

# CAMBRIDGESHIRE HORIZONS LIMITED

## COMPLAINTS POLICY AND PROCEDURE

### CONTENTS

1. Introduction
2. Principles of a good complaints system
3. Definitions of Complaints, Representations, Suggestions and Compliments
4. Informing customers about the complaints and representations procedures
5. Handling complaints – general guidance
6. Councillors and MPs
7. How to deal with complaints
8. Internal Complaints
9. Assisting with complaints enquiries
10. How to deal with representations
11. How to deal with suggestions
12. How to deal with compliments
13. Monitoring complaints, representations and suggestions
14. Links with statutory complaints procedures
15. Complaints against contractors
16. Links to Whistleblowing
17. Remedies
18. Good Practice Guidelines

Appendix 1 – Flowchart – dealing with suggestions and complaints

Appendix 2 Form C1 Complaints Satisfaction

Appendix 3 Complaints Monitoring Form

# 1 INTRODUCTION

1.1 This document sets out the Company's policy and procedure for dealing with suggestions, comments and complaints from members of the public.

1.2 The Company seeks to provide quality services. However, sometimes things go wrong. The Company aims to have an accessible complaints procedure and aims to ensure that complaints are dealt with quickly and fairly. If the Company is in the wrong, we will apologise and offer appropriate redress. We will also take action to make sure the same thing does not happen again.

1.3 Comments and suggestions are an invaluable way to obtain feedback from the public about the quality of Company services and how they might be improved. Consequently, it is important that we monitor suggestions, comments and complaints, and report regularly to the Directors and the Company's Management Team.

## 2 PRINCIPLES OF A GOOD COMPLAINTS SYSTEM

2.1 The Company's policy is based on the Citizens Charter Complaints Task Force's principles of effective complaints systems. The Task Force recommends that complaints systems should be:

- easily **accessible** and well publicised
- **simple** to understand and use
- **speedy**, with established time limits for action, and keeping people informed of progress
- **fair**, with full and impartial investigation
- **confidential**, to maintain the confidentiality of both staff and complainants
- **effective**, addressing all the points at issue, and providing appropriate redress
- **informative**, providing the information to management so that services can be improved.

2.2 Many people find it difficult to express their worries, problems or dissatisfactions about the services we provide. The Complaints and Representations Procedure is designed to enable people to make their views known and provide instructions and guidance for staff involved in the process.

2.3 People have a right to:

- a. complain
- b. be heard
- c. have their complaint looked into
- d. have their complaint resolved as quickly as possible.

2.4 In essence, they have a right to challenge decisions, which affect their lives. The Company welcomes comments and complaints to enable improvements to be made to services.

2.5 All complaints will be recorded and reported to the appropriate managers and Directors within the Company.

## **3 DEFINITIONS OF COMPLAINTS, REPRESENTATIONS, SUGGESTIONS AND COMPLIMENTS**

### 3.1 Complaints

A complaint is an expression of dissatisfaction, however made, about the standard of service, actions or lack of actions by the Company, its staff or contractors, affecting an individual customer or group of customers.

A request for a service, e.g. "a copy of the Annual report" should not be treated as a complaint. The request must of course be treated seriously and an appropriate response made, within the Company's response standard. A **repeated** request for a service (which falls within the overall responsibility of the Company, and is reasonable) e.g. "I have requested this document twice before and nothing has been done" **would** be classified as a complaint, either because the Company had failed to respond in an appropriate manner or the complainant remained dissatisfied.

3.1.1 The following categories are used to define the type of complaint received by the Company:

- a. We failed to provide a service in circumstances where the service should be provided
- b. Discourtesy/manner in which service is provided
- c. Provision of inaccurate or misleading information
- d. Delay in the provision of a service (noting how many involved a service subject to a Charter standard).
- e. The quality of the service provided
- f. Complaints against contractors and consultants
- g. Discrimination (on the grounds of race/ethnic origin, gender, disability or age).

### 3.2 Representations

A representation is a comment about Company policy, the allocation of resources, the nature or availability of services.

An example of a representation might be where a service had not been received, which the company does not provide. A protest against this lack of action/decision is therefore a representation – the officers had correctly followed the Company policy.

### 3.3 Suggestions

Suggestions are defined as ideas received from the public or from other agencies as to how Company services or efficiency could be improved.

### 3.4 Compliments

A compliment is an expression of praise.

## **4 INFORMING CUSTOMERS ABOUT THE COMPLAINTS AND REPRESENTATIONS PROCEDURES**

4.1 The Company acknowledges that all customers have a right to comment or complain if they think that:

- they have been denied a service which they should have received
- something should have been done which has not been done
- they have received a poor service.

