

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	<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>3. What is a complaint Our definition of a complaint reflects that used by the Housing Ombudsman: “an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its trustees, its own staff, or those acting on its behalf, affecting an individual or group of individuals.”</p>	
1.3	<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>	Yes	<p>3. The word ‘complaint’ does not need to be used expressly for the matter to be considered a complaint.</p> <p>5. A complaint submitted by an individual through their selected representative will still be handled in line with this policy. For example, a complaint by a resident can be made by the resident’s carer, family member or other representative acting on their behalf, with written or</p>	

			verbal consent for this provided to us by the resident	
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	3. A request from a resident to act to put something right (for example, to carry out a repair) is considered to be a service request and not a complaint.	
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	3. It would become a complaint if an individual expressed dissatisfaction with the response to their service request, even if the handling of the service request remained ongoing.	
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	4. Exclusions – what is not a complaint We do not consider the following to be complaints under this policy, <input type="checkbox"/> Comments or survey feedback although those making negative comments must be made aware of how to complain	

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	4. This list is not exhaustive or prohibitive, each individual complaint will be considered on its own merit.	
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"> <input type="checkbox"/> The issue giving rise to the complaint occurred over twelve months ago. <input type="checkbox"/> 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. <input type="checkbox"/> Matters that have previously been considered under the complaints policy. 	Yes	<p>4. Exclusions – what is not a complaint</p> <p>We do not consider the following to be complaints under this policy.</p> <ul style="list-style-type: none"> ● An initial request for a service, action, information, or explanation. ● A service we do not provide. ● Comments or survey feedback although those making negative comments must be made aware of how to complain. ● Reports of antisocial behaviour or harassment, 	

			<p>which are dealt with under a separate policy.</p> <ul style="list-style-type: none"> ● Issues that have been through, or are going through, a legal process. ● When the complainant is anonymous unless there is sufficient evidence to substantiate the complaint. ● Where the issue, or the individual's awareness of it, occurred more than 12 months ago unless it relates to a safeguarding or a health and safety matter. ● Previous complaints that have already been investigated and concluded. 	
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints	Yes	<p>4. Where the issue, or the individual's awareness of it, occurred more than 12 months ago unless it relates to a safeguarding or a health and safety matter.</p>	

	made outside this time limit where there are good reasons to do so.			
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	4. If a complaint is not accepted, an explanation for the exclusion is given setting out the reasons why the matter is not suitable for the complaints process and the individual's right to take that decision to the Housing Ombudsman (see point 9). The Ombudsman may direct us to take on the complaint, in which case this policy will apply.	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	4. This list is not exhaustive or prohibitive, each individual complaint will be considered on its own merit.	

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	<p>7. How to complain Complaints can be made by residents of Berkeley Court and Nash's & Wyatts to any member of staff in a variety of ways, including in person, by telephone, in writing or by email.</p> <p>6. If anyone making a complaint wishes us to make reasonable adjustments to accommodate the particular needs of them or their representative, they should ask us to discuss what adjustments can reasonably be made. Where possible, we will also anticipate an individual's needs by offering them suitable and reasonable adjustments</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	<p>7. How to complain Complaints can be made by residents of Berkeley Court and Nash's & Wyatts to any member of staff in a variety of ways, including in person, by telephone, in writing or by email.</p>	

			<p>2. All staff are aware of this policy and know how to advise our residents on how to raise a complaint</p>	
3.3	<p>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.</p>	Yes	<p>2. Aims We welcome complaints from our residents as it provides an opportunity for learning and development</p>	
3.4	<p>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.</p>	Yes	<p>6. Accessibility Complaints are dealt with in line with our Equality and Diversity Policy. Our Complaints Policy and Procedure is available to our residents on our website and in writing from our offices.</p> <p>8. Complaints procedure We have a two-stage complaints procedure</p>	
3.5	<p>The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.</p>	Yes	<p>6. Accessibility Our Complaints Policy and Procedure is available to our residents on our website and in writing from our offices</p>	

