

# 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	COMPLAINTS POLICY	WORDING STIPULATED IS CLEARLY STATED IN THE POLICY
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	COMPLAINTS POLICY	AS ABOVE  THIS IS NOTED IN THE COMPLAINTS POLICY
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	YES	COMPLAINTS POLICY	THE DISTINCTION IS NOTED BY THE TRUSTEES. THE POLICY NOTES THEY STILL NEEDS TO BE MONITORED, ACTIONED & REVIEWED FURTHERMORE, IT IS NOTED WHEN A SERVICE REQUEST SHOULD BE ESCALATED TO A COMPLAINT

## Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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 POLICY	THIS IS IDENTIFIED IN THE TERMS OF THE POLICY.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	YES	SURVEY FEEDBACK COMPLAINTS POLICY	SURVEY FEEDBACK IS ALWAYS FOLLOWED UP BY THE TRUSTEES TO ESTABLISH CONFIDENCE AND A REACTIVE ENVIRONMENT THAT DEMONSTRATES THAT THE SURVEYS ARE REVIEWED AND ACTED UPON. FULL DETAILS HOW TO RAISE A COMPLAINT ARE REFERRED TO.

## Section 2: Exclusions

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
2.1	<p>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</p>	YES	COMPLAINTS POLICY	POLICY INCORPORATES THIS AND THE RIGHT TO REFER TO THE OMBUDSMAN
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• the issue giving rise to the complaint occurred over 12 months ago</li> <li>• legal proceedings have started - this is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court</li> <li>• matters that have previously been considered under the complaints policy</li> </ul>	YES	COMPLAINTS POLICY	STATED IN TERMS OF THE POLICY

## Section 2: Exclusions

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY	EXCEPTIONS ARE IDENTIFIED IN THE POLICY THE POLICY ALSO PROVIDES POWERS OF DISCRETION
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	COMPLAINTS POLICY	STATED IN THE TERMS OF THE POLICY
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	YES	COMPLAINTS POLICY	THE POLICY STATES EACH COMPLAINT MUST BE CONSIDERED ON ITS OWN MERITS

## 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 POLICY AND SAFEGUARDING POLICY	<p>COMPLAINTS CAN BE MADE IN PERSON, TEXT, EMAIL, PHONE OR IN WRITING. THIS IS IDENTIFIED IN THE POLICY. COMPLAINTS CAN ALSO BE MADE USING THE CONTACT FORM ON THE WEBSITE.</p> <p>SAFEGUARDING TRAINING HAS BEEN UNDERTAKEN BY ALL COMPLAINT HANDLERS. ALL RESIDENTS ARE VULNERABLE ADULTS.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	YES	COMPLAINTS POLICY	<p>THIS HAS PROVED TO BE THE CASE THROUGH COMMON PRACTICE AND BASED ON THE SIZE OF THE CHARITY AND COMMUNITY COHESION ALL STAFF AND TRUSTEES HAVE FULL DETAILS OF THE APPOINTED MEMBERS OF THE COMPLAINT HANDLING TEAM</p>
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	THE TRUSTEES ACTIVELY SEEK FEEDBACK FROM THE RESIDENTS DURING SOCIAL EVENTS ARRANGED FOR THE RESIDENTS SUCH AS THE SUMMER PARTY AND CHRISTMAS PARTY. THE TRUSTEES ALWAYS WELCOME AREAS OF DISATISSFACTION TO LEARN HOW THEY CAN PERFORM BETTER FOR THE RESIDENTS WHO ARE THE CHARITIES BENEFICIARIES.	

