

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	The reference of tenants has been removed from the Policy as anyone can make a complaint	Anyone has the option to make a complaint about the organisation if they are dissatisfied with the services provided by the organisation
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	Residents do not need to use the word “complaint” for an issue to be treated as a complaint. In line with the policy and definition above, a complaint may include, but is not limited to, the following: 1. Unreasonable delay in taking action 2. Failure to provide a service 3. Errors in the way a decision was made 4. Failure to follow the organisation’s own policies or procedures 5. Broken promises or unmet commitments	Regular Housing Ombudsman complaint handling training is available to all staff via the Housing Ombudsman online portal. Staff members have been provided with the relevant link to register individual accounts and access the available online training. Additional complaint handling training is provided to Tenancy Officer, Income Collection and Performance Reporting Officer, and Property and Compliance Officer through the Housing

			6. Providing incorrect or misleading information Bias or discrimination 7. Rude, unhelpful, or inappropriate behaviour by staff 8. Poor communication	Ombudsman website. This training reinforces key principles of the Complaint Handling Code, including that residents do not need to use the word “complaint” for an issue to be treated as such. Tenancy Officer, Income Collection and Performance Reporting Officer, and Property and Compliance Officer also receive regular monthly training updates during team meetings, providing clear guidance on the organisation’s complaints policy and procedures.
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	The organisation recognises a service request is not a complaint. It is a request from a tenant for the organisation to take action where the matter falls within its responsibilities and there is no expression of dissatisfaction about a service failure.	. Service requests include, but are not limited to: • Reporting a repair for the first time • Requesting an update on a repair or appointment • Requesting the landlord to carry out a routine housing management function

				Service requests may also relate to issues not directly caused by the organisation, such as reports of neighbour noise nuisance, where the tenant is seeking appropriate action rather than raising dissatisfaction with a service provided. All service requests are recorded and reviewed monthly by the Housing Manager through the organisation's monitoring arrangements to ensure oversight, timeliness, and appropriate resolution.
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	Complaints can be raised by email, in person, by telephone, via the organisation's website, or through the online form or portal. Complaints may also be submitted via an Elected Member or directly to relevant staff where a resident requests that an issue is progressed through the complaints process. Complaints are accepted in all formats, including verbal, written, and online.	The 'Complaints' Policy is available on the organisation's website. Complaints can be made verbally, face to face, by telephone, by email, by text message, or in writing.

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	The 'Complaints' Policy is available on the organisation's website. Complaints can be made verbally, face to face, by telephone, by email, by text message, or in writing.	As part of the tenant perception survey, residents are provided with an email address and a link to the Complaints Policy.
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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	The organisation accepts all complaints unless there is a valid reason not to do so. Complaints may not be accepted where the issue relates to events that occurred more than 12 months ago (unless the resident has only recently become aware), where the matter is being considered by the Housing Ombudsman or is subject to legal proceedings, where the issue is a routine service request (such as chasing a repair), or where the matter concerns one tenant about another. Neighbour disputes and anti-social behaviour concerns are managed through separate procedures. Where a complaint is not accepted, residents are clearly informed of the reason	The organisation assesses and responds to each complaint on its individual merits, in line with the Complaints Policy.

			and advised of the appropriate process or next steps.	
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy.	Yes	The Complaints Policy clearly sets out what matters can and cannot be considered through the organisation's complaints process.	The approach taken is fair and reasonable and is consistent with Housing Ombudsman guidance.
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	Yes	The organisation's Complaint's Policy is compliant to 2.3	The current Complaints Policy is complaint.

	made outside this time limit where there are good reasons to do so.			
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	Where a complaint is not accepted, the resident is provided with a written response setting out the reasons for this decision and details of how to escalate the matter.	The Complaints Policy sets out a complainant's right to refer their complaint to the Housing Ombudsman Service at any stage of the process.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	All complaints received are assessed on their individual merits. Each complaint is logged and investigated in line with the ASHA Complaints Policy, which sets out the complaints handling process in full.	The organisation records all complaint data within its housing management system for investigation and audit purposes.

