

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.

Anyone has the option to make a complaint about the organisation if they are dissatisfied with the organisation

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	<p>A complaint must be defined as:</p> <p><i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i></p>	Yes	<p>The reference of tenants has been removed from the Policy as anyone can make a complaint</p>	<p>Anyone has the option to make a complaint about the organisation if they are dissatisfied with the services provided by the organisation</p>
	<p>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.</p>		<p>Residents do not have to use the word complaint for it to be treated as one. As per policy and definition above, a complaint could be made about the following:</p> <ol style="list-style-type: none"> 1. Delay in taking action without good reason 2. Failure to provide a service 3. Mistake in the way a decision was taken 4. Not following the Organisation's own rules 5. Broken promises 	<p>Regular housing ombudsman complaint training is available to staff members online. Additional complaints training is provided to cluster reps through the Housing Ombudsman website which also reiterates that residents do not have to use the word 'complaint' for it to be treated as such. Cluster reps are provided with regular monthly training updates within monthly</p>

			<p>6. Giving correct or misleading information</p> <p>7. Bias and discrimination</p> <p>8. Rude, unhelpful or inappropriate behaviour by staff</p> <p>Poor communication</p>	<p>team meetings providing clear guidelines to the organisations complaint policy.</p>
1.4	<p>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.</p>	Yes	<p>The organisation recognises the difference between a complaint and a service request. It mentions in its Complaints Policy, 'Some issues do not fall within the category of complaint and are more appropriately dealt with as a service request.</p>	<p>This can include instances the tenant is complaining about a problem that the organisation has not created, such as a neighbour noise nuisance. The same can be true for a 'complaint' received to report request. These are requests to the organisation for appropriate action to be taken. The maintenance lead within the organisation reviews all service requests on a monthly monitoring system.</p>
1.5	<p>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.</p>	Yes	<p>Complaints can be raised via email, in person, by telephone, via the website or using the online form or portal. They can also be submitted via an Elected Member or directly to cluster representatives if the resident asks for an issue to be</p>	<p>The 'Complaints' policy is accessible on the organisation's website, we offer the option to report a complaint verbally, face-to-face, email, text message and in writing.</p>

			processed through the complaints process. We accept all forms including verbal, written or online.	
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 accessible on the organisation's website, we offer the option to report a complaint verbally, face-to-face, email, text message and in writing.	In the tenant perception survey the residents are provided with an email address and link to the complaints policy

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	<p>The organisation accepts all complaints unless there is a valid reason not to including where it falls within:</p> <ol style="list-style-type: none"> 1. anything that happened over a year ago, unless you have only become aware of the situation. 2. matters currently being dealt with by the Ombudsman, or where legal action has begun. 3. everyday matters such as chasing repair requests. 4. complaints by one tenant about another. This is dealt with by our Cluster Representatives as neighbour dispute or anti-social behaviour. 	All complaints are processed on their own individual merits within the complaints policy.

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"> • 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 outlines what can and cannot be considered under the organisation's complaints process.	The circumstances are fair and reasonable and in line with the 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 made outside this time limit where there are good reasons to do so.	Yes	The organisation's complaints policy is compliant to 2.3	The current Complaints Policy is compliant.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the	Yes	If the complaint is not to be considered, the resident will still receive a response containing	The complaints policy details a complainant's right to access the Housing

	<p>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.</p>		<p>the detailed reasons why the complaint cannot be considered, and the response will provide information on escalation.</p>	<p>Ombudsman Service throughout their complaint.</p>
2.5	<p>Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.</p>	Yes	<p>All complaints submitted are assessed on the merits of the individual complaint received. All complaints are logged manually to be investigated. Details of the process is included in the ASHA Complaints Policy.</p>	<p>The organisation currently inputs data from all complaints onto the housing management software to be investigated and recorded.</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	Complaints can be raised via email, in person, by telephone or using the online form or portal. They can also be submitted via an Elected Member or directly to Cluster representatives if the resident asks for an issue to be processed through the complaints process. All staff undertake equality, diversity training, which is part of the organisation's essential training programme. Our Equalities strategy will set out a detailed approach on how we aim to remove inequalities and build a better, stronger, more inclusive organisation	<p>The organisation is committed to ensuring that all residents can access its services and are not disadvantaged in any way. Below are some of the adjustments that can be offered if required:</p> <ol style="list-style-type: none"> 1. use of email or telephone in preference to hard copy letters 2. use of plain English on our website 3. communication through representative or intermediary 4. rest or comfort breaks in meetings <p>provision of information in appropriate alternative formats (eg. large print)</p>
3.2	Residents must be able to raise their complaints in any way and with any	Yes	All staff members are familiar with the organisation's complaint	All staff members are familiar with the complaints

