

Complaint - Review

This procedure will take you through the steps to review a complaint. A complaint will only be submitted for review if it has been through the correct channels and has previously been cleared by the complaint resolution team i.e. the first time a new complaint is received it cannot be sent straight through to review.

This procedure is dealt with by the complaint review team.

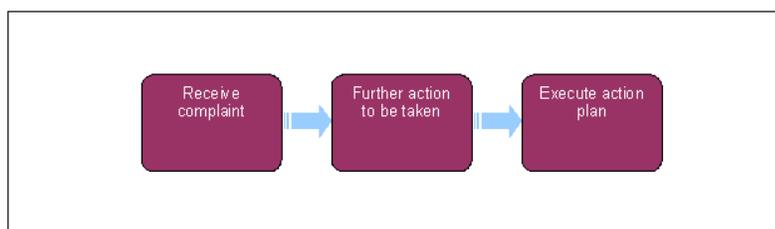
In this process there are a number of steps to go through from receiving the complaint to outcome. You need to;

- Contact the client to introduce yourself and discuss the complaint.
- Review the case and advise the client of the outcome.
- When no further action is to be taken, close the review.
- When further action is to be taken, draft an Action Plan.
- Inform the client of the action to be taken and if they disagree with the action plan, your team leader (TL) can make the decision to go ahead with the plan without the client's approval.
- The Action Plan is then carried out and once the resolutions are in place, inform the client and ask for the complaint to be closed.

This list is not exhaustive.

 The client can disagree to complaint closure, but if the action plan has been approved by a team leader it is likely that the complaint will be closed.

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](#).

Receive Complaint

Owning line of business caseworker

1. When a call or letter is received from a client who is not happy with the previous complaint resolution outcome and the complaint concerns the same issue, refer the case to the complaints review team.
2. Before referring the complaint, check the complaint reason and notes. Telephone and explain the complaints process to the client. If the client is only enquiring about an issue, deal with the enquiry and create an Enquiry SR.
3. Create a new service request (SR) using;
 - **Process = Escalated Enquiries**
 - **Area = Complaints**
 - **Sub Area = Review**

In the **Relate SR tab**, link the new SR to the **Closed Resolution SR**.

4. Complete the **Stage of Complaint** field and update the SR to **Pending Assignment**. This will automatically route the SR to the complaints review team for action.

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

Complaint review team leader

5. Allocate the SR to a review case worker. For more information refer to [Work Management](#).

Complaint review caseworker

6.  If the issue has not been dealt with at Resolution within the last 6 months, then update the **Notes** in the Review SR, set the **Resolution Code** to **Rejected** and the SR **Status** to **Closed**. This will return the case to the business as usual (BAU) owning team. Call the client to introduce yourself, give contact details, explain the complaints process and discuss the complaint. Do not agree to any solutions at this point. Update the SR to **In Progress**. If unable to contact the client by telephone issue letter **CMSL5829** within 2 working days to advise that the complaint has been received and is being looked at. If the client is enquiring about an issue deal with the enquiry and create an enquiry SR. In the Resolution SR update the **Notes**, update the **Resolution Code** to **No Action Taken** and set the SR **Status** to **Closed**. This will return the case to the business as usual (BAU) owning team.

 Provide feedback to the operational team leader who made the complaint resolution referral if the case is enquiry only. This can be done via phone or email.

7. Complete the **Complaints Details** applet with the following information;
 - **Addressee** (who the complaint has been addressed to) – Child Maintenance Group (CMG)/Minister/chief executive/treat official/business in general – if not addressed to any specific person, business in general should be used
 - **Root Cause** - this is the underlying reason for the complaint (System Error, Human Error etc)
 - **Stage** – update to **Acknowledge Issue** – this field should be updated with the various stages as the complaint progresses.
 - **Parliamentary Contact Involved** – select Yes or No from the drop down to advise if the client's parliamentary contact is involved in the dissatisfaction/complaint.
 -  Certain critical performance targets cannot be accurately measured on 2012 system. Where a Parliamentary contact is involved in a complaint, each stage of the process must be recorded in the [Respond](#) database system. For further information refer to the following pages: [Respond and Record](#) and also [Management Information - ICE/PHSO/Parliamentary Contact](#).
 - **Resources**
 - **Complaint Details** – free text box to add notes or a further description of the complaint.

