

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>	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>A training event was held in 2023, which involved raising awareness amongst the staff team regarding the definition of a complaint.</p>	<p>Policy section 2.1</p> <p>To help raise awareness of the definition, a poster including this wording is being designed for inclusion on each property’s notice board. This will be completed by the end of July 2024.</p> <p>Staff refresher training will take place before the end of 2024.</p>
1.3	<p>A resident does not have to use the word ‘complaint’ for it to be treated as such</p> <p>Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint.</p> <p>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>Comments, Suggestions and Complaints Policy</p> <p>The Welcome Pack leaflet</p> <p>A training event was held in 2023, which aimed to encourage a positive complaint handling culture.</p>	<p>section 2.1 – this specifically states that the word ‘complaint’ does not have to be used and that a third party representative may make a complaint.</p> <p>The Welcome Pack leaflet explains to residents that someone can complain on their behalf.</p> <p>All ‘concerns’ and ‘complaints’ from residents directly or by a third party are formally addressed through the Complaints Process and evidenced in writing.</p>

				Residents at Norton Housing and Support have regular contact with housing and support staff, and are able to raise concerns/complaints during each interaction.
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.	No	Staff inductions include the complaints procedure, and a learning café (training exercise) was carried out in 2023 to help raise awareness of the definition of a complaint.	<p>Whilst section 2.3 of the complaints policy explains the difference between a service request and complaints, and all requests are dealt with, there is no formal process for recording Service Requests</p> <p>We will take the following actions to become compliant, and improve awareness - implement new CMS / IT system which will support a formal system for recording Service Requests (August 2024)</p>

1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Comments, Suggestions and Complaints Policy	Section 2.3 clearly explains as per this expectation. All service requests and complaints are dealt with promptly and in line with policy.
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.	No	We do not currently distribute details of the complaints policy with our surveys.	When we next carry out a survey or feedback exercise, we will ensure that participants are made aware of how they can pursue a complaint if they wish to. This is likely to be by September 2024.

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	Comments, Suggestions and Complaints Policy Complaints Log	Section 5.2 During 2023-2024, there were no complaints that were refused.
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: <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. 	Yes	Comments, Suggestions and Complaints Policy Complaints Log	Section 5.2 During 2023-2024, there were no complaints that were refused.
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	Yes	Comments, Suggestions and Complaints Policy During 2023-2024, there were no complaints that were refused.	Section 5.2 NH&S does not place a 12 month limit on making a complaint, but does encourage

	complaints made outside this time limit where there are good reasons to do so.			Service Users to come forward promptly with issues.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Template response letter sets out the need to explain the reasons for not accepting a complaint – the Housing Ombudsman’s information is also distributed.</p>	<p>section 5.2</p> <p>Refusal rarely happens, and in 203-2024 there were no instances of the organisation not accepting a complaint.</p>
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Complaints Log</p>	<p>section 5.2</p> <p>During 2023-2024, there were no complaints that were refused.</p> <p>All complaints follow the policy and are considered on their own merit.</p>

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>Comments, Suggestions and Complaints Policy</p> <p>Resident Welcome Pack</p> <p>Template letters</p>	<p>Section 3.1 of the</p> <p>The welcome pack includes information on the different channels through which complaints are accepted – this includes in writing, email, telephone, using a form provided.</p> <p>There is also reference to meeting ‘particular requirements’, such as large print document, within the text of the welcome pack leaflet, and on template letters.</p> <p>Going forward, we plan to implement a new CRM / IT system that will record residents communication needs and facilitate reasonable adjustments being made</p>
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	Yes	<p>Residents Welcome Pack</p> <p>Comments, Suggestions and Complaints Policy</p>	<p>The welcome pack explains that complaints can be raised with staff. This is reflected in section 5.1 of the policy.</p>

