



LOTTERY COMPLAINTS POLICY & PROCEDURE

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TITLE:	Fundraising Complaints Policy and Procedure	CONTENTS: <ul style="list-style-type: none"> • Policy Statement • Responsibility/Accountability • Policy Monitoring & Review • Compliance with Statutory Requirements • Scope • Staff Responsibilities • Handling an enquiry about how to complain • Receiving the Complaint • The Gambling Commission • The Fundraising Promise • Who can complain? • Who will handle the complaint? • Timescales • Complaints made in person or by phone • Complaints made in writing • The Complaint Handling Process • Lottery Complaints Form
ORIGINATOR:	Sally Brighton – Director of Income Generation	
APPROVED BY:	Imelda Glackin - CEO	
PURPOSE OF THE DOCUMENT:	To ensure guidelines are in place for the handling of complaints relating to fundraising activities.	
FIRST DRAFT DATE:	April 2003	
IMPLEMENTATION DATE:	April 2003	
LAST REVIEW DATE:	July 2017	
REVIEW DATE:	July 2020	

POLICY STATEMENT

Martlets Lottery strives to always be legal, open, honest and respectful in the way it operates. We adhere to all guidance and policy as laid out by the Gambling Commission under their Licence Conditions and Codes of Practice (LCCP).

Complaints, verbal and written, are dealt with in a swift and effective manner, within set time limits and are carefully and thoroughly investigated. This ensures complete fairness for both staff/volunteers and complainant.

The intention behind the Complaints Procedure is that it is responsive and flexible and addresses the issues identified by the complainant.

Complaints are used to improve service levels, reduce incidents and to bring about learning, to improve overall quality of fundraising practice.

RESPONSIBILITY/ACCOUNTABILITY

- Trustees, the Chief Executive and The Leadership Team

ULTIMATE RESPONSIBILITY

- Title: CEO

FIRST LINE RESPONSIBILITY

- Title: Director of Income Generation/Lottery Promoter

POLICY MONITORING AND REVIEW

- Policy review 3 yearly or when legislation requires, whichever is sooner.
- Annual Report to the Gambling Commission by the Lottery Manager.
- Annual and bi-monthly review by way of report to trustees via the Income Generation sub-committee.
- Monthly Review of Complaints Log by CEO.

COMPLIANCE WITH STATUTORY REQUIREMENTS

Unresolved complaints leading to disputes will be referred to the Independent Betting Arbitration Service and the Gambling Commission for their consideration.

SCOPE

This complaint policy refers to Lottery related complaints made by players directly affected by an issue or their representative or a member of the public who has been solicited to play the lottery or their representative. It is designed to manage, respond to and resolve complaints effectively. This is achieved through a procedure which:

- Is accessible to complainants.
- Provides a simple system for making complaints about any aspect of the service provided.
- Responds to verbal and written complaints whether made in a formal or informal manner.
- Is a rapid and open process with designated timescales and a commitment to keep the complainant informed on the progress of the investigation.
- Is fair to staff/volunteers and complainant.
- Maintains the confidentiality of the complainant, volunteers and staff member(s).
- Provides the opportunity to learn from the complaint to improve service levels and build trust.

STAFF RESPONSIBILITIES

Complaint Co-ordinator: To oversee the investigation into, and resolution of, the complaint.

Lottery Manager: To conduct the investigation, draft a response and report back to the Complaint co-ordinator.

Management and Leadership Team: To use complaint as a learning process including implementation of any change in practice as a result.

HANDLING AN ENQUIRY ABOUT HOW TO COMPLAIN

- Any Martlets staff member receiving an enquiry about how to complain about the Lottery should refer the enquirer to the Lottery Department.
- The Lottery staff member should then provide the enquirer with a copy of the Lottery complaints procedure within 14 days.
- The member of the public should register the complaint within 12 weeks of the incident occurring.
- If the complainant raises the complaint with the Gambling Commission at this stage, they will pass it on to the Hospice to try to resolve it first.

RECEIVING THE COMPLAINT

- Complaints may be initiated with front line staff. Staff need to deal with the complaint sensitively.
- Complaints may be made verbally to any member of staff or in writing by the complainant or their representative; these may be formal, or informal.
- If front line staff are not empowered to handle a verbal complaint, written details should be passed onto the Lottery Manager. Written details of both verbal and written complaints should be recorded on the relevant Complaint Form.
- All complaints should be registered within the Hospice: Details to be recorded are:
 - Date complaint received
 - Nature of complaint
 - Result of the investigation
 - Action taken
 - Resolution of complaint
 - Whether the complaint was upheld

THE GAMBLING COMMISSION

Martlets Hospice is licensed by the Gambling Commission under schedule 1A of the Lotteries and Amusements Act 1976 and section 99 of the 2005 Gambling Act. Registration no. LOT 150/2027/2. Our licence confirms our commitment to legal requirements and best practice recommendations in all our lottery fundraising activities. The standards we meet in are detailed in the Licence Conditions and Codes of Practice (LCCP) which can be found on the GC website www.gamblingcommission.gov.uk

THE FUNDRAISING PROMISE

Our Fundraising Promise is displayed in the Hospice lobby, in the Fundraising Office lobby, on our website (www.themartlets.org.uk) and on the FR website (www.fundraisingregulator.org.uk). In addition a copy can be obtained from any member of the Fundraising Team.

WHO CAN COMPLAIN?

We welcome complaints from anyone directly affected, or their representative, who feels that our lottery fundraising activities have been in breach of the LCCP or fall short of our Fundraising Promise. By the term 'Complaint' this means a complaint about any aspect of Martlets' conduct of our licensed activities, and a 'dispute' means any complaint which relates to the complainants gambling transaction and is not resolved at the first stage of the licensee's complaints procedure.

