
Author: Martin Chapman
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Editor: Martin Chapman

POLICY: Complaints

This policy aims to provide a framework and understanding of:

- the definition of a Client complaint
- ongoing work and commitments undertaken to monitor and improve Client satisfaction
- protocols, documentation and responsibilities within Microminder following a Client complaint
- a clearly defined resolution process, including escalation lineage
- a defined programme of outcomes where resolution cannot be reached

A Defined Complaint

Microminder define a Client complaint in accordance with the definition presented by the British Standards Institute. As follows:

'An expression of dissatisfaction made to the organisation, related to its products or services, or the complaint-handling process itself, where a response or resolution is requested and/or necessary and would reasonably be expected'

Microminder Client Satisfaction Values

Microminder take Client dissatisfaction extremely seriously and continually strive to provide excellent Client service; high quality products and good value services to a high standard.

Microminder consider Client satisfaction so important that it is one of the six Core Values at the heart of the Company, Teams and Individuals.

Microminder welcome genuine developmental feedback, constructive criticism and complaints from Clients where the service levels, products or services fall below the high expectations of the Company and/or the Client.

Satisfaction Metrics

Microminder assess the level of Client satisfaction on a regular and ongoing basis using a combination of methods and measuring several core delivery areas.

- Direct client feedback relating to remote support sessions, in the form of a brief client questionnaire. The findings of which are reviewed twice daily for maximum efficiency in response; collated weekly and published on Microminder's website and Facebook page along with feedback comments; both good and developmental.
- Regular analysis of KPI's to assess delivery against our published SLA's to ensure we consistently deliver to the standards and timeframes we commit to our Clients.
- Conducting weighted and scored Client feedback surveys following every significant installation at a clients site, be it a new client or the upgrade of a current clients IT infrastructure.

- Trained Supervisors review call standards and recordings on a daily basis in order to provide developmental training to Team Members.
- Microminder encourage Client involvement by conducting product/service questionnaires in order to continue to develop, deliver and offer those products and services needed by their Clients.

Service Level Provisions

Microminder are committed to undertaking periodic Client satisfaction training with Team Members. All Microminder Team Members are required to 'sign up' to the Core Values of the company and deliver in accordance with these.

Microminder employ a dedicated Team Member (Service Levels Manager (SLM)) to attend to complaints at first line level and conduct an impartial investigation into any dissatisfaction reported.

The Complaints Process

- Any Team Member may be the First Recipient of a Client complaint.
 - Any Client or authorised representative of a Client may make a complaint.
1. Where a complaint involves an issue that can be resolved through direct intervention by the First Recipient, the First Recipient must make all efforts to resolve the complaint immediately. A complaint may be made by telephone, by email, or in writing.
 2. Whether having resolved or failed to resolve the complaint by direct intervention of the First Recipient:
 - Every complaint shall be immediately passed, as a First Report, by email to the Service Levels Manager.
 - In their absence it shall be reported to the Service Delivery Manager for assessment (irrespective of the dept. to which it relates or nature of complaint).
 - Head of Operations will be cc'd into this First Report.
 3. It is the responsibility of the First Recipient to obtain sufficient details from the complainant to complete the First Report fully and pass full and accurate details of the complaint, along with suitable accurate contact details. Namely; email address, postal address, mobile, telephone to the Service Levels Manager. If it relates to a specific Service Ticket Case, the case number.

First Recipients will report complaints on the same working day within 1 hour, or within the first hour of the first working day after, if received outside normal Microminder office hours.

4. All cases will be primarily investigated after initial assessment by SLM *unless*, according to the assessment, the complaint *clearly* relates to a behavioural matter which would likely be considered as Gross Misconduct.

In this instance the SLM performs a reporting role only to the Head of Operations and takes direction accordingly.

5. The SLM will investigate the complaint from the information received in the first instance. In every case the SLM will make effort to contact the complainant, by telephone within 2 hours of receipt of the First Report. The purpose of this initial contact is one of information gathering (including judgment of the degree of dissatisfaction from Clients tone and demeanour). It need not lead to a direct solution at that time.

6. Where telephone contact is successful the SLM will confirm with the complainant; receipt of the complaint including date and time, First Recipient name, include a brief outline of the complaint made (as we understand it at that time), advise the complainant of the SLM's ownership of the investigation and contact details. SLM will also make the complainant aware of the existence of the Complaints Policy and their right to see this policy. Most importantly, the SLM will give the complainant the opportunity to provide a detailed explanation of their complaint and receive the complaint with empathy, consideration and courtesy.

7. If no contact can be made after reasonable effort, the SLM may opt for a first contact by email if it would be more detrimental to not make any contact than to await a telephone conversation. This email will confirm; receipt of the complaint including date and time, First Recipient name, include a brief outline of the complaint made, advise the complainant of the SLM's ownership of the investigation and include details of the efforts made to contact the complainant by telephone. It will also make the complainant aware of the existence of the Complaints Policy.

8. Within one working day the complaint must be recorded by the SLM in the complaints register. This register will note date, time, First Recipient, case number, person complained about if app, brief summary of complaint. It will also outline actions taken, responses from complainant and dates of such follow-ups.

9. Having liaised directly with the complainant and established the details of the complaint, the SLM may:

- attempt to resolve the complaint directly during this communication.
- investigate the complaint further and report findings fully along with possible solutions/options for the complainant.
- escalate the complaint to the relevant dept. Manager as: Financial Controller, Service Delivery Manager, Head of Sales.

