

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	<ul style="list-style-type: none"> Complaints Policy section 5.1 "Our Complaints Process" section on Trident website 	The Complaints Policy contains this definition in full as does the website
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	<ul style="list-style-type: none"> Complaints Policy section 3 – Policy objectives 	Section 3 of the Complaints Policy states, "Acknowledging that the word 'complaint' does not have to be used for it to be treated as such...."
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	<ul style="list-style-type: none"> Complaints Policy section 8 – resolving a concern 	Request for service correspondence is saved on the system and reviewed

	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	<ul style="list-style-type: none"> This is contained within the Complaints Policy. 	Request for service correspondence is saved on the system and reviewed
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	<ul style="list-style-type: none"> The Complaints Policy The complaints section on our website is provided to any third parties carrying out surveys on Trident's behalf by the Customer Experience Team 	The Complaints Policy and the link to the complaints section on our website is provided to any third parties carrying out surveys on Trident's behalf by the Customer Experience Team. Internal staff carrying out resident surveys are able to signpost to the Complaints Procedure. Currently TLF carry out our surveys and ensure if a resident wants to make a complaint they are provided with the Complaints Policy and a link to our website page which explains how they can complain.

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	<ul style="list-style-type: none"> The Complaints Policy section 14 	The Complaints Policy states that if a complaint is not accepted we will communicate the reason for this. There is a letter template to support with this communication.
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	<ul style="list-style-type: none"> The Complaints Policy section 14 	The Complaints Policy includes a section where a complaint would not be considered. This can be found in section 14

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	<ul style="list-style-type: none"> • The Complaint Policy section 14.1 	Any complaint within 12 months will be accepted as per our Complaints Policy
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	<ul style="list-style-type: none"> • Complaints Policy section 14.2 • Complaints non-acceptance letter 	Complaints Policy 14.2 In instances where the organisation does not accept a complaint or will not escalate a complaint we will provide an explanation detailing the reasons.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<ul style="list-style-type: none"> • Complaints Policy section 14 	This is contained within the 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	<ul style="list-style-type: none"> Complaints Policy section 3.1, 4.3, 13.3, 16 	This is contained within the Complaints Policy and details that we will ask individuals if they require any reasonable adjustments within our acknowledgement letter and we will make reasonable adjustments for disabled people as required under the Equalities Act 2010.
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	<ul style="list-style-type: none"> Complaints Policy section 3 	The Complaints Policy is accessible in our intranet. We also hold complaints awareness week annually. The Customer Experience Manager was introduced across the organisation in April 2024
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	Yes	<ul style="list-style-type: none"> Monthly KPI Report Questions within TSM survey to measure awareness of complaints process 	All complaints will be monitored by the Customer Experience Team and data is shared with the executive team on a monthly basis, the homes and community

	sign that residents are unable to complain.		<ul style="list-style-type: none"> Complaints module within the housing management system 	committee on a quarterly basis and the residents Customer Experience Panel. Where there are low complaint volumes we will take a proactive approach to ensures there are no barriers 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	<ul style="list-style-type: none"> Complaints Policy Complaints management and resolution process flowchart 	The Complaints Policy and complaints flowchart is on tridents website. It includes the timeframes for stage 1 and 2.
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	<ul style="list-style-type: none"> Complaints Policy section 1 	The policy will be available on Tridents website along with the housing Ombudsman information and code
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	<ul style="list-style-type: none"> This is within the Complaints Policy 	This is within the Complaints Policy
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	Yes	<ul style="list-style-type: none"> Complaints Policy Trident's website Resident sign-up pack 	This is contained within the Complaints Policy and correspondence

	individual can engage with the Ombudsman about their complaint.			
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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	<ul style="list-style-type: none"> • Role profile Customer Experience Manager • Role profile Customer Experience Administrator • Complaints situation report 	There is a dedicated team in place to take responsibility for complaint handling, liaising with Ombudsman and reporting to the governing board. There is a named board member responsible for complaints.
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	<ul style="list-style-type: none"> • Role profile Customer Experience Manager • Role profile Customer Experience Administrator 	The organisation has a Complaints Experience Administrator and Manager access to staff at all levels to reinforce the importance of prompt and high quality resolution of complaints. The Customer Experience Team has a positive working relationship with all responding officers and hold a weekly complaints

