

## 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>Complaints &amp; Customer Feedback Policy 2022-2025 – Board approved 25 Jan '22 Reviewed &amp; approved 26 March 2024</p>	Section 11 includes this definition
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>Complaints &amp; Customer Feedback Policy 2022-2025 s11 of the Policy. "What is a Complaint?"</p> <p>Customer Led Complaints Handling Scrutiny Report October 2023</p> <p>TSM's - 2023/24 TP09 Satisfaction with the landlord's approach to handling complaints = 40%</p> <p>Monthly Customer Focus Reports</p>	<p>Contact Centre – first point of contact response includes asking a customer if they are making a service request or wishing to log a complaint</p> <p>All expressions of dissatisfaction are followed up with contact from Customer Focus Assistant</p>

			Customer Feedback forms (from events & activities)	
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  System generated CRM Reports log all customer contacts  Customer Led Complaints Handling Scrutiny Report dated October 2023	This is outlined within Section 11 of the Policy “What is a Complaint?”.  All service requests are logged within CRM database and triaged by colleague at first point of contact
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 & Customer Feedback Policy 2022-2025 – reviewed March 2024  Contact Centre procedures ask customers if they are wanting to log a complaint  Annual Customer First Toolbox Talks also includes how to address	This is outlined within Section 11 of the Policy “What is a Complaint?”.  All customer facing colleagues are empowered to resolve at 1 <sup>st</sup> point of contact wherever possible  Standard operating procedure (SOP to

			expressions of dissatisfaction	evidence this new process by end August 2024)
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Survey responses from Acuity – request for details for follow-up  Weblinks / Leaflets / Posters on noticeboards	Acuity survey on monthly basis for TSM's. We also complete regular transactional surveys for key service areas  All dissatisfied comments are followed up by Customer Focus Assistant so that customers issues are resolved or a complaint can be logged as needed.

## 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	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  CRM Report  Complaints Summary Report	Outlined within Section 11 of the Policy “Initial contact if you are unhappy with our service?”  Policy updated to allow for a complaint to be logged within 12 months of issue arising
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 residents. Acceptable exclusions include: <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> </ul>	Yes	Updated Complaints & Customer Feedback Policy – reviewed March 2024	Outlined within Section 11 of the Policy “What will not be treated as a complaint?”.  Follows Complaint Handling Code recommendations

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 s11 of the Policy “What will not be treated as a complaint?”.	As 2.1 for this self-assessment. Each case is reviewed individually and we would consider a complaint outside of the 12 months time limit as necessary and appropriate 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	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 s11 of the Policy “What will not be treated as a complaint?”.  Letters to complainant	Other policies and processes may be more appropriate. E.g. Disrepair claims, ASB incident reporting
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  All initial complaints are logged and responded to with no	All complaints are currently reviewed by Customer Focus Manager and managed on a case by case basis with the appropriate service lead.

			exclusions although not all upheld as service delivery failure	
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### Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Complaints & Customer Feedback Policy Appendix A “Contacting Homes in Sedgemoor to log a complaint” Channels available to customers include ; Telephone; Email; Website; In-Person; Social Media	Complaints & Feedback process allows for contact via any colleague and any method of communication  We accept complaints via any channel including a verbal complaint, and all are logged within our CRM database
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  Customers First Strategy 2023-2026  Toolbox Talks to contractors about Customers First  Team Meeting Updates	As for 3.1 of this self-assessment  We have regular and on-going training for all customer facing colleagues to ensure they are empowered to log and resolve complaints at 1 <sup>st</sup> point of contact wherever possible

