



# Scottish Public Services Ombudsman Act 2002

2002 asp 11

## *The Scottish Public Services Ombudsman*

### **1 The Scottish Public Services Ombudsman**

- (1) For the purposes of this Act there is to be an officer known as the Scottish Public Services Ombudsman (in this Act referred to as the “Ombudsman”) who is to be an individual appointed by Her Majesty on the nomination of the Scottish Parliament.
- (2) Her Majesty may, on the nomination of the Parliament, appoint individuals to be deputy Scottish Public Services Ombudsmen; and in this Act references to a deputy Ombudsman are to any such deputy.
- (3) There are to be no more than three deputy Ombudsmen at any time.
- (4) The Ombudsman’s functions may be exercised by a deputy Ombudsman if—
  - (a) the office of Ombudsman is vacant (unless there is an acting Ombudsman appointed under paragraph 5(1) of schedule 1), or
  - (b) the Ombudsman is for any reason unable to act,and while exercising those functions the deputy Ombudsman is to be treated for all purposes, except those of paragraphs 3(a), 4, 7 and 8 of schedule 1, as the Ombudsman.
- (5) Schedule 1 makes further provision about the appointment, status, etc. of the Ombudsman and deputy Ombudsmen and about other administrative matters in connection with those officers.

## *Investigations by the Ombudsman*

### **2 Power of investigation**

- (1) The Ombudsman may investigate any matter, whenever arising, if—
  - (a) the matter consists of action taken by or on behalf of a person liable to investigation under this Act,
  - (b) the matter is one which the Ombudsman is entitled to investigate, and

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- (c) a complaint in respect of the matter has been duly made to the Ombudsman.
- (2) The Ombudsman may investigate any matter, whenever arising, if—
  - (a) paragraphs (a) and (b) of subsection (1) are satisfied, and
  - (b) the person liable to investigation has requested the Ombudsman to investigate the matter.
- (3) Without prejudice to paragraph 2(2) of schedule 1, it is for the Ombudsman to decide whether to initiate, continue or discontinue an investigation under subsection (1) or (2).
- (4) The Ombudsman may take such action in connection with the complaint or request as the Ombudsman thinks may be of assistance in reaching any such decision.
- (5) Such action may, in particular, include action with a view to resolving the complaint or request.

### **3 Persons liable to investigation**

- (1) The persons liable to investigation under this Act are the persons specified, or of a class specified, in Parts 1 [F1, 2 and 3] of schedule 2; and references in this Act to a listed authority are references to any such person.
- (2) Her Majesty may by Order in Council amend Part 2 of that schedule so as to—
  - (a) modify any entry in it,
  - (b) remove any entry from it, or
  - (c) subject to subsections (3) to (6) and section 4, add any entry to it.
- (3) An entry may be added to that Part of that schedule only if the entry relates to a person who, or a class of persons each of whom, is—
  - (a) a Scottish public authority with mixed functions or no reserved functions,
  - (b) a publicly-owned company, or
  - (c) a person who is neither a Scottish public authority nor a publicly-owned company but who appears to Her Majesty to exercise functions of a public nature.
- (4) An Order in Council under subsection (2) adding an entry to that Part of that schedule in pursuance of subsection (3)(c)—
  - (a) may provide for this Act to apply to any person to whom, or falling within any class of persons to which, the entry relates subject to such modifications or exceptions as may be specified in the Order in Council, and
  - (b) must, in relation to each such person or class of person, specify the functions of a public nature which appear to be exercised by that person or, as the case may be, persons of that class.
- (5) No recommendation to make an Order in Council referred to in subsection (4) is to be made to Her Majesty in Council unless every person to whom the Order relates has been consulted.
- (6) No entry is to be added to Part 2 of schedule 2 in relation to—
  - (a) a person whose sole activity is, or whose main activities are—
    - (i) the provision of education, or the provision of training otherwise than under the Industrial Training Act 1982 (c.10),

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- (ii) the development of curricula, the conduct of examinations or the validation of educational courses,
  - (iii) the control of entry to any profession or the regulation of the conduct of members of any profession, or
  - (iv) the investigation of complaints by members of the public regarding the actions of any person or the supervision or review of such investigations or of steps taken following them, or
- (b) a person operating in an exclusively or predominantly commercial manner or a person carrying on under national ownership an industry or undertaking or part of an industry or undertaking.
- [<sup>F2</sup>(7) Her Majesty may by Order in Council amend Part 3 of schedule 2 so as to—
- (a) modify any entry in it,
  - (b) remove any entry from it, <sup>F3</sup>...
  - (c) add to it any entry relating to a person, or class of persons, providing fundable further education or fundable higher education (within the meaning of the Further and Higher Education (Scotland) Act 2005 (asp 6)) [<sup>F4</sup>, or
  - (d) add to it an entry relating to a regional strategic body (within the meaning of that Act).]
- (8) An Order in Council under subsection (7) adding an entry to that Part of that schedule relating to a person, or class of persons, whose business (whether commercial, charitable or otherwise) includes matters other than the activities which [<sup>F5</sup>post-16 education] bodies (within the meaning of that Act) generally carry on—
- (a) must, as regards that person or class, provide for this Act to apply only in relation to those activities; and
  - (b) may do so subject to such modifications or exceptions as may be specified in the Order in Council.
- (9) No recommendation to make an Order in Council under subsection (7)(c) is to be made to Her Majesty unless every person to whom the Order relates has been consulted.]

#### Textual Amendments

- F1** Words in s. 3(1) substituted (3.10.2005) by [Further and Higher Education \(Scotland\) Act 2005 \(asp 6\), ss. 27\(1\)\(a\), 36\(2\)](#); S.S.I. 2005/419, art. 2(1)
- F2** S. 3(7)-(9) added (3.10.2005) by [Further and Higher Education \(Scotland\) Act 2005 \(asp 6\), ss. 27\(1\)\(b\), 36\(2\)](#); S.S.I. 2005/419, art. 2(1)
- F3** Word in s. 3(7) omitted (3.3.2014) by virtue of [Post-16 Education \(Scotland\) Act 2013 \(asp 12\)](#), s. 23(2), [sch. para. 5\(2\)\(a\)\(i\)](#); S.S.I. 2014/21, art. 2, sch. 1
- F4** S. 3(7)(d) and word inserted (3.3.2014) by [Post-16 Education \(Scotland\) Act 2013 \(asp 12\)](#), s. 23(2), [sch. para. 5\(2\)\(a\)\(ii\)](#); S.S.I. 2014/21, art. 2, sch. 1
- F5** Words in s. 3(8) substituted (3.3.2014) by [Post-16 Education \(Scotland\) Act 2013 \(asp 12\)](#), s. 23(2), [sch. para. 5\(2\)\(b\)](#); S.S.I. 2014/21, art. 2, sch. 1

## 4 Persons liable to investigation: supplementary

- (1) A person is a publicly-owned company for the purposes of section 3(3) if that person is a company wholly owned by the Scottish Ministers or by any listed authority.
- (2) A company is wholly owned—

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- (a) by the Scottish Ministers if it has no members except—
    - (i) the Scottish Ministers or companies wholly owned by the Scottish Ministers, or
    - (ii) persons acting on behalf of the Scottish Ministers or of such companies,
  - (b) by a listed authority if it has no members except—
    - (i) the authority or companies wholly owned by the authority, or
    - (ii) persons acting on behalf of the authority or of such companies.
- (3) In subsections (1) and (2), “company” includes any body corporate.

