



# Aurora

Enriching lives, Enriching Communities

## Compliments, Comments & Complaints Policy

Policy Number	Policy Developed by	Date Developed
18 – Schedule 5	Complaints Officer	22.09.2016
Version	Amendments	
3	Review of policy and pathway; reviewed templates and logs added Vi-Clarity as primary platform for logging compliments, comments and complaints	
Reviewed by		Review completed
Complaints Officer		17/07/2024
CEO signature		Next Review Date
		27.05.2026

### Mission Statement

Enable people with complex needs to experience the same rights as every other citizen and as equal members of the community.

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## **1.0 Scope**

- 1.1. All persons who are being supported by Aurora Enriching Lives, Enriching Communities or who have sought such support may make a compliment, comment or complaint in accordance with the procedures established under this policy. Employees, families or members of the public can also make a complaint on their own behalf or on behalf of a person supported in relation to the service provided by Aurora. This comment, compliment or complaint may refer to any action of this community-based service that, it is claimed, does not accord with fair and sound practice and adversely affects or affected that person or the person they are making the compliment, comment or complaint on behalf of.

## **2.0 General Principles, Aims and Values**

- 2.1. The purpose of this document is to detail the policy and process of Aurora in relation to a complaints, compliments and comments management process.
- 2.2. The service commits to supporting people in line with the Human Rights Based Approach.
- 2.3. This policy is aligned to Section 47 of the Health Act, 2004 & SI 367 of 2013
- 2.4. Aurora is committed to safeguarding the rights and dignity of people we support, their families and employees in the implementation of this policy. All of the people we support and /or their families/advocates, have the right to compliment, comment on or complain about any aspect of the service, to have it investigated and to be informed of the outcome and any changes implemented as a result as soon as practicable. This also applies to any member of the public who wishes to make a compliment, comment or complaint on behalf of themselves or a person supported or about any aspect of service provision.
- 2.5. This Complaints, Compliment & Comments Policy will be available to the people we support in an accessible easy read format and will be displayed in a prominent position in the designated centre.
- 2.6. People we support, families, employees and members of the public will be provided with information on the complaints process. This policy, in conjunction with the 'Your service, Your say' HSE complaints policy will be made available to members of the public should they wish to make a complaint relating to service provision.

### 3.0 Responsibilities

3.1. **Designated centre:**

Complaints received at a local level may be resolved locally without recourse to the Complaints Officer. If resolved locally, they should be signed off by the PIC or PPIM/WCIM. Details and documentation should be reviewed and uploaded on Vi-Clarity. The Complaints Officer should be advised that the complaint has been resolved or that it is being referred to them for resolution.

The PIC, PPIM/WCI and the support team have to ensure that complaints in relation to the designated centre and people supported living there are recorded and followed through in line with policy.

3.2. **Provider:**

HR Manager, Áine Forde, is the Complaints Officer and:

