

## 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	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 landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	This is explained in our Complaints Policy which was reviewed in October 2024.	It explains that if tenants, applicants and their relatives or advocates are dissatisfied with our service or policies then we will respond and deal with their complaint.
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	We have dedicated Scheme Managers who cover our sites. Residents and relatives often report matters verbally to our Scheme Managers who will pass on the concerns to the office to action.	Expressions of dissatisfaction that are raised by tenants and groups of tenants through our Scheme Managers are responded to formally through our Complaints Policy.
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	Yes	This is explained in our Complaints Policy which was reviewed in October 2024.	It clearly explains that expressions of dissatisfaction with our service and policies will be dealt with through our Complaints policy. It also explains that we do not

	be recorded, monitored and reviewed regularly.			consider service requests as complaints.
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	This is covered by our Complaints Policy which was reviewed in October 2024.	All levels of dissatisfaction are recorded and dealt with under our Complaints 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.	Yes	Our Tenant Survey is carried out every 2 years by an independent organisation and if tenants have a complaint, the independent organisation will advise them how to pursue their complaint.	The independent organisation who carries out the survey (Viewpoint in 2024) were briefed about our Complaints Policy. The survey was carried out by telephone and tenants were advised how to make a complaint.

## 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	This is explained in our Complaints Policy which was reviewed in October 2024.	We do not consider service requests such as repair requests or lettings requests as complaints.
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> </ul>	Yes	This is covered by our Complaints Policy which was reviewed in October 2024.	The Society will reject what it considers vexatious complaints, explaining its reasoning. It will not consider repeat complaints on the same facts, or complaints about matters over 12 months old, abusive, or aggressive language.

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
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	This is explained in our Complaints Policy which was reviewed in October 2024.	The Society explains that it has the discretion to consider complaints in a different manner in exceptional circumstances.
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	We will provide a written explanation if a matter that has been raised does not constitute a complaint under our Complaints Policy.	The Society explains that it will respond to tenants to explain clearly why a matter will not be dealt with as a complaint.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	All reports, concerns, matters raised are dealt with on their own merits.	The Society resolves matters quickly and fairly and does not look to exclude issues raised as complaints.

### 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	Tenants have an individual Support Plan which details their preferred methods of communication. This information is picked up at the tenant “sign up” meeting and amended when the Support Plan is reviewed or as required.	Each site has a dedicated Scheme Manager who can be contacted by tenants during normal office hours. The communication needs of tenants are recorded in Support Plans.
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	Any member of staff who is on site will pick up complaints and will report them to the Office Manager to be recorded on the Complaints Log.	Tenants are aware of when their dedicated Scheme Manager will be on site so that they can approach them about a complaint.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	We do have a low volume of complaints as we are a small organisation with 326 properties.	Our Scheme Managers are accessible to tenants daily to deal with complaints and there are open publicised lines of communication with the office for ease of making complaints.

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	All new tenants are made aware of the Complaints Policy at the "sign up" meeting. The policy is also published on our website.	The Complaints Policy clearly shows our process on how complaints are managed setting out the stages and timescales for responses.
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	This is explained in our Complaints Policy which was reviewed in October 2024.	It explains that the Complaints Policy and information relating to the Housing Ombudsman is on the Society's website.
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	This is explained in our Complaints Policy which was reviewed in October 2024.	Where it is identified through the "sign up" meeting or through the Support Plan that tenants require an advocate then we will signpost the tenants to a suitable independent organisation.
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	This is explained in our Complaints Policy which was reviewed in October 2024.	The Complaints Policy is explained to tenants at their "sign up" meeting and is published on our website.

