

## Complaints policy

1.1. This policy makes sure that we handle complaints fairly, efficiently and effectively. Our complaint management system allows us to:

- respond to concerns and issues raised in a timely and cost-effective way,
- provide a trusted service and boost confidence in our governance, and
- collect information we can use to drive and deliver quality improvements in our processes, services and performance.

This policy provides guidance to our team and to people who wish to provide feedback and/or make a complaint.

1.2. This policy applies to all team members who have dealings with the public, specifically when receiving feedback and/or complaints from the public made to or about us. We deal with staff grievances and public interest disclosures through separate policies.

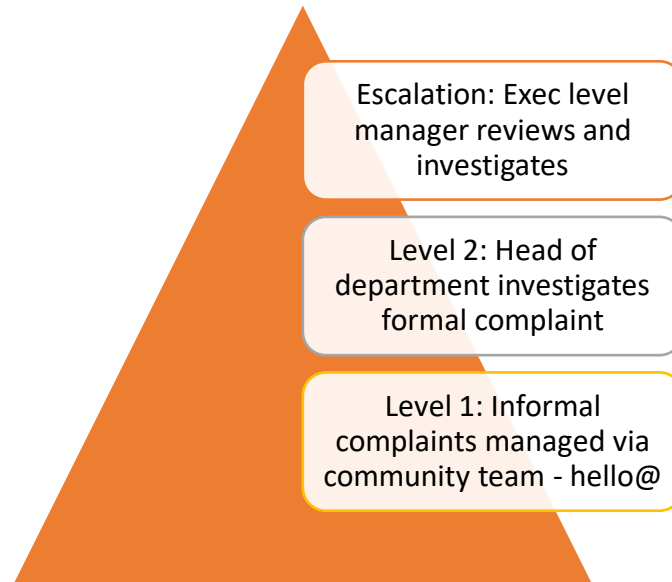
Enterprise Nation expects staff at all levels to handle complaints in a fair, effective and efficient way.

2.1. At Enterprise Nation, we are committed to seeking and receiving your feedback and/or complaints about our processes, services and performance. We provide a clear and accessible way for you to make complaints.

If you have concerns and issues regarding our processes, services or performance, you should email them to [hello@enterprisenation.com](mailto:hello@enterprisenation.com). If, however, you and/or your representative are unable to submit complaints in this way, we can be flexible.

We will acknowledge all complaints within 24 hours (not including weekends and bank holidays) and deal with them within a reasonable timeframe.

2.2. We assess and prioritise complaints depending on their urgency and how serious they are (level 1 and level 2). We authorise the team to resolve level 1 complaints promptly and as informally as possible. If a matter concerns an immediate risk to safety or security, we will respond immediately and escalate the matter appropriately.



We consider level 1 complaints to be minor issues or those we can resolve when you first contact Enterprise Nation. You should expect us to resolve these promptly, usually through informal conversations with the relevant people involved.

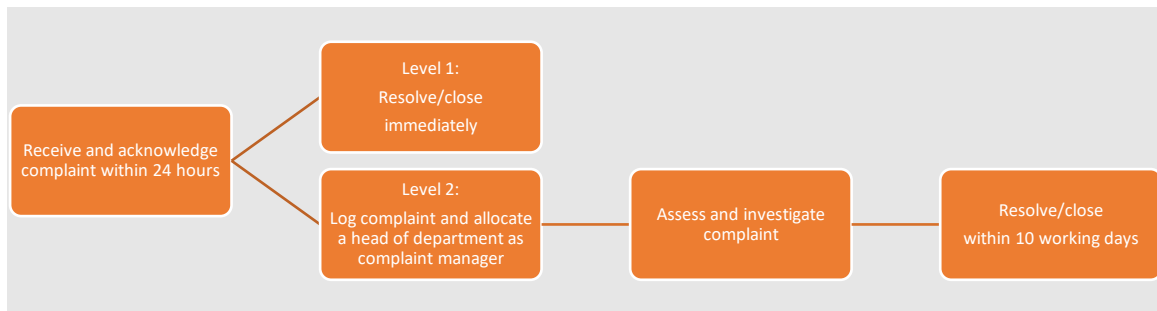
If we cannot resolve a complaint satisfactorily at the level 1 stage, or if we deem the nature of the concern/issue more severe, you or our team will log it as a level 2 complaint and a head of department will be allocated to manage the complaint.

2.3. We are committed to managing your expectations, and we will:

- send an acknowledgment email within 24 hours,
- provide information about our complaint handling process, our official timeframe for resolving the issue (or the time we expect it to take, if the nature of the complaint means we will not be kept to our official timeframe),
- listen to you and/or your representative, treat you with respect, and actively involve you in the process where possible and appropriate,
- for level 1, present an immediate resolution if we uphold your complaint,
- for level 2, provide a full investigation, details on our progress (and any delay, if relevant) and reasons for our decision/s and any options for escalation, within 10 working days, and
- tell you the final outcome of your complaint.

2.4. We will also advise you when we cannot deal with any part of your complaint and, if we are able to, provide advice about where you can direct such issues next (if appropriate).

- 3.1. We address each complaint with integrity and in a fair, objective and unbiased manner. We make sure that the person handling or investigating your complaint is not the staff member whose conduct or service your complaint concerns. We also consider which method (for example, email, letter etc.) is most appropriate for communicating with you and/or your representative.