				meeting. The team will report to the executive team where they have taken action to resolve disputes promptly and fairly
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	<ul style="list-style-type: none"> • Complaints training course content • Lessons learned reports • Complaints module on the housing management system contains a recommendation and learning section • Stage 1 and 2 letter templates 	All relevant staff attend complaints training to embed a culture of learning 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	<ul style="list-style-type: none"> • Complaints Policy 	The Complaints Policy outlines the process of how to complaint and how it will be dealt with in line with the code.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not	Yes	<ul style="list-style-type: none"> • Complaints Policy 	We only have 2 stages in the complaint process

	appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.			
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	<ul style="list-style-type: none"> Complaints Policy 	We only have 2 stages in the complaint process
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	<ul style="list-style-type: none"> Complaints Policy 	We only have 2 stages in the complaint process
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	<ul style="list-style-type: none"> Complaints Policy 	All complaints are dealt with in house and follow the complaint policy. In cases where responding officers must liaise with third parties as part of the investigation process this will be in line with the code and Tridents Complaints Policy.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the	Yes	<ul style="list-style-type: none"> Complaints Policy section 9 	Tridents understanding is set out in the acknowledgement letters of

	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.		<ul style="list-style-type: none"> • Complaint acknowledgement letter • Action notes on housing management system 	the complaint which worded in line with Housing Ombudsman letter examples
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	<ul style="list-style-type: none"> • Complaints Policy section 9 • Complaint acknowledgement letter • Action notes on housing management system 	Tridents understanding is set out in the acknowledgement letters of the complaint which are worded in line with Housing Ombudsman letter examples
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	<ul style="list-style-type: none"> • Complaints Policy • Complaints training content 	All relevant staff will complete complaint handling training where good practice in complaints handling is shared
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	<ul style="list-style-type: none"> • Complaints Policy • Extension letter template • Complaint allocation emails to responding officers 	If a complaints is extended this is in agreement with the complainant and we will maintain regular contact to keep them updated.

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	<ul style="list-style-type: none"> • Complaints Policy section 3.1, 4.3, 13.3, 16 • Complaints module in housing management system - Resident profile 	This is contained within the Complaints Policy and details that we will ask individuals if they require any reasonable adjustments within our acknowledgement letter and we will make reasonable adjustments for disabled people as required under the Equalities Act 2010. Any vulnerability information is held on customer profiles on the housing customer management tool.
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	<ul style="list-style-type: none"> • Complaints Policy section 10 • The complaints section on website • Complaints management and resolution process flowchart 	There is a clear escalation process contained within the Complaints Policy and on the website
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	<ul style="list-style-type: none"> • Complaints module on housing management system 	Our CRM recording system has a dedicated area for the management and monitoring of complaints.

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	<ul style="list-style-type: none"> Complaint policy 	This is contained within the Complaints Policy.
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	<ul style="list-style-type: none"> Complaints Policy section 17 Hazard warning marker policy and procedures 	Trident is committed to investigating and responding to all complaints fairly, comprehensively, and in a timely manner. However, there are a minority of cases where a person complains in a way that prevents Trident staff from investigating the complaint; takes up a disproportionate level of resources; or behaves in a way that is unacceptable.
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	<ul style="list-style-type: none"> Complaints Policy section 17.2 	Where this occurs Trident retains the right to restrict or change access to services as appropriate, considering any individual needs in accordance with the Equality Act 2010. We will always tell the complainant what action we are taking and why.

