

COMPLAINT REGULATIONS

1. Definitions

Complaint

Each manifestation of dissatisfaction, either orally or in writing, expressed by or on behalf of the client. Any such manifestation expressed by third parties for the purpose of having their remark dealt with by the firm in order to realize the objectives included in the present complaint regulations shall also be considered a complaint.

Complainant

The client or a third party formulating a complaint.

Complaint Regulations

These regulations, setting out the complaint handling process.

Complaint Handling Officer

The person, not being the lawyer against whom the complaint has been filed, who is in charge of handling and resolving the complaint.

Complaint Form

An in-company form used to carry out the process set out in the Complaints Regulations.

2. Objectives

The objectives of the Complaint Regulations are:

1. to determine a procedure to deal with complaints of clients in a constructive manner and within a reasonable period of time;
2. to determine a procedure to establish the causes of the complaints filed by clients;
3. To maintain and improve the existing relationships by means of a proper complaints handling process;
4. To train employees to adopt a client-oriented approach when dealing with complaints;
5. To improve the quality of the services provided by evaluating and analysing the complaints and the complaint handling process.

3. Informing the client and third parties

The lawyer informs the client of the existence of the Complaint Regulations. The website of DOCK Legal Experts and the general terms and conditions refer clients to the existence of the Complaint Regulations.

4. The Complaint Handling Process

1. When a client or a third party files a complaint in any way whatsoever, the lawyer involved must be informed.
2. The lawyer involved tries to resolve the matter together with the client or the third party, whether or not after consultation with the firm's Complaint Handling Officer (Mr R.A.D. Blaauw).
3. The lawyer involved or as the case may be the Complaint Handling Officer ensures that the complaint is properly handled with due observance of the present Complaint Regulations.
4. Secrecy shall be guaranteed under all circumstances.
5. The decision on the complaint is communicated to the client or third party in writing (this includes email).

5. Registration and classification of the complaint

1. All complaints are registered in accordance with the Complaint Form
2. The Complaint Handling Officer registers and classifies the complaint. The complaint is classified by the way in which they have been filed:
 - A. orally
 - B. in writing- by the nature of the complaint according to the following categories
 - I. complaints on the working method/treatment of the lawyer
 - II. complaints on the substantive legal aspects of the services provided
 - III. complaints on the financial aspects of the services provided
 - IV. complaints on the working practice in general
3. A complaint may be filed in various categories.
4. If the complaint has been resolved satisfactorily, the lawyer involved and the Complaint Handling Officer sign the Complaint Form.

6. Responsibilities

1. The lawyer involved and subsequently the Complaint Handling Officer are responsible for the handling and finalisation of the complaints.
2. The Complaint Handling Officer is responsible for the completion of the Complaint Form.
3. The lawyer involved shall keep the Complaint Handling Officer informed with respect to the finalisation of the complaint.
4. The complaint must be finalized within four weeks.
5. The Complaint Handling Officer will give a response to the Complainant. If necessary, the Complaint Handling Officer will inform the professional liability insurers of the firm.
6. The Complaint Handling Officer will keep and maintain the complaint file.

7. Complaint Analysis

1. After finalization of the complaint, the Complaint Forms are collected by the Complaint Handling Officer.
2. The Complaint Handling Officer will report periodically on the finalization of complaints
3. The Complaint Handling Officer will process and analyse the data each year.
4. The Complaint Handling Officer will make recommendations to avoid new complaints and to improve procedures.

8. Internal discussion

1. Once a year the complaints data will be discussed within the firm on the basis of an analysis.
2. Measures for improvement will be prepared and scheduled.
3. The Complaint Handling Officer is liable for preparing this meeting and for making the analysis.

9. Preventive action

1. Based on the annual analysis of the Complaint Handling Officer the firm will decide on any preventive measures to improve the quality of the services provided.
2. The measures to be taken will be presented in the office meeting together with the analysis.