# Appendix A: Self-assessment form

 **Look Ahead Care and Support – Annual Self-Assessment – 2023/24**

 **Approved by Look Ahead’s Board**

# Section 1: Definition of a complaint

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 1.2 | A complaint must be defined as:*‘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.’*  | Yes | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Look Ahead has adopted the Housing Ombudsman definition of a complaint |
| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | It is clear in the complaint policy that we will accept complaints from customers, advocates, neighbours, MP’s etc and we do not require the use of the word complaint to be treated as such |
| 1.4 | Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly. | Yes | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This is stated in our Complaints policy and defined accordingly. |
| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This is stated in our Complaints policy and defined accordingly. |
| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We provide leaflets and posters which provide explain the process available for survey feedback. Dissatisfaction identified in surveys is followed up through our complaint’s procedure. |

# Section 2: Exclusions

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| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| 2.1 | Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits | Yes | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Exceptions as provided under our Complaint policy.We ensure that all customers have clear, simple and accessible process and if matter is not suitable for the complaint process an alternative offer will be provided. As a last resort details regarding the Ombudsman details are provided in letter templates. |
| 2.2 | A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:* 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Exceptions as provided under our Complaint policy.  |
| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Exceptions as provided under our Complaint policy.Where there is a pattern of concern, a potential breach of the Equalities Act or the complaint is linked to a regulated care activity (Social Care activity) outside the time limit will be considered |
| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We ensure that all customers have clear, simple and accessible process and if matter is not suitable for the complaint process an alternative offer will be provided. As a last resort details regarding the Ombudsman details are provided in letter templates. |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes  | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We do not unreasonably reject complaints and our policy sets out the event we would decline. We would always take into account individual circumstances. |

# Section 3: Accessibility and Awareness

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| 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 | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We accept complaints via various platforms including emails, post, online web form and telephone call. This information is provided in our complaint policy and complaint and feedback leaflet. Easy read leaflet also available. Look Ahead has a Reasonable Adjustment policy and adapts policies and processes. |
| 3.2 | Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord. | Yes | This is available in our policy on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We ensure that all customers have clear, simple and accessible process and if matter is not suitable for the complaint process an alternative offer will be provided.All staff have a clear understanding of our policy by undertaking eLearning courses on Managing and investigating complaint and Managing Complaints and Feedback. |
| 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 | This is available on our website where our Complaints standard are advertised on our website.[Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Our Complaint standards welcome and encourage complaints and are dealt with in an open, accountable and respectful way. |
| 3.4 | Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord’s website. | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We provide leaflets and posters which provide and explain the process available for customers |
| 3.5 | The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code. | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Information about the policy, the Ombudsman and code is provided with contact details in letters, website, leaflets and tenant handbook.  |
| 3.6 | Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.  | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | In line with data protection and the complainant’s permission a representative can deal with a complaint on their behalf. |
| 3.7 | Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint. | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | The HO scheme is publicised in our letters, our website, leaflets, tenant handbooks and correspondence. |

**Section 4: Complaint Handling Staff**

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| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Complaints are managed by our Customer Services Manager – and they are Look Ahead’s appointed complaints Officer. They report to the Head of Customer Services.Complaints come under the Customer Experience & Quality Executive Directorate. |
| 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 available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | The complaints officer - [Customer Service Manager] has the right skills and knowledge to have corporate oversight of all complaints. They work with services and heads of departments to ensure there is no conflict of interest and complaints are assigned and managed with impartiality. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Yes, as explained in the policy and with emphasis that all staff have a clear understanding of our policy by undertaking eLearning courses on Managing and investigating complaint and Managing Complaints and Feedback. |

# Section 5: The Complaint Handling Process

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| --- | --- | --- | --- | --- |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We have a single policy for complaints and advertised in our policy, website and leaflets |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This is highlighted in our Policy and Customer Standards.Only 2 stages are applicable in our policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Only 2 stages are applicable in our policy |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We do not encourage 2 separate policies. Our 2-stage policy applies in any complaint received. |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.   | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Our Complaint policy with code timelines and protocol are applicable to third party involvement. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This will be set out in our template acknowledgment letter at stage 1 or stage 2 respectively.Otherwise, contact is made to seek any clarification before assignment of the complaint. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This will be set out in our template acknowledgment letter. |
| 5.8 | At each stage of the complaints process, complaint handlers must:  1. deal with complaints on their merits, act independently, and have an open mind;
2. give the resident a fair chance to set out their position;
3. take measures to address any actual or perceived conflict of interest; and
4. consider all relevant information and evidence carefully.
 | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This is standard practice within our policy, highlighted in our eLearning courses and spot checks are undertaken before any final responses are sent. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Our policy requires an extension to be agreed between involvement/notification of the customer and Customer Service Manager who will monitor the progress of the investigation to ensure timescales are met |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Look Ahead has a Reasonable Adjustment policy and adapts policies and processes such as this.  |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | RIVO case management system. | All complaints are kept on RIVO case management system and supporting documents are uploaded. |
| 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  | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This Is part of our complaints process, Complaints Standards and Compensation Policy and procedure. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | In our Policy especially pertaining to unreasonable, persistent, and vexatious behaviour. |
| 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 available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Look Ahead has a Reasonable Adjustment policy and adapts policies and processes accordingly. |

