



Governance & Audit Committee – Corporate Complaints – 19th July 2022

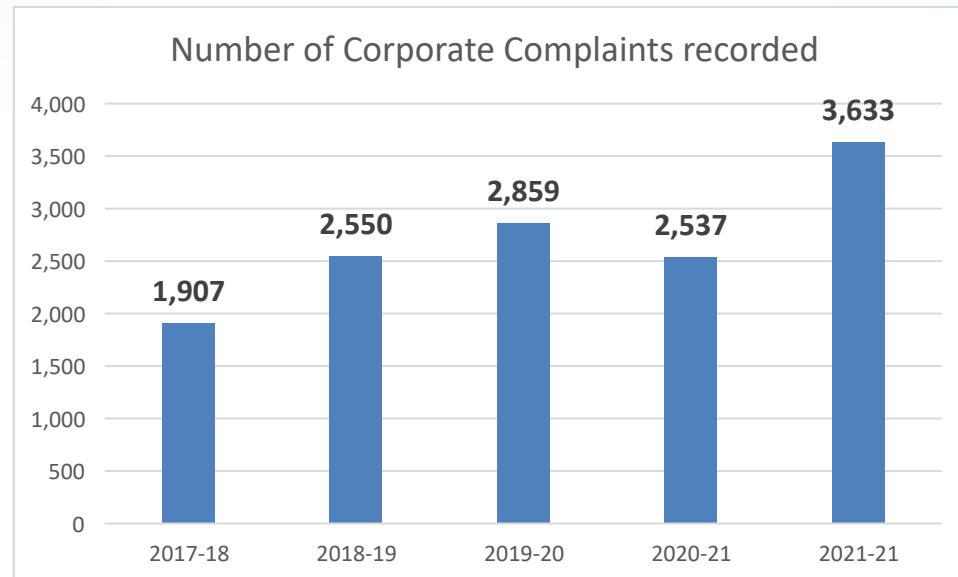


Gweithio dros Gaerdydd, gweithio gyda'n gilydd
Working for Cardiff, working together



Background

- Terms of reference of the Committee is to “review and assess the authority’s ability to handle complaints effectively”.
- Annual report details the Council’s performance when handling complaints and is data-driven (though contains some analysis on what we do to learn from complaints).
- **Please note this is a draft report** and has not been shared with appropriate cabinet member.
- The number of complaints received by Cardiff Council during 2021/22 is 3,633.



Response times

- Cardiff Council's Corporate Complaints Policy states that we will aim to respond to complaints within 20 working days.
- If we are not able to respond to complaints within this time, we need to let complainants know about this and when they can expect to receive a response.
- During 2021/22, of the 3,633 complaints recorded by Cardiff Council, 2,304 (63.4%) received a response within 20 working days.
- A further 1,233 (33.8%) received a complaint after 20 working days but within 3 months.

	Total complaints closed within timescales				Complaint outcome	
	20 working days	After 20 working days but within 3 months	After 3 months but within 6 months	After 6 months	Upheld	Not upheld
Cardiff Council	2304	1228	83	18	2622*	963*

*Complaints outcomes total 3,585. Figures for some areas are tbc.

Background

- If a complainant remains dissatisfied, they are able to approach the Ombudsman to assess whether there is any evidence of service failure or maladministration not identified by the Council.
- The number of complaint outcomes recorded by the Ombudsman (about Cardiff Council) during 2021/22 is 159. Of the 159, 114 (71%) were not considered further by the Ombudsman
- Reasons given for this are that it would be:
 - ✓ premature for the Ombudsman to consider – complainants had not yet exhausted the Council's complaints process
 - ✓ out of the Ombudsman's jurisdiction
 - ✓ No evidence of service failure or maladministration by the Council / the Ombudsman was satisfied with Cardiff Council's complaint handling for the complaint.

Background

- This leaves 45 complaints that were considered further by the Ombudsman.
- We can extrapolate that of the 3,633 complaints originally made to Cardiff Council during 2020/21, just 45 (1.2%) of these ended up being considered by the Ombudsman.
- This small number reflects well on how Cardiff Council handles complaints.
- Of the 45 complaints remaining, the Council was able to reach an ‘early resolution settlement’ with 39 of these – this involves either an apology and/or time and trouble payment, commitment to improving a process
- Terms of reference of the Committee is to “review and assess the authority’s ability to handle complaints effectively” – the following presentation will detail how we currently handle complaints.

