



# Service Prosecuting Authority

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## GUIDANCE ON THE HANDLING OF COMPLAINTS AGAINST THE SERVICE PROSECUTING AUTHORITY

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### INTRODUCTION

1. The Service Prosecuting Authority (SPA) aims to provide the highest standards of service and to get things right. However, there will be occasions when we fall short of these standards. The purpose of this Guidance is to outline how to make a complaint on any aspect of our service.

### OUR COMMITMENT

2. The SPA is committed to developing a culture of excellence by setting clear standards about the service that all who find themselves involved in a case before the Service Courts can expect from us and providing the opportunity to tell us whether we have met those standards. The way in which we handle complaints is underpinned by the values of the SPA which are:

- a. independence and fairness;
- b. honesty and transparency;
- c. respectful treatment, and
- d. professional behaviour.

### COMPLAINTS HANDLING STANDARD

3. We will provide a service that complies with the principles of effective complaints handling. The benchmarks of quality are:

- a. Responding to complaints effectively, sensitively, fairly and thoroughly.
- b. Getting it right, taking account of the rights of complainants by acting in accordance with relevant law and providing clear governance for complaints management.
- c. Being victim focused, listening to complainants and providing an accessible complaints service with clear and simple procedures.
- d. Being open and accountable, providing honest evidence based explanations as well as publishing clear information and service standards.

- e. Acting fairly and proportionately, without discrimination ensuring that complaints are investigated thoroughly and decisions are proportionate, appropriate and fair.
  - f. Putting things right, acknowledging mistakes and apologising where appropriate with prompt and proportionate remedies.
  - g. Seeking continuous improvement, by regularly reviewing and using all feedback and the lessons learnt from complaints to improve service design and delivery.
4. We are held to account by the delivery of these standards and have a commitment to deal promptly and openly with complaints about our decisions and the service we provide.
5. We will respond to complaints effectively and deal with them sensitively, fairly and thoroughly. We will not treat any individual less favourably on the basis of their gender, sexual orientation, race or ethnicity, disability or religion or belief.

#### **WHAT DOES THE POLICY COVER?**

6. The policy applies to complaints regarding the service provided by the SPA.

#### **Complaints**

7. We consider a complaint to be an expression of dissatisfaction about any aspect of our service by a member of the public or their representative who has been directly involved in the service of which complaint is made.
8. Complaints can be either:

- a. **Legal**- these are complaints relating to legal decisions made by the SPA

*(Example of a legal complaint: Pte Blue was assaulted in the NAAFI bar. He writes to the SPA because he is unhappy about the SPA decision only to charge his assailant with common assault believing that it should be a more serious charge such as assault occasioning actual bodily harm.)*

- b. **Service**- these are complaints relating to the way in which we have conducted ourselves.

*(Example of a service complaint: AB Orange was a victim of harassment and was not given the opportunity to read her Victim Personal Statement aloud in court.)*

- c. **Mixed**- these are complaints containing both legal and service complaints.

*(Example of a mixed complaint: SAC Red is unhappy about the decision of the SPA to change the charge against his assailant from Actual Bodily Harm to common assault; he is also concerned that he did not receive a letter informing him of the decision.)*

## **WHAT IS NOT COVERED BY THE POLICY?**

### **Victims' Right to Review cases**

9. Victims who are unhappy about a SPA decision not to bring **any** charges, or to end **all** proceedings, have a right to request a review of the decision under the Victims' Right to Review (VRR) Policy. VRR requests are not complaints so they do not fall within the remit of this complaints policy. Victims who are dissatisfied with the outcome of their VRR request cannot lodge a legal complaint under this complaints policy.

### **Defence applications or appeals**

10. The SPA complaints procedure is not an avenue for defendants in ongoing cases to seek to have the cases against them discontinued or for convicted individuals to seek to have their conviction overturned. Correspondence of this nature will be logged as feedback and will not be considered as part of the complaint procedure. Defendants/convicted individuals in these situations should seek their own independent legal advice.

### **Complaints about ongoing legal proceedings**

11. Where a complaint relates to ongoing legal proceedings, we may only be able to provide limited information. In some situations, it may be necessary to defer the consideration of a complaint if doing otherwise might prejudice the proceedings.

### **Service Complaints**

12. This policy does not apply to Service Complaints which are managed by single-Service secretariats in accordance with the policies set out in JSP 831 'Redress of Individual Grievances: Service Complaints'. However, in circumstances where a service person wishes to make a Service Complaint about the SPA, the SPA complaints process is to be treated as a 'special-to-type process' which must be exhausted before a Service Complaint can proceed.

### **Abusive or vexatious complaints**

13. We may decline to deal with complaints that are abusive or vexatious, or complaints where our formal complaints procedure has been exhausted.

### **Complaints about other organisations**

14. This policy does not apply to complaints or feedback about other partner organisations such as the Service Police, the Military Court Service or the Office of the Judge Advocate General. Complaints and feedback about services provided by other organisations should be directed to them.

### **Complaints about SPA recruitment or employment practices or SPA responses to Freedom of Information (FOI) requests or Subject Access Requests (SAR)**

15. Complaints from members of the public about the outcome of recruitment campaigns or SPA employment practices fall outside the remit of this policy. FOI and SAR have their own separate and bespoke handling mechanisms and complaints procedures.

