



Concerns & Complaints Procedure

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Approved by	

Changes Made	Section	Date
New procedure	All	01 st November 2025

Version Control
Version 1 - New Procedure

Concerns & Complaints Procedure

It is important that we receive feedback from our customers, good or bad, to enable us to continue to do what we do well and to learn and improve where we have failed. The purpose of this procedure is to provide clear guidance to staff about their responsibilities in relation to investigating and resolving complaints. This document sets out the expectations of how to manage complaints, impartially using formalised processes that are fair, free from bias and prejudice and transparent.

This procedure is aligned to the investigation principles of complaint management as set out by the Public Services Ombudsman for Wales.

Useful Resources:

- Link to the reporting portal on the staff app [Caredig Complaints and Compliments - Power Apps](#) (to be updated with new app launching Dec 2025)
- Link to the Policy (to be added)
- Link to training materials (to be added)
- Link to website page

Definitions:

For the purposes of this procedure:

- **‘Staff member’** refers to employees, contractors or any agency acting on behalf of or representing Caredig.
- **‘Investigating Officer’** refers to all employees responsible for investigating concerns and complaints

Role	Step
All	<p>1. Logging a report</p> <p>We receive reports of concern regarding service delivery in a variety of ways and any frontline member of staff may receive the initial report (a report does not need to be made in writing):</p> <ul style="list-style-type: none">• By phone.• In person.• In writing: by letter, email or online report.• Through a third party: friend, support service, Police, MP, Councillor etc <p>Upon receipt of the report of concern, the member of staff receiving the report is to consider if the issue can be resolved immediately and make all attempts to do so.</p> <p>If the concern needs further review, the staff member is to log the report on the Caredig Complaints and Compliments - Power Apps completing all information in Step 1-Logging the Report including assigning to a manager for review.</p> <p>Key principles in communication in Step 1:</p> <ul style="list-style-type: none">• Listen• Empathise e.g. "I'm sorry you felt the need to complain"• Ask the question: "what would you like to happen in order to resolve this for you?" <p>Communicating what happens next: The staff member logging the report will advise the complainant that they will receive an email acknowledging receipt of the concern and the allocated investigating officer</p>

	<p>will be in contact to introduce themselves and discuss the details of the report within 5 working days.</p> <p>Urgent cases such as allegations of serious misconduct are to be escalated immediately to the appropriate Operational Manager / Head of Service.</p>
Operational Manager / Head of Service	<p>2. Review of the Report</p> <p>The Operational Manager or Head of Service are responsible for completing an initial review on the report logged by completing all information in Step 2 in the Caredig Complaints and Compliments - Power Apps</p> <p>The Manager will ensure the data is correct, including reviewing if the case is a Stage 1 (and therefore achievable to get a resolution within 10 working days or Stage 2 and will take no more than 20 working days) and decide as to whether complaint is to be re-assigned for investigation or they will continue to investigate themselves. The staff member responsible for investigating the report will be referred to as the Investigating Officer (IO).</p>
Investigating Officer	<p>3. Investigate the Report - Establish the details</p> <p>Investigation Process Principle: AGREE</p> <p>Best practice is to always contact the complainant to discuss the complaint, that way, you can really understand what is important to them. It is also important at this point to understand what the complainant wants because of the complaint. This will help us to understand what would help solve the problem</p> <p>Process:</p> <p>The IO will contact the complainant to discuss the details of the complaint within:</p> <ul style="list-style-type: none"> • 5 working days <p>The conversation will consist of the following:</p> <ul style="list-style-type: none"> • Establish the exact details, establishing timelines, persons involved and all details • Assess the harm and impact that the complaint has on the person reporting • Asking the complainant what their expected outcome is. Manage the expectations of the complainant by explaining our procedures • Agree next steps and any actions to be taken by either Caredig and/or complainant If deemed necessary • Agree the frequency and method for maintaining contact throughout the course of the investigation • Identify at this point if you will need longer than the Stage 1 or Stage 2 timescales • Identify any potential support needs and arrange a referral <p>Agreed frequency of contact throughout the course of the investigation is to be strictly adhered to and documented in Step 3-Investigate the Report in the Caredig Complaints and Compliments - Power Apps</p>
Investigating Officer	<p>4. Investigate the Report - The Investigation</p> <p>Investigation Process Principle: INVESTIGATE</p> <p>Once you have agreed what the complaint is, you can start planning how you want to</p>

