

Cyngor Sir Ynys Môn / Isle of Anglesey

Pwyllgor:	Pwyllgor Safonau
Dyddiad y Cyfarfod:	25 Gorffennaf 2012
Teitl yr Adroddiad:	Prosiect Rheoli Cwynion
Adroddiad gan:	Swyddog Gwybodaeth Corfforaethol
Pwrpas yr Adroddiad:	Rhoi diweddariad i'r Pwyllgor am statws cyfredol y Prosiect Rheoli Cwynion

1. Fel yr adroddwyd i'r Pwyllgor yma ar 27 Mawrth 2012, ni dderbyniwyd unrhyw gyllideb ar gyfer y prosiect yma ac felly bu rhaid i'r Cyngor asesu sut i weithredu'r polisi newydd o fewn yr adnoddau presennol. Mae hyn wedi golygu lleihau nodau ac amcanion cychwynol y prosiect. (Atodiad 1)
2. Cyflwynwyd y Mandad diwygiedig i Dîm Rheoli'r Penaethiaid Gwasanaeth ar 31 Mai 2012 (Atodiad 2)
3. Mae Cynllun Prosiect diwygiedig wrthi'n cael ei ddatblygu (Atodiad 3 - Drafft yn unig gan nad oes dyddiad cychwyn wedi ei benderfynu hyd yn hyn)
4. Mae gwaith cefndirol yn mynd rhagddo i addasu'r Polisi i fod yn fersiwn " Ynys Môn" ac i adlewyrchu'r realiti sydd wedi ei gorfodi gan gyfyngiadau adnoddau. Hefyd, mae Polisi'r Ombwdsmon "Gweithredoedd Annerbyniol gan Achwynwyr" yn cael ei ddefnyddio fel man cychwyn i'r Cyngor cyhoeddi a mabwysiadu polisi o'r fath. Mi fydd ymgynghori mewnol ar y 2 ddogfen.
5. Mae mabwysiadu "Cynllun Dangos y Ffordd" yn ffurfio'r rhan olaf o'r Cynllun Prosiect ac mi fydd hyn yn hwyluso mynediad i wybodaeth i Aelodau.
6. Adroddir ar Ddogfen Agoriad Prosiect diwygiedig i'r cyfarfod nesaf ynghyd a diweddariad ar gynnydd y Cynllun Prosiect.

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Pwrpas yr Adroddiad:	Rhoi gwybod i'r Pwyllgor am y Prosiect Rheoli Cwynion

1. Cafodd y Mandad Prosiect ar gyfer y Polisi Enghreifftiol ar gyfer Pryderon a Chwynion ei gyflwyno i'r Tîm Rheoli Penaethiaid Gwasanaeth ar 25 Tachwedd 2011. Bwriedir y Mandad Prosiect yw hwyluso cyflwyno'r polisi newydd a sicrhau ei fod yn cael ei sefydlu'n gadarn yn niwylliant y Cyngor.
2. I Dîm Rheoli'r Penaethiaid Gwasanaeth dderbyn y Mandad Prosiect, mae angen creu Dogfen Cychwyn Prosiect (TCP), sy'n nodi'n fanylach nodau ac amcanion y prosiect.
3. Yn unol â'r Mandad, rhaid i'r Cyngor fabwysiadu Polisi Enghreifftiol yr Ombwdsmon Gwasanaethau Cyhoeddus ar gyfer Pryderon a Chwynion a chefnogi ei weithredu gydag addasiadau penodol i'r modd y mae'r Cyngor yn amgyffred cwynion ac ymateb iddynt. Cafodd copïau o'r Polisi Enghreifftiol newydd ar gyfer Pryderon a Chwynion ei ddsbarthu i'r Pwyllgor Safonau ar 14 Medi 2011. Mae'r adroddiad ynghlwm fel 'Atodiad 1'.
4. Ym Mandad y Prosiect, nodir bod rheoli cwynion yn effeithiol yn gyfle i wella gofal cwsmer a gwasanaethau sy'n canolbwyntio ar y dinesydd sydd yn eu tro yn gwella enw da'r Cyngor. Mae Mandad y Prosiect ynghlwm fel 'Atodiad 2'.
5. Er mwyn cyflawni hyn, bydd raid i'r Cyngor gymryd perchenogaeth gorfforaethol o'r drefn rheoli cwynion fel rhywbeth sy'n hanfodol i'n gwasanaethau drwy gyflwyno prosesau sy'n symud y ffocws tuag at anghenion y cyhoedd a rhoi sylw prydlon ac effeithiol i'w pryderon. Bwriedir y system newydd o reoli cwynion i sicrhau bod cwynion yn cael eu datrys mewn modd cost effeithiol, yn cael eu hymchwilio'n dda ac yn rhoddi sicrwydd i staff a'r cyhoedd fel ei gilydd.
6. Mae'r gwaith o baratoi'r DCP wedi cychwyn ond oherwydd bod sgôp y prosiect yn dibynnu ar lefel y cyllid a ddyrannwyd gan y Cyngor, nid oedd modd cwblhau'r DCP hyd oni fyddai gwybodaeth am y cyllid wedi dod i law. Caiff y fid am gyllid ei chynnwys fel 'Atodiad 3'.

