

HOUSING OMBUDSMAN COMPLAINT HANDLING CODE: SELF-ASSESSMENT 2024

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	The code definition is used in the Customer Feedback Policy at 3.3.	
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.		The Customer Feedback Policy covers at 3.6.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	The Customer Feedback Policy covers at 3.7.	
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.		The Customer Feedback Policy covers at 3.7.	

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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.		The Customer Feedback Policy covers at 3.7. TSM perception survey respondents who express dissatisfaction are made aware by Acuity (who undertake the quarterly survey for Acis) of how they can pursue a complaint if they wish to.	
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.		The Customer Feedback Policy covers at 3.3.	

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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.</p> <p>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. 		The Customer Feedback Policy covers at 3.3.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.		Customer Feedback Policy covers at 3.3.	

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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.	Yes	The Customer Feedback Policy covers at 3.2. Can be evidenced by related correspondence.	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	The Customer Feedback Policy covers at 3.3.	
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	The Customer Feedback Policy covers at 3.6 (how to make a complaint) and 3.9 (how we handle complaints).	
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.		The Customer Feedback Policy covers at 3.6. Staff awareness supported via: <ul style="list-style-type: none"> • CIU group members championing with teams • Annual training • “How to” pack and “Must Dos” video on the intranet 	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaint numbers are monitored – see report to Operations Committee + content in Home News Complaints process publicised/accessible: <ul style="list-style-type: none"> • On website • In Home News • Live Chat • MyAcis • Social media 	
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 must also be published on the landlord’s website.	Yes	The Customer Feedback Policy is available on the website and would be provided in hard copy format or alternative format (if assessed as reasonable) on request. At 3.9, it details the two stage process and timescales for responding.	
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	The Customer Feedback Policy covers at 4.1.	
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	The Customer Feedback Policy covers at 3.6.	

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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	Content: <ul style="list-style-type: none"> • On website • In Home News • In Related correspondence • On MyAcis portal • Facebook 	
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	Customer Complaints Coordinator post is well established with the post holder line managed by the Customer Experience Manager Liaison with the Housing Ombudsman is undertaken by the Head of Legal and Governance The Head of Customer Operations is the senior lead person accountable for complaint handling and is responsible for complaints reporting to the Operations Committee at each cycle.	
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	See Customer Complaints Coordinator and Customer Experience Manager job descriptions.	

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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	<p>Complaints are managed within the code timescales as reported to the Operations Committee at each cycle.</p> <p>Learning from Feedback group identifies and manages learning and reports it to the Operations Committee at each cycle.</p> <p>Training – annual/new starter training for all who might handle complaints.</p> <p>“Must Dos” complaints management video for staff on the intranet.</p> <p>Day to day complaints management oversight is resourced through the Customer Complaints Coordinator post.</p>	
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	The Customer Feedback Policy covers at 3.9.	
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.	Yes	The Customer Feedback Policy confirms that there is no Stage 0 or informal complaint categorisation.	

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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	The Customer Feedback Policy confirms a two stage process at 3.9.	
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	The Customer Feedback Policy covers at 3.9. Evidenced by complaints records.	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the code.	Yes	The Customer Feedback Policy covers at 3.9. Records evidence that all complaints are handled in line with the Code.	
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.		The Customer Feedback Policy covers at 3.9.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	The Customer Feedback Policy covers at 3.9.	

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5.8	At each stage of the complaints process, complaint handlers must: 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 interest; and d. consider all relevant information and evidence carefully.	Yes	Covered by the Customer Feedback Policy at 3.9.	
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	Evidenced by One View case notes.	
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	Evidenced by One View case notes + MRI customer information. Referenced at 3.9 of the Customer Feedback Policy.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.		The Customer Feedback Policy covers at 3.3.	

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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 such as reports or surveys.	Yes	<p>All complaint information held in CRM system (One View).</p> <p>Internal Audit undertaken in January 2024 found <i>“Testing a sample of 20 closed complaints we confirmed that in all 20 samples reviewed direct communication was made/ attempted via telephone within two working days of the complaint being recorded. We also confirmed that in all instances a full timeline and documentation was maintained in the One “View system, the complaints had been handled in line with the Customer Feedback Policy. No issues were identified”</i></p>	
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	<p>Resolution/remedies always sought at Stage 1 – evidenced by number of complaints resolved at this stage.</p> <p>The Customer Feedback Policy confirms objectives and intent at 3.9.</p>	
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.		The Customer Feedback policy covers at 3.13.	

