

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

<p><b>Definition(s)</b></p> <p><b>Comment</b> - is a remark, observation or explanatory note.</p> <p><b>Compliment</b> - is a congratulatory and / or positive comment.</p> <p><b>Complaint</b> - is defined as follows; “when a service user does not feel they have received a satisfactory response to an expression of dissatisfaction about an action or lack of action by the Trust and when they wish to progress this to a formal complaint.”</p> <p><b>Service User</b> - is a parent, student, resident, tenant, visitor or member of the public.</p> <p><b>The Originator</b> - is the person making the comment, compliment or complaint to the Trust.</p>
<p><b>Purpose</b></p> <p>The purpose of this procedure is to record details of all comments, compliments and complaints received from service users and to provide a process to resolve complaints nearest their point of origin and prevent potential complaints escalating into more serious complaints.</p> <p>The objective is to provide a procedure which;</p> <ul style="list-style-type: none"> <li>• is simple for service users to use and is equally accessible to all;</li> <li>• deals with problems as close to their source as possible and as quickly as possible;</li> <li>• ensures that compliments are relayed to those concerned;</li> <li>• gives service users confidence that their comments are listened to;</li> <li>• give services users confidence that their complaints are being dealt with effectively;</li> <li>• takes action to resolve problems and generate a positive attitude;</li> <li>• seeks to learn from feedback and prevent the recurrence of problems;</li> <li>• generates a consistent approach to comments, compliments and complaints throughout the Trust.</li> </ul>
<p><b>Procedure</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• All comments received must be passed to the Chief Executive's (CEO) office and, if they are related to our residential provision, must be copied to the Registered Manager.. Comments will be acknowledged by the CEO's office to the originator either by letter, e-mail or verbally within 5 working days of receipt.</li> <li>• All comments will be brought to the attention of the relevant manager within 5 working days of receipt.</li> <li>• All comments will be discussed with the individual concerned or with the Team, as appropriate, and the outcome communicated to the originator.</li> </ul>

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

### Compliments

- All compliments must be passed to the CEO's office and, if they are related to our residential provision, must be copied to the Registered Manager. Compliments will be acknowledged by the CEO's office to the originator either by letter, e-mail or verbally within 5 working days of receipt.
- All compliments will be brought to the attention of the relevant manager within 5 working days of receipt.
- All compliments will be discussed with the individual concerned or with the Team and be recorded on the individual's personnel file, as appropriate

### Complaints

The complaints procedure has three stages:

#### Stage 1 – Operational Level

- The complaint will be dealt with by the member of staff who has been dealing with the service user, or by a member of staff closely involved with the issue about which the complaint has been made. This would normally be at Line Manager level.
- The aim is to resolve the issue to a satisfactory outcome to both parties as near to the point of origin as possible.
- The Line Manager will provide a written response to the complaint within 20 working days of receipt of the complaint to the CEO's office who will send a formal response to the originator.
- If the complaint has not been satisfactorily resolved at this level the originator may wish to refer the complaint to the next level, Stage 2 – Department Level.

#### Stage 2 – Department Level

- If the complaint has not been satisfactorily resolved at the Operational Level, the complaint will be referred to the Department Level.
- The Head of Department will take responsibility to try to resolve the issue about which the complaint has been made to a satisfactory outcome.
- The Head of Department will provide a written response to the CEO's office within 20 working days of receipt of the referral who will send out a formal response to the originator.
- If the complaint has not been satisfactorily resolved at this level the originator may wish to progress the complaint to Stage 3 – Corporate Level.

#### Stage 3 – Corporate Level

- If the complaint has not been satisfactorily resolved at the Department Level, the complaint will be referred to the Corporate Level. This may be the Chief Executive or a member of the Executive Leadership Team nominated by the Chief Executive.

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

- The Chief Executive will take responsibility to try to resolve the issue about which the complaint has been made to a satisfactory outcome.
- The Chief Executive will provide a written response to the originator within 20 working days of receipt of the referral.
- The decision of the Chief Executive will be final.

