

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	<p>A complaint must be defined as:</p> <p><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></p>	Yes	The definition is included in the complaints procedure and policy.	The housing support workers and care and support workers support residents to understand what defines a complaint.
1.3	<p>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.</p>	Yes	<p>Raising concerns, complaints and issues is detailed within the housing welcome pack for homeless families.</p> <p>We have an “easy read” service agreement and tenancy and complaints procedure for residents with a learning disability and/or autism</p>	<p>The residents in our supported living for people with a learning disability and/or autism use the house meetings and their families or representatives to raise issues.</p> <p>The residents who live in our supported living for homeless families use the regular support meetings to raise issues. Their views are sought all of the time through their support. We take any issues raised by a third party as a complaint</p>

				and it is managed through our complaints procedure
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	Service requests are monitored and noted through daily notes, support plans and reviews. The contact monitoring is used to log and track service requests.	Residents service requests are reflected in the record keeping and they are encouraged to share views and requests as they arise with their support staff.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	This would be evidenced through daily notes, contact logs and support planning with the outcome reflected in the records.	Field Lane uses a yearly complaints review for residents living in our homeless families service. This review details when a service request is escalated to a complaint. The complaints review is then reviewed by the housing commissioner through the Annual Commissioning Monitoring .
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	Yes	All resident consultations have a 360% feedback. The complaints procedure is available in services and everyone is reminded and given copies	Field Lane uses annual consultations with residents, families and representatives.

	their services, they also must provide details of how residents can complain.			
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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	We always accept a complaint as the client groups we work with need our procedures to be simply understood.	It is important for our service delivery to be inclusive so listening to resident views in all our housing is important for the client groups we work with.
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. 	No		<p>Field Lane provides housing, support and care to adults at risk and we currently do not have any exceptions for someone wishing to make a complaint.</p> <p>We always investigate any concern, complaint or issue raised.</p> <p>We will review our policy and look at adding exceptions.</p>

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
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	Because of the nature of the supported housing we provide, any complaint is usually an immediate issue. We would consider accepting a complaint that was over a year old.	As part of the support, we provide in our supported living services it is important to help them manage their tenancies. To do this it is vital that they are listened to and their views valued. Our support staff are supervised and trained to do this.
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	This is evidenced in our complaints review and complaints log. Our complaints policy refers to the Ombudsman and how to make contact.	We have not refused a complaint in any of our services in the last two years.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	We do not refuse complaints and take any issue raised seriously.	One of the objectives of our supported living is to help people manage a tenancy in the future. Supporting them to make effective complaints is part of the support we provide.

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	<p>We provide translated complaints procedures and would use translators through the complaints process if needed or appropriate.</p> <p>We use “easy read” and “social stories” to ensure inclusion</p> <p>We enable advocates, families and representatives to be involved.</p> <p>Weekly house meetings enable a forum for discussion about service requests or concerns.</p>	<p>We supervise and encourage support workers to use creative ways including mixed mediums to support people to complain or raise issues.</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	<p>All support staff and managers have the training and supervision to manage any issue or complaint fairly and appropriately and will pass any complaint to the appropriate person.</p> <p>This is evidenced in contact sheets, logs and daily notes.</p>	<p>Support staff will also keep the complainant advised of who they have passed the complaint too.</p>
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	Yes	<p>All complaints are logged and reviewed with feedback given to the residents.</p>	<p>Field Lane works to a Duty of Candour policy which means in practice there is an openness to sharing the</p>

	complaint volumes are potentially a sign that residents are unable to complain.			outcome of a complaint without breaking confidence.
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	The Policy is available in an "easy read" format alongside the standard edition with translated versions. The policy has a two-stage process and timeframes.	The policy is available on Field Lane'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.	No	The policy is currently being reviewed and these changes will be included immediately.	
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	The people we support would all be offered the opportunity to have someone with them at any meeting regarding their complaint.	Because of the vulnerable resident groups, we provide housing support for it would always be our procedure to offer them a representative, family member or friend to help them feel more comfortable. This approach would be part of the support we provide in assisting people to manage their tenancies for the future.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	Yes	There is information regarding the Ombudsman within our complaints policy and procedure.	The people we provide supported accommodation for need easy read and simple information.