	<p>details of the complaint to the appropriate person within the landlord.</p>		<p>Support Worker and Housing Officer induction checklist</p> <p>A training event was held in 2023 to raise awareness of the complaints process amongst staff.</p>	<p>All staff are aware of policy and are given information on this during their induction process</p> <p>We will carry out refresher training in 2024 to ensure all staff continue to understand the process.</p>
3.3	<p>High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.</p>	Yes	<p>The Comments, Suggestions and Complaints Policy</p> <p>The Resident Welcome Pack</p> <p>Performance Monitoring Data</p>	<p>Section 1.1 of the complaints policy and the 'Our Aims' section of the welcome leaflet demonstrate a positive complaint culture. Complaint reviews are explained in 7.4</p> <p>The Board lead on this positive culture - the performance monitoring data provided to Board quarterly provides information on the number and nature of complaints, so they can understand trends.</p> <p>We plan to improve the measures in place for sharing information about the complaints/requests/suggestions received and the organisation's responses/changes made with residents – so that they can better understand how complaints are valued, heard and can make difference. We will produce a summary of this assessment and the complaint</p>

				report for this purpose, during July 2024.
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	Resident Welcome Pack includes information on the Complaints Handling Policy – there is also an easy read version of the Welcome Pack leaflet. The policy is also available on the website: https://nortonhousingandsupport.org.uk/complaints/	
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, Suggestions and Complaint Policy	Section 8 of the Complaints Handling Policy explains how awareness of the policy and the ombudsman is raised. Section 7.1 explains the proposed method by which the self-assessment will publicised
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, Suggestions and Complaint Policy Resident Welcome Pack Complaints Log	Section 2.1 makes it clear that representatives can raise complaints. Throughout the policy the opportunity to be represented is clear- for example Section 5.4 (Stage 1) states: <i>Should a Service User wish, they may be represented or accompanied at any meeting by a relative, carer, advocate, or other involved health and social care professional</i>

				There have been several complaints during the year when the complainant was a representative of a Service Users.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	<p>Welcome Pack</p> <p>Template Letters</p> <p>Complaint Correspondence</p>	This is explained in the Welcome Pack leaflet (back page) and is also distributed to complainants during the process alongside letters.

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	The HR & Business Services Lead Job Description has these functions (in addition to other duties).	
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	As above.	.
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	No	Performance Monitoring Suite Comments, Suggestions and Complaint Policy Training Records	Complaints are reported to Board on a quarterly basis and a six-monthly review of complaints is fed back to Board so they can understand how the management team, led by the CEO, learn from complaints – see policy section 7.4 The Complaints Officer is recently appointed, and holds a level 3 cert. in housing practice,

				but will undergo further complaint specific training by August 2024 (subject to availability of training) and will cascade this learning to the Senior Management Team.
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Comments, Suggestions and Complaints Policy is the single policy	The policy reaches across all of NH&S services i.e. Housing, Support Service and Drop-In's. Wherever possible, we utilise the complaint handling code to inform our handling of complaints across our non housing services.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Comments, Suggestions and Complaints Policy 5.2 and 5.5 – there are 2 stages only.	

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		
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, Suggestions and Complaints Policy	Complaints are handled in house Under 5.5, an independent person from outside the organisation may be included in a stage 2 review. It is clear this is part of the 2-stage process and is not a separate or additional stage.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Comments, Suggestions and Complaints Policy	Complaints are handled in house .Under 5.5, an independent person from outside the organisation may be included in a stage 2 review. It is clear this is part of the 2-stage process and is the responsibility of NH&S.
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	Yes	The Comments, Suggestions and Complaints Policy Template letters for stage 1 logging and stage 2 escalation.	section 5.3 and 5.6 6 explains that the complaint will be defined. Template letters outline the need to define the complaint, or seek further clarification.

	unclear, the resident must be asked for clarification.			
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, Suggestions and Complaints Policy Template letters	This is covered under 5.3 Template response letter outlines the need to explain any areas NH&S is not responsible for
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	The Comments, Suggestions and Complaints The organisation's Conflict of Interest policy explains the approach in this area.	Section 5.3 explains the investigation process, which includes discussion with the complainant and consideration of evidence. Each complaint is dealt with by the Complaints Handling Officer or CEO or a Trustee as required and responded to in accordance with the policy which provides Residents with full and clear details.
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	The Comments, Suggestions and Complaints Policy	point 5.5 explains the approach and the need to agree suitable intervals for communication
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	Yes	Comments, Suggestions and Complaints Policy Template letters	Section 3.1 covers reasonable adjustments. Complainants are encouraged within response letters to raise

