

Complaints Policy and Procedure

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Revision & Sign Off

Review Details

Review date	Version	Author	Next review date	No changes required or description of change
Aug 2024	1.0	Paul Jones		SLT final updates (SLT approved)
June 2026	1.1	Nicola Bonas Kate Joy		Updated the policy to ensure compliance with Data Use and Access Act 2025
October 2026	1.2	Rahima Bhatti		Updated the policy to ensure it reflects current CRM responsibilities.

Distribution list

Date	Name/role
5 th Aug 2024	Rahima Bhatti, Marketing and Communications Assistant (to share internally and externally)

Approvals

Date	Approver	Role
30 th July 2024	Giles Letheren	Chief Executive Officer
30 th July 2024	Jane White	Chief People and Culture Officer
30 th July 2024	Damean Miller	Chief Services Officer

Equality impact

Delt Shared Services has made every effort to ensure that this policy does not have the effect of discriminating, directly or indirectly against employees, on grounds of race, age, nationality, ethnic (or national) origin, gender, sexual orientation, marital status, religious belief or disability. This policy will apply equally to full or part time employees. This policy can be made available in large print or braille format if required and also in other languages.

If you require any support or help in understanding or interpreting this policy please speak to our HR department, face to face or via email at deltHR@deltservices.co.uk

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Complaints Policy

Delt Shared Services Limited views complaints as an opportunity to learn and improve for the future, as well as a chance to put things right for the person or organisation that has made the complaint.

Delt Shared Services Limited will ensure that all staff understand the Complaints Procedure and that staff are adequately trained and supported in the effective handling of complaints.

Purpose of a Complaints Policy

- To stipulate how we will identify, manage, and respond to any complaints received.
- To provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint.
- To make sure everyone at Delt Shared Services Limited knows what to do if a complaint is received.
- To make sure that complaints are investigated fairly and in a timely way.
- To make sure that complaints are, wherever possible, resolved and relationships are repaired.
- To gather information which helps us to improve what we do.

Our Aims

We aim to:

- Respond to all complaints within the timescales set out in this policy.
- Use plain language in all communications.
- Keep the complainant informed if we are unable to meet the target timescales.
- Review all complaints carefully to establish what lessons we can learn to improve our services.

Definition of a Complaint

A complaint is any expression of dissatisfaction, whether justified or not, about Delt or its services. Any matter relating to the following will not be dealt with under this policy:



- Where matters are related to a contractual dispute. The Delt Dispute Resolution Process should be followed if there is a contractual dispute.

Where a complaint involves a Delt member of staff, the staff member will be interviewed as part of the initial investigation then kept up to date following each stage of the process.

Should any action be taken against the member of staff, this will be conducted in accordance with the relevant HR procedure.

Dealing with complaints effectively

We will deal with complaints as quickly and effectively as possible. We will attempt to address any issues informally. However, if the complainant is still not satisfied, we will invoke the formal complaints process and ensure the Complainant is provided with written details of each stage of the process and of the outcomes of the investigation.

Delt will ensure all staff understand this policy and the complaint handling process. All staff will be trained where needed and supported in order to achieve this.

Confidentiality

All complaint information will be handled sensitively, telling only those who need to know and following any relevant data protection requirements. Complaints will be deleted from Complaints Tracker after 3 years.

Review of this Policy and Complaints Received

This policy will be reviewed every year and all complaints received (and compliments) will be reviewed weekly at Delt SLT. Through this process of regular reviews, we aim to improve our services and to ensure that any lessons learned are implemented within the organisation to enhance its efficient delivery of effective outcomes.

Raising a Complaint

All complaints should be in writing to Complaints@deltservices.co.uk and should contain the following information:

- The complainant's name, email address and telephone number.
- A written account in the complainant's own words.



Logging Complaints

IT (I&O)

As part of the Customer Relationship Manager (CRM) weekly rota for monitoring VIP calls, the CRMs will monitor the Complaints@deltservices.co.uk mailbox and inform the Delt CIO. The CRM will own the complaint aligned with this procedure and keep the Delt CIO updated.

Other Delt Services

If the CRM receives the complaint for another part of the Delt business, then the CRM will pass the complaint on to the relevant Head of Service within Delt to own. If a complaint is received via another source then this procedure will also be followed.

Personal Data Complaints

These are complaints that specifically relate to how Delt has handled an individual's personal data (information about them), for example how a Subject Access Request was handled or the quality of data security. The complainant does not need to quote the legislation or use the word data protection for this to apply.