Will ensure that all complaints are: -

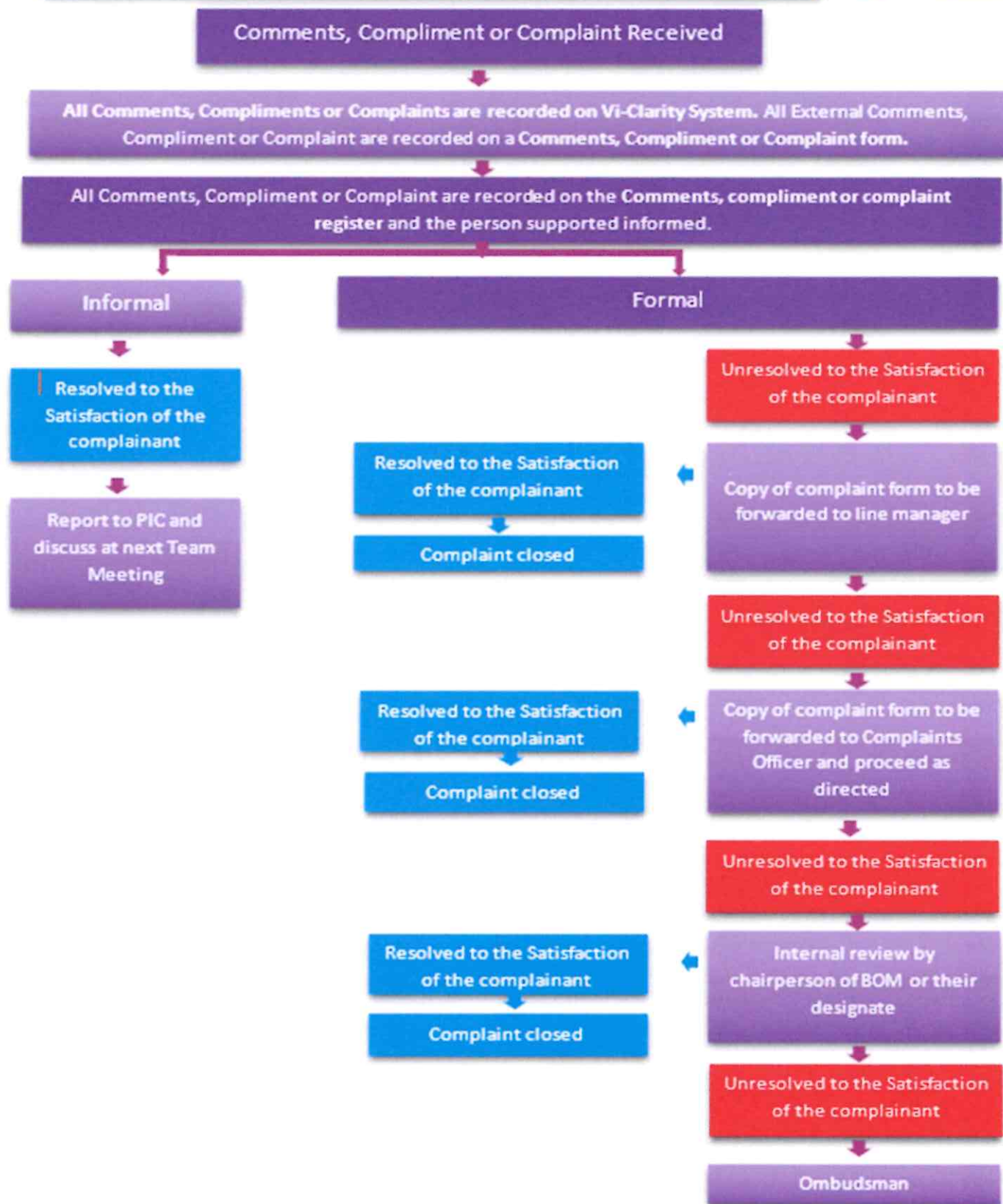
- appropriately responded to and
- the person nominated maintains the records specified in the Regulations

Aurora has nominated Áine Forde to deal with complaints and to hold all required documentation.

3.3. All information obtained through the course of complaint management will be treated in a confidential manner and in line with GDPR and the Data Protection Act 2018 and the Freedom of Information Act 2014.

3.4. The complaints process will facilitate the gathering of essential and appropriate information to ensure the effective management of the complaint and the education of the organisation without compromising the rights to confidentiality of both the complainant and the service about which the complaint was made.

# Comments, Compliment or Complaint Pathway



## **4.0 Making a Complaint**

- 4.1. A compliment, comment or complaint can be made in a number of ways:
  - In person
  - By telephone
  - By letter
  - By e-mail
  - Through Vi-Clarity
  - Other
- 4.2. A compliment, comment and/or complaint can be made to any employee and can be dealt with in the first instance by the employee or the PIC of the designated centre. The PIC will inform their Line Manager and try to resolve the issue locally.
- 4.3. If a complaint is being made about a particular person and the person's name is given, the complaint must be in writing, giving details such as dates and locations, as accurately as possible, so that the Complaints Officer can check the facts of the complaint. A complaint should be made within 12 months of the date of the event concerned, or within 12 months of becoming aware of the event.
- 4.4. If a person wishes to make a compliment about the service themselves, or on behalf of a person supported, then this can be captured in the accompanying form and log (appendix 1 and 2).
- 4.5. If a person does not wish to formalise their complaint or have it investigated, then their concern can be captured as a comment on the accompanying form and log (appendix 1 and 2)
- 4.6. In the event that one employee has a grievance about another employee, this does not constitute a complaint and will be dealt with under another policy i.e. grievance policy and/or dignity in the workplace policy.

## **5.0 Acknowledgement of a Complaint**

- 5.1. When a complaint has been received, Aurora will endeavour to deal with the complaint effectively and efficiently.
- 5.2. Complaints being dealt with formally will be acknowledged within 5 working days and will outline to the complainant the steps been taken in investigating the complaint and the time limits for the completion of the investigation.
- 5.3. For informal management of complaints, see Informal Resolution as per Aurora Complaints Pathway.

## **6.0 Timeframe involved once a complaint is received by the Complaints Officer or designated person in Aurora**

- 6.1. Complaints received by an employee may be resolved at that point. Complaints at all levels received by the service should be notified to the Complaints Officer.
- 6.2. Where it is determined a complaint does not meet the criteria as outlined in 1.1, the Complaints Officer will inform the complainant in writing, within 5 working days of making the decision, that the complaint will not be processed and the reason for it.
- 6.3. Where the complaint will be investigated, the Complaints Officer must endeavour to have the investigation concluded within 30 working days of it being acknowledged.
- 6.4. Where the complaint may not be managed within 30 working days, the Complaints Officer must communicate this to the complainant and the reasons for so doing.
- 6.5. The Complaints Officer must keep the complainant updated as to the progress of the complaint.

