Complaint/Dissatisfaction - Log

A complaint is 'any expression of dissatisfaction about the service provided which is not resolved by operational staff as normal business'. When a complaint is received, you should first make sure that there are no outstanding actions that could be taken to resolve their issue. When appropriate sign post the client to other agencies or departments that may be able to provide them with additional help or support.

A fundamental has been developed to help understand the dissatisfaction process, for more infomation refer to My role in Dissatisfaction.

A client can raise a complaint at any stage of the process and also up to 14 months after the case has been closed. In the case of complaints received from Members of Parliament (MPs), Independent Case Examiner (ICE) and Parliamentary and Health Service Ombudsman (PHSO) there is no time limit.

If a client is discontent or complains about Case Closure relating to residual arrears or the case closure journey determine:

- If financial transition is complete contact the 93/03 Rules Reassessment team to source the Legacy information (2003 or 1993 Scheme) needed to progress the issue. However, if the issue is about the service received from Legacy (2003 or 1993 Scheme) it must be dealt with by the scheme that provided the service.
- If the client has been advised about residual arrears in a case closure letter and financial transition to CMS 2012 is not complete the issue must be dealt with by the Legacy Case Closure team (2003 or 1993 Scheme).
- If the client has an open dissatisfaction or complaint with both Legacy (2003 or 1993 Scheme) and CMS 2012 then the caseworkers dealing with the scheme specific issues should liaise internally to ensure all the client’s issues are being worked through and the best customer service is provided across the two schemes

The objective of this process is for a caseworker to try to resolve an issue with the client early, through discussion, or by sending out the appropriate documentation, without having to escalate the case to complaints resolution, review or appeals. To achieve early resolution, the caseworker should listen to the client, take ownership of the complaint and manage the client’s expectations.

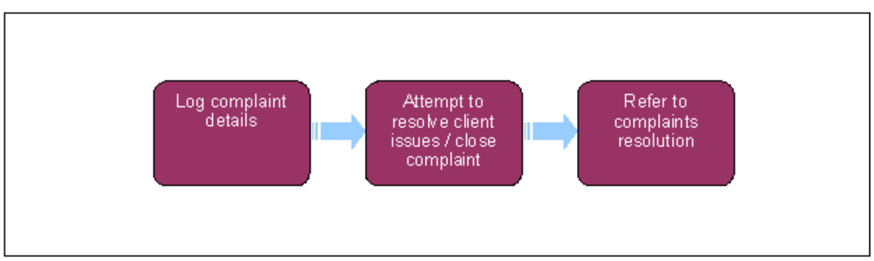
If the issue can be resolved the caseworker will discuss the resolution action with the client. If the client agrees with this, the action will then be carried out.

If the issue cannot be resolved or the client rejects the resolution plan, the issue is escalated to the team leader to discuss further options before escalating to the BAU G7.

Where a client is unhappy regarding any decision made by the Complaints Resolution Team, the complaint review process will need to be followed. For more information refer to Mandatory Reconsideration.

Once it is identified that the disputes process should not be followed the issue should first be logged as dissatisfaction, only progressing to a complaint once the receiving caseworker and team leader have been unable to resolve.

For more information refer to the Policy, Law and Decision Making Guidance



When speaking to clients always use the new terminology. For more information refer to Terminology Changes.

This procedure uses the terms receiving parent and paying parent.

The receiving parent is the parent who receives or who is expected to receive child maintenance, known as the parent with care (PWC) or person with care (PeWC) on the system and in legislation. The paying parent is the parent who pays or who is expected to pay child maintenance, known as the non resident parent (NRP) on the system and in legislation.

