



## INTERNAL MEMORANDUM

**To:** Sunil Modaley – Asst Chief Executive, Governance & Finance  
Philip McCourt – Head of Legal & Property Services  
Norma Evans – Information & Customer Liaison Manager  
Jon Bilson – Strategy & Performance Manager, Housing  
Patsy White – Complaints & Service Improvements Officer, Housing  
Claire Hutley – Performance Officer, Learning & Development  
Thomas Hefferon – IT Analyst/Programmer

**From:** Lynda Baker  
Audit Manager

**Ref:** E448/06/LL  
**Date:** 13 September 2006

### Follow Up to Final Internal Audit Report

### CORPORATE COMPLAINTS

I refer to the above Audit Report and in accordance with Audit's routine procedures a follow up has been undertaken to assess the progress being made regarding the implementation of the agreed recommendations.

The status of recommendations is as per the table below.

Recommendation Category	Recommendations Implemented	Recommendations In-Progress	Recommendations Not Implemented	Total Recommendations
Essential	0	0	0	0
Important	0	2	1	3
Standard	1	1	1	3

Recommendations addressed to the Neighbourhood directorate have been actioned. The directorate for Learning & Development has delayed implementation due to secondment of the Executive Assistant to the Systems Thinking team in Environment.

The outstanding recommendations are still important and have included overleaf for your convenience. Please be advised that on a quarterly basis the Audit Committee will be provided with a summary of Audit Reports issued and follow-ups completed including details of recommendations not implemented. The quarterly report can also include details of recommendations implemented after the date of this memo if appropriate evidence is provided to Internal Audit. Follow-up information will also be published on the Council's Internet site next to the Final Audit Report.

The Audit Committee may require explanation of recommendations not implemented. If you have any queries with the audit or its follow-up, please do not hesitate to contact Lucy Lumb.

*L.J. Baker*

**Lynda Baker - Audit Manager**  
(Enc)

**- Audit Forum -**

Visit our Web Site for information on our services.  
[http://intranet/Internal\\_Audit/home.asp](http://intranet/Internal_Audit/home.asp)

# COMPLAINTS – FOLLOW-UP REPORT

(Follow-up in respect of Final report issued in February 2006)

**The recommendations are categorised on the following basis:**

- Essential** - Implementation is required with immediate effect to address a weakness that fundamentally undermines the control of that system.
- Important** - Implementation is required within a short period of time to address weaknesses that seriously undermine the control of that system.
- Standard** - Management need to take recommended action within a reasonable period to address weaknesses that may undermine system control.

Ref	Recommendation	Risk/ Implication	Management Comments	Manager Responsible & Target Date	Follow-Up Status & Comments
1	<b>Important</b> React should be consistently updated with every field on each tab where applicable. If fields are not applicable state "not applicable". This should be reviewed by management teams on a regular basis (i.e. monthly).	Complaints may not be dealt with according to the procedure.	Agreed by the Information & Customer Liaison Manager. It is essential for system users to effectively record information in order that accurate management information is available.	Complaints/Service Improvements Officer (Housing) & Performance Officer (L&D) 28/02/2006	<b>In Progress</b> Housing management has provided training to staff and monitors the completion of complaints data on react on a weekly basis. This action has been delayed in L&D while Awaiting the Executive Assistant (L&D) to return from secondment.
2	<b>Important</b> The standard deadlines set for complaints should be met. In cases where they cannot be met, an explanation should be recorded on React for management to see as well as sending notification to the complainant. Missed deadlines should be monitored monthly.	The public may not receive the level of service promised.	Agreed by the Information & Customer Liaison Manager. It is essential for system users to effectively record information in order that accurate management information is available.	Complaints/Service Improvements Officer (Housing) & Performance Officer (L&D) 28/02/2006	<b>In Progress</b> Housing management continue to monitor deadlines and delivery on a weekly basis. The volume of complaints has fallen and there has been some improvement in the target times. This action has been delayed in L&D while Awaiting the Executive Assistant (L&D) to return from secondment.

Ref	Recommendation	Risk/ Implication	Management Comments	Manager Responsible & Target Date	Follow-Up Status & Comments
3	<b>Important</b> An investigation should be carried out to establish why complaints have not been logged in other areas of L&D (see Finding for detail).	Complaints may not be dealt with.	Agreed.	Performance Officer, L&D 30/06/2006	<b>Not Implemented</b> Awaiting the Executive Assistant (L&D) to return from secondment.
4	<b>Standard</b> The category of new records should be changed when they are not a complaint (i.e. to comment or compliment).	The true number of complaints cannot be calculated easily.	Agreed by the Information & Customer Liaison Manager. It is essential for system users to effectively record information in order that accurate management information is available.	Performance Officer, L&D 28/02/2006	<b>Not Implemented</b> Awaiting the Executive Assistant (L&D) to return from secondment.
5	<b>Standard</b> A risk workshop should be booked and carried out to identify the potential risks arising with regard to the Corporate Complaints procedure.	The service may not be aware of risks.	Agreed.	Information & Customer Liaison Manager 31/07/2006	<b>Implemented</b>
6	<b>Standard</b> From the date of this report all nominated Customer Care Officers and Investigating Officers should attend the React training course provided by the IT Training & Support Officer before receiving access to the system. The IT Analyst/Programmer should check the React training schedule before granting access to these users. Internal Audit notes that in exceptional circumstances Officers may need to be given access and interim training pending attendance on the official React training course.	The database could be incorrectly updated with information.	Agreed by the Information & Customer Liaison Manager. It is essential for system users to effectively record information in order that accurate management information is available.	Strategy and Performance Manager (Housing) & IT Analyst / Programmer 28/02/2006	<b>In Progress</b> The React training course has become more popular over the last few months suggesting that new users are being trained before receiving access to React, however there is not evidence of this theory.