

14th June 2024

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	<p>A complaint must be defined as:</p> <p><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></p>	Y	<ul style="list-style-type: none"> The Complaints Policy – 2.1 refers to this definition Reinforced in staff training programme and training document provided to all staff. 	<ul style="list-style-type: none"> The policy already had this definition in it, so no change required. Complaints are a standing agenda item for all contractor/managing agent meetings and are logged on our system.
1.3	<p>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.</p>	Y	<ul style="list-style-type: none"> Staff training programme and training document provided to all staff on 28/3/24. Complaint handling is included in the contractor tender document along with expectations and response timescale 	<ul style="list-style-type: none"> Training: - 30/4/24 – Customer Care Team 25/4/24 – Managers 6/5/24 Housing Team 16/5/24 Maintenance Team Organisational culture – refer to customer experience strategy Future tenders will include the new Code timescales.

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.	Y	<ul style="list-style-type: none"> Complaints Policy updated (2.1 and 2.2 refer) Reinforced in staff training programme and training document provided to all staff. An agenda items on all team meetings 	<ul style="list-style-type: none"> Service request reports are sent to each operational team monthly for review and raised at contractors meetings (Evidence: Contractor meeting minutes)
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.	Y	<ul style="list-style-type: none"> Complaint Policy (2.3 refers) Staff training programme and training document provided to all staff included identifying, and actioning service requests. 	<ul style="list-style-type: none"> Training document provided to third party contractors/agents Complaint handling is included in the contractor tender document along with expectations and response timescale. Future tenders will include the new Code timescales.
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.	Y	<ul style="list-style-type: none"> At the end of each survey, we conduct the customer has a link to log a complaint (Evidence – planned maintenance satisfaction survey) 	

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	Y	<ul style="list-style-type: none"> Complaints Policy (Section 3 refers) Template letter for not accepting complaint is a guidance to ensure there is a valid reason 	<ul style="list-style-type: none"> Disability and vulnerability are considered when reporting a repair; details populate from MRI. As with all contacts the association welcomes any form of contact to suit the customer. Triaging when a complaint is received will determine if a visit is required. The complaints policy needs an Equalities Impact Assessment undertaking.
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. Matters that have previously been considered under the complaints policy. 	Y	<ul style="list-style-type: none"> Complaints Policy (Section 3 refers) Template letter signposts customer to the Housing Ombudsman if they disagree 	<ul style="list-style-type: none"> The complaints policy needs an Equalities Impact Assessment undertaking. Complaints received but not accepted will be included in quarterly complaint reports to Board

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.	Y	<ul style="list-style-type: none"> Complaints Policy (Section 3.2 refers) 	<ul style="list-style-type: none"> Each complaint is triaged, and discretion applied regarding time limit accepted.
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.	Y	<ul style="list-style-type: none"> Complaints Policy (Section 3 refers) Template letter signposts customer to the Housing Ombudsman if they disagree. 	<ul style="list-style-type: none"> Complaints received but not accepted will be included in quarterly complaint reports to Board
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Y	<ul style="list-style-type: none"> Complaints Policy (Section 3 refers) 	<ul style="list-style-type: none"> Disability and vulnerability are considered when reporting a repair; details populate from MRI. As with all contacts the association welcomes any form of contact to suit the customer. Triaging when a complaint is received will determine if a visit is required.

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.	Y	<ul style="list-style-type: none"> • Complaints Policy (Section 5 and 10 refer) • MRI hold information on disability and vulnerability which is taken into consideration at each touchpoint. 	<ul style="list-style-type: none"> • Disability and vulnerability are considered when reporting a repair; details populate from MRI. As with all contacts the association welcomes any form of contact to suit the customer. Triaging when a complaint is received will determine if a visit is required. • The complaints policy needs an Equalities Impact Assessment undertaking
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.	Y	<ul style="list-style-type: none"> • Complaints Policy (Section 1 and 4 refers) • Reinforced in staff training programme and training document provided to all staff 	
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 sign that residents are unable to complain.	Y	<ul style="list-style-type: none"> • Reinforced in staff training to identify dissatisfaction and know how to act and log these • Complaints reports are produced quarterly for Board and publicised on the website. 	<ul style="list-style-type: none"> • Complaints is a standing agenda item on team meetings, contractor meetings, and builder/managing agents meetings. • How to make a complaint is visible on the website and

