



Comments, Compliments & Complaints Policy

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1. Introduction

1.1. Purpose

Cwm Taf Morgannwg Mind (“CTMM”) is committed to providing high quality services to everyone who accesses support. We will maintain the highest possible standards of openness, transparency, and accountability.

We recognise that one of the ways in which the organisation can continue to improve services is by listening and responding to the feedback from service users, supporters, and stakeholders. We will encourage people to use this policy to provide feedback.

We recognise that effective communication is a vital part of dealing with comments, compliments and complaints to ensure people feel listened to and respected.

We know that sometimes we will be able to put things right and make improvements. On occasion we may only be able to explain our actions, apologise and learn from feedback.

1.2. Scope

This policy can be used by Cwm Taf Morgannwg Mind’s service users, volunteers, supporters and the general public.

This policy does not apply to employee complaints. Employees should use Cwm Taf Morgannwg Mind’s Grievance Policy or Whistleblowing Policy where appropriate.

1.3. Aims

- ✓ To provide a framework for raising and addressing comments, compliments and complaints that is fair, easy and as transparent as possible.
- ✓ To explain what steps Cwm Taf Morgannwg Mind will take if it receives feedback or a complaint.
- ✓ To ensure consistent, equitable and fair treatment in line with Cwm Taf Morgannwg Mind’s values in accordance with adherence with Cwm Taf Morgannwg Mind’s Equality, Diversity, Inclusion and Equity (EDIE) policy.
- ✓ That making a complaint will not harm or prejudice the service that is given to the person raising it, and Cwm Taf Morgannwg Mind will ensure that they are treated with respect and courtesy, receiving appropriate support throughout the handling of the complaint.
- ✓ Learning from complaints will be used to improve Cwm Taf Morgannwg Mind’s work and drive forward a culture of continuous improvement.

2. Responsibilities

2.1. The Board of Trustees Responsibilities

The Board of Trustees are responsible for:

- Reviewing and approving this policy every three years, as well as ensuring that Cwm Taf Morgannwg Mind is properly resourced to fulfil its obligations.
- Ensuring all aspects of this policy are fairly, equitably, consistently and sensitively applied in line with Cwm Taf Morgannwg Mind's values and in accordance with the organisation's EDIE policy.
- Regularly monitoring comments, compliments and complaints for any trends to inform ways to improve practice and maintain high quality services.

2.2. The Chief Executive and Senior Leadership Team ("SLT") Responsibilities

The Chief Executive and Senior Leadership Team (including Head of Services & Deputy CEO and Finance Manager) are responsible for:

- Ensuring all employees are aware of this policy and procedure.
- Ensuring all aspects of this policy are fairly, equitably, consistently and sensitively applied, in line with Cwm Taf Morgannwg Mind's values and in accordance with the organisation's EDIE policy.
- Treating any concerns seriously and dealing with them in a timely manner.
- Offering reasonable adjustments and wellbeing to support the person raising any concerns where the process is causing them distress or affecting their mental health.
- Offering reasonable adjustments or extra support to employees who need it, including to individuals named in a complaint, where the process is causing distress or affecting the mental health of anyone involved.
- Regularly monitoring comments, compliments and complaints for any trends to inform ways to improve practice and maintain high quality services.
- Maintaining a log of the number of all compliments, comments and complaints and presenting a report of this data to the Board of Trustees each quarter.

2.3. Staff Responsibilities

Staff are responsible for:

- Reading and understanding this policy.
- Listening to anyone sharing feedback or raising a complaint and making them feel listened to and supported.
- Escalating any complaints to Head of Services & Deputy CEO or Chief Executive.
- Forwarding any comments and compliments to feedbackandcomplaints@ctmmind.org.uk.

- Treating any person who complains fairly, compassionately and respectfully in accordance with the EDIE policy.
- Communicating openly and honestly during complaints investigation meetings.
- Attending any training relevant to their duties and this policy.

3. Comments, Compliments and Complaints

3.1. Feedback: “Comments and Compliments”

Cwm Taf Morgannwg Mind welcomes compliments about its services. Any written compliments received will be shared with the member of staff, volunteer, and/or relevant department.

Compliments allow Cwm Taf Morgannwg Mind to know when something is working well and continue to deliver suitable services.

Cwm Taf Morgannwg Mind recognises that **comments** are helpful for reviewing the services on offer, and welcome suggestions of solutions. Cwm Taf Morgannwg Mind will advise of any changes made as a result of a comment.

