

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: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Complaints Policy	The Housing Ombudsman's definition of a complaint has been incorporated within SGH Complaints Policy and is embedded within our complaint handling procedures.
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	Complaints Policy	Our policies and procedures are designed to ensure that customer enquiries are assessed in a manner which determines whether an enquiry constitutes a complaint, and what the most appropriate course of action is. In some instances, the customer may request that their concern is handled informally, in others it may be deemed more appropriate to automatically escalate the matter to a complaint stage. Our Complaint Policy was reviewed May 2023 to ensure that all complaints, however received, are handled consistently and in line with our complaints policy.

1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Complaints Policy	Section titled 'What is a Complaint' of our Complaint Policy outlines (with examples) the difference between a complaint and a service request. These principles are embedded within our internal complaint-handling procedures. In addition, the complaints policy now includes a flow chart to help clarify the difference between a complaint and a services request. All service requests will be recorded in our tenancy management system and are monitored regularly in line with our procedures.
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	recorded, monitored and reviewed regularly.			
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Complaints Policy	Section 'What is a complaint' explicitly provides for a complaint to be raised where a resident is dissatisfied by the response to a service request, even where the handling of the request is on-going.
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	Online Tenant Satisfaction Survey	At SGH, we take proactive steps to reach out to customers who express dissatisfaction through our satisfaction surveys. At the beginning and end of any survey we provide full details of how the respondent can complain. This proactive process involves gathering additional information, triaging the concerns raised by customers, and, whenever feasible, implementing suitable resolutions. In cases where a resolution cannot be reached, we promote the utilisation of our Complaints Policy.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Complaints Policy	We are committed to providing a thorough explanation to the complainant whenever their complaint is not accepted. This explanation is provided in writing and adheres to our Complaints Policy. Additionally, all correspondence related to the complaint includes information about the Housing Ombudsman Service.
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. 	Yes	Complaints Policy	<p>Our complaints policy sets out matters that are not considered complaints and lists the following examples:</p> <ul style="list-style-type: none"> • A complaint that has already been considered and resolved in accordance with our complaints procedure. • A matter that is or has already been dealt with through legal proceedings. • Survey feedback. • Some complaints that occurred more than six months ago • A service request. • A matter being considered via our appeals process. • Enquiry about the progress of a repair.

				<ul style="list-style-type: none">• Reporting a neighbour dispute
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2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints Policy	Our complaints policy explicitly provides that we will accept complaints within 12 months but have the discretion to consider complaints outside this limit.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Complaints Policy	We are committed to providing a thorough explanation to the complainant whenever their complaint is not accepted. This explanation is provided in writing and adheres to our Complaints Policy. Additionally, all correspondence related to the complaint includes information about the Housing Ombudsman Service.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy	All complaints are assessed on a case by case basis. Although we have a list of excluded complaints, we will exercise discretion and make the final decision based on the merits each individual case.

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 Policy	Our Complaints Policy details the multiple routes available to customers who wish to submit a complaint. These include online, phone, email, post and Whatsapp.
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 Policy Online Training Website	Our stage 1 complaints can be made in any way for example in person, on the phone, via email, whats app, text or in writing. Residents can raise a complaint with any member of staff as provided in our complaints policy. All staff receive training on complaint handling and complaint escalation routes are clearly set out in our 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	We have not had any complaints as our first residents only joined us in July 2024.	Our first residents joined SGH in July 2024. We have not any complaints but have ensured that our residents are aware of the complaints process and the various channel available to make a complaint. Our tenants also have direct mobile numbers to our housing officers.

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	Yes	The SGH complaints policy can be found on our website here .	Our policy is available in clear and accessible format for all residents. It is available online to download online and in an editable format that can be enlarged. Our policy sets out the two stage process and the timeframes for responses.
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	will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.			
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	Complaints Policy	Our complaints policy give details that our complaints policy is publicised on our website at www.stgeorgehousing.co.uk
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	Complaints Policy	Residents may nominate a representative to deal with the complaint on their behalf. This is specified in our Complaints Policy under the section 'Who can complain.'
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	Complaints Policy	Throughout every stage of the complaint process, we proactively promote the Housing Ombudsman Service and provide its contact details to our customers. Our Complaints Policy explicitly advises our customers that they have the option to reach out to the Housing Ombudsman for assistance and independent advice at any point during the complaints process. We encourage residents to utilize this resource if needed.

