



THE
KING'S
FOUNDATION

DOCUMENT CONTROL SHEET

REF	GOV-007		
Title	Complaints Handling Policy		
Purpose	To set out the Complaints Handling Policy of the Foundation for receiving and acting upon complaints raised externally about the organisation or its practices.		
Version	1.7 APPROVED		
Issue Date	June 2026	Review Date	By June 2028
Owner	Emily Cherrington		
Role	Chief Executive Officer		
Signed off by	Rosemary Hilary		
Role	Chair of ARC (on behalf of the committee)		

COMPLAINTS HANDLING POLICY

1. Purpose

The Complaints Handling Policy of the Foundation is set out to demonstrate the commitment to managing complaints in relation to the services and facilities provided by the charity and provides information about how complaints are managed, responded to, and learned from.

2. Scope

It is recognized that occasionally service users, volunteers, donors, other stakeholders, and their representatives may be dissatisfied or concerned about their interactions with the Foundation or the services or facilities it provides, and it is hoped that problems can be reconciled usually between the parties concerned. If not, any complaint will be managed promptly, thoroughly, impartially, and sympathetically. All complaints will be dealt with in strict confidence. This policy applies to all staff and Trustee Board members who may find themselves required to receive, initially respond to, investigate and / or resolve a complaint and ensure that learning/s are acted upon and where necessary procedures revised and implemented to avoid further complaints in the future. The specific approach to handling complaints raised by MA/PhD students in relation to their studies at the School of Traditional Arts is set out separately in the policy published on the KFSTA website. The principles of logging and recording these complaints as set out in this policy still apply.

3. References

The Foundation's policy is set out to meet the requirements of the Information Commissioner's Office, the Fundraising Regulator, the Office of Scottish Charity Regulator, the Scottish Fundraising Adjudication Panel, and the Fundraising Guidance for Charity Trustees (April 2021). The Foundation's Fundraising Policy is set out in a separate document (FIN-003). The Privacy Policy is set out in GDPR-002 and published on the Foundation's website, alongside the Complaints Handling Policy.

4. Definitions

A complaint or concern is an expression of dissatisfaction about an act, omission, or decision of the charity, either verbal or written, and whether justified or not, which requires a response. The British Standard (BS8543) definition of a complaint is "an expression of dissatisfaction whether justified or not". Reasons for making a complaint might include:

- a failure of an activity, product, service, or system which affects an individual or a group of people, causing inconvenience, upset, or loss
- marketing / fundraising material which is misleading, inaccurate or has caused upset or offence
- an infringement of data protection legislation because of the way personal information has been handled

- personal contact with an employee or representative of the Foundation which was inaccurate or misleading, or which has caused upset or offence

The policy aims to consider the key issues when addressing a complainant's needs, these include:

- providing a fair complaints procedure which is clear and easy to use
- ensuring the Foundation's complaints procedure is freely available so that people know how to make a complaint and how it will be dealt with
- ensuring the complainant understands that their concerns will be investigated, and they will be informed of the findings of that investigation
- ensure that all complaints are investigated, where necessary, in a timely manner
- making sure that all complaints are, wherever possible, resolved quickly, fairly, and effectively and relationships repaired
- that the Foundation will learn from complaints, feedback and praise and apply those lessons whilst also learning from and sharing best practice.

The following complaints will not be dealt with under this policy:

- a complaint made by an employee about any matter relating to their employment
- a complaint, the subject matter of which has previously been investigated under this or previous policies and / or guidelines
- a complaint which is made orally and resolved to the complainant's satisfaction no later than the next working day
- a comment or remark with no response expected / required.

5. Responsibilities

It is the responsibility of the Chief Executive Officer reporting to the Chair of the Foundation to ensure adherence to the Complaints Handling Policy and any considerations reported to the Board or the Audit and Risk Committee (ARC) as appropriate and to ensure any necessary investigations and follow up actions are taken to uphold the highest standards of service and integrity across the organisation. A designated Complaints Handling Officer for each directorate will receive a notification of all complaints and keep a record of the complaint and its outcome to facilitate effective complaints handling, monitoring, and reporting.

6. Policy

6.1. Receiving a complaint

The King's Foundation website will include details of how a complaint can be made and an outline of the policy. An external complaint can be made using the following contact details:

By telephone: +44(0)1290 425959
 By email: complaints@kings-foundation.org
 By post: Dumfries House, Cumnock, KA18 2NJ

Any complaint can also be communicated to the Foundation by any channel including telephone, mail, email, social media or in person.

The process for receiving any complaints from MA/PhD students is set out on the KFSTA website.

On receiving a complaint, by whatever means, this will be recorded by way of the complaint recording form, detailed in Annex 1, the individual receiving the complaint will request supporting evidence from the complainant and pass the complaint form onto the relevant member of the Executive Team. The member of the Executive Team or their nominated officer (designated for Complaints Handling) will:

- detail the complaint on the complaint log for their team
- allocate an investigating officer, and
- where applicable notify the relevant line manager.

