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# 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.

Self-assessment for Foundation (part of the Inspire North Group).

Date: April 2024

# Section 1: Definition of a complaint

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 1.2 | A complaint must be defined as:  *‘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.’* | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Defined in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 4.1 What is a Complaint?  *This policy is reviewed every three years or with every change in the Complaints Handling Code to ensure that it is compliant.* |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 4.1 What is a Complaint? |
| 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 | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 4.2  What is a Service Request? |

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|  | recorded, monitored, and reviewed regularly. |  |  |  |
| 1.5 | A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 4.2  What is a Service Request? |
| 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 | Client Satisfaction Form (on-line). | Our Satisfaction Form provides information on how to complain if a client or tenant is dissatisfied. |

# Section 2: Exclusions

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 must be fair and reasonable to residents. Acceptable exclusions include:   * The issue giving rise to the complaint occurred over 12 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. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. 3.Statutory and Regulatory Responsibility. |

# Section 3: Accessibility and Awareness

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  How to Raise a Concern, Make a Complaint or Give a Compliment leaflets for clients and tenants. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. 3. Statutory and Regulatory Responsibility.  This is also included in the How to Raise a Concern, Make a Complaint or Give a Compliment leaflets for clients and tenants. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  How to Raise a Concern, Make a Complaint or Give a Compliment leaflets for clients and tenants. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. 5. Making a Complaint.  This is also included in the How to Raise a Concern, Make a Complaint or Give a Compliment leaflets for clients and tenants. |
| 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 | Report for Operations and Development Sub-committee. | This is monitored quarterly and reported on as part of the Quality Framework to the Operations and Development Sub-committee, attended by trustees. |
| 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 | 3.0 of our Comments, Compliments and Complaints (Feedback Policy) is available on our websites. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process.  The two-stage process is also referenced in the How to Raise a Concern, Make a Complaint or Give a Compliment leaflets for clients and tenants – also available on the website. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  How to Raise a Concern, Make a Complaint or Give a ComplimentTenant Leaflet | Details on how we publicise the policy are contained within the policy and details of the Ombudsman and the Code are also referenced in the policy and the How to Raise a Concern, Make a Complaint or Give a Compliment Tenant Leaflet.  These are published on each of the websites within the Inspire North Group. |
| 3.6 | Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5. Making a Complaint. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process and under section 7. Complaint Escalation. |

# Section 4: Complaint Handling Staff

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | The Business Support Manager in the Quality and Business Support Team is the ‘Complaints Officer’ for the organisation. A Trustee has been appointed as the MRC. This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement. |
| 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 | Managed through Datix, the system used to record complaints. | Our complaints officer has access to employees across the organisation and has the authority and autonomy to assign appropriate Investigating Officers (service manager level and above) to investigate and resolve disputes. |
| 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. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement.  Comments, compliments and complaints are monitored quarterly and reported on as part of the Quality Framework to the Operations and Development Sub-committee, attended by trustees. Lessons learnt are disseminated across the organisation.  All employees receive mandatory Complaints Handling Training via CareSkills Academy and all managers must attend the  Dealing Effectively with Complaints and Concerns in-person training delivered by our in-house training team. |

# Section 5: The Complaint Handling Process

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | 3.0 of our Comments, Compliments and Complaints (Feedback Policy) – treating residents (all complainants) fairly is referenced under section 3. Statutory and Regulatory Responsibility. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | 3.0 of our Comments, Compliments and Complaints (Feedback Policy). We only offer a 2-stage process in accordance with the Code. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | 3.0 of our Comments, Compliments and Complaints (Feedback Policy). We only offer a 2-stage process in accordance with the Code. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | 3.0 of our Comments, Compliments and Complaints (Feedback Policy). We only offer a 2-stage process in accordance with the Code. |

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| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | 3.0 of our Comments, Compliments and Complaints (Feedback Policy). We only have one policy that is complaint with the Code, this is used regardless of who is handling the complaint. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 5.8 | At each stage of the complaints process, complaint handlers must:   1. deal with complaints on their merits, act independently, and have an open mind 2. give the resident a fair chance to set out their position 3. take measures to address any actual or perceived conflict of interest 4. consider all relevant information and evidence carefully. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5. Making a Complaint. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Briefly referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 3. Statutory and Regulatory Responsibility.  As a group, we work in accordance with the Accessible Information Standard (AIS). By law (section 250 of the Health & Social Care Act 2012), all organisations that provide NHS care or adult social care must follow the Accessible Information Standard (AIS). Whilst AIS only relates to specific Inspire North services, a decision was made to incorporate this standard as policy across the whole organisation. This includes policy around making reasonable adjustments, providing a clear definition of what is reasonable. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 6. Complaint Remedies and Resolutions. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  Anti-Social Behaviour Policy | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 9. Unreasonable, Persistent and Vexatious Complainants.  This is also covered within our Anti-Social Behaviour Policy. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  Anti-Social Behaviour Policy | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 9. Unreasonable, Persistent and Vexatious Complainants.  This is also covered within our Anti-Social Behaviour Policy. |

