

Diversity Energy Solutions Ltd Integrated Management System		
Document Title:	Complaints Handling Procedure (Retrofit Installer)	
Ref. No.:	GDPP002	
Document Users / Security Class:	All Users	
Next Review Date	One Year	

Complaints Handling Procedure (External)

Objective:

Diversity Energy Solutions Ltd shall have in place and operate a documented complaints procedure appropriate for receiving, recording, acknowledging and resolving all complaints from clients in line with PAS2030:2019.

As a TrustMark Registered Business we are also part of the Government Endorsed Quality Scheme and as such have an obligation to handle disputes fairly and within compliance of the Code of Conduct and Customer Charter. We will use the Code of Conduct and Customer Charter to positively promote to consumers the benefit of using the quality mark and ensure we respect the wishes and welfare of consumers and operate in a way which protects their homes and property.

Where a complaint specifically relates to a Retrofit Assessment then we also follow the ecmk complaint procedure and terms and conditions of their membership scheme which is available to view here: <http://www.ecmk.co.uk/home-owners/what-to-expect-from-your-energy-assessor/>

The TrustMark Framework Operating Requirements (FOR) requires a TrustMark Registered Business to provide a consumer with suitable financial protection for a period of two years MINIMUM with some 25 years or more depending on the measure such as Cavity Wall Insulation and External Wall Insulation covering product warranty and workmanship guarantees. Any guarantee complaints will be included as part of our complaints handling procedure.

We will ensure that consumers have access to a speedy, accessible, clear and user-friendly dispute process, which is free of charge, up to the point of Alternative Dispute Resolution (ADR) and helps to reduce the need for legal action.

We will aim to reach an amicable solution, wherever possible, building increased consumer confidence and improving customer satisfaction.

This document is the Complaints Handling Procedure within our organisation. This document will be updated as necessary to reflect procedural changes and amendments. The purpose of this document is to describe our Complaints Handling Procedures and to outline our plans and responsibilities for identifying and addressing our Customer Care procedures. The Complaints Handling Procedure links in with Quality Assurance controls and Auditing procedures to effectively monitor the overall skills, training and quality of workmanship possessed by our contractors and our overall service delivery to customers and clients.

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Great lengths have been taken to create a culture within the company, where everyone works for each other in the achievement of our objectives, principally being the delivery of our customer's requirements accurately first time, on time, every time. To meet these objectives our main criteria is continuous improvement.

All staff and personnel working with our organisation on ECO delivery to include any subcontractors will receive appropriate training, coaching and development to handle complaints, including what we do and how we do it. Refresher training and coaching will be given to keep people up to speed and motivated and inform them of trends and issues identified from a variety of sources. We will make sure they understand what to do if they receive a complaint as we are responsible for the sub-contractors that we employ to complete work.

Overall Scope:

All areas of operation, including complaints received from or via Installers, Assessors, Consumers and third parties and customer guarantee complaints.

Complaints Handling Procedure:

Our aim is to:

- Ensure customers understand how to make a complaint by given the details in the Customer Introduction Letter which can be done through various channels.
- Ensure consumers have access to a speedy, accessible, clear and user-friendly dispute process, which is free of charge, up to the point of Alternative Dispute Resolution (ADR) and helps to reduce the need for legal action.
- Nominate one person, **Colin Lovie**, who is responsible for recording all complaints.
- Help all parties reach an amicable resolution, wherever possible, building increased consumer confidence and improving customer satisfaction. We want to resolve the complaint as swiftly and politely as possible.
- Ensure staff understand their obligations for the proper management and handling of consumer disputes.
- Ensure we can deal swiftly with breaches of the Code of Conduct, so that consumer detriment is reduced, and disputes are minimised.

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- Ensure vexatious or unjustified disputes are dealt with efficiently, fairly and firmly.
- Maintain a responsive, timely, accessible and user-friendly dispute resolution and disputes handling process; operate to timescales and that is free of charge to the consumer up to the point of ADR. All process must consider the requirements of all current and newly updated consumer protection legislation.
- Provide the same level of co-operation with local consumer advisers, Ofgem, energy suppliers, insurance backed guarantee providers or any other intermediary acting on behalf of a consumer when making a dispute, as we would when dealing directly with the complainant.
- Co-operate fully with TrustMark on any dispute handling issues and provide related documents and statements upon request. Where it is deemed necessary by TrustMark to commission an independent site visit/survey then we would cooperate fully.
- Keep a copy of any complaints we receive and have a good system for keeping records compliant with data protection law for at least six years or the duration of any guarantees (whichever is longer).

