



3CHA

*Three Conditions
Housing Association*

3CHA Complaints Handling Code Self-Assessment April 2024 (version 2)

Complaints handling officer – Helen Western CEO

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	The definition of complaint is set out as stated in our Complaints Policy (Paragraph 2.10) and in our Resident Information (Tenant handbook for our social housing tenants and resident information leaflet for exempt accommodation customers)	
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	Our Complaints Policy states that concerns about the services received will be considered as a complaint whether or not the word complaint is used. Further, if a resident expresses dissatisfaction they will be offered the choice to complain. (paragraph 2.12) The Resident information leaflet and our Tenant Handbook have been updated to include the above information.	The 3CHA Complaints Policy was updated in March 2024 to include the choice to complain and specific wording regarding 3 rd party or representative submissions.
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	Yes	3CHA will endeavour to resolve issues that are a service request as early as possible and will support residents to escalate to a complaint should the service not	

	requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.		be of the expected standard. (Complaints Policy para 2.12) Service requests are appropriately recorded, monitored, reviewed and reported on to the executive team monthly and quarterly to the Board.	
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	3CHA Complaints Policy states that where a concern is raised and staff can identify a way to resolve it, this must be the first action – with agreement of the resident. The resolution will not prevent the complaint being pursued or delay any investigation. (Para 2.13)	
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	3CHA conduct monthly surveys with a selection of residents. Where survey feedback is negative the resident is contacted by a member of our operations team to seek to understand the issue. Residents are offered the choice to complain and made aware of the complaints process.	

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	3CHA Complaints Policy sets out the circumstances where we reserve the right not to accept a complaint. (Para 2.3) Each complaint will be considered on its own merits. Where a complaint is not accepted this will be explained in writing giving a full explanation of the reasons. The complaint will be logged and the reason for the decision evidenced and recorded.	
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 	Yes	3CHA Complaints Policy clearly sets out the circumstances in which a matter will not be considered as a complaint. (Para 2.3)	

	<p>Particulars of Claim, having been filed at court.</p> <ul style="list-style-type: none"> • Matters that have previously been considered under the complaints policy. 			
2.3	<p>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.</p>	Yes	<p>3CHA Complaints Policy sets out exclusions one of which is if the issue occurred more than 12 months ago. However, each complaint will be judged on its own merits. (para 2.30)</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>3CHA Complaints Policy states that we will provide an explanation and inform the resident of the right to take the decision to the housing ombudsman (para 2.31)</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>3CHA do not take a blanket approach to excluding complaints. We will consider the individual circumstances of each complaint.</p>	

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>Complaints can be made through their support worker, by email, contact form on the Website or by telephone. 3CHA have a dedicated email address for complaints to be sent to which is monitored during office hours.</p> <p>Residents in our supported exempt accommodation have support staff who can support them in making a complaint. This is particularly important in some of our shared accommodation.</p> <p>The 3CHA Tenant Handbook, provided at the sign up of their tenancy gives details of the ways in which a complaint can be made.</p> <p>In our Supported Exempt Accommodation residents are given details of the complaints process and how they can make a complaint at sign up. A resident</p>	Following our annual complaint review, we will review our complaints policy so that all complaints are investigated by 3CHA including Stage 1 complaints from our supported housing residents. We expect this review to be completed by 1 st November 2024.

			feedback poster is also displayed on the resident notice board in each property. This is checked for compliance during routine and ad hoc property inspections.	
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 operations staff are trained in complaint handling and can manage the first contact with residents. All staff are aware of the complaints process and know the action to take on receipt of a complaint.</p> <p>All operational staff undertake Dispute Resolution Training through the Housing Ombudsman Learning Hub</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 complaint volumes are potentially a sign that residents are unable to complain.	Yes	<p>3CHA recognise that complaints are a way to improve our services and for us to find out any issues at an early stage. We welcome complaints from our residents and our literature reflects this.</p> <p>Complaint levels are monitored and reported on to the Executive Management Team and Member Responsible for Complaints monthly and to the Board quarterly.</p>	
3.4	Landlords must make their complaint	Yes	The full 3CHA Complaints Policy	

