

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	Local Space's complaints policy (3.1) states: "We define a complaint as an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents."	
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	Yes	Local Space's complaints policy (3.1) states:	

	<p>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>		<p>"The word 'complaint' does not have to be used for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord's complaints policy."</p>	
1.4	<p>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.</p>	Yes	<p>The complaints and feedback page on our website states that:</p> <p>"Before making a formal complaint, we would like to hear about the issue so it can be resolved promptly and informally with a member of Local Space staff. We will treat this as a service request, which will be documented, monitored and reviewed."</p> <p>In addition, our feedback module on Cx has distinct categories: formal complaint or service request.</p>	
1.5	<p>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.</p>	Yes	<p>A service request can be reopened and will escalate to a stage one complaint on our feedback module in Cx.</p> <p>If we cannot resolve the issue as a service request, we will treat it as a formal complaint and</p>	

			escalate it to stage one of the complaints process.	
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	Our complaints policy clearly defines the difference between feedback and making a complaint, with the methods of reporting a complaint listed. We analyse all survey responses received individually. Where dissatisfaction has been expressed in a survey, and where the complainant has consented to contact, we will check if the person concerned wishes to make a complaint. If this is the case it will be logged as such.	

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	Local Space's complaints policy (3.5) states: "There are some complaints that we will usually not investigate. We will provide a detailed explanation if we do not accept a complaint or will not escalate it.	

			You can approach the Housing Ombudsman if you do not agree with our decision.”	
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	<p>Local Space’s complaints policy (3.5) sets out the following circumstances:</p> <ul style="list-style-type: none"> • Matters that are already the subject of legal action. • Complaints about something that happened more than twelve months ago. • Complaints about something outside of our control (for example, we cannot deal with complaints about other organisations but may be able to give you advice about who you should complain to). • Personnel matters relating to a Local Space employee. • Complaints concerning the content of an approved policy. • 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	Yes	Local Space’s complaints policy (3.6) states:	

	<p>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.</p>		<p>“We will accept complaints referred to us within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. We will consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.”</p>	
2.4	<p>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.</p>	Yes	<p>Local Space’s complaints policy (3.5) states:</p> <p>“There are some complaints that we will not usually investigate. We will provide a detailed explanation if we do not accept a complaint or will not escalate it... You can approach the Housing Ombudsman if you do not agree with our decision.”</p>	
2.5	<p>Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.</p>	Yes	<p>Local Space’s complaints policy (3.5) states:</p> <p>“There are some complaints that we will not usually investigate.</p>	<p>The commitment in our policy to provide a detailed explanation for any excluded complaint underlines our commitment to investigate</p>

			We will provide a detailed explanation if we do not accept a complaint or will not escalate it.”	and review each individual case on its own merits as opposed to a blanket approach.
--	--	--	--	---

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	Our complaints policy (3.4) states that residents can make a complaint in person, via email, phone call or by writing to us. Our website provides access to a complaints form which is available in several languages.	
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	All officers can raise feedback and send an acknowledgment to the customer. The complaint then escalates to stage one and will be investigated and responded to by a manager.	
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	We have updated our website to include a dedicated page for complaints and feedback. This includes details of the complaints process and the role of the Housing Ombudsman and how to	

	sign that residents are unable to complain.		contact them. To improve accessibility, customers can feedback online.	
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	Local Space's complaints policy is published on our website in the complaints and feedback section. The policy contains a detailed description of the two-stage process with timeframes for responding.	
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	In the stage two response, it details that this is the end of our internal complaints process and should the customer wish to pursue this further, they will have to contact the Housing Ombudsman with details of how to contact them in the letter.	
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	Section 3 of our complaints policy states: "A complaint that is submitted via a third-party representative will be handled in line with this complaints policy."	
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	Yes	Section 4.8 of Local Space's complaints policy contains a link to the website, email, phone number and postal address of the Housing Ombudsman Service.	

	individual can engage with the Ombudsman about their complaint.		The policy also defines the circumstances in which customers have the right to contact the Housing Ombudsman Service.	
--	---	--	---	--

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	Feedback cases are assigned to the relevant manager for investigation and response. Complaints monitoring and reporting is carried out by the Service Improvement and Customer Voice 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	The complaints handler in all cases will hold a senior position in their respective teams and therefore will have access to staff at all levels and the appropriate level of authority. In respect of repairs complaints for example, the Property Services Manager is responsible for all strands of repairs and has the authority to	

			address 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	<p>Our Service Improvement Lead, who has been leading on developing our feedback to Cx with IT, as per our complaints policy and the code, regularly holds training and refresher training sessions on complaints handling. She is also available to address any questions.</p> <p>These training sessions are targeted at two different groups:</p> <ul style="list-style-type: none"> • Officer level to log and acknowledge. • Manager level to investigate and respond to the customer in full. 	

