



Enable Ireland

COMMENTS, COMPLIMENTS, CONCERNS AND COMPLAINTS POLICY & PROCEDURE

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1.0 Purpose

The purpose of this Comments, Compliments, Concerns and Complaints Policy & Procedure is to provide a framework for the guiding principles and statutory requirements of the management of stakeholder feedback for comments, compliments, concerns & complaints in Enable Ireland. It allows for the comments, compliments, concerns & complaints of each service user/owner, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public to be listened to and acted upon in a timely and cost-effective way that can lead to service improvement and strengthen confidence in the organisation.

All feedback in relation to Enable Ireland's actions and practices is welcome in the interest of continuous quality improvement.

For a full list of definitions including comments, compliments, concerns and complaints, please refer to **Appendix 1**.

The Health Act 2004 defines a complaint as:

"A complaint means a complaint made about any action of the Executive, or a Service Provider that, it is claimed does not accord with fair or sound administration practice and adversely affects the person by whom, or on whose behalf, the complaint is made".

Recognition of a complaint: A complaint is a statement of dissatisfaction or indication that something is unsatisfactory or unacceptable to the complainant. A person may express dissatisfaction with actions or omissions by Enable Ireland where often the word "Complaint" is not used. Where dissatisfaction is expressed, the matter requires discussion in the first instance to ascertain the most timely and effective response. It is important that Enable Ireland personnel recognise and follow up on such statements as a matter of priority.

This policy is drawn from the HSE Complaints Framework for Enable Ireland's potential complaints of every aspect of our service and business. The *HSE Your Service Your Say (YSYS) – The Management of Service User Feedback for Comments, Compliments and Complaints Policy and Procedure 2017*. This policy has been adapted by Enable Ireland and made specific to our organisational setting and context. This framework also includes details of the important role of staff members in responding to complaints and any supports required in the complaint management process.

1.1 Scope

This policy is for use by service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public. It is not for use by staff who have a concern or grievance as this is dealt with through the Enable Ireland Grievance Policy & Procedure. It is not for use either by students whose complaints can be addressed under the Secondary School Transition Year Placement Policy or the Third Level Student Placement Policy, and Graduate Therapy Policy. In the event that a person is unable to make a complaint themselves, they have the right to appoint an advocate who can assist them in making a complaint.

1.2 Exclusions to this Policy

A complaint is excluded under Part 9 of the Health Act 2004 if it is in relation to any of the following matters;

- a matter that is or has been the subject of legal proceedings before a court or tribunal,
- a matter relating solely to the exercise of clinical judgment by a person acting on behalf of either the Executive or a service provider,
- an action taken by the Executive or a service provider solely on the advice of a person exercising clinical judgment,
- a matter relating to the recruitment or appointment of a staff member by the Executive or a service provider,
- a matter relating to or affecting the terms or conditions of a contract of employment that the Executive or a service provider proposes to enter into (includes terms or conditions relating to superannuation benefits, disciplinary procedures or grievance procedures),
- a matter relating to the Social Welfare Acts,
- a matter that could be the subject of an appeal under Section 60 of the Civil Registration Act 2004,
- a matter that could prejudice an investigation being undertaken by An Garda Síochána,
- a matter that has been brought before any other complaints procedure established under an enactment (e.g. Complaints made under Part 2 of Disability Act, 2005 or the Mental Health Act 2001).

In accordance with Part 9 of the Health Act 2004 a Complaints Officer shall not investigate a complaint if;

- a) the person who made the complaint is not entitled under Section 46 to do so either on the person's own behalf or on behalf of another,
- b) the complaint is made after the expiry of the period specified or any extension of that period allowed. Further information is detailed in this policy under Section 5.2 'Summary of Deadlines for Dealing with Complaints'

A Complaints Officer may decide not to investigate or further investigate an action to which a complaint relates if, after carrying out a preliminary investigation into the action or after proceeding to investigate such action, that officer is of the opinion that;

- a) the complainant does not disclose a ground of complaint as outlined in Section 46, Part 9 of the Health Act 2004,
- b) the subject-matter of the complaint is excluded by Section 48 of the Health Act 2004,
- c) the subject-matter of the complaint is trivial, or
- d) the complaint is vexatious (see [HSE Policy](#) on Vexatious Complaints) or not made in good faith, or
- e) is satisfied that the complaint has been resolved.

2.0 Our Commitment to Effective Management of Complaints

Enable Ireland recognises that complaints may be presented and must be heard in a variety of formats most convenient to the complainant.

Enable Ireland management and staff are required to listen carefully to any statement of dissatisfaction or indication that something is unsatisfactory or unacceptable to the complainant. Where dissatisfaction is expressed, the matter requires discussion in the first instance to ascertain the most timely and effective response. **It is important that Enable Ireland personnel recognise and follow up on such statements as a matter of priority.**

Enable Ireland commits to safeguarding the rights and dignity of service users/owners, parents/guardians, staff, carers, advocates, customers, volunteers, other agencies and members of the public in the implementation of this policy by ensuring that:

1. The feedback process is accessible, flexible and responsive to the needs of our service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public.
2. Through a 'no wrong door' approach i.e. it is the relevant staff member who is responsible for routing the complaint to the appropriate stage for resolution rather than the complainant.
3. A person may express dissatisfaction with actions or omissions by Enable Ireland where often the word "Complaint" is not used
4. An environment which encourages and enables our complainants to give feedback is provided and promoted.
5. An environment which safeguards the rights of complainants and where those who provide feedback are listened to and treated with dignity, courtesy and empathy is provided and promoted.
6. A culture is promoted in which both the complainant and Enable Ireland to have an equal voice and are considered of equal importance in the feedback process.
7. Feedback is responded to, and complaints are investigated thoroughly in an open, honest and transparent manner.
8. Communication with complainants is maintained during the feedback process.
9. Complainants are involved in and informed of the outcomes of their feedback.
10. When failures are identified, these are acknowledged to the complainant, an apology is provided and action taken where appropriate.

11. Complainants and staff members involved in complaints are provided with support throughout the complaints management process. In the first instance, the member of staff will be informed of the complaint and given a right to reply and advised as to what support is available in this process (**please see comprehensive details on Staff Support in Section 8.0**).
12. Management and staff have the knowledge and skills to effectively manage feedback.
13. Learning from feedback is identified and appropriate action is taken to share this learning and to reduce the likelihood of a reoccurrence of the same event(s). This learning is shared with the complainant and staff.
14. The learning from feedback informs service planning and quality improvement programmes within Enable Ireland.
15. The feedback process complies with obligations in relation to confidentiality, Data Protection and Freedom of Information.

3.0 The 5 Principles Governing Enable Ireland's Management of Stakeholder Feedback

Natural justice and fairness underpin Enable Ireland's complaints management system.

1. Enabling feedback to all relevant parties
2. Listening and responding to feedback
3. Supporting stakeholders i.e. service users/owners, parents/guardians, staff carers, advocates, customers, other agencies and members of the public in providing feedback
4. Supporting staff to receive and manage feedback (**please see comprehensive details on Staff Support in Section 8.0**).
5. Learning, improvement and accountability



3.1 Principle 1: Enabling Feedback

- i. Feedback from stakeholders is encouraged.
- ii. Information is made widely available to service users/owners explaining how to provide feedback as outlined in the complaints process (**please see comprehensive details in Sections 4.0, 5.0, 6.0 and 7.0**).
- iii. There are multiple referral points which are actively promoted to service users/owners, and which are user friendly.
- iv. The feedback process is easy for all service users/owners to use, and the necessary supports provided to assist them within this process.
- v. Positive feedback i.e. compliments, are also encouraged and recorded so that Enable Ireland can capture good practice.
- vi. Staff are empowered to receive complaints and to view them in a positive way and as a means of improving relationships, learning and making positive changes which will contribute to safer, better service delivery.