	<p>go about investigating the allegations that have been made. Here, the main part is gathering evidence and that could be from a range of sources. Perhaps you need to scrutinise policies or legislation, you can listen to phone recordings (if completed via ZOOM telephony software) or watch CCTV footage if available. You will need to speak to the staff members named as part of the complaint before you reach your conclusion.</p> <p>Process:</p> <p>The IO should aim to collect the widest variety of evidence for the case which:</p> <ul style="list-style-type: none"> • Is appropriate and relevant • Is cost-effective • Respects confidentiality and is person-centred <p>As a minimum, the IO will:</p> <ul style="list-style-type: none"> • Speak to the staff members named • Review communication that has been shared with the complainant connected to the cause of the complaint e.g. emails and letters • Review systems e.g. Scheduling, Housing Management • Review policies and procedures to ensure compliance • Ensure the investigation is proceeding within the required timescales or agree with the complainant an extension <p>Actions taken throughout the course of the investigation are to be documented in Step 3-Investigate the Report in the Caredig Complaints and Compliments - Power Apps</p>
Investigating Officer	<p>5. Investigate the Report - Making a Conclusion</p> <p>Investigation Process Principle: DECIDE</p> <p>Once you have scrutinised all the evidence, you should decide whether to uphold the complaint or not. Every complaint needs to be resolved and you cannot partially uphold the complaint. It's not often that complaints are about just one thing, but then, you should step back at the end of the complaint and think if you really agree with the main drive of the complaint.</p> <p>A summary of your conclusion is to be documented in Step 3-Investigate the Report in the Caredig Complaints and Compliments - Power Apps</p>
Investigating Officer	<p>6. Investigate the Report - Agree a resolution</p> <p>Investigation Process Principle: RESOLVE</p> <p>This means offering something to the complainant as part of the response to the complaint, and acting on that. This could be paying them a sum of money, or changing a process, or offering them a service. But remember, if you want to offer something a complainant as a result of the complaint, make sure that happens. Good practice again in relation this is to call the complainant afterwards. You can also set timetables with complainants so they know when to expect something and this will avoid further work in the future.</p> <p>Process:</p> <p>The IO will:</p> <ul style="list-style-type: none"> • Consider if compensation is appropriate as per the Compensation Policy • Consider what needs to be done to resolve this specific complaint • Consider if broader review is needed for prevention e.g. process change • Set a reminder to ensure any actions confirmed are completed as promised

Investigating Officer	<p>7. Investigate the Report - Communicate your findings</p> <p>Investigation Process Principle: COMMUNICATE</p> <p>Best practice us to pick up the phone and speak to the complainant. There are many reasons why this is a good idea but above all, it is an opportunity to explain all the work that has gone into the investigation and the steps you have taken to reach a decision. You can also detail what steps will take place after they receive their written outcome and what steps the complainant can take next if they are not satisfied with your response.</p> <p>Process:</p> <p>The IO will send a written (email or letter) response</p> <ul style="list-style-type: none"> • Appendix 1 Stage 1 Outcome Response Template • Appendix 2 Stage 2 Outcome Response Template <p>All communication including attachments and summaries of conversations are to be documented in Step 3-Investigate the Report in the Caredig Complaints and Compliments - Power Apps</p>
Investigating Officer	<p>8. Outcomes & Learning</p> <p>Investigation Process Principle: LEARN</p> <p>Learning lessons is the final step of the process. The whole point of having a complaints process is to improve the service we provide. Therefore, at the end of the complaint, it is very good practice to determine which events led to the complaint itself. Learning will be feed into the Steering Groups to ensure continuous improvement.</p> <p>Process:</p> <p>The IO is to consider;</p> <ul style="list-style-type: none"> • What you believe to be the root cause (the real reason) for the complaint. A useful tool can be found in Appendix 3 The Five Whys • What do you believe could have prevented the complaint • Are there any other specific recommendations you think the Steering Group should consider <p>The IO is document their answers in Step 4-Outcome & Learning in the Caredig Complaints and Compliments - Power Apps</p>
Investigating Officer & Operational Managers, Head of Service & Complaints Steering Groups	<p>9. Persistent Complaints & Unacceptable Behaviours</p> <p>Caredig believes that everyone should have the right to be heard, understood and respected. However, our staff also have the same rights. We, therefore, expect tenants to be polite and courteous in their dealings with us. We will not tolerate aggressive or abusive behaviour, unreasonable demands or unreasonable persistence, including behaviour that is discriminatory on the grounds of any protected characteristic.</p> <p>Caredig recognises that behaviour is not unacceptable just because a person is assertive or determined. There may have been distressing circumstances leading up to a tenant, resident, service user or customer contacting the landlord and people may act out of character. Behaviour may become unacceptable however if it is so demanding or persistent that it places unreasonable demands on the landlord and impacts the level of service that can be offered to others.</p>