## Section 3: Accessibility and awareness

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the 2-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	COMPLAINTS POLICY	THE POLICY IS ACCESSIBLE ON THE WEBSITE AND EVERY RESIDENT HAS RECEIVED A COPY OF THE POLICY PLEASE NOTE RESPONSE AT 3. ANY CHANGES MADE TO THE COMPLAINTS POLICY ARE NOTIFIED TO THE RESIDENTS. THE COMPLAINTS POLICY CAN BE PROVIDED IN LARGER PRINT AND THE TRUSTEES ARE WILLIN TO ATTEND IN EPRSON TO EXPLAIN THE PROVISIONS WHERE REQUESTED.
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	COMPLAINTS POLICY	STATED IN POLICY
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 POLICY	RIGHT OF REPRESENTATION. THE TRUSTEES RECOGNISE AND HAVE ADOPTED THIS PROCEDURE IN OTHER POLICIES THAT INDIVIDUALS' MAY WISHa FOR ASSISTANCE OF THIRD PARTIES
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	COMPLAINTS POLICY	ALL EXISTING RESIDENTS HAVE BEEN SUPPLIED WITH A COPY OF THE POLICY AND ARE PROVIDED WITH ] A NEW POLICY IN THE EVENT OF CHANGES. NEW RESIDENTS RECEIVE THE OMBUDSMAN LEAFLET AND COMPLAINTS POLICY AS PART OF THE RESIDENT INDUCTION PACK. THE NATURE OF THE PROPERTIES DO NOT ALLOW FOR POSTERS TO BE AFFIXED TO THE WALLS

## 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	ANDREW YATES WHO IS A TRUSTEE IS THE APPOINTED COMPLAINT HANDLING OFFICER. HIS APPOINTMENT WAS APPROVED BY THE BOARD OF TRUSTEES. MEMBERS OF THE COMPLAINT HANDLING TEAM ENSURE DETAILS OF THE COMPLAINT ARE ADDRESSED IN ACCORDANCE WITH THE POLICY AND REPORTED TO THE BOARD OF TRUSTEES.	COMPLAINTS OFFICER APPOINTED WHO IS A MEMBER OF THE TRUSTEE BODY. REPORTING OF COMPLAINTS WILL BE MADE AT TRUSTEES MEETINGS AND COMPLAINTS WILL APPEAR ON EVERY AGENDA EVEN WHEN THERE IS NOTHING TO REPORT UPON
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	COMPLAINTS POLICY	THE COMPLAINTS OFFICER AS A TRUSTEE HAS FULL ACCESS TO ALL CHARITY INFORMATION HELD. SPECIFIC DELEGATION WAS GRANTED BY THE BOARD PROVIDING THE "CO "WITH AUTONOMY TO ACT AS REQUIRED TO ADDRESS AND MANAGE COMPLAINTS TO STAGE 1 OUTCOME.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively.	YES	COMPLAINTS APPEAR ON EVERY AGENDA EVEN WHEN THERE IS NOTHING TO REPORT THOSE WHO FORM PART OF THE COMPLAINTS	

## 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	COMPLAINTS POLICY	THE CHARITY ONLY HAS ONE COMPLAINTS POLICY TO COVER ALL ASPECTS OF ITS WORK
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	COMPLAINTS POLICY	MOVE TOWARD EARLY RESOLUTION. TRUSTEES HAVE ALWAYS BEEN KEEN TO TAKE THIS APPROACH. THIS HAS ALWAYS BEEN ADOPTED WITHIN THE CULTURE OF THE CHARITY. CONCILIATION AS FAR AS POSSIBLE IS UNDERTAKEN CONCILIATION AND EARLY RESOLUTION SHALL CONTINUE THROUGHOUT THE COMPLAINT PROCESS
5.3	A process with more than 2 stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	YES	COMPLAINTS POLICY	THE POLICY PROVIDES FOR A TWO STAGE PROCESS ALONE.
5.4	Where a landlord's complaint response is handled by a third party (such as a contractor or independent adjudicator) at any stage, it must form part of the 2-stage complaints process set out in this Code. Residents must not be expected to go through 2 complaints processes.	N/A	THE TRUSTEES DO NOT UTILISE THE SERVICES OF THIRD PARTIES	



## Section 5: The complaint handling process

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A	SEE RESPONSE AT 5.4	
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	COMPLAINTS POLICY	THIS IS NOTED WITHIN THE TERMS OF THE POLICY
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	YES	COMPLAINTS POLICY	AS 5.6