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	<ul style="list-style-type: none"> Customer Experience Manager role profile Customer Experience Administrator role profile Vulnerable Adult Policy launching July 2024 	The customer experience administrator and manager initially look at all complaints. If the stage 1 complaint can be resolved promptly this will be carried out.
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	<ul style="list-style-type: none"> Complaints Policy section 9.1 Stage 1 Acknowledgement letter template KPI's reported to Board. 	This is contained within our Complaints Policy
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	<ul style="list-style-type: none"> Complaints Policy section 9.2 Stage 1 Letter Template KPI's reported to Board. 	This is contained within our Complaints Policy
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.	Yes	<ul style="list-style-type: none"> Complaints Policy section 9.5 Extension Letter template 	The Responding Officer must complete a thorough investigation, reviewing all relevant records and evidence in order to fully

	Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.			consider the issues, including historical information where necessary. If the investigation and resolution will not be concluded within 10 working days, the complainant must be informed by the responding officer before the deadline, with clear reasons as to why there is a delay and when the situation is expected to be resolved
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	<ul style="list-style-type: none"> • Complaints Policy section 9.5 • Extension Letter Template 	Any extension will be communicated to a resident and the reason why being explained. When the extension letter is provided the housing Ombudsman contact information will be provided.
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	<ul style="list-style-type: none"> • Complaints Policy section 9.7, 10.8 • Stage 1 Letter template 	As soon as a resolution is known this will be communicated to the resident and a stage 1 resolution letter will be 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	<ul style="list-style-type: none"> Complaints Policy section 11.1 Stage 1 letter template 	Our complaints process and communications underpin our commitment to resolve complaints, acknowledging when something has gone wrong, being clear on the actions already taken, and on subsequent actions intended to 'put things right'.
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	<ul style="list-style-type: none"> Customer Experience Manager role profile Customer Experience Administrator role profile 	The customer experience team will identify any additional issues and whether they relate to the same complaint or a new complaint needs to be raised.
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 	Yes	<ul style="list-style-type: none"> Stage 1 Letter template 	The stage 1 letter will include points a – f. To provide a clear explanation to the resolution of the complaint.

	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			
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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	<ul style="list-style-type: none"> Complaints Policy section 10.1 Complaints management and resolution process flow chart 	If a complainant is not satisfied that the complaint has been investigated appropriately, or that the resolution offered is not appropriate to the findings of the complaint they may submit an escalation request.
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	<ul style="list-style-type: none"> Complaints Policy section 10.3 Stage 2 acknowledgement Template 	This is contained within our 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	<ul style="list-style-type: none"> Complaints Policy section 10.2 	This is contained within our 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	<ul style="list-style-type: none"> Complaints Policy section Complaints management housing system 	A different responding officer will be investigating the stage 2 complaint.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	<ul style="list-style-type: none"> Complaints Policy section 10.7 Stage 2 letter template 	This is contained within our Complaints Policy
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	<ul style="list-style-type: none"> Complaints Policy section 10.7 Extension Letter template 	This is contained within our 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	<ul style="list-style-type: none"> Complaints Policy Extension letter template 	This is contained within our Complaints Policy
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	<ul style="list-style-type: none"> Complaints Policy Stage 2 Letter template 	As soon as a resolution is known this will be communicated to the resident and a stage 2 resolution letter will be provided to the resident.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions,	Yes	<ul style="list-style-type: none"> Complaints Policy section 11.1 Stage 2 letter template 	Our complaints process and communications underpin our commitment to resolve

	referencing the relevant policy, law and good practice where appropriate.			complaints, acknowledging when something has gone wrong, being clear on the actions already taken, and on subsequent actions intended to 'put things right'.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	<ul style="list-style-type: none"> This is contained within our Complaints Policy 	This is contained within our Complaints Policy
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	<ul style="list-style-type: none"> Customer Experience Manager Role Complaints Policy Stage 2 response letter 	The responding officer will involve all suitable staff members when investigating the complaint. The customer Experience manager will oversee the issuing of the stage 2 response

