

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	Detailed within policy (Page 1. 'Defining a complaint')	The policy was updated to be compliant with the Housing Ombudsman's Complaint Handling Code 2024.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	<ul style="list-style-type: none"> Detailed within policy (Page 3. 'Making a complaint' and Page 5 'The use of advocates') Logged in staff training records 	Discussed at warden team meeting and covered in staff training to ensure staff awareness. The policy includes clear reference to accepting complaints from third parties that are authorised to act on the customer's behalf. Responses to these complaints will be issued directly to the authorised party. Anonymous complaints will not be accepted.
1.4	Landlords must recognise the difference between a service request	Yes	Detailed within policy (Page 1. 'Defining a complaint')	Staff awareness.

	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.			
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	Detailed within policy (Page 1. 'Defining a complaint')	
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	No		We will ensure that surveys make it clear that residents can make a complaint separately as it was not done in last survey so will be included in future surveys.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Detailed within policy (Page 2. 'Defining a complaint')	
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. 	Yes	Detailed within policy (Page 2. 'Defining a complaint')	

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Detailed within policy (Page 2. 'Defining a complaint')	
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Detailed within policy (Page 5. 'Housing Ombudsman')	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Detailed within policy (Page 2. 'Defining a complaint')	

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Detailed within policy (Page 3. 'Making a complaint' and Page 7. Equality and diversity and data protection')	Complaints can be made by phone, email, in writing, in person, by the customer or on behalf of the customer.
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Detailed within policy (Page 2. 'Defining a complaint')	All Housing staff were notified of the updated Complaints Policy, how a resident can make a complaint, including in person via staff. In addition and what to do when a complaint is made. Publicised in the resident newsletters. Information on how to make a complaint is available on the TCT's website along with a complaints form
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	Detailed within policy (Page1.)	TCT recognises this point.

	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			
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 No	Detailed within policy (Page 3. 'Making a complaint')	Policy is on the website Publicised in the resident newsletters and noticeboards. (handbook)
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 No	Detailed within policy (Page 6. 'Governance') website	On Website (link) 'Retirement housing' > About > scroll down to concerns and complaints
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Detailed within policy (Page 5. 'The use of advocates')	
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Detailed within policy (Page 5. 'The Housing Ombudsman Service')	TCT's website provides information on the right to access the Housing Ombudsman's Service and how to contact the Ombudsman.

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Detailed within policy (Page 3. 'Making a complaint')	CEO acts as the Complaints Officer. – Detailed on website Complaints reports shared with the Board of Trustees/MRC by CEO
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Detailed within policy (Page 3. 'Making a complaint')	CEO acts as the Complaints Officer.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Detailed within policy (Page 2. 'Defining a complaint')	Complaint training is held for all staff undertaking complaint investigation. Complaints Officer attended Housing ombudsman, HQN and Acuity training/webinars on complaints handling Staff awareness

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	Detailed within policy (Page 1. and Page 7. 'Equality and diversity')	
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Detailed within policy (Page 3. Making a Complaint')	We aim to acknowledge with 5 working day as detailed in complaints log. Updated policy and removed 3 rd stage Handbook has been updated.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Detailed within policy (Page 3. Making a Complaint')	The update policy has two complaint stages.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Detailed within policy (Page 3. Making a Complaint')	

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Detailed within policy (Page 3. Making a Complaint')	
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Detailed within policy (Page 3. Making a Complaint')	Included in the template acknowledgement letter
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Detailed within policy (Page 3. Making a Complaint')	
5.8	At each stage of the complaints process, complaint handlers must: <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. 	Yes	Detailed within policy (Page 3. Making a Complaint')	Complaints Officer attended Housing Ombudsman and HQN Acuity training/ webinars on complaint handling. Relevant staff undertake complaints handling training Small organisation with easy access to all staff for queries/ resolution of complaints

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	Detailed within policy (Page 5. Making a Complaint')	
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	Detailed within policy (Page 7. 'Equality and diversity')	Section in complaints log to record any disabilities disclosed.
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	Detailed within policy (Page 3. Making a Complaint')	Complaint process outlined in policy. The policy states that escalation to Stage 2 will not be accepted more than six months after the Stage 1 complaint response.
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	Detailed within policy (Page 3. Making a Complaint')	These details are logged in complaints log

