

# Social Investment Business

## SIB072 Customer Complaints Procedure

**Version No** 1.2

**Date Created:** October 2013

**Date Updated:** 22 June 2022

**Updated by:** Ceryse Fear

**Process owner:** Director of Finance

**Approver:** Directors' Group

**Status:** CURRENT




## Foreword

To comply with the requirements of ISO 9001:2015, the following list of documented information necessary to maintain the effectiveness of Social Investment Business's Quality Management System, is to be approved by the Directors Group:

- Quality Manual
- Quality Policy
- Procedures previously classified as mandatory ISO procedures
- All policies and operational procedures

This document is intended to be used by staff within Social Investment Business who are associated with this policy/procedure.

This policy/procedure has been approved by Directors Group and authorised on their behalf by a Group Director.

| Name        | Signature   | Title           | Date         |
|-------------|---|-----------------|--------------|
| Nick Temple |  | Chief Executive | 27 June 2022 |
|             |   |                 |              |
|             |   |                 |              |
|             |   |                 |              |

## Version history

| Version ref | Author       | Date            | Process ref changed                         |
|-------------|--------------|-----------------|---|
| 1.0         | Richard Lewy | 2 October 2013  | Complete format change                      |
| 1.1         | Richard Lewy | 6 November 2013 | Minor changes to wording                    |
| 1.2         | Ceryse Fear  | 22 June 2022    | Change to new branding and ISO 2008 to 2015 |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |
|             |              |                 |   |

## Table of Contents

|  |   |
|--|---|
| Foreword .....   | 2 |
| Version history .....  | 3 |
| 1 Introduction .....   | 5 |
| 2 Definitions .....  | 6 |
| 3 What is a Complaint? .....   | 7 |
| 3.1 Does SIB have a Complaints Procedure? .....  | 7 |
| 3.3 What can customers complain about? .....   | 7 |
| 3.4 Can customers appeal against a funding decision? .....   | 7 |
| 3.5 How to make a complaint? .....   | 8 |
| 3.6 What is the process? .....   | 8 |
| 3.7 If I do not want to make a formal complaint but would like to make a suggestion or general comment how do I do this? ..... | 8 |

## 1 Introduction

Customers are at the heart of everything we do.

Our aim is to deliver customer focused services where quality is reflected in everything we do and our intentions are supported by a culture of reflection, learning and continuous improvement.

We therefore encourage feedback from customers on all aspects of our service and address every learning opportunity to improve our service delivery to our customers.

But despite our best efforts we don't always get it right.

Where our service falls below our customers' reasonable expectations, they have a right to complain and to expect us to investigate and report back to them. Complaints are an early warning that things may not be going as well as planned and they are an opportunity to put things right. We welcome complaints as part of external scrutiny and our complaints procedure is published on our website.

This is SIB's Complaints Procedure.

## 2 Definitions

**Social Investment Business (SIB) Group** = Social Investment Business Foundation Social Investment Business Ltd, Futurebuilders (FBE) Ltd, SIB Fund Management (SIBFM) Ltd, and, SIB Loans (SIBL) Ltd

**Board** = Non-executive directors.

**Committees** = Audit & Finance Committee, Remuneration Committee, SIB Investment Committee, and, grants or investment committees established by each contract for oversight and decision making.

**Complainant** = Person or organisation making the complaint.

**Customer Relationship Management (CRM)** = SIB's system that helps keep all customer contact details up to date, track every interaction they have with SIB, and manage their accounts. It's designed to help SIB improve customer relationships, and in turn, customer lifetime value. It will produce the data that will drive business efficiency and customer satisfaction.

**Directors Group (DG)** = Executive Directors who manage a strategic function (or set of functions) and meet regularly to discuss both strategic and operational issues as appropriate.

**Key Performance Indicator (KPI)** = a measurable value demonstrating how effectively a key business objective is achieved.