**“A good complaints process
doesn’t produce *fewer*
complaints, it produces better
public services”**

The Public Service Ombudsman for Wales

Current Assurances – what do we do well?

Effective Complaints Handling Procedure- our policy has been approved by the Public Services Ombudsman for Wales and is based on the Ombudsman’s model policy (Public Services Ombudsman (Wales) Act 2019)

Regular Engagement–the Corporate Complaints Team are in weekly contact with Council complaints contacts to provide advice and support and also facilitate a quarterly meeting to discuss any key issues, share good practice and to capture any lessons that can be learned to inform service improvement.

Transparent Reporting- we publish data annually in the Council’s Annual Complaints Report and provide data quarterly to the Ombudsman, who publishes it on her website.

Confidence in current figures – Corporate Complaints met with the Ombudsman’s Head of Complaints Standards who expressed no concerns at Cardiff’s figures, stating that they “reflected a solid foundation of accepting, recording and responding to complaints. “



New teams – During 2021/22, we have created three specialist complaints teams - Adults, Childrens, and Corporate team. Key responsibilities include supporting with the day to day management of complaint handling and resolving complaints. Assisting with monthly reporting and quality assurance.

Training – all complaints officers have attended training directly from the Ombudsman. We have since developed a bespoke training package in conjunction with the Ombudsman specifically for Council officers (more to follow).

Supporting documentation- a library of supporting documents have been introduced to assist complaints officers in terms of how to handle complaints. These documents have resulted in an increased consistency of approach and greater efficiency.

Challenges

Though we recognise the excellent work done across the Council when dealing with complaints, there remain challenges:

Lack of corporate oversight

- No corporate oversight of the current complaint stages
- No single system to handle complaints
- Inconsistent recording of information
- Time-consuming to collect council-wide data
- Inefficient processes with multiple handovers, double keying of information and duplication of work
- Negatively impacts the timeliness, ability to meet SLA's, consistency, and quality of responses
- An inability to effectively monitor performance and conduct any trend/root cause analysis
- Difficult to monitor repeat / vexatious complainants
- Inconsistent recording of compliments

Complaints, Compliments & Member/Cabinet Enquiries

*The project aim is to **create and embed a centralised, streamlined approach** to the management of complaints and cabinet correspondences. This will **improve the handling process, increase efficiency** and **provide corporate oversight** of the complaints, compliments and member/cabinet enquiries across the organisation.*

Project – what is the added value?

Exploring a possible new system

We explored current mechanics and needs and then went through a robust process in terms of assessing prospective systems against those needs. Committee has had that analysis and we draw your attention to the contract information and specification previously provided.



Corporate commitment and engagement

There has been excellent engagement at all levels and we have engaged with key stakeholders –at officer level and those who will be dealing with complaints, also at Senior Management level. The Chief Executive has had good oversight of the project and provided strong leadership.

Corporate oversight

There is room for a corporate oversight team who will be able to have full visibility, “shine a light” and see what is operating effectively

- Improved performance against corporate KPIs and statutory regulations
- Improved compliance with statutory regulations, GDPR and Ombudsman reporting
- Improved compliance with information security and governance policy and procedures
- Increased productivity
- Improved customer satisfaction
- Improved audit performance

What things look like moving forward – real-time data

The screenshot displays a service desk dashboard with the following components:

- Header:** "Good morning [redacted]", "Tuesday, March 1st 2022", "10:15".
- User Profile:** "LW", "Finance Team", "Available".
- Summary Cards:**
 - Total Open Tickets: 35
 - Tickets Outside SLA: 43
- Tickets by Service & SLA Table:**

