

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	This definition is used in the policy and procedure and also on our website: complaints	
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.	No	Our Complaints Policy and Complaint section on our website state this	
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	Yes	Complaints Policy, What is a Service Request?	

	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	Complaints Policy - Escalation of Service Request to 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.	Yes	As part of the TSM satisfaction survey in 2024, we gave residents the opportunity to provide their details where they were dissatisfied with services. 350 residents provided this information, and they were all given the opportunity to discuss this with a director. 10 of these residents took this opportunity. In the current year, this will go further to ensure that all respondents are made aware of how to raise a complaint should they wish to. Residents who express dissatisfaction with our repairs service through the satisfaction survey sent following the completion of a repair are contacted by a member of the	

			Property Services team. Moving forwards they will be given the opportunity to also raise a complaint at this point should they wish to. The same will apply to residents who complete the call handling survey following contact with our Customer Services team.	
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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	This is detailed in section What is not a complaint? of our complaints policy: There are some exclusions whereby we will not investigate an issue as a complaint as follows: “The issue that is being complained about happened over twelve months ago. If there is a good reason why the issue wasn’t raised prior to this time we may consider this as a complaint, but this will be at our discretion. Legal proceedings have started and a claim has been filed at court. Matters that have previously been considered under the complaints policy.”	
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to	Yes	As Above	

	<p>residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 			
2.3	<p>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.</p>	No	<p>This is included in What is not a complaint? of the Complaints policy: “The issue that is being complained about happened over twelve months ago. If there is a good reason why the issue wasn’t raised prior to this time we may consider this as a complaint, but this will be at our discretion.</p>	
2.4	<p>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</p>	Yes	<p>This is set out in our Complaints policy and procedure as detailed in the sections above.</p>	

	the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	This is set out in our Complaints policy and procedure as detailed in the sections above..	

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>This is detailed in section Ways to make a complaint of our Complaints policy: “We aim to make it as easy as possible to make a complaint. A complaint can be made to Aves Housing by:</p> <ul style="list-style-type: none"> • Telephone • Face to face • SMS • The Aves Housing website or AvesHousing portal • In writing by letter or email • A third party such as an MP, Councillor, advocate, friend or family member. Although the complainant will have to give permission in most circumstances. <p>If a resident raises a complaint via social media, we will not deal with the complaint via social media, but we will advise how they can raise a formal complaint using another channel. Residents can raise their complaints with any member of Aves Housing staff, who will advise the Customer Services team of the complaint so that it can be formally logged on our systems.” This information is also included on our website: https://www.aveshousing.org/contact/complaints/</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	This is detailed in section Ways to make a complaint of our Complaints policy: Residents can raise their complaints with any member of Aves Housing staff, who will advise the Customer Services team of the complaint so that it can be formally logged on our systems.	
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	Complaints are not seen as negative, and our focus is on using complaints to learn lessons and improve services. A key area of system monitoring against complaints is the lessons learned/service improvements.	
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	This is on our website: https://www.aveshousing.org/contact/complaints/ Our website also has Google Accessibility functionality to allow for translation, for the text to be read to the user, and to change contrasts and fonts. We have a leaflet that summarises our policy and the complaints process to make this easy to understand and this is sent if people request information about our complaints policy but are unable to access our website, and when all complaints are acknowledged.	

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	This is detailed in section: Publication of Complaints Policy This policy will be publicised on our website, resident newsletters, the annual tenant report and via other communications such as appropriate emails and letters and by our own staff in conversation with residents.	
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	This is detailed in section: Ways to make a complaint “We aim to make it as easy as possible to make a complaint. A complaint can be made to Aves Housing by:...”	
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	This information is included on our website: https://www.aveshousing.org/contact/complaints/ In the complaints information sent out with every stage one complaint acknowledgement and in each template response email sent to residents during the complaints process.	