#### **External parties**

Should a complainant remain dissatisfied following the three stage complaint process their complaint will be forwarded to the Board of Directors.

The complainant can, at any point, contact the regulatory body to which the complaint relates;

1. Care Quality Commission
2. Charity Commission
3. Ofsted

#### **Confidentiality**

Wherever possible, all complaints made to the Charity will be treated in confidence. However, on occasion it may be necessary to discuss the complaint with other individuals as part of the investigation process and confidentiality cannot be guaranteed.

#### **Response**

Complaints will be accepted by text, e-mail, fax, telephone, in writing or in person and will be acknowledged by letter or e-mail. Responses to the originator will be in writing. The expected response time to a complaint will be 5 working days and a full response within 20 working days. Times may vary where complaints fall within any statutory complaints process which may work to different time scales. The CEO's office will seek to agree any on-going timescales that fall outside of the timescales detailed and keep the person making a comment, compliment or complaint informed.

#### **Resolutions**

All resolutions will be based on appropriateness, timeliness and consistency. It is the Charity's aim to restore service users to the position they would have been in had the complaint not arisen. However, this may not always be possible.

#### **Reports**

Reports on the operation of the procedure will be presented termly to the Executive Leadership Team and to the Board of Directors. Report details will include the number of comment, compliments and complaints received across department areas.

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

### **Logging Comments, Compliments and Complaints**

All staff can log a comment, compliment and / or complaint that has been made directly with them to the CEO's office who will record the details on the reporting system.

### **Responsibilities**

#### **It is the responsibility of the Line Manager to:**

- Try to resolve complaints received as near to the point of origin as possible.
- Try to prevent the claim from escalating to the next level.
- Ensure all comments, compliments and complaints received are dealt with in accordance with the procedure.
- Discuss all comments and compliments with the individuals or teams concerned.
- Ensure the details of all comments, compliments and complaints are passed to the CEO's office and, if related to residential provision, copied to the Registered Manager for logging and reporting purposes.

#### **It is the responsibility of the Department Manager to:**

- Become involved in the procedure if the complaint has not been resolved at operational level.
- Ensure all comments, compliments and complaints received are dealt with in accordance with the procedure.
- Ensure the details of all comments, compliments and complaints are passed to the CEO's office and, if related to residential provision, copied to the Registered Manager, for logging and reporting purposes

#### **It is the responsibility of the Chief Executive to:**

- Have overall responsibility for the operation of the procedure.
- Become involved in the procedure if the complaint has not been resolved at department level.
- Ensure all comments, compliments and complaints received are dealt with in accordance with the procedure.

#### **It is the responsibility of the Chief Executive's Office to:**

- Log any comments, compliments and complaints detailing the date received.
- Forward the comment, compliment or complaint to the appropriate manager confirming the timescale for the return of the report.
- Prepare and send out all responses on behalf of the Trust.
- Draft and prepare the factual data on comments, compliments and complaints received for the Chief Executive on a termly basis.

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

<b>Related Document(s)</b>
<p>Comments, Compliments and Complaints Leaflet          Comments, Compliments and Complaints Form          Students complaints policy</p>

## COMPLAINTS SPECIFIC TO FUNDRAISING (as required by the FSB)

<b>Definitions</b>
<p><b>FSB</b> – Fundraising Standards Board</p> <p>Seashell Trust believes that members of the public should feel able to comment or complain about any issue relating to fundraising if they are of the opinion that the practice is flawed.</p> <p><b>Complaint</b></p> <p>A complaint is “an expression of dissatisfaction whether justified or not” (BS8600).</p> <p>A complaint may cover a wide range of expressions from vague disquiet to serious concern. These may be given verbally or in written format. All concerns must be addressed formally. Complaints may arise from:</p> <ul style="list-style-type: none"> <li>• The quality of the services provided.</li> <li>• The administration and/or staff costs.</li> <li>• The administration or processing of errors.</li> <li>• Retail issues.</li> </ul>
<b>Purpose</b>
<p>As a member of the Fundraising Standards Board (FSB) the Seashell Trust is demonstrating its commitment to the highest fundraising standards as well as increasing its credibility within the fundraising sector.</p> <p>The Seashell Trust will have a robust complaints procedure in place for dealing with fundraising complaints from the public.</p>
<b>Policy and procedure</b>
<p>The Fundraising Standards Board (FSB) requires members to provide an established formal Complaints Policy.</p> <p><b>How to complain</b></p> <p>Any complaint should be made either by telephone, in writing or by e-mail to the Head of</p>

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

Fundraising. All contact details are available on the website.

