



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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The definition of a complaint shall be defined as: An expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by FHA, its own staff, or those acting upon our behalf, affecting an individual tenant, resident or group of tenants or residents.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. In Complaint ref 42 the tenants daughter did not use the word complaint in the initial email but it was clearly an expression of dissatisfaction, so it was treated as a complaint.	The complainant does not have to use the word 'complaint' in order for it to be treated as such. Whenever a resident expresses dissatisfaction, FHA will give them the choice to make a complaint. A complaint submitted via a third party or representative will be checked to ensure it is authentic and permission needs to be given by the resident for FHA to share information with the representative or third party. If they do, the complaint will be handled in line with this policy.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. Service requests such as repairs, reports of Anti-Social Behaviour and issues regarding rent accounts are logged on the Housing Management system, monitored and reviewed regularly.	FHA recognises the difference between a service request and a complaint. A service request is a request from a resident to FHA requiring action to be taken to put something right. Service requests are not complaints, but will be recorded, monitored and reviewed regularly.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. In Complaint ref 43 there was still outstanding service request issues (repairs) which continued to be dealt with while the complaint was dealt with.	A complaint will be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. FHA will not stop efforts to address the service request if the resident complains.
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.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. It is stated on our Survey forms that negative feedback is not automatically treated as a complaint and they should contact us if they wish to raise a complaint.	An expression of dissatisfaction with services made through a survey is not automatically defined as a complaint. This is explained to tenants in survey forms and tenants are advised to contact us should they wish to raise a complaint. FHA reviews all feedback on surveys. Depending on the nature of the negative feedback, Officers may contact the tenant and ask whether they would like to raise a complaint.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. There were no instances of FHA refusing to accept a complaint during 2023/2024.	FHA will accept a complaint unless there is a valid reason not to do so. If FHA decides to not accept a complaint, we will evidence our reasoning. Each complaint will be considered on its own merits.
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. 	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	<p>Exclusions to a complaint being considered will only be:</p> <ul style="list-style-type: none"> • If legal proceedings have been started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. In such instances, Family Housing Association will ensure that the complainant is made fully aware of the legal proceedings being referred to and if possible, keep complainants updated, depending upon the legal advice available. • If the matter being complained about has already been considered under the Complaints Policy.

				<ul style="list-style-type: none"> The issue giving rise to the complaint occurring over twelve months ago, and sufficient and/or reliable information not being available.
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.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will accept complaints made within 12 months of the issue occurring or the tenant becoming aware of the issue, unless it is excluded on other grounds. FHA will consider what information is still available and how reliable that information is to assess whether to accept a complaint outside of this timescale.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	If FHA decides not to accept a complaint, an explanation will 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, FHA will follow the Ombudsman instruction to accept the complaint.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will not take a blanket approach to excluding complaints; we will consider the individual circumstances of each complaint.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. Complaint ref 43 was received by telephone, complaint ref 42 was received by email.	FHA will make it easy for residents to complain by providing different channels through which they can make a complaint. Complaints may be received in person, by telephone, by text, email, letter, FHA's website or via social media. For complaints made via public platforms, FHA will respond privately to respect the confidentiality of the complainant and the content of their complaint. FHA will consider our duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.
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.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	Residents can raise their complaints in any way and with any member of staff. All staff are aware of the complaints process and are able to pass details of the complaint to the appropriate person within FHA.

