

HSJ Accountants Ltd

Complaints Policy & Procedure

Our Aim

HSJ Accountants Ltd is committed to providing a quality service and working in an open and accountable way that builds trust and respect. One of the ways in which we can continue to improve our service is by listening and responding to the views of our clients, and in particular by responding positively to complaints by putting mistakes right.

Therefore, we aim to ensure that:

- making a complaint is as easy as possible
- we treat a complaint as a clear expression of dissatisfaction with our service which calls for an immediate response
- we deal with it promptly, politely and, when appropriate, confidentially
- we respond in the right way - for example, with an explanation, or an apology where we have got things wrong, or provide information on any action taken etc.
- we learn from complaints, use them to improve our service, and review our complaints policy and procedures annually.

We recognise that many concerns will be raised informally, and dealt with quickly.

Our aims are to:

- resolve informal concerns quickly
- keep matters low-key
- enable mediation between the complainant and the individual to whom the complaint has been referred

This policy ensures that we provide guidelines for dealing with complaints from members of the public about our services, facilities, staff and volunteers.

Definitions

A complaint is defined as any expression of dissatisfaction however it is expressed. This would include complaints expressed face to face, via a phone call, in writing, via email or any other method. All staff should have sufficient knowledge to be able to identify an “expression of dissatisfaction” even when the word “complain” or “complaint” is not used.

Purpose

The formal complaints procedure is intended to ensure that all complaints are handled fairly, consistently and wherever possible resolved to the complainant's satisfaction.

Responsibilities

Our responsibility will be to:

- acknowledge the formal complaint in writing;
- respond within a stated period of time;
- deal reasonably and sensitively with the complaint; and
- act where appropriate.

A complainant's responsibility is to:

- bring their complaint, in writing, to HSJ Accountants Ltd 's attention normally within 8 weeks of the issue arising;
- raise concerns promptly and directly with a member of staff at HSJ Accountants Ltd ;
- explain the problem as clearly and as fully as possible, including any action taken to date;
- allow HSJ Accountants Ltd a reasonable time to deal with the matter, and
- recognise that some circumstances may be beyond HSJ Accountants Ltd 's control.

Confidentiality

Except in exceptional circumstances, every attempt will be made to ensure that both the complainant and HSJ Accountants Ltd maintain confidentiality. However, the circumstances giving rise to the complaint may be such that it may not be possible to maintain confidentiality (with each complaint judged on its own facts). Should this be the case, the situation will be explained to the complainant.

Complaints Procedure

We take complaints about our work, staff and levels of service very seriously. If you are not satisfied with any aspect of our service, please follow the process for raising a formal complaint.

How do I make a complaint?

It is easier for us to resolve complaints if you make them directly to the accountant/office concerned. Please call or e-mail your accountant in the first instance. They will aim to resolve any problems immediately. If they are unable to resolve the issue to your satisfaction they will escalate your complaint to a Senior Manager in the Team. Should you not wish to complain to directly to your accountant, there are alternative methods for you to register your complaint.

Please contact us via email:

andrew.hill@hsj.uk.com

Or by post:

Andrew Hill (Director)

HSJ Accountants Ltd

Severn House,

Hazell Drive,

Newport.

NP10 8FY.

Online form submission:

HSJ Accountants Ltd Complaints Form – Click [here](#) to complete and submit online.

What information we'll need from you:

We will need:

- Your full name, your company name and address
- A clear, detailed description of what your complaint is about
- How you expect your matter to be resolved
- Your email address or postal address (so we can reply)

Alternatively, you can complete the following complaints form and send via email or print and return by post

What happens next?

When you have made your complaint, we will:

- Log your complaint
- Investigate your complaint and work with you to resolve your issue to your satisfaction and as quickly as possible.

Our complaints process has two stages:

Stage 1 – Frontline Resolution

Frontline resolution aims to quickly resolve straightforward complaints that require little or no investigation. We call this first point of contact resolution

We aim to do this within 5 working days and will be handled by your accountant

If for any reason we aren't able to resolve your complaint within 5 working days we will contact you to discuss the options open to you.

These may include an extension to the original timescale or, should the case be more complicated than we originally thought, we shall undertake a more detailed (Stage 2) investigation

Stage 2 – Investigation

Stage 2 investigations deal with four types of complaint:

1. Cases that have not been resolved at Stage 1
2. Repeat complaints
3. Cases that are complex in nature and/or where it is immediately apparent that a detailed investigation is required
4. Cases where incorrect advice has been given or penalties and/or fines have been generated through no fault of your own

Stage 2 complaints will be handled by a Senior Manager within the organisation who will:

- Acknowledge receipt of your complaint within 3 working days
- Where appropriate, discuss your complaint with you to understand why you remain dissatisfied and what outcome you are looking for
- Provide a full response within 5 working days

If we need longer than 5 working days to resolve the complaint we will agree a revised time frame with you and keep you updated on progress.

What to do if you're not satisfied

If you are not satisfied with the outcome of your formal complaint and wish to take the matter further, please request the investigating Senior Manager to escalate the matter to a Director who will review the information and advise you of the expected response time to resolve, taking in to account the complexity of the investigation.

HSJ Audit Limited

Should your complaint be in connection with audit or assurance work conducted by HSJ Audit Limited and you be unable to reach a mutually acceptable solution to your problem via this policy, it is your right to refer your complaint to the ICAEW which can be done by submission of an email to:

By email: complaints@icaew.com

Or by post to:

ICAEW (Professional Conduct department),
Metropolitan House,
321, Avebury Boulevard,
Milton Keynes,
MK9 2FZ, UK.

HSJ Accountants Ltd

Complaints Form

You may use this form to make a complaint about HSJ Accountants Ltd.

Please complete and return this form as soon as possible.

Your Name

Address

.....

Telephone

Date of incident: __ / __ / ____

Approximate time of incident: __: __

Details of the Complaint:

What action would you like to be taken?

What days and times are convenient for you to be contacted to discuss the complaint in more detail?

