

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	Complaint is defined in Bahay Kubo HA Complaints Policy and Procedure document. The same document includes the definition of “complaint” as different from a “first-time report or service request”.	
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	In the same document it says: “Principles of Complaint Handling BKHA’s complaints handling is based on the following principles: <input type="checkbox"/> Fairness – Complaints will be handled impartially and objectively. <input type="checkbox"/> Accessibility – Residents can submit complaints through various channels: in person, by phone, email, letter, or online. <input type="checkbox"/> Responsiveness – Complaints will be acknowledged and responded to within set timeframes.	

			<input type="checkbox"/> Transparency – Clear information about the complaints process and next steps will be provided. <input type="checkbox"/> Accountability – Complaints data will be used to improve services.”	
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	<p>The same document says: “Definition of a Complaint- A complaint is an expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by BKHA, its staff, or contractors that affect an individual resident or group of residents.</p> <p>The following are not considered complaints under this policy: <input type="checkbox"/> First-time reports of a service request (e.g., reporting a repair). <input type="checkbox"/> Issues where a separate appeals process exists (e.g., tenancy or allocation appeals).</p>	
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	Yes	The Informal Resolution (Stage 0) says: “Before making a formal complaint, residents are encouraged to discuss concerns with a Housing Officer or relevant staff member. Many issues can	

	the service request if the resident complains.		be resolved quickly and informally. If unresolved, the resident may proceed to a formal complaint.”	
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	<p>The Formal Complaint Stage 1 says:</p> <p>“<input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.</p> <p><input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following:</p> <ul style="list-style-type: none"> a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response <p><input type="checkbox"/> A Housing Officer or relevant manager will investigate.</p> <p><input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an</p>	

			explanation and a revised timeline.	
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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint, they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	One of the Principles of Bahay Kubo on complaint handling is: <input type="checkbox"/> Fairness meaning Complaints will be handled impartially and objectively.	
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 Particulars of Claim, having been filed at court. 	Yes	<p>In the Complaints process, under 4.1 Informal Resolution (Stage 0) it says: “Before making a formal complaint, residents are encouraged to discuss concerns with a Housing Officer or relevant staff member. Many issues can be resolved quickly and informally.”</p> <p>There was no complaint issue raised over twelve months</p>	

	<ul style="list-style-type: none"> • Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	There was no complaint referred to Bahay Kubo that is 12 months or over. Though Bahay Kubo is willing to accept complaints made outside time limit	
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	<p>In the same document under Compliance, it says: “<input type="checkbox"/> BKHA will comply with the Housing Ombudsman’s Complaint Handling Code and Regulator of Social Housing standards.</p> <p><input type="checkbox"/> Any failures in compliance will be reported to the Board and the Ombudsman.</p> <p><input type="checkbox"/> BKHA will co-operate fully with any Ombudsman investigations and implement recommendations promptly.</p>	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<p>One of the Principles of Complaint Handling of BKHA says:</p> <p>“<input type="checkbox"/> Responsiveness – Complaints will be acknowledged and responded to within set</p>	

			timeframes.” But BKHA practice Fairness, where “Complaints will be handled impartially and objectively.”	
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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	One of the Principles of Complaint Handling of BKHA says: "Accessibility – Residents can submit complaints through various channels: in person, by phone, email, letter, or online."	
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	In the Complaints Process, under the Informal Resolution Stage it says: "Before making a formal complaint, residents are encouraged to discuss concerns with a Housing Officer or relevant staff member. Many issues can be resolved quickly and informally."	
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a	Yes	In the same document, under Learning and Continuous Improvement, it says: "Learning and Continuous Improvement □ BKHA will analyse complaints data to identify	

	sign that residents are unable to complain.		<p>recurring issues and improve service delivery.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Staff training will be provided to enhance complaint handling. <input type="checkbox"/> BKHA will publish learning outcomes from complaints to promote transparency and accountability. 	
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	<p>In the same document, under Reporting, it says: "<input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken.</p> <ul style="list-style-type: none"> <input type="checkbox"/> A quarterly complaints report will be reviewed by the Board, identifying trends and service improvements. <input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA's Annual Report to Residents. 	
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	The Bahay Kubo HA Complaints Policy and Procedure document will be published in the company website.	
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	The same document says: "5. Tenant Representatives At any point, tenants may have a representative assist with their complaint. This representative	

	accompanied at any meeting with the landlord.		can be a relative, another tenant, or an external advocate, provided they have the tenant's written permission.	
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	<p>The same document says: "6. Housing Ombudsman Referral</p> <p>If a complainant remains dissatisfied after Stage 3, they may escalate their complaint to the Housing Ombudsman Service:</p> <p>Housing Ombudsman Service Website: www.housing-ombudsman.org.uk Phone: 0300 111 3000 Email: info@housing-ombudsman.org.uk"</p>	

