

## Broker CMS FAQ

### How will my business benefit from using CMS?

If a broker is unable to address a micro-business customer's complaint, they should make them aware of their right to raise a dispute with Energy Ombudsman as the designated Alternative Dispute Resolution provider. We refer to this as signposting.

- We're improving your consumer's journey by reducing the number of steps in the process. One of the key features is that you have the chance to repair the relationship with your consumer and build on trust. A resolution agreed between you and the consumer is more genuine than one defined by Energy Ombudsman.
- You have access to the consumer's evidence, giving you better visibility of the dispute. This can help you look at things differently, it's information you may not have seen before and it can help you understand your consumers.
- The consumer can see your evidence, responses and comments on them, creating transparency. We anticipate this will create insightful, emotional data. Your consumers tell us what they think of your company within the safety of the case management system (CMS), and this information is easily shared with you, helping you to drive improvements in your customer service.
- The system gives you the option of Facilitated Complaint Resolution (FCR), which is cheaper, quicker, and better for everyone; avoiding the need for us to adjudicate.

### Is the new system fully GDPR compliant?

- It is. Energy Ombudsman is both 'controller' and 'processor' of the data that's kept in the system. Consent about personal and sensitive information is obtained correctly. It's managed through the process for our scheme members and our consumers.
- The system complies with Subject Access Requests, Right to be Forgotten and Right to Suspend. These are the requirements needed for General Data Protection Regulation 2016/679.
- Please note that evidence you upload will be visible to the consumer.

## How robust is the system security? Is it ISO27001 certified?

- The case management system has been created using 'security by design' principles. The system and its data are hosted on Amazon Web Services Environments. Whilst this does not certify Energy Ombudsman or the application to ISO/IEC 27001:2013 standard, it does enhance the security of the system from third party malicious intent.
- Energy Ombudsman currently operate in line with the ISO/IEC 27001:2013 standards and certification are on our current continual improvement plan.

## Do we need to load or download any software onto our IT network?

- No, the application is web-based and is accessed and supported via web browsers.

## How do I upload and comment on evidence?

- You can upload evidence via the Evidence tab on the system. If a consumer has uploaded a document you agree with, for example their bill, there is no need to upload another version.
- Commenting on evidence is optional, however it is your opportunity to provide your consumer with visibility and your point of view. This can be done via the Evidence tab upon logging in to the new system.
- Please note that evidence you upload will be visible to the consumer.

## What types of file can I upload?

- We can accept the following file types: pdf, csv, txt, doc, docx, xls, xlsx, ppt, pptx, png, gif, jpg, bmp, mov, mp4, mp3, m4a, tif, tiff

## How will we know where the case is up to?

- You have a personalised dashboard that shows all cases and any outstanding actions. You can view case statuses, filter and download this data to effectively manage your workflow.
- The system is capable of sending email notifications. Your notification preferences can be amended by selecting Options in the top left of your dashboard.

## How long do we have to prepare the case?

- You have a total of 18 days. 10 working days to upload your evidence, provide your initial complaint response and four calendar days to review and comment on the evidence. The quicker outstanding actions are completed, the quicker the case will progress.
- Please note, working days end at 17:00 and calendar days end at 23:59.

## How long do we have to respond to the decision?

- You have 14 calendar days to respond to the decision, concluding with either Accept or Appeal. The decision will be available on the Decision tab, where you can respond. An Appeal must include further evidence or highlight an error in the interpretation of the data.