4.2 Managers must ensure that all staff in their unit are aware of these procedures and that the following are available and on display in any public reception areas:

- a. The Company's Corporate Complaints Poster naming the manager(s), available from the Registered Office.
- b. The Company's Corporate Complaints Leaflet. This leaflet can be used to make a complaint – but this is not essential. Copies of these are available from the Registered Office

4.3 The Company's website includes the Company's email address for the use of those who wish to make a comment or complaint in this way.

4.5 Good practice dictates an open relationship with all customers, enabling them to express their criticisms, concerns and dissatisfactions honestly, confident of a non-defensive response from staff. A copy of the Complaints Leaflet should be given to all customers when an opportunity arises or on request and not simply in response to dissatisfaction.

4.6 All services must ensure that a contact name, address and telephone number are widely available for people to make representations - for example, when writing, a contact name must always be shown on the letterhead.

## **5 HANDLING COMPLAINTS - GENERAL GUIDANCE**

5.1 All Managers shall ensure that new staff are made familiar with these procedures during their induction and can assist/enable people to use them.

5.2 Members of staff should respond sensitively, carefully and helpfully to our customers, our suppliers and those who are acting on their behalf, if they express a dissatisfaction or concern.

5.3 Whenever possible, problems should be sorted out as they arise (on the spot). Many queries and minor disagreements are received on a daily basis by members of staff and are sorted out quickly and to the satisfaction of the service recipient and are never registered as a complaint.

5.4 Complaints can be received in writing (on a form, by letter, fax, or by email) or orally (in person or by telephone). They can also be received via the Company, Local Councillors and Members of Parliament.

5.5 Customers must NOT be discouraged from making complaints if they wish and **there is no requirement for them to say particular words**, e.g. "I wish to make a formal complaint", **nor to put their complaint in writing**. Staff should be proactive in asking whether they wish their comments to be registered as a complaint.

5.6 When it is clear that a person wishes to make a complaint, staff should record the complaint or, if the service user does not wish to have this done, he/she should be given/sent the Complaints Leaflet "How to Comment or Complain".

5.7 Staff should ensure they identify any assistance that the complainant needs in order to complain, e.g. an interpreter or specific assistance for those with disabilities and take appropriate action to provide it.

5.8 Those making a complaint should not be made to feel vulnerable or intimidated by complaining. When dealing with complaints, staff should always convey a positive and welcoming attitude.

5.9 Complaints will be investigated as quickly and thoroughly as possible, and in a positive and problem-solving manner.

5.10 The provision of a service must not be subject to delay, suspension or withdrawal while a complaint is being dealt with.

5.11 It can often be more effective to telephone the complainant or arrange to meet to discuss the problem rather than to deal with the complaint solely in writing. Within reason, try to accommodate the wishes of the complainant. All complaints must be investigated promptly and thoroughly at every stage. If the service user is complaining in person, make arrangements to discuss the matter in private, either at the office, a neutral venue or, if appropriate and safe, arrange a home visit.

5.12 All correspondence and file notes etc. relating to complaints must be retained. If the complainant is not satisfied and decides to take the matter to the Ombudsman it will be necessary for the Company to demonstrate what efforts have already been made to resolve the matter.

5.13 If at any stage the complainant indicates, or a member of staff discovers, that financial compensation will be sought the officer dealing with the complaint **must** inform his/her Manager who **must** inform the Company's Chief Executive. **Failure to do so may prejudice the handling of the claim within the strict conditions laid down by the terms of the Company's legal liability insurance policy.**

Further guidance is available on managing complaints. Staff should familiarise themselves with Section 18, general advice.

#### 5.14 Advocates

Some complainants may wish to be accompanied by a friend or representative when attending meetings to discuss their complaint. In some circumstances, a complainant may wish to use a supporter and may ask the Company to arrange this. Funding for such assistance will be at the discretion of the Chief Executive.

#### 5.15 Misdirected Complaints

If the complaint is addressed to the wrong person or agency, staff receiving the complaint should, wherever possible, give a name and contact number of the right person or agency.

If that is not known, the person receiving the complaint should offer to find out and get back to the complainant with the information. If the complaint is about another Company department or service, the complaint should be redirected and the name, address and contact number of the relevant officer should be given to the complainant. It is important that complainants are not redirected to the wrong department or agency as this only increases the complainant's frustration and distress.

## 6 COUNCILLORS AND MPs

6.1 Complaints are often received via the Company, Local Councillors or occasionally a Member of Parliament. In these circumstances, the Company should be kept informed of progress. In most cases, this can be through copying correspondence and, if requested, more detailed briefings. Correspondence with Members of Parliament should be handled via the Director or Chief Executive's office. MPs should not be sent the complaints satisfaction form.

