



**Title COMPLAINTS POLICY**

**QUALITY ASSURANCE MANUAL**

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This policy applies to CX Services which trades as CX Services Ltd, and any other Company within the CX Services Ltd Group of Companies. Where reference is made to 'CX Services' or the 'Company' this refers to any of the Companies within the Group.

**1. INTRODUCTION**

This policy document outlines the company's complaints policy.

**2. RESPONSIBILITY**

This policy shall be understood and followed by all members of staff.

**3. POLICY**

This complaints policy covers all complaints to CX Services that are made by Clients, Customers of our Clients, Suppliers or any external body (these are all referred to as the complainant below) and sets out the different stages a complaint is to go through, the timescales involved and who should be involved in handling the complaint. The procedure seeks to create a positive approach to complaints. Complaints are valued as a means continuously to review and improve the services we offer.

**3.1** The objectives of this policy are:

- 3.1.1 To provide an effective means for complainants to complain if they are dissatisfied with the service they receive
- 3.1.2 To ensure complaints are dealt with in a courteous and efficient manner and are resolved without avoidable delay. To provide complainants with a formal method of challenging decisions we have made
- 3.1.3 To obtain information about the complainants' perceptions about our services, to inform future service delivery
- 3.1.4 To maintain records of complaints made so that regular reviews can be produced for internal monitoring

**3.2** CX Services values complaints:-

- 3.2.1 Complaints give us valuable feedback in our continuing bid to develop high quality services and help to give complainants confidence that we will attempt to resolve the issue to their satisfaction with a reasonable timescale.
- 3.2.2 All employees have a responsibility to respond to complaints promptly, efficiently and in a positive manner.
- 3.2.3 The complaints policy should make it clear to complainants, how they can complain, what will happen when they complain, what they can expect us to do as a result of their complaint, what they can do if they are not happy with our response.

**3.3** A complaint, for the purpose of this policy, is defined as:

- 3.3.1 An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the Company or our staff.
- 3.3.2 It is for the complainant to decide whether or not to make a complaint. However it is important to distinguish between a complaint and a request for service.
- 3.3.3 A complainant may complain about the standard of service received because:-
  - 3.3.3.1 we have not achieved the service level we say we will provide
  - 3.3.3.2 we have not provided the service to the standard which the complainant thinks is reasonable
  - 3.3.3.3 we are doing something which the complainant did not want us to do
  - 3.3.3.4 we are carrying out our work in an unsatisfactory way
  - 3.3.3.5 our employees are behaving in an unacceptable way (including rudeness, violence or aggression)
  - 3.3.3.6 we fail to do something which we have been asked to do
  - 3.3.3.7 we fail to do something which the complainant thinks we should have done, even if we were not actually asked to do it.

- 3.4** This complaints policy does not cover:
  - 3.4.1 Complaints employees may have about other employees or the Company. These complaints are dealt with in the grievance policy.
  - 3.4.2 This complaints policy cannot be used to deal with an issue which is part of any legal action by or against us.
- 3.5** Complainants have the right to confidentiality, to be kept informed of the progress of their complaints, to receive an apology if a complaint is upheld, to be informed of any changes to our processes or procedures arising from the complaint
- 3.6** Employees have the right to be treated with respect and courtesy at all times by both complainants and managers investigating the complaint.
- 3.7** Anyone who wishes to make a complaint may do so in person, by telephone, or in writing (by letter, fax or e-mail.) Complainants would be encouraged to complain to their normal Company contact in the first instance, unless the complaint is about the performance of that person in which case any Manager or Director can accept a complaint.
- 3.8** We will acknowledge complaints by email or letter within two working days, advising who will be responsible for dealing with the complaint. The response will also state the time frame within which a response can be expected.
- 3.9** If the complaint regarding relates to the actions of an employee and the complaint is found to be valid, then the employee will be subject to the Company's disciplinary process and an investigation under the terms of this policy will commence. In such cases the HR department will be advised and the complaint will be dealt with the employee's Unit Manager or Director.
- 3.10** Clients will be advised in the contract and in the Company Terms and Conditions of the escalation processes available to them should the resolution not be satisfactory.