<p>3.3</p>	<p>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.</p>	<p>Yes</p>	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA only received 5 complaints in 2023/2024. Our high tenant satisfaction levels in the Tenant Satisfaction Survey may demonstrate why we received so few complaints. However, we will not be complacent and will continue to promote our complaints process.</p>	<p>High volumes of complaints are not to be seen as a negative. FHA recognises they can be indicative of a well-publicised and accessible complaints process. FHA recognises that low complaint volumes are potentially a sign that residents are unable to complain.</p>
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<p>3.4</p>	<p>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.</p>	<p>Yes</p>	<p>It is stated in the Complaints and Compliments policy. The policy will be made available on the FHA website.</p>	<p>The Complaints and Compliments Policy, Complaints Handling Code self-assessment, information about the Ombudsman and this code will be on the FHA website and a printed copy available on request. It is promoted in leaflets, newsletters, Annual Report on the FHA website and social media and as part of regular correspondence using plain language. Details of accessing the Housing Ombudsman Service will be made clear.</p> <p>The complaint will be acknowledged, defined and logged at stage 1 of the complaints procedure within and in a maximum of five working days of being received.</p> <p>FHA will issue a full response to stage 1 complaints within 10 working days of the complaint being acknowledged.</p> <p>Stage 2 is FHA's final response.</p> <p>Requests for stage 2 will be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of being received.</p> <p>FHA will issue a final response to the stage two within 20 working days of the complaint being acknowledged.</p>
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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	It is stated in the Complaints and Compliments policy.	The Complaints and Compliments Policy, Complaints Handling Code self-assessment, information about the Ombudsman and this code will be on the FHA website and a printed copy available on request. It is promoted in leaflets, newsletters, Annual Report on the FHA website and social media and as part of regular correspondence using plain language. Details of accessing the Housing Ombudsman Service will be made clear.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. In complaint ref 43 the complaint was dealt with by a family member representing the tenant.	Complainants are able to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with FHA. Permission needs to be given by the resident for FHA to share information with the representative. This is communicated to all complainants.
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	It is stated in the Complaints and Compliments policy. Details about accessing the Ombudsman service and how residents can access engage with the Ombudsman about their complaint is on the FHA website. All letters relating to complaints provides contact details for the Ombudsman.	Throughout the process FHA provides residents with information on their right to access the Ombudsman Service and how the individual can engage with the Ombudsman about their complaint.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The Management Team at FHA take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the Board.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The Management Team have access to staff at all levels to facilitate the prompt resolution of complaints. They also have the authority and autonomy to act 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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA prioritises complaint handling and a culture of learning from complaints. All staff are suitably trained in the importance of complaint handling. FHA recognises that complaints are seen as a core service and are resourced to handle complaints effectively.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. In Complaint ref 43 there was still outstanding service request issues (repairs) which continued to be dealt with while the complaint was dealt with.	FHA has a single policy in place for dealing with complaints covered by this Code. FHA will not treat Residents differently if they complain.
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	There are two stages in the Complaints and Compliments Policy. It is stated in the complaints and compliments policy. All staff received training on 20/06/2024.	As a small housing association, our properties and tenants are all local to the office. FHA recognises early and local resolution of issues between landlords and residents is key to effective complaint handling.
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	There are two stages in the Complaints and Compliments Policy.	
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	Yes	A third party would not handle a complaint. The complaint handler might liaise with a third party as part of the stage 1 or stage 2 response. It is stated in the complaints and compliments policy. All staff received training on 20/06/2024.	FHA would not allow a third party (such as contractor) to handle a complaint. The complaint handler might liaise with a third party as part of the stage 1 or stage 2 response.

	complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	A third party would not handle a complaint. The complaint handler might liaise with a third party as part of the stage 1 or stage 2 response. It is stated in the complaints and compliments policy. All staff received training on 20/06/2024.	FHA would not allow a third party (such as contractor) to handle a complaint. The complaint handler might liaise with a third party as part of the stage 1 or stage 2 response.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. In complaint ref 43 the initial letter sent to the tenant set out our understanding the complaint and asked the complainant to contact us should we have misunderstood anything or missed anything.	When a complaint is logged at stage 1 or escalated to stage 2, FHA will set out our understanding of the complaint and the outcomes the resident is seeking. This is referred to as the complaint definition. If any aspect of the complaint is unclear, the resident will be asked for clarification.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	When a complaint is acknowledged at either stage, FHA will be clear in stating which aspects of the complaint we are, and are not, responsible for and clarify any areas where this is not clear.

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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 interest; and d. consider all relevant information and evidence carefully. 	Yes	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>At each stage of the complaints process, complaint handlers will:</p> <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 interest; and d) consider all relevant information and evidence carefully
5.9	<p>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.</p>	Yes	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>Where a response to a complaint will fall outside the timescales set out in this policy, FHA will agree with the resident suitable intervals for keeping them informed about their complaint.</p>
5.10	<p>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.</p>	Yes	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>FHA make reasonable adjustments for residents where appropriate under the Equality Act 2010. FHA will keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments will be kept under active review.</p>

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has not refused to escalate any complaints in 2023/2024.	FHA will not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. FHA will clearly set out these reasons and comply with the provisions set out in Complaints Handling Code.
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	It is stated in the Complaints and Compliments policy. All staff have been trained. A full record of all complaints are logged on the complaints section of the Housing Management system.	A full record will be kept of the complaint, and the outcomes at each stage. This includes 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.
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	It is stated in the Complaints and Compliments policy. Member of the Management Team have the authority to remedy a complaint without the need for escalation. FHA has a Compensation Policy.	FHA has processes in place to ensure that a complaint can be remedied at any stage of its complaints process. FHA ensures that appropriate remedies can be provided at any stage of the complaints process without the need for escalation.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has an Unacceptable Behaviour Policy.	FHA has an Unacceptable Behaviour Policy for managing unacceptable behaviour from residents and/or their representatives. FHA will evidence reasons for putting any restrictions in place and will keep restrictions under regular review.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has an Unacceptable Behaviour Policy.	Any restrictions placed on contact due to unacceptable behaviour will be proportionate and demonstrate regard for the provisions of the Equality Act 2010.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The complaint handler will consider which complaints can be responded to as early as possible and which require further investigation. They will consider factors such as the complexity of the complaint and whether the tenant is vulnerable or at risk. FHA recognises that some complaints can be resolved promptly and an explanation, apology or resolution provided to the resident.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The complaint will be acknowledged, defined and logged at stage 1 of the complaints procedure within five working days of being received.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will issue a full response to stage 1 complaints within 10 working days of the complaint being acknowledged.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will 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 will be no more than 10 working days without good reason, and the reason(s) will 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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	If any extension is required, FHA will provide the contact details for the Housing Ombudsman.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	A complaint response will 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 will still be tracked and actioned promptly with appropriate updates provided to the resident.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will 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.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	Where residents raise additional complaints during the investigation, they will 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 will be logged as a new complaint.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: • 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 details of how to escalate the matter to stage 2 if the resident is not satisfied with the response

