# Appendix A: 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 complaint’s 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

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 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 | Customer Feedback policy: Section 6.1  Website: https://calicohomes.org.uk/make-a-complaint/ | The Ombudsman's definition of a complaint is included on the Calico Homes website, the section 6.1 of the Customer Feedback 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 | Customer Feedback policy: Section 6.2  Customer Feedback procedure:  Section | Section 6.2 sets out that customers do not need to use the word ‘complaint’ for it to be treated as such. Complaints handling training includes information on how to identify dissatisfaction and ensure that customers are provided with the choice to make a complaint. Complaints are logged on our Active H housing management system. The Customer Feedback procedure outlines how we triage, log and act upon complaints including those submitted by a 3rd party or representative. |
| 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 | Customer Feedback policy: Section 6.3  Customer Feedback procedure:  Section | Section 6.3 sets out that we will seek to distinguish between a service request and a complaint. Any expression of dissatisfaction from a customer is logged in the Active H system and triaged in line with the Customer Feedback policy. Colleagues receive further guidance on the difference between service requests and complaints in the Customer Feedback procedure and as part of the complaint handling training. Dissatisfactions can be recorded on Active H as service requests or complaints, and this will be reviewed monthly as part of our complaint learning |
| 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 | Customer Feedback policy: Section 6.4  Customer Feedback procedure:  Section | Section 6.4 of the Customer Feedback policy sets out that we will raise a complaint if customers are dissatisfied with the response to their service request and that efforts to resolve the service request will not stop. In this instance, a complaint would be logged on Active H in addition to the service request. |
| 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 | Customer Feedback policy: Section 6.5  Customer Feedback procedure:  Section | Section 6.5 of the Customer Feedback policy confirms that an expression of dissatisfaction through a survey is not defined as a complaint. Where a customer reports dissatisfaction on a transactional survey, this is logged in our Active H system with tasks allocated to coordinators to follow this up with the customer. They will either resolve any remaining dissatisfaction at first contact or record a complaint in line with the Customer Feedback policy.  When we conduct wider surveys, we ensure information is provided to residents on how they can make a complaint.  Action: Transactional surveys conducted by email, letter or via automated calls need to be updated to ensure that they include information about how a customer can make a complaint. This will be completed by June 1st 2024 |

# Section 2: Exclusions

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| 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 | Customer Feedback policy: Section 7.1  Customer Feedback procedure:  Section12 | Complaint exclusions are set out in section 7.1 of the Customer Feedback policy. We will explain in detail any reasons that a complaint has not been accepted and provide information about how to contact the Housing Ombudsman. The Customer Feedback procedure provides guidance to colleagues to ensure that each complaint is considered on its own merits. |
| 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 | Customer Feedback policy: Section 7  Customer Feedback procedure:  Section 11 and Appendix 6 | Our approach to complaint exclusions are set out in section 7 of the Customer Feedback policy and comply with the acceptable exclusions in the Ombudsman complaint code. They are:  • Complaints about services, persons or bodies over which we have no control.  • Closed complaints you have raised previously and have already been considered under our complaints policy at both Stage 1 and Stage 2.  • Complaints that have not been brought to our attention within 12 months of the incident occurring. Where there are good reasons to do so, residents can request that our Complaints Officer consider whether to apply discretion to accept complaints made outside of this time limit.  • Matters which are, or have been, the subject of Court or Tribunal proceedings.  • Complaints of neighbour nuisance or disputes between neighbours that are dealt with through our Community Safety Policy, unless these complaints relate to how we have dealt with the matter.  • Where the Housing Ombudsman Service has already determined the outcome of an investigation.  We will explain in detail any reasons that a complaint has not been accepted and provide information about how to contact the Housing Ombudsman. Our Customer Feedback procedure includes further guidance and a letter template to ensure this information is provided to customers.  Where a complaint is received on issues that arose over 12 months ago, the Complaint’s Officer will be responsible for making an assessment around the discretion to accept the complaint |
| 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 | Customer Feedback policy: Section 7  Customer Feedback procedure:  Section 11 | Section 7 of the Customer Feedback policy sets out that complaints referred to us over 12 months from the issue arising will be excluded. We will accept complaints made within 12 months. Where a complaint is received on issues that arose over 12 months ago, the Complaint’s Officer will be responsible for making an assessment around the discretion to accept the complaint |
| 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 | Customer Feedback policy: Section 7.3  Customer Feedback procedure:  Section 11 and Appendix 6 | Section 7.3 of the Customer Feedback policy sets out that we will explain in detail any reasons that a complaint has not been accepted and provide information about how to contact the Housing Ombudsman. The Customer Feedback procedure includes letter templates to ensure this information is provided to customers. If we are contacted by the Ombudsman to take on the complaint, the customer will be contacted, and a complaint added will be added to the Active H system and handled in line with the Customer Feedback policy |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | Customer feedback procedure section 11 and 18 | Each complaint is considered on its own merits when triaged and can be referred to the Complaints Officer to be assessed where discretion may be required. The Customer Feedback procedure sets out some examples of when this may be necessary but is not an exhaustive list as this is dependent on the individual customer circumstances. Customers will be advised on the decision to either accept the complaint, or where a complaint will not be accepted and are provided with information on the Housing Ombudsman service. |

