

## POLICY

It is the policy of Westfield Compliance to document and maintain records of all complaints relating to its service provisions. The documented files must contain details of the thorough investigation and all actions relating to the incidents. Westfield Compliance is responsible for all decisions at all levels of the handling process for complaints. Also, Westfield Compliance is responsible for gathering and verifying all necessary information to validate the complaint.

A complaint is defined as an 'expression of dissatisfaction by any person or organization to Westfield Compliance, relating to the activities or results produced by Westfield Compliance, where a response is expected.'

A description of the handling process for complaints shall be made available to any interested party on request. This is currently done by access through the company website or via email request.

## PROCEDURE

When a complaint is received by Westfield Compliance the recipient shall complete a complaints form, CD446. An investigation of the incident, activity or procedure shall then be carried out as follows:

- Whenever possible, receipt of the complaint shall be acknowledged, and the complainant provided with progress reports and the outcome.
- An individual should be allocated to deal with the complaint who was not involved in the original activities relating to the complaint.
- It should be established whether the complaint relates to activities that Westfield Compliance is responsible for and if so, Westfield Compliance shall deal with it.
- A decision shall be made on what actions are to be taken in response to the complaint.
- Any appropriate corrective action shall be taken relative to the risk caused by the complaint and to prevent the incident recurring in the future.
- If the investigation finds that technical activities involved have not conformed to Westfield Compliance procedures or the agreed requirements of the client the client shall be informed and a nonconforming work investigation carried out in addition to the complaint report.
- The outcomes to be communicated to the complainant shall be made by, reviewed and approved by, an individual who was not involved in the original activities in question.
- Confirmation that the outcome has been communicated to the customer shall be documented including any review period, after which the complaint is considered closed.
- Westfield Compliance shall give formal notice of the end of the complaint handling to the complainant.

All complaints shall be evaluated on a regular basis, but as a minimum during quality review, to identify any trends and or "groupings" recorded.



## RESPONSIBILITY

The Quality Manager is ultimately responsible for:

- Ensuring complaints are fully documented and fully resolved.
- Ensuring audits are carried out in the area of concern, should the severity of the risk to the integrity of technical activities require it.
- Ensuring the client whose work is affected is notified (only if audit findings cast doubt on the integrity or validity of the work undertaken).
- Ensuring that all complaints including corrective and preventative actions are assessed at quality review.
- Ensuring that all complaints are dealt with in a timely manner.