Not all of these will be needed depending on the nature of the complaint and some will need to be completed later in the case as more information is gathered. Update the SR to **In Progress**.

 Using the Notes box is vital when dealing with complaints. Completing full notes helps the next caseworker / team leader to understand the client's issue and can prevent unnecessary calls to the client. This could make a difference particularly when the client has already lost faith in the Child Maintenance Group (CMG).

 The **Sub Status** field needs to be updated throughout the SR as the complaint is progressed, the different stages are;

- In Progress
- Draft Action Plan
- Undertake Actions Prescribed
- Pending TL Approval
- Approved

- Rejected

8. Review the complaint and the resolution actions previously taken by the complaints resolution team, decide if the correct action has been taken and if there is anything more the CMG can do to resolve the complaint. If everything has been done for the client, go to **step 9**. If further steps can be taken to resolve the complaint go to **step 12**.

No Further Action to be Taken

9.  When a decision has been made that no further action can be taken, call the client to advise them of the decision and explain why this decision was made. The client may ask for the next steps and should be signposted to the Independent Case Examiner (ICE). Send the client **CMSL5800** to confirm the action taken. Set a **Wait Status** for **seven days** allowing the client time to respond.
10.  When no successful contact has been made by telephone after attempting to call the client as many times as necessary, at all different times of the day, issue **CMSL5800** and create a seven day wait activity.
11. If no reply has been received after seven days, set the **Resolution Code** to **No Action Taken** and update the SR **Status** to **Closed**. Where the client responds to the letter, advise them of the decision, discuss the reasons and update the SR to closed.

Further action to be taken

12. Update the sub status of the SR to **Draft Action Plan**.
13. Create a Resolution Plan on the system by selecting the **Resolution Plan** tab, if this is not showing within the tab display; select the drop down option at the end of the tool bar to detail the tabs that are not displayed. Select **New** and use the dropdowns for the resolution type and TL authorisation where needed. In the **Reasons/Resolutions** tab, select **New** and add the **reason/grounds** for the complaint, including **Comments** to fully document the complaint. In the **Reasons/Resolutions** tab select **New** and enter the resolution action for the complaint. Select the **Reason/Grounds** button to view a window to link the resolution to the reason. Each action needs a due date which is agreed with the client and updated in the **Due Date** column in the Resolutions Applet. If TL approval is needed, update the SR **Status** to **Pending Approval** and the **Sub Status** to **Pending Approval TL**. Go to **step 14**. This step can be revisited at any time in the complaint resolution if financial redress is deemed necessary at a later stage.



TL approval will be needed if the Resolution Plan includes financial redress. For more information refer to [Financial Redress for Maladministration – A Guide for Special Payment Officers](#).



To prevent the casegroup moving segments whilst awaiting TL authorisation, set the Lock Assignment Flag. For more information on how to do this refer to [BOM - Segments Summary](#) (note that the lock flag is on the master case only, and needs to be set by the case owning team).

Team leader action

14. Open the inbox work item and self allocate the complaint SR. Open the SR and update the **Amount**, **TL Approved** and **Comments** fields in the **Resolution tab**. If the TL is not of a sufficient grade level to authorise the payment, identify the correct grade approval level from the following link: [Special payments](#). The manager or director expected to authorise the payment may not have live access to the 2012 Child Maintenance Group System (CMG). TL must attach form **CMSF5551** to the original non standard payment SR with any other case details or documents. Use the local scanning solution to attach any other documents onto the SR, once this is complete, destroy all local hard copies. Email the approval form and documents to the relevant manager for consideration and a decision. Once approval has been given, record the details and update the inbox work item to **Approved** and allocate back to the caseworker.

