



Complaints and Compliments Policy and Procedure

This Policy and Procedure can be made available in other languages and formats including Braille and Audio on request.

1.0 Introduction

- 1.1 As a provider of housing, care and support, Pivotal is committed to delivering the best possible service across all areas of the organisation. We recognise that, from time to time, instances may arise where our customers or others feel they have reason to complain or wish to give us a compliment.
- 1.2 When we receive a complaint, we will always aim to resolve it quickly, efficiently and, wherever possible, to the complainant's satisfaction. Compliments will be valued as they help us know when we are getting things right.
- 1.3 In line with our ethos of continually improving our services, complaints and compliments will be used for this purpose, taking into account the need to protect personal data.
- 1.4 Pivotal will inform customers of the Housing Ombudsman Service and how they can use it. We will comply with recommendations made by the Ombudsman.

2.0 Scope

- 2.1 This policy and its attendant procedures apply to customers, external agencies and third-party individuals wishing to make a complaint about any Pivotal service.

3.0 Aims

- 3.1 It is the aim of this document to clearly identify what constitutes a complaint or compliment, acknowledge the importance of both, and set down how we will manage, monitor, record and report on complaints and compliments.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

4.0 Definition of terms

Complaint For the purposes of this policy a complaint shall be defined as *an expression of dissatisfaction*, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual customer or group of customers. The customer does not have to use the word complaint in order for it to be treated as such and any expression of dissatisfaction which cannot be promptly resolved to the satisfaction of the customer should be treated as a complaint.

Service requests

Where these can be promptly addressed to the satisfaction of the customer, they are not a complaint (although it may become a complaint if not dealt with promptly). It is important to recognise the difference between a service request and a formal complaint. If further enquiries are needed to resolve the service request, or if the customer requests it, the issue must be logged as a complaint.

Compliment For the purposes of this policy a compliment is defined as an expression of approval, however made, about the standard of service, actions or action by the organisation, Pivotal colleagues, or those acting on its behalf, affecting an individual customer, group of customers or third party.

Customer For the purposes of this policy a 'customer' includes anyone in receipt of services from us and any other stakeholder, external agency or third-party individual.

Policy

5.0 Accepting a complaint

- 5.1 Pivotal's Lead Officer for Complaints and Compliments across the organisation is Lisa Purchase, the Head of Services.
- 5.2 Pivotal will accept a complaint unless there is a valid reason not to do so.
- 5.3 Pivotal colleagues should be alert to customer dissatisfaction and aware that the customer does not have to use the word 'complaint' in order for it to be treated as such.
- 5.4 Where a service request cannot be reasonably and practicably resolved, it will become a complaint.
- 5.5 All Pivotal colleagues should approach complaints with empathy and a customer focused attitude, listening to, and understanding the reasons for the complaint, and accepting it unless there is a valid reason not to do so.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

- 5.6 Pivotal will work with customers from the outset to ensure that we understand the outcome the customer would like and can manage expectations should that outcome be unrealistic.
- 5.7 Where something has gone wrong Pivotal will acknowledge this and set out the actions it has already taken, or intends to take, to put things right. When taking remedial action we will ensure that no unfairness or detriment results for other customers.
- 5.8 Where a key issue of a complaint relates to the parties' legal obligations, we will clearly set out the obligations of both parties.

6.0 When we will not deal with a complaint under this policy

- 6.1 Where the following instances arise, they will not be dealt with by Pivotal's Complaints Policy and Procedures:
 - a) The issue/situation giving rise to the complaint occurred over 6 months ago (unless related to safeguarding or health and safety matters).
 - b) The matter concerned is not the responsibility of Pivotal.
 - c) Legal proceedings are pending or an insurance claim against us is being made.
 - d) During disputes regarding service charge calculations.
 - e) The complaint relates entirely to services or decisions outside of our control.
 - f) An attempt is made to reopen/reconsider a previously concluded complaint where we have provided a final decision.
 - g) Complaints about a Pivotal colleague (these will be dealt with by their Line Manager and through Pivotal's Disciplinary and Appeals Policy).
 - h) Cases where a colleague wishes to raise a complaint against another colleague (these will be dealt with via Pivotal's Whistleblowing and/or Grievance Policies as appropriate).
- 6.2 On receipt of a complaint we cannot accept, we will respond in writing detailing the reasons for this. A Pivotal customer, or someone acting on their behalf, has the right to challenge our decision using the Housing Ombudsman service.

