Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: *'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	A complaint is defined as: "an expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by Augustinian Care, St George's Park, its trustees, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.	As shown in our policy
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	The word "complaint" does not need to be used expressly for the matter to be considered a complaint. Whenever a resident expresses dissatisfaction Augustinian Care, St George's Park will give them the option to make a complaint. Complaints made by residents may be made by the resident's carer, family members or a representative of a resident and these must be handled in line with Augustinian Care, St George's Park complaints policy.	As shown in our policy
1.4	Landlords must recognise the difference between a service request	Yes	A service request is a request from a resident requiring action	As shown in our policy para 1.5

	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.		to be taken to put something right. (e.g., to carry out routine maintenance etc.) service requests are not a complaint. Service requests should be dealt with in accordance with the Residents' Handbook. Failure to deal appropriately with a service request may lead to the matter being dealt with as a complaint.	
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	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. Augustinian Care, St George's Park will not stop our efforts to address the service request if the resident raises a complaint.	As shown in our policy para 1.7
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	An expression of dissatisfaction with services made through a resident's 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.	As shown in our policy para 1.8

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	Augustinian Care, St George's Park must accept a complaint unless there is a valid reason not to do and will ensure we consider the individual circumstances of each complaint.	Para 2.1
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	2.3 2.4 The following matters will not be considered as complaints: (a) (b) (c) (d) The issue giving rise to the complaint occurred over twelve months ago. Legal proceedings have begun as 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. the complainant is anonymous, unless there is sufficient documentary evidence to substantiate the complaint.	Para 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.	Yes	Unless excluded on other grounds, Augustinian Care, St George's Park will accept complaints referred to them within 12 months of issue occurring or the resident becoming aware of the issue. Where there are good reasons to do so, Augustinian Care, St George's Park will also consider whether to apply discretion to accept complaints made outside the time limit.	Para 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.	Yes	If a complaint is not accepted a detailed explanation will be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and their right to take that decision to the Ombudsman (see details below). The Ombudsman may direct the Augustinian Care, St George's Park to take on the complaint.	Para 2.4
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	All complaints will be reviewed on an individual basis	Para 3.2

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 to any staff member of Augustinian Care, St George's Park. This can be done in a number of ways which include: • Telephone • Face to face • Email • Letter	Para 1.4
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	See answer above	Para 1.4
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	Augustinian Care, St George's Park acknowledges that a high volume of complaints must not be seen as negative, as this can be indicative of a well-publicised and accessible complaints procedure. Low complaint volumes are potentially a sign	Para 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.	Yes	Stage 7 of our policy is stage one of the complaints process and stage 8 of our policy is stage two of the complaints process	
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	The complaints handling policy will be published on Trinity Lodge, Augustinian Care, St George's Park website, it will also be published in communal areas on notice boards.	Para 4.4
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	Residents will have the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting. We will always follow data protection measures when disclosing any information to a third party.	Para 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.	Yes	Housing Ombudsman Service The contact details for the Housing Ombudsman Service are: Telephone: 0300 111 3000 Email: info@housing-ombudsman.org.uk Website: www.housing-	Para 13

			ombudsman.org.uk Address: Housing Ombudsman Service, PO Box 1484, Unit D, Preston, PR2 0ET	

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	5.1 Complaints will be investigated by the Facilities Director at Stage One. 5.2 Complaints will be investigated by the Chief Executive Officer and Estates Director at Stage Two.	Para 5
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Complaints Officer is a Director of the organisation	Para 5.1
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	6.1 a) At each stage of the complaints process, Augustinian Care, St George's Park will: a) deal with complaints on their merits;	Para 6.1 a)

