

Complaints Policy

Shaw & Co views complaints as an opportunity to learn and improve for the future, as well as a chance to put things right for the person (or organisation) that has made the complaint.

The aim of our policy is to:

- Do the right thing - Provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint
- Publicise the existence of our complaints procedure so that people know how to contact us to make a complaint
- Make sure everyone at Shaw & Co knows what to do if a complaint is received
- Make sure all complaints are investigated fairly and in a timely manner
- Make sure that complaints are, wherever possible, resolved and that relationships are maintained or repaired
- Gather information which helps us to improve what we do and strive to do better

Definition of a complaint

A complaint is any expression of dissatisfaction, whether justified or not, about any aspect of the delivery of Shaw & Co's services.

Where complaints come from

Complaints may come from any individual, or an organisation that has a legitimate interest in Shaw & Co, if something is perceived to be improper.

A complaint can be received verbally, by phone, by email or in writing. This policy does not cover complaints from Shaw & Co employees who should refer to internal procedures on such matters.

Confidentiality

All complaint information will be handled sensitively, telling only those who need to know and following any relevant data protection requirements.

Responsibility

Overall responsibility for this policy and its implementation lies with the Board of Shaw & Co Group Limited

Review

This policy is reviewed regularly and updated as required.

Making a complaint

Complaints may arrive through Shaw & Co's publicised channels for that purpose, or through any other contact details or opportunities the complainant may have, such as social media. Complaints received by telephone or in person need to be recorded.

The Shaw & Co employee who receives a phone or in person complaint should:

- Write down the facts of the complaint
- Take the complainant's name, address and telephone number
- Note down the relationship of the complainant to Shaw & Co, e.g. client, Funding Academy participant etc.
- Tell the complainant that we have a complaints procedure
- Tell the complainant what will happen next and how long it will take
- Where appropriate, ask the complainant to send a written account by post or by email so that the complaint is recorded in the complainant's own words
- Inform Shaw & Co's Chief Operating Officer who will log the complaint

Where to send your complaint

Written complaints may be sent to Shaw & Co Group Limited, 22-24 Queen Square, Bristol, BS1 4NH or by email to complaints@shawllp.co.uk.

Verbal complaints may be made by phone to +44 (0) 117 325 8510 or in person to any of Shaw & Co's employees at the same address as above.

What to include in your complaint

If writing or emailing your complaint to us, please provide as much detail about the issue as possible, including:

- Your full name and contact details
- What you think we have got wrong
- What you hope to achieve as a result of your complaint

If you require any help in making your complaint we will try to assist.

Resolving complaints

- **Stage 1 - Initial Complaint**

When we receive your complaint we will try to resolve it immediately. All complaints received will be subsequently recorded in a timely manner centrally in a logbook and regularly reviewed by Shaw & Co.

In some cases, a complaint is best resolved by the person responsible for the issue being complained about. If the complaint has been received by that person, they may be able to resolve it swiftly and should do so if possible and appropriate. Whether or not the complaint has been resolved, the complaint information will be passed to the Shaw & Co Chief Operating Officer within five business days.

If it has not already been resolved, the Chief Operating Officer will delegate the complaint to an appropriate person to investigate it and to take appropriate action. If the complaint relates to a specific person, they should be informed and given a fair opportunity to respond.

Complaints should be acknowledged by the person handling the complaint within five working days. The acknowledgement should say who is dealing with the complaint and when the person complaining can expect a reply. A copy of this complaints procedure should be attached.

When investigating the complaint, we may request the complainant to provide further information or documents that support the matter.

Ideally complainants should receive a definitive reply within a month. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is justified or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

- **Stage 2 – Appeal**

If the complainant feels that the problem has not been satisfactorily resolved at Stage One, they can request that the complaint is reviewed at Board level.

At this stage, the complaint will be passed to Shaw & Co's Board. The request for Board level review should be acknowledged within five working days of receiving it. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.

SHAW & CO

The Board may investigate the facts of the case themselves or delegate a suitably senior person to do so. This may involve reviewing the paperwork of the matter and speaking with the person who dealt with the complaint at Stage One. The person who dealt with the original complaint at Stage One should be kept informed of what is happening.

If the complaint relates to a specific person, they should be informed and given a further opportunity to respond. Ideally complainants should receive a definitive reply within a month. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint. The decision taken at this stage is final, unless the Board decides it is appropriate to seek external assistance with resolution.

Stage 3 - ICAEW

If you're still not satisfied with the resolution of your complaint, Shaw & Co is regulated by the Institute of Chartered Accountants in England and Wales (ICAEW).

<https://www.icaew.com>

You can complain to the ICAEW at any stage. Information about the kind of complaints the ICAEW can involve itself in can be found on their website at:

<https://www.icaew.com/regulation/complaints-process/make-a-complaint>

Variation of the Complaints Procedure

The Board may vary the procedure for good reason. This may be necessary to avoid a conflict of interest, for example, a complaint about the Funding Academy Manager should not also have the Funding Academy Manager involved as a person leading a Stage Two review.

Monitoring and Learning from Complaints

Complaints are reviewed annually to identify any trends which may indicate a need to take further action.