To access form **CMSF5551** select the following link:

<http://intranlink.link2.gpn.gov.uk/1/csa/btools/forms/2012-scheme/forms/index.asp>

Caseworker Action

15. If the action plan has been rejected, use the notes provided by your team leader and ask for help and guidance as needed, return to **step 12** and create a new action plan. Submit for TL approval.
16.   Once the action plan has been created (and approved if financial redress is included) call the client to advise them and to seek their agreement. Give each action a due date which must be agreed with the client and

updated in the **Due Date** column in the **Resolutions Applet**. Issue **CMSL5801** to the client to confirm the action taken. If unable to contact the client by telephone or if the client wants the resolution plan in writing record the actions to be taken within the **CMSL5801**, issue the letter to the client and set a **Wait Status** for **seven days** to allow the client time to reply.

17. If the client agrees with this action go to **step 22**. If the client disagrees with the action go to **step 18**.

Client disagrees with action plan

18. In the Resolutions tab, select **No** in the **Client Approved** dropdown and update the SR to **Pending Approval – TL** and update the **Resolution Plan** to show **Pending Approval – TL**.

Team leader action

19. Open inbox work item and self allocate complaint SR. Open the SR and update the **Amount, TL Approved** and **Comments** in the **Resolution** tab. Update inbox work item to **Approved** or **Rejected** and allocate to caseworker.

Caseworker action

20.  If the action plan is approved, update SR **Sub Status** to **Approved** and contact the client to advise that the plan will not be revised and will be actioned. Issue **CMSL5803** to the client and go to **step 21**.
21.  If the action plan is rejected, review the action plan with help and guidance from the team leader if needed and resubmit for approval. Issue **CMSL5804** and go to **step 12**.

Execute action plan

22. In the Resolutions view update the resolution actions, adding comments where necessary.
23. Update SR **Sub Status** to **Undertake Actions Prescribed**.
24. Depending on the agreed resolutions it may be necessary to create further SRs for actions to be taken. In the **Child SR tab** create a **new** SR and follow the Activity Plan to progress each one to completion.



A Mandatory Reconsideration SR can not be raised as a child SR, it should be raised as a separate SR and the attached to the Complaints Review SR. For more information on how to raise this SR this refer to [Mandatory Reconsideration](#). To attach a service request, navigate to the Related SR view within the Complaints Review SR, select the Add button and choose the appropriate SR from the display list.



Some SR's may not display all fields correctly when launched as a child SR. This may be a navigation issue. If you navigate to the SR via the Case details screen all fields should display. An incident should be raised on any SR with this issue so it can be investigated properly.



Resolution could include, financial redress, change of circumstances (CofC), changing the effective date etc. Each resolution will have an individual Activity Plan to follow.

25. Any approved payments need to be progressed. For more information refer to [Payment – Non Standard](#).
26.  Call the client and advise of the action taken and to request agreement that the complaint can now be closed. If the client agrees go to **step 28**, if the client disagrees go to **step 29**.
27.  When no successful phone contact has been made issue **CMSL5805**. Set SR **Sub Status** to **Wait** and check the outcome in 14 days. Proceed to **step 28** or **step 29** depending on client contact.



The Client must be issued the appropriate outbound Complaint Closure letter and it must be attached to the Complaint Review SR activity.

28.  When the client agrees to complaint closure, update the Resolution Code to **Actions Complete – Client OK** and issue letter **CMSL5806** to the client.

29.  When the client does not agree with complaint closure, update the **Resolution Code** to **Actions complete - Client Not OK** and issue **CMSL5807** and leaflet **CMSB0011**.
30. Update SR **Status** to **Closed** and **Sub Status** to Complete.

ICE - complaint due to failed gateway check

31.  If the complaint has been raised due to a failed ICE gateway, email the internal ICE team at 2012ICE.DIRECTCOMPLAINTS@DWP.GSI.GOV.UK and give details of the review. Update the complaint in the **Respond** database system and close '**notify ICE of complaint closure**'. For further information refer to the following intranet link: [Respond and Record](#) and also [Management Information - ICE/PHSO/Parliamentary Contact](#).