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1 it will be progressed to stage 2 of the complaint's procedure. Stage 2 is FHA's final response.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	Requests for stage 2 will be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of being received.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	Complainants will not be required to explain their reasons for requesting a stage 2 consideration. The complaint handler will make reasonable efforts to understand why the complainant remains unhappy as part of the stage 2 response.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	Stage 2 complaints will be dealt with by a different member of the Management Team to the Officer who handled stage 1.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will issue a final response to the stage two within 20 working days of the complaint being acknowledged.

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.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will 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 will be no more than 20 working days without good reason, and the reason(s) will 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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	If any extension is required, FHA will provide the contact details for the Housing Ombudsman.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	A complaint response will 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 will still be tracked and actioned promptly with appropriate updates provided to the resident.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will 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.

<p>6.19</p>	<p>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.</p>	<p>Yes</p>	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>FHA will confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> • The complaint stage • The complaint definition • The decision on the complaint • The reasons for 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 complainant remains dissatisfied.
<p>6.20</p>	<p>Stage 2 is the landlord’s final response and must involve all suitable staff members needed to issue such a response.</p>	<p>Yes</p>	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>Stage 2 is FHA’s final response and will involve all suitable staff members needed to issue such a response.</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 a 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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has a Compensation Policy.	<p>Where something has gone wrong FHA will 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 a delay • reconsidering or changing a decision • amending a record or adding a correction or addendum • providing a financial remedy • changing policies, procedures, or practices.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has a Compensation Policy.	The remedy offered will reflect the impact on the resident as a result of any fault identified.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has a Compensation Policy.	The remedy offer will clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed will be followed through to completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. FHA has a Compensation Policy.	FHA will take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.

Section 8: Self-assessment, reporting and compliance

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. 	Yes	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. The annual complaints performance and service report will be available on the website.</p>	<p>FHA will produce an annual complaints performance and service improvement report for scrutiny and challenge, which will include:</p> <ul style="list-style-type: none"> a) the annual self-assessment against this Code to ensure our complaint handling policy remains in line with its requirements b) a qualitative and quantitative analysis of FHA's complaint handling performance, including a summary of the types of complaints FHA 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 f) any other relevant reports or publications produced by the Ombudsman in relation to the work of FHA

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 section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. The Board and Customer Panels response to the report will be published on the website alongside the report.	The annual complaints performance and service improvement report will be reported to the Board, Customer Panel and published on the website. The Board's response to the report will be published alongside this.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will also carry out a self-assessment following a significant restructure, merger and/or change in procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024	FHA will review and update the self-assessment following instruction from 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.	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	If FHA is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, we will inform the Ombudsman, provide information to residents who may be affected, and publish this on the website. FHA will provide a timescale for returning to compliance with the Code.

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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA will 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.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	FHA recognises that positive complaint handling culture is integral to the effectiveness with which we resolve disputes. FHA use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024. All complaints are reported to the FHA Customer Panel and Board for scrutiny and review.	Accountability and transparency are integral to a positive complaint handling culture. FHA will report back on wider learning and improvements from complaints to the Customer Panel, Board and staff.
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	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The Chief Executive is accountable for FHA's complaint handling. Through the weekly Management Meetings, they will assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.

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	It is stated in the Complaints and Compliments policy.	Officers will liaise with the Board Complaints Champion or Member Responsible for Complaints ('the MRC'). They have lead responsibility for complaints to support a positive complaint handling culture.
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.	Yes	It is stated in the Complaints and Compliments policy.	The MRC will be responsible for ensuring the Board receives regular information on complaints that provides insight on the landlord's complaint handling performance. The MRC has access to suitable information and staff to perform this role and report on their findings.
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;	Yes	It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.	The MRC and the Board 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

	<ul style="list-style-type: none"> 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. 			<ul style="list-style-type: none"> c) regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings d) the annual complaints performance and service improvement report
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. 	Yes	<p>It is stated in the Complaints and Compliments policy. All staff received training on 20/06/2024.</p>	<p>FHA has 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 c) act within the professional standards for engaging with complaints as set by any relevant professional body