	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.		is available to residents on request and on our website. We will meet any request for alternative formats where feasible. Our Tenant Handbook and Resident Information leaflet details the key points of the policy including the 2 stage process and the 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	3CHA Complaints Policy states that we will publicise our policy and self assessment against the code on our website (par 8.10). The policy includes information about the Ombudsman.	
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.		3CHA Complaint Policy states that we are happy for the resident to have a representative deal with their complaint on their behalf or to be represented or accompanied at meetings (para 2.24).	
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.		3CHA Complaints Policy, the Tenant Handbook and Resident information leaflet sets out that residents can contact the housing Ombudsman at any time and throughout the process. All letters provide the details of the ombudsman at each stage.	

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	The Head of Operations has the responsibility for complaint handling and is supported by a housing administrator.	
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 officer has access to all staff and the Executive Team to facilitate the prompt resolution of complaints. They have the necessary authority to act 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		3CHA prioritise complaint handling and have a culture of learning from complaints. All operational staff have undertaken complaint handling training. Although a small	

	core service and must be resourced to handle complaints effectively		organisation, the complaints officer is supported by a housing administrator to ensure complaints are handled promptly and effectively.	
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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	3CHA Complaints Policy applies to all residents regardless of the nature of their accommodation or tenure. We encourage and welcome complaints and do not treat residents differently if they complain.	
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	3CHA will always to try to resolve issues at the earliest opportunity and have a 2 stage process. All complaints are recorded as stage 1 complaint on first point of contact.	
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	3CHA have a 2 stage 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	Where a managing agent has been unable to resolve a complaint at Stage 1 an escalation is made to 3CHA at Stage 2. Where the complaint is about a managing agent the complaint will be managed by 3CHA.	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	3CHA partners are expected to handle complaints in line with the code. All complaints are reported to 3CHA on a monthly basis. All stage 2 complaints are escalated to 3CHA.	
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	All staff understand the need to clarify the complaint at the first point of contact wherever possible. Where further clarity is required, the complaints officer will contact the resident to ensure that 3CHA fully understand the complaint that has been made and the outcome that the resident is seeking.	
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	The acknowledgement letter sent to complainants clearly states what aspects of the complaint are being investigated and invites the resident to contact us with any concerns.	
5.8	At each stage of the complaints	Yes	All operational staff undertake	

	<p>process, complaint handlers must:</p> <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 		<p>dispute resolution training, and we investigate impartially and with independence. Residents are asked for their preferred method of communication and will be offered a face to face meeting to set out their position.</p>	
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>Where a response to a complaint is likely to fall outside of our agreed timescales, we will keep in contact with the resident at times agreed with them to update them on their complaint. Any complaint that falls outside of the timescales is reported to the executive team and member responsible for complaints.</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 has disclosed. Any agreed reasonable adjustments must be kept under active review.</p>	Yes	<p>The individual needs of residents and their households are considered at each stage of the complaint handling process. 3CHA recognise that individual and household needs may be different to information held and will make reasonable adjustments as necessary. The individual and household needs discussed will</p>	

			be recorded on the complaints log to ensure that they are consistently taken into account throughout the process.	
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	3CHA Complaints Policy states the exclusions for escalating to stage 2 (para 2.51)	
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 complaints are logged on the 3CHA complaint log and given a unique reference number. A complaint file for that reference number is opened and a contact/ action sheet put in place to record all contact and actions taken. Any correspondence with the resident, other parties and any supporting evidence is kept in the complaints file.	
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	3CHA are committed to ensuring that a complaint can be remedied at the earliest possible stage and this continues throughout the process. The complaints officer has the authority to resolve complaints at stage 1. Should additional authority be required they have access to the executive team to ensure that escalation to	

			stage 2 is not required.	
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	3CHA Complaints Policy wording (para 4.10). Unacceptable behaviour from residents or their representatives will be referred to a senior member of staff. A senior manager will decide the action to take in line with our Unreasonable Communication 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	3CHA will always be proportionate when putting in place any restrictions in contact and have due regard for the provisions of the Equality Act 2010.	

