

COMPLAINTS PROCEDURE

1. Definitions and Interpretation

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

“Appeal” means a Customer to escalate a Complaint to Level Three following an unsuccessful Complaint at Level Two;

“Appeal Handler” means the person of <<insert business name>> <<insert level>> who will handle the Complaint on behalf of the Customer and <<insert level>>, such as a member of the board of directors, board of directors, or other senior management, in respect to Level Three;

“Business Day” means any day other than Saturday or Sunday and any bank holiday; banks are open for their full business hours in <<insert location>>;

“Complaint” means a Complaint about [goods] AND/OR [services] of <<insert business name>>, or about our subcontractors];

["Complaints Form"] means the Complaints form for use by the Customer, available from <<insert location>>;]

“Complaints Policy” means the Complaints policy, available from <<insert location>>;

“Complaint Reference” means the Complaint Reference assigned to a Complaint by the Complaint Handler for that Complaint;

“Customer” means <<insert business name>> and its customers (no purchase necessary);

“Decision Letter” means a letter issued by a Complaint Handler or the Customer informing that the Customer of the outcome of their Complaint;

["External Resolution"] means the process of referring a Complaint to an external body for resolution by a third party where the Customer is not satisfied with the outcome of the Complaint after three levels of Complaint Handling;

“Investigation Report” means the report detailing the investigation and findings of the Complaint;

“Level One” means the first level of this Complaints Handling Policy to which Complaints will be referred to the Complaint Handler;

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“Level One Complaint Handler”

e of <<insert business <<insert level>> who will complaints;

“Level Two”

stage in this Complaints under which a Customer come of a Level One which Complaints will be o Complaint Handler;

“Level Two Complaint Handler”

e of <<insert business <<insert level>> who will complaints;

“Level Three”

age in this Complaints under which a Customer come of a Level Two which Complaints will be al Handler and <<insert ent, board of directors, >;

[“Recommendation”]

ended resolution to a

“Resolution Action”

actions to be taken in nt as detailed in Section 9.

2. What this Complaints Ha

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2.1 This Complaints Ha sale of goods] AN name>>, to our [subcontractors].

s to Complaints pertaining to [the f services] by <<insert business d to our employees [agents]

2.2 For the purposes of <<insert business [subcontractors].

ling Procedure, any reference to des our employees [agents]

2.3 Complaints may re limited to):

ties and may include (but not be

2.3.1 The quality of

2.3.2 The behavior [agents] [su

competence of our employees

2.3.3 [Delays, def

ssociated with the sale of goods;]

2.3.4 [Delays, def the provision

or other problems associated with

2.3.5 <<Insert add

ve as appropriate>>.

2.4 The following do no or matters should be

Customers raising such questions ate [person] OR [department]:

2.4.1 General que

AND/OR [services];

2.4.2 [Returns of exchange of

orrect or unwanted goods for with our <<insert document e.g.

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- 2.4.3 Matters concerning the sale of Goods where there is no further complaint];
- 2.4.4 Formal requirements of information including, but not limited to, the applicable legislation;
- 2.4.5 <<insert additional requirements as appropriate>>.

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**3. Receipt and Recording of Complaints**

- 3.1 Customers may make a complaint to <<insert business name>> using any of the following methods:
  - 3.1.1 [In writing, to <<insert name and/or position>>, <<insert address>>];
  - 3.1.2 [By email, to <<insert name and/or position>> at <<insert email address>>];
  - 3.1.3 [Using our Complaint Form, by completing the instructions included with the form;]
  - 3.1.4 [By contacting our Customer Complaints Department on <<insert telephone number>> [and choosing an option when prompted.]]

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- 3.2 Upon receipt of Complaints, the following steps should be taken [immediately] <<insert period>>:
  - 3.2.1 [If a written complaint is received by post, <<insert name and/or position>> must ensure that the complaint is logged or recording>>];
  - 3.2.2 [If a written complaint is received by email, <<insert name and/or position>> must ensure that the complaint is logged or recording>>];
  - 3.2.3 [If a Complaint is received by telephone, <<insert name and/or position>> must ensure that the complaint is logged or recording>>];
  - 3.2.4 [If a Complaint is received by any other means, <<insert name and/or position>> must ensure that the complaint is logged or recording>>].

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- 3.3 All Complaints must be assigned to an appropriate Level One Reference and forwarded to an appropriate Level One Reference, selected in accordance with Section 6.1 within <<insert period>> Business Days.
- 3.4 All Complaints must be acknowledged in writing within <<insert period>> of receipt. The acknowledgement should refer to the Reference, their assigned Level One Reference, and the name of <<insert business name>>'s Complaints Handling Procedure].

