

## Appendix 1: 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	This is the definition as detailed within Section 1 of the complaints 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	Complaints Policy Advance Website - Complaints	Set out within Section 1 of Advance's Complaints Policy and within the complaints guidance published on Advance's Website.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Complaints Policy	Set out within Section 1 of Advance's Complaints Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Set out within Section 1 of Advance's Complaints Policy.
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	Complaints Policy	We advise our tenants of the various ways that they can make a formal complaint via channels including sign up processes for new tenancies, website, surveys and meetings with tenants.

## 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	Set out within Section 1 of Advance's Complaints Policy.
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"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	Complaints Policy	Set out within Section 1 of Advance's Complaints Policy.
2.3	Landlords must accept complaints referred to them within 12 months of	Yes	Complaints Policy	Set out within Section 1 of Advance's Complaints Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			
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	Set out within Section 2 of Advance's Complaints Policy.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy	Set out within Section 2 of Advance's Complaints Policy.

### 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	<p>Section 2 of Advance's Complaints Policy – 'How to raise a complaint' sets out all channels that tenants can complain via.</p> <p>As a supported housing provider Advance has a multitude of options and support available to help tenants complain i.e. easy read, face to face support.</p>
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  Compliments, Complaints & Feedback - Website	Staff receive complaints training and are made aware of all the channels customers can use to complain and how to assist customers to do so.
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	Complaints Policy	<p>Set out within Section 6 of Advance's Complaints Policy.</p> <p>Advance's performance measures are based on the timeliness and quality of complaints handling and do not target low numbers of complaints.</p>
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,	Yes	Complaints Policy  Advance Website	Advance's Complaints Policy is available via the website, via hard copy upon request and via customer services & housing officers who can assist tenants

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.			with the complaints process. A video is also available on the 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 Advance Website	Advance's Complaints Policy and information are on the Advance Website.  How to complain is discussed at annual tenancy visits, sign up of new tenants and at tenants' meetings.
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	Set out in Advance's Complaints Policy Section 1 of the Policy.
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	Set out within Section 3 of Advance's Complaints Policy.  Also clear information is on relevant letters, correspondence and website.

#### 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	Complaints Policy  Annual Report	Executive Director of Housing is Responsible Person for Complaints.(CEO in the absence of EDoH)  Chair of Service Quality Committee is Board Member Lead.  Customer Experience Manager has day to day management of complaints as part of their responsibilities and reports to stakeholders monthly and quarterly.  Complaints performance is reported to the Service Quality Committee.
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 Policy	Lead Officer is Executive Director of Housing who is a member of Advance's Executive Leadership Team who has full authority to resolves disputes. Staff also have support available from Customer Experience Manager for all complaints if needed.
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	Yes	Complaints Policy  Staff Training Slides	Staff have been trained in Handling Complaints & Receiving Compliments. The Complaints Panel review all complaints to identify themes, trends and learning for the organisation.



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	a core service and must be resourced to handle complaints effectively.			

## 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	There is only one policy and set of procedures for the management of complaints.
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	Advance's two-stage process is set out in Section 3 of the Complaints Policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Complaints Policy	Advance's two-stage process is set out in Section 3 of the Complaints Policy.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Complaints Policy	<p>Section 2 of Advance's Complaints Policy addresses the involvement of external contractors and sets out the process to be followed. Contractors are expected to comply with Advance's standards for dealing with complaints.</p> <p>Any complaints about contractors are handled by Advance in conjunction with the contractor.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy	Set out within Section 3 of Advance's Complaints Policy.  Contractors are expected to comply with Advance's standards for dealing with complaints.
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	This process is set out within Section 3 of the Complaints Policy.  The complaint definition is discussed/agreed with the complainant and then included in letters both at stage 1 and 2 of the process.
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	This is set out within Section 3 of the Complaints Policy. Acknowledgement letters clarify what we will be investigating as part of the complaint.
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;	Yes	Complaints Policy  Complaints Training Slides  Complaints Panel	Complaints Training has been undertaken by staff responsible for handling complaints. Training is received at onboarding, and refresher courses ran annually. Complaints Panel review of the handling of all complaints.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>			
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	This is addressed in Section 3 of Advance's Complaints Policy. This is also set out within system-generated correspondence.
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	<p>Set out within Section 2 of Advance's Complaints Policy.</p> <p>This section sets out how reasonable adjustments will be made and managed.</p>
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	Section 3 of Advance's Complaints Policy sets out our approach where a request is made for escalation, and deemed not appropriate.
5.12	A full record must be kept of the complaint, and the outcomes at each	Yes	Complaints Policy	Information is kept for each complaint in line with Advance's data retention policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			Data is held on Advance's electronic housing management systems.
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	Section 1 of Advance's Complaints Policy sets out the approach to remedies.
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	Complaints Policy	Advance's approach to managing unacceptable behaviour is set out in Section 4 of the Complaints Policy.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Complaints Policy	Advance's approach to managing unacceptable behaviour is set out in Section 4 of the Complaints Policy.