All comments and compliments can be sent via email to feedbackandcomplaints@ctmmind.org.uk.

3.2. Complaints

Cwm Taf Morgannwg Mind will make sure that making a **complaint** is as easy as possible. All complaints will be taken seriously as a clear expression of dissatisfaction with a service or individual which calls for an immediate response.

Any person making a complaint will always be treated with courtesy and fairness in accordance Cwm Taf Morgannwg Mind’s EDIE policy.

Complaints will be responded to the in right way – for example, with an explanation or an apology where things have gone wrong, and information on any action taken etc.

Learning from complaints will be shared and will be used to improve services. Concerns raised informally will be dealt with as quickly and efficiently as formal complaints.

Persistent/vexatious complaints will be managed sensitively in order to support the person making the complaint whilst ensuring that other service users, staff and volunteers do not suffer detriment.

This policy and procedures outlined in point 4 will be regularly reviewed for its effectiveness and accessibility.

3.3. Monitoring

A log of all comments, compliments and complaints is kept securely on CTMM’s company SharePoint site and a quarterly report detailing the number of compliments and complaints via the Dashboard Reporting Tool is prepared by the SLT for the Board of Trustees to

review.

Complaints are monitored to identify any trends which will inform ways to improve practice and maintain high quality services.

Support and training are offered to staff to enable them to conduct investigations.

Complaint information will be retained for a period in accordance with the Data Retention Schedule as outlined in the Data Protection Policy.

3.4. Confidentiality

Confidentiality will be maintained where possible as outlined in Cwm Taf Morgannwg Mind's Confidentiality Policy and Data Protection Policy.

Where a complaint concerns an individual, requires an investigation or raises safeguarding implications, confidentiality may need to be breached. This will be explained to the person making the complaint before being acted upon.

4. Complaints Procedural Guidelines

These guidelines set out the procedures in place when dealing with a complaint.

Appendix A contains a complaints flow chart demonstrating the procedural guidelines for complaints. **Appendix B** contains the complaints form that can be used when submitting a complaint. These will both be accessible to staff in the quick access links on CTMM's SharePoint.

4.1. Stage One - Submitting an informal complaint

To make an initial complaint (Stage 1), please speak to or email the individual(s) concerned or their line manager and we will endeavour to satisfy your complaint. We will let you know of any remedial action that is to be taken.

If you don't know who to contact or do not wish to contact the individual involved, email feedbackandcomplaints@ctmmind.org.uk or send your complaint in writing to Cwm Taf Morgannwg Mind, 88 Pontmorlais, High Street, Merthyr Tydfil, CF47 8UH or alternatively leave a message by telephone on 01685 707480 or in person.

In the event that your complaint involves the Chief Executive or a Board of Trustee member, please address your complaint for the attention of Chair of Trustees and email to chairtrustee@ctmmind.org.uk.

You will be sent an acknowledgement of receipt of your complaint within 5 working days from the date it is received.

In order for us to resolve your issue to the best of our ability, please include as much detail as possible regarding your complaint, including any relevant communications or documentation.

Service users can choose to make a complaint via an advocate, relative or friend. If this is the case, it should be made clear that it is the person making the complaint supported by

the third party, rather than the third person making the complaint. All communication will be sent to the person making a complaint, and if they request it, copies can be sent to the third party.

We will respond to informal complaints within 14 working days from the acknowledgement of receipt of your complaint.

4.2. Stage Two - Submitting a formal complaint

If you are not satisfied with the response you receive at Stage 1, or you would prefer your complaint to be formally investigated from the beginning, you can request your complaint to be escalated to **Stage 2**, either through your contact at Stage 1, by **emailing** feedbackandcomplaints@ctmmind.org.uk, **in writing** to Cwm Taf Morgannwg Mind, 88 Pontmorlais, High Street, Merthyr Tydfil, CF47 8UH **by telephone** on 01685 707480 or **in person**.

In the event that your complaint involves either the Chief Executive or a Board of Trustee member of Cwm Taf Morgannwg Mind, you can escalate your complaint via your contact at Stage 1 or via email to the Chair of Trustees: chairtrustee@ctmmind.org.uk.

You will be sent an acknowledgement of receipt of your complaint within 5 working days from the date it is received.

An appropriate manager will be assigned to investigate your complaint based on the gravity of the concern and you will receive a full written response within 20 working days from the date of the acknowledgement.

If you are not satisfied with the response to your complaint in Stage Two, you will be given the opportunity to communicate with the Chief Executive or member of the Board as appropriate and given the option to appeal (**Stage Three**).