Section	Open Enquiries	Over SLA
Adult Services	1	1
Bereavement & Registration	1	1
Caretaking Services	3	3
Commercial & Collaboration	8	8
Community Maintenance Services	2	2
Corporate Oversight 1 (MEs)	18	17
Corporate Oversight 2 (Compliments and Complaints)	27	27
Corporate Oversight 3 (CEs)	10	10
Corporate Resources	2	2
DFG	3	3
Economic Development	5	5
- Tickets by Service Area:** A bar chart showing a single bar for 35 tickets.
- Member Enquiries Table:**

Member	Enquiries
Ahmed, Ali (Cllr)	
Ali, Asghar (Cllr)	
Ali, Dilwar (Cllr)	
Bale, Phil (Cllr)	
Berman, Rodney (Cllr)	
Bowden, Fenella (Cllr)	
Bowen-Thomson, Bernie (Cllr)	
Boyle, Joe (Cllr)	
Bradbury, Peter (Cllr)	
Bridgeman, Lee (Cllr)	
Burke-Davies, Jennifer (Cllr)	
Carter, Joseph (Cllr)	
- Recent Activity:** "#7803 - New Ticket Logged", "Members Enquiry - Litter", "20 hours ago".

What things look like moving forward – customisable worklist

The screenshot displays a web-based ticketing system interface. On the left is a dark sidebar with navigation options: 'Search Tickets', 'All Tickets', 'My Lists', 'Tickets by Agent', 'Tickets by Team', 'Tickets by Type', 'Tickets by Status', and 'All Tickets' (highlighted). The main area shows a list of tickets under the heading 'Tickets' and 'All Tickets'. The table includes columns for ID, Welsh?, Client/Site/User, Type, Status, Summary, Date Reported, Agent, and SLA Time Left. The SLA time left is visualized with colored progress bars.

ID	Welsh?	Client/Site/User	Type	Status	Summary	Date Reported	Agent	SLA Time Left
0007803	Yes	Service Desk/Main	Members Enquiry	NEW	Members Enquiry - Litter	Yesterday at 13:14	Unassigned	74:59
0007800	No	Service Desk/Main	Complaint	NEW	Complaint - Bowling Greens	17/02/2022	Unassigned	98:19
0007799	No	Service Desk/Main	Complaint	NEW	Complaint - Bowling Greens	17/02/2022	Unassigned	95:21
0007798	Yes	Service Desk/Main	Members Enquiry	RESPONSE APPROVAL	Members Enquiry - Council tax	15/02/2022	Unassigned	-00:07
0007797	No	Service Desk/Main	Complaint	NEW	Complaint - Footpaths	15/02/2022	Unassigned	79:46
0007795	No	Cardiff Council/*Cardiff Domain/General User	Complaint	RESPONSE APPROVAL	Complaint - Conservation	19/01/2022	CH	-68:40
0007784-C	No	Service Desk/Main	Members Enquiry	NEW	Members Enquiry - Corporate revenues	19/11/2021	Unassigned	-491:40
0007783	No	Cardiff Council/*Cardiff Domain	Cabinet Enquiry	CLOSED	Cabinet Enquiry - Council tax	01/12/2021	JB	
0007780	No	Service Desk/Main	Complaint	CLOSED	Complaint - Council tax	30/11/2021	AB	
0007775	No	Cardiff Council/*Cardiff Domain	Complaint	CLOSED	Complaint - Council tax	24/11/2021	KP	
0007772	No	Service Desk/Main	Cabinet Enquiry	RESPONSE APPROVAL	Cabinet Enquiry - Council tax	23/11/2021	IA	-476:07
0007766-P	No	Service Desk/Main	Members Enquiry	IN PROGRESS	Members Enquiry - Corporate revenues	19/11/2021	JB	-491:40
0007765	No	Service Desk/Main	Cabinet Enquiry	NEW	Cabinet Enquiry - Grounds mainten...	19/11/2021		-495:31
0007759	No	Cardiff Council/*Cardiff Domain	Members Enquiry	IN PROGRESS	Members Enquiry - Animals	16/11/2021	AB	-514:46
0007753	No	Service Desk/Main	Cabinet Enquiry	RESP. APPROVAL	Cabinet Enquiry - Council tax	16/11/2021	AB	-518:30

What things look like moving forward – search function

The screenshot shows a web browser window with the URL `https://metestservicedesk.cardiff.gov.uk/search?entity=tickets&text=cf5%205an`. The search bar contains the text "cf5 5an". Below the search bar are several filter buttons: "All", "Tickets" (selected), "Articles", "Clients", "Sites", "Users", "Agents", "Quotes", "Orders", "POs", and "Services".

