



Meeting of Trustees

September 2018

Title of Paper	Compliments and Complaints Policy
Purpose	<p>This paper is an amended copy of the Compliments and Complaints Policy incorporating feedback on the draft document presented in November</p> <p><i>(This new policy was discussed at the Finance, Audit and Investment Committee in November and a summary of their discussion is included in the Summary below)</i></p>
Summary	<p>This a relatively new policy that was developed based on relevant regulatory guidance and some examples from other charities. Some minor amendments have been made to ensure compliance with all points required by the Fundraising Regulator.</p> <p>This policy applies to all functions within the Charity, ie grant making, fundraising and support functions although it is particularly important that it addresses the regulatory requirements affecting fundraising eg the Fundraising Regulator's Code of Fundraising Practice; the Advertising Standards Authority Codes of Advertising Practice and, if or where relevant, the ICO's regulations on electronic communications and data protection and the Charity Commission rules on reporting Serious Incidents.</p> <p>The purpose of such a policy is to ensure that we can respond consistently and well to service issues which have been highlighted by stakeholders and ensure that we put in place any solutions as soon as possible.</p> <p>The policy also encourages reporting of compliments which can be used to understand more about what stakeholders value in our services and also increase staff morale and job satisfaction.</p> <p>It is important that the policy includes procedures aimed at both:</p> <ul style="list-style-type: none"> a) our staff- so that they know what to do when responding to a complaint; and also b) potential complainants - explaining how they can make a complaint and how it will be dealt with. <p>Procedure will be displayed on our website.</p>
Required action	<i>Trustees are asked to approve the policy which includes some minor amends to ensure compliance with the Fundraising Regulator requirements</i>
Author	Claire Wood Hill
Date	12 th July 2018

Policy Document - Summary Information	
Title	Compliments & Complaints Policy (Including complaint initiation and response procedures)
Purpose:	
Author:	Claire Newton
Individuals consulted in developing policy	Claire Wood Hill – Director of Fundraising & Communications
Responsible Director:	CEO
Approved by:	
Date approved:	[December 2017]
Next Review date:	July 2019
Target Audience:	All staff and volunteers and organisations contracted to provide services to the Charity who may engage with the Charity's supporters
Location of document:	S:/policy&prodcedures
Related internal policies	Whistle blowing, [Incident reporting]
Relevant external regulations or guidance	<p>Fundraising Regulator: Code of fundraising practice and the Fundraising Promise & Complaints handling guidance for charities and third party fundraising organisations</p> <p>Advertising Standards Authority: For complaints about marketing communications</p> <p>Charity Commission:</p> <ul style="list-style-type: none"> - Complaints which may also be categorised as serious incidents - CC20 requirement that Trustees monitor the number of fundraising complaints including complaints about third party sub-contractors.

VERSION CONTROL

	Date	Author	High level description of major changes
First Version	November 2017	Director of Resources	
Second Version	September 2018	CWH Director of FR & Comms	Amended response timescales



1 Our Commitment

- 1.1 The Trustees of King's College Hospital Charity (the Charity) aim to provide a high-quality, responsive service in supporting grant making and fundraising in order to benefit the patients of King's College Hospital. We need to take account of the views and wishes of those we engage with, demonstrate openness and transparency in acknowledging issues and be responsive and "customer focused" in resolving issues.
- 1.2 Maintaining a "Compliments and Complaints" policy and publicising a clear procedure to enable stakeholders to make complaints is essential in particularly in fundraising. This includes a clear and effective process for investigating, resolving and responding to complaints. Sharing details of compliments is also a key strand of improving what we do as well, illustrating positive experiences.
- 1.3 In responding to complaints we wish to comply with best practice principles of good complaint handling including ensuring that:
- the complaints procedure is **accessible** and **well publicised** both externally and internally
 - complaints will be responded to in a **rapid** and **sensitive** manner
 - responses are **open** and **transparent**
 - the complaints procedure is **supportive** of those who may find it difficult to complain
 - the feedback is used to ensure **continuous improvement** in the way we work

2 Purpose

- 2.1 The purpose of this policy is to provide a framework and set out procedures to enable stakeholders to understand how to provide feedback on how well or badly we have performed and receive an appropriate response.
- 2.2 It is also to ensure that all staff and volunteers (including third party contractors) understand how to receive, respond, investigate and report both compliments and complaints and how the Charity will ensure that the organisation learns from the feedback.

