

Internal Complaint Management “Assessment Ready” Checklist

- Does my company have a written policy and procedure for receiving, investigating, tracking and resolving consumer complaints?
 - Written definition of a complaint?
- Has my company created a standard complaint intake form and made it available to all personnel that interact with consumers?
Required Form Elements:
 - Relevant transaction information such as address, order number, file number, loan number, policy number or other transaction identifier sufficient to identify the transaction?
 - Description of the complaint?
 - Description of the desired resolution?
 - Date of incident?
 - Date complaint received (may be system generated if an electronic form)?
 - Customer contact information e.g., phone number, email, address?
- Does my company maintain a consumer complaint log?
 - Records the capture of the complaint information?
 - Identify status of complaints e.g., open, closed, in-process?
 - Information contained in the log is treated as confidential and is only accessible to authorized staff and disclosed according third party contracts or law?
 - Records responses provided to complaint contacts, and records actions taken?
 - Records resolution provided to complaint contacts?
 - Records appropriate dates of status changes for management or customer required reports?
- Does my company have an established policy for providing a timely review and response to complaints?
 - Time for initial complaint review?
 - Process for review and validation of complaint against the definition?
 - Process for assignment of a single point of contact to a complaint?
 - Time for response and attempt to resolve complaints?
- Does my company have the ability to provide reports from the complaint log to management, underwriters, auditors, lender customers or others that have a need to know about specific complaints?
- Does my company have a scheduled time for management to review complaints received, responded, and resolved by the company?
 - What are the scheduled dates and times? _____

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- Does my company offer training on the complaint management policy and procedures?
 - Does my company conduct training for new and existing employees on the company consumer complaint policy and procedures?
 - Does my company keep a record of the completion of employee consumer complaint training?
- Recommended that you review your company policy and procedure with appropriate legal counsel and (if applicable) your underwriter
 - Completed Date _____
- Has my company policy and procedure been reviewed by management and approved for implementation by the company?
 - Completed Date _____
- What date did the complaint management policy and procedure go into effect?
 - Completed Date _____

Review Supporting Documentation

- Consumer complaint intake form
- Consumer complaint tracking log
- Employee complaint management training log