

## **Appendix A: Self-assessment form – 07/04/25**

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            | A complaint must be defined as:<br><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>   | Yes              | Current definition is included within the existing policy - Section 3 What is a Complaint? (Page 2).<br><br>Residents do not need to use the word 'complaint' for it to be treated as such and each individual will be asked if they would like to raise a complaint.  | No change since last reviewed November 2024.  |
| 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              | Current definition is included within the existing policy - Section 3 What is a Complaint? (Page 2). Existing policy provides the Trust's definition as above. Paragraph 3.2 clearly identifies that residents do not need to use the word 'complaint' for it to be treated as such and each individual will be asked if they would like to raise a complaint. | All residents are provided with a copy of our complaints procedure when signing up to a property and we periodically provide information on how to complain, via newsletters etc. Information about complaints is also maintained on our website and a complaint can be submitted via a web form. |
| 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. | Yes              | Current definition is included within the existing policy - Section 3 What is a Complaint? (Page 2). Detailed within existing policy in paragraphs 3.3 and 3.4.<br><br>The Trust uses a database detailing service request status and actions undertaken.  | Often, we will not be aware of an issue until it is reported for the first time, this will be identified as a service request and recorded on our database for action. If dissatisfaction is expressed with the response to a service request, then this would be a complaint.                    |

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| 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 | <p>Current definition is included within the existing policy - Section 3 What is a Complaint? (Page 2).</p> <p>Database detailing service request status and actions undertaken. This is linked to timescales for responding.</p>   | If dissatisfaction is expressed with regard to a service being provided this would be identified as a complaint. |
| 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 | <p>Periodic satisfaction surveys go out to residents for completion including a variety of issues, and a general survey is undertaken usually every 2 years.</p> <p>Information from surveys is used to highlight potential service issues and identify improvements.</p> <p>Details of how to complain about services are readily provided and staff are encouraged to advise residents how to make a complaint.</p> |  |

## 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              | Detailed within existing policy – Section 5 Exclusions and Time Frames. | All complaints have been accepted by the Trust and no complaint has ever been refused or <u>not</u> accepted. |
| 2.2            | <p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul> | Yes              | Detailed within existing policy – Section 5 Exclusions and Time Frames. | All complaints have been accepted by the Trust and no complaint has ever been refused or <u>not</u> accepted. |

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| 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  | Detailed within existing policy – Section 5 Exclusions and Time Frames.  | <p>All complaints have been accepted by the Trust and no complaint has ever been refused or <u>not</u> accepted.</p> <p>If outside this timescale, discretion would be used as to whether there is good reason to consider the complaint. This would be a decision for the General Manager.</p>  |
| 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. | Detailed within existing policy – Section 5 Exclusions and Time Frames (paragraph 5.3).  | <p>All complaints have been accepted by the Trust and no complaint has ever been refused or <u>not</u> accepted.</p> <p>If we did decide not to accept a complaint, this would be explained to the resident and the reasons why.</p> <p>When corresponding about complaints, the Trust makes it clear that residents have the right to approach the Ombudsman.</p> |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.   | Yes  | <p>To date, all complaints have been accepted by the Trust and no complaint has ever been refused or <u>not</u> accepted.</p> <p>All complaints are dealt with on an individual basis.</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              | Detailed within existing policy – Section 4 Who can make a complaint.<br><br>Detailed within existing policy – Section 9 Accessibility and Awareness.  | Current policy details that complaints can be made to “any member of staff when they visit residents in their home, or by calling into our (main office). Alternatively, a complaint can be made to us by phone, by email, by letter or by using the form at the end of this policy.” A complaint can also be made by a “representative” on behalf of a resident. Should information be required in a different format / language or via a translator – this will be provided. |
| 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              | Detailed within existing policy – Section 4 Who can make a complaint.<br><br>All staff are advised of any updates to policies and the policy is available to all staff on a shared computer drive. | As above.  |
| 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              | Confirmed within existing policy introduction.   | As a small organisation, we are situated within the communities that we provide services to and are very accessible. As such, we get very few complaints as we are able to respond quickly to issues raised and deal with problems in a timely fashion. Should the volume of complaints  |