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**4. Complaint Information**

- 4.1 Customers are advised that the following information should be provided <<insert period>> reasonably possible when making a Complaint:
  - 4.1.1 The Customer's name, telephone number and email address, and details of the communication;

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4.1.2 If the Customer provides information received by a third party, the information set out in Section 4.1.1 shall be provided in reference to both parties;

4.1.3 If the Complaint relates to a particular transaction, the Complaint number shall be inserted in the Complaint reference, e.g. [Complaint number etc.];

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

4.1.5 Further details of the Complaint, 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 wishes to resolve the Complaint. The Customer shall undertake to make all reasonable efforts to accept any offer of redress, however, we are not bound to accept any offer of redress which we may be contractually or otherwise prevented from doing;

4.1.8 <<insert additional details of the Complaint as appropriate>>.

4.2 If the information provided is missing, incomplete, insufficiently detailed, or otherwise inadequate, the Customer shall contact the Complaint Handler within <<insert period>> of receipt of the Complaint to request further information. If the Complaint Handler should contact the Customer within <<insert period>> of being assigned to the Complaint to request further information.

**5. Complaint Levels**

5.1 <<Insert business name>> has a three-stage complaints handling procedure. Upon receipt of a Complaint, Complaints should be handled in accordance with the procedure set out in Section 6 below. It is our policy to use all stages of the procedure to resolve all Complaints to the satisfaction of the Customer.

5.2 If a Customer is not satisfied with the resolution of their Complaint at Level One, he/she may request that the Complaint is escalated to Level Two at which point the Complaint shall be handled in accordance with the Level Two procedure set out in Section 7 below.

5.3 If a Customer is not satisfied with the resolution of their Complaint at Level Two, he/she may request that the Complaint is escalated to Level Three in the form of an Appeal. The Appeal should be handled in accordance with the procedure set out in Section 8 below.

5.4 [If a Customer is not satisfied with the resolution of their Complaint at Level Three, he/she has the right to refer the matter to <<insert organisation name>> for External Dispute Resolution in Section 10 below.]

**6. Level One Complaints**

6.1 [The following staff members are designated as Complaint Handlers for Level One Complaints and eligible Level One Complaint Agents.]

6.1.1 Complaints which are referred to the Complaints Service may be referred to:

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<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

6.1.2 Complaints [behaviour and/or professional competence of agents] [subcontractors] may be referred to:

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

6.1.3 [Complaints] may be referred to:

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

6.1.4 [Complaints] may be referred to:

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

6.1.5 [<<Insert a name>>] of Complaint or remove as appropriate>

OR

6.1 [The following staff] and eligible Level One Complaint Handlers for Level One

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

6.2 Upon receipt of a Complaint, the Complaint Handler shall consider the Complaint and <<insert period>> Business Days whether to:

6.2.1 Investigate the Complaint if it is considered to be valid, in which case the Complaint Handler shall follow the procedure from Section 6.3; or

6.2.2 Dismiss the Complaint if it is considered to be invalid, in which case the Complaint Handler shall inform the Customer of his or her decision in writing within <<insert period>> Business Days.

6.3 Subject to delays and difficulties beyond his or her reasonable control (including, but not limited to, delays in communications), the Complaint Handler shall have a period of <<insert period>> Business Days to fully investigate the Complaint and to decide upon the appropriate action.

6.4 If the Complaint is referred to a particular employee(s) [agent(s)] [subcontractor(s)] [agent(s)] [Complainee(s)], the Level One Complaint Handler shall identify the Complainee(s) in question of the

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Complaint and arrangements to discuss the Complaint in any circumstances, the Customer contact the Complainee(s) should refer the Customer to Section 5.2.4 of our Complaints Policy. Any such contact should be reported to the Level One Complaint Handler.

For [telephone calls] as required to the Complainee(s) should not, under any circumstances, contact the Complainee(s) directly regarding the Complaint. If the Customer contact the Complainee(s) directly regarding the Complaint in our Complaints Policy), the Complainee(s) should not discuss the matter, referring the Customer to Section 5.2.4 of our Complaints Policy. Any such contact should be reported to the Level One Complaint Handler.

6.5 If the Level One Complaint Handler receives additional information or evidence in support of the Complaint, the Level One Complaint Handler shall contact the Customer using the preferred method of communication, stating clearly what information is required. Customers should be respectfully reminded that a delay in response to such a request may delay the resolution of the Complaint in accordance with Section 5.2.4 of our Complaints Policy.