5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Detailed within policy (Page 3. Making a Complaint')	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Detailed within policy (Page 2. 'Defining a complaint')	
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	Detailed within policy (Page 7. 'Equality and diversity')	

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Policy states that responses to Stage 1 complaints will be issued within 10 working days of the complaint being received. Complaints are dealt with in a timely way with further investigation taken when required to ensure responses can be provided at the earliest opportunity.
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	2023 complaints dealt within 2 working days evidence in dated letters and complaints log.	We aim to acknowledge within 5 working day as detailed in complaints log and Website: complaint stage, we state within 5 working days. Tracked by complaints officer
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Tracked by complaints officer

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	Detailed within policy (Page 4. 'Making a complaint')	
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Detailed within policy (Page 5. 'The Housing Ombudsman Service')	Informed via letter
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Any outstanding actions are tracked by the Complaints Officer
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Complaint investigations and responses will address all elements of a complaint where this is possible, where there are a significant number of elements to a complaint, the themes of these will be considered and the complaint investigation will ensure all

				themes of the complaint are addressed.
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	Detailed within policy (Page 4. 'Making a complaint')	Documented in complaints log
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	Detailed within policy (Page 4. 'Making a complaint' and putting things right')	Communicated in writing

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Complaint response clearly states how to escalate the complaint to Stage two if the complaint has not been resolved to the resident's satisfaction.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Detailed within policy (Page 4. 'Making a complaint')	
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Residents are not required to explain the reason for their escalation.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Detailed within policy (Page 4. 'Making a complaint')	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Detailed within policy (Page 4. 'Making a complaint')	
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.	Yes	Detailed within policy (Page 4. 'Making a complaint')	Any exceptions are agreed with the complainant

	Any extension must be no more than 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	Detailed within policy (Page 4. 'Making a complaint' and Page 5. 'The Housing Ombudsman Service')	
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Detailed within policy (Page 4. 'Making a complaint')	
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Detailed within policy (Page 5. 'Putting things right')	
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; 	Yes	Detailed within policy (Page 5. 'Putting things right')	Communicated in writing

	<p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Detailed within policy (Page 4. 'Making a complaint')	

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"> • 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; 	Yes	Detailed within policy (Page 5. 'Putting things right')	<p>Feedback issued to staff where appropriate</p> <p>Complaints and learnings are a standard item at the managers meetings</p> <p>Report is shared at Board level</p>

	<ul style="list-style-type: none"> • Providing a financial remedy; • Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Detailed within policy (Page 5. 'Putting things right')	All remedies offered are based on each individual case and the impact of any resolution is considered from a wider perspective and included within any learning from complaints.
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	Detailed within policy (Page 5. 'Putting things right')	Actions tracked by the Complaints Officer
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Detailed within policy (Page 3. 'Making a complaint' and Page 5. 'Putting things right')	

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> 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	Detailed within policy (Page 6. Governance)	<ul style="list-style-type: none"> a. Completed annually in June for March/April b-c Report completed and accessed on Website (link) 'Retirement housing' > About > scroll down to concerns and complaints

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.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		Not yet been necessary
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		Not yet been necessary
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		Not yet been necessary

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	Detailed within policy (Page 1. 'Complaints policy')	Included within complaint handling training. Internal complaint monitoring processes records learning and improvement from complaints.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Detailed within policy (Page 1. 'Complaints policy')	Complaints are recognised as a valuable source of feedback on service delivery and are used to improve service delivery.
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	Detailed within policy (Page 6. Governance)	Learning and complaint statistics are shared with board members and will be shared with staff and the resident consultative group Featured in annual report.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	Detailed within policy (Page 6. Governance)	Complaints officer - CEO

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		Board member appointed at May 2024 board meeting
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		A board member appointed at May 2024 board meeting. The MRC and board will have quarterly information on complaints including complaint performance, outcome and reasons for complaints. The MRC will have access to all relevant staff to perform their role.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> 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 	Yes		Was discussed during May 2024 board day and will added to agenda on further board meetings.

	orders related to severe maladministration findings; and 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		Our complaints policy and procedure clearly set out clear roles and responsibilities for colleagues, and a clear standard objective and forms part of our standard approach to complaint handling. Included in all staff appraisals for year 2024/25 Personal Development Review process for all relevant staff.