# Section 3: Accessibility and Awareness

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| 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 | Customer feedback policy section 4.1, 4.4, 4.5, 11.1 and 11.2  Customer feedback procedure section 18 | Section 4.1 of the Customer Feedback policy sets out the methods customers can use to make a complaint. Residents can complain in person, in writing, by telephone, via their Calico Homes portal account, by email or via social media. Section 4.4, 4.5 and 11.1 of the Customer Feedback policy sets out that customers can seek assistance from us to make a complaint and that we will make reasonable adjustments where this is necessary. Section 11.2 sets out that colleagues will use any information available to them, such as disability information on our Active H system to anticipate any adjustments a customer may require and to assist in personalising our service to them. |
| 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 | Customer feedback procedure section 6 and 10.2 | All staff are made aware of complaints process through organisational wide briefings and mandatory training. All staff use the Active H system and are able to log record complaints in order for them to be passed to the appropriate person |
| 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 | Customer feedback policy section 5.2  Customer feedback procedure section 4 | Section 5.2 sets out Calico Homes aim to recognise when things have gone wrong, put things right, ensure that customers are treated fairly and to learn from feedback to improve our services. Calico Homes recognises the importance of a positive complaints culture to achieve this. Calico Homes employees must undertake mandatory complaint handling training that includes training employees to view feedback constructively and positively as an opportunity to learn and to empower customers to have a voice in how we deliver services to them. |
| 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 | <https://calicohomes.org.uk/make-a-complaint/> | The Customer Feedback policy is available on our website – link in evidence column. The policy details the two-stage process and what will happen at each stage, as well as the timeframes for response. The Customer Feedback policy has been reviewed by the Complaints Scrutiny Group, which is a group made up of customers who scrutinise and advise us on our complaints information and handling, helping us to ensure that the policy is clear. The Customer Feedback policy is available in other formats where customers require this, such as in large print or in other languages. Customers can translate information on the complaints page on the website. |
| 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 | Customer feedback policy section 4.6, 4.7 and 4.8  https://calicohomes.org.uk/make-a-complaint/  Customer feedback procedure appendix 2, 3, 4, 5 ,6 and 7 | Section 4.6, 4.7 and 4.8 of the Customer Feedback policy sets out that we will publicise the Customer Feedback policy and our self-assessment against the code on our website and provides information for the Ombudsman. We include Housing Ombudsman contact information in   * https://calicohomes.org.uk/make-a-complaint/ * In the complaints leaflet which is on the website and emailed to customers when they have a complaint. * In our customer newsletter * Within all formal response letters including acknowledgements, extensions stage 1 and 2 as well as when we cannot accept a complaint. |
| 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 | Customer feedback policy section 4.4  Customer feedback procedure section 18 | Section 4.4 confirms that customers have the opportunity for a representative to deal with the complaint on their behalf. The Customer Feedback procedure provides further guidance to investigating managers on how to manage requests of this nature to ensure that we handle customer data in accordance with data protection laws |
| 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 | <https://calicohomes.org.uk/make-a-complaint/>  Complaints leaflet link  Newsletter link  Customer feedback procedure appendix 2, 3,4, 5, 6, and 7 | We include Housing Ombudsman for customers, including information on how to contact the Ombudsman in our Customer Feedback policy and also:   * https://calicohomes.org.uk/make-a-complaint/ * In the complaints leaflet which is on the website <https://calicohomes.org.uk/app/uploads/sites/5/2022/11/Have-Your-Say-Complaints-leaflet-v09-2022.pdf> and emailed to customers when they have a complaint. * In our customer newsletter * Within all formal response letters including acknowledgements, extensions stage 1 and 2 as well as when we cannot accept a complaint. |