	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	Field Lane has nominated individuals included in the complaints policy and procedure for each stage. The Head of Housing is the liaison with the Ombudsman	All senior managers are available and have the appropriate skills and experience to support the complaints team
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	We have clear lines of responsibility and authority to resolve issues within the complaints team.	
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	Within Field Lane's services there is a culture of continuous improvement with improvement plans in place. In our supported accommodation for homeless families the housing support staff have managing complaints as a core	Field Lane's supported living services have independent living and managing a tenancy as an important objective. The support staff have a good understanding of the need to ensure that complaints

			activity. They receive training to enable them to develop the skills to manage complaints effectively with a strength-based approach.	and service requests are well managed.
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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	Field Lane has a single policy which has an “easy read” version and translated versions if appropriate.	Residents are treated equally in line with our Equality and Diversity Policy
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	Field Lane does not have any additional stages and always aims to resolve complaints within the time frame	We only have one complaints process with no exceptions for informal complaints We support adults at risk with autism who in line with best practice respond to a single policy and procedure.
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	Field Lane has a complaints policy and procedure with two stages only.	
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	Yes	Field Lane does not use third party involvement.	We would not expect any resident to go through two separate processes. That

	two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.			would not be in their best interest.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Field Lane does not use any third parties for complaint handling.	
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	Field Lane completes an investigation report that details and clarifies the complaint at stage 1. This investigation report is shared with the complaint and actions and outcomes agreed for Stage 2	Field Lane has found that using an investigation report we are able to keep information and outcomes clear and concise. This avoids any misunderstanding and supports residents satisfaction in the complaint 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	Using the investigation process supports clarity for each aspect of the complaint. This is evidenced in the investigation report for each individual case.	The outcome is also evidenced in the yearly complaint review
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;	Yes	a. The complaints team have the experience support and autonomy to keep an open mind. b. Support is given to the resident so that they are able to	Complaints are taken seriously across all Field Lanes accommodation as inclusion and co-production are important aspects of the

	<ul style="list-style-type: none"> 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. 		<p>have the time and space to feel listened to</p> <ul style="list-style-type: none"> c. Conflicts of interest are reflected within the investigation report and solutions sought to any conflict. d. All evidence and information including any statements are reflected within the report with the aim of a full and fair outcome. 	care and support, we provide.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	This approach would be evidenced within the investigation report and the complaint would be communicated with regarding any delay and giving a new time frame.	Any delays would be explained carefully to the people we support using social stories and “easy read” if that was appropriate.
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	<p>Because the residents Field Lane supports are vulnerable and at risk, their needs change and we are pro-active in recording and monitoring these changes.</p> <p>This is evidenced through Health Action Plans, daily notes, support reviews and person-centred plans.</p>	Field Lane uses external professionals such as Community Nursing Teams, Occupational Therapists and other agencies to ensure we have reasonable adjustments in place. These are regularly reviewed.
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	Yes	Field Lane does not refuse any escalation regardless of stage 1 findings.	Field Lane’s approach is that all residents making a complaint have the right to complete the full process

	clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.		This is evidenced in outcome letters.	enabling them to understand fully the outcome.
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	All records are compliant and kept in line with GDPR.	
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	We would consider it good practice if during the complaints process, we were able to provide a solution or remedy at any point during the process. This wouldn't affect the residents right to see the complaint through to the conclusion or outcome.	Some solutions can be obvious and immediate and these would always be considered and actioned.
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	This approach is included within Field Lane's Policies. These include Threatening Behaviour, Alcohol and Substance Misuse, Behaviour Management and Bullying and Harassment.	Any sanctions or restrictions including code of conduct agreements are regularly reviewed and documented with timeframes and reviews set.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be	Yes	Any restrictions are only introduced following a best	Field Lane works with residents to avoid imposing

	proportionate and demonstrate regard for the provisions of the Equality Act 2010.		interest meeting with time limits and time scales applied. These would all be in line with the Equality Act 2010	restrictions or behaviour agreements.
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Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	<p>The investigation process at stage 1 allows for resolution at that point.</p> <p>The people completing the investigation are experienced and skilled members of the team with experience of working with vulnerable people.</p>	Field Lane is committed to ensuring that everyone who makes a complaint receives the best support during the process.
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	That timescale is in Field Lane's 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	This timescale is in the 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	Yes	We manage the expectations of the resident when the situation is complex and keep them	