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	<p>In the complaints process it says: "Before making a formal complaint, residents are encouraged to discuss concerns with a Housing Officer or relevant staff member.</p> <p>A Housing Officer or relevant manager will investigate.</p> <p>If dissatisfied with the response, the complainant may request a review within 20 working days.</p> <p>The complaint will be escalated to the Managing Director or another senior officer.</p>	
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	The Housing Officer or relevant manager that will investigate or the Managing Director or another senior officer have the full authority to act and resolve disputes promptly and fairly.	
4.3	Landlords are expected to prioritise complaint handling and a culture of	Yes	The Bahay Kubo HA Complaints Policy and Procedure says:	

	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>“8. Learning and Continuous Improvement</p> <ul style="list-style-type: none"> <input type="checkbox"/> BKHA will analyse complaints data to identify recurring issues and improve service delivery. <input type="checkbox"/> Staff training will be provided to enhance complaint handling. <input type="checkbox"/> BKHA will publish learning outcomes from complaints to promote transparency and accountability.” 	
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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>The Bahay Kubo HA Complaints Policy and Procedure says: “3. Principles of Complaint Handling</p> <p>BKHA’s complaints handling is based on the following principles:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Fairness – Complaints will be handled impartially and objectively. <input type="checkbox"/> Accessibility – Residents can submit complaints through various channels: in person, by phone, email, letter, or online. 	

			<input type="checkbox"/> Responsiveness – Complaints will be acknowledged and responded to within set timeframes. <input type="checkbox"/> Transparency – Clear information about the complaints process and next steps will be provided. <input type="checkbox"/> Accountability – Complaints data will be used to improve services.”	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “4. Complaints Process</p> <p>4.1 Informal Resolution (Stage 0)</p> <p>Before making a formal complaint, residents are encouraged to discuss concerns with a Housing Officer or relevant staff member. Many issues can be resolved quickly and informally.”</p>	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “4.3 Complaint Review – Stage 2</p> <p>If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days.</p>	

			<input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant."	
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes		
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear,	Yes	The Bahay Kubo HA Complaints Policy and Procedure says: "4.2 Formal Complaint – Stage 1 <input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.	

	the resident must be asked for clarification.		<input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response <input type="checkbox"/> A Housing Officer or relevant manager will investigate. <input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline.”	
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	The Bahay Kubo HA Complaints Policy and Procedure says: “4.2 Formal Complaint – Stage 1 <input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.	

			<input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response	
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> deal with complaints on their merits, act independently, and have an open mind; give the resident a fair chance to set out their position; take measures to address any actual or perceived conflict of interest; and consider all relevant information and evidence carefully. 	Yes	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “4.2 Formal Complaint – Stage 1</p> <input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel. <input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right	

			<p>f) details of any outstanding actions</p> <p>g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response</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>The Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>“4.2 Formal Complaint – Stage 1</p> <p><input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline.</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><input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken.</p> <p><input type="checkbox"/> A quarterly complaints report will be reviewed by the Board, identifying trends and service improvements.</p> <p><input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA’s Annual Report to Residents.</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	Yes	<p>The Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>”4.3 Complaint Review – Stage 2</p>	

	clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.		<p>If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days.</p> <ul style="list-style-type: none"> <input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. 	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says:</p> <ul style="list-style-type: none"> <input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken. <input type="checkbox"/> A quarterly complaints report will be reviewed by the Board, identifying trends and service improvements. <input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA's Annual Report to Residents. 	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>“4. Complaints Process</p> <p>4.1 Informal Resolution (Stage 0)</p> <p>Before making a formal complaint, residents are</p>	

			encouraged to discuss concerns with a Housing Officer or relevant staff member. Many issues can be resolved quickly and informally.”	
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	This is included in Bahay Kubo HA Policies, Procedures and Guide to Dealing with Anti-Social Behaviour	
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	In the Tenancy Agreement, it says: “Not to commit or allow members of his/her household or invited visitors to commit any form of harassment whether on the grounds of race, colour, religion, sex, sexual orientation or disability or otherwise which may interfere with the peace and comfort of, or cause offence to any other person.”	