			<p>2. we comply with the Complaint Handling Code issued by the Housing Ombudsman Service. All complaints dealt with under this policy will be handled in line with the Code.</p>	
3.6	<p>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.</p>	Yes	<p>6. Individuals can have a suitable representative deal with their complaint on their behalf. They can also be represented or accompanied at any meeting with us about the complaint.</p>	
3.7	<p>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.</p>		<p>9.External review by the Housing Ombudsman Service If the individual is not satisfied with our stage 2 response they should progress the matter through the independent and impartial Housing Ombudsman Service.</p> <ul style="list-style-type: none"> ● Online: www.housing-ombudsman.org.uk ● Phone: 0300 111 3000 ● Email: info@housing-ombudsman.org.uk ● Address: Housing Ombudsman Service, PO 	

			<p>Box 152, Liverpool L33 7WQ</p> <ul style="list-style-type: none">• The Housing Ombudsman Service can offer advice at any point during the complaint process. It can investigate the circumstances of a complaint after it has gone through our internal complaints procedure.	
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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	8. Stage 1 Investigation In cases where the complaint relates to an almshouse managed by Citizens Advice Worcester the complaint will be initially investigated by the SmartLets Service Manager who will act as the 'Complaints Officer'. In cases relating to any other almshouse, it will be passed to Worcester Municipal Charities to be investigated by the Office Manager acting as their Complaints Officer.	
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	8. The person responsible for the investigation will not previously have been involved in the matter and will have access to all staff and authority to act in order to resolve the complaint promptly and fairly.	
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the	Yes	2. Aims We welcome complaints from our residents as it provides an opportunity for learning and	

	importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively		development In the handling of complaints: <ul style="list-style-type: none"> • All staff are aware of this policy and know how to advise our residents on how to raise a complaint. • We take a positive approach to complaint handling through continuous learning and improvement. 	
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	<p>2. We comply with the Complaint Handling Code issued by the Housing Ombudsman Service. All complaints dealt with under this policy will be handled in line with the Code.</p> <ul style="list-style-type: none"> <input type="checkbox"/> residents will never be disadvantaged as a result of making a complaint 	
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not	Yes	<p>1. If something has gone wrong and an individual is dissatisfied, we aim to resolve complaints</p>	

	appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.		quickly and use the learning from complaints to improve our services. 13. We look to find a remedy at any stage of our complaints process, without the need for escalation.	
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	8. Complaints procedure We have a two-stage complaints procedure	
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	8. In cases where the complaint relates to an almshouse managed by Citizens Advice Worcester the complaint will be initially investigated by the SmartLets Service Manager who will act as the 'Complaints Officer'	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A		
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the	Yes	8. The acknowledgement will set out our understanding of the complaint and the complainant's	

	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.		<p>preferred method of communication. It will also cover the outcomes the complainant is seeking, together with the next steps and timescales.</p> <p>If any aspect of the complaint is unclear, we will ask for clarification</p> <p>In responding to the complaint at stage 1, the person dealing with the complaints will write in clear, plain language to address all the points raised and confirm:</p> <ul style="list-style-type: none"> <input type="checkbox"/> the complaint definition; 	
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	<p>8. We will:</p> <ul style="list-style-type: none"> <input type="checkbox"/> clarify with the individual any aspects of the complaint they are unclear about so to be clearly defined. 	
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; 	Yes	<p>8. We will:</p> <ul style="list-style-type: none"> <input type="checkbox"/> deal with the complaint on its merits, act independently, and have an open mind; 	

	<p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>		<ul style="list-style-type: none"> <input type="checkbox"/> give the individual a fair chance to set out their position; <input type="checkbox"/> take measures to address any actual or perceived conflict of interest (which may include asking another trustee or Manager to investigate the complaint); <input type="checkbox"/> consider all relevant information and evidence carefully. 	
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	8. Any extension will be no more than a further 10 working days without good reason. The reasons for the extension will be explained to the complainant, and they will be given the contact details of the Housing Ombudsman	
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	6. If anyone making a complaint wishes us to make reasonable adjustments to accommodate the particular needs of them or their representative, they should ask us to discuss what adjustments can reasonably be made. Where possible, we will also anticipate an individual's needs by offering	

