



**The Percy Hedley
Foundation**

**COMPLAINTS, COMPLIMENTS and
COMMENTS
POLICY**

Policy Control/Monitoring

Version:	4.0
Approved by: (Name/Position in Organisation)	Carole Harder CEO
Date:	
Accountability: (Name/Position in Organisation)	Carole Harder CEO
Author of policy: (Name/Position in organisation)	Alison Williams Director of Business Development, Quality and Performance
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Replaces/supersedes:	V3.0

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 2 of 20

Associated Policies: (insert hyperlinks)	Adult Safeguarding Policy (Section 6: Duty of Candour) Whistleblowing Policy
Associated National Guidance	Education Act 2002 – Section 29: Additional Functions of Governing Body https://www.legislation.gov.uk/ukpga/2002/32/section/29/enacted Care Quality Commission Fundamental Standards – Regulation 20: Duty of Candour https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-20-duty-candour#guidance The Fundraising Regulator - Complaints Handling Guidance for Charities
Document Status:	This document is controlled electronically and shall be deemed an uncontrolled documented if printed. The document can only be classed as ‘Live’ on the date of print.

Equality Impact Assessment

This document forms part of Percy Hedley’s commitment to create a positive culture of respect for all staff and service users. The intention is to identify, remove or minimise discriminatory practice in relation to the protected characteristics (race, disability, gender, sexual orientation, age, religious or other belief, marriage and civil partnership, gender reassignment and pregnancy and maternity), as well as to promote positive practice and value the diversity of all individuals and communities. As part of its development this document and its impact on equality has been analysed and no detriment identified.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 3 of 20

Version Number	Date	Author/ Title	Status	Comment/Reason for Issue/Approving Body
1.0	10/04/2018	Tara Allen-Director of Support Services and Business Transformation	Approved	
2.0	17/05/2019	Tara Allen-Director of Support Services and Business Transformation	Approved	Included section on how to withdraw a complaint
3.0	24/06/2020	Alison Williams, Director of Business Development, Quality and Performance	Approved	Reference to Director of Business Development, Quality and Performance added throughout. Section 11 Duty of Candour details added to Section 11. Job titles updated in Section 12. Reference to Head of Quality and Compliance added to Section 16.
4.0	13/01/2021	Ashley Wear Transformation Project Manager	Approved	Reference to Statutory Requirements included in Introduction Reference to Whistle Blowing Policy added to Introduction Reference to Director of Residential Care and Safeguarding. Reference to feedback postcards within Residential Services added throughout. Section 9 – Formal Complaints Stage 3 added. Section 11 Duty of Candour removed as previously included and highlighted in introduction.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 4 of 20

Version Number	Date	Author/ Title	Status	Comment/Reason for Issue/Approving Body
				Appendix 1 The Process added. Appendix 2 Acknowledgement Letter Template added

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 5 of 20

CONTENTS

1. Introduction
2. Sharing a Compliment
3. Making a Suggestion or Comment
4. Making a Complaint
5. Who can Complain?
6. How you can make a Complaint
7. Anonymous Complaints
8. Responsibility
9. How we Handle Complaints
 - 9.1 Informal Complaints or resolving concerns (Stage 1)
 - 9.2 Formal Complaints (Stage 2)
 - 9.3 Formal Complaints (Stage 3)
 - 9.4 Formal Complaints to Governing Body
 - 9.5 Serious Maladministration
 - 9.6 Organisational Learning
 - 9.7 Time Limits
10. Withdrawing a Complaint
11. Further Steps
12. Unresolved Complaints (Appeal Stage)
13. Reporting
14. Data Retention
15. Monitoring and Compliance

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 6 of 20

Appendices

Appendix1 – The Process

Appendix 2 – Acknowledgement Letter Template

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 7 of 20

Introduction

We always aim to provide a high standard of care in all our services. Our service users' views and the views of their families are important to us and help to ensure our services are consistently meeting people's needs. We therefore like to hear from anyone with compliments, suggestions, or concerns so we continue to learn and ensure our services improve. If you are unhappy with any of our services, it is important that you let us know. Where concerns are raised, we aim to resolve these as quickly as possible and ensure there is a clear and transparent process for escalation should that be necessary.

