

Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Section 3.0 – Complaints Policy v.4	The required definition is included in our complaints policy at section 3.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Section 3.0 – Complaints Policy v.4	We treat complaints as per the definition of a complaint (as outlined in section 3.0 of our complaints policy), where an expression of dissatisfaction is treated as a complaint. All colleagues are informed of our complaint procedure and policy as part of their induction.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Section 3.0 – Complaints Policy v.4	A definition of a service request is included within the Complaints Policy in section 3.

1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Section 3.0 – Complaints Policy v.4	All colleagues are informed of our complaint procedure and required to review the complaints policy as part of their induction.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	No		HHA staff understand that when carrying out feedback exercises any expression of dissatisfaction should result in the staff member seeking clarification on whether a complaint is being made and, if so, logging it. However, we need to include a step in our procedure which clarifies that all feedback exercises must include details of the complaints process.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Section 4 – Complaints policy v.4	Section 4 of our complaints policy outlines what would not be considered a complaint.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	No		Section 4 of our complaints policy sets out the circumstances in which a matter will not be considered a complaint, however this section needs to be updated to ensure it is compliant with the code.

2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	No		Section 4 of our policy deals with this subject but it is not fully compliant with the code and must be reviewed.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	No		Section 4 of our policy deals with this subject but it is not fully compliant with the code and must be reviewed.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	No		Section 4 of our policy deals with this subject but it is not fully compliant with the code and must be reviewed.

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Section 5 – Complaints policy v.4	Section 5 of the policy explains the routes that residents can take to make a complaint.
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	No		Section 5 of our complaints policy deals with this subject but must be reworded to ensure it is compliant with the code.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Section 8 – Complaints policy v. 4	Section 8 of our complaints policy explains that we see each complaint as an opportunity to learn and improve our services.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy	Yes	HHA's complaint's policy and an easy read version is published on its website.	

	must also be published on the landlord's website.			
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	No		HHA's policy doesn't currently explain how it will publicise its complaints policy.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Section 1 – Complaints Policy v.4	Section 1 of the policy explains that HHA will accept complaints from resident's representatives.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Section 7 – Complaints Policy v.4	Section 7 of our Complaints Policy outlines residents' rights to access the Ombudsman service. This is also all included in complaints letter templates.

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Section 8 – Complaints Policy v.4	HHA's Housing Manager is the person assigned to take responsibility for complaint handling with support from the Managing Director and HHA's lead member for complaints.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes		HHA's housing manager has access to all staff members including the Managing Director and has autonomy to resolve disputes promptly and fairly.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Section 8 – Complaints Policy v.4	HHA's complaints policy describes its complaint handling culture and outlines how it seeks to learn from complaints.

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints policy v.4	HHA has one complaints policy which is published on its website.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	No		HHA's policy includes a stage called First Response which could be interpreted as Stage 0. HHA will revise this section of the policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Section 6 – Complaints policy v.4	
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	HHA does not currently use third parties to handle complaints.	

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	HHA does not currently use third parties to handle complaints.	
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	HHA’s standard letter templates include a definition of the complaint and clarification of the outcomes which the resident is seeking.	
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Section 4 – Complaints policy v.4 HHA’s letter templates	HHA’s policy explains that any complaints relating to services which the organisation is not responsible for will not be treated as a complaint. HHA’s letter templates remind staff to clarify responsibility where there is any ambiguity.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of 	Yes	Section 6 – Complaints policy v.4	Section 6 sets out the way in which HHA responds to complaints at each stage of the process.

	interest; and d. consider all relevant information and evidence carefully.			
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Section 6 – Complaints policy v.4	Section 6 of the policy outlines how we will deal with scenarios in which timescales need to be extended.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Section 12 – Complaints policy v.4	Section 12 of the policy explains how HHA will meet its responsibilities under the Equality, Diversity & Inclusion.
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Sections 4 & 6 – Complaints policy v.4	Sections 4 & 6 explain the policy exclusions and how HHA will escalate complaints through the stages.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation	Yes	HHA retains full details of each complaint received and holds the data in accordance with its data retention schedule.	

	such as reports or surveys.			
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Providing a suitable and timely remedy is possible at any stage of the process and is the responsibility of our complaints officer.	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Anti-Social Behaviour Policy Unacceptable Behaviour Policy	Both policies set out HHA's approach to managing unacceptable behaviour.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Section 6 - Unacceptable Behaviour Policy	Our Unacceptable Behaviour Policy makes reference to Equality & Diversity within section 6.

