

Completed action

Month completed

| | Jul 23 | Aug 23 | Sep 23 | Oct 23 | Nov 23 | Dec 23 | Jan 24 |
|---|--------|--------|--------|--------|--------|--------|--------|
| Increase resource across directorate resulting in an increase from 195 Full-time equivalent (FTE) in July 2022 to 236 by October 2023. | | | | ✓ | | | |
| Case holdings by Investigation Officer reduced from a maximum of 40 to 25 by October 2023. | | | | | ✓ | | |
| Introduce simplified, documented processes and procedures to remove inefficiency and unnecessary delays and increase consistency. | ✓ | | | | | | |
| Produce targeted guidance on addressing common causes of delay (non-cooperation from third parties, seeking expert evidence, and investigating multiple complaints). | ✓ | | | | | | |
| Introduce new process, guidance, and templates to address urgent and immediate risk through interim conditions. | ✓ | | | | | | |
| Introduce new case management system functionality to manage tasks, and improve management oversight. This will include triggers 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. | ✓ | | | | | | |
| 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. | ✓ | | | | | | |
| Model Key Performance Indicators (KPIs) based on enhanced management information to enable more nuanced targets for aged cases. | | | | | | | ✓ |
| Introduce formal buddying system. | | | | | ✓ | | |
| Introduced templates for Investigation Plans and Notices supported by guidance on case analysis, with mandatory manager review and/ or lawyer sign off to improve. | ✓ | | | | | | |
| Created new easily accessible 'knowledge bank' repository, providing a single source of truth on technical and process issues. | ✓ | | | | | | |
| Improvements to assessment process including dedicated legal resource for complex complaints and updated threshold test. | | | | | ✓ | | |
| 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. | ✓ | | | | | | |
| Update template letters so they are clearer and easier to understand, automatically pre-populated with key information. | ✓ | | | | | | |
| Introduce improved case management system functionality to trigger frequent contact (with an upper limit of three 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. | | | | | ✓ | | |