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

CWL HOUSING

Section 1 - Definition of a complaint

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.2	A complaint must be defined as: '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.'	Yes	Description used in published CWL Housing Complaints Policy
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	• Staff are trained to recognise resident dissatisfaction and investigate. The resident does not have to use the word 'complaint' but staff would ask them if they would like to lodge a complaint. This is done using our complaints procedure. This is set out in 4.1 of the policy • Third party representation is in 4.5 of our 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	Unless the resident asks we will not register a service request as a complaint in the first instance. If the resident is unhappy with how we dealt with the matter, we will log this as a complaint. In line with our definition, the resident does not need to use the word 'complaint' (4.11)
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	This is defined within our Complaints Policy

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	We carry out regular surveys and any issues raised are dealt with immediately. All survey documents tell residents advise residents to use our Complaints procedure to make complaints

Section 2: Exclusions

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	• We do not unnecessarily refuse to accept a complaint. Our policy lists reasons where we may not consider a complaint and we refer to this in the event of refusing to accept a complaint (4.10) • To support our residents our policy lists other organisations that should be contacted for complaints that do not fit within our remit.
2.2	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: • 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 clear in our policy that there may be occasions where we will not consider a complaint e.g. Repeated complaints for which residents have already been offered a solution. However, in these circumstances we would still try to work with the resident to move forward.
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	The policy states 12 months. Discretion would be shown where considered appropriate.

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	When responding we provide a full explanation if the complaint is not accepted and this also refers the resident to the Housing Ombudsman if they wish to escalate the matter.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint	Yes	Each complaint and each resident is treated individually. We would take into account: • The resident's situation • How much they have been disrupted • How long it has taken to put the matter right • Has there been stress or inconvenience

Section 3: Accessibility and Awareness

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	Customers can lodge complaints by phone, email, website or in person.
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	All staff are trained to receive and record complaints and who to refer them to.
3.3	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.	Yes	Complaints volumes are monitored and anomalies would be recognised and actioned.
3.4	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.	Yes	Our Complaints Policy is available in printed form in the lounge of each complex and on our website. It is available on request to anyone who asks for it and can be provided in large print or other languages/forms on request.
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	Our Complaints Policy is available on our website and in our Complexes. The policy and all correspondence regarding complaints makes it clear that residents an refer to the Housing Ombudsman Service.

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	We support residents who may want someone else to make a complaint for them. We handle this in line with our policy. To protect our resident's best interests we require a letter of authority to be completed telling us who they wish to act on their behalf. This is available from the office.
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	This is in 4.8 and 4.9 of our policy and in complaints correspondence with our residents.

Section 4: Complaint Handling Staff

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	Office staff are trained in complaints handling and interaction with the Ombudsman. Tis training is provided by the Housing Ombudsman
4.2	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	Office staff dealing with complaints have direct access to all other staff and have authority and autonomy to deal with complaints to achieve a prompt and fair outcome.
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	All staff undertake e-leaning complaints handling modules. Residents are reminded at all resident meetings that we are keen to deal with problems before they become complaints and staff are encouraged to discuss anything they have noticed as soon as possible with the resident or other staff.

Section 5: The Complaint Handling Process

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	Complaints policy available on website
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	We have a 2 stage process
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	We have a 2 stage process
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 complaints processes.	Yes	All complaints are dealt with through our 2 stage process
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	We handle all complaints
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	We use the Housing Ombudsman template letter for acknowledgements We engage with the resident before sending the letter to ensure there is no misunderstanding of the issues.

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	Staff are trained in using templates and responding.
5.8	At each stage of the complaints process, complaint handlers must: 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	This is included within our procedure and staff are trained to deal with complaints in this way
5.9	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.	Yes	We will always keep the resident updated on progress and would advise them of any delays in responding and the reasons for this.
5.10	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.	Yes	We always deal with our residents as individuals and would make any 'reasonable adjustments' needed to ensure they are fully informed at all times. This would be prominently noted in the complaint file and kept under review.
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	The right of escalation is in our policy (4.4,4.8 and 4.9) and is in all complaints correspondence. 4.10 sets out when escalation may not be available.

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	Full records of all complaints are maintained in the office.
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	Our office staff have access to staff at all levels and have the authority to resolve complaints at any stage
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	This is in 4.11 of our policy. Any restrictions put on a resident will be clearly evidenced and documented and will be regularly reviewed
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.		Any restrictions put on a resident must be made by more than one member of staff. It will be clearly evidenced and documented and will be regularly reviewed

Section 6: Complaints Stages **Stage 1**			
Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	• All staff have the authority to deal with simple complaints at point of contact • Complaints dealt with by the office are assessed and prioritised based on the resident's individual circumstances, the impact the issue is having on them and the complexity of the case.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure **within five working days of the complaint being received.**	Yes	All complaints are acknowledged within 5 working days
6.3	Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged	Yes	We issue a full response within 10 working days of the complaint being acknowledged or we will agree an extension where needed under 4.3.
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	If it is not possible to resolve an issue within 10 working days we will agree an extension with the resident of up to a further 10 working days. We will explain the reason 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	This is included in the correspondence

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	If the action to resolve the complaint is not complete when the letter is written, we will set out the action to be taken and the timescale for that action. We will continue to monitor the actions until they are complete
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	We use Housing Ombudsman templates to ensure best practice.
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	If additional complaints are related to the original complaint they will be incorporated into the Stage 1 response. If they are unrelated we will open 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	Staff are fully trained and we use Housing Ombudsman templates to ensure best practice.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	This is part of our process
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	This is part of our process
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	All stage 2 complaints are reviewed to ensure we understand the reason for the escalation. This may include asking for more information from the resident to ensure we understand the reason.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	This is part of our process
6.14	Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.	Yes	This is part of our process. Any extension would be agreed with the resident
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	Any extension would be fully explained and agreed with 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	This is included in our correspondence

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	If the issue cannot be resolved before the letter is sent, we will explain what will be done and when
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	We use Housing Ombudsman templates to ensure best practice
6.19	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.	Yes	We use Housing Ombudsman templates to ensure best practice
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	All appropriate staff members are involved when a stage 2 response is complied

Section 7: Putting things right

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.1	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: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been 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	The resident is kept updated on the progress of their complaint. When things go wrong we will provide the resident with an explanation and let them know how we will address them, taking into account their individual circumstances and the impact the matter has had on them
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	We always try to put things right and restore the resident to the position they were in before the problem arose. This may include compensation in accordance with our Compensation Policy
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	Our offer letter will set out proposed actions, time scale and compensation
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.		We refer to the Ombudsman guidance when determining remedies.

Section 8: Self -assessment, reporting and compliance			
Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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	This will be provided in the autumn of 2024 and annually thereafter
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 on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	See 8.1

8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	These will be completed as appropriate and uploaded to our website
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We will comply with instructions 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	

Section 9: Scrutiny & oversight: continuous learning and improvement

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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	We use resources on Ombudsman website to identify possible improvements
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	Complaints are used as a learning opportunity and are fully discussed and analysed
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	This will be provided in the end of 2024 and annually thereafter
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	Housing Manager is accountable for complaint handling.
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	The Member Responsible is Les Blake

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	
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; 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.	Yes	This will be included in normal reporting to the Board
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and cooperative 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	We will always take collective responsibility for shortfalls when responding to complaints and work collaboratively to resolve matters