7. Penderfynodd y Cyngor ar 6 Mawrth 2012 i beidio â dyrannu cyllid i'r prosiect.
8. O'r herwydd, rhaid i'r Cyngor asesu sut y mae am weithredu'r polisi newydd gyda'r adnoddau presennol. Mae hyn yn golygu y bydd rhaid lleihau nodau ac amcanion cychwynnol y prosiect.
9. Bydd DCP ddiwygiedig yn cael ei chyflwyno i Dîm Rheoli'r Penaethiaid Gwasanaeth yn y man.



CYNGOR SIR
YNYS MÔN
ISLE OF ANGLESEY
COUNTY COUNCIL

PROJECT MANDATE

Project Title: **Complaints Management**

Project ID No. **COMP**

Proposer: Richard Parry Jones

Version Information

Issue date: 26.09.11

Issued by: Project Manager

Document reference:

Version: V. 1

Status: Draft

Programme Management Office: 01248 75 2110

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templates\Final versions\YMPM1.0

[Insert Project Name]

1 Project Mandate

1.1 Document Location and file structure

This document is only valid on the day it was printed.
The source of the document will be found at this location – [insert folder structure/document tracker reference as identified also on Front Cover]

1.2 Approvals

The Mandate will require approval from two officers to proceed to Outline PID, one of whom should be the Head of Service: Where appropriate the other signatory should be a representative of the Heads of Service Management Team

Signed approval forms should be filed in the PMO.

Approval to proceed to Outline PID

Name	Title	Role	Signature	Date
John Rees Thomas	HoS Lifelong Learning & Information	Chair		
Richard Parry Jones	Interim Chief Executive			

1.3 Distribution

~~This document has been distributed to:~~
(e.g. MD, Programme Board, Strategic Leadership Group, key officers, external partners, Procurement, Legal)

Name	Title	Date of Issue	Ver.
John Rees Thomas	HoS Lifelong Learning & Information	22-11-2011	1
Various	All members of the HoS Management Team	22-11-2011	1
Alwyn Jones	Project Officer, PMO	22-11-2011	1

[Insert Project Name]

2 Project Objectives

The Council is required to adopt the Model Concerns and Complaints Policy and support its implementation with specific adaptations to the way the Council perceives and responds to complaints.

The project is intended to facilitate the introduction of the Model Concerns and Complaints Policy and ensure that it becomes embedded within the Council's culture. The emphasis of the New Policy is on learning from complaints and on putting things right when they have gone wrong.

Complaints currently cost the Council money, but there are other cost implications too. For example, complaints cost in staff time, can lead to detrimental reputation issues and lowered staff morale.

However, it is acknowledged that managing complaints effectively provides opportunities to improve customer care and citizen-centric services that enhance our reputation as a Council that serves, cares and does things consistently well. Put simply, complaints resolved effectively results in high quality, effective services.

In order to achieve this, the Council will have to embrace the corporate ownership of complaints management as something essential to our services, by introducing processes that shift focus towards the needs of the public and prompt and effective resolution of their concerns. The Council will have to support the introduction of new systems and procedures to ensure that it learns from instances where things were not done well, and provides evidence of instances where things went well.

The adoption of the new policy will require a change in culture and a shift towards more responsive services which are seen to serve. This will be achieved through ensuring the buy-in of all staff from senior managers to frontline staff. Training is key, in order that complaints are recognised, where possible resolved at source and effectively managed.

One of the project's main objectives is to ensure that the customer receives a consistently high level of effective and businesslike service from all the Council's services. When issues arise, the Council can take an objective, evidence based look at matters, resolve concerns and learn.

The project has been identified as a key element of community engagement and it interfaces with other key institutional issues which underpin the recovery process.

