



COMPLAINTS PROCEDURE

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| Scope | This procedure applies to any person or organisation that interacts with or applies to the Pen y Cymoedd Wind Farm Community Fund CIC (PyC CIC) |
| Date Approved | January 2024 (V4) (V1 approved 18.1.18, V2 approved 11.2.20, V3 approved 24.01.22) |
| Review date | January 2026 |

Introduction

PyC CIC aims to provide high quality services to all our applicants, stakeholders and partners. However, we recognise that there may be occasions when things go wrong – this procedure sets out how we will manage any complaints made.

It is important that you tell us as soon as this happens so that we can deal speedily with the problem you have raised. Feedback will help us to improve the quality of our work, and we welcome this.

You may complain under this procedure if you feel:

- that the service you have received has failed to meet our service standards
- that you have not been treated in accordance with our policies and procedures
- unhappy with the behaviour of our staff, Board members or contractors

You may be disappointed if we turn down your application for funding, but **you cannot use** the complaints procedure to appeal against our decision on giving a grant/loan if we have followed our decision-making process correctly.

Making a complaint will never affect the level of service you receive from us. If your complaint is about a funding application, this will not affect your chances of getting a grant from us in the future.

Stages and Process

We will do our best to deal quickly and effectively with any complaint made to us

| General Complaint | Complaint that involves or is against the Executive Director |
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| <p>Stage 1</p> <p>As a first step, we suggest that you contact the Executive Director to see if the problem can be resolved to your satisfaction. You should do this as soon as possible after the incident that has resulted in your complaint. Our Executive Director will do everything they can to put things right, including reviewing procedures to stop problems happening again.</p> <p>The contact will be acknowledged within 7 working days and a copy of this Complaints Procedure will be made available to you (it is also published on the PyC website). The Executive Director will seek to resolve the matter within 28 working days.</p> | <p>Stage 1</p> <p>If your complaint involves or is against the Executive Director, then the first step would be to contact the Chair of the Pen y Cymoedd Board to see if the problem can be resolved to your satisfaction. You should do this as soon as possible after the incident that has resulted in your complaint. Our Chair will do everything they can to put things right, including reviewing procedures to stop problems happening again.</p> <p>The contact will be acknowledged within 7 working days and a copy of this Complaints Procedure will be made available to you (it is also published on the PyC website). The Chair will seek to resolve the matter within 28 working days.</p> |

If, at this point, the matter has not been resolved to your satisfaction, you may proceed to Stage 2.

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| <p>Stage 2</p> <p>The next step is for you to write formally to the Chair of the PyC CIC Board (details provided in Appendix 1). Receipt of your letter will be acknowledged within 7 working days. In the letter, please tell us:</p> <ol style="list-style-type: none"> 1. what happened 2. when it happened 3. who dealt with you 4. what you would like us to do to put things right. <p>The board/the chair will arrange to have the issues investigated and will aim to respond in 20 working days.</p> | <p>Stage 2</p> <p>The next step is for you to write formally to the Board of Directors (details provided in Appendix 1). Receipt of your letter will be acknowledged within 7 working days. In the letter, please tell us:</p> <ol style="list-style-type: none"> 1. what happened 2. when it happened 3. who dealt with you 4. what you would like us to do to put things right. <p>The board/the chair will arrange to have the issues investigated and will aim to respond in 20 working days.</p> |
| <p>Stage 3</p> <p>If you are not happy with the Stage 2 response, you have the right to ask for your complaint to be referred to the PyC CIC Complaints Panel. The Chair may also refer complaints to the Panel.</p> <p>The Panel consists of 3 members of the PyC Board and an independent representative of a suitable third party.¹ You will be advised of the date of the Panel Meeting, which will normally convene within 28 working days of the referral. You will be notified in writing of the Panel’s decision and we aim to do this within 5 working days of its meeting.</p> <p>Where a complaint is upheld, the PyC Board will ensure that lessons are learned to improve our systems and ways of working.</p> <p>Records of any formal complaints received, the response given and the outcome will be recorded in the minutes of the next PyC Board meeting.</p> | <p>Stage 3</p> <p>If you are not happy with the Stage 2 response, you have the right to ask for your complaint to be referred to the PyC CIC Complaints Panel. The Chair may also refer complaints to the Panel.</p> <p>The Panel consists of 3 members of the PyC Board and an independent representative of a suitable third party.² You will be advised of the date of the Panel Meeting, which will normally convene within 28 working days of the referral. You will be notified in writing of the Panel’s decision and we aim to do this within 5 working days of its meeting.</p> <p>Where a complaint is upheld, the PyC Board will ensure that lessons are learned to improve our systems and ways of working.</p> <p>Records of any formal complaints received, the response given and the outcome will be recorded in the minutes of the next PyC Board meeting.</p> |
| <p>Complaints against grant recipients</p> | |
| <p>Complainants will be advised to raise the matter with the <i>grant/loan</i> recipient directly.</p> <p>PyC CIC may request a copy of relevant correspondence from grant/loan recipients in relation to complaints made, and reserves the right to take such action as it deems appropriate - this may include, for example:</p> <ul style="list-style-type: none"> • the suspension of PyC CIC funding • investigating the substance of the complaint • alerting other funders to the nature of the complaint • initiating close monitoring of the organisation <p>In cases with very serious and potentially dangerous or illegal allegations (such as safeguarding concerns or serious financial irregularities), PyC CIC will refer the matter to appropriate authorities such as the Police. Other action in these circumstances may include:</p> | |

