

[REDACTED]

Note that this is a non-contractual, live, working document which can be amended upon agreement between [REDACTED] and [REDACTED]. In case of any conflict, refer to Project Contract Clause 2.4.

[REDACTED]

## PFI PROJECT

[REDACTED]

## COMPLAINTS POLICY AND PROTOCOL

## 1. General.

This protocol sets out the approach to be used by [REDACTED] in recording and responding to complaints. This document will also set out how [REDACTED] intend to capture and record queries, comments and compliments that are received but do not constitute a complaint – this is described in Section 5 of this document.

A complaint is viewed by [REDACTED] as an expression of dissatisfaction from a stakeholder made to bring about a positive change in the service and / or obtain an apology or some other form of redress.

Whilst complaints are not something any company would wish to receive on a regular basis, they are seen as a positive tool in assisting to:

- Identify areas that are falling below minimum performance expectations;
- Resolve issues before they become serious problems;
- Learn from mistakes and improve the services as a result.

[REDACTED] recognises the need for a formal, documented complaint resolution procedure that will ensure that issues are dealt with efficiently and that communication with necessary stakeholders at all stages of resolution is effective.

## 2. Commitment.

Whatever the nature of the complaint, [REDACTED] will strive to:

- ✓ Deal with the complaint straight away. If not, an acknowledgement of the complaint will be given either verbally or in writing to make sure that the complainant's concerns are fully understood.
- ✓ Give the name of the [REDACTED] personnel who will act as point of contact for the complaint.
- ✓ Give feedback to the complainant as information becomes available following investigation of the complaint.
- ✓ Investigate the complaint thoroughly and fairly.
- ✓ Ensure that their staffs are well informed, reliable, act professionally and politely at all times and that the information they pass on is accurate and up-to-date.
- ✓ Regularly review the complaints received in order, where possible, to effect changes that will improve the service to stakeholders.

## 3. Process

a. Complaints can be received in various ways and by different media. It is important that all complaint details are captured and the subsequent actions recorded. It is envisaged that complaints will be generally received by the following means:

- Personally and directly to site personnel at operational facilities;
- Personally, directly to site management at construction sites;
- Personally, at Site Liaison meetings;
- Communication to [REDACTED] Head Office ([REDACTED]), written and verbal.
- Communication to [REDACTED] ([REDACTED]), written or verbal.
- Via the Website or by other electronic means.

[REDACTED]

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- b. Whenever a complaint is received, the person receiving the complaint will reassure the complainant that their complaint is valid and will be taken seriously.
- c. The recipient of the complaint will record the details on a **Complaint Report Form (Appendix 1)**. The Complaint Report Form will then be forwarded to the Contract Issue Management System (CIMS) Service Desk either by fax or email. (Note: In cases where fax or email communication is not possible, the recipient of the complaint should call the CIMS Service Desk and verbally report the complaint details).

#### **CIMS SERVICE DESK**

Email: [REDACTED] [@viridor.co.uk](mailto:[REDACTED]@viridor.co.uk)

Telephone No: [REDACTED] or [REDACTED]

Fax No: [REDACTED]

In all instances the Complaint Report Form must be completed in as much detail as possible to enable an efficient resolution of the issue to occur.

- d. The CIMS Service Desk personnel will be responsible for entering the details into CIMS. The CIMS programme has been developed to simplify and streamline the process of reporting and resolving performance issues and it is intended that complaints follow the same process. (This flow of an issue through CIMS is described in the CIMS Protocol.). At this stage the complaint will be given a unique reference number that can be used to monitor its progress. The reference number will be reported back to the complainant either by telephone or in writing together with the name of the person who will be assigned to investigate the complaint.
- e. Once the complaint details have been entered into CIMS, the system will email the appropriate personnel on the **Complaint Contact List (Appendix 3)**. This list will identify the responsible manager to investigate the complaint; this will normally be the Area Operations Manager of the facility associated with the complaint. However the nature of the complaint will dictate who the responsible person should be. In all cases that involve an Operations related complaint, then a copy will also be emailed to both [REDACTED] – General Manager (Operations) ([REDACTED] [@viridor.co.uk](mailto:[REDACTED]@viridor.co.uk)) and [REDACTED] – Executive Secretary ([REDACTED] [@viridor.co.uk](mailto:[REDACTED]@viridor.co.uk)).

<b>Nature of Complaint:</b>	<b>Prime Responsibility:</b>
Operational (eg dust, light, noise, odour, traffic, water pollution, litter etc)	Area Operations Manager
Construction Activities	Construction Manager
Communications (eg Website, Visitor Centres etc)	Communications Manager
PFI Project	Contract Manager

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- f. The responsible manager will consider the complaint thoroughly then conduct an investigation, taking into account any further evidence. This might include:

- Internal records;
- Discussions with the complainant and any witnesses;
- External agencies / legislation;

Where appropriate, this will be carried out in liaison with colleagues; for example, a general complaint regarding the nature of the PFI Project would require the Contract Manager to liaise with the [REDACTED] Communication Manager and the [REDACTED]'s Director of Strategy and Communication.

