



COMPANY COMPLAINTS PROCEDURES & STANDARDS OF SERVICE

Lucas UK Group Ltd
Unit 11 Invicta Business Park
Wrotham
KENT
TN15 7RJ

Table of Contents

DOCUMENT CONTROL.....	3
DISTRIBUTION SCHEDULE.....	3
AMENDMENT RECORD.....	4
COMPLIANCE REVIEW.....	5
ORGANISATIONAL CHART.....	6
SECTION ONE - COMPLAINTS & FEEDBACK MANAGEMENT POLICY & PROCEDURES.....	7
SECTION TWO - WORKING INSTRUCTIONS.....	11
SECTION THREE - STANDARDS OF SERVICE.....	15
SECTION FOUR - FORMS & FEEDBACK.....	18
COMPLAINTS & FEEDBACK LOG.....	19

INTRODUCTORY NOTE

- 1.1 Our Company Complaints Procedures is divided into Four sections,
- Part One - Complaints & Feedback Management Policy & Procedures
 - Part Two - Working Instructions
 - Part Three - Standards of Service
 - Part Four - Forms & Feedback
- 1.2 Part One contains the general approach and management to complaints handling and gives roles and responsibilities to member of Lucas UK Group.
- 1.3 Part Two provides working instructions to our staff and it also contains our leaflet – How to Complain About our Services.
- 1.4 Part Three explains our Standards of Service, specifically about how we will engage with our clients to meet their needs.
- 1.5 Part Four contains our example Complaints & Feedback Log; a working copy of this Log is available on request.
- 1.6 Where reference has been made to his, him or he, this will refer to either gender.

COMPLIANCE REVIEW

- 1.7 Lucas UK Group Complaints Procedure shall be formally reviewed annually. The review shall cover all sections of the Policy and shall ensure that:
- 1.9.1 The responsibilities reflect the current staffing of Lucas UK Group.
 - 1.9.2 The arrangements remain unchanged.
 - 1.9.3 That all Sections remain as best practice and are legislative compliant.
- 1.8 Additionally, they shall be reviewed as necessary to reflect any changes in working methods, appointments or materials used.
- 1.9 All instances of complaint shall be formally investigated and shall be compiled into a report for the Managing Director and shall include recommendations of the action to be taken to rectify any issues raised.

ORGANISATIONAL CHART

Refer to publish Organisation chart

SECTION ONE - COMPLAINTS & FEEDBACK MANAGEMENT POLICY & PROCEDURES

This section contains the management policy & procedures for dealing with complaints and feedback.

1. Purpose and Scope

1.1. This procedure defines the arrangements for:

- 1.1.1. Identifying, reviewing and resolving complaints.
- 1.1.2. Learning and applying lessons from other forms of feedback from clients or purchasers – whether written or verbal.

2. Responsibilities

2.1. The overall responsibility for this procedure lies with the management team, who are ultimately responsible for ensuring that:

- 2.1.1. All complaints are resolved through taking the necessary action to correct the problems.
- 2.1.2. All complaints are reviewed to identify the need for preventative action to minimise the chances of such a complaint recurring.
- 2.1.3. Any other feedback is reviewed so that any lessons can be learnt, and necessary action taken.

2.2. All staff are responsible for:

- 2.2.1. Reporting complaints and feedback through their line manager.
- 2.2.2. Fully co-operating with any investigation into a complaint.
- 2.2.3. Ensuring that clients are aware of how to make complaints.
- 2.2.4. Failure to report complaints or to fully co-operate with an investigation into a complaint may give rise to disciplinary action.

3. Policy

- 3.1. All clients are informed of Lucas UK Group complaints procedure when they first make use of the service. In addition, copies of the complaint's procedure are made readily available in the head office.
- 3.2. All complaints (whether verbal or in writing or on social media) will be investigated in a constructive manner to establish their validity. Any valid complaint will be thoroughly investigated and resolved at the earliest opportunity.
- 3.3. The person making a complaint shall be advised of proposed action, as soon as possible.
- 3.4. The complainant will be written to within 3 working days of making the complaint explaining that the complaint is currently being investigated and the named person responsible for this.
- 3.5. Corrective and preventative action (where applicable) shall be agreed, and the complaint resolved within 28 working days of receipt.
- 3.6. If this is not possible, the person making the complaint shall be informed of the progress of the complaint.
- 3.7. Legitimate complaints show that we have not performed well. They represent an exceptional opportunity for improvement.