If the Level One Complaint Handler receives additional information or evidence in support of the Complaint, the Level One Complaint Handler shall contact the Customer using the preferred method of communication, stating clearly what information is required. Customers should be respectfully reminded that a delay in response to such a request may delay the resolution of the Complaint in accordance with Section 5.2.4 of our Complaints Policy.

6.6 If a Customer is requested under Section 5.2.4 of our Complaints Policy to provide information or evidence requested under Section 5.2.4 of our Complaints Policy, the Level One Complaint Handler must nevertheless use a reasonable effort to resolve the Complaint. If, however, the Level One Complaint Handler considers that it is not possible to provide the requested information or evidence, the Level One Complaint Handler must inform the Customer of the outcome in accordance with Section 5.2.4 of our Complaints Policy.

If a Customer is requested under Section 5.2.4 of our Complaints Policy to provide information or evidence requested under Section 5.2.4 of our Complaints Policy, the Level One Complaint Handler must nevertheless use a reasonable effort to resolve the Complaint. If, however, the Level One Complaint Handler considers that it is not possible to provide the requested information or evidence, the Level One Complaint Handler must inform the Customer of the outcome in accordance with Section 5.2.4 of our Complaints Policy.

6.7 The Level One Complaint Handler shall determine and evaluate the Complaint, taking full account of the relevant facts, circumstances and the interests of the Customer and the Complainee(s).

The Level One Complaint Handler shall determine and evaluate the Complaint, taking full account of the relevant facts, circumstances and the interests of the Customer and the Complainee(s).

6.8 [Subject to the exceptions set out in Section 6.8.1,] During the investigation of the Complaint, the Level One Complaint Handler shall have access to all records, information, evidence and other factors] that may be necessary to enable him/her to carry out a thorough investigation.

[Subject to the exceptions set out in Section 6.8.1,] During the investigation of the Complaint, the Level One Complaint Handler shall have access to all records, information, evidence and other factors] that may be necessary to enable him/her to carry out a thorough investigation.

6.8.1 [Access to records or information shall require the Level One Complaint Handler to insert the name and/or position of the Complainee(s) and/or information is restricted and the Level One Complaint Handler shall insert name and/or position>>:

[Access to records or information shall require the Level One Complaint Handler to insert the name and/or position of the Complainee(s) and/or information is restricted and the Level One Complaint Handler shall insert name and/or position>>:

a) <<delete name and/or position>>;

a) <<delete name and/or position>>;

b) <<delete name and/or position>>;

b) <<delete name and/or position>>;

c) <<insert name and/or position>>.]

c) <<insert name and/or position>>.]

6.9 Following his/her receipt of a Complaint, the Level One Complaint Handler shall reach a decision on the Complaint (subject to the exceptions set out in Section 6.8.1) within the time period chosen are set out in Section 6.3 of our Complaints Policy.

Following his/her receipt of a Complaint, the Level One Complaint Handler shall reach a decision on the Complaint (subject to the exceptions set out in Section 6.8.1) within the time period chosen are set out in Section 6.3 of our Complaints Policy.

6.10 [Upon reaching a decision on the Complaint, the Level One Complaint Handler shall send an Investigation Report and Recommendation to the Complainee(s) and/or position>> within <<insert period>> Business Days.

[Upon reaching a decision on the Complaint, the Level One Complaint Handler shall send an Investigation Report and Recommendation to the Complainee(s) and/or position>> within <<insert period>> Business Days.

6.11 In the event that <<insert name and/or position>> does not agree with the Level One Complaint Handler's decision and/or Recommendation under Section 6.10 he/she may request the Level One Complaint Handler to revise his/her decision and/or Recommendation within <<insert period>> Business Days of the date of the original decision and/or Recommendation. If, following <<insert period>> Business Days, <<insert name and/or position>> still does not agree with the Level One Complaint Handler's decision and/or Recommendation, the Complaint shall be reassigned to a Level Two Complaint Handler.

In the event that <<insert name and/or position>> does not agree with the Level One Complaint Handler's decision and/or Recommendation under Section 6.10 he/she may request the Level One Complaint Handler to revise his/her decision and/or Recommendation within <<insert period>> Business Days of the date of the original decision and/or Recommendation. If, following <<insert period>> Business Days, <<insert name and/or position>> still does not agree with the Level One Complaint Handler's decision and/or Recommendation, the Complaint shall be reassigned to a Level Two Complaint Handler.