- g. The responsible manager will complete the relevant sections of the Complaint Report Form to record their conclusions, recommendations and any action taken and respond to the complainant. In all cases, complaints will be tracked and monitored via CIMS, with Service Desk Personnel expediting those outstanding.
- h. As per the Contract's Service Output 2 requirements as defined within Schedule 19 (Output Specification) and Performance Criteria number 39 as defined within Schedule 9 (Payment Mechanism and Performance Framework), details of complaints received and corrective and preventative actions taken will be reported to the Authority on a monthly basis.
- i. In cases where the investigation may take longer to complete than normal, then the investigating manager will indicate a timescale for completion to the CIMS Service Desk, who will in turn inform the complainant of the revised timescales.
- j. [REDACTED] will review complaints on a monthly basis and report a summary to relevant managers. This will enable a review and correction process to promote an improvement in service provision.

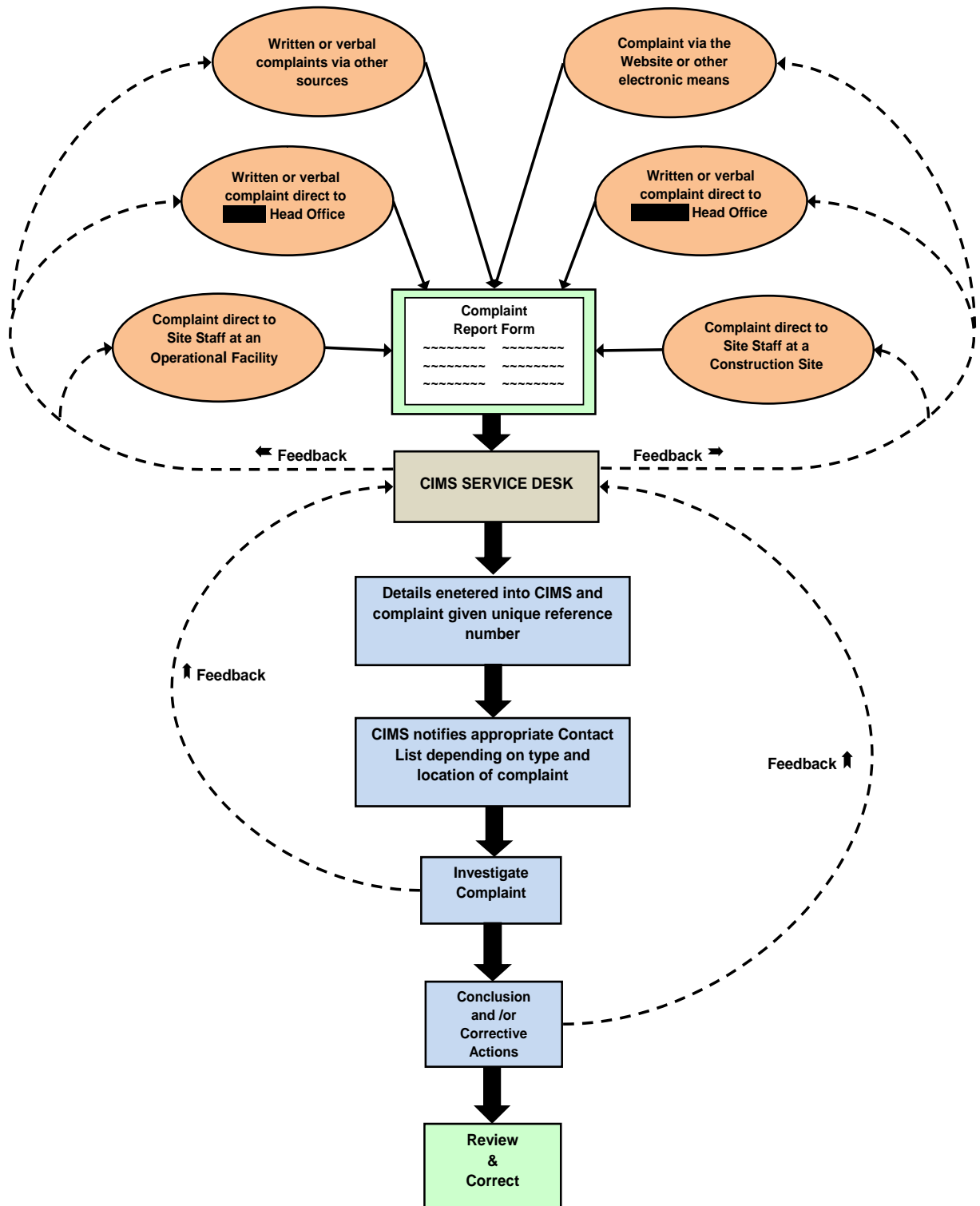
The complaints process flow is shown in **Figure 1** below.