## 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 designated person for dealing with Stage 1 Complaints is the Chief Executive Officer and for Stage 2 Complaints is the Chair of the Board.	This is explained in our Complaints Policy and is referred to in our response to 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	The Chief Executive Officer is the lead person in the Management Team that has overall responsibility for each of the operational teams.	The Chief Executive Officer has full access to the Line Managers of each operational team.
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	The Chief Executive Officer has 20 years of experience of managing and dealing with complaints in the social housing sector.	The Society reports to the Operations Sub Committee six times a year and to the Board once a year on lessons learned from complaints and what improvements will be implemented to improve the



				Society's service, policies, and procedures.
--	--	--	--	--

## 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	The Society has a Complaints Policy in place for all tenants which is published on our website.	All complaints are placed on a Complaints Log and performance is monitored. Response times and outcomes are recorded.
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	There are 2 stages to our complaints process. Stage 1 is dealt with by the Chief Executive Officer and Stage 2 is dealt with by the Chair of the Board.	The stages are set out in our Complaints Policy and clearly explain that if a complaint is not resolved to the tenant's satisfaction after the 2 stages, then the tenant should contact 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	There are no more than 2 stages in our complaints process.	The stages are set out and explained in our Complaints Policy.
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	Yes	There is one complaints process which is initially coordinated by the Chief Executive Officer followed by the Chair of the Board should the complaint be escalated to Stage 2.	The clear 2 stage process is set out in the Complaints Policy.

	expected to go through two complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	All complaints are coordinated by the Society and all responses under each stage are provided by the Chief Executive Officer and the Chair of the Board.	The Society take full responsibility for dealing with complaints and communicating the outcomes.
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	As part of our complaint resolution, all aspects of a complaint are investigated thoroughly, and clarification is sort if required on the outcomes that the tenant is seeking.	In some cases where a group of residents have made a complaint, we have arranged a meeting to discuss the complaint at Stage 1 and clearly understand the outcomes that the tenants are looking for.
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	As part of the complaints process, we will advise the tenant what aspects of the complaint that we are responsible for following up and resolving.	The Society’s Complaints Policy clearly sets out what constitutes a complaint that can be recorded and dealt with.
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> </ul>	Yes	All complaints are thoroughly investigated and responded to fairly and based on fact. If there is any identified conflict of interest, then the Office Manager will deal with Stage 1 and the	The Chief Executive Officer and Chair of the Board are impartial and deal with each stage of the complaints process in line with the Complaints Policy.

	<p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>		Vice Chair of the Board will manage Stage 2.	
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	In some cases where key members of staff involved in a complaint are absent from work then we have communicated to tenants that more time is required to carry out the investigation and a new timescale for responding has been communicated.	The Society inform tenants in writing if more time is required to respond to a complaint outside of the agreed timescale under the Complaints Policy.
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	A record of any disabilities and reasonable adjustments required in dealing with complaints is kept in the tenant's individual Support Plan.	Information on tenants' individual needs are recorded at the commencement of tenancy and are reviewed through the individual Support Plans.
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	If a tenant is dissatisfied with our response at Stage 1 then we will always advise that they have the right to escalate to Stage 2 of the complaints process.	The Society's Complaints Policy clearly sets out what constitutes a complaint that will be responded to under all stages of the process.

5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	The Society has a Complaints Log where all complaints are recorded. The log also includes information on actions and outcomes. The log is administered by the Office Manager and updated as required.	The Complaints Log is reviewed by the Operations Sub Committee 6 times a year.
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	83% of complaints received by the Society in 2024 were resolved and dealt with at Stage 1 of the complaints process.	The Society will always aim to resolve all complaints at Stage 1 of the complaints process.
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	Under the Society's terms and conditions of tenancy there is a clause relating to unacceptable behaviour caused by residents and their representatives.	The Society will deal with complaints from all tenants but if there is any unacceptable behaviour caused by tenants then this will be dealt with as a separate issue under the terms and conditions of tenancy.
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	The Society maintains contact with all tenants but in some exceptional circumstances works with advocates and support providers as required when managing complaints.	The Society completes a Support Plan with tenants where support needs and support providers / advocates are identified.



