

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 complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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 landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: Complaints - Arawak Walton Housing Association	Definition has been adopted and is referenced within section 5.1.5 of the 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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: Complaints - Arawak Walton Housing Association	Definition has been adopted and is referenced within section 5.1.5 of the policy We seek confirmation of consent for 3 rd parties to represent residents as required by GDPR
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	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:	Definition has been adopted and is referenced within section 5.1.9 of the policy Service requests are recorded, monitored and reviewed with our MRC,

	are not complaints, but must be recorded, monitored and reviewed regularly.		<u>Complaints - Arawak Walton Housing Association</u>	Complaints Learning Forum and Tenant Experience Committee
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	As per section 5.2.5 within the policy, Arawak Walton aim to resolve an issue at the first point of contact, any ongoing or outstanding actions to put things right will continue as the complaint is investigated.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Residents are provided with details of how they can lodge a formal complaint at point of survey and any report of dissatisfaction received via a survey is followed up by a relevant staff member to discuss the reasons for their dissatisfaction and actions needed to address.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	<p>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</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>Reasons for exclusion are set out within section 6.1 of the policy.</p> <p>No complaints were excluded during 2024/25</p>
2.2	<p>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:</p> <ul style="list-style-type: none"> • 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 	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>Reasons for which a complaint will not be considered as a complaint or escalated are set out within section 6.1 of the policy.</p>

	<p>Particulars of Claim, having been filed at court.</p> <ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Reasons for exclusion are set out within section 6.1 of the policy.</p> <p>No complaints were excluded during 2024/25</p>
2.4	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Reasons for exclusion are set out within section 6.1 of the policy and specific reasons will be shared with residents as appropriate along with information regarding the right to take the decision to the Ombudsman.</p> <p>No complaints were excluded during 2024/25</p>
2.5	<p>Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p>	<p>We consider each complaint on its own merit and do not take a blanket approach.</p>

			<p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Our Head of Tenant Services (formerly Customer Service Manager) has oversight of complaints to ensure this approach is implemented as per section 8.2.1 of the policy</p> <p>No complaints were excluded during 2024/25</p>
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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>The policy makes reference to this in section 5.1.1. and 5.2.1.</p> <p>Residents are able to make a complaint through a variety of channels including the website, in person, email or post</p> <p>The policy was subject to an Equality impact Assessment undertaken by an external consultant when last reviewed</p> <p>Sections 5.1.4 and 7.9 of the policy set out our approach to making reasonable adjustments</p>
3.2	<p>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</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>The policy makes reference to this in section 5.2.1.</p> <p>Residents are able to make a complaint to any member of staff and through a variety of channels including</p>

	<p>to the appropriate person within the landlord.</p>			<p>the website, in person, e-mail or post</p> <p>Overarching complaints training on the policy and procedures is provided to employees and specific complaints handling training provided to complaint handlers.</p> <p>Member Responsible for Complaints (MRC) attended HOS MRC Conference in October 2024</p>
3.3	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p> <p>Arawak Walton Housing Association Annual Report 2024/25</p> <p><u>https://arawakwalton.com/our-annual-report-2024-25-building-homes-strengthening-communities/</u></p>	<p>A Tenant Engagement Officer was recruited in June 2024 whose remit specifically includes complaints</p> <p>We are open to receiving feedback and have seen an increase in complaints from 40 in 2023/24 to 74 in 2024/25</p> <p>In January 2025 we established a Tenant Experience Committee (sub-committee of Board)</p>

				<p>and Complaint Learning Forum to increase scrutiny, accountability and learnings around complaints.</p> <p>Complaint analysis, trends, themes and learnings are monitored and reported quarterly to the Senior Management Team, Board and Tenant Experience Committee and within our Annual Report and Annual Complaints Report, both of which are published on our website and shared via social media</p>
3.4	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Explicit reference made to this within section 5.1.2 of the policy.</p> <p>The policy is available via our website and included within the Tenant Handbook.</p> <p>Accessible website which includes translation functionality. Paper copies will be provided on request.</p>

				Complaints process is two-stage and this is referenced within section 5.2.9 – 5.2.15 of the policy
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Practice adopted and confirmed within sections 5.1.4 and 7 of the policy. Policy and information about the Ombudsman and the Complaint Handling Code publicised on website and in tenant newsletters, Tenant Handbook and all complaint related correspondence.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Practice adopted and confirmed within sections 5.1.5, 5.2.2 and 7.9 of the policy.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Explicit reference made to this right within section 7 of the policy, publicised on our website and in tenant newsletters, Tenant Handbook and all complaint related correspondence.

