

Code of Practice for Complaints

A. Foreword:

- i. This document is formulated to comply with “The Telecom Commercial Communications Customer Preference Regulations released dated July 19th, 2018 by the Telecom Authority of India (TRAI). (‘TCCCP Regulations 2018’).
- ii. This document can be here after named as “Code of Practice-Complaint handling or CoP-Complaint”
- iii. The Code of Practice formulated in this document only refers to the complaint handling related to the complaints received to Access provider by its subscribers for Unsolicited Commercial Communication.
- iv. For avoidance of doubt, in the case of any difference between texts, the text set out in the TCCCP Regulations, 2018 shall take precedence. In case of any confusion in interpretation or clarification needed, the clarifications thus provided by Vodafone Idea Limited (VIL) shall be final and binding.
- v. Any modification to this CoP would be well within the right of VIL, with no liability of any financial claim or damages or any other adverse action, subject to suitable information of such changes being provided to concern Entities.

B. Sections

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Section I. Scope

The Scope of this CoP is to:

1. Comply with the TCCCP Regulation, 2018.
2. Effective and timely handling and resolution of UCC complaints raised by customers.
3. Cover process and modes for registration of complaints by customers. Complaints received within 7 days of UCC will be accepted & for complaints received beyond 7 days, customer would be educated about the process TAT. Here complaints which are within 3 days of UCC will be considered as valid and complaints between 4 days to 7 days will be considered as Report.
4. Process for complaint handling, verification and resolution, including necessary action on UCC made by RTM & UTM.
5. Provide Network system functioning conditions including SLAs and architecture.
6. Provide minimum set of information which will be put on DLT system for sharing with different Entities and in between TSPs.

Section II. Process for Complaint registration, verification and resolution

A Modes of Complaint Registration

1. Procedure for UCC Complaint registration through Voice Call

Sr.no.	Procedure
1	Customer to dial Toll Free number 1909 to register the UCC complaint.
2	Customer to provide following details to customer care executive. <ol style="list-style-type: none">a. Date & approx. time of UCC communication received.b. SMS Header or Telephone number from which UCC received.c. Brief description of UCC received.
3	Customer care executive will validate the complaint for below conditions <ol style="list-style-type: none">a) The subscriber is registered in DND with preference of related category being blocked.b) Date of UCC is not greater than 7 calendar days from complaint registration date.c) The call is being made from the same number on which UCC received.
4	<ol style="list-style-type: none">i. After successful validation, the customer care executive will register the complaint in respective system and communicate the unique complaint number to customer. Further, an automated SMS containing unique complaint number will be sent to customer within 15 minutes of complaint registration.ii. If validation unsuccessful, the customer care executive will inform the customer accordingly.

2. Procedure for UCC Complaint registration through SMS

Sr.no.	Procedure
1	Customer to send SMS in below format on Toll Free number 1909 to register the UCC complaint. “The details of unsolicited commercial communication, XXXXXXXXXX, dd/mm/yy” Where XXXXXXXXXX– is the Sender Mobile number or header of the SMS, as the case may be, from which the unsolicited commercial communication has originated. Explanation: The Sender mobile number or header and the date of receipt of the unsolicited commercial SMS may be appended with such SMS, while forwarding to 1909, with or without space after comma. In case of UCC over voice, customer may provide content of communication in brief.
2	If SMS format is incorrect, an automated error reply SMS will be sent to customer along with correct format.
3	If format is correct, the complaint will be registered in VIL system & an automated SMS with unique complaint number will be sent to customer within 15 minutes of complaint registration.

3. Procedure for UCC Complaint registration through Web Portal

Sr.no.	Procedure
1	Customer to visit VIL's website www.Myvi.in and then click on option of DND Complaints for registering UCC complaint.
2	Customer to enter his/her mobile number, below inputs to be mandatorily filled by the customer <ol style="list-style-type: none"> Sender ID or Mobile Number from which is UCC received. Brief description of UCC received (message / call received). Select the Date & approx. time of UCC received. select the services for which you have received promotional message <ul style="list-style-type: none"> • Banking/Insurance/Financial products/credit cards • Real Estate • Education • Health • Consumer goods and automobiles • Tourism and Leisure • Food and Beverages • Communication/Broadcasting/Entertainment/IT
3	After providing all inputs, customer will have to enter Captcha details and Submit. An option to generate OTP. (This is only in case customer has not logged into my account)
4	On receipt of OTP, customer will key-in the OTP and after online validation of OTP, Complaint will be auto raised in VIL's system and confirmation of successful validation will flashed to the customer during the session itself. Further, an automated SMS containing unique complaint number will be sent to customer within 15 minutes of complaint registration.