[Insert Project Name]

3 Project Scope

To establish a Project Board responsible for ensuring the corporate ownership of complaints management. The Project Board will include Members and Senior Officers.

It is intended to establish a Working Group comprising staff experienced in the process of complaints. The Working Group will consider operational issues and will report to the Project Board. The Working Group will look at the following areas:

- How the Council can most effectively adopt the New Policy – identifying front line staff, identifying possible Investigators and arranging appropriate training.
- Identify ICT and other requirements needed to implement the system.
- Arrange customer feedback sessions.
- Consider Customer Care issues – to ensure that there is a positive attitude towards complaints management and putting people first.
- A corporate system for gathering intelligence so that the Council can learn from complaints and identify trends and specific issues.
- Introducing procedures to facilitate the formalised exchange of information with Members in order to assist them in their constituency role, this is known as 'Signposting'.

4 Outline Business Case

Complaints Management is part of the Recovery Plan and the New Policy will now replace any previous actions. The adoption of the new complaints management system will facilitate improved services and support other initiatives to improve community engagement.

Corporate Theme	How project contributes
Enhance the reputation of the council and island	<ul style="list-style-type: none"> • It is acknowledged that the public's perceptions of the Council need to be improved. The successful implementation of the project will be an important element of the Recovery Process.
Protect and develop the islands economy	<ul style="list-style-type: none"> •
Build and support sustainable communities	<ul style="list-style-type: none"> •
Promote healthy safe and fair communities	<ul style="list-style-type: none"> •
Business like and affordable services	The management of complaints is costly; involving staff time, staff morale and reputation issues.

[Insert Project Name]

	The new system of complaints management will ensure that complaints are resolved cost effectively, investigated well and reassure staff and public alike.
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Project Benefits

It is anticipated that the successful implementation of the new procedure will result in fewer complaints being referred to the Ombudsman. This would enhance the Council's reputation and free up the time of officers who have to assist the Council to respond to the Ombudsman's investigation.

It is important that systems for monitoring customer satisfaction will be introduced, which will enable the Council's performance to be monitored and reported upon. Customer satisfaction is an important element in the procedure.

Project Costs

[Is there an allocated budget? What are the indicative costs associated with project at this stage?]

The project is a corporate project and that any costs arising from its implementation should be considered as corporate costs.

It is recognised that there are likely to be costs implications to ensuring that the new procedure is embedded within the Council's culture and ensuring that the Council is able to capitalise on opportunities for service development. This means that a considerable training element is required in order to maximise customer care and early complaints resolution.

The table below attempts to demonstrate costs which are likely to be associated with the project.

Staffing		
The PSOW procedure requires that the Council increases its capacity for complaints handling.	Investigator posts (2 full time posts)	2 x £25-£30k (plus on-costs)
It is anticipated that Investigators and Admin / Coordinators are required. Capacity could be shared on a North Wales Basis.	Admin/Coordinator (1 full time post)	1 x £15-£18k (plus on-costs)
Training		
Implementation of the new procedure requires a substantial training element.	Investigations training	2x £600
In addition to the need to train Investigators and complaints officers, there is a need for customer care / complaints training to be extended through the Council.	Complaints management training for complaints officers and managers	£2000 - £4500
	Customer care /complaint training for all frontline staff.	£600 per ½ day per 15 people. Possibly required by 200 staff

[Insert Project Name]

		£6000 - £8000
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[Insert Project Name]

ICT		
<p>The PSOW procedure requires that the Council has in place an adequate system to facilitate monitoring of the complete complaints process.</p> <p>An investment in ICT capacity is essential in order to ensure that this is done efficiently and that service development as a result of learning outcomes can be identified.</p>	<p>A new complaints management system is required.</p> <p>This will require elements of case management but also workflow.</p> <p>The system may require a Customer Relationship Management element (CRM).</p>	<p>Costs vary from £20k to £100k, depending on functionalities required.</p>

REVENUE BUDGET 2012-13 : PRO FORMA FOR BIDS

LEAD DEPARTMENT: Legal / Corporate Information

HEAD OF SERVICE Lynn Ball

TITLE : Complaints Management Project

BUDGET: (please note Cost Centre Code if known)	NEW	FUNDING : (please tick funding source for the bid)	Revenue	✓
			PIG	✓

BRIEF DESCRIPTION

The Council proposes to implement the Public Services Ombudsman's Model Compliments and Complaints System. The Heads of Service Management Team reviewed and accepted the Project Mandate on 25-11-2011. The project has been identified as a key element of community engagement and it interfaces with other key institutional issues which underpin the recovery process.

