

St. Arthur Homes Limited

Annual Complaint Handling Code Self-Assessment 2023

St Arthur Homes (STAH) is required to complete an annual self-assessment of its compliance with the provisions of the Complaint Handling Code which sets out good practice for responding to complaints effectively and fairly.

The following is STAH's self-assessment for the period October 2022 – October 2023, which was completed by the Complaints Officer, discussed and approved by the Board of Directors on 25 October 2023.

STAH's confirmed that during the period it complied with all the provisions of the Complaint Handling Code.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Section 1 - Definition of a complaint

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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>	Y	Confirmed. Definition adopted in St Arthur Homes's Complaints Policy ("the policy") and in the Complaints Policy Leaflet ("the leaflet")
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.	Y	Confirmed. St Arthur will receive and log complaints from third parties. See guidance in the Complaints Policy under 'Key Principles'.
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.	Y	Confirmed. St Arthur Homes's Complaints Policy sets out how complaints are managed and logged.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Y	Confirmed. St Arthur Homes's Complaints Policy sets out how complaints are managed and logged.
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.	Y	Confirmed. Section 2 of St Arthur Homes's Complaints Policy sets out how complaints are managed and logged.
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.	Y	Confirmed. St Arthur Homes's Complaints Policy sets out how complaints are managed and logged. The Complaints Policy Leaflet for residents contains information on how complainants may contact the Ombudsman at any stage of the complaints process.
Best practice 'should' Requirements			

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

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.	Y	Confirmed. Section 2 of St Arthur Homes's Complaints Policy sets out how complaints are managed and logged.
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.	Y	Confirmed. As parts of its processes of completing the first Tenant Satisfaction Survey St Arthur Homes provided the opportunity to expand on any issues they may have and these were followed-up on.

Section 2 - Accessibility and awareness

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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.	Y	Confirmed. The Complaints Policy Leaflet for residents contains details complaints can be made by post, email, or telephone.
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.	Y	Confirmed. St Arthur Homes's Complaints Policy sets out how complaints are managed, the different stages and timeframes. See here: Complaints - St Arthur Homes
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.	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
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.	Y	Confirmed. Section three of St Arthur Homes's Complaints Policy sets out the commitment to make adjustments for service users of protected (and combined) characteristics.
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.	Y	Confirmed. Publicised on website here: Complaints - St Arthur Homes
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Y	Confirmed. Ombudsman contact information in all correspondence with residents and included in St Arthur Homes's Complaints Policy Leaflet and Complaints Policy
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.	Y	Confirmed. The Complaints Policy Leaflet for residents contains details for residents on their rights to access Housing Ombudsman and this is included in all complaint response letters.
Best practice 'should' Requirements			
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.	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Section 3 - Complaint handling personnel

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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".	Y	Confirmed.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Y	Confirmed.
Best practice 'should' Requirements			
3.3	Complaint handlers should: <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. 	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Section 4 – Complaint handling principles

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
4.1	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 .	Y	Confirmed.
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.	Y	Confirmed.
4.6	A complaint investigation must be conducted in an impartial manner.	Y	Confirmed.
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. 	Y	Confirmed.
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication.	Y	Confirmed.
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. 	Y	Confirmed.
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint.	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
4.14	A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints 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.	Y	Confirmed.
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.	Y	Confirmed.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Y	Confirmed.
Best practice 'should' Requirements			
4.3	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic.	Y	Confirmed.
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.	Y	Confirmed.
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.	Y	Confirmed.
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.	Y	Confirmed.
4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Y	Confirmed.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Y	Confirmed.
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.	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
4.17	Landlords should recognize 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.	Y	Confirmed. The Executive Team will regularly review complaints and ensure that key learning is used to develop services and support for its staff. St Arthur will take a collaborative approach with staff effective change.
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.	Y	Confirmed. St Arthur will respect the Equality Act. An adjustment of standard practice has not happened at the time of completing this self-assessment however any reasonable adjustments will be made to support complainants.

