

Policy title:	Complaints, Concerns and Compliments
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Summary:	Insight Psychological Assessments Ltd welcome clients (or those acting on their behalf / family members), external stakeholders and partners and other agencies providing their comments and raising concerns or complaints about our service. Insight Psychological Assessments Ltd undertakes to listen to and act on effectively when concerns are raised and will ensure that no-one is discriminated against or disadvantaged for making a complaint.
Target audience:	All Insight Assessments ' <i>team members</i> ', whether employed, contracted or part-time, paid or unpaid, volunteers, students, and contractors.
Authorised by:	Insight Psychological Assessments Ltd Director
Date issued:	
Next review date:	

Version no.	Issue date	Summary of amendments

1. Introduction and Scope of Procedure

- 1.1 Insight Psychological Assessments Ltd aims to provide high quality services which meets the needs of all its clients and stakeholder partners.
- 1.2 In order to maintain our high quality and performing service we recognise the importance of listening to feedback and responding to complaints. This ensures we are able to learn lessons when we do not meet the high standards we seek to achieve. Through this complaint’s procedure, you can let us know if, for any reason you are not satisfied with your dealings with our organisation.
- 1.3 This procedure covers all complaints against Insight Psychological Assessments Ltd by external persons/parties. Where complaints make allegations of misconduct against members of staff, this procedure may be superseded by use of the staff disciplinary procedure or other appropriate staffing procedure.
- 1.4 Although Insight Psychological Assessments Ltd are not members of the Independent Sector Complaints Adjudication Service (ISCAS scheme), we use the ISCAS’s Seven Steps to Good Complaints Handling as a helpful framework (Appendix 1.).

2. General Principles

2.1 Insight Psychological Assessments Ltd will ensure that the complaints and compliments process is fair and transparent and does not discriminate directly or indirectly because of:

Age Being or becoming a transsexual/transgender person Being married or in a civil partnership Being pregnant or on maternity leave	Disability Race includes colour, nationality, ethnic or national origin. Religion, belief, or lack of religion/belief Sex & Gender orientation
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Insight Psychological Assessments Ltd understands its commitment to being open and transparent and will follow the agreed policy and procedure. The complainant should feel free to complain without fear of reprisal and will be treated with courtesy, respect, and compassion.

- 2.2 All complaints will be dealt with in an open and transparent way and as quickly as is reasonably practicable. Complainants will be kept informed during any review or investigation of their complaint and of the outcome, except where this is confidential, e.g. in the case of a staff disciplinary process. Every effort will be made to resolve complaints in a non-confrontational and informal way.
- 2.3 Complaints will be logged so we can monitor themes / trends and numbers of complaints as part of our good governance processes. All complaint outcomes will also be logged.

2.4 Where the timescales within this procedure cannot be adhered to, the complainant will be informed as to why this is the case and given a revised timescale for dealing with their complaint.

2.5 There may be rare occasions when, despite all the stages of the procedure having been followed, a complainant remains dissatisfied. If the complainant subsequently seeks to re-open the same issue, the Chair of the Appeal Panel has the right to inform them that the procedure has been exhausted, and the matter is closed.

2.6 All received complaints, whether written or verbal, will be recorded.

Recorded details will include:

- the date and time the complaint was received.
- a description of the complaint
- details of the investigation carried out.
- any actions taken, and
- whether or not the complaint was upheld.

3. Resolving Concerns and Complaints

3.1 Managing concerns. Concerns may be a minor verbal concern expressed by an individual expressing their disappointment in some aspects of their program, the service or team members. Complaints may be received in the form of a letter, e-mail, telephone call or in person.

3.2 At each stage in the procedure, Insight Psychological Assessments Ltd will consider the ways in which a complaint can be resolved. It might be sufficient to acknowledge that the concern or complaint is valid in whole or in part. In addition, it may be appropriate to offer one or more of the following:

- i. A face-to-face opportunity to discuss the complaint in more detail (or online)
- ii. an apology.
- iii. an explanation.
- iv. an admission that the situation could have been handled differently or better.

