

Appendix B – Self-Assessment Form – July 2023

This self-assessment form should be completed by the complaints officer and discussed at the landlord's governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory 'must' requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

Section 1 - Definition of a complaint

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.'</i>	Yes	This definition is contained within our policy, section 4.1, and included in both the staff and residents procedures.
1.3	The resident does not have to use the word 'complaint' for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord's complaints policy.	Yes	These are stated in our policy and procedures. Residents do not need to use the word 'complaint' and complaints submitted via a third party or representative are handled in line with our policy. Section 4.5.
1.6	... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.	Yes	This is explained in our policy and procedures under Scope, section 6 of the policy. If service request and escalations are not resolved quickly or if the resident requests it, the policy provides for the matter to be logged as a complaint.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	Section 7 of the policy gives clear guidance on all exclusions and exceptions which are in line with the Complaint Code.

1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	These are clearly set out in section 6 of the complaints policy as well as the complaints procedures and are in line with the Complaint Code.
1.9	If a landlord decides not to accept a complaint, a detailed 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.	Yes	This is clearly detailed in the policy.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a service request , where a resident may be unhappy with a situation that they wish to have rectified, and a complaint about the service they have/have not received.	Yes	These differences are clearly set out and defined in the policy and procedures. Further instructions are provided to the investigating officers in the complaint's procedure guidance for staff.
1.5	Survey feedback may not necessarily need to 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.	Yes	Our external survey consultants are instructed to provide the complainant with ccha contact details and/or provide a copy of our 'How to make a complaint leaflet' . Staff are also instructed to provide the above details when undertaking other types of surveys which are administered directly by ccha.

Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	Our policy provides for all complaints to be received in various formats. Complaints can be made in person to any member of staff, via telephone, in writing, by email and digitally from the website or social media. Our procedure gives details of our social media process.
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	<p>The 'How to make a complaint leaflet' provides details of how to make a complaint to ccha and/or the ombudsman. It also summaries the Complaints Policy, detailing the staged process and expected timescales. Our policy is also available to residents and can be downloaded from our website.</p> <p>All ccha publications are available on request in various formats such as large print, braille, audio and alternative languages. We use the services of an external provider, Language Line, to assist in the provision of this service to residents. This is promoted to residents and all staff are regularly reminded of the availability of this service and can support the resident when required. We have produced a guidance leaflet for residents regarding the translation service</p> <p>Staff are also encouraged to send the translation statement when sending emails and documents to residents.</p>

2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	Our website has a dedicated section for complaints including details of how to make a complaint, our policy and complaints leaflet and details of our performance. Residents can make a complaint directly from our website if they prefer. This information can all be found on our website via this link: https://ccha.biz/your-home/complaints-compliments/
2.5	Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.	Yes	Our Complaints Policy and our Equality, Diversity and Inclusion Strategy set out our commitment to the Equality Act 2010 including making reasonable adjustments. We also have a separate Reasonable Adjustment Policy. All staff attended a classroom training session in 2021 on Equality, Diversity and Inclusion and a further session in June 2023. E-Learning sessions are also scheduled automatically for staff to complete every 3 years. There are 2 courses – one for Employees and one for Managers. Classroom training is also run annually for new staff.
2.6	Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.	Yes	The Complaints Policy, process and 'How to make a complaint' leaflet is published on our website along with links to the Complaint Handling Code and Ombudsman services. The website is kept up to date with performance information on complaints. Complaints & Compliments - Croydon Churches Housing Association - (ccha.biz) The resident's newsletter 'Connections' is published twice a year and the annual report all contain sections and updates on complaints. We regularly post on social media with reference to the newsletter and annual report providing prompts

			<p>i.e. 'Do you know how to make a complaint?' and updates that link back to the website.</p> <p>The 'How to make a complaint' leaflet is sent out with all complaint acknowledgement letters and our letter templates include reference to the Housing Ombudsman.</p>
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Yes	<p>This information is in our complaints leaflet and policy, on our website and is provided with all formal correspondence regarding a complaint.</p> <p>Make a Complaint - Croydon Churches Housing Association - (ccha.biz)</p>
2.8	Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.	Yes	<p>This information is provided at the onset of a complaint via the acknowledgement letter which also includes the 'How to make a complaint leaflet'</p> <p>'How to make a complaint leaflet'</p>

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.2	Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained.	Yes	The Complaints Policy and Procedures for both residents and staff contain a section on our approach to this. The document also explains how confidentiality and privacy rights are maintained by ccha.

