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AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-059

Auditing Customer Service and Complaints Processes

Contact

+31 85 7444446
info@aractech.com
https://aractech.com

Address

Waarderweg 50, 2031 BP Haarlem - Netherlands.

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Course content

Why Attend

Customer service and complaints handling directly affect customer loyalty, reputation and, in many sectors, regulatory compliance. Complaints are also a valuable source of information about failing products, processes and controls. Yet these areas are often audited less often than financial processes, leaving significant risks and opportunities unexamined.

This Auditing Customer Service and Complaints Processes training course gives auditors a structured approach to reviewing how organisations serve customers and resolve their complaints. Participants learn how to assess service standards, channels and performance measures, evaluate complaints recording, investigation, resolution and redress, and test fair treatment of customers.

Course Methodology

• The course uses sample complaint files, call recordings transcripts, service reports and data sets. Participants map customer journeys, test complaint files against standards, analyse complaint trends and draft findings. Case studies show how complaint insight has revealed serious control failures.

Course Objectives

• Explain the risks and value associated with customer service and complaints

• Plan a risk-based audit of customer service processes

• Assess service standards, channels and performance measures

• Audit complaint recording, categorisation and handling

• Test the fairness and consistency of complaint outcomes and redress

• Evaluate regulatory compliance in complaints handling

Target Audience

• Internal auditors and audit managers

• Customer service and contact centre managers

• Complaints handling managers

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Course content

• Compliance and conduct risk professionals

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Course outline

Detailed course outline

Day-by-day outline for Auditing Customer Service and Complaints Processes.

Day 1 - Customer Service Risks and Audit Planning

• 09:00-09:34 | Why customer service and complaints matter to governance

• 09:34-10:08 | Conduct, reputational and regulatory risks

• 10:08-10:42 | Customer service strategies, standards and charters

• 10:42-11:00 | Mapping customer journeys and service channels

• 11:00-11:30 | Coffee break

• 11:30-11:46 | Mapping customer journeys and service channels (continued)

• 11:46-12:20 | Risk assessment and scoping of the audit

• 12:20-12:53 | Data sources and evidence for service audits

• 12:53-14:00 | Exercise: mapping a customer journey and its risks

Day 2 - Service Standards and Performance

• 09:00-09:34 | Setting and measuring service level standards

• 09:34-10:08 | Contact centre measures and their limitations

• 10:08-10:42 | Quality monitoring and call evaluation processes

• 10:42-11:00 | Customer satisfaction and effort measurement

• 11:00-11:30 | Coffee break

• 11:30-11:46 | Customer satisfaction and effort measurement (continued)

• 11:46-12:20 | Digital and self-service channel controls

• 12:20-12:53 | Staff training, scripts and empowerment

• 12:53-14:00 | Exercise: evaluating a service performance report

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Day-by-day outline for Auditing Customer Service and Complaints Processes.

Day 3 - Complaints Handling Processes

- 09:00-09:34 | Defining and recognising complaints in every channel
- 09:34-10:08 | Recording and categorising complaints accurately
- 10:08-10:42 | Investigation standards and timeliness
- 10:42-11:00 | Resolution, redress and communication with customers
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Resolution, redress and communication with customers (continued)
- 11:46-12:20 | Escalation and internal review stages
- 12:20-12:53 | External ombudsman and regulator referrals
- 12:53-14:00 | Exercise: testing a sample of complaint files

Day 4 - Fair Treatment and Compliance

- 09:00-09:34 | Consistency of outcomes across similar complaints
- 09:34-10:08 | Treatment of vulnerable customers
- 10:08-10:42 | Regulatory requirements for complaints in overview
- 10:42-11:00 | Recordkeeping and reporting obligations
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Recordkeeping and reporting obligations (continued)
- 11:46-12:20 | Oversight of outsourced customer service providers
- 12:20-12:53 | Management information and governance of complaints
- 12:53-14:00 | Case study: systemic unfair treatment uncovered by audit

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Day 5 - Complaint Insight and Reporting

- 09:00-09:39 | Analysing complaint trends and themes
- 09:39-10:18 | Root cause analysis of recurring complaints
- 10:18-10:57 | Linking complaints to product and process improvements
- 10:57-11:00 | Feeding insight into risk and control frameworks
- 11:00-11:30 | Coffee break
- 11:30-12:06 | Feeding insight into risk and control frameworks (continued)
- 12:06-12:44 | Writing audit findings focused on customer outcomes
- 12:44-13:22 | Following up management actions
- 13:22-14:00 | Personal action plan for auditing customer service

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Seminar dates

Available seminar dates

Live dates and pricing for Auditing Customer Service and Complaints Processes generated from the course details page.