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Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	<p>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.</p>	Yes	<p>We are a small association. Complaint related communication is directed into the Tenant Engagement Officer who is responsible for logging and coordinating all activity in accordance with the policy.</p> <p>A central email address is available and publicised: complaints@arawkwalton.com</p> <p>This is monitored by the Tenant Engagement Officer and a number of other colleagues e.g. Head of Tenant Services.</p> <p>Complaint Learning Forum review specific complaints and complaints activity, including any engagement with the Ombudsman is reported by the Operations Director into the</p>	<p>Tenant Engagement Officer has responsibility for the administration of complaints.</p> <p>Individual complaint handling managers have responsibility for the investigation of stage 1 complaints.</p> <p>Operations Director and Chief Executive Officer have responsibility for the investigation of stage 2 complaints.</p> <p>Operations Director has responsibility for liaison with the Ombudsman and reporting to the Tenant Experience Committee and Board.</p>

			<p>Tenant Experience Committee and Board on a quarterly basis.</p> <p>Stage 2 complaints are investigated by either the Operations Director or Chief Executive Officer.</p>	
4.2	<p>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.</p>	Yes	<p>The Tenant Engagement Officer has authority over and access to staff at all levels, including a number of investigating manager to whom complaints are assigned.</p>	<p>Acknowledgement and response times in relation to both Stage 1 and Stage 2 complaints are monitored and reported to Senior Management, Tenant Experience Committee and Board on a quarterly basis.</p> <p>The MRC and Complaint Learning Forum review quality of investigations, response and complaint outcomes and feedback reported into the Tenant Experience Committee</p>
4.3	<p>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</p>	Yes	<p>Head of Tenant Services, Tenant Engagement Officer oversee complaint handling and training needs in conjunction with our Learning and Development team.</p>	<p>Acknowledgement and response times in relation to both Stage 1 and Stage 2 complaints are monitored and reported to Senior Management, Tenant Experience Committee and Board on a quarterly basis.</p>

				<p>Learning from complaints is recorded as part of complaint response and resolution process.</p> <p>The MRC and Complaint Learning Forum review quality of investigations, response and complaint outcomes and feedback reported into the Tenant Experience Committee</p>
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Section 5: The Complaint Handling Process

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	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>There is one policy in place that applies to all residents and this is available via our website.</p> <p>No resident is treated differently if they complain though sections 5.1.4 and 7.9 of the policy set out our approach to making reasonable adjustments</p>

				where required and with the agreement of the resident.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Our internal complaint process has 2 stages as detailed within sections 5.2.9 – 5.2.15 of the policy which is available on our website. Residents are made aware at all stages that they can access the Housing Ombudsman Service at any time and contact details are provided should they wish to do so.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Our internal complaint process has 2 stages as detailed within sections 5.2.9 – 5.2.15 of the policy which is available on our website. Residents are made aware at all stages that they can access the Housing Ombudsman Service at any time and contact details are provided should they wish to do so.

5.4	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Section 6.1 of the policy sets out the circumstances as to when a complaint will not follow our policy.</p> <p>All complaints accepted in 2024/25 were managed, investigated and responded to in accordance with the policy by internal staff who will liaise with any third parties as required.</p> <p>No resident will be expected to go through 2 complaint processes.</p>
5.5	<p>Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Any complaints handled by a representative or third party will be managed in accordance with the policy.</p> <p>All complaints accepted in 2024/25 were managed, investigated and responded to in accordance with the policy by internal staff who will liaise with any third parties as required.</p>

5.6	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Our understanding of the complaint is set out within the acknowledgement letter and any clarification needed is obtained as part of the subsequent investigation.</p> <p>Our understanding of the complaint is also set out within our response.</p>
5.7	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Our understanding of the complaint and which aspects we are responsible for or not are set out within the acknowledgement letter.</p> <p>Should we not be responsible for any aspect of a complaint e.g. highways, pathways, refuse collection etc. we will signpost a resident into relevant agencies e.g. Local Authority and support the resident in seeking a resolution.</p>
5.8	<p>At each stage of the complaints process, complaint handlers must:</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and</p>	<p>All complaints are dealt with on their individual merits.</p>

	<ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 		<p>Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>All complaint handlers have received training on the policy and complaint handling.</p> <p>All complaint handlers are required to adhere to our Customer Service Charter.</p> <p>When assigning a complaint to an investigating manager, any conflict or perceived conflict of interest is considered.</p> <p>All investigating managers will offer to meet with a resident to discuss their complaint either in their home or a place of their choosing.</p>
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	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and</p> <p>Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>An extension in relation to response timescales must be with the knowledge and consent of the resident along with agreed suitable intervals for keeping them informed.</p> <p>No extension of time will exceed 10 working days for</p>