## 5 Matters which may be investigated

- (1) The matters which the Ombudsman is entitled to investigate are—
- (a) in relation to a listed authority other than one to whom paragraph (b), (d) or (e) applies, any action taken by or [F6on] behalf of the authority (other than action consisting of a service failure) in the exercise of administrative functions of the authority,
  - (b) in relation to a health service body or an independent provider, any action taken by or on behalf of the body or provider (other than action consisting of a service failure),
  - (c) in relation to a listed authority other than one to whom paragraph (d) or (e) applies, any service failure,
  - (d) in relation to a family health service provider, any action taken by or on behalf of the provider in connection with any family health services provided by that provider,
  - (e) in relation to a registered social landlord, any action taken by or on behalf of the landlord.
- (2) In subsection (1), “service failure”, in relation to a listed authority, means—
- (a) any failure in a service provided by the authority,
  - (b) any failure of the authority to provide a service which it was a function of the authority to provide.
- (3) The Ombudsman may investigate a matter falling within subsection (1) pursuant to a complaint only if a member of the public claims to have sustained injustice or hardship in consequence of—
- (a) where the matter is such action as is mentioned in paragraph (a), (b) or (e) of that subsection, maladministration in connection with the action in question,
  - (b) where the matter is such failure or other action as is mentioned in paragraph (c) or (d), the failure or other action in question.
- (4) A person making such a claim is referred to in this Act as the “person aggrieved”.
- (5) The Ombudsman may investigate a matter falling within subsection (1) pursuant to a request only if the Ombudsman is satisfied that—
- (a) it has been alleged publicly (whether or not by a person aggrieved) that one or more members of the public have sustained injustice or hardship as mentioned in subsection (3), and
  - (b) the listed authority in question has taken all reasonable steps to deal with the matter to which the allegation relates.

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- (6) In this section “member of the public” means any individual or body of persons (whether incorporated or not) other than—
- (a) the Parliamentary corporation,
  - (b) a local authority or other authority or body constituted for purposes of the public service or of local government,
  - (c) an authority or body constituted for the purposes of carrying on under national ownership an industry or undertaking or part of an industry or undertaking,
  - (d) any other authority or body—
    - (i) whose members are appointed by Her Majesty or by any Minister of the Crown or government department or by a member of the Scottish Executive, or
    - (ii) whose revenues consist wholly or mainly of money provided by the Parliament of the United Kingdom or sums payable out of the Scottish Consolidated Fund (whether directly or indirectly).
- (7) This section is subject to sections 6 to 8.

#### Textual Amendments

- F6** Word in s. 5(1)(a) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 1](#) (with s. 31(6), [sch. 7](#))

## 6 Application of section 5 to certain tribunals

- (1) For the purposes of section 5, administrative functions exercisable by any person appointed as a member of the administrative staff of any tribunal specified in schedule 3—
- (a) by a listed authority (whether alone or jointly with any other person), or
  - (b) with the consent (whether as to remuneration and other terms and conditions of service or otherwise) of a listed authority,
- are to be taken to be administrative functions of that authority.
- (2) Her Majesty may by Order in Council amend schedule 3 so as to—
- (a) modify any entry in it,
  - (b) remove any entry from it, or
  - (c) add any entry to it.

## 7 Matters which may be investigated: restrictions

- (1) The Ombudsman is not entitled to question the merits of a decision taken without maladministration by or on behalf of a listed authority in the exercise of a discretion vested in that authority.
- (2) Subsection (1) does not apply to the merits of a decision taken by or on behalf of a health service body, a family health service provider or an independent provider to the extent that the decision was taken in consequence of the exercise of clinical judgement.
- [<sup>F7</sup>(2A) Subsection (1) does not apply to the merits of a decision taken by or on behalf of a listed authority to the extent that the decision was taken in exercise of a function conferred by or under Part 4 or 5 of the 2014 Act.

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- (2B) The Ombudsman is not entitled to investigate action taken in the exercise of a function conferred by or under Part 4 or 5 of the 2014 Act if the exercise of the function was not a matter which could have been the subject of a complaint under an order under section 30 or 43 of that Act in force at the time of the action.]
- [<sup>F8</sup>(2C) Subsection (1) does not apply to the merits of a decision taken by or on behalf of a person mentioned in subsection (2D) in pursuance of a social work function to the extent that the decision was taken in consequence of the exercise of the professional judgment of the social worker or other person discharging the function.
- (2D) The persons are—
- (a) a local authority, or
  - (b) the holder of an office established by or under any enactment to which appointments are made by a local authority.
- (2E) In subsection (2C), “social work function” means a function conferred by or under—
- (a) the Social Work (Scotland) Act 1968,
  - (b) an enactment mentioned in section 5(1B) of that Act, or
  - (c) an enactment listed in the schedule to the Public Bodies (Joint Working) (Scotland) Act 2014.]

(3) The Ombudsman must not investigate action taken by or on behalf of a member of the Scottish Executive unless the action was taken in the exercise of functions conferred on the Scottish Ministers or of functions conferred on the First Minister alone.

(4) For the purposes of subsection (3), functions conferred on the Scottish Ministers include functions exercised by them on behalf of a Minister of the Crown or government department by virtue of section 93 (agency arrangements) of the Scotland Act 1998 (c.46).

(5) The Ombudsman must not investigate action taken—

    - (a) by or on behalf of a listed authority which is a cross-border public authority, or
    - (b) by a member of the administrative staff of any tribunal specified in schedule 3 which is a cross-border public authority,

unless the action taken concerned Scotland and did not relate to reserved matters.

(6) The Ombudsman must not investigate action taken by or on behalf of an independent provider unless the action—

    - (a) was taken in relation to, or
    - (b) consisted of a failure in, or to provide,

a service which the independent provider was providing, or which it was the independent provider’s function to provide, under arrangements with a health service body or a family health service provider.

<sup>F9</sup>(6A) .....

[<sup>F10</sup>(6B) The Ombudsman must not investigate action taken by or on behalf of the Statistics Board in the exercise of any of its functions unless the function is being exercised only in relation to Scottish devolved statistics (within the meaning of section 66 of the Statistics and Registration Service Act 2007).]

[<sup>F11</sup>(6C) The Ombudsman must not investigate action taken by or on behalf of the Committee on Climate Change in the exercise in or as regards Scotland of any function to the

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extent that the function is not exercisable within devolved competence (within the meaning of section 54 of the Scotland Act 1998).]

[<sup>F12</sup>(6D) The Ombudsman must not investigate action taken by or on behalf of the Electoral Commission unless the action taken concerned local government elections in Scotland.]

(7) The Ombudsman must not investigate action taken by or on behalf of a person who is a listed authority by virtue of an Order in Council referred to in subsection (4) of section 3 unless the action was taken in the exercise of the functions of a public nature which are specified in the Order in Council in pursuance of paragraph (b) of that subsection.

(8) The Ombudsman must not investigate any matter in respect of which the person aggrieved has or had—

- (a) a right of appeal to a Minister of the Crown or the Scottish Ministers,
- (b) a right of appeal, reference or review to or before any tribunal constituted by or under any enactment or by virtue of Her Majesty's prerogative, or
- (c) a remedy by way of proceedings in any court of law,

unless the Ombudsman is satisfied that, in the particular circumstances, it is not reasonable to expect the person aggrieved to resort or have resorted to the right or remedy.

(9) Subsection (10) applies where a matter in respect of which a complaint is made under this Act—

- (a) is a matter in respect of which a complaint can be made, or a review can be requested, by the person aggrieved under a procedure operated by any listed authority (whether or not the listed authority in relation to whom the complaint under this Act is made), and
- (b) is not a matter of the kind mentioned in subsection (8) or paragraph 12 of schedule 4.