				promoted through social media; newsletters; surveys.
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.	Y	<ul style="list-style-type: none"> Complaints Policy and process is available on the website and published in quarterly newsletters and Facebook. 	<ul style="list-style-type: none"> The process is attached to acknowledgement letters; and stage 1 and 2 letters
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	<ul style="list-style-type: none"> Complaint Policy (Section 8 refers) 	<ul style="list-style-type: none"> Dedicated webpage for complaints with links to the Housing Ombudsman
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.	Y	<ul style="list-style-type: none"> Complaints Policy (Section 4.5 refers) 	<ul style="list-style-type: none"> The complaints policy needs an Equalities Impact Assessment undertaking
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.	Y	<ul style="list-style-type: none"> The reference to the Housing Ombudsman is provided in the Complaints Policy (Section 6.7); the complaints process; and on each letter/email during the complaints process. 	<ul style="list-style-type: none"> Link to the Housing Ombudsman is on the website complaints page

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.	Y	<ul style="list-style-type: none"> The Customer and Business Support Manager take responsibility for the complaint handling. This will be displayed in the bio on the website 	
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.	Y	<ul style="list-style-type: none"> The Customer and Business Support Manager is the complaints officer and sits within the management structure for the organisation and attends Managers meeting and Board meetings. 	
4.3	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	Y	<ul style="list-style-type: none"> Training notes provided to all staff on 28/3/24. Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by operational managers Culture of the organisation is also included in the customer experience strategy 	<ul style="list-style-type: none"> Training: - 30/4/24 – Customer Care Team 25/4/24 – Managers 6/5/24 Housing Team 16/5/24 Maintenance Team Training document provided to third party contractors/agents

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.	Y	<ul style="list-style-type: none"> Complaint Policy amended March 2024 	
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.	Y	<ul style="list-style-type: none"> Staff are trained to resolve service requests as the earlier opportunity, to log and learn from them. We operate a two-stage process 	<ul style="list-style-type: none"> Service request reports are distributed to each team on a monthly basis and evaluated at their team meetings (Agenda item and minutes)
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.	Y	<ul style="list-style-type: none"> Complaints Policy We operate a two-stage process 	
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.	Y	<ul style="list-style-type: none"> Customer are directed to complaint to the landlord not a third party. Complaint handling is included in the tender document along with expectations and response timescale. 	<ul style="list-style-type: none"> Complaints is a standing agenda item on team meetings, contractor meetings, and builder/managing agents meetings Future tenders will include the new Code timescales. Training document provided to third party contractors/agents

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Y	<ul style="list-style-type: none"> • Customer are directed to complaint to the landlord not a third party. • Complaint handling is included in the tender document along with expectations and response timescale. 	<ul style="list-style-type: none"> • Complaints is a standing agenda item on team meetings, contractor meetings, and builder/managing agents meetings • Complaints are discussed and actions to mitigate reoccurrence are minuted. • Training document provided to third party contractors/agents • Future tenders will include the new Code timescales.
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, the resident must be asked for clarification.	Y	<ul style="list-style-type: none"> • Complaints received are triaged • The understanding of the complaint forms part of the acknowledgement letters/emails and subsequent letters 	
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.	Y	<ul style="list-style-type: none"> • Complaints received are triaged to ascertain what we are and are not responsible for. • This forms part of the template letters/emails 	

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol 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. 	Y	<ul style="list-style-type: none"> • Investigation document completed with operational team • Resident is contacted to discuss complaint/any disabilities/vulnerabilities specific to this complaint we need to be aware of. • Documentation/Chronology and emails are stored on SharePoint • Complaint handler attends the Housing Ombudsman webinars/podcasts 	
5.9	<p>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.</p>	Y	<ul style="list-style-type: none"> • This is included in the Complaints Policy and also reported to Board. • Reinforced in staff training 	<ul style="list-style-type: none"> • Bi-weekly meetings are held between the complaint handler and the dept lead for the complaint, where this is checked
5.10	<p>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.</p>	Y	<ul style="list-style-type: none"> • Recording mechanisms in place for disability/vulnerability on our housing system (MRI) which is taken into consideration at each touchpoint. 	<ul style="list-style-type: none"> • All staff are trained on safeguarding concerns. • The complaints policy needs an Equalities Impact Assessment undertaking