				<p>stage 1 and 20 working days for stage 2 complaints.</p> <p>Any complaint response extensions and responses failing outside of the timescales set out within the Code are recorded and reported quarterly to Senior Management, Tenant Experience Committee and Board.</p>
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	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p> <p>Vulnerability Policy ED&I Policy and Strategy</p>	<p>Sections 5.1.4 and 7.9 of the policy set out our approach to making reasonable adjustments where required and with the agreement of the resident.</p> <p>We undertake biennial home visits with residents to ensure all relevant details around resident circumstances are captured and accurate.</p>
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	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and	Any request to escalate a complaint to Stage 2 of the complaint process is complied with.

	must comply with the provisions set out in section 2 of this Code.		Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	No requests to escalate to Stage 2 were declined in 2024/25. A total of 10 complaints were escalated to Stage 2.
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	We are a small association and all complaint activity including original complaint, date received and outcomes are currently recorded on a combination of our housing management system and spreadsheets and all correspondence within defined folders.	Increased and improved oversight and focus on complaints following the employment of a Tenant Engagement Officer in June 2024 whose remit includes for the administration and management of complaints.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Early resolution is sought wherever possible and is referenced within 5.1.6 of the policy. Residents are also notified within 5.2.6 of their ability to seek early resolution, advice and support from the Housing Ombudsman. Our MRC and Complaint Learning Forum review complaints and identify learnings which improve our ability to avoid complaints

				but achieve early resolution where they arise.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u> Unacceptable Behaviour Guidance	Section 7.8 of the policy references the Unacceptable Behaviour Guidance. An Unacceptable Behaviour Policy which aligns with the Housing Ombudsman approach to dealing with unacceptable behaviour is to be drafted and adopted in 2025/26. An Equality Impact Assessment of the policy will be undertaken.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Section 7.8 of the policy references the Unacceptable Behaviour Guidance. An Unacceptable Behaviour Policy which aligns with the Housing Ombudsman approach to dealing with unacceptable behaviour is to be drafted and adopted in 2025/26. An Equality Impact Assessment of the policy will be undertaken.

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Section 6: Complaints Stages

Stage 1

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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Early resolution is sought wherever possible and is referenced within 5.1.6 of the policy. Section 5.2.9 of the policy confirms our aim of concluding all Stage 1 complaints as quickly as possible but no more than 10 working days. Within a response we will acknowledge and apologise where we have got things wrong, providing an explanation as to why, what actions we will take to put things right with timescales for their completion and any learning identified.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five</u>	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:	This practice has been adopted and is referenced within 5.2.9 of the policy.

	<u>working days of the complaint being received.</u>		<u>Complaints - Arawak Walton Housing Association</u>	Performance against this service standard is monitored and reported quarterly to Senior Management, Tenant Experience Committee and Board.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	This practice has been adopted and is referenced within 5.2.9 of the policy. Performance against this service standard is monitored and reported quarterly to Senior Management, Tenant Experience Committee 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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	This practice has been adopted and is referenced within 5.2.9 of the policy. An extension in relation to response timescales must be with the knowledge and consent of the resident along with agreed suitable intervals for keeping them informed.

				<p>No extension of time will exceed 10 working days.</p> <p>Any complaint response extensions and responses failing outside of the timescales set out within the Code are recorded and reported quarterly to Senior Management, Tenant Experience Committee and Board.</p>
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Explicit reference made to the right to contact the Housing Ombudsman at any time throughout the complaint process within section 7 of the policy and all complaint related correspondence along with contact details.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Section 5.2.9 of the policy confirms our aim of concluding all Stage 1 complaints as quickly as possible but no more than 10 working days. Within a response we will acknowledge and apologise

				<p>where we have got things wrong, providing an explanation as to why, what actions we will take to put things right with timescales for their completion and any learning identified.</p> <p>All agreed actions are recorded and tracked for completion by the Tenant Engagement Officer.</p>
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	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Our understanding of the complaint, reasons for conclusions and decisions and relevant policy, law and good practice that have informed them are set out within our response.</p> <p>Complaint response template is available to all complaint handlers.</p>
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	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>We will seek to ensure we have full understanding of a complaint from the outset and through our investigation however, any additional related issues raised during this process will be incorporated into the</p>

	investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			complaint and addressed within the Stage 1 response. Where a Stage 1 response has been issued, new issues raised are unrelated to the issues currently under investigation or it would unreasonably delay a response a new complaint is logged.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ol 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 details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	A complaint response template is provided to all Complaint Handlers and quality assurance checks are carried out by a Head of Service before they are shared with residents.