7.0 How to make a complaint or give a compliment

- 7.1 It is Pivotal policy to offer a range of ways in which a customer can complain or give us a compliment as listed below.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Internally:

- in key working sessions;
- to a Pivotal colleague, Service Manager or to Head Office either verbally or in writing;
- in a house meeting;
- via the Pivotal website at <https://www.pivotalhomes.co.uk/>

External agencies or organisations, stakeholders and third-party individuals can make complaints to us in the following ways:

- verbally, in person;
- verbally, via the telephone;
- in writing (by letter);
- by email;
- via the Pivotal website at <https://www.pivotalhomes.co.uk/>

7.2 Any complaints or compliments about Pivotal colleagues should be addressed in the first instance to their Line Manager.

8.0 Support for customers

8.1 Pivotal will comply with the Equality Act 2010. We will always treat complainants fairly and have regard to reasonable adjustments required by customers making a complaint.

8.2 Pivotal's easy read C&C P&P is available on our website or by asking a member of staff for a hard copy.

8.3 Anyone expressing a difficulty communicating their complaint to us should ask for assistance.

8.4 Any Pivotal colleague who is aware of a communication problem for a customer should offer them assistance or, if preferred by the complainant, signpost them to appropriate, impartial, external support.

8.5 A customer may assign a representative to deal with their complaint on their behalf. In these circumstances, and where it is reasonable and practical, the representative should accompany the complainant to any meetings.

8.6 Compensation decisions will be made in line with Pivotal's Compensation Policy.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Procedure

9.0 Early resolution

- 9.1 Pivotal employees should always aim to achieve the earliest possible resolution of any service request. Resolving a service request in the early stages can often result in increased customer satisfaction and reduce complaints.
- 9.2 At the outset of the investigation, the investigating manager should:
- establish the facts from the customer’s perspective and clarify with the customer the desired outcome;
 - identify from the customer, any further evidence or statements (from others) needed to fully consider the complaint;
 - take urgent action where it is clear that the situation described by the customer requires this (e.g. for health and safety reasons), making immediate recommendations to the Head of Services who is also the Lead Officer for Health and Safety and informing the customer.
- 9.3 Where the above is not possible Pivotal will always seek to resolve complaints as promptly as we can using the 2-stage process set out below.

Stage 1 – Registering and responding to a complaint

In cases where a resident has a legal entitlement to redress Pivotal will still offer a resolution where possible, following legal advice.

In the event that an issue cannot be resolved promptly to the satisfaction of the customer, it must be registered as a complaint and the following steps must be taken (also see the flowchart in Appendix 1):

The colleague receiving the complaint must, within 1 working day of receiving it:

1. Listen carefully to the complainant to achieve a clear understanding of the complaint and what they would like the outcome of their complaint to be.
2. Be clear with the customer about their expectations from the outset and whether the desired outcome is unreasonable or unrealistic.
3. Record the complaint on the central complaints log.
4. Give the complainant a copy of this Complaints Policy and Procedures including Housing Ombudsman contact details.
5. Inform their Line Manager and the Head of Services by priority email that the complaint has been received and the nature of it.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

The Head of Services will:

1. Within 2 working days of receiving it, allocate an appropriate Service Manager to investigate the complaint. Allocation of the Service Manager should be done with consideration of impartiality and any actual or perceived conflict of interest.

