

South Liverpool Homes

Housing Ombudsman's Compliant Handling Code Self-assessment

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation /actions to support further compliance
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	This definition is stated within SLH's customer feedback policy (hereinafter referred to as the policy). Statement is also included on the SLH website.	N/A
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 captured in the policy.	Amendments are being made to Orchard (our housing management system), to ensure that our approach aligns with the code, in particular to prompt colleagues to give resident the choice to make a complaint. The new process is currently being rolled out to teams across the business.
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	Yes	This is captured in the policy. All service requests are recorded on the housing management system. In addition, two example flow charts are included within the customer	Regular dialogue/comms carried out with teams to continue to raise awareness of the policy.

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	be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.		feedback procedure to highlight examples of service requests and complaints.	
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 captured in the policy. Customers may express dissatisfaction with a service/area and SLH will give them the choice to make complaint. All reports of dissatisfaction are recorded.	See 1.3
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 captured in the policy. For tenant satisfaction surveys (completed on SLH's behalf by IFF Research), IFF now advise tenants that if they would like to raise a formal complaint about anything they have discussed during the survey, to contact SLH. For transactional surveys completed internally, where customer expresses dissatisfaction,	Amendments are being made to our responsive repair transactional text message survey to provide details of how to make a complaint if customer expresses dissatisfaction.

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			colleagues will inform them of SLH's 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	This is captured in the policy. Record is kept of any complaints that have not been accepted, including the reasons why.	
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.	Yes	This is captured in the policy and also on the SLH website. If a matter is not accepted as a complaint, this will be clearly communicated to the customer and signposted (if applicable) to the relevant service area. A detailed record in place to keep a record of complaints that have been excluded from the process.	In addition to the acceptable exclusions listed in the code requirement, SLH policy states: - Initial request for a service for example reporting a repair. - Complaints about anti-social behaviour (ASB) or nuisance, such complaints will be handled by SLH's Anti-Social Behaviour Policy. Complaints about

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	Matters that have previously been considered under the complaints policy.			ASB will only be accepted under the Customer Feedback Policy where someone is unhappy with the way SLH has dealt with a case of ASB - Complaints from colleagues unless they are a tenant and it is a tenancy related issue - Claims for compensation as these will be dealt with by SLH's insurers
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 captured in the policy. Detailed record in place to log all complaints, date received/acknowledged/responded to, et al. The website and customer feedback leaflet have been updated to reflect change from 6 to 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	Yes	This is captured in the policy. If SLH will not consider a complaint, it will write to the customer advising them why it is unable to handle the	

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	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.		matter in line with policy and advise them of their right to approach the Housing Ombudsman about this decision.	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	This is captured in the policy. SLH does consider the individual circumstances of each complaint. A detailed record is in place to keep a record of complaints that have been excluded from the process.	

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	Complaints can be made in a range of ways, including in person, by telephone, email, online, via social media and in writing. All options are published on SLH's website and at the Parklands office. Details are included in the procedure and also on the SLH website.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints can be made in a range of ways, including in person, by telephone, email, online, via social media and in writing. A list of methods is included in the customer feedback procedure and on the SLH website. Awareness sessions have been held with colleagues to raise awareness of the customer feedback process.	Regular dialogue/comms carried out with teams to continue to raise awareness of the policy.
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	SLH does not view high volumes of complaints as a negative. Customer feedback is regularly discussed by the executive and senior leadership teams (monthly) and the Avela home service committee, customer services committee and board (quarterly). The customer feedback report is also shared with lead board member for complaints. Team meetings also focus on lessons learning, on a monthly basis.	There is a key focus on learning from complaints and embedding learning across the organisation.

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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 information is included within the 'Give your feedback' section of the SLH website, including the policy. The website can be translated to other languages via Google Translate. In addition, social media campaigns are regularly held to raise awareness of the customer feedback process to tenants. As per SLH's equality, diversity and inclusion policy, SLH seek to ensure all written and digital communication follows accessibility guidelines and communication accessibility standards. SLH will provide information in alternative formats on request such as signing and other translation services.	
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 captured in the policy and also on the SLH website.	
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to	Yes	This is captured in the policy and on the SLH website.	

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	be represented or accompanied at any meeting with the landlord.		The acknowledgement letter states the customer can have a representative deal with their 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	A customer feedback leaflet is shared with the complainant when acknowledging their complaint explaining the complaints procedure; included within this are contact details for the Housing Ombudsman. These contact details are also available on the SLH website. Stage 1 and stage 2 response letters include further details of the Housing Ombudsman service.	

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	Yes	All complaints are dealt with by relevant service managers. A quality and performance team is in place, consisting of the Head of Governance and Assurance, Quality	

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	person or team as the 'complaints officer'. This role may be in addition to other duties.		& Performance (Q&P) Manager, who is responsible for managing and improving the customer feedback process, and the Q&P Officer, who manages the administrative element of the customer feedback process.	
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	The complaint handler is usually the service manager. All complaint responses are responded to and / or signed off by a senior member of staff from the respective service area. In addition, each complaint response is reviewed by the Q&P Manager, or the Head of Governance and Assurance in their absence, to ensure that the response is appropriate. A learning management system is in place, which provides access to ongoing customer care training. All colleagues aware of Probity Framework which includes reference to conflicts of interest; these are declared by all colleagues at least annually or where a change occurs.	
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be	Yes	SLH prioritises complaint handling and a dedicated team is in place to do so.	