Log Complaint

1. When inbound contact is received from the client regarding a complaint you need to determine what the nature of the complaint is, confirm with the client what the complaint is about and listen to their issues and determine if the complaint is a:
   - **Dissatisfaction** that can be resolved before it has to be raised as a complaint, logging this as a dissatisfaction rather than a complaint on the system – **go to Dissatisfaction**
   - **New complaint** at Applications Stage pre-provisional calculation that you and your team leader (TL) are unable to resolve the client's problem. Go to **New Complaint, dissatisfaction unsuccessful Step 2**. If the complaint relates to the **Application Fee** go to Application Fee Complaints and Returns procedure.
   - **New complaint** that you and your team leader (TL) are unable to resolve the customer's problem at dissatisfaction - go to **New Complaint, dissatisfaction unsuccessful**
   - **Previous dissatisfaction** regarding the same issue within the last 6 months, go to **New Complaint, dissatisfaction unsuccessful**
   - Written correspondence may also be received from a Member of Parliament (MP) or equivalent, contact the Complaints Resolution Team via the CMS 2012 Phonebook for advice before creating a new **Complaints Resolution** SR. If the Complaints Resolution Team cannot be contacted, go to **New Complaint, dissatisfaction unsuccessful**
   - **High profile complaint** that carries a credible threat of bad publicity for CMG or it's stakeholders, including clients who have harmed themselves or others. Escalate to the CMG Operations Director's Office
   - **Resolution complaint** closed within the last 6 months, raise to the Complaints Review Team – go to **Resolution Complaint closed in the last six months**
   - **An appealable decision** if a complaint or disagreement is made about a decision that is appealable, this will need to be raised as a dispute or appeal rather than a complaint. For more information refer to Dispute Resolution, Appeals - Pre 28/10 and Mandatory Reconsideration

If a client is contacting us about the service they received from CM Options, they should be told to contact Options directly to raise their dissatisfaction/complaint by calling 0800 9880988. If the dissatisfaction/complaint contains some elements regarding CM Options and some regarding CMS then contact should be made with CM Options via email OPTIONS.SERVICEDESIGNOEDCMGDWP@DWP.GSI.GOV.UK with 'Complaint' in the title (this email address is for internal use only and should in no circumstances be passed to clients). CM Options will complete an investigation into the complaint and the outcome will then be shared with CMS who will reply to the complaint in full based on the findings of the investigation.

If a client is discontent or complains about Case Closure relating to residual arrears, the case closure journey, or service they've received refer to procedural exceptions – **Case Closure Dissatisfaction and Complaints**

Complaints relating to the behaviour of a member of staff must be treated with confidentiality in accordance with the DWP guidelines. No details are recorded on the system and all correspondence is sent by secure post to the individual's team leader. Notify your team leader offline and request they take ownership of the case and management of the dissatisfaction. Team leaders must check all inbound activity; any letter that has the member of staff name attached must be recalled, printed locally, all reference to staff personal details manually redacted and re

-scanned onto the system. Team leaders retain the original letter in a secure location whilst the investigation is ongoing before destroying it securely. When responding to a client who has made a complaint against a member of staff, follow the guidelines provided here. The team leader will:

- Notify the Line Manager of the named member of staff offline.
- Create a Dissatisfaction SR, go to **Dissatisfaction**, and associate it to the inbound letter activity, contact and case (as notified by the caseworker who received the correspondence).
- Retrieve the original item. For more information refer to Correspondence (Inbound) - Request Originals/Rescan.
- Copy the retrieved original item and redact references to the named member of staff on the copy.
- Locally scan the redacted copy and associate it to the Dissatisfaction SR. For more information refer to Scanning - Local.
- Destroy the hardcopy of the redacted copy.
- Send the original item, by secure post, to the line manager of the named member of staff and request that it be stored securely in line with DWP policy.
- Progress the investigation and resolution of the dissatisfaction using the system, in co-operation with the line manager of the named member of staff, but ensure that no references that will identify the named member of staff and/or any potential disciplinary actions are recorded on the system.
- If the dissatisfaction is to be escalated to a first tier resolution complaint, or referred to Complaints Resolution as a "non complaint consolatory payment referral only", go to **New Complaint, dissatisfaction unsuccessful.**
- If a resolution complaint is to be escalated to a second tier review complaint go to **Resolution Complaint closed in the last six months.**

Dissatisfaction

Create dissatisfaction service request (SR)

Where client dissatisfaction is received and there was a previous Resolution complaint for the same issue within the last 6 months, go to section **New Complaint, Dissatisfaction Unsuccessful** section of this procedure.