(10) In such a case, the Ombudsman must not investigate the matter unless the Ombudsman is satisfied that—

- (a) the other procedure has been invoked and exhausted, or
- (b) in the particular circumstances it is not reasonable to expect the procedure to be invoked or, as the case may be, exhausted.

#### Textual Amendments

- F7** S. 7(2A)(2B) inserted (31.8.2016) by [The Children and Young People \(Scotland\) Act 2014 \(Part 4 and Part 5 Complaints\) Order 2016 \(S.S.I. 2016/152\)](#), arts. 1(1), **9(2)**
- F8** S. 7(2C)-(2E) inserted (1.4.2017) by [The Public Services Reform \(Social Work Complaints Procedure\) \(Scotland\) Order 2016 \(S.S.I. 2016/157\)](#), arts. 1, **3**
- F9** S. 7(6A) omitted (1.4.2013) by virtue of [Health and Social Care Act 2012 \(c. 7\)](#), s. 306(4), **Sch. 7 para. 14**; S.I. 2013/160, art. 2(2) (with arts. 7-9)
- F10** S. 7(6B) inserted (1.4.2008) by [Statistics and Registration Service Act 2007 \(c. 18\)](#), **ss. 63(5)**, 74(1); S.I. 2008/839, art. 2
- F11** S. 7(6C) inserted (26.11.2008) by [Climate Change Act 2008 \(c. 27\)](#), s. 100(1), **Sch. 1 para. 34(2)**
- F12** S. 7(6D) inserted (29.6.2011) by [Local Electoral Administration \(Scotland\) Act 2011 \(asp 10\)](#), **ss. 18(a)**, 21(1); S.S.I. 2011/277, art. 2(b)

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#### **Modifications etc. (not altering text)**

- C1** S. 7(5) modified by 2001 c. 12, s. 2A(e) (as inserted (30.6.2006 for S. and 6.7.2006 for E.W.) by [Serious Organised Crime and Police Act 2005 \(c. 15\), s. 178\(6\)\(b\)](#), [Sch. 15 para. 3](#); [S.S.I. 2006/381, art. 2\(a\)\(i\)\(b\)\(i\)](#))
- C2** S. 7(6D) restricted (18.12.2013) by [Scottish Independence Referendum Act 2013 \(asp 14\)](#), [ss. 30, 36](#)

## **8 Excluded matters**

- (1) The Ombudsman must not investigate any matter specified in schedule 4.
- (2) Her Majesty may by Order in Council amend schedule 4 so as to—
  - (a) modify any entry in it,
  - (b) remove any entry from it,
  - (c) add any entry to it.
- (3) Nothing in section 7 or schedule 4 prevents the Ombudsman conducting an investigation in respect of action taken by a listed authority in operating a procedure established to examine complaints or review decisions.

## **9 Complaints: who may complain**

- (1) A complaint may be made to the Ombudsman—
  - (a) by the person aggrieved, or
  - (b) by a person authorised in writing for the purpose by the person aggrieved.
- (2) The persons who may be authorised for the purpose of subsection (1)(b) include, in particular—
  - (a) a member of the Scottish Parliament,
  - (b) a listed authority,
  - (c) a member, officer or member of staff of a listed authority.
- (3) Despite subsection (1)—
  - (a) where an individual by whom a complaint might have been made has died or is for any reason unable to act, the complaint may be made by—
    - (i) any person authorised for the purpose of subsection (1)(b) before the individual's death or inability to act,
    - (ii) the individual's personal representatives or a member of the individual's family, or
    - (iii) any other person suitable to represent the individual,
  - (b) where a body by whom a complaint might have been made is for any reason unable to act for itself, the complaint may be made by another person suitable to represent it.
- (4) Except where subsection (5) applies, the person aggrieved must be resident in the United Kingdom at the time the complaint is made (or, if the person has died, must have been so resident at the time of death).
- (5) This subsection applies where the complaint relates to action taken—
  - (a) in relation to the person while the person was present—
    - (i) in the United Kingdom, or



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- (ii) on an installation in a designated area within the meaning of the Continental Shelf Act 1964 (c.29), a ship registered in the United Kingdom or an aircraft so registered, or
- (b) in relation to rights or obligations which accrued or arose in the United Kingdom or on such an installation, ship or aircraft.

## 10 Complaints: time limits and procedure

- (1) The Ombudsman must not consider a complaint made more than 12 months after the day on which the person aggrieved first had notice of the matter complained of, unless the Ombudsman is satisfied that there are special circumstances which make it appropriate to consider a complaint made outwith that period.
- (2) The Ombudsman must not consider a complaint if—
  - (a) the matter complained of consists of such failure or other action as is mentioned in section 5(1)(b) to (d) taken by or on behalf of a person who was, at the time of the action, a family health service provider or an independent provider but who has since ceased to be such a provider, and
  - (b) the complaint is made more than 3 years after the last day on which the person was such a provider.
- (3) A complaint must be made in writing or electronically unless the Ombudsman is satisfied that there are special circumstances which make it appropriate to consider a complaint made orally.
- (4) It is for the Ombudsman to determine whether a complaint has been duly made.

## 11 <sup>[F13]</sup>Decisions not to investigate or to discontinue investigations

- (1) If the Ombudsman,
  - <sup>[F14]</sup>(a) after considering a complaint, decides not to conduct an investigation pursuant to the complaint<sup>[F15]</sup>, or
  - (b) decides to discontinue an investigation following a complaint, ]the Ombudsman must send a statement of the reasons for the decision to the persons specified in subsection (2).
- (2) Those persons are—
  - (a) the person aggrieved,
  - (b) the listed authority in question,
  - (c) any other person who is alleged in the complaint to have taken the action complained of,
  - (d) if the complaint was made by a person authorised for the purpose of subsection (1)(b) of section 9, that person,
  - (e) if the complaint was made by a person other than the person aggrieved by virtue of subsection (3) of that section, that other person,
  - (f) if the listed authority is a family health service provider, any health service body with whom that provider—
    - (i) is subject to an undertaking to provide family health services, or
    - (ii) has agreed to perform such services,(as the case may be), and

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- (g) if the listed authority is an independent provider, the health service body or family health service provider with whom the independent provider made the arrangement to provide the service concerned.
- (3) Where a person referred to in subsection (2)(d) was authorised for the purpose of section 9(1)(b) in a particular capacity but no longer acts in that capacity, the Ombudsman must send the statement of reasons instead to such other person acting in that or a similar capacity as the Ombudsman thinks fit.
- [<sup>F16</sup>(3A) Where the Ombudsman decides to discontinue an investigation following a complaint, any reference in paragraphs (b), (f) and (g) of subsection (2) to the listed authority in question or to the listed authority is to be construed as including a reference to a listed authority—
- (a) which was not mentioned in the complaint, but
  - (b) whose action was investigated by the Ombudsman in connection with the investigation.]
- (4) If the Ombudsman, after considering a request, decides not to conduct an investigation pursuant to the request, the Ombudsman must send a statement of the reasons for the decision to—
- (a) the listed authority who made the request,
  - (b) if the listed authority is a family health service provider, any health service body with whom that provider is subject to an undertaking to provide family health services, and
  - (c) if the listed authority is an independent provider, the health service body or family health service provider with whom the independent provider made the arrangement to provide the service concerned.
- [<sup>F17</sup>(5) Subsection (4) applies where the Ombudsman decides to discontinue an investigation following a request as it applies where the Ombudsman decides not to conduct such an investigation.]