# Section 4: Complaint Handling Staff

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| 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 | Customer feedback policy section 13.2  Customer feedback procedure section 19 | Section 13.2 of the Customer Feedback policy sets out the roles/staff members that have responsibility for complaint handling. The Complaints Officer role and responsibilities is set out in the Customer Feedback policy. As of 1st April 2024 this is the Head of Customer Experience |
| 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 | Customer feedback policy section 13.2  Customer feedback procedure section 19 | The Complaints officer is the Head of Customer Experience, a senior manager within the organisation with authority and autonomy to act to resolve disputes promptly and fairly as well as representation in key management and leadership forums to share learning and actions. |
| 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 | Customer feedback procedure section 3 | Complaints handling is a high priority for Calico Homes, enabling our customers to have a voice and for us to learn and improve the services we deliver to them. The Head of Customer Experience will champion complaint handling across the organisation. All colleagues have to undertake mandatory training on complaints handling which will need to be refreshed every 2 years and more frequently if there are any changes to how we handle complaints |

# Section 5: The Complaint Handling Process

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| 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 | Customer feedback policy | The Customer Feedback policy is the only policy in place for dealing with complaints and sets out our aim to treat all customers fairly. |
| 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 | Customer feedback policy  Customer feedback procedure | The Customer Feedback policy contains two stages. We do seek to resolve complaints at the earliest opportunity, such as at the first point of contact. Complaints responded at the first point of contact will be recorded as complaints in the Active H system and a customer will be provided with a complaint response relevant to the stage of their complaint. We will review complaints responded to at first contact as part of our complaints learning |
| 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 | Customer feedback policy  Customer feedback procedure | The Customer Feedback policy sets out that we have two complaint stages and advises customers of how they can escalate their complaint to the Ombudsman throughout their complaint and clearly sets out in the stage 2 response that our complaint process has been exhausted. |
| 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 | Customer feedback policy | Calico homes will respond to all customer complaints except for those made about a service provided by Ring Stones, a subsidiary contractor within the Calico Group. As part of the Calico group, Calico Homes works closely with Ring Stones, who work to all Calico Homes customer standards and policies when completing work for our customers, including the Customer Feedback policy. Customers will not be expected to go through two complaint processes. |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | Customer feedback policy section 8.3  Customer feedback procedure section 23 | Section 8.3 of the Customer Feedback policy confirms that where complaints are handled by a third party, this will be handled in line with the Customer Feedback policy. This will be monitored by the Complaints Officer. All Calico Homes complaints will be handled by Calico Homes employees with the exception of complaints handled by Ring Stones, a contractor that is a part of the Calico Group. |
| 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 | Customer feedback policy section 8.4  Customer feedback procedure section 10.4, appendix 2 and 4 | Section 8. 4 of the Customer Feedback policy confirms that we will set out our understanding of a customer’s complaint and desired outcome and that we will seek clarification from the customer when required. When a customer expresses any form of dissatisfaction this will be triaged, and part of this process includes seeking understanding from the customer on what their complaint relates to and what they are seeking as an outcome. When the complaint is acknowledged this will be set out in the complaint acknowledgement letter. |
| 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 | Customer feedback procedure section 10.4, appendix 2 and 4 | When we acknowledge a complaint, we will set out any aspects of which we are and are not responsible for. Further guidance is provided to colleagues in the Customer Feedback Procedure and prompts are included in the complaint acknowledgement letter templates. |