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	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		Customer feedback is regularly discussed by the executive and senior leadership teams (monthly) and the Avela home service committee, customer services committee and board (quarterly). The customer feedback report is also shared with lead board member for complaints. Furthermore, lessons learning forms part of team meeting agendas.	

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	Policy in place and published on the SLH website.	
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	Stage 1 and 2 process in place and clearly defined in the policy. Section 6 of the policy – putting things right.	

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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	Stage 1 and 2 process in place and clearly defined in the policy and on the SLH website.	
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	Avela Home Service's Head of Operations and Deputy Head of Operations respond to relevant complaints in line with the customer feedback policy. Therefore, there is a single complaints process in place.	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints are logged through the housing management system and the workflow is accessible to contractor(s). Each complaint response is reviewed by the Q&P Manager, or the Head of Governance and Assurance in their absence, to ensure that the response is appropriate.	
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	Yes	Included in the policy. A brief summary of concerns raised and details of the customer's	

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	will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.		expectations are included in acknowledgement letters. When a complaint is received but these details are not clear, the Q&P Officer contacts the complainant to get an understanding of the issues they would like to raise and their expectations as a result of making 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 captured in the policy and is included in the acknowledgement letter.	
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	All complaints are dealt with on their own merits and through investigation is carried out by a senior member of staff. All colleagues aware of Probity Framework which includes reference to conflicts of interest; these are declared by all colleagues at least annually or where a change	

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			occurs. All colleagues are required to complete probity training every 3 years. All declarations of interest are captured on the Orchard system which highlights if a conflict arises and can therefore be managed appropriately.	
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 captured in the policy.	
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 captured in the policy. A record is in place to capture all information regarding the complaint. If a customer discloses details of a disability, the housing management system is updated so that appropriate action can be taken.	
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	Yes	This is captured in the policy.	

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	out these reasons, and they must comply with the provisions set out in section 2 of this Code.		In cases when SLH refuses a complaint, it will write to the customer advising them why it is unable to handle the matter in line with policy and advise them of their right to approach the Housing Ombudsman about this decision.	
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	There is a dedicated module to manage the complaints process within the housing management system. All documents are attached to the complaint within the housing management system. An event log enables details of contacts to be recorded. Quality checks carried out by Q&P Officer on each closed case to assess whether there are any gaps and will approach the relevant manager if information is missing.	
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	Stage 1 and 2 process in place and clearly defined in the policy. Section 6 of the policy – putting things right.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	SLH's customer feedback policy and website details its approach to dealing with unacceptable behaviour, including aggressive or abusive behaviour and unreasonable demands of complainants. Tenancy management policy is also in place.	
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 captured in the policy. In the event a restriction on contact is implemented, a full audit trail of the decision making and rationale for doing so will be saved.	

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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	SLH has processes in place to respond to complaints within the set timescales and as soon as possible, within these timescales.	
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	This is captured in the policy and detailed on the SLH website. SLH has amended internal timescales from 2 working days to 5 working days in line with the code. Amendments have been made to acknowledgement letters, the website and customer feedback leaflet to reflect this.	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	This is captured in the policy and detailed on the SLH website.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			SLH has amended internal timescales of 10 working days from date of receipt of complaint to date of acknowledgement in line with the code. Amendments have been made to acknowledgement letters, the website and customer feedback leaflet to reflect this.	
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 captured in the policy. If an extension is required, contact will be made with the resident providing the reason why the extension has been applied and a revised response date.	
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 captured in the policy. A customer feedback leaflet is shared with the complainant when confirming/advising of the extension to the timescales, included within this are contact details for the Housing Ombudsman. These	

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			contact details are also available on the SLH website .	
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 captured in the policy. A complaint response is provided at the earliest opportunity in all cases.	
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 captured in the policy. In complaint responses, every effort is made to address all of the points raised. This is checked by the Q&P Manager before the response is issued. Furthermore, the standard response letter has been amended to ensure all points are considered/captured.	
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if	Yes	This is captured in the policy.	

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	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.		This approach is taken/followed for all complaints.	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 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 stage 2 if the individual is not satisfied with the response.	Yes	This is captured in the policy. Stage 1 response letter template has been amended to reflect the requirements of the code.	

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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	Stage 2 process is captured in the policy. This process is followed. Audit trail of all stage 1s available including those that have progressed to stage 2.	
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	Stage 2 process is captured in the policy. SLH has amended internal timescales from 2 working days to 5 working days in line with the code. Amendments have been made to acknowledgement letters, the website and customer feedback leaflet to reflect this.	
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	Stage 2 process is captured in the 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 captured in the policy. In the majority of cases, the service manager will deal with complaints at stage 1. In the unlikely instance where a complaint is investigated by	

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			an Executive Director at stage 1 and is then escalated to stage 2, a different Executive Director will participate in the stage 2 complaints review panel, alongside an SLH board member.	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	This is captured in the 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 captured in the 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 captured in the policy. A customer feedback leaflet is shared with the complainant when confirming/advising of the extension to the timescales, included within this are contact details for the Housing Ombudsman. These contact details are also available on the SLH website.	

