

**COMPLAINTS PROCEDURE** (ISO 9001:2015 Clauses 8.2.1 and 10.2.1 and PAS2030:2019 Clauses 8.1 and 8.2)

## 1 Introduction

This procedure is designed to establish and maintain the quality of service delivered to our clients based on the complaints received. The procedure will document the process for receiving complaints, logging, data collection, resolution and response to the client. It is also important that causes of such failings are determined and that action is taken to reduce or eliminate the possibility of a recurrence.

Clients should use the following address to log a complaint: [complaints@oakrays.co.uk](mailto:complaints@oakrays.co.uk)

## 2 Scope

This procedure details the method of processing customer complaints/feedback in order to resolve end customer/client issues and capture complaint data for analysis to be used in improving Oakray's level of service.

## 3 Responsibility

It is the responsibility of the following personnel to ensure that Customer complaints are recorded, investigated, resolved and the complaint data is analysed in order to prevent repeat occurrences of the same failings.

Receipt of complaints	Any employee, incl. Service Providers
Collection of complaint data	Customer Service Team Leader
Investigation	Customer Service Team Leader, supported by and in conjunction with Supervisors, Managers, Directors
Resolution	Customer Service Team Leader, supported by and in conjunction with Supervisors, Managers, Directors
Response to complainant	Customer Service Team Leader, supported by and in conjunction with Supervisors, Managers, Directors
Analysis of all complaint data	Management, Directors

## 4 Procedure

### 4.1 Receive & Classify

4.1.1 Any complaint, issue or negative customer interaction (whether this is formally logged by the customer or not), must be logged and classified for action.

- 4.1.2 All of these complaints, either formal or informal, must be logged using Oakray's Complaints Module within our bespoke works management system, oData.
- 4.1.3 All complaints will be allocated a unique complaint reference number from the complaint's module.
- 4.1.4 All complaints must follow the Stage 1, 2, 3 escalation process as follows:
  - a) All Complaints received via the Customer Services Team will be recorded at Stage 1. We aim to resolve a majority of complaints at this stage, and to provide an outcome within 5 working days.
  - b) If the complaint cannot be resolved at Stage 1, this will be escalated to senior management which will be categorised as Stage 2, and is expected to be resolved within a further 5 working days.
  - c) If a resolution to a complaint is not reached by the end of Stage 2, or it is of a more serious nature/has a high impact potential on the business or is of a more complicated nature (i.e., involves a number of parties) then it may be immediately escalated to a Stage 3 complaint which will be handled by a Director. In some cases, Stage 3 complaints could take up to 10 days to resolve, however, due to the more complex nature may take longer.
- 4.1.5 Flexibility should be exercised when logging complaints and the complaint may be escalated throughout the investigation.
- 4.1.6 If any matter is not resolved informally, the Customer Service Team Leaders should log a complaint and review the information/data and proceed with the Complaint Procedure & Policy. All informal matters should still be included within the complaint's module.

## 5 Acknowledgement

Any complaint will receive written acknowledgement including the unique complaint reference number from the complaint log. The acknowledgement will include the details of the complaint, date received and the expected resolution date.

- 5.1.1 Acknowledgements should be received by the complainant within 1 working day of receipt of the complaint.
- 5.1.2 Acknowledgements will be made verbally, and sent via email, or by post if no email is available. The method of contact should be determined by the complainant.
- 5.1.3 Any posted acknowledgements should be sent by 1<sup>st</sup> class post on the day that the complaint was received.

## 6 Investigation

All aspects of the complaint should be investigated, including internal and external, to ensure that the key facts are identified and clarified.

- 6.1.1 All elements of interaction, communication and investigation should be recorded. This information should be entered into the complaint module. This can be in the form of typed notes, photos, audio, video, scanned documents, emails etc.

6.1.2 If during the investigation the timescale set for response (within the acknowledgement) becomes unachievable, the complainant should be informed as soon as possible and followed up in writing. They should be made aware of the new timescale and the reasons for the change.

## 7 Resolution & Confirmation

Ensure that the final resolution is clear and fair for all parties.

- 7.1.1 Ensure that the proposed resolution meets company guidelines and does not prejudice Oakray in any unnecessary legal or financial manner.
- 7.1.2 Document the proposed action and discuss and agree with relevant person.
- 7.1.3 Discuss and review the solution from both the company and customer viewpoints to ensure fairness and clarity.
- 7.1.4 The review should include recognition and documentation of any underlying issues that have contributed to the complaint and recommendations for actions to prevent further occurrence.
- 7.1.5 This data should then be reviewed as part of the company's KPI's for service delivery.

## 8 Response

Oakray will provide the customer with the resolution within the timescales promised, see 6.1.2.