| 5.8 | At each stage of the complaints process, complaint handlers must:   1. deal with complaints on their merits, act independently, and have an open mind. 2. give the resident a fair chance to set out their position. 3. take measures to address any actual or perceived conflict of interest; and 4. consider all relevant information and evidence carefully. | Yes | Customer feedback policy section 8.2  Customer feedback procedure section 12  Complaints handling training | Section 8.2 of the Customer Feedback policy sets out that investigating managers must: • Deal with complaints on their merits, act independently, and have an open mind.  • Give customers a fair chance to set out their position.  • Take measures to address actual or perceived conflict of interest; and  • Consider all relevant information and evidence carefully.  The Customer Feedback procedure and mandatory complaints handling procedure provides further guidance for employees to support them in achieving this for all complaints. |
| 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 | Customer feedback policy section 9 and 10  Customer feedback procedure section 10.4, appendix 6 and 7 | Section 9 and section 10 of the Customer Feedback policy sets out our timescales for responding to complaints. It also explains that complaints can be extended by up to 10 working days where there is a good reason on agreement with the customer. The Customer Feedback procedure includes letter templates for complaint extensions, which includes a section which confirms agreement with the customer as well as any agreements around intervals for keeping them informed of their complaint. |
| 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 | Customer feedback policy section 4.5  Customer feedback procedure section 18 | Customer disabilities are recorded on our Active H housing management system. We have a Reasonable Adjustments Policy which is specifically focused on compliance with the Equality Act 2010. Section 4.5 of the Customer Feedback policy sets out that we will make reasonable adjustments for customers and our Customer Feedback procedure provides some examples of adjustments we can make. An exhaustive list cannot be provided as this will depend on the customer’s needs. Our complaints handling training includes how to manage requests for reasonable adjustments. |
| 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 | Customer feedback policy section 7.1  Customer feedback procedure section 11 | Section 7.1 of the Customer Feedback policy sets out the only reasons we will refuse to escalate a complaint which comply with the acceptable exclusions in the complaint 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 | Customer feedback procedure appendix 11 | All customer dissatisfaction is recorded in Active H, our housing management system which is date stamped. All records relating to the complaint are stored in Active H and Documotive. All correspondence to customers as part of the complaints process is recorded in Active H and stored in Documotive. |
| 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 | Customer feedback policy section  Customer feedback procedure section 6 and 10.1 | The Customer Feedback procedure sets out guidance to colleagues on remedying complaints at the earliest opportunity so that complaints do not need to be escalated. Our colleagues aim for first contact resolutions across all services where this is possible to improve the experience for the customer. |
| 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 | Customer feedback procedure section 18 and 20 | The Customer Feedback procedure sets out how we manage vexatious complaints and unacceptable behaviour.  Action: We are working on an Unacceptable Behaviour Policy to be developed with our customers by August 2024 which will provide increased guidance on reasons for communication restrictions |
| 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 | Customer feedback policy section 11.2  Customer feedback procedure section 20 | The Customer Feedback procedure provides guidance for employees around vexatious complaints and unacceptable behaviour which includes proportionality and making adjustments in line with the Equality Act. Section 11.2 of the Customer Feedback policy sets out our commitment to ensure that customers are treated fairly and that any vulnerabilities are taking into account.  Action: We are working on an Unacceptable Behaviour Policy to be developed with our customers by August 2024 which will provide increased guidance on reasons for communication restrictions |

