

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 Two following an unsuccessful Complaint at Level One;

**“Appeal Handler”** means the person of <<insert business name>> <<insert level>> who will handle Appeals;

**“Business Day”** means any day other than Saturday or Sunday when the business is open for their full business day 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 from <<insert location>>;]

**“Complaint Handler”** means the person of <<insert business name>> <<insert level>> who will handle Complaints;

**“Complaints Policy”** means the Complaints policy, available to the Customer <<insert location>>;

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

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

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

**[“External Resolution”]** means a Complaint to an external body for resolution by a body to which the Customer is not satisfied with the Complaint;]

**“Investigation Report”** means a report prepared by a Complaint Handler detailing his/her investigation of the Complaint;

**“Level One”** means the first level of this Complaints Handling Policy in which Complaints will be handled by the Complaint Handler;

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a Complaint Handler or

actions to be taken in  
nt as detailed in Section 8.

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- 3.1.1 [In writing, <<insert name and/or position>>, <<insert address>>];
- 3.1.2 [By email, <<insert name and/or position>> at <<insert email address>>];
- 3.1.3 [Using our <<insert name and/or position>> following the instructions included with the form;]
- 3.1.4 [By contacting <<insert telephone number>> [and choosing option <<insert option number>>] when prompted.]]
- 3.2 Upon receipt of Complaint, 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 <<insert name and/or position>> logging or recording>>;]
  - 3.2.2 [If a written Complaint is received by email, <<insert name and/or position>> must <<insert name and/or position>> logging or recording>>;]
  - 3.2.3 [If a Complaint is received by <<insert name and/or position>>, <<insert name and/or position>> must <<insert name and/or position>> recording>>;]
  - 3.2.4 [If a Complaint is received by <<insert name and/or position>>, <<insert name and/or position>> must <<insert name and/or position>> recording>>.]
- 3.3 All Complaints must be acknowledged by <<insert name and/or position>> Reference and forwarded to an appropriate Complaint Handler in accordance with Section 6.1 within <<insert period>> Business Days.
- 3.4 All Complaints must be acknowledged by <<insert name and/or position>> writing within <<insert period>> of receipt by <<insert name and/or position>>. The acknowledgement should include <<insert name and/or position>> reference, their assigned Complaint Handler, <<insert name and/or position>> <<insert business name>>'s Customer Complaint Handling Procedure].

#### 4. Complaint Information

- 4.1 Customers are advised that the following information should be provided to the Complaint Handler as soon as reasonably possible when making a Complaint:
  - 4.1.1 The Customer's name, <<insert name and/or position>>, telephone number and email address, <<insert name and/or position>> communication;
  - 4.1.2 If the Complaint is made by a third party, the information should be provided in reference to both parties;
  - 4.1.3 If the Complaint is made in reference to a particular transaction, the <<insert name and/or position>> number etc.>>;
  - 4.1.4 If the Complaint is made by a particular employee [agent] or subcontractor, <<insert name and/or position>> where appropriate, position of that employee [agent];
  - 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 is basing the Complaint;

# SAMPLE COMPLAINTS

4.1.7 Details of how the Customer should be advised to resolve the Complaint. The Customer should be advised to make all reasonable efforts to accept the Complaint and to make all reasonable efforts to resolve the Complaint. However, we are not bound to accept the Complaint or to resolve the Complaint in any way which we may be contractually or otherwise obliged to do.

4.1.8 <<insert additional details of how the Customer should be advised to resolve the Complaint as appropriate>>.

4.2 If the information provided by the Customer is missing, insufficiently detailed, or incomplete, [<<insert details of how the Customer should be advised to provide further information>>] should contact the Customer within <<insert period of time>> to request further information. The Customer should contact the Customer within <<insert period of time>> to request further information.

## 5. Complaint Levels

5.1 <<Insert business name>> has a two-stage complaints handling procedure. Upon receipt of a Complaint, the Complaint should be handled in accordance with the procedure set out in Section 6 below. It is our policy to use all reasonable efforts 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 refer the Complaint in the form of an Appeal to the Customer. The Complaint should be handled in accordance with the 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 has the right to refer the matter to <<insert organisation name>> for External Dispute Resolution in Section 9 below.]

## 6. Level One Complaints

6.1 [The following staff are eligible to handle Level One Complaints and eligible Complaint Handlers for <<insert business name>>]

6.1.1 Complaints may be referred to:  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert further details of staff members>>.

6.1.2 Complaints may be referred to:  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert further details of staff members>>.

6.1.3 [Complaints may be referred to:  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert name of staff member>>, <<insert contact details>>;  
<<Insert further details of staff members>>.]