Detailed costings of the project are not yet to hand but it is anticipated that a ballpark figure for the costs of the project will be as shown below.:

SPECIFY AGREED OR DESIRED OUTCOME(S)

To establish a Project Board responsible for ensuring the corporate ownership of complaints management. The Project Board will include Members and Senior Officers.

One of the project's main objectives is to ensure that the customer receives a consistently high level of effective and businesslike service from all the Council's services. When issues arise, the Council can take an objective, evidence based look at matters, resolve concerns and learn.

It is intended to establish a Working Group comprising staff experienced in the process of complaints. The Working Group will consider operational issues and will report to the Project Board. The Working Group will look at the following areas:

- How the Council can most effectively adopt the New Policy – identifying front line staff, identifying possible Investigators and arranging appropriate

		<p>training.</p> <ul style="list-style-type: none"> Identify ICT and other requirements needed to implement the system. Arrange customer feedback sessions. Consider Customer Care issues – to ensure that there is a positive attitude towards complaints management and putting people first. A corporate system for gathering intelligence so that the Council can learn from complaints and identify trends and specific issues.
COST	<p>: ONE-OFF : CONTINUING : 2012-13 : following years</p>	£
<p>BASIS OF COST ESTIMATE STAFFING (at scale maximum for this year plus ___% overheads; if part time, specify the number of hours) OTHER (e.g. Travelling Expenses, Supplies & Services)</p>		<ul style="list-style-type: none"> Staffing up to £78,000 yearly recurring: Investigator posts (2 full time posts) Admin/Coordinator (1 full time post) Initial training £10,00 with a lesser recurring cost yearly thereafter, New compliant-ICT system: up to £100,000, Project implementation costs of up to £25,000.
<p>SAVINGS Details of any savings generated (e.g. via a Spend to Save initiative)</p>		Savings have not yet been established at this stage
AMOUNT OF SAVINGS	<p>: ONE-OFF : CONTINUING : 2012/13 : following years</p>	
<p>JUSTIFICATION - please describe if and how the proposal would fulfil the following :</p>		
<p>CONTRIBUTION TO COUNCIL OBJECTIVES</p>		<p>Enhance the reputation of the council and island: It is acknowledged that the public's perceptions of the Council need to be improved. The successful implementation of the project will be an important element of the Recovery Process.</p> <p>Business like and affordable services: The management of complaints is costly, involving staff time, staff morale and reputation issues.</p> <p>The new system of complaints management will ensure that complaints are resolved cost effectively, investigated well and reassure staff and</p>

	public alike.
OBJECTIVE SIGNALLED BY THE ASSEMBLY OR GOVERNMENT - AND/OR LINKS TO KEY STRATEGIC PLANS AND PARTNERSHIP OBJECTIVES	The adoption of the new complaints management system will facilitate improved services and support other initiatives to improve community engagement.
ASSISTING TO COMBAT DEPRIVATION AND/OR PROMOTING SOCIAL INCLUSION	
ADDRESSING OR LESSENING IDENTIFIED RISK (from annual Service/Corporate risk assessment or other formal risk assessments)	a) Process Risk: b) Environmental Risk:
LINK TO COMPLIANCE ISSUES (please specify)	
IMPROVEMENT IN PERFORMANCE INDICATOR INCLUDED IN POLICY AGREEMENT (specify target)	
IMPROVEMENT IN ANOTHER PERFORMANCE INDICATOR (specify target)	
FULFILMENT OF WISHES EXPRESSED BY THE PUBLIC IN CONSULTATION AND/OR LINK TO POLICY AND OVERVIEW COMMITTEE DECISION(S) (specify which)	
IMPLEMENTATION OF A WALES PROGRAMME FOR IMPROVEMENT ACTION PLAN AND/OR SERVICE/BUSINESS PLAN OBJECTIVE (specify which)	It is anticipated that the successful implementation of the new procedure will result in fewer complaints being referred to the Ombudsman. This would enhance the Council's reputation and free up the time of officers who have to assist the Council to respond to the Ombudsman's investigation.
	It is important that systems for monitoring customer satisfaction will be introduced, which will enable the Council's performance to be monitored and reported upon. Customer satisfaction is an important element in the procedure.
IMPLEMENTATION OF AN INSPECTORATE OR AUDITOR RECOMMENDATION (specify which)	
DEVELOPMENT OF AND/OR SUPPORT OF PERFORMANCE MANAGEMENT FRAMEWORK	

LINK OR CONTRIBUTION TO EQUALITIES AND SUSTAINABILITY AGENDA (please specify)	
IN ORDER TO GENERATE BUDGET SAVINGS IN FUTURE YEARS	
<u>PROPOSED MONITORING ARRANGEMENT</u> (please specify)	Via the Project Board

All bids need to be submitted by Friday 9th December 2011.

