



Leicester  
City Council

WARDS AFFECTED: ALL

Audit and Risk Committee

2 December 2015

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## CORPORATE COMPLAINTS (NON STATUTORY)

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### Report of the Director of Finance

#### 1. Purpose of Report

The purpose of this report is to update the Audit and Risk Committee on progress since the Vacancy Management Service Manager presented findings on the corporate non statutory complaints process and to report the quarterly non statutory complaints figures.

#### 2. Summary – Progress Update

- Policy and Procedure

A new Policy and Procedure has been drafted which streamlines the process of handling corporate complaints from whatever source they derive and to take a much more flexible approach when handling a complaint dependent upon the nature and complexity.

It will be at a 'triage' stage that will determine the route of the complaint and who will need to be involved. This also simplifies the process and independent investigation will take place to determine whether a complaint is justified or otherwise.

This will commence from the new Organisational structure being implemented and the new CRM being in place from January 2016.

- Technology, Recording and Management Information

The Vacancy Management Service Manager has been working in conjunction with Customer Services to procure a new Customer Record Management system. This is part of the Customer Services transformation project led by Sarah Moore. The new system incorporates the functionality required to streamline and record corporate complaints and will also, once thoroughly tested be used to log councillor, MP and Mayoral enquiries. Procurement is complete and a new system will be implemented by January 2016.

- Structures/Roles & Responsibilities- Corporate Complaints

An Organisational Review has now concluded with the new staffing structure coming into force from 23<sup>rd</sup> November 2015. The Business Case outlined a

centralised corporate complaints function with Complaints Officers who will manage a complaints case load and ensure that service improvements are identified, reported and followed through with Divisions. A fuller detailed progress report which tracks progress against recommendations last reported is attached at **appendix 1**.

### **3. Report on Key Quarterly Information**

- Stage 1 Complaints - Quarter 2 the total number of Stage 1 complaints received was 650 a drop of 21% from Quarter 2 in 2014/15. The percentage of complaints escalated to Stage 2 also reduced by 2.3% compared to Q1 2014/15.
- Stage 2 Complaints - We saw an overall reduction of 39% in Stage 2 complaints compared to Q2 in 2014/15. This is indicative of better quality responses being sent out stage 1 and checking that the response on Stage 1 complaints actually fulfilled the needs of the customer.
- We have had a total reduction in complaints in the first 2 Quarters of 2015/16 compared to 2014/15 (19% reduction). This is due to better triage of what is considered a complaint vs a first line request for service. Of those complaints actually received 61% complaints were considered unjustified.
- Justified Complaints - in 2014/15 Q1 & 2 40% of all complaints received were categorised as justified. This year only 29% were considered justified, a total reduction of 11% compared to last year.
- 55% of complaints received regarding timeliness of our services were justified. 44% of complaints received due to quality of our service were justified. 31% of complaints relating to our staff's attitude and behaviour were justified. 27% of complaints regarding policy and procedure were justified.
- The top reason for a complaint in Q2 was Quality of Service, accounting for 42% of all new complaints.
- Housing remained the top area for complaints received accounting for 40% of all new complaints significantly within repairs. This is a reduction on Q1 of 4%. The second biggest area regarding council Tax and Benefits accounting for 19%, this represents an increase against Q2 of 2%. This is in line with all previous data recorded.
- A new format Quarterly report has been produced (attached) which can include source data drilled for further details – this will be developed further once the new CRM system commences for better quality management information. Services may now use source data for detail.