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- <<Insert further details>>
- 6.1.4 [Complaints may be referred to:
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>
- 6.1.5 [<<Insert a of Complaint or remove as appropriate>

OR

- 6.1 [The following staff and eligible Complaint Handlers for Level One Complaint
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>
- 6.2 Upon receipt of a Complaint Handler shall consider the Complaint and make a decision within <insert period>> Business Days whether to:
- 6.2.1 Investigate the Complaint. If the Complaint is considered to be valid, in which case the Complaint Handler shall follow the process set out in Section 6.3; or
- 6.2.2 Dismiss the Complaint. If the Complaint is 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.
- 6.3 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 investigate the Complaint and to decide upon appropriate action.
- 6.4 If the Complaint is made by a particular employee(s) [agent(s)] [subcontractor(s)] (hereinafter referred to as "Complainee(s)"), the Complaint Handler shall inform the Complainee(s) of the Complaint and arrange for a meeting with the Complainee(s) required to discuss the Complaint. In such cases, the Complainee(s) shall, under any circumstances, contact the Complaint Handler. If the Customer contacts the Complaint Handler, the Complaint Handler shall inform the Complainee(s) of the Complaint (which they are requested not to do in our Complaints Policy). If the Complainee(s) should respectfully refuse to discuss the matter, the Complaint Handler should be reported to the Complaint Handler.
- 6.5 If the Complaint Handler has received information or evidence in support of the Complaint, the Complaint Handler shall contact the Customer using the Customer's preferred method of communication, stating clearly what information or evidence is required. Customers should be respectfully reminded that any failure to provide such information or evidence may delay the resolution of their Complaint. The Complaint Handler shall follow Section 5.2.4 of our Complaints Policy.
- 6.6 If a Customer is requested under Section 5.2.3 of our Complaints Policy to provide information or evidence in support of the Complaint, the Complaint Handler must nevertheless use all

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reasonable endeavor  
Handler considers  
absence of the req  
Complaint and info  
Sections 6.9 to 6.12

complaint. If, however, the Complaint  
to uphold the Complaint in the  
evidence, he or she may close the  
the outcome in accordance with

6.7 The Complaint Handling Policy shall provide an account of all relevant complaints received by the company and shall maintain full records of all such complaints.

evaluate the Complaint, taking full  
tion, evidence and circumstances  
s at all times.

6.8 [Subject to the exc  
Complaint, the C  
information, employ  
enable him/her to ca

[redacted], During the investigation of the [redacted] have access to all records, factors] that may be necessary to thorough investigation.

6.8.1 [Access to  
shall require

d/or information is restricted and  
sert name and/or position>>:

a)  $\ll de$

or information>>:

b)  $\ll de$

for information>>:

c)  $\ll \text{ins}$

ords or information as required&gt;&gt;.]

6.9 Following his/her election, the Board shall reach a decision within 90 days of the election, with exceptions noted throughout this section in Section 8.

Complaint, the Complaint Handler shall set out in Section 6.3 (subject to the provisions that may be chosen are set out

6.10 [Upon reaching a d  
Report and Recom  
and/or position>> v  
Business Days.

andler shall send an Investigation  
d authorisation by <<insert name  
respond within <<insert period>>

6.11 In the event that < Complaint Handler he/she must give re shall have a furth decision and/or Re position>> for review name and/or posi Recommendation, Handler and the Le and/or position>>'s

position>> does not agree with the recommendation under Section 6.10 of the Complaint and the Complaint Handler has 10 Business Days to revise his/her recommendation and submit it to <<insert name and/or title>>. Following resubmission, <<insert name and/or title>> agree with the decision and/or recommendation or be reassigned to a new Complaint Handler to begin again] **OR** [<<insert name and/or title>> Recommendation shall be final.]

6.12 [Upon reaching a decision, the Handler shall send a final decision to the Customer by first class mail, set out the decision, and inform the Customer of their right to es-  
 copy/copies of the decision. <<describe steps for es-  
 etc.>>].

9) OR [Upon receiving approval or 1, as applicable], the Complaint Report and Decision Letter to the appropriate. Decision Letters shall (s), and shall remind the Customer Level Two. <<Insert number>> and Decision Letter should be aff, file storage, logging, recording

6.13 If a delay either occurs or is anticipated, the Level One procedure shall be initiated. The Customers present shall be informed of the length of the delay.

likely to occur at any stage of the order. The Supplier shall inform the Customer using the agreed communication method. The Customer should be kept informed of any delay and the reasons therefor.