The allocated Service Manager will:

1. Acknowledge the complaint in no more than the 2 working days from it being allocated to them, introduce themselves as the Pivotal point of contact for the complainant and outline their understanding of it.
2. Clearly communicate with the customer throughout the investigation process in the timeframes set out in this document, sooner if possible, or in other timeframes agreed with the customer.
3. Investigate the complaint in an impartial way, ensuring the customer and any involved colleague has the opportunity to set out their views on the complaint and inform the Head of Services of their findings.
4. Where the complaint identifies a problem as a recurring issue, consideration should be given to any previous reports if this will help resolve the issue for the customer.
5. Record all relevant information on the Complaints Log as investigations progress.
6. Respond to the complainant as soon as the investigation is completed, and no later than 10 working days from the date the organisation received the complaint setting out:
 - clear reasons for any decisions;
 - references to any relevant policies, procedures, laws and/or good practice where appropriate;
 - outstanding actions and timescales for their completion.
7. If this is not possible, discuss with the Head of Services and, with their agreement, provide an explanation to the complainant and a date by when the stage one response will be received (the date provided should not exceed 20 days from the date the organisation received the complaint). If for some reason, this timeframe will be exceeded an alternative timeframe must be agreed with the customer.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

8. Where residents raise additional complaints during the investigation:
 - these will be taken into account as part of the stage one response if they are relevant and the stage one response has not been issued;
 - if the stage one response has been issued, or it would unreasonably delay that response, the complaint should be logged as a new complaint.

The above process will close Stage 1. If the complainant has completed Stage 1 but remains dissatisfied with the outcome they may appeal.

Stage 2 - Appeal

1. An appeal following the decision made in Stage 1 must be received by a member of the Senior Leadership Team (SLT) no later than 10 working days after the complainant received the Stage 1 response.
2. An appeal will be acknowledged within 3 working days of receiving the appeal. In the acknowledgement letter the following will be stated:
 - their understanding of issues outstanding;
 - the outcomes the resident is seeking;
 - any clarification needed from the customer to enable the appeal to progress.
3. An appeal will be considered and fully responded to within 20 working days of date of receipt of appeal by a member of the SLT, unless there is good reason for not responding within the timeframe.
4. Where a response within the timescale is not possible, a written explanation for this will be provided together with the date by which a response will be received.
5. It is at the discretion of the SLT member to decide whether they will accept an appeal. Where they decide not to accept an appeal the complainant will be provided with an explanation for this, making it clear that the Stage 1 response was final and sign-posting them to the Housing Ombudsman Service.
6. The SLT member's response is final, closes Stage 2 and ends the internal process.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

10.0 Closing complaints

10.1 Pivotal will also close complaints in circumstances where:

- a) the complainant tells us that they are satisfied with the outcome;
- b) the complainant does not want to proceed with the complaint;
- c) no further communications are received from a complainant within 10 working days of a Stage 1 response sent to the complainant;
- d) the matter has resulted in litigation and is now being dealt with by solicitors or a legal hearing has taken place and a judge has made a ruling;
- e) there is nothing more we can do to resolve the matter;
- f) the complainant or their representative acts in an unreasonable or offensive manner and/or refuses to cooperate with our investigations.

11.0 Communicating with a complainant

11.1 Pivotal employees should always take a positive approach to complaints, viewing them as an opportunity for service improvement (also see Appendix 3).

11.2 All communications with a complainant should:

- a) use plain language appropriate to the needs of the complainant;
- b) ensure customers are regularly updated in line with the timeframes in this P&P;
- c) communicate responses on behalf of Pivotal and, where fault has occurred, take responsibility on behalf of the company, not in respect of individuals or contractors employed by the company;
- d) clearly address all points raised in the complaint;
- e) keep the complainant informed even when there is no new information to provide and ensure any extended timeframes are met;
- f) provide relevant, policy, legal and good practice-based reasons for Pivotal's decisions and details of remedial actions;
- g) give information on how to escalate the complaint if dissatisfied with an outcome.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

12.0 Unacceptable behaviour

12.1 We understand that customers may feel upset or frustrated when making a complaint, however there are some behaviours or actions that we consider unacceptable. These include:

- aggressive or abusive behaviour – examples include, but are not limited to threats, physical violence, personal verbal abuse, derogatory and discriminatory remarks, rudeness, inflammatory statements and unsubstantiated or malicious allegations;
- unreasonable demands – examples include but are not limited to demanding responses within unreasonable timescales, refusing to speak to employees who can assist and/or insisting on speaking only to a particular member of staff, repeatedly changing the substance of a complaint or raising unrelated concerns;
- unreasonable persistence – examples include, but are not limited to, persistent refusal to accept decisions or explanations made in relation to a complaint, continuing to pursue a complaint without presenting any new information, making excessive and unwarranted contacts taking up a disproportionate amount of staff time and resources.