6.2 Complaints about Company employees should be passed to the Chief Executive, [stephen.catchpole@cambridgehorizons.co.uk](mailto:stephen.catchpole@cambridgehorizons.co.uk)

## 7. HOW TO DEAL WITH COMPLAINTS

### 7.1 Stage 1

7.1.1 Staffs that are close to the point of service delivery should initially handle Complaints. This will often be the first line manager. If complaints are addressed at the outset to a more senior manager/Director, the complaint should be forwarded to the Chief Executive and a letter sent to the complainant explaining the action, which has been taken.

7.1.2 Where the complaint covers more than one function or section, the receiving officer should co-ordinate a single response.

7.1.3 A reply should be sent to the complainant within 10 working days setting out a summary of the problem, the conclusions/findings and the proposed response. As customers using email tend to expect a more immediate response, complaints received by email should be briefly acknowledged within 24 hours and receive a full response within 10 working days.

7.1.4 If it is not possible to resolve the complaint within 10 days, an interim response should be sent explaining what action is being taken and giving a new target date.

7.1.5 The Stage 1 response must include a copy of the complaints satisfaction form C1 (Appendix 2), together with a prepaid envelope. This enables the complainant to record whether they are satisfied with the outcome of the complaint. **Do not send this form to MPs or solicitors.**

7.1.6 Record the complaint and the response, including notes of any telephone conversations, emails etc. Date this record. Complete the corporate complaints monitoring form (Appendix 3) and pass with all relevant documents to the appropriate Director to sign.

7.1.7 The Director must countersign the form verifying whether or not the complaint is justified. Pass the completed form to the Chief Executive.

7.1.8 File the correspondence.

7.1.9 Complaints should be resolved, wherever possible, at the lowest possible level. However, in some circumstances where a serious complaint is made, the Director or the Chief Executive should become involved immediately. It may be appropriate to begin such an investigation at Stage 2 (see below).

7.1.10 Points to consider

- Does the complaint have staff discipline implications? Do you need specialist advice from your Human Resources Advisor?
- Could the complaint give rise to legal action (such as a Judicial review or a tribunal case) or an insurance claim. If so, you will need to consult the Company's Legal or Insurance sections before preparing a response.
- Does the complaint refer to alleged financial irregularities? If so, contact the Company's External Auditors (KPMG, 37, Hills Road, Cambridge CB1 2XL, Telephone Number 01223 366692 or FAX to 01223 460701).
- Does the complainant's Local Councillor need to be informed? If the complaint has come via a Local Councillor, make sure he/she receive copies of relevant correspondence.

7.2 Stage 2

7.2.1 Where the complainant has indicated that he/she are not satisfied with the outcome and wish the complaint to be taken further, the complaint must be reviewed by a Director. The task at Stage 2 is to review whether:

- the complaint is justified

- the replies given and actions taken in response were appropriate and comprehensive
- any further action is possible/appropriate.

7.2.2 The Director will reply to the complainant with conclusions within 10 days, attaching a complaints satisfaction form C1 (Appendix 2) with sae, and will advise that if the complainant is still not satisfied, the complaint can be referred to Stage 3.

7.2.3 The Director should retain dated notes of any telephone conversations, and records of any correspondence including e-mails.

7.2.4 When the complaint has been completed, the Director should pass the paperwork for data collection.

### 7.3 Stage 3

The final stage of the corporate procedure allows for review by the Chief Executive. The Chief Executive will review whether:

- the complaint is justified
- the replies given and actions taken in response were appropriate and comprehensive
- any further enquiries are necessary
- any further action is possible/appropriate.

The Chief Executive will reply to the complainant within 10 working days with conclusions and a complaints satisfaction form C2 (Appendix 2), with sae, and advise that if he/she wishes he/she may contact the Local Government Ombudsmen if the complaint relates to maladministration by the Company.

Complainants also have the right to complain to the Local Government Ombudsman (sometimes known as the Commissioner for Local Administration in England) providing they have gone through all of the Company's procedure and remain dissatisfied with the Company's response.

It is the task of the Ombudsman to consider whether there has been maladministration. The Local Government Ombudsman for the Eastern Region is Mr J R White, The Oaks, 2 Westwood Way, Westwood Way Business Park, Coventry CV4 8JB. Tel (01203) 695999. Fax (01203) 695902.

## 8 INTERNAL COMPLAINTS

8.1 Although this policy is primarily concerned with complaints received from the general public, some sectors of the organisation – particularly support services – will also need to collect management information on internal complaints received from other officers in the Company.

8.2 An internal complaint is defined as one personal to the employee. The internal complaints system should not be used to respond to business and managerial issues of dissatisfaction.