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	Our complaints policy has been reviewed by and signed off by the Board. This policy is available on our website and internal SharePoint.	

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	See sections 3.7 and 4 of complaints policy. "We will try and resolve some straightforward enquiries as a service request outside of our formal complaint process, but our policy does not include extra named stages and complies with the two stages approach as required by the Complaints Handling code."	
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	Local Space's complaints policy defines two stages of complaint handling. If the issue is not resolved at stage two, Local Space will acknowledge and communicate customers' right to escalate the issue to the Housing Ombudsman Service.	
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.	Not Applicable-see explanation.		N/A - all complaints follow our internal two stage internal process.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A		N/A - all complaints follow our internal two stage internal process.

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	Our stage one response letter template includes a ‘complaint about’ section – this is an opportunity for the investigating officer to set out their understanding of the complaint. See attached stage one letter template.	
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	In our stage one acknowledgment letter, the service area is pre-selected for the area manager to provide a full response to the complaint. See attached stage one acknowledgement letter.	
5.8	At each stage of the complaints process, complaint handlers must: A) deal with complaints on their merits, act independently, and have an open mind; B) give the resident a fair chance to set out their position; C) take measures to address any actual or perceived conflict of interest; and D) consider all relevant information and evidence carefully.	Yes	Local Space’s complaints policy (4.1) states: “At each stage of the complaints process, complaint handlers will: <ul style="list-style-type: none">• Deal with complaints on their merits, act independently, and have an open mind.• Give the resident a fair chance to set out their position.• Take measures to address any actual or	

			<p>perceived conflict of interest.</p> <ul style="list-style-type: none"> • Consider all relevant information and evidence carefully.” 	
5.9	<p>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.</p>	Yes	<p>Local Space’s complaints policy (4.5) states:</p> <p>“We will agree our method and frequency of communication with you. This will normally take no more than 10 working days and we will always let you know if it will take longer and why... Sometimes we may need more time to reach a decision. In those circumstances, we will explain why and write to you again after no more than 10 working days. In exceptional circumstances, we may need longer and we will try to agree this with you.”</p>	
5.10	<p>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</p>	Yes	<p>We tailor our services to meet the individual needs of our customers. Where a customer discloses a disability which impacts on their ability to engage fully with our complaints</p>	

	has disclosed. Any agreed reasonable adjustments must be kept under active review.		process, we will offer all necessary advice and support to help them. This could include a home visit, language/translation support etc. We continue to consult with our customer panels to ensure our complaints process is fully accessible to all our customers.	
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	<p>Local Space’s complaints policy (4.6) states:</p> <p>“Where possible, we will try to reach a resolution without the need for escalation. Otherwise, the case will be escalated without delay. We will not escalate a complaint until the stage one decision has been provided.”</p> <p>Section 4.6 also states that:</p> <p>“We will not unreasonably refuse to escalate a complaint through all stages of the complaints procedure.”</p> <p>The reasons under which circumstances we would not accept a complaint is presented</p>	

			in the evidence section for point 2.2 in this self-assessment form.	
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	We have an SSRS report (TM007) which directly pulls complaints recorded on Cx. This SSRS report provides us with the full details of the complaint. Sample of SSRS report attached, please see appendix.	
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	Local Space's complaints policy (4.2) states: "We operate a two stage complaints process, as set out in this policy, however we will consider remedies at any point within the complaints process to resolve the complaint as early as possible."	All feedback cases can be reopened and assigned new stages.
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 requirement is covered by our managing unacceptable behaviour 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	Section 2 of our managing unacceptable behaviour policy states: “The policy reflects the requirements of the Equalities Act 2010 by showing due regard for a customer’s medical condition and vulnerability (such as mental health issues and learning disabilities).”	
------	--	-----	---	--

