

Audit Title:	Complaints and Compliments Audit
Audit Assurance:	Effective with opportunity for improvement

REF	RECOMMENDATIONS	RISK RATING	MANAGEMENT RESPONSE	RESPONSIBLE OFFICER	ACTION DATE (dd/mm/yyyy)
1	<p>A "Terms of reference" should be formalised for the corporate complaints officer meetings, and the meetings should be re-established and re-scheduled with an agenda and minutes taken. The meetings should be comprising Complaints Officers from each directorate, the Corporate Complaints Officer, and at times a representative from the Council's Internal Audit Section and meet at least quarterly.</p> <p>NB - The meetings should be chaired by the corporate team and meet at least quarterly to discuss the complaints data, timescales, and reporting procedures. This should be done for oversight and to support the work of complaints officers in each directorate, where officers could learn from the Complaints "Group" and receive peer support. These meetings should help provide more in-depth information and analysis on all aspects of the complaints data and its relevancy to the service areas within the directorates and is proposed in accordance with good practice.</p>	Red / Amber	Quarterly meetings re-established with first session having been completed on 26.04.23 as chaired by Corporate Complains and Correspondence Manager with minutes available. Further booked on a rolling quarterly basis. As a standard Agenda item, stats gathered across the relevant 3 month period will be shared with the group to allow best practise discussions to take place for peer to peer support as well as group discussion being led by Corporate Complaints team	Lowri Morris	COMPLETE
2	The Corporate complaints advisory Team should update the SOP with the new complaints definition and contact directorates and discuss their interpretation of what should be recorded as a complaint, to support consistent application of the policy across the Council.	Amber / Green	Corporate Complaint SOP has latest CC complaint definition as signed off at HALO Board. This has the addition of identifying what 'is not a complaint'. SOP with this definition circulated to Complaints Coordination officers and accessible at any time via CC's CIS system. Corporate Complaint Team available in advisory capacity as to definition of citizen contact as and when needed as advised in coordinators meeting.	Lowri Morris	COMPLETE
3	It is recommended that to assess the authority's ability to oversee compliments and complaints effectively and efficiently, all efforts should be made to get the HALO system implemented within set timescales and rolled out Council wide.	Amber / Green	Roadmap of service rollout amended in line with project resource availability with the Corporate Complaints iteration planned to go live in January 2024 after all necessary actions in the planning and implementation phases are finalised using any lessons learned from the pilots in Cabinet and Members Enquiries	Isabelle Bignall	31.01.2024

REF	RECOMMENDATIONS	RISK RATING	MANAGEMENT RESPONSE	RESPONSIBLE OFFICER	ACTION DATE (dd/mm/yyyy)
4	Following the roll-out of HALO, a quality assurance system should be developed centrally on compliance and the efficiency and effectiveness of complaints handling, through the use of the data in HALO and its available applications and opportunities for data and case interrogation.	Amber / Green	It will remain Service Area responsibility to record all necessary data on HALO and manage response deadlines but the overview HALO affords will allow the Corporate Complaint team to act on any concerning data and (as per quality KPI) carry out randomised dip sampling of responses as they will be stored centrally. Target date reflects the planned HALO roll out for Corporate Complaints and the need to inbuild a bedding-in period given the scope of change that impacts all areas of the authority and the creation of a quality monitoring criteria with input from complaint coordinators	Lowri Morris	31.03.2024

REF	RECOMMENDATIONS	RISK RATING	MANAGEMENT RESPONSE	RESPONSIBLE OFFICER	ACTION DATE (dd/mm/yyyy)
5	<p>It is recommended that the Governor services Team produce a briefing note and add the following advice to their termly checklist and share it with all schools and Governing bodies in Cardiff. The briefing note should:</p> <ul style="list-style-type: none"> •Request that each headteacher produces an annual report to the governing body about all complaints made to the school, so that the governing body can monitor complaints and consider how to improve procedures or address issues that generate complaints. This could be a separate targeted report to the governing body or covered as an item within the headteachers report. •Suggest that the report records the number of complaints, whether made by adults or pupils, and that the headteacher also reports to the governing body any related matters considered by the school council. •Advise schools to keep records of complaints for the current year plus 6 years for major complaints and if negligence was involved current year plus 15 years and if child protection issues were identified, current year plus 40 years. •Recommend that record keeping is reviewed in all schools to ensure that complaints are logged in a central place. This will enable the Headteacher and Governing Body to have improved oversight and to identify recurring issues or support needed. 	Amber / Green	<ul style="list-style-type: none"> •The spring and summer term checklists sent to all Chairs of Governors, Headteachers and Clerks to Governors included an action for governing bodies to review their complaints procedures in accordance with revised Welsh Government guidance and model policy. A further reminder will be sent in the autumn term followed by an audit by the Governor Services Team in the summer term. •The summer term checklist sent to all Chairs of Governors, Headteachers and Clerks asked governing bodies to ensure procedures are in place to log school complaints and that Headteacher reports provides governors with key data relating to complaints. <p>Governor Services will work with Internal Audit to add some response requirements to the next CRSA which could be followed up in the event of any concern.</p> <ul style="list-style-type: none"> •A full briefing note will be produced for the autumn term notifying governing bodies of the need for regular reporting and record keeping of complaints. The guidance will include the retention periods for complaints as detailed in the Information and Records Management Toolkit for Schools. The briefing note will form part of a wider piece of work on complaints that will also include the issue of a model 'Unacceptable Actions Policy for Governing Bodies to consider adopting. Again, Governor Services will work with Internal Audit to add some response requirements to the next CRSA which could be followed up in the event of any concern. 	Governor Services Manager	31/03/2024