

COMPLAINTS PROCEDURE

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1. Definitions and Interpretation

1.1 In this Complaints Handling Procedure the following expressions have the following meanings:

“Business Day” means any day other than Saturday or Sunday and any bank which has its branches open for their full business day in <<insert location>>;

“Complaint” means a complaint about [my] OR [our] [goods] or [services] or about [my] OR [our] [agents] or [subcontractors];

["Complaints Form"] means the standard complaints form, available from <<insert location>>;

“Complaints Policy” means our customer complaints policy, available from <<insert location>>;

“Complaint Reference” means the reference number assigned to a Complaint or the name of the staff member handling that Complaint;

“Customer” means any person who is a customer of [mine] OR [ours] and who has purchased goods or services from us (no purchase necessary);

“Decision Letter” means a letter or other communication informing a Customer of the result of the Complaint;

["External Resolution"] means the referral of a Complaint to an external dispute resolution body for resolution by a person who is not an employee of the Company if the Customer is not satisfied with the result of the Complaints Handling Procedure;

“Investigation Report” means the report following the investigation of a Complaint;

["Recommendation"] means the recommended resolution to a Complaint, as agreed by the staff member handling a Complaint;

“Resolution Action” means the actions to be taken in response to a Complaint, as agreed by the staff member handling the Complaint as detailed in Section 6.

2. What this Complaints Handling Procedure covers

2.1 This Complaints Handling Procedure applies to Complaints pertaining to [the sale of goods] AND [the provision of services] by [me, <<insert name>>] OR [us], to [my] OR [our] employees and to [my] OR [our] employees or agents or subcontractors;

2.2 For the purposes of this Complaints Handling Procedure, any reference to

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[me, <<insert name & position>>] also includes [my] **OR** [our] employees & subcontractors.

2.3 Complaints may relate to [my] **OR** [our] activities and may include (but not be limited to):

2.3.1 The quality of [my] **OR** [our] service;

2.3.2 The behaviour of [my] **OR** [our] employees [my] **OR** [our] subcontractors;

2.3.3 [Delays, defects or problems associated with the sale of goods;]

2.3.4 [Delays, defects or other problems associated with the provision of [my] **OR** [our] services];

2.3.5 <<Insert additional matters as appropriate>>.

2.4 The following do not constitute complaints and matters should be referred to [an appropriate person] **OR** [addressed accordingly]:

2.4.1 General queries about [my] **OR** [our] [goods] **AND/OR** [services];

2.4.2 [Returns of correct or unwanted goods for exchange or refund] without a supporting document or receipt and no further communication; [my] **OR** [our] <<insert name and Conditions>> where there is no further communication;

2.4.3 Matters concerning legal disputes;

2.4.4 Formal requests for information including, but not limited to, the [my] **OR** [our] applicable legislation;

2.4.5 <<insert additional matters as appropriate>>.

### 3. **Receipt and Recording of Complaints**

3.1 Customers may make complaints using any of the following methods:

3.1.1 [In writing, a letter or email] to [my] **OR** [our] <<insert name and/or position>>] at <<insert address>>;

3.1.2 [By email, a text message or social media] to [my] **OR** [our] <<insert name and/or position>>] at <<insert email address>>;

3.1.3 [Using [my] **OR** [our] Complaint Form, following the instructions included with the goods or services];

3.1.4 [By contact with [my] **OR** [our] telephone on <<insert telephone number>> [a <<insert telephone number>> when prompted.]]

3.2 Upon receipt of Complaints the following steps shall be taken [immediately] **OR** [within <<insert time period>>]:

3.2.1 [If a written complaint is received by post, [!] **OR** [<<insert name and/or position>>] shall take the following steps for logging or recording>>];

3.2.2 [If a written complaint is received by email, [!] **OR** [<<insert name and/or position>>] shall take the following steps for logging or recording>>];

3.2.3 [If a Complaint is received by telephone, [!] **OR** [<<insert name and/or position>>] shall take the following steps for logging or recording>>];

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3.2.4 [If a Complaint is made, [I] OR [<<insert name and/or position>>] shall ensure that the Complaint is logged or recorded.]

3.3 All Complaints shall be handled in accordance with the Complaints Policy Reference and the investigation shall begin within <<insert period>> of Business Days.

3.4 All Complaints shall be acknowledged in writing within <<insert period>> of receipt. The acknowledgment shall be in the form of a Complaint Reference, by whom the Complaint is handled, and shall include copies of the Complaints Policy [and this Complaints Handling Procedure].

