

COMPLAINTS POLICY & PROCEDURE

Document Control Summary

Purpose	Internal for all staff and learners
Author	John Allsebrook
Date of Implementation	01/10/2015
Version	2.0
Document Classification	Internal
Date of Implementation	01/10/2015
Date of Next Review	30/09/2019
Authorised Reviewer	Stephen MacFarlaine
Board Approval	Steve Morgan

Revisions and Updates

Date	Details
03/10/2016	Reviewed. No changes, Next review 30/09/2017
13/11/2017	Reviewed. No changes. Next review 13/11/2018
20/07/2019	Reviewed – amendments made regarding management titles. Next review July 2020. Passed to Steve Morgan for Board Approval
27/12/2019	Board level approval provided by Steve Morgan after his review

Policy Statement

- 1.1 This policy sets out Goodwill Solutions CIC's approach to dealing with complaints and compliments.
- 1.2 Goodwill Solutions CIC is committed to providing a high quality service for all its staff, learners and affiliated organisations. Our policy is to welcome all feedback from all stakeholders (learners and other customers, members of our community, staff, partners, suppliers etc.), both positive and negative; to try to resolve any complaints; and to use the information to improve our services.
- 1.3 Users' and stakeholders' views and feedback are important to us. We would like to hear from all parties affected by our services, whether or not they are satisfied. This will help us recognise our strengths and weaknesses and therefore make it possible to improve our standards of service.
- 1.4 Goodwill Solutions CIC will deal with legitimate complaints in a fair, prompt and objective manner. Complaints will be dealt with without recrimination and complainants will not be disadvantaged by raising a complaint. Anonymous complaints will not be accepted. However, all information is kept in strict confidence, shared only on a need-to-know basis. Our employees are expected to respond positively to complaints and to alert staff or customers to the Complaints Procedure.
- 1.5 Goodwill Solutions CIC will be fair in its treatment of all those who complain in line with our Equal Opportunities policies and procedures.
- 1.6 Complaints will be dealt with promptly and constructively. All complaints will be dealt with in confidence but shared with any person who may be the subject of a complaint. The outcomes of any complaint will be shared with the complainant and any employee involved. Complaints made which, on investigation, turn out to be malicious, may result in disciplinary action.
- 1.7 Our aim is to respond to complaints, compliments and suggestions within 10 working days of receiving them. If, however, we cannot respond within 10 days, we will notify the party of the reason why and will provide an indication of when a reply is likely to be received.
- 1.8 The Managing Director has overall responsibility for the Complaints Policy & Procedure and may nominate another person to investigate a complaint.
- 1.9 If the complaint is against the Managing Director, then the Goodwill Solutions CEO will investigate the complaint.

2 The Scope of this Document

- 2.1 This document sets out Goodwill Solution CIC's policy and procedure for dealing with both complaints and compliments.
- 2.2 It includes all necessary forms – see Appendix A and Appendix B.
- 2.3 All staff are responsible for, and have an impact on, the quality of our service and delivery.
- 2.4 This policy applies to all staff including directors and managers, full time and part time staff and learners, irrespective of where their learning takes place and to partner organisations we work with.
- 2.5 When Goodwill Solutions CIC works with a partner organisation, we will ensure that the partner organisation has in place its own Complaints & Compliments Policy, and that it is regularly reviewed and updated. During teaching and learning sessions, staff will update learners with relevant procedural items. We will ensure that relevant members of staff receive appropriate training and that this training is updated annually.

3 Who can make a Complaint?

- 3.1 Anyone who receives or requests a service from Goodwill Solutions CIC can make a complaint, as well as anyone affected by our work, including:
 - Learners on programme;
 - Learners who have been referred to Goodwill Solutions CIC but who have yet to start a programme;
 - Partners of Goodwill Solutions CIC, including those we have SLAs with;
 - Partners of Goodwill Solutions CIC, such as referral agencies;
 - Any person acting on behalf of a person such as a family member, neighbour, friend, solicitor, advice agency, Councillor, MP, etc., who is a learner or potential learner of Goodwill Solutions CIC.

4 Procedure

4.1 Stage 1: Informal Resolution of Complaints

- It should be possible to resolve most complaints by discussion between the complainant and the appropriate member of staff.
- The complaint must be made orally or in writing and the member of staff receiving the complaint should make a response within 10 working days, orally or in writing.

- It is expected that staff are tactful and courteous in dealing with a complaint.
- If the complainant is dissatisfied with the response received, they should then be guided to use the formal complaints procedure.

