

Appendix A: Self-assessment form 2023-2024

Church Almshouses Charity Self-Assessment against the Housing Ombudsman Complaint Handling Code for the year 2023 – 2024

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>	Y	Complaints Policy section 1.3	
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.	Y	Complaints Policy section 1.4	
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.	Y	Complaints Policy sections 1.6 & 1.7	All service requests and how they have been dealt with by any of the trustees are recorded in writing and reported periodically to the board of trustees

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.	Y	Complaints Policy section 1.8	All complaints are recorded in writing by the complaints officer; and when the complaint is about a service request the service request and the complaint are addressed separately
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.	Y	Complaints Policy section 1.9	The Charity has not used surveys as having only 3 units with 3 residents there is regular individual face-to-face contact between the trustees and the residents which makes surveys unnecessary; any complaints by residents or feedback on services is picked up in this way and can then be recorded and acted upon.

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	Y	Complaints Policy section 2.1	
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Y	Complaints Policy section 2.2	

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.	Y	Complaints Policy section 2.3	
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.	Y	Complaints Policy section 2.4	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Y	Complaints Policy section 2.1	

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.	Y	Complaints Policy sections 1.5, 4.1 & 4.2	
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.	Y	Complaints Policy sections 1.5 & 5	The Charity has no staff and is entirely run and operated by 3 voluntary trustees, who work closely together and all of whom are fully aware of the complaints process: one trustee acts as the Complaints Officer, another is the Appeals Officer and the third is the Chairman.
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	Y	Complaints Policy section 4.3	

	that residents are unable to complain.			
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.	Y	Complaints Policy section 4.4	Electronic or paper copies (as appropriate) of the Complaints Policy have been provided to each resident and will be included in the Residents Handbook and published on the Charity's webpage on the St Laurence Appleton with Eaton website when this available
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	Complaints Policy section 4.4	as above
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.	Y	Complaints Policy section 4.5	
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.	Y	Complaints Policy sections 7.2, 8.5, 8.7 & 13	

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.	Y	Complaints Policy sections 5, 6 & 12	Section 12 of the Complaints Policy names and gives contact details of the Complaints Officer and Appeals Officer
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.	Y		The Complaints Officer is one of the 3 trustees and has been given authority by the Board of Trustees to act autonomously in resolving complaints and disputes; the Charity has no staff and everything is done by the trustees.
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	Y	Complaints Policy section 5.4	The Charity has no staff and is entirely run and operated by 3 voluntary trustees who know how to handle complaints; when any training needs are identified for existing or future trustees, or any other

				personnel involved, this will be addressed
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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.	Y	The Charity has a single Complaints Policy that covers all residents	
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.	Y	Complaints Policy sections 7 & 8	
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.	Y	Complaints Policy sections 7 & 8	There are only 2 stages in the Charity's complaints process
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	Y	Complaints Policy section 7.4	In the unlikely event that the Complaints Officer delegates the handling of a complaint to a third party, the individual involved would be a suitably qualified

	to go through two complaints processes.			person from outside the charity; and such handling of a complaint would still be stage 1 of the complaints process
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Y	Complaints Policy section 7.4	
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Y	Complaints Policy sections 7.1 & 8.3	
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.	Y	Complaints Policy sections 7.1 & 8.3	
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of 	Y	Complaints Policy section 6	

	interest; and d. consider all relevant information and evidence carefully.			
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.	Y	Complaints Policy sections 7.2 & 8.5	
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.	Y	Complaints Policy sections 4.1 & 4.2	No requests for adjustments have been received; any requests for adjustments will be reported to, considered by and a decision made by the Board of Trustees, which would be recorded in the minutes of the relevant Board meeting(s)
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.	Y	Complaints Policy section 2	
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	Y	Complaints Policy section 9	All information and correspondence relating to a complaint is recorded on an electronic complaints log and this and any related documentation is stored on a computer held by and only

	such as reports or surveys.			accessed by the Complaints Officer, who is one of the trustees; any paper documentation is stored in a filing cabinet held by the Complaints Officer
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.	Y	Complaints Policy section 9	Where a remedy is to be offered, this will be considered by the Board of Trustees on an individual basis; the Charity does not have a compensation policy; this approach reflects the very small size of the organisation, having only 3 units with 3 residents
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.	Y	Complaints Policy section 3	The Charity has an Anti-Social Behaviour Policy
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.	Y	Complaints Policy section 3	The Charity has an Equality and Diversity Policy

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Y		The Charity is very small, having only 3 units with 3 residents and so a complex process is not necessary; the Complaints Officer decides whether a complaint can be responded to straight away or whether further investigation is needed; the Complaints Officer is well aware of which residents are vulnerable or at risk and how this will affect the handling of complaints
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>	Y	Complaints Policy section 7.1	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	Complaints Policy section 7.2	