#### **4. The Complaints Procedure**

- 4.1** Dealing with the initial complaint:
  - 4.1.1 Every endeavour should be made to resolve complaints at this initial stage. Where possible, complaints should be dealt immediately or within a few days.
  - 4.1.2 The employee dealing with the complaint will record and acknowledge the complaint in writing, within two working days, advising the complainant that they are dealing with the complaint and the response timescale (that either a full response or a progress response will be sent within a maximum of 10 working days. The full response must be made in writing (include email), even if to confirm a verbal conversation detailing the final response.
  - 4.1.3 20 working days after the final response is sent to the complainant the complaint will deem to have been resolved assuming no further response from the complainant.
  - 4.1.4 If the complaint cannot be resolved within 20 working days of receipt, it is appropriate to seek the assistance of a more senior manager, if only to make the manager aware of the situation.
- 4.2** Escalation of the Complaint. If having followed the above process the complainant is not satisfied then the following procedure will apply:
  - 4.2.1 The escalated complaint along with all material relating to the initial investigation must be passed on receipt to the Unit Manager of the employee dealing with the complaint or their Director if this was the Unit Manager.
  - 4.2.2 The Unit Manager or Director dealing with the escalated complaint will record and acknowledge the escalation of the complaint in writing, within two working days, advising the complainant that they are now dealing with the complaint and the response timescale (that either a full response or a progress response will be sent within a maximum of 10 working days. The full response must be made in writing (include email), even if to confirm a verbal conversation detailing the final response.
  - 4.2.3 20 working days after the final response is sent to the complainant the complaint will be deemed to be resolved assuming no further response from the complainant.
  - 4.2.4 The role of the Unit Manager or Director in dealing with an escalated complaint is:
    - 4.2.4.1 To ascertain the nature of the complaint and/or concerns of the Complainant and to establish why the initial resolution was not deemed satisfactory
    - 4.2.4.2 To consider the initial response to ensure that the complainant wasn't treated unfairly.
    - 4.2.4.3 To make a decision as to how to resolve the complaint (if possible).
    - 4.2.4.4 To draft a final letter to the complainant offering an explanation/list reasons/facts of all issues and concerns.

- 4.2.4.5 The Unit Manager or Director may require the co-operation of employees to help resolve the complaint. Any requested information must be provided to the investigating officer within 2 working days. Withholding information or misleading the Unit Manager or Director will be viewed as gross misconduct under the terms of the disciplinary policy.
- 4.2.5 If the complainant is still not satisfied with the response the complaint can be referred to the Board of Directors at their next meeting for further consideration and reply.

**4.3** The complaints policy does not prevent the complainant seeking resolution through other external bodies as is their right. This could include legal recourse or complaint to the Direct Marketing Association.

## **5. Internal Reporting and Monitoring**

**5.1** At each stage of the complaint process (initial, escalated and Board level) a Non Conformity Report (NCR) must be completed in full detailing the complaint, the action taken and proactive action that can be taken to avoid such a complaint in future.

**5.2** This report must be emailed to the 'Quality Manager' at the same time as the Client is informed of the resolution of the complaint. Any other relevant materials gathered as part of the investigation such as emails of correspondence in relation to the complaint, should be attached to this email.

**5.3** The Quality Manager will review each NCR received and maintain a log. The NCR will be categorised into one of the following categories:

- 5.3.1 Staff behaviour/attitude
  - 5.3.1.1 Unacceptable behaviour by staff, including rudeness, violence, aggression;
  - 5.3.1.2 Poor communication from department to customer/complainants including failure to respond in appropriate timescales to messages and correspondence.
  - 5.3.1.3 Staff failure to update customer with regard to changes to meetings, appointments etc.
- 5.3.2 Management decision/disagreement with decision
  - 5.3.2.1 The Company doing something that the customer did not want it to do
  - 5.3.2.2 The Company making a decision to do something that the customer does not want to happen in the future
- 5.3.3 Standard/quality of service
  - 5.3.3.1 The Company has not achieved the service level it says it will provide
  - 5.3.3.2 The service has not been provided to the standard which the customer thinks is reasonable
  - 5.3.3.3 The Company carrying out its duties in an unsatisfactory way
  - 5.3.3.4 Failure to follow Company processes and procedures, including delayed processing, adherence to timescales, agreed workflows.
- 5.3.4 Failed to provide a service
  - 5.3.4.1 The Company failing to do something which it has been asked to do
  - 5.3.4.2 The Company failing to do something which the customer thinks it should have done, even if it was not actually asked to do it
  - 5.3.4.3 Failure to implement agreed actions
  - 5.3.4.4 Failure to implement actions following a previous complaint

**5.4** The Quality Manager will prepare and present a report to the Board at each of their monthly meetings to look at the non-conformity reports raised and the Board will be able to discuss and determine any further actions required to improve the future quality of service.