The Foundation will ensure the appropriate statutory (legal) requirements are met when dealing with a complaint and this policy must be read in conjunction with these requirements.

Care Quality Commissions Fundamental Standards

[Regulation 20: Duty of Candour \(March 2015\)](#)

The Duty of Candour is a statutory (legal) duty for all care providers to be open and honest with people who use services (and people acting lawfully on their behalf), and stipulates specific requirements providers must follow when something goes wrong in care and treatment, that appears to have caused or could lead to significant harm in the future.

Such specific requirements include informing people about the incident, providing reasonable support, giving truthful information, and apologising when things go wrong. Providers must promote a culture that encourages candour, openness, and honesty at all levels.

Failure to comply with the duty of candour, may result in regulatory action from the CQC and, in the most serious or persistent cases, criminal prosecution.

Children's Act 2002

[Section 29: Additional Functions of Governing Body](#)

Under Section 29 of the Education Act 2002 Governing Bodies are required to have in place a procedure to deal with all complaints relating to their school and to any community facilities or services that the school provides. Complaints are not restricted to parents or carers of current pupils; they could also come from a member of the wider community or an ex-pupil.

The law also requires that the school's procedure is publicised, and the Governing Body must decide the most effective way to do this.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 8 of 20

The Fundraising Regulator

The Fundraising Regulator is the independent regulator of charitable fundraising in England, Wales, and Northern Ireland.

The Fundraising Regulator deals with complaints about fundraising in England, Wales and Northern Ireland, and fundraising in Scotland where it is carried out by charities registered primarily with the Charity Commission for England and Wales or the Charity Commission for Northern Ireland.

Where a complaint cannot be resolved by the organisation the Fundraising Regulator will investigate. The Regulator will consider whether the fundraising organisation has complied with the [Code of Fundraising Practice](#) (the code), which outlines the legal requirements and best practice expected of all charitable fundraising organisations across the UK.

If a complaint alerts us to possible abuse or neglect, we will deal with this through our safeguarding policies and procedures.

If concerns are raised about unsafe practices or the conduct of others in the organisation, individuals will also be directed to our 'Whistleblowing Policy' which sets out the ways in which individuals may raise such concerns and how those concerns will be dealt with.

2. Sharing a compliment

Please share positive experiences with us and tell us when we have exceeded expectations. It would be ideal to speak to the Manager of the service or their Deputy as soon as possible, complete one of our feedback postcards located in our Residential Services or use the email address comments@percyhedley.org.uk, which is managed centrally and shared with the local services as appropriate.

3. Making a suggestion or comment

Often people feel more comfortable about suggesting improvements rather than complaining formally. Anyone receiving services, and their friends/family, may make a suggestion or comment. You can speak to the Head or Manager of the service or their Deputy, complete one of our feedback postcards located in our Residential Services, use our suggestion boxes or if you would rather make your suggestion electronically, by using the email address comments@percyhedley.org.uk. This email address is centrally managed, suggestions will be forwarded to the specific service area as necessary.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 9 of 20

4. Making a complaint

We aim to handle complaints quickly, effectively and in a fair and honest way. We take all complaints seriously and use valuable information from investigating to help us improve the service we provide. Feedback is important to help us raise standards and all parties should feel that any concern can be voiced and taken seriously. We treat all complaints in confidence.

The Percy Hedley Foundation assures service users and their families that it will not withdraw or reduce services because someone makes a complaint in good faith.

The complaints procedure will:

- Encourage resolution by informal means
- Be easily accessible and publicised
- Be simple to understand and use
- Be impartial and non- confrontational
- Ensure a full and fair investigation of the issues raised
- Respect confidentiality
- Ensure swift responses within time limits
- Feed into senior leadership discussions and quality monitoring processes

5. Who can complain?

Anyone affected by the way the Percy Hedley Foundation provides services can make a complaint including members of the public.

A representative may complain on behalf of the affected person if they:

- cannot make a complaint themselves, or
- have given consent for the representative to act on their behalf, or
- have died and you are raising a complaint on their behalf.

Representatives include: advice organisations, local authorities, professionals such as social workers, community nurses, doctors, solicitors, family members or friends; MP's and elected members of the Council; and those with Power of Attorney are legally empowered to act on behalf of the complainant.