			them suitable and reasonable adjustments.	
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	8. In responding to the complaint at stage 1, the person dealing with the complaints will write in clear, plain language to address all the points raised and confirm: <ul style="list-style-type: none"> <input type="checkbox"/> details of how to escalate the matter to stage 2 if the individual is not satisfied with the 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	10. Record keeping We keep a record of complaints. This includes the date received, all correspondence, any reasonable adjustments or extensions agreed, and the outcomes at each stage. It also records learning to feed into future service improvements.	
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	13. Remedies to put things right Where something has gone wrong we will acknowledge this and set out the actions we have taken, or intend to take, to put things right and by when. We look to find a remedy at any stage of our complaints process,	

			without the need for escalation. Remedies will be followed through to completion.	
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	14. We may close a complaint early due to unacceptable behaviour by the complainant or their representative. This may include making persistent and unreasonable demands, using threatening or abusive language, or continually making complaints they do not genuinely wish to resolve. We will inform the individual of the reasons if we need to bring the complaint to an end.	
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	14. Any restrictions placed on an individual's contact due to unacceptable behaviour will be proportionate, subject to regular review, and in line with the Equality Act 2010.	

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	8. In exceptional cases, the person dealing with the complaint may decide that the complaint needs longer to investigate due to factors such as the complaint's complexity or the individual's vulnerability	
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	8. The complaint will be logged at stage 1 of the complaints procedure and acknowledged within 5 working days of receiving it	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	8. We will respond to complaints within 10 working days of acknowledging the complaint.	
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	Yes	8. Any extension will be no more than a further 10 working days without good reason. The reasons for the extension will be explained to the complainant, and they will be given the contact details of the Housing Ombudsman.	

	10 working days without good reason, and the reason(s) must be clearly explained to the resident.			
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	As above	
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	8. The complaint response will be sent to the individual when the answer to the complaint is known, not when any outstanding actions required to address the issue are completed. Outstanding actions will be actioned promptly with appropriate updates provided to the individual.	
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	8. We will address all points raised in the complaint and provide clear reasons for any decisions.	
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	Yes	11. New issues Where individuals raise additional complaints during the investigation, these will be incorporated into the stage 1 response if they are related and if the stage 1 response has not been issued. If the stage 1 response has been issued, the new complaints are unrelated to the issues already being investigated, or it would	

	delay the response, the new issues must be logged as a new complaint.		unreasonably delay the response, the new matters will be logged and dealt with as a separate new complaint	
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ol 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	<p>8. In responding to the complaint at stage 1, the person dealing with the complaints will write in clear, plain language to address all the points raised and confirm:</p> <ul style="list-style-type: none"> ● the complaint stage; ● the complaint definition; ● the decision on the complaint; ● the reasons for any decisions made, referencing relevant policy, law and good practice where appropriate; ● the details of any remedy offered to put things right; ● details of any outstanding actions; and ● details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	

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	Stage 2 review If the complainant is dissatisfied with the response at stage 1, they can ask for a stage 2 review of their complaint by requesting it in person, writing or by email.	
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	A request for the complaint to be investigated at stage 2 will be acknowledged and logged within 5 working days of the request being received.	
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	We will try to speak to the individual within a couple of days about their dissatisfaction. Although it is helpful to our understanding of why they remain unhappy, they do not have to explain their reasons for requesting a stage 2 consideration	
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 complaint will be reviewed by someone in the role of 'Review Officer'. This will not be the same person that considered the complaint at stage 1. It will be	

			the Chairman or other designated Trustee	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	8. The Review Officer will respond in writing to the stage 2 review within 20 working days of the date we acknowledged the stage 2 escalation request.	
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	8. If the Review Officer believes that the appeal will take longer than 20 working days to resolve this will be agreed with the individual.	
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	8. If no agreement can be reached and the individual is a resident, they will be advised to raise the matter with the Housing Ombudsman.	
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	8. The complaint response will be sent to the individual when the answer to the complaint is known, not when any outstanding actions required to address the issue are completed. Outstanding actions will be actioned promptly with	

			appropriate updates provided to the individual.	
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	8. We will address all points raised in the complaint and provide clear reasons for any decisions.	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; 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	8. In responding to the complaint at stage 2, the Review Officer will address all the points raised and confirm: <ul style="list-style-type: none"> ● the complaint stage; ● the complaint definition; ● the decision on the complaint; ● the reasons for any decisions made, referencing relevant policy, law and good practice where appropriate.; ● the details of any remedy offered to put things right; ● details of any outstanding actions; and ● details of how to escalate the matter to the Housing 	