CMSF5551 and CMSF5551 (NI) approval form issued to manager with relevant authorisation level

CMG to be NICMS in NI

[CMSB0011 Complaints information leaflet](#)

Edit this page to modify your web part content.

[CMSL5800 Keeping you informed about your complaint](#)

Complaint Review Team – received enquiry but won't be taking it further.

Under the sub heading "An update" enter free text to include any corrective action that has been taken, and a further apology and explanation if required.

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

[CMSL5801 Keeping you informed about your complaint](#)

This letter is sent to a customer who we have been unable to reach by phone and who has asked the Complaints Review team to review the way their complaint was handled by the Complaint Resolution team (and the team originally handling their case). After assessing the complaint the review team have developed a new action plan.

LM_00008 should be used when 'if contacted customer by phone' is populated by the system, if this is relevant complete the free text area, including details of the customers complaint, an explanation of why the mistake occurred and any further corrective action that is being taken. Then enter the number of days that the plan is due to be completed by.

LM_00009 should be used if we have been unable to contact the customer. Use the paragraph 'If unable to contact customer by phone', complete the free text area, including details of the customers complaint, an explanation of why the mistake occurred and any further corrective action that is being taken. Then enter the number of days that the plan is due to be completed by. Once this is completed remove the paragraph 'If contacted customer by phone'.

[CMSL5803 Keeping you informed about your complaint](#)

This letter is sent to a customer who disagrees with the Complaints Review team's resolution action plan – but the plan is going ahead anyway, with senior team member approval.

Under the heading "An update" enter free text explaining why it was necessary for the senior complaints team leader to review the resolution plan.

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

[CMSL5804 Keeping you informed about your complaint](#)

This letter is sent from a senior member of the Complaints Review team to a customer who has disagreed with the proposed resolution action and the team leader has agreed that the plan should be changed.

Under the heading "The revised action we will take to resolve your complaint" enter free text to why the mistake occurred, the appropriate apology and the corrective action now being taken. Enter the date the action is due for completion.

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

[CMSL5805 We've resolved your complaint](#)

This letter is sent to a customer, to confirm completion of resolution actions and closure of complaint – when we haven't been able to reach them over the phone.

Under the heading "What this means for you" enter free text explaining what actions have been taken, and if necessary a further apology.

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

[CMSL5806 We've resolved your complaint](#)

This letter is sent to a customer, to confirm completion of resolution actions and closure of complaint – when they have agreed to this over the phone.

Under the heading "What this means for you" enter free text to confirm the corrective action taken, and if required a further apology.

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

[CMSL5807 Keeping you informed about your complaint](#)

This letter is sent to a customer, to confirm completion of resolution actions and closure of complaint – after they have disagreed to complaint closure.

Under the heading "An update" enter free text to explain the complaint has been reviewed by a senior member of the complaints team, and based on the information we are aware of there is no more we can do.

Under the heading "An update" The first paragraph is set as default, remove if required and select the second option where applicable.

- TM - 09172 We realise that our response may not be the one you were hoping for. However, we are confident that your complaint was handled in line with the regulations and policies set out under child support law, based on all the information that we're aware of about your circumstances
- TM - 09173 We realise that our response may not be the one you were hoping for. However, please be assured that we have followed a thorough complaint resolution process and investigated your concerns fully

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

[CMSL5829 Keeping you informed about your complaint](#)

Outbound letter to the client to inform them that their complaint has been received by the Complaints Review team and is being looked at, they will be in touch in (x) days.

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

[BOM - Segments Summary](#)

[Complaint/Dissatisfaction - Log](#)

[Complaint - Resolution](#)

[Complaints Overview](#)

[Complaints Feedback Process](#)

[ICE](#)

[Financial Redress for Maladministration – A Guide for Special Payment Officers.](#)

[Payment - Non Standard](#)

[PHSO](#)

[Security Check](#)

[Work Management](#)

[Terminology Changes](#)