	a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.		Resident Case Files include information on reasonable adjustments that are required, as well as any disclosed disabilities.	any specific needs they have in relation to the complaints process. The implementation of a new CRM / database system will support NH&S in ensuring all relevant staff are aware of any disabilities disclosed and reasonable adjustment needed
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, Suggestions and Complaints Policy	Section 5.2 makes it clear when a complaint will not be considered – otherwise the policy will be used.
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, Suggestions and Complaints Policy.	This is outlined in section 7.2 of the policy. This information is stored securely on the organisation's computer systems.
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 Comments, Suggestions and Complaints Policy	The policy outlines in 5.4 the need for a stage 1 response to state how the organisation proposes to put things right. Those involved in complaints have access to staff at all levels to facilitate the prompt resolution of complaints

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	Licence / Tenancy Agreement, the Breach of Licence Policy and the Anti-Social Behaviour Policy explain the organisation's approaches.	Due to the organisation's nature as a small provider of supported housing dealing with those who have mental health diagnosis, it is not standard practice to place restrictions upon residents having contact with the organisation, or its staff – but more to work with them to help them modify their behaviour – for example by issuing Acceptable Behaviour Contracts
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	Licence Agreement, Breach of Licence Policy and ASB Policy	As above

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	A robust support and supervision system in in place, which gives the Complaints Officer a clear process by which they can seek advice from the CEO regarding the complexity of complaints The Safeguarding Policy	NH&S does not have a large enough resident base to require there to be a 'priority list' for complaints and, to date, there have been no issues with prioritising. As a provider of supported housing, we have a robust safeguarding policy and all staff (including the complaints officer) are aware of the signs and types of abuse, as well as how to report these to the organisation's safeguarding officer – this gives them a mechanism for prioritising and alerting potential safeguarding issues.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	The Comments, Suggestions and Complaints Policy The Complaint Log and Complaint correspondence	Section 5.2 The Complaint Handling Log and Complaint correspondence show that all complaints were acknowledged within this timescale during 2023-4

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	The Comments, Suggestions and Complaints Policy The Complaint Handling Log and Complaint correspondence	Section 5.5 The Complaint Handling Log and Complaint correspondence show that all complaints were responded to within this timescale during 2023-4
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	The Comments, Suggestions and Complaints Policy Complaints Log containing key information on complaints.	Section 5.5 explains this There have been no complaints that have required extension during the period.
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, Suggestions and Complaints Policy. Template letter for extension.	
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, Suggestions and Complaints Policy Communication Logs.	The policy makes it clear at 5.5 that the response is made within 10 working days and that this response should explain how the organisation is going to put things right. It also states that "Where further action is required after the response letter to fully resolve the complaint, complainants will receive further updates – either verbally or in writing - until such point as any actions arising

				<p>from the complaint are completed”</p> <p>Communication logs are in place to record updates to residents (this will be further improved by the implementation of a new CRM)</p>
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	<p>Template letters</p> <p>Comments, Suggestions and Complaints Policy</p>	<p>Template letters for complaint responses set out the importance of addressing all points raised and providing clear reasons for decisions. This is also addressed in point 5.5 of the policy.</p>
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Complaints log</p>	<p>This is covered in 5.8 of the policy.</p> <p>There have been no complaints during 2023-24 where additional complaints have been raised during the investigation.</p>
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; 	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Complaints log</p>	<p>This is explained in section 5.4 of the policy, and is supported by template letters.</p>

	<p>d. the reasons for any decisions made;</p> <p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Comments, Suggestions and Complaints Policy Residents Welcome Pack	This is explained in point 5.6 of the policy, and more briefly in the resident Welcome Pack.
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	Comments, Suggestions and Complaints Policy	This is explained in point 5.6 of the policy <i>When a Complainant asks for their complaint to be escalated to stage 2, this will be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the request being received.</i> There have been no complaints escalated to stage 2 within the period.
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, Suggestions and Complaints Policy	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	yes	Comments, Suggestions and Complaints Policy	

6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	yes		This is explained in point 5.6 of the policy <i>The Complainant will receive a response to their Stage 2 complaint within 20 working days from date of escalation</i>
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, Suggestions and Complaints Policy	Template letters available for extensions set out the expectation for explaining reasons.
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, Suggestions and Complaints Policy	Point 5.6. Housing Ombudsman Information provided to Residents throughout the Complaints Process
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, Suggestions and Complaints Policy Complaints Log Communication Logs	This is explained in point 5.6 of the policy There have been no complaints escalated to stage 2 within the period. Communication logs record communications with residents, including about complaints
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	Template response letters set out the need to address all points.	Complaint correspondence sent address the points raised within complaints.