8.3 All Directors **must** collect data on internal complaints:

- Director for Development – including Business Management (Marketing, Communications & PR) and Administration
- Director for Sustainable Communities – including Finance, IT and HR staff/issues

8.4 An internal complaints system should not replace informal and direct attempts to resolve conflicts and difficulties.

8.5 If the complaint is against an officer's line manager, the Company's grievance procedure may be applicable and should be used in preference to the complaints procedure.

#### 8.6 How to Handle Internal Complaints

- Try to resolve informally
- Stage 1. Complaint directed to first line manager who should respond within 10 working days
- Stage 2. If Stage One has failed to resolve the complaint, it should be directed to a Director – who will investigate and respond within 10 working days.

#### 8.7 Recording Internal Complaints

8.7.1 Once the complaint has been finalised, the officer responding to the complaint (Usually the Business Support Manager) will complete the complaints monitoring form and pass to the Directors. There will be space provided on the form to clearly indicate whether the complaint is internal/external.

#### 8.8 Reporting Internal Complaints

8.8.1 Internal complaints should be reported separately from external complaints – **not amalgamated** with them.

## 9.0 ASSISTING WITH COMPLAINT ENQUIRIES

9.1 Members of staff may, on occasions, be asked to provide information as part of an investigation into a complaint. This can be an anxious time for some people but it is important to bear in mind that this aspect of customer care gives an important message about the Company's responsiveness and accountability.

9.2 If the allegation is one, which would constitute gross misconduct or misconduct, the disciplinary procedures will take precedence over the complaints process.

9.3 Where a complaint progresses to Stage 2/3/Ombudsman, it may be necessary to re-interview staff who provided evidence to the Stage 1 investigation. This does not necessarily mean that the accuracy of the evidence is in doubt; the manager conducting the higher-level investigation

must be satisfied that the investigation has been thorough and the correct conclusion reached.

9.4 The Company expects that officers will co-operate with complaints investigations.

9.5 A member of staff being interviewed as part of a complaint investigation is entitled to bring a supporter. This will usually be a colleague or a union representative since it is important to maintain customer confidentiality.

## **10 HOW TO DEAL WITH REPRESENTATIONS**

10.1 It is important that the Company listens to concerns about resource allocation or policies, which affect members of the public. These will be recorded as "representations" in order to ensure Directors are informed. Whilst a representation about policy cannot be investigated, it may be appropriate to explain to the service user the factors, which led to that policy, and to advise that the comments have been passed on to the relevant Director or the Chief Executive.

10.2 Representations, like complaints, should receive a response within 10 working days. E-mails should be acknowledged within 24 hours of receipt and a full response provided within 10 working days.

10.3 A copy of the representation and a copy of the reply should be provided to the relevant Director and the Chief Executive.

10.4 Consider whether the policy or administrative system needs revising.

10.5 A quarterly report on the number and type of representations received will be presented to the Company's Main Board. Should it be necessary to consider a policy change, the following actions may be considered:

- Director to action minor amendments in accordance with the agreed scheme of delegation
- Chief Executive to instigate discussions and Board of Directors decision to amend the policy.

## **11 HOW TO DEAL WITH SUGGESTIONS**

11.1 Many people contact the Company with suggestions about how services could be improved, or ideas for improving the overall efficiency of the Company. These should all be acknowledged within 10 working days and where appropriate a full response made explaining any action initiated or why a suggestion cannot be acted on.

11.2 Send a copy to the relevant Director for data collection.

## **12 HOW TO DEAL WITH COMPLIMENTS**

12.1 Where appropriate, compliments may be acknowledged. It may be appropriate to pass the message on to staff, managers and Directors. Some services have a notice board where compliments and other achievements are displayed.

12.2 Consider whether the compliment could be the basis of a Good News story. If so contact the Business manager (Press and Public Relations) on (01223) 714041.

12.3 Send a copy of the compliment to your divisional/directorate complaints representative for data collection purposes

## **13 MONITORING COMPLAINTS, REPRESENTATIONS AND SUGGESTIONS**

13.1 It is important that the Company monitor all complaints in order to ascertain year on year variations and to spot any areas where the number of complaints seems unusual.

13.2 The Company will have a designated person responsible for collecting information about complaints and for inputting these into the complaints database (Business Support Manager).

13.3 Reporting Mechanisms

### **13.3.1 Individuals and Companies**

The Director for Development is responsible for reporting the number of complaints and the percentage of satisfied complainants to the Management Team on a quarterly basis.

The Management Team should also ensure that they review complaints at least annually. The receiving of complaints and their review, may be undertaken on a quarterly basis.

