

**Compliance with the Housing Ombudsman's Complaint Handling Code  
Completed Self-Assessment Form December 2021**

	<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>Comments</b>
<b>1</b>	<b>Definition of a complaint</b>			
	Does the complaints process use the following definition of a complaint?  <i>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 resident or group of residents.</i>	☺		
	Does the policy have exclusions where a complaint will not be considered?	☺		
	Are these exclusions reasonable and fair to residents?  Evidence relied upon	☺		Our exclusions are in line with HOS guidance
<b>2</b>	<b>Accessibility</b>			
	Are multiple accessibility routes available for residents to make a complaint?	☺		
	Is the complaints policy and procedure available online?	☺		
	Do we have a reasonable adjustments policy?	☺		
	Do we regularly advise residents about our complaints process?	☺		
<b>3</b>	<b>Complaints team and process</b>			
	Is there a complaint officer or equivalent in post?	☺		
	Does the complaint officer have autonomy to resolve complaints?	☺		
	Does the complaint officer have authority to compel engagement from	☺		

	other departments to resolve disputes?			
	If there is a third stage to the complaints procedure are residents involved in the decision making?	N/A		
	Is any third stage optional for residents?	N/A		
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	😊		
	Do we keep a record of complaint correspondence including correspondence from the resident?	😊		
	At what stage are most complaints resolved?	😊		Currently only have one formal stage. Going forward we have introduced a stage two and will monitor this from the 1.1.2021
<b>4</b>	<b>Communication</b>			
	Are residents kept informed and updated during the complaints process?	😊		
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	😊		
	Are all complaints acknowledged and logged within five days?	😊		
	Are residents advised of how to escalate at the end of each stage?	😊		
	What proportion of complaints are resolved at stage one?	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy
	What proportion of complaints are resolved at stage two?	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy
	What proportion of complaint responses are sent within Code timescales? <ul style="list-style-type: none"> <li>• Stage one</li> <li>• Stage one (with extension)</li> <li>• Stage two</li> </ul>	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy

	<ul style="list-style-type: none"> <li>Stage two (with extension)</li> </ul>			
	Where timescales have been extended did we have good reason?	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy
	Where timescales have been extended did we keep the resident informed?	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy
	What proportion of complaints do we resolve to residents' satisfaction	😊		Measurable from 1 <sup>st</sup> January 2021 under new policy
<b>5</b>	<b>Cooperation with Housing Ombudsman Service</b>			
	Were all requests for evidence responded to within 15 days?	😊		
	Where the timescale was extended did we keep the Ombudsman informed?	😊		
<b>6</b>	<b>Fairness in complaint handling</b>			
	Are residents able to complain via a representative throughout?	😊		
	If advice was given, was this accurate and easy to understand?	😊		
	How many cases did we refuse to escalate?	😊		None
	What was the reason for the refusal? N/A	N/A		
	Did we explain our decision to the resident?	N/A		
<b>7</b>	<b>Outcomes and remedies</b>			
	Where something has gone wrong are we taking appropriate steps to put things right?	😊		
<b>8</b>	<b>Continuous learning and improvement</b>			
	What improvements have we made as a result of learning from complaints? 2019-20	😊		<ul style="list-style-type: none"> <li>Replacing the existing complaints management system to improve the monitoring of the Director's Review stage.</li> </ul>

			<ul style="list-style-type: none"> <li>• Reviewing staff guidance for recording anti-social behaviour and nuisance reports</li> <li>• Reviewing the process for undertaking, recording and communicating with residents on replacement heating programme projects, ensuring residents who do not take part in meetings are consulted and kept informed of key decisions</li> <li>• A trial in Retirement Living to assess effectiveness of using two part-time Court Managers to provide cover arrangements for long term staff absences</li> <li>• Photographs recording condition of empty properties on letting now possible via new Court Manager 'PEBBLEs' tablets</li> <li>• A review of guidance and explanations around projected expenditure relating to the Retirement Living Leaseholder courts sinking fund consultation process</li> <li>• A review of Retirement Living transfer policy for existing residents.</li> <li>• Introducing a series of podcasts for training of Extra Care staff on use of the existing rota system; and plans to replace this system to minimise potential for errors and reduce staff administration time inputting rotas</li> </ul>
	<p>How do we share these lessons with:</p>		<p>a) Residents? Court newsletters, Regional Report</p> <p>b) The board/governing body? We provide an Annual report to the Board and going forward there will be regular reports to the new Extra Care &amp; Retirement Living committees</p> <p>c) In the Annual Report? Going forward the item on complaints in the Annual</p>

				Report will be expanded to cover the lessons learnt.
	Has the Code made a difference to how we respond to complaints?	😊		Yes we have reviewed our policy and procedure and training in light of the new guidance
	What changes have we made?	😊		<ul style="list-style-type: none"> <li>• We have updated the definition of a complaint</li> <li>• We have adopted the new recommended timeframes</li> <li>• We have introduced a two stage complaints process</li> <li>• New template letters and review forms have been developed.</li> <li>• We are making changes to the complaint management system</li> <li>• We have provided briefings for managers and training will commence in January 2021 for front line staff.</li> </ul>

**Key:**

**Green – meets the criteria**

**Amber – currently being implemented**

**Red – does not meet the criteria**