## Section 5: The complaint handling process

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind</li> <li>b. give the resident a fair chance to set out their position</li> <li>c. take measures to address any actual or perceived conflict of interest</li> <li>d. consider all relevant information and evidence carefully</li> </ul>	YES	COMPLAINTS POLICY AND COMMON PRACTICE	THE COMPLAINTS OFFICER WILL MEET WITH THE COMPLAINANT AND ANOTHER MEMBER OF THE COMPLAINT HANDLING TEAM TO ENSURE THESE PRINCIPLES ARE ADHERED TO. INVESTIGATIONS AND CLARIFICATIONS WILL BE SOUGHT FROM TRUSTEES AND STAFF WHERE CIRCUMSTANCES NECESSITATE. THIS COURSE OF ACTION IS NECESSARY BEFORE A REASONED DECISION CAN BE MADE.
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	THE TRUSTEES NOTE THIS REQUIREMENT AND HAVE ACTED UPON THIS ONLY IN RELATION TO COMPLAINTS BUT ALL CHARITY DEALINGS. KEEPING PARTIES INFORMED IS A SIGN OF GOOD GOVERNANCE AND PRACTICE.	

## Section 5: The complaint handling process

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY	THE COMPLAINTS POLICY IDENTIFIES THAT THE TRUSTEES WILL MAKE NECESSARY ADJUSTMENTS IN WITH THE EQUALITY ACT.
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 POLICY	POLICY INCLUDES THE SECTION 2 CODE PROVISIONS
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	CLERKS RECORDS	THE CLERK MAINTAINS A FULL RECORD OF ALL COMPLAINTS RECEIVED TO ENABLE A COMPLETE AUDIT TRAIL TO BE MAINTAINED. THIS IS BOTH DIGITAL AND HARD COPY. HELD IN ACCORDANCE WITH GDPR AND FILE RETENTIONS RECORDS.

## Section 5: The complaint handling process

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY AND COMMON PRACTICE OF THE CHARITY	THE TRUSTEES MAINTAIN AN OPEN CHANNEL TO THE RESIDENTS, IN PERSON OR OTHERWISE ,TO REMEDY THE COMPLAINT AT ANY STAGE
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	YES	ANTI-SOCIAL BEHAVIOUR POLICY AND THE ALMSHOUSE MODEL	IN ADDITION ,THE TERMS OF THE RESIDENTS HANDBOOK AND LETTER OF APPOINTMENT REFER. A COHESIVE COMMUNITY FORMS PART OF THE MODEL OF ALMSHOUSES WHICH THE SOCIAL HOUSING COMPRISES.
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	THIS IS NOTED AND AS THE RESIDENTS ARE ALL VULNERABLE ADULTS IT IS TAKEN VERY SEROUSLY BY THE TRUSTEES. APPROPRIATE SAFEGUARDING MEASURES ARE IN PLACE.	

# 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	COMPLAINTS POLICY	<p>TRUSTEES WILL ALWAYS SEEK AN EARLY RESOLUTION OF COMPLAINT. THE COMPLAINT MAY REQUIRE FURTHER SCRUTINY AS PART OF THE COMPLAINTS POLICY , FURTHER INVESTIGATIONS MAY BE NECESSARY DEPENDING ON THE CIRCUMSTANCES.</p> <p>THE TRUSTEES SHALL HAVE DUE REGARD TO COMPLAINTS INVOLVING THOSE WHO ARE VULNERABLE OR AT RISK TO ENSURE SUFFICIENT SAFEGUARDS ARE IN PLACE.</p>
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b>within 5 working days of the complaint being received.</b>	YES	COMPLAINTS POLICY	POLICY STATES THAT THIS IS THE CASE AND THE TIMETABLE FOR THE PROCESS WILL RUN FROM THE DATE OF THE COMPLAINT
6.3	Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.		COMPLAINTS POLICY	POLICY STATES THAT THIS IS THE CASE AND THE TIMETABLE FOR THE PROCESS WILL RUN FROM THE DATE OF THE COMPLAINT