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Section 6 – Complaints policy v.4	Section 6 of the policy explains how we respond to complaints and outlines how we seek to resolve complaints the earliest opportunity.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 complies with the code's timescales.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 complies with the code's timescales.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 complies with the code's timescales.

	working days without good reason, and the reason(s) must be clearly explained to the resident.			
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Section 6 – Complaints policy v.4 HHA Letter Templates	Section 6 stipulates the requirements for providing the Ombudsman’s details. HHA letter templates clarify that extension requests must provide the Ombudsman’s contact details.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 clarifies when HHA will respond to complaints and how it will keep residents informed on the progress of resolving outstanding actions.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	HHA Letter templates	Our letter templates specify that all points within the complaint definition must be addressed. Our complaint responses reference policies, guidance and legislation as required.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has	No		We have actively added complaint issues that arise during investigations and conversation and incorporate these into responses. If a response had already been

	<p>been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.</p>			<p>given and Stage One and additional / different complaints arose these would be looked at and documented as a new complaint. However, HHA needs to add sections covering these points to its policy to evidence its approach.</p>
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	HHA letter templates	<p>HHA's letter templates include the information required by the code.</p>

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Section 6 – Complaints policy v.4	Section 6 of the policy set out HHA's approach to complaints escalating to Stage 2.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	No		The timescales within the policy must be amended as they do not meet the code's requirements.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	No		The policy does not explicitly address this point and must be amended.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Section 6 – Complaints policy v.4	Stage 2 complaints are considered by the Managing Director and reviewed by the Lead Member for Complaints
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 complies with the code's timescales.
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 complies with the code's timescales.

	of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.			
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Section 6 – Complaints policy v.4 HHA Letter Templates	Section 6 stipulates the requirements for providing the Ombudsman’s details. HHA letter templates clarify that extension requests must provide the Ombudsman’s contact details.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Section 6 – Complaints policy v.4	The process set out at section 6 clarifies when HHA will respond to complaints and how it will keep residents informed on the progress of resolving outstanding actions.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	HHA Letter templates	Our letter templates specify that all points within the complaint definition must be addressed. Our complaint responses reference policies, guidance and legislation as required.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition;	Yes	HHA letter templates	HHA’s letter templates include the information required by the code.

	<ul style="list-style-type: none"> c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 			
6.20	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	Yes	Section 6 – Complaints policy v.4	<p>Section 6 of the policy sets out the staff members involved in the stage 2 process and all relevant staff members will be involved in investigations.</p>

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	HHA letter templates	HHA's letter templates include a range of solutions which the investigating officer should consider.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	HHA letter templates	When responding to complaints, HHA staff offer remedies which they believe to be appropriate based on the fault which has been highlighted.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must	Yes	HHA letter templates	HHA's response letter require staff to clearly set out the remedies offered and timescales.

	be followed through to completion.			
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	No		HHA staff take HO guidance into account but this is not currently referenced in our policy.

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	No		HHA must produce and present an annual report on performance and service improvement report.
8.2	The annual complaints performance and service improvement report must be	No		HHA must produce and present an annual report on

	reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.			performance and service improvement report.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	No		HHA's policy does not explicitly reference this.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		A review and update of the self-assessment will be undertaken should it be required by the Ombudsman.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	No		HHA's policy does not explicitly reference this.

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Section 8 – Complaints policy v.4	Section 8 of our Complaints Policy outlines how we will adhere to the culture of learning from complaints requirement of the Code.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Section 8 – Complaints policy v.4	Section 8 of our Complaints Policy outlines how we will adhere to the culture of learning from complaints requirement of the Code.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Section 8 – Complaints policy v.4	Section 8 of our Complaints Policy explains how we will report on learning and improvements from complaints.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	No		The Managing Director is responsible and accountable for complaint handling and reviews complaint data to identify themes, trends, risks and potential systemic issues. HHA's procedures need to be amended to reflect this.

9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	HHA has appointed a Member Responsible for Complaints	
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	No		HHA's MRC currently reviews stage 2 complaints but is not involved in reporting. HHA will amend its policy and procedures to reflect this.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.	No		HHA will amend its policy and procedures to reflect the requirements of the code.

9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	No		Whilst HHA's staff understand that they must address complaints in the manner described in code provision 9.8, HHA's policy does not currently reflect this and must be amended.
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