

## 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.

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**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>	Yes	<p>The reference of tenants has been removed from the Policy as anyone can make a complaint.</p>	<p>Anyone has the option to make a complaint about the organisation if they are dissatisfied with the organisation.</p>
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>	Yes	<p>Residents do not have to use the word complaint for it to be treated as one. As per policy and definition above, a complaint could be made about the following:</p> <ol style="list-style-type: none"> <li>1. Delay in taking action without good reason</li> <li>2. Failure to provide a service</li> <li>3. Mistake in the way a decision was taken</li> <li>4. Not following the Organisation’s own rules</li> <li>5. Broken promises</li> <li>6. Giving correct or misleading information</li> </ol>	<p>Regular housing ombudsman complaint training is attended by staff members. Complaint training is provided to cluster reps through the Housing Ombudsman website which also reiterates that residents do not have to use the word ‘complaint’ for it to be treated as such. Cluster reps are provided with regular monthly training updates on clear guidelines to the organisations complaint policy.</p>

			<p>7. Bias and discrimination</p> <p>8. Rude, unhelpful or inappropriate behaviour by staff</p> <p>9. Poor communication</p>	
1.4	<p>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.</p>	Yes	<p>The organisation recognises the difference between a complaint and a service request. It mentions in it's Complaints Policy, 'Some issues do not fall within the category of complaint and are more appropriately dealt with as a service request.'</p>	<p>This can include instances the tenant is complaining about a problem that the organisation has not created, such as a neighbour noise nuisance. The same can be true for a 'complaint' received to report request. These are requests to the organisation for appropriate action to be taken. The maintenance lead within the organisation reviews all service requests on a weekly monitoring system.</p>
1.5	<p>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.</p>	Yes	<p>Complaints can be raised via email, in person, by telephone or using the online form or portal. They can also be submitted via a Councillor or directly to cluster representatives if the resident asks for an issue to be processed through the complaints process. We accept all forms including verbal, written or online.</p>	<p>The 'Complaints' policy is accessible on the organisation's website, we offer the option to report a complaint verbally, face-to-face, email, text message and in writing.</p>
1.6	<p>An expression of dissatisfaction with</p>	Yes	<p>Survey feedback may not</p>	<p>In the tenant perception</p>

	<p>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.</p>		<p>necessarily be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to do so.</p>	<p>survey the residents are provided with an email address and link to the complaints policy.</p>
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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	<p>The organisation accepts all complaints unless there is a valid reason not to including where it falls within:</p> <ol style="list-style-type: none"> <li>1. anything that happened over a year ago, unless you have only become aware of the situation.</li> <li>2. matters currently being dealt with by the Ombudsman, or where legal action has begun.</li> <li>3. everyday matters such as chasing repair requests.</li> <li>4. complaints by one tenant about another. This is dealt with by your Tenancy Services Officer as neighbour dispute or anti social behaviour.</li> </ol>	All complaints are processed on their own individual merits within the complaints policy.
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances	Yes	The complaints policy clearly outlines what can and cannot be considered under the organisations complaints	The circumstances are fair and reasonable and in line with the Housing Ombudsman guidance.

	<p>must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>		process.	
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	The new complaints policy is compliant to 2.3	<p>Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.</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,</p>	Yes	<p>If the complaint is not to be considered, the resident will still receive a response containing the detailed reasons why the complaint cannot be considered and the response will include escalation rights.</p>	<p>The complaints policy details a complainant's right to access the Housing Ombudsman Service throughout their complaint.</p>

	the Ombudsman may tell the landlord to take on the complaint.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	All complaints submitted are assessed on the merits of the individual complaint received. All complaints are logged manually to be investigated. Details of the process is included in the Complaints Policy.	The organisation is currently upgrading the software to have access to uploading all complaints into a portal CRM platform to be investigated and recorded.