# Section 6: Complaints stages

Stage 1

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY	
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	COMPLAINTS POLICY	
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	YES	COMPLAINTS POLICY	
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law, and good practice where appropriate.	YES	COMPLAINTS POLICY	

# Section 6: Complaints stages

## Stage 1

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage</li> <li>b. the complaint definition</li> <li>c. the decision on the complaint</li> <li>d. the reasons for any decisions made</li> <li>e. the details of any remedy offered to put things right</li> <li>f. details of any outstanding actions</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response</li> </ul>	YES	COMPLAINTS POLICY	INCORPORATED WITHIN THE TERMS OF THE POLICY AND ACCORDED TO WHENEVER A COMPLAINT IS RAISED.

# Section 6: Complaints stages

## 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	COMPLAINTS POLICY	POLICY ACCEPTS THIS IS THE CASE AND THE TIMETABLE FOR THE PROCESS WILL RUN THE DATE OF THE COMPLAINT
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure <b>within 5 working days</b> of the escalation request being received.	YES	COMPLAINTS POLICY	AS ABOVE
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	COMPLAINTS POLICY	THIS IS NOTED IN THE COMPLAINTS POLICY
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	YES	COMPLAINTS POLICY	THE TRUSTEES ADHERE TO THIS, IT WOULD BE A CONFLICT OF INTEREST. STAGE 2 ARE CONSIDERED BY BOARD OF TRUSTEES AND THE CO IS EXCLUDED FROM DISCUSSIONS.



# Section 6: Complaints stages

## Stage 2

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
6.14	Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.	YES	COMPLAINTS POLICY	CONFIRMED IN POLICY
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	COMPLAINTS POLICY	DISCRETION EXISTS NOTED IN POLICY
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	YES	COMPLAINTS POLICY	NOTED IN POLICY
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	COMPLAINTS POLICY	THE POLICY IDENTIFIES THAT THIS MUST BE UNDERTAKEN.

# Section 6: Complaints stages

## Stage 2

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	COMPLAINTS POLICY	
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage</li> <li>b. the complaint definition</li> <li>c. the decision on the complaint</li> <li>d. the reasons for any decisions made</li> <li>e. the details of any remedy offered to put things right</li> <li>f. details of any outstanding actions</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied</li> </ul>	YES	COMPLAINTS POLICY	THE POLICY IDENTIFIES THIS PROCESS AND ALSO IDENTIFIES POSSIBLE STEPS TO ADDRESS THE PUT THE MATTER RIGHT, EARLY RESOLUTION AND CONTACT DETAILS OF THE OMBUDSMAN
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	YES	COMPLAINTS POLICY	THIS IS NOTED AND ADDRESSED BY WAY OF CONSIDERATION BY FULL BOARD OF TRUSTEES

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• apologising</li> <li>• acknowledging where things have gone wrong</li> <li>• providing an explanation, assistance, or reasons</li> <li>• taking action if there has been delay</li> <li>• reconsidering or changing a decision</li> <li>• amending a record or adding a correction or addendum</li> <li>• providing a financial remedy</li> <li>• changing policies, procedures, or practices</li> </ul>	YES	<p>COMPLAINTS POLICY</p> <p>THE TRUSTEES RECOGNISE THAT THERE MAY BE OCCASSIONS WHICH, DESPITE BEST ENDEAVOURS TO RESOLVE COMPLAINTS THEY ARISE WHICH ARE THE DEFAULT OF THE TRUSTEE LANDLORDS. A POSITIVE CULTURE IS TO BE ADOPTED, APOLOGIES SHOULD BE MADE AND ACKNOWLEDGED. THE TRUSTEES WILL LEARN FROM THEIR MISTAKES AND ADDRESS TO PUT THINGS RIGHT PROMPTLY. THE REMEDY OFFERED SHOULD TAKE INTO ACCOUNT SEVERAL FACTORS AND A BALANCED APPROACH IS REQUIRED TO ENSURE EXPECTATIONS ARE CAREFULLY MANAGED. THE TRUSTEES WILL BE GUIDED BY THE OMBUDSMAN</p>	STATED IN POLICY

