

Complaints Handling Procedure

1. Definitions and Interpretation

1.1 In this Complaints Handling Procedure the following expressions have the following meanings:

“Appeal”	means a request from a Customer to escalate a Complaint to Level Two following an unsatisfactory outcome at Level One;
“Appeal Handler”	means an employee of AMGO International Limited working at Director Level who will handle Level Two Complaints;
“Business Day”	means, any day (other than Saturday or Sunday) on which ordinary banks are open for their full range of normal business in England;
“Complaint”	means a complaint about services sold by AMGO International Limited, about our customer service, or about our employees, agents or subcontractors;
“Complaint Handler”	means an employee of AMGO International Limited working at Managerial level who will handle Level One Complaints;
“Complaints Policy”	means our customer complaints policy, available from www.uonline.co.uk ;
“Complaint Reference”	means a unique code assigned to a Complaint that will be used to track that Complaint;
“Customer”	means a customer of AMGO International Limited and includes potential customers (no purchase necessary);
“Decision Letter”	means a letter sent by a Complaint Handler or Appeal Handler to a Customer informing that Customer of the outcome of their Complaint;
“Investigation Report”	means the report prepared by a Complaint Handler or Appeal Handler detailing his/her investigation;

“Level One” means the first stage in this Complaints Handling Procedure under which Complaints will be handled by a Complaint Handler;

“Level Two” means the second stage in this Complaints Handling Procedure under which a Customer may appeal the outcome of a Level One Complaint and under which Complaints will be handled by an Appeal Handler;

“Recommendation” means the recommended resolution to a Complaint made by a Complaint Handler or Appeal Handler; and

“Resolution Action” means the available actions to be taken in response to a Complaint as detailed in Section 8.

2. **What this Complaints Handling Procedure Covers**

- 2.1 This Complaints Handling Procedure applies to Complaints pertaining to the provision of services by AMGO International Limited, to our customer service and to our employees, agents, or subcontractors.
- 2.2 For the purposes of this Complaints Handling Procedure, any reference to AMGO International Limited also includes our employees, agents, or subcontractors.
- 2.3 Complaints may relate to any of our activities and may include (but not be limited to):
 - 2.3.1 The quality of our customer service;
 - 2.3.2 The behaviour and/or professional competence of our employees, agents, or subcontractors;
 - 2.3.3 Delays, defects, poor workmanship or other problems associated with the provision of services;
- 2.4 The following do not constitute Complaints. Customers raising such questions or matters should be directed to the appropriate department:
 - 2.4.1 General questions about our services;
 - 2.4.2 Matters concerning contractual or other legal disputes;
 - 2.4.3 Formal requests for the disclosure of information including, but not limited to, those made under the Data Protection Act;

3. **Receipt and Recording of Complaints**

- 3.1 Customers may make Complaints to AMGO International Limited using any



of the following methods:

- 3.1.1 In writing, addressed to Complaints Handling, AMGO International Limited, Bramley House, Wilsthorpe Road, Long Eaton, Nottinghamshire, NG10 3SX;
- 3.1.2 By email, addressed to Complaints Handling at complaints@uonline.co.uk;
- 3.1.3 By contacting us by telephone on 0845 8622 293
- 3.2 Upon receipt of Complaints, the following steps should be taken within 1 Business Days:
 - 3.2.1 If a written Complaint is received by post, the complaints handler must log the complaint in the internal level 1 complaints system;
 - 3.2.2 If a written Complaint is received by email, the complaints handler must log the complaint in the internal level 1 complaints system;
 - 3.2.3 If a Complaint is made by telephone, the complaints handler must log the complaint in the internal level 1 complaints system;
- 3.3 All Complaints must be given a Complaint Reference and forwarded to an appropriate Complaint Handler, selected in accordance with Section 6.1 within 1 Business Days.
- 3.4 All Complaints must be acknowledged in writing within 1 business day of receipt by the complaints handler. The acknowledgement should inform the Customer of their Complaint Reference, their assigned Complaint Handler and should include copies of AMGO International Limited's Customer Complaint Policy and this Complaints Handling Procedure.

