

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 complaint's 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	Complaints Policy Page 1: "Complaint – A complaint is an expression of dissatisfaction about the standard of services, actions or lack of actions by CHADD or those acting on their behalf – affecting an individual or group of customers.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlord 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 and Procedure	The policy states page 1: The Customer (or the person complaining on their behalf) does not have to use the word complaint in order for it to be treated as such. The complaint does not have to be received in writing.
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	Yes	Complaints Policy and Procedure	Page 3 states: CHADD recognises a service request is when a customer is unhappy with a situation that they want to have resolved. CHADD works on the basis that wherever possible, complaints are best dealt with directly with the customer and those providing the service at a local level.

	recorded, monitored and reviewed regularly.			The complaints log includes recording what stage the complaint is. The procedure has been reviewed and a new log created – Policy updated. Owner of log identified.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Complaints Policy and Procedure	Page 3 states: However, at this stage a complaint should still be raised so that we can evidence continuous improvement and learning.
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 reports. Complaints logs.	When CHADD receives feedback from tenant satisfaction surveys and the transactional satisfaction surveys , they are dealt with as a service enquiry or request, rather than a complaint, where possible. However, where a matter cannot be resolved it will be treated as a complaint and referred to the complaints process.

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 and Procedure Complaints Service Standard	The policy states page 3: If a complaint is not accepted – we will provide a written response explaining in detail the reasons why complaint has not been accepted and include contact details for the Ombudsman, as customers have a right to question the decision. Service standard states - Deal with complaints impartially, objectively and Professionally.
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. 	Yes	Complaints Policy and Procedure	<p>The Policy states page 2: Complaints are not covered by this process where:</p> <ul style="list-style-type: none"> • The issue occurred over twelve months ago, unless there are exceptional circumstances (Safeguarding or H&S as an example). If it is a recurring issue, we will consider any older reports as part of the background to the complaint if this will help to resolve the issue • There are legal proceedings already in place • The issue is already being dealt with through another process (i.e. appeals or Anti-Social Behaviour)

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			– there will be an exception if we fail to resolve through the alternative process
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 and Procedure	Page 1 of policy (How we manage complaints) states: We will accept complaints about issues that occurred within the last 12 months
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 and Procedure Complaints Service Standard	The policy states page 3: If a complaint is not accepted – we will provide a written response explaining in detail the reasons why complaint has not been accepted and include contact details for the Ombudsman, as customers have a right to question the decision. Service Standard - Refer you to independent bodies if CHADD is unable to satisfactorily resolve your complaint
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy and Procedure	Page 2 under how we manage complaints states: Consider complaints on an individual case by case basis. Page 3 states: we do not apply blanket reasons to exclude any complaints. If on assessment we do not accept a

				complaint we will provide a written response.
--	--	--	--	---

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	Survey feedback Complaints Policy and Procedure Complaints Service Standard Website	Survey identified 92% of respondents knew how to make a complaint. The policy page 2 states: Accept complaints in any way the customer prefers. This can be by telephone, via email, by meeting with a worker in writing or via social media. We also accept complaints from a representative on behalf of customer. It is also in the Tenants Handbook and on the Chadd website. Service Standard - If you would like this information in large print, audio, braille or a different language, please ask a member of the team or contact admin@chadd.org.uk Page 1 of policy states: CHADD complies with the Equality Act 2010 and understands some customers may have difficulty communicating their complaint to us or participating in the complaints process. In such circumstances we will always make reasonable adjustments to enable and empower the customer.