- 8.1.1 The details of the findings and proposed resolution should be clearly explained (in written or verbal form as appropriate) to the customer.
- 8.1.2 All complaint responses should be followed up within a reasonable timescale.
- 8.1.3 The follow up should identify the following:
  - a) Is the complainant satisfied with the response?
  - b) Did they feel that their complaint was properly and fairly heard?
- 8.1.4 Any negative responses to these questions should be referred to the relevant person (minimum level senior manager) for action and direct follow up with complainant.

## 9 Performance Analysis

Complaint data forms an integral part of Oakray's KPI matrices.

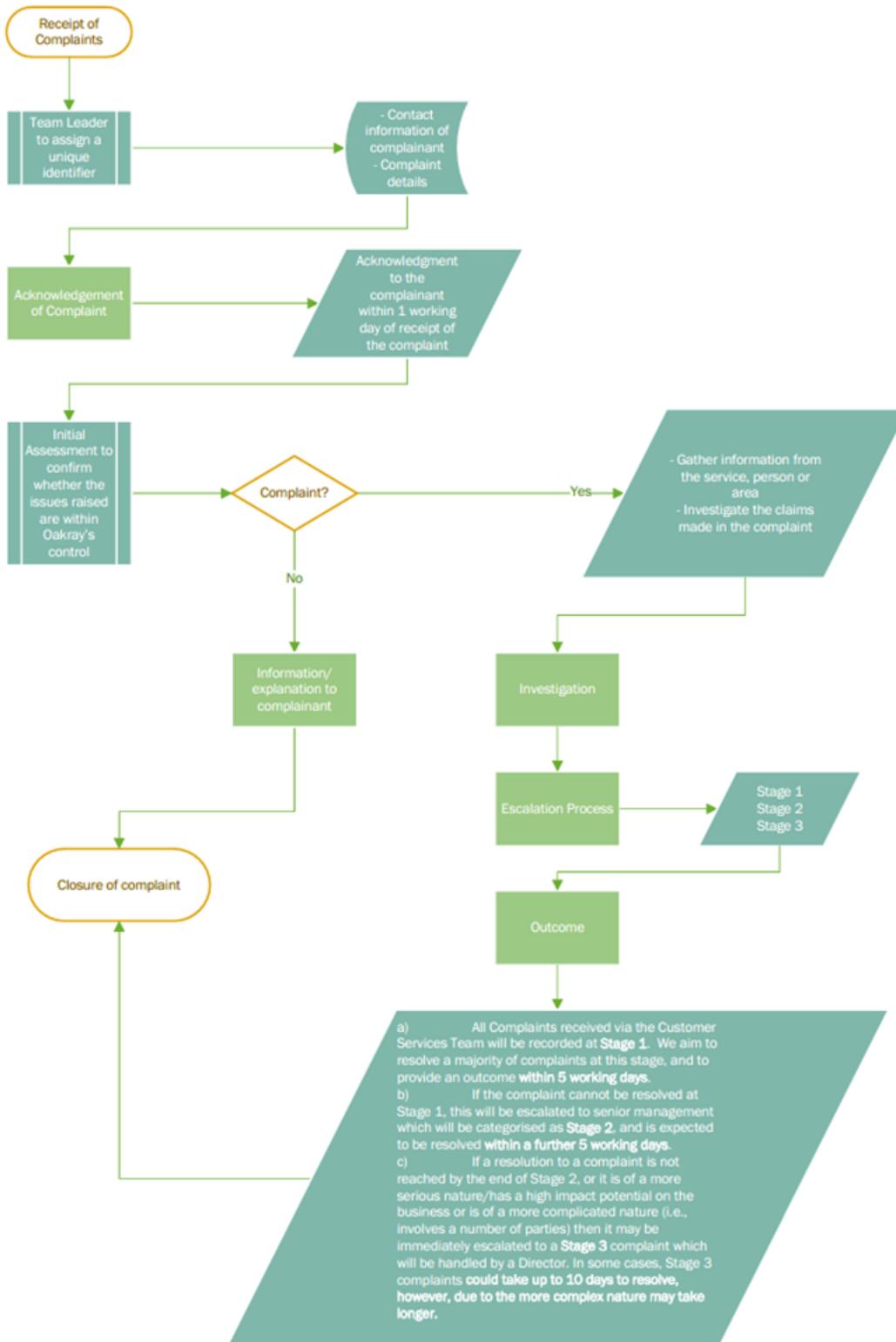
The complaint data is reviewed on a regular basis at senior management level to identify any patterns or issues within the business. This should then be used to implement the necessary changes to mitigate future occurrences of similar complaints.

## 10 Retention of Documents

Records of all complaints and their resolution are maintained for six years or the duration of any EEM guarantee (whichever is longer).



11 Flowchart





- 12 **Associated Documents**
  - ISO105 Complaints Procedure Flow Chart