



Complaints Policy

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Responsible	EAL	Review Scheduled on	September 2019

1. Introduction

Human Appeal is an incorporated UK charity working across the globe to strengthen humanity's fight against poverty, social injustice and natural disaster, through the provision of immediate relief and establishment of self-sustaining development programmes. Our vision is to contribute to a just, caring and sustainable world free of poverty. Human Appeal does this by raising money to fund immediate and long-term sustainable solutions, and empower local communities.

2. Policy Statement

2.1. Human Appeal believes that if a complainant wishes to make a complaint or register a concern they should find it easy to do so. It is our policy to readily accept complaints and look upon them as an opportunity to learn, improve and provide better services. This policy is intended to ensure that complaints are dealt with properly and efficiently and that all complaints or comments by donors and other stakeholders are taken seriously.

2.2. We believe that failure to listen to or acknowledge complaints will lead to an aggravation of problems and donor dissatisfaction. We support the concept that most complaints, if dealt with early, openly and honestly, can be sorted out at a local level between the complainant and our organisation.

3. Policy Objective

3.1. Our aim is to ensure that the complaints procedure is properly and effectively implemented, and that complainants feel confident that their complaints and concerns are listened to and acted upon promptly and fairly.

3.2. To ensure that:

3.2.1 Complainants are aware of how to complain, and that we provide easy to use opportunities for them to register their complaints.

3.2.2 A named person will be responsible for the administration of the procedure.

3.2.3 All complaints are acknowledged within 3 working days.

3.2.4 All complaints to be investigated, resolved and response sent to donor within 5 working days.

3.2.5 All complaints are responded to by email and post.

3.2.6 Complaints are dealt with promptly, fairly and sensitively with due regard to the upset and concerns that they can cause to donors or stakeholders.

4. Definition of terms

CO - Complaints Manager

QM - Quality Manager

DM - Department Manager

CLS – Complaints Log Sheet

FR – Fundraising Regulator



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5. Scope

This policy applies to all persons working for, or on behalf of, Human Appeal regardless of their contractual status.

6. Roles and Responsibilities

- 6.1. The designated Complaints Manager (CM) will be responsible for following through the complaints process.
- 6.2. The Department Managers (DM) will be responsible for thoroughly investigating complaints and implementing appropriate action plans to ensure there is no further reoccurrence.
- 6.3. The Quality Manager (QM) will be responsible for reviewing the effectiveness of each action plan made by department managers.

7. Policy Provisions

7.1. Complaints Standards

- 7.1.1 We can receive complaints by phone call, letter, email or in person.
- 7.1.2 All complaints, no matter how seemingly unimportant, will be taken seriously. There is nothing to be gained by staff adopting a defensive or aggressive attitude.
- 7.1.3 Front line staff members (reception and donor care) who receive a verbal complaint should seek to solve the problem immediately if possible.
- 7.1.4 If staff cannot solve the problem immediately they will record the detail of the complaint on the complaint form and inform the complainant that the complaint will be sent to our complaints manager who will deal with the complaint.
- 7.1.5 All contact with the complainant will be fair, polite and empathetic.
- 7.1.6 We reserve the right to change the personnel in the mentioned roles and responsibilities (e.g. department manager who is investigating) if a conflict of interest arises due to the nature of the complaint.

7.2. Training

- 7.2.1 The CM is responsible for organising and co-ordinating training.
- 7.2.2 All staff should be trained in dealing with, and responding to, complaints. Complaints policy training should be included in the induction training for all new staff and in-house training sessions on handling complaints should be conducted at least annually and all relevant staff members should attend.

7.3. Procedure

7.4. Stage1

This is the first opportunity for us to resolve a complaint. We expect the majority of the complaints to be resolved at this stage. On receipt of the complaint, the complaints manager will acknowledge it within 3 working days and send out a confirmation of receipt email. The complaints manager will then forward the complaint to the relevant department manager to investigate and respond to the complaint within 5 working days.

After the department manager has responded to the complainant, they should complete relevant sections in the complaints form, attaching all evidence of their contact with complainant and the outcome. Furthermore, the complaints manager will follow this up with a call to complainant and



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document the outcome. If the complaint was resolved and the complainant is satisfied, the complaints manager will send a formal letter/email to confirm that the complainant was satisfied with the outcome and that the complaint will now be closed off. Finally, once this has all been documented and logged, the form will be sent to the QM who will review the effectiveness of the action plan put in place by the department manager.

However, if the complainant is not satisfied with the outcome, we will then move onto stage 2 of the process.

7.5. Stage 2

If the complainant is dissatisfied with the response from stage 1, the complainant can request a review. The complaints manager resends the form to the department manager, with an explanation as to why the complainant was dissatisfied and they will now only have 3 working days to respond to the complainant with a reviewed outcome. The same process will be followed by the department manager and complaints manager.

7.6. Stage 3

If the complainant is still dissatisfied, then the complaints manager will escalate the complaint to the Board of Directors. They will review the complaint and provide a full response within 5 working days.

7.7. If the complainant is still dissatisfied

Having followed the three internal stages and we were unable to resolve the complaint, we will refer the complainant to the FR (Fundraising Regulator). The complainant will have 28 days from the date of our final response to register a complaint with the FR. The FR will investigate and assess whether there is evidence of service failure or maladministration from Human Appeal.

8. Recording & Investigating Process

8.1. Throughout each stage and every step, the CM will record actions taken on the Complaints Log and the Complainant's DMS account when applicable.

8.1.1 Once the CM has received the complaint, it will be logged on the complaints log sheet (CLS), reference will be given, notes of date received/acknowledged, reference and all notes will be added to complainants DMS account.

8.1.2 The CM will forward the complaint to the relevant department manager and log the date sent. Half way through DM 5 working days' response time, CM will email to remind DM they need to respond to complainant and complete the form.

8.1.3 DM will forward the complete form with all evidence attached of contacting complainant to CM.

8.1.4 CM will follow up response given by the DM, with the complainant to confirm whether they were satisfied with the response and explanation given via email/call. This will be documented on the CLS and notes will be updated on their DMS account.

8.1.5 If complainant was fully satisfied, the CM will send an official letter explaining actions taken to resolve complaint, preventative measures put in place and that the complainant was satisfied and the complaint will be closed and signed off.

8.1.6 Any follow-ups made to the complainant, the DM, the Board of Directors or the QM will all be recorded on the CLS.

8.1.7 If the complaint is escalated to stage 2 and 3, the CM will record this on the CLS and



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DMS account of complainant.

- 8.1.8** If HA are unable to resolve the complaint after the 3rd stage, the CM will write up formal letter addressing all steps and actions taken to resolve complaints. The CM will then refer complainant to the Fundraising Regulator.

9. Sanctions

Failure to comply with this requirement may result in disciplinary action and summary dismissal.

10. Policy Review

This Policy will be reviewed on a regular basis to ensure continuing appropriateness.

11. Related Documents

- Complaints Process Map ([CPMVER01-AUG18](#))
- Complaints Form ([COVER06-AUG18](#))
- Whistle-blowing Policy and Process Map ([WBPVER04-SEP18/WBPVER01-SEP18](#))