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4. Complaint Information

4.1 Customers are advised to read the Complaints Policy that the following information should be provided in detail as is reasonably possible when making a Complaint:

4.1.1 The Customer's name, telephone number and email address, and details of the communication;

4.1.2 If the Complaint is made by a third party, the information provided in reference to both parties;

4.1.3 If the Complaint relates to a particular transaction, the <<insert reference number etc.>>;

4.1.4 If the Complaint is made by a particular employee [agent] or subcontractor, the name, where appropriate, position of that employee [agent];

4.1.5 Further details including, as appropriate, all times, dates, events and circumstances;

4.1.6 Details of any evidence on which the Customer wishes to rely in support of the Complaint;

4.1.7 Details of how the Customer [like [me] OR [<<insert business name>>]] would like to be contacted. Whilst [I] OR [we] undertake to make all reasonable attempts to accommodate such requests, however, we are not obliged to take any action beyond that which [I] OR [we] are otherwise legally obliged to take.

4.1.8 <<insert additional information as appropriate>>.

4.2 If the information provided is missing, insufficiently detailed, or incomplete, the Customer shall be contacted within <<insert period>> of Business Days, request further information.

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5. Complaints Handling

5.1 [The following staff shall be responsible for handling and eligible to handle Complaints:

<<Insert name of staff member>>, <<insert contact details>>;

<<Insert name of staff member>>, <<insert contact details>>;

<<Insert further details>>

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5.1 [As a sole trader I, <<insert name>> shall handle all Complaints.]

5.2 Upon receipt of a Complaint, I shall be considered and a decision shall be made within <<insert period>> days whether to:

5.2.1 Investigate the Complaint if it is considered to be valid, in which case the Complaint shall be dealt with in accordance with Section 5.3; or

5.2.2 Dismiss the Complaint if it is considered to be invalid, in which case the Complaint shall be dealt with in accordance with Section 5.3. I shall inform the Customer in writing within <<insert period>> Business Days.

5.3 Subject to delays arising from factors beyond [my reasonable control] OR [beyond the reasonable control of the staff member handling the Complaint] (including delays in other persons responding to the Complaint, delays in communications), I shall investigate the Complaint and decide upon a Recommendation within <<insert period>> Business Days.

5.4 [If the Complaint is made by a particular employee(s) [agent(s)] OR [subcontractor(s)] (the "Complainee(s)"), the Complainee(s) in question shall be invited to discuss the Complaint and [meetings] AND/OR [telephone calls] shall be arranged. In such cases, the Complainee(s) shall be invited to discuss the Complaint under any circumstances, contact the staff member handling the Complaint. If the Customer contacts the Complainee(s) directly, the Complainee(s) should respectfully refuse to do so and refer the matter to Section 5.4 of [my] OR [our] Complaints Policy. The Complainee(s) shall be reported to [me] OR [the staff member handling the Complaint].

5.5 If additional information or evidence in support of the Complaint is required, the Customer shall be invited to provide such information or evidence by the Customer's preferred method of communication, stating that any delay in their response to such a request may result in the Customer's Complaint being closed. Customers should be advised that any delay in their response to such a request may result in the Customer's Complaint, as per Section 5.5 of [my] OR [our] Complaints Policy.

5.6 If a Customer is invited to provide information or evidence in support of the Complaint and such information or evidence is requested under Section 5.5, the Customer shall endeavour to provide such information or evidence. If it is not possible to provide such information or evidence, the Customer shall be invited to provide such information or evidence. If the Customer does not provide such information or evidence, the Complaint may be closed in accordance with Section 5.5 of [my] OR [our] Complaints Policy.

5.7 The Complaint shall be investigated, taking full account of all relevant statements, evidence and circumstances. Full objectivity and fairness shall be maintained throughout the investigation.

5.8 [Subject to the extent permitted by law,] During the investigation of the Complaint, all records relating to the Complaint, including [agents] [subcontractors] that may be necessary to conduct a fair and thorough investigation shall be made available to the Customer.

5.8.1 [Access to the records shall require the Customer to provide the following information and/or information is restricted and shall require the Customer to provide the following information and/or position>>:

- a) <<delete name>> or information>>;
- b) <<delete position>> or information>>;