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	<ul style="list-style-type: none"> • Stage 1 Letter Template • Stage 2 Letter Template 	Tridents understanding is set out in the acknowledgement letters of the complaint which are worded in line with Housing Ombudsman letter examples
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<ul style="list-style-type: none"> • Complaints Policy section 11.2 	In cases where a remedy is offered this will reflect the extent of service failure and detriment caused to the individual. Offering redress in line with the HOS guidance.
7.3	The remedy offer must clearly set out what will happen and by when, in	Yes	<ul style="list-style-type: none"> • Stage 1 Letter Template 	Any remedy offered will clearly state what actions

	agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.		<ul style="list-style-type: none"> • Stage 2 Letter Template 	and when they will take place within our resolution letters.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<ul style="list-style-type: none"> • Compensation Policy 	Trident uses the Housing Ombudsman Remedy Guidance which is shared with all responding officers

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> <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</p> <p>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;</p> <p>c. any findings of non-compliance with this Code by the Ombudsman;</p> <p>d. the service improvements made as a result of the learning from complaints;</p> <p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>	Yes	<ul style="list-style-type: none"> • Situation Reports • Housing and Community committee reports • Customer Voice Group reports. • Board reports 	<p>Governing bodies receive Situation Reports that contain this information. There have also been Board papers about complaints and Board updates in relation to Ombudsman involvement. The annual self-assessment is sent to governing bodies and scrutiny panels</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 section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	<ul style="list-style-type: none"> • Annual report presented to Group Board 24th June 2024. • Annual report presented to HCC July 2024 • Annual report circulated to Customer Voice Group June 2024 • Published on Website with Chair of the Board response July 2024 	Evidence and actions provide assurance of completion.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Not yet been required.	Should there be a significant restructure or change in procedures a new self assessment will be completed.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Not yet been required.	If following a Ombudsman investigation it is identified that a review and update of the self assessment is needed this will be carried out.
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	Not yet been required.	If we are unable to comply with the code due to exceptional circumstances all residents will be made aware of when we will be returning to be compliant with the code. The Ombudsman would also be informed

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	<ul style="list-style-type: none"> Complaint policy section 18.8 Complaints Situation Reports and Lessons Learnt. 	All learning identified must be checked against policies and procedures and where relevant these documents should be updated and or amended to address the learning points.
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	<ul style="list-style-type: none"> Complaint policy section 18.7 Customer Experience Manager analysing complaints data, themes, trends, reporting to HoS, Exec Director and Executive Team. 	The organisation has a positive and collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments to take collective responsibility for any shortfalls identified through complaints rather than blaming others. Managers cascade learning throughout their direct reports and teams.
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	<ul style="list-style-type: none"> Customer experience panel agenda / minutes The customer voice group agenda / minutes Trident Talk Website Sharepoint 	Board reports about complaints reference learning and improvements. The Complaints Administrator presents to our Customer Voice Standing Group scrutiny

				panel at least twice per year. There is a residents Complaints Panel in place that meet at least annually. We promote a positive complaint handling culture on our website, social media platforms and in resident newsletters.
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	<ul style="list-style-type: none"> Head Of Neighbourhood And Customer Experience Role Profile 	Head Of Neighbourhood And Customer Experience is the senior lead person accountable for complaint handling. They 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	<ul style="list-style-type: none"> Complaints Policy 18.3 	There is an appointed member of the governing body to have lead responsibility 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	Yes	<ul style="list-style-type: none"> Complaints Situation report KPI Report 	The MRC participates in agreeing agendas for board and committee meetings. The MRC receives the situation report which includes

	person must have access to suitable information and staff to perform this role and report on their findings.			information on complaints that provides insight on the landlord's complaint handling performance. The customer experience team liaise with the MRC when required.
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <p>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>	Yes	<ul style="list-style-type: none"> • Complaints Situation report • Lessons Learnt • Annual Reports • KPI Report 	<p>The MRC participates in agreeing agendas for board and committee meetings. The MRC receives the situation report which includes information on complaints that provides insight on the landlord's complaint handling performance. The customer experience team liaise with the MRC when required.</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p>	Yes	<ul style="list-style-type: none"> • Complaints Policy section 18.7 	<p>The organisation has a positive and collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments to take collective responsibility for any shortfalls identified through complaints</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>			<p>rather than blaming others. Managers cascade learning throughout their direct reports and teams. Trident staff are expected to adhere to the professional standards for handling complaints as established by the relevant professional body.</p>
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