# Section 6: Complaints Stages

Stage 1

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| 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 | Customer feedback policy section 5.1  Customer feedback procedure section 6, 10.1 and 18 | Section 5.1 of the Customer Feedback policy sets out our commitment to resolve complaints quickly. Our Customer Feedback procedure provides guidance to employees in relation to triaging complaints that can responded to early and which require further investigation, in addition to making an assessment of complexity as well as customer vulnerability and risk. The complaint handling process in Active H (mapped in our Customer Feedback procedure), our housing management system provides routes for both quick resolution complaints and complaints that require further investigations. |
| 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 | Customer feedback policy section 8.6  Customer feedback procedure section 10.4 and appendix 2 | Section 8.6 of the Customer Feedback policy sets out that complaints will be acknowledged within 5 working days of being received. The complaint handler will seek to confirm the reason for the complaint, as well as the customer’s desired outcome and will set this out in the acknowledgement letter.  This KPI is monitored by Homes SLT and Board. |
| 6.3 | Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged. | Yes | Customer feedback policy section 9.3  Customer feedback procedure section 10.4 and appendix 3 | Section 9.3 of the Customer Feedback policy sets out that we will provide a full response to a stage 1 complaint withing 10 working days of the complaint being acknowledged. This KPI is monitored by Homes SLT and Board. |
| 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 | Customer feedback policy section 9.3  Customer feedback procedure section 10.4, appendix 6 and appendix 7 | Section 9.3 sets out that we will decide whether an extension will be needed when considering the complexity of the complaint. Extensions to stage 2 complaint responses will not exceed 20 working days without good reason and the reason will be clearly explained to the resident in the complaint extension letter |
| 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 |  | We will aim to discuss any proposed extension of a complaint response with a customer to set out our reasons for the extension, seek agreement from them and to agree any arrangements regarding communication whilst we investigate their complaint. The customer will receive a complaint extension letter that will confirm this information and this includes information about how to contact the 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 | Customer feedback procedure section 10.4 and 15 | A complaint response will be provided to a customer when the outcome of the complaint is known, not when the outstanding issues needed to address the complaint are completed. Investigating managers will be responsible for tracking, actioning and updating the customer on any outstanding actions. The Customer Feedback procedure provides colleagues with guidance on issuing responses when outcomes are known and tracking outstanding actions.  Action: We need to provide additional processes within our Active H housing management system to strengthen our ability and provide increased assurance that that outstanding actions are monitored, with clear timescales and responsibility. This will be updated by June 2024 |
| 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 | Customer feedback policy section 9.8  Customer feedback procedure section 14 | Section 9.8 of the Customer Feedback policy sets out the investigating managers will address all the points raised in the complaint and provide clear reasons for any decisions, referencing any 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 | Customer feedback policy section 9.7 | Section 9.7 of the Customer Feedback policy sets out that we will incorporate any additional issues relating the stage 1 that are raised during the investigation, within the stage 1 complaint. If the issue is not related to the stage 1 complaint already being investigated, a new complaint will be logged. |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:   1. the complaint stages. 2. the complaint definition. 3. the decision on the complaint. 4. the reasons for any decisions made. 5. the details of any remedy offered to put things right. 6. details of any outstanding actions; and 7. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. | Yes | Customer feedback policy section 9.9  Customer feedback procedure section 14 and appendix 3 | Section 9.9 of the Customer Feedback policy sets out that we will confirm the following in the stage 1 response:   * The complaint stages. * What the complaint is about. * The outcome you are seeking. * The decision on the complaint. * The reasons for any decisions made. * The details of any remedy offered to put things right. * Details of how to escalate the matter to stage 2 if you are not satisfied with the response. The stage 1 complaint letter template in the Customer Feedback procedure highlights the need to include this information in the response. |