3.2 Principle 2: Listening and Responding to Feedback

- i. Enable Ireland encourages a culture of responsiveness.
- ii. Open Disclosure is adopted within the organisation.
- iii. Staff have a positive attitude towards dealing with feedback.
- iv. Feedback is dealt with in a timely manner.
- v. Communication with complainants is open, honest, transparent and responsive to their needs.
- vi. Each complaint is received and investigated on its merit.
- vii. The needs of both stakeholders and staff are considered within the complaints management process.
- viii. Stakeholders are involved in the complaint management process.
- ix. Stakeholders are informed of the outcome of a complaint, and of subsequent agreed actions which may arise.

3.3 Principle 3: Supporting Stakeholders in Providing Feedback

- i. Stakeholders are given whatever help and support they require to provide feedback.
- ii. A clear process in relation to the management of feedback is communicated to service users/owners.
- iii. Stakeholders are treated with dignity and respect.
- iv. Stakeholders are supported throughout the complaints management process.
- v. Ongoing communication with the stakeholder during the complaint management process is maintained.
- vi. Stakeholders are updated on (i) the learning established, (ii) the actions planned/undertaken by the organisation to prevent a reoccurrence of the issues raised, and (iii) quality improvement initiatives.

3.4 Principle 4: Supporting Staff to Manage Feedback

Staff are supported to recognise feedback and complaints which require action and/or escalation. Please see comprehensive details in Section 8.0 and Section 16.0.

- i. A clear process for managing feedback is communicated to staff.
- ii. Staff across all levels of the organisation are required to be trained in this policy to enable them to deal with complaints at the first point of contact.
- iii. Staff are supported throughout the complaints management process. This means the practical, professional, psychological, emotional and social needs of staff involved in, or affected by feedback are identified and addressed.
- iv. Staff are treated with dignity and respect, compassion and empathy.
- v. Where a staff member is named in the complaint, that staff member will be afforded the right of reply to a complaint against them. Where the staff member requires guidance on responding to a complaint or any investigation process, this will be arranged via a trade union representative or a designated member of the HR team or a named line manager.
If the complaint relates to clinical work, the staff member should liaise with their clinical supervisor and/or head of discipline as appropriate.
- vi. Inform the staff member of the complaint and provide them with a copy of the Comments, Compliments, Concerns and Complaints Policy & Procedure and contact details of a contact support person
- vii. Provide the staff member with the opportunity to provide a preliminary response to the complaint and provided with an opportunity to respond
- viii. Advise the staff member of the steps of the complaints process in each particular case
- ix. Inform the staff member of the conclusions reached following completion of the complaint/investigation process as relevant
- x. Provide the staff member with a copy of the findings of any investigation and afford them of the opportunity to respond to any adverse findings/conclusions.

3.5 Principle 5: Learning Improvements and Accountability

- i. Staff responsible for investigating and resolving complaints are trained in complaints handling.
- ii. Information from feedback including complaints is routinely reported to senior management
- iii. Information on trends identified through feedback is publicly available.
- iv. Lessons learned from complaints are used for system wide learning and improvements.
- v. Findings from complaints are regularly communicated to staff via team meetings.
- vi. Recommendations made and accepted following the investigation of complaints are implemented fully and all relevant persons are informed of this.

The implementation of these five principles will create a culture where feedback is encouraged and allows for stakeholders to make positive comments as well as complaints. These principles are incorporated as a core component of Enable Ireland's way of work and service delivery.

4.0 Feedback/Complaint Management Procedure

4.1 Roles and Responsibilities of Enable Ireland Personnel

Roles and responsibilities underpin the effective implementation of this policy. It is the role and duty of all management and staff to:

- i. Comply with this policy.
- ii. Ensure that this policy is implemented and adhered to by all staff and that the rights and legitimate interests of service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public are protected.
- iii. Promote a culture and attitude that welcomes feedback and supports the effective and timely resolution of complaints received.
- iv. Seek to identify and resolve complaints as early as possible and ideally at the first point of contact. Ensure that information on how to provide feedback and on how to make a complaint is accessible and made widely available throughout Enable Ireland.
- v. Provide an efficient, effective, fair and accessible system for handling feedback from service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public feedback.
- vi. Support stakeholders in the implementation of the Comments, Compliments, Concerns and Complaints Policy & Procedure and supporting guidance.
- vii. Collect data and monitor feedback for the purpose of improving the quality of service delivery.
- viii. **Please see Section 16.0 for a detailed description of individual roles and responsibilities.**

4.2 Summary of Deadlines for Dealing with Complaints

Section 47, Part 9 of the Health Act 2004 requires that a complaint must be made **within 12 months of the date of the action** giving rise to the complaint or within 12 months of the complainant becoming aware of the action giving rise to the complaint.

The time limit for making a complaint may be extended if, in the opinion of the Complaints Officer, special circumstances make it appropriate to do so. These special circumstances may include but are not exclusive to the following:

- If the complainant is ill or bereaved.
- If new relevant, significant and verifiable information becomes available to the complainant.
- If it is considered in the public interest to investigate the complaint.
- If the complaint concerns an issue of such seriousness that it cannot be ignored.
- Diminished capacity of the service user/owner at the time of the experience e.g. mental health, critical/long-term illness.
- Where extensive support was required to make the complaint, and this took longer than 12 months.

5.0 How to Provide Feedback:

You can provide feedback (comments, compliments, concerns or complaints) in the following manner:

- **Option 1:** Talk to a member of staff (first point of contact) who will be able to manage your feedback. Ideally feedback (comments, compliments, concerns and complaints) should first be raised directly with the staff member. This is the **preferred option** as it may help achieve a resolution to a complaint as early as possible. You may also ask to speak to a local service manager or retail manager.
- **Option 2:** Complete the Enable Ireland Feedback Form (see **Appendix 5**) available onsite in our reception areas or online via the '[Feedback and Complaints](#)' section of Enable Ireland's website. The completed form can be left with the reception area of your local service or retail outlet. You may also give it to a member of staff. This option can be used in the event that the complaint cannot be raised through a first point of contact.

6.0 Facilitated Discussion/Mediation:

It is open to the parties with agreement by the complainant and the organisation to arrange/attempt to address concerns or complaints through facilitated discussion/mediation. Mediation provides an opportunity for those involved to address the issues, explore options and reach a workable outcome through a mutually agreeable course of action. This is voluntary and may be considered and agreed by the parties at any stage of the process.

7.0 Stages of Managing Feedback (comments, compliments, concerns or complaints)

- Stage 1- Frontline Informal Resolution at Point of Contact
- Stage 2- Formal Complaint (including Stages 2a and 2b)
- Stage 3- Enable Ireland Internal Complaints Review
- Stage 4- Ombudsman/Children's Ombudsman Review

7.1 Stage 1- Frontline Informal Resolution

7.1.1 First Point of Contact

- Enable Ireland seeks to identify and resolve feedback (comments, compliments, concerns or complaints) as early as possible and ideally at the first point of contact (POC). This means talking to a member of staff who may be able to resolve the concern/complaint immediately.
- The issue of dissatisfaction should be discussed with a view to achieving early resolution. This will happen by way of dialogue with the complainant and Enable Ireland personnel as relevant e.g. support worker, shop manager, therapist, key worker, service co-ordinator etc.
- **Frontline informal resolution is achieved together with the complainant and the first point of contact (POC).**
- Staff who are the subject of a complaint may be able to resolve the issue directly with the complainant in the first instance.
- Where staff have resolved all issues of a complaint whether verbal or written at Point of Contact then a Point of Contact Complaint Resolution Form (see Appendix 6).
- The completed form must be forwarded to their Line Manager.
- Staff should advise service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public, that, following attempts at frontline resolution, they can progress their complaint onto the formal stage if they are not satisfied with the outcome.