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- c) <<insert name and/or position>> records or information as required>>.]
- 5.9 Following examination of the Complaint, a decision shall be reached within the time period set out in Section 6 (subject to the exceptions noted therein). Resolution Actions shall be set out in Section 6.
- 5.10 [Once a decision has been reached, Investigation Reports and Recommendations shall be issued by <<insert name and/or position>> before the Customer may be informed of the outcome.]
- 5.11 In the event that <<insert name and/or position>> does not agree with the decision and/or Recommendation set out in Section 5.10, he/she shall give reasons for such a decision and/or Recommendation and shall be reconsidered. <<insert name and/or position>> shall be responsible for investigating the Complaint within <<insert period>> Days. If, following resubmission to <<insert name and/or position>>, the Complaint still does not agree with the Decision and/or Recommendation, <<insert name and/or position>>'s preferred decision shall be final].]
- 5.12 [Once a decision has been approved under Section 5.9] OR [Once a decision has been approved under Section 5.10 or 5.11, as applicable], an Investigation Report and Decision Letter shall be sent to the Customer by first class post. The Decision Letter shall set out the decision reached and the reasons for it. The Customer shall be reminded of the decision reached and the reasons for it. <<Insert number>> copies of the Investigation Report and Decision Letter should be <<describe how copies should be distributed, e.g. to other staff, file storage, logging, recording etc.>>.
- 5.13 If a delay either occurs or is likely to occur at any stage of this procedure, the Customer shall be informed using his or her preferred communication method. The Customer should be informed of the length or likely length of the delay and the reasons for it.

## 6. Resolution Actions

When handling Complaints, the following Resolution Actions may be selected, as appropriate to the facts and circumstances of the Complaint:

- 6.1 <<Insert description of Resolution Action 1>>
- 6.2 <<Insert description of Resolution Action 2>>
- 6.3 <<Insert description of Resolution Action 3>>
- 6.4 <<Insert description of Resolution Action 4>>
- 6.5 <<Insert further Resolution Actions, if any, to be included here>>.

## 7. [External Resolution

- 7.1 As [I am] OR [<<insert name and/or position>>] [a member of] OR [regulated by] OR [<<insert appropriate regulatory body or connection>>] <<insert name of organisation>>, Customers may wish to seek External Resolution of Complaints from the <<insert name of organisation>>. If Customers are not satisfied with the outcome of the Internal Resolution procedure, they may refer the Complaint to the <<insert name of organisation>> for External Resolution.
- 7.2 <<Insert organisation name>> shall accept any and all such referrals in accordance with the <<insert name of organisation>>'s External Resolution procedure.

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accordance with < appropriate representative contact with [me] A business name>> pertaining to a Com for External Resol organisation name position>>.] Any an evidence or inform undue delay [, sub and/or position>>, pertinent given the

policies, procedures etc.>>. The organisation name>> may require agents] [subcontractors] of <<insert s to documents and information a Customer refers their Complaint ch interactions between <<insert place via <<insert name and/or <<insert organisation name>> for r oral, shall be answered without d authorisation of <<insert name said request is reasonable and

7.3 <<Insert further pro

8. **Implementation of Resolu**

Upon the conclusion of a require implementation in Resolution Actions ultima position>>, <<insert contac

tion Action(s) settled upon shall responsibility for the implementation of OR [<<Insert name>>, <<insert

9. **Recording of Resolution**

9.1 Upon the conclusio Resolution Action(s

the implementation of the applicable gging or recording>>.

9.2 <<insert further pro

10. **Confidentiality and Data**

10.1 All Complaints, App processed under the utmost confidence employees [agents] extent required to Complaints Handlin

er information gathered, held and Procedure shall be treated with the information may be shared with insert business name>> only to the question in accordance with this

10.2 In the event that the improvement purpose employees [agents name>>] beyond relevant Customer Customer's preference may be used to ide so used. Such per Customer's right to Complaints Policy.

re to be used for training or quality they may be shared with other [mine] OR [<<insert business Complaints Handling Procedure, the must first be sought using that sonal details (that is, anything that l be removed from all information at any time in accordance with the 6.2 of [my] OR [our] Customer

10.3 All personal informa to, Customers' nam held in accordance not limited to the U and Electronic Co

OR [us] (including, but not limited shall only be collected, used and K data protection law (including but ection Act 2018, and the Privacy ns 2003) and Customers' rights

thereunder, as set out in the Complaints Handling Procedure and the implementation thereof. The Complaints Handling Procedure is available for inspection at the following address: <<insert document name, e.g. Privacy Notice>> available for inspection at <<insert address>>.

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11. **Procedure Review and Revision**

11.1 Overall responsibility for the review and revision of the Complaints Handling Procedure and the implementation thereof shall be the responsibility of <<insert name and/or position>>].

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11.2 This Complaints Handling Procedure shall be reviewed regularly at intervals of <<insert period>> and shall be updated as required.

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11.3 This Complaints Handling Procedure was first adopted on <<insert date>>.

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11.4 This Complaints Handling Procedure was last reviewed on <<insert date>>.

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