

Appendix B – Self-Assessment Form

This self-assessment form should be completed by the complaints officer and discussed at the landlord’s governing body annually. Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory ‘must’ requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

Section 1 - Definition of a complaint

Mandatory ‘must’ requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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 organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.</i>	Yes	Complaints Policy Page 1: “Complaint – A complaint is an expression of dissatisfaction about the standard of services, actions or lack of actions by CHADD or those acting on their behalf – affecting an individual or group of customers
1.3	The resident does not have to use the word ‘complaint’ for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord’s complaints policy.	Yes	The policy states page 1: The Customer (or the person complaining on their behalf) does not have to use the word complaint in order for it to be treated as such The complaint does not have to be received in writing
1.6	... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.	Yes	The policy states page 3: Colleagues should work with their Manager and customer to resolve and record any issues and actions, putting things right is the first step to repairing and rebuilding our customer relationship. We also have a specific log form to use to log complaints which is an appendix to the complaint’s procedure.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	This is within the complaints policy page 2: Accept complaints in any way the customer prefers (unless there is a valid reason not to)

1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	<p>The Policy states page 2: <u>Complaints are not covered by this process where:</u></p> <ul style="list-style-type: none"> • The issue occurred over six months ago, unless there are exceptional circumstances (Safeguarding or H&S as an example). If it is a recurring issue, we will consider any older reports as part of the background to the complaint if this will help to resolve the issue • There are legal proceedings already in place • The issue is already being dealt with through another process (i.e. appeals or Anti-Social Behaviour) – there will be an exception if we fail to resolve through the alternative process
1.9	If a landlord decides not to accept a complaint, a detailed 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.	Yes	The policy states page 3: If a complaint is not accepted – we will provide a written response explaining in detail the reasons why complaint has not been accepted and include contact details for the Ombudsman, as customers have a right to question the decision.

Best practice ‘should’ requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a service request , where a resident may be unhappy with a situation that they wish to have rectified, and a complaint about the service they have/have not received.	Yes	<p>Page 3 states: CHADD recognises a service request is when a customer is unhappy with a situation that they want to have resolved. CHADD works on the basis that wherever possible, complaints are best dealt with directly with the customer and those providing the service at a local level. The complaints log includes recording what stage the complaint is. The procedure has been reviewed and a new log created – Policy updated. Owner of log identified</p>
1.5	Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint	Yes	When CHADD receives feedback from tenant satisfaction surveys and the transactional satisfaction surveys, they are dealt with as a service enquiry, rather than a complaint, where possible. However, where a

	if they wish to.	<p>matter cannot be resolved it will be treated as a complaint and referred to the complaints process.</p> <p>Wording to confirm this has been added to the next survey due Feb – Mar 2023.</p>
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Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	The policy states: Accept complaints in any way the customer prefers. This can be by telephone, via email, by meeting with a worker or in writing. It is also in the Tenants Handbook and on the Chadd website.
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	We have an easy read version of the policy. Website includes ways to complain, who to and Ombudsman details. Language Line is also available Improvement Action: On request complaints policy can be provided in other languages. This is to be added to the new website.
2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	The Chadd website has sections: What is a complaint? What to do if you have a complaint? What to do if you are not happy with the outcome of the complaint?

2.5	<p>Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs.</p> <p>Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.</p>	Yes	<p>Page 1 states: CHADD complies with the Equality Act 2010 and understands some customers may have difficulty communicating their complaint to us or participating in the complaints process. In such circumstances we will always make reasonable adjustments to enable and empower the customer.</p> <p>Same as previous response</p>
2.6	<p>Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.</p>	Yes	<p>Improvement Action: Copies of this information printed and placed at schemes. Information to be added to new website 30th Jan 2023.</p>
2.7	<p>Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.</p>	Yes	<p>This is on the website and it is in the tenant's handbook. Local scheme information. And in complaints response letters. The website is currently being updated.</p> <p>The complaints procedure also includes Ombudsman contact details under section 6.</p> <p>We will also do a section on complaints in the newsletter Jan 2023. One month of the year will be Complaints month (November) to raise awareness.</p>
2.8	<p>Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.</p>	Yes	<p>Tenants are made aware of this option, though are encouraged to go through the complaints process first as their issues can often be resolved more quickly. The details are in the handbook and on the website</p> <p>Page 3 states at first/informal stage: Even at this early stage, regardless of whether the complaint escalates provide the service user with information on the Housing Ombudsman Service, as they have a right to access the service for any information or advice at any time, not just if they're not happy with the outcome.</p> <ul style="list-style-type: none"> • Home - Housing Ombudsman (housing-ombudsman.org.uk) • 0300 111 3000. • The Housing Ombudsman's Complaint