4. **Complaint Information**

- 4.1 Customers are advised in our Complaints Policy that the following information should be provided in as much detail as is reasonably possible when making a Complaint:
 - 4.1.1 The Customer's name, address, telephone number and email address, indicating any preferred method of communication;
 - 4.1.2 If the Customer is being represented by a third party, the information set out in Section 4.1.1 should be provided in reference to both parties;
 - 4.1.3 If the Complaint relates to a particular transaction, the invoice number;
 - 4.1.4 If the Complaint relates to a particular employee, agent or subcontractor, the name and, where appropriate, position of that employee, agent or subcontractor;
 - 4.1.5 Further details of the Complaint including, as appropriate, all times, dates, events, and people involved;

4.1.6 Details of any documents or other evidence on which the Customer wishes to rely in support of the Complaint;

4.1.7 Details of how the Customer would like AMGO International Limited to resolve the Complaint. Whilst we undertake to make all reasonable efforts to accommodate such requests, however, we are not bound to take any action beyond that which we may be contractually or otherwise legally obliged to take.

4.2 If the information detailed in Section 4.1 is missing, insufficiently detailed, or incomplete, the Complaint Handler should contact the Customer within 2 Business Days of being assigned to the Complaint to request further information.

5. **Complaint Levels**

5.1 AMGO International Limited operates a two-stage complaints handling procedure. Upon receipt, all new Complaints should be handled in accordance with the Level One procedure set out in Section 6 below. It is our policy to use all reasonable endeavours to resolve all Complaints to Customers' satisfaction at Level One.

5.2 If a Customer is not satisfied with the resolution of their Complaint at Level One, he/she may request that the Complaint is escalated to Level Two in the form of an Appeal at which point the Complaint should be handled in accordance with the Level Two procedure set out in Section 7 below.

6. **Level One Complaints**

6.1 The following staff members are qualified and eligible Complaint Handlers for Level One Complaints:

Nicholas Jones, Director, 0845 8622 293;

Mark Smith, Complaints Handler, 0845 8622 293;

6.2 Upon receipt of a Complaint, the Complaint Handler shall consider the Complaint and make a decision within 3 Business Days whether to:

6.2.1 Investigate the Complaint fully if it is considered to be valid, in which case the procedure should resume from Section 6.3; or

6.2.2 Dismiss the Complaint if it is considered to be invalid, in which case the Complaint Handler should inform the Customer of his/her decision in writing within 3 Business Days.

6.3 Subject to delays arising from circumstances beyond his/her reasonable control (including, but not limited to, delays in other persons responding to communications), the Complaint Handler shall have a period of 14 Business Days in which to fully investigate the Complaint and to decide upon appropriate Resolution Action(s).

6.4 If the Complaint relates to (a) particular employee(s), agent(s) or



subcontractor(s) (a “Complaine” or “Complainees”), the Complaint Handler shall inform the Complaine(s) in question of the Complaint and arrange meetings and/or telephone calls as required to discuss the Complaint. In such cases, the Complaine(s) should not, under any circumstances, contact the Customer directly regarding the Complaint. If the Customer contacts the Complaine(s) directly regarding the Complaint (which they are requested not to do in our Complaints Policy), the Complaine(s) should respectfully refuse to discuss the matter, referring the Customer to Section 5.2.3 of our Complaints Policy. Any such contact should be reported to the Complaint Handler.

