

PROTECT

COMPLIANCE PROCESS

**Purpose Statement:** Ensure that all remedies that we recommend or request are secured in full, without undue delay.

METHOD		
	Actions	Behaviours/Working Practices
<b>Case Closed</b>	<ul style="list-style-type: none"> <li>Case closed as partly or fully upheld, outcome and compliance items recorded on electronic record.</li> <li>Final report outlining recommendation/s sent to Complainant and Organisation.</li> <li>Compliance item should:                             <ul style="list-style-type: none"> <li>Clearly set out what we are asking the organisation to do;</li> <li>Have an appropriate and achievable target date;</li> <li>Be accepted by the parties; and</li> <li>Be clearly recorded.</li> </ul> </li> <li>If at any stage, the Organisation says they will not comply with the recommendation, Business Support Officer should inform Caseworker who should inform Operations Manager and the relevant Assistant Director. Assistant Director to contact appropriate senior member of Organisation and continue to manage case to resolution.</li> </ul>	<b>Caseworker</b> <ul style="list-style-type: none"> <li>I will ensure that I clearly record each compliance item with an achievable target date accepted by the parties.</li> <li>I will carefully and thoroughly consider whether the organisation has satisfactorily complied with our recommendations in a timely manner.</li> <li>Once the compliance item is closed I will inform the parties of the outcome.</li> <li>I will ensure a risk assessment is carried out when appropriate and take relevant steps to mitigate/eliminate any identified risks.</li> <li>I will keep the complainant updated about what PHSO is doing to secure compliance.</li> </ul>
<b>Two weeks+ post compliance target date.</b>	<ul style="list-style-type: none"> <li>If no response from Organisation, Business Support Officer actively chases for a response from the Organisation.</li> <li>At regular intervals, the Caseworker should keep the complainant updated, usually by telephone.</li> <li>Once a response is received, Caseworker to consider if compliance has been achieved.</li> <li>Once satisfied that all recommendations or requests have been complied with, the Caseworker is responsible for communicating with the Complainant and the relevant Organisation to explain that our action is complete.</li> </ul>	<b>BSO</b> <ul style="list-style-type: none"> <li>Once the compliance target date has passed, I will actively chase the organisation for a response to see if there is an opportunity to resolve the issues quickly and effectively.</li> </ul>
<b>Four weeks+ post compliance target date. STAGE 1 ESCALATION</b>	<ul style="list-style-type: none"> <li>If no response from Organisation, Business Support Officer informs Operations Manager.</li> <li>Operations Manager engages with the Organisation (complaints team) to try to secure compliance.</li> </ul>	
<b>Eight weeks+ post compliance target date. STAGE 2 ESCALATION</b>	<ul style="list-style-type: none"> <li>If still no response from Organisation, Operations Manager informs relevant Assistant Director.</li> <li>Assistant Director to engage with appropriate senior member of Organisation and continue to manage case to resolution.</li> </ul>	<ul style="list-style-type: none"> <li>As soon as it becomes clear that the organisation is not responding I will proactively and efficiently escalate the case to the next stage.</li> </ul>
<b>Escalation to CEO &amp; Deputy Ombudsman, ED &amp; Deputy Ombudsman or Ombudsman</b>	<ul style="list-style-type: none"> <li>Assistant Director carries out a review of the case to determine the next steps. This should consider whether laying a report before Parliament is appropriate.</li> <li>Assistant Director forwards review and case to Executive Director of Operations and Investigations &amp; Deputy Ombudsman, Chief Executive Officer &amp; Deputy Ombudsman or Ombudsman.</li> <li>Executive Director of Operations and Investigations &amp; Deputy Ombudsman, Chief Executive Officer &amp; Deputy Ombudsman or Ombudsman determine the next steps and send a letter to the Organisation/s detailing specific action we now intend to take.</li> </ul>	<b>All staff</b> <ul style="list-style-type: none"> <li>I will ensure I keep an accurate audit trail of every action/decision taken.</li> <li>I will look after the information I am entrusted with and be fully compliant with</li> </ul>

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<p><b>QUALITY DIRECTORATE INPUT</b></p>	<ul style="list-style-type: none"> <li>• Cases which require a significant amount of additional, specialist work may be passed to the Compliance Officer in the Quality Directorate to assist with resolution.</li> <li>• Quality Directorate will also be responsible for:             <ul style="list-style-type: none"> <li>○ Facilitating monthly calls to discuss, activity, next steps, actions and owners.</li> <li>○ Providing specific update reports by escalation line.</li> <li>○ Producing chronology reports if required.</li> <li>○ Providing specific insight to Director and relevant staff.</li> </ul> </li> </ul>	<p>our records management policies.</p>
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Outcomes produced

i) Recommendations/requests satisfactorily complied with; and  
 ii) Compliance Item closed.

Service Standards	Quality Assurance
TBC	TBC

**What good looks like:**

- All compliance items accurately recorded with achievable target date and accepted by the parties.
- The complainant has been regularly updated on the progression of the case.
- The case has been escalated at the appropriate stage and in an efficient and timely manner.
- An accurate audit trail of every action/decision was made.
- Policy and process has been followed and can be evidenced on electronic file.
- Compliance is satisfactorily achieved and the parties informed that compliance is closed.