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	<p>Our Scheme of Delegations sets out the authority for decision making for complaints. This document is available on our website on the link below:</p> <p>Our Governance St George Housing</p> <p>The Housing Team who are responsible for managing complaints are published on our website under the 'Meet Your Housing Manager' section at the link below:</p> <p>Meet Your Housing Manager (stgeorgehousing.co.uk)</p> <p>Our Chair is the Board Member responsible for Complaints</p> <p>Board bio on website</p>	<p>As the resident Ambassadors, the complaints team (made up of the housing managers) operates autonomously, and their primary objective is to ensure customer focussed resolutions to complaints.</p> <p>The complaints team assumes the responsibility of managing the complainant's relationship, overseeing complaint investigations, and handling the entire complaint process until its resolution.</p> <p>The final decision on upholding or rejecting complaints rests with the Senior Leadership Team, who collectively have the authority to agree upon suitable resolutions and actions.</p> <p>They also have the discretion to determine additional remedies for residents, including compensation and goodwill payments</p>

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	A copy of our staff structure chart can be found on our website at the link below. Link to our structure chart.	The Senior Housing Manager leads the Housing team in managing the complaints process. The Senior Housing Manager has access to all the staff within SGH to facilitate the swift resolution of complaints. They also have direct access to staff working with our service delivery partners.
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	Staff take complaints handling training online via our learning portal on our website. Staff have already participated in the housing ombudsman e-modules online. Online learning	Updates on complaint performance, themes, and learning and continuous improvement opportunities will be regularly communicated to all staff, including our service delivery partners. A cross-functional learning and continuous improvement framework has also been embedded to ensure that staff can review, discuss, and learn from complaints.

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints Policy	SGH has a stand-alone complaints policy that we have reviewed in February 2024. All staff observe our Equalities policy and handling complaints and dealt with in accordance with our complaints policy. Residents will be given equal access to make a complaint.
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	Complaints Policy	The SGH complaints policy only has 2 stages, stage 1 and stage 2. Residents are given the opportunity to raise their complaint to the Housing Ombudsman after they have been through our internal complaints process.
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	Complaints Policy	Our stage-alone policy only has 2 stages and provides clear guidance on how and when to complain to the Housing 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	Yes	Complaints Policy	Although SGH outsource some of our tenancy and property management to third party management agents, complaints are fully retained in-house and managed by our complaints team headed by our housing managers.

	expected to go through two complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy	Our managing agents have a copy of our complaints policy and our SLA includes a detailed explanation of respective roles and responsibilities and agents are aware that all complaints are diverted directly to SGH.
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	Complaints Policy	<p>Upon receiving a complaint, our case handlers will promptly reach out to the residents via telephone to acknowledge the receipt of the complaint. They will formally introduce themselves, establish a rapport, and clarify their role in the process. During this initial call, the case handler's objectives are to understand the grounds for the complaint, gather any additional information necessary for the investigation, and collaboratively agree on the desired outcome.</p> <p>Furthermore, the case handler will discuss and determine the next steps in the complaint resolution process, as well as establish a mutually agreed-upon communication schedule. As part of our commitment to providing flexible options, residents are also offered the possibility of a video call for further engagement and support.</p>

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	Complaints Policy	
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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 interest; and 	Yes	Complaints Policy	<p>Our complaint handlers will undergo comprehensive training to equipped them with various process and system controls to gather the necessary information and evidence for resolving complaints in a structured and methodical manner. This approach ensures a balanced and consistent approach to case investigations.</p> <p>By operating independently from our service delivery teams, our complaints team maintains an open-minded and impartial stance, allowing them to objectively evaluate each complaint without any bias or influence from other departments or individuals.</p> <p>This independence enhances the integrity of the complaint resolution process and promotes fair outcomes for all parties involved.</p>

	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.	Yes	Complaints Policy	<p>Our complaint response timescales are detailed in our Complaint Policy. The policy also explains what action we will take if the timescale may not be achieved.</p> <p>If it is likely that a complaint may not be resolved within the timescales outlined in our Complaint Policy, our case handlers will inform the resident as soon as they become aware of any likely delay and any extension is agreed in consultation with the resident. Our complaint handlers will keep the tenant regularly informed about the progress of the complaint via a pre agreed communication format.</p>
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Complaints Policy Equality Policy Tenant Handbook Online Customer Charter	<p>SGH maintains compliance with the Equality Act 2010. We do not have a stand-alone Reasonable Adjustments policy; however, the following policies contain details of the reasonable adjustments available to customers:</p> <ul style="list-style-type: none"> • Repairs policy (adaptations to homes) • Equality and Diversity policy (our equality objectives) • Online customer charter (tailoring our services) • Tenant handbook (adaptations

				to homes, and providing extra support to vulnerable customers)
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	Complaints Policy	We would not refuse to escalate a complaint unless it was deemed that the complaint was vexatious or covered by the exclusions within the Complaint Policy.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and	Yes	Complaints Policy	All information, correspondence and evidence pertaining to complaints is stored within our housing management system.

