

Template Scoping Document – amended following Members comments 28 06 17

Overview & Scrutiny Committee	
Scrutiny Review Title:	Complaints & Feedback Handling
Background issues to review – rationale for scrutinising this issue:	Members raised the issue of Complaints & Feedback Handling when it agreed items for the work programme in March 2017, this was following the Corporate Performance reporting for quarter three 2016/17 linked to the 'Your Say' percentage of complaints progressing from stage 2 to stage 3. The Executive and Scrutiny agreed that they would be looking for what the incoming Assistant Director's (Corporate Projects, Customer Services & Technology) plan would be to resolve the management of complaints?
Is the issue highlighted as one of the Council's corporate aims and objectives of the Council's Corporate Strategy , – 'Sharing the Dividends'? If so which one:	There are no formal commitments in the 2013-18 Corporate Strategy, 'Sharing the Dividends', with regard to the handling of complaints and feedback handling.
Is this issue covered by the Future Town Future Council Programme?	Under the Future Town Future Council co-operative approach ambition of being "connected to our customers" there is a broad commitment to "Improve the accessibility of our services and the customer experience". It could be maintained that how the Council responds to feedback and complaints is very much linked to delivering this ambition.
Is this issue one that raises interest with the public via complaints or Members' surgeries or with Officers?:	This issue is directly linked to the way the Council handles feedback and more specifically complaints, therefore it is of specific interest to Members and our customers who raise complaints against the Council. Members initially were most interested in the number and detail of Complaints that progress from a Stage 2 Complaint to a Stage 3 Complaint. <u>However, in considering the data when drawing together the scoping document the Chair & Vice-Chair agreed that what is of more interest is how Level 1 complaints are handled by the 'back office' service delivery units.</u>

Focus of the review: (State what the review focus will be)

To be identified by the Committee at the scoping meeting. Officers have suggested the following possible Options:

Suggested areas to cover:

- *Provide an Overview to Members of the way Feedback and Complaints are logged via Have Your Say via a presentation of a sample of the available data*
- *Establish the number of Stage 2 Complaints that move to Stage 3 Complaints and provide some context*
- *Invite the new Assistant Director, Corporate Projects, Customer Services & Technology to outline her plan to addressing the management of feedback and complaints?*
- *Focus on the service area that generates the largest volume of complaints (in 2016/17 1098 Stage 1 Complaints were received, of those 201 were Housing Asset Management Improvements, 310 were Housing Repairs (for context 166 were received for Refuse & Recycling).*
- *Of the 1098 Stage 1 Complaints 10% reach Stage 2 of those 5% reach Stage 3, of those 0.5% reach the Ombudsman (10 cases) and of that 9 are found in favour of the Council (1 still outstanding), the review wishes to focus on the Stage 1 process and find out what the initial response from the service areas are to the original complaint.*
- *The hope is that whatever learning can be gleaned from the way the service departments in Housing responds to the initial complaint then improvements can be extended to other areas to generate a “right first time” response to customer interactions and improved back office training.*

Some questions that Members may wish to ask:

What is the response in Housing Asset Management to the 201 cases? (i.e. letter, phone call, email, face to face contact?)

What is the response in Housing Repairs to the 310 cases? (i.e. letter, phone call, email, face to

	<p>face contact?)</p> <p>Does the logging of Member interventions via ‘Have Your Say’ skew the number of complaints Level 1 cases?</p> <p>What training is instigated corporately when the initial response to complaints is considered insufficient?</p> <p>(Members will no doubt identify some further questions)</p>
<p>Timing issues: Are there any timing constraints to when the review can be carried out?</p>	<p>Officers will advise at the meeting if there are any timing issues to consider. The review will have to fit in with the timing of the other Select Committee review work programme items.</p>
<p>The Committee will meet on (provide dates if known):</p>	<p>Dates: Day/Month/Time/Venue From Wed 10 May 2017 – Discuss scoping with Assistant Director, Clare Watson and the Chair of O&S Committee 28 June 2017 – agree draft scope at & receive presentation from officers at a standalone Select Committee meeting (not usual O&S Meeting). Interview witnesses - possible date Monday 20 September</p> <p>Date to be agreed – agree recommendations & final report – target at a future normal O&S Committee meeting possibly Sep/Oct 2017.</p>
<p>SBC Leads (list the Executive Portfolio Holders and SD’s Heads of Service who should appear as witnesses):</p>	<p><i>Officers have suggested the following people:</i></p> <ul style="list-style-type: none"> • <i>Executive Portfolio Holder for Neighbourhoods & Co-operative Council, Councillor Simon Speller & Councillor Jeanette Thomas for Housing, Health & Older People</i> • <i>Strategic Director, Tom Pike</i> • <i>Assistant Director, Corporate Projects, Customer Services & Technology, Clare Watson</i> • <i>Customer Focus Manager, Berni O Regan</i> • <i>Customer Service Manager, Donna Smith</i>

	<ul style="list-style-type: none"> • <i>Lead Officers for Housing Repairs, Housing Asset Management and Refuse & Recycling</i>
Any other witnesses (external persons/critical friend)?:	To be identified by the Committee at the scoping meeting. <i>Possible options identified by officers:</i> <ul style="list-style-type: none"> • <i>Critical Friend – Members <u>did not</u> think that it would be appropriate for this review to invite an officer from another local authority as a “critical friend”</i>
Allocation of lead Members on specific individual issues/questions:	To be identified by the Committee at the scoping meeting. Members will ask questions on the following areas (list the issues to address during the interviews):
Any other Questions Members wish to cover:	<u>Equalities & Diversity Issues</u> – Are there any E&D issues to consider in this review? <u>To be determined</u>
Site visits and evidence gathering in the Community	Not relevant
Equalities and Diversity issues: The review will consider what the relevant equalities and diversity issues are regarding the Scrutiny subject that is being scrutinised	<i>To be identified by the lead Member – Cllr...</i>
Constraints (Issues that have been highlighted at the scoping stage but are too broad/detailed to be covered by the review):	<i>To be identified by the Committee at the scoping meeting 28 June 2017 (These issues can be captured and dealt with via other means – Briefings/email/officer action etc)</i> Any other matters that are not directly linked to the review should be directed to officers.
Background Documents/data that can be provided to the review	<i>As identified by the Committee at the draft scoping meeting 28 June 2017:</i> <ul style="list-style-type: none"> •
Agreed Milestones and review sign	<i>Formal response from Executive Portfolio Holder (Executives have a Statutory requirement to respond to Scrutiny review recommendations two months after receiving a final report and recommendations of a</i>

off -To be agreed by Members and officers

review: **Date Executive Portfolio responses are expected** (dependent on the final report & executive portfolio response template publishing date): **DD MM YY**
Date for monitoring implementation of recommendations – final sign off (typically one year from completion of the review): DD MM YY (Close to this date the Select Committee will receive a report at a Committee meeting to agree the final sign off of the review recommendations)