

**COMPLAINTS
HANDLING
PROCEDURE FOR**



March 2018

INTRODUCTION

In a bid to continually ensure satisfaction of both internal and external clients, Awoyokun Consulting has laid out the Complaints Procedure below. Through the Complaints Procedure, Awoyokun Consulting intends to enquire and understand the type, extent of complaints about the firm and or its employees and afterwards, address the complaints and ensure that they do not occur again.

TYPES OF COMPLAINTS

There are two types of complaints- internal and external complaints.

Internal complaints:

An internal complaint is a written expression of dissatisfaction by a staff member of Awoyokun Consulting about a specific process, or action by Awoyokun Consulting or another staff member. This complaint emanates within the firm.

External complaints:

External complaint is a written expression of dissatisfaction (emails included) by a client or business contact/associate about a specific process or action by Awoyokun Consulting or its member of staff, or one of its contracted associations.

A VALID COMPLAINT

An oral expression of dissatisfaction cannot count as a complaint as this can be easily forgotten, misinterpreted or misconstrued.

Each complaint must indicate in clear terms the nature of the complaint and the specific staff of/ unit within Awoyokun Consulting to whom the complaint is addressed. The unit or staff member to whom the complaint is expressed will need to respond to the complaint in writing.

OBLIGATION TO REPORT

It is mandatory that all complaints received are reported to the appropriate unit head(s).

Complaint registration: Internally generating complaints must be reported through the staff's immediate supervisor. The aggrieved staff must also ensure that (s)he registers the complaint in the Complaints Register immediately.

All external complaints must be sent through the firm's compliance officer who will in turn ensure that the complaint is registered and treated by the appropriate unit(s).

The Compliance Officer can be contacted via email through compliance@awoyokun.com or by post through the address below:

The Compliance Officer
Compliance & Risk Unit
Awoyokun Consulting
9b Idejo Street
Victoria Island
Lagos

HANDLING AND SETTLEMENT OF COMPLAINTS

External Complaints

Step 1:

The complaint is received by the Compliance Officer at Awoyokun Consulting and is forwarded to the relevant business unit.

Step 2:

The relevant business unit confirms receipt of the complaint within 72 hours' in which the complaint was made, and assigns it to a staff to handle.

Step 3:

The selected staff in Step 2 above is given a copy of the complaint and must investigate and respond in writing to the Compliance and Risk Unit within 2 weeks.

Step 4:

The Compliance Officer contacts the complainant relaying the information from the investigation. If no reply is received from the complainant within 2 weeks days of the dispatch of the written response (either by post or by email), the complaint will be considered settled

Step 5:

The Compliance Officer saves the letter of complaint, as well as all related correspondence in the relevant complainant's file.

Internal Complaints

Step 1:

The internal complaint must be submitted in writing by the staff member to her/his line manager who forwards it to the Compliance and Risk Unit. Where this is not possible for whatever reason, the complaint can be submitted directly to the Compliance Officer. The complainant must ensure that the complaint is registered as required.

Step 2:

The complaint is handled by the Compliance Officer, which brings the complaint to the attention of the person within Awoyokun Consulting responsible for investigating and resolving the complaint.

Step 3:

The complaint investigated and a report submitted to the Compliance Officer to review within two weeks of being informed about the complaint.

Step 4:

After reviewing the investigation report, the Compliance Officer communicates the outcome of the complaint to the complainant and enforce procedures to ensure that the complaint does not re-occur

Step 5

The complaint is appropriately filed for future reference as appropriate.

URGENT COMPLAINTS

If a complaint has to be resolved urgently, the person receiving the complaint is responsible for its timely settlement.

SUPERVISION AND MANAGEMENT

Awoyokun Consulting's Compliance and Risk Unit is responsible for supervising compliance with the complaints procedure. The data concerning the complaint are kept by the person handling the complaint for a period of at least one year after it has been settled.