

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	Defined in 2,1 of the Complaints Policy & 4.1 of the Complaints Procedure.	
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Section 2.2 and 2.5 of the Complaints Policy and section 4 of our Complaints procedure confirms these requirements. Section 5.7 of the Complaints Procedure outlines that a complaint can be made by a representative of a customer.	The CRM system allows a complaint to be logged via a third-party.
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	Yes	Section 2.4 and 8.1 of the Complaints Policy and Section 4.2 & 4.3 of the Complaints Procedure clearly outlines what constitutes a complaint, emphasising the importance of recognising the difference	The CRM system allows for service requests to be logged, monitored and reviewed.

	complaints, but must be recorded, monitored and reviewed regularly.		between a formal complaint and service requests.	
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	Section 2.5 of the Complaints Policy and Section 4.2 & 4.3 of the Complaints Procedure states we will do this.	
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	Section 2.3 of the Complaints Policy confirms this.	Our tenant satisfaction measures (TSM) survey interview scripts carried out by a third-party supplier and our resident feedback survey forms refer residents to our complaints process and gives information on the ways to make a complaint.

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	Section 4.1 of our Complaints Policy and section 5.11 of our Complaints Procedure lists the reasons when a complaint is not accepted. We will consider each complaint on its own merits.	
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Yes	<p>Section 4.1 of our Complaints Policy states: <i>We will let you know why the matter isn't suitable for the complaints process and will respond to your feedback differently. We will advise you of an alternative course of action, including the right to take our decision not to accept your complaint, to the Housing Ombudsman.</i></p> <p>Whilst section 5.11 of our Complaints Procedure lists the reasons when a complaint is not accepted.</p>	.
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	Yes	Section 4.2 of the Complaints Policy and section 5.12 of the Complaints Procedure confirms that we will do 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	<p>Section 4.1 of the Complaints Policy states that we will do this.</p> <p>Whilst 5.13 of the Complaints Procedure outlines we must be able to evidence our reasoning and notify the customer in writing using a Complaint Exclusions Letter template, explaining the reasons and the customer's right to escalate to the Housing Ombudsman.</p>	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<p>Section 4 of the Complaints Policy and 5.12 & 5.13 of the Complaints Procedure states we will consider each complaint on its own merits and make sure our decision is reasonable.</p>	

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>Section 6.2 of the Complaints Policy describes the multiple channels we accept complaints through.</p> <p>We have a Translation, Interpretation & Reasonable Adjustment Policy.</p> <p>Section 13 of the Complaints Policy outlines our commitment to equality diversity and inclusion (EDI) and 5.10 of the Complaints Procedures gives further detail on the use of the Reasonable Adjustments Policy.</p>	<p>All colleagues undertake annual mandatory EDI training.</p> <p>Using the Translation, Interpretation & Reasonable Adjustment Policy, to meet the diverse needs of our customers, when required, colleagues will tailor provision of services in line with this policy.</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>Sections 6.1 & 6.7 of the Complaints Policy and 5.5 of our Complaints Procedure describe the different ways customers can report complaints and outline how they can report complaints via Octavia colleagues.</p>	<p>The policy outlines that everyone at Octavia is empowered to accept complaints.</p> <p>All colleagues are made aware of the process for passing cases to our Complaints team. This is done via team meetings, internal briefings and communication events with colleagues. We have a dedicated Complaints email address for receiving</p>

				<p>complaints both internally and externally.</p> <p>Further training for all new/existing staff members was developed by our Learning and Development Team a phased roll out commenced in July 2024.</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>Octavia is committed to providing a high quality, well publicised and accessible complaints process. Information for customers can be found on Octavia's website.</p> <p>12.9 of the Complaints Procedure confirms: <i>High volumes of complaints should not necessarily be seen as negative, as it can be an indication of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.</i></p>	<p>The Annual Complaints Performance & Service Improvement Report outlines Octavia's commitment to learning from complaints.</p> <p>Wording has been added to the footer of Governance reports and performance reports shared with colleagues. This will support the embedding of the corporate standard complaint objective to foster a positive complaint handling culture.</p>