### **13.3.2 Members**

The Business Support Manager is responsible for preparing an annual report to the Main Board, in April / May each Year. This report should include information on both complaints, and representations and suggestions.

This report must outline the nature of the representations received so that the Directors consider whether any policy changes are required.

Similar information should also be produced for the general public on an annual basis in an accessible format.

13.4 Guidance for Recording Complaints

13.4.1 The Company's Complaints Representative (Business Support Manager) is responsible for inputting data to the monitoring system on a quarterly basis.

13.4.2 Data should be deposited within 20 working days of the end of the quarter. All functions should make a return - even if it is a nil return.

13.4.3 Directors are responsible for collating the information gathered on the customer satisfaction form (ethnicity, disability, etc.) for collection at the year-end.

13.4.4 Complaints are often first received at an office, which is not the section, featured in the complaint. It is the team complained about who should "own", respond to and record the complaint.

13.4.5 When the complainant covers several aspects of the same complaint at once (i.e. the school bus was late **and** dirty) this should be recorded as one complaint and should be categorised according to the primary complaint. If in doubt "quality of service" covers most events.

13.4.6 Likewise, if the complainant makes a subsidiary complaint about the way the complaint is handled (i.e. "I complained to you three weeks ago and I haven't heard anything yet' or "the person investigating my complaint cancelled the appointment") this should not be recorded as a second, separate complaint. - it is part of the original issue.

13.4.7 If a complainant raises issues about more than one Director, both Directors should record the complaint.

13.4.8 Comments received on course evaluation forms and in comments books should not be recorded as complaints although it may be appropriate to ask whether the customer would like to make a complaint.

13.4.9 Petitions are counted separately and are counted per petition not per signature.

13.4.10 Directors are asked to note examples of service improvements, which are made in response to complaints. These examples can be used in annual reports.

13.4.11 Internal complaints are not included in the complaints monitoring system.

13.4.12 Data regarding customer satisfaction must be taken from returned customer satisfaction forms or through other direct feedback from the customer.

## **14 LINKS WITH STATUTORY COMPLAINTS PROCEDURES**

14.1 Some Companies have a statutory independent element built into their complaints or appeals systems. This corporate complaints procedure complements, rather than supersedes, these statutory procedures.

14.2 Where statutory procedures exist, the complainant should be informed that this is the case, and should be provided information, on request, about how the procedure works.

14.3 Sometimes, during the course of dealing with a complaint which is covered by a statutory complaints procedure, a side issue arises which, it may appear, should be dealt with under the corporate complaints procedure. Whenever possible, avoid introducing additional complexity by requiring the complainant to use both the statutory and the corporate complaints system for different aspects of the same complaint. It is usually good practice to deal with all aspects of the complaint under the statutory procedures.

## **15 COMPLAINTS AGAINST CONTRACTORS**

15.1 The Company's definition of a complaint includes complaints against contractors undertaking work on behalf of the Company. Where services are purchased from independent Contractors the purchaser shall record and report on complaints coming to them about Contractors. The Company will:

- inform complainants who to contact, and ensure that contractors deal with complaints in a similar way to the Company
- ensure all new contract specifications include the requirement that contractors have a comprehensive complaints and suggestions procedure
- monitor complaints against contractors, and take these into account when assessing the contractor's performance.

## **16 LINKS TO WHISTLEBLOWING**

16.1 The Corporate complaints procedure is intended for use by parties external to the Company. If a member of staff becomes aware of fraud or malpractice within the Company, this should be reported to Senior Management.

## **17 REMEDIES**

17.1 If, after investigation, the Company is in the wrong, an explanation and an apology should be provided.

17.2 Even if the Company is not in the wrong or it is unclear, it might be appropriate to apologise, as recognition that the complainant's grievance is legitimate, (I'm sorry you feel that way, but...). The aim is to deal with the complaint successfully, which includes making efforts to ensure that even if the complaint is not justified, the complainant feels that they have been fairly and politely treated by the Company.

17.3 The emphasis in providing redress should be to try and put the complainant in a position that he/she would have been in, but for the Company's actions/inactions. In some cases this will be to provide the information or services requested. In other cases this will not be relevant or possible and a simple, but sincere, apology may be sufficient. When something has gone wrong it can be helpful to explain why and the steps

taken to avoid it happening again. This must not be a long story about lack of resources, incompetence of colleagues and the like.

17.4 People are only interested in the outcome - it is the Company's responsibility to manage the service effectively. It is often helpful to ask the complainant to clarify the outcome they are seeking.