4. Procedure for UCC complaint registration through Vi APP

Sr.no.	Procedure
1	<p>Customer to visit VIL's APP for registering UCC complaint.</p> <ul style="list-style-type: none"> • Go to My Account then select do not disturb (DND) under more services • Customer can check the DND registration status, category, modes, days and time if customer wants it can be changed • Click on register a complaint if customer getting alerts (sms / call) even after opting for DND.
2	<p>Customer to enter his/her mobile number, below inputs to be mandatorily filled by the customer</p> <ol style="list-style-type: none"> a) Sender ID or Mobile Number from which is UCC received. b) Brief description of UCC received (message / call received). c) Select the Date of UCC received. d) select the services for which you have received promotional message <ul style="list-style-type: none"> • Banking/Insurance/Financial products/credit cards • Real Estate • Education • Health • Consumer goods and automobiles • Tourism and Leisure • Food and Beverages <p>a) Communication/Broadcasting/Entertainment/IT</p>
3	After providing all inputs, customer will have to enter Captcha details and Submit.
4	Customer will receive OTP, On receipt of OTP, customer will key-in the OTP and after online validation of OTP, Complaint will be auto raised in VIL's system and confirmation of successful validation will flashed to the customer during the session itself. Further, an automated SMS containing unique complaint number will be sent to customer within 15 minutes of complaint registration.

5. Procedure for UCC Complaint registration through Any Other mode: VIL may choose to take and register UCC complaints from customer on any other mode / platform as decided by VIL from time to time. Also other modes as released by Authority time to time.

Section III. Process for Complaint Resolution and Remedial action against sender(s)

1. Complaint Mechanism:

- A. Terminating Access Provider (TAP) shall also verify if the date of receipt of complaint is within three days of receiving commercial communication and in case the complaint is reported by the customer after three days, the TAP shall communicate to the customer about the closure of his complaint in accordance to this CoP and change status of complaint on DL-Complaint as a report instead of complaint.
- B. Post receipt of complaint through above-said modes, TAP shall record the complaint on DL-Complaints and shall notify the details of the complaint to the concerned Originating Access Provider (OAP) in real time.

- C. Post above, TAP shall examine within one business day from the date of receipt of complaint, to check the occurrence of complained communication between the complainant and the reported telephone number or header from which UCC was received and update the findings on DL-Complaints. In case, occurrence not available then, complaint/report to be updated as invalid.
- D. **In case the Complaint is related to Registered Telemarketer (RTM):** The OAP (it includes the TSP who is both TAP and OAP), in case the complaint is related to RTM, shall examine, within one business day from the date of receipt of complaint, whether all regulatory pre-checks were carried out in the reported case before delivering Unsolicited Commercial Communications

a) Pre-checks would involve checking:

- i. CDR to check occurrence of complained communication
 - ii. Sender and Header/CLI was registered
 - iii. DND status of subscriber
 - iv. Complaint received within 3 days
 - v. Whether scrubbing done for the said promotional/service/transactional message.
 - vi. Customer Preference
 - vii. OAP will check whether the content was a transactional message or not, basis the transactional template
 - viii. If content was a Service message, whether related customer consent was taken or not.
- b) In case, all regulatory pre-checks were carried out and delivery of commercial communication to the recipient was in confirmation to the provisions of the regulation and related CoPs, OAP shall communicate to TAP to inform complainant about the closure of complaint as 'No Action required' basis the reason for such action. For example, in case of CDR showing no such occurrence of complained communication, the OAP shall communicate to TAP to inform complainant about the closure of complaint as 'CDR Not Matched'.
- c) In case, any of the regulatory pre-checks were not carried out, the OAP shall within two business days from the date of receipt of complaint, take actions against the defaulting entity and communicate to TAP to inform the complainant about the action taken against his complaint through DL-Complaints.