4.2 Stage 2: Formal Complaints Procedure

- A formal complaint should be made in writing within 15 working days of an incident or action from which the complaint arises, or from the date when the complainant received an oral or written reply to an informal complaint (Stage 1 above). In exceptional circumstances, a longer period will be considered.
- The complaint should be sent to the manager most appropriate to the complaint/complainant..
- The complaint will be logged in the Complaints Register and its receipt will be acknowledged to the complainant within 5 working days.
- The manager to whom the complaint has been reported will give a copy to the Managing Director who will carry out an initial assessment of the complaint within 5 working days.
- In most cases, complaints will be referred to the appropriate manager for investigation and report, where they are not the subject of the complaint. More serious or unusual complaints will be investigated by the Managing Director.
- The appropriate Line Manager will carry out an investigation of the complaint and may interview the complainant, the respondent, witnesses to the matter or events and anyone they believe may have a role in establishing or disproving the complaint, as necessary. They will prepare a summary and report back to the Managing Director within 10 working days of the initial assessment.
- The Managing Director will assign the appropriate Line Manager to record the outcome of the complaint in the Complaints Register and either arrange a meeting to deliver the outcome or notify all those involved in writing, as appropriate. All outcomes will be confirmed in writing to all those involved.
- If the complaint involves a learner, they will be offered the opportunity to bring a representative to the interview for support. Vulnerable Adults must have the support of a person of their choice, who can act as their advocate.
- If the complaint involves Goodwill Solutions Managing Director, the Group CEO will decide on the appropriate course of action.
- The formal complaint should be resolved within 25 working days of the receipt of the original formal complaint. If it appears that a

decision will not be reached within the due period, those involved will be advised in writing of the need for any extensions.

4.3 The Appeals Procedure:

- Either the complainant or the respondent may appeal in writing, to the appropriate Line Manager, within 5 working days of receiving written confirmation of the outcome of the formal complaint, stating detailed reasons for the appeal.
- The appeal will be acknowledged within 5 working days and the appropriate Line Manager will review and notify the final decision in writing to all those involved within 20 working days of receiving the appeal, and for staff this decision will be final.

5 Monitoring the Procedure

5.1 It is essential that complaints are resolved promptly. Records of complaints will be forwarded by the appropriate Line Manager to Goodwill Solutions Human Resources Dept.

5.2 The Human Resource Manager will present a six monthly schedule of complaints received to the Managing Director and will produce a report for the Board to cover the following items

- Number of complaints of each type
- Time taken to process complaints
- List of outstanding complaints
- Outcomes of complaints
- Appeals made and results of appeals

5.3 The company will retain a record of all complaints for 2 years for audit purposes.

6 Comments and Compliments

6.1 A '**Comment**' can be described as an idea, suggestion or opinion about how Goodwill Solutions CIC could improve our services.

6.2 When Goodwill Solutions CIC receives a comment from learners or staff it will be recorded by an appropriate Line Manager and responded to by the appropriate manager.

6.3 This in turn will be discussed at operational level and / or with individual staff members at appraisals. However, Goodwill Solutions CIC will discuss with the learners or member of staff any action we will take as a result of the comment.

- 6.4 A '**Compliment**' can be described as feedback, which tells Goodwill Solutions CIC that we have provided a service well, or how helpful a member of staff has been. We will encourage and enable learners who have experienced excellent service to inform us that this has happened and which team or team member was responsible.
- 6.5 When we receive a compliment it will be recorded by an appropriate Line Manager, shared with the staff member/ team involved and subject to approval will be added to our quality improvement / good practice file.
- 6.6 The appropriate line manager will acknowledge the compliment within a timely fashion with learners or other service users.
- 6.7 Goodwill Solutions CIC will seek to learn from compliments received and use them to improve services.

Appendix A: Complaint Form

If you need any help to fill in this form, please talk to any member of staff.

After you have filled in this form, please take it to the member of staff you first discussed your complaint with or post it to:

Complaints
Goodwill Solutions CIC
1056 Deer Park Rd NN3 6RX

Part 1: About You

Your Name

Address

Tel/ Mobile Number

Part 2: About your Complaint

Please describe in as much detail the complaint you wish to make, including dates where relevant. (If by hand continue on a separate sheet)

Please tell us if the problem has caused you any personal difficulties:

Have you complained about this before? If so, please tell us when and to whom you spoke or wrote:

How can we contact you? Please state the most convenient times for us to contact you.

Part 3: Declaration

I declare that the information provided above is true and accurate to the best of my knowledge and that by providing a false statement may leave me liable to disciplinary procedures.

Signed	Date
--------	------

You will receive confirmation of your complaint in 10 days of our receipt of this complaint.

Appendix B: Compliments/ Comments Form

If you need any help to fill in this form, please talk to any member of staff.

After you have filled in this form, please take it to the member of staff you first discussed your suggestion / compliment with or post it to:

Human Resources
Goodwill Solutions CIC
1056 Deer Park Road
Northampton NN3 6RX

Part 1: About You

Your Name

Address

Tel/ Mobile Number

Part 2: Compliment or Comment

--

Part 3: Declaration

Please sign this form to confirm that the above information given is true and accurate to the best of your knowledge.

Signed	Date
--------	------

Thank you for providing this feedback.

What's next? The senior management team will review your feedback and discuss this with the most appropriate member of staff or team and report any changes to you.