Below the filters, it says "1-5 of 5 results for 'cf5 5an'". On the right, there is a "Sort by:" dropdown menu set to "Date Reported - Newest first".

On the left side, there is a "Filters (2)" section. Under "Ticket Type", the following options are listed:

- Members Enquiry
- Cabinet Enquiry
- Compliment
- Complaint
- ME Enquiry Services

Under "Details", there is a search box containing "fly tipping" and an "Add a Filter" dropdown menu with an "Add" button.

The search results are displayed in a list format:

- 7780** **Complaint - Council tax**
30/11/2021
Service Desk
CLOSED
Details: D0007780 Ticket Type: Complaint Username: ... Date Occurred: 30/11/2021 9:49 Date Complaint Received: 30/11/2021 Method: Phone Customer Postcode: cf5 5an Customer Address: ... CAERAU, CARDIFF, CF5 5AN Customer Ward: Caerau Title: Miss Name of Person raising the Complaint Jones Subject: Council tax Details: ...
- 7775** **Complaint - Council tax**
24/11/2021
Cardiff Council
CLOSED
Details: D0007775 Ticket Type: Complaint Username: ... Date Occurred: 24/11/2021 13:57 Date Complaint Received: 24/11/2021 Method: Email Customer Postcode: cf5 5an Customer Address: ... RLES ROAD, CAERAU, CARDIFF, CF5 5AN Customer Ward: Caerau Title: Miss Name of Person raising the Complaint Taylor Subject: Council tax Details: Council tax
- 7745** **Complaint - Grounds maintenance**
15/11/2021
Cardiff Council
IN PROGRESS
Details: D0007745 Ticket Type: Complaint Username: ... Date Occurred: 15/11/2021 14:57 Date Complaint Received: 15/11/2021 Method: Phone Customer Postcode: cf5 5an Customer Address: ... RLES ROAD, CAERAU, CARDIFF, CF5 5AN Customer Ward: Caerau Title: Mrs Name of Person raising the Complaint Jones Customer Email Address: ... Subject: Over grown Playground Details: playground problem. All overgrown
- 7744** **Complaint - Pensions**
15/11/2021
Service Desk
RESPONSE SUBJECT
Details: D0007744 Ticket Type: Complaint Username: ... Date Occurred: 15/11/2021 11:57 Date Complaint Received: 12/11/2021 Method: Face to Face Customer Postcode: cf5 5an Customer Address: ... RLES ROAD, CAERAU, CARDIFF, CF5 5AN Customer Ward: Caerau Title: Mr Name of Person raising the Complaint Parry Subject: Pension details Details: Pension complaints

What things look like moving forward – logging a ticket

The screenshot shows a web browser window displaying a ticket logging interface. The browser's address bar shows the URL: <https://metestservicedesk.cardiff.gov.uk/tickets?area=6&mainview=all&viewid=0&sellevel=1&selid=-1&selparentid=-1>. The page title is "Tickets > New".

Left Sidebar:

- Search Tickets
- All Tickets
- Select a View
 - My Lists
 - Tickets by Agent
 - Tickets by Team
 - Tickets by Type
 - Tickets by Status
 - All Tickets (highlighted)

Main Content Area:

Ticket details

End-User details

Client: LW Service Desk/Main

Service Desk: Main

Site: Main

User: [Empty]

Email Address: Not set

Phone Number: 02920873333

Contact Address: Not set

Complaint Details

Ticket Type: Complaint

Date Complaint Received: 01/03/2022

Method: Email

Customer Postcode: [Empty]

Customer Address: BUTETOWN, CARDIFF, CF10

Customer Ward: Butetown

Title: Mrs

Name of Person raising the Complaint: Jackson

Customer Reference Number: E.g. CM Reference, etc.