Section 6: Complaints stages

Stage one

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	Local Space’s complaints policy (4.3) states: “We will consider which complaints can be responded to as early as possible, and which require further investigation. We will consider factors such as the complexity of the complaint and whether the customer is vulnerable or at risk. Most stage one complaints can be resolved promptly, and an explanation,	

			apology or resolution provided [to the customer].”	
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	Local Space’s complaints policy (4.5) states: “We aim to resolve customers’ concerns during this initial contact. If an immediate resolution is not possible, we are committed to logging this as a stage one complaint. On receipt of a complaint, the process to log and acknowledge a complaint will take no longer than five working days and where possible we will work during this time to resolve the matter.”	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Local Space’s complaints policy (4.5) states: “As part of the stage one complaint, the person investigating your complaint will develop an action plan with you. As part of this action plan, we will agree our method and frequency of communication with you. This will normally take no more than 10 working days and we will always let you know if it will take longer and why.”	

6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Local Space's complaints policy (4.5) states: "Sometimes we may need more time to reach a decision. In those circumstances, we will explain why and write to you again after no more than 10 working days. In exceptional circumstances, we may need longer and we will try to agree this with you."	
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	Local Space's complaints policy (4.5) states: "However, if you are not happy with the extension, you have the right to contact the Housing Ombudsman." The Ombudsman contact details are provided within our complaints policy.	
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and	Yes	Local Space's complaints policy (4.5) states: "A response to the complaint will be provided when the answer to the complaint is known, not when the outstanding actions required to	

	<p>actioned promptly with appropriate updates provided to the resident.</p>		<p>address the issue are completed. Outstanding actions will be tracked and actioned promptly with appropriate updates provided to you. The response will 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.”</p>	
<p>6.7</p>	<p>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.</p>	<p>Yes</p>	<p>Local Space’s complaints policy (4.5) states:</p> <p>“A response to the complaint will be provided when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions will be tracked and actioned promptly with appropriate updates provided to you. The response will 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.”</p>	

6.8	<p>Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.</p>	Yes	<p>Local Space’s complaints policy (4.5) states:</p> <p>“If you raise additional complaints during the investigation, these will be incorporated into the stage one response (if they are related and the stage one response has not been issued). The new issues will be logged as a new complaint if the new issues are unrelated to the issues already being investigated or if it would unreasonably delay the response.”</p>	
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"> 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	<p>The complaint outcome template letters cover all the points as detailed by the Complaint Handling Code.</p>	

Stage two

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	Local Space's complaints policy (4.6) states: "If you are unhappy with our decision issued at stage one of our complaints process, and you ask us to, we will escalate your complaint to stage two."	
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.		Local Space's complaints policy (4.7) states: 'The complaint is referred at stage two to a senior member of staff within Local Space (this will likely be a Head of Service or other Senior Management team member). We will acknowledge and define your request to escalate to stage two within five working days. The senior member of staff will work with you to achieve a satisfactory resolution.'	
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are	Yes	Local Space's complaints policy (4.7) states:	

	expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.		“We do not require you to let us know the reasons for your escalation, however it can be helpful to assist the stage two complaints investigation process.”	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Local Space’s complaints policy (4.7) states: “The complaint is referred at stage two to a senior member of staff within Local Space (this will likely be a Head of Service or other Senior Management team member). We will acknowledge and define your request to escalate to stage two within five working days. The senior member of staff will work with you to achieve a satisfactory resolution.”	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Our policy goes on to say: “This will normally take no more than 20 working days and we will always let you know if it will take longer and why.”	
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	Yes	Local Space’s complaints policy (4.7) states:	

	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.		“The senior member of staff will work with you to achieve a satisfactory resolution. This will normally take no more than 20 working days and we will always let you know if it will take longer and why. “	
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	Local Space’s complaints policy (4.7) states: “Also, if an extension is necessary, we will provide you with the 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	Local Space’s complaints policy (4.5) states: “A response to the complaint will be provided when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions will be tracked and actioned promptly with appropriate updates provided to you. The response will 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.”	

