

## Self-assessment form (Housing Ombudsman Complaint Handling Code)

Compliance with the Complaint Handling Code			
1	Definition of a complaint	Yes	No
	<p>Does the complaints process use the following definition of a complaint?</p> <p><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></p>	Yes	
	Does the policy have exclusions where a complaint will not be considered?	Yes	
	<p>Are these exclusions reasonable and fair to residents?</p> <p>Evidence relied upon: Exclusions are clearly listed within our Complaints policy as detailed below to provide clarity to customers.</p> <p>*All policies that directly affect customers are taken to our Customer Assembly for consultation and feedback prior to publication. This also applies to policies upon review where there are material changes that would impact customers.</p> <ul style="list-style-type: none"> <li>• An initial request for service</li> <li>• An initial request for information</li> <li>• Dissatisfaction with a *policy</li> <li>• Anti-social Behaviour (reports of ASB are managed via our ASB policy and procedure)</li> <li>• Allocation decisions by the local authority – (complainant would be referred to the relevant local authority)</li> <li>• Insurance claims</li> <li>• Complaints by staff in relation to terms and conditions of service</li> <li>• General correspondence from Councillors &amp; MPs not directly related to a complaint</li> <li>• There are legal proceedings concerning the matter</li> </ul>		
2	Accessibility		
	Are multiple accessibility routes available for residents to make a complaint?	Yes	
	Is the complaints policy and procedure available online?	Yes	
	<p>Do we have a reasonable adjustments policy?</p> <p><i>(we do not have a stand-alone reasonable adjustments policy, we have ensured we have included this requirement within our Equality &amp; Diversity Policy Section 5.2 and Concerns &amp; Complaints Policy 6.1 and 6.2)</i></p>	Yes	
	Do we regularly advise residents about our complaints process?	Yes	
3	Complaints team and process		
	Is there a complaint officer or equivalent in post?	Yes	
	Does the complaint officer have autonomy to resolve complaints?	Yes	

	Does the complaint officer have authority to compel engagement from other departments to resolve disputes?	Yes	
	If there is a third stage to the complaint's procedure are residents involved in the decision making?		No
	Is any third stage optional for residents? - n/a	n/a	
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	Yes	
	Do we keep a record of complaint correspondence including correspondence from the resident?	Yes	
	At what stage are most complaints resolved? Stage 1		
4	Communication		
	Are residents kept informed and updated during the complaints process?	Yes	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	Yes	
	Are all complaints acknowledged and logged within five days?	Yes	
	Are residents advised of how to escalate at the end of each stage?	Yes	
	What proportion of complaints are resolved at stage one? <ul style="list-style-type: none"> <li>• O1 – 94.33%</li> </ul>		
	What proportion of complaints are resolved at stage two? <ul style="list-style-type: none"> <li>• O1 21-22 – 5.67%</li> </ul>		
	What proportion of complaint responses are sent within Code timescales? <ul style="list-style-type: none"> <li>• Stage one (within 10 days) – 72%</li> <li>• Stage one (within agreed extension) – 100%</li> <li>• Stage two – 100%</li> </ul>		
	Where timescales have been extended did, we have good reason?	Yes	
	Where timescales have been extended did, we keep the resident informed?	Yes	
	What proportion of complaints do we resolve to residents' satisfaction – O1 – 90.91%		
5	Cooperation with Housing Ombudsman Service		
	Were all requests for evidence responded to within 15 days? <ul style="list-style-type: none"> <li>• YES</li> </ul>		
	Where the timescale was extended did, we keep the Ombudsman informed? n/a		
6	Fairness in complaint handling		
	Are residents able to complain via a representative throughout?	Yes	
	If advice was given, was this accurate and easy to understand?	Yes	
	How many cases did we refuse to escalate? None What was the reason for the refusal? 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?	Yes	
8	Continuous learning and improvement		

	<p>What improvements have we made as a result of learning from complaints?</p> <ul style="list-style-type: none"> <li>• ‘Managing difficult conversions’ training for relevant staff following negative customer feedback</li> <li>• Amendments to customer scrutiny guide to provide additional clarity</li> <li>• Reasonable adjustments policy put in place</li> </ul>		
	<p>How do we share these lessons with:</p> <p>a) residents? <i>Via monthly e-newsletter advising of ‘you said/we did’ and reporting to our Customer Assembly (strategic customer body) on a quarterly basis and utilising to assist them in determining Scrutiny topics.</i></p> <p>b) the board/governing body? <i>Complaints data forms part of information provided at quarterly Performance &amp; Assurance clinic and overview is included in quarterly Operations &amp; Customer Experience report. Reported to Audit and Risk Committee with designated Board member identified as having lead responsibility for complaints</i></p> <p>c) in the Annual Report? – yes contained within 21-22 publication</p>		
	<p>Has the Code made a difference to how we respond to complaints?</p>	<p>Yes</p>	
	<p>What changes have we made?</p> <ul style="list-style-type: none"> <li>• <i>Identified designated ‘Complaints Officer’ – this sits within the Customer Experience Managers’ role.</i></li> <li>• <i>Formal complaint handling training undertaken November 2020 by Customer Experience Manager along with 3 service managers to ensure adequate resource, whilst also ensuring fairness and transparency along with support to customers during the complaints process. In J une 2021 a further 3 managers have been trained to increase capacity and responsiveness to customers.</i></li> <li>• <i>Internal audit of complaints and responses put into place from 1.4.21 to review quality of responses and ensure timescales are fully met.</i></li> <li>• <i>Policy and procedure reviewed and updated in line with amended Code to ensure compliance ahead of 1 October 2022</i></li> <li>• <i>Booked reasonable adjustment training for 16.8.22 to ensure complaint handlers aware of their responsibility and to ensure compliance with new requirements laid down in updated Code.</i></li> </ul>		

Self assessment No.7 – Complaints received Q1 (1.4.22 – 30.6.22)