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new Level One Co again] OR [ <<insert Recommendation s

Level One procedure shall begin on>>'s preferred decision and/or

6.12 [Upon reaching a d a final decision un Complaint Handler the Customer by fir shall set out the c Customer of their number>> copy/cop be <<describe ste recording etc.>>.

9] OR [Upon receiving approval or 1, as applicable], the Level One ion Report and Decision Letter to , as appropriate. Decision Letters Action(s), and shall remind the complaint to Level Two. <<Insert Report and Decision Letter should other staff, file storage, logging,

6.13 If a delay either oc Level One proced Customer using th Customer should be reasons therefor.

likely to occur at any stage of the Complaint Handler shall inform the d communication method. The or likely length of the delay and the

6.14 The Customer sha within which to requ

<<insert period>> Business Days e escalated to Level Two.

6.15 Upon receipt of an [immediately] OR [ Complaint Handler:

following steps should be taken Business Days] by the Level One

6.15.1 [If a written Handler mus

by post, the Level One Complaint gging or recording>>];

6.15.2 [If a written Handler mus

email, the Level One Complaint gging or recording>>];

6.15.3 [If request <<describe s

e, the Complaint Handler must ding>>.]

6.16 All escalation requ Complaint Handler, period>> Business

ed to an appropriate Level Two e with Section 7.1 within <<insert

6.17 All escalation requ period>> of rec acknowledgement s Complaint Handler.

edged in writing within <<insert me and/or position>>. The mer of their assigned Level Two

7. Level Two Complaints

7.1 [The following staff Handlers for Level T

and eligible Level Two Complaint

7.1.1 Complaints p <<Insert nar <<Insert nar <<Insert furt

service may be referred to: >, <<insert contact details>>; >, <<insert contact details>>;

7.1.2 Complaints competence referred to:

behaviour and/or professional gents] [subcontractors] may be

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<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

7.1.3 [Complaints may be referred to:

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

7.1.4 [Complaints may be referred to:

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

7.1.5 [ <<Insert address>> to be dealt with or removed or removed as appropriate>>.] ]

OR

7.1 [The following staff members are designated as Complaint Handlers for Level Two Complaints and eligible Level Two Complaint

<<Insert name>>, <<insert contact details>>;

<<Insert name>>, <<insert contact details>>;

<<Insert further>>

7.2 Upon receipt of an appeal, the designated Level Two Complaint Handler shall consider the Complaint and make a decision within <<insert period>> Business Days when the Complaint is received.

7.2.1 Investigate the Complaint and determine whether it is considered to be valid, in which case the Complaint shall be referred to the Level Two Complaint Handler from Section 7.3; or

7.2.2 Dismiss the Complaint as being considered to be invalid, in which case the Complaint Handler shall inform the Customer of his/her decision in writing within <<insert period>> Business Days. If the Complaint is considered to be invalid, the Complaint may be dismissed in its entirety, or the Complaint may be referred to the Level One Complaint Handler from Level One may stand.

7.3 Subject to delays beyond his/her reasonable control (including, but not limited to, delays in communications), the Complaint Handler shall have a period of <<insert period>> Business Days to fully investigate the Complaint and to decide upon the appropriate action(s).

7.4 If the Complaint is referred to the Level Two Complaint Handler, the Complaint Handler shall contact the Complainee(s), the Level Two Complaint Handler shall arrange [meetings or telephone calls] as required to discuss the Complaint. In such circumstances, the Complainee(s) should not, under any circumstances, contact the Customer regarding the Complaint. If the Customer contacts the Complaint Handler regarding the Complaint (which may be in accordance with the Complaints Policy), the Complainee(s) should respectfully decline to discuss the matter, referring the Customer to the Level Two Complaint Handler. Any such contact should be reported to the Level Two Complaint Handler.

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7.5 If the Level Two Complaint Handler shall contact the Customer using the preferred method of communication, stating clearly what is required. Customers should be respectfully reminded that a delayed response to such a request may delay the resolution of the Complaint in accordance with Section 5.3.4 of our Complaints Policy.

additional information or evidence to the Level Two Complaint Handler shall contact the Customer using the preferred method of communication, stating clearly what is required. Customers should be respectfully reminded that a delayed response to such a request may delay the resolution of the Complaint in accordance with Section 5.3.4 of our Complaints Policy.