12.2 We will always seek to resolve a complaint and appreciate that complaints situations may be frustrating for a customer. However, demonstration of these types of behaviours may result in a complaint not being investigated, escalated and/or any action being taken.

13.0 Recording complaints

13.1 All details of complaints must be logged at every stage of their progress; from the date they are accepted to their conclusion when the outcome is recorded (including any appeal).

The following responsibilities lie with respective Pivotal staff:

Any colleague receiving a complaint must immediately log the details and date it was received on the Complaints and Compliments log, and inform their Line Manager and the Head of Services within 1 working day of receiving it.

The Head of Services will record the name of the Service Manager assigned to deal with the complaint on the Complaints log.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

The Assigned Manager will record all details of the complaint as it is progressed, including details of the investigation, all communications with the complainant, actions taken, people involved in resolving the complaint, relevant reports/surveys, the outcome agreed with the Head of Services, and the Stage 1 response sent to the complainant.

The SLT member assigned the review will record all details of the appeals process and its outcome on the Complaints log.

14.0 Delayed responses to a complaint

- 14.1 We will always endeavour to resolve complaints in as short a timeframe as possible with the aim that delayed responses arise infrequently.
- 14.2 In the event that we are unable to provide a response or resolution to complaints within the timescales set out in this policy and procedures we will contact the customer, explain the reasons for the delay and agree a revised response date with the customer.
- 14.3 If the customer does not wish to agree a revised response date, we will provide them with the Housing Ombudsman’s details to enable them to challenge our reasons for the delayed response.

15.0 Privacy and confidentiality

- 15.1 All Pivotal colleagues must respect the privacy and confidentiality of a complainant and work in line with Pivotal’s Privacy Notice and GDPR Policy at all times.

16.0 Housing Ombudsman Services (HOS)

- 16.1 Complainants have the right to make a formal complaint to the Housing Ombudsman Service (HOS). The HOS may offer to mediate, arbitrate, reject the complaint or make recommendations to Pivotal on how it should address the complaint.

- 16.2 The HOS can be contacted immediately after the customer has received a final response following the Stage 2 process set out in this policy and procedures. The Ombudsman can be contacted at:

Housing Ombudsman Service
PO Box 152
Liverpool
L33 7WQ

Telephone: 0300 111 3000 E-mail: info@housing-ombudsman.org.uk

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Note: For a list of other organisations that may be helpful to complainants see Appendix 2.

17.0 Complaints about anti-social behaviour (ASB)

17.1 Complaints about ASB will be dealt with in accordance with Pivotal's ASB Policy and Procedures and recorded on the ASB register on the P drive.

18.0 Anonymous complaints

18.1 Pivotal will always do the best it can to follow up anonymous complaints, as they may highlight problems that we are unaware of and need to act on.

18.2 We will investigate anonymous complaints about harassment, ASB, health and safety issues, complaints where the complainant fears recrimination or may be easily identified and when the complaint can be substantiated, e.g. by evidence from a third party.

18.3 Other anonymous complaints will be dealt with by the departmental manager at their discretion.

18.4 If a complainant's claims cannot be substantiated, and where we are unable to act due to a lack of evidence, we may refer such information as we have to a more appropriate agency for investigation.

18.5 Pivotal acknowledges that anonymous complaints may sometimes create practical difficulties due to our inability to obtain further information and that this may result in us not being able to take a complaint any further.

19.0 Compliments

19.1 We acknowledge the value of compliments. Feedback is always appreciated and passed on to the SLT as part of the reporting process and to inform best practice.

19.2 Compliments may be given to individual staff, via Line Managers or Head Office on 01202 306070 or via Pivotal's website <https://www.pivotalhomes.co.uk/>.

19.3 When a compliment is received, this should be seen as an indicator that we are providing a high standard of service. Any employee receiving compliments on behalf of Pivotal should ensure that they are passed on to others through the line management process.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

- 19.4 All compliments received from an external source should be logged on the Complaints and Compliments log.
- 19.5 All customers and others affected by the activities of Pivotal are welcome to express satisfaction or appreciation about our services and we will use this feedback to support our learning and continuously improve our services.