				<ul style="list-style-type: none"> • Further work taking place on risk records and notes regarding disability/vulnerability requirements
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 must comply with the provisions set out in section 2 of this Code.	Y	<ul style="list-style-type: none"> • Complaints Policy (Section 3 refers) • Complaints received are triaged to ascertain what we are and are not responsible for. 	<ul style="list-style-type: none"> • Culture is to want to understand why a customer is not satisfied so we would only refuse if there was a valid reason set out in our policy
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.	Y	<ul style="list-style-type: none"> • Complaints are logged on our housing system (MRI) • Documentation is recorded on SharePoint. • Key dates are recorded on Feedback Manager (MRI) • Tracking spreadsheet with dates and updates is used 	
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.	Y	<ul style="list-style-type: none"> • The Association's Compensation Policy refers 	<ul style="list-style-type: none"> • All staff are aware of the compensation policy, which includes all remedies which can be used outside of the complaints process or during • Compensation policy to be updated by September 24

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.	Y	<ul style="list-style-type: none"> The Association's Acceptable Behaviour Policy refers 	<ul style="list-style-type: none"> The policy needs an Equalities Impact Assessment undertaking
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.	Y	<ul style="list-style-type: none"> This is covered in the Acceptable Behaviour Policy 	<ul style="list-style-type: none"> The policy needs an Equalities Impact Assessment undertaking

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.	Y	<ul style="list-style-type: none"> Complaints process refers to the service request and formal process and they are triaged to the most appropriate route. If it is of a complex nature and couldn't be resolved within the 3 days SLA, then it would automatically be logged as a formal complaint. Discussion at this point is had with the complaint handler 	<ul style="list-style-type: none"> Complaint is triaged when received in conjunction with the operational team. Action will be agreed, for example if a visit is required.
6.2	Complaints must be acknowledged, defined, and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received</u> .	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.2 refers) Performance provided in Board Reports 	<ul style="list-style-type: none"> Target is 3 working days in line with our service promises

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.3 refers) Performance provided in Board Reports 	
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.	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.5 refers) Performance provided in Board Reports 	
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.	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.1 refers) Extension Letter template includes referral to the HO 	
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.	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.4 refers) Responses are provided in accordance with the timescales. Outstanding actions are logged on a departmental action log and monitored at team meetings 	
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.	Y	<ul style="list-style-type: none"> Stage 1 and 2 Letter template provides a check list along with using the internal form for investigating complaints. 	

6.8	<p>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.</p>	Y	<ul style="list-style-type: none"> Complaints Policy (6.5.5 refers) 	<ul style="list-style-type: none"> When this occurs, it is discussed with the resident to establish if it can be included or not, wherever possible it would be included.
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <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. 	Y	<ul style="list-style-type: none"> Stage 1 and 2 Letter template ensure the required information is included. 	

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.	Y	<ul style="list-style-type: none"> Complaints Policy (6.6.1 refers) and the complaints process 	
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.		<ul style="list-style-type: none"> Complaints Policy (6.6.3 refers) 	<ul style="list-style-type: none"> Target is 3 working days in line with our service promises
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.	Y	<ul style="list-style-type: none"> Stage 1 letter template relates. Staff training programme and training document provided to all staff on 28/3/24. 	<ul style="list-style-type: none"> Stage 2 acknowledge asks if customer wants to submit any supporting information.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Y	<ul style="list-style-type: none"> Complaints Policy (6.6.3 refers) The MRC Chairs the Stage 2 review along with an independent Manager 	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Y	<ul style="list-style-type: none"> Complaints Policy (6.6.5 refers) 	
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	Y	<ul style="list-style-type: none"> Complaints Policy (6.6.6 refers) Performance provided in Board Reports 	

	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.			
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.	Y	<ul style="list-style-type: none"> Complaints Policy (6.6.6) Extension Letter template includes referral to the HO 	
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 tracked and actioned promptly with appropriate updates provided to the resident.	Y	<ul style="list-style-type: none"> Stage 2 template letter Responses are provided in accordance with the timescales. Outstanding actions are logged on a departmental action log and monitored at Stage 2 follow up meetings 	<ul style="list-style-type: none"> Actions are set out with timescales on the Stage 2 review meeting minutes; and the response template to the customer
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.	Y	<ul style="list-style-type: none"> Stage 1 and 2 Letter template provides a check list along with using the internal form for investigating complaints, which splits out all areas of the complaint 	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 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. 	Y	<ul style="list-style-type: none"> Stage 1 and 2 Letter template ensure this information is included. 	