17.5 Consideration should be given as to whether there is some practical action, which would provide all, or part of a suitable remedy. Examples might include:

- Waiving Course Fees, speakers fees
- Issuing a final statement of special needs where that has not yet been done
- Improving access to information

17.6 Consideration should also be given to any practical action which the complainants themselves might suggest, including any imaginative suggestions which might not be directly related to the subject of the complaint but which complainants themselves might consider an acceptable remedy.

17.7 It may sometimes be appropriate to send a small gift by way of an apology – flowers or tokens can be much appreciated in the right circumstances.

17.8 To a very limited extent compensation in the form of a financial payment is made in some situations for the time and trouble in bringing the matter to the Company's notice. Care must be taken not to prejudice the Company's negotiating position or invalidate any insurance policy held. If a complaint regarding any service involves alleged damage to property, bodily injury, other financial loss, alleged defamation of someone's good name or a breach of confidentiality in relation to personal data, this will almost certainly indicate that the complainant is looking for more substantial compensation. In such cases appropriate advice on how to handle the matter must be sought immediately from the Business Support Manager, who will contact the Company's Insurers.

17.9 The Chief Executive **must** be consulted when any token cash payments (as described in 17.8 above) are being considered in order to ensure consistent payments across the .

17.10 Further guidance on remedies and financial settlements can be found on the Local Government Ombudsman's website <http://www.lgo.org.uk/>

## 18 GOOD PRACTICE GUIDELINES

- Be open
- Be polite
- Be honest – don't promise more than you can deliver; deliver what you promise
- Be helpful

- Be constructive
- Be clear about the complaint and what a satisfactory solution would be. If you are not clear, contact the complainant to find out more.

18.1 If they are complaining to the wrong person or agency, refer them to the appropriate agency. If you don't know who that is, say you will find out and get back to them – and do so.

18.2 **Many complaints are made much worse by poor handling**, for example not replying to letters or calls, failing to be seen to be investigating the complaint fairly and thoroughly. If someone has made the effort to complain they are unlikely to be fobbed off. **Taking a complaint seriously at the outset can save an enormous amount of time in the long term.**

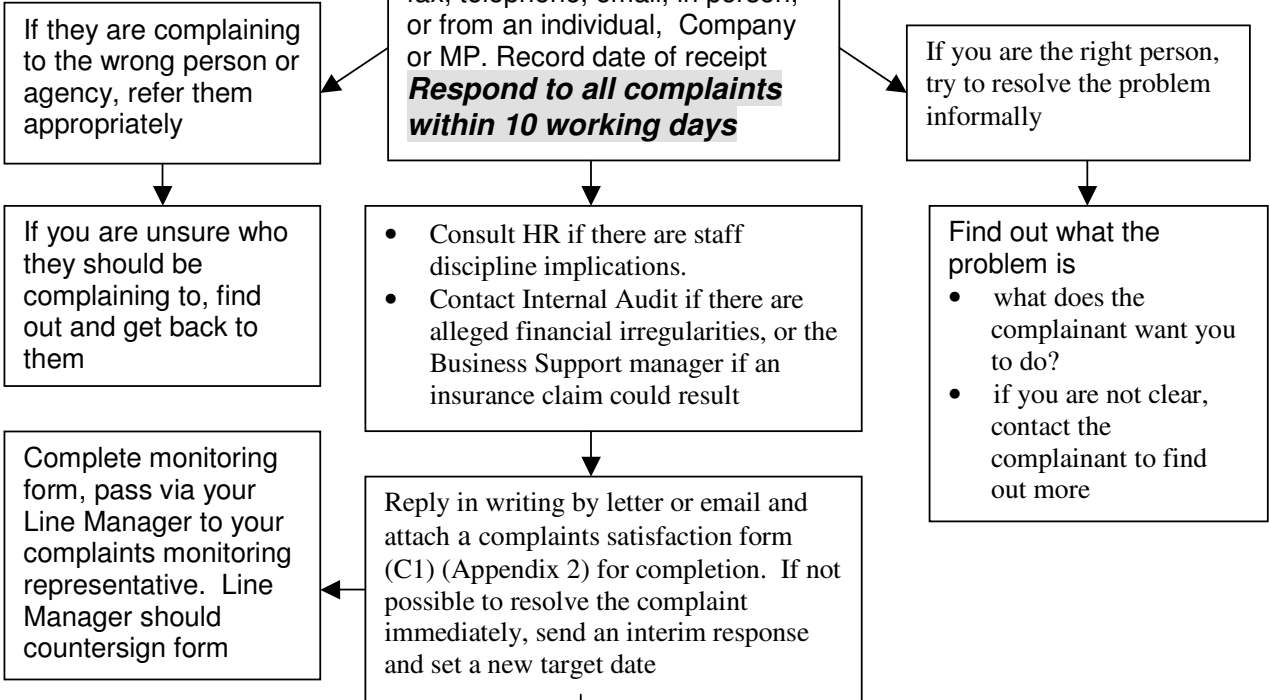
18.3 The Directors are available for advice on individual complaints.

