

## Process for Complaint Management

### Introduction

In line with Governing Bodies and Accreditations HEROtsc complies with OFT guidelines and the Financial Ombudsmen Rules to ensure all clients have a detailed process to log a complaint and receive timely and concise feedback.

If you have a complaint against HEROtsc please contact us via:

<b>Phone:</b> 01324 575000	<b>Post:</b> Compliance & Programme Manager HEROtsc 1 Central Park Avenue Central Business Park Larbert Falkirk FK5 4RX
<b>Fax:</b> 01324 575001	
<b>E-mail:</b> justthink@tsc.co.uk	

### Glossary

The following terms are used in this process.

Consumer	The person/company making the complaint to HEROtsc
Final response	This is the full response – in writing – to the consumer’s complaint
Eight – week Ruling	All complaints are expected to be to be resolved within 8 weeks

### Procedure

Objective	Allows the consumer to raise a complaint and receive a documented response from HEROtsc
Priority	Mandatory
Completed By	Compliance and Programme Manager
Trigger Event	Receipt of complaint at HEROtsc via phone, fax or e-mail to CSA, manager or other HEROtsc employee. Complaint to be copied to Compliance Manager
Trigger Time Steps	Date complaint received <ol style="list-style-type: none"> <li>1. Resolve complaint within 48 hours if straightforward for HEROtsc and inform customer.</li> <li>2. If the complaint is more complex and cannot be resolved - acknowledge receipt of the complaint within 48 hours (working hours). Give clear timescales and details of the process which HEROtsc will undertake to resolve their complaint.</li> <li>3. Assess and investigate complaint – 10 days, Send explanatory letter to consumer if further investigation is required.</li> <li>4. Investigation closed – send resolution within 21 days</li> <li>5. Ongoing investigation – ensure consumer receives regular updates on the investigations approx every 10 days</li> <li>6. Close the investigation within 8 weeks. If the investigation cannot be completed within this timeframe ensure full documentation as to why this timescale cannot be met is forwarded to the consumer and advice on contacting independent ombudsman.</li> <li>7. Close off investigation with the consumer and send final response.</li> </ol>
Outcome	Complaint resolved.