Offence against PE/RTM will be registered upto 12 instances of non-compliance and penalty as per the agreement between the OAP and the PE/RTM for each instance of non-compliance will be levied. On the 12th instance, PE/RTM will be blacklisted on the DL. These actions will apply to both SMS and Voice UCC reported against PEs/RTMs. In case Template is Service Implicit or Transactional, complaint will be closed as Invalid and no Opt-ins will be sought from TM/PE.

- d) In case any violation occurs due to incorrect template registered, complaint to be closed as Valid and routed to Original Registrar TSP to blacklist the Template in DL.

- e) Violation counter to reset on every Calendar Year i.e. Violation will be counted only from 1st Jan to 31st Dec and on next year 1st Jan counter will reset to 0 for all the Telemarketers.
- f) In case of voice UCC, however, if complaint mentions use of Auto-dialer and the caller has not informed use of Auto-dialer to OAP, the OAP will additionally, issue a notice to the calling entity seeking explanation and adherence of the thresholds for abandoned and silent calls provided as per the regulations.
- g) The OAP shall take appropriate remedial action, as provided for in the agreement between the PE/RTM and the OAP to control Unsolicited Commercial Communications.
- h) Consent Revocation – In case a complaint is received against a Header, it will be considered as a customer's request for consent revocation for promotional SMS.

E. In case the complaint is related to Unregistered Telemarketer (UTM): The OAP

- i. Shall examine communication detail records (CDRs), within one business day from the date of receipt of complaint, to check the occurrence of complained communication between the complainant and the reported telephone number or header from which unsolicited commercial communication was received.
- ii. In case of no occurrence of complained communications under sub-regulation (5)(a), OAP shall communicate to the TAP to inform the complainant about the closure of complaint as 'CDR Not Matched'
- iii. In case of occurrence of complained communications under sub-regulation (5)(a), OAP shall further examine, within two business days from the date of complaint, whether there are similar complaints or reports against the same sender; and
 - a) In case, it is found that number of complaints against the sender are from ten or more than ten unique Recipients/complainants over a period of last seven days (for this complaint information from all TSPs available over DLT to be used), the OAP shall put Sender under Usage Cap and at the same time shall initiate investigation as provided for in point number F. below. (Usage cap means a limit as defined in TRAI's TCCCP regulation, 2018).

Provided that such Usage Cap shall be valid till investigation is completed or thirty days from the date of effect of restrictions, whichever is earlier;

- b) In case it is found that number of complaints against the sender are from less than ten unique recipients over a period of last seven days (for this complaint information from all TSPs available over DLT to be used), the OAP shall, from the previous thirty days data of CoP_UCC_Detect System, check whether suspected sender is involved in sending Commercial Communication in Bulk or not. Bulk for this purpose would be as defined by VIL from time to time.

- i. In case, sender has sent commercial communications in bulk, the OAP shall put the sender under Usage Cap, and at the same time initiate investigation as provided for in point no. F. below.

Provided that such restrictions shall be valid till investigation in this regard is completed under the CoP or thirty days from the date of effect of restrictions, whichever is earlier.

- ii. In case, sender has not sent commercial communications in bulk, the OAP shall warn such sender.

F. Investigation of a complaint against UTM

- i. OAP shall issue notice, within three business days, to give opportunity to such sender(s), under clauses E(iii)(a) and (b) above , to represent their case and shall investigate, within thirty business days from the date of receipt of complaint and shall conclude whether the communication so made was UCC or not; and conclusion of the investigation was that sender was engaged in sending unsolicited commercial communications, OAP shall take action against such sender as under: -

- a) For first instance of violation, due warning shall be given. Here Usage capping is applied for 30 days

Provided that the first instance of the violation shall include all the complaints against the sender within two business days after the date of receipt of the first complaint, against which the sender is to be warned under this sub-regulation.

- b) For the second instance of violation, Usage Cap shall continue for a period of six months;

Provided that the second instance of the violation shall include all the complaints against the sender after the issuance of first warning within two business days after the date of receipt of the complaint against which second warning is being given to the sender.

- c) For third and subsequent instances of violations, all telecom resources of the sender shall be disconnected for a period up to two years and OAP shall put the sender under blacklist category and communicate to all other access providers to not to allocate new telecom resources to such sender for up to two years from the date of such communication.