4. **The Management of Complaints**

- 4.1. Clients and service users/recipients and partner agencies are offered a number of ways to make a complaint. These are set out in our leaflet “how to complain about our service”. The leaflet also sets out the broad actions that will be taken.
- 4.2. Details of any complaint or feedback are always recorded by the staff member receiving the complaint (whether verbally or in writing) on the Complaints/Feedback Log. A copy of which is held confidentially.
- 4.3. Complaints are always reported to the member of the management team with operational responsibility for the area concerned. S/He will consider the validity of the complaint and may allocate it for further investigation or resolution.
- 4.4. Details of the investigation, actions taken, and communications made are recorded and signed on the Complaints/Feedback Log and in the case of complaints from clients a record is also made on the clients file. (in the case of complex complaints, the Complaints/Feedback Log may reference other documents).
- 4.5. The allocated person takes the agreed corrective and preventative action to achieve a satisfactory solution, seeking advice from the management team where required.
- 4.6. All significant complaints are reviewed by the Management Team (through management team meetings) and to ensure that any corrective and preventative actions are progresses / actioned in a timely manner.
- 4.7. On completion of any corrective and preventative actions the (subject to checks that need to be carried out) Complaints/ Feedback Log is signed off, and authorised by the Managing Director.

5. **Complaints Against Staff Members**

- 5.1. If a staff member is the subject of a complaint, Lucas UK Group may redeploy the employee or suspend her/him on full pay while an investigation is carried out. The Managing Director is responsible for such decisions.
- 5.2. Disciplinary proceedings or poor performance procedures may be instigated as a result of a complaint.
- 5.3. Where it is determined that disciplinary proceedings are required, Lucas UK Group will determine on a case by case basis, whether complaint or disciplinary action takes precedence or whether these are carried out in parallel.
- 5.4. All investigations will be carried out as expeditiously as possible and employees have a right to be accompanied during investigation.

6. **Feedback arrangements**

- 6.1. Feedback is sought in a variety of ways including:
 - 6.1.1. Ongoing informal contact with clients and others.
 - 6.1.2. Periodic meetings with individual clients (e.g. reviews).
 - 6.1.3. Periodic meetings with groups of clients.
 - 6.1.4. Periodic use of questionnaires and surveys.
- 6.2. Feedback from clients and others also represents an exceptional opportunity for improvement, and therefore shall be handled in the same ways as a complaint.

7. Appeals

- 7.1. Appeals against results will be fully compliant with the appropriate awarding body's procedures.

SECTION TWO - WORKING INSTRUCTIONS

These working instructions are to be read in conjunction with, and to be considered part of, the Company Complaints Procedures of Lucas UK Group.

Staff Instructions for Complaints and Feedback

1. All staff are responsible for;
 - 1.1. Reporting complaints and feedback through their lines of management.
 - 1.2. Fully co-operating with any investigation into a complaint.
 - 1.3. Ensuring that clients are aware of how to make complaints.
2. The complaints leaflet, "**How to Complain About Our Services**";
 - 2.1. Explains the different ways clients and others can make complaints.
 - 2.2. Sets out the broad actions that will be followed.
3. Staff members receiving complaints (whether verbally or in writing) are to;
 - 3.1. Record them in the Complaints/Feedback Log.
 - 3.2. Report them to the member of the management team with operational responsibility for the area concerned.
4. The relevant management team member (or in the case of complaints to the Board, the Chair of the Board):
 - 4.1. Considers the validity of the complaint.
 - 4.2. Allocates it for further investigation or resolution as necessary
 - 4.3. Records details of the investigation, actions taken and communications in the Complaints/Feedback Log. (In the case of complex complaints, the Complaint/Feedback Log may reference to other documents).
 - 4.4. Follow up on any actions to ensure they have been effective and then sign off the Complaints / Feedback Log.
 - 4.5. All significant complaints are reviewed by the Management team (through Management Team meetings) to ensure that any corrective and preventative actions are progresses/actioned in a timely manner.

LEAFLET - HOW TO COMPLAIN ABOUT OUR SERVICES

1. We want to provide the best possible service. If something does not come up to standard, or you are unhappy with our service, please tell us.
2. There are several ways you can let us know if you think our service does not come up to standard:
 - 2.1. Firstly, you can discuss your complaint with any of the staff who are working with you. They will:
 - 2.1.3. Try to give you an explanation and to sort things out.
 - 2.1.4. Tell you what they will do, but they may need to discuss things with a manager first and then get back to you.
 - 2.2. If it isn't possible to talk to the staff who are working with you, or you are not comfortable about doing so, or you are not happy with the results of your discussion, you can talk to any other member of staff.
 - 2.2.3. You can talk to this person privately first, but s/he will need to talk with other people involved.
 - 2.2.4. S/he will discuss what needs to happen next and listen to your views carefully about this.
 - 2.3. If neither of these options is right for you, or you are still unhappy, you can write to:

The Managing Director
Lucas UK Group
11 Invicta Business Park
London Road
Wrotham
Kent
TN15 7RJ
 - 2.4. The Managing Director will write back within 7 working days, to let you know your complaint has been received.
 - 2.5. If your complaint cannot be resolved straight away, the he will tell you what is going on and keep you informed.
 - 2.6. He will also write to you, letting you know the results of any investigation into your complaint.
3. If you are still unhappy with the results, or if your complaint is about the Managing Director, you can ask for your complaint to be considered by the Board of Lucas UK Group.
 - 3.1. These are the people who have overall responsibility for our service. You will need to write to:

The Board
11 Invicta Business Park
London Road
Wrotham
Kent
TN15 7RJ
 - 3.2. Write back within 10 working days, to let you know your complaint has been received.
 - 3.3. Decide the best way to investigate your complaint, which might include bringing in an independent person from outside Lucas UK Group to look into it.