## 4. Target Timescales.

- a. The following will be the target timescales for each key stage in the process. These targets will be used by [REDACTED] to monitor and review both its and the sub-contractors performance in responding to complaints. It should be noted that adherence to these targets is not contractually binding. This is a non-contractual, live, working document which can be amended upon agreement between [REDACTED] and [REDACTED]. In case of any conflict, refer to Project Contract Clause 2.4.

Stage	Target Timescale
Acknowledgement to complainant of receipt of a complaint together with its reference number and name of investigating manager.	Within 2 'Business Days'
Response to the complainant detailing investigation conclusions, recommendations and actions taken.	Within 6 'Business Days'
Summary report of complaints received / actions undertaken to [REDACTED] regarding issues related to the SCCI Plan	Within 5 'Business Days' of the end of the Month. (as per clause 15.1.2 of Schedule 19 – Output Specification)
Summary report of all complaints received / actions undertaken to [REDACTED]	Within 20 days of the end of the month being reported on, as per Schedule 15 of the Contract

**Figure 1: Complaints Flow Chart**



[REDACTED]

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## 5. Queries, Comments and Compliments. (QCC)

- a. [REDACTED] will also capture and record communications other than complaints, such as queries, general comments and compliments. These again will be received from a number of sources.
- b. In each case the recipient of a QCC will record the details on a **QCC Form (Appendix 2)**. The QCC Form will then be forwarded to the Contract Issue Management System (CIMS) Service Desk either by fax or email. (Note: In cases where fax or email communication is not possible, the recipient of the complaint should call the CIMS Service Desk and verbally report the QCC details.

### CIMS SERVICE DESK

Email: [REDACTED]@[viridor.co.uk](mailto:[REDACTED]@viridor.co.uk)

Telephone No: [REDACTED] or [REDACTED]

Fax No: [REDACTED]

- c. The CIMS Service Desk personnel will be responsible for recording the details of a QCC into a central database. In all cases, any actions resulting from the receipt of a QCC will be tracked monitored and recorded by the CIMS Service Desk Personnel. The CIMS Service Desk personnel will also be responsible for expediting any outstanding actions or referring the details to an appropriate person for review or action.
- d. [REDACTED] will review QCCs on a monthly basis and report a summary to relevant managers and also summarise them within the Monthly Report to [REDACTED] as per Schedule 15 of the Contract.

### Appendix 1 – Complaint Report Form

Facility / Location :	
Date / Time :	
Complainants Name:	
Complainants Address:	
Telephone Number:	
Nature and details of the Complaint: (please use reverse of sheet if required)	

Complaint received by:	
Complaint ID Number:	CIMS Service Desk Use Only
Investigated By:	
Comments / Action Taken:	
Investigation Conclusion: (please use reverse of sheet if required)	
Justified complaint?: (Delete as necessary)	YES NO

Document Ref : Complaint Report Form / Complaints Protocol vs 5 11/08

## Appendix 2 – QCC Form

<b>Facility / Location :</b>				<b>Received by:</b>			
<b>Date / Time :</b>				<b>CIMS SD Log Number:</b>		CIMS Service Desk Use Only	
<b>Query</b>		<b>Comment</b>		<b>Compliment</b>		<b>Other:</b>	
<b>Details of Person making comment / compliment / query or other.</b>				<b>Details of comment / compliment / query or other.</b>			
<b>Additional Actions Required</b>							
<b>Reviewer &amp; Comments</b>				<b>Communicated to:</b>			
<b>Date / Time :</b>				<b>Date / Time :</b>			

Document Ref : QCC Form / Complaints Protocol vs 5 11/08



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(Responsible Managers in **bold** type)

Facility	Group Email Address	HWRC's in region	Contacts	Contact Number
[REDACTED]	[REDACTED]@viridor.co.uk	[REDACTED]	[REDACTED]	[REDACTED]
	[REDACTED]@viridor.co.uk			
	[REDACTED]@viridor.co.uk			
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
	[REDACTED]@viridor.co.uk	[REDACTED]		
<p>For All Operations related issues a copy of the Complaint Form / QCC Form will be forwarded to:</p> <p>[REDACTED] – General Manager (Operations) [REDACTED]@viridor.co.uk [REDACTED]</p> <p>[REDACTED] – Executive Secretary [REDACTED]@viridor.co.uk [REDACTED]</p>				
Limited "SPV"		Contract Manager Communications M'ger Construction Manager Contract Administrator Contract Administrator Administration Officer	[REDACTED]	[REDACTED]