

1	Definition of a complaint	Yes	No	Comments
	<p>Does the complaints process use the following definition of a complaint?</p> <p>“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.”</p>	✓		This exact definition used in council housing complaints policy
	Does the policy have exclusions where a complaint will not be considered?	✓		Explained within policy
	<p>Are these exclusions reasonable and fair to residents?</p> <p>Evidence relied upon</p>	✓		<p>Exclusions are in line with corporate council-wide complaints policy and are referred to in council housing complaint policy.</p> <p>They include:</p> <p>Day to day service requests or reporting faults (for example a repair).</p> <p>Criticisms or disagreement with council policies.</p> <p>Complaints against individual employees which arise from dissatisfaction with a council policy or decision, and where no other basis for the complaint exists.</p>
2	Accessibility			
	Are multiple accessibility routes available for residents to make a complaint?	✓		In person, by email, by telephone, in writing
	Is the complaints policy and procedure available online?	✓		Both corporate complaints policy and council housing policy available online
	Do we have a reasonable adjustments policy?		✓	Reasonable adjustments policy to be developed during Q4 20/21 to outline how we will adjust to the needs of customers during the complaints process
	Do we regularly advise residents about our complaints process?	✓		Monthly Facebook comms, info included in every newsletter,

				communicated at District Wide Tenant's Forum, staff empowered to advise on the process when appropriate
3	Complaints team and process			
	Is there a complaint officer or equivalent in post?	✓		Complaints team: Complaints lead, complaint support officer, complaint co-ordinator, customer care officers
	Does the complaint officer have autonomy to resolve complaints?	✓		Customer care officers have autonomy to resolve complaints (with support from complaints lead where appropriate)
	Does the complaint officer have authority to compel engagement from other departments to resolve disputes?	✓		Yes, with support from complaints lead where appropriate
	If there is a third stage to the complaints procedure are residents involved in the decision making?		✓	No third stage
	Is any third stage optional for residents? Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	✓		No third stage. Right to take complaint to HO service following Stage 2 is set out in Housing Complaints policy and is communicated in the Stage 2 response.
	Do we keep a record of complaint correspondence including correspondence from the resident?	✓		Yes. Correspondence from tenant and complaint responses retained securely on electronic house file.
	At what stage are most complaints resolved?	✓		Stage 1
4	Communication			
	Are residents kept informed and updated during the complaints process?	✓		Yes. Initial acknowledgement, and where delays to response customer care officers communicate this to complainant
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	✓		Stage 1 and 2 response gives resident chance to challenge any area of dispute
	Are all complaints acknowledged and logged within five days?	✓		Updated process (in response to complaints code) will ensure all

				complaints acknowledged and logged within 5 days
	Are residents advised of how to escalate at the end of each stage?	✓		Yes, standard letters act as a template for responses and include this information
	What proportion of complaints are resolved at stage one?	✓		This info to be reported through complaints tracker – figure available from Q3 onwards (Improvements required in Stage 2 tracking)
	What proportion of complaints are resolved at stage two?	✓		This info to be reported through complaints tracker – figure available from Q3 onwards (improvements required in Stage 2 tracking)
	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) 			Stage 1: see complaints tracker Stage 2: improvements required in stage 2 tracking – stats available from Q3 onwards
	Where timescales have been extended did we have good reason?			None extended
	Where timescales have been extended did we keep the resident informed?			None extended
	What proportion of complaints do we resolve to residents' satisfaction		✓	Complaints satisfaction info not currently gathered – this will begin in Q3 (20/21) and be reported at Q4
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		Non extended
6	Fairness in complaint handling			
	Are residents able to complain via a representative throughout?	✓		Built in to the LCC complaints process
	If advice was given, was this accurate and easy to understand?	✓		Complaints lead to review responses quarterly to highlight accuracy and understandability
	How many cases did we refuse to escalate? What was the reason for the refusal?	n/a		No refusals given
	Did we explain our decision to the resident?	n/a		As above
7	Outcomes and remedies			

	Where something has gone wrong are we taking appropriate steps to put things right?	✓		Part of role of customer care officer is to put things things right when identified during complaint investigation –where this happens it is communicated in response letter
8	Continuous learning and improvement			
	What improvements have we made as a result of learning from complaints?	✓		'Lessons learned' is part of the complaints tracker – improvements made/actions taken are logged here
	How do we share these lessons with: a) residents? b) the board/governing body? c) In the Annual Report?			<ul style="list-style-type: none"> a) At DWTF, within newsletters, and periodically on Facebook b) Senior manager meeting reviews complaints monthly – including lessons learned. Also to be shared monthly with Housing Portfolio Holder c) Summary to be provided within the annual report as part of complaints performance
	Has the Code made a difference to how we respond to complaints?	✓		The code has helped us to tighten up the process – acknowledging and responding in more timely fashion, and in a more co-ordinated way. The complaints team with Housing helps us to proactively manage our complaints
	What changes have we made?	✓		We now differentiate between housing complaints and corporate complaints, which allows us to have greater oversight of, and control over, our complaints process. We place greater emphasis on communication and transparency, with regular communication to tenants about the complaints process in general, our performance in this area, and our learning.