

Housing Ombudsman Complaint Handling Code: Self-assessment form

Compliance with the Complaint Handling Code			
1	Definition of a complaint	Yes	No
	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>		N
	Does the policy have exclusions where a complaint will not be considered?	Y	
	Are these exclusions reasonable and fair to residents? Evidence relied upon (see attached policy)	Y	
2	Accessibility		
	Are multiple accessibility routes available for residents to make a complaint?	Y	
	Is the complaints policy and procedure available online?	Y	
	Do we have a reasonable adjustments policy?		N
	Do we regularly advise residents about our complaints process?		N
3	Complaints team and process		
	Is there a complaint officer or equivalent in post?	Y	
	Does the complaint officer have autonomy to resolve complaints?		N
	Does the complaint officer have authority to compel engagement from other departments to resolve disputes?	Y	
	If there is a third stage to the complaints procedure are residents involved in the decision making?		N
	Is any third stage optional for residents?		N
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	Y	
	Do we keep a record of complaint correspondence including correspondence from the resident?	Y	
	At what stage are most complaints resolved? First		

4	Communication		
	Are residents kept informed and updated during the complaints process?	Y	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?		N
	Are all complaints acknowledged and logged within five days?	Y	
	Are residents advised of how to escalate at the end of each stage?	Y	
	What proportion of complaints are resolved at stage one? • 94.8% including 9.4% resolved informally)		
	What proportion of complaints are resolved at stage two? 5.2%		
	What proportion of complaint responses are sent within Code timescales? Exact records of extended timescales are not kept • Stage one 61.3% (April to Dec 2020) Stage one (with extension) incomplete data • Stage two 62% (April to Dec 2020) Stage two (with extension) incomplete data		
	Where timescales have been extended did we have good reason?	Yes mostly	
	Where timescales have been extended did we keep the resident informed?	Yes mostly	
	What proportion of complaints do we resolve to residents' satisfaction Not recorded. Percentage referred to Housing Ombudsman is:		
5	Cooperation with Housing Ombudsman Service		
	Were all requests for evidence responded to within 15 days?	Yes usually	
	Where the timescale was extended did we keep the Ombudsman informed?	Yes usually	
6	Fairness in complaint handling		
	Are residents able to complain via a representative throughout?	Y	
	If advice was given, was this accurate and easy to understand?	Y	
	How many cases did we refuse to escalate? This is not recorded What was the reason for the refusal? n/a	N/a	
	Did we explain our decision to the resident? n/a		
7	Outcomes and remedies		
	Where something has gone wrong are we taking appropriate steps to put things right?	Y	
8	Continuous learning and improvement		
	What improvements have we made as a result of learning		

	<p>from complaints?</p> <ul style="list-style-type: none"> • Corporate Training on what is a complaint and how to deal from a people, not a complaints process, perspective. • Some teams now have regular cross team meetings to improve communications and complaint handling where complaints involve a number of services e.g. tenancy team and the corporate ASB team • Learning from complaints has been identified as an area of improvement 		
	<p>How do we share these lessons with:</p> <ul style="list-style-type: none"> a) residents? Publication of annual report b) the board/governing body? Publication of annual report and taken to Cabinet c) In the Annual Report? yes 		
	<p>Has the Code made a difference to how we respond to complaints?</p>	<p>Y</p>	
	<p>What changes have we made? An action plan has been drawn up which is an attachment to the report detailing the results of the self-assessment and includes:</p> <ol style="list-style-type: none"> 1. sending draft decisions to residents 2. active engagement of residents in development of complaints procedure. 3. sharing of lessons 		