	<p>e. the details of any remedy offered to put things right.</p> <p>f. details of any outstanding actions;</p> <p>and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</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>	Y	<ul style="list-style-type: none"> The MRC Chairs the Stage 2 review along with an independent Manager. Relevant staff are included in the review and documented in the meeting minutes 	

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. 	Y	<ul style="list-style-type: none"> • Stage 1 and 2 Letter template ensure this information is included. • Compensation policy includes all remedies 	<ul style="list-style-type: none"> • All staff are aware of the compensation policy, which includes all remedies which can be used outside of the complaints process or during • Compensation policy to be updated by September 24
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	Y	<ul style="list-style-type: none"> • Compensation policy 	<ul style="list-style-type: none"> • All staff are aware of the compensation policy, which includes all remedies which can be used outside of the complaints process or during • Compensation policy to be updated by September 24

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.	Y	<ul style="list-style-type: none"> • Stage 1 and 2 Letter template ensure this information is included. • Complaint actions are monitored on a spreadsheet and closure letter sent when either all actions are completed, or compensation has been awarded as agreed. 	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	<ul style="list-style-type: none"> • Compensation policy 	<ul style="list-style-type: none"> • To be reviewed by September 2024

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> <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</p> <p>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.</p> <p>c. any findings of non-compliance with this Code by the Ombudsman.</p> <p>d. the service improvements made as a result of the learning from complaints.</p> <p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>	Y	<ul style="list-style-type: none"> • Quarterly Board Reports • Annual Board Reports • Links to Website reports • Dedicated webpage for complaints • Headline figures and lessons learned in newsletter 	<ul style="list-style-type: none"> • No complaints have been refused. This statement will be included in future complaints report • Housing Ombudsman Spotlight reviews are being undertaken
8.2	<p>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.</p>	Y	<ul style="list-style-type: none"> • Quarterly Board Reports • Annual Board Reports • Links to Website reports 	

	The governing body's response to the report must be published alongside this.		<ul style="list-style-type: none"> • Dedicated webpage for complaints. Including the statement from the MRC. 	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Y	<ul style="list-style-type: none"> • No restructure/change 	<ul style="list-style-type: none"> • If appropriate
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Y	<ul style="list-style-type: none"> • No Housing Ombudsman investigation 	<ul style="list-style-type: none"> • If appropriate
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.	Y	<ul style="list-style-type: none"> • No exceptional circumstances 	<ul style="list-style-type: none"> • If appropriate

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.	Y	<ul style="list-style-type: none"> • Two stage approach to lessons learned: • Quick wins – Dept Action Plan • Policy/process/project action is added to the organisation action plan which is monitored monthly at Managers meetings. 	<ul style="list-style-type: none"> • Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by operational managers
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.	Y	<ul style="list-style-type: none"> • Customer experience strategy • Staff training programme and training document provided to all staff on 28/3/24. 	<ul style="list-style-type: none"> • Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by operational managers • Customer experience strategy action plan to be completed
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.	Y	<ul style="list-style-type: none"> • Quarterly complaints reports are published on website • Annual complaints report is published on website • "You said we did" on website; Included in the resident's newsletter. • Quarterly and annual complaint Board reports 	<ul style="list-style-type: none"> • Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by operational managers. This is shared with staff

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.	Y	<ul style="list-style-type: none"> • The Customer & Business Support Manager • Quarterly reports for formal complaints • Monthly trend reports are provided to teams for service requests 	
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').	Y	<ul style="list-style-type: none"> • The Company Secretary (Complaints policy 8.2 refers) 	
9.6	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.	Y	<ul style="list-style-type: none"> • Quarterly Board Reports • Annual Board Reports • Quarterly complaints reports are published on website • Annual complaints report is published on website • "You said we did" on website; Included in the resident's newsletter. 	<ul style="list-style-type: none"> • Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by operational managers. This is shared with staff
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <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. 	Y	<ul style="list-style-type: none"> • Quarterly Board Reports • Annual Board Reports • Quarterly complaints reports are published on website • Annual complaints report is published on website 	<ul style="list-style-type: none"> • Operational complaints meetings are biweekly which include operational lessons learned. Strategy lessons learned are monitored via the Master Action Plan monthly by

	<p>c. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>		<ul style="list-style-type: none"> • “You said we did” on website; Included in the resident’s newsletter. 	<p>operational managers. This is shared with staff</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> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments.</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>	Y	<ul style="list-style-type: none"> • Corporate values • Customer Experience Strategy • Internal process, including triage with department. • Collectively look at lessons learned as part of the process and as part of the organisational action plan • Complaint handling is included in the tender document along with expectations and response timescale. 	<ul style="list-style-type: none"> • Future tenders will include the new Code timescales.