Stage 2

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| 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 | Customer feedback policy section 10.1  Customer feedback procedure section 10.4 | Section 10.1 of the Customer Feedback policy makes clear that a complaint will be escalated to stage 2 if the customer is not satisfied with all or part of the response at stage 1. |
| 6.11 | Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaint’s procedure within five working days of the escalation request being received. | Yes | Customer feedback policy section 10.2  Customer feedback procedure section 10.4 | Section 10.2 of the customer Feedback policy sets out that that complaints will be acknowledged within 5 working days of being received.  This KPI is monitored by SLT and Board. |
| 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 | Customer feedback procedure section 10.4 and appendix 4 | Customers are not required to explain their reasons for requesting a stage 2 complaint. The Customer Feedback procedure instructs investigating managers to make reasonable efforts to understand why the customer remains unhappy and will set this out in the stage 2 acknowledgement letter. |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | Customer feedback policy section 10.3  Customer feedback procedure section 19 | Section 10.3 confirms that the person considering the stage 2 complaint will not be the same person that considered the complaint at stage 1. Stage 2 complaints will be reviewed by a more senior member of staff that the person that considered the stage 2 complaint. |
| 6.14 | Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged. | Yes | Customer feedback policy section 10.5  Customer feedback procedure section 10.4 | Section 10.5 sets out that we will issue a final response to the stage 2 complaint within 20 working days of it being acknowledged. This KPI is monitored by SLT and Board. |
| 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 | Customer feedback policy section 10.6  Customer feedback procedure section 10.4 | Section 10.6 sets out that we will decide whether an extension will be needed when considering the complexity of the complaint. Extensions to stage 2 complaint responses will not exceed 20 working days without good reason and the reason will be clearly explained to the resident in the complaint extension letter |
| 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 | Customer feedback procedure section 10.4, appendix 7 and appendix 8 | We will aim to discuss any proposed extension of a complaint response with a customer to set out our reasons for the extension, seek agreement from them and to agree any arrangements regarding communication whilst we investigate their complaint. The customer will receive a complaint extension letter that will confirm this information, and this includes information about how to contact the 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 | Customer feedback procedure section 10.4, 14 and 15 | A complaint response will be provided to a customer when the outcome of the complaint is known, not when the outstanding issues needed to address the complaint are completed. Investigating managers will be responsible for tracking, actioning and updating the customer on any outstanding actions. The Customer Feedback procedure provides colleagues with guidance on issuing responses when outcomes are known and tracking outstanding actions.  Action: We need to provide additional processes within our Active H housing management system to strengthen our ability and provide increased assurance that that outstanding actions are monitored, with clear timescales and responsibility. This will be updated by June 2024. |
| 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 | Customer feedback policy section 10.9  Customer feedback procedure section 14 | Section 10.9 of the Customer Feedback policy sets out that reviewing managers will address all the points raised in the complaint, providing clear reasons for decisions and referencing any relevant policy, law or good practice where appropriate. |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:   1. the complaint stages. 2. the complaint definition. 3. the decision on the complaint. 4. the reasons for any decisions made. 5. the details of any remedy offered to put things right; 6. details of any outstanding actions; and 7. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. | Yes | Customer feedback policy section 10.10  Customer feedback procedure section 14, appendix 3 and appendix 5 | Section 10.10 of the Customer Feedback policy sets out that we will confirm the following in the stage 2 response: The complaint stage  • What the complaint is  • The outcome you are seeking  • The decision on the complaint  • The reasons for any decisions made  • The details of any remedy offered to put things right  • Details of how to escalate the matter to the Ombudsman Service. The stage 2 complaint letter template in the Customer Feedback procedure highlights the need to include this information in the response. |
| 6.20 | Stage 2 is the landlord’s final response and must involve all suitable staff members needed to issue such a response. | Yes | Customer feedback policy section 10.11 | Section 10.11 of the Customer Feedback policy sets out that the response at Stage 2 is our final response. Stage 2 complaints are handled by service managers to encourage access to all suitable members of staff and resources required to resolve the customer’s complaint |