#### Textual Amendments

- F13** S. 11 title substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 2(d)** (with s. 31(6), sch. 7)
- F14** Words in s. 11(1) renumbered as s. 11(1)(a) (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 2(a)** (with s. 31(6), sch. 7)
- F15** S. 11(1)(b) and word inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 2(a)** (with s. 31(6), sch. 7)
- F16** S. 11(3A) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 2(b)** (with s. 31(6), sch. 7)
- F17** S. 11(5) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 2(c)** (with s. 31(6), sch. 7)

## 12 Investigation procedure

- (1) An investigation under section 2 must be conducted in private.
- (2) Where the investigation is pursuant to a complaint, the Ombudsman must give—
  - (a) the listed authority in question, and

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- (b) any other person who is alleged in the complaint to have taken the action complained of,  
an opportunity to comment on any allegations contained in the complaint.
- (3) In other respects the procedure for conducting the investigation is to be such as the Ombudsman thinks fit.
- (4) The Ombudsman may, in particular—
  - (a) obtain information from such persons and in such manner, and make such inquiries, as the Ombudsman thinks fit,
  - (b) determine whether any person may be represented, by counsel or solicitor or otherwise, in the investigation.
- (5) The Ombudsman may pay to—
  - (a) the person by whom the complaint was made (where an investigation is pursuant to a complaint), and
  - (b) any other person who attends or supplies information for the purposes of an investigation (whether or not pursuant to a complaint),such allowances in respect of expenses properly incurred by the person and by way of compensation for loss of time as the Parliamentary corporation may determine.
- (6) The conduct of an investigation does not affect—
  - (a) any action taken by the listed authority in question,
  - (b) any power or duty of the listed authority to take further action with respect to any matter being investigated.
- [<sup>F18</sup>(7) Any reference in subsections (2)(a) and (6)(a) and (b) to the listed authority in question or to the listed authority includes, in relation to an investigation following a complaint, references to a listed authority—
  - (a) which is not mentioned in the complaint, but
  - (b) whose action is investigated by the Ombudsman in connection with the investigation.]

#### Textual Amendments

**F18** S. 12(7) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010](#) (asp 11), s. 31(5), **sch. 3 para. 3** (with s. 31(6), sch. 7)

## 13 Evidence

- (1) For the purposes of an investigation, the Ombudsman may require the listed authority in question and any of the persons mentioned in subsection (2) to supply information or produce documents relevant to the investigation.
- (2) Those persons are—
  - (a) any member, officer or member of staff of the listed authority, and
  - (b) any other person,who in the Ombudsman's opinion is able to supply such information or to produce such documents.
- (3) Where the listed authority in question is an office-holder in the Scottish Administration, the persons referred to in subsection (2)(a) include, in particular—

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- (a) any other office-holder in the Scottish Administration,
  - (b) any member of the staff of the Scottish Administration assigned to assist the office-holder under investigation in the exercise of the office-holder's functions.
- (4) For the purposes of any such investigation the Ombudsman has the same powers as the Court of Session in respect of—
- (a) the attendance and examination of witnesses (including the administration of oaths and the examination of witnesses abroad), and
  - (b) the production of documents.
- (5) No obligation to maintain secrecy or other restriction on the disclosure of information obtained by or supplied to persons in Her Majesty's service, whether imposed by any enactment or by any rule of law, applies to the disclosure of information for the purposes of an investigation by the Ombudsman.
- (6) The Crown (whether in right of Her Majesty's Government in the United Kingdom or in right of the Scottish Administration) is not entitled in relation to any investigation by the Ombudsman to any such privilege in respect of the production of documents or the giving of evidence as is allowed by law in legal proceedings.
- (7) No person is or may be required or authorised by virtue of this Act to supply any information or answer any question relating to proceedings of the Scottish Cabinet or of any committee of the Scottish Cabinet, or to produce so much of any document as relates to such proceedings.
- (8) For the purposes of subsection (7), a certificate issued by the most senior member of the staff of the Scottish Administration, with the approval of the First Minister, and certifying that any information, question, document or part of a document so relates is conclusive.
- (9) Subject to subsections (5) and (6), no person is compelled, for the purposes of an investigation by the Ombudsman, to give any evidence or produce any document which that person could not be compelled to give or to produce in civil proceedings before the Court of Session.
- [<sup>F19</sup>(10) Any reference in subsections (1) to (3) to the listed authority in question or to the listed authority includes, in relation to an investigation following a complaint, a reference to a listed authority—
- (a) which is not mentioned in the complaint, but
  - (b) whose action is investigated by the Ombudsman in connection with the investigation.]

#### Textual Amendments

**F19** S. 13(10) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 4](#) (with s. 31(6), [sch. 7](#))

## 14 Obstruction and contempt

- (1) Where—
- (a) a person, without lawful excuse, obstructs the Ombudsman in the performance of the Ombudsman's functions [<sup>F20</sup>under sections 2 to 13], or

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- (b) a person does any act or fails to take any action in relation to an investigation which, if the investigation were a proceeding in the Court of Session, would constitute contempt of court,  
the Ombudsman may apply by petition to the Court of Session for the person to be dealt with in accordance with subsection (2).
- (2) Where such a petition is presented, the Court of Session may inquire into the matter and after hearing—
  - (a) any witnesses who may be produced against or on behalf of the person in question, and
  - (b) any statement which may be offered in defence,may deal with the person as if the person had committed a contempt of court in relation to the Court of Session.
- (3) Nothing in this section is to be construed as applying to the taking of such action as is mentioned in section 12(6).

#### Textual Amendments

**F20** Words in s. 14(1)(a) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\), ss. 13\(2\), 14\(2\)](#); S.S.I. 2015/428, art. 2(2)

## 15 Reports on investigations

- (1) [<sup>F21</sup>Subject to subsection (1A),] after conducting an investigation, the Ombudsman must—
  - (a) if the investigation is pursuant to a complaint, send a report of the investigation to the persons specified in section 11(2) and to the Scottish Ministers,
  - (b) if the investigation is pursuant to a request, send a report of the investigation to the persons specified in section 11(4) and to the Scottish Ministers,and must lay a copy of the report before the Parliament.

[<sup>F22</sup>(1A) Where the Ombudsman decides to discontinue an investigation, the Ombudsman may—

- (a) send a report of the investigation to the Scottish Ministers, and
- (b) lay a copy of the report before the Parliament.]
- (2) Subsection (3) of section 11 applies for the purposes of subsection (1)(a) of this section as it does for the purposes of subsection (2)(d) of that section.
- (3) Apart from identifying the listed authority in question, the report must not—
  - (a) mention the name of any person, or
  - (b) contain any particulars which, in the Ombudsman's opinion, are likely to identify any person and can be omitted without impairing the effectiveness of the report,unless the Ombudsman determines that it is necessary to do so.
- (4) The listed authority in question must, unless the Ombudsman otherwise directs—
  - (a) make arrangements, having effect for a period of at least 3 weeks, for allowing any person to—

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- (i) inspect the report [<sup>F23</sup>sent to it by virtue of subsection (1)] at any reasonable time,
  - (ii) obtain a copy of it, or any part of it (whether or not on payment of a reasonable fee), and
  - (b) publicise those arrangements.
- (5) Subsection (4) has effect—
- (a) where the listed authority is a family health service provider, as if the reference to the listed authority were a reference to any health service body with whom that provider—
    - (i) is subject to an undertaking to provide family health services, or
    - (ii) has agreed to perform such services,
 (as the case may be),
  - (b) where the listed authority is an independent provider, as if the reference to the listed authority were a reference to the health service body or family health service provider with whom the independent provider made the arrangement to provide the service concerned.
- (6) In considering whether to make—
- (a) a determination under subsection (3), or
  - (b) a direction under subsection (4),
- the Ombudsman must take into account the public interest as well as the interests of the person aggrieved (if the investigation is pursuant to a complaint) and of any other persons.
- (7) Any person who obstructs another person seeking to inspect a report or obtain a copy of it or any part of it in pursuance of arrangements made under subsection (4) is guilty of an offence and liable, on summary conviction, to a fine not exceeding level 3 on the standard scale.
- [<sup>F24</sup>(8) Any reference in subsections (3) to (5) to the listed authority in question or to the listed authority includes, in relation to a complaint following which the investigation was conducted, a reference to a listed authority—
- (a) which was not mentioned in the complaint, but
  - (b) whose action was investigated by the Ombudsman in connection with the investigation.]