3 Definitions

- 3.1 **Complaint:** A complaint is defined as an expression of dissatisfaction (written or verbal) about an experience of the Charity or a service provided or which is not provided, which requires a response. Examples include: complaints about the quality of service provided, the following of standard procedures and good practice, poor communication and the attitude or behaviour of a member of staff.
- 3.2 A **Complainant:** is the person making the complaint, whether on behalf of themselves or another.



- 3.3 **Recordable compliment:** Expressions of appreciation by letter, card, gift or donation or through conversation. Letters of appreciation / compliments should be filed in the central complaints and compliments folder, which is managed by the Director of Resources, for the appropriate period.

4 **Explaining to Stakeholders how to provide feedback**

A procedure which is publicised on our website and made available to stakeholders as requested is attached as an appendix A.

5 **Guidance for Staff**

- 5.1 All staff should be aware of the process by which members of the public can provide feedback through complaints or compliments (See Appendix A). [This process is also published on our website.]
- 5.2 All direct contacts with members of the public should be dealt with courteously and in a timely manner.
- 5.3 If the complaint is received by telephone, the following data should be collected immediately and passed to the line manager of the department receiving the complaint. (See “complaints form” in the FORMS shared folder):
- Name, address, telephone and email contact details of the individual making the complaint/compliment
 - Nature of the compliment/complaint including key dates
 - Nature of any remedial actions proposed by the complainant
 - Date of the notification
 - Action(s) taken/initial response provided.
 - Details of commitments to provide a fuller response (please note we aim to acknowledge such contacts immediately and provide a detailed response within 5 working days or to update the complainant within that timescale if a full response is not possible).
 - Name of staff who received the complaint or compliment
 - Confirmation that the complainant has confirmed that they understand that their personal data will be accessed by individuals involved in investigating the complaint.
- 5.3 If the complaint is received electronically or through the post, a contact should be made in the most effective way possible to elicit the above information.
- 5.4 All line-managers are responsible for assessing complaints and passing on the complaint, where appropriate to an independent member of the charity team in a different department to investigate. If their department uses third party contractors with contact points with members of the public the manager is also responsible for ensuring that contractor agrees to notify the Charity of any complaints received with sufficient detail to enable investigation and response and that this is requirement that is detailed within the contract.



- 5.5 All line- managers are also responsible for maintaining systems for tracking the status of complaint investigations, responses and that the defined response times have been met.
 - 5.6 On a monthly basis a report on the nature and status of all open complaints and references for all complaints closed in the month should be passed to the Department Director who is responsible for maintaining detailed records of complaints and providing summary information to the Board.
 - 5.7 The Board will receive information at each meeting on the number of complaints and compliments received in a quarter and brief details on the type of complaint and how it was resolved and what has been learned. Specific details which may identify individuals, be they complainant or staff, will be kept strictly confidential.
 - 5.8 Any member of staff identified as being the subject of, or contributing to any matter giving rise to the compliment will be notified within three working days. Feedback on compliments will be shared with employees at appropriate timings.
 - 5.9 Where a complaint may lead to a PR issue or a financial loss/ claim for reimbursement, or a further complaint to any of the regulatory bodies listed at the front of this policy the relevant Director must be informed immediately following notification together with the CEO and Director of Fundraising & Communications.
 - 5.10 Regular reviews of complaints and compliments received will be made by the Senior Team (Chief Executive, Director of Fundraising & Communications and Director of Resources) to ensure that learning is communicated back to all staff and that any changes in the way operations are carried out are implemented.
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APPENDIX A

PROCEDURE TO EXPLAIN TO THE PUBLIC HOW TO MAKE A COMPLAINT

King's College Hospital Charity aims to maintain high standards in all of its work but we recognise that we can sometimes get things wrong, despite our best intentions. Without your feedback on these occasions we would not be able to improve the service we offer to you in the future, and therefore we value and take seriously any feedback you provide.

