

## NATIONAL GOVERNANCE ASSOCIATION

### COMPLAINTS POLICY AND PROCEDURE

#### OUR PROMISE

The National Governance Association is committed to providing a quality service and achieving the highest standards of conduct. One of the ways we can continue to improve our service is by listening and responding to the views of our customers and members.

This procedure applies to any external person or body who has any dealing with the NGA. It does not cover NGA staff (who should use the NGA staff grievance procedure) or NGA Trustees who should contact the Chair of Trustees.

#### We will:

- Make it as easy as possible to make a complaint;
- treat any clear expression of dissatisfaction with our service, which calls for a response, as a complaint;
- treat it seriously in whatever form, (e.g. post, fax, telephone email) it is made;
- deal with it promptly within the timescales shown below, politely and, where appropriate, informally (for example, by telephone);
- respond in the right way – we will listen to you and for example, give an explanation or an apology where we have got things wrong, or information on any action taken and
- learn from complaints and use them to improve our service. We will maintain a complaints log and publish information on complaints – for example, in our annual report at the Annual General Meeting.

If the complaint involves questions about the actions or competencies of individual members of staff or trustees, other processes may subsume the complaints procedure and the NGA may not be able to provide the person raising the complaint with all the relevant information (for instance, employment legislation may prevent publication of the results of disciplinary processes).

#### WHAT TO DO IF YOU HAVE A COMPLAINT

If possible, let us know straight away. A complaint will not normally be considered if it is raised more than 3 months after the issue of concern to the complainant

Most complaints received by the NGA can be resolved informally by the relevant member of staff. Occasionally, however, because of the complexity of the matter - or because a satisfactory resolution cannot be agreed - the formal Complaints Procedure described below must be followed. In addition, the formal Complaints Procedure will be followed at any stage at the request of the complainant.

A complaint against a trustee should be addressed to the Chair of trustees. A complaint against the Chair of trustees should be addressed to the [Vice Chair](#). You can use our online form on our Contact Us page, or you can email us.

Please provide us with as much detail as you can to help us investigate your complaint:

- say what the problem is;
- say what outcome you are looking for;
- provide information on any relevant communication with us on the subject, including for example any correspondence reference numbers, or times/dates of conversations and;
- address any complaints to the relevant individual.

We are committed to ensuring that our complaints process is accessible to everyone. We recognize the importance of providing equal access to all our services, regardless of individual circumstances or needs, and will do all we can to meet any needs that you inform us about.

### Contact details

Website: <https://www.nga.org.uk/Contact-us.aspx>

Email: [complaints@nga.org.uk](mailto:complaints@nga.org.uk)

## PROCEDURE FOR DEALING WITH A COMPLAINT

### Informal Stage

NGA will always wish to resolve any dissatisfaction without invoking a formal procedure, so the relevant team manager will initially respond to a complaint. They will investigate the complaint and respond in writing within 10 working days. If you are still unhappy you should raise this through the following formal procedure within 10 working days from the date the response was made.

### Stage 1

A formal complaint will be passed to the Senior Leadership Team to deal with. They will formally acknowledge the complaint within three working days.

The NGA will use its reasonable endeavours to provide a full response in writing within 15 working days of the formal complaint being received. If it is not possible to give you a full reply within this time, for example, if your complaint requires more detailed investigation, we will give you an interim response

telling you what is being done to deal with your complaint, when you can expect the full reply and from whom.

We will always acknowledge where things could have been done better and tell you what will be done to avoid the same thing happening again. Equally, if we don't uphold your complaint, we will let you know why.

The full reply will include details of who to contact next if you believe that your complaint has not been dealt with properly.

## Stage 2

If following a reply from the Senior Leadership Team you remain unhappy you can complain to the NGA trustees by contacting the NGA's Honorary Secretary. You should raise your complaint within 15 working days of receiving the response to your Stage 1 complaint.

The Honorary Secretary will review the complaint and if deemed appropriate, identify nominated NGA trustee(s) who will support in the review of all records relating to stage one and two of the complaints procedure. The NGA trustees may either uphold the findings, decisions and actions taken or identify and offer to implement an alternative way of resolving matters (which may not necessarily include upholding the original complaint).

As the NGA trustees are all volunteers it may take longer to deal with your complaint, but you will receive a reply within 20 working days, or an interim response with timescales if this is not possible.

If you remain dissatisfied with the response following stage 2 you will have reached the end of NGA's internal complaints procedure and we will be unable to take the matter further and no further correspondence concerning the complaint will be entered into.