#### Textual Amendments

- F21** Words in s. 15(1) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 5\(a\)](#) (with s. 31(6), sch. 7)
- F22** S. 15(1A) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 5\(b\)](#) (with s. 31(6), sch. 7)
- F23** Words in s. 15(4)(a)(i) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 5\(c\)](#) (with s. 31(6), sch. 7)
- F24** S. 15(8) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 5\(d\)](#) (with s. 31(6), sch. 7)

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## 16 Special reports

- (1) This section applies where a report under section 15 finds that the person aggrieved has sustained injustice or hardship as is mentioned in section 5(3).
- (2) If, following the making of the report, it appears to the Ombudsman that the injustice or hardship has not been, or will not be, remedied, the Ombudsman may make a special report on the case.
- (3) The Ombudsman must—
  - (a) send a special report made under subsection (2) to the persons to whom the report under section 15 was sent, and
  - (b) lay a copy of the report before the Parliament.
- (4) Section 15(3) applies in relation to a special report as it applies in relation to a report under that section.
- (5) The Ombudsman may make arrangements for the special report to be available to the public in such manner (whether or not on payment of a reasonable fee) as the Ombudsman thinks fit.
- (6) The listed authority to whom the special report relates is liable to reimburse the Ombudsman in respect of any expenses incurred by the Ombudsman by virtue of subsection (5).

*<sup>F25</sup>Listed authorities: complaints handling procedures*

### Textual Amendments

**F25** Ss. 16A-16G and cross-heading inserted (1.8.2010) by [Public Services Reform \(Scotland\) Act 2010](#) (asp 8), **ss. 119**, 134(7); S.S.I. 2010/221, art. 3(2), sch.

## 16A Statement of principles

- (1) The Ombudsman must publish a statement of principles (referred to in this Act as “the statement of principles”) concerning complaints handling procedures of listed authorities.
- (2) A listed authority must ensure—
  - (a) it has a complaints handling procedure in respect of action taken by the listed authority, and
  - (b) any such procedure complies with the statement of principles.
- (3) A listed authority which is responsible, by virtue of any enactment, for a complaints handling procedure—
  - (a) in relation to, or
  - (b) operated by,another listed authority, must ensure the procedure complies with the statement of principles.
- (4) The first statement of principles under subsection (1) is not to be published unless a draft of the statement has been laid before, and approved by a resolution of, the Parliament.

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- (5) Where a draft is laid in accordance with subsection (4), the Parliament may approve the draft no later than 2 months after being laid.
- (6) In calculating any period of 2 months for the purposes of subsection (5), no account is to be taken of any time during which the Parliament is dissolved or is in recess for more than 4 days.
- (7) Before laying a draft statement of principles before the Parliament in accordance with subsection (4) the Ombudsman must consult—
  - (a) the Scottish Ministers, and
  - (b) such listed authorities and other persons as the Ombudsman thinks fit.
- (8) The Ombudsman must, in preparing the draft statement of principles to be laid before the Parliament in accordance with subsection (4), have regard to any representations made during the consultation mentioned in subsection (7).
- (9) The statement of principles comes into force when it is published by the Ombudsman.
- (10) The Ombudsman may from time to time revise and re-publish the statement of principles.
- (11) Where the Ombudsman considers that any revision of the statement of principles under subsection (10) is material, subsections (4) to (8) apply to that statement of principles as they do to the first statement of principles.
- (12) In this section and sections 16B to 16E, “complaints handling procedures” means procedures of listed authorities which examine complaints or review decisions in respect of action taken by a listed authority where the matter in question is one in respect of which a complaint to the Ombudsman can be made and investigated under this Act.

## **16B Model complaints handling procedures**

- (1) The Ombudsman may publish model complaints handling procedures for listed authorities.
- (2) A model complaints handling procedure (referred to in this Act as a “model CHP”) must comply with the statement of principles.
- (3) The Ombudsman may publish different model CHPs for different purposes.
- (4) Before publishing a model CHP the Ombudsman must consult such listed authorities or groups of listed authorities as the Ombudsman thinks fit.
- (5) The Ombudsman may from time to time revise and re-publish any model CHP; and in doing so subsection (4) applies.
- (6) Where a model CHP is revised and re-published by virtue of subsection (5), section 16C has effect with the following modifications—
  - (a) any specification under subsection (1) of that section in relation to the model CHP continues in effect as a specification in relation to the revised and re-published model CHP,
  - (b) any other reference to a model CHP is to the model CHP as revised and re-published,
  - (c) subsection (3) of that section is omitted.



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- (7) The Ombudsman may withdraw any model CHP at any time; and any specification under section 16C(1) in relation the model CHP ceases to have effect.

#### **16C Model complaints handling procedures: specification of listed authorities**

- (1) The Ombudsman may specify any listed authority to which a model CHP is relevant; and must notify the authority accordingly.
- (2) Where a model CHP is relevant to a listed authority by virtue of a specification under subsection (1), the authority must ensure there is a complaints handling procedure which complies with the model CHP for the purposes of the specification.
- (3) Where subsection (2) applies the authority must submit a description of the complaints handling procedure, having taken account of the relevant model CHP, within 6 months of the specification mentioned in that subsection.
- (4) A listed authority may, with the consent of the Ombudsman, modify the application of the model CHP which is relevant to it but only to the extent that is necessary for the effective operation of the procedure by the authority.
- (5) The Ombudsman may revoke any specification under subsection (1) at any time.

#### **16D Declarations of non-compliance**

- (1) Where a model CHP is relevant to a listed authority by virtue of a specification under section 16C(1) the Ombudsman may declare that the complaints handling procedure of the authority, a description of which was submitted by the authority under section 16C(3) or otherwise, does not comply with the model CHP.
- (2) Where there is no specification under section 16C(1) in relation to a listed authority the Ombudsman may declare that the complaints handling procedure of the authority, a description of which was submitted by the authority under section 16E or otherwise, does not comply with the statement of principles.
- (3) Where a declaration is made under subsection (1) or (2) the Ombudsman—
- (a) must give reasons in writing,
  - (b) may specify such modifications to the complaints handling procedure as would result in the declaration being withdrawn.
- (4) Where a declaration is made under subsection (1) or (2) the listed authority must submit a description of its complaints handling procedure, having taken account of the reasons given under subsection (3)(a) and any modifications specified in subsection (3)(b), within 2 months of the declaration.
- (5) The Ombudsman may withdraw a declaration of non-compliance made under subsection (1) or (2) at any time if the Ombudsman thinks fit.

#### **16E Submission of description of complaints handling procedure: general**

- (1) A listed authority must submit a description of its complaints handling procedure if the Ombudsman so directs; and must do so within 3 months of being so directed or such other period as the Ombudsman may direct.
- (2) Sections 16C(3) and 16D(4) are subject to any direction given under this section.

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- (3) Where a listed authority has submitted a description of its complaints handling procedure to the Ombudsman under this Act or otherwise, the authority must provide such additional information in relation to that procedure as the Ombudsman may reasonably request; and must do so within such period as the Ombudsman directs.

