

**COMPLAINTS POLICY FOR DEPAUL LOTTERY (For service user and fundraising complaints please see Depaul's Complaints and Compliments SOP)**

**Under the terms and conditions of playing (Section 10), we commit to a complaints process and this is a fundamental part of the conditions of operating a society lottery. This is dealt with in more detail below.**

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## **SCOPE OF POLICY**

Depaul UK aims to ensure that any issue regarding the lottery that a player or potential player may have, is dealt with promptly and in confidence. We take complaints seriously and commit to solving any problem in a prompt and fair manner.

This process is without prejudice to players' legal rights and Depaul and our External Lottery Manager (ELM) People's Postcode Lottery (PPL) shall handle all player complaints in accordance with process below and make a copy of the process available to a player or potential player on request.

## **COMPLAINTS PROCESS**

Depaul's lottery will be managed by our ELM. Complaints will in the main go directly to PPL. If however, a complaint concerning the lottery comes directly to Depaul this should be taken to our Annex A Holders (the CEO and Executive Director of Fundraising) who will contact our ELM and move the complaint through the process below.

The Complaints Process then consists of four stages which are as follows:

### **Stage 1 – Acknowledgement and Resolution**

The handler deals with the complaint immediately and is able to resolve the complaint at the first point of contact.

### **Stage 2 – Investigation**

1. Complaint is formally recorded.
2. If the complaint is not resolved at initial stage, the handler escalates to line manager level.
3. Investigation takes place and line manager involves senior members of staff as needed.
4. Complaints graded 'major' by line manager alerted to Department Head who notifies Compliance Manager immediately.

## **Depaul UK**

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Patron Cardinal Vincent Nichols, President Sir Trevor MacDonald OBE, Registered Charity No. 802384 Depaul Housing Services registered with the Homes & Communities Agency No. C2683 Company Limited by Guarantee No. 2440093 (Registered in England and Wales). Registered Office: as Central Office

If the investigation of the complaint is likely to take longer than five working days, we our ELM will notify the complainer advising of the proposed timescales and next steps, aiming to resolve the complaint within a maximum of 20 working days.

### **Stage 3 – Outcome and Actions Taken**

The line manager or senior member of staff at our ELM will respond to the complainer advising of the outcome of the complaint and any action taken as a result of the investigation.

If unresolved, the complaint is referred to the Managing Director of People’s Postcode Lottery and the Depaul’s CEO and Executive Director of Fundraising.

### **Stage 4 – Alternative Dispute Resolution (ADR)**

If the resolution of the complaint is not satisfactory at Stage 3, the complainer can request ADR with Lindsays ([www.lindsays.co.uk](http://www.lindsays.co.uk)) to resolve the dispute for which both all parties are required to participate which provides a mediation process that can be followed at no cost to the complainer.

The mediator will report on the outcome of the dispute to the Gambling Commission, and Depaul and PPL will abide by the mediator’s decision or recommendations. The complainer can appeal at any stage of the process.

### **Review**

This policy will be reviewed on an annual basis.

Date: 13 June 2017

## **FAQs**

### **Q. WHAT IS A COMPLAINT?**

A complaint in this context is the explicit expression of dissatisfaction made to Depaul or People’s Postcode Lottery directly about our lottery.

### **Q. WHAT AREAS OF THE BUSINESS DOES THIS AFFECT?**

This should only affect Annexe A holders and the executive team at Depaul, it is not in relation to our core work of supporting young people. Any complaint should be communicated to our ELM by our Annexe A holders as highlighted above.

### **Q. WHAT COMPLAINTS DO WE NOT DEAL WITH?**

Complaints made which have no relation to the business or its operations and those made anonymously.

### **Q. WHAT IF A COMPLAINT IS MADE ABOUT AN AREA OF THE BUSINESS THAT I HAVE NO KNOWLEDGE OF AND ISN’T DIRECTLY TO DO WITH PLAYING?**

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Complaints made which have no relation to playing the lottery, should be referred to Depaul's Complaints and complements procedure as it will relate to our core business.

**Q. WHAT IF A COMPLAINT IS MADE BY SOMEONE EXTERNAL TO DEPAUL ABOUT AN INDIVIDUAL EMPLOYED BY THE LOTTERY?**

These should be referred to THE ELM if it comes direct to Depaul. Our ELM may then refer to the Human Resources team. Confidentiality must be considered.

**Q. HOW LONG DO COMPLAINTS HAVE TO BE KEPT?**

For a minimum of three years.

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