Section 3 - Complaint handling personnel

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.1	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	Yes	The Senior Customer Investment Officer supported by the Customer Investment Administrator is the "complaints officer". They are responsible for overseeing the complaint handling process, appointing an appropriate Investigating Officer to handle each case and formal reporting on performance and learning. The roles form part of the Customer Investment Team (CIT) managed by the Customer, Marketing and Sales Manager who reports directly to the Director of Customers. They in turn ensure complaints information is reported to the Leadership Team and the Board.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	The role of the Investigating Officer is stipulated in the staff and resident procedure documents. It states that the appointed officer must display effective complaint handling skills and act independently and impartially.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	Complaint handlers should: <ul style="list-style-type: none"> • be able to act sensitively and fairly • be trained to handle complaints and deal with distressed and upset residents • have access to staff at all levels to facilitate quick resolution of complaints 	Yes	The role of the complaints handler/ Investigating Officer is detailed in our policy and procedures. They are encouraged to resolve disputes quickly and fairly and have access to all staff including our Senior Management Team to help facilitate this where necessary.

	<ul style="list-style-type: none"> have the authority and autonomy to act to resolve disputes quickly and fairly. 		We also recognise the importance of training. Over the last few years, we have provided customer service training to all staff with the last training completed in June 2023, completed a Complaints Briefing session to all staff in 2022, discussed learning throughout the year and will be carrying out complaints handling training in 2023.
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Section 4 - Complaint handling principles

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure within five days of receipt .	Yes	Staff are encouraged to work with residents to try and resolve issues as quickly as possible. Communication with residents is logged through our housing management system known as CX or via our contractors own CRM systems. In the event of a matter not being resolved quickly, or at the residents request, a stage one formal complaint will be logged. ccha operates a two stage complaints process and complaints are acknowledged and logged within the 5-day period specified.
4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	Our standard complaints acknowledgement letter details our understanding of the complaint and the outcome the resident is seeking. In the acknowledgement letter the resident is asked to consider the complaint reasons stated and if they do not agree to contact us as soon as possible.

4.6	A complaint investigation must be conducted in an impartial manner.	Yes	The role of the investigating officer is to act independently and impartially when dealing with all complaints as detailed in the policy and procedure.
4.7	<p>The complaint handler must:</p> <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	Yes	<p>Our procedures detail the role of the Investigating Officer which include to:</p> <ul style="list-style-type: none"> • Act independently and impartially • Deal with each complaint on their merits • Consider and act on any conflict of interest identified • Consider all information and evidence carefully • Keep the complaint confidential as far as possible • Identify and action deliverable and realistic remedies
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Yes	Staff are encouraged to do this and our procedure details that the Investigating Officer should adhere to any arrangements agreed with the residents in terms of frequency and communication methods.
4.12	<p>The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to:</p> <ul style="list-style-type: none"> • set out their position • comment on any adverse findings before a final decision is made. 	Yes	<p>Both procedures state that the resident must be given “a fair opportunity to set out their position and comment on any adverse findings before a final decision is made.”</p> <p>Where a complaint is against a member of staff, as part of their investigation, the line manager will give the staff member an opportunity to set out their position and discuss any findings with them prior to the response being issued.</p>
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint	Yes	The policy and procedure clearly set out the timescales and all correspondence made to the complainant provides details on this.