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	<p>This is set out in section Who is responsible for this procedure of our Complaints policy:</p> <p>"The Housing Director has responsibility for ensuring that complaints are reported to the Board and will lead in liaison with the Housing Ombudsman. The Housing Director will act as the 'complaints officer' as defined by the Housing Ombudsman's complaint handling code."</p>	
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	<p>The Complaints Officer is a director so has access to all staff at all levels and the authority and autonomy to resolve disputes promptly and fairly.</p>	

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	Training on complaint handling has been conducted and is now a regular agenda item at team meetings. Data from the review of complaints is used to drive improvements in the process.	

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	We only have one Complaints policy. Complaints policy V.1.0.5 Aves Housing 2Apr25	
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	Yes	We only have a 2 stage complaints process in compliance with the Complaint Handling Code.	

	complaint') as this causes unnecessary confusion.			
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	We only have a 2 stage complaints process in compliance with the Complaint Handling Code.	
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	N/A		
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A	Aves Housing complaint process is handled internally.	
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their	Yes	Aves Housing will listen to the complaint and carefully consider the client expectations and desired outcomes.	

	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.			
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>See page 4 and 5 under At Quo Vadis Trust we have a two stage complaints process.</p> <p>At both stages, Stage 1 and Stage 2, our complaint response will address the following areas:</p> <ul style="list-style-type: none"> • The complaint will be titled 'Complaint Stage x Reference No.' • The outcome of the complaint • The reasons for the decisions made • The details of any remedy offered to put things right • Details of any outstanding actions 	
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; 	Yes	<p>This is set out in How your complaint will be handled of our Complaints policy:</p> <p>“At each stage of the complaints process, complaint handlers will:</p> <ul style="list-style-type: none"> • Deal with the complaint on its merits, act independently, and have an open mind. • Give the complainant the opportunity to set out their position. 	

	<p>b. give the resident a fair chance to set out their position;</p> <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>		<p>• Take measures to address any actual or perceived conflict of interest (which may include referring the complaint to an alternative complaint handler).”</p> <p>On receipt of the complaint</p> <p>On receipt of the complaint in ActiveH the stage 1 complaint handler should contact the resident to introduce themselves and summarise what they will be investigating and what the resident has requested as an outcome following the acknowledgement letter sent by the Customer Services team. They should confirm with the resident if this is correct and whether they have anything they wish to add to this.</p> <p>And also set out in On receipt of the complaint of our Complaints policy:</p> <p>As part of the investigation, the stage 1 complaint handler may need to request additional evidence to support the resident’s complaint. They should advise the resident on how to provide this evidence and when they will need this to enable the complaint investigation and response to be made within the 10 working day deadline.”</p>	
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	Yes	Our policy and procedure complies with the Complaint Handling Code. We have not had reason to extend complaint responses to date outside of the code timescales.	

	informed about their 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	Reasonable Adjustments are addressed in section Reasonable Adjustments of our Complaints policy: “Reasonable adjustments will be made to accommodate a complainant’s needs in accordance with the Equality Act 2010. This may include changes to the complaints policy, procedure or process. When investigating a complaint, the complaint handler will consider whether reasonable adjustments should have been made to policies, procedures or An additional data collection exercise outside of the complaints process is planned for 2024/25 processes relevant to the complaint to accommodate the needs of the complainant.”	
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	Section Stage 1 - Result - Dissatisfied of our Complaints policy: If the complainant remains dissatisfied following the stage one response then it must be escalated to stage two of the process.	
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	Yes	All complaints are logged on our Osiris Housing Management system and documentation in relation to the case are saved to our document repository system, Google Drive. Guidance on how to use the systems is provided to staff specifically in relation to	

	received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.		complaints and saved to our intranet to ensure that all staff can access this.	
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	<p>This is included in Remedies Section of our Complaints policy:</p> <p>Remedies</p> <p>“Remedies Where something has gone wrong we will acknowledge this and set out, as part of the complaint response, actions already taken or we intend to take to put things right. These may include:</p> <ul style="list-style-type: none"> • An apology • Acknowledging where things have gone wrong • Providing an explanation, assistance or reasons • Taking action if there has been a delay • Reconsidering or changing a decision • Amending a record or adding a correction or addendum • Providing a financial remedy (this will be in accordance with our compensation policy) • Changing policies, procedures or practices <p>Any remedy offered will reflect the impact on the complainant as a result of any fault identified. The remedy offer will clearly set out what will happen and by when, in agreement with the complainant where this is appropriate. Any remedy proposed must be followed through to completion. When</p>	