	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.		process, can attend the Ombudsman online training, which is followed up in line with the organisation's complaints policy.	process. The complaints policy is available in a clear and accessible format, for all residents. The policy explains the stages, what will happen, and timeframes. All complaints are reported to the Complaint's 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	We are open to and welcome receiving feedback through all available channels. This is a tool for improvement	We have implemented the tenant influence and co-creation forum to involve tenants in strategic decision making and to encourage tenants to build a stronger relationship with the organisation.
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 organisation's complaints policy is available in paper format, website, and online portal. It is also available on demand by internal and external stakeholders.	The organisation's complaints policy has been published on the website and is available 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	The organisation communicates with residents through quarterly newsletters, tenant forums, online website and via emails.	All information is provided to residents including the Ombudsman details. This has given our tenants tance from the Ombudsman if required.

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	The organisation accepts complaints from advocates, a representative or family member as long as consent from the complainant has been provided. Where reasonable they are also able to attend meetings.	The organisation accepts complaints from advocates, a representative, family member or a councillor.
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	All responses from the organisation at every stage will include the ombudsman contact details informing the resident they have this option available if required.	This is a standard procedure within the organisations policy: If the resident is not happy with their decision, they can take the complaint to the Housing Ombudsman Service. All contact details are provided.

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	Cluster Reps and the organisation has added the role to the Office Manager as an additional responsibility.	The office manager is the main contact for all complaints to be monitored and recorded and to ensure all timelines are met within the policy timeframe. Complaints are reported to the Board and Committees on a quarterly basis through 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 Office Manager oversees staff members as well as monitoring of all complaints	The Office Manager regularly attends ombudsman training as well as working alongside the Associate Director of Housing in updating of policies and working in coherence to the 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 importance of complaint handling. It is important that complaints are seen as a	Yes	Under the new tenant engagement strategy and model there is a clear commitment to respect for resident feedback and how it is not only implemented in the service, but	Learning from complaints is included in the organisation's quarterly annual report which goes to the Board members. Recommendations include

	core service and must be resourced to handle complaints effectively		positive change is communicated back to the resident. Examples include: A tenant led review of complaint responses through the quarterly tenant forum, include learning trends from the feedback which is a guideline when reviewing policies and complaints as a form of insight.	training needs or reminders to staff, senior managers. Residents are informed in complaints responses of any service improvements that will be implemented as a result of their complaint. To effectively continue to embed a culture of respect for resident feedback, the Associate Director of Housing has been appointed who will be responsible for engagement to carry out training and briefings with individual teams and to create a policy for the quality management system to be linked to the strategy in order to measure impact and identify 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	Yes	The organisation's complaints policy is available in paper format, website, and online portal.	The policy contains stages, what will happen, and timeframes.

	not be treated differently if they complain.		<p>The complaints policy is available in a clear and accessible format for all residents.</p> <p>The organisation has a dedicated complaints page which is easy to find on the organisation's website and through its search function.</p>	
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 complaint can be addressed immediately, the resident will be consulted to confirm their agreement for the service to proceed with the resolution.	The tenant will be informed in writing that if they remain dissatisfied after the action is taken, they can escalate their complaint through the organisation's complaint procedure. All complaints at stages 1 and 2 are logged and acknowledged within five working days, including timescales and contact details of the assigned officer.
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	The organisation's two stage policy is compliant to 5.3	The organisation's complaint policy is compliant.
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	N/A	Not Applicable.	

	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.	N/A	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, the resident must be asked for clarification.	Yes	Complaint acknowledgements will include a brief summary of the complaint area. The cluster representative or compliance officer handling the complaint will promptly contact the complainant to request clarification if any aspect of the complaint or the desired outcome is unclear.	The resident will be informed in writing that if they remain dissatisfied after the agreed action has been completed, they can escalate their complaint through the organisation's complaint procedure. All complaints at stages 1 and 2 are logged and acknowledged within five working days, including timescales and the contact details of the assigned officer.
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	The organisation strives to be explicitly clear at the beginning of the complaint process about which outcomes are within scope, and which may not be achievable.	The organisation's complaints policy clearly outlines the guidelines.
5.8	At each stage of the complaints process, complaint handlers must:	Yes	All customer representatives receive relevant training on complaints handling to ensure	All complaints are investigated impartially. Complaints involving a