- v. an assurance that the event complained of will not recur and the steps taken to prevent further issues.
- vi. an undertaking to review policies and procedures in light of the complaint.

It is always helpful to ascertain what outcome complainants are hoping for and/or what actions they feel might resolve the problem at any stage. An admission that the Insight Psychological Assessments Ltd could have handled the situation better is not the same as an admission of negligence.

4. Stages of the Procedure

4.1 Local resolution (Informal Stage)

Many concerns and minor concerns and complaints can be resolved quickly and informally. There are many occasions where issues are resolved immediately through the Registered Manager or another member of staff, depending upon the nature of the complaint. Unless there are exceptional circumstances every effort will be made by the Director or another senior member of staff to have a full discussion with the complainant before moving into the stages of this procedure. These are still logged as concerns or complaints and Appendix 3. Form should be used.

4.2 Formal Stage

If the concern/complaint is not resolved through such informal discussions at the Local Resolution 'informal stage', the complainant will be encouraged to outline their complaint in writing addressed to the Registered Manager. If this is not possible or the complainant is unable/willing to do this, the Registered manager or nominated senior staff member must contact the complainant and document the essence and details of the complaint and confirm this with the complainant within 10 days of the complaint first being raised. Appendix 4. Form should be used to document this. The Director will review / investigate the complaint or nominate a senior member of staff to do so. The outcome of the investigation will be documented in Appendix 5. Form.

Following the review / investigation of the complaint the Director (or nominated senior staff member) will provide a written response to the complainant within 20 days from the date the complaint was first raised.

Where the complaint is against the Director, the Director will appoint an external independent complaints investigator who will investigate and provide a written response within 20 days of being appointed.

4.3 Appeal Stage

If the complainant is dissatisfied with the complaint investigation or outcome, they may appeal in writing to the Director outlining the reasons for dissatisfaction.

The Director will appoint an independent Appeal Chairperson who have had no previous

involvement in consideration of the complaint. The independent Appeal Chairperson will review all the evidence, including the original complaint, the investigation, the analysis and responses to the complainant and the reasons for the appeal.

The independent Appeal chairperson will communicate their findings writing to the complainant as soon as possible but, in any case, 10 days of being appointed. The complainant will have no further right to appeal this decision.

Insight Psychological Assessments Ltd contract with an industry specialist to conduct independent investigations:

The contact details are:

Andrew Johnston
26 The Ivies
Newark on Trent
Nottinghamshire, NG24 4 SR

Mobile: 07766791210

Email: Andy@andyjohnstonassociates.com

[AndyJohnstonAssociates - mental health services](#)

5. Review of Complaints

5.1 Insight Psychological Assessments Ltd will ensure that the outcomes from all concerns, complaints, formal or informal, are discussed during monthly governance meetings and cascade learning points and improvement points to team members.

5.2 Insight Psychological Assessments Ltd will review all complaints on an annual basis in terms of:

- the number of complaints received.
- the issues that these complaints raised in terms of any trends or areas of risk that might need to be addressed.
- whether complaints have been upheld, and
- improvements or changes to the environment or recovery program that were made.

6. Complaints of a serious nature

6.1 In the event that a complaint is received that is of a serious nature, additional considerations will be applied. Such complaints may include:

- complaints relating to other investigations, or
- complaints which may be part of disciplinary processes, professional misconduct issues or criminal offences.

6.2 Any complaints received by Insight Psychological Assessments Ltd which indicate a need for actual or potential referral to any of the following, will be overseen by the Director or an independent external investigator.

- investigation under disciplinary procedures
- a professional regulatory body in terms of fitness to practice
- an investigation as to a potential criminal offence
- an investigation where any fraud may be an issue, or
- a safeguarding authority.

7. Compliments

Insight Psychological Assessments Ltd views receiving compliments is an opportunity to celebrate and recognise success.