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.	Y	Complaints Policy section 7.2	
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.	Y	Complaints Policy section 7.2	
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.	Y	Complaints Policy section 7.3	
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.	Y	Complaints Policy section 7.8	
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and	Y	Complaints Policy section 7.7	

	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.			
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. 	Y	Complaints Policy section 7.8	

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	Y	Complaints Policy section 8.1	

	the landlord's final response.			
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.	Y	Complaints Policy section 8.3	
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.	Y	Complaints Policy section 8.2	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Y	Complaints Policy section 8.1	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Y	Complaints Policy section 8.4	
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.	Y	Complaints Policy section 8.5	
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.	Y	Complaints Policy section 8.5	

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.	Y	Complaints Policy section 8.6	
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.	Y	Complaints Policy section 8.7	
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.	Y	Complaints Policy section 8.7	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff	Y	Complaints Policy section 8.4	

	members needed to issue such a response.			
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Y	Complaints Policy section 9.1	<p>No complaints have been received, so the Charity has no previous experience of doing this; being a very small organisation, having only 3 units with 3 residents, a decision on action to be taken will normally be made by the Complaints Officer (who is one of the trustees), but where necessary (e.g. in the case of financial remedy) will be made by the Board of Trustees, on a case-by-case basis</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Y	Complaints Policy section 9.2	<p>Where a remedy is to be offered, what is appropriate will be decided by the Board of Trustees on an individual case-by-case basis; the</p>

				Charity does not have a compensation policy; this approach reflects the very small size of the organisation, having only 3 units with 3 residents
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.	Y	Complaints Policy section 9.3	The remedy offer – what will happen and by when – will be set out in writing to the resident and will be recorded in the complaints log
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	Complaints Policy section 9.4	The Charity does not have a compensation policy; the Complaints Officer and/or Board of Trustees will ensure that any remedy offered is in line with the Ombudsman's remedy guidance on a case-by-case basis

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Y	<p>An Annual Complaints Performance and Service Improvement Report for 2023-2024 has been prepared, providing the required information and including the Board of Trustees' Response to the Report</p>	<p>The Annual CP & SI Report will be submitted with this Self-Assessment</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.	Y	The Annual Complaints Performance and Service Improvement Report 2023-2024, including the Board of Trustees' Response to the Report, was reported to and approved by the Board of Trustees on 30 March 2025	The Annual CP & SI Report 2023-2024 will be published on the Charity's webpage on the St Laurence Appleton with Besselsleigh website when this is available an electronic or paper copies (as appropriate) will be provided to all residents
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N	Not Applicable, but the Charity understands the requirement of this provision	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N	Not Applicable, but the Charity understands the requirement of this provision	
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	N	Not Applicable, but the Charity understands the requirement of this provision	

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.	Y	Annual Complaints Performance and Service Improvement Report 2023-2024	Any complaints and how they are dealt with will be reported to and considered by the Board of Trustees to establish whether any service improvements are necessary or appropriate
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.	Y	Annual Complaints Performance and Service Improvement Report 2023-2024	Any complaints and how they are dealt with will be reported to and considered by the Board of Trustees to establish whether any service improvements or changes in service delivery are necessary or appropriate
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.	Y	Annual Complaints Performance and Service Improvement Report 2023-2024	No complaints have been received; the Charity seeks to learn from its residents in order to improve its services where appropriate or necessary through regular individual face-to-face contact between the trustees and the 3 residents
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must	Y	Complaints Policy section 10.1	The senior lead person is Peter Day, one of the 3 trustees of the Charity (who

	assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.			also acts as the Complaints Officer)
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').	Y	Complaints Policy section 10.2	The MRC is Peter Day, one of the 3 trustees of the Charity
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.	Y		The MRC also acts as the Complaints Officer and therefore has full knowledge of all complaints and being a member of the Board can report on these and on the Charity's complaint handling performance directly to the Board of Trustees
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	Y		The Charity will meet these requirements in a way that is proportionate to the very small size of the organisation, having only 3 units with 3 residents; the Board of Trustees meets annually and at other times as business requires; all complaints and any investigations will be

	<p>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>			<p>reported to the Board promptly; issues and trends arising from complaint handling will be considered by the Board at least annually when it receives the 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>	Y	Complaints Policy	<p>The Charity does not have any employees and has not had a need to use third parties; being a very small organisation, the Charity is entirely run and operated by the 3 voluntary trustees who, being the Rector and Churchwardens of St Laurence Appleton with Besselsleigh, work closely together in a collaborative and cooperative manner; with regard to complaint handling, the trustees follow the standard objective set out in the Charity's Complaints Policy</p>