#### **16F Complaints handling procedures: application of other enactments**

The duties in sections 16A(2) and (3) and 16C(2) do not apply to the extent that—

- (a) the listed authority lacks the necessary powers (other than by virtue of this Act) to ensure compliance with the duties, or
- (b) the duties are inconsistent with any other enactment.

*Complaints handling procedures: promotion of best practice etc.*

#### **16G Complaints handling procedures: promotion of best practice etc.**

- (1) The Ombudsman must—
  - (a) monitor practice and identify any trends in practice as respects the way in which listed authorities handle complaints,
  - (b) promote best practice in relation to such complaints handling,
  - (c) encourage co-operation and the sharing of best practice among listed authorities in relation to complaints handling.
- (2) A listed authority must co-operate with the Ombudsman in the exercise of the function in subsection (1).
- (3) The duty in subsection (2) does not apply to the extent that—
  - (a) the listed authority lacks the necessary powers (other than by virtue of this Act) to ensure compliance with the duty, or
  - (b) the duty is inconsistent with any other enactment.]

*[<sup>F26</sup>Other functions of the Ombudsman*

#### **Textual Amendments**

**F26** S. 16H and cross-heading inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\), ss. 13\(3\), 14\(2\); S.S.I. 2015/428, art. 2\(2\)](#)

#### **16H Reviews under the Welfare Funds (Scotland) Act 2015**

As well as the functions conferred by sections 2 to 16G, the Ombudsman has the functions in relation to the review of decisions by local authorities conferred by the 2015 Act (see sections 7 to 12 of that Act.)]

*Status: Point in time view as at 16/10/2019.*

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### *Miscellaneous and general*

#### **17 Annual reports etc.**

(1) The Ombudsman must lay before the Parliament annually a general report on the exercise of the Ombudsman's functions [<sup>F27</sup>during the reporting year] .

(2) Such a report may include, in particular, any general recommendations which the Ombudsman may have arising from the exercise of those functions in the [<sup>F28</sup>reporting year] .

[<sup>F29</sup>(2A) A report under subsection (1) must be laid before the Parliament within seven months after the end of the reporting year.]

(3) The [<sup>F30</sup>Parliamentary corporation] may give the Ombudsman directions as to the form and content of a report under subsection (1); and the Ombudsman must comply with any such direction.

[<sup>F31</sup>(3A) The Ombudsman must arrange for the publication of each report under subsection (1).]

(4) The Ombudsman may from time to time lay before the Parliament such other reports with respect to the exercise of the Ombudsman's functions as the Ombudsman thinks fit.

[<sup>F32</sup>(5) In this section, "reporting year" means the year beginning on 1 April.]

#### **Textual Amendments**

**F27** Words in s. 17(1) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(a\)](#) (with s. 31(6), sch. 7)

**F28** Words in s. 17(2) substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(b\)](#) (with s. 31(6), sch. 7)

**F29** S. 17(2A) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(c\)](#) (with s. 31(6), sch. 7)

**F30** Words in s. 17(3) substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(d\)](#) (with s. 31(6), sch. 7)

**F31** S. 17(3A) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(e\)](#) (with s. 31(6), sch. 7)

**F32** S. 17(5) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), [sch. 3 para. 6\(f\)](#) (with s. 31(6), sch. 7)

#### **[<sup>F33</sup>17A Strategic plans**

(1) The Ombudsman must, in respect of each 4 year period, lay before the Parliament a plan (referred to in this section as a "strategic plan") setting out how the Ombudsman proposes to perform the Ombudsman's functions during the 4 year period.

(2) A strategic plan must, in particular, set out—

- (a) the Ombudsman's objectives and priorities during the 4 year period,
- (b) how the Ombudsman proposes to achieve them,
- (c) a timetable for doing so, and
- (d) estimates of the costs of doing so.

*Status: Point in time view as at 16/10/2019.*

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- (3) Before laying a strategic plan before the Parliament, the Ombudsman must provide a draft of it to and invite, and (if any are given) consider, comments on it from—
  - (a) the Parliamentary corporation, and
  - (b) such other persons as the Ombudsman thinks appropriate.
- (4) The reference in subsection (3)(b) to other persons includes a reference to a committee of the Parliament.
- (5) The Ombudsman must lay each strategic plan before the Parliament not later than the beginning of the 4 year period to which the plan relates.
- (6) The Ombudsman must arrange for the publication of each strategic plan laid before the Parliament.
- (7) The Ombudsman may, at any time during a 4 year period, review the strategic plan for the period and lay a revised strategic plan before the Parliament.
- (8) Subsections (2) to (7) apply to a revised strategic plan as they apply to a strategic plan.
- (9) In that application, the reference in subsection (5) to the 4 year period is a reference to the period to which the revised strategic plan relates.
- (10) In this section, “4 year period” means the period of 4 years beginning on 1 April next following the coming into force of this section and each subsequent period of 4 years.]

#### Textual Amendments

**F33** S. 17A inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010](#) (asp 11), s. 31(5), [sch. 3 para. 7](#) (with s. 31(6), sch. 7)

## 18 Protection from actions for defamation

- (1) For the purposes of the law of defamation, the following are absolutely privileged—
  - (a) any statement made by the Ombudsman in pursuance of section 11, 15, 16 or 17,
  - (b) any statement made by—
    - (i) the person aggrieved,
    - (ii) a person authorised for the purpose of subsection (1)(b) of section 9,
    - (iii) a person falling within subsection (3) of that section, or
    - (iv) a listed authority,
 in communicating with the Ombudsman for the purposes of this Act, or by the Ombudsman in communicating with any such person or authority for those purposes,
  - (c) any statement made in pursuance of arrangements under section 15(4) or 16(5).
  - [<sup>F34</sup>(d) any statement made by the Ombudsman in pursuance of section 11 of the 2015 Act,
  - (e) any statement made by the Ombudsman in communicating with any person for the purposes of a welfare fund review,
  - (f) any statement made by any person in communicating with the Ombudsman for the purposes of such a review.]

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- (2) In subsection (1), “statement” has the same meaning as in the Defamation Act 1996 (c.31).

#### Textual Amendments

**F34** S. 18(1)(d)-(f) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), ss. 13(4), 14(2); S.S.I. 2015/428, art. 2(2)

## 19 Confidentiality of information

- (1) Information obtained by the Ombudsman or any of the Ombudsman’s advisers in connection with any matter in respect of which a complaint or a request has been made must not be disclosed except for any of the purposes specified in subsection (2) or as permitted by subsection (3).

- (2) Those purposes are—

- (a) the purposes of—

- (i) any consideration of the complaint or request (including any statement under section 11),  
(ii) any investigation of the matter (including any report of such an investigation),

- (b) the purposes of any proceedings for—

- (i) an offence under the Official Secrets Acts 1911 to 1989 alleged to have been committed in respect of information obtained by the Ombudsman,  
(ii) an offence of perjury alleged to have been committed in the course of any investigation of the matter,

- (c) the purposes of an inquiry with a view to the taking of any of the proceedings mentioned in paragraph (b),

- (d) the purposes of any proceedings under section 14.

- [<sup>F35</sup>(e) where subsection (2A) applies, the purposes of a welfare fund review.]

- [<sup>F36</sup>(2A) This subsection applies if—

- (a) the matter in respect of which the complaint or request has been made relates to an exercise of a function by a local authority on an application to receive assistance in pursuance of section 2 of the 2015 Act, and

- (b) the welfare fund review relates to the decision made by the authority on that application.

