



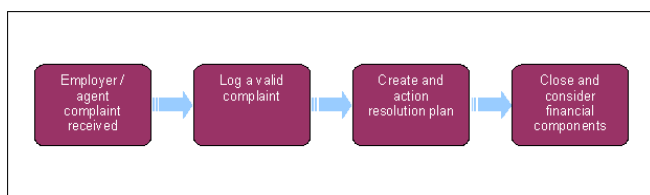
Employer - Resolve Payment Related Complaint

Complaints from employers and agents relating to deductions from earnings orders (DEOs) and payments are handled using the complaints process consisting of two different stages, resolution and review. This procedure covers the actions taken at resolution, covering the first time a complaint is made, focusing on early resolution.

Complaints may be received by written correspondence such as letters or emails, a call via employer helpline, the result of an outbound call to an employer or by a referral from a team leader (TL) within the employer payments team. They are actioned by a member of the employer payments team, a resolution plan is put in place to resolve the issues and once resolved, the complaint is closed.

Complaints will be logged on the system from initial complaint to resolution, detailing the reason, actions and outcomes. This allows trends and repeat causes to be monitored and actions put in place to reduce future complaints. Each complaint is given a unique reference number and written confirmation issued to the employer within two working days of the complaint receipt. In some events there may be a need for a financial payment to resolve a complaint, if a compensation payment is made this closes the employer's complaint. When all issues have been resolved and the employer or agent is happy with the outcome the resolution plan is updated and the complaint 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](#) in related items.

1. A complaint may be received in the form of written correspondence, an inbound/outbound call to an employer or by a referral from a team leader (TL) within the employer payments team.
2. When a complaint is received following telephone contact with an employer or agent, a service request (SR) will be generated at this point and assigned to a member of the employer payments team. For more information refer to [Employer - Log call](#) in related items.
3. If the complaint is received via written correspondence you need to create an SR for this with the following options:
 - **Process = Employer**
 - **Area = Complaints**
 - **Sub Area = Resolution Or Review**



Identify if there is an ongoing complaint or there has been a complaint about the same issue within the last six months, to do this select the **Related Employer Complaints** tab. Where no complaints about the same issue have been previously raised, the **Sub Area** will be **Resolution**. Where the same complaint has been made within the previous six months, the **Sub Area** will be **Review**.

Review SR

4. Where a complaint review is necessary, attach a **Note** detailing the complaint issue to the Review SR and set the **Status** to **Pending Assignment**. This will route the complaint to the escalated complaints team for them to agree a resolution with the employer. Once agreed the resolution plan will be sent to the employer payments team to action, refer to [step 13](#) in [Employer - Review Payment Related Complaint](#).


Resolution SR

5. Once created, in the SR complete the following dropdown lists:
 - **Referral Source**
 - **Referral Reason**
 - **Target Completion Date**
6. The steps below will guide you through the complaints process, from the initial complaint to closing the complaint and explain financial payments offered by the Child Maintenance Group (CMG).





Employer/agent complaint received

- Where no complaint is outstanding, identify if it is possible for you to resolve the complaint at this point, for example by a telephone call to the employer to apologise before you escalate this as a valid complaint within the SR.
- In cases where the issue can be resolved with an apology, or the issue is identified as being invalid, update the case **Notes** with the action taken. Change the **Resolution Code** to **Invalid** and then change the SR **Status** to **Closed** and the **Substatus** to **Cancelled**.

Log a valid complaint

- When a valid complaint is identified, update the SR to reflect this by changing the **Status** to **In Progress**. The system will then update the **Sub Status** to **In Progress**.
- You need to take ownership of the complaint and try to obtain early resolution. It is important that you manage the expectations of the employer/agent at all times.
-  Issue a letter CMSL8500 employer complaint acknowledged, detailing the receipt of the complaint and the complaint reference number, this should be sent to the employer or agent within two working days of the complaint receipt.

Create and action Resolution Plan


- Select the **Resolution Plan** tab and update **Resolution Plan** with the actions needed to clear the complaint. You will be able to create lines by selecting the appropriate **Resolution Type** drop down values within the SR, to reflect the employer's issues.
-   Contact the employer or agent to discuss the resolution plan offered by CMG. Explain time scales and proposed actions and confirm if they agree, updating the case **Notes** of the resolution agreed. If you are unable to make telephone contact follow the steps below sending a copy of the resolution plan and await a reply. If the employer agrees to the resolution plan, go to **step 15**, if the employer rejects the resolution plan go to **step 17**.
-  If you have been unable to contact the employer by phone, manually issue CMSL8501, detailing the resolution plan and set the Status to Wait for seven working days. Update the **Issue Plan to Employer** field with **Y**.
-  Progress the complaint as agreed in the plan if no contact is received from the employer after resolution has been issued, aiming to close the complaint within 20 working days.

Employer agrees resolution plan


- When the employer or agent agrees to the actions outlined in the resolution plan you will update the SR under **Employer Agrees Plan**, select **Y** from the drop down, check the correspondence box to **True** and if the resolution plan was not agreed over the phone, update the **Issue Plan to Employer Line** with **Y**.
- If contact is made by the employer or agent discuss any queries with them, updating the resolution plan if required. Once they are happy with the resolution action taken, go to **Close Complaint**.