1. To prevent the case moving segments, set the Locok Assignment Flag and remove it once the work to resolve the dissatisfation is complete. For more information on how to do this refer to BOM - Segments Summary.
2. Create the following SR
   - **Process = Escalated Enquiries**
   - **Area = Complaints**
   - **Sub Area = Dissatisfaction**
3. Set the **source** of the dissatisfaction ie who is reporting the dissatisfaction
4. Navigate to the **More Info - Escalated Enquiries** tab. Complete the following fields with the details of the complaint:
   - **Addressee** (who the complaint has been addressed to – CMG/Minister/Chief executive/treat official/business in general – if not addressed to any specific person, business in general should be used
   - **Stage** – update to **Acknowledge Issue** – this field should be updated with the various stages as the dissatisfaction/complaint progresses
   - **Parliamentary Contact Involved** – select **Y/N** from the drop down to advise if the client's parliamentary contact is involved in the dissatisfaction/complaint. This should always be **N**, but if parliamentary contact is involved go to New Complaint, dissatisfaction unsuccessful
   - **Complaint Details** – add **Notes** to this field detailing the reason for the dissatisfaction/complaint.

- **Save** the information entered

Complaint Details note field has capacity issues to ensure all information is captured press **Enter** after each 4th lined added in **More Info** within **Escalated Enquiries view**.

The complaint details **Notes** box MUST be completed. Using this is vital when dealing with dissatisfaction and complaints. Completing full notes helps the next caseworker/team leader to understand the client's issue and can stop unnecessary calls to the client. This could make a big difference when the client may already have lost faith in the CMG.

5. Change the **status** of the SR to **In progress**, this will generate an activity plan to follow when attempting to resolve the client's dissatisfaction.

If telephone contact is unsuccessful, issue letter **CMSL5700** to acknowledge the complaint. Allow the client 14 days to respond with any further information, during this period continue to investigate the dissatisfaction.

Attempt to resolve the dissatisfaction

6. Discuss the client's complaint or query, look into the case, read the notes, check any previous SRs. If possible resolve their issue by explaining the CMG procedures and policies, doing any work that has not been completed or walking through any decisions made by the CMG. The system will automatically attach leaflets where appropriate.

Example: Complaints information leaflet CMSB011.

7. Select the **Reason/Resolution** tab. Select **New** and in the **Reasons** applet complete the fields with the complaint reason and type.
8. Within the **More Info** tab, navigate to **Escalated Enquiries** and update the **Stage** to where the dissatisfaction is at (**Resolution plan**, **Escalate to Team Leader**). Set the **Root Cause** of the dissatisfaction by selecting the appropriate option from the dropdown.
9. Create a **resolution plan** for the client:
   - Navigate to the **Reason/Resolution** tab, select **Resolutions.**
   - Create a **new action** and select the **Reason/Grounds** field and link the resolution action to the reason input at **step 6**
   - Complete the drop down fields to record the **proposed resolution action** e.g. **Corrective Action**, **Apology**
   - There are two **resolution actions** available to deal with complaints about applications fees, these are **Application Fee Refund** and **Admin Account Payment**
   - Insert relevant due dates and any relevant comments and mark the status **done** once the resolution action has been taken, also recording if the client is happy with the resolution action within the **Client Approved** dropdown

If you have been unable to contact the client by telephone issue **CMSL5701** summarising the proposed resolution actions.

