

Housing Ombudsman Complaint Handling Code: Self-assessment form December 2020

Compliance with the Complaint Handling Code			
The following self-assessment is based on all Complaints received from Transform residents dating Apr 2020 to Dec 2020			
1	Definition of a complaint	Yes	No
	<p>Does the complaints process use the following definition of a complaint?</p> <p><i>An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.</i></p>	Yes, stated clearly in Transform's Complaints policy	
	Does the policy have exclusions where a complaint will not be considered?	Yes, stated clearly in Transform's Complaints policy	
	<p>Are these exclusions reasonable and fair to residents?</p> <p>Evidence relied upon</p>	The exclusions have been added to the policy in December 2020 and are in line with the new Ombudsman's Complaint Handling Code, they appear reasonable and fair, however this self-assessment will be carried out on an annual basis every April and the exclusions will be closely monitored based on data from complaints reporting and client feedback.	
2	Accessibility		
	Are multiple accessibility routes available for residents to make a complaint?	Yes, Transform does not require that complaints are put in writing by the complainant as this can act as a	

		<p>deterrent. In particular it has inclusion and diversity implications. Clients or others with limited literacy skills, visual impairment or whose first language is not English may be unable to express their complaint in writing or may lack the confidence to try. Complaints can therefore be made by any of the following means:</p> <ul style="list-style-type: none"> • in person at the local office or if they do not feel comfortable with this they can contact the Area Manager • by telephone • by letter • by email • by completion of a 'feedback and complaints' form <p>In all cases clients have the right to be supported in making their complaint, and to be accompanied by the person providing support in any meetings about the complaint. This could be a social worker, an advocate or a friend. This person can also complain on their behalf</p>	
	Is the complaints policy and procedure available online?	Yes, website amended Dec 2020	
	Do we have a reasonable adjustments policy?	Yes, Reviewed Dec 2020	
	Do we regularly advise residents about our complaints process?	Yes, all clients receiving support from Transform are made aware of the existence of the complaints procedure when they sign their licence or tenancy agreement or their service starts. Their attention is drawn to the section in the client handbook on dealing with complaints and properties with noticeboards have a copy	

		attached. A complaints leaflet and complaints form will be given to the client at sign up along with the handbook or induction pack dependent on the service. The policy and procedure is also easily accessible from our website.	
3	Complaints team and process		
	Is there a complaint officer or equivalent in post?	Yes, Complaints team is made up of Director of Client Services and Head of Business Improvement.	
	Does the complaint officer have autonomy to resolve complaints?	Yes	
	Does the complaint officer have authority to compel engagement from other departments to resolve disputes?	Yes	
	If there is a third stage to the complaints procedure are residents involved in the decision making?		No
	Is any third stage optional for residents?		No
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	Yes, clearly stated in template letters	
	Do we keep a record of complaint correspondence including correspondence from the resident?	Yes, all complaints are recorded in Transform's reporting system which includes an action log and lessons learnt section	
	At what stage are most complaints resolved?	2020 / 21 - Stage 1 100%	
4	Communication		
	Are residents kept informed and updated during the complaints process?	Yes, via acknowledgment and Stage letters and via keywork and informal contact with keyworker outside of structured keywork	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	Yes, via acknowledgment and Stage letters and via keywork and informal contact with keyworker outside of structured keywork	
	Are all complaints acknowledged and logged within five days?	Yes, as per policy and acknowledgement letter	

	Are residents advised of how to escalate at the end of each stage?	Yes, as per policy and acknowledgement letter	
	What proportion of complaints are resolved at stage one?	2020/21 - 100%	
	What proportion of complaints are resolved at stage two?	N/A	
	<p>What proportion of complaint responses are sent within Code timescales?</p> <ul style="list-style-type: none"> • Stage one Stage one (with extension) • Stage two Stage two (with extension) 	2020/21 - 100%	
	Where timescales have been extended did we have good reason?	N/A to date	
	Where timescales have been extended did we keep the resident informed?	N/A to date	
	What proportion of complaints do we resolve to residents' satisfaction	2020/21 - 72% satisfied, 14% unknown due to an anonymous complainant and 14% awaiting feedback from client	
5	Cooperation with Housing Ombudsman Service		
	Were all requests for evidence responded to within 15 days?	N/A to date	
	Where the timescale was extended did we keep the Ombudsman informed?	N/A to date	
6	Fairness in complaint handling		
	Are residents able to complain via a representative throughout?	Yes see 2 above	
	If advice was given, was this accurate and easy to understand?	N/A	
	How many cases did we refuse to escalate?	0	
	What was the reason for the refusal?	N/A	

	Did we explain our decision to the resident?	N/A	
7	Outcomes and remedies		
	Where something has gone wrong are we taking appropriate steps to put things right?	Yes see below	
8	Continuous learning and improvement		
	What improvements have we made as a result of learning from complaints?	<ul style="list-style-type: none"> • Individual complaints have led to temporary or permanent changes in house rules • Individual complaints have led to changes in key-work structure, staff attendance at shared properties or on call procedures • Eligibility to a specific property was revised • A Residential Volunteer was appointed to a specific property 	
	How do we share these lessons with: <ul style="list-style-type: none"> a) residents? b) the board/governing body? c) In the Annual Report? 	<ul style="list-style-type: none"> • Directly with the individual complainant in key-work. • Directly with clients in house meetings in shared accommodation • Results of client satisfaction questionnaire. • The Client Forum is consulted on any changes to policy and procedures, complaints-handling and results of questionnaires are also shared. The Client Forum can also review and comment on Transform's performance • The Client Services committee receive quarterly reports on complaints-handling and learning. • The Board receive annual reports on complaints handling and results of annual satisfaction questionnaire 	

		<ul style="list-style-type: none"> • Recommendation will be made to the Board that in future the Annual Report should include a section on complaints 	
	Has the Code made a difference to how we respond to complaints?	Yes	
	What changes have we made?	<ul style="list-style-type: none"> • The Complaints policy and procedure has been reviewed and amended to comply with the Code • Appendices to the complaints policy and procedure have been created to aid staff in dealing with complaints in line with the Code • A Complaints handling team has been established • Template letters have been created to ensure that complaints are dealt with in line with the Code and our new policy and procedure ➤ Self-assessment will now be carried out by the Business Improvement Team in April every year and feedback to the Board for approval ➤ The website content has been amended in line with new procedures 	

		<ul style="list-style-type: none">➤ The New Policy and Procedure and Self - Assessment has been published on our website➤ A new reporting system on complaints was implemented in April 2020 which complies with key elements of the Code➤ Feedback and Complaints Leaflet has been revised Dec 2020➤ Client handbook has been revised Dec 2020	
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