



## Complaints Policy and Procedures

COMPLAINTS POLICY AND PROCEDURES1

COMPLAINTS POLICY4

DEFINITION OF A COMPLAINTS5

COMPLAINTS PROCEDURE6

ANONYMOUS COMPLAINTS8

DATA PROTECTION8

MONITORING8

COMPLAINTS FORM10

COMPLAINTS REGISTER12

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	3	1/09/23	1/09/24	<i>Pendynas Ltd</i>



## Complaints Policy Statement

Pendynas Ltd welcomes feedback on the services it provides. Should anyone be unhappy with any aspect, it is important that Pendynas Ltd learns about this. Pendynas Ltd recognises there is a difference between a concern and a complaint. Taking informal concerns seriously at the earliest stage reduces the numbers that develop into formal complaints. Pendynas Ltd aims to ensure that concerns are handled, if at all possible, without the need for formal procedures. Pendynas Ltd formal complaints procedure is only necessary if efforts to resolve the concern informally are unsuccessful. Where an individual may feel that an issue has not been dealt with appropriately it is important, for all involved, that there is a clear and transparent process for a complaint to be looked into and followed up.

This policy outlines how complaints will be dealt with by Pendynas Ltd

- I. This policy will be followed in respect of all complaints by parents/carers/referring agencies & schools against Pendynas Ltd except in the following areas (where separate policies exist):
  - I. child protection allegations;
  - II. exclusions;
  - III. referrals;
  - IV. disciplinary issues relating to members of staff; and
  - V. allegations of abuse.

The aims of the procedure are:

- I. to deal with any complaint against Pendynas Ltd or any individual connected with it by following the correct procedure
- II. to deal with all complaints thoroughly and in a timely manner and by being open, honest and fair when dealing with the complainant

## Pendynas Ltd

- is committed to providing a good standard of quality services to clients, other agencies and organisations
- will take seriously any concern or complaint and will look into it promptly, for resolution as quickly as possible
- recognises that all service users, agencies and organisations
  - have the right to raise concerns or complaints about our services

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	3	1/09/22	1/09/23	<i>Pendynas Ltd</i>



- have access to clear information on how to voice complaints and concerns
- concerns and complaints procedure is open to everyone who receives or requests a service from Pendynas Ltd and people acting on their behalf
  
- will deal with complaints in line with The First Step Confidentiality policy
- will keep a register of all complaints, which will be reviewed regularly by the Board of Directors
- complaints procedure will be part of the process of monitoring the quality, effectiveness and non-discriminatory nature of its services
- All staff, volunteers and Board of Directors are required to read, understand and comply with this policy and its procedures

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>



## Complaints Policy

---

### Introduction

Pendynas Ltd strives for high standards in service delivery and welcomes feedback from individuals, users of our services, stakeholders, funding bodies and anyone who works with us, on all aspects of our services. Such feedback is invaluable in helping us evaluate and improve our work.

The objectives of the Pendynas Ltd complaints policy and procedures are to:

- Ensure everyone knows how to make a complaint and how a complaint will be handled
- Ensure that complaints are dealt with consistently, fairly and sensitively within clear time frames
- Provide individuals with a fair and effective way to complain about our work
- Ensure that complaints are monitored to improve our services

### Pendynas Ltd will ensure that we:

- Listen carefully to complaints and treat complaints as confidential, where possible
- Record, store and manage all complaints accurately and in accordance with the Data protection Act
- Investigate the complaint fully, objectively and within the stated time frame
- Notify the complainant of the results of the investigation and any right of appeal
- Inform the complainant of any action that will be implemented in order to ensure that there is no re-occurrence
- Report on an annual basis, the number of complaints received, the outcomes and any actions taken.

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>



## **Definition of a complaint**

A complaint is any expression of dissatisfaction by an individual, whether justified or not.

An individual may make a complaint if they feel Pendynas Ltd has:

- Failed to provide a service or an acceptable standard of service
- Made a mistake in the way the service was provided
- Failed to act in a proper way
- Provided an unfair service

This policy and procedure relates only to complaints received about Pendynas Ltd and its services.

## **Concern or Complaint**

It is important to establish the difference between a concern and a complaint. Taking informal concerns seriously at the earliest stage will reduce the likelihood of their developing into formal complaints.

If you have any concerns about our work please tell The Pendynas Ltd worker or their manager as soon as possible, so they can quickly understand your concerns and try to put things right.

If you are not happy with the response to your concern and/or you want to make a formal complaint please follow the procedure below.

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>



## Complaints Procedure

- a) The First Step aims to settle the majority of complaints quickly and satisfactorily by the member of staff who provides the service. The complaint may be resolved quickly by way of an apology or by an acceptable explanation to the individual.
- b) There are three stages to the complaints procedure:
  - Stage One – the complaint
  - Stage Two – investigation
  - Stage Three – appeal

### Stage One – The Complaint

- a) The complaint can be written or if the individual prefers they can tell someone at Pendynas Ltd, or someone else, who will write it down for them. The complainant will need to sign it. A complaint form is available to use at appendix 1
- b) Individuals wishing to make a complaint should contact the person who provided the service, or their line manager. Alternatively they can contact Pendynas Ltd by writing to: Pendynas Ltd, Trevithick Suite, 6 Clinton Road, Redruth TR15 2QE.
- c) The complaint should include the complainants name and address, the nature and date of the complaint and how they want to see it resolved. The Pendynas Ltd complaints form can be requested and can be sent to the complainant or collected by the complainant.
- d) On receipt, each complaint will be allocated a reference number and logged on the complaints register. Complainants must receive an acknowledgement within five working days of receipt of a signed complaint.