20.0 Induction and training

- 20.1 Pivotal will require all new colleagues to familiarise themselves with this policy and procedure document as part of their induction.
- 20.2 Pivotal customers will be informed of this policy and procedure at sign up. Information about how to complain or give a compliment will be included in the customer handbook.
- 20.3 Colleagues will be trained and supported to enable them to resolve pre-complaint expressions of dissatisfaction with service shortfalls informally, and promptly whenever possible. However, where this is not achieved and a matter is escalated, Pivotal will view complaints as a valuable asset with the potential to inform service improvement and improve customer satisfaction.

21.0 Recording and reporting

- 21.1 Pivotal acknowledges that accountability and transparency are integral to a positive complaint handling culture. We will report to our customers and colleagues on wider learning and improvements following complaints.
- 21.2 The investigating Manager or Director who closes the complaint will send a feedback sheet to the customer following closure, to be returned to the Head of Services for the purposes of team training and informing Board Reports on Complaints and Compliments.

Key Performance Indicators

- 21.3 Pivotal will collect data monthly on the following Key Performance Indicators:
 - a) Number of complaints received.
 - b) Number of complaints resolved.
 - c) Number of complaints escalated to Stage 2.
 - d) Number of complaints resolved at Stage 2.
 - e) Number of complaints resolved within the stated timeframes.
 - f) Number of complaints with extended timeframes and residents informed.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

- g) Where extended timeframes were used, was there good reason for this?
- h) Number of complaints resolved to the complainants' satisfaction.
- i) Number of complaints escalated to the HO.

21.4 We will report the above statistics annually to our customers.

22.0 Monitoring and review for service improvement

22.1 Following closure of a complaint, Pivotal will hold a debriefing session with colleagues who have been involved in the process. The focus of this will be to support colleagues and to consider whether lessons can be learned for service improvement.

22.2 Pivotal carries out annual customer surveys. These will include information about how customers can pursue service dissatisfaction as a complaint if they wish to do so.

22.3 Complaints and compliments will be monitored by the Lead Officer for Complaints and Compliments.

22.4 An annual audit and quarterly reports of complaints and compliments including complaints, trends and lessons learned will be undertaken by the Lead Officer for Complaints and Compliments and sent to the SLT.

22.5 Pivotal Boards will receive a quarterly report and an annual audit on Complaints and Compliments from the SLT. This will identify trends, systemic issues, serious risks or areas of improvement for appropriate action.

23.0 Consultation

23.1 All Pivotal policies and procedures go through a series of consultations as part of their development. Pivotal colleagues, customers and stakeholders were consulted as part of the development of this policy and its attendant procedures.

24.0 Review of this policy and procedure

24.1 This policy and the procedures included in it will be reviewed annually by Pivotal's Senior Leadership Team.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Appendix 1

Stages of complaint management

This process does not apply in cases where a colleague wishes to raise a complaint against another colleague, where complaints are made about Pivotal employees, or where formal allegations of misconduct are made against Pivotal employees.

Stage 1 – Registering and responding to a complaint

Within 1 working day of receiving a complaint a colleague should:

1. Ensure a clear understanding and the outcome desired by the complainant and give them a copy of this policy and procedure.
2. Record it on the central log and inform their Line Manager and the Head of Services for their service area by priority email.



Within 2 working days of receiving a complaint the Head of Services for the Service Area should:

Allocate an appropriate Service Manager to investigate the complaint.



Within 2 working days of receiving a complaint the Allocated Service Manager should:

1. Acknowledge the complaint - introduce themselves as the point of contact.
2. Investigate the complaint, maintain the log, inform their Head of Services of findings and respond to the complainant, asap and no later than 10 working days from the date the complaint was received by Pivotal.



Stage 2 – Appeal to a member of the SLT

1. An appeal must be received by a member of the SLT no later than 10 working days after the complainant received the Stage 1 response and acknowledged within 3 working days of receiving it.
2. It will be responded to within 20 working days of date of receipt of the appeal.

An SLT member's response is final, closes Stage 2 and ends the internal complaints process.