7.1.2 First Point of Contact Line Manager:

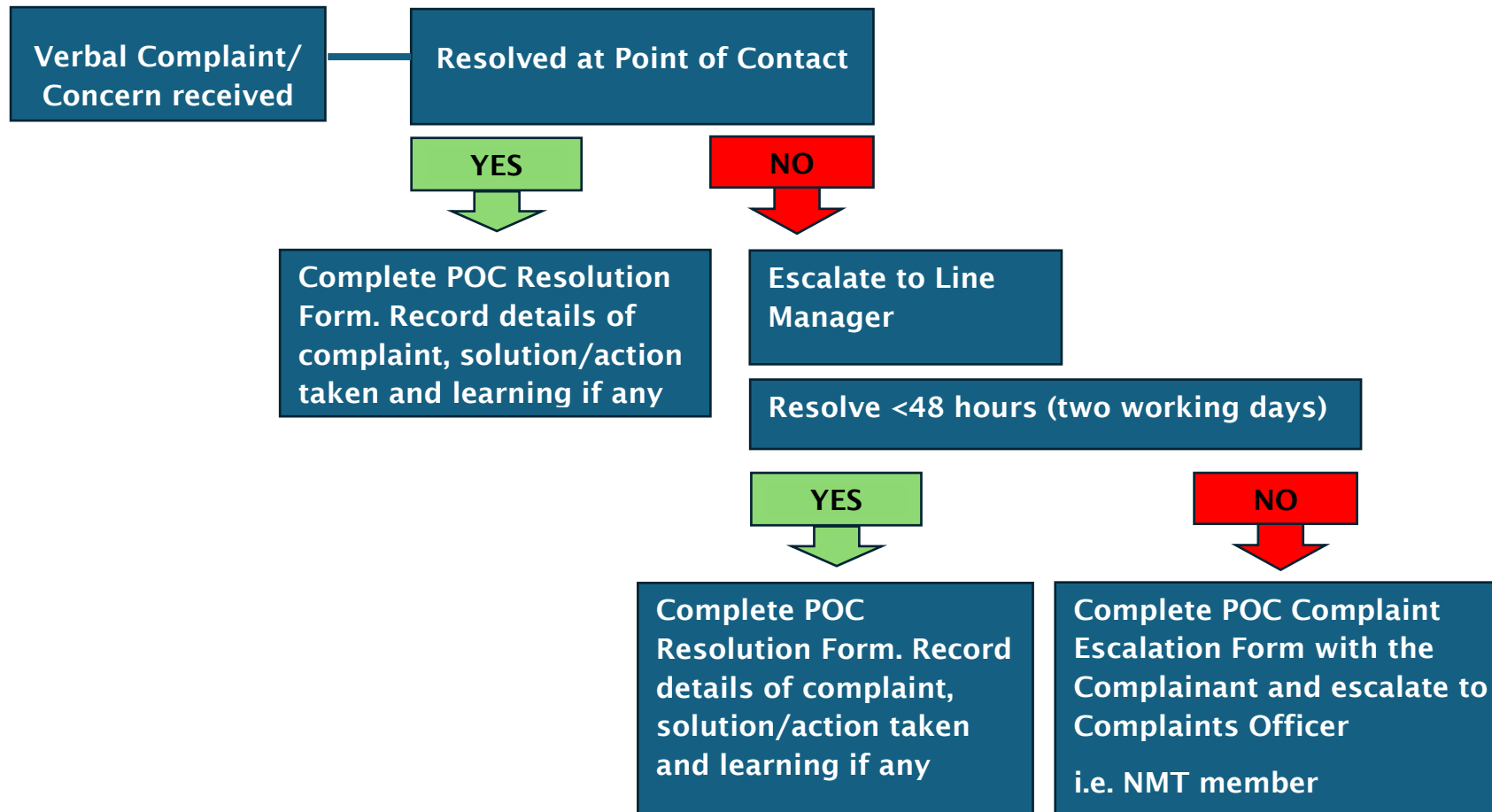
- If it is not possible to resolve the complaint to the satisfaction of the complainant at the first point of contact, they **must** escalate to the line manager prior to the complaint being escalated to the relevant Complaints Officer. If the complaint is in relation to the line manager, it will require escalation to the line manager's direct manager.
- The person receiving the complaint must advise the complainant:
 - Of the reasons why the complaint cannot be resolved at the point of contact.
 - That they will be escalating the verbal complaint to their line manager, who must resolve within (< 48 hours) two working days.
 - If the line manager cannot resolve the verbal complaint, they should complete a Point of Contact Complaint Escalation Form with the Complainant (see Appendix 7) and escalate the matter to the relevant Complaints Officer (see Appendix 3 to identify the relevant Complaints Officer).
 - If requested by the complainant, the staff member or Line Manager may provide assistance to the complainant to make a written complaint
 - The relevant line manager **must** be contacted prior to the complaint being escalated to Stage 2 to the Complaints Officer.

7.1.3 Dealing with a Complaint at First Point of Contact:

Enable Ireland staff should always respond positively and appropriately to anyone who provides feedback, be it, comment, compliment concern or complaint. They should:

- Acknowledge the feedback in an open and honest way, thank the stakeholder for their and demonstrate empathy and understanding if a complaint has been made.
- Be aware of how to recognise feedback (comments, compliments, concerns or complaints) and complaints which require action and/or escalation.
- Establish what the stakeholder expects from providing their feedback.
- Provide reassurance that it has been listened to, understood and then outline how the complaint will be handled beyond this point if they are unable to deal with a complaint personally, at point of contact.
- Provide an apology/explanation where possible and avoid apportioning blame, being argumentative or defensive.

Figure 7.2- Stage 1 – Frontline Informal Resolution



7.2 Stage 2- Formal Complaint (including stages 2a and 2b)

7.2.1. Stage 2a- (Attempt to Resolve by Informal Means)

Complaint Officer Assessment of Complaint

In keeping with the Enable Ireland policy of identifying and resolving complaints to the stakeholder's satisfaction as quickly as possible, the Complaints Officer (or delegate) should first attempt to resolve the complaint **by informal means** before commencing a formal investigative process.

The Complaints Officer should endeavour to contact the Complainant within **<48 hours (two working days)**. Where appropriate the Complaints Officer should offer to meet the Complainant at a mutually agreed appropriate location.

If the matters are resolved following this initial consultation with the complainant (either by phone and/or meeting in person, **within <48 hours**), the following actions should be managed by the Complaints Officer:

1. Provide summary letter to complainant which may include recommendations
2. Record the outcome and learning as a result of the feedback (comments, compliment, concerns or complaints) and provide an update to staff via team meetings.

If the complainant is not satisfied or unwilling to meet with the Complaints Officer, the complaint will be formally investigated.

7.2.2. Stage 2b (Formal Investigative Process)

Every complaint is different so the approach to resolving it will differ depending on the nature of the complaint and the issues raised. A complex complaint may require an investigation. Investigations will be conducted in a way that is proportionate to the nature and degree of seriousness of the complaint. All complaints, which are not resolved at frontline resolution will be thoroughly and objectively reviewed. The relevant Complaints Officer or the specifically named authorised delegate is responsible for carrying out the formal investigation of the complaint at Stage 2 and may draw on appropriate expertise, skills as required.

The types of issues appropriate to an investigation stage include:

- Frontline resolution was attempted but the service user/owner, parents/guardians, staff, carers, advocates, customers, volunteers, other agencies and members of the public, parent/guardian, carer, advocate, customer, volunteer, other agencies and member of the public remains dissatisfied.
- The complaint relates to issues that have been identified as serious or high risk to stakeholders or the organisation.

The following process must be adhered to within Stage 2:

- The service user/owner, parent/guardian, carer, advocate, customer, volunteer, other agencies and member of the public will be provided with the name and contact details of the person dealing with their complaint as soon as possible.
- The Complaints Officer will acknowledge receipt of the complaint in writing within **five (5) working days** advising that the complaint has been received.