**Product/Service** = Fund and programme management services providing investment products (these include various types of loans and grants) provision of business support; and of research and evaluation services and products.

**Relationship Manager (RM)** = Relationship Managers build up a working relationship with each of their grant and loan customers to enable them to provide the best support. RMs undertake assessment of new grant and loan applications which will include Anti-Money Laundering and Know Your Customer eligibility and fraud checks; and they draft required documentation for customers. They will require information from their customers which they will then review and assess and then monitor their progress against agreed milestones. They are the first port-of-call for all customers who have enquiries or concerns.

### **3 What is a Complaint?**

A complaint is a formal expression of any negative concern or dissatisfaction about SIB or a contractor of SIB, by any person whether a customer or not, relating to any issue of SIB business.

#### **3.1 Does SIB have a Complaints Procedure?**

Yes. At the Social Investment Business we always try to give the best service possible. However, we recognise that sometimes this does not always happen and that there may be instances where our service falls below reasonable expectation. On such an occasion, you may wish to make a complaint.

#### **3.3 What can customers complain about?**

Customers can make complaints to SIB in any form, whether in person, by telephone, or in writing by letter or e-mail and could, but not exclusively, be based on SIB's actions where employees or contractors acting on SIB's behalf have:

- delayed, made mistakes in or failed to follow stated procedures
- failed to give information or have given incorrect advice or information
- failed to treat others politely or honestly
- failed to respond to enquiries in a timely manner or not at all
- discriminated against or treated others unfairly

#### **3.4 Can customers appeal against a funding decision?**

Any customer concerns about grant or loan application decisions should, in the first instance be raised with the RM the customer has been in contact with, or, with any Grants or Investments RM. Following this, customers with any outstanding concerns they wish to complain about should follow the process at paragraphs 3.5 and 3.6.

SIB will only consider an 'appeal' if:

- we discover when investigating a complaint, that we did not correctly follow our procedures
- customers can show that SIB staff have misunderstood a significant part of an application
- customers can show that SIB staff did not take notice of relevant information

Here at SIB, we always aim to provide an appropriate level of feedback to unsuccessful applicants. Once applicants have addressed any issues/areas raised as part of this feedback they should check with the relevant RM as to whether it would be possible to

submit a further application, subject to the programme still being open, funds being available and deadlines for submission.

### **3.5 How to make a complaint?**

Customers can make complaints to SIB in any form, whether in person, by telephone, or in writing by letter or e-mail. Customers are encouraged to send complaints to: [complaints@sibgroup.org.uk](mailto:complaints@sibgroup.org.uk).

### **3.6 What is the process?**

We have a two- stage process.

**Stage 1** – SIB will acknowledge receipt of a complaint within three working days. The Complaints Administrator will contact complainants with details of the individual who will be investigating the complaint and then responding to the complainant. This will typically be the Manager of the department concerned who will aim to send you a substantive response within 10 working days.

**Stage 2** – If customers remain unsatisfied with the initial response received and can outline the reasons why, they can request that the complaint be escalated to stage 2 of the complaints process. The Complaints Administrator will acknowledge this within three working days and will contact complainants with details of the individual who will be investigating the complaint and then responding to the complainant. This will usually be the relevant department Director or in some cases the Chief Executive. SIB aims to respond in 10 working days.

We may find that we can get your problem resolved quickly by an initial phone call on either of the complaint stages. However, if this is not possible SIB will make every effort to respond within our timescales but will keep you informed of any delay should our investigation take longer than anticipated.

### **3.7 If I do not want to make a formal complaint but would like to make a suggestion or general comment; how do I do this?**

We are also interested in any comments that you may wish to make about any aspects of our service. If you have a Relationship Manager you deal with at SIB, please do raise with them in the first instance. You can also give us a call (on +44 (0) 20 3096 7900) or email us at [enquiries@sibgroup.org.uk](mailto:enquiries@sibgroup.org.uk).