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7.6 If a Customer is requested to provide information or evidence under Section 7.8, the Level Two Complaint Handler must nevertheless use a reasonable effort to resolve the Complaint. If the Level Two Complaint Handler considers that it is not possible to obtain the requested information or evidence, the Level Two Complaint Handler must inform the Customer of the outcome in accordance with Section 7.12.

provide information or evidence under Section 7.8, the Level Two Complaint Handler must nevertheless use a reasonable effort to resolve the Complaint. If the Level Two Complaint Handler considers that it is not possible to obtain the requested information or evidence, the Level Two Complaint Handler must inform the Customer of the outcome in accordance with Section 7.12.

7.7 The Level Two Complaint Handler shall determine and evaluate the Complaint, taking full account of the relevant facts, circumstances and the interests of the Customer and the Company, and shall ensure that the investigation is conducted with integrity and fairness at all times.

The Level Two Complaint Handler shall determine and evaluate the Complaint, taking full account of the relevant facts, circumstances and the interests of the Customer and the Company, and shall ensure that the investigation is conducted with integrity and fairness at all times.

7.8 [Subject to the exceptions set out in Section 7.8.1, the Level Two Complaint Handler shall have access to all records, information, data and other material held by the Company or its employees [agents] in order to carry out an impartial investigation.]

[Subject to the exceptions set out in Section 7.8.1, the Level Two Complaint Handler shall have access to all records, information, data and other material held by the Company or its employees [agents] in order to carry out an impartial investigation.]

7.8.1 [Access to records, information, data and other material shall require the prior approval of the Level Two Complaint Handler.]

[Access to records, information, data and other material shall require the prior approval of the Level Two Complaint Handler.]

- a) <<delete>>
- b) <<delete>>
- c) <<insert name and/or position>>

- a) <<delete>>
- b) <<delete>>
- c) <<insert name and/or position>>

7.9 Following his/her decision, the Level Two Complaint Handler shall reach a final decision (subject to the exceptions set out in Section 7.11) within the time period chosen that may be set out in Section 9.

Following his/her decision, the Level Two Complaint Handler shall reach a final decision (subject to the exceptions set out in Section 7.11) within the time period chosen that may be set out in Section 9.

7.10 [Upon reaching a decision, the Level Two Complaint Handler shall send an Investigation Report to the Customer for review and authorisation by the Customer. The Customer shall be required to respond within <<insert period>> Business Days.]

[Upon reaching a decision, the Level Two Complaint Handler shall send an Investigation Report to the Customer for review and authorisation by the Customer. The Customer shall be required to respond within <<insert period>> Business Days.]

7.11 In the event that <<insert name and/or position>> does not agree with the Level Two Complaint Handler's decision and/or Recommendation under Section 7.10 he/she may request a review of such disagreement and the Level Two Complaint Handler shall consider the request within <<insert period>> Business Days of the date of the request and resubmit it to <<insert name and/or position>> for review and authorisation. If, following the review, <<insert name and/or position>> still does not agree with the Level Two Complaint Handler's decision and/or Recommendation, the Complaint shall be reassigned to a new Level Two Complaint Handler and the Level Two procedure shall begin again] OR [<<insert name and/or position>>'s preferred decision and/or Recommendation shall be final.]

In the event that <<insert name and/or position>> does not agree with the Level Two Complaint Handler's decision and/or Recommendation under Section 7.10 he/she may request a review of such disagreement and the Level Two Complaint Handler shall consider the request within <<insert period>> Business Days of the date of the request and resubmit it to <<insert name and/or position>> for review and authorisation. If, following the review, <<insert name and/or position>> still does not agree with the Level Two Complaint Handler's decision and/or Recommendation, the Complaint shall be reassigned to a new Level Two Complaint Handler and the Level Two procedure shall begin again] OR [<<insert name and/or position>>'s preferred decision and/or Recommendation shall be final.]

7.12 [Upon reaching a decision, the Level Two Complaint Handler shall send an Investigation Report and Decision Letter to the Customer by first class post. The Customer shall set out the details of any appeal in the Decision Letter.]

[Upon reaching a decision, the Level Two Complaint Handler shall send an Investigation Report and Decision Letter to the Customer by first class post, as appropriate. Decision Letters shall set out the details of any appeal in the Decision Letter, and shall remind the Customer of the right to appeal.]

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Customer of their... number>> copy/cop... be <<describe ste... recording etc.>>.

complaint to Level Three. <<Insert Report and Decision Letter should other staff, file storage, logging,

7.13 If a delay either of Level Two proced... Customer using th... Customer should be... reasons therefor.

likely to occur at any stage of the... Complaint Handler shall inform the... and communication method. The... or likely length of the delay and the

7.14 The Customer sha... within which to mak... Level Three.

<<insert period>> Business Days... wishes to escalate the Complaint to

7.15 Upon receipt of an... OR [within <<inser... Handler:

steps should be taken [immediately]... days] by the Level Two Complaint

7.15.1 [If a written... Handler mus

post, the Level Two Complaint... gging or recording>>];

7.15.2 [If a written... Handler mus

email, the Level Two Complaint... gging or recording>>];

7.15.3 [If an Appea... must <<deso

the Level Two Complaint Handler... recording>>].]

