**Housing Ombudsman Complaint Handling Code:**

**Self-assessment form**

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| **Compliance with the Complaint Handling Code** | | | |
| **1** | **Definition of a complaint** | **Yes** | **No** |
|  | Does the complaints process use the following definition of a complaint?  *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*. |  | **🗸** |
|  | Does the policy have exclusions where a complaint will not be considered? | **🗸** |  |
|  | Are these exclusions reasonable and fair to residents?  Yes  Evidence relied upon  Where legal action is in progress.  Where the problem occurred six months prior to the date of the complaint.  Where there isn’t enough evidence to be able to investigate the matter  Where the association reasonably feels that it has dealt with and resolved the complaint |  |  |
| **2** | **Accessibility** |  |  |
|  | 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? | **🗸** |  |
| **3** | **Complaints team and process** |  |  |
|  | 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? |  | **🗸** |
|  | Is any third stage optional for residents? | **🗸** |  |
|  | 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?  First Stage |  |  |
| **4** | **Communication** |  |  |
|  | 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? |  |  |
|  | What proportion of complaints are resolved at stage two? |  |  |
|  | What proportion of complaint responses are sent within Code timescales?   * Stage one – 90%   Stage one (with extension)   * Stage two – 10%   Stage two (with extension) |  |  |
|  | Where timescales have been extended did we have good reason? | **N/A** |  |
|  | Where timescales have been extended did we keep the resident informed? | **N/A** |  |
|  | What proportion of complaints do we resolve to residents’ satisfaction  N/A – Data not collected |  |  |
| **5** | **Cooperation with Housing Ombudsman Service** |  |  |
|  | Were all requests for evidence responded to within 15 days? | **🗸** |  |
|  | 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? | **🗸** |  |
|  | If advice was given, was this accurate and easy to understand? | **N/A** |  |
|  | 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? | **🗸** |  |
| **8** | **Continuous learning and improvement** |  |  |
|  | What improvements have we made as a result of learning from complaints? Acknowledging complaints on time  Improved record keeping  Defining when complaints are closed  Better communication with complainant |  |  |
|  | How do we share these lessons with:   1. residents?   Residents newsletters, in conversation with residents   1. the board/governing body?   Complaints published on quarterly and in board reports  Reported under Key Performance Indicators   1. In the Annual Report?   Reported under the Key Performance Indicators and ‘you said, we did’ |  |  |
|  | Has the Code made a difference to how we respond to complaints? | **🗸** |  |
|  | What changes have we made?  We will review our complaints policy  We will involve our tenant scrutiny panel in reviewing our complaints policy |  |  |