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|     |  |     |  | increase we would not see this as a negative, but opportunities to identify and improve service provision.  |
| 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 | Detailed within existing policy – Section 7 the Complaints Process.  | Our policy is a two-stage process and is clear and accessible to residents. The policy is published and accessible on our website. This includes a form by which residents can submit a complaint should they wish.         |
| 3.5 | The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.   | Yes | The Trust's policy clearly states this within its introduction.  | The Trust's commitment towards providing details of the Ombudsman is clearly stated within our existing policy which includes a section at the end on how the Ombudsman can be contacted for further information / support. |
| 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 | Detailed within existing policy – Section 4 Who can make a complaint. A complaint made via a representative or third party will be handled in line with our existing policy.     |   |
| 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 | Detailed within existing policy – Section 11 Housing Ombudsman Service. Communication with regard to how to contact the Ombudsman is provided to residents who make a complaint. |   |

#### 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              | Detailed within existing policy – Section 6 Who Handles the Complaint Process. | The General Manager is identified as the individual with overall responsibility for dealing with complaints and has the authority to resolve disputes / complaints.   |
| 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              | Detailed within existing policy – Section 6 Who Handles the Complaint Process. | Complaints Officers are designated by the General Manager and will have their full support. The General Manager has the authority and autonomy to act to resolve disputes promptly and fairly.  |
| 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              | Detailed within existing policy.   | Complaints are the responsibility of the General Manager. This ensures that all necessary resources to effectively deal with complaints are provided. Where lessons can be learned from a complaint – key issues will be identified, with an action plan for improving developed. |



## 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              | Existing policy is a single policy for almshouse residents and visitors.  |                          |
| 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              | Detailed within existing policy.<br><br>While we aim to deal with all issues on first contact, if we are unable to do this straightaway, a complaint will be accepted<br><br>Our policy has no more than two stages and meets best practice as detailed by the Housing Ombudsman. |                          |
| 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              | Detailed within existing policy.<br><br>Our policy has no more than two stages. And meets best practice as detailed by the Housing Ombudsman.   |                          |
| 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              | Detailed within existing policy.<br><br>All complaints under our policy are the responsibility of the General Manager, even if this includes additional information from a third party, and would not be a separate complaint.  |                          |



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| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.   | Yes | All complaints under our policy are the responsibility of the General Manager and any third parties would be made aware of our requirements / timescales for responding. They would not deal with the complaint themselves. |  |
| 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 | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Confirmed within policy.   |  |
| 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 | Detailed within existing policy – Section 7 The Complaints Process.<br><br>All complaints are acknowledged, and this will be made clear.  |  |
| 5.8 | At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul> | Yes | Detailed within existing policy – Section 7 The Complaints Process.   | Responsibility for complaints lies with the General Manager highlighting that the Trust takes all complaints seriously. All aspects of the complaints investigation will take account of the processes identified. |

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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 | <p>Detailed within existing policy.</p> <p>For any extensions, the Trust will confirm in writing to the resident reasons for the extension and the new response date, keeping them informed on the progress of their complaint.</p> |  |
| 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 | <p>Detailed within existing policy – Section 9 Accessibility and Awareness.</p> <p>The Trust will take account of our Equality and Diversity policies when dealing with any reasonable adjustments or identified disabilities.</p>  |  |
| 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 | <p>Detailed within existing policy.</p> <p>The Trust has never refused to escalate a complaint through its current stages.</p>  |  |
| 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 | An individual complaint folder is created for any complaint made, detailing actions and status.   |  |

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| 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 | Detailed within existing policy.<br><br>As the process is 'owned' by the General Manager, the complaint can be resolved at any stage.  |  |
| 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 | Detailed within existing policy.<br><br>The 'Letter of Appointment' for a resident to become a beneficiary of the charity details behavioural requirements, alongside associated policies, and procedures. |  |
| 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 | No restrictions have ever been placed. Any imposed would be enacted alongside relevant policies and procedures, including our Equality and Diversity Policy.<br><br>Process led by General Manager.        |  |

## 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              | Detailed within existing policy.  | The Trust aims to resolve all complaints at the earliest opportunity. Being a small organisation with ready access to staff in the communities we serve, this is easily achieved, and we very rarely receive complaints. We also understand that each case must be treated on its own individual merit, and we are committed to reviewing each case in a fair manner and with consistency. |
| 6.2            | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>  | Yes              | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Confirmed within policy  |  |
| 6.3            | Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.  | Yes              | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Confirmed within policy. |  |
| 6.4            | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint   | Yes              | Detailed within existing policy – Section 7 The Complaints Process.                                 |  |