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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.		The Customer Feedback policy covers at 3.13.	
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	Resolution/remedies always sought at Stage 1 – evidenced by number of complaints resolved at this stage and within target timescales. The Customer Feedback Policy confirms objectives and intent at 3.9.	
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	Evidenced by One View case records. The Customer Feedback Policy confirms target times at 3.9.	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Evidenced by One View case information and performance reports.	
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 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Evidenced by One View case information. The Customer Feedback Policy confirms target times at 3.9.	

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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.		Intent is covered in the Customer Feedback Policy at 3.9. Evidenced by complaint correspondence.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Evidenced by complaint correspondence. Outstanding actions are tracked by Complaints Coordinator/Customer Experience Manager/Head of Customer Operations via MRI system.	
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	Evidenced by complaint correspondence.	
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 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.	Yes	Evidenced by complaint correspondence. The Customer Feedback Policy covers at 3.9.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: 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	The Customer Feedback Policy covers at 3.9. Evidenced by complaints correspondence.	
Section 6: Complaints Stages - Stage 2				
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	The Customer Feedback Policy covers at 3.9.	
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.	Yes	The Customer Feedback Policy at covers at 3.9. Evidenced by complaints records.	

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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.	Yes	The Customer Feedback Policy covers at 3.9.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	The Customer Feedback Policy covers at 3.9.	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged		The Customer Feedback Policy covers at 3.9.	
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 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.		The Customer Feedback Policy covers at 3.9.	
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.		The Customer Feedback Policy covers at 3.9.	

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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.		Evidenced by complaint correspondence. Outstanding actions are tracked by Complaints Coordinator/Customer Experience Manager/Head of Customer Operations via MRI system.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.		Evidenced by complaint correspondence.	
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; 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.		The Customer Feedback Policy covers at 3.9.	

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6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	The Customer Feedback Policy covers at 3.9.	
Section 7: Putting things right				
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: <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. 		The Customer Feedback Policy covers at 3.9.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.		Customer Feedback Policy covers at 3.9 + Appendix 1 - compensation framework.	
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 be followed through to completion	Yes	Evidenced by related correspondence. Actions proposed by way of remedy are tracked by Complaints Coordinator/Customer Experience Manager/Head of Customer Operations via MRI system.	

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7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.		The Customer Feedback Policy covers at 3.9.	
Section 8: Putting things right				
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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.		Annual report for 23/24 produced to cover Code requirements and was reported to the Board on 4 th June 2024.	.
8.2	The annual complaints performance and service improvement report must be 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.		The annual report for 23/24 was reported to the Board on 4 th June 2024. The Board's response was published as a preface to the report.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in structure.	N/A		Not applicable at this time
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A		Not applicable at this time
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.	N/A		Not applicable at this time
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	Post complaint closure reviews by the Learning from Feedback Group identify learning and any service improvements required.	

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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	Post complaint closure reviews by the Learning from Feedback Group identify learning and any service improvements required and track enaction. Evidenced by content in Annual Report,	
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	Report to the Operations Committee at each cycle. Content in Winter 2024 Home News Complaints information considered by Customer Voice Panel quarterly.	
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.	Yes	Head of Customer Operations is the accountable person.	
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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")		The appointment of Board member Carole Hodson as the MRC was approved at the Board meeting of 4 th June 2024.	

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9.6	<p>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 findings.</p>		<p>The Operations Committee already receives a report on complaint handling performance at each cycle.</p> <p>The MRC will have a monthly review meeting with the Head of Customer Operations and access to additional information as required.</p>	
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> 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. 		<p>a/b - The Operations Committee receives a report on complaint handling performance at each cycle.</p> <p>c - Regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration are reported to the Board at each cycle via the Executive's report.</p> <p>d - Reported to the Board on 4th June 2024. See 8.1/8.2.</p>	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> 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. 		<p>Case closure reviews by Learning from Feedback Group.</p> <p>One View case notes.</p> <p>Customer Feedback Policy covers at 3.9.</p>	