## 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	83% of complaints in 2024 were resolved at Stage 1. We aim to resolve complaints promptly.	If complaints are more complex and require more time to resolve, then tenants will be provided with a reasonable written timescale if it is likely that it will take more than 10 days to resolve.
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	As part of our Complaints Policy, complaints are acknowledged within 5 working days of the complaint being received.	The complaint is recorded on the Society's complaints log by the Office Manager.
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	100% of Stage 1 complaints were responded to within 10 working days in 2024.	The Chief Executive Officer responds to Stage 1 complaints in line with our Complaints Policy.
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	Yes	Where an extension to the timescale is required due to key staff members being absent or the complex nature of the complaint, the tenant is notified	We aim to respond to all complaints within the timescales set out in the Society's Complaints Policy.

	more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.		that an extension is required, and a new timescale is provided.	
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.	No	Our Stage 2 letter provides the contact details of the Housing Ombudsman.	We will ensure that in future if we must extend the timescale on responding outside our stated response times then the contact details of the Housing Ombudsman will be provided.
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	The Society provides a full response within the timescales stated in our Complaints Policy and follows up all outstanding actions promptly.	All Stage 1 and Stage 2 complaints are responded to in line with our Complaints Policy.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	The Society deals with all complaints fairly in line with our policies, recognised good practice and relevant legislation.	The Society sets out clearly in the terms and conditions of tenancy, the Tenant Handbook and our policies what the Society is responsible for and what services are provided.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related	Yes	The Society log complaints on their own merit and any additional complaints are dealt with in	When a further complaint is made by a tenant when an existing complaint is in progress then it will be

	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.		accordance with the timescales set out in our Complaints Policy.	logged as a separate complaint and dealt with in accordance with the stated timescales.
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	A full response is provided apologising for any poor service and setting out how any deficiencies or concerns can be remedied.	Under the Complaints Policy we are committed to resolving complaints promptly to the satisfaction of tenants.



## 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	Where tenants are dissatisfied with our response at Stage 1 then the complaint is escalated to Stage 2.	Our Complaints Policy explains the various stages in the complaints process. The Stage 1 letter explains that if the tenant is dissatisfied with the response, then it can be escalated to Stage 2.
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	As part of our Complaints Policy, Stage 2 complaints are acknowledged within 5 working days of the complaint being received.	The complaint is recorded on the Society's Complaints Log by the Office Manager.
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	Stage 2 complaints will be considered by the Chair of the Board who will review all information and evidence before making a fair and impartial response.	The Society will deal with all Stage 2 complaints on their own merits and in line with the 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	The Chair of the Board deals with Stage 2 complaints as opposed to the Chief Executive Officer who deals with Stage 1 complaints.	The responsible persons for each stage of the complaints process are set out clearly in our Complaints Policy.
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	All complaints that are escalated to Stage 2 of the complaints process are responded to within	The Society's Complaints Policy sets out clear

			20 working days of the complaint being acknowledged.	timescales for responding to Stage 2 complaints.
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	Where an extension to the timescale is required due to key staff members being absent or the complex nature of the complaint, then the tenant is notified that an extension is required, and a new timescale is provided.	We aim to respond to all complaints within the timescales set out in the Society's Complaints Policy.
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.	No	Our Stage 2 letter provides the contact details of the Housing Ombudsman.	We will ensure that in future if we must extend the timescale on responding outside our stated response times then the contact details of the Housing Ombudsman will be provided.
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	The Society provides a full response within the timescales stated in our Complaints Policy and follows up all outstanding actions promptly.	All Stage 1 and Stage 2 complaints are responded to in line with our Complaints Policy.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any	Yes	The Society deals with all complaints fairly in line with our	The Society sets out clearly in the terms and conditions of tenancy, the Tenant

	decisions, referencing the relevant policy, law and good practice where appropriate.		policies, recognised good practice and relevant legislation.	Handbook and our policies what the Society is responsible for and what services are provided.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes	A full response is provided apologising for any poor service and setting out how any deficiencies or concerns can be remedied.	Under the Complaints Policy we are committed to resolving complaints promptly to the satisfaction of tenants.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Stage 2 complaints will be considered by the Chair of the Board who will review all information and evidence and involve all relevant staff before making a fair and impartial response.	In line with our approach to complaints, the Chair of The Board will carry out a thorough investigation before sending a response.