6.14 The Customer shall

<<insert period>> Business Days

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- within which to make the Complaint, or the period within which to make the Complaint to Level Two.
- 6.15 Upon receipt of an Appeal, the following steps should be taken [immediately] OR [within <<insert period>>] by the Complaint Handler:
- 6.15.1 [If a written Complaint is received by post, the Complaint Handler must <<describe steps to be taken>>];]
- 6.15.2 [If a written Complaint is received by email, the Complaint Handler must <<describe steps to be taken>>];]
- 6.15.3 [If an Appeal is received by telephone, the Complaint Handler must <<describe steps to be taken>>].]
- 6.16 All Appeals must be handled in accordance with Section 6.15.1 within <<insert period>> Business Days.
- 6.17 All Appeals must be acknowledged in writing within <<insert period>> of receipt by <<insert period>>. The acknowledgement should inform the Customer of the Complaint Handler.

## 7. Level Two Complaints

- 7.1 [The following staff and eligible Appeal Handlers for Level Two Complaints may be referred to:
- 7.1.1 Appeals personnel may be referred to:
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>]
- 7.1.2 Appeals personnel and/or professional competence of our employees [and/or professional competence of our employees] may be referred to:
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>]
- 7.1.3 [Appeals personnel may be referred to:
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>]
- 7.1.4 [Appeals personnel may be referred to:
- <<Insert name>>, <<insert contact details>>;
- <<Insert name>>, <<insert contact details>>;
- <<Insert further details>>]
- 7.1.5 [<<Insert additional details>> appeal or remove as appropriate>>].]

OR

- 7.1 [The following staff and eligible Appeal Handlers for

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## Level Two Complaint

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

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

<<Insert furt

7.2 Upon receipt of an

make a decision with

Panel shall consider the Appeal and  
Business Days whether to:

7.2.1 Investigate the case the pro

is considered to be valid, in which  
from Section 7.3; or

7.2.2 Dismiss the Appeal Hearing  
Appeal Hearing  
writing within  
dismissed, the  
Resolution A

red to be invalid, in which case the Customer of his/her decision in Business Days. If the Complaint is so dismissed in its entirety, or the stay stand.

7.3 Subject to delays in control (including, but not limited to, communications), the Business Days in which the appropriate Resolution

ances beyond his/her reasonable  
s in other persons responding to  
have a period of <<insert period>>  
the Complaint and to decide upon

7.4 If the Complaint recipient shall inform the Complaint Handler **[meetings] AND/OR** in such cases, the Complaint Handler shall direct the Customer directly to the Complaint Handler or the Complaint Handler shall direct the Customer to do in our Complaint Handler to discuss the matter. Complaints Policy. Complaint Handler.

complainee(s), the Appeal Handler  
on of the Appeal and arrange  
quired to discuss the Complaint. In  
under any circumstances, contact  
aint. If the Customer contacts the  
aint (which they are requested not  
ainee(s) should respectfully refuse  
ustomer to Section 5.3.3 of our  
ould be reported to the Appeal

7.5 If the Appeal Handler handles the Complaint, the Customer's preferred information or evidence is reminded that any resolution of their Complaint

Information or evidence in support of the claim, we may contact the Customer using the information provided in the communication, stating clearly what information is required. Customers should be respectfully informed that failure to respond to such a request may delay the resolution of the claim. See 5.3.4 of our Complaints Policy.

7.6 If a Customer is requested under Section 7.5 to make a reasonable endeavor to resolve a Complaint, and the Handler considers the Customer's response to be satisfactory, the Complaint is resolved in the absence of the request for a final resolution. The Complaint is resolved upon the Complaint and information received from the Customer. Sections 7.9 to 7.12 apply.

provide information or evidence. The handler must nevertheless use all the evidence in the Complaint. If, however, the Appeal Panel decides not to uphold the Complaint in the absence of sufficient evidence, he or she may close the Complaint. The outcome in accordance with the Appeal Panel's decision will be:

7.7 The Appeal Handle account of all relevant information and shall maintain f

evaluate the Complaint, taking full  
 tion, evidence and circumstances  
 s at all times.

7.8 [Subject to the exception set forth in the Appeal Handler's policy, the [agents] [subcontractors] shall not out an impartial and

the investigation of the Complaint, all records, information, employees necessary to enable him/her to carry



