

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.							In progress
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.					✓		