

date – 25th September 2019

Trust in water

# G4 Internal Review Policy

[www.ofwat.gov.uk](http://www.ofwat.gov.uk)



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## 1. Introduction

This policy explains Ofwat's approach to complaints where a stakeholder is unhappy with how a complaint or case has been handled. Internal reviews are impartial and independent. They consider:

- the nature of the complaint,
- whether procedures have been followed correctly or
- if procedures or processes need to be refined to deliver better services.

Internal reviews are not a route for cases or decisions to be reconsidered unless in exceptional circumstances i.e. gross misconduct is discovered in the course of the initial investigation. Any request for an internal review must be provided to Ofwat within 28 days of the notice or letter, unless a good reason is provided. The Reviewer will then decide if the reasons are valid. Requests received more than three months after Ofwat's notice or letter are not valid. Usually, Ofwat will require an internal review process to conclude before considering the initiation of any additional reviews.

- Complaints regarding Freedom of Information (FOI) and Environmental Information Regulations (EIR) requests will be handled in accordance with the Freedom of Information and Environmental Information Regulations policy
- Complaints in relation to Ofwat staff will be managed by People Hub in accordance with Ofwat's Improving Performance policy and our Code of Conduct.

## 2. Internal reviews

A casework internal review is a third stage response. It is triggered when an individual's complaint has been responded to by the relevant team or member of staff and the team's or individual's efforts to resolve any remaining dispute are not successful. The complainant should then request or be directed to internal review.

If, as a customer, you request an internal review, it is essential to set out the issues and what you would like Ofwat to do to put it right, as well as any brief background on the issue involved. This request should be sent to [foi@ofwat.gov.uk](mailto:foi@ofwat.gov.uk). If a finding has been made that determines that the original enquiry or complaint are not within Ofwat's jurisdiction then the internal review process will not apply.

### **3. Process**

We will aim to acknowledge receipt of your request for an internal review within five working days.

We will investigate your complaint fully and objectively, with the person doing the review being independent of the part of Ofwat you have complained about.

We aim to complete the review and write to you with our conclusions within 40 working days of acknowledging your request.

We will tell you whether we uphold your complaint and, if so, what we are doing to put matters right. If we do not uphold your complaint we will give you our reasons.

When our internal review shows that things have gone wrong we will accept responsibility, explain what went wrong and why, and seek to put things right.

### **4. What you can do to take your complaint further**

We hope that we will be able to resolve your issue, and if not, that the internal review process will be able to resolve your complaint. If you remain unhappy you can ask a Member of Parliament to refer to the Parliamentary and Health Service Ombudsman.

The Ombudsman can carry out independent investigations into complaints about public bodies. Its role is to look at the process we have followed in handling your case, rather than to look at the merits of the decision itself. If your complaint is upheld, the Ombudsman can recommend that we provide a remedy.

### **5. Contact details**

The Parliamentary and Health Service Ombudsman  
Millbank Tower  
Millbank  
London  
SW1P 4QP  
Complaints helpline: 0345 015 4033 [www.ombudsman.org.uk](http://www.ombudsman.org.uk)

Members of Parliament  
House of Commons  
Westminster  
London  
SW1A 0AA

## 6. Document control

### Version history

Version	Status	Date	Author	Summary of changes
0.1	Draft	06.06.2016	SA FOI	
0.2	Draft	08.06.16	Dir PPM	Amended/additions to first draft
0.3	Draft	13.6.16	SA FOI	Additions/amendments
0.4	Final draft	29.06.2016	SA FOI	Approved by Dir PPM
0.5	Revised draft	24.10.2018	IGM	Amendments
1	Review	08.02.2019	IGM	Redraft

### Sign off

Job Title	Date	Version No.	Date of Next review
Director PPM	September 2019	1	September 2021