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	Complaints can be raised by email, in person, by telephone, or via the online form or portal. Complaints may also be submitted through an Elected Member or directly to relevant staff where a resident requests that an issue is progressed through the complaints process. All staff undertake equality and diversity training as part of the organisation's mandatory training programme. The organisation's Equality Strategy sets out a clear approach to removing inequalities and supporting the development of a fairer, stronger, and more inclusive organisation.	The organisation is committed to ensuring that all residents are able to access its services and are not disadvantaged in any way. We recognise the diverse needs of our residents and, where required, we can offer a range of reasonable adjustments to support accessibility. These may include, but are not limited to: • Communication by email or telephone in preference to hard-copy correspondence • Use of plain English across the organisation's website and written communications

				• Communication through a representative, advocate, or intermediary • Allowing rest or comfort breaks during meetings • Providing information in appropriate alternative formats, such as large print • Support from multilingual staff members, where available, to assist residents whose first language is not English These adjustments are considered on an individual basis to ensure residents can engage effectively with the organisation and its complaints process.
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	Yes	All staff members are familiar with the organisation's complaints process and have access to the Housing Ombudsman's online training, which is reinforced and followed	All staff members are familiar with the organisation's complaints process. The Complaints Policy is available in a clear and accessible format for all

	to the appropriate person within the landlord.		up in line with the organisation's Complaints Policy.	residents and explains the stages of the process, what residents can expect at each stage, and the relevant timescales. All complaints are reported to and overseen by the Complaints Officer.
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	Feedback is actively encouraged through all available channels and is used to support continuous improvement.	The organisation has implemented tenant influence and co-creation workshops to involve tenants in strategic decision-making and strengthen relationships with the organisation. These workshops have been well attended and are proving successful in supporting meaningful tenant engagement.
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	The Complaints Policy is accessible in multiple formats, including paper copy, website, and online portal, and is available on request to both internal and external stakeholders.	The Complaints Policy is published on the organisation's website and is available for residents and stakeholders to view.

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	Residents are engaged and informed through a range of communication channels, including quarterly newsletters, tenant forums, the organisation's website, the tenant portal, and email communications.	All relevant information, including Housing Ombudsman contact details, is included in every complaint response to ensure residents are aware of their right to refer their complaint to the Ombudsman.
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	Complaints can be accepted from advocates, representatives, or family members provided the complainant's consent has been obtained, and they may attend meetings where appropriate.	The organisation accepts complaints submitted by advocates, representatives, family members, or councillors.
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	Housing Ombudsman contact details are included in all responses at every stage to ensure residents are aware of their right to escalate their complaint if necessary.	In line with the organisation's policy, residents who remain dissatisfied with the outcome are advised of their right to escalate their complaint to the Housing Ombudsman Service, with contact details included.

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 housing team comprises Tenancy Officer, Income Collection and Performance Reporting Officer, and Property and Compliance Officer, with overall responsibility for complaints held by the Housing Manager.	The Housing Manager has overall responsibility for complaints handling, including monitoring, recording, and ensuring compliance with policy timescales. Complaints are reported to the Board and Committees on a quarterly basis via the performance report.
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 Housing Manager has responsibility for staff oversight and the monitoring of all complaints.	The Housing Manager attends Housing Ombudsman training on a regular basis and works in collaboration with the Associate Director of Housing to review and update policies in line with Ombudsman legal requirements.
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	Yes	Under the new Tenant Engagement Strategy and workshop model, there is a clear commitment to valuing and	Learning from complaints is captured within the organisation's quarterly performance and annual

	importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively		acting on resident feedback. Feedback is not only used to inform service improvements, but outcomes and positive changes are also communicated back to residents. Examples include a tenant-led review of complaint responses through the quarterly tenant forum, and the use of learning and themes arising from resident feedback to inform policy reviews and complaint handling, supporting insight-led service improvement.	report, which is presented to Board members. Recommendations arising from complaint learning include identifying training needs and issuing reminders or guidance to staff and senior managers. Residents are informed within complaint responses of any service improvements that will be implemented as a result of their feedback. To further embed a culture that values resident feedback, the Associate Director of Housing has been appointed with responsibility for tenant engagement. This role includes delivering training and briefings to individual teams and developing a Quality Management System policy aligned to the Tenant Engagement Strategy. This approach will support measuring impact, monitoring outcomes, and identifying any gaps in practice.
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	The organisation's complaints policy is available in multiple formats, including paper copies, the organisation's website, and its online portal. It is written in a clear and accessible way to ensure all residents can understand and use it. A dedicated complaints page is clearly signposted and easy to locate on the website, including through the website's search function.	The policy outlines the complaints process in clear stages, explaining what will happen at each stage and the timescales for responses.
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	If the organisation believes the issue can be resolved straight away, it will first check with the resident to ensure they are happy for the service to move forward.	The tenant will be informed in writing that, if they remain dissatisfied after the agreed action has been taken, they have the right to escalate their complaint through the organisation's complaints procedure. All complaints at stages 1 and 2 are recorded and acknowledged within five working days, with confirmation of response