The complaints team will:

- Request proof of identity within 2 working days if the identity of the complainant is not certain (for example if the personal data complaint email is received from a personal email address not known to Delt).
- Notify Delt's DPO and advise who is responsible for providing the response to the complainant.
- The DPO will provide the respondent with any support required to ensure data protection legislation requirements are met.

Delt CEO/SLT

Should the complaint be related to the Delt CEO then this will be referred to the Delt Board. If the complaint is about a member of SLT then this will be referred to the Delt CEO.

On receipt of a complaint email, the relevant CRM will log the complaint in the following complaints tracker [Complaints Tracker](#).

*Note: If the complaint is about a Delt employee and is sensitive then the receiver should consult with HR prior to logging the complaint.

The following details need to be captured for the complaint:

- The complainant's name and contact details.
- A written account in the complainant's own words.
- Whether the complaint relates to Delt's handling of the individual's personal data.
- Create a reference number in the following format: Organisation, year, month, date. E.g.
 - PCC20230615
 - ICB20230609.

Once logged, the CRM will:

- Inform the complainant that we have a complaints procedure.
- Provide the complainant with the complaint reference number.
- Inform the complainant what will happen next and how long it will take.
- Inform Delt's customer that a complaint has been made, if necessary.

Complaint Owners

All complaints will be owned by the relevant CRM (or Head of Service). If any of the following conditions are met then the CRM must escalate to the relevant member of SLT who will update SLT.

If any of the following conditions are met as part of the complaint then the appropriate member of SLT will become the Complaint Owner. The member of SLT will keep the rest of SLT updated at least weekly until the complaint is closed.

- Reputational damage.
- Contractual risk.
- Complaint about the Service Owner.
- Complaint from senior Stakeholder/Director.

Initial Assessment of Complaint

1. An acknowledgement of receipt of the complaint with timescales for completion of the initial assessment will be sent to the complainant by the Complaint Owner **within 2 working days** from receipt of the complaint. (**T+2 working days**).

2. The Complaints Owner will aim to complete the initial assessment **within 5 working days** from sending the acknowledgement in step 1 above.
3. The Complaint Owner will provide the results of the initial investigations to the Complainant. **(T+7 working days)**.

However, if the complainant is still not satisfied, Stage 1 of the complaints process will be invoked by either the Complaint Owner or the Complainant.

Stage 1

1. The Complaints Owner will undertake a more detailed investigation which should include discussions/meetings with any Delt staff involved/implicated in the complaint to ensure they are aware a complaint has been received and to obtain their input.
 - a. Documented records must be maintained of any meetings and assigned to the complaint reference as an audit trail within the [Complaints Tracker](#).
 - b. Where a complaint relates, in part, to services provided by other organisations such as Delt Managed 3rd party providers, we will work with partners to provide relevant information.
 - c. Where a complaint relates to Delt's handling of an individual's personal data, they will work with Delt's DPO to ensure relevant legislation is considered and any wider Delt response actions it requires are instigated.
2. The Complaints Owner will conclude the investigation and agree the outcome with relevant Delt Teams.
3. The complainant will be updated within **5 working days (T+12 working days)** with the response to the complaint, and recommended action to close the complaint.
4. The Complaint Owner will either agree with the Complainant to close the complaint or if the Complainant is not satisfied, the Complaint Owner will advise the Complainant that the complaint will be moved to stage 2.

Note: Where the complaint involves input from a 3rd party, the 3rd party will have their own complaints process and timescales. Where timescales do not match Delt's, the Complainant should be informed, and expectations set.