- (2B) Information obtained by the Ombudsman or any of the Ombudsman's advisers in connection with a welfare fund review must not be disclosed except for any of the purposes specified in subsection (2C) or as permitted by subsection (3).

- (2C) Those purposes are—

- (a) the purposes of the review,

- (b) the purposes of any proceedings for—

- (i) an offence under the Official Secrets Acts 1911 to 1989 alleged to have been committed in respect of information obtained by the Ombudsman,

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- (ii) an offence of perjury alleged to have been committed in the course of the review,
  - (c) the purposes of an inquiry with a view to the taking of any of the proceedings mentioned in paragraph (b),
  - (d) where subsection (2D) applies, the purposes of any consideration of a complaint or request in respect of a matter, or the investigation of the matter.
- (2D) This subsection applies if—
  - (a) the matter in respect of which the complaint or request has been made relates to an exercise of a function by a local authority on an application to receive assistance in pursuance of section 2 of the 2015 Act, and
  - (b) the welfare fund review relates to the decision made by the authority on that application.]
- (3) Where information referred to in subsection (1) [<sup>F37</sup>or (2B)] is to the effect that any person is likely to constitute a threat to the health or safety of [<sup>F38</sup>individuals (in particular or in general)], the Ombudsman may disclose the information to any person to whom the Ombudsman thinks it should be disclosed in the interests of the health [<sup>F39</sup>or] safety of [<sup>F40</sup>the particular individuals or, as the case may be, individuals in general].
- (4) In relation to information disclosed under subsection (3), the Ombudsman must—
  - (a) where the Ombudsman knows the identity of the person to whom the information relates, inform that person of the disclosure of the information and of the identity of the person to whom it has been disclosed, and
  - (b) inform the person from whom the information was obtained of the disclosure.
- [<sup>F41</sup>(4A) The duty under subsection (4)(a) to inform a person about the identity of a person to whom information has been disclosed does not apply where informing the former person is likely to constitute a threat to the health or safety of the latter person.]
- (5) It is not competent to call upon the Ombudsman or the Ombudsman's advisers to give evidence in any proceedings (other than proceedings referred to in subsection (2)) of matters coming to the knowledge of the Ombudsman or advisers in connection with any matter in respect of which a complaint or request has been made.
- [<sup>F42</sup>(5A) It is not competent to call upon the Ombudsman or the Ombudsman's advisers to give evidence in any proceedings (other than proceedings referred to in subsection (2C)) of matters coming to the knowledge of the Ombudsman or advisers in connection with a welfare fund review.]
- (6) A member of the Scottish Executive may give notice in writing to the Ombudsman with respect to—
  - (a) any document or information specified in the notice, or
  - (b) any class of document or information so specified,
 that, in the opinion of the member of the Scottish Executive, the disclosure of the document or information, or of documents or information of that class, would be contrary to the public interest.
- (7) Where such a notice is given nothing in this Act is to be construed as authorising or requiring the Ombudsman or any of the Ombudsman's advisers to communicate to any person or for any purpose any document or information specified in the notice, or any document or information of a class so specified.

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- (8) Information obtained from—
- [<sup>F43</sup>(a)] the Information Commissioner by virtue of section 76 of the Freedom of Information Act 2000 (c.36); [<sup>F44</sup>or
  - (b) the Scottish Information Commissioner by virtue of section 63 of the Freedom of Information (Scotland) Act 2002 (asp 13),]
- is to be treated for the purposes of subsection (1) as obtained in connection with any matter in respect of which a complaint or request has been made.
- (9) In relation to such information, subsection (2)(a) has effect as if—
- (a) the reference in sub-paragraph (i) to the complaint or request were a reference to any complaint or request, and
  - (b) the reference in sub-paragraph (ii) to the matter were a reference to any matter.
- (10) In this section and section 20 references to the Ombudsman’s advisers are to persons from whom the Ombudsman obtains advice under paragraph 10 of schedule 1.

#### Textual Amendments

- F35** S. 19(2)(e) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(5)(a)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F36** S. 19(2A)-(2D) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(5)(b)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F37** Words in s. 19(3) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(5)(c)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F38** Words in s. 19(3) substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 8(a)(i)** (with s. 31(6), sch. 7)
- F39** Word in s. 19(3) substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 8(a)(ii)** (with s. 31(6), sch. 7)
- F40** Words in s. 19(3) substituted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 8(a)(iii)** (with s. 31(6), sch. 7)
- F41** S. 19(4A) inserted (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 8(b)** (with s. 31(6), sch. 7)
- F42** S. 19(5A) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(5)(d)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F43** Words in s. 19(8) renumbered as s. 19(8)(a) (1.1.2005) by [Freedom of Information \(Scotland\) Act 2002 \(asp 13\)](#), s. 75(1), **sch. 4 para. 1(a)**; S.S.I. 2004/203, art. 3(2)
- F44** S. 19(8)(b) and word inserted (1.1.2005) by [Freedom of Information \(Scotland\) Act 2002 \(asp 13\)](#), s. 75(1), **sch. 4 para. 1(b)**; S.S.I. 2004/203, art. 3(2)

#### Modifications etc. (not altering text)

- C3** S. 19 excluded by 1974 c. 7, s. 34M(7)(c) (as inserted (1.10.2010) by [Health Act 2009 \(c. 21\)](#), s. 40(1), **Sch. 5 para. 2**; S.I. 2010/1863, art. 2)

## 20 Disclosure of information by the Ombudsman

- (1) This section applies to any information (referred to in this section as “relevant information”) obtained by, or supplied to, the Ombudsman or any of the Ombudsman’s advisers under or for the purposes of this Act [<sup>F45</sup>or the 2015 Act ].
- (2) The Ombudsman may disclose relevant information to a person or body specified in the first column of schedule 5 if the information appears to the Ombudsman to relate

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to any matter specified in relation to that person or body in the second column of that schedule.

- (3) Nothing in section 19(1) applies in relation to the disclosure of information in accordance with this section.

#### Textual Amendments

**F45** Words in s. 20(1) inserted (1.4.2016) by Welfare Funds (Scotland) Act 2015 (asp 5), ss. 13(6), 14(2); S.S.I. 2015/428, art. 2(2)

## 21 Consultation and co-operation with other Commissioners and Ombudsmen

- (1) Where the Ombudsman, at any stage in the course of considering a complaint or request, forms the opinion that the complaint or request relates partly to a matter which could be the subject of an investigation—
- (a) by the Parliamentary Commissioner for Administration under the Parliamentary Commissioner Act 1967 (c.13),
  - (b) by [<sup>F46</sup>the Health Service Commissioner] under the Health Service Commissioners Act 1993 (c.46) (as that Act has effect in England and Wales),
  - [<sup>F47</sup>(c) by the Public Services Ombudsman for Wales under the Public Services Ombudsman (Wales) Act 2005,]
  - (d) by a Local Commissioner under Part III [<sup>F48</sup>or 3A] of the Local Government Act 1974 (c.7), or
  - (e) by a housing ombudsman in accordance with a scheme approved under section 51 of the Housing Act 1996 (c.52),
- the Ombudsman must consult the appropriate Commissioner or other Ombudsman about the complaint or request.
- (2) If the Ombudsman considers it necessary, the Ombudsman must inform the person who made the complaint or request of the steps necessary to initiate a complaint to that Commissioner or other Ombudsman.
- (3) Where the Ombudsman consults a Commissioner or other Ombudsman in accordance with this section, the consultations may extend to any matter relating to the complaint or request, including—
- (a) the conduct of any investigation into the matter to which the complaint or request relates, and
  - (b) the form, content and publication of any report of the result of such an investigation.
- (4) Where a listed authority is also an authority to which the Parliamentary Commissioner Act 1967 (c.13) applies, the Ombudsman must co-operate with the Parliamentary Commissioner to such extent as appears appropriate when exercising any function in relation to that authority.
- (5) Nothing in section 19(1) applies in relation to the disclosure of information in the course of consultation or co-operation under this section.