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	<p>Monthly report to management team;</p> <p>Corporate suite of KPI's reported to Executive Team- Monthly; Audit &amp; Risk Cttee- Quarterly; STAC &amp; Board 6monthly</p> <p>Culture of learning is promoted throughout the organisation</p>	HiS have seen an increase in volumes since our scrutiny in Oct 23 although numbers upheld have remained consistent. Monthly agenda item for Senior Leadership team to discuss and identify opportunities for service improvement
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	<p>Complaints &amp; Customer Feedback Policy– 2022-2025 – reviewed March 2024</p> <p>s4 “Principles” s5 “Legal Requirements” Appendix A “Complaints Process”</p> <p>Website accessible format available</p>	Also available via post, email or translated version if requested
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	<p>Complaints &amp; Customer Feedback Policy – 2022-2025 – reviewed March 2024</p> <p>s11 “Housing Ombudsman Service”</p>	<p>Website</p> <p>Communal Area Notice Boards</p> <p>Officer visits (as CRM notes)</p>
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024	Each complaint is treated on case by case basis and representation and support welcomed as needed



	accompanied at any meeting with the landlord.		Appendix A “Complaints Process”	
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 Appendix A – Complaints Process	Information on the Ombudsman service stated within all complaint responses, newsletters and on our website

#### 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	Customer Focus Manager is responsible for complaints and their contact details are on our website	Customer Focus Assistant role has been introduced to provide further support for expressions of dissatisfaction & complaint management
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	Customer Focus Manager has support of all Executive team and Senior Leadership colleagues to respond to and resolve complaints.	Customer Focus Manager works closely with all teams to ensure complaints are dealt with fairly and on a case by case basis.

			Customer Focus Manager presents periodic performance reports to the Board	
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	<p>Being 'Customer Driven' is a central strand of our Corporate Strategy 2023-2026.</p> <p>'Customers First' is longstanding tenet of our organisational culture and 'listening' to customers is a key component within this strand of the corporate strategy</p> <p>Customers First strategy 2023-2026</p> <p>Corporate suite of KPI's reported to Executive Team- Monthly; Audit &amp; Risk Cttee- Quarterly; STAC &amp; Board 6monthly</p> <p>HiS Training material around complaints</p>	<p>'Customers First' training is completed on a regular basis for all colleagues and Toolbox talks for key contractors</p> <p>The customer focus team has recently been bolstered to ensure full adherence to the code</p>

### Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must	Yes	Complaints & Customer Feedback Policy – 2022-25 – reviewed 26 <sup>th</sup> March 2024	Policy was refreshed and approved by the Board in March 2024 in accordance

	not be treated differently if they complain.			with the revised HO Complaints Handling Code
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11 "Initial contact if you are unhappy with our service" & "What will not be treated as a complaint?"	Section 11 of the Policy outlines a two stage process and no extra stages
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	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11 "Formal Complaint – Stage 2"	We have 2-stage process - Initial complaint and Stage 2 escalation
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	Customer Focus Manager or Service Lead to take responsibility for complaint and ensure customer is responded to in a timely and fair way.  Case Reviews	As stated, the policy is clearly two stages regardless of third party involvement.  Contractor meetings held on regular basis to discuss issues and complaints and work collaboratively to resolve and ensure a lessons learned approach for service improvement
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	We take full ownership of complaints and will liaise with third parties as necessary within the 2 stage process	As 5.4

5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	<p>Complaints &amp; Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11 “Formal Complaint – Stage 2”</p> <p>Complaint management process</p> <p>Complaint enquiry / response letters</p> <p>Established Complaint Template Letters</p> <p>Complaint Case Notes</p>	All responses reviewed by Customer Focus Manager. Periodic reviews undertaken by senior management
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>Complaint management process appendix A to the Complaints &amp; Customer Feedback Policy</p> <p>Complaint enquiry / response letters</p> <p>Established Complaint Template Letters</p> <p>Complaint Case Notes</p>	As 5.6 of this Self-Assessment
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind;	Yes	All complaints are overseen by Customer Focus Manager to ensure consistency and appropriate response provided	Customer Focus Manager advocates on behalf of the customer with service managers / officers