Stage 2

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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: Complaints - Arawak Walton Housing Association	Escalation to Stage 2 documented within Section 5.2.12 of the policy. Reference to Stage 2 being our final response contained within Stage 2 response letter.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: Complaints - Arawak Walton Housing Association	This practice has been adopted and is referenced within 5.2.14 of the policy. Performance against this service standard is monitored and reported quarterly to Senior Management, Tenant Experience Committee 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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: Complaints - Arawak Walton Housing Association	No explanation is requested of a resident wishing to escalate a complaint to Stage 2 as documented within Section 5.2.12 of the policy.

6.13	<p>The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>This practice has been adopted and is referenced within 5.2.12 of the policy.</p> <p>All Stage 2 complaints are investigated by either the Chief Executive or a Director who will not have investigated at Stage 1.</p>
6.14	<p>Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>This practice has been adopted and is referenced within 5.2.15 of the policy.</p> <p>Performance against this service standard is monitored and reported quarterly to Senior Management, Tenant Experience Committee and Board.</p>
6.15	<p>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.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>This practice has been adopted and is referenced within 5.2.15 of the policy.</p> <p>An extension in relation to response timescales must be with the knowledge and consent of the resident along with agreed suitable</p>

				<p>intervals for keeping them informed.</p> <p>No extension of time will exceed 20 working days.</p> <p>Any complaint response extensions and responses failing outside of the timescales set out within the Code are recorded and reported quarterly to Senior Management, Tenant Experience Committee and Board.</p>
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Explicit reference made to the right to contact the Housing Ombudsman at any time throughout the complaint process within section 7 of the policy and all complaint related correspondence along with contact details.
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	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:	Section 5.2.15 of the policy confirms providing a response no later than 20 working days from date of acknowledgement.

	tracked and actioned promptly with appropriate updates provided to the resident.		<u>Complaints - Arawak Walton Housing Association</u>	Within a response we will acknowledge and apologise where we have got things wrong, providing an explanation as to why, what actions we will take to put things right with timescales for their completion and any learning identified. All agreed actions are recorded and tracked for completion by the Tenant Engagement Officer.
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	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Our understanding of the complaint, reasons for conclusions and decisions and relevant policy, law and good practice that have informed them are set out within our response. Complaint response template is available to all complaint handlers.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:	Our understanding of the complaint, reasons for conclusions and decisions and relevant policy, law and good practice that have

	<p>d. the reasons for any decisions made;</p> <p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>		<p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>informed them are set out within our response. Complaint response template is available to all complaint handlers.</p>
6.20	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p><u>Complaints - Arawak Walton Housing Association</u></p>	<p>Escalation to Stage 2 documented within Section 5.2.12 of the policy.</p> <p>All Stage 2 complaints are investigated by either the Chief Executive or a Director who will involve all suitable staff members in their investigation.</p> <p>Reference to Stage 2 being our final response contained within Stage 2 response letter.</p>

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>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.</p> <p>These can include:</p> <ul style="list-style-type: none"> • 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	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>Our commitment to taking action to put things right is stated within Section 7.4.2 of the policy.</p> <p>Within a response we will acknowledge and apologise where we have got things wrong, providing an explanation as to why, what actions we have taken and will take to put things right with timescales for their completion and any learning identified.</p> <p>All agreed actions are recorded and tracked for completion by the Tenant Engagement Officer</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	Yes	<p>Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:</p> <p>Complaints - Arawak Walton Housing Association</p>	<p>In addition to acknowledging and apologising where we have got things wrong, providing an explanation as to why, what actions we have taken and will take to put things right with timescales for</p>

				their completion and any learning identified, we consider impact and financial re-imbursement, goodwill payment and/or compensation which reflect the Housing Ombudsman remedies guidance as contained within Appendix 1 of the policy.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website: <u>Complaints - Arawak Walton Housing Association</u>	Within a response we will acknowledge and apologise where we have got things wrong, providing an explanation as to why, what actions we have taken and will take to put things right with timescales for their completion and any learning identified. All agreed actions are recorded and tracked for completion by the Tenant Engagement Officer
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints, Concerns and Compensation Policy, Short Guide to Making a Complaint and Complaints Procedure available via our website:	Remedies are consistent with guidance issued by the Housing Ombudsman