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# Section 6: Complaints Stages

Stage 1

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| --- | --- | --- | --- | --- |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.2 | Complaints must be acknowledged, defined, and logged at stage 1 of the complaint procedure **within 5 working days of the complaint being received**. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.3 | Landlords must issue a full response to a stage 1 complaint **within 10 working days** of the complaint being acknowledged. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:   1. the complaint stage 2. the complaint definition 3. the decision on the complaint 4. the reasons for any decisions made 5. the details of any remedy offered to put things right 6. details of any outstanding actions 7. details of how to escalate the matter to stage 2 if the individual   is not satisfied with the response. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

Stage 2

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

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| 6.11 | Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaint procedure within 5 working days of the escalation  request being received. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.13 | The person considering a complaint at stage 2 must not be the same person that considered the complaint at stage  1. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.14 | Landlords must issue a final response to the stage 2 **within 20 working days**  of the complaint being acknowledged. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 the reason(s) must be clearly explained  to the resident. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:   1. the complaint stage 2. the complaint definition 3. the decision on the complaint 4. the reasons for any decisions made 5. the details of any remedy offered to put things right 6. details of any outstanding actions 7. details of how to escalate the matter to the Ombudsman service if the individual remains dissatisfied. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

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| 6.20 | Stage 2 is the landlord’s final response and must involve all suitable staff  members needed to issue such a response. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 5.1 The Complaints Resolution Process. |

# Section 7: Putting things right

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| 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:   * apologising * acknowledging where things have gone wrong * providing an explanation, assistance, or reason * 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 6. Complaint Remedies and Resolutions |

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| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any  fault identified. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 6. Complaint Remedies and Resolutions. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 6. Complaint Remedies and Resolutions |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate  remedies. | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 6. Complaint Remedies and Resolutions |

# Section 8: Self-assessment, reporting and compliance

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| 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:   1. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements 2. 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 3. any findings of non-compliance with this Code by the Ombudsman 4. the service improvements made as a result of the learning from a complaint 5. any annual report about the landlord’s performance from the Ombudsman 6. any other relevant reports or   publications produced by the | Yes | Annual self-assessment for 2023/24  Annual Complaints Performance and Service Improvement Report 2023/24 | This document serves as the annual self-assessment against the April 2024 code, replacing the last self-assessment published in October 2023, against the 2022 code.  The Annual Complaints Performance and Service Improvement Report has been approved by Board and published on the website. |

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|  | Ombudsman in relation to the work of the landlord |  |  |  |
| 8.2 | The annual complaints performance and service improvement report must be reported to the landlord’s governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body’s response to the report must be  published alongside this. | Yes | Annual Complaints Performance and Service Improvement Report 2023/24 | As above, the Annual Complaints Performance and Service Improvement Report has been approved by Board and published on the website. |
| 8.3 | Landlords must also carry out a self- assessment following a significant restructure, merger and/or change in  procedures. | Not applicable |  | This is noted, but not currently applicable to our organisation. |
| 8.4 | Landlords may be asked to review and  update the self-assessment following an Ombudsman investigation. | Not applicable |  | This is noted, but not currently applicable to our organisation. |
| 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. | Not applicable |  | This is noted, but not currently applicable to our organisation. |

# Section 9: Scrutiny & oversight: continuous learning and improvement

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement.  The Business Support Manager, in the Quality and Business Support Team is the ‘Complaints Officer’ for our organisation. |
| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement.  We have appointed a Trustee as the MRC. |

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| 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 | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | This is referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement.  We have appointed a Trustee as the MRC. |
| 9.7 | As a minimum, the MRC, and the governing body (or equivalent) must receive:   1. regular updates on the volume, categories, and outcomes of complaints, alongside complaint handling performance 2. regular reviews of issues and trends arising from complaint handling 3. regular updates on the outcomes of the Ombudsman’s   investigations and progress made in complying with orders related to severe  maladministration findings; and   1. annual complaints performance and service improvement report | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0. | Referenced in version 3.0 of our Comments, Compliments and Complaints (Feedback Policy) under section 10. Learning and Continuous Improvement.  Comments, compliments and complaints are monitored quarterly and reported on as part of the Quality Framework to the Operations and Development Sub-committee, attended by trustees. Lessons learnt are disseminated across the organisation. |

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| 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  c) act within the professional  standards for engaging with  complaints as set by any relevant professional body | Yes | Comments, Compliments and Complaints (Feedback Policy) version 3.0.  Annual Complaints Performance and Service Improvement Report 2023/24 | We take a collaborative approach to complaints handling, offer training to all employees and specific manager training around complaints.  We are committed to continuous learning as documented in our policy and in the Annual Complaints Performance and Service Improvement Report 2023/24. |