18.4 **Further points for Managers:**

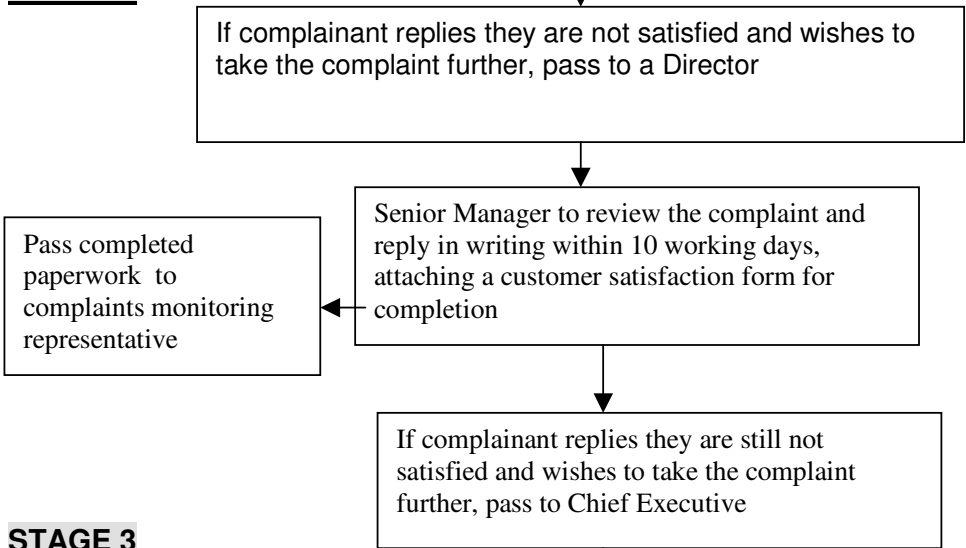
- Do you include complaints handling as part of your induction process for new staff?
- Do you feed back the outcome of complaints to your management team?
- Do you occasionally look at a particular case to see how well complaints are dealt with?
- Do you carry out periodic surveys of people who have complained to see if they are satisfied with the way the Company has dealt with them?
- Have you put in hand any suggested improvements?
- Do you ensure that the Management Team look regularly at trend data and any policy issues arising?
- Is this data reported to the Min Board of Directors, annually?

**DEALING WITH SUGGESTIONS AND COMPLAINTS**

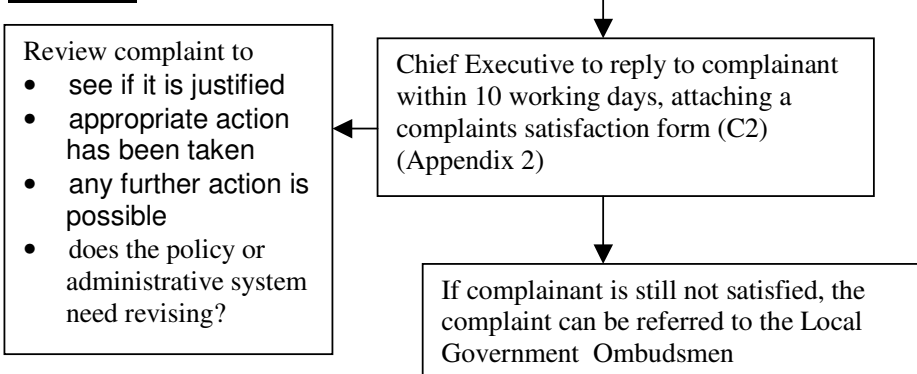
**STAGE 1**



**STAGE 2**



**STAGE 3**



**COMPLAINTS SATISFACTION FORM : OFFICE**

We would like to know whether you are satisfied with the way your complaint has been handled. In order to help with our complaints monitoring, and to ensure that your own complaint has been satisfactorily addressed, it would be helpful if you could complete the following form and return it in the envelope provided within 28 days of receipt. All information on this form will be kept confidential and personal details will not be disclosed to anyone else without your permission, in accordance with the Data Protection Act 1998.

**From (complainant):**

.....  
.....

**Address (complainant): ...**

.....  
.....  
.....  
.....

Our Ref: ..... Date:  
.....

**Please cross out statements a or b 1) or 2) as appropriate.**

I have received your letter in answer to my complaint and:

- a) I am satisfied with your response and wish to take no further action in connection with this complaint
- b) I am dissatisfied with your response:
  - 1) but wish to take no further action with this complaint.
  - 2) and wish you to continue trying to resolve the complaint at this stage by taking the following action:

.....  
.....  
.....  
.....