### Stage Two – Investigation

- a) All complaints at this stage should be dealt with by a service leader. If they need to meet with the complainant they will do so within seven working days of receiving the written complaint.
- b) Complaints will be fully investigated and a written response provided to the complainant within twenty working days by the investigator.
- c) The complainant will receive written confirmation of the outcome of any investigation any recommendations/remedies made, such as reviewing of policies,

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
Complaints Policy	3	1/09/22	1/09/23	Pendynas Ltd



staff development and training or appropriate improvement to Pendynas Ltd services. The outcome should not refer to any individual employees or groups of employees within Pendynas Ltd.

- d) Where the complaint is upheld an apology should be offered
  
- e) Occasionally investigations may take longer, particularly if the complaint is complex. Should this be the case a holding letter will be sent after twenty working days and a final date given for a conclusion to be reached.
- f) If an individual remains dissatisfied with the outcome from Stage Two they can appeal within fourteen working days of the date of the outcome and progress to Stage Three.
- g) The complaints register will be updated and any pending complaints flagged so they are followed up

### **Stage Three - Appeal**

If the complaint cannot be resolved to the complainants satisfaction at stage two, or if the service leader feels that the complaint is of a very serious nature, or concerns a service leader then it will be referred to the Managing Director.

If the complaint is about the Managing Director then the matter will be discussed with two other Directors.

The Directors will acknowledge receipt within five working days, they will review the Stage Two investigation and recommend one of the following actions within twenty working days (from the date the complainant stated they wanted to take the complaint to stage 3):

- Uphold the action taken by Pendynas Ltd at Stage Two
- Make changes to the Stage Two recommendation/actions

The complainant should be informed in writing of the outcome of stage three, the decision reached about this complaint will then be final but other options available to the complainant (as listed below) should be detailed in the letter.

If after Pendynas Ltd has been through the three stages and the complainant is still not satisfied with the result, they should be advised that there is no further right of appeal with Pendynas Ltd but they could approach any of the following agencies for advice:

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
Complaints Policy	3	1/09/22	1/09/23	Pendynas Ltd



- A solicitor
- Citizens Advice Bureau
- Cornwall Council

This should be done within one month of receiving the outcome from the appeal.

### **Anonymous Complaints**

Complaints received anonymously will be recorded and considered, but action may be limited if further information is required to ensure a full and fair investigation.

### **Data protection**

To process a complaint Pendynas Ltd will hold personal data about the complainant, which the individual provides and which other people give in response to the complaint. Pendynas Ltd will hold this data securely and only use it to address the complaint. The identity of the person making the complaint will only be known to those who need to consider the complaint and will not be revealed to other people or made public by Pendynas Ltd. However, it may not be possible to preserve confidentiality in some circumstances, for example, where relevant legislation applied or allegations are made which involve the conduct of third parties.

Pendynas Ltd will normally destroy complaints files in a secure manner six years after the complaint has been closed.

### **Monitoring**

Complaints are an important tool which, alongside data provided by exit surveys, stakeholder surveys, user feedback and focus groups, will allow Pendynas Ltd to learn about the services we provide. They provide a useful source of information about how individuals see our services and how we are serving them. To ensure Pendynas Ltd can learn from complaints the following data will be collected:

- Name and address
- Name of person dealing with the complaint
- Date of complaint and response
- Nature of complaint
- Action(s) taken/recommendations made in response to the complaint Lessons learnt

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>





Complaints information will be considered on a regular basis by the Directors. Wherever possible the data will be used to improve and develop the service.

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>



## Complaints Form

Reference No.	Date:
---------------	-------

### Your Details

Date:	
Name:	
Address:	
Postcode:	
Telephone:	
Email:	

### Complainant details:

Please give full details below, including dates and names where appropriate. Please let us know if you have any additional needs e.g. interpreter

--

Continue on a separate sheet if required



Continue on a separate sheet if required

**Outcome**

If known please state what you would like to happen to sort it out:

Continue on a separate sheet if required

Thank you for completing this form. Please send it to: Pendynas Ltd, Trevithick Suite, 6 Clinton Road, Redruth Cornwall TR15 2QE

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>



You will receive an acknowledgement of receipt within five working days and full response within twenty working days of the receipt of this form.

Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_  
Date: \_\_\_\_\_

### Complaints Register

#### Complainant Details

Date:		Complaint File No.     Write file no. on all paperwork
Name:		
Address:		
Postcode:		
Telephone:		
Email:		

#### Date, Time & Place of Complaint

Date:		Time:	
Place:			

#### Action Taken

	Date:
	How complainant informed



Action Completed YES/NO

Papers with Complaint File YES/NO

Date: \_\_\_\_\_

<u>Document title</u>	<u>version</u>	<u>Approval date</u>	<u>Review date</u>	<u>owner</u>
<i>Complaints Policy</i>	<i>3</i>	<i>1/09/22</i>	<i>1/09/23</i>	<i>Pendynas Ltd</i>