When acting as a Retrofit Installer we take full responsibility for the quality of work, compliance with the Code of Conduct and any other legal requirements in respect of work carried out by our employees and/or sub-contractors.

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EXAMPLE PROCESS Dealing with complaints



If things do go wrong, your first step should be to contact **Diversity Energy Solutions Ltd** who carried out the works, to give us an opportunity to address your concerns and put things right. If you feel that you have exhausted this process, and cannot agree on a resolution, your next step should be to contact the business Scheme Provider.

Registered Business who carried out the works

Diversity Energy Solutions Ltd
Unit 3C,
83 North Castle Street
Banff, Aberdeenshire AB45 1JJ
enquiries@diversity.energy
Tel: 01261 498964
www.diversityenergysolutions.com

Scheme Provider

British Assessment Bureau
Unit 8
North East Business & Innovation Centre (BIC)
Wearfield
Enterprise Park East, Sunderland SR5 2TA
Tel: 0191 222 0306
www.british-assessment.co.uk

Under the TrustMark Framework Operating requirements, Scheme Providers are responsible for the conduct of their members and must do their best to help resolve disputes between businesses and their customers. If the dispute is complex, the Scheme Provider may suggest using an Independent Alternative Dispute Resolution (ADR) provider to help resolve the matter.

TrustMark understand that dealing with disputes can be stressful and their priority is to help consumers achieve fair, timely and cost-effective solutions. Their role is not to investigate specific consumer

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complaints, but to work closely with Scheme Providers, and their Registered Businesses, to ensure that the correct process procedures within the TrustMark Scheme have been followed.

Complaints Handling Procedure (Internal)

Step 1 - Allowance for Vulnerable Customers

Our organisation must take account of the needs of vulnerable consumers, those with additional needs or special access requirements when handling a complaint. Where a consumer may be vulnerable, for example, have mental or physical infirmity, or English may not be their first language, then we would request and allow that a trusted 3rd party be present and provide suitable help and assistance when dealing with vulnerable people. We will ensure that vulnerable consumers are not exploited or disadvantaged in any way.

Step 2 - Complaints received by telephone

All complaints should be handled in a polite and professional manner and recorded on a Customer Complaints Form and also entered into the Complaints Record Log at the time of receiving the complaint by the person dealing with the complaint. The person dealing with the complaint must, within seven working days of receipt of the complaint, notify the complainant in writing –

that the complaint has been received;
of our company complaints handling procedure;
of the Relevant Ombudsman Service;
of any Additional Complaints Handling Procedures.

If the complaint relates to a Retrofit Assessment, the customer should be asked to put the complaint into writing and inform the customer of the ECMK complaint procedure.

<http://www.ecmk.co.uk/home-owners/what-to-expect-from-your-energy-assessor/>

The person dealing with the complaint must, within 24 hours of receipt of the complaint, notify the person responsible for complaints and the Retrofit Coordinator and/or TrustMark Scheme Provider (where applicable).

Step 3 - Complaints received in writing and/or via e-mail

The complaint should be recorded on a Customer Complaints Form and also entered into the Complaints Record Log by the person dealing with the complaint. The person dealing with the complaint must, within seven working days of receipt of the complaint, notify the complainant in writing –

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that the complaint has been received;
of our company complaints handling procedure;
of the Relevant Ombudsman Service;
any Additional Complaints Handling Procedures.

The person dealing with the complaint must, within 24 hours of receipt of the complaint, notify the person responsible for complaints and the Retrofit Coordinator and/or TrustMark Scheme Provider (where applicable).

If the complaint relates to the Retrofit Assessment, the person responsible for complaints must notify ecmk at schememanager@ecmk.co.uk

Step 4 - Complaints received in writing via Customer Feedback Form

Customers are encouraged after the completion of an installation to answer questions and provide feedback in writing for internal assessment. The person dealing with the complaint must, within seven working days of receipt of the complaint, notify the complainant in writing –

that the complaint has been received;
of our company complaints handling procedure;
of the Relevant Ombudsman Service;
any Additional Complaints Handling Procedures.

