

Housing Ombudsman Complaint Handling Code: Self-assessment form: The ExtraCare Charitable Trust

Date: 28 January 2021

Compliance with the Complaint Handling Code			
1	Definition of a complaint	Yes	No
	Does the complaints process use the following definition of a complaint? <i>An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.</i>	✓	
	Does the policy have exclusions where a complaint will not be considered?	✓	
	Are these exclusions reasonable and fair to residents? Evidence relied upon <i>Approved by ExtraCare's Resident Forum on 2 December 2020</i>	✓	
2	Accessibility		
	Are multiple accessibility routes available for residents to make a complaint?	✓	
	Is the complaints policy and procedure available online?	✓	
	Do we have a reasonable adjustments policy? <i>Contained within Complaints Policy</i>	✓	
	Do we regularly advise residents about our complaints process?	✓	
3	Complaints team and process		
	Is there a complaint officer or equivalent in post?	✓	
	Does the complaint officer have autonomy to resolve complaints? <i>Complaints Officer escalates issues where appropriate to Housing & Resident Engagement Manager</i>	✓	
	Does the complaint officer have authority to compel engagement from other departments to resolve disputes? <i>As above</i>	✓	
	If there is a third stage to the complaints procedure are residents involved in the decision making? <i>No third stage</i>	n/a	

	Is any third stage optional for residents?	n/a	
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	✓	
	Do we keep a record of complaint correspondence including correspondence from the resident?	✓	
	At what stage are most complaints resolved? <ul style="list-style-type: none"> - <i>First contact resolution if informal complaint / request for service</i> - <i>Stage 1 for formal complaints</i> 		
4	Communication		
	Are residents kept informed and updated during the complaints process?	✓	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	✓	
	Are all complaints acknowledged and logged within five days?	✓	
	Are residents advised of how to escalate at the end of each stage?	✓	
	What proportion of complaints are resolved at stage one? <ul style="list-style-type: none"> - <i>First contact resolution: to be inserted at end of Q4 (2020/1)</i> - <i>Stage 1: to be inserted at end of Q4 (2020/1)</i> 		
	What proportion of complaints are resolved at stage two? <ul style="list-style-type: none"> - <i>To be inserted at end of Q4 (2020/21)</i> 		
	What proportion of complaint responses are sent within Code timescales? <ul style="list-style-type: none"> • Stage one Stage one (with extension) • Stage two Stage two (with extension) <ul style="list-style-type: none"> - <i>To be inserted at end of Q4 (2020/21)</i> 		
	Where timescales have been extended did we have good reason?	✓	
	Where timescales have been extended did we keep the resident informed?	✓	
	What proportion of complaints do we resolve to residents' satisfaction <ul style="list-style-type: none"> - <i>To be inserted at end of Q4</i> 		
5	Cooperation with Housing Ombudsman Service		

	Were all requests for evidence responded to within 15 days?	✓	
	Where the timescale was extended did we keep the Ombudsman informed?	n/a	
6	Fairness in complaint handling		
	Are residents able to complain via a representative throughout?	✓	
	If advice was given, was this accurate and easy to understand?	✓	
	How many cases did we refuse to escalate? - <i>To be inserted at end of Q4 (2020/21)</i> What was the reason for the refusal? -		
	Did we explain our decision to the resident?	✓	
7	Outcomes and remedies		
	Where something has gone wrong are we taking appropriate steps to put things right? - <i>Learning log updated and distributed to relevant teams</i>	✓	
8	Continuous learning and improvement		
	What improvements have we made as a result of learning from complaints? - <i>To be inserted at end of Q4 (2020/21)</i>		
	How do we share these lessons with: a) residents? b) the board/governing body? c) In the Annual Report? - <i>To be inserted at end of Q4 (2020/21)</i>		
	Has the Code made a difference to how we respond to complaints?	✓	
	What changes have we made? <i>New Complaints Policy approved by Board in December 2020 Staff training, roll out in Jan / Feb / March 2021 New procedure / work instructions being devised Template letters being devised</i>		