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	Trinity Lodge Complaints Policy Augustinian Care, St George's Park complies with the Complaint Handling Code (the Code) issued by the Housing Ombudsman Service. All complaints dealt with under this policy will be dealt with in a manner consistent with the Code and the Charity will maintain all records as required by the Code.	Para 1.1
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	A complaint response will 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 will be tracked and actioned promptly with appropriate updates provided to the resident.	Para 7.2 of Stage One We only have two stages
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the	Yes	We only have two stages Para 7 – Stage One Para 8 – Stage Two	

	complaint process unduly long and delay access to the Ombudsman.			
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.	n/a	We do not use third parties at any stage	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	n/a	We do not use third parties at any stage	
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	7.1 a) Augustinian Care, St George's Park will acknowledge the complaint and make a record, within 5 working days. The acknowledgement will: (a) summarise Augustinian Care, St George's Park understanding of the complaint (The complaint definition);	Para 7.1 a)
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	make clear which aspects of the complaint Augustinian Care, St George's Park is, and is not, responsible for and clarify any areas where this is not clear;	Para 7.1 b)

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	6.1 At each stage of the complaints process, Augustinian Care, St George's Park will: a) deal with complaints on their merits;	All of Para 6.1
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	Augustinian Care, St George's Park will issue a full response within 10 working days from the complaint being acknowledged. In exceptional cases, if we anticipate that the complaint will take longer to resolve, this will be explained to the resident with a clear timeframe set out for the resolution of the complaint which will not exceed a further 10 working days, without good reason. If any further extensions are required, this will be in agreement with resident who will be updated at regular intervals. Such explanation should also include the contact details of the Housing Ombudsman.	Para 7.2

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	Complaints will be dealt with in a manner that is consistent with Augustinian Care, St George's Park Equality & Diversity Policy and the Charity's duties under the Equality Act 2010. If any individual making a complaint wishes Augustinian Care, St George's Park to make reasonable adjustments to accommodate an individual's particular needs, they, or their representative, can contact Augustinian Care, St George's Park by phone, email or in person to discuss what adjustments may be possible.	Para 4.1 & 4.2
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	Augustinian Care, St George's Park must accept a complaint unless there is a valid reason not to do and will ensure we consider the individual circumstances of each complaint.	Para 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	Yes	Augustinian Care, St George's Park will acknowledge the complaint and make a record, within 5 working days.	Para 7.1

	any relevant supporting documentation such as reports or surveys.			
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	Complains are reviewed at every stage, and resolved as soon as possible.	
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	Unreasonable behaviour	Para 3
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	Unreasonable behaviour	Para 3

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	Stage One of the Complaints Process	Para 7
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	Augustinian Care, St George's Park will acknowledge the complaint and make a record, within 5 working days.	Para 7.1
6.3	Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged.	Yes	Augustinian Care, St George's Park will issue a full response within 10 working days from the complaint being acknowledged. In exceptional cases, if we anticipate that the complaint will take longer to resolve, this will be explained to the resident with a	Para 7.2

			clear timeframe set out for the resolution of the complaint which will not exceed a further 10 working days, without good reason. If any further extensions are required, this will be in agreement with resident who will be updated at regular intervals. Such explanation should also include the contact details of the Housing Ombudsman.	
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	See answer above	Para 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.	Yes	See answer above	Para 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	Yes	A complaint response will 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 will be	Para 7.3

	actioned promptly with appropriate updates provided to the resident.		tracked and actioned promptly with appropriate updates provided to the resident.	
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	See answer above	Para 7.3
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	If new issues are raised by the resident during the stage one process, these should be dealt with as part of the process if they are relevant. However, if the issues relate to a different issue and/or are raised after the response has already been issued, the issues will be dealt with as a separate complaint.	Para 7.7
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	Yes	In responding to the complaint, we will confirm in writing: (a) The complaint stage The complaint definition The decision on the complaint The reasons for any decisions made The details of any remedy offered to put things right Details of any outstanding actions; and Details of how to escalate the matter to stage two if the	7.8

	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.		individual is not satisfied with the result.	