			<p>Handling Code (housing-ombudsman.org.uk)</p> <p>We will be launching an event in relation to the updated policy in line with the completed assessment. This will include training and presentations</p>
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Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.2	Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained.	Yes	<p>New section (2) added on page 3:</p> <p>Complaints via social media</p> <p>We accept complaints in any way that suits the customer, and this includes our social media, CHADD are active on Facebook @CHADDHousing and Twitter @CHADD1979.</p> <p>Individual colleagues may also have individual social media accounts connected to work, some service may have local Facebook groups to connect with their service users and local community.</p> <p>When responding to complaints received on social media, be mindful of data protection, thank the customer for their comments and ask them to contact you via direct message so that we can deal with their situation privately and in confidence. Colleagues who are less experienced on social media should seek advice if they notice anything that needs responding to, a public post can easily happen in mistake if someone is not used to a particular social media platform.</p>

Section 3 - Complaint handling personnel

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.1	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	Yes	Complaints are directed to the head of service who report to CEO, and board. This is the Head of Supported Housing. If the complaint is about that person, another Head of Service will lead.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	Same as previous response

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	Complaint handlers should: <ul style="list-style-type: none"> • be able to act sensitively and fairly • be trained to handle complaints and deal with distressed and upset residents • have access to staff at all levels to facilitate quick resolution of complaints • have the authority and autonomy to act to resolve disputes quickly and fairly. 	Yes	The Heads of Service have experience and will refer a complaint to another member of staff or CEO where appropriate. Improvement Action: It's not just heads of service who deal with complaints. Staff need training at frontline level if we aim to resolve quickly. Training for frontline staff to be rolled out Feb 2023.

Section 4 - Complaint handling principles

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure within five days of receipt.	Yes	There is no pre-complaint process however, services are encouraged to resolve issues informally before they become complaints wherever possible. Our internal procedures and require us to acknowledge a complaint within five working days, but it is usually acknowledged within two working days.
4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	Appendix 1 of the policy is a diary/recording form for complaints and includes information on: <ul style="list-style-type: none"> • Description and understanding of complaint • Outcome required by the complainant • Signed for accuracy by complainant Page 5 of policy: Appendix 1 – complaints record; a separate form that colleagues can use to log the complaint, investigation and outcomes in one place, this tool also supports us to record a true reflection of the complaint and desired outcome, which is then signed in agreement by the complainant.
4.6	A complaint investigation must be conducted in an impartial manner.	Yes	Page 2 Sec 1 – how we manage complaints includes: <ul style="list-style-type: none"> • Complaints are dealt with promptly, fairly and sensitively with due regard to the upset and worry that they can cause to those involved • Complaints should be investigated impartially, that might mean a colleague from a different service managing the complaint

<p>4.7</p>	<p>The complaint handler must:</p> <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	<p>Yes</p>	<p>Page 2 states:</p> <ul style="list-style-type: none"> • A named person (complaints handler) is always responsible for the administration of the procedure and will deal with the complaint on their own merits • Complaints are dealt with promptly, fairly and sensitively with due regard to the upset and worry that they can cause to those involved • Complaints should be investigated impartially, that might mean a colleague from a different service managing the complaint so that they can be more independent, open minded and able to recognise any conflict of interest • All evidence will be thoroughly explored and considered • We will not promise anything that cannot be delivered or would cause unfairness to others • We should always keep the complainant informed with regular updates and next steps • Final outcomes of any formal complaints are responded to in writing by CHADD <ul style="list-style-type: none"> • All information and data will be treated with confidentiality
<p>4.11</p>	<p>Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication</p>	<p>Yes</p>	<p>Page 2 states:</p> <ul style="list-style-type: none"> • We should always keep the complainant informed with regular updates and next steps, it is best practice at each contact to agree actions and timescales for communicating • At the first contact stage ask the complainant their preferred form of communication • Appendix 1 the complaints record includes a section to note preferred method of communication/contact

