

Process and Procedure:

The model CHPs and the Scottish Government’s guidance in relation to NHS complaints specify the process and procedure to be followed in handling and responding to complaints and sets out the requirements for handling and responding to complaints.

Organisations should aim to provide a quick, simple and streamlined response with a strong focus on local, early resolution by empowered and well trained staff.

		Self Assessment Score	
	Process and Procedure	Yes = 1 No = 0	Evidence
1	The organisation has developed and implemented a Complaints Handling Procedure which reflects the requirements of the model Complaints Handling Procedure for the sector.		
	<ul style="list-style-type: none"> The organisation has adopted and implemented the model CHP appropriate to its sector with any amendments being within the scope of the implementation guide to reflect issues such as internal structures, conventions and branding The organisation’s CHP has not been amended to the extent that its purpose or substance is changed in a way which does not reflect the model CHP for the sector. The organisation can demonstrate, by completing a self-assessment of its CHP that it fully meets the requirements of the model CHP and customer facing documents for the sector 		
2	The organisation’s CHP is publicised/communicated to all staff. The CHP is readily available to all staff and they know where to access it if asked.		
	<ul style="list-style-type: none"> The CHP is available to all staff in the organisation, either by way of hard copies retained by staff or via the organisation’s intranet, SharePoint or other online resource 		
3	Staff at all levels are clear on their roles and responsibilities in complaints handling.		
	<ul style="list-style-type: none"> The organisation’s CHP documents the roles and responsibilities of all staff in relation to complaints handling The roles and responsibilities of staff involved in complaints handling is clearly defined in the job description and/or key work objectives The organisation has a process to check/confirm that the roles and responsibilities of staff is fully understood 		
4	The organisation fully complies with the requirements of the CHP.		
	<ul style="list-style-type: none"> The organisation quality assures complaints handlings to ensure interactions with customers demonstrate understanding and empathy, all actions are compliant with the model CHP, improvement in the way complaints are handled are identified, and complaints handling meets the standards of service expected of the organisation 		

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5	All complaints are recorded in line with the requirements of the model Complaints Handling Procedure.		
<ul style="list-style-type: none"> All complaints are recorded in line with SPSO minimum requirements, as documented in the model CHP for the sector. The organisation has structured systems for recording complaints, their outcomes and any resulting action. 			
6	Complaints are never referred to as informal.		
<ul style="list-style-type: none"> The organisation's products, processes and procedures, and any reference to complaints within the minutes of meetings, refer to complaints as complaints. The term 'informal' is not used. 			
7	Complaints at the Investigation stage are acknowledged within three working days of receipt.		
<ul style="list-style-type: none"> The organisation can show, through statistical reporting the number and percentage of complaints that were acknowledged within three working days of receipt at the investigation stage of the CHP To meet this requirement, the vast majority of complaints must be acknowledged within 3 working days 			
8	Complaints handled at the frontline stage are completed within 5 working days wherever possible.		
<ul style="list-style-type: none"> The organisation can show, through statistical reporting the number and percentage of frontline complaints that were completed within five working days of receipt To meet this requirement, the organisation must not allow any complaints to exceed the five working day timescale without firstly having obtained an extension to the timescale from a senior manager and updating the customer on the reason for the delay together with a revised timescale for completion within 10 working days in total 			
9	The organisation communicates with the complainant when it appears that a response will not be provided within 5 working days.		
<ul style="list-style-type: none"> The organisation can demonstrate through senior manager authorisations on frontline complaints files that it updates customers on the reason for the delay and provides a revised timescale for completion within 10 working days in total. 			
10	Complaints investigations are completed with a response being provided within 20 working days wherever possible.		

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<ul style="list-style-type: none"> The organisation can show, through statistical reporting the number and percentage of complaints investigations that were completed within twenty working days of receipt at the investigation stage of the CHP To meet this requirement, the organisation must not allow any complaints to exceed the twenty working day timescale without firstly having obtained an extension to the timescale from a senior manager and updating the customer on the reason for the delay together with a revised timescale for completion. 			
11	The organisation communicates with the complainant when it appears that a response will not be provided within 20 working days.		
<ul style="list-style-type: none"> The organisation can demonstrate through senior manager authorisations on complaints files that it updates customers on the reason for the delay and provides a revised timescale for completion. 			
12	The rate of premature complaints about the organisation to SPSO is below the average for the sector		
<ul style="list-style-type: none"> The organisation can demonstrate, by referring to SPSO statistics (SPSO web site, Information Centre, Statistics) how its premature rate compares to the public sector average 			
13	Standardised templates are used to acknowledge complaints, to request further information and to communicate the organisation's final response to complaints.		
<ul style="list-style-type: none"> Standardised templates have been developed, evaluated, signed off and are currently in use by the organisation 			
14	The organisation records the outcome of every complaint it receives in line with the minimum requirements of the model CHP.		
<ul style="list-style-type: none"> The organisation can demonstrate, through internal quality checks that its response to frontline complaints addresses all areas of the complaint and explains the reasons for the decision. A record of the decision reached and given to the customer is recorded. The organisation can demonstrate, through internal quality checks that its response to the complaints following investigation addresses all areas of the complaint and explains the reasons for the decision. All investigation decisions, including details of how it was communicated to the customer, are recorded 			
15	The average time in working days to respond to complaints at stage one is at, or below the average for the sector.		
<ul style="list-style-type: none"> The organisation can demonstrate, through management reporting and through compliance with the reporting requirements of the SPSO performance indicators, its average performance in days, in closing complaints at each stage of the complaints procedure 			

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16	The average time in working days to respond to complaints at stage two is at, or below the average for the sector.		
<ul style="list-style-type: none"> The organisation can demonstrate, through management reporting and through compliance with the reporting requirements of the SPSO performance indicators, its average performance in days, in closing complaints at each stage of the complaints procedure 			
17	The organisation has in place additional management targets for managing complaints, for example in relation to gathering evidence, or requiring responses to enquiries.		
<ul style="list-style-type: none"> Guidance is in place to advise/support staff in managing the complaints process to meet the overall requirements of the model CHP. This may explain for example, time limits within which to request and receive information and required actions where someone does not comply with these requests 			
18	The organisation operates a system of exception reports on complaints not meeting the standard 5 or 20 working day timescales.		
<ul style="list-style-type: none"> The organisation can demonstrate, through management reporting a system to report cases that exceed the time limits required at each stage of the model CHP 			
19	The organisation always signposts customers to SPSO, no matter the outcome, at the conclusion of the CHP.		
<ul style="list-style-type: none"> The organisation can demonstrate, through quality checks that every decision on a stage 2 complaint is signposted to SPSO Where template decision letters are used, the stage 2 template includes signposting to SPSO 			
20	The organisation has in place a policy in respect of customers who demonstrate unacceptable behaviour and a procedure explaining how it will apply the requirements of its unacceptable actions policy.		
<ul style="list-style-type: none"> An unacceptable actions policy has been developed, implemented and publicised on the organisation's web site An operational procedure for dealing with unacceptable actions has been developed and is available to staff 			
Process and Procedure score			

		Standard score	Self Assessment score
1	Organisational Culture	21	/21
2	Accessibility	11	/11
3	Process and Procedure	20	/20
4	Quality	08	/08
5	Learning from Complaints	16	/16
6	Complaints Handling Performance	09	/09
	Total	85	/85