Provided that the third instance of the violation shall include all the complaints received against the sender after the date of second warning within two business days after the receipt of the complaint against which telecom resources are being disconnected.

Provided further that one telephone number may be allowed to be retained by such sender with the Usage Cap for a period up to two years, subject to payment of commercial consideration to such effect as decided by VIL from time to time.

Summary of penal action against RTMs/UTMs

S.No.	Process for Complaint Handling	Wireline	Wireless
1)	In case the Complaint is related to Registered Telemarketer (RTM)	Offence against PE/RTM will be registered up to 12 instances of non-compliance and penalty as per the agreement between OAP and Telemarketer	Same as Wireline
2)	Action Taken against RTM	Warning issued & penalty levied on RTM and resource disconnection & blacklisted for 2 years on 12 th Instance	Same as wireline
3)	In case the complaint is related to Unregistered Telemarketer (UTM)	Offence against UTM header will be registered up to 4 instances of non-compliance	Offence against UTM header will be registered up to 3 instances of non-compliance
4)	Action Taken against UTM	Warning issued and Barring of Outgoing Services on 2 nd & 3 rd instance followed by Telecom resource disconnection on 4 th instance and blacklisting for 2 years.	Warning issued and Barring of Outgoing Services on 1 st & 2 nd instances followed by Telecom resource disconnection on 3 rd instance and blacklisting for 2 years.

Provided further that one telephone number may be allowed to be retained by such sender with the Usage Cap for a period up to two years, subject to payment of commercial consideration to such effect as decided by VIL from time to time.

TRAI may examine such cases at a later date where usage caps have been placed or have been disconnected and may order removal on usage or restoration of telephone numbers, or removal from blacklist. To meet this, VIL may keep the telecom resources in temporary suspension and not permanently disconnect the same.

Section IV. Information handover over DLT between TAP and OAP

1. By TAP: On receipt of Complaint

- a. Date and time (if reported by the complainant) of UCC
- b. Date and time of receipt of complaint
- c. Sender and recipient of complained UCC
- d. Unique reference number

- e. Text as captured during the registration of complaint
- f. Reference number mentioned in complaint, if any.

2. By OAP, after investigation

- a. Unique reference number
- b. Date and time of receipt of complaint
- c. Date and time (if reported by the complainant) of UCC
- d. Complainant Number
- e. Header/number from which UCC is received
- f. TAP name
- g. TAP Service area
- h. Date of UCC referred to OAP
- i. UCC TYPE (Voice or SMS)
- j. Description of UCC
- k. CDR status (Matched/Not Matched)
- l. Action Taken
- m. Remarks

Section V. Consequence management

1. In case of UCC emanating from telecom resources allocated to RTM, VIL may impose suitable and deterrent penalty, as per the agreement signed between VIL and RTM.

Section VI. Amendment to CoP

This CoP can be amended by VIL at any given point in time subject to following:

- a) It is understood that CoPs stipulate various requirements which are interlinked with CoPs of other TSPs as well. Considering the same, wherever the amendment can lead to change in information sharing with other TSP and/or billing, processing etc with other TSP, such amendment should be shared with two weeks advance intimation before actually implementing the same.
- b) Wherever there is any material change for any existing Sender(s) which impacts performance of its obligations, an advance notice of at least 7 calendar days along with changes and its effective date for such existing Sender(s), should be given on their respective registered email-id.

Section VII. Publication of CoP

This CoP may be published by VIL on its website after the implementation of the new systems and processes. Further, on any amendment to the CoP, same may be updated by VIL over its website.

Section VIII. Definitions

The definitions would be as per the definitions contained in TRAI's TCCCP Regulations, 2018.

Section IX. Version History

Sr. No	Version Number	Date Submission of TRAI	Effective Date of CoP	Main/Amendment Number
1	VIL_CoP_Complaints 1.0	17 th October 2018	As per clause mentioned in CoP	Main
2	VIL COP Complaints 1.1	15 th Jan 2021	As per clause mentioned in CoP	Amendment 1
3	VIL COP Complaints 1.2	22 nd Jun 2021	As per clause mentioned in CoP	Amendment 2