Signed: ..... Date:  
.....

**As part of our commitment to ensuring equality of service to all our customers, we would also be grateful if you could complete the following details to allow us to monitor our complaints.**

A) Ethnic origin:

- White – British .....
- White – Irish .....
- White – Other .....
- Black or Black British – Caribbean .....
- Black or Black British – African .....
- Any other Black origin .....
- Asian or Asian British – Bangladeshi .....
- Asian or Asian British – Indian .....
- Asian or Asian British – Pakistani .....
- Any other Asian origin .....
- Mixed – White & Asian .....
- Mixed White & Black African .....
- Mixed – White & Black Caribbean .....
- Any other mixed background .....
- Chinese .....
- Any other ethnic group .....
- Gypsy/Traveller .....
- Not Specified .....

B) Do you have a disability?      Yes                            No     

If yes, what is the nature of your disability?

C) Gender                                      Male                            Female



<p><b>Ethnic Origin</b></p> <p>White – British ..... <input type="checkbox"/></p> <p>White – Irish ..... <input type="checkbox"/></p> <p>White – Other ..... <input type="checkbox"/></p> <p>Black or Black British – Caribbean ..... <input type="checkbox"/></p> <p>Black or Black British – African ..... <input type="checkbox"/></p> <p>Any other Black origin ..... <input type="checkbox"/></p> <p>Asian or Asian British – Bangladeshi ..... <input type="checkbox"/></p> <p>Asian or Asian British – Indian ..... <input type="checkbox"/></p> <p>Asian or Asian British – Pakistani ..... <input type="checkbox"/></p>	<p>Any other Asian origin ..... <input type="checkbox"/></p> <p>Mixed – White &amp; Asian ..... <input type="checkbox"/></p> <p>Mixed White &amp; Black African ..... <input type="checkbox"/></p> <p>Mixed – White &amp; Black Caribbean ..... <input type="checkbox"/></p> <p>Any other mixed background ..... <input type="checkbox"/></p> <p>Chinese ..... <input type="checkbox"/></p> <p>Any other ethnic group ..... <input type="checkbox"/></p> <p>Gypsy/Traveller ..... <input type="checkbox"/></p> <p>Not Specified ..... <input type="checkbox"/></p>
<p><b>Does the complainant have a disability?</b></p> <p>Yes ..... <input type="checkbox"/>                      No ..... <input type="checkbox"/></p>	<p><b>Nature of disability</b> (where disclosed) .....</p>
<p><b>Name of Service Complained about?</b> ..... Manager .....</p>	
<p><b>Content of Complaint</b></p> <ol style="list-style-type: none"> <li>1. We failed to provide a service in circumstances where the service should be provided ..... <input type="checkbox"/></li> <li>2. Discourtesy/manner in which the service was provided ..... <input type="checkbox"/></li> <li>3. Provision of inaccurate or misleading information ..... <input type="checkbox"/></li> <li>4. Delay in the provision of a service ..... <input type="checkbox"/></li> <li>5. Did this involve a service subject to a charter standard? ..... <input type="checkbox"/></li> <li>6. Quality of service provided ..... <input type="checkbox"/></li> <li>7. Complaints against contractors and consultants ..... <input type="checkbox"/></li> <li>8. Discrimination ..... <input type="checkbox"/></li> </ol>	

<b>Nature of Complaint – please give brief details</b>	
<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<b>Action Taken*</b>	
<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
* Also consider whether the Company needs to be informed about this complaint	
<b>Outcome</b>	
<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	
<b>Name of Person who First Received the Complaint</b>	
Date Received by Company            ...../...../..... Date Received by Unit                ...../...../..... Date of Completion                    ...../...../..... <i>(target 10 days from receipt)</i>	
<b>Is a Change of Policy or Practice Indicated</b> Yes <input type="checkbox"/> No <input type="checkbox"/> <i>(If yes, please give details)</i>	<b>Signature</b> <i>(of person completing the form)</i> <p>.....</p>

<p><b>Satisfaction of Complainant Regarding the Outcome</b>  Satisfied <input type="checkbox"/> Dissatisfied <input type="checkbox"/>  Partially Satisfied <input type="checkbox"/>  Not Known <input type="checkbox"/></p>	Name .....  Date ...../...../.....
<p><b>Complainant Wishes to Proceed to Stage 2</b>  Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p><b>Was the Complaint</b>  Upheld <input type="checkbox"/> Partially Upheld <input type="checkbox"/> Not Upheld <input type="checkbox"/></p>	

**To be completed by Line Manager**    Signed .....

Date .....