7.16 All Appeals must b... liaise with <<inser... trustees etc.>>, se... period>> Business

appropriate Appeal Handler, who shall... ent, board of directors, board of... with Section 8.1 within <<insert

7.17 All Appeals must... receipt by the Leve... inform the Custome

writing within <<insert period>> of... er. The acknowledgement should... al Handler.

8. **Level Three Complaints**

8.1 [The following staff... Level Three Compl

and eligible Appeal Handlers for

8.1.1 Appeals per

ce may be referred to:

<<Insert nar

, <<insert contact details>>;

<<Insert nar

, <<insert contact details>>;

<<Insert furt

8.1.2 Appeals per... our employe

and/or professional competence of... ors] may be referred to:

<<Insert nar

, <<insert contact details>>;

<<Insert nar

, <<insert contact details>>;

<<Insert furt

8.1.3 [Appeals pe

referred to:

<<Insert nar

, <<insert contact details>>;

<<Insert nar

, <<insert contact details>>;

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<<Insert further details>>

8.1.4 [Appeals procedure shall be referred to:  
 <<Insert name of person to be referred to>>, <<insert contact details>>;  
 <<Insert name of person to be referred to>>, <<insert contact details>>;  
 <<Insert further details>>]

8.1.5 [ <<Insert address of person to be referred to>> appeal or remove as appropriate>>.] ]

OR

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8.1 [The following staff shall be appointed and eligible Appeal Handlers for Level Three Complaints:  
 <<Insert name of person to be appointed>>, <<insert contact details>>;  
 <<Insert name of person to be appointed>>, <<insert contact details>>;  
 <<Insert further details>>]

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8.2 Upon receipt of an appeal and all accompanying documentation (including, but not limited to, Investigation Report, Complaint Form, and any supporting evidence), the Appeal Handler, or the board of directors, board of trustees, or other appropriate body, shall make a decision within 10 Business Days whether to:

8.2.1 Investigate the appeal and determine whether the Complaint is considered to be valid, in which case the Appeal Handler shall forward the Complaint and documentation (including, but not limited to, Investigation Report, Complaint Form, and any supporting evidence), to the appropriate body of <<insert level, e.g. management, board of directors, board of trustees etc.>> who shall consider the Appeal and make a decision within 10 Business Days whether to:

8.2.2 Dismiss the Complaint as being considered to be invalid, in which case the Appeal Handler shall inform the Customer of the <<insert level, e.g. management, board of trustees etc.>> decision in writing within 10 Business Days. If the Complaint is so dismissed, the Appeal Handler shall advise the Customer that the Complaint has been dismissed in its entirety, or the Appeal Handler shall advise the Customer that the Complaint is being referred to the appropriate body to stand.

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8.3 Subject to delays arising from the Customer or other persons beyond their reasonable control (including, but not limited to, delays in providing information or communications), the Appeal Handler, or the board of directors, board of trustees or other appropriate body, shall make a decision within <<insert period>> Business Days in which to determine whether the Complaint is being referred to the appropriate Resolution Authority.

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8.4 If the Complaint is referred to the Resolution Authority, the Appeal Handler shall inform the Customer of the decision of the Appeal and arrange for a meeting between the Complaine(s) and the Resolution Authority, or the board of directors, board of trustees etc.>> as required to discuss the Complaint. In such cases, the Complaine(s) should not, under any circumstances, contact the Customer directly regarding the Complaint. If the Complaint is referred to the Resolution Authority, the Complaine(s) should not do in our Complaints Policy), the Appeal Handler should advise the Complaine(s) to discuss the matter, referring the Customer to the appropriate Resolution Authority. Any such contact should be reported to the Resolution Authority.