6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	Comments, Suggestions and Complaints Policy Complaints Log Template letter	This is explained in point 5.6 of the policy Template response letters set out the need to address all points. There have been no complaints escalated to stage 2 within the period.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	The Complaints Process has only 2 stages.	At stage 2, the complaint is investigated by a panel involving the next level of management and/or Trustees

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: • Apologising; • Acknowledging where things have gone wrong;	Yes	Comments, Suggestions and Complaints Policy. Complaint Correspondence. Template letters	Remedies are covered in section 5.7 of the policy. Within past complaint correspondence, evidence can be found of the organisation apologising, explaining, identifying a need for staff training and awareness and changing an operational

	<ul style="list-style-type: none"> • 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. 			practice and installing additional security measures
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Comments, Suggestions and Complaints Policy.	Remedies are covered in section 5.7
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, Suggestions and Complaints Policy.	Remedies are covered in section 5.7. Going forward, we will improve our performance in this area by ensuring we more thoroughly track the completion of actions against the complaint, using the complaint log.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	yes	Comments, Suggestions and Complaints Policy.	Remedies are covered in section 5.7

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	The Annual Complaints Performance and Service Improvement Report	The report contains the required sections
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.	Yes	The Annual Complaints Performance and Service Improvement Report Trustee Response Website	

	The governing body's response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Comments, Suggestions and Complaints Policy	Section 7.1 of the policy covers this This has yet to be applicable so there is no evidence to support this process happening.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		This has yet to be applicable so there is no evidence to support this process happening.
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	Comments, Suggestions and Complaints Policy	Section 8 of the policy covers this This has yet to be applicable so there is no evidence to support this process happening

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Performance Monitoring Suite</p>	<p>Section 7.4 explains the function of complaint reviews, where learning is fully considered. This will begin in September 2024 and will be reported to Board.</p> <p>Complaints are recorded and reported to Trustees, which inform changes in decision making that are relevant to the service.</p>
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	yes	<p>Comments, Suggestions and Complaints Policy</p> <p>Performance Monitoring Suite</p>	<p>Section 7.4 explains the function of complaint reviews, where learning is fully considered. This will begin in September 2024 and will be reported to Board.</p> <p>With a new CEO on board this has been identified as an area for development. A recent complaint led to a significant change in service delivery</p> <p>We plan to review our methods for providing ongoing information to residents to further promote a positive</p>

				complaints handling culture – July 2024 .
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	Annual reports In this Together Meetings Team Meetings	Feedback is given on improvements and learning in such a way as to maintain resident confidentiality – taking into account the client group and small size of the organisation. We plan to create an accessible version of the complaints performance and service improvement report to distribute to residents in July 2024
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	This function is covered by the HR & Business Services Lead (see Job Description), who reports findings directly to the CEO giving them oversight of complaints. Comments Suggestions and Complaints Policy	Point 7.4 of the policy explains the function of complaint reviews, which involves the Operational Management Team and the MRC.
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints (‘the MRC’).	Yes	The MRC is currently Dr Steve Fallow	
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides	Yes	Comments Suggestions and Complaints Policy	Point 7.4 of the policy explains the function of complaint reviews, which involves the

	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.			Operational Management Team and the MRC. The MRC then leads on feedback to the Board
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; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	Yes	<p>Comments Suggestions and Complaints Policy</p> <p>Performance Monitoring Suite</p> <p>annual complaints performance and service improvement report.</p>	<p>Point 7.4 of the policy explains the function of complaint reviews, which involves the Operational Management Team and the MRC. The MRC then leads on feedback to the Board</p> <p>The Board receive quarterly updates on complaints, including the number of them, category and outcome</p>
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: <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints 	No	Individual performance targets are in place, but not presently focused specifically on complaint handling.	Currently, there is a 100% customer satisfaction target for all staff- this is being refreshed to include complaint handling performance – the refresh will take place by July 2024.

	as set by any relevant professional body.			
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