All Customer Feedback Forms with an attached Analysis of Customer Feedback Form should be kept within the Customer Feedback Folder.

The person dealing with the complaint must, within 24 hours of receipt of the complaint, notify the person responsible for complaints.

If the complaint relates to the Retrofit Assessment, the person responsible for complaints must notify ecmk at schememanager@ecmk.co.uk.

Step 5 – Review

The complaint or problem is reviewed by **Colin Lovie**, or other senior person within the organisation and a course of action decided upon based upon the nature of the complaint. Any discussions with third parties, shall be logged on the Customer Complaints Form. This will also contain the customer's full history from initial enquiry and may help identify any potential issues and provide full details and background on the customer concerned.

Step 6 - Action to be taken

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Once the complaint has been investigated in full and the course of action decided the outcome will be undertaken in a speedy and professional manner and the customer contacted at most within 8 weeks from the date of complaint. Depending on the nature of complaint a site visit shall be arranged within this period to inspect the measure. The findings shall be reported to the customer clearly in writing or earlier if a possible safety issue arises from the complaint.

This will be carried out with the knowledge and under the direction of our Scheme Provider (where applicable).

Step 7 – Outcomes

It may be necessary to refer the matter to a third party. All complaints and Feedback Forms shall be analysed and discussed and documented at the quarterly meetings on the Quarterly Review Form and logged at the Quarterly Review Minutes for assessment and improvement. Once the issue is rectified this should be detailed on the Complaints Form and Log. The Complaints Form and Log should then be passed to the Quality Representative.

If the complaint relates to Retrofit Assessment, the person responsible for complaints must notify ecmk at schememanager@ecmk.co.uk details of the action taken, and resolution reached.

Step 8 - Appeals Process

If the customer is not satisfied with the outcome and remedy offered, then the customer may notify the Relevant Ombudsman Service and our organisation would co-operate fully should this need arise through our Scheme Provider.

Providing Alternative Dispute Resolution (ADR) – or arbitration – became UK law from 1st October 2015 for all businesses that sell to consumers. This means that when a matter remains in dispute, our firm is legally compelled to give the consumer the contact details to the Ombudsman Service.

NB: It is important to document, date and record the complaint fully. This allows our organisation to monitor the complaint and provide a timeline in order to resolve the complaint successfully. By fully documenting the complaint it enables it to be discussed and reviewed at quarterly meetings and may be introduced into training courses to serve as a teaching aid and help ensure the complaint is not duplicated in the future. It also allows our organisation to check to see if a common problem is recurring (does the same complaint often surface in more than one location or on more than one product or service) to identify potentially who or what is responsible enabling prompt preventative action and ensuring standards don't slip and high standards are maintained.

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If a member of staff falls ill or someone has to take over a complaint, then documenting should also make it easier for another member of staff to take over avoiding delays and appearing professional at all times to the customer. It is vital to maintain contact with the customer and to keep them up to date with what is going on – communication is key to successfully resolving a complaint and avoid the complaint escalating. It is also important to take extra time, effort and care when dealing with “vulnerable” customers.

Step 9 - Member of staff in Complaints Handling position away for a long period

Our organisation will ensure that several members of staff are capable of handling queries and complaints and are trained and competent in the same role. The director has already trained and familiarised the Senior Administrator and so a replacement can stand in if a staff member is away for a long period of time. As we expand, the Managing Director will ensure further staff are recruited, trained and monitored in order to ensure sufficient coverage.

Any complaints records and their resolution will be kept for a minimum of six years, or the duration of any EEM guarantees (whichever is longer) in line with data protection laws.

Annual Review

This document will be reviewed at least on an annual basis.

Last Reviewed: 15th September 2022

Next Review Date: 15th September 2023

Name: Diversity Energy Solutions Ltd

Signature: *Tracie Lovie*

Position: CEO

Document Author:	David Mooney		
Document Approver:	Tracie Lovie	Controller:	SHEQ

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Version Number	Amendment	Date
1.0	New document introduced.	1 st January 2021
1.1	Reviewed and Added (1) FOR requires IBG and any guarantee complaints will be included as part of complaints procedure; (2) overall scope includes customer guarantee complaints.	12 th January 2021
1.2	Document reviewed and references to Retrofit Assessment complaints and ecmk included.	16 th January 2022
1.3	Document reviewed and changed details of how to make a complaint and complaints person	15 th September 2022

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