The Director will ensure that:

- All compliments are shared with team members and displayed in public areas to highlight good practice.
- Compliments are anonymised or permission is sought before displaying them.
- The number of compliments received are logged as part of a quality assurance program.

Appendix 1

Although Insight Psychological Assessments Ltd are not members of the Independent Sector Complaints Adjudication Service (ISCAS scheme). ISCAS's Seven Steps to Good Complaints Handling provides a useful 'Aide memoire'.

Step 1: EMPATHISE

This means approaching the situation from the complainant's perspective. It might involve reassuring the complainant that their ongoing treatment will not be affected by their complaint or acknowledging the impact on them of the events they have complained about or expressing sympathy with the trouble or suffering the complainant reports having experienced.

Step 2: LISTEN

This means developing an understanding of their experience from the complainant's perspective. One of the most helpful things is to offer to meet with complainants. Meetings can have several benefits, from showing that the complaint has been taken seriously and demonstrating that the organisation is in listening mode, to clarifying the key matters of complaint, providing an opportunity to resolve concerns early on, and building rapport and trust.

Step 3: INVESTIGATE

Where complaints investigations are done well, the investigation gets underway swiftly, it has a clear structure and defined scope, and there is a sense of momentum and a defined end. All relevant parties should be asked to input into the investigation, particularly clinicians. Another marker of a good investigation is that conflicts of evidence are reconciled, and complainants are helped to understand the relevance of clinical opinion. There should be a robust documentary record of the investigation.

Step 4: REFLECT

This means making sense of the evidence that has been amassed and the outcome of the investigation. Reflective questions include: Has the investigation got to the bottom of what occurred? What further steps, if any, are necessary before a full response can be made? Which aspects of the complaint, if any, should be upheld? How can we learn from this? How can we prevent the same problems from happening again? How well have we managed this complaint? What might we do differently if a similar situation were to happen?

Step 5: RESPOND

Doing so, within the specified timeframes (or giving reasons why this is not possible and when a full response will be made) and being clear what the organisation has found. It means demonstrating candour regarding any failings, and being explicit about deficiencies and what should have happened, and any steps taken to prevent the same problems occurring again. Responding also means being clear whether the complaint is upheld, and what that means.

Step 6: REMEDY

Complainants seek a range of remedies, from financial redress to an apology and assurances that steps will be taken to avoid the same problems happening again. It is important to acknowledge the remedy that the complainant seeks and whether the organisation is prepared to grant it, and the reasons why. Wherever possible, the response should try to return the complainant to the position they would have been in if the events concerned had not happened. Any apology should be clear and unequivocal.

Step 7: ACT

This means ensuring that change happens, and that the outcome is communicated to complainants. It is about describing what action has been taken to learn lessons and what has or will be done to prevent the same shortcomings from arising again.



Appendix 2

Third party consent

Client's Full Name:			
Client's Address:			
Telephone Number:			
Name of Complainant:			
Complainant's relationship with Client			
Complainant's Address (if different):			
Complainant's Telephone Number:			
<p>If you are complaining on behalf of a client of Insight Psychological Assessments Ltd the consent of the client will be required. Please obtain the client's signed consent using this third-party consent form.</p> <p><i>'I authorise the above-named person to complain on my behalf. I authorise and consent to Insight Psychological Assessments Ltd releasing information about me and discussing my case with the person named above in relation to this complaint only'.</i></p>			
Client's Signature:		Date:	

Once completed, this form should be sent to location specific:

The Registered Manager
Marquis House
2 North Street
Winchcombe
Gloucestershire GL54 5LH
E: hello@insightassessments.co.uk

Appendix 3

Verbal Concerns/Complaints Form

This form is to be used by Insight Psychological Assessments Ltd team members to record verbal (informal) concerns and minor complaints that are made to Insight Service Ltd. Please aim to politely obtain as much information from the complainant wherever possible.