If you are not happy about making a complaint yourself and you do not know someone who can talk or write to us on your behalf, we will be happy to find someone to act as an advocate for you.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 10 of 20

6. How you can make a complaint

You can complain:

- in person
- via our feedback postcards and suggestion boxes
- in writing addressed to:
For the attention of Head of Quality and Compliance
Percy Hedley Foundation
Station Road
Forest Hall
Newcastle upon Tyne
NE12 8YY
- by telephone
- through an advocate or representative
- by e-mail to complaints@percyhedley.org.uk or your local contact in the service. Should the complainant wish to obtain further information/support regarding the methods/options of communication of their complaint, such queries should be forwarded to the Head of Quality and Compliance in the first instance.
- Note: this email is manned centrally and accessed by a small number of staff, however any details should be kept to a minimum to ensure appropriate confidentiality.

7. Anonymous complaints

We deal with anonymous complaints under the same procedure; however, it is better if you can provide contact details so we can tell you the outcome of our investigation.

8. Responsibility

The service Leadership Team (Registered Manager, Deputy Head Teacher of school, or Duty Principal of college) would normally be the first point of contact for dealing with all complaints (Stage 1) made about their service and they should seek to solve the problem immediately wherever possible.

If a complaint is directly related to the individual Registered Manager, Head Teacher of school, or Principal of college, refer to section 9 of this policy which outlines the escalation process to the relevant Service Director/Chief Executive.

9. How we handle complaints

9.1 Informal Complaints or resolving concerns (Stage 1)

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 11 of 20

Most issues and complaints can successfully be dealt with informally and it enables us to respond as early as possible and we encourage this approach.

An informal complaint is an approach by an individual or on behalf of an individual to a member of that specific services' leadership team/registered manager, expressing dissatisfaction with some aspect of the service, its action or inaction. Informal complaints, however made, are complaints which are usually resolved quickly and simply and do not involve detailed or lengthy investigation.

If the complaint is justified, this will result in an apology, an explanation, an admission that the situation could have been handled differently or an assurance that the incident will not reoccur.

A response should be provided within a maximum of ten working days from the date the complaint/concerns was received. If we are unable to respond within the timescale, we will explain any reasons for the delay.

Anyone making an informal complaint will be given information regarding follow-up procedures, in the event that they are dissatisfied with the outcome of their initial complaint/concern and wish to take the matter further through the formal complaints process. Managers may also choose to escalate the complaint at any time.

9.2 Formal Complaints (Stage 2)

A complaint becomes formal when the person remains dissatisfied after making an informal complaint/concern or, alternatively, when from the outset, a complaint cannot be dealt with simply and quickly and requires investigation.

The formal complaint should be sent in writing marked 'Formal Complaint' to the specific services' senior manager (Head of Service/Head Teacher/College Principal), providing instruction on the preferred method of response (i.e. phone call, email, etc).

A written acknowledgement (Appendix 2) of the complaint will be provided within two working days, with a target date of 15 working days to provide a response.

If it is not possible to resolve matters in this timescale an explanation will be given with revised dates. The Senior Manager scheduled to hear the complaint will appoint the most appropriate independent person to undertake an investigation into the complaint. The findings of this investigation will be made available to the Senior Manager prior to hearing the formal complaint.

When a complaint becomes formal, care will be taken to:

- Clarify the complaint.
- Clarify the outcome sought.
- Give the complainant the name of the person dealing with the complaint
- If the complaint is being made on behalf of an individual by a representative it must first be verified that the person has permission to speak on behalf of the individual,

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 12 of 20

especially if confidential information is involved. This **MUST** be done in writing, with confirmation of the representative's identity and relation to the individual.

It is very easy to assume that the representative has the right or power to act on behalf of an individual when they may not. If in doubt, it should be assumed that the individuals' explicit permission is needed prior to discussing the complaint with the advocate.

- Check whether the complainant needs support of any kind to understand the investigation procedure.
- Monitor the progress of the complaint by the involvement of a suitable Senior Manager of the Percy Hedley Foundation.
- Provide a full response in the agreed medium within 15 working days or, where this is not possible, send a preliminary reply indicating progress to date and an estimate of time to make a full response.
- When we have finished investigating, we will arrange to meet with you to discuss the outcome and/or write to you with:
 - details of the findings;
 - any action we have taken; and
 - our proposals to resolve your complaint.