10. If the client is happy that the resolution action/s you have taken resolved their dissatisfaction/complaint go to **step 11**. If the client is still unhappy refer them to your team leader (TL) - go to **Team Leader (TL) Escalation**. If the TL is available, warm transfer the call to them. Navigate to the **More Info** tab and select **Escalated Enquiries**:
    - Update the **Stage** field to **Escalate to Team Leader**
    - Update the **Root Cause** field with the underlying reason for the complaint
    - Update the **Is TL Escalation Required** stage of the Activity Plan to **In Progress**
    - Set the **Status** of the SR to **Pending Approval** and the **Sub Status** to **Pending Approval - TL**

This will create an inbox approval task to the team leader. If your team leader is not available, arrange a call back with the client.

11. If the client's issues have been resolved eg by taking outstanding action or providing an explanation, record the details of the conversation and any actions taken in the **Complaint Details** field within the **More Info, Escalated Enquiries** tab. Update the **Stage** field to **Resolution Action** and update the **Root Cause** field with the underlying reason for the complaint, eg **caseworker error**, **system error**.

12. Update the **Activity Plan**, marking actions you have taken as **Done** and marking those not required as **Not Required**, issuing letter **CMSL5701** to the client to confirm that actions have been taken and the dissatisfaction/complaint is now closed.

13. Update the **Resolution Code** of the SR to **Actions complete - Client OK** or **Answered Enquiry** as appropriate. Update the SR **Status** to **Closed** and the **Sub Status** to **Complete**.

Escalation to Team Leader

Team Leader (TL) Escalation

Team leader action

1. Self allocate the SR and navigate to the **Resolutions** tab and discuss the options available with the client and, if necessary, record any additional **resolution actions** within the **resolution plan** by completing the drop down fields to record the **proposed resolution action** and insert relevant due dates and any relevant comments.

2. Update the **Action** field of the inbox item to **Approved**, update the **Complaints Details** box to record the actions needed and allocate the SR back to the relevant caseworker who will complete one of the following:

   - Agreement with client reached - go to **step 3**
   - Agreement with client reached but they want a small consolatory payment - go to **New Complaint, dissatisfaction unsuccessful**
   - Unable to resolve client's issue/s, complaint authorised - go to **New Complaint, dissatisfaction unsuccessful**

Ensure that the referral template is completed with a chronolgy of events and email this to the BAU G7

Caseworker action

3. Change the **Status** of the SR back to **In Progress** and the **Stage** field to **Resolution Action**. If the TL has been unable to reach the client by phone to discuss, issue letter CMSL5701 summarising the proposed resolution actions. When responding to a client who has made a complaint against a member of staff, follow the guidelines provided here.

4. Carry out the resolution actions the TL has detailed in the **resolution plan**, this will include the issue of CMSL5701 to the client to confirm that they are happy with the resolution actions proposed. When responding to a client who has made a complaint against a member of staff, follow the guidelines provided here.

5. Update the **Client Authorisation** field to **Y** and the **Resolution Plan** from **Draft** to **Done.**

6. Complete the **Activity Plan**, marking actions you have taken as **Done** and marking those not required as **Not Required**, issuing letter CMSL5701 to the client to confirm that actions have been taken and the dissatisfaction/complaint is now closed.

7. Update the **Resolution Code** of the SR to **Actions Complete – Client OK** or **Answered Enquiry** as appropriate. Update the SR **Status** to **Closed** and the **Sub Status** to **Complete**.

8. Remove the lock assignment flag, for more information on how to do this refer to BOM - Segments Summary.

New Complaint, dissatisfaction unsuccessful

Create Complaints resolution service request (SR)

Member of Parliament (MP) complaints are dealt with by specialist officers within the Complaints Resolution Team and cannot be dealt with by any other business as usual (BAU) team. The call should have routed to Complaint Resolution and therefore you need to warm transfer the call to the Complaint Resolution Team and close the **Dissatisfaction SR**. If you can't warm transfer the call or you have received written correspondence, you must send an email to the Complaints Resolution shared inbox with sufficient detail of the issue. The Complaints Resolution caseworker will then raise the appropriate SR - either complaints or parliamentary contact. Below are the email addresses to be used:

- CMS COMPLAINTS REFERRALS

If a complaint against a member of staff is to be escalated from Dissatisfaction to a first tier Resolution Complaint complete a warm transfer to a complaint resolution Team Leader. Request for the Team Leader to take ownership of the case and of the complaint. If the escalation can not be warm transferred send an email to the Complaints Resolution shared inbox (address above) with sufficient detail of the issue, maintaining confidentiality and request escalation to a Complaints Resolution Team Leader.