	<p>The Investigating Officer is to refer to their line manager for guidance referring to the Managing Unacceptable Behaviours Policy</p>
<p>Operational Managers, Head of Service & Complaints Steering Groups</p>	<p>10. Quality Assurance & Customer Satisfaction</p> <p>Investigation Process Principle: LEARN</p> <p>Process:</p> <p>As part of Caredig's commitment to continuous improvement, the following will be completed by the Operational Managers:</p> <ul style="list-style-type: none"> • Effective Supervision: The Operational Manager will meet with each team regularly to check open cases. The purpose of the meeting is to provide advice, support and share learning. • Customer Satisfaction: Caredig is committed to continuously improving and developing the service we provide to tenants and residents. To do this, it is important that we obtain feedback from our customers telling us what they think about the service they received during the investigation process. Satisfaction Surveys will be sent out at the closure of each case. • The Complaints Steering Group (Operations): This group comprises operational managers from Property Services, Housing and the Business Improvement teams and will meet monthly. The purpose of the group is to review complaints performance data and compliance with Policy and procedure. They will also review/test root cause analysis and lessons learned data to identify/recommend improvements and report to the Complaints Assurance Group. This group will provide updates to operational managers and tenants via the Hub and website • The Complaints Steering Group (Assurance): This group comprises of the Directors for Customers & Communities and Property & Assets and Heads of Service for Housing & Support, Assets & Compliance and Property & Estates. They will meet bi-monthly to discuss the Operational Review Group findings to seek assurance. The outputs will inform future reports to the Leadership Team and to PACE (People and Customer Experience Committee)

Appendix 1 - Stage 1 Outcome Response Template

Re: Outcome of investigation into Concern

I write following the concerns received on the **DATE** in relation to the service you received from Caredig. Thank you for your patience whilst I have looked into the matter.

I will outline the summary of my findings following the investigation of your concerns. As part of my investigation, I have completed the following:

- Confirmed with in our conversation on the **DATE** the areas of concern that will be investigated
- Spoken with all relevant staff including **NAME, TITLE**
- Reviewed all points of communication and documentation

For clarity, I shall address each of your points in turn:

Detail the specific concern:

Title

- Detail what you have done to investigate the concern
- Detail your decision
- If not Upheld, detail why e.g.
 - I have concluded that staff acted appropriately and in accordance with policy and procedures and therefore will not be upholding this portion of the complaint.
- If Upheld, apologise and explain why it happened and what has been agreed to resolve the issue

Example:

Lack of communication is relation to a recent Anti-Social Behaviour report

As part of my investigation, I have reviewed the email inboxes of the staff members concerned and the central info@caredig.co.uk inbox searching for emails from **email** with the topic of ASB and or noise nuisance included in 2025. I have discovered the following:

- An email was sent by you to info@caredig.co.uk on the 23rd April 2025. This email was not correctly recorded and the matter was not raised to your Community Housing Officer for action
- An email was sent by you to info@caredig.co.uk on the 24th May 2025.

This email was not correctly recorded, and the matter was not raised to your Community Housing Officer for action Our procedures are for all reports of noise nuisance, tenants are asked to maintain a log and if possible, use an App called the Noise App to records the incidences. After 2 weeks, the Community Housing Officer will review the evidence and discuss with you the next steps of the investigation.

I can confirm the staff member concerned has not followed the procedures and this has resulted in a lack of investigation and response into your concerns. Due to the above, I have upheld your complaint, and I sincerely apologise for the lack of response. I would like to assure you that the staff member will undergo training and performance management to ensure this does not happen again.

A home visit has now been arranged with your Community Housing Officer to discuss the Anti-Social Behaviour report, **NAME** will be calling to your home on **DATE**

Standard conclusion on every Stage 1 Concern:

Thank you again for sharing your concerns with us. If there's anything you'd like to discuss further or if you need any clarification on the points above, you can contact me directly by email or phone 01792 460192 / 07789740904.

If you are unhappy with the response I have prepared for you, you can request for a Stage 2 Formal Complaint investigation. You can do this by emailing info@caredig.co.uk or calling 01792 460192 or by post to Caredig, 43 Walter Road, Swansea SA1 5PN.

Appendix 2 - Stage 2 Outcome Response Template

Re: Outcome of investigation into a Complaint

I write following the concerns received on the **DATE** in relation to the service you received from Caredig. Thank you for your patience whilst I have looked into the matter.

Please be assured that your experience and wellbeing are being taken seriously, and we are committed to addressing the matter with care and urgency.

I will outline the summary of my findings following the investigation of your concerns. As part of my investigation, I have completed the following:

- Confirmed with in our conversation on the **DATE** the areas of concern that will be investigated
- Spoken with all relevant staff including **NAME, TITLE**
- Reviewed all points of communication and documentation

For clarity, I shall address each of your points in turn:

Detail the specific concern:

Title

- Detail what you have done to investigate the concern
- Detail your decision
- If not Upheld, detail why e.g.
 - I have concluded that staff acted appropriately and in accordance with policy and procedures and therefore will not be upholding this portion of the complaint.
- If Upheld, apologise and explain why it happened and what has been agreed to resolve the issue

Example

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I can confirm the staff member concerned has not followed the procedures and this has resulted in a lack of investigation and response into your concerns. Due to the above, I have upheld your complaint, and I sincerely apologise for the lack of response. I would like to assure you that the staff member will undergo training and performance management to ensure this does not happen again.