Subject: Allotment waiting list

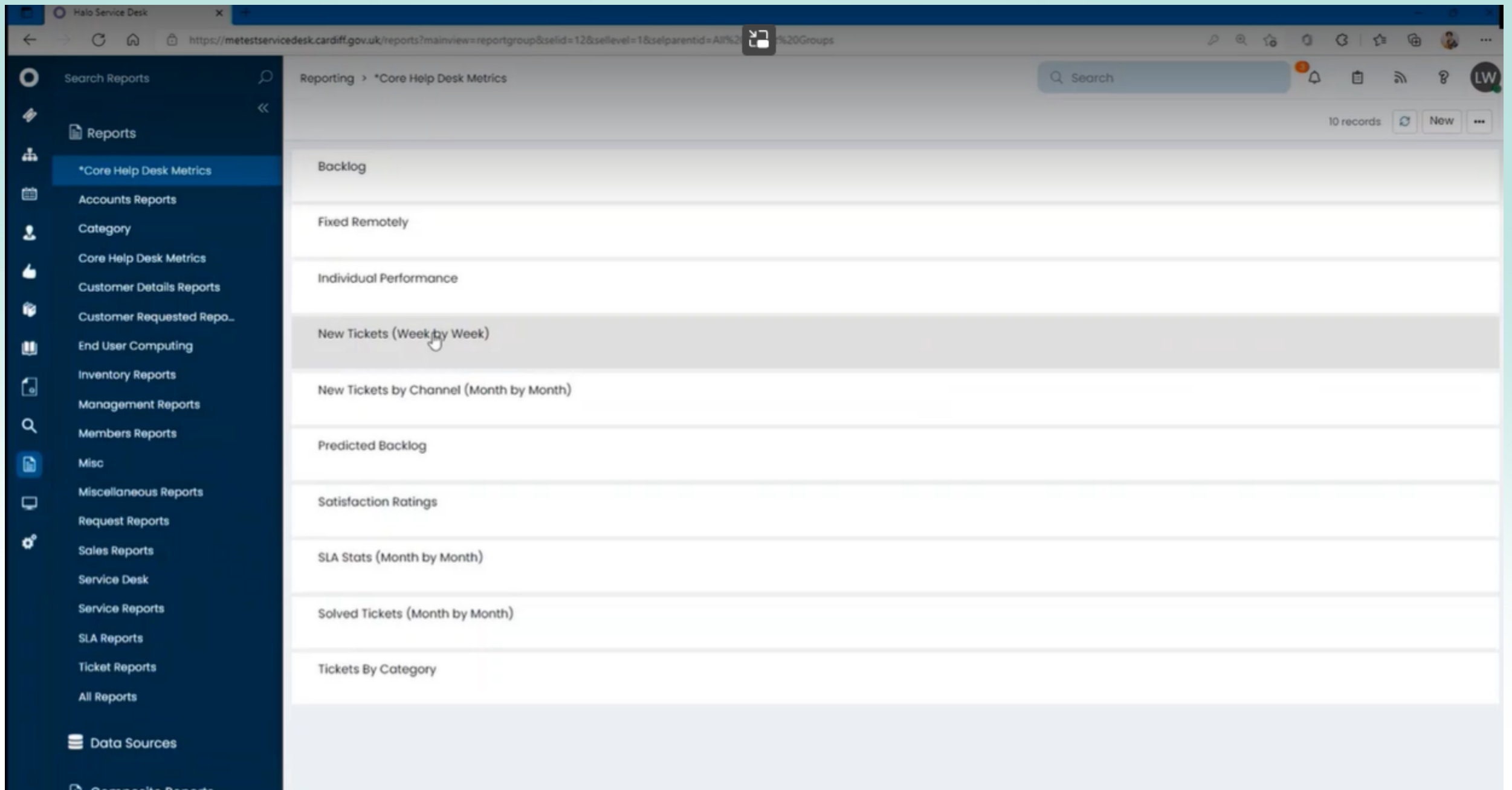
Customer Email Address: [Empty]

Customer Phone Number: [Empty]

Details

Mrs Jackson emailed to complain about the waiting list for [Pengham](#) Allotments and the lack of communication from the Council. See email attached.