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	YES	COMPLAINTS POLICY	THE TRUSTEES WILL WORK WITH THE RESIDENT TO ENSURE THE REMEDY REFLECTS THE IMPACT FELT BY THE RESIDENT NOT JUST WHAT IT IS PERCEIVED TO BE.
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	COMPLAINTS POLICY	THE TRUSTEES WILL ALSO BE GUIDED BY THE OMBUDSMAN AND WILL KEEP AN OPEN CHANNEL WITH THE RESIDENT.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	YES	COMPLAINTS POLICY	AS 7.3  THE COMPLAINT HANDLING TEAM ALL SUBSCRIBE TO THE HOUSING OMBUDSMAN UPDATES AND EMAILS. THE FULL TRUSTEE BODY IS ENCOURAGED TO DO SO. IN ANY EVENT, RELEVANT NOTICES AND REPORTS ARE SHARED WITH THE TRUSTEES

## 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:	YES	ANNUAL COMPLAINTS PERFORMANCE AND SERVICE IMPROVEMENT REPORT	
	a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements	YES	THE COMPLAINTS POLICY HAS BEEN UPDATED FOLLOWING AN ASSESSMENT OF THE CODE TO ENSURE IT REMAINS IN LINE WITH THE CURRENT 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	YES	THE REPORT INCLUDES THIS INFORMATION AND BREAKDOWN	
	c. any findings of non-compliance with this Code by the Ombudsman	YES		NONE AT THE TIME OF PREPARATION OF THE ANNUAL COMPLAINTS PERFORMANCE AND SERVICE IMPROVEMENT REPORT
	d. the service improvements made as a result of the learning from complaints			CHANGES MADE INTERNALLY TO ENSURE AT STAGE 1 -THE COMPLAINTS OFFICER WILL MEET WITH THE RESIDENT WITH ANOTHER MEMBER OF THE COMPLAINT HANDLING TEAM TO ENSURE AN ACCURATE AND MINUTED RECORD OF THE MEETING IS PRODUCED AND AGREED WITH THE RESIDENTS FROM THE OUTSET. WITHOUT THIS INCLUSION IT WAS BELIEVED IT LEFT BOTH PARTIES VULNERABLE SHOULD THE MATTER PROCEED TO STAGE 2
	e. any annual report about the landlord's performance from the Ombudsman			
f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord				

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

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	MINUTED AS APPROVED BY TRUSTEES	THE CHARITY WEBSITE IS A NEW ADDITION FOR THE CHARITY AND WAS NOT OFFICIALLY ROLLED OUT TO THE LOCAL COMMUNITY UNTIL THE END OF AUGUST 2024. SEVERAL ADJUSTMENTS TO THE WEBSITE WERE NECESSARY AND THE TRUSTEES WHO ARE RESPONSIBLE FOR THE WEBSITE REQUIRED TRAINING BEFORE BASIC AMENDMENTS TO THE WEBSITE COULD NOT BE MADE. IT WAS NOT INTIALLY POSSIBLE FOR THE REPORT TO BE ADDED TO THE WEBSITE BUT THIS HAS NOW BEEN RECITIFIED.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A		THERE HAS BEEN NO RESTRUCTURE OR MERGER ETC
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	YES	ACTION NOTED SHOULD CIRCUMSTANCES ARISE	
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.	NOTED		