## COMPLAINTS PROCEDURE

### Who can make a complaint?

16. Any member of the public who has had direct contact with the SPA can make a complaint. A complaint can be made directly by the individual concerned or on their behalf by a nominated representative such as a family member, friend, support group, solicitor or other professional. If a representative is used then we will need to see permission in writing from the person they are representing along with proof of identification. We will liaise with the representative and treat them as if they are the complainant.

17. Complaints can be submitted in email or letter form. Additionally, complaints may be made orally to a prosecutor or other member of the SPA staff. In some circumstances, e.g. when the matter complained of is lengthy or the issues complex, the complainant may be asked to reduce their oral complaint in writing. In whatever form, all complaints will be directed in the first instance to the Deputy Director Service Prosecutions (DDSP).

### The Complaints Procedure

18. Complaints will be managed under the different stages of the Complaints Procedure. Through this process the DDSP or Director of Service Prosecutions (DSP) may decide that a stage is not appropriate and the complaint should be escalated to another stage.

### Local Resolution

19. It may be possible for the cause of the dissatisfaction to be resolved immediately and the SPA should aim to do so by providing an explanation, apology or other appropriate outcome within **three** working days. If we are unable to resolve concerns satisfactorily then the complainant may wish to pursue a formal complaint following the outlined procedure.

### Stage One

20. Complaints will be formally recorded and managed by the Practice Manager or a Managing Prosecutor who is not in the chain of command of the SPA employee involved. They will either investigate the complaint, or direct a suitable officer to investigate the complaint for them. They will then provide a response within **30** working days. Where it is not possible to complete the investigation and provide a response within that timeframe, the SPA will write to the complainant providing the date by which we hope to reply.

### Stage Two

21. If the complainant remains dissatisfied with the response received at Stage One they may ask for the complaint to be referred to the DDSP. The complainant should outline the details of why they remain dissatisfied and the DDSP will review the complaint and provide a response within **30** working days. Where it is not possible to complete the investigation and provide a response within that timeframe, the SPA will write to the complainant providing the date by which we hope to reply.

### **Stage Three - Independent Review**

22. If the complaint refers to the way in which the SPA have conducted ourselves and the complainant remains dissatisfied following Stages One and Two of the complaints procedure, a complainant can ask for the complaint to be investigated by an individual independent of the SPA, who will be appointed by, and report to, the Director Service Prosecutions (DSP).

23. The DSP will acknowledge receipt of the complaint and will provide a full response within **40** working days of accepting the complaint. If it is not possible to complete the investigation and reply within that time, the DSP will contact the complainant to explain why there is a delay and provide a date by which he hopes to provide a response. If the DSP does not accept a complaint, e.g. because it has not been through Stages One and Two of the complaints process, the complainant will be notified of the reason for rejection within **five** working days of the decision.

### **Handling the Complaint**

24. The SPA will deal with all complaints sensitively, fairly and confidentially and will inform the complainant whether their complaint has been upheld, either wholly or in part, or not upheld. If the complaint is upheld, we will apologise, try wherever possible to put the matter right and take steps to ensure that it does not happen again.

### **How can I make a complaint?**

25. Complaints about the SPA can be made by email or post to the address at the top of the first page.

### **What information will need to be provided**

26. To ensure that a complaint can be dealt with quickly and efficiently, the complainant or their representative should provide the following information:

- Full name
- Postal address
- Email address
- Contact details (including the detail of the complainant's nominated representative, where applicable)
- Full details of the complaint and whether the person is a victim, witness or other complainant
- Preferred method of contact (letter, email, telephone)

27. If the complaint relates to a case, the complainant should also include:

- The name(s) of the defendant(s) (*Please note that we require this information to identify a case*)
- The nature and date(s) of any offence(s)
- The place where the offence(s) occurred
- The police force that investigated the offence(s)
- The court(s) that dealt with the case (if the case reached court).

28. If a complainant has already tried to resolve their concerns informally with the SPA, the complainant should provide details of the SPA member of staff who assisted them.

#### **Time Limits - Complainants**

29. Complaints will only be considered if they are received **within three months** of the matter which gives rise to the complaint. If the complaint is not made within this time limit, the SPA will not examine the complaint.

30. If a complainant remains dissatisfied following a reply to their complaint they may wish to escalate their complaint to the next stage.

31. Complaints received outside of the time limits will only be considered in exceptional circumstances.

#### **Time Targets - SPA**

32. The SPA will acknowledge a complaint within **three** working days of receipt.

33. The SPA will reply to complaints at Stage One and Two within **30** working days of receipt

34. The DSP will respond to complaints within **40** working days of accepting referral of the complaint.

35. If it is not possible to provide a response within these timescales, the SPA will contact the complainant to explain why there is a delay and the date by which the SPA hopes to provide a response.

36. The above time limits do not apply to local resolution (see para 19).

#### **CIRCUMSTANCES NOT PROVIDED FOR**

37. It is almost impossible to encapsulate every possible type of complaint or the substance thereof. The SPA reserves the right to deviate from the strict letter of this policy where the interests of justice allow. Where that is the case, the complainant will receive a written explanation as to why it has been necessary to deviate from this policy and what this means for the complaint. However, even where such a deviation takes place, the standards at paragraph 3 continue to apply.

James Farrant  
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