At this arranged meeting, the complainant should be advised that they may, if they wish, bring a friend, relative or a representative such as an advocate.

- Advise the complainant how to proceed if not satisfied.
- If legal action is implied, threatened or formally commenced at this stage, any response to the complainant by the Foundation under the complaint's procedure should cease immediately, however the investigation will continue internally.

9.3 Formal Complaints (Stage 3)

If the complainant feels that the complaint/concern has not been satisfactorily resolved at Stage 2, they can request that the complaint is reviewed at Service Director level or Chief Executive level for Education Services complaints.

At this stage, the complaint will be passed to the Service Director/CEO. The request for Service Director/Chief Executive level review should be acknowledged (see Appendix 2) within five working days of receiving it. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.

The Service Director/Chief Executive may investigate the facts of the case themselves or delegate a suitably senior person to do so. This may involve reviewing the paperwork of the case and speaking with the person who dealt with the complaint at Stage 1 and/or Stage 2. The person who dealt with the original complaint at Stage 1 and/or Stage 2 should be kept informed of what is happening.

If the complaint relates to a specific person, they should be informed and given a further opportunity to respond. Ideally complainants should receive a definitive reply within a month. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 13 of 20

full reply will be given. Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint. The decision taken at this stage is final, unless the Service Director/Chief Executive decides it is appropriate to seek assistance with resolution from the Chief Executive, Governing Body or Chair.

9.4 Formal complaints to a Governing Body

If the Governing Body or Chair receives a complaint directly, they should consult the Service Director, Head Teacher, College Principal or Chief Executive. They will agree the next steps which will be in line with the above formal complaints process. It is important to ensure that earlier stages of the process and steps to resolve the complaint have been exhausted.

9.5 Serious Maladministration

A complaint of serious maladministration should be progressed immediately as a formal complaint.

The Chief Executive of The Percy Hedley Foundation should be the first person to approach where the matter could involve disciplinary or legal action against Senior Managers or if there is any suspicion of financial irregularity.

If the complaint relates to the actions of the CEO the complaint should be raised with the Chair of the Foundation.

9.6 Organisational learning

Summary details of all complaints, the outcomes of any investigations, any shortcomings in the establishment's procedures and identified actions will be considered by the Percy Hedley Foundation's Executive team and relevant committees including Governing Bodies.

9.7 Time limits

You should complain as soon as you can after the date on which the event occurred or came to your notice. If you complain more than 12 months later, we may not be able to investigate properly. But we shall also consider whether you had good reason for not making the complaint sooner and whether, despite the delay, it is still possible to investigate the complaint effectively and fairly.

10. Withdrawing a Complaint

Complaints may be withdrawn in writing at any time. The complainant must communicate the decision to do so via the same process as making the complaint in the first place. Or, if

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 14 of 20

the complaint has progressed and the complainant is dealing directly with a named person, communication to withdraw can be given to that Foundation representative.

If a complaint has been withdrawn, the Head Teacher, College Principal, Head of Service, Directors and/or Chair of Governors/Board may wish to review the issue of concern and consider whether further investigation is required through other internal management systems.

Occasionally the Foundation may regard the complaint as unreasonable when the person making the complaint:

- Repeatedly makes the same complaint and refuses to accept the findings of the investigation into that complaint
- Seeks an unrealistic outcome
- Has a history of making unreasonable complaints
- Makes frequent, lengthy, complicated, and stressful contact with staff regarding the complaint.

A complaint will also be considered unreasonable if it is:

- Malicious
- Aggressive
- Includes threats, intimidation, or violence
- Abusive, offensive or uses discriminatory language
- Knowingly false.

In these circumstances, the Head Teacher, College Principal, Head of Service, Director and/or Chair of Governors/Board may wish to liaise with legal services, police and/or the LA key personnel before deciding what action to take.

