

## 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	Complaints policy and procedure. Section - <b>Definition</b> <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	We have adopted this definition of a complaint within our policy which is available on our website, displayed within our homes on notice boards and shared with the staff teams
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	Complaints policy. Section - <b>Definition</b> & point 5 <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	We have used this term within our policy and explained the use of 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 complaints, but must	Yes	Complaints Policy. Section – <b>Definition</b> <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	The complaints policy is regularly reviewed with residents during meetings and given to new residents on entry to service. Monitoring document to log complaints & service

	be recorded, monitored and reviewed regularly.			requests was rolled out in Jan 25
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	We do not hold evidence to support this please see commentary	This year has not seen any formal complaints therefore documentary evidence is not available. Residents are given the opportunity to raise a complaint if they so wish and this is detailed in the procedure which is displayed on the resident notice board within our houses
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	Tenant Feedback Surveys	When a concern is raised within a survey our management team will speak to the resident (if identity is known) to discuss the issue and offer the opportunity 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	Complaints Policy Section (4) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	The policy sets out when we may not accept a complaint
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <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	Complaints policy Section (4) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	The policy sets out clearly when we may not accept a complaint

	<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 Policy Section (4) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	We would always use discretion as to accepting complaints outside of the timeframe based on the nature of the complaint.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Complaints policy Section (4) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Detailed in the complaints policy is information on when we would not accept a complaint. Also detailed within the policy is contact details for the Housing Ombudsman should a resident wish to take the matter to them for review
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy Section (4) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Each complaint would be handled as an individual case and the detail of which looked into fully to avoid blanket approach to complaint reviews

### 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	Notice boards in house Complaints procedure displayed within service and on website (insert we address)	As a small charity our management team have close links to the residents and any concerns or complaints would usually be discussed with them. We also display the complaints procedure on the notice boards within our houses.  The complaints procedure is displayed within the service in large print, easy read format to aid our residents
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	Induction packs for staff teams Complaints policy & procedure	Complaints are covered during staff induction training and form part of the induction paperwork for new employees. Complaints procedure is reviewed during staff meetings throughout the year
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	Staff/resident relationship	This year has again seen no formal complaints. This

	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			is not seen as a negative situation. All our residents are in close contact with House Managers and the senior management team as they are onsite daily. Our residents are able to bring their requests to the team either verbally, by email or writing to be dealt with. Requests for maintenance issues are then passed to the handy man who would generally fix the issue same day or the next and thus not escalating the service request to a complaint stage.
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	Complaints policy <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	The full complaints policy is available within our homes. We also display a large font, easy read complaints procedure on our notice boards within our homes. The complaints process is also shared with new residents at entry to the service
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	Complaints policy <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Full complaints policy available via our website, in paper format within the

				homes and within our new resident welcome pack
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 - <i>Section Goals / Section - (5)</i> <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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 policy <i>Section – Goals/Section (3)</i> <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	



## 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	Complaints Policy Section – (1a) (2) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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	Complaints Policy Section – (1a) (2) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Complaints officers are part of the senior management team and have access to staff team at all levels within the Charity
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	No evidence available see commentary	This year has seen no complaints received. All service requests are dealt with promptly which minimises the risk of complaints. If complaints are raised they would be reviewed by the complaints

				handling team during regular meetings to ensure we are complying and meeting with the standards expected
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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 (link to website) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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 policy (link to website) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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 policy (link to website) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator)	Yes	Complaints policy (link to website) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a>	

	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.		About Us - Complaints	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints policy (link to website) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Complaints are not handled by third parties
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	No evidence available – see commentary	This year has seen no complaints. If a complaint was received the procedure we would follow would be to ensure that the response letter acknowledging receipt of the complaint would outline our understanding of the issue and the resolution the resident was looking for. Clarification would be sought from the resident on any aspect that was unclear
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	No evidence available – see commentary	No complaints received in the last year however, if we did have, clarification would be sought from the resident on any aspect that was unclear and areas we were not responsible for would be

				identified within the letter of acknowledgement, clearly
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <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>	Yes	No evidence available	<p>We have not had any complaints in the last year however, we ensure our complaints handling team are trained to understand how to deal with the complaints process and ensure fair processing of the complaint. We regularly review the policy and procedure with the team to ensure understanding</p>
5.9	<p>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.</p>	Yes	No evidence available – See commentary	<p>Verbal and written communication is given to the resident with regard to timescales to ensure they remain informed about the progress of any complaint. If we were unable to complete the process within the timeframes set the complaints handling team would advise the resident before the end of the timeframe set within the policy.</p>
5.10	<p>Landlords must make reasonable adjustments for residents where appropriate under the Equality Act</p>	Yes	No evidence available – See commentary	<p>Examples of reasonable adjustments that may be made are, alternative</p>

	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.			language text, large font text, discussing the complaint with a third party. This information would be kept with the investigation notes
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 Policy Section (3) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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	No evidence available	We have had no complaints to refer to however, we can advise that any complaint and information and evidence regarding the complaint would be held on the G Drive within our secure server at Head Office with access given to only relevant parties involved with the complaint handling process
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	Yes	Complaints policy <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	

	at any stage of the complaints process without the need for escalation.			
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	Resident Behaviour Policy available within our services displayed on notice board	Policy developed to reflect behaviour expected by residents within our services. Completed Dec 24
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	Resident Behaviour Policy available within our services displayed on notice board	Policy developed to reflect behaviour expected by residents within our services. Completed Dec 24