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8.5 If the <<insert level, e.g. management, board of trustees etc.>> requires additional evidence in support of the Complaint, the Appeal Handler shall request the evidence from the Customer, or other person using the Customer's preferred

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method of communication required. Customer shall be reminded that any delay in their resolution of their Complaint, as per Section 5.4.4 of our

what information or evidence is provided. Customer shall be reminded that any delay in their resolution of their Complaint, as per

8.6 If a Customer is requested under Section 8.3 to provide information or evidence, the Customer shall inform the Customer of the requested information or evidence, and shall inform the Customer of the requested information or evidence, and shall inform the Customer of the requested information or evidence.

provide information or evidence at the requested level, e.g. management, board of directors, board of trustees etc. nevertheless use all reasonable endeavours to resolve the Complaint, however, the <<insert level, e.g. management, board of trustees etc.>> considers that it is not possible to provide the requested information or evidence, the Complaint shall be closed and the Appeal Handler shall inform the Customer in accordance with Section 8.10.

8.7 The <<insert level, e.g. management, board of trustees etc.>> shall examine the relevant statements and shall maintain full objectivity and impartiality.

board of directors, board of trustees etc. shall examine the Complaint, taking full account of all relevant statements and circumstances and shall maintain full objectivity and impartiality.

8.8 [Subject to the exception set out in Section 8.8.1, the <<insert level, e.g. management, board of trustees etc.>> shall have access to all relevant information, employees [agents] and subcontractors] to enable them to carry out an impartial and thorough investigation of the Complaint.

the investigation of the Complaint, the <<insert level, e.g. management, board of trustees etc.>> shall have access to all relevant information, employees [agents] and subcontractors to enable them to carry out an impartial and thorough investigation of the Complaint.

8.8.1 [Access to relevant information shall require the <<insert name and/or position>> to provide the following information:]

and/or information is restricted and the <<insert name and/or position>> shall provide the following information:]

- a) <<delete>>
- b) <<delete>>
- c) <<insert name and/or position>>

- a) <<delete>>
- b) <<delete>>
- c) <<insert name and/or position>>

8.9 Following their examination, the <<insert level, e.g. management, board of trustees etc.>> shall reach a decision, by <<insert name and/or position>> (as set out in Section 8.3.1). Actions that may be taken as a result of the decision of the <<insert level, e.g. management, board of trustees etc.>> shall be set out in Section 9. The <<insert level, e.g. management, board of trustees etc.>> shall ensure that the Customer's right to seek External Resolution of their Complaint is not affected.

complaint, the <<insert level, e.g. management, board of trustees etc.>> shall reach a decision, by <<insert name and/or position>> (as set out in Section 9.1). Resolution of the Complaint is set out in Section 9. The <<insert level, e.g. management, board of trustees etc.>> shall ensure that the Customer's right to seek External Resolution of their Complaint is not affected.

8.10 Once the <<insert level, e.g. management, board of trustees etc.>> have reached a decision, the Appeal Handler shall send a copy of the Decision Report and Decision Letter to the Customer by first class post or by email. The Decision Letter shall set out the decision and the reasons therefor. The Customer shall be reminded of their right to seek External Resolution of their Complaint.

Once the <<insert level, e.g. management, board of trustees etc.>> have reached a decision, the Appeal Handler shall send a copy of the Decision Report and Decision Letter to the Customer by first class post or by email. The Decision Letter shall set out the decision and the reasons therefor. The Customer shall be reminded of their right to seek External Resolution of their Complaint.

8.11 If a delay either occurs or is likely to occur at any stage of the Level Three procedure, the Customer's pre-arranged contact details shall be informed of the length of the delay and the reasons therefor.

likely to occur at any stage of the Level Three procedure, the Customer shall be informed of the length of the delay and the reasons therefor.

8.12 <<Insert number>> shall be <<describe the method of recording etc.>>.

Investigation Report and decision shall be recorded on other staff, file storage, logging, etc.

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9. Resolution Actions

When handling Complaints at the following level, e.g. management, board or the following Resolution Actions for the Complaint:

- 9.1 <<Insert description of Resolution Action>>
- 9.2 <<Insert description of Resolution Action>>
- 9.3 <<Insert description of Resolution Action>>
- 9.4 <<Insert description of Resolution Action>>
- 9.5 <<Insert further Resolution Actions>>

Complaint Handlers and the <<insert name of trustee or trustees etc.>> may select from the facts and circumstances of a Complaint

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10. External Resolution

10.1 As <<insert business name>> [is a member of] OR [is regulated by] OR [is connected to] <<insert appropriate regulatory body name>>], <<insert name of organisation>>, Customers may seek External Resolution of Complaints from the <<insert name of organisation>> if they are not satisfied with the outcome of the Complaint Resolution procedure.

10.1 As <<insert business name>> [is a member of] OR [is regulated by] OR [is connected to] <<insert appropriate regulatory body name>>], <<insert name of organisation>>, Customers may seek External Resolution of Complaints from the <<insert name of organisation>> if they are not satisfied with the outcome of the Complaint Resolution procedure.