- In circumstances where the service user/owner/customer refuses to engage with the frontline resolution process, the Complaints Officer (or delegate) will assess the complaint and aim first to establish the facts and if the complaint falls within the scope of the Complaints process.
- If the complaint is deemed to be potentially vexatious or not made in good faith, the Complaints Officer will in consultation with the Complaints Manager address the matter (please refer to exclusions to this policy in Section 1.2)
- The extent of any investigation will depend on how complex and how serious the issues are.
- The Complaints Officer is responsible for establishing what information is required and for gathering that information. They have a clear remit to investigate effectively and are authorised to resolve complaints or have access to the person who has the authority to do so (see **Appendix 3 List of Complaints Officers**).
- Staff who are the subject of the complaint will not investigate the complaint.
- In some cases, serious complaints may need to be investigated by someone independent of Enable Ireland.
- The acknowledgment will outline the process to be undertaken in investigating the complaint and the time limits for the completion of the investigation.
- When investigating the complaint, Enable Ireland will look at relevant evidence. This could include files, notes of conversations, letters, emails or whatever may be relevant to the complaint. If necessary, Enable Ireland will talk to the staff member or others involved and look at our policies and relevant Enable Ireland documentation for guidance.
- The target date for resolution of complaints is **thirty (30) working days**. Where the thirty (30) working days' time frame cannot be met despite every best effort, the Complaints Officer must endeavour to conclude the investigation of the complaint **within six (6) months** of the receipt of the complaint.
- If this timeframe cannot be met, the Complaints Officer must inform the complainant that the investigation is taking longer than six (6) months, give an explanation why and outline the options open to the complainant.
- The complainant and relevant staff member must be updated **every twenty (20) working days**.
- If the original timescale cannot be met, the Complaints Officer who commissioned the investigation must be informed and the reason outlined in writing to the complainant.
- If, in exceptional circumstances, the response will be delayed, the service user/ owner, parent/guardian, carer, advocate, customer, volunteer, other agencies and member of the public will be told of this within 30 working days of receipt and will be given a revised timescale for bringing the investigation to a conclusion as well as an explanation for the delay. An update will be provided every **20 working days** thereafter.
- If we formally investigate the complaint, Enable Ireland will complete a report outlining the findings, reasons for findings and recommendations to the complainant and relevant staff member(s)

Figure 7.2- Stage 2 Formal Complaint (including Stages 2a and 2b)

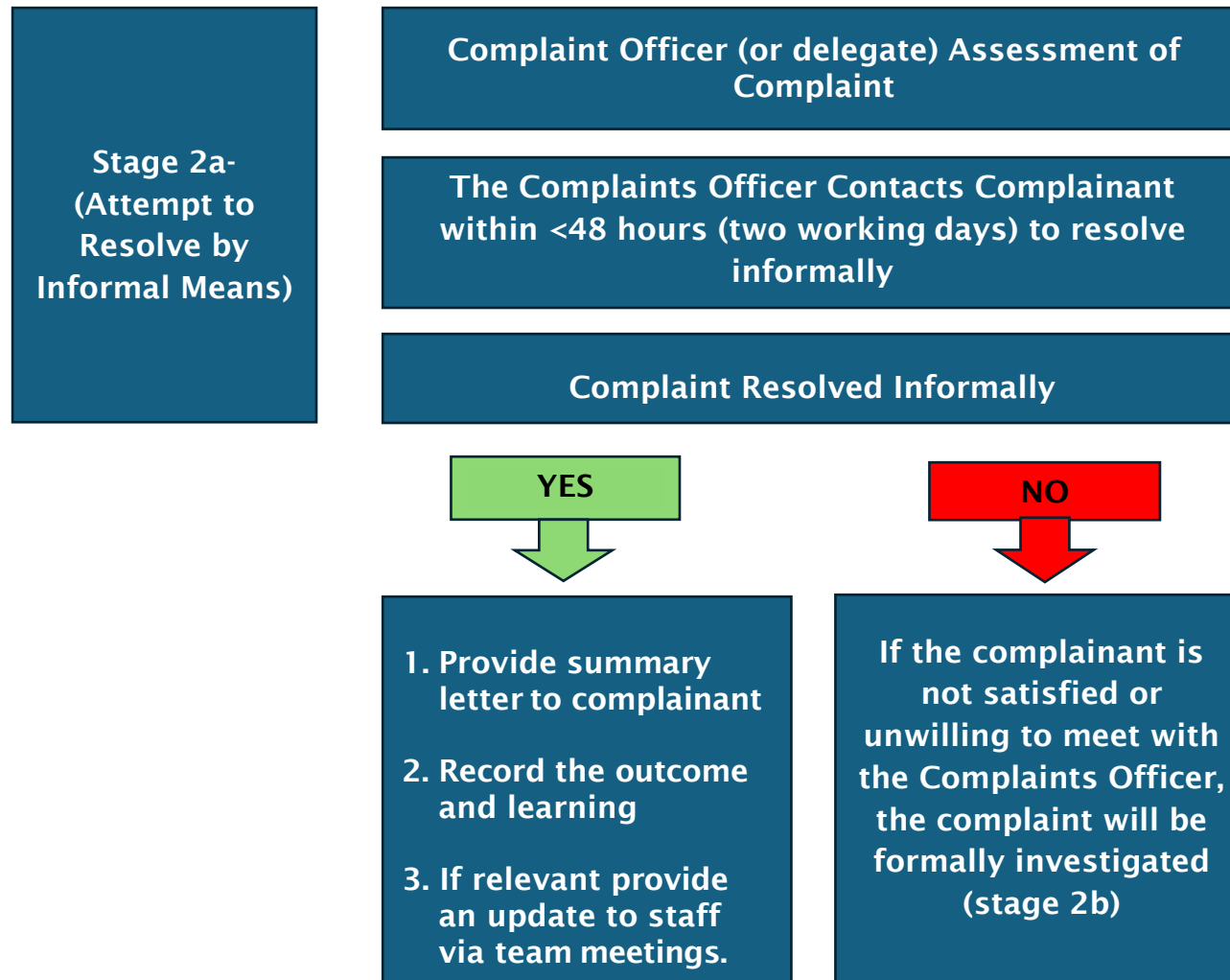
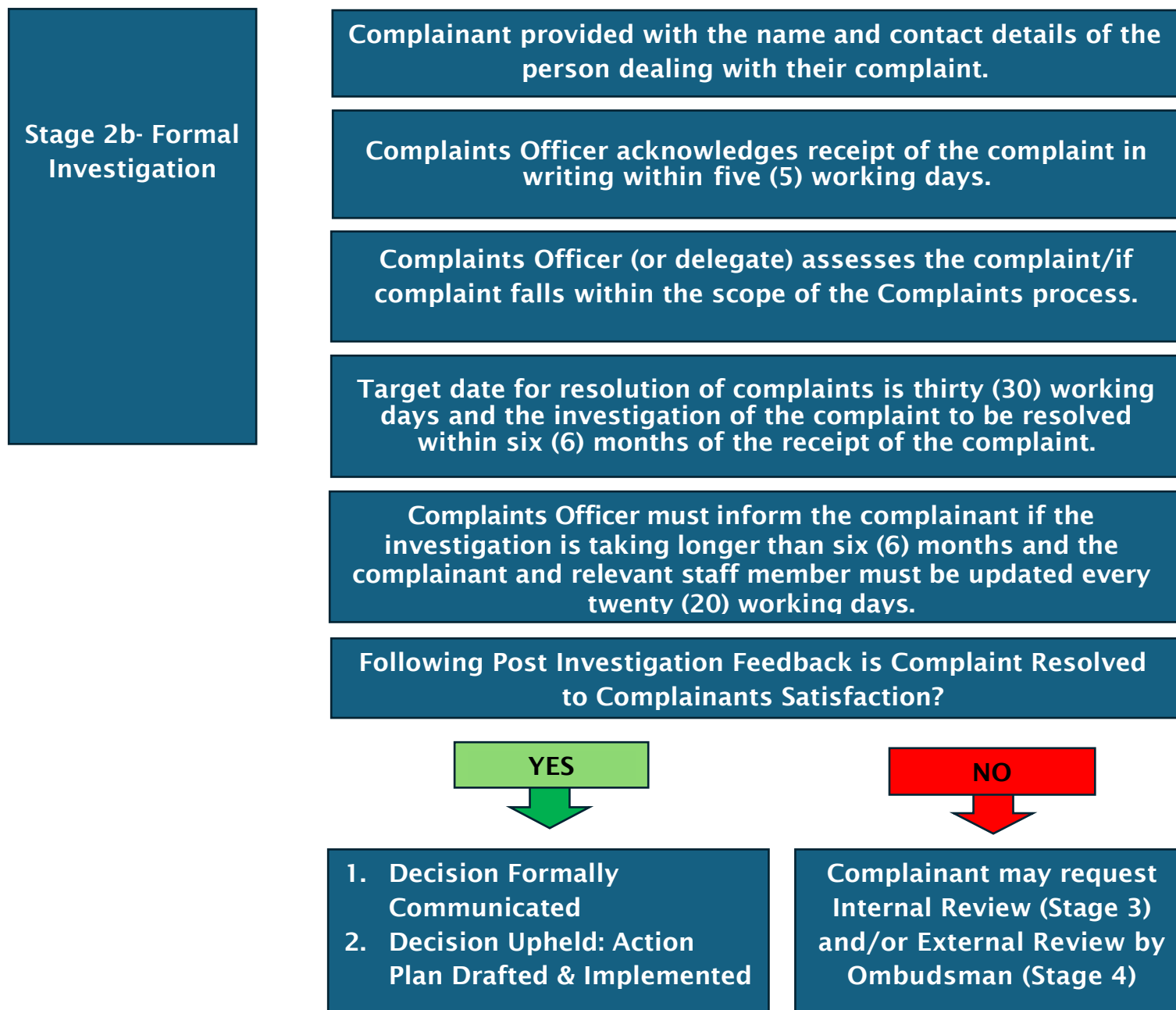