Before raising a Complaints Resolution SR, ensure that the referral template is fully updated with a chronology of events and send it to the BAU G7 for review who will consider whether a case conference and escalation to Complaints is required.

1. Return to the original **Dissatisfaction SR**. Ensure that the client's issues are fully documented within the **Complaints Details** field of the SR, where appropriate maintain confidentiality for a complaint which is against a member of staff. Ensure all **resolution actions** and **activity plan actions** have been marked as **Done/Not Required**.
2. Call the client to inform of the escalation, if unsuccessful issue **CMSL5842**. In the **Resolution Applet** update the **Status** from **Draft** to **Done**. Update the **Stage** field to **Escalate** to **Resolution**.

   - If the TL was unable to resolve client's issue/s and authorised the complaint record the **Resolution Code** as **Unresolved**. Change the SR **Status** to **Closed** and the **Sub Status** to **Complete**.
   - If the TL reached agreement with client and the client is happy that their dissatisfaction is resolved and all agreed actions are complete, but they want a consolatory payment update the **Resolution Code** to **Actions Complete-Client Not OK**. Change the SR **Status** to **Closed** and the **Sub Status** to **Complete**.

   Once the BAU G7 has authorised complaints escalation they will email the referral template to the Complaints Team inbox: **CMS COMPLAINTS REFERRALS**
3. To refer the complaint to complaints resolution create an SR with the following values:

   Pre-provisional calculation

   - **Process = Escalated enquiries**
   - **Area = Application Complaints**
   - **Sub Area = Resolution**

   Complaints are handled differently during the application process, a functionally unique SR is raised. This is to ensure that the application process isn't held up while the complaint is investigated.

   Post provisional calculation

   - **Process = Escalated Enquiries**
   - **Area = Complaints**
   - **Sub Area = Resolution**

4. Within the **Complaints Resolution SR** link the SR to the case number and update the **Stage** to **Acknowledge Complaint.** Navigate to the **Related SR** tab and select **Add** to link the previous **Dissatisfaction SR**, once the list of SRs has been populated, highlight the previous **Dissatisfaction SR** and select **OK**. For further information on linking SRs, see the 2012 System Overview.

5. Update the **Stage dropdown** to **Acknowledge Complaint** within the **Complaint Details** applet and SR **Status** to **In Progress**.

   - If referral to Complaints Resolution is made because of an unresolved dissatisfaction then update the first step of the activity plan and change the SR **Status** to **Pending Assignment**.
   - If referral to Complaints Resolution is made when the client is happy that their dissatisfaction is resolved and all agreed actions are complete, but they want a consolatory payment then: record "non complaint consolatory payment referral only" in **Complaint Details** and attach **CMSF5551** stating the same in the referral details, update the first step of the activity plan.

Resolution Complaint closed in the last six months

Create complaints review service request (SR)

If a complaint against a member of staff is to be escalated to a second tier Review Complaint complete a warm transfer to a complaint review Team Leader. Request for the Team Leader to take ownership of the case and of the complaint. If the escalation can not be warm transferred send an email to **CMS COMPLAINTS REFERRALS** with sufficient detail of the issue, maintaining confidentiality and request escalation to a complaints review Team Leader.

1. Create the following SR:

   - **Process = Escalated Enquiries**
   - **Area = Complaints**
   - **Sub Area = Review**

2. Enter the SR **source**, update the **Stage** to **Acknowledge Issue** and link the new SR that you have created to the previous complaints SR by selecting the **Related SR** tab.

3. Change the **Status** of the SR to **Pending Assignment**, this will route the case to the complaints review team for their action. For more information refer to Complaint - Review.