			<p>considering an appropriate remedy the complaint handler will take account of the guidance issued by the Housing Ombudsman:</p> <p>https://www.housingombudsman.org.uk/landlordsinfo/guidance-notes/ombudsmans-policyand-guidance-on-remedies/</p>	
5.14	<p>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.</p>	Yes	<p>We have an Acceptable Behaviour policy and procedure that is referenced in both the Complaints policy and procedure: Section Acceptable Behaviour of our Complaints policy</p> <p><i>“From time to time a small minority of complainants may behave in a way that makes it difficult to effectively investigate their complaint and become overly time consuming to manage. Staff handling complaints from residents or their representatives displaying unacceptable behaviours should refer to the Acceptable Behaviour policy. “</i></p>	
5.15	<p>Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.</p>	Yes	<p>This is detailed in our Acceptable Behaviour policy and procedure, with a requirement to undertake a proportionality assessment as part of the procedure.</p>	

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	<p>This is detailed in section Process for responding to complaints of our Complaints policy:</p> <p>“A full written response to the complaint should be made within 10 working days of the complaint being acknowledged. The complaint handler must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the complainant of the expected timescale of the 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.”</p> <p>Resident vulnerability is addressed in Section Customer Vulnerability of our Complaints procedure:</p>	

			<p>“When discussing the complaint with the resident, the Customer Services Advisor, should try to establish whether the resident is vulnerable or at risk and their communication preferences with the complaint handler.”</p>	
6.2	<p>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></p>	Yes	<p>Section Acknowledgement of complaints of our Complaints policy: “All complaints received will be raised as a stage one complaint. These will be logged and acknowledged within 5 working days of receipt. The acknowledgement will clearly detail what the complaint is about and what the complainant would like as an outcome to their complaint.”</p>	
6.3	<p>Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.</p>	Yes	<p>This is detailed in section Process for responding to complaints of our Complaints policy: “A full written response to the complaint should be made within 10 working days of the complaint being acknowledged. The complaint handler must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the complainant of the expected timescale of the response. Any extension must be no more than 10 working days without good reason, and the</p>	

			reason(s) must be clearly explained to the resident.”	
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	Set out above	
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.	No	Set out in the Extension of Timescales section of our policy: “When extending the timescale, the complainant must also be provided with the contact details for the Housing Ombudsman.” A template letter is provided to staff to ensure compliance with this.	
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	Set out in section Complaint Response of our policy: <i>“The response to the complaint must be provided to the complainant when the answer to the complaint is known, not when the outstanding actions required to address the issues are completed. Outstanding actions must be tracked by the complaint handler until all issues are resolved.</i>	

			<p><i>The complaint handler must provide regular updates to the complainant.” And further detailed in Complaint Response</i></p> <p><i>“Once the stage one response has been sent to the complainant, or their third party representative, any outstanding actions left to address the issues or service improvements to be implemented must be detailed in the Incident tab in the complaint case in Osiris. The incident tab must be kept updated by the stage one complaint handler for each contact made to the resident in relation to progress with these actions or other action the complaint handler has taken. The complaint must be left open and regularly monitored by the stage one complaint handler until all actions are completed. The stage one complaint handler must provide the resident with regular updates.”</i></p>	
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	<p>Set out in section Addressing all Points of our policy:</p> <p><i>“The complaint response must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant</i></p>	

			<i>policy, law and good practice as appropriate.”</i>	
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.	No	Set out in section Additional Points Raised of our policy: <i>“Where the complainant raises additional complaints during the investigation, these must be incorporated into the stage one response if they are related and the stage one response has not been issued. Where the stage one 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.”</i>	For inclusion in the revised policy in Dec 2024.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made;	Yes	Set out in section Standards of the Completion of Stage 1 letter of our policy: <i>“The complaint response letter will be clear and contain the following information: • The complaint stage • The detail of the complaint and what the complainant requested as an</i>	