				timescales and the contact details of the officer assigned to manage the complaint.
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	In accordance with section 5.3 of the Housing Ombudsman's Complaint Handling Code, the organisation operates a clear and accessible two-stage complaints procedure.	The organisation's complaints policy is compliant with the Complaint Handling Code.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	N/A	Not Applicable	Not Applicable
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A	Not Applicable	Not Applicable
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,	Yes	Complaint acknowledgements will include a brief summary of the issues raised. Where any aspect of the complaint or the desired outcome is unclear, the Tenancy Officer or Compliance Officer handling the complaint	The resident will be informed in writing that, if they remain dissatisfied after the agreed actions have been completed, they have the right to escalate their complaint through the organisation's complaints

	the resident must be asked for clarification.		will contact the complainant promptly to seek clarification.	procedure. All complaints at stages 1 and 2 are recorded and acknowledged within five working days, with clear confirmation of response timescales and the contact details of the officer responsible for handling the complaint.
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	From the beginning of the complaints process, the organisation explains clearly what it can and cannot do to manage residents' expectations.	The complaints policy clearly outlines the organisation's guidelines and approach to complaint handling.
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	All customer-facing officers receive appropriate training in complaints handling to ensure compliance with the required standards. The organisation's website also provides guidance to reinforce these principles and support officers in their roles. In addition, annual Data Protection training is mandatory for all officers.	All complaints are investigated impartially. Where a complaint involves a specific officer, it is investigated and responded to by their line manager. At stage 2, investigations are conducted by the senior management complaints team to ensure independence and impartiality. These arrangements are set out clearly in the organisation's complaints policy and are reinforced through staff

				complaints-handling training.
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	Where additional time is required to investigate the issues and provide a response, this will be discussed and agreed with the resident. Any extension to the response timescale will be mutually agreed by both parties.	Residents will be kept updated throughout the investigation, and any delay in responding will be communicated to the complainant in advance, with reasons provided.
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	The organisation adheres to any reasonable communication preferences agreed with the resident in relation to the method and frequency of contact. An equal opportunities form is attached to the complaints policy.	The organisation adheres to any reasonable communication arrangements or adjustments agreed with the resident to support accessibility and engagement. An equal opportunities form is attached to the complaints policy.
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	Complaints will be escalated through the organisation's complaints procedure unless there is a valid reason not to do so, which will be clearly explained to the resident.	In line with ASHA's complaints policy, the reasons why a complaint may not be escalated are clearly set out within the policy.
5.12	A full record must be kept of the complaint, and the outcomes at each	Yes	All complaint records are maintained within the	The organisation independently tracks

	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.		organisation's housing management system. This includes complaint dates, details of the issues raised, responses provided, relevant correspondence and supporting documentation, any compensation awarded, corrective actions taken, service improvements identified, and final outcomes.	corrective actions and service improvements to confirm implementation and records complaint themes and root causes to support organisational learning.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	The organisation seeks to resolve complaints at the first point of contact wherever possible, giving full consideration to the issues raised and proposing appropriate and proportionate remedies.	Any required immediate actions will be implemented without delay.
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	The organisation's complaints policy includes procedures for addressing unacceptable behaviour displayed by residents and/or their representatives throughout the complaints process.	The organisation's complaints policy complies with the provisions of section 5.1 of the Housing Ombudsman's Complaint Handling Code.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard	Yes	Restrictions arising from unacceptable behaviour are applied in accordance with the organisation's complaints policy,	Any restrictions imposed are proportionate, issue-specific, and reviewed quarterly, while ensuring