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	<p>The Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>“4.2 Formal Complaint – Stage 1</p> <p><input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.</p> <p><input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following:</p> <p>a) the complaint stage</p> <p>b) the complaint definition</p> <p>c) the decision on the complaint</p> <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</p> <p>g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response</p> <p><input type="checkbox"/> A Housing Officer or relevant manager will investigate.</p>	

			<input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline."	
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	<p>The Bahay Kubo HA Complaints Policy and Procedure says: "4.2 Formal Complaint – Stage 1</p> <input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel. <input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working</u>	Yes	The Bahay Kubo HA Complaints Policy and Procedure says: "4.2 Formal Complaint – Stage 1	

	<u>days</u> of the complaint being acknowledged.		<input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline."	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “4.2 Formal Complaint – Stage 1</p> <input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline.”	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “7. Housing Ombudsman Referral</p> <p>If a complainant remains dissatisfied after Stage 3, they may escalate their complaint to the Housing Ombudsman Service:</p> <p>Housing Ombudsman Service Website: www.housing-ombudsman.org.uk Phone: 0300 111 3000</p>	

			Email: info@housing-ombudsman.org.uk”	
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	<p>The Bahay Kubo HA Complaints Policy and Procedure says: “4.2 Formal Complaint – Stage 1</p> <p><input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.</p> <p><input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following:</p> <ul style="list-style-type: none"> a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response” 	
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>The Bahay Kubo HA Complaints Policy and Procedure says: “4.2 Formal Complaint – Stage 1</p> <p><input type="checkbox"/> Complaints can be submitted in writing or verbally through any communication channel.</p>	

			<input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response	
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	BHKA believes in Fairness which also mean, each "Complaint will be handled impartially and objectively."	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	4.2 Formal Complaint – Stage 1 of the Bahay Kubo HA Complaints Policy and Procedure says: <input type="checkbox"/> Complaints can be submitted in writing or verbally	

	d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.		through any communication channel. <input type="checkbox"/> BKHA will acknowledge receipt within 5 working days, confirming the following: a) the complaint stage b) the complaint definition c) the decision on the complaint d) the reasons for any decisions made e) the details of any remedy offered to put things right f) details of any outstanding actions g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response	
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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	Bahay Kubo HA Complaints Policy and Procedure says: "4.3 Complaint Review – Stage 2 If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days.	

			<input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant."	
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	Bahay Kubo HA Complaints Policy and Procedure says: "4.3 Complaint Review – Stage 2 If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days. <input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant."	
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	Yes		

	understand why a resident remains unhappy as part of its stage 2 response.			
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes		
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says: “4.3 Complaint Review – Stage 2</p> <p>If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days.</p> <ul style="list-style-type: none"> <input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant.” 	
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason,	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says: “4.3 Complaint Review – Stage 2</p> <p>If dissatisfied with the Stage 1 response, the complainant may</p>	

	and the reason(s) must be clearly explained to the resident.		request a review within 20 working days. <input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant.”	
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	<p>Bahay Kubo HA Complaints Policy and Procedure says: “4.3 Complaint Review – Stage 2</p> <p>If dissatisfied with the Stage 1 response, the complainant may request a review within 20 working days. <input type="checkbox"/> The complaint will be escalated to the Managing Director or another senior officer. <input type="checkbox"/> A further investigation will be conducted. <input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant.</p> <p>7. Housing Ombudsman Referral</p>	

			<p>If a complainant remains dissatisfied after Stage 3, they may escalate their complaint to the Housing Ombudsman Service:</p> <p>Housing Ombudsman Service Website: www.housing-ombudsman.org.uk Phone: 0300 111 3000 Email: info@housing-ombudsman.org.uk</p>	
6.17	<p>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.</p>	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>“<input type="checkbox"/> A full written response will be provided within 10 working days from acknowledgment. If more time is required, BKHA will inform the complainant with an explanation and a revised timeline.</p> <p><input type="checkbox"/> A final written response will be issued within 20 working days. If more time is required, BKHA will inform the complainant.”</p>	
6.18	<p>Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant</p>	Yes		

	policy, law and good practice where appropriate.			
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>“<input type="checkbox"/> Bahay Kubo HA must confirm the following in writing to the tenant at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> a. The complaint stage b. The complaint definition c. The decision on the complaint d. The reasons for any decisions made e. The details of any remedy offered to put things right; f. The details of any outstanding actions; and g. Details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	
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>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p><input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken and will be discussed during staff meeting a management board meeting.</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. 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>Bahay Kubo HA Complaints Policy and Procedure says: 5. Appeals Procedure</p> <p>“5.1 Tenants may appeal to the Management Board in writing or in person. The Director will report the complaint’s handling to the Management Board.</p> <p>5.2 The MB will review the complaint and issue a decision, which may include:</p> <ul style="list-style-type: none"> a. Issuing an apology if justified. b. Conducting further investigation. c. Determining that no further action is necessary. 	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>5. Appeals Procedure</p> <p>“5.1 Tenants may appeal to the Management Board in writing or</p>	