4.12	<p>The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to:</p> <ul style="list-style-type: none"> • set out their position • comment on any adverse findings before a final decision is made. 	Yes	<p>Appendix 1 of the policy is a diary/recording form for complaints and includes information on:</p> <ul style="list-style-type: none"> • Description and understanding of complaint • Outcome required by the complainant • Signed for accuracy by complainant <p>Page 1 states - give the complainant an opportunity to feedback on findings before deciding final outcome</p>
4.13	<p>A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint</p>	Yes	<p>A resident can agree an escalation of the complaint if we have failed to respond within stated timescales or have not passed expectations. This timescale is stated in our complaints policy. This resolution timescale is discussed at the point of the acknowledgement stage and is confirmed within the stage one acknowledgement letter, so the customer is aware of the timescales.</p>
4.14	<p>A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.</p>	Yes	<p>Page 3, how we manage complaints section -The complainant has the right at any stage to request that their complaint is escalated, CHADD will not unreasonably deny this request</p>
4.15	<p>A full record must be kept of the complaint, any review 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 reports or surveys prepared.</p> <ul style="list-style-type: none"> • 	Yes	<p>Appendix 1 of the policy is a diary/recording form for complaints and includes information on:</p> <ul style="list-style-type: none"> • Description and understanding of complaint • Outcome required by the complainant • Signed for accuracy by complainant <p>Page 5 of policy: Appendix 1 – complaints record; a separate form that colleagues can use to log the complaint, investigation and outcomes in one place, this tool also supports us to record a true reflection of the complaint and desired</p>

			<p>outcome, which is then signed in agreement by the complainant.</p> <p>We also have a specific log form to use to log complaints which is appendix 2 to the complaint's procedure.</p> <p>Retention process in place for archiving old logs.</p>
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Yes	<p>Page 5 Section 7 -If we experience any behaviour that is deemed unacceptable or unreasonable we will refer to relevant policies to manage this. In the first instance it is best practice to arrange to meet with those involved face to face, we believe this is the most constructive way to have meaningful communication and reach a conclusion that suits all.</p> <p>This is also stated in the tenancy agreement under the section: Unacceptable Behaviour.</p> <p>We have processes in place to manage ASB and breaches of tenancy to include service notice and enforcement action.</p>

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.3	<p>Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic.</p> <p>Policy updated</p>	Yes	<p>The staff member dealing with complaint would be expected to manage the tenant's expectations. All documents should be updated through the process.</p> <p>Page 2 –</p> <ul style="list-style-type: none"> We will ask the complainant (or their representative) what they want the outcome to be We will be clear if the desired outcome is unrealistic and why, we will explore whether an alternative compromise to suit all is an option

4.4	A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required?	Yes	<p>This is set out in the complaints policy. Page 3: Local teams and Managers should work with customer to understand their complaint and aim to resolve it within the parameters of their service contract and any flexibility we have.</p> <p>Colleagues should work with their Manager and customer to resolve and record any issues and actions, putting things right is the first step to repairing and rebuilding our customer relationship.</p>
4.5	Landlords should 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 where this is reasonable.	Yes	<p>Page 2 states we: Accept complaints from a third party acting on behalf of the customer, we will need to ensure we follow data protection guidelines in these circumstances.</p> <p>Section 7 on page 5:</p> <ul style="list-style-type: none"> • If a meeting is arranged the complainant is advised that they may, if they wish, bring a friend, relative, representative, power of attorney, advocate – someone they trust who can support them or help to communicate if needed • Where a customer does not have capacity, we will meet with their representative
4.8	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	Yes	When this arises, we ensure the legal position is made clear.
4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	Page 3 -Colleagues, contractors and those working on behalf of CHADD will not be identified when communicating updates to customers or those dealing with their complaint. If this is required as they have been directly involved we will do this with sensitivity and as and when needed
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	Page 3- <ul style="list-style-type: none"> • We should always keep the complainant

