



Housing Ombudsman Complaint Handling Code Self-Assessment

| Compliance Table | | | |
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| 1. Definition of a complaint | Yes | No | Action/notes |
| Does the complaints process use the following definition of a complaint: “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”. | Yes | | |
| Does the policy have exclusions where a complaint will not be considered? | Yes | | |
| Are these exclusions reasonable and fair to residents? | Yes | | |
| Evidence relied upon | Yes | | <p>Exclusions:</p> <ul style="list-style-type: none"> a) The complaint occurred over 6 month ago (unless related to safeguarding or health and safety matters). b) The matter concerned is not the responsibility of Pivotal. c) Legal proceedings are pending or an insurance claim against us is being made. d) During disputes regarding service charge calculations. e) The complaint relates entirely to services or decisions outside of our control. f) An attempt is made to reopen/reconsider a previously concluded complaint where we have provided a final decision. |

| 2. Accessibility | | |
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| Are multiple accessibility routes available for residents to make a complaint? | Yes | |
| Is the complaints policy and procedure available online? | Yes | |
| Do we have a reasonable adjustments policy? | Yes | See section 7.0 of E, D, &I Policy. |
| Do we regularly advise residents about our complaints process? | Yes | |
| 3. Complaints Team and Process | | |
| Is there a complaint officer or equivalent in post? | Yes | |
| Does the complaint officer have autonomy to resolve complaints? | Yes | |
| Does the complaint officer have authority to compel engagement from other departments to resolve disputes? | Yes | |
| If there is a third stage to the complaints procedure are residents involved in the decision making? | N/A | No third stage. |
| Is any third stage optional for residents? | N/A | No third stage. |
| Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service? | Yes | |
| Do we keep a record of complaint correspondence including correspondence from the resident? | Yes | |
| At what stage are most complaints resolved? | 1 | |
| 4. Communication | | |
| Are residents kept informed and updated during the complaints process? | Yes | |
| Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision? | Yes | |
| Are all complaints acknowledged and logged within five days? | Yes | |
| Are residents advised of how to escalate at the end of each stage? | Yes | |
| What proportion of complaints are resolved at stage one? | 95% | Year to date. |
| What proportion of complaints are resolved at stage two? | 5% | Year to date. |
| What proportion of complaint responses are sent within Code timescales? | | |

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| Stage one | | | 75% |
| Stage one (with extension) | | | 85% |
| Stage two | | | 100% |
| Stage two (with extension) | | | 100% |
| Where timescales have been extended did we have good reason? | Yes | | |
| Where timescales have been extended did we keep the resident informed? | Yes | | |
| What proportion of complaints do we resolve to residents' satisfaction? | 85% | | |
| 5. Cooperation with Housing Ombudsman Service | | | |
| Were all requests for evidence responded to within 15 days? | N/A | | None referred to HO. |
| Where the timescale was extended did we keep the Ombudsman informed? | N/A | | None referred to HO. |
| 6. Fairness in complaint handling | | | |
| Are residents able to complain via a representative throughout? | Yes | | |
| If advice was given, was this accurate and easy to understand? | Yes | | |
| How many cases did we refuse to escalate? | 0 | | |
| What was the reason for refusal? | N/A | | |
| Did we explain our decision to the resident? | N/A | | |
| 7. Outcomes and remedies | | | |
| Where something has gone wrong are we taking appropriate steps to put things right? | Yes | | |
| 8. Continuous learning and improvement | | | |
| What improvements have we made as a result of learning from complaints? | | | We have made changes to our maintenance service; employing internal maintenance operatives to ensure that minor repairs can be responded to more efficiently. |



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| How do we share these lessons with: a) Residents? b) The board/governing body? c) In the Annual Report? | | | Customers: Our customer Annual Report will include complaint statistics, and we provide feedback on improvements at House Meetings and through newsletters. Board: Key findings are shared at quarterly Board meetings. Annual Report: We will report on performance data and include examples in our Annual Report. |
| Has the Code made a difference to how we respond to complaints? | Yes | | |
| What changes have we made? | | | We have written a new policy which includes the new timescales, and changes have been made to our training programme. |