#### **How does the complaints process work?**

1. Complaint made either to the member charity or the FSB.
2. Referred to Complaints Co-ordinator who attempts to reach a resolution.
3. If complainant satisfied, end of process.
4. If complainant not satisfied next step.
5. Complaint referred to FSB
6. FSB staff attempt to reach resolution with all parties.
7. If both parties satisfied, end of process.
8. If both parties not satisfied, next step.
9. Complaint referred to the Board of the FSB.
10. The Board upholds or rejects the complaint
11. End of process.

#### **Policy & Procedure information**

A complete record shall be kept of any concern or complaint. The purpose of this policy is to ensure the use of best practice in all areas of fundraising.

#### **Handling complaints**

The Head of Fundraising will keep a record of all complaints.

This will include:

- A copy of the complaint
- Details of the Code or section of the Fundraising Promise it is believed has been breached
- The date you received the complaint
- A copy of all the communications in connection with the complaint.
- Details of the investigation the charity has undertaken into the complaint

#### **Roles and responsibilities**

It is the responsibility of the Head of Fundraising to:

- Ensure the Seashell Trust maintains the highest standards of fundraising so that the public can give to the charity in confidence.
- The charity will display the FSB kite mark on all their marketing and fundraising materials.
- The Head of Fundraising will act as the complaints co-ordinator and be the primary point of contact with the FSB. As such the Head of Fundraising will:
  - Ensure the charity's complaints procedure is available in writing or on the website
  - Keep records of complaints
  - Try to resolve all fundraising complaints as quickly as possible.

<b>Title</b>	Comments, Compliments and Complaints Procedure
<b>Issue Date</b>	June 2014
<b>Review Date</b>	June 2015
<b>Equality Impact Assessment Date</b>	June 2014
<b>Equality Impact Assessment Review Date</b>	June 2015
<b>Total Number of Pages</b>	7
<b>Owner</b>	CEO's Office
<b>Distribution</b>	Trust Wide

It is the responsibility of all members of the Fundraising department to:

- follow the Institute of Fundraising's Codes of Fundraising Practice and the FSB's Fundraising Promise when fundraising, namely:
- We Are Committed to High Standards
  - We do all we can to ensure that fundraisers, volunteers and fundraising contractors working with us to raise funds comply with the Institute's Codes and with this Promise.
  - We comply with the law including those that apply to data protection, health and safety and the environment
- We Are Honest and Open
  - We tell the truth and do not exaggerate
  - We do what we say we are going to do
  - We answer all reasonable questions about our fundraising activities and costs.
- We Are Clear
  - We are clear about who we are, what we do and how your gift is used
  - Where we have a promotional agreement with a commercial company, we make clear how much of the purchase price we receive
  - We give a clear explanation of how you can make a gift and amend a regular commitment
- We Are Respectful
  - We respect the rights, dignities and privacy of our supporters and beneficiaries
  - We will not put undue pressure on you to make a gift and if you do not want to give or wish to cease giving, we will respect your decision
  - If you tell us that you don't want us to contact you in a particular way we will not do so
- We Are Fair and Reasonable
  - We take care not to use any images or words that cause unjustifiable distress or offence
  - We take care not to cause unreasonable nuisance or disruption
- We Are Accountable
  - If you are unhappy with anything we've done whilst fundraising, you can contact us to make a complaint. We have a complaints procedure, a copy of which is available on request. If we cannot resolve your complaint, we accept the authority of the Fundraising Standards Board to make a final adjudication

#### Related documents

FSB Top 10 Tips for Better Complaints Handling  
 Seashell Trust's fundraising complaints procedure  
 Fundraising policy

