

# Platform Housing - Complaint Handling Code Self-Assessment

## June 2024

### 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	This is explained in section 2.1 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>	This is the definition of a complaint within our Complaints, Comments and Compliments Policy.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	This is covered in training delivered to our Customer Hub Teams. <a href="#">Contact Center video - what is a complaint</a>  This is explained in section 4.1 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>  The link below is to Complaint Handling Code Briefing sessions. <a href="#">PowerPoint Presentation (platformhg.com)</a>	We look at correspondence when it is received and in cases where colleagues feel complaints should be logged this will take place.  This is also covered in the training that has been delivered to the customer Hub.  In relation to complaints made via a third party or representative this is covered in section 4.1 of our Complaints, Comments and Compliments Policy.  This has also been covered in Complaint Code briefing sessions.
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	This is detailed in section 2.2 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>  Link to Platform Hub training. <a href="#">Contact Center video - what is a complaint</a>  The link below is to Complaint Handling Code Briefing sessions. <a href="#">PowerPoint Presentation (platformhg.com)</a>	We clearly recognise the difference between a complaint and a service request. In section 2.2 of our Complaints, Comments and Compliments Policy we list that a complaint is not a request for service.  This has also been delivered to our Customer Hub Team  This has also been covered in Complaint Code briefing sessions.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	This is detailed in section 2 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>  Link to Platform Hub training. <a href="#">Contact Center video - what is a complaint</a>	We clearly recognise the difference between a complaint and a service request. In section 2.2 of our Complaints, Comments and Compliments Policy we list that a complaint is not a request for service.  Training has been delivered to our Hub Team. Colleagues would ensure that efforts to address the service request does not stop if a complaint is made.
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	Customer Experience Advisors provide this to customers where they are following up.	Survey feedback is not treated as a complaint. Transactional survey dissatisfaction is followed up by the Customer Experience Team. Where the issue is followed up and the customer remains dissatisfied this may result in a complaint being raised.

## 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	This is detailed in section 2.2 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>	Platform would only refuse a complaint in specific circumstances. In our Complaints Policy section 2.2 we detail what is not classed as a complaint.

2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	<p>This is detailed in section 2.3 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>In section 2.3 of the Complaints Policy we list where complaints should be better dealt with through alternative bodies.</p>
Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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>This is detailed in section 2.2 of Platforms Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>We will accept complaints referred to us within a twelve-month period and always use discretion dependent on customer circumstances. In our Complaints Policy we do say that we will not accept complaints where the issues have not previously been brought to our attention and are more than twelve months old.</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>Template letter for not accepting a complaint. <a href="#">FC Complaint Refusal.pdf (platformhg.com)</a></p>	<p>If there was a situation where we would not accept the complaint, we would write to the customer and provide details of the Housing Ombudsman Service.</p>

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	We would consider the details surrounding a complaint and the complainant circumstances.	We would consider the details surrounding a complaint and the complainant circumstances.
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### 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>Customer Feedback Leaflet.  <a href="#">Customer Feedback Leaflet - Complaints Procedure 2024.pdf</a></p> <p>Link to Reasonable Adjustment Guide.  <a href="#">PHG0184 Reasonable Adjustments Guide 2023.pdf (platformhg.com)</a></p> <p>This is detailed in section 6.3 of Platforms Complaints, Comments and Compliments Policy.  <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>We provide a number of channels for customers to make a complaint to us, all methods are included in our customer feedback leaflet.</p> <p>We have a Reasonable Adjustment Guide in place to provide guidance on making reasonable adjustments.</p> <p>This is also referenced in our Complaints Policy section 6.3.</p>

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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>Raising a case in dynamics.  <a href="#">PowerPoint Presentation (platformhg.com)</a></p>	<p>We have a central team that deal with all complaints at Platform. The organisation went live with a new CRM solution in February 2024 and there is a specific complaint case type that colleagues are able to log directly onto the system.</p>