## **7.0 Time limits for making a Complaint.**

- 7.1. The Complaints Officer in Aurora must determine if the complaint meets the time frames as set out in Section 47 Health Act, 2004 which requires that:
  - A complaint must be made within 12 months of the date of the action giving rise to the complaint or within 12 months of the complainant becoming aware of the action giving rise to the complaint.
  - The Complaints Officer may extend the time limit if they are of the opinion that special circumstances make it appropriate to do so.

## **8.0 Advocacy**

- 8.1. A member employee or a trusted person may be an advocate for a person. A key worker and or/ Advocacy services may be offered to support that person if they find it difficult to make a complaint themselves.
- 8.2. People supported have a right to appoint an advocate to assist them in making their complaint and to support them in any subsequent processes in the management of that complaint.

## **9.0 Stages of Managing a Complaint**

9.1. There are 4 possible stages to the Aurora complaints process as follows:

- Local/Informal Resolution
- Formal Resolution
- Aurora Internal Review by the Chairperson of the Board of Management
- Independent Review by Ombudsman

## **10.0 Complaints Process and Procedure**

### **10.1. Local/Informal Resolution of a complaint at the point of contact**

- 10.1.1. On receipt of a complaint, the employee will log the complaint on ViClarity, respond to it promptly while making every effort to resolve the complaint locally and effectively. All complaints are reported to the PIC or designate, who will seek to resolve the issue. The PIC will also report to their Line Manager and the Complaints Officer.
- 10.1.2. Each Designated Centre may have an identified employee who will manage complaints for that centre.
- 10.1.3. Resolution is reached when the complaint has been resolved to the satisfaction of the complainant. All complaints will be recorded and updated on ViClarity. If resolution is not reached the complaint will be forwarded to the Complaints Officer and the Line Manager.
- 10.1.4. The Complaints Officer will be updated on the progress of the management of the complaint at all stages.
- 10.1.5. The Complaints Officer or designated person will carry out an audit on complaints on a monthly basis.

### **10.2. Formal Resolution**

- 10.2.1. On the receipt of a complaint that warrants a formal investigation the Complaints Officer will manage the resolution of the complaint.
- 10.2.2. If the complaint has been a verbal complaint, the Complaints Officer will ask the complainant to submit this in writing.
- 10.2.3. The Complaints Officer will formally acknowledge the complaint in writing within 5 working days of the complaint being received.
- 10.2.4. The Complaints Officer will endeavour to complete the investigation within 30 working days of acknowledgement of the complaint.

- 10.2.5. In the event the investigation takes longer to complete, the Complaints Officer will update the complainant every 20 days until the resolution stage.

### **10.3. The investigation may involve:**

- 10.3.1. Interview/s with the complainant.
- 10.3.2. Interview/s with other relevant parties.
- 10.3.3. Documentation of all interviews and other communications, including the Complaints Form (if the complaint is external)
- 10.3.4. All parties interviewed will be given the opportunity to have an advocate or colleague present at any meeting.
- 10.3.5. A report will be completed by the Complaints Officer outlining the findings of the investigation and the recommendations for resolution, which may include mediation.
- 10.3.6. The report will not include a finding adverse to a person, without first having afforded the person concerned the opportunity to consider the findings or criticism and to make representation in relation to it.
- 10.3.7. The final report, including the implementation plan for the resolution of the complaint, is circulated to the complainant, CEO, the Director of Services, and the parties against whom the complaint was made.
- 10.3.8. Where the complainant is dissatisfied with the outcome of the investigation, he/she may request an internal review of the recommendations.
- 10.3.9. The complainant will be offered every assistance in making an application for a review.
- 10.3.10. In the event that the complainant is satisfied with the outcome of the complaint this will be closed on Vi-Clarity.
- 10.3.11. On completion of the investigation into the complaint, the manager must write to the person who made the complaint explaining how the investigation was carried out and the appropriate action that has been taken. A copy of the letter should be scanned and uploaded on Vi-Clarity.. Where a person we support has made a complaint or a complaint has been made on their behalf a copy of the complaint will be sent to the person's file.

