

Self-Assessment Form – 14 November 2023

This self-assessment relates to the period from 1 November 2022 to 31 October 2023. The majority of our properties are managed by third party managing housing associations who are able to provide a local, responsive and customer-focused service to residents, and have their own experienced, professional staff, complaints policies and procedures. We work closely with those managing housing associations to ensure that the service residents of those properties receive meets the high standards we strive for.

Section 1 - Definition of a complaint

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.'</i>	Yes	Complaints Policy (CP), paragraph 3.1. CP last reviewed and updated in March 2023 and will be reviewed again in early 2024 when the new Code is published.
1.3	The resident does not have to use the word 'complaint' for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord's complaints policy.	Yes	Complaint is defined as an "expression of dissatisfaction" (CP, paragraph 3.1). Our CP applies to all tenants (as defined at CP, paragraph 2) and their representatives (CP, paragraph 3.11).
1.6	... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.	Yes	Complaints falling within the definition referred to above are logged as such. See also Complaints Procedure (CPr), paragraph 5.4.1. CPr last reviewed and updated in March 2023 and will be reviewed again in early 2024 when the new Code is published.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	Residents have recourse to the complaints policies of our managing housing association partners and those of care organisations and also to FAHHA's own policies in our directly managed properties (3 at the date of this self-assessment).

1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	CP, paragraph 3.6 sets out the circumstances in which a complaint will not be accepted.
1.9	If a landlord decides not to accept a complaint, a detailed 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.	Yes	CP, paragraphs 3.7 and 3.9.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a service request , where a resident may be unhappy with a situation that they wish to have rectified, and a complaint about the service they have/have not received.	Yes	FAHHA's designated complaints handler as a clear understanding of the distinction between a service request and a complaint.
1.5	Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to.	Yes	FAHHA currently directly manages three properties and carefully considers all customer feedback. Our managing housing association partners at our other properties undertake annual resident satisfaction surveys and residents have recourse to their complaints policies.

Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	Residents may make a complaint in person, by telephone, in writing or by email (CP, paragraph 3.2).
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	<p>Our CP and CPr were sent out to all the residents in our three directly managed properties in December 2020. Also, when appropriate, residents are informed that these are available online and by post on request. Most of FAHHA's properties have housing management services provided by other housing associations as managing agents so their complaints policies apply.</p> <p>Our CP and CPr are published on the Housing Association section of the main Funding Affordable Homes webpage: https://fundingaffordablehomes.com/complaints/.</p>
2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	See commentary at 2.3 above.

2.5	Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.	Yes	CP, paragraph 3.11. We have a separate Reasonable Adjustments Policy (last reviewed March 2023, next review March 2026) which sets out the basic principles of our commitment to provide reasonable adjustments and the factors that we will take into account in dealing with requests for reasonable adjustments. Our designated complaints handler has the relevant knowledge gained from experience of dealing with such requests.
2.6	Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.	Yes	See commentary at 2.3 above.
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Yes	See commentary at 2.3 above.
2.8	Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.	Yes	No complaints received during the period in question, but our designated complaints handler is aware of this requirement and the need to signpost residents to the Housing Ombudsman Service at each stage of the process.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.2	Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained.	N/A	FAHHA has not set up channels to communicate with its residents via social media. If it were to in the future then it would update its complaints handling policies accordingly.

Section 3 - Complaint handling personnel

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.1	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	Yes	FAHHA's Head of Housing is our designated complaints officer, with responsibility for ensuring complaints are dealt with in line with our policies and procedures.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	CPr, paragraph 4.2. The CEO has day-to-day operational responsibility for the CPr and must ensure that all staff who may deal with concerns or investigations under the CPr receive regular and appropriate training. Our designated complaints handling officer has the appropriate complaint handling skills and no conflicts of interest.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	<p>Complaint handlers should:</p> <ul style="list-style-type: none">• be able to act sensitively and fairly• be trained to handle complaints and deal with distressed and upset residents• have access to staff at all levels to facilitate quick resolution of complaints• have the authority and autonomy to act to resolve disputes quickly and fairly.	Yes	Our designated complaints handling officer has the appropriate complaint handling skills.

Section 4 - Complaint handling principles

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	<p>Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure within five days of receipt.</p>	Yes	CPr updated to remove the heading referring to "informal resolution".

4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	CPr, paragraph 5.6.2.
4.6	A complaint investigation must be conducted in an impartial manner.	Yes	CPr, paragraph 4.4.
4.7	The complaint handler must: <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	Yes	CPr, paragraph 4.4.
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Yes	CPr, paragraph 5.3.
4.12	The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: <ul style="list-style-type: none"> • set out their position • comment on any adverse findings before a final decision is made. 	Yes	CP and CPr, paragraph 1.2.
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint	Yes	This is set out in our CPr.
4.14	A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints	Yes	CPr, paragraph 5.7.3.

	procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.	Yes	
4.15	A full record must be kept of the complaint, any review 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 reports or surveys prepared.	Yes	No complaints received during the period under review but this would be the case for any future complaint.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Yes	We have an Unacceptable Behaviour Policy (last reviewed March 2023, next review March 2026).