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>The Complaints Process is outlined on the Octavia website:</p> <p>The Policy is available on the Octavia website.</p> <p>5.9 of the Complaints Procedures gives further detail on the use of the Reasonable Adjustments Policy and ensuring our Complaints Policy is accessible.</p> <p>Section 14 of the Complaints Policy outlines how we publish it.</p>	<p>The Reasonable Adjustments Policy describes how we will make our services accessible for all residents.</p> <p>The complaints policy can be made available in alternative formats upon request.</p>
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	Octavia's Complaint Policy confirms this and is available on the website.	<p>Section 14 of our Complaints Policy explains how we will publicise the policy.</p> <p>Section 10.1.1 outlines how customers can access the Housing Ombudsman Scheme.</p> <p>Octavia's Complaints Policy, the Complaint Handling Code and information on the Housing Ombudsman Scheme are regularly mentioned in customer correspondence, such as</p>

				resident newsletters and the resident annual report.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Complaints Policy confirms this at section 6.3 and the Complaints Procedure at section 5.8.	We'll ensure we have the consent of the resident either by way of a signed Third Party Representation Authorisation form or when the resident is present with a representative at the time and gives verbal permission to discuss the complaint whilst they are together.
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	Section 10.1.2 of our Complaints Policy explains that customers can contact the Housing Ombudsman at any stage of the Complaints Process.	Relevant response template letters provides customers with information on their rights to access the Ombudsman throughout 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>Section 6.7 of the Complaints Policy confirms this. 7.1 of the Complaints Policy outlines the role of the Complaints Officer and Complaints Handlers at Octavia.</p> <p>Abri's Executive Director for Operations is responsible for ensuring Octavia's complaints are reported to the governing body.</p> <p>In addition to this, Abri have a dedicated Dispute Resolution team, who also act for Octavia and who deal with HOS Investigation and information requests from the HOS in a professional and timely manner.</p>	<p>We have a dedicated Complaints team, led by the Assistant Director -Customer Experience, Insights & Partnerships</p> <p>In the first quarter of 2025/26 are recruiting for a dedicated Complaints Team Manager.</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	This is included within Section 7.1 of the Complaints Policy.	<p>The Complaints Officer role is fulfilled by a dedicated Complaints team of officers, led by the Assistant Director - Customer Experience, Insights & Partnerships.</p> <p>In the first quarter of 2025/26 are recruiting for a dedicated Complaints Team Manager.</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	<p>Section 7.1 of the Complaints Policy describes the training and values Complaints Officers and Complaint Handlers will apply to managing complaints.</p> <p>Section 12 of the Complaints Procedure details our approach to staff training, continuous improvement and lessons learnt.</p> <p>Octavia have a robust recruitment plan to ensure our stage 1 and stage 2 complaint teams are resourced to meet the expected level of demand, with room for resilience to meet demand from seasonal peaks and troughs in complaints.</p>	<p>Further training has been developed by our Learning & Development Team training relevant for new and existing staff. The phased roll out of the training programme commenced in July 2024.</p> <p>This is now mandatory training for all relevant colleagues and will form part of our Learning & Development Essential Framework, which will have an annual recertification process.</p> <p>There is a dedicated Training Officer role within the Customer Experience team to support with consistent and effective onboarding of new colleagues.</p>
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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	Complaints Policy in place to confirm this.	

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 process has two stages only as confirmed in Complaints Policy and Procedure.	Octavia has a clearly defined two-stage complaint process, which is confirmed within the Complaints Policy and Complaints Procedure.
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 process has two stages only as confirmed in Complaints Policy and 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	N/A	All complaints are handled within Octavia.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	N/A	All complaints are handled within Octavia.
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	Explained within Section 6 of the Complaints Policy under 'What to expect from the service'. Within the Complaints Procedure, section 5.28 & 7.7 it outlines how we will ensure we have clarified our understanding of the customer's complaint.	Our standard acknowledgement template letters contain relevant paragraphs to clarify our understanding of the complaint and the outcomes the resident is seeking. If any aspects are unclear, the Complaints Team will seek clarification from the

				resident/ (or representative - if applicable) to log the complaint accurately.
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	Outlined within Section 9 of the Complaints Policy and 5.31 of the Complaints Procedure.	Incorporated within the standard Stage 1 and Stage 2 acknowledgement template letters.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	This is detailed within Section 7.1 of the Complaints Policy and Section 3.8 of our Complaints Procedure.	
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	Section 9 of our Complaints Policy and 5.43 of our Complaints Procedure explains that we will do this.	
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	Yes	Outlined in section 13 of the Complaints Policy. We have a Translation, Interpretation & Reasonable Adjustment Policy.	