## Section 9: Scrutiny and 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	IN PRACTICE THE TRUSTEES HAVE ALWAYS ACTED UPON FEEDBACK AND TAKEN NECESSARY AND APPROPRIATE ACTIONA	SEE 8.1D)
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	YES		THE TRUSTEES IDENTIFY WITH THIS RHETORIC. THE RESIDENTS UNDERSTAND THEY MAY SPEAK WITH ANY MEMBER OF THE CHARITIES IN RESEPECT OF ALL CONCERNS THEY MAY HAVE WHETHER A COMPLAINT OR OTHERWISE.. AS A SMALL PROVIDER IN A RURAL AREA THE RESIDENTS FORM PART OF THE SAME COMMUNITY AS THE TRUSTEES AND MEMBERS OF STAFF. SOCIAL EVENTS AND GATHERINGS TAKE PLACE WITH THE RESIDENTS ORGANISED BY THE CHARITY AND THIS PROVIDES A FURTHER METHOD DURING WHICH ISSUES CAN BE RAISED. THE TRUSTEES AIM TO BE APPROACHABLE AND TAKE ALL CONCERNS RAISED SERIOUSLY.
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	LETTERS TO RESIDENTS	WHERE CONCERNS ARE RAISED THE TRUSTEES REPORT BACK TO THE RESIDENTS THE APPRAOCH THEY ARE TO TAKE AND THE REASONS FOR THIS.

# Section 9: Scrutiny and oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
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	CHRIS POWELL CHAIR OF THE TRUSTEES. CHRIS IS A MEMBER OF THE AUDIT , RISK AND HEALTH & SAFETY TEAM THE TEAM WILL REVIEW PRELIMINARY FINDINGS BUT THEY WILL NEED TO BE VIEWED AAND APPROVED BY THE FULL BOARD DUE TO COLLECTIVE DECISION MAKING.	
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 (MRC).	YES	THE CLERK TO THE TRUSTEES IS APPOINTED TO THIS ROLE DUE TO THE POSITON HELD IN THE CHARITY. SHE RECEIVES FEEDBACK FROM MEMBERS OF STAFF AND IS REPSONSIBLE FOR AGENDAS AND TRUSTEES MEETING AND ACTIONING WORK ON THEIR BEHALF. THE CLERK HAS DIRECT CONTACT WITH ALL THE RESIDENTS AND IS ALSO THE FIRST POINT OF CONTACT FOR THE PASTORAL CARE OFFICER FOR THE RESIDENTS.OFTEN CONCERNS MAY BE RECEIVED VIA THIS CHANNEL AND CAN BE IMMEDIATELY RESOLVED WITHOUT FURTHER ESCALATION. THIS AVENUE OF COMMUNICATION WITH THE RESIDENTS PREVENTS WHAT COULD DEVELOP INTO A COMPLAINT INTO A REASSURING MODE OF BRINGING MATETRS TO A CONCLUSION.	
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	SEE ABOVE	



## Section 9: Scrutiny and oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance</li> <li>b. regular reviews of issues and trends arising from complaint handling</li> <li>c. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration finding</li> <li>d. Annual Complaints Performance and Service Improvement report.</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p>	<p>PLEASE REFER TO NOTE ABOVE</p>     <p>ANNUAL COMPLAINTS PERFORMANCE AND SERVICE &amp; IMPROVEMENTS REPORT SUPPLIED.</p>	<p>ALL TRUSTEES ARE ENCOURAGED TO SUBSCRIBE TO THE HOUSING OMBUDSMAN . ALL COMPLAINTS HANDLING TEAM SUBSCRIBE AND SHARE RELEVANT REPORTS TO THE TRUSTEES.</p>

## Section 9: Scrutiny and oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/ explanation
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others</li> <li>c. act within the professional standards for engaging with complaints as set by any relevant professional body</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p>	<p>BY VIRTUE OF THE FACT THE TRUSTEES ARE ALREADY SUBJECTIVE TO COLLECTIVE RESPONSIBILITY THEY ALWAYS ACT ON A COLLABORATIVE BASIS DUE TO LIMITED DELEGATORY POWERS WHICH ARE ALWAYS SUBJECT TO APPROVAL BY THE FULL BOARD OF TRUSTEES. THESE PROVISIONS ARE INCLUDED IN THE TRUSTEES CODE OF CONDUCT.</p>	