Figure 7.2- Stage 2 Formal Complaint (including Stages 2a and 2b)



7.2.3 Post Investigation- Feedback

All issues raised in the complaint will be comprehensively responded to. All points raised by the services user/owner, parents/guardians, staff, carers, advocates, customers, volunteers, other agencies and members of the public as relevant will be properly considered and fully addressed in the response. Any areas of disagreement or varying accounts will be acknowledged without dismissing what the service user/owner, parents/guardians, staff, carers, advocates, customers, volunteers, other agencies and members of the public, parent/guardian, carer, advocate, customer, volunteer, other agencies and member of the public has said.

- Enable Ireland's decision will be formally communicated to the complainant using his/her preferred means of communication and confirmed in writing.
- In cases where a complaint is upheld, the appropriate Complaints Officer/Manager will ensure that an action plan is drafted setting out how the recommendations will be implemented and who will be responsible for implementing them.
- The response will tell the service user/owner, parents/guardians, staff, carers, advocates, customers, volunteers, other agencies and members of the public, parent/guardian, carer, advocate, customer, volunteer, other agencies and member of the public about their right to an Enable Ireland Internal Complaint Review and the right to complain to the Ombudsman (or the Ombudsman for Children, where appropriate) if they are dissatisfied with the outcome of their complaint. Contact details for the Ombudsman (or the Ombudsman for Children, where appropriate) are outlined in **Stage 4** below.

If Enable Ireland finds that a mistake has been made, we will inform the complainant accordingly. If Enable Ireland finds there has been a fault in any system or the way we do things, we will identify what it is and how we plan to change things to stop it happening again.

If Enable Ireland has made a mistake, we will always apologise. See **Section 14.0 –Redress**.

7.3 Stage 3- Enable Ireland Internal Complaint Review

These are complaints where the complainant is dissatisfied with the outcome of the complaint investigation at Stage 2. A written review request is submitted to the Enable Ireland Complaints Manager (see Appendix 3 for contact details).

The Complaints Manager will appoint a Review Officer. The Review Officer(s) must endeavour to conduct and conclude the review **within 20 working days** of the request being received. However, where the review cannot be concluded within this timeframe, the Review Officer must inform the complainant of this fact and indicate the additional time necessary to complete the review. Upon conclusion of a review, the Review Officer shall prepare a signed and dated report on the review. A Review Officer will not make a finding in their report adverse to a person, without first having afforded the person concerned with the opportunity to consider the finding or criticism and to make representations in relation to it.

The Review Officer is responsible for carrying out the formal review investigation of the complaint at Stage 3 and may draw on appropriate expertise, skills, etc., as required.

7.4 Stage 4- Independent Review

Ombudsman/Children's Ombudsman Review

If we do not succeed in resolving a complaint, the complainant may submit the complaint to the Ombudsman (or Ombudsman for Children, if appropriate). A stage 4 review can be requested after stage 2 or stage 3. However, the Ombudsman expects a complainant to bring a complaint to the attention of Enable Ireland and follow the Enable Ireland complaints process in the first instance. You can contact the Ombudsman by:

- Email: ombudsman@ombudsman.ie
- The website: www.ombudsman.ie
- Writing to: The Office of the **Ombudsman, 6 Earlsfort Terrace, Dublin 2, D02 W773**

Or to
Ombudsman for Children Office
Millennium House
52-56 Great Strand
Street Dublin 1
D01 F5P8
Phone: 01 865 6800

8.0 Supporting Staff

Enable Ireland has a duty of care to look after the psychological, as well as the physical, wellbeing of staff who have been involved in and/or affected by a complaint and to ensure that they are managed and supported appropriately. Involvement in a complaint can have profound consequences for those staff members.

Staff must be supported and assisted in every way possible throughout the complaints management process and made aware of the supports available to them. The staff member must also be advised of their right to representation, and to be informed of any support networks and designated persons available to assist them in responding to complaints, for example, union officials/local representatives, professional bodies, human resource managers, peer support officers and equality officers.

Enable Ireland will safeguard the rights and dignity of staff members in the implementation of this Comments, Compliments, Concerns and Complaints Policy & Procedure and associated supporting policies.

8.1 Recognising the Potential Impact of Complaints on Staff

Staff may feel vulnerable when a complaint is made about them. It is very important to recognise that different individuals may have differing responses to the same complaint and may therefore require different levels or types of support. A significant proportion of staff may experience varying degrees of stress as a result of exposure to a complaint. It is important to be aware that staff can suffer from traumatic stress which is associated with minor or low-level complaints as well as the more serious/high level complaints. Individual responses may range from common uncomplicated stress-related reactions to the more complex post-traumatic stress disorder.

Staff may experience the following:

- Feelings of incompetence and isolation.
- Denial and avoidance of responsibility – discounting of the importance of the issues raised.
- Emotional distancing.
- Increased anxiety.
- Overwhelming guilt in relation to the event itself and the impact on the Service User.
- Guilt in relation to personal performance.
- Poor insight.
- Panic resulting in a fight or flight reaction.
- Feelings of abandonment.
- A desire to engage with the Complainant but fear as to how to conduct this communication.
- Symptoms of post-traumatic stress disorder (PTSD).

8.2 Ensuring Staff are Supported Throughout the Complaints Management Process

When a Complaints Officer receives a complaint under Part 9 of the Health Act 2004 (does not include e.g. Trust in Care, Children First, Safeguarding etc.), and includes reference to staff, the Complaints Officer is obliged to seek their version of events, in line with the principles of natural justice and procedural fairness. This means the Complaints Officer must identify the staff member(s) and notify them a complaint has been made about them.

8.3 Employee Assistance Programme

The Employee Assistance Programme (EAP) provides **confidential** counselling support and a referral service for all staff with personal or work-related difficulties. They may be contacted through Freephone 1800 995 955 or emailing eap@vhics.ie. Advice and guidance are also available to Managers to support them in managing staff welfare issues. The employee assistance service also provides formal structured support to groups of staff who have experienced stress as a result of a critical incident in the workplace.