			<p>Ombudsman if the individual remains dissatisfied.</p> <ul style="list-style-type: none">● This is our final response to the complaint. After sending the response we will keep in touch with the individual to check they are satisfied at the end of our complaints process. <p>9. External review by the Housing Ombudsman Service If the individual is not satisfied with our stage 2 response they should progress the matter through the independent and impartial Housing Ombudsman Service.</p> <ul style="list-style-type: none">● Online: www.housing-ombudsman.org.uk● Phone: 0300 111 3000● Email: info@housing-ombudsman.org.uk● Address: Housing Ombudsman Service, PO Box 152, Liverpool L33 7WQ	
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6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.		8. This is our final response to the complaint. After sending the response we will keep in touch with the individual to check they are satisfied at the end of our complaints process.	
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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"> <input type="checkbox"/> Apologising; <input type="checkbox"/> Acknowledging where things have gone wrong; <input type="checkbox"/> Providing an explanation, assistance or reasons; <input type="checkbox"/> Taking action if there has been delay; <input type="checkbox"/> Reconsidering or changing a decision; <input type="checkbox"/> Amending a record or adding a correction or addendum; <input type="checkbox"/> Providing a financial remedy; <input type="checkbox"/> Changing policies, procedures or practices. 	Yes	<p>13. Remedies to put things right</p> <p>Where something has gone wrong we will acknowledge this and set out the actions we have taken, or intend to take, to put things right and by when. We look to find a remedy at any stage of our complaints process, without the need for escalation. Remedies will be followed through to completion.</p> <p>Examples of remedies include the following.</p> <ul style="list-style-type: none"> ● Apologising ● Correcting an error ● Providing an explanation, reasons or help 	

			<ul style="list-style-type: none"> ● Taking action if there has been delay ● Reconsidering or changing a decision ● 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	13. Any remedy offered will reflect the impact on the individual as a result of any fault identified.	
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	13. Where something has gone wrong we will acknowledge this and set out the actions we have taken, or intend to take, to put things right and by when.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	9. The Housing Ombudsman Service can offer advice at any point during the complaint process	

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	<p>16. Continuous learning and improvement This policy will be reviewed annually. Our Board actively welcomes complaints and views them positively. We will regularly review complaints to identify any trends, learn from issues and introduce positive changes. This will be led by our Member Responsible for Complaints who will be an experienced Trustee.</p> <p>We will carry out an annual self-assessment in accordance with the Housing Ombudsman's Complaint Handling Code. Policy for discussion and approval by the Board</p>	

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	The report will go to the Main Board who will issue a response. Both the report and the Response will go onto our website.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	We would do so	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We would do so	
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	We would do so	

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	1. If something has gone wrong and an individual is dissatisfied, we aim to resolve complaints quickly and use the learning from complaints to improve our services.	
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	16. Our Board actively welcomes complaints and views them positively. We will regularly review complaints to identify any trends, learn from issues and introduce positive changes.	
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	All complaints will be discussed and reviewed at monthly board meetings.	
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	Yes	In cases where the complaint relates to an almshouse managed by Citizens Advice Worcester the complaint will be	

	identify potential systemic issues, serious risks, or policies and procedures that require revision.		initially investigated by the SmartLets Service Manager who will act as the 'Complaints Officer'. In cases relating to any other almshouse, it will be passed to Worcester Municipal Charities to be investigated by the Office Manager acting as their Complaints Officer.	
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	16. Our Board actively welcomes complaints and views them positively. We will regularly review complaints to identify any trends, learn from issues and introduce positive changes. This will be led by our Member Responsible for Complaints who will be an experienced Trustee.	
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	As above	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive:	Yes	Via the Main Board	

	<p>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			
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	We will implement this	