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|     | 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.   |     | Confirmed within the policy. For any extensions, the Trust will confirm in writing to the resident, reasons for the extension and the new response date, keeping them informed on the progress of their complaint. |   |
| 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 | Detailed within existing policy.<br><br>Confirmed within policy.   |   |
| 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 | Detailed within existing policy.   | All complaints are responded to as soon as a response to a complaint is known. Any outstanding actions to address the situation would not delay this being sent if the response has been determined, i.e. if relating to repairs. Any subsequent actions would be recorded via our database and tracked over time |
| 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 | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Confirmed within policy.  |   |
| 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               | Yes | Detailed within existing policy – Section 7 The Complaints Process.  | Where residents raise additional complaints, these will be incorporated into the response wherever possible. If unrelated, then a new complaint would be logged.  |

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|     | already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.   |     |  |  |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul> | Yes | Detailed within existing policy – Section 7 The Complaints Process.<br><br>We will confirm in writing the response to the request within 10 working days, clarifying any points and explaining the reasons for the decision. |  |

## 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              | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Confirmed within policy.  |                          |
| 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              | Detailed within existing policy – Section 7 The Complaints Process.<br><br>All complaints at whatever stage are acknowledged and a timescale for |                          |



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|      |   |     | responding provided.   |  |
| 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 | Detailed within existing policy – Section 7 The Complaints Process.  | Residents do not have to explain why they are requesting further review. While we will make all reasonable efforts to understand why a resident may remain unhappy, we will ask them to elaborate if necessary.  |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.   | Yes | Detailed within existing policy – Section 7 The Complaints Process.  | All stage 2 complaints are reviewed by the General Manager, if there is a conflict of interest or the complaint is about the General Manager, then this will be referred to the Chair of the Board who will nominate a suitable Trustee to conduct the appeal. |
| 6.14 | Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.  | Yes | Detailed within existing policy – Section 7 The Complaints Process.<br><br>A response will be sent within 20 working days. |  |
| 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 | Detailed within existing policy – Section 7 The Complaints Process.  | For any extensions, the Trust will confirm in writing to the resident reasons for the extension and new response date, keeping them informed on the progress of their complaint.   |

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| 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 | Detailed within existing policy.<br><br>The Trust is committed to providing contact details of the Ombudsman throughout our 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 | Detailed within existing policy – Section 7 The Complaints Process   | All complaints are responded to as soon as a response to a complaint is known. Any outstanding actions to address the situation would not delay this being sent if the response has been determined i.e. if relating to repairs. Any subsequent actions would be recorded via our database and tracked over time. |
| 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 | Detailed within existing policy – Section 7 The Complaints Process   | We will confirm in writing the response to the request, clarifying any points, and explaining the reasons for the decision.   |

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| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:<br>a. the complaint stage;<br>b. the complaint definition;<br>c. the decision on the complaint;<br>d. the reasons for any decisions made;<br>e. the details of any remedy offered to put things right;<br>f. details of any outstanding actions; and<br>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. | Yes | Detailed within existing policy – Section 7 The Complaints Process   | We will confirm in writing the response to the request, clarifying any points, and explaining the reasons for the decision. We will provide details of how to contact the Ombudsman. |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.  | Yes | Detailed within existing policy – Section 7 The Complaints Process.<br><br>Stage 2 is our final response and is confirmed within our policy. |  |

## Section 7: Putting things right

| Code provision | Code requirement   | Comply: Yes / No | Evidence  | Commentary / explanation  |
|----------------|--|------------------|---|---|
| 7.1            | <p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance, or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures, or practices.</li> </ul> | Yes              | Detailed within existing policy- Section 8 Putting things right where something has gone wrong. | Where things have gone wrong the Trust will seek to remedy them as soon as possible and will apologise for getting things wrong, explaining why this has happened and what we will do to rectify the situation. If necessary, an action plan will also be put in place to tackle system issues or any gaps in processes identified, which could also include additional staff training. Where a clear and definable loss has been made, the Trust will also provide a financial remedy. |
| 7.2            | Any remedy offered must reflect the impact on the resident as a result of any fault identified.  | Yes              | Detailed within existing policy- Section 8 Putting things right where something has gone wrong. | Any remedies that are put in place should address the issue and ensure that the resident is at no further disadvantage – i.e., back to the position they would have been in, had the issue not have occurred.   |
| 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   | Yes              | Detailed within existing policy- Section 8 Putting things right where something has gone wrong. | Any remedy that is agreed will be clearly detailed in writing with timescales for action. Actions will be recorded on our database to   |

