



Complaints and Appeals Policy

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Complaints and Appeals Policy



Confidentiality

Not Required

Notice

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Compliance

The following roles in the business must be trained and familiar with the requirements of this Policy:

- Board Members
- Asset Management Team
- Tenancy Services Team

Failure to comply with this Policy may result in performance or disciplinary action.

Version Control

Date	Author	Version	Change Reference
21 st October 2020	CM/ YK / WG	1.0	Board draft
Linked Documents	Colleague Handbook		

Approval

Name	Version	Position	Date
Lindsay Wood	1.0	Finance Director	4 th November 2020
Board	1.0		4 th November 2020

Review

This policy will next be reviewed by the Board in 24 months

Next Review By	4 th November 2022
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1. Purpose of the policy

- 1.1 To set out the basis by which complaints and appeals should be managed by Andium Homes.

2. Scope and Definitions

- 2.1 The policy relates to all of Andium Homes business activities, Andium Homes' 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 "**Service Complaint**" is defined in this policy as a statement that something is unsatisfactory or unacceptable made by a stakeholder with respect to a service being delivered, or in relation to a Colleague or Company Policy or Procedure. A Service Complaint differs from a "**Service Request**", which is where a stakeholder has made a request or re-request for service that may not have been provided for whatever reason, but which the stakeholder does not state as unsatisfactory or unacceptable.
- 2.3 A "**Corporate Complaint**" is defined in this policy as being a Service Complaint, or re-complaint, that has been made by a stakeholder, and which has not, cannot or should not be resolved by the Colleague responsible for addressing the complaint.
- 2.3 An "**Appeal**" is defined in this policy as "an application to higher authority for a decision, made by the Company, to be reversed" and would occur when a stakeholder is unsatisfied by the response given to a Corporate Complaint. An appeal should only necessary in practice if this Policy has not been followed correctly, appropriately, or in full.
- 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 The Policy does not relate to matters which are subjudicial, for instance decisions taken or to be taken by the Courts in relation to evictions.

3. Governance Responsibilities

Governance Member	Governance Role
The Board	<ul style="list-style-type: none">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.In the event of a complaint or appeal about corporate governance, the Board may appoint an external party to investigate the complaint and are accountable for determining the outcome in accordance with the principles within this Policy.
Chief Executive	<ul style="list-style-type: none">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 these to inform improved service design, to provide stakeholder reassurance and encourage accountability and transparency.Responsible for receiving and acknowledging any Appeals and allocating these to the appropriate Executive Lead to conduct the appeal. This requirement may be delegated to the Company Secretary.

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Governance Member	Governance Role
Executive Lead – Corporate Services	<ul style="list-style-type: none"> Responsible for ensuring the development, update and implementation of an approved Complaints and Appeals Policy addressing the business strategic objectives and good practice. 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. Responsible for receiving and acknowledging any Corporate Complaints and allocating these to the appropriate Executive Lead or Head of Service to address the complaint.
Other Executive Leads	<ul style="list-style-type: none"> Responsible for implementing lessons learned and continuous improvement recommendations from complaints and appeals in their service areas. Responsible for reviewing any Appeals requested by the Chief Executive.
Head of Internal Control	<ul style="list-style-type: none"> Responsible for receiving and acknowledging Service Complaints and allocating these to the appropriate Head of Service or Colleague with responsibility for the service concerned to address the complaint in line with this Policy. Responsible for ensuring that lessons learned from each complaint are addressed through appropriate continual improvement in the business.
Heads of Service	<ul style="list-style-type: none"> 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.
All Colleagues	<ul style="list-style-type: none"> Responsible for ensuring that they are aware of this Policy, understand and adhere to it, and support the investigation, review and outcome of complaints and appeals.

4. Policy Principles

- 4.1 All complaints and appeals should be recorded, responded to and / or resolved in a timely manner in line with the Company's complaints handling procedures.
- 4.2 Where complaints are considered vexatious or repetitive the responsible person should decline to investigate the matter and shall notify the complainant and the reasons accordingly.
- 4.3 All complaints and appeals should be acknowledged within 5 working days and responded to in writing confirming the course of action to be taken within 10 working days of receipt, unless an extension to this has been agreed with the complainant in writing.
- 4.4 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 any decision of the Chief Executive shall be final from the perspective of the business.

5. Supporting Documents

- 5.1 Complaints and Appeals Handling Procedures (In development)