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>Survey feedback. Complaints Policy and Procedure Complaints Service Standard Website Training records Team Meetings (minutes) Managers audits Training Matrix</p>	<p>From feedback 92% of respondents knew how to make a complaint. The policy page 2 states: Accept complaints in any way the customer prefers. Heads of services as part of quarterly audit ask if teams know how to support and deal with a complaint. Service Standard: We want you to feel it is simple and easy to contact us to More information make a complaint or give us feedback, it doesn't have to be in writing and you don't need to request a form. You can simply communicate with us how you prefer: Speak to a member of your support team on site Email or phone our central team Write us a letter Via our social media channels The policy is available to all centrally September is complaints month. It's not just Heads of Service who deal with complaints. Staff need training at frontline level if we aim to resolve quickly. Training for frontline staff was rolled out in 2023. Update on training will take place in September 2024. Leaders Forum has been launched where CHADD policies are an ongoing feature on the agenda.</p>
-----	---	-----	---	---

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	Policy Complaints Service Standard	<p>Policy Statement page 1: CHADD welcomes complaints and look upon them as an opportunity to learn, adapt, improve and provide better services. Complaints help us to know if our services are getting something wrong and we can put it right, learn from mistakes and ensure it does not happen again.</p> <p>Service standard highlights that we want to listen so that we can learn and improve our services.</p> <p>All our services have some level of on-site staff presence which allows them to develop a rapport with customers.</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	Policies Procedures Website Service Standard	<p>Easy read complaints Policy in place. Complaints Service Standard on website Policy and Procedure on website. These documents include the stages and what to expect at each stage. Highlight that information can be requested in other formats and languages.</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	Policies Procedures Website Complaints Service Standard	<p>Our policies reference the Ombudsman and that the policy is on the website (page 6). This self-assessment is available on website - https://www.chadd.org.uk/compliments-complaints/ alongside the service standard.</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 accompanied at any meeting with the landlord.	Yes	Policy	<p>Policy refers to the customer or their representative. Page 2 states we: Accept complaints from a third party acting on behalf of the customer, we will need to ensure we follow data protection guidelines in these circumstances. As a supported housing provider, we work with representatives and Next of Kin in all areas including complaints where required. Page 6 states: If a meeting is arranged the complainant is advised that they may, if they wish, bring a friend, relative, representative, power of attorney, advocate – someone they trust who can support them or help to communicate if needed. Where a customer doesn't have capacity, we will meet with their representative</p>
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	Policy Website Complaints Service Standard	<p>Page 3 of policy and procedure states that at service request stage: Even at this early stage, regardless of whether the complaint escalates provide the service user with information on the Housing Ombudsman Service, as they have a right to access the service for any information or advice at any time, not just if they're not happy with the outcome. Housing Ombudsman contact details are in the policy, on the website and the service standard.</p>

--	--	--	--	--

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	Website Complaints Service Standard Trustee complaint role profile Complaints reports to Board	Complaints are directed to the Head of Service who report to CEO, and board. This is the Head of Supported Housing. If the complaint is about that person, another Head of Service will lead. A Complaint Lead from the CHADD Board was recruited in November 22 with a role profile in place.
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	Policy and Procedure Website Complaints Service Standard Job description (to be created)	The Head of Service has a central and senior role and will refer a complaint to another member of staff or CEO where appropriate. Details of the complaints lead is in policy, on website and on the service standard.
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	Yes	Policy and Procedure Website Complaints Service Standard	The Policy, procedure and service standard all highlight that CHADD encourages and welcomes complaints so that we can learn and improve.

	important that complaints are seen as a core service and must be resourced to handle complaints effectively		Complaints log Board reports which includes service improvements made from the complaints Monitoring returns Training Matrix	Complaints are discussed from service level to Board level with transparency. Commissioners and funders are notified of complaints as part of monitoring, recording, compliance or when requested.
--	---	--	---	--

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 and Procedure Guidance on writing and approving policies and procedures Website	Single Policy in place available to all centrally, there is guidance in place that states: only approved central policies are to be accessed. Document leads are in place who write policies and procedures, these should not be written locally. The policy on the website is the same policy available to staff as to customers.
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	Policy and Procedure Complaints Log Complaints Reports	There is no pre-complaint process however, services are encouraged to resolve issues informally at service request stage before they become escalated complaints wherever possible. Our internal procedures and require us to acknowledge a complaint within five working days, but it is usually acknowledged within two working days.