- 3.2. If the complaint reaches level 2 stage, we record the complaint and its supporting information, including:
- your contact information and/or the contact information of your representative,
  - issue/s raised and the desired outcome/s,
  - any other relevant information, and
  - any additional support you require.
- 3.3. After acknowledging receipt of the complaint, we will confirm whether the issue/s raised in the complaint is/are within our control. We will also consider the desired outcome/s and, where there is more than one issue raised, determine whether each issue needs to be separately addressed.

When determining how a complaint will be managed, we consider:

- how serious, complicated or urgent the complaint is,
- how you are being affected,
- the risks involved if the resolution of the complaint is delayed, and
- whether a resolution requires escalation.

We may:

- give you and/or your representative additional information or an explanation,
- gather information from the service, person/team or area that your complaint is about, or
- investigate the claims made in the complaint.

We will keep you and/or your representative up to date on our progress, particularly if there are any delays. Which actions we decide to take will be tailored to each case and take into account any statutory requirements.

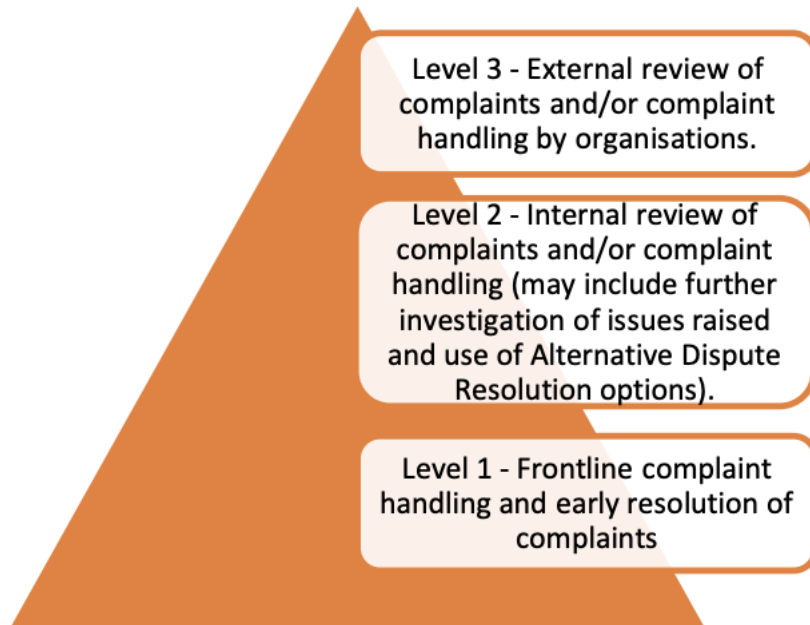
- 3.3. We will assess each complaint on its merits and involve you and/or your representative in the process as far as possible. We will protect your identity where this is practical and appropriate. Personal information that identifies individuals will only be disclosed or used by Enterprise Nation as permitted under the relevant privacy laws, secrecy provisions and any relevant confidentiality obligations. Please see our [privacy policy](#) for more details.
- 3.4. Where a complaint involves multiple organisations, we will work with the other organisation/s where possible, to ensure that communication with you and/or your representative is clear and coordinated. Subject to privacy and confidentiality considerations, communication and information sharing between the parties will also be organised to facilitate a timely response to the complaint.
- 3.5. Following consideration of your complaint and any investigation into the issue/s raised, we will contact you and/or your representative and advise of:
- the outcome of the complaint and any action we took,
  - the reason/s for our decision
  - the remedy or resolution/s that we have proposed or put in place, and
  - any options for review that may be available to you, such as escalation.
- 3.6. We will keep a record on:
- how your complaint was managed,
  - the outcome/s of the complaint, any recommendations made to address problems identified, and
  - any outstanding actions that need to be followed up or reviewed.

We will ensure that outcomes are properly implemented, monitored and reported to the senior management team as required.

### 3.7. Escalation

If the outcome of your complaint is not satisfactory, you can escalate to our head of performance to request a review of how the complaint investigation was managed. If it is deemed that the investigation was not conducted with integrity, the complaint will be logged again for further investigation by a person other than the original complaint handler.

If you are still dissatisfied with the outcome of Enterprise Nation review of your complaint, you may seek an external review of our decision (by the Ombudsman for example).



- 4.1. We continually monitor our complaint management system to:
- ensure its effectiveness in responding to and resolving complaints, and
  - identify and correct any deficiencies in the operation of the system.
- 4.2. We are committed to improving the effectiveness and efficiency of our processes, services, and performance. To this end, we:
- support the making and appropriate resolution of complaints,
  - implement best practices in complaint handling, and
  - implement appropriate system changes arising out of our analysis of complaints data and continual monitoring of the system.
- 4.3. Examples of quality improvements at Enterprise Nation using complaints and focus groups feedback:
- We improved the service level agreement with our outsourced contact centre, following feedback from a long-term adviser. This means we avoid keeping callers waiting unnecessarily and we return all calls within 90 mins (during working hours).

- We have implemented an alert system when a certain number of messages are sent by a member at any one time. This is thanks to complaints received from advisers who were contacted by a small business for personal gain. We also issued an apology to all advisers who had received this type of message.
- We now feature adviser opportunities on advisers' dashboard.
- We are building into the design of advisers' profile an option to enable/ disable discovery calls.

Last updated: *May 2024*

Date of next review: *May 2025*