	<ul style="list-style-type: none"> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>			We welcome conversations or visits with complainants in order to fully understand the issues and respond on an individual basis
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	<p>Timescale for complaints responded at stage 1 &amp; stage 2 measured within our KPI's</p> <p>KPI 2023/24 – Complaints responded to within Complaint Handling Code timescales YE 96% (target 95%)</p> <p>CRM case notes</p>	<p>Managed via the Customer Focus Manager with service leads</p> <p>Our average complaints response time is 5 working days with 96% of complaints responded within 10 working days</p>
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	<p>All complaints are dealt with on case by case basis and reasonable adjustments made as required.</p> <p>CRM Case Notes</p>	<p>Vulnerabilities and disabilities are recorded within our CRM database</p> <p>We are developing an Equality Impact Assessment for customers wishing to make a complaint so that any vulnerabilities are captured early.</p> <p>Always adopt a case by case approach</p>

5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11 “Formal Complaint-Stage2”	All requests for escalation are accepted – personal contact will be made with every complainant to understand why the complaint has not been resolved in 1 <sup>st</sup> instance to bring to satisfactory conclusion and establish what outcome complainant is seeking
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	All complaints are logged within our CRM system (OPEN Housing).  All correspondence contained within Swordfish document management system which interfaces with Open Housing this for records management	
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  Customers First Strategy 2023-2026  Toolbox Talks to contractors about Customers First	As 3.2 of this self assessment

			Team Meeting Updates	
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	Unacceptable Behaviour Policy March 2023  Officer Safety Register in place to manage officer and customer safety	Any suggested restrictions are reviewed by a panel of colleagues  Monthly Compliance Report includes the monitoring customers exhibiting repeated unacceptable behaviour and noted on the Officer Safety Register
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	Agreed and contained within Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 S11 “When a complaint may be refused”  Unacceptable Behaviour Policy	As 5.14 of this self-assessment

## 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.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 Appendix A “Complaints Process	As for 3.2 of this self-assessment

	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.		Customers First Strategy 2023-2026  Toolbox Talks to contractors about Customers First  Team Meeting Updates	
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11 “What will be evaluated as a complaint”	
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	Complaints & Customer Feedback Policy – 2022-2025 – reviewed March 2024 s11“What will be evaluated as a complaint”  Corporate suite of KPI’s reported to Executive Team- Monthly; Audit & Risk Cttee- Quarterly; STAC & Board 6monthly	Measured as a KPI
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,	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 S11 “ Formal Complaint-Stage2”	As for 5.9 of this self-assessment



	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	Complaints Letter template	As for 3.7 of this self-assessment
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	Complaint Management Process Summary Report from OPEN Housing	Customer Focus Assistant role introduced to ensure outstanding actions are monitored
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	We address all points within complaint responses.	As for 5.6 of this self-assessment Where we identify good practice we will state this in our response
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	Complaint Management Process	

6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Complaints Template Letter on OPEN Housing available to ensure all areas are covered as per CHC guidance  Case Reports	As for 5.6 of this self-assessment
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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	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 s11"Formal Complaint Stage 2" Appendix A "Complaint Process"  Complaint letters	As for 5.11 of this self-assessment
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	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024  Complaint letter	

6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 S11 “Formal Complaint–Stage 2” Appendix A “ Complaint Process”	As for 5.11 of this self-assessment
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 S11 “Formal Complaint-Stage2”  Stage 2 Case notes	Stage 2 review is via a panel
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 S11 “Formal Complaint-Stage2”  Stage 2 Case notes  KPI 2023/24 – Complaints responded to within Complaint Handling Code timescales YE 96% (target 95%)	
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	Agreed in correspondence with complainant stated in case notes	Overseen and managed by the Customer Focus Manager

	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	Stage 2 Case notes see note to 6.15 of this self-assessment	As for 3.7 of this self-assessment
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	Stage 2 Case notes	
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	Customer Complaint & Feedback Policy 2022-2025 – reviewed March 2024	As for 5.6 of this self-assessment
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> </ul>	Yes	Customer Complaint & Feedback Policy 2022-2025 – reviewed March 2024  Complaint Management Case Notes	As for 5.6 of this self-assessment

	<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	<p>Stage 2 Panel Case Notes</p> <p>As for 5.6 of this self-assessment</p>	Panel meeting held for Stage 2 responses and complainant also invited to attend or speak to Chair of panel