	<ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 		<p>compliance with the listed points. Additionally, the organisation's website provides guidance to reinforce these points for officers. Annual Data Protection training is also mandatory for all officers.</p>	<p>specific cluster representative will be investigated and responded to by their line manager. At stage 2, the senior management complaints team ensures impartiality by handling the investigation. These requirements are also outlined in the organisation's policy and included in staff complaints training.</p>
5.9	<p>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.</p>	Yes	<p>If the organisation needs more time to investigate the issues and provide a response, this will be agreed upon with the resident. Any extension required to fully address the complaint will be mutually agreed upon by both parties.</p>	<p>Officers will keep residents updated on the progress of their investigation. Complainants will be informed in advance if there is a rare delay in responding.</p>
5.10	<p>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.</p>	Yes	<p>The organisation adheres to any reasonable arrangements agreed upon by the resident regarding the frequency and method of communication.</p>	<p>The organisation is committed to ensuring all residents can access its services without any disadvantage. It updates its reasonable adjustments policies in accordance with the Equality Act 2010. All information is recorded on the housing management system Omni Ledger.</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	The organisation will not refuse to escalate a complaint through its complaints procedure unless there is a valid reason.	The reasons why a complaint may not be escalated are outlined in the organisation's complaints policy.
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	All complaint records are documented in the organisation's housing management system. This encompasses dates, complaints and responses, relevant correspondence and documentation, any compensation, corrective actions, service improvements, and outcomes.	The organisation independently monitors corrective actions and service improvements to ensure they are implemented. We also document the types of issues and the root causes of complaints.
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 strives to resolve complaints at the first point of contact. We carefully consider the issues and, after thorough evaluation, propose a reasonable solution.	Any immediate actions will be taken 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	Yes	The organisation's complaints policy details procedures for handling unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	The organisation's complaint policy is compliant to 5.14

	must keep restrictions under regular review.			
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	Restrictions imposed due to unacceptable behaviour are managed through the organisation's complaint policy, considering the Equality Act 2010 and the impact on individual complainants.	Only essential restrictions are applied to specific issues. Residents retain access to general services. These restrictions are reviewed on a quarterly basis.

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 promptly. If at fault, it will acknowledge responsibility, offer an apology, and provide a plan of action to rectify any unresolved issues.	Reasonable adjustments are made as needed for example: a person unable to visit the office due to a medical condition was offered a home visit.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received.</u>	Yes	The organisation aims to acknowledge and record all Housing Management complaints at Stage 1 within five working days.	The organisation aims to acknowledge and record all Housing Management complaints at Stage 1 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 recorded.	The organisation aims to acknowledge and respond to Stage 1 complaints <u>within 10 working days</u> of logging the complaint.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	If the organisation requires additional time to investigate the issues and provide a response,	The organisation aims to acknowledge and record all Housing Management

	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.		the tenant will be informed, and an agreement will be reached with the resident.	complaints at Stage 1 within five working days . The organisation aims to acknowledge and respond to Stage 1 complaints within 10 working days of logging the complaint. If an extension is required, the organisation will aim to respond within 10 working days of the extension. If the time needs to be extended beyond 10 working days, we would contact the tenant and inform them and agree the date of response.
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, Ombudsman details will be provided, and the organisation will continue its investigation and issue a response as soon as possible.	All information provided to the tenant in relation to the extension and timescales will include the contact details for the Housing Ombudsman.
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	A complaint response is issued once the investigation is completed and no later than the maximum timescale outlined in the complaints policy.	Any actions required following the investigation will be documented with a timescale and monitored until completion on Omniledger. The organisation aims to continue contact with the tenant until the complaint has been 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 addresses all points raised in the complaint, clearly explaining the reasons for its decisions and referencing any relevant policy, laws or best practices.	The organisation's complaint policy is compliant to 6.7
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 complaints are raised during the investigation, they will be incorporated if relevant and if the response has not yet been issued.	If the additional complaints require significant time to investigate and would delay the stage 1 response, a new complaint will be logged, or a new timescale will be agreed upon with both parties.
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"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	The response includes a summary of the complaint, a chronology of any relevant events, the decision and reasons for it. It also includes any actions and learning with timescales for implementation and a reasonable remedy which may include compensation. Ombudsman details are provided within the response.	The organisation provides a template for complaint handlers to ensure all points are addressed