### 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	<p>Complaints can be raised via email, in person, by telephone or using the online form or portal. They can also be submitted via a Councillor or directly to Cluster representatives if the resident asks for an issue to be processed through the complaints process.</p> <p>All staff undertake equality, diversity training, which is part of the organisation's essential training programme. Our Equalities strategy will set out a detailed approach on how we aim to remove inequalities and build a better, stronger, more inclusive organisation.</p>	<p>The organisation is committed to ensure that all residents can access its services and are not disadvantaged in any way. Below are some of the adjustments that can be offered:</p> <ol style="list-style-type: none"> <li>1. use of email or telephone in preference to hard copy letters</li> <li>2. use of plain English on our website</li> <li>3. communication through representative or intermediary</li> <li>4. rest or comfort breaks in meetings</li> <li>5. provision of information in appropriate alternative formats (eg. large print)</li> </ol>



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	All staff members attend the Ombudsman online training, which is followed up in line with the organisation's complaints policy.	The complaints policy is available in a clear and accessible format, for all residents. The policy explains the stages, what will happen, and timeframes. All complaints are reported to the Complaint's Officer.
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.	Yes	We are open to receiving feedback through all channels available.	We are currently working towards a new innovation programme which will involve tenant participation to build a stronger relationship with the organisation.
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	The complaints policy is available in paper format, website, online portal. The policy will be updated on the website once the board have approved the updated complaints policy.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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 organisation communicates with residents through quarterly newsletters, tenant forums, online website and via emails.	All information is provided to residents including the Ombudsman and this code for tenants to have the opportunity to request assistance from the Ombudsman if required.
3.6	Landlords must give residents the opportunity to have a representative	Yes	The organisation accepts complaints from advocates, a	The organisation accepts complaints from advocates,

	deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.		representative or family member as long as consent from the complainant has been provided. Where reasonable they are also able to attend meetings.	a representative, family member or a councillor.
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	All responses from the organisation at every stage will include the ombudsman contact details informing the resident they have this option available if required.	This is a standard procedure within the organisations policy: If the resident is not happy with their decision, they can take the complaint to the Housing Ombudsman Service. All contact details are provided.

## 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	Cluster Reps and the organisation has added the role to the Office Manager as an additional responsibility.	The office manager is the main contact for all complaints to be monitored and recorded and to ensure all timelines are met within the policy timeframe. Complaints are reported to the Board and Committees on a quarterly basis through the performance report.
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 Office Manager oversees staff members as well as monitoring of all complaints.	The Office Manager regularly attends ombudsman training as well as working alongside the Director Operations in updating of policies and working in coherence to the Ombudsman legal requirements.
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	Yes	Under the new tenant engagement strategy and model there is a clear commitment to respect for resident feedback and how it is not only implemented in the service but positive change is communicated back to the	Learning from complaints is included in the organisation's quarterly annual report which goes to the Board members. Following complaint failure orders received in 2023 we

	handle complaints effectively		resident. Examples include: A tenant led review of complaint responses through the quarterly tenant forum, include learning trends from the feedback which is a guideline when reviewing policies and complaints as a form of insight.	<p>learnt from the mistakes made and implemented the cluster representative model. If some recommendations include training needs or reminders to staff, senior managers will communicate this. Residents are informed in complaints responses of any service improvements that will be implemented as a result of their complaint.</p> <p>To effectively embed a culture of respect for resident feedback, the service responsible for engagement will carry out training and briefings with individual teams and quality management system will be linked to the new strategy to measure impact and identify gaps in practice.</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	Yes	The complaints policy is available in a clear and accessible format for all residents.	The policy contains stages, what will happen, and timeframes.

	not be treated differently if they complain.		The organisation has a dedicated complaints page which is easy to find on the organisations website and through its search function.	
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	If the organisation feels that the complaint can be resolved at first point of contact, the resident will be asked whether they are in agreement for the service to take action.	The resident will be told in writing that after the action is taken, if they are still dissatisfied, they can progress their complaint through the organisation's complaint procedure. All complaints at stage 1 and 2 are logged and acknowledged within five working days providing timescales and named officer contact details.
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	The organisation's three stage policy is in process of being updated to the ombudsman's 2 stage complaints policy.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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.	N/A	Not Applicable.	
5.5	Landlords are responsible for ensuring	N/A	Not Applicable	