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### Textual Amendments

- F46** Words in s. 21(1)(b) substituted (1.4.2006) by [Public Services Ombudsman \(Wales\) Act 2005 \(c. 10\), s. 40, Sch. 6 para. 73\(a\)](#)
- F47** S. 21(1)(c) substituted (1.4.2006) by [Public Services Ombudsman \(Wales\) Act 2005 \(c. 10\), s. 40, Sch. 6 para. 73\(b\)](#)
- F48** Words in s. 21(1)(d) inserted (1.10.2010) by [Health Act 2009 \(c. 21\), s. 40\(1\), Sch. 5 para. 15; S.I. 2010/1863, art. 2](#)

## 22 Information about right to make complaint

- (1) A listed authority must take reasonable steps to publicise the application and effect of this Act in relation to the authority including, in particular, providing information about—
- the right conferred by this Act to make a complaint,
  - the time limit for doing so, and
  - how to contact the Ombudsman.
- (2) Information about the matters specified in subsection (1)(a) to (c) must be included in or provided with—
- any document published by the listed authority and containing information about services provided by the authority to members of the public or about the procedures of the authority for dealing with complaints,
  - any document issued by the listed authority responding to a complaint made to it by any person who might be entitled to make a complaint to the Ombudsman.
- (3) The Ombudsman may issue guidance with respect to the performance by listed authorities of their duties under this section.

### *Supplementary*

## 23 Interpretation

- (1) In this Act, unless the context otherwise requires—
- [<sup>F49</sup>“the 2014 Act” means the Children and Young People (Scotland) Act 2014,]
- [<sup>F50</sup>“the 2015 Act” means the Welfare Funds (Scotland) Act 2015,]
- “action” includes failure to act and related expressions are to be construed accordingly,
- “complaint” means a complaint to the Ombudsman,
- “deputy Ombudsman” has the meaning given in section 1(2),
- “family health service provider” has the meaning given in paragraph 5 of schedule 2 and references to family health services are to any of the services mentioned in that paragraph,
- “health service body” has the meaning given in paragraph 4 of schedule 2,
- “independent provider” has the meaning given in paragraph 6 of schedule 2,
- “listed authority” has the meaning given in section 3(1),
- “local authority” means a council constituted under section 2 of the Local Government etc. (Scotland) Act 1994 (c.39),

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“the Ombudsman” has the meaning given in section 1(1),  
<sup>F51</sup>“the Ombudsman's functions” includes the Ombudsman's functions under the 2015 Act,  
 “the Parliament” means the Scottish Parliament,  
 “the Parliamentary corporation” means the Scottish Parliamentary Corporate Body,  
<sup>F52</sup> ...  
 “person aggrieved” has the meaning given in section 5(4),  
 “registered social landlord” has the meaning given in section 111 of the Housing (Scotland) Act 2001 (asp 10),  
 “request” means a request for investigation under section 2(2).  
<sup>F53</sup>“welfare fund review” means a review in pursuance of an application under section 7(2) of the 2015 Act.]

- (2) For the purposes of this Act, action taken by or on behalf of a listed authority includes action taken by—
- (a) where the authority is a body, a member or committee of the body,
  - (b) an officer or member of staff of the authority,
  - (c) any person acting on behalf of the authority, and
  - (d) any person to whom the authority has delegated functions.
- (3) Action taken by or on behalf of a member of the Scottish Executive does not, however, include action taken on behalf of the Scottish Ministers by a Minister of the Crown or government department by virtue of section 93 (agency arrangements) of the Scotland Act 1998 (c.46).
- (4) Where a listed authority is an office-holder in the Scottish Administration, the persons referred to in subsection (2)(b) include, in particular, any member of the staff of the Scottish Administration assigned to assist the office-holder in question in the exercise of the office-holder's functions.

#### Textual Amendments

- F49** Words in s. 23(1) inserted (31.8.2016) by [The Children and Young People \(Scotland\) Act 2014 \(Part 4 and Part 5 Complaints\) Order 2016 \(S.S.I. 2016/152\)](#), arts. 1(1), **9(3)**
- F50** Words in s. 23(1) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(7)(a)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F51** Words in s. 23(1) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(7)(b)**, 14(2); S.S.I. 2015/428, art. 2(2)
- F52** Words in s. 23(1) repealed (1.4.2011) by [Scottish Parliamentary Commissions and Commissioners etc. Act 2010 \(asp 11\)](#), s. 31(5), **sch. 3 para. 9** (with s. 31(6), sch. 7)
- F53** Words in s. 23(1) inserted (1.4.2016) by [Welfare Funds \(Scotland\) Act 2015 \(asp 5\)](#), **ss. 13(7)(c)**, 14(2); S.S.I. 2015/428, art. 2(2)

## 24 Orders in Council: general

- (1) An Order in Council made under any provision of this Act may include such supplementary, incidental, consequential, transitional, transitory or saving provision as Her Majesty considers necessary or expedient.

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- (2) No recommendation to make an Order in Council under section 3(2) [<sup>F54</sup>or (7)], 8(2) or, where the Order contains provisions which add to, replace or omit any part of the text of an Act, 25(2) is to be made to Her Majesty in Council unless a draft of the Order has been laid before, and approved by resolution of, the Parliament.
- (3) An Order in Council under section 6(2), 25(2) (except where subsection (2) of this section applies) or 26(2) is subject to annulment in pursuance of a resolution of the Parliament.

#### Textual Amendments

**F54** Word in s. 24 inserted (3.10.2005) by [Further and Higher Education \(Scotland\) Act 2005 \(asp 6\)](#), ss. [27\(2\)](#), [36\(2\)](#); S.S.I. 2005/419, art. 2(1)

## 25 Modification of enactments

- (1) Schedule 6 makes modifications of enactments for the purposes of this Act.
- (2) Her Majesty may by Order in Council make such modifications in any enactment, instrument or document as she considers necessary or expedient for the purposes of this Act.

## 26 Consequential, transitional, transitory and saving provision

- (1) Schedule 7 makes provision for the transfer to the Ombudsman of staff, property and liabilities and undetermined complaints in consequence of the provisions of this Act.
- (2) Her Majesty may by Order in Council make such further transitional, transitory or saving provision as she considers necessary or expedient in connection with the coming into force of any provision of this Act.

#### Commencement Information

**II** S. 26 wholly in force at 23.10.2002; s. 26(2) in force at Royal Assent see s. 27(1); s. 26 in force at 23.10.2002 insofar as not already in force by [S.S.I. 2002/467](#), art. 2

## 27 Commencement, revocation and short title

- (1) The provisions of this Act, except for—
  - (a) sections 1, 23, 24 and 26(2),
  - (b) schedule 1, and
  - (c) this section,come into force on such day as Her Majesty may by Order in Council appoint.
- (2) An Order in Council under subsection (1) may appoint a day for the purposes of article 3 of the Scotland Act 1998 (Transitory and Transitional Provisions) (Complaints of Maladministration) Order 1999 (S.I. 1999/1351).
- (3) Different days may be appointed under this section for different purposes.
- (4) This Act may be cited as the Scottish Public Services Ombudsman Act 2002.

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#### **Subordinate Legislation Made**

**P1** S. 27(1) power fully exercised: 23.10.2002 appointed by {[S.S.I. 2002/467](#)}, art. 2

**Status:**

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**Changes to legislation:**

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