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>		<p><i>outcome. • The decision on the complaint • The reasons for any decisions made • The details of any remedy offered to put things right. • Details of any outstanding actions and, • Details of how to escalate the complaint to stage two if the complainant remains dissatisfied.”</i></p>	
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Section Stage 1 - Result - Dissatisfied of the Complaints policy: <i>“If the complainant remains dissatisfied following the stage one response then it must be escalated to stage two of the process.”</i>	
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	Section Stage 2 - Acknowledgement of the Complaints policy: <i>“The stage two complaint must be acknowledged and logged within five working days of the request to escalate being received. The acknowledgement must be clear on what the</i>	

			<i>complaint is in relation to and what the complainant is requesting as an outcome.”</i>	
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	Section Stage 2 - Consideration of the Complaints policy: <i>“The complainant is not required to explain their reasons for escalating the complaint, but the stage two complaint handler will try to contact the complainant to understand why they remain unhappy.”</i>	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Section Stage 2- Complaint Handler of the Complaints policy: <i>“The stage two complaint handler will ordinarily be the director responsible for the service area complained about, but may be any Director of the organisation.” Directors do not deal with stage one complaints. In a situation where they do, or they’ve been involved in the complaint at stage one, then another director will investigate the complaint.”</i>	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.		Section Stage 2 - Response of the Complaints policy: <i>“The stage two full response must be made within 20 working days of the complaint being acknowledged. The complaint</i>	

			<i>handler must decide whether an extension to this timescale is needed when considering the complexity of the complaint then inform the complainant 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 complainant.”</i>	
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	As above	
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.	No	Section Extension of Timescales of the Complaints policy: <i>“When extending the timescale, the complainant must also be provided with the contact details for the Housing Ombudsman” A template letter is provided to staff to ensure compliance with this.”</i>	For inclusion in the revised policy in Dec 2024.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the	Yes	Section Complaint Response of the Complaints policy:	

	<p>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.</p>		<p>“The response to the complaint must be provided to the complainant when the answer to the complaint is known, not when the outstanding actions required to address the issues are completed. Outstanding actions must be tracked by the complaint handler until all issues are resolved. The complainant must be provided with appropriate updates.”</p> <p>Section Stage 2 Response - Implementation of the Complaints procedure provides further guidance:</p> <p><i>“Once the stage 2 response has been sent to the complainant, or their third party representative, any outstanding actions left to address the issues or service improvements to be implemented must be detailed in the Incident tab in the complaint case in ActiveH. The incident tab must be kept updated by the stage two complaint handler for each contact made to the resident in relation to progress with these actions or other action the complaint handler has taken.</i></p>	
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			<i>The complaint must be left open and regularly monitored by the stage two complaint handler until all actions are completed. The stage two complaint handler must provide the resident with regular updates.”</i>	
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	Section Standards of the Completion of Stage 1, 2 letter of the Complaints policy: <i>“The complaint response letter will be clear and contain the following information: • The complaint stage • The detail of the complaint and what the complainant requested as an outcome. • The decision on the complaint • The reasons for any decisions made • The details of any remedy offered to put things right. • Details of any outstanding actions and, • Details of how to escalate the complaint to the Housing Ombudsman if the complainant remains dissatisfied.”</i>	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	As above	

	<p>d. the reasons for any decisions made;</p> <p>e. the details of any remedy offered to put things right;</p> <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	Stage 2 complaints are handled by directors, so will include other staff as and when necessary.	