			<p>informed with regular updates and next steps, it is best practice at each contact to agree actions and timescales for communicating</p> <ul style="list-style-type: none"> At the first contact stage ask the complainant their preferred form of communication <p>Section 7 page 5 also supports progress updates through face to face meetings</p>
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	Yes	<p>The policy states on page 5 section 8 Continuous learning and training</p> <ul style="list-style-type: none"> CHADD reviews and self-assesses complaints to determine what can be learned from them (activity and trends). It regularly reviews the complaints procedure to make sure it is working properly and is legally compliant Colleagues are trained to respond correctly to complaints, the process training is included in the induction for new starters and updated as indicated by any changes in the policy and procedures and in the light of experience of addressing complaints We will seek feedback from complainants once the complaint is resolved on anything we could have done better We will report on complaints to our governing bodies <p>Appendix 1 the record form includes a review section:</p> <ul style="list-style-type: none"> Review details, including any lessons learnt for continuous improvement: Actively seek feedback from the customer/complainant on their experience and on any improvements to be made:
4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and	Yes	<p>Improvement Action: This is in progress: To arrange complaint handling training for their front-line staff,</p>

	engaged in the complaints process, including the learning that can be gained		and managers. Needs to be in the policy. Training December – January 2023
4.19	Any restrictions placed on a resident’s contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	We may make the decision to direct where a resident is displaying unacceptable behaviour in reporting matters relating to their complaint. We may decide to appoint a dedicated staff member to manage through the complaint stages. This is to ensure that abusive and unacceptable behaviour is managed.

Section 5 - Complaint stages

Mandatory ‘must’ requirements Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint within 10 working days of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	This is set out in the complaints policy: Stage 1 – page 4 The Head of service will: <ul style="list-style-type: none"> • acknowledge their complaint within 5 working days • enquiries to be made in line with the nature of the complaint and their leadership team with an aim to respond in 10 working days
5.5	A complaint response must be sent 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 expeditiously with regular updates provided to the resident.	Yes	This is set out in the complaints policy. To use appendix record form and cover in training
5.6	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Page 4 stage 1: In final outcome the HoS will respond to all points in the complaint and give comprehensive reasons for any decisions made, referencing the relevant policy, law and good practice where relevant

5.8	<p>Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language:</p> <ul style="list-style-type: none"> • the complaint stage • the decision on the complaint • the reasons for any decisions made • the details of any remedy offered to put things right • details of any outstanding actions • details of how to escalate the matter to stage two if the resident is not satisfied with the answer 	Yes	<p>Policy Page 4 stage 1-</p> <ul style="list-style-type: none"> • the written correspondence will also include: <ul style="list-style-type: none"> - the complaint stage - the decision and the reasons - details of what has been offered to put things right - any outstanding actions and by who - information on how to escalate the matter to stage two if complainant dissatisfied
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Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.9	<p>If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.</p>	Yes	<p>This is set out in the complaints policy page 4 If the customer is not satisfied with the response received in Stage 1, or feels the matter cannot be raised with the relevant Head of, a complaint should be raised with the Chief Executive of the Association</p>
5.10	<p>On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.</p>	Yes	<p>Page 5 stage 2</p> <ul style="list-style-type: none"> • Clarify understanding of the complaint and required outcome if required • give the complainant an opportunity to feedback on findings before deciding final outcome <p>Can also use appendix 1 record form to evidence</p>
5.11	<p>Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.</p>	Yes	<p>This is standard procedure and set out in complaints policy.</p>
5.12	<p>The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.</p>	Yes	<p>The CEO considers stage two complaints (stage 1 is Heads of Service). This is in the Complaints Policy page 4:</p> <ul style="list-style-type: none"> - a stage 2 complaint should be raised with the Chief Executive of the Association

5.13	Landlords must respond to the stage two complaint within 20 working days of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	Our Policy states: Acknowledge receipt of complaint within 5 working days <ul style="list-style-type: none"> Review the case and may decide on further action, which could include appointing a senior member of the team to investigate the complaint Will respond within 20 working days from request – if this is not possible an explanation and a date when the stage two response will be received and this will not exceed a further 10 working days without good reason
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions and <ul style="list-style-type: none"> if the landlord has a third stage, details of how to escalate the matter to stage three if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 	Yes	The policy states: the written correspondence will also include: <ul style="list-style-type: none"> the complaint stage the decision and the reasons details of what has been offered to put things right any outstanding actions and by who information on how to escalate the matter to Ombudsman if complainant dissatisfied No stage 3 in policy

Stage 3

Code section	Code requirement	Comply Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	Yes	Policy has 2 internal formal stages Stage 1 – Heads of Stage 2 – CEO