What things look like moving forward – comprehensive reporting



The screenshot displays a web application interface for Halo Service Desk. The browser address bar shows the URL: <https://metestserviceesk.cardiff.gov.uk/reports?mainview=reportgroup&selid=12&sellevel=1&selparentid=All%20Groups>. The page title is "Reporting > *Core Help Desk Metrics".

On the left side, there is a dark blue sidebar with a search bar and a list of report categories. The "Reports" section is expanded, showing the following items:

- *Core Help Desk Metrics (highlighted)
- Accounts Reports
- Category
- Core Help Desk Metrics
- Customer Details Reports
- Customer Requested Repo...
- End User Computing
- Inventory Reports
- Management Reports
- Members Reports
- Misc
- Miscellaneous Reports
- Request Reports
- Sales Reports
- Service Desk
- Service Reports
- SLA Reports
- Ticket Reports
- All Reports

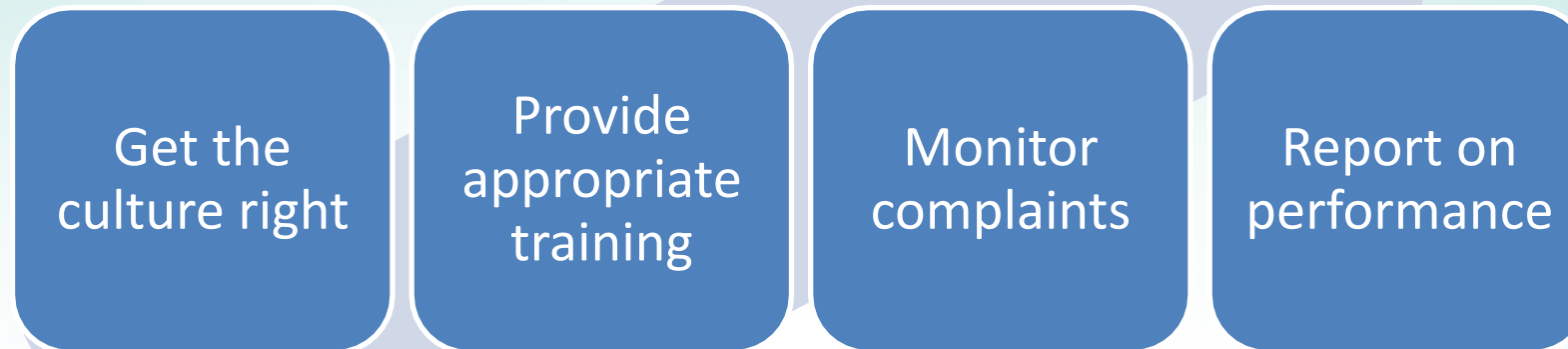
At the bottom of the sidebar, there is a "Data Sources" section.

The main content area shows a list of reports under the heading "Reporting > *Core Help Desk Metrics". The list includes:

- Backlog
- Fixed Remotely
- Individual Performance
- New Tickets (Week by Week) (highlighted)
- New Tickets by Channel (Month by Month)
- Predicted Backlog
- Satisfaction Ratings
- SLA Stats (Month by Month)
- Solved Tickets (Month by Month)
- Tickets By Category

At the top right of the main content area, there is a search bar with the text "Search", a notification bell icon, a clipboard icon, a refresh icon, and a user profile icon labeled "LW". Below the search bar, it indicates "10 records" and provides buttons for "New" and a menu icon.

What things look like moving forward – future assurance



Next steps

August



Soft launch of Council-wide Complaints, Compliments & Member/Cabinet Enquiries system

September



Annual Complaints Report 2021/22

- ✓ Present to SMT
- ✓ SMT Agenda Conference
- ✓ Cabinet

October



Corporate Complaints Co-ordinators Meeting

Quarterly Report & Submission of Complaints Data (for Quarter 2) to Public Services Ombudsman for Wales

November



All-Wales Corporate Complaints Workshop

Next steps

December



Half-Yearly Complaints Report
✓ Informal Cabinet

January



Corporate Complaints Co-ordinators Meeting

February



All-Wales Corporate Complaints Workshop

Quarterly Report & Submission of Complaints Data (Quarter 3) to Public Services Ombudsman for Wales

March



Public Services Ombudsman for Wales Sounding Board