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|     | to completion.   |     | .  | clearly demonstrate the status of work being undertaken and when completed |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | <p>Detailed within existing policy-<br/>Section 8 Putting things right where something has gone wrong.</p> <p>The Trust is committed to providing a good quality service to our residents and learning from best practice. We look at each case individually and will decide on the best actions relevant to each individual case on its own merits. This approach is re-enforced within the introduction to our policy.</p> |  |

## Section 8: Self-assessment, reporting, and compliance

| Code provision | Code requirement   | Comply: Yes / No | Evidence   | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| 8.1            | <p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul> | Yes              | <p>Detailed within existing policy- Section 10 Review.</p> <p>A complaints update is provided by the General Manager at every Board meeting. A report on Complaint Handling &amp; Performance is presented to Trustees on an annual basis. This will include the annual self – assessment plus an overview of our complaint handling performance and any issues arising from this. This report went to Board on 12 May 2025.</p> |                          |

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| 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 | <p>Detailed within existing policy- Section 8 Putting things right where something has gone wrong.</p> <p>Annual Report presented to Board on 12 May 2025 including self-assessment report.</p> <p>An annual complaint handling and performance report will be reported as required covering:</p> <ul style="list-style-type: none"> <li>• Self-assessment</li> <li>• Overview of complaint handling</li> <li>• Any-findings on non-compliance and actions</li> <li>• Service improvements made as a result of learning</li> <li>• Any Ombudsman determinations</li> </ul> |  |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.  | Yes | <p>Detailed within existing policy- Section 8 Putting things right where something has gone wrong.</p> <p>A self-assessment was undertaken on 2 October 2024 following review of the Trust's current policy. This was reviewed again on 7 April 2025 following the end of the Financial Year 2024/25.</p>  |  |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.   | Yes | The Trust will be happy to review our self-assessment as required. Any amendments made would be reported to the Board of Management.   |  |

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| 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 | Should the Trust be unable to comply with requirements, we will be happy to undertake all necessary action. |  |
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## 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              | Highlighted within policy introduction.<br><br>The Trust is always keen to learn from our mistakes and improve service delivery. If any issues are determined, we will look at addressing those concerns and if necessary, incorporate them into relevant action plans. This will be reported within our Annual Complaint Handling & Performance Report.                     |                          |
| 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              | Highlighted within policy introduction.<br><br>The Trust re-enforces its commitment to a positive complaint handling culture, by making the General Manager the Lead Officer in dealing with all complaint handling matters.   |                          |
| 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              | A complaints update is provided by the General Manager at every Board meeting , including cases in progress, and is recorded within the minutes of the meeting. The Board considers an annual report on performance as detailed, which includes any learning. Should there be any specific issues highlighted, this would be included within a residents newsletter and also |                          |

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|     |  |     | included on our website. Complaints is a regular feature in staff meeting agendas and any learning would be shared with staff, via this process, backed up by email.   |  |
| 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 | Detailed within existing policy- Section 6 Who handles the Complaint Process.<br><br>The General Manager has been appointed as the accountable person for complaints, who has the authority and ability to enact change. |  |
| 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 Chair of the Board has this responsibility.  |  |
| 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 | The Chair will have access to staff and information to fulfill this role. The General Manager provides a complaint update at every meeting.  |  |

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| 9.7 | <p>As a minimum, the MRC, and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories, and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>        | Yes | <p>As well as the annual review, the General Manager provides a complaint update at every meeting, including any on-going cases, Housing Ombudsman cases and service improvements.</p>   |  |
| 9.8 | <p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li> </ul> | Yes | <p>The Trust aims to provide a good service to our residents. Our commitment towards resolving complaints is outlined within the introduction to our policy. Leadership in terms of dealing with complaints comes from the Board and General Manager. A complaints update is considered at every Board meeting. Relevant training in complaints will be undertaken as required, with all members of staff.</p> |  |