	for the provisions of the Equality Act 2010.		taking into account the Equality Act 2010 and the circumstances of the individual complainant.	residents retain access to general services.
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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	The organisation will endeavour to resolve issues without delay and, where fault is identified, will acknowledge responsibility, issue an apology, and outline actions to remedy any unresolved matters.	A reasonable adjustment was made when a tenant attended the office whose first language was Arabic. To ensure effective communication and accessibility, a staff member who speaks Arabic provided direct support and assisted the tenant with their query.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received</u> .	Yes	Once a complaint is received, it is recorded and added to the calendar to support effective monitoring and tracking. The organisation aims to acknowledge and log all Housing Management complaints at Stage 1 within five working days.	The organisation aims to acknowledge and log all Stage 1 Housing Management complaints within five working days.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	The organisation aims to acknowledge and respond to Stage 1 complaints within 10 working days of the complaint being logged.	The organisation will ensure that Stage 1 complaints are acknowledged and responded to within 10

				working days of the complaint being recorded.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Where further investigation is needed, the organisation will inform the tenant and agree a revised timescale with the resident.	The organisation aims to acknowledge and record all Stage 1 Housing Management complaints within five working days and to provide a full response within 10 working days of the complaint being logged. If more time is needed, the organisation will update the tenant and aim to respond within an additional 10 working days. Should any further extension be required, the tenant will be contacted and a response date will be agreed.
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	If an agreement cannot be reached, the organisation will provide the tenant with Ombudsman contact details and will continue its investigation, issuing a response as soon as possible.	When informing the tenant of any extensions or revised timescales, the organisation will also provide the Housing Ombudsman's contact details.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the	Yes	A complaint response will be issued once the investigation is complete and within the	Any actions identified following the investigation will be recorded with clear

	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.		maximum timescales set out in the complaints policy.	timescales and monitored on Omniledger until completion. The organisation will continue to maintain contact with the tenant until the complaint is resolved.
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 organisation will list and address each point raised in the complaint individually within its response. It will clearly explain the reasons for its decisions and reference any relevant policies, legislation, or best practice.	The organisation's complaints policy is compliant with section 6.7 of the Housing Ombudsman's Complaint Handling Code.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	If additional issues are raised during the investigation, they will be included in the response where relevant, provided a response has not yet been issued. Any new or unrelated issues will be recorded and handled as a separate complaint.	If additional issues raised during the investigation require significant time to resolve and would delay the Stage 1 response, the organisation will either record them as a new complaint or agree an updated response timescale with the tenant.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	The response will list and address each complaint point individually, providing a clear outcome for every issue raised. It will include a summary of the complaint, a chronology of	The organisation provides a standardised template for complaint handlers to ensure that all complaint points are fully addressed.

	d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.		relevant events, and the organisation's decision for each point, with clear reasons for those decisions. The response will also set out any actions identified and learning outcomes, including timescales for implementation, and outline any appropriate remedy, which may include compensation. Housing Ombudsman contact details will be provided within the response.	
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	All Stage 1 complaint responses advise complainants that, if they remain dissatisfied, they may escalate their complaint to Stage 2. Clear guidance on how to request an escalation is included in the Stage 1 response.	The organisation's complaints policy is compliant with section 6.10 of the Housing Ombudsman's Complaint Handling Code.
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	The organisation aims to acknowledge and record all Stage 2 Housing Management complaints within five working days of receiving the escalation request.	The organisation's complaints policy is compliant with section 6.11 of the Housing Ombudsman's Complaint Handling Code.

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	Where required, the complaint handler will contact the complainant during the investigation to clarify issues or gather additional information to ensure all concerns and desired outcomes are understood.	When all necessary information has been gathered and recorded, the complaint will be escalated to Stage 2 and investigated by the Associate Director.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	To ensure impartiality, all Stage 2 complaints are investigated by the senior complaints team, separate from the Stage 1 complaints handler.	All Stage 2 complaint responses are reviewed and approved by the Associate Director of Housing. If they are unavailable due to leave, the Associate Director of Legal Assurance will approve and sign off the response.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	The organisation aims to provide responses to all Stage 2 complaints within 20 working days.	The organisation's complaints policy is compliant with section 6.14 of the Housing Ombudsman's Complaint Handling Code.
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	Yes	If more time is needed to investigate the matter, the tenant will be informed and an agreed response timeframe will be put in place.	The organisation's complaints policy is compliant with section 6.15 of the Housing Ombudsman's Complaint Handling Code.