4.3. Stage Three – Appealing against the decision

If you are not happy with the outcome of the investigation and wish to appeal against the decision made, you must put this in writing and email it to feedbackandcomplaints@ctmmind.org.uk or send it in writing to: Cwm Taf Morgannwg Mind, 88 Pontmorlais, High Street, Merthyr Tydfil, CF47 8UH within 10 working days of receiving the decision.

The appeal review and further investigation will be carried out by someone at a senior level to the original investigator – for example, if the complaint was against a manager and thereby investigated by the Chief Executive, a member of the Board of Trustees will review the complaint and make further investigation if necessary.

You will be informed of the outcome of your appeal within 20 working days.

The response of the appeal will be final and no further internal investigations will take place.

4.4. If dissatisfied with the outcome of the investigation:

If the person making the complaint is still dissatisfied with the outcome of the investigation, they can contact external agencies dependant on the complaint:

- **General Complaints** – Contact: The Charity Commission <https://www.gov.uk/government/organisations/charity-commission/about/complaints-procedure> or call 0300 066 9197.
- **Data Protection Complaints** – Contact: The ICO <https://ico.org.uk/make-a-complaint/> or call 0303 123 1113.
- **Fundraising Complaints** – Contact: Fundraising regulator <https://www.fundraisingregulator.org.uk/service/complaints-and-investigations> or call 0300 999 3407.

5. Policy Implementation

The Comments, Compliments & Complaints Policy will be shared at induction and located on SharePoint under the quick access button “Policies & Procedures”. Staff, volunteers and trustees will be required to read and understand this policy as part of induction and refresher training.

The Comments, Compliments & Complaints Policy will be accessible to the public via Cwm Taf Morgannwg Mind’s website: www.ctmmind.org.uk.

6. Version Control

Change Control	
Version	V1.1
New/Replacement or Updated	Updated
Approved by:	The Board of Trustees
Date Approved:	26 th September 2024
Author:	Governance and Corporate Services Lead
Review due:	September 2027
Date first ratified:	26 th September 2024

Revision History			
Version	Type	Date	History
V1.0	New	30.08.24	Ratified 26.9.24
V1.1	Updated	23.10.25	Address Updated
V1.2	Amended	09.02.26	

There may be occasions where it has not possible to review this policy within the timescale indicated above, such as where there are imminent legislative changes, and in these cases the existing policy will remain valid until renewal.

APPENDIX A: COMPLAINTS PROCEDURAL FLOW CHART

STAGE ONE: INFORMAL

Contact the individual(s) concerned or their line manager.

If you don't know who to contact or don't want to speak to individual involved, email feedbackandcomplaints@ctmmind.org.uk

Complaint regarding Chief Executive or Board of Trustee member, email: chairtrustee@ctmmind.org.uk

Acknowledgement of complaint within 5 working days

Response to complaint within 14 working days of acknowledgment

If unhappy with response, request through the contact at stage one to escalate to Stage Two.

STAGE TWO: FORMAL

Acknowledgement of receipt of complaint within 5 working days from the date it is received

An appropriate manager will be assigned to investigate your complaint and you will receive a full written response within 20 working days.

If you are not satisfied with the response to your complaint, you will be given the opportunity to speak to the Chief Executive or Chair Trustee if appropriate and given the option to appeal (Stage Three)

STAGE THREE: APPEALING AGAINST THE DECISION

An appeal against the decision made in stage two must be put in writing within 10 working days of receiving the decision.

Appeal regarding complaint of a member of staff or service sent by email to: feedbackandcomplaints@ctmmind.org.uk

Appeal regarding complaint of Chief Executive or a Board of Trustee member send by email to: chairtrustee@ctmmind.org.uk

Informed of the outcome of appeal within 20 working days.
The response of the appeal will be final.

APPENDIX B: COMPLAINT FORM

Complaint Form

Your Name	
Contact Details <i>(telephone number & email)</i>	
Address & Postcode	
Name of person filling out this form <i>(if differs to the person making the complaint)</i>	
Details of your complaint <i>Please include any dates, places or other information relevant to this complaint, including any people involved in this complaint if applicable. Please give as much information as possible in order for us to investigate your complaint effectively.</i>	

Once completed:

- Members of the public should email general complaints to feedbackandcomplaints@ctmmind.org.uk.
- Complaints regarding Chief Executive or Board of Trustees to chairtrustee@ctmmind.org.uk.
- Staff must email this form to the Head of Service & Deputy CEO or the Chief Executive.