# 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  | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.2 | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure **within five working days of the complaint being received**.  | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.3 | Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged.   | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.4 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.   | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy.The outcome is sent within the procedural timeframe. Actions are tracked and followed up. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy and quality framework. We undertake quality checks. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | We would extend the scope of the complaint if matters were raised during the complaint handling.Where new matters are raised after the complaint has been addressed a new complaint will be raised. |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:  1. the complaint stage;
2. the complaint definition;
3. the decision on the complaint;
4. the reasons for any decisions made;
5. the details of any remedy offered to put things right;
6. details of any outstanding actions; and
7. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.
 | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy and quality framework. We undertake quality checks before any final responses are sent. |

Stage 2

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| --- | --- | --- | --- | --- |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Further to the new complaints code published in February 2024 Look Ahead’s Board approved a new 2 stage complaints policy. This was effective as of the 1st of April 2024. |
| 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  | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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  | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.  | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.14 | Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.   | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:  1. the complaint stage;
2. the complaint definition;
3. the decision on the complaint;
4. the reasons for any decisions made;
5. the details of any remedy offered to put things right;
6. details of any outstanding actions; and
7. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.
 | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |
| 6.20 | Stage 2 is the landlord’s final response and must involve all suitable staff members needed to issue such a response. | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints policy. |

# Section 7: Putting things right

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| 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: * 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | Our complaints policy aims to put things right as quickly as possible and at the first point of contact.This requirement is set out in our complaints and feedback policy. |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified.  | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints and feedback policy and Compensation framework. |
| 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 | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints and feedback policy. |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.  | Yes | This is available in our policy and on our website. [Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | This requirement is set out in our complaints and feedback policy and is reliant on guidance by the Ombudsman. |

# Section 8: Putting things right

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| 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: 1. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.
2. 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;
3. any findings of non-compliance with this Code by the Ombudsman;
4. the service improvements made as a result of the learning from complaints;
5. any annual report about the landlord’s performance from the Ombudsman; and
6. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.
 | Yes  | Published on our website[Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | 2023/24 Report available |
| 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 | Published on our website[Complaints and feedback - Look Ahead](https://www.lookahead.org.uk/for-our-customers/tenant-handbook/complaints-and-feedback/) | 2023/24 Report available |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | Website page | N\A this year but would otherwise be reported on our Website via our Senior Leadership Team and Board to ensure compliance |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | Website Page | None reported in this reporting year but will be reported on the Complaint and Feedback Page and reported to Senior Leadership Team and Board and ensure compliance. |
| 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 | Website Page | N\A this reporting year but this would otherwise be reported on our Complaint and Feedback Page on our webpage, inform residents and the Ombudsman accordingly.. |

# Section 9: Scrutiny & oversight: continuous learning and improvement

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| 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 | Website Page | Our Service improvement Plan is included within our annual report and any service improvements in the interim will be published. |
| 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 | Website Page | Complaint reports are presented to our Executive and Board to make informed decisionsWe report on performance to customers at our Tenant & Landlord Panel, customer annual report and online performance page within our online tenant handbook.Our Audit and Risk Committee scrutinise complaints performance every quarter. |
| 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 | Complaint reports are presented to our Executive and Board | We report on performance to customers at our Tenant & Landlord Panel, customer annual report and our online performance page within our online tenant handbook. |
| 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 | Appointed Executive Lead Head of Customer Service in post responsible for daily oversight of Complaint handling management.  | The Executive Director of Customer Experience & Quality as Executive Lead is appointed by the Board and ensures the Board and management teams and customers receive regular information. Our Head of Customer Service retains accountability and ownership of the day to day Complaint handling management  |
| 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 | Appointed Executive Lead | The Executive Director of Customer Experience & Quality is appointed by the Board and ensures the Board and management teams and customers receive regular information. |
| 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 | Appointed Executive Lead | SMT, SLT, Board and Annual reportsThe Board are required to review and approve the annual self assessment/  |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: 1. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;
2. regular reviews of issues and trends arising from complaint handling;
3. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and
4. annual complaints performance and service improvement report.
 | Yes | Appointed Executive Lead | Monthly complaints performance meetings in place.Corporate monthly KPIs are in place.SMT, SLT, Board and Annual reports are produced.The Board are required to review and approve the self-assessment and Annual performance report/service improvement report. |
| 9.8 | Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: 1. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;
2. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and
3. act within the professional standards for engaging with complaints as set by any relevant professional body.
 | Yes | Complaint Standards | Our values in our Complaint standards document welcome and encourage complaints and are dealt with in an open, accountable and respectful way.Quality and continuous improvement underpins ourComplaint Standards.All staff have a clear understanding of our policy by undertaking eLearning courses on Managing and investigating complaint and Managing Complaints and Feedback. |