- 6.5 If the Complaint Handler requires additional information or evidence in support of the Complaint, the Complaint Handler shall contact the Customer using the Customer’s preferred method of communication, stating clearly what information or evidence is required. Customers should be respectfully reminded that any delay in their response to such a request may delay the resolution of their Complaint, as per Section 5.2.4 of our Complaints Policy.
- 6.6 If a Customer is unable or unwilling to provide information or evidence requested under Section 6.5, the Complaint Handler must nevertheless use all reasonable endeavours to resolve the Complaint. If, however, the Complaint Handler considers that it is not possible to uphold the Complaint in the absence of the requested information or evidence, he or she may close the Complaint and inform the Customer of the outcome in accordance with Sections 6.9 to 6.12.
- 6.7 The Complaint Handler shall examine and evaluate the Complaint, taking full account of all relevant statements, information, evidence and circumstances and shall maintain full objectivity and fairness at all times.
- 6.8 During the investigation of the Complaint, the Complaint Handler shall have access to all records, information, employees, agents or subcontractors that may be necessary to enable him/her to carry out an impartial and thorough investigation.
- 6.9 Following his/her examination of the Complaint, the Complaint Handler shall reach a decision within the time period set out in Section 6.3 (subject to the exceptions noted therein). Resolution Actions that may be chosen are set out in Section 8.
- 6.10 Upon reaching a decision under Section 6.9, the Complaint Handler shall send an Investigation Report and Decision Letter to the Customer by first class post or by email, as appropriate. Decision Letters shall set out the decision, the Resolution Action(s), and shall remind the Customer of their right to escalate the Complaint to Level Two. One copy of the Investigation Report and Decision Letter should be stored in the complaints file by reference number.
- 6.11 If a delay either occurs or is considered likely to occur at any stage of the Level One procedure, the Complaint Handler shall inform the Customer using the Customers preferred communication method. The Customer should be informed of the length or likely length of the delay and the

reasons therefor.

- 6.12 The Customer shall have a time limit of 14 Business Days within which to make an Appeal if he/she wishes to escalate the Complaint to Level Two.
- 6.13 Upon receipt of an Appeal, the following steps should be taken immediately by the Complaint Handler:
 - 6.13.1 If a written Complaint is received by post, the complaints handler must log the complaint in the internal level 1 complaints system;
 - 6.13.2 If a written Complaint is received by email, the complaints handler must log the complaint in the internal level 1 complaints system;
 - 6.13.3 If a Complaint is made by telephone, the complaints handler must log the complaint in the internal level 1 complaints system;
- 6.14 All Appeals must be forwarded to an appropriate Appeal Handler, selected in accordance with Section 7.1 within 2 Business Days.
- 6.15 All Appeals must be acknowledged in writing within 3 business day of receipt by the complaints handler. The acknowledgement should inform the Customer of their assigned Appeal Handler.

7. **Level Two Complaints**

- 7.1 The following staff members are qualified and eligible Appeal Handlers for Level Two Complaints:
 - Nicholas Jones, Director, 0845 8622 293;
- 7.2 Upon receipt of an Appeal, the Appeal Handler shall consider the Appeal and make a decision within 14 Business Days whether to:
 - 7.2.1 Investigate the Complaint fully if it is considered to be valid, in which case the procedure should resume from Section 7.3; or
 - 7.2.2 Dismiss the Complaint if it is considered to be invalid, in which case the Appeal Handler should inform the Customer of his/her decision in writing within 14 Business Days. If the Complaint is so dismissed, the Complaint may be dismissed in its entirety, or the Resolution Action from Level One may stand.
- 7.3 Subject to delays arising from circumstances beyond his/her reasonable control (including, but not limited to, delays in other persons responding to communications), the Appeal Handler shall have a period of 14 Business Days in which to fully investigate the Complaint and to decide upon appropriate Resolution Action(s).
- 7.4 If the Complaint relates to (a) particular Complaine(s), the Appeal Handler shall inform the Complaine(s) in question of the Appeal and arrange meetings and/or telephone calls as required to discuss the Complaint. In such cases, the Complaine(s) should not, under any circumstances, contact the Customer directly regarding the Complaint. If the Customer contacts the Complaine(s) directly regarding the Complaint (which they are requested not to do in our Complaints Policy), the

Complainee(s) should respectfully refuse to discuss the matter, referring the Customer to Section 5.3.3 of our Complaints Policy. Any such contact should be reported to the Appeal Handler.