	20 working days without good reason, and the reason(s) must be clearly explained to the resident.			
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	Where agreement cannot be reached, Housing Ombudsman details will be provided and the organisation will continue its investigation and respond at the earliest opportunity.	The organisation's complaints policy is compliant with section 6.16 of the Housing Ombudsman's Complaint Handling Code.
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	A complaint response will be issued once the investigation has concluded and within the maximum timescales set out in the complaints policy.	Actions arising from the investigation will be recorded with agreed timescales and monitored through to completion.
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	All issues raised in the complaint are addressed, with clear explanations for each decision and references to relevant policy, law, or best practice.	The organisation's complaints policy is compliant with section 6.18 of the Housing Ombudsman's Complaint Handling Code.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	The response will explain the complaint clearly, outline what happened and when, set out the decision and the reasons for it, and confirm any actions, learning, and timescales. Where appropriate, a remedy, including	The organisation provides a standardised template to support complaint handlers in ensuring all issues raised are fully addressed.

	d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.		compensation, will be offered, and Housing Ombudsman contact details will be included.	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	All Stage 2 complaint responses are reviewed and approved by the Associate Director of Social Housing. If they are unavailable due to leave, the Associate Director of Legal Assurance will approve and sign off the response.	The organisation's complaints policy is compliant with section 6.20 of the Housing Ombudsman's Complaint Handling Code.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: Apologising;	Yes	The organisation aims to resolve issues promptly. Where the organisation is found to be at fault, it will acknowledge the error, offer an apology, and set out a clear plan of action to put matters right where the issue	Clear guidance is outlined within the organisation's complaints policy.

	• Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.		has not already been resolved. This may include a goodwill gesture, such as an apology and a gift voucher.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	The organisation applies Housing Ombudsman guidance when considering remedies, which are assessed on a case-by-case basis in accordance with published guidelines.	The organisation is committed to clearly managing expectations by explaining what can and cannot be delivered.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Any steps to put things right will be clearly explained to the resident, including when those actions will be completed.	All corrective actions will be recorded and monitored until they are fully completed.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes Quarterly Report and	The organisation follows the Housing Ombudsman's guidance on compensation, taking into account legally required payments, refunds or financial	The organisation will manage expectations by following the guidance set out by the Housing Ombudsman.

		Annual Report.	losses, as well as time and trouble, and any distress or inconvenience caused.	
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Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Quarterly Report and Annual Report.	

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	Quarterly Report and Annual Report.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	The organisation aims to undertake a self-assessment on an annual basis.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	The organisation aims to undertake a self-assessment on an annual basis.	
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	The organisation complies with all points outlined within the relevant guidelines.	We aim to comply with all relevant guidelines to safeguard the health and safety of our customers.

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	Complaints are reviewed quarterly and reported to the Board and Committee, with learning outcomes and recommendations followed up.	
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	ASHA is committed to fostering a solution-focused culture.	
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	This will be reported through the quarterly Committee and Board reports and included in the annual report where necessary.	ASHA has a quarterly newsletter published on its website, through which tenants are regularly informed.
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 Housing Manager is appointed.	The Housing Manager manages the Social Housing team and is supported by the Associate Director of Housing.

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	This will be the Chair of the Operations Committee.	The chair is supported by other members
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	This will be the Chair of the Operations Committee.	
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 complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and	Yes	Quarterly Report for Operations Committee and Board and Annual Report.	This is discussed at meetings, and suggestions are put forward by members.

	d. annual complaints performance and service improvement report.			
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	We strive to resolve all complaints in a fair, consistent, and impartial manner. All complaints will be investigated thoroughly, with any staff members involved spoken to independently and without bias. Apologies will be made on behalf of the organisation rather than attributing blame to individuals. Any lessons learned will be shared across the organisation to help prevent recurrence.	The complaints process will be followed in all cases.