	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	Complaints Policy	<p>We have implemented an early resolution process to handle complaints in an informal manner. We prioritize resolving these complaints promptly while ensuring residents are informed of their option to pursue a formal investigation if desired.</p> <p>All cases addressed through the early resolution process are diligently recorded in our housing management system and reported centrally for transparency and monitoring purposes. It is crucial that these cases are resolved within one business day. If a resolution cannot be achieved within this timeframe, the matter automatically advances to Stage 1 of our formal complaints process, unless an alternative arrangement has been agreed upon with the complainant.</p> <p>In accordance with our policy all complaints will be acknowledged within 2 working days.</p>

5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Zero Tolerance Policy	SGH has a ZeroTolerance Policy that sets out our approach to unacceptable behavior.
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	Equality Policy	Our Zero Tolerance Policy ensures that our customers are treated fairly and consistently, whilst at the same time protecting the health, safety and wellbeing of our staff and service delivery partners.

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	Complaints Policy	We have implemented an early resolution process to handle complaints in an informal manner. We prioritize resolving these complaints promptly while ensuring residents are informed of their option to pursue a formal investigation if desired.
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	Complaints Policy	As part of our stage 1 complaints process, SGH acknowledge all complaints within two working days of receipt.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy	As part of our stage 1 process, SGH aims to respond to complaints within 10 working days. If there are any reasons why this will not be possible, we will contact the complainant to provide a new date for our response.

6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Complaints Policy	If it is likely that a complaint may not be resolved within the timescales outlined in our Complaint Policy, our case handlers will inform the resident as soon as they become aware of any likely delay and any extension is agreed in consultation with the resident.
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	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.			Where an extension cannot be agreed, this would be viewed as an unsatisfactory outcome to the resident and the Housing Ombudsman referral process would be initiated.
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	Complaints Policy	In addition, the Housing Ombudsman referral details would be provided to a resident where the extension of these timescales will exceed 10 working days.
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	Complaints Policy	We will set targets to monitor response time to ensure that complaints are resolved swiftly. responses will be sent to residents within are published complaints management procedure as soon as the answer to the complaint is known.
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	Template letters are stored on our internal document management system. Template complaint letters.	As an integral part of the investigation process, we have implemented a structured and personalised introductory acknowledgement process. This process ensures that we comprehensively understand all aspects of the complaint from the very beginning, including the desired outcome expressed by the resident. To ensure consistency and customer-friendliness, our case handlers utilize a repository of template email/letter responses. These templates were developed

				<p>from the Housing Ombudsman published templates, are designed to cover all pertinent information related to a complaint, allowing our case handlers to respond in a structured manner while maintaining a consistent and customer-friendly approach in written correspondence.</p> <p>This approach enables efficient communication and ensures that all relevant details are addressed appropriately.</p>
6.8	<p>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</p>	Yes	Complaints Policy	<p>Complaint handlers will assess the additional complaints and where possible incorporate them into the Stage 1 complaint facilitate our aim of prompt resolution.</p> <p>Complaint handlers will always log an additional complaints as a new complaint where the new issues are unrelated.</p>

	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. 	Yes	Template complaint letters.	Staff are trained and competent in the delivery of all of these principles. Our quality assurance framework ensures that the principles are applied correctly and consistently. A residents right to escalate their complaint is included in all complaint correspondence.

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	Complaints Policy	Our Complaints policy outlines the escalation procedure. If a complaint is not resolved at stage 1 it is automatically progressed to stage 2.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure	Yes	Complaints Policy	At stage 2 your complaint will be investigated by the relevant head of service. Again, we aim to

				acknowledge all stage 2 complaints withing 5 working days and respond to complaints within 10 working days.
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	within five working days of the escalation request being received.			
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	Complaints Policy	If a resolution cannot be achieved at stage 1, the matter automatically advances to Stage 2 in accordance with a complaints policy.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Policy	Stage 2 complaints are investigated by a director or Senior manager, or delegated individual who has not considered the complaint at Stage 1 to ensure fairness, objectivity and neutrality.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Complaints Policy	In accordance with our policy we aim to issue a final response to a stage 2 complaint within 10 working days of the initial acknowledgment response.
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	Complaints Policy	If it is likely that a complaint may not be resolved within the timescales outlined in our Complaint Policy, our case handlers will inform the resident as soon as they become aware of any likely delay and any extension is agreed in consultation with the complainant. The extension will not exceed 20 working days and residents will be kept informed of the progress with complaint. As our target is 10 working days from initial acknowledgement response, it provides our complaint handlers 5 days tolerance for extending the time

				and still keeping with in the maximum 20 working day period.
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	Complaints Policy	Where a complaints handler informs a resident about an extension, this would be viewed as an unsatisfactory outcome to the resident and the Housing Ombudsman referral process would be initiated.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the	Yes	Complaints Policy	<p>We will set target to monitor response time to ensure that complaints are resolved swiftly. responses will be sent to residents within are published complaints management procedure as soon as the answer to the complaint is known.</p> <p>Complaint handlers will still continue to track, monitor and record actions on our tenancy management system and provide regular updates to the residents.</p>