	that any third parties handle complaints in line with the Code.			
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.	Yes	Complaint acknowledgements include a brief summary of the area of complaint and the cluster representative dealing with the complaint will promptly contact the complainant to request clarification if any aspect of their complaint is unclear or should the outcome the resident is seeking also not be clear.	The resident will be told in writing that after the action agreed with the resident has been completed, if they are still dissatisfied, they can progress their complaint through the organisation’s complaint procedure. All complaints at stage 1 and 2 are logged and acknowledged within five working days providing timescales and name of officer contact details.
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 organisation always tries to be explicitly clear at the start of the complainant process as to what the outcomes are within scope and what may not be achievable.	The clear guidelines are explained in the organisations complaints policy.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> </ul>	Yes	All customer representatives receive relevant training on complaints handling to conform to the points listed. There is also guidance on the organisations website to reinforce these points to the officers. Annual Data Protection training is also a mandatory requirement for all officers.	All complaints are investigated in an impartial manner. Accordingly, any complaints relating to a particular cluster representative will be investigated and responded to by their line manager. At stage 2 the senior management complaints

	d. consider all relevant information and evidence carefully.			team investigate complaints to ensure impartiality. These requirements are also stated in the organisation policy and in complaints training to staff.
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	Where the organisation requires more time to investigate the issues and provide a response, this is agreed with the resident. If any extension is required to respond to the complaint fully, this is agreed by both parties.	Where reasonable, officers will keep residents updated with the progress of their investigation. Complainant are informed in advance on the rare occasions when there will be a delay in responding.
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	The organisation considers any reasonable arrangements agreed by the resident relating to frequency and method of communication adheres to those methods.	The organisation is committed to ensure all residents can access its services and are not disadvantaged in anyway. The organisation updates the reasonable adjustments policies in coherence with the Equality Act 2010 accordingly.
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.	Yes	The organisation does not refuse to escalate a complaint through its complaints procedure unless there is a valid reason.	Reasons why a complaint may not be escalated is stipulated in the organisations complaints policy.
5.12	A full record must be kept of the	Yes	All records of the complaint are	Corrective actions/service

	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.		logged on the organisations case management system. This includes dates, complaints and responses, relevant correspondence and documentation, any compensation and corrective actions/service improvements and outcomes.	improvements are separately monitored by the service to ensure actions are carried out. We also record issue types and root causes 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	The organisation does its best to resolve a complaint at the first point of contact. We consider the issues and after full consideration will propose a reasonable solution.	Any immediate actions will be taken as soon as possible.
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	The organisations complaints policy provides procedures on how to manage unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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	Restrictions placed following unacceptable behaviour are managed through the organisations complaint policy consider the Equality Act 2010 and impact on individual complainants.	Only necessary restrictions are applied relating to specific issues. We always allow residents in these circumstances to access organisation services more generally. We also have



				quarterly review periods for restrictions.
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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	The organisation will always try to resolve the issues as soon as possible. If the organisation is at fault, it will accept fault, offer an apology and provide a plan of action to put things right if issues have not yet been resolved.	Reasonable adjustments are put in place where required. For example: a tenant who had a language barrier was allocated a cluster rep who was able to communicate in the same language in support of submitting a complaint.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	The organisation aims to acknowledge and log all Housing Management complaints at stage 1 within 5 working days.	
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	The organisation aims to acknowledge and log all Housing Management complaints within 5 working days.	The organisation aims to respond to all Housing Management complaints within 10 working days, where possible.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	Where the organisation requires more time to investigate the issues and provide a response,	Following the Board Meeting on 31 July 2024 the new complaints Policy is

	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.		this will be agreed with the resident.	compliant.
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	Where an agreement cannot be reached, Ombudsman details will be provided, and the organisation will continue with its investigation and provide a response as soon as possible.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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	A complaint response is provided once the investigation has been completed and no later than the maximum timescale outlined in the complaint's policy.	Any actions required following the investigation will be logged with a timescale and tracked until completion.
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	The organisation addresses all point raised in the complaint, clearly providing reasons for decision and referencing any relevant law/good practice.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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	Yes	Where additional complaints are raised during the investigation, these will be incorporated if relevant and if the response has not yet been issued.	If the issues require significant time to be looked into and would delay the response, a new complaint will be logged or new timescale will be agreed with

	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.			both parties.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	The organisation follows the points provided in all stage 1 complaint responses.	The organisation has a template available to the complaint handlers to use so that all points are addressed.

