

# Complaints and Appeals Policy



## 1. Purpose of this Policy

1.1 To set out the basis on which complaints and appeals will be managed by Andium Homes Limited (“the Company”).

## 2. Scope

2.1 The Policy relates to all the Company’s business activities, the Company’s policies and their application and the activities and decisions made by all colleagues, partners and other agents employed by, or acting on behalf of, the Company.

2.2 A “Complaint” is defined in this policy as a statement from a client or other stakeholder, that a service provided by the company is considered unsatisfactory or unacceptable.

2.3 An “Appeal” is defined in this policy as “an application for a decision to be referred to a higher authority for re-determination”. This will usually occur when a client is not satisfied with the outcome of a Complaint.

2.4 This Policy does not relate to matters which are outside of the remit of the Company, for instance decisions made by the Affordable Housing Gateway.

2.5 This Policy does not relate to matters which are sub-judicial, for instance decisions taken or to be taken by the Courts in relation to evictions.

## 3. Governance Responsibilities

Member	Governance Role
The Board	<ul style="list-style-type: none"><li>Accountable for ensuring that an appropriate Complaints and Appeals Policy is in place that addresses stakeholder complaints and appeals, and for ensuring that an appropriate culture is embedded in the business for managing complaints and appeals.</li><li>In the event of a complaint or appeal about corporate governance, the Board may appoint an external party to investigate the complaint and determine the outcome in accordance with the principles within this Policy.</li></ul>
Chief Executive Officer	<ul style="list-style-type: none"><li>Accountable for ensuring that appropriate arrangements are in place to ensure the appropriate response to complaints and appeals and that a suitable culture is in place that uses the outcome of complaint investigations to inform service improvements.</li></ul>
Policy & Stakeholder Engagement Lead	<ul style="list-style-type: none"><li>Responsible for receiving and acknowledging any Appeals and allocating these to the appropriate Lead to conduct the appeal.</li></ul>
Policy & Stakeholder Engagement Lead	<ul style="list-style-type: none"><li>Responsible for ensuring the development, update and implementation of an approved Complaints and Appeals Policy addressing the business strategic objectives and good practice.</li><li>Responsible for ensuring that an effective management information framework is in place managing complaints and appeals and the continual improvement that can be derived from them.</li><li>Responsible for receiving and acknowledging any complaints not resolved within the service area and allocating these to an appropriate Lead or Head of Service to address the complaint.</li></ul>

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	<ul style="list-style-type: none"><li>• Responsible for ensuring that lessons learned from each complaint are addressed through appropriate continual improvement in the business</li></ul>
Leadership Team & Heads of Service	<ul style="list-style-type: none"><li>• Responsible for reviewing any Appeals as requested.</li><li>• Responsible for ensuring that the Policy is adhered to for all complaints and appeals and for implementing lessons learned and continuous improvement recommendations arising from complaints and appeals.</li></ul>
Leadership Team & Heads of Service	<ul style="list-style-type: none"><li>• Responsible for investigating and responding to complaints in their relevant service area as appropriate.</li></ul>
All Colleagues	<ul style="list-style-type: none"><li>• Responsible for ensuring that they are aware of this Policy, understand and adhere to it, and support the investigation and determination of complaints and appeals.</li><li>• Responsible for addressing complaints where no investigation is required and ensuring the complaint resolved is appropriately documented.</li></ul>

## 4. Policy Principles

- 4.1 All complaints and appeals will be recorded, responded to and / or resolved in a timely manner in line with the Company's complaints handling procedures.
- 4.2 Complainants should include as much detail as possible to enable the complaint investigation. Details such as the date and time of incidents, persons involved as well as the expected resolution or rectification.
- 4.3 Where complaints are considered vexatious or repetitive the Company may decline to investigate the matter and will notify the complainant accordingly.
- 4.4 All formal written complaints and appeals will be acknowledged within 5 working days and substantively responded to in writing within 10 working days of acknowledgment, unless an extension to this has been agreed with the complainant in writing.
- 4.5 Complaints should be made within 3 months from when the incident occurred. Any complaint made after 3 months should be made in writing and should specify the reasons why the complaint was not submitted within 3 months.
- 4.6 Appeals should be made within 1 month of the date of the decision being appealed. Any appeal made after 1 month should be made in writing and should specify the reasons why the appeal was not submitted within 1 month.
- 4.7 All complaint and appeal outcomes should detail any further right of appeal, for example to the Public Service Ombudsman once established, but in all cases the outcome of any subsequent appeal will be a final decision.