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	Policy and Procedure	Stages in procedure after local resolution: <ul style="list-style-type: none"> • Stage one to Heads – if no local resolution • Stage two Head of Office to CEO – if no resolution at stage one
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	Policy and Procedure	Section 7 – working with third parties
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Procurement Contracts Service Level Agreements Partnership Agreements Copies of their Complaints Process	Alliance partnership agreement Service level agreements with chaplaincy service as examples Need to ensure contractors supplier agreements wording is included
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,	Yes	Appendix 1 of Complaints Procedure	Complaints record/diary form (Appendix 1 of Complaints Process) asks for a log of: <ul style="list-style-type: none"> • Description and understanding of complaint. • Outcome required by complainant.

	the resident must be asked for clarification.			
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Procedure	<p>Procedures states that when acknowledging a complaint at stage one or two:</p> <ul style="list-style-type: none"> • Identify areas CHADD is responsible for • Identify any areas that CHADD are not responsible for and why, explain how these areas will be addressed (i.e. sent on to the relevant company, person etc)
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> deal with complaints on their merits, act independently, and have an open mind; give the resident a fair chance to set out their position; take measures to address any actual or perceived conflict of interest; and consider all relevant information and evidence carefully. 	Yes	Procedure Complaints Service Standard	<p>Page 2 states:</p> <ul style="list-style-type: none"> • Complaints are dealt with promptly, fairly and sensitively with due regard to the upset and worry that they can cause to those involved • Complaints should be investigated impartially, that might mean a colleague from a different service managing the complaint so that they can be more independent, open minded and able to recognise any conflict of interest • All evidence will be thoroughly explored and considered • We will not promise anything that cannot be delivered or would cause unfairness to others

				<p>Service Standard states:</p> <ul style="list-style-type: none"> • We will listen • Deal with complaints impartially, objectively and professionally
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	Procedure Complaints Service Standard	<p>Page 3 states: We should always keep the complainant informed with regular updates and next steps, it is best practice at each contact to agree actions and timescales for communicating. Communicate any missed timescales, reasons and next steps. Service standard states: We will keep you informed throughout process</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	Policy	<p>Page 1 states: CHADD complies with the Equality Act 2010 and understands some customers may have difficulty communicating their complaint to us or participating in the complaints process. In such circumstances we will always make reasonable adjustments to enable and empower the customer.</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	Procedure	<p>Page 3, how we manage complaints section -The complainant has the right at any stage to request that their complaint is escalated, CHADD will not unreasonably deny this request.</p>

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	Procedure	<p>Appendix 1 of the policy is a diary/recording form for complaints and includes information on:</p> <ul style="list-style-type: none"> • Description and understanding of complaint • Outcome required by the complainant • Signed for accuracy by complainant <p>Appendix 1 – complaints record; a separate form that colleagues can use to log the complaint, investigation and outcomes in one place, this tool also supports us to record a true reflection of the complaint and desired outcome, which is then signed in agreement by the complainant.</p> <p>We also have a specific log form to use to log complaints which is appendix 2 to the complaint's procedure.</p> <p>Retention process in place for archiving old logs.</p>
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	Policy	<p>Page 1 states: This process intends to ensure that complaints are dealt with thoroughly, solutions are put in place efficiently and issues resolved quickly before given timescales or escalation.</p>

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	Not a separate procedure part of Complaints Procedure Complaints Service Standard	Page 6 states: If we experience any behaviour that is deemed unacceptable or unreasonable we will refer to relevant policies to manage this. In the first instance it is best practice to arrange to meet with those involved face to face, we believe this is the most constructive way to have meaningful communication and reach a conclusion that suits all. This is also stated in the tenancy agreement under the section: Unacceptable Behaviour. We have processes in place to manage ASB and breaches of tenancy to include service notice and enforcement action. Service Standard states: We will be clear if the desired outcome is unrealistic and why, we will explore whether an alternative compromise to suit all is an option.
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	Procedure	Page 6 states: If any restrictions are to be put in place (re frequency of contact or who they can and not contact), we will assess and take into consideration equality and diversity, individual needs and circumstances before applying restrictions