# Section 7: Putting things right.

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 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 | Customer feedback procedure section 13, appendix 3 and appendix 5 | The stage 1 and stage 2 complaint responses will confirm our actions to put things right following a complaint. The complaint response letter templates highlight things to include, where relevant, to ensure this information is provided to the customer in their complaint response. |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified. | Yes | Customer feedback policy section 5.1  Compensation policy  Customer feedback procedure section 13 | Section 5.1 of the Customer Feedback policy sets out our commitment to put things right when a customer makes a complaint. Remedies will be identified and discussed with customers in order to ensure that they reflect the impact on the customer. Some remedies may be provided in accordance with our Compensation Policy that has been developed in line with the Ombudsman guidance on compensation. |
| 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 | Customer feedback procedure section 13, appendix 3 and appendix 5 | The remedy offer will be included in the stage 1 and stage 2 complaint response letter, including timescales. Investigating managers will aim to discuss the remedy with the customer before the stage 1 response is completed in order to ensure the customer agrees with the remedy offer and the timescales provides. Stage 1 and 2 response letter templates include prompts for investigating managers so that this information is included where relevant. The Investigating manager will be responsible for ensuring that remedies are followed through to completion.  Action: Update the post-complaint process in Active H to ensure remedies and actions outstanding are tracked to completion by June 2024 |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | Compensation policy  Customer feedback procedure section 13 | Remedies may be provided in accordance with our Compensation Policy that has been developed in line with the Ombudsman guidance on compensation. The Customer feedback procedure provides staff with guidance on remedying complaints |

# Section 8: Putting things right.

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 8.1 | Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:   1. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. 2. 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. 3. any findings of non-compliance with this Code by the Ombudsman. 4. the service improvements made as a result of the learning from complaints. 5. any annual report about the landlord’s performance from the Ombudsman; and 6. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. | Yes | Customer feedback policy section 12.1  Complaints scrutiny group terms of reference | Section 12.1 sets out that we will produce and publish an annual complaints performance and service improvement report which will be scrutinised by the Complaints Scrutiny Group, made up of customers and the Member responsible for Complaints. The report will also be scrutinised by the Calico Homes board who will provide comments which will be published alongside the report.  Complaint performance and learning will be included in our annual report on performance.  We will self-assess ourselves against best practise guidance from spotlight reports and other relevant publications produced by the Ombudsman. This will be scrutinised by the Complaints Scrutiny Group, made up of customers and the Member responsible for Complaints. The report will also be scrutinised by the Calico Homes board |
| 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 | Customer feedback policy section 12.1  <https://calicohomes.org.uk/make-a-complaint/> | Section 12.1 of the Customer Feedback policy sets out that we will produce and publish an annual complaints performance and service improvement report which will be scrutinised by the Complaints Scrutiny Group, made up of customers and the Member responsible for Complaints. The report will also be scrutinised by the Calico Homes board who will provide comments which will be published alongside the report. |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | Customer feedback policy section 12.2 | Section 12.2 of the Customer Feedback policy confirms that we will carry out a self-assessment following a significant restructure, merger and/or change in procedure. |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | Customer feedback policy section 12.2 | Section 12.2 of the Customer Feedback policy confirms that will review and update our self-assessment if requested to by the Ombudsman. The Complaints Officer will be responsible for completing this. |
| 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 | Customer feedback policy section 12.3 | Section 12.3 of the Customer Feedback policy confirms that we will inform the Ombudsman if we are unable to comply to the complaints handling code due to exceptional reasons. |