Employer rejects resolution plan

- In exceptional circumstances an employer may remain dissatisfied with the resolution plan and dispute the proposed actions. In this scenario the resolution plan would need to be escalated to the team leader to be reviewed and, if applicable, revised.
- Within the SR add a new line to update the drop down field with **Employer Agrees Plan** to **N**. Update the activity plan when appropriate to reflect the employer's expectations, the system will update the SR with:
 - **Status = Pending Approval**
 - **Sub Status = Pending Approval TL**

 To prevent the casegroup moving segments whilst you are awaiting TL authorisation, set the **Lock Assignment Flag**. For more information on how to do this refer to [BOM - Segment Summary](#).

Team leader action

 The SR will show as employer complaints non financial resolution plan approval in the team leader's inbox and contain an audit trail that will be used to check the number of times the resolution plan has been revised.

- When an inbox item is received you will need to reassign the SR to yourself. For further information refer to [Work Management](#).

Reject Resolution Plan

- You are able to make changes by selecting line items in the resolution plan. You can reject items if relevant and leave comments for the user to make changes to the resolution plan by updating the **Notes** tab.
- Update the **TL approval** field to **N** and update the **correspondence checkbox** to **Rejected**.
- Update the inbox item to **Rejected**.




23. Once your action is complete, reallocate the SR to the caseworker for any updates or changes. For more information refer to [Work Management](#).

Approve Resolution Plan

24. When you agree with the resolution plan, approve all lines within the plan, this can either be done manually or you can use the **Change Records Functionality** via the **Edit** option in the application menu bar and they can approve all items at once.
25. Update the **TL Approval** field to **Y** and update the **correspondence checkbox** to **Approved**.
26. Update the inbox item to **Accepted**.
27. Once your action is complete, reallocate the SR to the caseworker for any updates or changes. For more information refer to [Work Management](#).

Caseworker Action


Resolution plan rejected by team leader

28. You should make the required changes by updating the line items within the resolution plan.
29.  Contact the employer or agent to discuss the amended resolution plan. Explain timescales and proposed actions and confirm if they agree, updating the case notes of the resolution agreed. If you are unable to make telephone contact follow the steps below sending a copy of the resolution plan, and await a reply.
30.  If you have been unable to contact the employer by phone, manually issue CMSL8501, detailing the resolution plan.
-  Progress the complaint if no contact is received from the employer after resolution has been issued, aiming to close the complaint within 20 working days.
31. When the employer or agent agrees to the amended resolution plan refer the SR back to your team leader for authorisation, go to **step 18**.

Resolution Plan approved by TL

32. Once approved issue letter CMSL8501 and progress the complaint aiming to close the complaint within 19 working days.

Close Complaint

33. Once all areas in the resolution plan have been resolved and the resolution plan has been updated, record this in the SR, changing the **Status** of the line you created in **step 12** to **Done**. Navigate to the **more tabs** and select **Resolution Plan** from the drop down list.
34. Select **More Info** and then **Employers**. Update the **Issue Plan**, **Plan Agreed** and **Issue Closure Letter** boxes to **Y**. Save this information.
35. Complete all activities linked to the SR and change the **status** to **Closed**. This will close your resolution plan and complaint.
36.  Send a letter to the employer or agent advising that their complaint has been resolved and will now be closed. Create an activity under type **Letter – outbound** and manually issue a complaint closure letter CMSL8502.

Consider financial components

Some complaints may contain financial components. The CMG offer two types of financial payment to cover the resolution of a complaint, these are detailed below. For more information refer to **Payment – non standard** in related items.

- Refund - reimbursing surplus payments made to the CMG by the employer or agent. On resolution, this payment will be paid by an immediate payment to the employer or agent, unless they advise that the payment can be held to offset against any future deductions from earnings (DEO's).
- Financial redress - when an additional financial payment is made to the employer or agent in the form of compensation for expenses they have incurred due to CMG error. The amount of the payment will depend on the evidence provided and will be within the agreed limits. TL approval is required for resolution plan involving financial redress. For more information refer to [Complaint - Resolution and Complaint - Review](#) in related items.

For further information on letters to clients refer to Letters (Outbound) - Send to Client

CMSL8500 Keeping you informed about your complaint

This letter is sent to the employer to acknowledge receipt of their complaint.
All fields in this letter are system generated, no manual intervention is required.

CMSL8501 Keeping you informed about your complaint

This letter is sent to the employer to confirm the actions we will complete to resolve their complaint, or if we haven't been able to reach them over the phone to confirm the proposed actions.
If we have been unable to contact the employer to discuss the resolution plan, use paragraph **TM_01545_E** "We tried to get in touch with you to discuss this further but were unable to reach you"

Complete the free text box detailing the nature of the customers complaint, apology if appropriate, the reason the mistake occurred and the date we plan to have completed any corrective action.

CMSL8502 Keeping you informed about your complaint

Inform employer that complaint has been resolved and is now closed. This letter should be free text and should reiterate the actions that we have taken. This letter will also be used when no action is going to be taken. (This is for level 1 complaints only; the Complaint Review Team will use letter CMSL8506.)

- If we are writing to confirm the outcome of a phone conversation, use the paragraph **TM_020275_E** 'We're writing to confirm the outcome of our phone conversation'
- If we are writing to the client as we have been unable to contact them, us the paragraph **TM_02276_E** 'We're writing regarding the above complaint as we were unable to contact you by phone'

Complete the free text to include any corrective action taken, and if required an explanation and further apology

[BOM - Segment Summary](#)

[Complaint - Resolution](#)

[Complaint - Review](#)

[Employer - Manage Contact](#)

[Employer - Review Payment Related Complaint](#)

[Payment - Non Standard](#)

[Terminology Changes](#)

[Work Management](#)

[Will an employers complaint close if compensation is paid?](#)

Yes, it will also be communicated to the employer that further escalation relating to an amount of compensation will not be possible