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	Policy and Procedure Appendix 1 of procedure	Service Request stage Complaints record/diary form (Appendix 1 of Complaints Process) asks if there any safeguarding concerns or vulnerabilities
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	Procedure Complaints log	Page 4 states: The Head of service will: acknowledge their complaint within 5 working days.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Procedure Complaints log	Page 4 states: Head of service will when be responding with the outcome within 10 days: <ul style="list-style-type: none"> respond to all points in the complaint and give comprehensive reasons for any decisions made, referencing the relevant policy, law and good practice where relevant
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	Yes	Procedure	Stage 1 page 4 states: An aim to respond in 10 working days, if this is not possible, an explanation and a date by when the stage one response

	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.			should be received. This should not exceed a further 10 days without good reason – total 20 days. The complainant must be informed and an explanation provided.
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	Procedure	The list of details that need to be provided includes Housing Ombudsman contact details. Full details are available for staff in the policy and 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	Procedure	The list of details that need to be provided includes: <ul style="list-style-type: none"> • details of what has been offered to put things right • any outstanding actions and by who It does not refer to only completed actions but any ongoing ones.
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	Procedure	The list of details that need to be provided in response includes: the decision and the reasons for each individual point raised in complaint
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	Yes	Procedure	Page 5 states: Further complaints received during investigation: Where further complaints are raised during the investigation, the HoS will include these into the first stage outcome if an outcome and final decision hasn't

	unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			been given and if the new complaints are relevant. If the stage one outcome has already been delivered or investigating the new reports will unreasonably delay the process, then the new issues should be treated and logged as a new complaint case.
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	Procedure	The list of details that need to be provided includes: <ul style="list-style-type: none"> • the complaint stage • summary of complaint • the decision and the reasons for each individual point raised in complaint • details of what has been offered to put things right • any outstanding actions and by who • information on how to escalate the matter to stage two if complainant dissatisfied • Housing Ombudsman details

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	Yes	Procedure Complaints Service Statement	There is a stage 2 in the procedure that states: If the customer is not satisfied with the response received in Stage 1, or feels the matter cannot be raised with the

	2 of the landlord's procedure. Stage 2 is the landlord's final response.			relevant Head of, a stage 2 complaint should be raised with the Chief Executive of the Association. Service Statement states Acknowledge your stage two formal complaint if you are still not happy with the outcome, which will be acknowledged by the CEO within 5 days and to be resolved within 20 working days.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.	Yes	Procedure	Procedure for stage 2 states: The Chief Executive will: <ul style="list-style-type: none"> • Acknowledge receipt of complaint within 5 working days
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	Procedure	Procedure for stage 2 states: If the customer is not satisfied with the response received in Stage 1, or feels the matter cannot be raised with the relevant Head of, they do not need to provide an explanation or reasons as to why they are not satisfied. They can raise a stage 2 complaint with the Chief Executive of the Association.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Procedure	Stage 2 goes to Heads of Stage 3 goes to CEO
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Procedure	Stage 2 states: Will respond within 20 working days from acknowledgement – if this is not possible an explanation and a date when the stage two response will be received and

				this will not exceed a further 10 working days without good reason and agreed by both parties.
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	Procedure	Stage 2 states: Will respond within 20 working days from acknowledgement – if this is not possible an explanation and a date when the stage two response will be received and this will not exceed a further 10 working days without good reason and agreed by both parties.
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	Procedure	The list of details that need to be provided includes Housing Ombudsman contact details. Full details are available for staff in the policy and 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	Procedure	The list of details that need to be provided includes: <ul style="list-style-type: none"> • details of what has been offered to put things right • any outstanding actions and by who It does not refer to only completed actions but any ongoing ones.
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	Procedure	The list of details that need to be provided in response includes: the decision and the reasons for each individual point raised in complaint

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		The list of details that need to be provided includes: <ul style="list-style-type: none"> the complaint stage the decision and the reasons for each individual point raised in complaint details of what has been offered to put things right any outstanding actions and by who information on how to escalate the matter to stage two if complainant dissatisfied Housing Ombudsman details
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Procedure	Stage 2 is the final stage of CHADD's complaints process. The next stage is referral to independent bodies, as well as Housing Ombudsman, commissioners or regulator details are provided i.e. CQC or Local Authority.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: <ul style="list-style-type: none"> Apologising; 	Yes	Response Letters Review of Policies and Procedures Complaints Log Feedback and surveys	Policy and procedure reviewed May 2024 'Be Kind' workshops at Sheltered schemes as part of a roving roadshow to target issues where complaints were more prevalent. Features in newsletters.