Stage 2

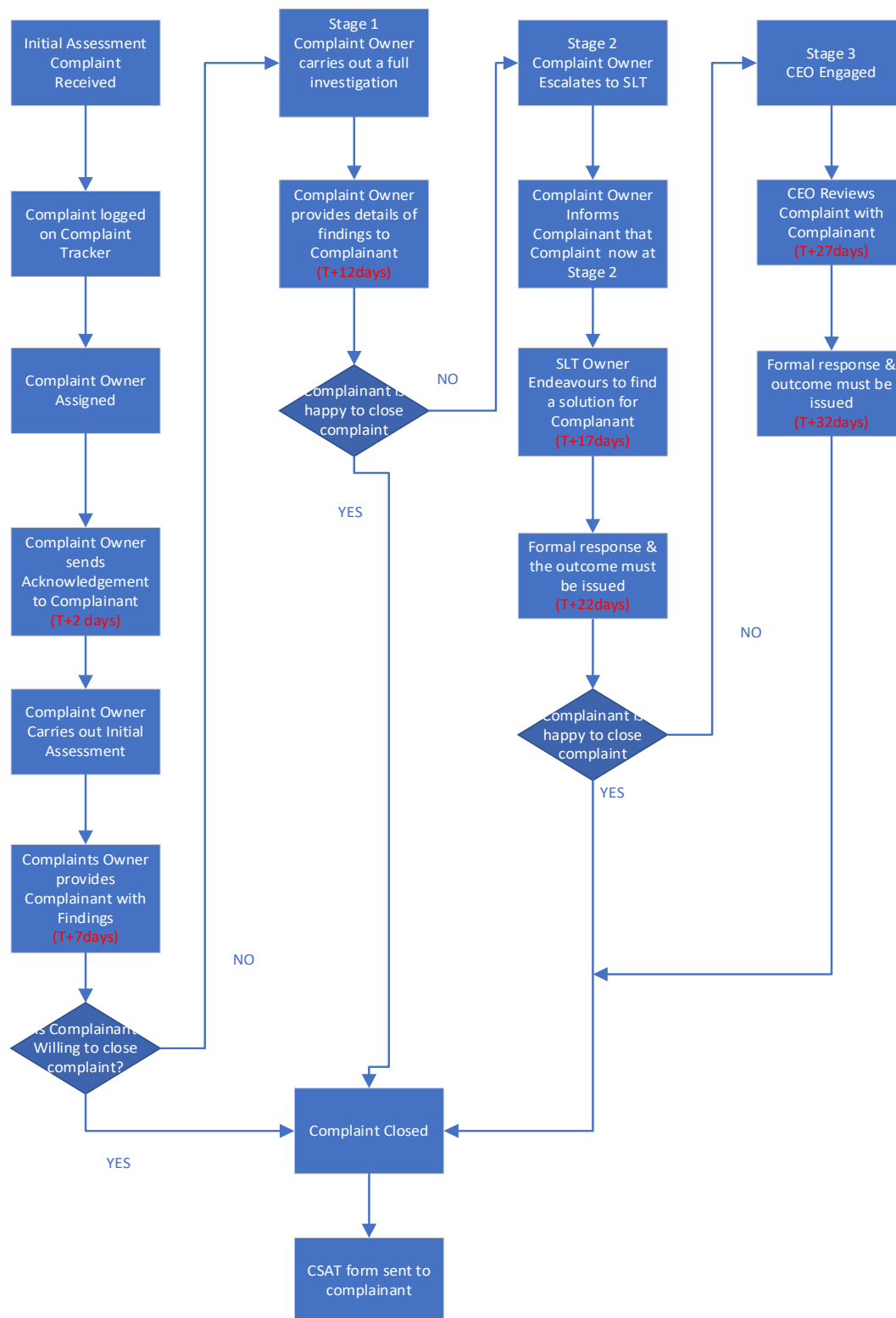
1. The Complaint Owner will escalate the complaint to the relevant member of Delt's SLT.

2. The Complaint Owner will communicate with the Complainant and advise of the move to stage 2 of the process and advise who from SLT will contact the Complainant. The member of SLT will contact the Complainant **within 5 working days** from the communication. **(T+17 working days)**.
3. The SLT member will review the nature of the complaint with the complainant and endeavour to reach a resolution.
4. Formal response and the outcome must be issued within **5 working days** of the Stage 2 acknowledgement. **(T+22 working days)**.
5. The complainant should be offered the opportunity of further review by the CEO if they are not satisfied in the Stage 2 response.

Stage 3

1. The Complaint Owner will escalate the complaint to the Delt CEO.
2. The Complaint Owner will communicate with the Complainant and advise of the move to stage 3 of the process. The CEO will contact the Complainant **within 5 working days** from the communication. **(T+27 working days)**.
3. The CEO will review the nature of the complaint with the complainant and endeavour to reach a resolution.
4. Formal response and the outcome must be issued within **5 working days** of the CEO acknowledgement. **(T+32 working days)**.

Process Flow



Closing the complaint

Once the Complainant has agreed that the complaint is resolved and can be closed, the complaint owner will record on the [Complaints Tracker](#) the resolution and that the Complainant has confirmed the complaint can be closed.

A closure email or letter will be sent to the complainant outlining.

- The outcome of the review and/or investigation and whether underlying issues were found.
- Any actions taken or proposed and reasons for the actions or proposed actions if appropriate.
- A survey will be sent to the Complainant for feedback on how the complaint was managed.

End of Document