<p><b>3.3</b></p>	<p>High volumes of complaints must not be seen as a negative, as they can be indicative of a wellpublicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.</p>	<p>Yes</p>	<ul style="list-style-type: none"> <li>• 2374 Formal complaints received.</li> <li>• 2217 Formal complaints investigated.</li> <li>• 79% of formal complaints responded to on target.</li> <li>• 77% of formal complaints upheld.</li> <li>• 473 Final reviews completed 21% of cases escalated.</li> </ul>	<p>As an organisation we have seen significant increases in complaints over recent years. The statistics for 2023-2024 were as follows:</p> <ul style="list-style-type: none"> <li>• 2374 Formal complaints received</li> <li>• 2217 Formal complaints investigated</li> <li>• 79% of formal complaints responded to on target</li> <li>• 77% of formal complaints upheld</li> <li>• 473 Final reviews completed 21% of cases escalated</li> </ul> <p>We see complaints as a useful tool to learn and improve.</p>
<p><b>3.4</b></p>	<p>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.</p>	<p>Yes</p>	<p>Include the link here to page on the Platform website where these are located.  <a href="https://platformhg.com">Complaints   Platform Housing Group (platformhg.com)</a></p>	<p>Platform have a clear Complaints, Comments and Compliments Policy, with an accompanying procedure leaflet. Both of these are publicised on the Platform website.</p>
<p><b>3.5</b></p>	<p>The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.</p>	<p>Yes</p>	<p>Section 2.4 of the Complaints Policy.  <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>This is detailed within the Complaints Policy section 2.4.</p>
<p><b>3.6</b></p>	<p>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.</p>	<p>Yes</p>	<p>This is detailed in section 4.1 of Platforms Complaints, Comments and Compliments Policy.  <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>We give customers the opportunity to have a representative deal with their complaint. This is referenced in section 4.1 of our Complaints, Compliments and Comments Policy.</p>
<p><b>3.7</b></p>	<p>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.</p>	<p>Yes</p>	<p>Link to web page.  <a href="https://platformhg.com">Complaints   Platform Housing Group (platformhg.com)</a></p>	<p>Platform provide the details of the Housing Ombudsman Service on our website and also we provide this information in our final response letters to customers.</p>

## 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	Team Structure. <a href="#">PowerPoint Presentation (platformhg.com)</a>	We have a Customer Experience Team in place that oversee the complaints policy. The team have grown significantly over recent years to account for the increasing number of complaints.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Dynamics Process of how we investigate complaints. <a href="#">PowerPoint Presentation (platformhg.com)</a> Complaint Handling Code Workshops. <a href="#">PowerPoint Presentation (platformhg.com)</a>	The Customer Experience team do have access to all colleagues at all levels. They have authority to make decisions to resolve disputes promptly and fairly. In June and July 2024 we will be running Complaint Handling Code sessions for wider Platform colleagues.
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	External Training. <a href="#">Agenda (platformhg.com)</a>  Letter writing training. <a href="#">Writing to customers co in person 1 (1).pdf (platformhg.com)</a>  Complaint Handling Code Workshops. <a href="#">PowerPoint Presentation (platformhg.com)</a>	All Customer Experience Advisors complete the Housing Ombudsman online learning annually, in addition to this they have recently in 2024 completed letter writing training. In 2023 the team had external complaint handling training. In June and July 2024 we will be running Complaint Handling Code sessions for wider Platform colleagues.

## Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>	We have a Complaints, Comments and Compliments Policy in place and this would be used to deal with complaints about the code.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	Customer Feedback Leaflet. <a href="#">Customer Feedback Leaflet - Complaints Procedure 2024.pdf (platformhg.com)</a> Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>	We do not have a stage 0. We operate a two stage complaint procedure as detailed in our Customer Feedback Leaflet and Complaints Policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	N/A.	N/A.
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	N/A.	Complaint responses are not handled by third parties. All complaint responses are sent to customers from Platform.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	N/A.	N/A.



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	<p>Template Acknowledgement Letters.</p> <p><a href="#">Formal Complaint Acknowledgement.pdf (platformhg.com)</a></p> <p><a href="#">Final Review Acknowledgement.pdf (platformhg.com)</a></p>	We have standard templates for the acknowledgement of complaints at Stage 1 and Stage 2 of our Complaints Procedure.
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	<p>Template Acknowledgement Letters.</p> <p><a href="#">Formal Complaint Acknowledgement.pdf (platformhg.com)</a></p> <p><a href="#">Final Review Acknowledgement.pdf (platformhg.com)</a></p>	As detailed in 5.6 above we have standard templates for the acknowledgement of complaints at Stage 1 and Stage 2 of our Complaints Procedure.
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	As detailed in 4.3 All Customer Experience Advisors complete the Housing Ombudsman online learning annually, in addition to this they have recently completed letter writing training. Customer Experience Advisors receive regular updates from their managers. All of the formal complaint responses are reviewed by our Quality Assurance Team to ensure consistency in responses.	As detailed in 4.3 All Customer Experience Advisors complete the Housing Ombudsman online learning annually, in addition to this they have recently completed letter writing training. Customer Experience Advisors receive regular updates from their managers. All of the formal complaint responses are reviewed by our Quality Assurance Team to ensure consistency in responses.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	Extension letters. <a href="#">Formal Complaint Extension.pdf (platformhg.com)</a> <a href="#">Final Review Extension.pdf (platformhg.com)</a>	Any extensions to timescales are agreed with the customer. We have a dashboard where we are able to review the status of complaints. One of the improvements for this financial year is for us to be able to see extension reasons on the dashboard for all cases.
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	Customer Feedback Leaflet. <a href="#">Customer Feedback Leaflet - Complaints Procedure 2024.pdf (platformhg.com)</a> Reasonable Adjustments Guide. <a href="#">PHG0184 Reasonable Adjustments Guide 2023.pdf (platformhg.com)</a>	As detailed in 3.1 We provide a number of channels for customers to make a complaint to us, all methods are included in our customer feedback leaflet. We have a Reasonable Adjustment Guide in place to provide guidance on making reasonable adjustments. This is also referenced in our Complaints Policy section 5.3.
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	N/A.	We have not refused to escalate any complaints over the past 12 months.
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	Managing a complaint case in dynamics. <a href="#">PowerPoint Presentation (platformhg.com)</a>	In February 2024 we moved onto a new CRM system. We have a specific case type for complaints. All information relating to the case is saved in one location on the system. On completion of the case Advisors also complete a Comm Out form which is an overall outcome and summary of the case.