	disclosed. Any agreed reasonable adjustments must be kept under active review.			
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 4.1 of our Complaints Policy and 7.3 & 5.12 of our Complaints Procedure describes the reason we would not escalate a complaint. The decision to refuse to escalate a complaint is determined by the nominated complaint lead detailed in 7.4 of our Complaints Procedure.	
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	The steps for dealing with a complaint, including how we record information on CRM is detailed in sections 5.25 - 7.31 of the Complaints Procedure.	All correspondence with the customer and other parties is stored within our CRM and IT systems as described in the Complaints Procedure.
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	Octavia's Complaints Procedure confirms this and The Putting Things Right section from 7.21 to 7.31 supports this.	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords	Yes	Octavia has an Unacceptable Customer Actions Policy.	The Unacceptable Actions Policy is used to manage unacceptable behaviours when managing complaints.

	must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	This is set out in out in our Unacceptable Customer Actions Policy	

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	Explained within section 7, 8 & 9 of the Complaints Policy and detailed within the Complaints Procedure.	Cases will be triaged according to vulnerabilities and risk and prioritised accordingly. Relevant colleagues' role profile reflects the need to support vulnerable residents or residents at-risk.
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	Section 9 of the Complaints Policy and is also confirmed in the Complaints Procedure.	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Section 9 of the Complaints Policy and is also confirmed in the Complaints Procedure	SLA for Stage 1 complaints was achieved in May 2025 and is being maintained
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	Yes	Section 9 of the Complaints Policy and is also confirmed in the Complaints Procedure	

	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	Section 9 of the Complaints Policy and is also confirmed in the Complaints Procedure	
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	Section 9 of the Complaints Policy and is also confirmed in the Complaints Procedure at 5.40 of the Complaints Procedure.	Our policies and procedures recognise the importance of this and system changes have been enabled to support this that can evidence outstanding actions are tracked and actioned promptly. However, more work needed in tracking and completing remedial works and are working with the business leads to resolve and improve in this area
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	Section 9 of the Complaints Policy details how we will deal with complaints and Section 5.39 outlines how investigators must detail their investigation & 5.48 details how we must address all points, providing clear reasons.	In addition, our complaint standard outcome letters clearly require all complaint leads to address every point of the complaint in line with our relevant policies, the law and good practice.
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	Yes	Section 9 of the Complaints Policy and section 5.49 of the Complaints Procedure outlines this.	

	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.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Section 5.50 of the Complaints Procedure Confirms this.	This is part of the stage 1 response standard letter as detailed in the Complaints Procedure there is a guide for colleagues on how to complete this.

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 9 of the Complaints Policy outlines this and it is also confirmed in the Complaints Procedure.	
6.11	Requests for stage 2 must be acknowledged, defined and logged at	Yes	Section 9 of the Complaints Policy outlines this and it is also	

	stage 2 of the complaints procedure within five working days of the escalation request being received.		confirmed in the Complaints Procedure.	
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 9 of the Complaints Policy outlines this and it is also confirmed in the Complaints Procedure.	
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 9 of the Complaints Policy confirms this.	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Section 9 of the Complaints Policy outlines this and it is also confirmed in the Complaints Procedure.	SLA for Stage 2 complaints was achieved in July 2025 and is being maintained.
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	Section 9 of the Complaints Policy outlines this and it is also confirmed in the Complaints Procedure.	
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	Section 9 of the Complaints Policy outlines this and it is also confirmed in the Complaints Procedure.	