Date	Location	Format	Fee
14 - 18 December 2026	London	Classroom	**€2,915**
21 - 25 December 2026	Barcelona	Classroom	**€2,275**
7 - 11 December 2026	Frankfurt	Classroom	**€2,175**
11 - 15 January 2027	London	Classroom	**€2,915**
18 - 22 January 2027	Barcelona	Classroom	**€2,275**
25 - 29 January 2027	Frankfurt	Classroom	**€2,175**
4 - 8 January 2027	Vienna	Classroom	**€3,425**
15 - 19 February 2027	London	Classroom	**€2,915**
22 - 26 February 2027	Barcelona	Classroom	**€2,275**
1 - 5 February 2027	Frankfurt	Classroom	**€2,175**

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Seminar dates

Available seminar dates

Live dates and pricing for Auditing Customer Service and Complaints Processes generated from the course details page.

Date	Location	Format	Fee
8 - 12 February 2027	Amsterdam	Classroom	**€3,215**
22 - 26 March 2027	London	Classroom	**€2,915**
1 - 5 March 2027	Barcelona	Classroom	**€2,275**
8 - 12 March 2027	Frankfurt	Classroom	**€2,175**
15 - 19 March 2027	Cape Town	Classroom	**€1,825**
5 - 9 April 2027	London	Classroom	**€2,915**
12 - 16 April 2027	Barcelona	Classroom	**€2,275**
19 - 23 April 2027	Frankfurt	Classroom	**€2,175**
26 - 30 April 2027	Dubai	Classroom	**€2,845**
10 - 14 May 2027	London	Classroom	**€2,915**

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Seminar dates

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Live dates and pricing for Auditing Customer Service and Complaints Processes generated from the course details page.

Date	Location	Format	Fee
17 - 21 May 2027	Barcelona	Classroom	**€2,275**
24 - 28 May 2027	Frankfurt	Classroom	**€2,175**
3 - 7 May 2027	Geneva	Classroom	**€3,315**
14 - 18 June 2027	London	Classroom	**€2,915**
21 - 25 June 2027	Barcelona	Classroom	**€2,275**
7 - 11 June 2027	Frankfurt	Classroom	**€2,175**
26 - 30 July 2027	London	Classroom	**€2,915**
5 - 9 July 2027	Barcelona	Classroom	**€2,275**
12 - 16 July 2027	Frankfurt	Classroom	**€2,175**
19 - 23 July 2027	Kuala lumpur	Classroom	**€2,425**

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Seminar dates

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Date	Location	Format	Fee
2 - 6 August 2027	London	Classroom	**€2,915**
9 - 13 August 2027	Barcelona	Classroom	**€2,275**
16 - 20 August 2027	Frankfurt	Classroom	**€2,175**
23 - 27 August 2027	Madrid	Classroom	**€3,400**
13 - 17 September 2027	London	Classroom	**€2,915**
20 - 24 September 2027	Barcelona	Classroom	**€2,275**
6 - 10 September 2027	Frankfurt	Classroom	**€2,175**
18 - 22 October 2027	London	Classroom	**€2,915**
25 - 29 October 2027	Barcelona	Classroom	**€2,275**
4 - 8 October 2027	Frankfurt	Classroom	**€2,175**

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Seminar dates

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Date	Location	Format	Fee
11 - 15 October 2027	Paris	Classroom	**€2,810**
22 - 26 November 2027	London	Classroom	**€2,915**
1 - 5 November 2027	Barcelona	Classroom	**€2,275**
8 - 12 November 2027	Frankfurt	Classroom	**€2,175**
15 - 19 November 2027	Rome	Classroom	**€2,830**
6 - 10 December 2027	London	Classroom	**€2,915**
13 - 17 December 2027	Barcelona	Classroom	**€2,275**
20 - 24 December 2027	Frankfurt	Classroom	**€2,175**
27 - 31 December 2027	Vienna	Classroom	**€3,425**
14 - 18 December 2026	Online / Live	Online / Live	**€1,625**

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Live dates and pricing for Auditing Customer Service and Complaints Processes generated from the course details page.