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	Local Space's complaints policy (4.5) states: "The response will 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."	
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	The complaint outcome template letters cover all the points as detailed by the Complaint Handling Code.	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff	Yes	Local Space's complaints policy (4.7) states:	

	members needed to issue such a response.		“The complaint is referred at stage two to a senior member of staff within Local Space (this will likely be a Head of Service or other Senior Management team member). We will acknowledge and define your request to escalate to stage two within five working days. The senior member of staff will work with you to achieve a satisfactory resolution.”	
--	--	--	--	--

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; 	Yes	<p>Local Space’s complaints policy (1.3) states:</p> <p>“When we make a mistake, we will always apologise, aim to put it right, and provide a good reliable service to all customers and treat all feedback as an opportunity to improve services.”</p> <p>The policy includes details of when compensation might be provided.</p>	

	<ul style="list-style-type: none"> • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>This is clearly set out in our in our complaints policy under section 5.</p> <p>This includes the circumstances we will address dissatisfaction in whichever way seems fit and reasonable to us via discretionary compensation. This is sometimes referred to as a gesture of goodwill and may take the form of non-monetary gestures.</p>	
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	This is clearly set out in our complaints policy under section 5.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.		<p>Local Space’s complaints policy (5.1) states:</p> <p>“We will have regard to the Housing Ombudsman’s Remedies Guidance in making assessments about appropriate</p>	

			remedies offers, including compensation payments.”	
--	--	--	--	--

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> <ol style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>Section 6 of Local Space's complaints policy states:</p> <p>"We will also produce an annual complaints performance and service improvement report for scrutiny and challenge, which will include:</p> <ul style="list-style-type: none"> • The annual self-assessment against the Housing Ombudsman Service Complaint Handling Code to ensure our complaints policy remains in line with its requirements. • A qualitative and quantitative analysis of our complaint handling performance. This will include a summary of the types of complaints Local Space has refused to accept. • Any findings of non-compliance with the Housing Ombudsman Service Complaint 	

			<p>Handling Code by the Ombudsman.</p> <ul style="list-style-type: none"> • The service improvements made as a result of the learning from complaints. • Any annual report about our performance from the Ombudsman and any other relevant reports or publications produced by the Housing Ombudsman Service in relation to our work.” 	
8.2	<p>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.</p>	Yes	<p>Section 6 of our Complaints policy states:</p> <p>“We will report complaints to our Board frequently. We will include information about the type of complaints we receive and the learning we have introduced as a result. Complaints learning will be a standing agenda item at staff team meetings.”</p> <p>“We will also produce an annual complaints performance and</p>	

			service improvement report for scrutiny and challenge.”	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	We will repeat the self-assessment following any significant changes.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We will comply with any requirements in the event of a Housing Ombudsman investigation.	
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	We will notify the Housing Ombudsman in the event of being unable to comply with the code due to exceptional circumstances and ensure we notify residents as required and publish details on our website.	

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	Section 6 of Local Space's complaints policy states that we learn from our mistakes and will use the feedback provided to improve our services, listing the ways this will be achieved.	
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	The feedback provided in respect of complaints represent a key source of intelligence to improve our services. Therefore, how we robustly review and monitor complaints is key. Details are provided in section 6 of our complaints policy.	
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	We currently report back on complaints handling performance to our Customer Voice Board and Residents' Panel. We will shortly appoint a scrutiny panel that will look at specific policies and procedures including those relating to complaints.	
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,	Yes	Our Head of Operations is the senior lead for complaint handling. Themes and trends are assessed periodically in line with reporting and case reviews.	

	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	Local Space has appointed a member of the Board as the lead 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	Local Space's complaints policy (6.1, 6.2) states: "We will report complaints to our Board frequently. We will include information about the type of complaints we receive and the learning we have introduced as a result. Complaints learning will be a standing agenda item at staff team meetings." "We will also produce an annual complaints performance and service improvement report for scrutiny and challenge."	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive:	Yes	Our Customer Voice report to the Board covers all the requirements as listed in 9.7 of this self-assessment.	

	<ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 		<p>In addition, we also submit our annual self-assessment against the code and our annual complaints performance 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> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body. 	Yes	<p>Local Space’s complaints policy (1.5) states:</p>	

			<p>“We will ensure all relevant colleagues receive training on the complaints policy and know how to follow correct procedures throughout the complaints process. We have a standard objective in relation to complaint handling for all relevant colleagues or third parties that reflect the need to:</p> <ul style="list-style-type: none">• Have a collaborative and cooperative approach towards resolving complaints, working with colleagues across teams and departments.• Take collective responsibility for any shortfalls identified through complaints, rather than blaming others.• Act within the professional standards for engaging with complaints as set by any relevant professional body.”	
--	--	--	--	--