

Complaints Monitoring Report

Financial Services

Quarter 3 2022/23 – October to December 2022

Total Complaints Received and Total Complaints Closed					
NUMBER OF COMPLAINTS	2021/22 Q3	2021/22 Q4	2022/23 Q1	2022/23 Q2	2022/23 Q3
Total number of complaints received	11	6	5	7	10
Total number of complaints closed	11	7	4	6	12
The numbers of received and closed complaints may differ because some closed complaints have been received in the previous quarters or some received complaints have not been closed within the reporting quarter.					

Complaints closed at Frontline and Investigative Stages as a percentage of all complaints closed										
NUMBER AND PERCENTAGE CLOSED	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of complaints closed - Frontline	11	100%	6	86%	4	100%	5	83%	10	83%
Number of complaints closed - Investigative	0	0%	1	14%	0	0%	1	17%	2	17%
Number of complaints closed - Escalated	0	0%	0	0%	0	0%	0	0%	0	0%

Number of Frontline Complaints upheld/partially upheld/not upheld/closed as resolution, as a percentage of complaints closed at each stage										
FRONTLINE	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of Frontline complaints upheld	0	0%	1	17%	0	0%	1	20%	3	30%
Number of Frontline complaints partially upheld	2	18%	1	17%	0	0%	0	0%	0	0%
Number of Frontline complaints not upheld	9	82%	4	66%	4	100%	4	80%	7	70%
Number of Frontline complaints resolution	0	0%	0	0%	0	0%	0	0%	0	0%

Number of Investigative Complaints upheld/partially upheld/not upheld/closed as resolution, as a percentage of complaints closed at each stage										
INVESTIGATIVE	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of Investigative complaints upheld	N/A	N/A	0	0%	0	0%	0	0%	1	50%
Number of Investigative complaints partially upheld	N/A	N/A	1	100%	0	0%	0	0%	0	0%
Number of Investigative complaints not upheld	N/A	N/A	0	0%	0	0%	1	100%	1	50%
Number of Investigative complaints resolution	N/A	N/A	0	0%	0	0%	0	0%	0	0%

Number of Escalated Complaints upheld/partially upheld/not upheld/closed as resolution, as a percentage of complaints closed at each stage										
ESCALATED	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of Escalated complaints upheld	N/A	N/A	N/A	N/A	0	0%	0	0%	0	0%
Number of Escalated complaints partially upheld	N/A	N/A	N/A	N/A	0	0%	0	0%	0	0%
Number of Escalated complaints not upheld	N/A	N/A	N/A	N/A	0	0%	0	0%	0	0%
Number of Escalated complaints resolution	N/A	N/A	N/A	N/A	0	0%	0	0%	0	0%

The average time in working days for a full response to complaints at each stage					
RESPONSE TIME	2021/22 Q3	2021/22 Q4	2022/23 Q1	2022/23 Q2	2022/23 Q3
Average time in working days for a full response - Frontline	4.41	4.33	4.00	6.60	4.6
Average time in working days for a full response - Investigative	N/A	17.00	N/A	21.00	25
Average time in working days for a full response - Escalated	N/A	N/A	N/A	N/A	N/A

Number and percentage of complaints at each stage which were closed in full within the set timescales of 5 and 20 working days										
MEETING TARGET TIMESCALES	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of complaints closed within 5 working days - Frontline	10	91%	4	66%	3	75%	2	40%	6	60%
Number of complaints closed within 20 working days - Investigative	N/A	N/A	1	100%	0	0%	0	0%	0	0%
Number of complaints closed within 20 working days - Escalated	N/A	N/A	N/A	N/A	0	0%	N/A	N/A	N/A	N/A

Number and percentage of complaints at each stage where an extension to the 5 or 20 working day timeline has been authorised										
EXTENSIONS	2021/22 Q3		2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3	
	number	%	number	%	number	%	number	%	number	%
Number of complaints with an extension – Frontline	0	0%	0	0%	0	0%	0	0%	0	0%
Number of complaints with an extension – Investigative or Escalated Investigative	N/A	N/A	0	0%	0	0%	0	0%	0	0%

UPHELD OR PARTIALLY UPHELD COMPLAINTS										
Complaint ID	Frontline = 1 Investigative = 2	Complaint Type	Investigating Officer	Decision	Reinforcement	Revision	Reimbursement	Redress	Decision Note	Learning Outcome
101003169583	1	Council Tax	Gillian Fraser	Upheld			Reimbursement		An email indicating liability for council tax was not actioned and filed in error.	Taxation Team advised of importance of auctioning documentation coming into the section.
101003173718	1	Council Tax	Gillian Fraser	Upheld	Reinforcement				Customer had indicated how much she could afford when submitted a DD mandate. However these instructions were not followed.	Staff advised of importance of noting all documentation that comes in.
101003190244	1	Council Tax	Gillian Fraser	Upheld			Reimbursement		How the customer's enquiry were dealt with.	Remind staff of care when processing applications
101003141345	2	Council Tax	Gillian Fraser / James Taylor	Upheld	Reinforcement				Faults were found to be made by staff in processing the Council Tax	Managers to review working practices for handling customer enquiries and carry out refresher training for Council Tax team,