Section 5 - Complaint stages

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
5.1	Landlords must respond to the complaint within 10 working days 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.	Y	Confirmed.
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.	Y	Confirmed. St Arthur Homes is committed to maintaining good communication with complainants and all responses are sent within the required timeframe. Responses will set out the actions that will be taken to redress the issue and the complaint log will track the progress for completing these actions as they relate to the complaint.
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.	Y	Confirmed. This is demonstrated in letters and correspondence saved to file. It is also a requirement of completing the checklist before finalising a complaint response letter.
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 stages 	Y	Confirmed. This is demonstrated in letters and correspondence saved to file. It is also a requirement of completing the checklist before finalising a complaint response letter.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
	<ul style="list-style-type: none"> 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 		
Best practice 'should' Requirements			
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.	Y	Confirmed.
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.	Y	Confirmed. All correspondence to complaints will set out the complainants' rights and possible next stages for escalation including raising issues with the Housing Ombudsman Service.
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.	Y	Confirmed. St Arthur Homes Complaints Management Procedure Checklist details the requirement to review previous reports related to similar or like issues previously raised.
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.	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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.	Y	Confirmed.
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.	Y	Confirmed. St Arthur Homes will always see clarification on their understanding of the issues raised and outcomes required by the resident as detailed above and as part of the acknowledgement process.
5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Y	Confirmed.
5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Y	Confirmed.
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.	Y	Confirmed.
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 stages • 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	Y	Confirmed. All correspondence to complaints will set out the complainants' rights and possible next stages for escalation including raising issues with the Housing Ombudsman Service.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
	<ul style="list-style-type: none"> if the landlord has a third stage, details of how to escalate the matter to stage three if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 		
Best practice 'should' Requirements			
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.	Y	Confirmed.
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	Y	Confirmed. All correspondence to complaints will set out the complainants' rights and possible next stages for escalation including raising issues with the Housing Ombudsman Service.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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.	Y	St Arthur does employ a third stage which is voluntary. Should this offer be taken up by the complainant, a non-executive member of the Board of Directors will respond to the complaint. This is set out in the policy (section four), and the leaflet.
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 stages 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 	Y	Confirmed. All correspondence to complaints will set out the complainants' rights and possible next stages for escalation including raising issues with the Housing Ombudsman Service.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
	Service if the resident remains dissatisfied		
Best practice 'should' Requirements			
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 within 20 working days 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.	Y	Confirmed. All correspondence to complaints will set out the complainants' rights and possible next stages for escalation including raising issues with the Housing Ombudsman Service.
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.	Y	Confirmed.

Section 6 - Putting things right

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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.	Y	Confirmed. St Arthur Homes as a culture of openness and transparency which supports delivering this requirement. All staff have been made of this requirement and the Complaints Officer will ensure that is enacted.
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.	Y	Confirmed. St Arthur Homes will ensure that complainants are made aware of its compensation policy and protocols in the event that this relevant to issues raise. All correspondence to the residents will be clear and transparent about actions and timeframes that it will and is able to take.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
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.	Y	Confirmed. St Arthur Homes will ensure that complainants are made aware of its compensation policy and protocols in the event that this relevant to issues raise. All correspondence to the residents will be clear and transparent about actions and timeframes that it will and is able to take. Evidence of this is in previous responses.
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.	Y	Confirmed. St Arthur Homes will ensure that complainants are made aware of its compensation policy and protocols in the event that this relevant to issues raise. All correspondence to the residents will be clear and transparent about actions and timeframes that it will and is able to take. Evidence of this is in previous responses.
Best practice 'should' Requirements			
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.	Y	Confirmed. The complaints log contains a space for learnings garnered from the complaint being made and/or resolved. These are discussed in internal staff meetings.
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.	Y	Confirmed.

Section 7 – Continuous learning and improvement

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
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.	Y	Confirmed. St Arthur does not have scrutiny panels. However, feedback on complaints from residents and the staff who are handling them are incorporated into internal meetings. St Arthur has a portfolio size under one thousand homes and as such is not producing an annual report. Complaint learnings will feature in the first annual report issued in the future.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Best practice 'should' Requirements			
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.	Y	Confirmed. St Arthur's Board of Directors receive a quarterly update on complaints as part of a wider performance update. The Board agreed on 26 October 2022 that Simon Devitt will be the lead Board member for complaints.
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 Code for scrutiny and challenge. 	Y	Confirmed. The Board of Directors receive an update on complaints as part of a quarterly performance update. Here the volume, category and outcome of the complaints are given and discussed at the quarterly, regular, board meeting.
7.5	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.	Y	Confirmed. There are regular reports to the Board on complaints and discussions take place at team meetings.
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. 	Y	Confirmed. St Arthur has a collegiate culture and enjoys an excellent level of co-operation amongst its staff. Being particularly agile, any shortfalls or requirements for policy and procedural change are readily taken up.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023

Section 8 – Self-assessment and compliance

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
Mandatory 'must' requirements			
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Y	Confirmed.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Y	Confirmed. The Complaints Officer is tasked with ensuring that St Arthur Homes remain complaint at all times with this code and should any changes be required the assessment will be updated and presented to the Board for endorsement.
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 	Y	Confirmed.

St Arthur Homes Annual Complaint Handling Code Self-Assessment 2023