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	If the resident is not satisfied with the response at stage 1, they can escalate their complaint to stage 2. This can be done in writing by email, via telephone call or in person. The person dealing with the complaint at stage 2 will not be the same person that responded at stage 1.	Para 8.1
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	Augustinian Care, St George's Park will acknowledge the complaint at stage 2 within 5 working days of receipt and will (a) summarise Augustinian Care, St George's Park understanding of the complaint (the complaint definition);	Para 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.	Yes	The resident does not need to provide reasons for requesting the complaint to be escalated.	Para 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.	Yes	If the resident is not satisfied with the response at stage 1, they can escalate their complaint to stage 2. This can be done in writing by email, via telephone call or in person. The person dealing with the complaint at stage 2 will not be the same person that responded at stage 1.	Para 8.1 & para 12
6.14	Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.	Yes	Augustinian Care, St George's Park will respond in writing to the resident within 20 working days of the stage 2 complaint being acknowledged, informing them of the outcome of the investigation.	Para 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.	Yes	If Augustinian Care, St George's Park believes that the appeal will take longer than 20 working days, this will be explained to the resident with a clear timeframe set out for the resolution of the complaint which will not exceed a further 20 working days. If any further extensions are required, this will be in agreement with resident who will be updated at regular intervals. Such explanation should also include the contact details of the Housing Ombudsman.	Para 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.	Yes	Such explanation should also include the contact details of the Housing Ombudsman.	Para 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.	Yes	In responding to the stage 2 complaint, we will confirm in writing: 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.	Para 8.7
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	See answer above	Para 8.7
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:	Yes	See answer above	Para 8.7

	a. the complaint stage; b. the complaint definition; g. 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 h. 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	See answer above	Para 8.7

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; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.	Yes	Where something has gone wrong Augustinian Care, St George's Park will acknowledge this and set out the actions it has already taken, or intends to take, to put things right.	Para 9.1
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Para 9.2
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where	Yes	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any	Para 9.3

	appropriate. Any remedy proposed must be followed through to completion.		remedy proposed must be followed through to completion.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Augustinian Care, St George's Park will take account of the guidance issued by the Housing Ombudsman when deciding on appropriate remedies.	Para 9.4

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Annual Review	Para 11

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	The governing body/ Trustees of the Charity will consider any findings or recommendations of the annual self-assessment and the annual complaints performance and service improvement report.	Para 11.3
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	The governing body/ Trustees of the Charity will consider any findings or recommendations of the annual self-assessment and the annual complaints performance and service improvement report.	Para 11.3
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Confirmed	
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	Confirmed	

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	Where something has gone wrong Augustinian Care, St George's Park will acknowledge this and set out the actions it has already taken, or intends to take, to put things right.	Para 9.1
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	Augustinian Care, St George's Park acknowledges that a high volume of complaints must not be seen as negative, as this can be indicative of a well-publicised and accessible complaints procedure. Low complaint volumes are potentially a sign that residents are unable to complain.	Para 4.3
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	The governing body/ Trustees of the Charity will consider any findings or recommendations of the annual self-assessment and the annual complaints performance and service improvement report.	Para 11.3
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	Yes	Augustinian Care, St George's Park has a senior lead person who is accountable for our complaint handling. This person	Para 10.1

	identify potential systemic issues, serious risks, or policies and procedures that require revision.		will 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 support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	Augustinian Care, St George's Park has a senior lead person who is accountable for our complaint handling. This person will assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Para 10.1
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	A member of the governing body / board of trustee's has been appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is known as the Member Responsible for Complaints (MRC)	Para 10.2
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;	Yes	Augustinian Care, St George's Park has a senior lead person who is accountable for our complaint handling. This person will assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Para 10.1

	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.			
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.	Yes	Augustinian Care, St George's Park complies with the Complaint Handling Code (the Code) issued by the Housing Ombudsman Service. All complaints dealt with under this policy will be dealt with in a manner consistent with the Code and the Charity will maintain all records as required by the Code.	Para 1.1