Any further appeal must be made to the Housing Ombudsman.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Appendix 2

Some of the external organisations that may be able to provide you with advice and support on making a complaint are listed below.

Area	Organisation
Dorset	Shelter Housing Aid Centre 30 Poole Hill, Bournemouth, BH2 5PS Phone: 03301 733 101 Online advice: https://england.shelter.org.uk/housing_advice
Cornwall	Shelter Cornwall Palace Building, Quay Street, Truro, TR1 2HE Phone: 0344 515 2300 http://england.shelter.org.uk/get_advice/advice_services_directory/cornwall
Gloucestershire	Shelter Gloucester 35 St Michael's Square, Gloucester GL1 1HX Phone: 0344 515 1286
Gloucestershire	Gloucestershire Housing Department Gloucester Law Centre (advice on housing) Phone: 01452 423 492 https://www.gloucester.gov.uk/housing/homelessness/ Adult Social Services – Information, Advice and Support Phone: 01452 426868
Devon	Shelter Devon Ernest English House, Buckwell Street, Plymouth, PL1 2DA Phone: 03301 755 121 Email: devon@shelter.org.uk Website: http://www.shelter.org.uk
Citizens Advice Bureau (CAB)	National advice line: 03444 111 444. (The CAB will advise you on what to do next and whether you should take your complaint to the Housing Ombudsman Service). Search for your local CAB office: https://www.gloucester.gov.uk/housing/homelessness/
Dorset Adult & Community Services	Dorset Adult and Community Services Directorate Colliton Hall, Dorchester, Dorset, DT1 1XJ https://dorset-self.achieveservice.com/service/complaints_compliments_and_feedback
Poole Adult Social Services	Poole Adult Social Services Municipal Buildings, Civic Centre, Poole, BH15 2RU Phone: 01202 123654

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Appendix 3

Good practice for staff managing complaints

- A. Any complaint should be recognised as a potential opportunity for service improvement and approached in a positive way as a learning opportunity.
- B. Complainants should be made aware of this policy and procedure and the Housing Ombudsman service as soon as possible if they are not already aware.
- C. All complaints should be investigated fairly and with an open mind, dealt with on their merits and resolved at the earliest possible opportunity.
- D. The complainant and, if applicable, any staff member who is involved as part of the complaint, must also be given a fair opportunity to set out their position and comment on any adverse findings before a final decision is made.
- E. Information and evidence relating to complaints should be carefully considered, disclosed on a need-to-know basis necessary to investigating the complaint and confidentiality must always be respected.
- F. Any complaint in respect of safeguarding or health and safety should be actioned immediately.
- G. Colleagues should consider whether any notification to another statutory agency is required.
- H. At the appeal Stage 2, consideration should be given to why the complainant remains dissatisfied, whether all aspects of the complaint have been properly resolved, who needs to be kept informed, additional evidence to be gathered, relevant policies and procedures, complaints log/other records, and the anticipated appeal completion date.
- I. Any unacceptable behaviour during the complaints process should be reported immediately to the Line Manager and Head of Services and any restrictions placed on a complainant due to their behaviour recorded.
- J. Where something is found to have gone wrong in respect of Pivotal's service, this should be acknowledged and an apology provided, along with remedial actions explaining what is being done to prevent it from happening again.
- K. When considering remedial action Pivotal should ensure the expectations of the complainant are managed and never promise anything it cannot deliver or that may be unfair to others.
- L. Complaints management should always look beyond the circumstances of the individual complaint and consider systemic issues and whether policy, procedures, process or systems changes could provide wider benefit for all.

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024

Related Pivotal Policies:

Grievance Policy and Procedure

Whistle Blowing and Allegations Against Employee's Policy

Disciplinary and Appeals Policy

Safeguarding of Vulnerable Adults Policy

Safeguarding Children Policy and Procedure

Equality, Diversity and Inclusion

Legislation, regulation and guidance informing this document:

Localism Act 2011

RSH Regulatory Standards

Equality Act 2010

HO Complaint Handling Code

Policy	Complaints and Compliments Policy & Procedure
Policy owner	Joy Kingsbury
Agreed by	Senior Leadership Team
Version	3.0
Issue date	October 2023
Review date	October 2024