A wide range of issues is managed by the EAP, including:

- Stress at work
- Difficult relationships at work (including bullying)
- Traumatic events (e.g. assault, suicide)
- Addictions
- Personal issues outside of work (e.g. bereavement, relationships) which is provided on a confidential basis
- Professional assessment
- Personal support
- Counselling
- Referral onwards to other professional resources where appropriate.
- Trauma Support

The service, which is free of charge to all Enable Ireland staff, is provided by trained and experienced counsellors who are professionally qualified and bound by the codes of conduct to the professional bodies to which they belong. There are two pathways by which staff may access the employee assistance service:

- Staff may self-refer
- Staff may be referred by line management

Please also refer to Enable Ireland's Promoting Health and Wellbeing (Stress Management Policy) available on [My Compliance](#).

9.0 Annual Report to the HSE and Internal Audit

Enable Ireland will provide quarterly returns as part of the agreed local Service Level Agreements (SLA) to the HSE. All services will utilise the standardised spreadsheet available locally. When completing the quarterly returns please note that the HSE National Complaint Governance and Learning Team (NCGLT) provide an accompanying 'Data Sheet Guide' to aid the correct completion of these returns. The standardised spreadsheet and guide may be updated by the HSE from time to time. Enable Ireland will provide the HSE with a general annual report on the complaints received during the previous year indicating:

- The total number of complaints received.
- The nature of the complaints.
- The number of complaints resolved by informal means.
- The outcome of any investigations into the complaints.
- All departments within Enable Ireland will log complaints as received on a live register
- Enable Ireland will audit records of complaints on an annual basis and outline learning from same.

10.0 Advocacy Services

An advocate is somebody who can act on the complainant's behalf when dealing with Enable Ireland. An advocate can represent the views of those seeking information or making complaints when required. If you wish to provide feedback (comment, compliment, concern or complaint) and would like to avail of advocacy services, further information and guidance is available in **Appendix 2**.

11.0 Accessibility in Meeting the Needs of all Service Users/Owners

It is the policy of Enable Ireland to support all service users/owners when making decisions in relation to their health and social care including maximising a person's capacity to make such decisions. All service users/owners should be given the time and support(s) they need to maximise their ability to make decisions for themselves including the right to make a complaint.

12.0 Anonymous Complaints

Enable Ireland values all complaints and also treats anonymous complaints seriously and takes action to consider them, wherever this is appropriate.

- Anonymous complaints will be considered where there is sufficient information provided to enable us to investigate the case.
- Where there is not sufficient information provided, Enable Ireland may decide not to take further action but will record the complaint in case it becomes clear that action is required at a later date.

13.0 Managing Unacceptable Behaviour

The behaviour of a service user/owner, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public, parent/guardian, carer, advocate, customer, volunteer, other agencies and/or member of the public will not be regarded as unacceptable just because they may be forceful or determined. In addition, service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public who display difficult behaviour may still have a legitimate complaint which will be dealt with in accordance with this policy.

- Where a person presents in services with behaviour that challenges as part of their diagnosis, this will be managed in accordance with their needs and their individual positive behaviour support plan.
- If the behaviour of a stakeholder causes a problem, they must be clearly told what the unacceptable behaviour is and what problem it is causing, in terms of rudeness and/or aggression.
- Enable Ireland does and will continue to take steps to protect staff in circumstances where the behaviour of service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public is unacceptable. This may include informing the relevant stakeholder that a decision has been taken to restrict their access and contact. In such circumstances, Enable Ireland will provide a brief statement to the relevant stakeholder outlining the reasons for this

14.0 Redress

Enable Ireland's complaints process provides a range of timely and appropriate remedies to complainants, who have a justified complaint, to meet the needs of the complainant. This includes:

- An explanation
- Correcting the error
- A sincere and meaningful apology

Where service/customer care failings have been identified, Enable Ireland will attempt, if possible, to put the complainant back in the position they were in before the error or omission occurred. If this is not possible, then other forms of redress will be considered such as providing an explanation and/or an apology.

15.0 Confidentiality/ Data Protection

Maintaining privacy and confidentiality is a basic principle of complaints management process for all stakeholders. It is the role of all Enable Ireland staff involved in the complaints management process to uphold the highest standards of privacy and confidentiality in investigating complaints. The Complaints/Review Officer will share information on a need-to-know basis only with those involved.

The Data Protection Act and the GDPR 2018 place an obligation on Enable Ireland and staff to safeguard the right of individuals in relation to the processing of their personal data. This applies to all stakeholders. Under the Data Protection legislation, personal information should only be used or disclosed for the purpose for which it was collected, or another directly related purpose. Feedback information required for reporting and statistical purposes will be anonymised and all identifiable data will be removed.

Files must be stored as follows, and retained in accordance with the following:

- **Hard copy:** Locked cabinet with defined need to know access and responsibility for key with provision to deal with leave absences
- **Soft copy:** stored on shared drive with restricted access

For record retention, see Enable Ireland's Retention Schedule.

16.0 Roles and Responsibilities in the Complaints Process

16.1 Enable Ireland Staff

- Each staff member must understand and comply with the procedure in the handling of complaints as set out in this policy.
- Each staff member must respond in a courteous manner to anyone raising a concern or making a complaint.
- Each staff member must treat any concerns or complaints brought to them in an appropriate and confidential manner.
- If a staff member receives a complaint about a peer or colleague, the complainant should be referred to the relevant manager.
- A record of all complaints must be maintained. The receiving manager has responsibility for this.
- Each complaint must be reviewed retrospectively to the Complaints Officer to allow the organisation to identify any trends and support appropriate service development as indicated.

16.2 Line Manager

Line managers are responsible to support staff during this process as requested and required.

It is the role of the line manager to establish with the staff member what type and level of support would be most appropriate during this process. Specifically, this would include arrangements regarding communication channels, updates, timeframes, meeting locations and any other information that would be useful.

- Ensure that the staff member is afforded their right to fair and just procedures and processes and that their right to confidentiality is maintained.
- Inform the staff member of the complaint and provide them with a copy of the Comments, Compliments, Concerns and Complaints Policy & Procedure
- If requested, an 'Internal Point of Contact for Support' to the staff member during the complaints process will be designated by the line manager in consultation with the HR Department
- Provide the staff member with the opportunity to provide a preliminary response to the complaint and provided with an opportunity to respond
- Advise the staff member of the steps of the complaints process in each particular case
- Advise the staff member of their rights to seek support and advice from their trade union representative/professional body/HR department/Employee Support Service
- Provide support and advice on other processes as relevant e.g. legal proceedings, fitness to practice hearings, Coroner's inquests, etc.
- Discuss the staff member's emotional, practical/social/behavioural support(s) as per their individual needs and preferences
- The Line Manager may need to refer the staff member to the Employee Assistance Programme, as appropriate and in line with the staff member's wishes (**see details in Section 8.0**)

- Inform the staff member of the conclusions reached following completion of the complaint/investigation process as relevant
- Provide the staff member with a copy of the findings of any investigation and afford them of the opportunity to respond to any adverse findings/conclusions
- Support and work with staff to identify any additional training or information they may need

16.3 Complaints Officer

Complaints Officers are National Management Team members who are responsible for their own regions/departments in regard to complaint management and review. For the purpose of the implementation of this policy, the roles and responsibilities of the Complaints Officer is to:

- Ensure service user/owner-friendly information on how to offer feedback (comment, compliment, concern or complaint)
- Ensure that how to make a complaint is widely available throughout each site/shop location.
- Ensure that the complaints management process is implemented and being adhered to in their area and that the rights and legitimate interests of service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public are protected.
- Support staff and stakeholders in the implementation of the complaints management process.
- Identify non-excluded matter of the complaint and investigate.
- Ensure that any risks identified as part of a complaint are assessed and immediately notify the Complaints Manager of any high-risk complaints to ensure appropriate investigation and learning.
- Inform relevant parties of decision to extend or not extend time frames.
- Investigate and conclude within 30 working days or inform complainant of delay and update every 20 days.
- Advise a person if a finding in the report is adverse to that person and afford them the opportunity to consider the finding and to make representations in relation to it.
- Make recommendations, which may also support organisational learning and improvement.
- Provide complainant and relevant NMT member with a report on the complaint investigation.
- Advise the complainant that they may seek a review of the complaint by requesting an Enable Ireland Internal Complaint Review (Stage 3) or by contacting the Office of the Ombudsman/Ombudsman for Children's Office for services only (Stage 4).
- Where a complaint is withdrawn, the Complaints Officer may bring this to the attention of the Complaints Manager to determine if the investigation should continue.
- Determine the overall effectiveness of the complaints management process within their area of responsibility.
- Generate anonymised complaints data and disseminate this information as appropriate.
- Submit reports as appropriate to the HSE and the Complaints Manager as outlined in **Section 9** of this policy.