Date:		Time received:	
Method of contact:	Telephone, Email / In person (Delete as applicable)		
Name of the person raising the verbal concern / complaint:			
Address:			
Postcode:			
Telephone:			
Email address:			
Name of the client (if not the person above raising the verbal concern / complaint):			
Address:			
Postcode:			
Telephone:			
Email address:			
Has the clients signed a consent form authorising the person to raise the verbal concern /complaint?			



Description of concern/complaint:	
Action the complainant would like taken by Insight Psychological Assessments Ltd:	
Outcome: (provide details of how this verbal concern/ complaint was resolved and any advice given, or action taken to resolve the matter):	
Describe how Insight Psychological Assessments Ltd can learn from the issues raised and any improvements / changes planned because of this: (if applicable at this stage)	
Name and designation of the team member receiving the concern / complaint:	
Date sent to the Insight Assessments Registered Manager:	

Appendix 4

Complaint form

Client's Details		Complainant's Details <i>(if not the client)</i>	
First Name		First Name	
Last Name		Last Name	
Date of Birth		Date of Birth	
Address:		Address:	
Telephone:		Telephone:	
Email address:		Email address:	
Complaint details – Please describe what you are unhappy about:			

When and where did the incident take place?
Were any witnesses present at the time, if so, who?



Please state what questions you would like answered?			
What outcome are you seeking from your complaint?			
e.g. an apology, an explanation, action to put things right, reassurance that the same thing will not happen to someone else, or something else.			
Complainant Signature:		Date:	

Appendix 5

Complaint investigation report

Investigating Officer(s):	
Investigation Officer’s Job Title at Insight Assessments:	

1. Complaint Summary Provide a brief, factual (neutralised) description of the complaint and include any effect on the client (severity of harm).
2. Aim of the investigation To provide an independent report into the allegations raised in the complaints at Insight Psychological Assessments Ltd. Please detail all the points raised in complaint.



3. Involvement of client, Family or external individuals as applicable
4. Analysis Breakdown of each point of the complaint – state outcome; upheld, partially upheld, not upheld or withdrawn.
5. Good Practice Identified It is important to record key points where interventions have an important positive impact and may provide valuable learning opportunities.
6. Conclusion/Outcome Record conclusion/ outcome Detail whether the overall response to the complaint is upheld/ partially upheld/ not upheld/ withdrawn.
7. Recommendations Record any recommendations resulting from the investigation - these may be at local level or beyond.
8. Arrangements for Shared Learning Details of any shared learning arrangements.



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Approved recommendations and lessons learned.

Date	
Name of investigator	
Designation of investigator	
Signature of investigator	

Guidance and further reading

- Being open – communicating patient safety incidents with patients and their carers (NPSA, 2009).
- CQC, (2022), *Complain about a service or provider*. [Online] Available from:
<https://www.cqc.org.uk/contact-us/how-complain/complain-about-service-or-provider>
- CQC, (2022), *GP mythbuster 35: Fundamental standards of care*. [Online] Available from:
<https://www.cqc.org.uk/guidance-providers/gps/gp-mythbuster-35-fundamental-standards-care>
- MIND – complaining about health and social care.
<https://www.mind.org.uk/information-support/legal-rights/complaining-about-health-and-social-care/overview/>
- How we deal with complaints.
<https://www.ombudsman.org.uk/making-complaint/how-we-deal-complaints>
- Public Interest Disclosure Act 1998
<http://www.legislation.gov.uk/ukpga/1998/23/contents>
- Regulation 16: Receiving and acting on complaints.
<https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-16-receiving-acting-complaints>
- Independent Sector Complaints Adjudication Service (ISCAS), (2022), *Complaints process*. [Online] Available from: <https://iscas.cedr.com/patients/complaints-process/>
- Parliamentary and Health Service Ombudsman, (2021), *What to do before you come to us*.
<https://www.ombudsman.org.uk/making-complaint/before-you-come-to-us>