

Self-assessment of compliance with the Housing Ombudsman's complaint handling code			
Category	Question	TCH position August 2020	TCH current position - Dec 2020
Definition of a complaint	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>	Partially at present but the complaints policy & procedure will need to be amended to be fully compliant with the new code.	Yes - the complaints policy & procedure has been amended to be fully compliant with the new code.
	Does the policy have exclusions where a complaint will not be considered?	Yes.	Yes.
	Are these exclusions fair and reasonable to tenants?	Yes, the reasoning behind exclusions is clearly explained where appropriate.	Yes, the reasoning behind exclusions is clearly explained where appropriate.
Accessibility	Are multiple accessibility routes available for residents to make a complaint?	Yes.	Yes. And recent training rolled out to reiterate to all relevant staff
	Is the complaints policy and procedure available online?	No.	Yes - <a href="https://www.tchg.org.uk/how-can-i-make-a-complaint/">https://www.tchg.org.uk/how-can-i-make-a-complaint/</a> or Love Living website - <a href="https://lovelivinghomes.co.uk/">https://lovelivinghomes.co.uk/</a>
	Do we have a reasonable adjustments policy?	To be confirmed if this is referring to the equalities impact assessment. <input type="checkbox"/>	This will be included in the Equality & Diversity policy which is currently under review and will be published by April 2021 <input type="checkbox"/>
	Do we regularly advise residents about our complaints process?	No but the complaints process is clearly detailed on the website.	Area for continuous improvement - need to promote process and lessons learned on regular basis. Limited info on website and in newsletter at present.
Complaints Team & Process	Is there a complaints officer or equivalent in post?	No.	Not at present but Customer Feedback and Information Manager role is currently being recruited to.
	Does the complaints officer have the autonomy to resolve complaints?	Not applicable.	As above - new role will have autonomy Note that current stage 2 process aims to ensure independent process as Stage 2 allocated to Heads of Service not directly involved with service area or initial complaint
	Does the complaints officer have the authority to compel engagement from other departments to resolve disputes?	Not applicable.	As above - new role will have autonomy
	If there is a third stage to the complaints procedure, are residents involved in the decision making?	Not applicable.	N/A
	Is any third stage optional for residents?	No.	N/A
	Does the final stage response set out the residents right to refer the matter to the Housing Ombudsman Service?	Yes.	Yes.
	Do we keep a record of complaint correspondence from the resident?	Yes.	Yes.
At what stage are most complaints resolved?	Stage one.	Stage one.	
	Are residents kept informed and updated during the complaints process?	Yes.	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.	Yes.
	Are all complaints acknowledged and logged within five days?	Yes.	Yes.
	Are residents advised of how to escalate at the end of each stage?	Yes.	Yes.
	What proportion of complaints are resolved at stage one?	From April to June 2020, 53 stage one complaints were received. Two complaints proceeded to stage two meaning over 95% were resolved at stage one.	New CRM reporting system introduced Oct 2020. Reporting currently being produced for Dec 2020. First full quarter reporting will be available end Q4. New process will lead to more comprehensive reporting and more effective analysis.

Communication	What proportion of complaints are resolved at stage two?	From April to June 2020, two stage two complaints were received and resolved at stage two. After stage two, the resident may proceed to the housing ombudsman. To date in 2020-21, no such cases have been recorded meaning 100% were resolved at stage two.	New CRM reporting system introduced Oct 2020. Reporting currently being produced for Dec 2020. First full quarter reporting will be available end Q4. New process will lead to more comprehensive reporting and more effective analysis.
	What proportion of complaint responses are sent within Code timescales? Stage one Stage one (with extension) Stage two Stage two (with extension)	The target timescale to close complaints is 10 working days. From April to June 2020, 53 stage one and two stage two complaints were received. A total of 41% of responses were sent within target timescales. The breakdown between stage one and stage two complaints (including with extensions) is currently unknown.	New CRM reporting introduced Oct 2020. Reporting currently being finalised for Dec 2020. First full quarter reporting will be available end Q4. New process will lead to more comprehensive reporting and more effective analysis
	Where timescales have been extended, did we have good reason?	Yes.	Yes.
	Where timescales have been extended, did we keep the resident informed?	Yes.	Yes.
	What proportion of complaints do we resolve to residents' satisfaction?	Unknown, we only have data which indicates whether a complaint was upheld or not.	Unknown, we currently only have data which indicates whether a complaint was upheld or not. Monthly satisfaction surveys will resume in April 2021 and include this info. CF&I manager will also carry out research for sample of Stage 1 and all Stage 2 complaints to establish areas for improvement/what else could be done
Coordination with the Housing Ombudsman Service	Were all requests for evidence responded to within 15 days?	No.	No.
	Where the timescale was extended, did we keep the Ombudsman informed?	Yes.	Yes.
Fairness in complaint handling	Are residents able to complain via a representative throughout?	Yes.	Yes.- clearly outlined in policy
	If advice was given, was this accurate and easy to understand?	Yes.	Yes- but CF&I role will measure this
	How many cases did we refuse to escalate?	Currently unknown as CRM cannot provide this data but a manual spreadsheet has now been created to record if stage two requests get escalated and to whom (e.g. the housing ombudsman).	Info is measured manually - spreadsheet has now been created to record if stage two requests are accepted and then if they get escalated beyond our process and to whom (e.g. the housing ombudsman).
	What was the reason for the refusal?	As above.	As above. Stage 2 process independent from Stage 1
	Did we explain our decision to the resident?	Yes.	Yes - quality of these responses will be measured by CF&I manager
Outcomes & remedies	Where something has gone wrong are we taking appropriate steps to put things right?	The complaints process is resolution focussed and designed to put things right when they go wrong. Theoretically CRM looks at lessons learned and can pull out reporting trends.	The complaints process is resolution focussed and designed to put things right when they go wrong. New CRM process supports improved analysis of lessons learned and can pull out reporting trends.
Continuous learning and improvement	What improvements have we made as a result of learning from complaints?	The complaints policy & procedure has recently been simplified and revised to ensure it is more resolution focused. Specialist complaints training has also been provided for staff.	The complaints policy & procedure has been simplified and revised to ensure it is clearer and more resolution focused. Specialist complaints training provided for all relevant staff- (September 2020). Work underway on 'closing the circle' and ensuring that messages about how we've reviewed services and changes made as a result of complaints are clearly promoted to residents, staff and Board
	How do we share these lessons with a) Residents? b) The board/governing body? c) In the annual report?	a) Via the tenant newsletter as a general theme but no specific examples b) Through regular updates by the regional operations manager c) The 2018-19 annual report summarised version contained numbers of complaints but no learning outcomes. The full version referred to learning tools to inform and improve future services but did not include actual examples.	a) Via the tenant newsletter and website but more work needed to ensure regular, clear examples are published b) Through regular updates by the regional operations manager c) The 2019-20 annual report articles contain complaints performance data and some learning from complaints info, this can be built upon to provide more comprehensive info.

	Has the Code made a difference to how we respond to complaints?	The complaints policy & procedure will be reviewed against the new code and amended as necessary.	The complaints policy & procedure has been reviewed and amended to fully reflect the requirements of the code and delivered training to all relevant staff
	What changes have we made?	This self assessment process seeks to identify the changes required.	We have updated the complaints policy, procedure, monitoring and reporting process. We are currently recruiting to the Customer Feedback & Information Manager role to address some of the other areas where we feel we can improve