	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.		informed using their preferred medium for communication.	
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	This is an aspect of the complaints process we have within our policy but have only recently added to our extension process.	Field Lane is committed to continuous improvement and always looks to improve our processes.
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	A response is always provided immediately, this response includes a timescale for actions.	It is important for the people we support to have a good understanding of the actions so this is a priority area within the complaints process for us as an organisation.
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	Field Lane provides a comprehensive response detailing all the decisions for each issue raised. Policy and good practice is always referenced.	Going forward we will include the relevant law when providing a response.
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	Yes	In our experience during the comprehensive investigation in Stage 1 that establishes the complaint definition other issues arise and are then incorporated. This is evidenced through our investigation reports.	The people that we support due to the scope of their disability sometimes need support to enable them to highlight other issues, so this is something we 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.			familiar with and respond well to.
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	These aspects of the complaint process are detailed in our complaints policy and procedure. The investigation report and following response letters detail these areas in a comprehensive and clear form.	Field Lane has a commitment to providing the people we support with all the information they need to feel that their complaint has been listened to.

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	Stage 2 is our final response; this is evidenced in the policy and also within the letter or communication regarding stage 2	

6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	We outline the timeframe within the policy and refer to stage 2 in the outcome for stage 1.	
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	The complaints team would support the person making the complaint and not question them about their response but accept that they are unhappy with the outcome and then work towards a resolution. This approach is evidenced in the outcome letter to the resident.	The housing support staff are supported to take this approach through training and supervision.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Field Lane's policy clearly lays out the details of individuals that will undertake each stage.	Field Lane has a clear structure for the escalation of any complaint that is raised to ensure that the process is transparent and fair.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Stage 2 in Field Lane's policy details that the written outcome will be provided within 10 days of the appeal which meets the overall 20-day response time.	Field Lane has a proactive approach to resolving complaints in a timely manner as many of our residents can find lengthy waiting times very challenging to deal with.
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.	Yes	We manage the expectations of the resident when the situation is complex and keep them informed using their preferred medium for communication	Field Lane would put the residents needs first as that is an important aspect of person-centred support.

	Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.			
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	This is an aspect of the complaints process we have within our policy but have only recently added to our extension process.	Field Lane is committed to continuous improvement and always looks to improve our processes
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	A response is always provided immediately, this response includes a timescale for actions with details of the manager or worker who will investigate the complaint.	It is important for the people we support to have a good understanding of the actions, so this is a priority area within the complaints process for us as an organisation.
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	Field Lane provides a comprehensive response detailing all the decisions for each issue raised. Policy and good practice are always referenced.	Going forward we will include the relevant law when providing a response
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 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; 		These aspects of the complaint process are detailed in our complaints policy and procedure. The investigation report and following response letters detail these areas in a comprehensive and clear form.	Field Lane has a commitment to providing the people we support with all the information they need to feel that their complaint has been listened to.

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</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>	Yes	<p>Before writing the final response, the complaints officer includes all suitable staff members to ensure that the response and any actions are fair and appropriate.</p>	<p>Field Lane is committed to the staff involved being invested in any agreed outcomes and actions to ensure that the response is supported and followed through.</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"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; 	Yes	<ul style="list-style-type: none"> • A formal apology is included in the outcome letter. • Field Lane acknowledges where things have gone wrong and our part in that. • We provide explanations in the outcome meeting, notes and letter. • We rectify any delays and provide explanations if 	<p>Field Lane has a transparent approach to complaints. We use any learning points from complaints as part of continuous improvement plans. Field Lane involves the residents in periodic policy reviews to support inclusion.</p>