10.2 <<Insert organisation name>> shall, in accordance with <<insert appropriate regulatory body name>>, <<insert name of organisation>> may require <<insert name of organisation>> to contact with employees, contractors, subcontractors, agents and information pertaining to a Complaint in the event of External Resolution. Any <<insert name of organisation>> and <<insert name of organisation>> shall be authorised by <<insert name of organisation>> to:

10.2 <<Insert organisation name>> shall, in accordance with <<insert appropriate regulatory body name>>, <<insert name of organisation>> may require <<insert name of organisation>> to contact with employees, contractors, subcontractors, agents and information pertaining to a Complaint in the event of External Resolution. Any <<insert name of organisation>> and <<insert name of organisation>> shall be authorised by <<insert name of organisation>> to:

- <<insert name of organisation>>, <<insert contact details>>;
- <<insert name of organisation>>, <<insert contact details>>;
- <<insert further details>>

10.3 Any and all requests for <<insert organisation name>> for evidence or information, whether or not the Complaint is resolved, shall be answered without undue delay, subject to the approval of <<insert name and/or position>>, who shall ensure that the information is reasonable and pertinent given the nature of the Complaint.

10.3 Any and all requests for <<insert organisation name>> for evidence or information, whether or not the Complaint is resolved, shall be answered without undue delay, subject to the approval of <<insert name and/or position>>, who shall ensure that the information is reasonable and pertinent given the nature of the Complaint.

10.4 <<Insert further provisions>>

11. Implementation of Resolution

Upon the conclusion of a Complaint Resolution [or External Resolution] the <<insert name of organisation>> shall implement the Resolution Actions ultimately agreed upon as appropriate]:

Upon the conclusion of a Complaint Resolution [or External Resolution] the <<insert name of organisation>> shall implement the Resolution Actions ultimately agreed upon as appropriate]:

11.1 [Resolution Action] shall be the responsibility of: <<insert name of organisation>>, <<insert contact details>>;

11.1 [Resolution Action] shall be the responsibility of: <<insert name of organisation>>, <<insert contact details>>;

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- 11.2 Resolution Action plan for and/or professional competence of our employees [agents], shall be the responsibility of:
  - <<Insert name>>, <<insert contact details>>;
  - <<Insert further details>>
- 11.3 [Resolution Action plan] shall be the responsibility of:
  - <<Insert name>>, <<insert contact details>>;
  - <<Insert further details>>
- 11.4 [Resolution Action plan] shall be the responsibility of:
  - <<Insert name>>, <<insert contact details>>;
  - <<Insert further details>>
- 11.5 [<<Insert additional details>> Resolution Action or remove as appropriate>>.]

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**OR**

- 11.1 [<<Insert name>>, <<insert contact details>>.]

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**12. Recording of Resolution**

- 12.1 Upon the conclusion of the implementation of the applicable Resolution Action(s) [Resolution Action] shall <<describe steps for logging or recording>>
- 12.2 <<insert further provisions>>

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**13. Confidentiality and Data Protection**

- 13.1 All Complaints, Appraisals, and other information gathered, held and processed under this Procedure shall be treated with the utmost confidence. Information may be shared with employees [agents] of <<insert business name>> only to the extent required to resolve the question in accordance with this Complaints Handling Procedure.
- 13.2 In the event that the information is to be used for training or quality improvement purposes, they will be shared with other employees [agents] of <<insert business name>> beyond the scope of this Complaints Handling Procedure, the relevant Customer's express permission shall be obtained using that Customer's preferred contact method. <<insert business name>>, anything that may be used to identify the Customer shall be removed from all information so used. Such permission may be obtained in accordance with the Customer's Complaints Handling Procedure and Customer Complaints Policy.
- 13.3 All personal information (including but not limited to, Customer contact details) shall only be collected, used and held in accordance with the provisions of UK data protection law (including but not limited to the Data Protection Act 2018, and

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the Privacy and  
Customers' rights th  
Privacy Notice>> av

ations Regulations 2003) and  
our <<insert document name, e.g.  
ation(s)>>.

14. **Procedure Review and Re**

14.1 Overall responsibility  
implementation the  
etc.>>.

s Handling Procedure and the  
name and position / department

14.2 This Complaints Ha  
not more than <<ins

e reviewed regularly at intervals of  
e updated as required.

14.3 This Complaints Ha

opted on <<insert date>>.

14.4 This Complaints Ha

st reviewed on <<insert date>>.

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