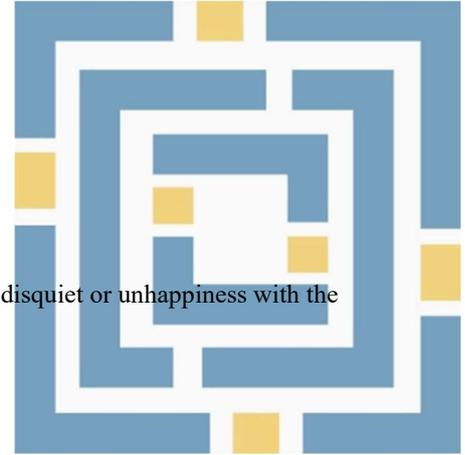


# HILL MATHIESON



## COMPLAINTS PROCEDURE

### Definition;

A complaint is a written, oral and or signed expression of dissatisfaction, disquiet or unhappiness with the service provided by the company, Hill Mathieson Limited.

### Objectives of the complaints procedure.

- 1.0 To encourage discussion and problem or issue resolution rather than defensive response to complaints.
- 2.0 To set time limits which emphasise the need for a swift response.
- 3.0 To encourage staff to act as advocates on behalf of clients in terms of the information provided.
- 4.0 To uphold staff rights and those of the client.
- 5.0 To acknowledge the rights of clients to challenge advice and decisions made by the company or the actions or behaviour of the principal or staff.

### Overview of procedure;

The procedure is a two stage process.

It is hoped that in most cases complaints can be dealt with by the principal of the practice at Stage 1, but the complaint can be referred to Stage 2 immediately.

If the complaint is dealt with by the principal and the complainant is not satisfied, then under Stage 2 of the procedure, the relevant papers will be passed to a neutral party, who is not directly associated with the practice, but will act as an independent party.

### Stage 1-Problem solving

This stage is designed to facilitate early resolution of complaints by encouraging a problem solving approach.

Complaints and comments will be recorded to provide information.

Normal good practice should resolve, to the client's satisfaction, queries raised, matters and or, issues relating to the original advice given.

A speedy response will be encouraged and is the aim, provided that there are no professional insurer's restrictions upon the timing or content of any reply or response, so as not to prejudice the insurance indemnity of the practice and the same protection afforded by that insurance indemnity, to the client.

E | [info@hillmathieson.co.uk](mailto:info@hillmathieson.co.uk)

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Registration Number 11608616. Registered Address: Suite 12 Cedar House 58 Peregrine Road Hainault Essex IG6 3SZ

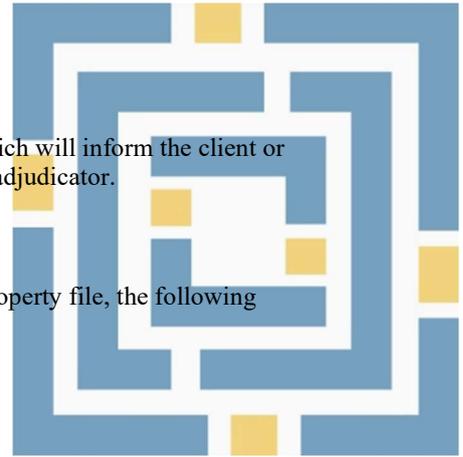
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Complaints of a serious nature will lead to a reply to the complainant, which will inform the client or complainant of their right for a decision to be referred to an independent adjudicator.

## Receiving the complaint.

Hill Mathieson Limited will record in writing, in the appropriate client property file, the following information.

- 1.0 Name of the complainant.
- 2.0 Date of the complaint
- 3.0 Name of the member of staff receiving the complaint.
- 4.0 Details and nature of the complaint.
- 5.0 Details of how the complaint was handled, any restrictions on the nature, content, or time qualification of the complaint with regard to insurers protocol, how the complaint was resolved, and the time taken to resolve the complaint.



Staff will where possible; aim to resolve the matter by discussion and negotiation without passing the matter to stage 2.

A reply will be given in writing, to the complainant within 10 days.

Initially the replay may be verbal but will be followed up in writing.

## Stage 2 - The Formal Complaint.

Entry to this stage is guided by the following principles;

- 1.0 Any complaint not resolved by the principal of the practice under stage 1
- 2.0 Any complaint regarded as serious .This will include;
  - 2.1 Complaints alleging misconduct or impropriety by staff.
  - 2.2 Complaints of unlawful conduct by staff.
  - 2.3 Complaints alleging sexual or racial discrimination including harassment or verbal abuse.

## Receiving the complaint:

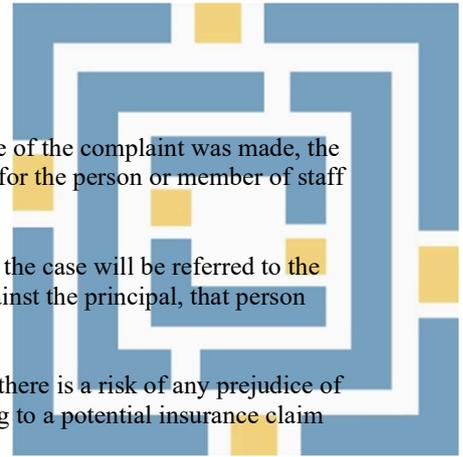
- 1.0 If a verbal complaint is received, this must be put into writing.
- 2.0 The principal of the practice should be made aware immediately of the complaint, (after ensuring that the letter has been read to, or read by the person the complaint was made against), ensuring that a log or written notes are made on the letter of complaint that this action has been taken, and signed by a witness and the person against whom the complaint was made.

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3.0 If any change over of staff is taking or has taken place at the time of the complaint was made, the member of staff or the principal, should ensure that a relevant note is left for the person or member of staff taking over the matter, to ensure no delays in a follow action.

4.0 Notify the person to whom the complaint was made against, that the case will be referred to the principal, and that an investigation will commence immediately, or if against the principal, that person will ultimately be interviewed by the assessor appointed under stage 2,

5.0 At no time should the case be discussed verbally or in writing if there is a risk of any prejudice of the indemnity insurer's protocol in handling complaints or matters relating to a potential insurance claim against the practice.

## Time scale of the investigation;

Within 10 days the principal will investigate the complaint and write to the complainant.

Within 28 days or such time as the insurers protocol permits, the principal will complete the investigation and complete a report on their conclusions in writing to the Practice insurance brokers, the insurers, and the complainant.

## After the investigation;

- 1.0 The Principals report, or the independent assessor's report, as it may apply in stage 2, will be presented to the complainant.
- 2.0 The Principal, or the independent assessor, as it may apply in stage 2, will present the report to the member of staff, discussing the contents and offering clarification where necessary.
- 3.0 Information gained during the course of dealing with complaints will be taken into consideration during the course of dealing with complaints will be taken into consideration when policy is formulated.
- 4.0 Disciplinary procedures may be one outcome of a complaint being made.
- 5.0 Any further appeal will be dealt with by the independent adjudicator as it may apply in stage 2
- 6.0 Alternatively if you remain dissatisfied with any aspect of our handling of your complaint then we can discuss whether we can agree to go to mediation according to the mediation process run by Financial Conduct Authority.  
The FCA can be contacted at:

FCA Head Office  
12 Endeavour Square  
London  
E20 1JN