			<p>in person. The Director will report the complaint's handling to the Management Board.</p> <p>5.2 The MB will review the complaint and issue a decision, which may include:</p> <ul style="list-style-type: none"> a. Issuing an apology if justified. b. Conducting further investigation. c. Determining that no further action is necessary. <p>5.3 If further investigation is needed, it may be assigned to a subcommittee. The tenant may be invited to a meeting with the subcommittee to discuss their complaint. The subcommittee's findings will be reviewed by the MB, and the final decision will be communicated within 7 days."</p>	
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	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>"8.3 Compliance</p> <ul style="list-style-type: none"> <input type="checkbox"/> BKHA will comply with the Housing Ombudsman's Complaint Handling Code and Regulator of Social Housing standards. 	

			<input type="checkbox"/> Any failures in compliance will be reported to the Board and the Ombudsman. <input type="checkbox"/> BKHA will co-operate fully with any Ombudsman investigations and implement recommendations promptly.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Bahay Kubo HA Complaints Policy and Procedure says: “8.3 Compliance <input type="checkbox"/> BKHA will comply with the Housing Ombudsman’s Complaint Handling Code and Regulator of Social Housing standards. <input type="checkbox"/> Any failures in compliance will be reported to the Board and the Ombudsman. <input type="checkbox"/> BKHA will co-operate fully with any Ombudsman investigations and implement recommendations promptly.	

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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 f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Bahay Kubo HA Complaints Policy and Procedure says: 8.1 Self-Assessment <input type="checkbox"/> BKHA will self-assess its complaint handling against the Housing Ombudsman Complaint Handling Code annually. <input type="checkbox"/> Self-assessment results will be reported to the Board and published on BKHA's website. <input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA's Annual Report to Residents. <input type="checkbox"/> BKHA will analyse complaints data to identify recurring issues and improve service delivery. <input type="checkbox"/> Staff training will be provided to enhance complaint handling. <input type="checkbox"/> BKHA will publish learning outcomes from complaints to promote transparency and accountability.	

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	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>"8.2 Reporting</p> <ul style="list-style-type: none"> <input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken. <input type="checkbox"/> A quarterly complaints report will be reviewed by the Board, identifying trends and service improvements. <input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA's Annual Report to Residents." 	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	This will be included the formulation of new business plan of BKHA.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	<p>Bahay Kubo HA Complaints Policy and Procedure says:</p> <p>"8.3 Compliance</p> <ul style="list-style-type: none"> <input type="checkbox"/> BKHA will comply with the Housing Ombudsman's Complaint Handling Code and Regulator of Social Housing standards. <input type="checkbox"/> Any failures in compliance will be reported to the Board and the Ombudsman. <input type="checkbox"/> BKHA will co-operate fully with any Ombudsman 	

			investigations and implement recommendations promptly.”	
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		

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	Bahay Kubo HA Complaints Policy and Procedure says: “10. Monitoring and Review This policy will be reviewed every two years or sooner if required by regulatory changes or lessons learned from complaints.”	
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	Bahay Kubo HA Complaints Policy and Procedure says: “9. Learning and Continuous Improvement <input type="checkbox"/> BKHA will analyse complaints data to identify recurring issues and improve service delivery. <input type="checkbox"/> Staff training will be provided to enhance complaint handling. <input type="checkbox"/> BKHA will publish learning outcomes from complaints to promote transparency and accountability.”	
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report	Yes	Bahay Kubo HA Complaints Policy and Procedure says: “8.2 Reporting	

	back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.		<input type="checkbox"/> BKHA will maintain complaints register, recording all formal complaints, their outcomes, and actions taken. <input type="checkbox"/> A quarterly complaints report will be reviewed by the Board, identifying trends and service improvements. <input type="checkbox"/> A summary of complaints and learning outcomes will be included in BKHA's Annual Report to Residents."	
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	The senior lead person among the staff for the complaint handling is the Managing Director	
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	The senior lead person in the governing body for the complaint handling is the Chairperson of the Management Board.	
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's	Yes	The Chairperson will be responsible to inform the management board on complaints and provide insights	

	complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.		on BKHA complaint handling performance.	
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	The Chairperson will be responsible to inform the management board during meetings of the board about complaints and provide insights on BKHA complaint handling performance.	
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; b. take collective responsibility for any shortfalls identified through 	Yes	BKHA maintains separate procedures for complaints against its staff	

	complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.			
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