If you are still unhappy, you can refer your complaint to the Charities Commission: <https://www.gov.uk/complain-about-charity>

## PROCEDURE FOR DEALING WITH A COMPLAINT AGAINST A TRUSTEE

### Stage 1

Any complaint against a member of the Trust Board should be made in writing to the Chair of trustees. [Complaints against the Chair of Trustees should be made to the Vice Chair](#). Receipt of the complaint will be acknowledged within 5 working days and the Chair will attach a copy of the Complaints Procedure.

The Chair will investigate and use reasonable endeavours to provide a full response in writing within 15 working days of the complaint being received. If it is not possible to give you a full reply within this time, for example, if your

complaint requires more detailed investigation, s/he will give you an interim response telling you what is being done to deal with your complaint, and when you can expect the full reply.

## Stage 2

If you are unhappy about the response at stage 1 then you may ask for your complaint to be taken to stage 2. It is helpful if you can set out why you are dissatisfied with the response to your complaint, and include any other information that you feel is useful. You should submit any request to have your complaint taken to stage 2 within 15 working days of the date of the letter informing you of the outcome of your stage 1 complaint.

Complaints at stage 2 will be dealt with by a panel of trustees who will review your complaint and the Chair's response, and will endeavour to respond within 20 working days. The response will include the findings and conclusions behind the decision, and any action/additional action taken to address the complaint. If you remain dissatisfied with the response you will have reached the end of NGA's internal complaints procedure and we will be unable to take the matter further and no further correspondence concerning the complaint will be entered into.

If you are still unhappy, you can refer your complaint to the Charities Commission: <https://www.gov.uk/complain-about-charity>

## VEXATIOUS OR UNREASONABLE COMPLAINTS

The NGA sometimes receive complaints which can be deemed 'vexatious' or 'repetitive'.

In deciding whether a complaint is vexatious we will in each case take into account the context and history of the complaint. By its ordinary meaning, the term 'vexatious' refers to activity that "is likely to cause distress or irritation, literally to vex a person to whom it is directed".

For a complaint to be vexatious, we will consider whether there is a proper or justified cause for it. We will not only examine the complaint itself, but also its context and history. That context may include other complaints made by the applicant to us (whether upheld or not), the number and subject matter of the complaints, as well as the history of other dealings between the complainant and the NGA.

We will take into consideration the following factors (which are not an exhaustive list) when determining whether a complaint is vexatious:

- where the complainant requests information which has already been provided

- where the nature and extent of the complainant's correspondence with us suggests an obsessive approach to disclosure
- where the tone adopted in correspondence by the complainant is confrontational and/or haranguing and demonstrates that the purpose is to argue and not really to obtain information or resolution
- where the ongoing correspondence could reasonably be expected to have a negative effect on the health and well-being of our staff
- where the complaint, viewed as a whole, appears to be intended simply to re-open issues which have been disputed several times before, and is, in effect, the pursuit of a complaint by alternative means
- where responding to the complaint would likely entail substantial and disproportionate financial and administrative burdens for us
- where it is not a one-off complaint, but a case of the same complaint having been made repeatedly, or where on repetition, the particulars of the complaint have been varied making it difficult to know exactly what the complainant is seeking and making it less likely that the complaint can be resolved.

No single one of the above factors would lead to a decision, by itself, that a complaint was vexatious. However, based on the strength of the various factors, taken together with the history and context of a complaint, a complaint may be deemed vexatious by the NGA.

Where the NGA determines that the complaint is vexatious, we will not engage in correspondence. The decision to terminate a complaint will only be made by the Chief Executive, Chief Operating Officer or Chair of trustees after ensuring that the complaint has been considered thoroughly and in line with our procedures. We will always tell you when we are terminating a complaint and the reason we are doing so. A complaint about an entirely new matter will be investigated and dealt with under the procedure.

## **RESULTS OF COMPLAINTS**

The Board of trustees will receive a report at least once a year showing how many complaints have been received, the general nature of the matters complained about and a list of remedial actions that have been taken.

The Board of trustees may, at their discretion, require more frequent reports. At their discretion a summary may be included in our Annual Report.

## APPENDIX 1: PROCEDURE FOR DEALING WITH A COMPLAINT FLOWCHART



## APPENDIX 2: PROCEDURE FOR DEALING WITH A COMPLAINT AGAINST A TRUSTEE FLOWCHART

