

# MHA Moore and Smalley Complaints Procedure

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## 1 MHA Moore and Smalley Client Service Standards

MHA Moore and Smalley take client complaints very seriously and work hard to ensure that you have no need to complain in the first place. If you feel you have reason to complain, we will endeavour to ensure we resolve the matter quickly and fairly. We will keep you informed of progress as we seek a resolution. The Managing Partner, Mr Graham Gordon is the principal contact and the investigating principal is Catherine Holt the Practice Assurance Manager.

## 2 Definition of a Complaint

We define a complaint as;

“An expression of dissatisfaction made either verbally or in writing, whether justified or not, about any aspect of the services that MHA Moore and Smalley provides”

We will accept any complaint that meets this definition with the following exceptions;

- Matters that have already been fully investigated through this complaints procedure unless new evidence is available.
- Complaints that do not solely relate to the service provided by our Firm; if we think your complaint should be handled by another entity we will forward the complaint accordingly and inform you of this promptly.

## 3 Our process and timescales

### Stage 1

You complain directly to your account manager, they will endeavour to resolve your complaint within 5 working days of receipt. They may respond to you by phone or in person to try and resolve things. If you are unhappy with the response, you can ask us to consider your complaint at stage 2 either in writing to Mr G Gordon, Richard House, 9 Winckley Square, Preston, PR1 3HP or by email to [complaints@mooreandsmalley.co.uk](mailto:complaints@mooreandsmalley.co.uk)

### Stage 2

If your complaint is complex or needs a more detailed investigation, we can look at your complaint at this stage without having to go through stage 1.

During stage 2 our commitment to you is as follows.

#### **We acknowledge:**

We will acknowledge receipt of your complaint within 3 business days.

#### **We review:**

We will undertake an initial review of your complaint and determine what if any additional information or documentation may be required to complete an investigation. We may need to contact you to clarify details or request additional information where necessary.

#### **We investigate:**

Within 28 days of receipt, we will investigate your complaint objectively and impartially, by considering the information you have provided us, our actions in relation to your dealings with us and any other information which may be available, that could assist us in investigating your complaint.

#### **We respond:**

Following our investigation, we will notify you of our findings and any actions we may have taken in regard to your complaint.

#### **We take action:**

Where appropriate, we amend our business practices or policies and provide feedback to our employees.

#### **We record:**

We will record your complaint for continuous improvement process and monitoring through regular review. Please note your personal information will be recorded in accordance with the relevant legislation.

### Stage 3

If after receiving the final decision of your complaint, you still remain dissatisfied then you can ask the Institute of Chartered Accountants in England and Wales (ICAEW) to look into the matter. Please note the ICAEW will investigate complaints about service but is not able to get involved in fee disputes which are contractual.

More information on how to complain to the ICAEW can be found on their website <https://www.icaew.com/>

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