

Housing Ombudsman Complaint Handling Code: Self-assessment form (Revision 1 October 2020)

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>	√	
	Does the policy have exclusions where a complaint will not be considered?	√	
	<p>Are these exclusions reasonable and fair to residents?</p> <p>Evidence relied upon</p> <p>The new policy launching on the 1st January 2021 has been developed in full consultation with customers. Customers have had an opportunity to feedback on areas of the policy and there was no adverse feedback in regard to complaint exclusions. The Complaint Handling Code was also utilised to shape the new policy to ensure that all guidance on exclusions was incorporated at the development stage.</p>	√	
2	Accessibility		
	Are multiple accessibility routes available for residents to make a complaint?	√	
	<p>Is the complaints policy and procedure available online?</p> <p>The current complaints guide is available online. The website will be updated in line with the new policy launching on the 1st January 2021 and is being developed with the customer consultation group to ensure that the information available is customer friendly and fully accessible.</p>	√	
	<p>Do we have a reasonable adjustments policy?</p> <p>This will be developed and forms part of the ongoing work in the Complaints Improvement Plan. We will aim to submit to the Homes and Places Committee in January 2021.</p>		√
	<p>Do we regularly advise residents about our complaints process?</p> <p>Customers are advised about the process when they log a complaint and are also sent a copy of the complaints guide.</p>		√

	However, we recognise we can improve our website and how we communicate with customers about our complaints process on a more regular basis – for example through newsletters etc. - in order to be more transparent. This will be done through the Complaints Improvement Plan.		
3	Complaints team and process		
	Is there a complaint officer or equivalent in post? There is a Customer Resolution Lead and a Customer Resolution Advisor who form the Complaints Team. Complaints Officers are available in their respective teams and undertake complaints investigations.	√	
	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? There is a two stage process at Yorkshire Housing	N/A	
	Is any third stage optional for residents? There is no third stage in our process. At this point the complainant would be referred to the Housing Ombudsman.	N/A	
	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? The majority of complaints are resolved at Stage 1 (90% in October 2020).		
4	Communication		
	Are residents kept informed and updated during the complaints process? We are working on a complaints improvement plan and a significant part of this involves the development and introduction of a tiered training and awareness plan. We are also developing and aligning processes to the new policy in time for the 1 st January launch. There is currently no consistent data demonstrating that we always keep residents informed and updated during the complaints process. However this will improve with the introduction of the above and will be monitored through our Customer Complaints Forum and customer satisfaction measures.		√

	<p>Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?</p> <p>As above not currently, but this will improve with Complaints Improvement Plan and built into internal processes.</p>		√
	<p>Are all complaints acknowledged and logged within five days?</p> <p>Complaints are logged on the same or next working day, and acknowledged within 2 working days.</p>	√	
	<p>Are residents advised of how to escalate at the end of each stage?</p>	√	
	<p>What proportion of complaints are resolved at stage one?</p>	90%	
	<p>What proportion of complaints are resolved at stage two?</p>	10%	
	<p>What proportion of complaint responses are sent within Code timescales?</p> <ul style="list-style-type: none"> • Stage one Stage one (with extension) • Stage two Stage two (with extension) <p>We will ensure that as part of the Complaints Improvement Plan, we measure this going forward.</p>	<p>100 %</p> <p>100 %</p>	
	<p>Where timescales have been extended did we have good reason?</p> <p>Yes, there was good reason. However the reasons for extension have now been included in the new policy, so from the 1st January this will be more prescriptive and will have to be approved by the Complaints Team.</p>	√	
	<p>Where timescales have been extended did we keep the resident informed?</p>	√	
	<p>What proportion of complaints do we resolve to residents' satisfaction</p> <p>This is not currently measured. From January 2021 this will be measured through transactional customer surveys.</p>		√
5	Cooperation with Housing Ombudsman Service		
	<p>Were all requests for evidence responded to within 15 days?</p>	√	
	<p>Were the timescale was extended did we keep the Ombudsman informed?</p>	√	
6	Fairness in complaint handling		
	<p>Are residents able to complain via a representative throughout?</p>	√	

	Yes, this is in the policy and has been updated to be more concise in the new policy.		
	Where steps are taken to manage expectations regarding legal obligations, was the information given accurate and was it delivered in a way that was easy for the resident to understand?	√	
	How many cases did we refuse to escalate? No cases were refused. 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? The introduction of the Complaints Improvement Plan, a review of the Policy and processes, and the introduction of the Customer Complaints Forum.		
	How do we share these lessons with: a) residents? Through 'you said, we did' feedback on the YH website and through customer newsletters and videos (from January 2021). b) the board/governing body? Through the complaints annual Board report. c) In the Annual Report? Via statistics and pictorial images. From 2021 we will be developing a customer annual report video.		
	Has the Code made a difference to how we respond to complaints?	√	
	What changes have we made? We have fully revised the complaints and compliments policy to align with the Code in all aspects. We are aligning all processes, reviewing all letter templates, and introducing a tiered training and awareness programme across the whole business. We have		

	also established a customer complaints forum to drive service improvements from lessons learnt, and are developing an ongoing Complaints Improvement Plan to ensure that the customer is at the heart of our approach to complaints and to develop a positive complaints culture.		
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