- 7.5 If the Appeal Handler requires additional information or evidence in support of the Complaint, the Appeal Handler shall contact the Customer using the Customer's preferred method of communication, stating clearly what information or evidence is required. Customers should be respectfully reminded that any delay in their response to such a request may delay the resolution of their Complaint, as per Section 5.3.4 of our Complaints Policy.
- 7.6 If a Customer is unable or unwilling to provide information or evidence requested under Section 7.5, the Appeal Handler must nevertheless use all reasonable endeavours to resolve the Complaint. If, however, the Appeal Handler considers that it is not possible to uphold the Complaint in the absence of the requested information or evidence, he or she may close the Complaint and inform the Customer of the outcome in accordance with Sections 7.9 to 7.12.
- 7.7 The Appeal Handler shall examine and evaluate the Complaint, taking full account of all relevant statements, information, evidence and circumstances and shall maintain full objectivity and fairness at all times.
- 7.8 During the investigation of the Complaint, the Appeal Handler shall have access to all records, information, employees, agents or subcontractors that may be necessary to enable him/her to carry out an impartial and thorough investigation.
- 7.9 Following his/her examination of the Complaint, the Appeal Handler shall reach a decision within the time period set out in Section 7.3 (subject to the exceptions noted therein). Resolution Actions that may be chosen that may be chosen are set out in Section 8.
- 7.10 Upon reaching a decision under Section 7.9, the Appeal Handler shall send an Investigation Report and Decision Letter to the Customer by first class post or by email, as appropriate. Decision Letters shall set out the decision and the Resolution Action(s). One copy of the Investigation Report and Decision Letter should be logged in the level 2 complaints file.
- 7.11 If a delay either occurs or is considered likely to occur at any stage of the Level Two procedure, the Appeal Handler shall inform the Customer using the Customer's preferred communication method. The Customer should be informed of the length or likely length of the delay and the reasons therefor.

8. **Resolution Actions**

When handling Complaints, Complaint Handlers and Appeal Handlers may select from the following Resolution Actions, as appropriate to the facts and circumstances of a Complaint:

- 8.1 Issue an apology to the customer;



- 8.2 Instigate internal investigations and/or disciplinary procedures;
- 8.3 Submit recommendations for internal procedural change;
- 8.4 Terminating the customer's service and issue a full refund for affected and outstanding periods, as deemed by a company Director;

9. **Implementation of Resolution Actions**

Upon the conclusion of a Complaint, whether at Level One or Level Two the Resolution Action(s) settled upon shall require implementation in a timely manner. Responsibility for the implementation of Resolution Actions ultimately lies with the following and may be delegated thereby, as appropriate:

- 9.1 Nicholas Jones, Director, 0845 8622 293.

10. **Recording of Resolution Actions**

- 10.1 Upon the conclusion of a Complaint and the implementation of the applicable Resolution Action(s), Complaints Handling shall log all documentation and communications in the level 1 or level 2 complaints file

11. **Confidentiality and Data Protection**

- 11.1 All Complaints, Appeals, evidence and other information gathered, held and processed under this Complaints Handling Procedure shall be treated with the utmost confidence at all times. Such information may be shared with employees, agents or subcontractors of AMGO International Limited only to the extent required to resolve the Complaint in question in accordance with this Complaints Handling Procedure.
- 11.2 In the event that the details of a Complaint are to be used for training or quality improvement purposes, in which case they will be shared with other employees, agents or subcontractors of AMGO International Limited beyond the scope of this Complaints Handling Procedure, the relevant Customer's express permission must first be sought using that Customer's preferred contact method. Personal details (that is, anything that may be used to identify the Customer) shall be removed from all information so used. Such permission may be revoked at any time in accordance with the Customer's right to do so under Section 6.2 of our Customer Complaints Policy.
- 11.3 All personal information collected by AMGO International Limited (including, but not limited to, Customers' names and contact details) shall only be collected, used and held in accordance with the provisions of the Data Protection Act 1998 and our Customers' rights under that Act.

12. **Procedure Review and Responsibility**

- 12.1 Overall responsibility for this Complaints Handling Procedure and the



implementation thereof lies with Nicholas Jones, Director.

- 12.2 This Complaints Handling Procedure shall be reviewed regularly at intervals of not more than 12 months and shall be updated as required.
- 12.3 This Complaints Handling Procedure was adopted on 1st April 2017.
- 12.4 This Complaints Handling Procedure was last reviewed on 1st June 2017.