

Complaint Handling Procedure

Overview	This is the official Complaint Handling Procedure across NWUPC Ltd
Objectives	To deliver a consistent, high-quality and accountable response to complaints across NWUPC Ltd
Services Covered	All Services
Groups involved	NWUPC Ltd Member Institutions Suppliers All other partners / stakeholder groups
Document Control	Version 1 - April 2014 Version 2 – January 2017 Version 3 – March 2023
Date	31 March 2023
Author	Julie-Ann Garton
Reviewed by	Julie-Ann Garton
Update comments	

Complaint Handling Procedure

Process Overview

The following key steps must be followed for all NWUPC Ltd member complaints received by NWUPC Ltd staff:

Step	Action
1	Receive and classify
2	Acknowledge
3	Investigate
4	Resolve and confirm
5	Respond to Member
6	Follow up
7	QA and close

The requirements for each of these steps is detailed below:

1. Receive and classify

Ensure that all potential issues are captured by the organisation, and classified for escalation, review and action as required. Any complaint, issue or negative member (see page 2 Groups Involved for a definition) interaction (whether this is formally logged by the customer or not), must be logged and classified for action.

All of these complaints must be formally logged in the form held on the shared drive.

All complaints must be prioritised as follows:

Priority 1 – urgent, potential high business impact. Requires a response to the customer within 3 working days.

- This should be used (sparingly) for major issues where the customer may be either a large institutional Member, or any member who is considering moving their business from NWUPC Ltd.
- Also this could be used in a situation where the member may be in a position to influence or make public statements that would impact upon the NWUPC Ltd brand or reputation.

Priority 2, - non-urgent, lower business impact. Requires a response to the customer within 1 working week.

- This should be used for most complaints with members, as this allows a reasonable time to collect information and produce a balanced response.

Discretion and flexibility should be exercised in prioritising all complaints.

Complaint Handling Procedure

The staff member logging the complaint should review the complaint and its priority with the Managing Director (or their appointed Deputy) before proceeding to the next step.

The Managing Director will decide on the appropriate person(s) to carry out subsequent steps, including the investigation.

All Priority 1 complaints must be escalated immediately to the Managing Director.

2. Acknowledge

Ensure that every complaint receives a formal written acknowledgement, containing an expectation of when they will receive a response, and the person dealing with it.

All complaints, regardless of priority, should receive an email acknowledgement (see template below) on the day of receipt or first thing on the next working day if the complaint is received out of normal working hours.

3. Investigate

Follow up all aspects of the complaint, both internal and external, to ensure that the key facts are identified and clarified.

The priority of the complaint will drive the timescale for completion (3 days for urgent or 1 weeks for non-urgent).

All areas of interaction and communication should be established (who, what, where, when, why etc) and documented where possible.

4. Resolve and confirm

Ensure that the final resolution is clear and fair. Also confirm the proposed action and resolution with the Managing Director.

Ensure that the proposed resolution meets corporate guidelines and does not prejudice NWUPC Ltd in any unnecessary legal or financial manner.

Document the proposed action and discuss and agree with the Managing Director.

Discuss and review the solution from both the organisational and institutional member's viewpoint to ensure fairness and clarity.

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.

This should then be reviewed as part of the weekly team meeting.

Complaint Handling Procedure

5. Respond to the Customer

Provide the member with the resolution within the timescales promised.

The details of the findings and proposed resolution should be clearly explained (in written or verbal form as appropriate) to the member - within the agreed timescales.

If this cannot be done on time the member should be contacted to request further time.

6. Follow up

Ensure that complaints are followed up to confirm that members are satisfied with the response given.

All Priority 1 complaints and 95% of priority 2 complaints must be followed up within a reasonable timescale.

This will be carried out by the Managing Director.

The follow up should identify the following:

- Is the member satisfied with the response?
- Did they feel that their complaint was properly and fairly handled?

Any negative responses to these questions should be referred to the Managing Director for action and direct follow up with customers.

7. QA and Close

Ensure that the organisation as a whole is aware of complaints and any underlying issues. Plan actions to remove these and prevent future recurrence.

All complaints should be reviewed weekly in the team meetings.

Any complaints where action can be taken to avoid recurrent must be acted upon and raised with the appropriate managers/teams across the organisation.

Complaint Handling Procedure

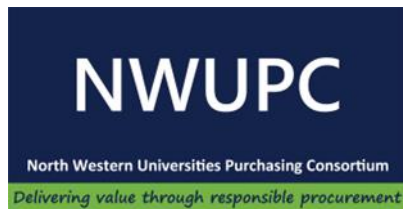
Complaint logging form

Key Details required

Raised by	NWUPC Ltd staff member receiving and logging the complaint
Date	Date and time received
Complaint Code	Classification of complaint type
Complaint Reference No.	See complaint reference log
Member Name	Member Name
Member Address	Member Address
Member Contact details	Member Contact details
Description of complaint	Description of complaint – details
Business Impact	Description of impact on members business/operation
Priority	Complaint priority 1 – urgent 2- non-urgent

Complaint Handling Procedure

Acknowledgement	Date letter sent
Owner/assigned to	
Corrective action/resolution	Details of findings and proposed solution
Resolution confirmed by	Date and owner
Member Contacted	Date and owner
Member Followed up	Date and owner
Key Issues identified	
Long term actions required	



Complaint Handling Procedure

Acknowledgement letter

Dear

Thank you for contacting us today with your complaint/problem.

We are sorry that you have had to do this and apologise for any inconvenience this has caused you.

We view complaints as positive and helpful feedback and will do everything we can to resolve this fairly and quickly to your satisfaction.

We aim to respond to you within 3 days/1weeks with a suitable resolution.

Should you need to contact us again regarding this matter, your reference number is xxxxxxxx.

I look forward to reaching a suitable resolution to this matter and thank you again for taking time to raise this with us.

Yours

(Owner)

Complaint Handling Procedure

Complaints Log

Date	Member Institution	Institution Contact	Reference Number	Owner