5.20	<p>Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language:</p> <ul style="list-style-type: none"> • the complaint stages • the complaint definition • the decision on the complaint • the reasons for any decisions made • the details of any remedy offered to put things right • details of any outstanding actions • details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied 	Yes	<p>NA – no stage 3</p> <p>At completion of stage 2, written outcome includes details of external bodies complainant can contact if dissatisfied with outcome given.</p>
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Best practice 'should' requirements

Stage1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	Stage 1 page 4 an aim to respond in 10 working days, if this is not possible, an explanation and a date by when the stage one response should be received. This should not exceed a further 10 days without good reason – total 20 days
5.3	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	Yes	Section 5 of policy gives the details of the Housing Ombudsman.
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	Staff are expected to take into consideration all relevant information including historic records. Page 4 the Head of Service will consider any relevant history, particularly if this is a recurring issue
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has	Yes	Covered in section 4 stage 1 page 4 – heading = further complaints received during investigation.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.14	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	Page 5 stage 2 states CEO will: <ul style="list-style-type: none"> • Acknowledge receipt of complaint within 5 working days • Will respond within 20 working days from request – if this is not possible an explanation and a date when the stage two response will be received and this will not exceed a further 10 working days without good reason and agreed by both sides
5.15	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman’s contact details so the resident can challenge the landlord’s plan for responding and/or the proposed timeliness of a landlord’s response	Yes	Section 5 of policy gives the details of the Housing Ombudsman and on website.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.18	Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint within 20 working days of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.	Yes	No internal stage 3. Outcome of stage 2 includes: information on how to escalate the matter to external independent bodies if complainant dissatisfied (page 5).
5.19	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	Yes	Page 4 at informal local stage states: Even at this early stage, regardless of whether the complaint escalates provide the service user with information on the Housing Ombudsman Service, as they have a right to access the service for any information or advice at any time about any aspect of the process, not just if they're not happy with the final outcome.

Section 6 - Putting things right

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. 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.	Yes	This would be reflected within the Chadds response to the tenant. This is covered by policy
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	This would be reflected within the Chadds response to the tenant. This is covered by policy
6.5	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	This would be reflected within the Chadds response to the tenant. This is covered by policy
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	This would be reflected within the Chadds response to the tenant.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything need to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	Section 7 of policy: <ul style="list-style-type: none"> • CHADD reviews and self-assesses complaints to determine what can be learned from them (activity and trends). It regularly reviews the complaints procedure to make sure it is working properly and is legally compliant • Colleagues are trained to respond correctly to complaints, the process training is included in the induction for new starters and updated as indicated by any changes in the policy and procedures and in the light of experience of addressing complaints • We will report on complaints to our board and relevant committees • We will seek feedback from complainants once the complaint is resolved on anything we could have done better
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	Yes	Legal advice would be sort when dealing with any forms of redress. This is covered by policy.

Section 7 - Continuous learning and improvement

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	Complaints are reported back to the Board and P&S Committee on a quarterly basis. Figures for complaints are reported in the Annual Review. We will also be using the complaint policy as part of tenant consultation this year 2022, and in our annual report.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	Yes	A board member lead for Complaints was appointed in November 2022 and P&S Board Sub-Committee will continue to oversee complaints info and performance.
7.4	<p>As a minimum, governing bodies should receive:</p> <ul style="list-style-type: none"> • Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders • Regular reviews of issues and trends arising from complaint handling, • The annual performance report produced by the Ombudsman, where applicable • Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge. 	Yes	Quarterly Reports to P and S Committee and Annual Reports

7.5	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	Yes	This is covered by the Quarterly Reports
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> • have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments • take collective responsibility for any shortfalls identified through complaints rather than blaming others • act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing. 	Yes	This is covered in the policy

Section 8 - Self-assessment and compliance

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Yes	This is the first annual self-assessment. We will continue to do this annually.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	Same as above
8.3	Following each self-assessment, a landlord must: <ul style="list-style-type: none"> • report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members • publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents • include the self-assessment in their annual report section on complaints handling performance 	Yes	The assessment has been reported to the P&S Committee and main board and was approved. It will be reported annually in our Sept 2023 annual report. It will added to the CHADD website by end of Jan 2023.