# Section 9: Scrutiny & oversight: continuous learning and improvement

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| 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 | Customer feedback policy section 13.1 | Section 13.1 of the Customer Feedback policy sets out that we will look beyond individual circumstances of individual complaints and consider wider service improvements that can be made as a result of learning from complaints. We will demonstrate this in quarterly and annual reports on complaints performance and learning. |
| 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 | Customer Feedback policy section 5.3  Customer feedback procedure section 4, section 16 and Appendix 11 | Section 5.2 of the Customer Feedback policy sets out that we will use feedback to develop and improve our services. It references that a positive complaints culture is important in achieving this. In order to embed this, all Calico Homes employees must complete mandatory complaints training which highlights the positive improvements that we can make as a result of complaints. The complaints process in Active H, our housing management system requires investigating and reviewing managers to input root causes and learning from each complaint. This will be collated and reviewed on a weekly and monthly basis by managers and to identify learning which will be reported to the Complaints Scrutiny Group, the Executive management team and Calico Board.  Action: We need to develop a robust learning action tracker that provides timeframes and ownership of learning actions. |
| 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 | Customer Feedback policy section 4.3  Complaints Scrutiny Group terms of reference  [www.calicohomes.org.uk/complaints](http://www.calicohomes.org.uk/complaints) | Section 4.3 of the Customer Feedback policy sets out that we will publish our complaints performance and learning quarterly so that customers can be aware of how we are performing. In addition, we will report on wider learning and improvements from complaints in the following ways:   * Regular meetings with the Complaints Scrutiny Group which is made up of customers and the Member Responsible for Complaints * In team meetings, management meetings and leadership meetings * In regular updates to our board. * complaints page of our website. |
| 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 | Customer feedback policy section 13.2 | Section 13.2 of the Customer Feedback policy sets out the senior lead person. This is the Managing Director of Calico Homes. |
| 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 | Customer Feedback policy section 13.2 | Section 13.2 of the Customer Feedback policy sets out the Member Responsible for Complaints. This is a member of Calico Homes governing body. |
| 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 | Customer Feedback policy section 13.5 | As a member of our governing body, the MRC ensures that the governing body receives regular information on complaints handling performance. Section 13.5 of the Customer Feedback policy sets out that the board will receive regular updates on performance and learning. The MRC works with the Calico Homes Executive team, alongside members of the Calico Homes Board to ensure they can perform the role and report on their findings and ensure that there is a positive learning culture from complaints. |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive:   1. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance. 2. regular reviews of issues and trends arising from complaint handling. 3. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and 4. annual complaints performance and service improvement report. | Yes | Customer Feedback policy section 12 and section 13.5 | Section 13.5 of the Customer Feedback policy sets out that board members will receive updates on our complaints performance which will include volume, categories and outcomes. We will provide regular reports on issues and trends which informs our learning. We will also report any Ombudsman investigation outcomes, with updates on our compliance to any orders issued. Section 12. of the Customer Feedback policy confirms that the MRC and governing body will receive the annual complaints performance and service improvement report. |
| 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:   1. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; 2. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and 3. act within the professional standards for engaging with complaints as set by any relevant professional body. | Yes | Customer Feedback policy section 6  Complaint handling training  Customer Feedback procedure section 22 | Section 3 of the Customer Feedback policy sets out our aims and objectives in relation to our complaints handling as follows:   1. To ensure a clear approach to the handling and resolution of complaints that require an investigation. 2. To make it easy for customers to give us customer feedback which can be captured and used to inform service improvements. 3. To learn effectively from all customer feedback and take appropriate action. 4. To ensure regulatory and legislative compliance on complaint handling in line with the Housing Ombudsman Code of Practice and the RSH Consumer Standards.   The complaints handling training highlights the need for collaboration and cooperation, ownership, accountability and responsibility and the Customer Feedback policy sets out the CIH professional standards we aim to achieve in all of our work. |