



## ACM Limited Complaints Process

All complaints from received will be recorded on a Non-Compliance Report (Form 014), and the register will be updated. An initial response will be given within ten working days of receipt of the complaint. In the case of agents, the complaint will be directed to ACM Head Office.

All Complaints will be treated seriously irrespective of the nature of the Complaint. They include anything that is not the subject of an Appeal e.g.:

When a Complaint is received, by whatever means (phone, e-mail etc) a Non Compliance Report (Form 014) is to be completed. If the customer complains to an auditor or evaluator while he/she is on site, the auditor/evaluator must notify the head office about the complaint and the head office staff will complete the non compliance form. In the case of overseas agents the Agent must complete the form and submit it to Head Office within 5 working days. All complaints must be recorded even if, after investigation, they prove to be unfounded.

For each complaint a director will appoint a person to investigate the complaint who is independent of the situation and the parties involved. In the case of complaints from overseas clients managed through an overseas Agent, the Agent will be invited to respond to the claims of the complainant. This response will be submitted to the independent ACM director for review.

In all cases, for complaints relating to UK activities and Overseas Agents, after a full and thorough investigation of the cause of the complaint and taking any necessary corrective action, the director will write to the person who made the complaint in full, advising them of the action taken and closing the matter. All complaint letters being filed in the relevant customer file and complaints file.

The result of a complaint may result in Corrective or Preventive Actions being taken. If serious malpractice is proven, the Auditor or Agency may be suspended

Complaints about clients registered by ACM are to be passed to the client for them to resolve initially. This will then be reviewed at the next scheduled surveillance visit.

If any complaint is not resolved, it will be passed to the ICB chairman who will compile a Complaints committee

The ICB Chairman must convene a Complaints Committee, which will consist of not less than 3 ICB members and must exclude ACM officers.

The committee shall review all evidence submitted.  
Minutes of the meeting shall be made with a copy held in the client file.

The decision of the committee shall be final and shall be recorded in writing, with copies to the person/organisation making the complaint, the Schemes Manager and the directors.

ACM shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.