			<u>Complaints - Arawak Walton Housing Association</u>	
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Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and 	Yes	<p>Annual Complaints Performance and Service Improvement Report</p> <p>https://arawakwalton.com/wp-content/uploads/Annual-Complaints-and-Service-Improvement-2024-25-Web-Version.pdf</p>	<p>The Annual Complaints Performance Report is published on our website and contains all information required by the Code.</p>

	f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.			
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	Annual Complaints Performance and Service Improvement Report https://arawakwalton.com/wp-content/uploads/Annual-Complaints-and-Service-Improvement-2024-25-Web-Version.pdf	The Annual Complaints Performance and Service Improvement Report is reported to both our Tenant Experience Committee and Board prior to publication on the website and includes their response.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	N/A	A self-assessment will be undertaken should any significant restructure, merger and/or change in procedures
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	N/A	A self-assessment review and update will be undertaken following an Ombudsman investigation.
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	N/A	Arawak Walton will notify the Ombudsman if we are unable to comply with the Code due the exceptional circumstances described.

Section 9: Scrutiny & oversight: continuous learning and improvement

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	<p>Complaint Learning Forum</p> <p>Annual Complaints Performance and Service Improvement Report https://arawakwalton.com/wp-content/uploads/Annual-Complaints-and-Service-Improvement-2024-25-Web-Version.pdf</p>	<p>Lessons learned are identified and captured in relation to all complaints.</p> <p>Complaint Learning Forum meets quarterly to review specific complaints and identify learning and improvements.</p> <p>Feedback and outcomes from the Forum are shared with both Tenant Experience Committee and Board.</p>
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	<p>Complaint Learning Forum</p> <p>Annual Complaints Performance and Service Improvement Report https://arawakwalton.com/wp-content/uploads/Annual-Complaints-and-Service-Improvement-2024-25-Web-Version.pdf</p>	<p>Lessons Learned identified and captured in relation to all complaints and shared with staff.</p> <p>The MRC and Complaint Learning Forum review quality of investigations, response and complaint outcomes and feedback reported into the Tenant Experience Committee</p>

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	<p>Complaint Learning Forum</p> <p>Arawak Walton Housing Association Annual Report 2024/25</p> <p>https://arawakwalton.com/our-annual-report-2024-25-building-homes-strengthening-communities/</p> <p>Annual Complaints Performance and Service Improvement Report</p> <p>https://arawakwalton.com/wp-content/uploads/Annual-Complaints-and-Service-Improvement-2024-25-Web-Version.pdf</p>	<p>Lessons learned are identified and captured in relation to all complaints.</p> <p>Complaint Learning Forum meets quarterly to review specific complaints and identify learning and improvements.</p> <p>Feedback and outcomes from the Forum are shared with both Tenant Experience Committee and Board</p>
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	<p>Complaints - Arawak Walton Housing Association</p> <p>Arawak Walton Housing Association Annual Report 2024/25</p> <p>https://arawakwalton.com/our-annual-report-2024-25-building-homes-strengthening-communities/</p>	<p>The Operations Director is responsible for reviewing and implementing the Policy.</p>

9.5	<p>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').</p>	Yes	<p>Sharon Thomas, Board Member has been appointed as the Member Responsible for Complaints</p> <p><u>Complaints - Arawak Walton Housing Association</u></p> <p>Arawak Walton Housing Association Annual Report 2024/25</p> <p>https://arawakwalton.com/our-annual-report-2024-25-building-homes-strengthening-communities/</p>	<p>Board member, Sharon Thomas appointed MRC March 2024.</p>
9.6	<p>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.</p>	Yes	<p>Quarterly updates provided to Tenant Experience Forum and Board</p> <p>MRC provides further feedback and assurance to Board</p>	<p>MRC meets regularly with the Operations Director to review and discuss complaint activity, specific complaints and outcomes.</p> <p>MRC attends relevant seminars and conferences and Ombudsman led lessons learned sessions and annual conference.</p> <p>MRC is chair of the Complaint Learning Forum</p> <p>Quarterly reporting on complaint related activity is</p>

				provided to both Tenant Experience Committee and Board
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	Yes	<p>Quarterly updates provided to Tenant Experience Committee and Board</p> <p>MRC provides further feedback and assurance to Board</p>	<p>MRC meets regularly with the Operations Director to review and discuss complaint activity, specific complaints and outcomes.</p> <p>MRC attends relevant seminars and conferences and Ombudsman led lessons learned sessions and annual conference.</p> <p>MRC is chair of the Complaint Learning Forum</p> <p>Quarterly reporting on complaint related activity is provided to both Tenant Experience Committee and Board</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; 	Yes	<p>Standard objective contained within individual Operations Staff job descriptions relating to complaint handling and professionalism</p>	<p>Complaint Learning Forum meets quarterly to review specific complaints including quality of investigation and response, adherence with service standards and identify learning and improvements.</p>

<p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>			
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