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 inform complainants that, should they remain dissatisfied, they have the option to escalate their complaint to stage 2. Detailed instructions on how to proceed with the escalation are provided in the stage 1 response.	The organisation's complaint policy is compliant to 6.10
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 Housing Management complaints at Stage 2 within five working days of escalation request being received.	The organisation's complaint policy is compliant to 6.11
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	As part of the investigation, the complaint handler will request clarification or additional details to identify any outstanding issues and desired outcomes, if necessary	Once all information has been documented, the process will advance to Stage 2 which will be 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	The senior complaints team, who are separate from the Stage 1 complaints handler, will investigate all Stage 2 responses	The Associate Director of Housing review and sign off stage 2 complaints. If they are unavailable due to leave, this is delegated to the Associate Director of

				Legal Assurance to approve and sign off.
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 respond to all stage 2 complaints within 20 working days.	The organisation's complaint policy is compliant to 6.14
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	If the organisation requires additional time to investigate the issues and provide a response, the tenant will be informed, and an agreement will be reached with the resident.	The organisation's complaint policy is compliant to 6.15
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	If an agreement cannot be reached, Ombudsman details will be provided, and the organisation will continue its investigation and issue a response as soon as possible.	The organisation's complaint policy is compliant to 6.16
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 is issued once the investigation is completed and no later than the maximum timescale outlined in the complaints policy.	Any actions required following the investigation will be logged with a timescale and tracked until completion.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions,	Yes	The organisation addresses all points raised in the complaint, clearly explaining the reasons for its decisions and referencing any	The organisation's complaint policy is compliant to 6.18

	referencing the relevant policy, law and good practice where appropriate.		relevant policy, laws or best practices	
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"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	The response includes a summary of the complaint, a chronology of any relevant events, the decision and reasons for it. It also includes any actions and learning with timescales for implementation and a reasonable remedy which may include compensation. Ombudsman details are provided within the response	The organisation provides a template for complaint handlers to ensure all points are addressed
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	The Associate Director of Social Housing review and sign off stage 2 complaints. If they are unavailable due to leave, this is delegated to the Associate Director of Legal Assurance to approve and sign off.	The organisation's complaint policy is compliant to 6.20

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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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"> • Apologising; • 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. 	Yes	<p>The organisation will always strive to resolve issues promptly. If the organization is at fault, it will acknowledge the mistake, offer an apology, and provide a plan of action to rectify the situation if the issues have not yet been resolved. For example, a tenant was sent an apology and a gift voucher as a goodwill gesture.</p>	<p>The clear guidelines are explained in the organisations complaints policy.</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	Yes	<p>The organisation follows the guidance provided by the Housing Ombudsman. Each remedy is evaluated on its own merit and in accordance with the published guidelines.</p>	<p>The organisation will make every effort to manage expectations of what can and cannot be delivered.</p>
7.3	<p>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.</p>	Yes	<p>Any actions to remedy the fault will be clearly explained to the resident, along with the provided timescales</p>	<p>Corrective actions will be monitored and tracked until completion</p>

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	The organisation adheres to the Housing Ombudsman guidance on compensation, considering legally required payments, refunds or losses, time and trouble, as well as distress and inconvenience	The organisation will try its best to manage expectations by following the Housing Ombudsman guidelines.
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Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	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.	Annual Report is regularly published on the website. Quarterly report is presented to the committee and Board.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	We aim to carry out a self-assessment annually	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We aim to carry out a self-assessment annually	
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 follows all points provided within the guidelines.	We strive to follow all guideless for the health 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	All complaints are reviewed on a quarterly basis and reported to the Board and Committee. Recommendations are followed from the results of any learning	
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 working towards a culture of being solution focused.	
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 provided in the quarterly report for the committee and Board and the annual report where necessary.	ASHA has a quarterly newsletter which is published on the website. Tenants are informed via of quarterly newsletters
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 Office Manager is appointed	The Office Manager line manages the cluster representatives. She 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 the meetings and suggestions are made by Members.

	d. annual complaints performance and service improvement report.			
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>We will strive to resolve all complaints in a fair and equal manner.</p> <p>All complaints will be investigated thoroughly – all members of staff involved will be interviewed independently and without bias. Apologies will be made on behalf of the organisation and not put the blame on any member of staff. All lessons learnt will be shared across board to mitigate against a reoccurrence.</p>	The complaint process will be followed in all instances.