			<p>The policy states that the complainant has 10 working days to consider our Stage 1 response and request an escalation to Stage 2 stating why they are dissatisfied and what outcome they are seeking.</p> <p>Stage 2 completes our process. The resident is provided with our formal written response and details of how to escalate via the tenant panel or the Ombudsman.</p>
4.14	A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.	Yes	The policy provides consistent reasoning for declining or escalating a complaint. Further detail is provided in the staff procedures.
4.15	A full record must be kept of the complaint, any review 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 reports or surveys prepared.	Yes	ccha standard procedures provide for all calls with residents to be logged on CX as a CRM record. Each stage of the complaint is also recorded and monitored on CX. All correspondence should be filed in SharePoint under the complaint case reference.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Yes	Our Complaints Policy covers persistent or unreasonable complainants in terms of complaints and our Caution Register and Awareness Register Procedures cover this more generally. We also have a separate Unacceptable User Policy which details how we deal with cases where the actions of an individual or representative becomes unacceptable.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.3	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic	Yes	This is detailed in our staff procedure under the Investigating Officer Section.
4.4	A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required.	Yes	The Investigating Officer is responsible for taking ownership of the complaint, liaising directly with the complainant to come to an agreed resolution and ensuring we work to any specified timescales including completing any urgent actions.
4.5	Landlords should 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 where this is reasonable.	Yes	The procedure details who can complain, 'A complaint can be received from the resident, their representative or a third party'. The process for consent is covered in the procedure and states that all communication with the representative or third party will be undertaken in the same manner as if they were the complainant.
4.8	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	Yes	This is contained within the policy and procedure which details that ccha should continue to offer a resolution where possible obtaining legal advice.
4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	The procedure details this with the exception 'unless this is essential to put the response into context'.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	This is detailed in the staff procedure and Investigating Officers are encouraged to open and maintain a dialogue with the complainant throughout the process.
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	Yes	As part of the complaint's procedure, when a complaint is closed, we contact the resident to seek feedback in the form of a survey. We use this feedback to learn and improve what we do and the results form part of our key performance reporting.

4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained.	Yes	ccha is focused on creating a positive learning culture and seeking to identify opportunities to improve our standard of service. At each stage of a complaint our staff are supported through the process and learning is shared regularly through staff updates and quarterly forums.
4.19	Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	Our Complaints Policy details how to deal with persistent or unreasonable behaviour and is supported by the Unacceptable User Policy which further explains how to deal with actions of individuals that become unacceptable because they abuse staff or our processes. We also have a Caution and Awareness Register which deals with more serious risks to staff. Any action taken under this procedure is carefully considered and reviewed by an independent panel. These are then reviewed on a regular basis.

Section 5 - Complaint stages

Mandatory 'must' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint <u>within 10 working days</u> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	The Complaints Policy and procedures detail that the complainant should expect a written response within 10 working days and the timeframe is addressed in the acknowledgement response. A holding reply system is in place for when an extension of time is required with good reason. This is communicated to the resident in writing.

5.5	A complaint response must be sent 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 expeditiously with regular updates provided to the resident.	Yes	The complaint response is sent within the required timescales. Any outstanding actions are detailed within the response including anticipated timescales. The Investigating Officer has responsibility for overall conduct of the case including ensuring all matters are concluded satisfactorily for the resident before formally closing the complaint.
5.6	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	This is detailed in the policy and procedure. The Investigating Officer is responsible for ensuring they have answered all the complainants concerns in their response.
5.8	Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none"> the complaint stage the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions details of how to escalate the matter to stage two if the resident is not satisfied with the answer 	Yes	This is detailed in the staff procedure and is structured into the response letter templates for stage 1 and stage 2 complaints.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.9	If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.	Yes	All complaints are progressed to stage two at the residents' request once the stage one response has been completed. The policy includes reasons why we would decline or not escalate a complaint and requires staff to clearly communicate this to residents in writing. Where we decide not to escalate, we would inform the resident of their right to approach the Ombudsman regarding our decision.

5.10	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	This is detailed in the stage 2 acknowledgement letter content which also asks the resident to get in touch should any of the details be unclear or not understood.
5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Yes	The stage 1 response provides details to the complainant of how to escalate to stage 2 if dissatisfied with the stage 1 response. Escalation is done at the residents' request unless an exclusion applies.
5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	This is clearly set out in our policy and procedures documents. Stage 2 complaints are handled by our Leadership Team.
5.13	Landlords must respond to the stage two complaint <u>within 20 working days</u> of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	This is set out within our policy and procedures and adheres to the 20 working days timeframe.
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions and <ul style="list-style-type: none"> if the landlord has a third stage, details of how to escalate the matter to stage three 	Yes	This is detailed in the staff procedure and is structured into the response letter templates for stage 1 and stage 2 complaints. We do not have a third stage, but the complainant is advised of their right to escalate to the Housing Ombudsman and/or make use of our local tenant panel.

	<ul style="list-style-type: none"> if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 		
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Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	N/A	We operate a two stage complaints procedure with an optional tenant panel or direction to the ombudsman if the complainant is still dissatisfied with the outcome.
5.20	Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied 	N/A	We do not operate a third stage.