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	Section 9 of the Complaints Policy details how we will deal with complaints.	We recognise the importance of this and system changes have been enabled to support this and we can evidence outstanding actions are tracked and actioned promptly. However, more work needed in tracking and completing remedial works and are working with the business leads to resolve and improve in this area.
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 9 of the Complaints Policy and Section 7.17 of the Complaints Procedure confirms this.	In addition, our complaint template outcome letters clearly require all complaint leads to address every point of the complaint scope.
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	Section 7.18 of the Complaints Procedure confirms this.	This is part of the stage 2 response standard template letters

6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Section 9 of the Complaints Policy and Section 7.14 of the Complaints Procedure confirms all suitable staff members must be involved.	

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	Section 9 of the Complaints Policy confirms this, as does Section 7.21 to 7.31 of the Complaints Procedure - 'Putting Things Right'	<p>Within Stage 1 and 2 of our template letters, we state our approach to complaints as being that we:</p> <ul style="list-style-type: none"> • Listen and understand. • Say sorry when we have got it wrong. • Put things right. • Learn and improve. <p>Our complaint handlers have the authority to put actions in place to put things right. The complaint closure letters clearly require the complaint handler to confirm the actions taken to put things right and any outstanding actions that are required. The team have agreed processes they follow including compensation guidance.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Compensation Guidance provided to colleagues to ensure remedies are fair and consistent, taking relevant impact into account.	

			<p>Section 7.21 to 7.31 of the Complaints Procedure - 'Putting Things Right' outlines our approach to complaint remedies.</p> <p>Section 7.31 of the procedure also provides a link to the Housing Ombudsman's guidance on remedies.</p>	
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	<p>Section 9 of the Complaints Policy confirms <i>we will track promptly any actions that are outstanding after we issue our response, and keep you informed. We will ensure we follow the solution offered through to completion.</i></p> <p>Section 5.50 and 7.26 of the Complaints Procedure also confirms this responsibility to ensure follow up actions are carried out and remedies are following through to completion.</p>	Complaint handling template response letters ensures remedy offers and remedial actions are clearly set out.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Section 7.31 of the Complaints Procedure provides a link to the Housing Ombudsman's guidance on this.	

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; 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>Section 11.1 of our Complaints Policy states that we will produce the annual complaints performance service improvement report and the responsibilities of the MRC.</p> <p>Annual Complaints Performance & Service Improvement Report published on website</p> <p>We complete an annual self-assessment against the Housing Ombudsman's complaint code and publish a copy of this on our website.</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 section of its website relating to complaints. The governing body's	Yes	<p>Section 11.1 of our Complaints Policy states that we will produce the annual complaints performance service improvement report and the responsibilities of the MRC and Governing Body.</p>	

	response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	This is reflected in Section 11.1 of the Complaints Policy.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	This is reflected in Section 11.1 of the Complaints Policy.	
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	Business Continuity Plan includes a communication plan for stakeholders.	

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 11 of the Complaints Policy outlines our approach to Continuous Improvement & Lessons Learnt & Section 12 of the Complaints Procedure.	Customer Voice utilised to inform recovery plan and service improvements aligned to these workstreams, Insights report are used for contract management purposes and improving customer experience through colleague coaching.
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	Section 11 of the Complaints Policy outlines our approach to Continuous Improvement & Lessons Learnt & Section 12 of the Complaints Procedure.	As above
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	Section 11.2 of the Complaints Policy confirms this. Sections 12.5, 12.6, 12.7 & 12.8 of the complaints procedure outlines the approach to complaints reporting to committees and colleague training.	We produce regular performance reports to the governing body, relevant committees, Resident Panel and colleagues. We now have an agreed standard organisational complaint objective for colleagues which will support the embedding of a customer centric focus.

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	We have appointed our Assistant Director of Customer Experience, Insights and Partnerships who is accountable for this.	
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 11.1 of the Complaints Policy confirms this. Executive Director for Operations is Abri's Member Responsible for Complaints.	
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	Section 11.1 of the Complaints Policy confirms this. Executive Director for Operations is Abri's Member Responsible for Complaints.	This is an agenda item on regular Board meetings.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and	Yes	Section 11.1 of the Complaints Policy confirms this.	

	<p>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> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body. 	Yes	<p>Section 12.5 of the Complaints Procedure confirms this and 12.6 confirms the training that is regularly provided to colleagues.</p>	