	<ul style="list-style-type: none"> • 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. 		<p>decisions have been made incorrectly.</p> <ul style="list-style-type: none"> • We ensure that we detail what went wrong and how we plan to manage this going forward. This might be changes to policy or processes. • Field Lane has used financial compensation to support outcome decisions. • We use every complaint to inform service delivery. 	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	This is evidenced in meeting notes, outcome letters and any investigation reports.	Any actions, remedy or compensation made is detailed in the complaint outcome response and reflects the severity of any impact upon the tenant.
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	The complaint officer is responsible in overseeing that any remedy that had been agreed is completed. This is set out in the outcome letter.	All suitable staff that were involved in the response would support the tenant and the implementation of any agreed remedy.

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Field Lane would cooperative fully with any complaint that was unresolved and progressed to the Ombudsman. Field Lane would take full account of any decision made and make any reasonable adjustments to improve its service.	Field Lane would be proactive in any communication with the Ombudsman that is investigating a complaint. We would want to achieve a positive outcome and would always work with others to achieve this.
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Section 8: Self-assessment, reporting and compliance

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. 	No	<p>We are reviewing how we present our annual performance and service improvement report.</p> <p>We are planning to produce this report in March 2025 and make it available on our Website and ensure copies are available for residents.</p> <p>Field Lane will include the appropriate requirements in this report as detailed in the Code.</p> <p>We are introducing elements of the code and this includes training for the housing staff and housing support workers.</p> <p>We will be publishing this report on Field Lane's 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.		We will ensure that we have a section of Field Lane's website that relates to complaints. Action: Dec.24	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Field Lane will carry out a self-assessment if any merger or significant restructure were to take place.	There are currently no significant changes to date
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Field Lane would comply with the request from the ombudsman if asked to do so.	
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	Field Lane would inform the Ombudsman if there was a significant incident.	This compliance will be added to our Disaster Recovery Plan. Action: December 24

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	Trustees of Field Lane review all complaints. Outcomes are discussed at Board level and cascaded down so that service delivery improvements can be made. Details and outcomes of complaints are recorded in Board minutes with actions and timescales set.	Board reports provide an opportunity to identify and discuss learning outcomes and what changes can or need to be made for service improvement
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	All complaints are reviewed annually along with relevant policies and any learning outcomes identified. Policy changes are made to improve service delivery following the review.	Field Lane has a culture of positive engagement and a proactive approach with residents to understand any complaint ensuring that the resident is satisfied with the outcome.
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	Field Lane holds regular resident and staff meetings that provide an open forum to discuss complaints. Separate policy review meetings take place with residents as part of co-production with everyone involved in policy change.	Complaints are reported to Field Lanes Board of Trustees as part of the standing agenda.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person	Yes	Tony Ellmer- Field Lane's Head of Housing has been appointed	There will be a review system in place to review risks, potential issues and

	must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.		as the person responsible for complaint handling.	identify policy changes and reviews. Action: January 2025
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	Field Lane will appoint a member of Field Lanes Board of Trustees as the MRC. One of the objectives of the role is to ensure that complaint handling is managed in line with Field Lanes values and aims which detail a supportive inclusive culture.	Action: January 2025
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	A process will be put into place that provides the framework to ensure compliance with this section of the Code. Action: January 2025	The complaints lead person will ensure that the MCR has the relevant information to monitor complaints handling and ensure the Board of Trustees are kept informed. This will include complaints as a standing agenda item within regular Committee and or Board meetings
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;	No	A process will be put into place to ensure that the information is available and that compliance with the Code is in place. This is a new initiative and is being developed at the moment.	This will be completed by March 2025

	<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>			
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>	No	<p>Field Lane is committed to ensuring that we have revised and comprehensive policies and procedures.</p> <p>The implementation of these revised policies and procedures will be inclusive and include residents so that their understanding of the complaints procedure is increased.</p> <p>We recognise that this implementation must be extensive and will have everything in place by February 2025</p>	