WHO WILL HANDLE THE COMPLAINT?

We will attempt to resolve all complaints internally. All complaints will be handled amicably with honesty and integrity and they will be dealt with as quickly as possible. Unresolved complaints may be referred to the Gambling Commission or the Fundraising Regulator for their consideration.

- **ROLE OF THE GAMBLING COMMISSION IN HANDLING COMPLAINTS**

The gambling commission requires that all Licensees have arrangements in place for customers to be able to refer any dispute to an independent arbitrator. Martlets will refer any complainant who is unhappy with our findings to the Independent Betting Arbitration Service (IBAS). This service is free of charge to the customer.

Martlets must notify the Gambling Commission of any complaints that have been referred to the IBAS

- **ROLE OF THE FUNDRAISING REGULATOR IN HANDLING COMPLAINTS**

The FR will deal with all complaints that are concerned with a breach of the Code of Fundraising Practice or a breach of the Fundraising Promise provided that the complainant has first directed the complaint to the Hospice but is not satisfied with the answer received. Details of the complaints procedure can be found on the FR website (www.fundraisingregulator.org.uk).

In addition, the Martlets Hospice will provide an annual report to the FR detailing all complaints handled.

- **ROLE OF MARTLETS IN HANDLING COMPLAINTS**

The Director of Income Generation is the designated officer (Complaints Co-ordinator) for receiving and investigating all complaints concerning the Lottery at the Martlets Hospice.

They can be contacted by telephone on 01273 718771, by email at sally.brighton@martlets.org.uk or by post at Director of Income Generation, Martlets Hospice Lottery, Unit 5, Sussex House Business Park, 270 Old Shoreham Road, Hove, East Sussex, BN3 7DX.

TIMESCALE

Complaints can only be considered if made within 12 weeks of the incident. Complaints lodged after 12 weeks will be acknowledged but the complainant will be notified that due to the lapse of time the complaint cannot be investigated.

All complaints will be acknowledged within 1 week of receipt of the complaint.
The complaint will be investigated and dealt with within 4 weeks.

COMPLAINTS MADE IN PERSON OR BY PHONE

If a complaint is made in person or by phone the Lottery Complaints Co-ordinator will attempt to resolve the complaint there and then.

1. If the complaint is resolved during the initial conversation, this is the end of the process.
2. If the complainant is dissatisfied, the complainant's contact details will be taken and the complaint will be acknowledged in writing or by telephone within 1 week. The complainant will be given a summary of the conversation, copies of the Lottery complaints procedure and the fundraising promise and confirmation that the complaint will be dealt with within 4 weeks.

COMPLAINTS MADE IN WRITING BY POST, EMAIL OR VIA THE WEBSITE

The complaint will be acknowledged in writing by post, telephone or email within 1 week and the complaints co-ordinator will attempt to resolve the complaint immediately or else give confirmation that the complaint will be dealt with within 4 weeks. If appropriate the complainant will be given copies of the Lottery complaints procedure and the fundraising promise. It may be necessary to make contact within this period if further details or clarification is required.

COMPLAINT HANDLING PROCESS

1. The complaint will be acknowledged, as outlined above, within one week.
2. The Complaint Co-ordinator will make enquiries involving all relevant parties concerned with the complaint in order that all information is ascertained to be correct.
3. An Investigation will take place to gather evidence and to ascertain if any breach of the License Conditions or Codes of Practice has occurred. This is normally conducted by the Lottery Manager as nominated by the Complaint Co-ordinator.
4. All findings will be fully documented, including any communications with the complainant.
5. The Complaint Co-ordinator, or their nominated representative, will report back the findings to the complainant within 4 weeks of the complaint as outlined below:
 - If the complaint is justified, the complainant will be written to by post or email and an apology made. The letter/e mail will set out what action will be taken to improve future lottery activities. Action will then be taken in order to prevent any recurrence of the problem.
 - If the complaint is not justified, the complainant will be written to or emailed in order to explain that complaints are taken very seriously, but that in this case lottery practices do not need to be changed. A reason for this position will be given. It will be made clear

that if the complainant is not happy with this response they can contact the Independent Betting Arbitration Service within 8 weeks of receiving the response.

6. In more complex or exceptional cases the Hospice may need more than 4 weeks to gather all the information needed to investigate the complaint. For example, if a key staff member is on annual leave or sick. If this happens the Hospice will contact the complainant in writing outlining the situation.

Martlets Lottery Complaints Form

As an organisation, we are committed to upholding the highest standards in our Lottery fundraising activities. Our commitment is evidenced by our License with the Gambling Commission. If you feel that we could have done better, or have a specific complaint you wish to make about our Lottery please tell us so that we can make improvements. It would be best to raise the problem with a member of staff at the time it occurs, or to contact the Director of Income Generation in person, or by telephone, so that we can do everything possible to sort it out immediately. However, if you do not wish to do this, or you do not feel satisfied with the outcome, summarise the problem on this form, in a letter or by email, and send it to the Director of Income Generation. Your comments will be treated in strict confidence.

Name of Person Completing Form:

Address:

.....

Telephone Number:

E mail address.....

Description of the problem and date it occurred (please use extra paper if needed):

Complainant/Representative: (print name)

Signature: Date:

Please return this form to the Director of Income Generation, Martlets Hospice Fundraising Office, Unit 5, Sussex House Business Park, 270 Old Shoreham Road, Hove, East Sussex, BN3 7DX. The Director of Income Generation will acknowledge its receipt within 5 working days and will respond fully within four weeks.