The presumption should be in favour of not restricting access to our services unless it is absolutely necessary. The Foundation may consider:

- Warnings/contract re future conduct
- Restricting telephone calls to a particular day/time or person
- Restrictions on methods of contact (e.g. in writing only)
- Not acknowledging future correspondence that does not present new information
- Temporary suspension of the person's access to the complaints system.

The complainant will be informed in writing of any action taken and how long the action will last. They must be advised how to contact the Local Government Ombudsman and/or the Charity Commission.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 15 of 20

11. Further steps

At any stage during the process, if you are not happy with the way the service is dealing with your complaint you can contact:

Head Teacher of School or Principal of College - any issues (including safeguarding) within school and college services at the three locations.

Registered Manager – any issues (including safeguarding) within Children’s or Adults Residential services, at all locations

Chief Executive Officer - for any overall Foundation matters or any issues within school and college services that have not been dealt with by a Head Teacher of School or Principal of College.

Director of Residential Care and Safeguarding – for any matters or issues within Children’s or Adult’s Residential Services (including Safeguarding) which have not been dealt with by the Registered Manager.

Director of Resources – any matters or issues relating to financial, legal or business-related issues, fundraising events or activities, or Foundation-wide Estates, Facilities, and IT.

Director of Business Development, Quality and Performance - any matters or issues relating to Human Resources, Health & Safety, social media presence and communications, or data, quality, and compliance.

All communications can be directed to the above Foundation representatives at:

Percy Hedley Foundation
Central Services
Station Road
Forest Hall
Newcastle upon Tyne
NE12 8YY

Or via e-mail: complaints@percyhedley.org.uk

12. Unresolved Complaints (Appeal Stage)

The documentation relating to the complaint will be passed to the Chief Executive of The Percy Hedley Foundation who will decide how the complaint is to be progressed.

The Chief Executive will ensure all parties to the complaint are given an equal hearing and will work towards finding a mutually acceptable way forward.

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 16 of 20

There will be occasions when, despite all stages of the complaint procedure having been followed, the complainant remains dissatisfied. If a complainant tries to re-open the same issue, the CEO can inform them that the procedure has been completed and that the matter is now closed.

The Foundation is committed to dealing with all complaints fairly and impartially, and to providing a high-quality service to those who complain. However, we do not expect our staff to tolerate unacceptable behaviour and will take action to protect staff from that behaviour, including that which is abusive, offensive, or threatening. In response to any serious incident of aggression or violence, the concerns and actions taken will be put in writing immediately and the police informed

13. Reporting

Tracking and reporting on complaints will be done routinely with reporting to the Executive Team, Governing bodies, and Board of Trustees on a regular basis.

External bodies such as Ofsted, Care Quality Commission, Charity Commission, Health and Safety Executive, Information Commissioners Office (or other similar regulatory bodies) will be informed as required, given the complaint raised and as detailed in other Foundation policies.

14. Data Retention

Details of complaints will be stored and retained in line with the Data Protection Act 1998 and/or the General Data Protection Regulations, as applicable, and the Foundations Data Retention Policy.

The retention of complaints received will be dependent on the type of complaint and severity, sensitivity, and complexity. The Foundation’s Data Retention Schedule is available upon request from the Foundation’s Data Protection Officer, contactable via email at dpo@percyhedley.org.uk.