3.4. Let you know the results of any investigation into your complaint.

4. What we will do:

4.1. We will always,

- 4.1.3. Make every effort to put right any problems or difficulties as quickly as possible.
- 4.1.4. Respect your right to have a friend, relative or advocate to support you or to speak up for you.
- 4.1.5. Listen carefully to any complaints and deal with them fairly, openly and promptly, keeping people informed of any actions we take.
- 4.1.6. Always report complaints to members of the Board of Trustees so they are properly considered.
- 4.1.7. Never victimise anyone because they have made a complaint.
- 4.1.8. Apologise if we knowingly cause people any inconvenience and “own up” if we make mistakes.

SECTION THREE - STANDARDS OF SERVICE

These standards are to be read in conjunction with, and to be considered part of, the Company Complaints Procedures of Lucas UK Group.

Standards of Service

5. We will treat our clients / clients as unique individuals;
 - 5.1. listen to our clients / clients' views about the service they want from us and take their views fully into account when we are planning or providing services.
 - 5.2. consult with and involve clients / clients, when we are making decisions that affect them.
 - 5.3. respond flexibly, promptly and efficiently to meet each individuals' needs.
 - 5.4. pay special attention to the way we work with people who have difficulty in communicating or expressing their views or who lack confidence.
 - 5.5. never discriminate against people because of the colour of their skin, their gender, age, sexuality, religious beliefs, social standing or cultural background.
 - 5.6. strive to make sure that our service caters for the needs and preferences of different groups in our community.
6. We will be clear and open with our clients / clients about what we can and can't do and what we expect of them. We will strive to be helpful and supportive and always be courteous to them;
 - 6.1. put the interests and needs of our clients / clients first and work in a constructive way to promote the best interests of our clients / clients.
 - 6.2. explain to our clients / clients the service we have agreed to provide and the things we will do.
 - 6.3. let people know if we can't do the things they want and explain why we can't.
 - 6.4. make clear to our clients / clients the things that we expect of them.
 - 6.5. make sure that our clients / clients have the maximum possible control over what we do and when we do it.
 - 6.6. respect our clients / clients right to make choices and make clear the choices that they have.
 - 6.7. support our clients / clients in taking responsibility for their actions and understanding the consequences of them.
7. We will provide people with information that is accurate and up to date;
 - 7.1. provide clear written information about our services and take care to explain this to people.
 - 7.2. provide information in a way that is easy to understand - for example using plain written language, access to interpreters, translation of documents and taking care to explain things to people who are not able to read.
 - 7.3. help people to find out information about other services and sources of help.
 - 7.4. respond to any requests for information promptly and courteously, acknowledging written enquiries with 4 working days and giving a full response, wherever possible, within 10 working days. If it takes us longer to respond we will let people know why.
8. We will let people know if things don't go to plan and make every effort to correct any problems or difficulties.

- 8.1. give people clear information about how to complain if they are not happy about our services.
 - 8.2. respect people's right to have a friend, relative or advocate to support them or to speak up for them in any of their dealings with us.
 - 8.3. listen carefully to any complaints and deal with them fairly, openly and promptly, keeping people informed of any actions we take to investigate and resolve their complaints.
 - 8.4. give people a response to any complaint within 4 weeks and advise the complainant of the outcome.
 - 8.5. never victimise anyone because they have made a complaint.
 - 8.6. apologise if we knowingly cause people any inconvenience and "own up" if we make mistakes.
9. We will respect any information we have about people;
- 9.1. treat private information that people give us in confidence and not share it with other people without their permission or the permission of someone acting on their behalf - unless the law, terms of contract, or codes of practice require us to do otherwise.
 - 9.2. respect people's legal rights to have access to the information we keep about them.
 - 9.3. keep any information we have about people up to date and secure and keep our records in a professional manner.
10. We will always strive to provide the best possible service;
- 10.1. regularly seek our clients / client's views about the quality of our services and take their views into account.
 - 10.2. continuously seek out ways of improving our service.
 - 10.3. make sure that our staff are properly recruited, trained and supervised, so that they have the skills to carry out the tasks required of them.
11. We will provide a service that is safe;
- 11.1. take all reasonable steps to ensure our clients / clients' personal safety while we are providing services.
 - 11.2. keep our buildings, furniture and equipment in good, safe and hygienic condition.

SECTION FOUR - FORMS & FEEDBACK

These forms are to be used and actioned in conjunction with, and to be considered part of, the Company Complaints Procedures of Lucas UK Group.