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	Yes	3CHA are committed to resolve complaints at the earliest possible point. We will not undertake any unnecessary investigations where it is clear that we have not met our expected standards of	

	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.		service. The resident and households vulnerability and risk will be assessed throughout the complaint process. 3CHA recognise that vulnerabilities and risk can change during the process and will remain vigilant to this.	
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	3CHA are committed to acknowledging Stage 1 complaints within 5 working days of the complaint being received. 3CHA Complaints Policy (para 2.40)	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	3CHA are committed to issuing a full response to Stage 1 complaints within 10 working days of the complaint being acknowledged. 3CHA Complaints Policy (para 2.41)	
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	3CHA will consider the complexity of the complaint and inform the resident of the expected timescale for a response. This would not normally be more than 10 working days. If a complaint is likely to take longer than ten days to resolve, we will clearly explain what is happening to the resident and the expected timescale for what actions are	

			planned. (Complaint Policy para 2.41)	
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	Contact details of the Ombudsman are provided at all stages of the complaints process. When informing a resident of any extension to the resolution timescales 3CHA will ensure that the contact details of the Ombudsman are 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	The complaint response will be provided following investigation. If there are any actions still outstanding, they will be tracked and monitored and updates provided as agreed with 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	3CHA complaint responses seek to address all points raised in the complaint definition and provide clear reasons for decisions and referencing policy, law and good practice where appropriate to do so.	
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	Yes	3CHA recognise that residents may wish to raise further complaints during the investigation. Where they relate to the original complaint and we	

	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.		have not issued a stage 1 response, we will investigate them as part of the original complaint. If the stage 1 response has been issued or the matters are unrelated we will log them as a new complaint.	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	3CHA response letter guidance sets out the expected format of the Stage 1 response letter and includes: <ul style="list-style-type: none"> • the complaint stage; • the complaint definition; • the decision on the complaint; • the reasons for any decisions made; • the details of any remedy offered to put things right; • details of any outstanding actions; and • details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	

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	Yes	3CHA Complaints Policy sets out 2 stage procedure	

	stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.			
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Complaints escalated to stage 2 are defined and logged. 3CHA are committed to acknowledging Stage 2 complaints within 5 working days of the complaint being received. 3CHA Complaints Policy (para 2.50).	
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	3CHA will make reasonable efforts to understand why a resident remains dissatisfied with the complaint response. Complaints Policy (para 2.5).	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Stage 2 complaints will be reviewed by a senior member of staff who was not involved in the original complaint at stage 1. This would normally be the Head of Operations where the managing agent has completed the stage 1 investigation and response; or an Executive Director where 3CHA have investigated and responded to the Stage 1 response.	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	3CHA are committed to issuing a full response to Stage 2 complaints within 20 working days of the complaint being	

			acknowledged. 3CHA Complaints Policy (para 2.52)	
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	3CHA will consider the complexity of the complaint and inform the resident of the expected timescale for a response. This would not normally be more than 20 working days. If a complaint is likely to take longer than 20 days to resolve, we will clearly explain what is happening to the resident and the expected timescale for what actions are planned. (Complaint Policy para 2.52)	
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	Contact details of the Ombudsman are provided at all stages of the complaints process. When informing a resident of any extension to the resolution timescales 3CHA will ensure that the contact details of the Ombudsman are provided.	
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	Yes	The complaint response will be provided following investigation. If there are any actions still outstanding, they will be tracked and monitored, and updates provided as agreed with the resident.	

	updates provided to the resident.			
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	3CHA complaint responses seek to address all points raised in the complaint definition and provide clear reasons for decisions and referencing policy, law and good practice where appropriate to do so.	
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; 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	3CHA response letter guidance sets out the expected format of the Stage 2 response letter and includes: <ul style="list-style-type: none"> • the complaint stage; • the complaint definition; • the decision on the complaint; • the reasons for any decisions made; • the details of any remedy offered to put things right; • details of any outstanding actions; and • details of how to escalate the matter to the Ombudsman's Service if the individual remains dissatisfied 	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	3CHA have a 2 stage complaints procedure. The stage 2 response is the final response. All stage 2 responses will be overseen by an Executive Director and the	

