

Complaints Policy 2022

1. Introduction and scope

- 1.1 The Stephen Lloyd Awards (the '**Awards**') is an initiative of the Bates Wells Foundation (**'the Charity'**), a charity registered in England and Wales under charity number 1150321 at registered address 10 Queen Street Place, London, EC4R 1BE. The purpose of this policy is to set out how the Charity assesses and responds to complaints.
- 1.2 The policy applies to complaints received from applicants, finalists, winners, supporters, and other individuals coming into contact with the Charity.

2. What is a complaint?

- 2.1 We regard a complaint as being any expression of dissatisfaction about something the Charity or its trustees, staff or volunteers have done or failed to do. If we fail to meet our high standards, we want to hear about it so that we can respond to your concerns, put things right and learn lessons for the future.
- 2.2 We take all complaints seriously and aim to deal with them promptly and fairly.

3. Who can make a complaint?

- 3.1 Anyone affected by something the Charity has done or failed to do can make a complaint.
- 3.2 If, for any reason, you are unable to make the complaint yourself, a representative (such as a friend or family member) may make a complaint on your behalf. In this case your representative should explain why you are unable to make the complaint yourself. We may need to contact you directly to confirm that you have consented to your representative acting on your behalf.

4. How do I make a complaint?

- 4.1 If the issue relates to a specific individual you are already in contact with, in the first instance you should seek to resolve the matter directly with your current point of contact.
- 4.2 If the issue remains unresolved, you can make a formal complaint to the Charity using one of the following methods:
- (a) By emailing the following address: foundation@bateswells.co.uk;
 - (b) By letter addressed to: Stephen Lloyd Awards, c/o Bates Wells Foundation, 10 Queen Street Place, London EC4R 1BE; or
 - (c) By telephone on: +44 (0)20 7751 7777 (quoting Stephen Lloyd Awards).
- 4.3 To help us to resolve the issue efficiently and fairly, please provide the following information in your complaint:
- (a) Your full name;
 - (b) Your contact details (including address, email address and telephone number);
 - (c) How you would like us to contact you in relation to your complaint;

- (d) Your relationship to the Charity (i.e. supporter, applicant, etc);
- (e) A detailed description of your complaint and what you think went wrong, including dates and times of any reported incidents;
- (f) Details of what you have done to try and resolve the issue so far;
- (g) What you would like us to do to resolve the matter; and
- (h) Copies of any documents related to the complaint.

4.4 We appreciate that sometimes you may wish to make a complaint on an anonymous basis. If you withhold your identity, we will take steps to investigate your complaint to the extent possible. However, if you provide your name and contact details it makes it easier for us to fully investigate the complaint, verify information and update you on the progress of our investigations, all of which may not be possible with anonymous complaints. You can ask us to keep your identity confidential and specify any other aspects of the complaint that contain sensitive information.

4.5 Please note that our legal and regulatory obligations are such that we may be obliged to disclose the existence and nature of your complaint to our regulators.

4.6 Complaints should usually be made within three months of the event being complained about. This is because if more than three months have passed since the event complained about, it may not be possible for us to investigate the complaint fairly. We reserve the right not to investigate complaints made outside this timeframe. However, we may agree to investigate complaints made after more than three months if you explain why you did not make the complaint sooner, and we think we are still able to deal with the complaint fairly.

5. **What happens next?**

5.1 All complaints will be dealt with as quickly as possible. We aim to acknowledge receipt of complaints within five working days of receipt, and provide a full response within two months of receipt. In some cases there may be good reasons why we need to extend these timescales, for example if a key person is away, in which case we will let you know our amended response times.

5.2 Your complaint will be logged on our system and directed in the first instance to a trustee who was not involved in the matter being complained about. In some rare cases, we may ask a third party outside of the Charity to investigate the complaint. For example, this may be necessary where the nature of the complaint means that it is not possible for us to deal with it fairly within the Charity.

5.3 Your complaint will be investigated within a reasonable timescale in order to establish the relevant facts. We will review all relevant evidence provided and may also gather and take into account evidence we have gathered. This may include asking you for further information or speaking to other individuals involved.

5.4 Where a complaint relates to an individual or a group of individuals who work for the Charity (for example, the trustees, staff or volunteers), we will usually inform them of the complaint made against them and give them an opportunity to respond. Exceptions to this rule will be assessed on a case by case basis. For example, it would not be appropriate for us to inform the individual(s) where to do so may present a risk to you or others.

- 5.5 If a complaint is particularly serious (for example if it relates to criminal activity or there is an allegation of serious harm to an individual), we will consider whether the complaint should be reported to a third party such as the police, other authority and/or the Charity Commission.
- 5.6 We will tell you the outcome of your complaint using your chosen method of communication, including reasons for the decision made. If your complaint is upheld, we will explain the steps we are taking to put things right.
- 5.7 If your complaint is not upheld or you are unhappy with the resolution offered, you may ask for your complaint to be reconsidered by a trustee who is independent of the original decision-maker and event complained about. At their discretion, they can review the complaint handling process to date or they can re-investigate the complaint. They may ask for further information about why you think the original decision made was unfair.
- 5.8 We will tell you the outcome of this review using your chosen method of communication, including reasons for the decision made. If your complaint is upheld, we will explain the steps we are taking to put things right.
- 5.9 If you are unhappy with our response to your complaint following this internal review, you may wish to escalate your complaint to one of the following external organisations:
- 5.9.1 Charity Commission: <https://forms.charitycommission.gov.uk/raising-concerns/>;
- 5.9.2 Fundraising Regulator (for complaints relating to the Charity's fundraising activity): <https://www.fundraisingregulator.org.uk/complaints>;
- 5.9.3 Information Commissioner's Office: <https://ico.org.uk/make-a-complaint/>.

6. **Monitoring and record keeping**

- 6.1 The Charity will keep a register of complaints.
- 6.2 The register of complaints will include details of the complaint, the date it was received, details of any investigations undertaken and copies of all communications relating to the complaint. The records will be retained for at least 24 months from the date that the complaint was made (except where data protection law requires otherwise).

7. **Review**

- 7.1 This policy was approved by the trustees of the Charity on [30 June 2022].
- 7.2 This policy will be reviewed on an annual basis and revised in response to updated legislation and guidance and lessons learnt from complaints received.

8. **Contact**

- 8.1 If you have any queries or comments about the contents of this policy, please contact our team on the details below:

Email: info@stephenlloydawards.org Tel: 44 (0)20 7751 7777 (quoting Stephen Lloyd Awards)

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