## 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	<p>Following a full review of a complaint, the Society always acknowledge concerns raised and apologise for poor service. In some circumstances compensation will be paid to a complainant if they suffered financial loss or have been caused major inconvenience.</p>	<p>The Society reports to the Operations Sub Committee six times a year and to the Board once a year on lessons learned from complaints and what improvements will be implemented to improve the Society's service, policies, and procedures.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	The Society carry out a fair assessment of any financial loss or major inconvenience and will pay compensation as necessary.	The Society remedies any faults / poor service identified and will pay fair compensation as required.
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	Yes	The Society clearly communicates any remedies that will be actioned and sets out a clear timescale on when the issue will be resolved.	The tenants are informed about the problem resolution, what will be done to remedy the issue and

	must be followed through to completion.			kept up to date on timescales.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	The Society follows the Housing Ombudsman Code on appropriate remedies.	A wide range of remedies will be applied based on the nature of the faults and full reference is given to the Housing Ombudsman Code.

## 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>An Annual Complaints Performance and Service Improvement Report has been produced by the Society for budget year ending 31 October 2024.</p>	<p>The report sets out key learning points from the complaints reported and outlines planned service improvements for the coming year.</p>
8.2	<p>The annual complaints performance and service improvement report must</p>	Yes	<p>The governing body considered the Annual Complaints</p>	<p>The governing body's response is recorded in the</p>

	be reported to the landlord's governing body (or equivalent) and published on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.		Performance and Service Improvement Report at the Society's Board meeting on 21 January 2025.	Board minutes of 21 January 2025 which are signed by the Chair of the Board and published on the Society's website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Not Applicable	There have been no major restructures, changes in procedures or mergers at the Society.	The Society is a small independent social housing provider. There have been no major changes at the organisation.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	If the Housing Ombudsman requires the Society to review its Complaints Policy and its handling of complaints, then the Society would welcome recommendations that will help the organisation improve.	The Society is open to ideas and guidance on how we may improve our management of complaints.
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	If any noteworthy events occur that may impact on the Society's ability to operate effectively then we will communicate with the Housing Ombudsman, tenants, and key stakeholders regarding service delivery.	If the Society is affected by a major event or incident, then our Business Continuity Plan will be implemented.

## 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	The Society has identified key learning points from complaints which are outlined in our Annual Complaints Performance and Service Improvement Report 2023/24.	The Annual Complaints Performance and Service Improvement Report sets out planned service improvements for the coming year following learning from complaints.
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	The Society operates a fair and consistent approach to managing complaints and works within the framework of a Complaints Policy.	The Society reports to the Operations Sub Committee six times a year and to the Board once a year on lessons learned from complaints and what improvements will be implemented to improve the Society's service, policies, and procedures.
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	The Society's Tenant Advisory Group reviews our policies four times a year at structured meetings and has input into service improvements through collaborative projects and reviewing service contracts.	The Society has a Tenant Representative on the Board who reviews learning from complaints and considers areas for improvement.



9.4	.Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	The Chief Executive Officer oversees the complaints process and provides performance reports for the Board.	The Society reports to the Operations Sub Committee six times a year and to the Board once a year on lessons learned from complaints and what improvements will be implemented to improve the Society's service, policies, and procedures.
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 Operations Sub Committee takes the lead for overseeing complaints.	The Operations Sub Committee reviews complaints six times a year.
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.	No	The Chair of the Operations Sub Committee will take on this additional responsibility.	The Chair of the Operations Sub Committee will work with the Chief Executive Officer on the Annual Complaints Performance and Service Improvement Report.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of	Yes	The Society reports to the Operations Sub Committee six times a year and to the Board once a year on lessons learned from complaints and what	The Board which includes Tenant Representation review the Annual Complaints Performance

	<p>complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>		<p>improvements will be implemented to improve the Society's service, policies, and procedures.</p>	<p>and Service Improvement Report.</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> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	<p>This is explained in our Complaints Policy which was reviewed in October 2024.</p>	<p>The Society has a positive culture in dealing with complaints and works collaboratively with staff, contractors and third parties to resolve complaints to the satisfaction of tenants.</p>