A home visit has now been arranged with your Community Housing Officer to discuss the Anti-Social Behaviour report, **NAME** will be calling to your home on **DATE**

Compensation

Detail if Compensation is being offered e.g.

I would also like to extend my apologies to your son; I am aware that he has had to have unplanned time off work to attend *** to discuss the issues. Due to the inconvenience and issues as noted above, I would like to offer you £100 compensation. Please could you confirm if you accept the offer of compensation by emailing me or phoning me directly and I will arrange payment direct to your bank account.

Further Actions to be taken

Detail if process changes are being made as a result of the complaint e.g.

In order to improve the communication going forward, I have amended the application assessment form to include a section specifically on current adaptations to prompt a better conversation and action earlier on in the transfer process and we will ensure staff training for the housing team takes place at the earliest opportunity

Standard conclusion on every Stage 2 Complaint:

Thank you again for sharing your concerns with us. If there's anything you'd like to discuss further or if you need any clarification on the points above, you can contact me directly by email or phone 01792 460192 / 07789740904.

Should you be unhappy with my response you can also contact the Public Service Ombudsman for Wales on 0845 601 0987. You can find more details on their website www.ombudsman-wales.org.uk

Appendix 3 - The Five Whys (A Root Cause Analysis Model)

What is 5 why analysis?



5 why analysis is a technique for finding the root cause of a problem.

The basic idea is this:

Ask yourself "why did this happen" at least five times to find the root cause of a problem.

The goal of this approach is to challenge you to go past your initial assumptions. Oftentimes, what looks like the root cause is actually just a surface issue. To understand the systems or behaviours that led to an outcome, you need to

be sure you've considered each level of the problem.

This technique provides an effective framework to deep dive incidents.

5 steps to follow.

Always start a 5 why root cause analysis by stating the problem that you want to deep dive. Then, proceed to ask yourself why the problem exists five times in a row (at minimum). With each "why," you should get more specific and ultimately closer to understanding what happened.

Here are the basic steps of performing a 5 why incident investigation:

STEP 1: Define the problem. What was the negative result of the workplace incident?

STEP 2: Ask "why" at least five times to narrow down the root cause.

STEP 3: Decide the root cause once you're finished asking "why."

STEP 4: Find a solution to protect employees against the root cause in the future.

STEP 5: Take action to implement your chosen solution and monitor its effectiveness.

The last step is crucial—if you don't follow up on your corrective actions, it's very likely that you'll end up with the same problem again in the future.

Example 1

The Problem: A worker is on a ladder cleaning a window when the ladder slips and he falls, injuring his back.

1st Why: "Why did the ladder slip?" Because it wasn't secured or wasn't fitted with stability devices.

2nd Why: "Why was it not secured or fitted with stability devices?"

Because the worker was only using it for a short time and thought it would be fine. Although he did have a stability device in his van he chose not to use it. He was an experienced worker and had done it this way many times before.

3rd Why: "Why did his company not make sure he was working safely?"

His manager assumed because of his experience he would work safely and so he had not been provided with the usual safety induction on safe use of ladders. He was working remotely from head office so couldn't be supervised all the time.

4th Why: *"Why were periodic checks on working practices not carried out?"*

His manager didn't think that was part of his job and most of their workers worked alone anyway; and finally.

5th Why: *"Why were systems not in place to combat this?"*

Because the company had never trained managers in their health and safety responsibilities. They also had not considered additional monitoring for lone workers and did not have a robust training programme for staff. There was also a lack of communication between workers, their managers and senior management so these things were rarely discussed.

Not his fault. As you can see, by using the five whys method we have moved away from the conclusion that the worker should have taken more care. In fact, the reason the worker fell was because the organisation did not have systems in place to ensure he was using the equipment provided to him.

Example 2

Problem: Employees slipping and falling on ice between the warehouses.

1st Why: 'Why are employees slipping on ice between the warehouses?'

Water from snow and ice melt on the roofs is collecting on the walkway between the warehouses.

2nd Why: 'Why is water from snow and ice melt collecting on the walkway between the warehouses?'

The gutters on both warehouses are not effectively carrying the water to nearby drains.

3rd Why: 'Why are the gutters not effectively carrying water to the nearby drains?'

The gutters are leaking.

4th Why: 'Why are the gutters leaking water?'

The gutters are deteriorated and have never been cleaned, repaired, or replaced since installation over 40 years ago.

5th Why : 'Why haven't the gutters been cleaned, repaired, or replaced since installation?'

There is no maintenance requirement for cleaning, inspection, or repair.