Cambian

Policy No: 22.02

Complaints Flowchart

STAGE			ACTION	TARGET TIMESCALE (working days)	DAYS
INTERNAL STAGE	INFORMAL STAGE	Step 1	All verbal or written Complaints received are recorded by the member of staff on a Complaint Tracking Form (G14.03a for XX and G14.03b for Xx).	Immediate	
		Step 2	Where possible action should be taken by appropriate staff member to resolve informally with complainant before passing the Complaint Tracking Form to the Complaints Co-ordinator. If the complaint is about the Head of Service go straight to step 8.	Within **3** working days of Step 1	
		Step 3	On receipt of a Complaint Tracking Form the Complaints Co-ordinator should send ***Complaint Letter 1*** to the Complainant (if resolved informally) or ***Complaint Letter 2*** otherwise and procedure progresses to Step 4. The Complaint Log should be updated and a sequential reference number allocated to the complaint. The complaint should be registered in the next **CambianKPI** submission.	Within **1** working day of Step 2 completion	10
	FORMAL STAGE	Step 4	Complaint is then to be investigated in agreed timescale by Complaints Co-ordinator or person nominated by him/her.	Within **5** working days of Step 3 completion	
		Step 5	Findings of investigation to be recorded on the Complaint Tracking Form and Complaint Log and recommendations to be reported to Complainant and if applicable the person complained about by Complaints Co-ordinator using ***Complaint Letter 3***, a telephone call or secure electronic email whichever the complainant requests.	Within **1** working day of Step 4 completion	
		Step 6	Findings accepted by Complainant? YES - Record this on Complaint Tracking Form and Complaint Log and close complaint. NO – go to Step 7.	Within **5** working days of Step 5 completion	20
		Step 7	Head of Service and Complaints Co-ordinator decide whether or not to repeat Steps 4-6, with a different investigator. **YES** Send ***Complaint Letter 4*** or **NO**	Within **1** working day of Step 6 completion	30
		Step 8	Head of Service sends a copy of complaint and all records to the Operations Director. ***Complaint Letter 5*** sent to Complainant	Within **1** working day of Step 7 completion	
EXTERNAL STAGE		Step 9	Complaint investigated in agreed timescale by person nominated by Operations Director. ***Complaint Letter 6*** sent to Complainant.	With **10** working days of Step 8 completion	
		Step 10	Findings of investigation recorded Complaint Tracking Form and Log and reported to Complainant by Operations Director. ***Complaint Letter 7*** sent to Complainant.	Within **1** working day of Step 9 completion	40
		Step 11	Findings accepted by Complainant **YES** - Record this Complaint Tracking Form and Log and close complaint **NO -** Step 12 Progress to Appeal Stage	Within **5** working days of Step 10 completion	
	APPEAL STAGE	Step 12	Operations Director commences the Appeals Procedure. ***Complaint Letter 8*** sent to Complainant. Appeal Panel to comprise 3 persons, none of whom have had any involvement in the complaint process to date and at least one of which is an independent person.	Within **3** working days of Step 11 completion	50
		Step 13	Appeal held in agreed timescale.	Within **10** working days of Step 12 completion	55
		Step 14	Outcome of Appeal notified to Complainant and where relevant to the person being complained about). (***Complaint Letter 9*** sent to Complainant)	Within **3** working days of Step 13 completion	
		Step 15	Complainant's view of outcome recorded – Manager to sign off **YES** – Record this Complaint Tracking Form and Log and close complaint **NO** – proceed to step16.	Within **5** working days of Step 14 completion	
	EXTER	Step 16	If complaint is not resolved the Operations Director can provide options and contact details for the complainant to refer to other external bodies: Funding Authority (If applicable), Ofsted, CQC, NHS/ Ombudsman, HIW, Local Government.	Advocate or Manager/Head to help obtain this information	
	All documentation associated with the complaint and any ensuing investigation is to be sent to the Complaints Coordinator for Confidential filing in the complaints file. These documents are to be made available for inspection on the premises by the Head of Service.				

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