The Complaints Officer must ensure the staff member's rights to procedural fairness and natural justice are maintained throughout the lifecycle of the complaints management process. They must ensure that support is provided to the staff member in the form of:

- Informing the staff member of allegations made against them, and following investigation, the grounds of proposed adverse comment and adverse findings
- Time to deal with and respond to the complaint.
- Listening objectively to their side of story.
- Informing the staff member that they have the right to be accompanied during the course of the investigation of the complaint if they wish.
- Emphasising that the focus is on resolution as opposed to blame.
- Emphasising that focus is on process improvement.
- Affording the staff member, where the proposed report contains a finding or criticism adverse to that staff member, the opportunity to consider the finding or criticism and allowing them to make representation for consideration.

16.4 Complaints Manager

The Complaints Manager will appoint a review officer as and when required.

For the purpose of the implementation of this policy, the role of the Complaints Manager, is to:

- Provide an active and visible leadership in Enable Ireland's complaints management programme (i.e. information and training)
- Be responsible for the routine monitoring and review of the organisation's feedback (comment, compliment, concern or complaint) process including the complaints management programme which is necessary to ensure and assure that the system works.
- Promote a process of assurance through the generation of records following Stage 3 Enable Ireland Internal Complaint Reviews and publish reports on the management of complaints by their area and the learning achieved as a result of same
- Ensure processes are in place to support all stakeholders to understand how complaints are addressed in Enable Ireland.
- Upon receipt of a request for a review, appoint a Review Officer to review the recommendations made by the Complaints Officer.
- Upon notification from a Complaints Officer, ensure that any risks identified as part of a complaint are notified to the relevant personnel to ensure high risk complaints are appropriately assessed, investigated and that learning is achieved.
- Provide an overview and update on the management of service user/owner feedback (comment, compliment, concern or complaint) to Senior Management Teams, in relation to key performance indicators in line with national feedback data returns.
- Ensure that the lessons learned from feedback (comment, compliment, concern or complaint) including complaints are used to improve Enable Ireland's activities across all divisions.

17.0 Management and Staff Training and Development on Complaints Management

The Complaints Officers are responsible for ensuring all staff are aware of and compliant with the Comments, Compliments, Concerns and Complaints Policy & Procedure and the accompanying training awareness pack which is available on the [forms section](#)⁴ of Inform.

Additional training for all staff is available via HSeLanD in:

- HSE Effective Complaints Handling

Additional training specific to Complaints Officers is available via HSeLanD in:

- HSE Effective Complaints Investigation

Management and Staff Training and Development on the Complaints Management Process will be provided by HSeLanD in the first instance. The eLearning programme is available online to all staff on HSeLanD.

Further training needs will be addressed as required and in line with policy changes/legislative developments. This training will also be emphasised in induction training for new staff.

This continuous education and training for management and staff will support the development of skills in the management of complaints. This will enable staff to identify when a complaint has been made and what process should be followed to resolve it at the most efficient level.

Key objectives of this training are to:

- Raise management and staff awareness of the Enable Ireland Comments, Compliments, Concerns and Complaints Policy & Procedure, with an emphasis on local resolution.
- Inform management and staff of their role and responsibilities in receiving feedback (comment, compliment, concern or complaint) and in the complaints management process.
- Provide management and staff with the skills to communicate effectively with Complainants
- Provide management and staff with the skills to recognise and address complaints including verbal and written complaints and unreasonable complaints.
- Increase management and staff confidence in complaints handling.



Appendix 1 Glossary of Terms

Advocate: An advocate is somebody who can act on the complainant's behalf when dealing with Enable Ireland. An advocate can represent the views of those seeking information or making complaints when required.

Comment: A verbal or written remark expressing an opinion or reaction.

Complaint: The Health Act 2004 defines a complaint as:
"A complaint means a complaint made about any action of the Executive, or a Service Provider that, it is claimed does not accord with fair or sound administration practice and adversely affects the person by whom, or on whose behalf, the complaint is made".

A complaint is a statement of dissatisfaction or indication that something is unsatisfactory or unacceptable to the complainant. A person may express dissatisfaction with actions or omissions by Enable Ireland where often the word "Complaint" is not used. Where dissatisfaction is expressed, the matter requires discussion in the first instance to ascertain the most timely and effective response. **It is important that Enable Ireland personnel recognise and follow up on such statements as a matter of priority.**

In addition, as outlined in the "Policy Framework for Service Delivery of CDNT":
"A complaint may be made about something not done correctly or omitted or may concern an employee. Each complaint should be viewed as an opportunity to review a service or an aspect of the service and where indicated support development or change".

Complainant: Person(s) making the complaint

Complaints Officer: A National Management Team (NMT) member designated by Enable Ireland for the purpose of dealing with complaints in accordance with the Health Act 2004 and HSE Your Service Your Say Policy 2017 (see **Appendix 3 List of Complaints Officers**).

Complaints Manager: The Complaints Manager will appoint a review officer as and when required.

Compliment: An expression of praise, commendation or admiration

Concern: An expression of worry or doubt over an issue considered to be important for which reassurances are sought.

Feedback: Feedback consists of the views and opinions of service users/owners, parents/guardians, carers, advocates, customers, volunteers, other agencies and members of the public on the service they have experienced. This may include a comment, compliment concern or a complaint.

Internal Point of Contact for Staff Support: Where requested by a staff member, during the complaints process, this person will be designated by the line manager in consultation with the HR Department.

‘Point-of-Contact’ Complaint: This is a complaint which can either be verbal or written that has the potential to be resolved at Stage 1 of the complaints process.

Review Process: A Review Process for complaints is one which gives the complainant an opportunity to have the recommendations made after the investigation of their complaint reviewed either internally by Review Officers or externally by the Ombudsman or Ombudsman for Children.



Appendix 2

Advocacy Services and Helpful Resources for Complainants

Irish Patients' Association

24 Church Road, Ballybrack, Co. Dublin

Web: <http://www.irishpatients.ie>

Phone: 01 272 2555

Phone: (emergency) 087 659 4183

Email: info@irishpatients.ie

National Advocacy Service for People with Disabilities

The National Advocacy Service for People with Disabilities provides an independent, confidential and free, representative advocacy service. The service is funded and supported by the Citizens Information Board.

Level 3 Rear Unit,
Marshalsea Court,
Merchant's Quay,
Dublin 8.

Tel: 0818 073000

Web: www.advocacy.ie

Email: info@advocacy.ie

Irish Advocacy Network

Peer advocacy services for people who have experienced mental health difficulties

c/o The Health Care Unit, Rooskey, Monaghan, Co. Monaghan

Phone: 047 38918

Email: admin@irishadvocacynetwork.com

Cairde

Community development organisation, working to tackle inequalities among ethnic minority communities

19 Belvedere Place, Dublin 1

Web: <http://www.cairde.ie>

Phone: 01 855 2111

EPIC

An independent association that works throughout the Republic of Ireland with and for children and young people who are currently or who have experienced living in community care settings

7 Red Cow Lane, Smithfield, Dublin 7

Web: <http://www.epiconline.ie>

Phone: 01 872 7661

Dental Complaints Resolution Service

The Dental Complaints Resolution Service aims to assist dental patients, and participating dentists resolve complaints about dental services. The service is an independent dental complaints service provided by the Irish Dental Association.