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> </ul>	Yes	<p>Complaints &amp; Customer Feedback Policy 2022-2025 – reviewed March 2024</p> <p>s11 - Compensation</p> <p>Complaints CRM &amp; Case notes</p>	<p>We intend to review the section on compensation – and update “remedies” by September 2024</p> <p>We recognise that that remedy or redress can take various different forms and not always monetary compensation</p>

	<ul style="list-style-type: none"> <li>Amending a record or adding a correction or addendum;</li> <li>Providing a financial remedy;</li> <li>Changing policies, procedures or practices.</li> </ul>			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints & Customer Feedback Policy 2022-2025 – reviewed March 2024 s11 - Compensation  Complaints CRM & Case notes	Overseen and managed by Customer Focus Manager and Executive team
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Complaints CRM & Case notes	Overseen and managed by Customer Focus Manager
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Self Assessment against Spotlight Reviews  Changes made to Damp and Mould Policy incl assessment & communication with customers  Changes made to complaint handling process to consider service request v complaint	To be carried out by Customer Focus Manager and Service Leads  Following a customer & Audit Cttee Scrutiny we developed our Damp & Mould Policy and key processes to address

## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>Annual Complaints Performance Report</p> <p>Bi-annual Board report</p> <p>Corporate suite of KPI's reported to Executive Team-Monthly; Audit &amp; Risk Cttee-Quarterly; STAC &amp; Board 6monthly Incl TSM's</p> <p>HO determinations</p> <p>HO complaint handling failures/maladministration</p> <p>HO annual reports</p>	<p>We provide monthly update to ET/SLT to ensure positive complaints culture embedded + Bi-annual Board report + customer newsletter updates + annual report to stakeholders</p>
8.2	<p>The annual complaints performance and service improvement report must</p>	Yes	<p>As 8.1 of this self-assessment</p>	

	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.		Board reviewed the documents on 26 June 2024	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	NA		
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	NA		
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		

### 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	Monthly tracker spreadsheet identifies complaints upheld and themes/lessons learned	As for 8.1 of this self-assessment



			Monthly agenda item for Senior Leadership meetings and regular updates provided to Executive team	
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	Policy Change; Damp and Mould Policy 2022-2025 introduced to ensure all reports of Damp and Mould are dealt with as requests for service with robust process to adhere to  Complaints Handling Scrutiny Recommendations (Oct 23)	As for 8.1 of this self-assessment  Complaint handling information contained within customer newsletters and annual report
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	Learning from complaints is embedded within the organisation and reported to Board and STAC 6monthly basis.  STAC quarterly agenda item  Bi-annual report to Board  Housemark Benchmarking Club – Quarterly Pulse Report	Sedgemoor Tenants Assurance Committee (STAC) monitor complaint handling performance  Customer Focus report includes section on complaint handling  Reported on monthly for Board and Executive team
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,	Yes	Dedicated role Customer Focus Manager. This role reports directly to Director of Communities and Customer Service	

	serious risks, or policies and procedures that require revision.		We have a designated Board Champion for Customers. This champion is a tenant board member	
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	Being an ALMO we have a appointed a Board Champion for Customers. This role is also our member Responsible for Complaints  Our parent authority (Somerset Council ) has nominated the Portfolio Holder for Communities as the MRC	
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		MRC receives Board papers and attends meetings 6 x times per year. MRC works with Executive team and Senior Leadership team to understand complaints .

9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>	Yes	<p>Annual complaints performance and service improvement report provided to Board</p> <p>All Housing Ombudsman Determinations are reported to Board at their next meeting</p> <p>TSMs Published on website</p> <p>Corporate suite of KPI's reported to Executive Team- Monthly; Audit &amp; Risk Cttee- Quarterly; STAC &amp; Board 6monthly</p>	<p>MRC to be included in all investigations from April 2024</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> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints</li> </ul>	Yes	<p>Customers First Strategy</p>	<p>Regular and on-going support and training to ensure all colleagues are empowered to respond and resolve complaints at 1<sup>st</sup> point of contact wherever possible</p> <p>Embedding every contact counts, one-team approach through Project Matrix patch teams</p>

	as set by any relevant professional body.			
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