### 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	All stage 1 complaints inform complainants that is they remain dissatisfied; they can escalate their complaint and details are provided of how they can do this.	Where an exclusion ground applies, the complainant will still receive a formal response explaining the reasons as to why we will not escalate and be

				provided with the Ombudsman details should they wish to escalate.
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	The organisation aims to acknowledge and log all Housing Management complaints at stage 2 within 5 working days.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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	As part of the investigation the cluster representative will ask for clarification or further details to establish any outstanding issues and desired outcomes if required	Once all information has been recorded the process will move to stage 2.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	All stage 2 responses are investigated by the senior complaints team who are independent of the cluster representative who has responded at stage 1.	Office Manager or Director Operations review and sign off stage 2 complaints. If they are unavailable due to leave, this is delegated to Director Operations to approve and sign off.
6.14	Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.	Yes	The organisation aims to respond to all stage 2 Housing Management complaints within 20 working days.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
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, and	Yes	There will be circumstances in which this is not possible. Complainant will be advised of the likely response timescale in acknowledgements.	If any extension is required to respond to the complaint fully, this is agreed between both parties.

	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.	Yes	Where an agreement cannot be reached, Ombudsman details will be provided, and the organisation will continue with its investigation and provide a response as soon as possible.	
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.	Yes	A complaint response is provided once the investigation has been completed and no later than the maximum timescale outlined in the complaint's policy.	Any actions required following the investigation will be logged with a timescale and tracked until completion.
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	The organisation addresses all point raised in the complaint, clearly providing reasons for decision and referencing any relevant law/good practice.	Following the Board Meeting on 31 July 2024 the new complaints Policy is compliant.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding</li> </ul>	Yes	The organisation follows the points provided in all stage 2 complaint responses.	The organisation has a template available to the senior complaints team to use so that all points are addressed.

	g. actions; an details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	At the completion of a stage 2 investigation, a response is issued which includes the points stated.	The response includes a summary of the complaint, a chronology of any relevant events, the decision and reasons for it. It also includes any actions and learning with timescales for implementation and a reasonable remedy which may include compensation.

### Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been</li> </ul>	Yes	The organisation will always try to resolve the issues as soon as possible. If the organisation is at fault, it will accept fault, offer an apology and provide a plan of action to put things right if issues have not yet been resolved.	The clear guidelines are explained in the organisations complaints policy.

	<ul style="list-style-type: none"> <li>• delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	The organisation follows the remedy guidance provided by the Housing Ombudsman. All remedies are considered on their own merit and in line with published guidelines.	The organisation will try its best to manage expectations of what can and cannot be delivered.
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	Any actions to be taken to remedy fault will be explained and clear timescales will be provided.	Corrective actions will be monitored and tracked to completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	The organisation follows the Housing Ombudsman guidance on compensation and considers payments that are required by law, any refunds/losses, time/trouble, distress and inconvenience.	



## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	Quarterly Report and Annual Report.	

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	As Above	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	We aim to carry out a self-assessment annually.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	As above	
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	The organisation follows all points provided.	

## 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	All complaints are reviewed on a quarterly basis and reported to the Board and Committee. Recommendations are followed from the results and any learning.	
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	ASHA is adopting a culture of being solution focused.	
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	This will be provided in the quarterly report and the annual report where necessary.	
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 Office Manager is appointed.	

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	This will be the Chair of the Operations Committee.	
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.	Yes	As above.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: 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	Quarterly Report and Annual Report.	

9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: 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 complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	We will resolve all complaints in a fair and equal manner.	
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