### **4. Report Author/Officer to contact:**

Caroline Deane, Vacancy Management t Services Manager  
Date 17 November 2015

## APPENDIX 1

	Recommendations	Progress
1	<p><b>ORGANSIATIONAL STRUCTURE</b></p> <ul style="list-style-type: none"> <li>• Create a central complaints function and a strategic and corporate stance for all complaints, headed by a complaints 'professional'</li> <li>• This would exclude adults and Children's statutory areas but include Housing.</li> <li>• This central function will be impartial, answering customer concerns and complaints and will provide a link between customers and the service.</li> <li>• The key is that it is not just a merged staffing function but that systems, approaches and management are integrated to use customer feedback to aid service improvement.</li> </ul>	<ul style="list-style-type: none"> <li>• Organisational Review has been completed.</li> <li>• New structure will come into operation effective from 23<sup>rd</sup> November 2015.</li> <li>• New work systems will link to new Technology and CRM which will be implemented from 20.1.16</li> <li>• New roles identify Complaints Officers as case managers for complaints taking the emphasis of investigation away from the service and to have an impartial view of complaint. Complaints Officers will determine whether complaints are justified or not.</li> <li>• Complete to commence effective 23.11.15</li> </ul>
2	<p><b>POLICY AND PROCEDURE</b></p> <ul style="list-style-type: none"> <li>• Take a one system approach to all complaints that has sufficient rigour to deal with MP and councillor, Ombudsman and customer complaints.</li> <li>• Update our Policy and Procedures to include flexibility instead of just deadline driven.</li> </ul>	<ul style="list-style-type: none"> <li>• New Policy and procedure has been drafted to reflect the structure and to satisfy what we need to do.</li> <li>• It is recommended that this removes a <u>formal</u> two stage complaint procedure – stage 1 will be informal resolution by phone/contact in the first instance for simple complaints by complaints administration</li> <li>• Stage 2 being an independent investigation by someone away from the service – as Complaints Officers will do this it is recommended that this satisfies the need for a stage 2. Complaints officers will liaise with customers directly re timescales to answer complaints in line with complexity and number of services involved</li> <li>• However, we will have the flexibility for a senior Manager to investigate should it be warranted. This is better process and time efficiency for customers and Officers</li> <li>• As complaints are dealt with quickly by phone in the first instance this should reduce escalation</li> <li>• Risks are that this may result in an increase in complaints to the Ombudsman</li> </ul>

	Recommendations	Progress
3	<p><b>QUALITY</b></p> <ul style="list-style-type: none"> <li>Mandate independent checking of all complaints so that responses do not go out unchecked</li> </ul>	<ul style="list-style-type: none"> <li>A full report to CMT on the new proposed policy will be held next quarter along</li> <li>New roles identify Complaints Officers as case managers for complaints taking the emphasis of investigation away from the service and to have an impartial view of complaint.</li> <li>Complaints Officers will determine whether complaints are justified or not and correspond directly with the customer to ensure consistency quality of response</li> </ul>
5	<ul style="list-style-type: none"> <li>Customer access and triage of 'complaints' is reviewed in order that categorisation by the 'front line' is robust and that complaints are streamed separately to requests for service</li> </ul>	<ul style="list-style-type: none"> <li>New CRM and process flow will triage out in the first instance non complaints, a second stage triage will take place at Complaints level to filter out first time requests for service or non- complaints/appeals and process them back through workflow to appropriate departments.</li> <li>Work is being undertaken with the City Mayors Office, and Democratic Services with regards to Mayoral/Cllr and MP enquiries are enquiries and will go through workflow to appropriate departments for response.</li> <li>CRM will link the customer contact so that there is visibility of contact regarding the same or similar issues</li> </ul>
6	<ul style="list-style-type: none"> <li>Review complaints web page and content.</li> </ul>	<ul style="list-style-type: none"> <li>New web page and customer portal will be launched as part of the new CRM customer services transformation project and 'Go live'.</li> <li>This will hold all customer relevant information with regards to complaints, comments, compliments and detail our new policies and procedures.</li> </ul>
7	<p><b>TECHNOLOGY AND SYSTEMS</b></p> <ul style="list-style-type: none"> <li>Technology and systems are fully integrated replacing CRM with a more up to date and versatile tool which tracks a customer contact across services</li> </ul>	<ul style="list-style-type: none"> <li>A new CRM has been bought as a part of the customer service transformation strategy which addresses complaints, comments and feedback from all customers including MPs councillors and Mayoral contacts.</li> <li>The new system will integrate data and record information regarding customer feedback and will be used to provide management information and intelligence. The Complaints function is represented on the project and will be one of the first modules to be launched.</li> </ul>