6.2. Investigating and responding to the complaint

Unless the complaint can be immediately resolved and the complainant notified, the investigating officer will write to the complainant to acknowledge the complaint no later than five working days after the day the complaint is received (the acknowledgement will usually be in writing) and will detail:

- Handling of the complaint
- Timescales for responding
- Methodology of the investigation
- How the outcome of the investigation will be informed to the complainant

The investigating officer will investigate the complaint and issue a formal response within twenty working days of the complaint being received. The investigating officer will capture relevant information about the case and ensure this is accurately recorded, including any necessary data collection. Once the investigating officer has concluded the report, a summary of the findings, the outcome and learnings will be sent to the complainant, including information on the next stages of the complaint's procedure should the complainant wish to take matters further (e.g., contact details of the relevant Executive Director as the next stages of the process, if the complainant is not satisfied with the answer).

6.3. Escalation by the complainant

If the complainant is unhappy with the outcome of the investigation and outcome, they may at this stage escalate the complaint to the relevant Executive Director, with copies of all correspondence and case documentation. The ED will then decide whether to uphold the response of the investigating officer. Within 10 days the ED will write to the complainant with their decision and the reasons for it. Whether the complaint is upheld or not, the reply to the complainant should describe what action will be taken because of the complaint. If the

complainant is still not happy, then the case may be escalated to the CEO. The CEO will consider all correspondence and responses about the case to date. Within 10 days the CEO will write to the complainant with their decision and the reasons for it.

6.4. Final decision by the charity

If the complainant is still not happy, then the case may be further escalated to the Chair of the Board with copies of all correspondence, case documentation, and responses. The Chair of the Board will consider all the facts afresh and then decide what the final response of the Charity will be. Within 10 days the Chair of the Board will write to the complainant with this final decision and the reasons for it. This decision will be final. However, the complainant may contact the Office of the Scottish Charity Regulator or other external regulatory body if they are not satisfied with the response received.

In the case of MA/PhD students, when the escalation channels in the separate policy have been exhausted (by The King's Foundation or by University of Wales Trinity St Davids (UWTSD)), students are entitled to take the issue to the Office of the Independent Adjudicator (OIA) for Higher Education, <http://www.oiahe.org.uk/> which provides an independent scheme for the review of student complaints. In the case of freedom of speech complaints by MA/PhD staff or visiting tutors/lecturers, when the escalation channels have been exhausted by The King's Foundation, staff and visiting tutors/lecturers are entitled to take the issue to Office for Students (OfS).

7. Performance

The effectiveness of the Complaints Policy will be reviewed annually through a report to ARC or the Board by the CEO (this will be informed by the complaints log collated and reported monthly by each directorate). This will set out any issues raised under the Policy and the investigation and follow-up action taken, including where there has been any involvement of any external regulators or enforcement authorities. Numbers of complaints and time taken to resolve will be monitored and reported, from the complaint log record, alongside a review of the subject matter of complaints received in a reporting period to ensure organisational learning and any patterns in complaints are fully responded to and resolved.

8. Document Review

This policy will be reviewed biannually by the Chief Executive Officer who will ensure that the following is considered and any recommendations for change made to the Committee:

- The continuing suitability and relevance of the policy.
- The accuracy and clarity of the documented policy.
- Compliance with any current legislative/regulatory requirements.
- The effectiveness of the policy in achieving desired outcomes.
- The adequacy of training on this policy.
- Any identified areas requiring improvement.

- The requirement for updating or creation of any new written procedures, forms or other documents relating to the particular policy and removal of any obsolete documents; and
- The relevance / status / currency of any attachments / references included in any of the associated documents.

Appendix 1 – Change history

Version	Date	Status	Comment
0.1	07/11/2022	DRAFT	Draft requested by GRG
1.0	19/12/2022	DRAFT	Updated draft for PARC approval – January 2023
1.1	16/01/2023	DRAFT	Updated reporting. FOR PARC REVIEW 26/01/2023
1.1	31/01/2023	APPROVED	Approved by PARC in January 2023
1.2	30/03/2023	DRAFT	Updated to reflect specific requirements for MA/PHD students at PFSTA in relation to application of UWTSD policy. FOR PARC REVIEW 25/05/2023
1.2	31/05/2023	APPROVED	Approved by PARC in May 2023
1.3	31/01/2024	APPROVED	Updated to KF and reviewed – approved by PARC in January 2024
1.4	18/12/2024	DRAFT	Updated for review by EC/NPC
1.5	17/02/2025	APPROVED	Approved by AL as Chair of NPC
1.6	26/05/2026	DRAFT	Updated for OfS and ICO changes, and committee ownership. For ARC review.
1.7	11/06/2026	APPROVED	Approved by ARC in June 2026.

Annex 1 - Complaint Form

Name of complainant	
Complainant's details	
Tel. No.	
Address	
Email address	
Date complaint received	
Who received the complaint	
Complaint referred to (Exec Team)	
Date of meeting or phone call to hear complaint	
Description of complaint	
Action taken: - e.g., apology, investigation, management action, changes to procedures	
Complainant informed of next steps in writing	
Does the complainant wish to take any further action?	
If yes, how will this be managed?	
Signed (Investigating officer)	
Date	
Signed (Executive Director)	
Date	