Appendix 4 - Proposed Amendments to IDPC complaint handling rules (clean)

RULE 3700 | REPORTING AND HANDLING OF COMPLAINTS, INTERNAL INVESTIGATIONS AND OTHER REPORTABLE MATTERS

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3716. –3718. Reserved.

PART E – CLIENT COMPLAINTS – RETAIL CLIENTS

3719. Definitions

(1) The following term has the meaning set out below when used in Part E of Rule 3700:

"complaint handling timeline" (*délai de traitement des plaintes*)	The time in which a *Dealer Member* must address a service complaint or provide a complainant with the substantive response letter under section 3726, which is as soon as possible but no later than: (i) the 60th day following receipt of the complaint, or (ii) the 90th day following the receipt of the complaint where: (a) the resolution of the individual complaint is particularly complex, or (b) circumstances beyond the *Dealer Member*'s control are causing complaint management delays.

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3725. Complaint acknowledgement letter

(1) The *Dealer Member* must send an acknowledgement letter to the complainant within five *business days* of receipt of a complaint.

(2) The acknowledgement letter in subsection 3725(1) must include the following:

(i) the name, job title and full contact information of the *individual* at the *Dealer Member* handling the complaint,

(ii) a statement indicating that the client should contact the *individual* at the *Dealer Member* handling the complaint if he/she would like to inquire about the status of the complaint or provide the *Dealer Member* with any additional information,

(iii) an explanation of the *Dealer Member's* internal complaint handling process, including but not limited to the role of the designated complaints officer,

(iv) a reference to an attached copy of the *Corporation* approved complaint handling process brochure and a reference to the statutes of limitations contained in the document,

(v) the *complaint handling timeline* to provide a substantive response to complainants, and

(vi) a statement informing the client that the *Dealer Member* may request additional information, from time to time, to investigate the complaint.

3726. Response to client complaints

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(4) A *Dealer Member* must respond to each client complaint within the *complaint handling timeline* subject to the following:

(i) the *complaint handling timeline* must include all internal processes of the *Dealer Member* that are made available to the client, other than the internal ombudsman process offered by an *affiliate* of the *Dealer Member*,

(ii) the *Dealer Member* must inform the client if the *Dealer Member* is unable to provide the client with a final response within the *complaint handling timeline* and must include the reasons for the delay and the new estimated time of completion, and

(iii) the *Dealer Member* must inform the *Corporation* if the *Dealer Member* is unable to meet the *complaint handling timeline* and must provide reasons for the delay.

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