

Part 1 A: Quantitative Assessment of Investigation

Standard/ Element	Best	Good	Reasonable	Poor	Unacceptable
Grade	1	2	3	4	5
1 Time	Within 20 days with evidence of specific effort to complete in the earliest possible timeframe	Within 20 days but evidence suggests earlier completion was possible	Within 20 days OR clear explanation of why not possible and completed within earliest possible timescale	Outwith 20 days with explanation of why not possible but evidence that could have been completed sooner	Outwith 20 days and no explanation for why not possible and/or evidence that it could have been completed sooner
2 Complaints File	All relevant documents are on file or clearly linked directly from the file. Documents appropriately numbered and dated. No drafts or personal notes / post-its left in the file. No unnecessary duplication or irrelevant/unrelated documents on file	All relevant documents are on file or clearly linked directly from the file. No drafts or personal notes / post-its left in the file. No unnecessary duplication or irrelevant/unrelated documents on file	All relevant documents are on file or clearly linked directly from the file. No drafts or personal notes / post-its left in the file	Limited documentation on file or referred to. Drafts or personal notes left on file	File contains information relating to other (unconnected) matters

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3 Time Bar	Timebar issue identified and evidence of consideration given on file. Detailed explanation/ right to appeal offered to complainant	Timebar issue identified and evidence of consideration given on file. Explanation/ right to appeal offered to complainant	Possible timebar issue identified and noted (to complainant as appropriate)	No consideration given to a possible timebar issue	No consideration given to an obvious timebar issue
4 Expectation Management	Issues which cannot be dealt with clearly identified, explained and any right of appeal given. Outcomes which cannot be achieved are clearly identified and explained. Outcomes which may not be achievable are clearly identified and explained. Explanations have been given in person AND in writing	Issues which cannot be dealt with clearly identified, explained and any right of appeal given. Outcomes which cannot be achieved are clearly identified and explained. Outcomes which may not be achievable are clearly identified and explained	Issues which cannot be dealt with identified and explained. Outcomes which cannot be achieved identified and explained. Outcomes which may not be achievable identified and explained	Some issues which cannot be dealt with identified and explained. Some outcomes which cannot be achieved identified and explained. Some outcomes which may not be achievable identified and explained	Issues which cannot be dealt with not explained. Outcomes not achievable not explained. Outcomes which may not be achievable not explained

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5 Complaints Process Explained	Clear and personalised explanation of process, timescales and personnel given at the outset of the process and appropriate updates and reminders given throughout	Clear and personalised explanation of process, timescales and personnel given at the outset	Clear explanation of process, timescales and personnel given at the outset	Limited explanation of process, timescales and personnel	No explanation of process, timescales and personnel
6 Contacts personalise d to suit customer preference/ needs	Contacts made according to identified wishes of complainant and in a personalised way – both verbally and in writing (if complainant wishes)	Contacts made according to identified wishes of complainant and in a personalised way	Contacts made according to identified wishes of complainant	Some attempts to identify and make contacts according to wishes of complainant	No attempt to identify or make contacts according to wishes of complainant
7 Consent	Appropriate consent obtained and clearly recorded in the file			Appropriate consent obtained but limited or insufficient records in file	Appropriate consent NOT obtained

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8 Consideration given to equality or Diversity issues	Consideration given to equality or diversity issue and record made of the outcome. Evidence of appropriate adjustments being made and explanation given to complainant	Consideration given to equality or diversity issue, record made of the outcome. Evidence of appropriate adjustments being made	Consideration given to equality or diversity issue and record made of the outcome	No consideration given to possible equality or diversity issue	Obvious equality or diversity issue not identified or acted on
9 Action Plan (if applicable)	Action plan on file. Evidence of follow-up and completion (if appropriate). Evidence of wider learning. Evidence of feedback to complainant	Action Plan on file. Evidence of follow-up & completion (if appropriate). Evidence of wider learning. Evidence of feedback to complainant	Action Plan on file and evidence of action to complete	Action plan on file but no follow-up to check completion	No Action Plan