15. Monitoring and Compliance

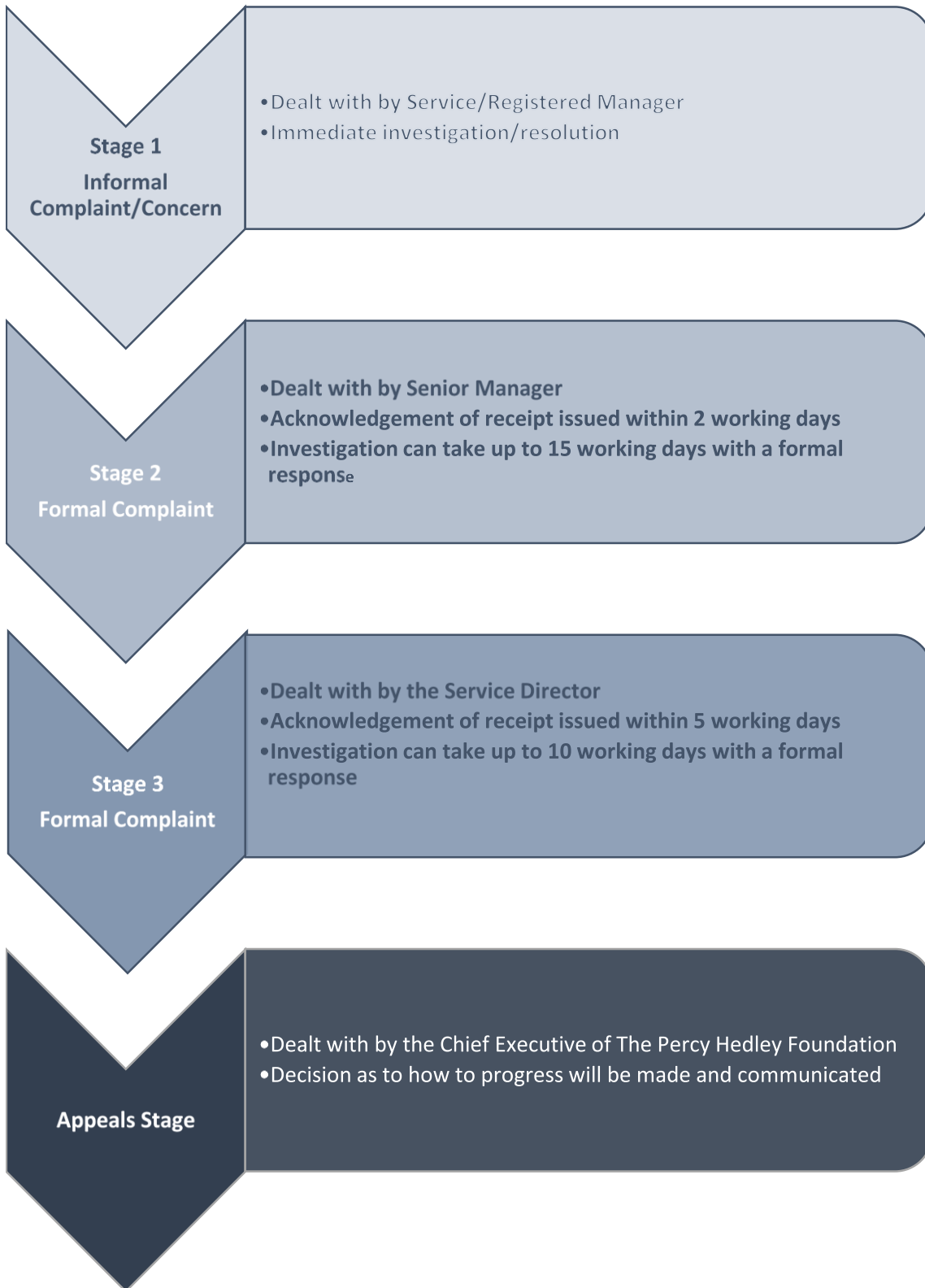
Overall responsibility for the operation of the policy lies with the Director of Business Development, Quality and Performance. The effectiveness of the policy will be formally reviewed and monitored to ensure that it continues to meet the requirements of The Foundation, the specific service area and that it reflects best practice and statutory legislation as appropriate.

Any queries regarding this Policy should be forwarded in the first instance to the Foundations Head of Quality and Compliance via the email address complaints@percyhedley.org.uk

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 17 of 20

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 18 of 20

Appendix 1 – The Process



Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 19 of 20

Appendix 2 – Acknowledgement Letter Template *(to be formatted on letterhead)*

Name *(insert)*
Address *(insert)*
Address

Date *(insert)*

Dear *(Insert name of person making complaint)*

I am writing to confirm receipt of your complaint regarding *(insert outline of complaint)*

We are currently investigating the circumstances surrounding the issue(s) and we will be in touch no later than *(insert date as per policy guidelines)*.

Thank you for letting us know of your concern, and for your patience while we explore this matter further.

If you have any questions or would like to discuss the complaint further, please contact *(insert name, position, contact details)*.

Yours sincerely

Policy: Compliments, Comments & Complaints Policy	Issue date: February 2021	Version No: 4.0
Status: Final	Review date: February 2023	Page 20 of 20