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.3	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic	Yes	Our complaints officer is experienced in managing expectations, including being clear on unreasonable or unrealistic outcomes.
4.4	A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required.	Yes	Our CPr sets out clear timeframes for the complaints handling process.
4.5	Landlords should 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 where this is reasonable.	Yes	Our CP applies to all tenants (as defined at CP, paragraph 2) and their representatives (CP, paragraph 3.11).
4.8	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	Yes	FAHHA's policy is to comply with its legal and regulatory obligations.

4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	Monitored by the designated complaints officer.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	Our CPo sets out clear timeframes for the complaints handling process. Monitored by the designated complaints officer.
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	Yes	Our designated complaints officer interacts with residents to identify areas for improvement.
4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained	Yes	Our designated complaints officer leads on supporting the wider FAHHA team on the complaints process and improvements.
4.19	Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	FAHHA's policy is to comply with its legal and regulatory obligations. We have a separate Reasonable Adjustments Policy which makes it clear that if reasonable adjustments are requested or required we will undertake an Equality Assessment before taking any formal action to understand if there are any other needs and if these needs could be met in any other way.

Section 5 - Complaint stages

Mandatory 'must' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint <u>within 10 working days</u> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	CPr, paragraph 5.6.3
5.5	A complaint response must be sent 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 expeditiously with regular updates provided to the resident.	Yes	CPr, paragraph 5.6.3
5.6	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Monitored by the designated complaints officer.
5.8	Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none">• the complaint stage• the decision on the complaint• the reasons for any decisions made• the details of any remedy offered to put things right• details of any outstanding actions• details of how to escalate the matter to stage two if the resident is not satisfied with the answer	Yes	Monitored by the designated complaints officer, who will set out in any acknowledgement and response.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.9	If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.	Yes	CPr, paragraphs 5.7.1 and 5.7.4
5.10	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	CPr, paragraphs 5.8.2.2 and 5.8.3.3
5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Yes	CPr, paragraph 5.7.4
5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	CPr, paragraphs 5.7.1 and 5.7.4
5.13	Landlords must respond to the stage two complaint <u>within 20 working days</u> of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	CPr, paragraph 5.8.3.4
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions and <ul style="list-style-type: none"> if the landlord has a third stage, details of how to escalate the matter to stage three 	Yes	Monitored by the designated complaints officer who will set out in any response.

	<ul style="list-style-type: none"> if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 		
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Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	N/A	There is no third stage.
5.20	Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied 	N/A	There is no third stage.

Best practice 'should' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	CPr, paragraph 5.6.3
5.3	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	Yes	CPr, paragraph 5.6.3
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	This forms part of our general complaints process.
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint.	Yes	This forms part of our general complaints process.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.14	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	CPr, paragraph 5.8.3.4.
5.15	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response	Yes	We have not had this scenario but we note the recommendation.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.18	Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint <u>within 20 working days</u> of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.	N/A	There is no third stage.
5.19	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	N/A	There is no third stage.

Section 6 - Putting things right

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. 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.	Yes	As set out in our CP and CPr.
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	As set out in our CP and CPr.
6.5	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	As set out in out CP and CPr.
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	As set out in out CP and CPr.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	FAHHA's Head of Housing liaises with the Legal and Governance Team to ensure learning and improvements from complaints, if any, are implemented.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	No	Where possible a resolution will be offered however our CP clearly states that complaints which are subject to legal proceedings will not be treated as a complaint.

Section 7 - Continuous learning and improvement

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	FAHHA's Head of Housing liaises with the Legal and Governance Team to ensure learning and improvements from complaints, if any, are implemented. Our annual report and accounts to the end of June 2023 record that no complaints were received in respect of our directly managed properties during that financial year.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	No	We don't have a specific member of our governing body as lead for complaints. This is because the majority of our properties are managed by third party managing housing associations. The CEO has day-to-day operational responsibility for the CPr.
7.4	As a minimum, governing bodies should receive: <ul style="list-style-type: none"> Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders Regular reviews of issues and trends arising from complaint handling, The annual performance report produced by the Ombudsman, where applicable Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling 	Yes	The majority of our properties are managed by third party managing housing associations. Our Governance & Compliance Committee receives an annual update when reviewing this self-assessment and their attention has been drawn to the Housing Ombudsman's most recent annual review of complaints (published in March 2023).

	Code for scrutiny and challenge.		
	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	Yes	None identified to date, but noted as an action for the CEO, in conjunction with the Legal and Governance Team.
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> • have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments • take collective responsibility for any shortfalls identified through complaints rather than blaming others • act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing. 	Yes	The majority of our properties are managed by third party managing housing associations. Our corporate values and behaviours compliment and encourage all staff to improve complaints handling.

Section 8 - Self-assessment and compliance

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Yes	Annual review and self-assessment by FAHHA's Governance & Compliance Committee in November each year.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	FAHHA's Legal and Governance Team will carry out new self-assessment following any significant restructure and/or change in procedures.
8.3	Following each self-assessment, a landlord must: <ul style="list-style-type: none"> • report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members • publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents • include the self-assessment in their annual report section on complaints handling performance 	Yes	<p>The self-assessment is reported to the Governance & Compliance Committee annually and is also made available to the wider Board. This self-assessment will be reported in our annual report to the end of June 2024.</p> <p>A copy of the annual self-assessment is published on the Housing Association section of the main Funding Affordable Homes webpage: https://fundingaffordablehomes.com/com</p>

			plaints/ Our annual report 2023/24 will include the self-assessment in our annual report section on complaints handling performance.
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