Best practice 'should' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	The policy and procures details that any extensions should be undertaken by mutual agreement.
5.3	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	Yes	The policy and procedure detail that the complainant should be informed of the Housing Ombudsman contact details in the event of them being dissatisfied with our approach or wishing to challenge the position. The Housing Ombudsman details are provided with our acknowledgement to the complainant.
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	The policy confirms that past reports can and should be considered if it will help resolve the issue for the complainant.
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint.	Yes	The policy and procedure detail this information.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.14	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	The policy and procedures detail that all extensions should be undertaken by mutual agreement.

5.15	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response	Yes	The policy and procedure detail that the complainant should be informed of the Housing Ombudsman contact details in the event of them being dissatisfied with our approach or wishing to challenge the position. The Housing Ombudsman details are provided with our acknowledgement to the complainant.
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Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.18	Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint <u>within 20 working days</u> of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.	N/A	We do not have a third stage.
5.19	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	N/A	This is not relevant as we do not offer a third stage.

Section 6 - Putting things right

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. 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.	Yes	Our complaints process is designed to resolve complaints wherever possible. Our written response to complainants details our findings during the complaints investigation and sets down how we intend to put things right.
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	The Investigating Officer is responsible for identifying deliverable remedies that are fair and reasonable. Our Compensation Policy and Procedure provides guidance on the degree of distress and inconvenience and the appropriate level of compensation that should be offered.
6.5	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	The process is set out in our staff procedure and all complaint cases are kept open until all matters are concluded. The Investigating Officer's role encompasses the need to have oversight until the complaint is concluded and all matters are completed satisfactorily. The complaints officer also continues to monitor the complaint until it is closed down.
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	There is a Compensation Policy and Procedure which provides guidance on awarding compensation and a breakdown of each element which should be considered.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	A process is in place to review all complaints and identify learning including changes to our processes to improve our service to residents.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	Yes	This is referenced in our Complaints Policy and procedures.

Section 7 - Continuous learning and improvement

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	<p>A standard report has been set up including key performance information. This is issued quarterly and annually to residents and staff.</p> <p>A communication calendar is in place to ensure all reporting is regularly covered. For residents this includes content in:</p> <ul style="list-style-type: none">• the annual report• 'Connections' magazine issued to residents half-yearly• Quarterly performance reporting on our website <p>For staff this includes quarterly updates on performance and learning.</p> <p>Our quarterly complaints forum also reviews learning identified from individual complaints and our response.</p>

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	Yes	This responsibility has been added to the role profile for our Chair of the Remuneration and Nomination Committee. It is their role to ensure the Board receive regular information on complaints handling and performance and to support a positive complaints culture.
7.4	As a minimum, governing bodies should receive: <ul style="list-style-type: none"> • Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders • Regular reviews of issues and trends arising from complaint handling • The annual performance report produced by the Ombudsman, where applicable • Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge. 	Yes	All elements are included in the update received by the Board at least twice a year. The Board are informed of all complaints which escalate to the Ombudsman and their outcome. We will ensure that all management responses and actions relating to maladministration or referrals to regulatory bodies are tracked to ensure delivery. The board receive our self-assessment against the Complaint Handling Code on an annual basis.
7.5	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	Yes	The quarterly complaints forum, which includes senior management, assesses themes and trends for learning and identifies and tracks actions. The Leadership Team discuss complaints monthly and receive an annual complaints report which helps to identify any further trends and actions. Feedback

			and learning is also shared with contractors and staff.
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> • have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments • take collective responsibility for any shortfalls identified through complaints rather than blaming others • act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing. 	Yes	This is detailed in our staff procedure and is now standard in all our role profiles. As well as working together to resolve complaints, we also work collaboratively to review learning in our quarterly complaints' forum. We continue to seek improvements in this area and have completed further customer care training in June 2023 and are finalising external complaints training for later in the year.

Section 8 - Self-assessment and compliance

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Yes	We are compliant in this area. We have carried out and published an annual self-assessment since 2020. This current self-assessment will also be published on our website and appear in the annual report.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	We will ensure a new assessment is carried out when necessary.
8.3	Following each self-assessment, a landlord must: <ul style="list-style-type: none"> • report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members 	Yes	Each self-assessment is reported to the Leadership Team and the Board, published and publicised on our website, and a link include in our annual report.

	<ul style="list-style-type: none"> • publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents • include the self-assessment in their annual report section on complaints handling performance 		
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