

Investigation and Enforcement Continuous Improvement Action plan						
What was the problem?	Current position	Action	Date	Delivery status	Expected position	Evaluation of progress
<p>The time taken to resolve investigations increased during the COVID pandemic and at times were not acceptable.</p> <p>There have been issues with the quality of decision making in our enforcement casework.</p> <p>Adequate and timely communications with parties needs to be improved.</p>	<p>Over 10,000 complaints received pa, with around 1800 referred for investigation.</p>	<p>Increase resource across Directorate resulting in an increase from 195 FTE in July 2022 to 236 by October 2023.</p>	<p>All new starters in place by October 2023</p>	<p>On track</p>	<p>By June 2024:</p> <ul style="list-style-type: none"> <li>• Meet the following KPIs: <ul style="list-style-type: none"> <li>○ overarching investigation stage KPIs of 93% of investigations concluded within 12 months; 95% within 18 months; 98% within 24 months.</li> <li>○ 80% of initial assessments completed within 2 months</li> <li>○ 70% of investigations closed within 10 months from assessment</li> </ul> </li> </ul> <p>Investigations over 24 months old - 82 (c.50% reduction from July 2023)</p> <p>Case holdings by Investigation Officer reduced from a maximum of 40 to 25 by October 2023.</p> <p>Reduction in upheld complaints about delay and communication in annual report for year ending October 2024.</p> <p>Results of customer satisfaction survey in 2024 to monitor communication with parties.</p>	<p>KPI performance and aged case figures to be reported to board quarterly as part of standard performance pack.</p> <p>Interim progress report in January 2024 on implementation of new arrangements and training programme.</p>
	<p>KPI performance as of June 2023:</p> <ul style="list-style-type: none"> <li>• Overarching investigation stage KPIs: 94% against KPI of 93% of investigations concluded within 12 months; 96% against KPI of 95% within 18 months; 97% against KPI of 98% within 24 months</li> </ul>	<p>Introduce simplified, documented processes and procedures to remove inefficiency and unnecessary delays and increase consistency.</p>	<p>July 2023</p>	<p>Complete</p>		
	<ul style="list-style-type: none"> <li>• 87% against KPI of 80% of initial assessments completed within 2 months</li> </ul>	<p>Produce targeted guidance on addressing common causes of delay (non-cooperation from third parties, seeking expert evidence, and investigating multiple complaints).</p>	<p>July 2023</p>	<p>Complete</p>		
	<ul style="list-style-type: none"> <li>• 66% against</li> </ul>	<p>Introduce new process, guidance, and templates to address urgent and immediate risk through interim conditions.</p>	<p>July 2023</p>	<p>Complete</p>		
	<ul style="list-style-type: none"> <li>• 66% against</li> </ul>	<p>Introduce new case management system functionality to manage tasks, and improve management oversight. This will include triggers</p>	<p>July 2023</p>	<p>Complete</p>		

	<p>KPI of 70% of investigations closed within 10 months from assessment</p> <ul style="list-style-type: none"> <li>100% against KPI of 80% cases lodged within 20 weeks post referral to the SDT</li> </ul> <p>Aged cases:</p> <ul style="list-style-type: none"> <li>162 cases at 24 months or older as of July 2023</li> </ul> <p>Complaints for year ending October 2022 (annual report):</p> <ul style="list-style-type: none"> <li>56 (c. 50%) of complaints about delay relating to investigations reported as justified.</li> <li>54 complaints about communication in our</li> </ul>	for regular and deep dive case and to track compliance.				
		Set new service levels for milestones in an investigation, and introducing requirement for bespoke timelines to attach to activities in Investigation Plans - giving clear expectations on how long each stage of an investigation should take.	July 2023	Complete		
		Develop staff training programme for new and existing staff with more structured and ongoing programme of learning and development to continually improve skills and knowledge, and a focus on case analysis, effective case progression and avoiding delays.	Training developed and delivered for existing staff - June 2023	Complete		
		Model KPIs based on enhanced management information to enable more nuanced targets for aged cases	January 2024	On track		
		Introduce formal buddying system	January 2024	On track		
		Introduced templates for	July 2023	Complete		

<p>investigation work reported as justified (69% of total upheld communication complaints).</p> <p>File reviews have shown: investigations could be improved by having clearer analysis, reasoning and focus; our case management system is not being used to its full potential, and there can be inadequate communication with parties.</p>	<p>Investigation Plans and Notices supported by guidance on case analysis, with mandatory manager review and/ or lawyer sign off to improve</p>				
	<p>Created new easily accessible “knowledge bank” repository, providing a single source of truth on technical and process issues.</p>	<p>July 2023</p>	<p>Complete</p>		
	<p>Improvements to assessment process including dedicated legal resource for complex complaints and updated threshold test.</p>	<p>November 2023</p>	<p>On track</p>		
	<p>Introduce specific guidance on communicating with parties. This makes clear the standard of service parties should receive and when they should be contacted by the SRA.</p>	<p>July 2023</p>	<p>Complete</p>		
	<p>Update template letters so they are clearer and easier to understand, automatically pre-populated with key information.</p>	<p>July 2023</p>	<p>Complete</p>		
	<p>Introduce improved case management system</p>	<p>July 2023</p>	<p>Complete</p>		

		functionality to trigger frequent contact (with an upper limit of 3 months from the previous contact) and monitor compliance.				
		Improve website content for complainants to provide support to those making complaints and give clarity on the information to assist an investigation.	December 2023	On track		