If SLM considers the complaint so serious, it may be escalated directly to Head of Operations.

10. Where any investigation is necessary, the SLM will agree with the complainant a mutually acceptable timeframe within which the SLM shall contact the complainant with findings to date and/or continued actions necessary. In any case, the SLM will provide an update, at least weekly, by telephone, followed by a confirmation email. This contact shall be recorded in the complaints register. Regular contact of this nature shall continue until the complaint is resolved fully.

Where further investigation is required by colleagues from other dept.'s the following timeframes should be applied and observed:

- Acknowledgement to first request: within 1hr of written request.
- Start of investigation/information gather: within 3hrs (confirmation notice sent to SLM)
- Update of information gathering: within 4hrs of written request.
- Ongoing updates for first working 48hrs (i.e. 2 work days): every 4 hours
- Ongoing updates for next working week: daily
- Thereafter an extended project plan should be considered to resolve protracted enquiries.

11. Only where all reasonable steps have been taken by the SLM [or where there is a complaint that may amount to Gross Misconduct] will the SLM then escalate the matter to either Dept. Head or Head of Operations for Microminder.

12. Where a complaint has been escalated, it shall be the responsibility of the person 'in charge' of the complaint to fulfil point 9 of this policy. However, they shall advise the SLM of updates/progress who will be responsible for updating the complaints register and acting upon their instruction where investigation and support is required. Where special measures are required, the senior member in charge may decide to retain their own records and not divulge all details within the register. Where a complaint has been escalated due to the serious nature, the senior member in charge will share with the Executive Team, either at a common Board meeting or may call an exceptional meeting of the Board to discuss.

13. In any complaint situation Microminder's policy is to resolve any outstanding issues before entering into discussions around compensation/discounts. Only after the complaint issue is resolved to all parties satisfaction will the investigation proceed further if necessary. The SLM cannot authorise financial or product compensation under any circumstances however, they may arrange for services to be provided Free of Charge to rectify a problem, or to complete works which they deem should have been completed within the scope of works or completed to a higher standard than have been. They may also authorise the swapping/replacing of any products which are deemed faulty.

Reasonable complaint solutions available to SLM:

- 1- Verbal Apology and Explanation - Without Prejudice
- 2- Formal Written Apology and explanation - Without Prejudice
- 3- Products/Services offered on a chargeable basis, following explanation and possibly in conjunction with -1- or -2-, above.
- 4- Services offered at a reduced rate or FOC to rectify a problem or complete works which they deem should have been completed within the scope of works, and/or to a higher standard - Gesture of Goodwill

14. Where the SLM considers that compensation, credit or discount off of future products/services may be appropriate, this notion will be escalated to the Head of Operations (in absence, any member of the Executive Team). The evidence and circumstances shall be taken into consideration and any decision/offer conveyed to the complainant in writing by the SLM, including details of the offer, [WITHOUT PREJUDICE and/or GESTURE OF GOODWILL]

Reasonable complaint solutions available to Executive Team:

- 1- All of those options listed in point **13**.
- 2- Account Credit for works in question (part or full) - Gesture of Goodwill
- 3- Refund/Credit Note for works in question (part or full) - Gesture of Goodwill
- 4- Discount off future products or services (including in lieu i.e. from Support even if complaint is regarding an installation) - Without Prejudice
- 5- Consideration of compensation for evidenced loss - Without Prejudice & Gesture of Goodwill

15. Microminder will provide Account Credits, Credit Notes, Refunds, Future Discounts at their sole discretion and without prejudice or acceptance of liability. Microminder will NOT pay any compensation to complainants unless both culpability and evidence of loss is proven.

16. For loss of revenue claims, Microminder will limit any compensation to those advised by the British Dental Guild at the time of the loss. They are entitled to offer less than this rate and it shall be the complainants responsibility to provide evidence to substantiate any claim.

17. For a complaint to be considered for resolution by way of Options 3 or 4 of Point 13 or Options 2,3, 4 or 5 of Point 14 the formal complaint MUST be made within 28 days of the subject/product/service in question. If this is a protracted/ongoing issue, there must be a record that there have been previous interactions and that the last interaction between Microminder and the complainant occurred no more than 28 days previous.

18. Upon a satisfactory resolution being attained, the complainant shall be asked to confirm that they are fully satisfied with how their complaint has been handled and the outcome of the complaint and action(s) taken to resolve it. The complainants confirmation of this shall be deemed FULL & FINAL resolution of the complaint, whether or not any discount or compensation has been agreed.

19. Where a complainant fails to respond to communications from Microminder, after a period of 10 working days, Microminder may write to the complainant advising that the complaint shall be closed and deemed fully and finally resolved at that time.

20. Unless any future discount has been agreed as part of the agreed resolution, no future claim can be made by the complainant or any other party, regarding the same matter so as to attain discounts or products/services free of charge later.

21. Complainants may request to see the information retained in the complaints register but it is Microminder absolute discretion as to whether they agree to divulge such information. In any case, complainants will only ever be entitled to information on the complaints register that relates to them and not others, under any circumstance.

22. Where a resolution, satisfactory for all parties, cannot be reached, the complainant may choose to enter formal mediation. If this is the case, they do this at their own liability and Microminder accepts no responsibility for any costs incurred by the complainant.

23. Microminder's Full Terms and Conditions apply and shall take precedent at all times. This does not affect statutory rights.