## **11.0 Learning from Complaints**

- 11.1. The PIC/Manager should ensure that all resolved and unresolved comments, suggestions and complaints are discussed with the Complaints Officer (or designated person, who will carry out a regular audit on complaints. The review of complaints should also look to identify any general learning that may contribute to improving the quality of the service provided. In relation to current complaints, PICs should also meet regularly, at least monthly, with their staff teams to discuss issues relating to complaints, such as any lessons learned,

strategies than may be put in place to prevent a reoccurrence and or any improvements to be made.

- 11.2. Complaints are notified to the CEO for accounting at Board meetings and Service Level Agreement meetings with the HSE Complaints are also submitted to the Director of Services for SMT and WCI meetings.

## **12.0 Appeals Procedure**

- 12.1. The complainant may appeal and seek a review of the outcome of the investigation by the Chairperson of the Board of Directors Aurora. All requests for an appeal should be in writing, outlining your grounds for the appeal and addressed to:

- Chairperson, Board of Directors, Aurora, Danville

- 12.2. The Chairperson or a person designated by the Chairperson will conduct a review of the complaint and forward their findings to the appellant within 8 weeks from date of receipt of appeal.

## **13.0 Independent Review**

- 13.1. If the complainant is not satisfied with the outcome of the appeal to the Chairperson of Board of Directors of Aurora, he/she may seek to have the complaint process reviewed by the Ombudsman.

Office of the Ombudsman  
18 Lr Leeson Street  
Dublin 2  
Lo-call: 1890223030  
01-6395600

## **14.0 Comments**

- 14.1. Where a complainant does not wish to make a formal complaint, their comments can be recorded on the Complaints, Compliments and Comments Section on ViClarity

## **15.0 Compliments**

- 15.1. Any compliments received by an employee in relation to the service provided by Aurora should be recorded on the Complaints, Compliments and Comments Section on ViClarity.

## 16.0 Third Party Complaints

If a person supported has any complaint in relation to a service received by a third part, then they can refer it to the Complaints Officer who will lodge the complaint on their behalf.

## 17.0 Resources

- 'Your Service, Your say' (2009) HSE Complaints Policy
- [www.hse.ie/eng/services/yourhealthservice/Documentation](http://www.hse.ie/eng/services/yourhealthservice/Documentation)
- National Standards for Residential Services for Children and Adults with Disabilities
- Section 47 of the Health Act, 2004 & SI 367 of 2013
- [www.hiqa.ie/system/files/Disability-Care-and-Support-Regulations-2013.pdf](http://www.hiqa.ie/system/files/Disability-Care-and-Support-Regulations-2013.pdf)
- Office of the Ombudsman; [www.ombudsman@ombudsman.ie](mailto:www.ombudsman@ombudsman.ie)
- Consumer affairs HSE
- [www.hse.ie/eng/services/yourhealthservice/contact/MidLeinster/](http://www.hse.ie/eng/services/yourhealthservice/contact/MidLeinster/)
- Schedule 5 Aurora policies

Appendix 1 Compliments Comment & Complaints Form

## Compliment, Comments or Complaint Form

If you wish to make a compliment, comment, or complaint then please complete this form.



For the purposes of investigation of my complaint, I grant permission to Aurora to access my personal confidential information. This may be necessary to fully investigate my complaint.	Yes	No

Person submitting a compliment, comment, or complaint	
Address	
Telephone Number	
Date	
Name of Person Supported if relevant	

Please Tick	
Compliment	
Comment	
Complaint	

Type of Complaint <small>Please tick one if applicable</small>			
Treatment/Service		Communication	
Staff attitude/Manner		Facilities,	
Vexatious Complaints		Other	
External/Third Party			

For Internal Use Only	
Reference Number	

Name of individual or service about which you want to make a compliment, comment or complaint			
Date of experience giving rise to the compliment, comment or complaint			
Please give full details of your compliment, comment or complaint in the space provided below			
Signed by or for Complainant			Date
Signed			Date

*If you require more space you can attach additional sheets*

## For Internal use only

Person submitting compliment, comment, or complaint	
Name of person reporting?	
Name of person receiving?	
Type of complaint? <i>(if applicable (see page 1))</i>	
Date	

Immediate action taken
Strategies in place to prevent recurrence

Outcome						Referred to Complaints Officer					
						Date Referred					
Resolved by PIC	Yes		No	Resolved by CSM	Yes		No	Resolved by CO	Yes		No
Date resolved				Date resolved				Date resolved			
Brief Explanation											

Complainant satisfied with outcome?	Yes	No	
<i>If unsatisfied please give details</i>			

## Aurora Compliments, Comments and Complaints Register



Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

Reference Number	Date	What is it?		In relation to?		Resolved by:					
						PIC		CSM		Complaints Officer?	
		Comment		Person Supported		Yes		Yes		Yes	
		Compliment		Designated Centre		No		No		No	
		Complaint		Aurora		Date:		Date:		Date:	