Date	Location	Format	Fee
21 - 25 December 2026	Online / Live	Online / Live	**€1,625**
7 - 11 December 2026	Online / Live	Online / Live	**€1,625**
11 - 15 January 2027	Online / Live	Online / Live	**€1,625**
18 - 22 January 2027	Online / Live	Online / Live	**€1,625**
25 - 29 January 2027	Online / Live	Online / Live	**€1,625**
4 - 8 January 2027	Online / Live	Online / Live	**€1,625**
15 - 19 February 2027	Online / Live	Online / Live	**€1,625**
22 - 26 February 2027	Online / Live	Online / Live	**€1,625**
1 - 5 February 2027	Online / Live	Online / Live	**€1,625**
8 - 12 February 2027	Online / Live	Online / Live	**€1,625**

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Date	Location	Format	Fee
22 - 26 March 2027	Online / Live	Online / Live	**€1,625**
1 - 5 March 2027	Online / Live	Online / Live	**€1,625**
8 - 12 March 2027	Online / Live	Online / Live	**€1,625**
15 - 19 March 2027	Online / Live	Online / Live	**€1,625**
5 - 9 April 2027	Online / Live	Online / Live	**€1,625**
12 - 16 April 2027	Online / Live	Online / Live	**€1,625**
19 - 23 April 2027	Online / Live	Online / Live	**€1,625**
26 - 30 April 2027	Online / Live	Online / Live	**€1,625**
10 - 14 May 2027	Online / Live	Online / Live	**€1,625**
17 - 21 May 2027	Online / Live	Online / Live	**€1,625**

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Date	Location	Format	Fee
24 - 28 May 2027	Online / Live	Online / Live	**€1,625**
3 - 7 May 2027	Online / Live	Online / Live	**€1,625**
14 - 18 June 2027	Online / Live	Online / Live	**€1,625**
21 - 25 June 2027	Online / Live	Online / Live	**€1,625**
7 - 11 June 2027	Online / Live	Online / Live	**€1,625**
26 - 30 July 2027	Online / Live	Online / Live	**€1,625**
5 - 9 July 2027	Online / Live	Online / Live	**€1,625**
12 - 16 July 2027	Online / Live	Online / Live	**€1,625**
19 - 23 July 2027	Online / Live	Online / Live	**€1,625**
2 - 6 August 2027	Online / Live	Online / Live	**€1,625**

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9 - 13 August 2027	Online / Live	Online / Live	**€1,625**
16 - 20 August 2027	Online / Live	Online / Live	**€1,625**
23 - 27 August 2027	Online / Live	Online / Live	**€1,625**
13 - 17 September 2027	Online / Live	Online / Live	**€1,625**
20 - 24 September 2027	Online / Live	Online / Live	**€1,625**
6 - 10 September 2027	Online / Live	Online / Live	**€1,625**
18 - 22 October 2027	Online / Live	Online / Live	**€1,625**
25 - 29 October 2027	Online / Live	Online / Live	**€1,625**
4 - 8 October 2027	Online / Live	Online / Live	**€1,625**
11 - 15 October 2027	Online / Live	Online / Live	**€1,625**

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22 - 26 November 2027	Online / Live	Online / Live	**€1,625**
1 - 5 November 2027	Online / Live	Online / Live	**€1,625**
8 - 12 November 2027	Online / Live	Online / Live	**€1,625**
15 - 19 November 2027	Online / Live	Online / Live	**€1,625**
6 - 10 December 2027	Online / Live	Online / Live	**€1,625**
13 - 17 December 2027	Online / Live	Online / Live	**€1,625**
20 - 24 December 2027	Online / Live	Online / Live	**€1,625**
27 - 31 December 2027	Online / Live	Online / Live	**€1,625**