

### Update on progress against the recommended audit actions

Area	Rating	Action	Evidence to confirm implementation	Target Date	Progress update
2.1 Responding to complaints within agreed time scale	High	Assign a central complaints handling role to an individual or a team that is responsible for overall tracking of how service areas are meeting their timescales for complaints handling	Assignment of a central complaints handling role to an individual or a team that is responsible for overall tracking of how service areas are meeting their timescales for complaints handling	31/03/2023	<p>Executive Head of Communication and Customer Services was appointed in Oct 2022 with a direct remit for responsibility for the complaints function within the organisation.</p> <p>A growth bid has been submitted for a dedicated resource to support the organisation with complaints handling, we are awaiting the outcome of this bid.</p> <p>In the interim customer services staff are further supporting the complaints process as much as possible and undertaking the improvement actions identified</p>
		Ensure that all relevant members of the team are trained and given access to eCase in order to process complaints	Report confirming access rights in eCase	31/03/2023	<p>Additional staff within customer services have been trained to log and respond to complaints to improve resilience and adherence to initial response times</p> <p>A complaints champion network has been identified across the council, this is still in the formative stages however it is envisioned that they will play a crucial role in</p>

					supporting their services with complaints.
		Ensure that service leads are formally responsible for making sure complaints relating to the service area are resolved in a timely manner	Formal responsibility assigned to service leads to monitor service area performance in meeting timescales for complaints received	31/03/2023	<p>Staff supporting complaints have attended Joint Management Team meetings to ensure that heads of service are aware of the complaints process and their role in this</p> <p>Heads of service and key leads are now receiving a weekly email of all complaints both in progress and overdue for action and awareness.</p>
		Generate a report of open cases from eCase and ensure that these are followed up and closed down appropriately	Report of open cases from eCase showing long overdue cases closed down	31/03/2023	<p>The customer services team have and continue to review open cases on the system that are past their due date with a focus on those with longer timescales or without clear owners and have actioned these as appropriate. This is an ongoing exercise.</p> <p>It should be noted that not all open cases haven't been responded to, in some cases the response was sent out of system and the record not updated. This is an area that will be included in any training.</p>
		Include adherence to timeframes in complaints reporting to CGSC	CGSC papers showing reporting that includes adherence to timeframes for complaints	31/03/2023	During Quarters 1 and 2, we have corporately reviewed the current set of performance indicators now reported to the Overview and Scrutiny Committee, in consultation with Executive Heads of Service (EHOS), Corporate Management

					<p>Board (CMB) and Portfolio Leads. The purpose of the review was to ensure that our PIs are meaningful corporate indicators and provide a clear definition of what is being collected.</p> <p>KPIs related to complaints are included in this reporting. Timescales are monitored at a local level.</p>
		Review timelines and target dates for processing complaints to ensure they remain appropriate and realistic	Review of timelines and target dates in policy	31/03/2023	<p>The council's complaints policy was reviewed and updated in summer 2022 which included a review of timelines and target dates. Given how recently this review was done this will not be revisited at this stage.</p> <p>As the revised complaints policy was in the process of review and sign off when the audit was being undertaken it was not taken into account in regard to this action.</p>
2.2 All complaints correspondence and documentation should be stored on eCase to ensure that a complete corporate record is retained	Medium	Work with eCase provider to manage the capability of escalating cases beyond stage 1 complaints	Stage 2 and 3 correspondence and documentation stored on eCase	31/07/2023	Discussions are underway with the supplier regarding enhanced functionality and a demonstration of this has taken place to establish suitability to requirements. Additional funding is also being sort to support this.

<p>2.3 When complaints are sent directly to senior management at the council and resolved it should still be logged onto eCase</p>	<p>Medium</p>	<p>Include in council policy that all complaints received directly to individuals should be forwarded onto the complaints mailbox for record</p>	<p>Council policy outlining that all complaints received directly to individuals should be forwarded onto the complaints mailbox</p>	<p>31/07/2023</p>	<p>Staff attended Joint Management Team meetings and circulated guidance for senior staff on how to log a complaint.</p>
<p>2.4 Currently there is no formal process for reflection of lessons learnt and common themes arising from complaints data</p>	<p>Low</p>	<p>Analyse complaints data periodically to draw out common complaint themes to be fed back to service areas. Where actions have been identified for improvement, they should be tracked to completion</p>	<p>Analyse complaints data periodically to draw out common complaint themes to be fed back to service areas. Where actions have been identified for improvement, they should be tracked to completion.</p>	<p>31/03/2023</p>	<p>No progress to date</p>
<p>2.5 eCase has a built-in functionality to automate weekly summary emails to be sent to users. Currently this is an optional add-on for relevant service area users</p>	<p>Low</p>	<p>Communicate with service areas on expectations for them to sign up to weekly summary emails on eCase</p>	<p>All relevant service area officers are signed up to receive weekly summary emails on eCase</p>	<p>31/03/2023</p>	<p>Weekly updates on all complaints both overdue and in progress are sent automatically to Executive Heads, Directors and the Chief Executive as well as key service contacts.</p>