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; 	Yes	<p>Section Remedies of the Complaints policy:</p> <p>Where something has gone wrong we will acknowledge this and set out, as part of the complaint response, actions already taken or we intend to take to put things right.</p> <p>These may include:</p> <ul style="list-style-type: none"> • An apology 	

	<ul style="list-style-type: none"> • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 		<ul style="list-style-type: none"> • Acknowledging where things have gone wrong • Providing an explanation, assistance or reasons • Taking action if there has been a delay • Reconsidering or changing a decision • Amending a record or adding a correction or addendum • Providing a financial remedy (this will be in accordance with our compensation policy) • 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	Remedies Section of the Complaints policy: <i>“Any remedy offered will reflect the impact on the complainant as a result of any fault identified.”</i>	
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	Remedies Section of the Complaints policy: <i>“The remedy offer will clearly set out what will happen and by when, in agreement with the complainant where this is appropriate. Any remedy proposed must be followed through to completion.”</i>	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Remedies Section of the Complaints policy:	

			When considering an appropriate remedy the complaint handler will take account of the guidance issued by the Housing Ombudsman: https://www.housingombudsman.org.uk/landlords-info/guidancenotes/ombudsmans-policy-and-guidanceon-remedies/	
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Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman;	Yes	Section Annual complaints performance and service improvement report of the Complaints policy: <i>"A report of complaints performance and service improvements will be produced on an annual basis and reported to the Board.</i> <i>This report will include:</i> • <i>The annual self-assessment against the Housing Ombudsman Complaint Handling Code.</i>	

	<p>d. the service improvements made as a result of the learning from complaints;</p> <p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>		<ul style="list-style-type: none"> • <i>A quantitative and qualitative analysis of our complaint handling performance, including a summary of the types of complaints we have refused to accept.</i> • <i>Any findings of non-compliance with the Complaint Handling Code made by the Housing Ombudsman.</i> • <i>Service improvements made as a result of complaints.</i> • <i>Any annual report about our performance from the Ombudsman.</i> • <i>Any other relevant reports or publications produced by the Ombudsman in relation to our work.</i> <p><i>This is due to be reported to the Aves Housing Board in August 2024.</i></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	As above	
8.3	Landlords must also carry out a self-assessment following a significant	Yes	As per section Following significant restructure,	

	restructure, merger and/or change in procedures.		merger or change in procedure of the Complaints policy: A self-assessment against the complaint handling code will also be carried out following any significant restructure, merger and/or change in procedures.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A	Not currently applicable, but it will be reviewed should the HOS request this.	
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.	N/A	This hasn't been applicable to date, but will be complied with should the need arise.	

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	Section About this Policy of the Complaints policy: <i>“This policy is designed to effectively manage complaints about Aves Housing’s services with a focus on learning lessons and improving services.”</i> Complaints are a core Aves Housing service. Service improvements and lessons learned are also recorded on our systems and reporting in place to enable monitoring.	
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	Lessons learnt are incorporated in the complaints handling process. Clients are encouraged to make complaints, and each complaint report is understood, considered and investigated.	
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	Training sessions are organised that incorporate lessons learnt from complaints.	

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	This is the Housing Director as set out in section Accountability of the Complaints policy: <i>“The Housing Director is accountable for complaint handling and will assess themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.”</i>	
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	Section Additional Board Governance to MRC of the Complaints policy: <i>“A member of the Board will have lead responsibility for complaints to support a positive complaint handling culture. This person(s) will be referred to as the Member Responsible for Complaints (MRC).”</i>	
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	Contained in section Updates to the MRC and the Board of the Complaints policy: <i>“The Member Responsible for Complaints (MRC) and the Board will receive: • Regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance. • Regular reviews of issues and trends arising from complaint handling • Regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings, and • The</i>	

			<i>annual complaints performance and service improvement report. “</i>	
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <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>	Yes	As above	
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>	Yes	<p>The following objective has been added to all relevant employees objectives as part of the 2024 appraisal process and is stated on the Complaints page of the website:</p> <p>Complaints must be handled in accordance with the Complaints policy and procedure, ensuring that you:</p> <ul style="list-style-type: none"> • have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; 	

	c. act within the professional standards for engaging with complaints as set by any relevant professional body.		<ul style="list-style-type: none">• take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and• act within the professional standards for engaging with complaints as set by any relevant professional body.	
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