	<ul style="list-style-type: none"> • 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. 		Annual complaints report to Board	New leaflets for residents at the beginning of 2023. Pest control reviewed by the Asset Manager and Head of Service and an agreement that for any future cases, weekly reviews and an enhanced service would take place with the contractor.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Survey feedback	92% of respondents knew how to make a complaint and 58% were satisfied or very satisfied with how their complaint was handled. 79% said they were satisfied with the reasons given for the outcome of their complaint, and 90% stated they would complain if they were unhappy.
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	Procedure Appendix 1	Appendix 1 is a document to be completed with the customer/complainant, they sign it to agree the discussion and actions agreed. It includes a review to actively seek feedback from the customer/complainant on their experience and on any improvements to be made.
7.4	Landlords must take account of the guidance issued by the Ombudsman	Yes	Self-Assessment tool	Self-Assessment completed annually.

	when deciding on appropriate remedies.		Self-Governance Board Governance	Working with an external audit and compliance agency to ensure we are meeting Ombudsman regulations. Board reports and minutes.
--	--	--	-------------------------------------	--

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; 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	Yes	Completed Self-assessment Annual Complaints report	<ul style="list-style-type: none"> a) A self-Assessment has been completed in 2002, 2023 and 2024. b) Annual Complaints report for 2023-24 submitted to Board June 2024 meeting c) No non-compliance identified in assessment d) Service improvements documented in annual complaints report e) CHADD welcome and are open to Ombudsman feedback, there is a Head of Business role in place whose role includes compliance across CHADD f) CHADD would publish any Ombudsman reports in their annual reports to the Board

	f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.			
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	Annual Complaints Report	An annual complaints report for 2022, 2023-24 has been compiled and on the Board agenda for June 2024 meeting.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	NA		Agree to complete on these situations occurring.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	NA		Agree to complete if requested.
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.	NA		Agree to complete on these situations occurring.

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	Annual Complaints Report	The annual complaints report includes information on Service Improvements, Activity and Recommendations
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	Annual Complaints Report	The annual report includes number of complaints, stages and service improvements put in place. Complaints feedback is sought through surveys as well as part of the complaint handling.
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	Board reports Residents Committee plan	As part of the Board the focus for 2024-25 is to launch a Resident's Committee which will include a focus on complaints and improvements.
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	Procedure Website	The complaints lead is in a Head of Service role and reports directly to the CEO, their details are available on the website and in the complaints policy and procedure.

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	Board structure	Complaint Lead from the CHADD Board was recruited in November 22 with a role profile in place.
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	Board structure Role profile (Board complaints lead)	The Board complaints lead (MRC) is provided with the complaints annual report in advance of it being distributed to the wider Board. They are invited to support in investigating serious complaints to provide expertise and an impartial view. There is a role profile in place signed off by the Board.
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 progress made in complying with orders related to severe maladministration findings; and	Yes	Board minutes Reports	<ul style="list-style-type: none"> a) This is done through quarterly and annual reports to the Board (MRC has these in advance of other Board members) b) As above c) Would be included in the quarterly and annual reports d) This is in place and 2023-24 annual report compiled for June Board meeting

	d. annual complaints performance and service improvement report.			
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	Policy and Procedure Complaints logs	<p>a) all complaint investigations are logged and can demonstrate the relevant teams and individuals involved in the process</p> <p>b) any recommendations and actions are allocated to individuals dependent on their role and responsibility</p> <p>c) our procedure states: All contact with the complainant will be polite, courteous and empathetic, we will not adopt a defensive attitude. We will remain calm, respectful and accept when we have got things wrong.</p>