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|  | 7.8.1 | [Access to records or information shall require <<insert name and/or position>>:]   | d/or information is restricted and <<insert name and/or position>>:  |
|  | a)    | <<describe method of access to records or information>>;  | or information>>;  |
|  | b)    | <<describe method of access to records or information>>;  | or information>>;  |
|  | c)    | <<insert name and/or position>>] Records or information as required>>.]   | ords or information as required>>.]  |
|  | 7.9   | Following his/her election, the Appeal Handler shall reach a decision within <<insert period>> days except the exceptions noted the Customer's preferred method. The options that may be chosen are set out below.  | complaint, the Appeal Handler shall reach a decision within <<insert period>> days except the exceptions noted in Section 7.3 (subject to the options that may be chosen that may be set out below).   |
|  | 7.10  | [Upon reaching a decision, the Appeal Handler shall send an Investigation Report and Recommendation to the Customer by first class post or by email. <<insert name and/or position>> will respond within <<insert period>> Business Days.   | The Appeal Handler shall send an Investigation Report and authorisation by <<insert name and/or position>> to respond within <<insert period>> Business Days.  |
|  | 7.11  | In the event that <<insert name and/or position>> does not agree with the Appeal Handler's decision, he/she must give reasons for the appeal. The Appeal Handler shall have a further <<insert period>> days to revise his/her decision and/or Recommendation and the Appeal Handler shall review and authorise the final Recommendation. If <<insert name and/or position>> still does not agree with the Appeal Handler's Recommendation, [the Complaint shall be referred to the Level Two procedure shall begin within <<insert period>> days of the decision and/or Recommendation.]   | If <<insert name and/or position>> does not agree with the Appeal Handler's decision under Section 7.10 he/she must give reasons for the appeal and the Appeal Handler shall have a further <<insert period>> days to revise his/her decision and/or Recommendation. <<insert name and/or position>> for submission, <<insert name and/or position>> shall review and authorise the final Recommendation and/or Recommendation, [the Complaint shall be referred to the Appeal Handler and the Level Two procedure shall begin within <<insert period>> days of the decision and/or Recommendation.] |
|  | 7.12  | [Upon reaching a decision, the Appeal Handler shall send a final decision under <<insert name and/or position>> approval or <<insert name and/or position>> OR [Upon receiving approval or authorisation by <<insert name and/or position>>], the Appeal Handler shall send an Investigation Decision Letter to the Customer by first class post or by email. The Investigation Decision Letters shall set out the Appeal Handler's decision and the Reasoning. The Customer shall also be reminded of their right to seek a second opinion of their Complaint.] <<Insert name and/or position>> Report and Decision Letter should be sent to the Customer by <<insert name and/or position>> other staff, file storage, logging, recording etc.>>. | [OR [Upon receiving approval or authorisation by <<insert name and/or position>>], the Appeal Handler shall send an Investigation Decision Letter to the Customer by first class post or by email. The Investigation Decision Letters shall set out the Appeal Handler's decision and the Reasoning. The Customer shall also be reminded of their right to seek a second opinion of their Complaint.] <<Insert name and/or position>> Report and Decision Letter should be sent to the Customer by <<insert name and/or position>> other staff, file storage, logging, recording etc.>>.             |
|  | 7.13  | If a delay either occurs or is likely to occur at any stage of the Level Two procedure, the Appeal Handler shall inform the Customer using the Customer's preferred method. The Customer should be informed of the length of the delay and the reasons therefor.  | If a delay either occurs or is likely to occur at any stage of the Level Two procedure, the Appeal Handler shall inform the Customer using the Customer's preferred method. The Customer should be informed of the length of the delay and the reasons therefor.   |

## 8. Resolution Actions

When handling Complaints from the following Resolution of a Complaint:

- 8.1 <<Insert description of the first sub-section>>
- 8.2 <<Insert description of the second sub-section>>
- 8.3 <<Insert description of the third sub-section>>
- 8.4 <<Insert description of the fourth sub-section>>
- 8.5 <<Insert further Resolutions of the fifth sub-section>>

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- 10.4 [Resolution Actions shall be the responsibility of:  
 <<Insert name>>, <<insert contact details>>;  
 <<Insert further details>>]
- 10.5 [<<Insert additional Resolution Action or remove as appropriate>>.]
- OR**
- 10.1 [<<Insert name>>, <<insert contact details>>.]
- 11. Recording of Resolution**
- 11.1 Upon the conclusion of the implementation of the applicable Resolution Action(s) <<insert position>> shall <<describe steps for logging or recording>>]
- 11.2 <<insert further provisions>>]
- 12. Confidentiality and Data Protection**
- 12.1 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.
- 12.2 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 must be obtained using that Customer's preferred contact method. <<insert name>> anything that may be used to identify the Customer must be removed from all information so used. Such permission may be obtained in accordance with the Customer's Complaints Handling Procedure.
- 12.3 All personal information (including, but not limited to, Customer 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 the Privacy and Electronic Communications Regulations 2003) and in accordance with our <<insert document name, e.g. Privacy Notice>> available to our Customers.
- 13. Procedure Review and Revision**
- 13.1 Overall responsibility for the Complaints Handling Procedure and the implementation thereof shall be <<insert name and position / department>>.
- 13.2 This Complaints Handling Procedure shall be reviewed regularly at intervals of <<insert period>>.

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not more than <<insert date>> and shall be updated as required.

13.3 This Complaints Handling Policy shall be adopted on <<insert date>>.

13.4 This Complaints Handling Policy shall be reviewed on <<insert date>>.

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