Case Closure Dissatisfaction and Complaints

If a client is dissatisfied or complains about Case Closure relating to residual arrears or the case closure journey determine:

- If financial transition is complete, i.e. the residual arrears are held on CMS 2012, contact the 93 /03 Rules Reassessment team, based in CMS 2012, to source the Legacy information (2003 or 1993 Scheme information from CS2, CSCS or Clerical Case Database) needed to progress the issue. However, if the issue is about the service received from Legacy (2003 or 1993 Scheme) it must be dealt with by the relevant scheme service provider.

- If the client is dissatisfied or complains at any point in the case closure journey in relation to the case closure process and financial transition is complete then the issue must be dealt with by CMS 2012.

- If the client has been advised about residual arrears in a case closure letter and financial transition to CMS 2012 is not complete the issue must be dealt with by the Legacy Case Closure team (2003 or 1993 Scheme).

- If the issue is raised at any point in the case closure journey in relation to the case closure process, but prior to the completion of financial transition, the issue must be dealt with by the Legacy Case Closure team (2003 or 1993 Scheme).

- If the client has an open dissatisfaction or complaint with both Legacy (2003 or 1993 Scheme) and CMS 2012 then the caseworkers dealing with the scheme specific issues should liaise internally to ensure all the client's issues are being worked through and the best customer service is provided across the two schemes.

NI exceptions

PHSO – NI Ombudsman in Northern Ireland

CMSL5700 We would like more information about your feedback

This letter is sent to a customer who has provided negative feedback and we have been unable to contact them over the phone to get more information on what has caused them to do this.

All fields in this letter are system generated, no manual intervention is required.

CMSL5701 Thank you for getting in touch

Letter sent to customer to confirm resolution action after expression of dissatisfaction (not a formal complaint). Free text should include corrective action taken, apology, explanation etc. if needed.

Complete the free text box with the corrective action taken, an apology and if required an explanation.

All other fields in this letter are pre populated by the system. Once completed review the letter to ensure the correct information is provided.

CMSL5811 We have considered your dispute and will take steps to resolve it

This letter is sent to a customer to propose an action plan to resolve their dispute, when we haven't been able to get in touch with them to discuss the proposed plan over the phone.

Complete the free text paraphrasing the customer dispute, apologising, if required explaining why the mistake occurred and advising of any corrective action being taken.

All other fields in this letter are pre populated by the system. Once completed review the letter to ensure the correct information is provided.

CMSL5812 We have changed our decision

This letter is sent to a customer to confirm an action plan to resolve their dispute, after they have agreed to the plan over the phone.

- Under the sub heading "We have considered your dispute and will amend our decision" Enter the date of the original dispute.
- Under the sub heading "The steps that we'll take to resolve your dispute" add free text to include details of the customers dispute, appropriate apology, why the mistake occurred and any appropriate action being taken.
- Enter number of days in which action is to be taken to resolve the complaint.

All other fields in this letter are pre populated by the system. Once completed review the letter to ensure the correct information is provided.

CMSL5842 Keeping you informed about your complaint

Outbound letter will be sent to inform the client that they will be contacted by the resolution complaints team within X days (note: this letter will be sent if the client has not already been informed over the telephone).

All fields in this letter are system generated, no manual intervention is required.

Appeals

Application - Child in Scotland

Application - Paying Parent

Application - Receiving Parent

Application Fee Complaints and Returns

Complaint - Review

Correspondence (inbound) - Linking

Correspondence (Inbound) - Request Originals/Rescan

Death - QC

Dispute Resolution

ICE

Judicial Review

Letters (Outbound) - Send To Client

MP Enquiries

Parliamentary Question/Ministerial Briefing

Payment - Non Standard

PHSO

SAR Request

Terminology Changes

Is there a time limit on raising a complaint?

Yes, a client can raise a complaint at any stage of the process and also up to 14 months after the case has been closed. In the case of complaints received from Members of Parliament (MPs), independent case examiner (ICE) and parliamentary and health service ombudsman (PHSO) there is no time limit.