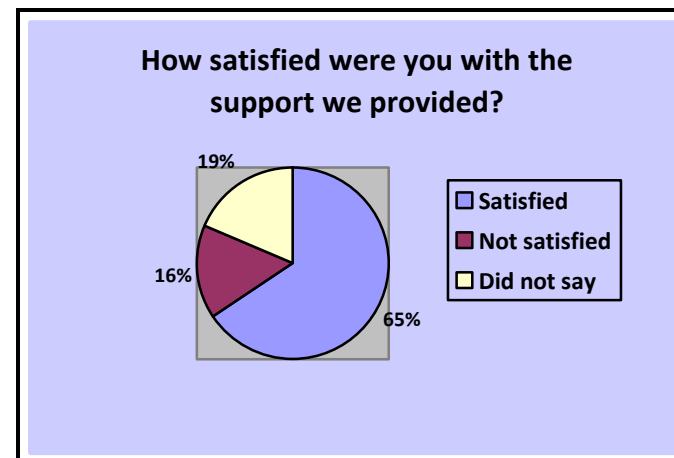


Levels of customer satisfaction

17 contacted us for assistance with their inventory and management plan

12 said we contacted them for additional information before authorising the inventory/management plan

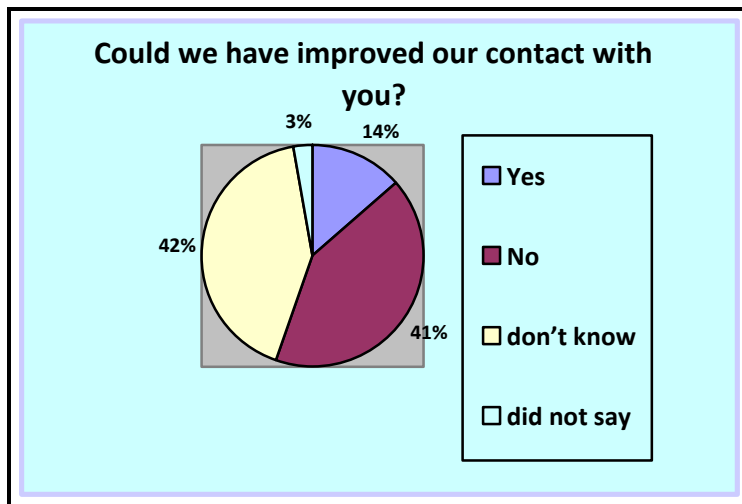
11 said we made it clear what additional information was needed and why



About our letter

When we approved the inventory/management plan we sent a letter:

- 66 said we made it clear that the inventory and management plan had been approved
- 66 said it was clear that they could use all powers granted by the court
- 59 said it was clear what they had to do next e.g. annual accounting, consent to sell heritable property etc.



Did you have difficulty in registering your appointment with banks or other organisations?

16 said they experienced difficulty

- Examples provided:
- Certain banks would not accept us to open an account for our son
- Certain banks had long delays in communication and resolving issues
- It took two months to open a current account with RBS. Transactions on all his accounts were stopped because of guardianship.
- Difficulty opening a bank account due to lack of identification
- Some banks not up to date with Scottish legislation
- Banks not aware of procedures was very stressful. I eventually had to change banks. Inconsistencies between banks regarding requirements re opening account for our daughter.

How can we improve our service?

- Look at the documents quicker
- The inventory & management plan can be a bit of a worry but a lot of it we didn't need to do
- Make it all easier to understand
- Put authentication process in place for third parties in place
- Easy wording
- I don't understand the necessity for a management plan or how it improves guardianship
- This year's form involving fees payable was very confusing & I needed to phone up to have help to complete it
- Given more time to complete the inventory
- Understanding the fees and caution
- Do not send photocopies back. They were ripped open at post office and put in another envelope
- Contact myself to ask if I had any questions/able to fill forms out ok – by phone
- Telephone or e-mail connection better
- I believe in the 1st year you could give guardians more guidance on how to manage accounts and requirements whereas my understanding is you do not give advice until after the 1st set of accounts are submitted

- As I am a lone parent/widow now it would be useful to always have an advocate for my son present on filling forms etc. I only have 4 hours free time per week for this as he has a high level of basic needs
- I was always involved in my daughter's finances. I think a novice having to deal with this would need more contact with you.

We will publish the summary

Our actions: we will.....

1. Review our contact with financial institutions to make aware of our role and of guardianship orders
2. Make our guidance clearer that full powers are only available when the inventory and management plan is approved.
3. Make sure our letters, forms and guidance are in plain English.