## Section 6: Complaints Stages

### Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Complaints Policy	Set out within Stage 1 of Advance's Complaints Policy. (including section on 'resolved at first contact').
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received</u></b> .	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy. Monitoring of performance against timescales is in place.
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy. Monitoring of performance against timescales is in place.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			
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	If an extension of time is required, the Housing Ombudsman's contact details will form part of any correspondence.
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	<p>Advance's process and timescales are set out in Section 3 of the Complaints Policy.</p> <p>Actions are tracked weekly until completion via Advance's housing management system and contact maintained with the complainant.</p>
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	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Complaints Policy	<p>This is set out within Section 3 of Advance's Complaints Policy. System-generated template is in place to ensure that all required information is provided in all cases.</p>



## 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	This is set out within Section 3 of Advance's Complaints Policy.
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	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Complaints Policy	This is set out within Section 3 of Advance's 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	This is set out within Section 3 of Advance's Complaints Policy.
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy, and system-generated reports are produced to ensure that required timescales are met.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	This is set out within Section 3 of Advance's Complaints Policy.
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy	This is set out within Section 3 of Advance's Complaints Policy.  Extension correspondence includes contact details for the housing ombudsman.
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	Complaints Policy	Advance's process and timescales are set out within Section 3 of the Complaints Policy.  Actions are tracked weekly until completion via Advance's housing management system and contact maintained with the complainant.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant	Yes	Complaints Policy	Our process and timescales are set out in Section 3 of the Complaints Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	policy, law and good practice where appropriate.			
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes	Complaints Policy	<p>Advance's process and timescales are set out in Section 3 of the Complaints Policy.</p> <p>The outcome of stage 2 correspondence contains the information as set out in points a to g.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints Policy	<p>Advance's process and timescales are set out in Section 3 of the Complaints Policy.</p> <p>Stage 2 complaints are reviewed by the next level of management up from whoever handled the stage 1 complaint.</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. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	Complaints Policy	Sections 3 and 6 of the Complaints Policy set out Advance's approach to this.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints Policy	Section 3 of the Complaints Policy sets out Advance's approach to remedies.
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	Section 3 of the Complaints Policy sets out Advance's approach to remedies.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints Policy	Section 3 of the Complaints Policy sets out Advance's approach to remedies. This is based on guidance set out by the Ombudsman.

## 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; 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 Complaints and Service Improvement Report	Advance publishes a Board-approved annual report which includes the information required by a) to f).
8.2	The annual complaints performance and service improvement report must	Yes	Annual Complaints Report	This is published on our website and made available to tenants in hard copy

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			or other accessible means upon request.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Self-Assessment - Advance	We have carried out our self-assessment as set out in the guidance of the Ombudsman. This will be revisited following any significant change.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Self-Assessment - Advance	We have carried out our self-assessment as set out in the guidance of the Ombudsman.
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	Business Continuity Plan	This is included in our Business Continuity Plan

## 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	Complaints Policy Complaints Reports to Service Quality Committee Annual Complaints Report to Board Complaints Panel Complaints Learning Action Plan	Section 6 of the Complaints Policy sets out Advance's approach to this.  Complaints are monitored and analysed to understand how Advance can improve 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	Complaints Policy Complaints Reports to Service Quality Committee Annual Complaints Report to Board Complaints Panel Complaints Learning Action Plan	Section 6 of our policy sets out our approach.  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	Complaints Policy Complaints Reports to Service Quality Committee Annual Complaints Report to Board Complaints Panel	Section 6 of our policy sets out our approach.  As above  Feedback on performance is shared with customers, staff and board members.



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Complaints Learning Action Plan	
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	Annual Complaints Report	<p>The Executive Director of Housing leads on complaints (cover provided by the Chief Executive)</p> <p>All complaints are reviewed by the Complaints Panel and a Learning Action Plan is maintained.</p> <p>Reports are taken to the Service Quality Committee and Board.</p>
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	Chair of Service Quality Role Profile	The Chair of the Service Quality Committee is the Board Member responsible for complaints.
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	Service Quality Committee Reports	The Chair of the Service Quality ensures the Committee receive regular reports on complaint handling performance and insights.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>	Yes	<p>Service Quality Committee Report Q1 2024</p> <p>Board Report Q1 2024</p>	<p>Quarterly reports are discussed and reviewed by Services Quality Committee and Improvement Plans are monitored. Service Quality Committee provides a report to Board.</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> </ul>	Yes	<p>The Strategic Objectives, PRIDE Values and culture underpin this approach.</p> <p>Complaints Panel Training</p>	<p>Advance's PRIDE values include working in partnership, treating customers and colleagues with respect, doing the right thing and finding efficient and innovative ways to deliver the best services for our customers.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<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>			