	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.			
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	Complaints Policy	<p>As an integral part of the investigation process, we have implemented a structured and personalised introductory acknowledgement process. This process ensures that we comprehensively understand all aspects of the complaint from the very beginning, including the desired outcome expressed by the resident.</p> <p>To ensure consistency and customer-friendliness, our case handlers utilize a repository of template email/letter responses.</p> <p>These templates were developed from the Housing Ombudsman published templates, are designed to cover all pertinent information related to a complaint, allowing our case handlers to respond in a structured manner while maintaining a consistent and customer-friendly approach in written correspondence.</p> <p>This approach enables efficient communication and ensures that all relevant details are addressed appropriately.</p>

6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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 the Ombudsman Service if the individual remains dissatisfied. 	Yes	Complaints Policy	<p>Staff are trained to structure their written correspondence in a manner which adopts all of these principles.</p> <p>SGH has adopted the standard letter responses issues by the Housing Ombudsman that captures these requirements.</p> <p>Our quality assurance framework ensures that the principles are applied correctly and consistently.</p> <p>SGH operates a two-stage process. Details of the Housing Ombudsman service are included in all of our complaint's correspondence.</p>
6.20	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>		Scheme of Delegations	<p>Stage 2 complaints are issues by either the senior housing manager or a member of the SLT in accordance with our scheme of delegations.</p>

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.</p> <p>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. 	Yes	Complaints Policy	Resolution outcomes are agreed with complainants prior to a complaint case being closed and our written responses provide a full explanation on what has gone wrong, and the action taken to put things right.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints Policy	Our approach to remedies and financial redress are set in accordance with our published policies and procedures.
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	Complaints Policy	As above

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints Policy	All complaint handlers will observe the guidance issues by the Housing Ombudsman about remedies.
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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. 	Yes	2022-23 annual assessment against the complaint handling code available on our website here .	<p>Quarterly and annual reports will be provided to our Board. These reports will include detail on the volume of complaints at each stage, our performance, learning outcomes and trend analysis.</p> <p>Additionally, all Housing Ombudsman determinations, case detail and orders are also reported.</p> <p>Where cases of severe maladministration are identified, more intensive reviews are conducted, and management actions are identified and tracked.</p> <p>We also maintain a complaint register for Housing Ombudsman cases.</p> <p>Our assurance framework includes the annual self-assessment against the code and the Board will provide a report in response to this self-assessment that will be published on our website.</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.	Yes	Key Performance indicator report template approved by the Board in 2023.	SGH will start to gather this information once we begin letting our properties and will report annually to the Board on performance. This will be published on the complaints page of our website along with the Board response to the report.
8.3	Landlords must also carry out a self- assessment following a significant restructure, merger and/or change in procedures.	Yes	Complaint handing code review 2024	As we start up the business and put in place our service delivery partners we have taken the opportunity to carry out an early self-assessment ahead of the statutory implementation of the new code. Although a review was not officially due until May 2023 it was felt an early review before we start letting our properties was a good time to assess out compliance ahead of the statutory changes.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We have not been required to do this.	n/a
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	Complaint handing code review 2024	SGH will fully comply with this requirement.

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	Service Improvement Reports	<p>SGH adopts a culture of continuous learning and will view complaints as an opportunity to gain useful insight to how we run our services and how we can improve our service offer. We go beyond just recording and logging complaints, but will analyze and monitor complaints to identify trends and any systemic issues.</p> <p>The aim is to utilize resident feedback to shape future services and monitor the performance of managing agents and outsourced services.</p>
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	Service Improvement Reports	As above
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		<p>We will utilize complaints to monitor our service delivery performance. Although we outsource some key services we ultimately remain responsible and accountable to all of our residents.</p> <p>Listening to our residents concerns and proactively managing issues</p>

				will enable us to continuously drive up our service standards and retain adequate oversight on out service delivery partners.
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	Scheme of Delegations	The CEO with the support of the head of Governance will be accountable for complaint handling. The Chair is a the Member responsible for complaints.

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').	NO	Minutes Appointing the Chair as the Member Responsible for Complaints.	This member will be elected at our fourth coming meeting.
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.	NO	Member Responsible for complaints role profile.	This will be implemented as we develop our services.
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	NO	Board meeting forward plan.	This will be implemented as we develop our services.

	d. annual complaints performance and service improvement report.			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	Partnership Working Strategy	<p>SGH has a collaborative approach to complaint handling as we work with multiple managing agents to deliver key services.</p> <p>We have set out our expectations in service level agreements and will continue to strengthen partnership working in this area to improve services for our residents.</p>

Appendix B – Service request or complaint – flow charts





