

Complaints Monitoring Report

Financial Services

Quarter 4 2022/23 – January to March 2023

Total Complaints Received and Total Complaints Closed					
NUMBER OF COMPLAINTS	2021/22 Q4	2022/23 Q1	2022/23 Q2	2022/23 Q3	2022/23 Q4
Total number of complaints received	6	5	7	10	16
Total number of complaints closed	7	4	6	12	14
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 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	number	%	number	%	number	%	number	%	number	%
Number of complaints closed - Frontline	6	86%	4	100%	5	83%	10	83%	10	72%
Number of complaints closed - Investigative	1	14%	0	0%	1	17%	2	17%	3	21%
Number of complaints closed - Escalated	0	0%	0	0%	0	0%	0	0%	1	7%

Number of Frontline Complaints upheld/partially upheld/not upheld/closed as resolution, as a percentage of complaints closed at each stage										
FRONTLINE	2021/22 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	number	%	number	%	number	%	number	%	number	%
Number of Frontline complaints upheld	1	17%	0	0%	1	20%	3	30%	3	30%
Number of Frontline complaints partially upheld	1	17%	0	0%	0	0%	0	0%	2	20%
Number of Frontline complaints not upheld	4	66%	4	100%	4	80%	7	70%	5	50%
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 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	number	%	number	%	number	%	number	%	number	%
Number of Investigative complaints upheld	0	0%	0	0%	0	0%	1	50%	1	33.3%
Number of Investigative complaints partially upheld	1	100%	0	0%	0	0%	0	0%	1	33.3%
Number of Investigative complaints not upheld	0	0%	0	0%	1	100%	1	50%	1	33.3%
Number of Investigative complaints resolution	0	0%	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 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	number	%	number	%	number	%	number	%	number	%
Number of Escalated complaints upheld	N/A	N/A	0	0%	0	0%	0	0%	1	100%
Number of Escalated complaints partially upheld	N/A	N/A	0	0%	0	0%	0	0%	0	0%
Number of Escalated complaints not upheld	N/A	N/A	0	0%	0	0%	0	0%	0	0%
Number of Escalated complaints resolution	N/A	N/A	0	0%	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 Q4	2022/23 Q1	2022/23 Q2	2022/23 Q3	2022/23 Q4
Average time in working days for a full response - Frontline	4.33	4.00	6.60	4.6	6
Average time in working days for a full response - Investigative	17.00	N/A	21.00	25	22
Average time in working days for a full response - Escalated	N/A	N/A	N/A	N/A	27

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 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	number	%	number	%	number	%	number	%	number	%
Number of complaints closed within 5 working days - Frontline	4	66%	3	75%	2	40%	6	60%	6	60%
Number of complaints closed within 20 working days - Investigative	1	100%	0	0%	0	0%	0	0%	2	66.7%
Number of complaints closed within 20 working days - Escalated	N/A	N/A	0	0%	N/A	N/A	N/A	N/A	0	0%

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 Q4		2022/23 Q1		2022/23 Q2		2022/23 Q3		2022/23 Q4	
	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	0	0%	0	0%	0	0%	0	0%	0	0%

Q4 UPHELD OR PARTIALLY UPHELD COMPLAINTS										
Complaint ID	Frontline = 1 Investigative = 2	Complaint Type	Investigating Officer	Decision	Reinforcement	Revision	Reimbursement	Redress	Decision Note	Learning Outcome
101003209576	1	Council Tax	Gillian Fraser	Partially Upheld			Reimbursement		Complainant not contacted to discuss repayment plan.	Taxation staff to be advised of process/procedures
101003217797	1	Council Tax	James Taylor	Partially Upheld			Reimbursement		Information was not obtained invalidating the summary warrant.	Best practice for account amendment handling to be reinforced.
101003242075	1	Council Tax	James Taylor	Upheld			Reimbursement		Correct procedures not followed in amending Council Tax accounts.	Advise staff of the importance that correct procedures are followed.
101003268254	1	Council Tax	Gillian Fraser	Upheld		Revision			Customer had been given a decision but this was then overturned in error.	-
101003272116	1	Council Tax	Gillian Fraser	Upheld		Revision			An issue last year left customers unable to make council tax payments prior to 01 April via the automated telephone line. Taxation were under the impression that this had been amended.	Taxation have escalated this problem with IT and Support Teams to ensure this is rectified asap.
101003209431	2	Council Tax	Gillian Fraser	Upheld		Revision			Taxation did not fully investigate before changes were made. Subsequent enquiries also not properly investigated.	Steps have been taken to revise and reinforce the existing procedures to ensure that similar situation does not arise.

101003251372	2	Non Domestic Rates	Lorraine Paisey / James Taylor	Partially Upheld		Revision			Point 1 of complaint was upheld - it was found that the process could have been dealt with more speedily.	Taxation Services to review processes within his team to ensure that there is no repetition of such a delay.
101003259026	2	Complaint Against Staff	John Black	Upheld		Revision			<p>Complaint 1: Staff member rude, abrupt and refused request to authenticate a call – UPHELD - management accepted that this took place</p> <p>Complaint 2 – staff member refused to take complaint verbally on the phone and insisted that the complainant do it online – UPHELD - complaints can be recorded from a verbal account</p> <p>Complaint 3 – front line response should have signposted complainant to their entitlement to have their complaint escalated to investigation within 2 months of receipt of front line response – UPHELD - failed to signpost the complainant</p>	<p>Management to remind all staff on the need to provide professional customer service.</p> <p>Template to be produced for sharing with complaint administrators to ensure complainants are signposted correctly.</p>