## 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	No evidence available – see commentary	Whilst we have had no complaints in the last year , should we receive a complaint they would be responded to promptly and in line with the Complaints policy. When a resident is vulnerable we would ensure safeguards are put in place whilst the investigation is carried out. This may mean a temporary move to one of our other services which the charity would facilitate
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 policy Section – (1b) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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 policy Section (1c) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	

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.			
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 Policy Section (Goals) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Contact details of the ombudsman are detailed within the policy
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	No evidence available – See commentary	Whilst we have not had any complaints this year a response to the resident would be provided within the timeframes set in the complaints policy. Outstanding actions would be notified to the resident in writing with timeframes attached for completion.
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	No evidence see commentary	As no complaints have been received this year documentary evidence is unavailable however, this will be explained to the complaints handling team through training on the process



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	No evidence – see summary	As no complaints have been received this year documentary evidence is unavailable however, this is explained to the complaints handling team through training on the 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>	No	No evidence	Template letters will be created to give guidance on how to write and respond to complaints to ensure the detail required is included with all letters. Completion date: Jan 26

## 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 policy section – (1d) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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 Policy Section – (2b) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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	No evidence – see commentary	We do not have a complaint or response to use as evidence however, following review of the file of documents from receipt of complaint the Stage 2 handler should be able to understand the reasons why the resident remains unhappy. Residents will not be expected to explain the reasons.
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 Policy Section (2a) (2d) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	

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.			
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	Complaints policy section (2d) <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
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	Complaints Policy <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Contact details for the Ombudsman are detailed within the complaints policy and would form part of the response letter provided to the resident
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	No evidence available see commentary	Whilst we have not had any complaints a response to the resident would be provided within the timeframes set in the complaints policy. Outstanding actions would be notified to the resident in writing with timeframes attached for completion.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant	Yes	No evidence available see commentary	As no complaints have been received documentary evidence is unavailable however, this will be

	policy, law and good practice where appropriate.			explained to the complaints handling team through training on the process
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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 the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	No	No evidence	<p>Template letters will be created to give guidance on how to write and respond to complaints to ensure the detail required is included with all letters.</p> <p>Completion date: Jan 26</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	No evidence available see commentary	<p>Stage 2 responses are dealt with by the CEO who has access to all staff members and documentation relating to the complaint to ensure a thorough response to stage 2 complaints</p>

## 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> <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>	No	No Evidence	<p>Template letters will be created to give guidance on how to write and respond to complaints to ensure the detail required is included with all letters.</p> <p>Completion date: Jan 26</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	No evidence available see commentary	<p>No evidence available due to not receiving any complaints. Letters regarding the remedy would document the affect on the resident and resolution agreed in light of the impact on the resident No evidence</p>

				available due to not receiving any
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	No evidence – see summary	No evidence available due to not receiving any complaints. Letter detailing remedy would hold set timescales for remedy and who is responsible for carrying out the remedy
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	No evidence – see summary	Guidance given by the Ombudsman would be used as reference when deciding on appropriate remedies to the issue

## Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <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>Despite having no complaints in the year we have developed our complaints performance and service improvement plan to ensure all points of the code not already covered are in place. All actions have a completion date of December 25</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	Governing body response available on website <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	No evidence – see summary	No significant changes have been made in the year however should there be we would complete the self assessment once more to ensure any changes still complied with the code
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	See summary	Should an investigation take place then a review would be undertaken to ensure we still complied with the code
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	See Summary	Should we be unable to comply with the code due to exceptional circumstances we would inform the ombudsman and publish this information on our website and share with the residents



## 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	See commentary	Service improvement and learning would be taken from all complaints received and changes made to practice as a result. This would be reviewed during and at the conclusion of the complaint so that any service improvement could be actioned without delay
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	See commentary	We remain of the belief that the lack of complaints made to the charity reflects the open and positive culture we have towards residents raising concerns and service requests and the speed at which they are actioned.
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	See commentary	Resident meetings are held quarterly and any learning from complaints raised would be shared at these meetings. Trustee meetings are held bi monthly and feedback would always be shared

				during these meetings should a complaint be raised
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	Complaints Policy <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	The CEO of the charity carries out the annual review of performance against the code and completes self assessment for review by Board of Trustees
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	Evidenced through the Governing Bodies Response <a href="http://www.avocetcaresupport.com">www.avocetcaresupport.com</a> About Us - Complaints	Chairman of the Board of Trustees has been appointed as the 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	Trustee Meeting minutes	Chairman of the Board has been appointed as MRC and has access to all levels of staff within the charity
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	Yes	Trustee Meeting Minutes	Complaints handling will be a regular agenda item at all Board Meetings

	<p>complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	No evidence see summary	<p>The complaints policy and procedure sets out how we will deal with complaints. We will always work with our residents, staff and other stakeholders to ensure complaints are dealt with fairly and professionally. We have an open and transparent culture within the charity which creates the ability for all levels of staff to be accessible to all and feel confident that when making a complaint they will be listened to and any complaint be taken seriously. We believe the lack of formal complaints reflects the collaborative</p>

				and open ways of working within the charity
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