Web: <http://www.dentalcomplaints.ie>

Phone: 087 3545842

Email: mary@dentalcomplaints.ie

Patient Focus

Independent Patient Advocacy Group

Sky Business Centre, Plato Business Park, Damastown, Dublin 15

Web: <http://www.patientfocus.ie>

Phone: 01 885 1611

Email: support@patientfocus.ie

Pavee Point

Non-governmental organisation committed to the promotion and realisation of Travellers Human Rights

46 North Great Charles St., Dublin 1

Web: <http://www.paveepoint.ie>

Phone: 01 878 0255

Email: info@paveepoint.ie

Sage – Support and Advocacy Service for Older People

Sage provides information and advice on how to access independent support and advocacy services. Their mission is to promote the rights, freedoms and dignity of older people by developing support and advocacy services wherever ageing poses a challenge for individuals.

Contact Details:

24-26 Ormond Quay, Dublin 7

Phone: 1850 719400

Email: info@sage.thirdageireland.ie

Web: <http://www.thirdageireland.ie/sage>

Inclusion Ireland

Inclusion Ireland is a national organisation advocating for the rights of people with an intellectual disability. It provides an independent advocacy service to people with an intellectual disability and their families.

Unit C2, The Steelworks, Foley St, Dublin 1

Web: <http://www.inclusionireland.ie>

Phone: 01 855 9891

Email: info@inclusionireland.ie



Appendix 3 List of Complaints Officers

**Complaints Officer: A National Management Team (NMT) member designated by Enable Ireland for the purpose of dealing with complaints in accordance with the Health Act 2004 and HSE Your Service Your Say Policy 2017.*

Name:	Title/Region/Department:	Contact Details
Mary Fox	National Director of Services	Enable Ireland 32F Rosemount Business Park, Ballycoolin Rd, Dublin 11 Email: mfox@enableireland.ie
Frances Fitzell	Director of Services CHO6 - South Dublin & Wicklow	Enable Ireland Sandymount Avenue, Dublin Email: ffitzell@enableireland.ie
Gillian Darrer	Director of Services CHO4 & CHO5 - Cork, Kerry & Kilkenny	Enable Ireland Lavanagh Centre, Curraheen Road, Carrigrohane, Co. Cork, T12 D768 Email: gdarrer@enableireland.ie
Tony Murphy	Director of Services CHO2 & CHO3 - Galway, Mayo and Mid-West	Enable Ireland Quinn's Cross Mungret, Limerick Email: tmurphy@enableireland.ie
Anelle Marynowski	Director of Services CHO1, CHO7 & CHO8 - Northeast, East & West Dublin	Enable Ireland Jigginstown, Naas, Co. Kildare Email: amarynowski@enableireland.ie
Fidelma Murphy	National Director of Risk Management, Health & Safety & Standards	Enable Ireland O'Neill Centre, St. Joseph's Road, Kilkenny Email: fmurphy@enableireland.ie

Siobhan Long	National AT Training & SeatTech Manager	Enable Ireland Sandymount Avenue, Dublin 4 Email: slong@enableireland.ie
Ed Meagher	National IT Manager	Enable Ireland Sandymount Avenue, Dublin 4 Email: emeagher@enableireland.ie
Gillian Murphy	Communications & Marketing Manager	Enable Ireland Sandymount Avenue, Dublin 4 Email: gmurphy@enableireland.ie
Claire McKenna	HR Manager	Enable Ireland 32F Rosemount Business Park, Ballycoolin Rd, Dublin 11 Email: cmckenna@enableireland.ie
Donal Kitt	National Fundraising Manager	Enable Ireland 31A Rosemount Business Park, Ballycoolin Rd, Dublin 11 Email: dkitt@enableireland.ie
Oonagh O'Connor	Head of Commercial	Enable Ireland 31A Rosemount Business Park, Ballycoolin Rd, Dublin 11 Ireland Email: ooconnor@enableireland.ie
Linda Brady	Finance Manager	Enable Ireland 32F Rosemount Business Park, Ballycoolin Rd, Dublin 11 Email: lbrady@enableireland.ie
Noreen Dempsey	Director of Finance & IT	Enable Ireland 32F Rosemount Business Park, Ballycoolin Rd, Dublin 11 Email: ndempsey@enableireland.ie
Theresa Compagno National Complaints Manager	Director HR & Corporate Affairs & National Complaints Manager	Enable Ireland Lavanagh Centre, Curraheen Road, Carrigrohane, Co. Cork, T12 D768 Email: tcompagno@enableireland.ie

Appendix 4 Timelines for Stages 2a and 2b

Aim to contact complainant and resolve informally (stage 2a) within 2 days - otherwise move to stage 2b as per below

• Acknowledge receipt of complaint • Inform complainant if complaint does not meet criteria for investigation	Within 5 working days
• Investigate if required and conclude	Within 30 working days (of acknowledging complaint)
• Update the complainant and relevant employees	Every 20 working days
• Conclude at latest	Within 6 months
• Requesting information back from complainant/staff member/persons no longer employed by Enable Ireland	Within 10 working days



Appendix 5 Enable Ireland Feedback Form

If you wish to make a comment, compliment, complaint or express a concern, please attempt to raise this verbally with the first point of contact. If that is not possible, then please complete this form.

Name:		
Address:		
Tel No:		
Email Address:		
Date:		
Signature:		
I am making/providing/raising a (tick box with x)	Complaint	
	Compliment	
	Concern	
	Complaint	
Name of service/site/shop that your comment/compliment/concern or complaint relates to:		
Date of experience giving rise to comment, compliment, concern or complaint:		
Please give full details of your comment, compliment, concern or the nature of your complaint in the space provided below:		



Appendix 6 Point of Contact Complaint Resolution Form

Staff should complete this form when a concern or complaint has been resolved at stage 1 of the complaints process.

Name:		
Address:		
Tel No:		
Email Address:		
Date:		
Signature:		
I am making/providing/raising a (tick relevant box with x)		Concern
		Complaint
Name of service/site/shop that your concern or complaint relates to:		
Date and time concern or complaint received: (please use 24 hour clock)		
Is the complainant: (tick relevant box with x)	Service User/ Owner	
	Parent(s)/ Guardian(s)	
	Carer(s)	
	Advocate(s)	
	Customer	
	Volunteer	
	Advocate	
	Other Agency	
	Member of the Public	
Brief Overview of Concern or Complaint:		

Who was involved? <i>(Please list all persons involved including service user/owner or staff member details)</i>	
Briefly describe how concern or complaint was addressed and resolved:	
Complainant Name:	
Complainant Signature:	
Date Signed:	
Staff Member Name	
Staff Member Signature:	
Date Signed:	
Staff Member Contact Telephone:	



Appendix 7 Point of Contact Complaint Escalation Form

This form is to be used when a complaint has not been resolved at stage 1 of the process with the first point of contact, line manager and complainant. The line manager must use this form to escalate to stage 2 for the Complaints Officer to review.

Name:		
Address:		
Tel No:		
Email Address:		
Date:		
Name of service/site/shop that complaint relates to:		
Date and time complaint originally received: (please use 24 hour clock)		
Is the complainant: (tick relevant box with x)	Service User/ Owner	
	Parent(s)/ Guardian(s)	
	Carer(s)	
	Advocate(s)	
	Customer	
	Volunteer	
	Advocate	
	Other Agency	
	Member of the Public	
Brief Overview of Complaint:		

Who was involved? <i>(Please list all persons involved including service user/owner or staff member details)</i>	
What outcome would the complainant wish to result from their concern or complaint?	
Briefly describe why complaint was not resolved at point of contact:	
Line Manager Name:	
Location:	
Line Manager Signature:	
Date Form Completed and Signed:	
Line Manager Contact Telephone:	