			Member Responsible for Complaints	
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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	<p>3CHA response letter guidance sets out the expected format of response letters. Where things have gone wrong 3CHA will acknowledge this and set out the actions that we have taken to put things right. Our response letter guidance sets the following for inclusion where appropriate:</p> <ul style="list-style-type: none"> • an apology; • an acknowledgment of where things have gone wrong; • an explanation, assistance or reasons; • details of action being taken if there has been delay; • a reconsideration or changing of a decision; • an amendment of a record or adding a correction or addendum; • paying compensation or 	

			redress; <ul style="list-style-type: none"> • a change to policies, procedures or practices. 	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	3CHA Remedies and Compensation Policy sets out the parameters for providing a remedy to residents. Within the policy there is scope for an award outside the parameters where it is deemed appropriate.	
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 remedy offered will be clearly set out and may include financial compensation or remedial work and where appropriate will be agreed with the resident. Any actions required will be monitored through the complaints process and through the monthly reporting.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	3CHA Remedies and Compensation Policy took into account the guidance issued by the Ombudsman during development.	

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>3CHA resident report will be produced in line with our financial year end (July). The self assessment will be reviewed as part of the reporting process.</p> <p>The report will include:</p> <ul style="list-style-type: none"> a. a qualitative and quantitative analysis of our complaint handling performance, including a summary of the types of complaints we have refused to accept; b. any findings of non-compliance with this Code by the Ombudsman; c. the service improvements made as a result of our learning from complaints; d. any annual report about the landlord's performance from the Ombudsman; and e. any other relevant reports or publications produced by the Ombudsman in relation to the work of 3CHA. 	

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	The annual report will be reported to our Board and published on our website. The Board response will be included in the report.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	A new self assessment will be completed following any significant changes	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	3CHA will work with the Ombudsman and review our assessment 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	If we are unable to comply with the code for any reason we will inform the Ombudsman, provide information to residents and publish this on our website. We will provide a timescale for returning to compliance with the code.	

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	A Lessons Learnt Log has been introduced from April 2024 to capture learning from complaints. The log is reviewed by the Head of Operations and reported to the Member Responsible for complaints on a monthly basis and to 3CHA Board quarterly.	
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 Lessons Learnt Log and agreed actions will be presented to all staff at the monthly staff meetings. All staff are invested in learning through complaints and positive complaint handling through their performance objectives and review.	
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	3CHA notify relevant stakeholders of the wider learning and improvements from complaints. Managing agent updates include lessons learnt from complaints and any changes in practice that are required as a result.	
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must	Yes	The Head of Operations is the senior lead officer accountable for complaint handling. They have	

	assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.		extensive experience within the housing sector at a senior level and have previous experience of complaints handling, and complaints analysis	
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	A member of the 3CHA Board is the Member Responsible for Complaints and has monthly updates and meetings with the Complaints Officer to monitor performance and support a positive complaints culture.	
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	A member of the 3CHA Board is the Member Responsible for Complaints and has monthly updates and meetings with the Complaints Officer to monitor performance and support a positive complaints culture. The MRC has access to the complaints files and can monitor performance remotely. The MRC and Head of Operations report to the Board quarterly.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and	Yes	The MRC and Head of Operations report to the Board quarterly. From April 2024 the monthly report to the MRC and quarterly report to the Board will include the following: <ul style="list-style-type: none"> an update on the volume, categories and outcomes 	

	<p>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>		<p>of complaints, alongside complaint handling performance;</p> <ul style="list-style-type: none"> • a reviews of issues and trends arising from complaint handling; and • an update on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and <p>Additionally, an annual complaints and service improvement report will be presented to the Board following our financial year end (end of July).</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;</p>		<p>From April 2024, all 3CHA staff have a standard performance objective in relation to complaint handling relative to their role.</p> <p>Managing agents have a standard complaints handling objective. To support this 3CHA will be holding workshops with agents and their staff to promote and set out expectations in</p>	

	and c. act within the professional standards for engaging with complaints as set by any relevant professional body.		respect of complaint handling.	
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