Your personal information: If you use our complaints procedure, you are agreeing that we can use any personal information you send us for purposes connected with your complaint. We will only give your personal information to other people and organisations if you have given us permission to do so. If you are able to give this permission when you contact us with details of your complaint, this can help us to start the investigation quickly.

The information below outlines our complaints procedure.

1. First Stage

If you wish to make a complaint please contact us by telephone, email or post using the contact details below. To help us investigate and address all complaints, we ask you to provide us with as much information as possible.

- The reason for your complaint
- Where and when what you're complaining about happened
- The name(s) of anyone involved (if known)
- What outcome you are hoping for
- Your contact details (name, address, daytime telephone number and/or email)
- You can telephone our Supporter Services team on 0203 299 1391 or email info@supportkings.org.uk

If you would prefer to write, please send your complaint to:

Supporter services
 King's College Hospital Charity
 PO Box 74160
 London
 SE5 5JU

We will try to address your complaints as quickly as possible and let you know by which time we aim to do this, however if we cannot do this, for example if we need to investigate further, we will acknowledge your complaint within the following timescale:

- Either immediately or on the same day of receipt if telephoned on the number above
- Within the working day of receipt if you contact us by email address above
- Within five working days from the date of receipt if you send us a letter to the above address



You will be given the name of the staff member dealing with your complaint and when they will next contact you either with a proposed resolution or update.

2. Second stage

If, for any reason, you are not happy with the resolution of your complaint, you can bring this to the attention of our Director of Fundraising and Communications.

Please set out clearly in writing (or in an email to info@supportkingsorg.uk) the details of the complaint, explaining why you were not satisfied with our response and what you would like us to do to put things right.

We will send an acknowledgment within three working days and personally investigate your complaint and respond within 15 working days.

3. Third stage

If you are still not satisfied with our response and wish to take your complaint further, please inform our Supporter Relations team within 28 days of receiving our reply using the contact details in Section 1.

Your case will then be passed to the Chief Executive who will further investigate your complaint and will contact you with their conclusions and any actions to be taken.

You can expect this to take a further 15 working days from the date on which we receive your letter or email.

4. Taking your complaint outside King's College Hospital Charity

If your complaint is about our fundraising work or activities and you are not satisfied with our response, you can take the matter to the Fundraising Regulator. This is the independent regulator of charitable fundraising that works to ensure that organisations raising money from the public do so honestly and properly. We are registered with the Fundraising Regulator and have agreed to adhere to the highest standards of good practice and their Fundraising Promise and are committed to abiding by any decision they reach on complaints that are escalated to them.

You can read the Fundraising Promise on the [FR website](#). You are entitled to take your complaint directly to the FR. Their contact details are: Fundraising Regulator, 2nd floor, CAN Mezzanine Building, 49-51 East Road, London, N1 6AH. Telephone: 0300 999 3407. Email: enquiries@fundraisingregulator.org.uk

If your complaint is about any other aspect of our charitable work, you may wish to contact the Charity Commission:

Charity Commission Direct
PO Box 1227
Liverpool



L69 3UG

Tel: 0845 300 0218

Website: www.charity-commission.gov.uk

5. Follow up

In order for us to improve the service we provide, we may wish to contact you within a month of your complaint being dealt with in order to check that you were satisfied with our resolution. Any information you give will only be used to ensure that we provide the best possible service we can.