The Head of Service is required to Print and Sign their name to verify the above proposal.

Print Name: _____

Signed: _____

Date: _____

[Insert Project Name]

complaint. It is vitally important that our customers feel that their concerns and complaints are taken seriously and that the quality and impartiality of our investigations is recognised.

What we had planned to do

It was intended to employ additional staff as investigators and administrative support. This would extend a sufficient degree of autonomy from services and would facilitate improved contact and engagement with complainants. Improved staffing levels would reduce pressure on the central team and facilitate greater compliance with the timescales.

What we now intend to do

To identify and train investigators from within Council services who could be called to investigate the most serious complaints. We are also exploring the potential for collaboration with neighbouring Councils.

HPP and BJ are due to attend a 2 day "investigators training" course arranged by the North Wales Complaints Officers Group (week commencing 23 April 2012).

It is proposed to roll out the training to investigators in due course.

4 Outline Business Case

Complaints Management is part of the Recovery Plan and the New Policy will now replace any previous actions etc. Despite the fact that the New Policy is not mandatory, it is an ideal opportunity for the Council to move forward with complaints management and adopt, as far as it practicable, a system that has been put together by experts in the field.

Corporate Theme	How project contributes
Enhance the reputation of the council and island	<ul style="list-style-type: none">• The way the public view the Council needs to be improved and the successful implementation of the project will improve public perception of the Council.
Protect and develop the islands economy	<ul style="list-style-type: none">•
Build and support sustainable communities	<ul style="list-style-type: none">•
Promote healthy safe and fair communities	<ul style="list-style-type: none">•

[Insert Project Name]

Business like and affordable services	The management of complaints is costly – staff time and staff morale and reputation issues . The new system of complaints management will ensure that complaints are resolved cost effectively, investigated well and reassure staff and public alike.
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Project Benefits

- Fewer complaints being referred to the Ombudsman – the work needed to respond to cases investigated by the Ombudsman take up hours of staff time that would be better spent doing the “day job”. This would also enhance the Council’s reputation.
- Improved Customer satisfaction – this would be measured and reported upon.

Project Costs

A bid for funding was refused in March 2012. However it is imperative that the Council allocates its existing resources to implement the necessary changes. Alternative funding is being investigated.

Copy of COMP Project Plan V2

The columns in blue are calculations based on the project details provided by the project manager. The information is being used to generate the RAG status.

Project Reference Number	Previous Period RAG Status	%age Comp	Project ID	Project Description / Name		Delegated Person / Officer
				Primary Tasks	Sub task Level 1 etc...	
1		7%	COMP	Corporate Complaints Management	Meeting with Project Sponsor to take place to ensure support for the Project. Timescales, resources and membership of the Project Team to be discussed at the meeting	??
2				0%	Appointing the Project Team and Terms of Reference	??
3				0%	First meeting of the Project Team	??
3.1				0%	Discuss the Policy and the potential amendments	??
3.2				0%	Decide upon the actions required to implement the Policy	??
4				0%	Electronic recording system to be agreed (must be able to record concerns)	??
4.1				0%	Adoption of an Unacceptable Actions by Complainants Policy (to use the PSOW Policy as a starting point and consult upon any required changes	??
4.2				0%	Feedback questionnaire (this to be devised by the North Wales Complaints Officers Group)	??
4.3				0%	Decision to be made on baseline data for future comparative work	??
4.4				0%	Full training programme to be devised and resourced (discuss with Training Section)	??
5				0%	Allocate roles and responsibilities for undertaking the above tasks - implementation date to be agreed and Action Plan formulated	??
6				0%	Preparation of "Complaints Manula" for all relevant staff together with specimen documents	??
7				0%	All necessary training arranged and undertaken - frontline staff and all Complaints Officers from the services	??

ATODIA | ENCLOSURE 3

Copy of COMP Project Plan V2

The columns in blue are calculations based on the project details provided by the project manager.

The information is being used to generate the RAG status.

8				0%	Reporting lines and frequency of reports agreed	??
9				0%	New Policy introduced, adequately resources with recording and monitoring arrangements in place	??
10				0%	Signposting Policy - to be in place in time for the New Council in May 2013	??