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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 captured in the policy. A complaint response is provided at the earliest opportunity in all cases.	
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 captured in the policy. In complaint responses, every effort is made to address all of the points raised. This is checked by the Q&P Manager before the response is issued.	
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	Yes	This is captured in the policy. Stage 2 response template has been amended to reflect the requirements of the code.	

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	g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
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 captured in the policy. All stage 2 complaints are heard by a board member and member of the executive leadership team.	

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: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay;	Yes	This is captured in the policy. Stage 1 and stage 2 letters amended to reflect the requirements. SLH strives to continually improve the service it provides and welcomes complaints as this helps to highlight issues it may not have been aware of.	

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	- Reconsidering or changing a decision; - Amending a record or adding a correction or addendum; - Providing a financial remedy; - Changing policies, procedures or practices.		When this happens, SLH will investigate and resolve the issue pragmatically, learn from the experience and change the way it does things to ensure that it does not happen again. Identification of policy or service failure and root cause of the complaint is carried out as part of the complaint investigation. The complaint handler is usually the service manager. All complaint responses are responded to and / or signed off by a senior member of staff from the respective service area. In addition, each complaint response is reviewed by the Q&P Manager, or the Head of Governance and Assurance in their absence, to ensure that the response is appropriate.	

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7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	This is captured in the policy.	
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	As per the customer feedback policy, redress needs to be appropriate to the complaint. SLH will ask the customer at the start of the complaint how they would like things put right. As far as possible, the customer should be put in the position they would have been in, had things not gone wrong. Guidelines for compensation in relation to customer feedback are included as an appendix within the customer feedback procedure to ensure consistency in our approach. In addition, as detailed above, the complaint handler is usually the service manager. All complaint responses are responded to and / or signed off by a senior member of staff from the respective service area. In addition, each complaint response is reviewed by the Q&P Manager, or the Head of Governance and Assurance in their absence, to ensure that the response is appropriate.	

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7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	This is captured in the policy. All remedies are considered in conjunction with the policy.	

Section 8: Putting things right

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;	Yes	This is captured in the policy. Annual report produced on an annual basis.	

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	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.			
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.		Section 9 of the policy. The annual complaints reported is presented to and reviewed by the executive and senior leaderships teams, customer services committee and board. The board response to the 2023/24 annual report is published on the SLH website.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A at point of self-assessment, although in included in the policy at section 9.		
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A at point of self-assessment, although in included in the policy at section 9.		
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances,	N/A at point of self-assessment, although in included in the policy at section 9.		

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			

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	This is captured in the policy. SLH has a positive complaint handling culture that is integral to the effectiveness with which SLH will resolve disputes. SLH will use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	
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	Complaint performance is regularly reviewed by the executive and senior leadership teams. The customer services committee reviews complaints performance on	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			a quarterly basis and reports into the SLH board.	
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	This is captured in the policy. Complaint performance is regularly reviewed by the executive and senior leadership teams. The customer services committee reviews complaints performance on a quarterly basis and reports into the SLH board.	Feedback to all customers will be provided through Your Bulletin and on social media on how SLH learn from complaints to raise confidence in customers reporting issues
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	This is captured in the policy. A Q&P team is in place, including the Head of Governance and Assurance, Q&P Manager and Q&P Officer. The team is responsible for complaint handling, with the Q&P Officer responsible for the day to day management of complaints. The team assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to	Yes	This is captured in the policy. A board member has been	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').		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').	
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	This is captured in the policy. As per 9.5. The Senior Independent Director has accessible to information via the Q&P team.	
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 d. annual complaints performance and service improvement report.	Yes	This is captured in the policy. Complaint performance is regularly reviewed by the executive and senior leadership teams. The customer services committee reviews complaints performance on a quarterly basis and reports into the SLH board. Annual complaints report is presented to board.	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.		SLH has a five year corporate plan that has been approved by board. To support delivery of the plan, five strategies are in place; people (colleagues), people (residents), place, planet and pound. An action plan is developed each year and approved by board, to support delivery of the plan and associated strategies. For 2023/24, objectives have been set in conjunction with the people (residents) and pound strategies: (1) Improve the complaint handling culture by having a collaborative approach towards resolving complaints and ensuring that lessons are learned from customer feedback that has a positive and measurable impact on services for tenants (2) Improve oversight of complaint handling across the SLH and Avela Home Service and make	

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Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			sure that lessons are learned from customer feedback that has a positive and measurable impact on services for tenants. Progress against the objectives is reported to board. All SLH colleague job descriptions include responsibility to support a collaborative approach towards resolving complaints, working with colleagues across teams and departments to help identify, record and respond to complaints and identify and embed learning.	