¹ The 3 panel members will be selected at random if a complaint is received and the ED holds a list of independent community members who can be approached.

² The 3 panel members will be selected at random if a complaint is received and the ED holds a list of independent community members who can be approached.

- immediate negotiation and transfer of service to another agency to manage in the short/medium term if appropriate
- withdrawal of PyC CIC funding

Again, where a complaint is upheld, the PyC Board will ensure that lessons are learned to improve our systems and ways of working.

APPENDIX 1 – CONTACT DETAILS

| Role | Name | Email | Phone | Address |
|--------------------|--|---|--------------|--|
| PyC CIC Chair | Martin Veale | penycymoeddchair@gmail.com (only Chair and Vice Chair have access and password). | 01685 878785 | Pen y Cymoedd, 6 Aberdare Enterprise Centre, Depot Road, Aberdare, RCT CF44 8DL |
| Executive Director | Kate Breeze | kate@penycymoeddccic.cymru | 07458300123 | |
| PyC Board | Please address as: 'Private and Confidential FAO PyC Directors, Pen y Cymoedd, 6 Aberdare Enterprise Centre, Depot Road, Aberdare, RCT CF44 8DL | | | |

Appendix 2 – PyC Decision Making Process

Pen y Cymoedd is a completely independent CIC and as such can administer and award funds in any way, they see fit. The aim of the fund is to support and develop resilient communities and we can accept applications from constituted groups or businesses and sole traders.

The staff team are employed to administer the fund and work with communities.

Micro Fund: we encourage all applicants to discuss their proposal with staff team but you can apply without making contact. All applications received are assessed to see:

- if they are eligible to apply
- they have supplied all evidence and documentation needed

Vision Fund: we do not accept applications without the applicant having met and discussed proposal with the staff team. The staff team will never refuse an appointment or conversation. We may advise you that you are ineligible because of how you are constituted or being outside fund area but we would always communicate that information to you clearly.

When applications are assessed, it is the role of the staff team to:

- seek further information and evidence if needed
- communicate timelines for decisions
- prepare assessment for the PyC Board of Directors

The staff team do not make any final funding decisions, it is the role of the Pen y Cymoedd Board of Directors to consider all applications, discuss and reach a decision. All applications are considered at a Board meeting where at least 5 of 8 Board members must be present.

Simply submitting an eligible project does not mean that an award will be offered. There are finite sums to award and depending on a variety of factors the Board may decide that a project is not supportable.

As an applicant you should expect a clear decision in a timely manner and clear feedback if your proposal is not successful.