<b>5.13</b>	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Complaints, Comments and Compliments Policy. <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a> Remedies and Compensation Policy. <a href="#">Remedies and Compensation Policy (2).pdf (platformhg.com)</a>	We have a clear Complaints Policy and procedure in place. In addition, we have a clear Remedies and Compensation Policy which ensures that remedies can be provided at any stage.
<b>Code provision</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence</b>	<b>Commentary/explanation</b>
<b>5.14</b>	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	Managing unreasonable behaviour Guidance. <a href="#">Guidelines for Unreasonable Behaviour.pdf (platformhg.com)</a>	We have a guidelines in place for managing unreasonable behaviour, this is currently being reviewed.
<b>5.15</b>	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Unreasonable behaviour Guidance. <a href="#">Guidelines for Unreasonable Behaviour.pdf (platformhg.com)</a>  Reasonable adjustment guidance. <a href="#">PHG0184 Reasonable Adjustments Guide 2023.pdf (platformhg.com)</a>	We have a guidance in place for managing unacceptable behaviour, this is currently being reviewed. We also have Guidance for dealing with reasonable adjustments and we would review the two together.

## 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	This is a link of complaints that have been receipted and waiting acknowledgement. <a href="#">Dashboard - Screen Shot of Waiting Acknowledgement.pdf (platformhg.com)</a>	All of our cases are received into our triage side of the team. The team using the system are able to determine this. We have a customer experience team queue that the triage team manage. Our Team Leaders meet daily to look at complaint allocations.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b>within five working days of the complaint being received.</b>	Yes	Screen shot to BI dashboard. <a href="#">Dashboard - Screen Shot of Waiting Acknowledgement.pdf (platformhg.com)</a>	When complaints are received, they are receipted onto the system. This automatically then feeds through to our BI dashboard that the triage team monitor on a daily basis and acknowledge the complaints on the day due and these are monitored through our BI dashboard.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
6.3	Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.	Yes	Screen shot of BI. 79% of complaints were responded to within 10 working days during 2023 – 2024. <a href="#">Dashboard - Screen Shot of Formal Waiting Response.pdf (platformhg.com)</a>	In all cases we endeavour to respond to all complaints within 10 working days. Some complaints are complex and will require more time, where more time is required the Advisor investigating will agree this with the customer.  All complaints are monitored for timescales via our BI dashboard that enables the management team to monitor performance.  In 2023-2024 79% of complaints were responded to within 10 working days.
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	Screen shot of BI. 79% of complaints were responded to within 10 working days during 2023 – 2024. <a href="#">Dashboard - Screen Shot of Formal Waiting Response.pdf (platformhg.com)</a>  Extension Confirmation. <a href="#">Formal Complaint Extension.pdf (platformhg.com)</a>	Some complaints are complex and will require more time, where more time is required the Advisor investigating will agree this with the customer.  All complaints are monitored for timescales via our BI dashboard that enables the management team to monitor performance.  In 2023-2024 79% of complaints were responded to within 10 working days.
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	Template further extension letter. <a href="#">Further Extensions - Including HOS details .pdf (platformhg.com)</a>	Where we extend complaints beyond one extension the details of the Housing Ombudsman Service will be provided.

6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Screen shot from the QA tracker. <a href="#">Screen Shot of QA Tracker.pdf (platformhg.com)</a>	<p>We always endeavour to send the response to the customer when the outcome is known. Currently our Quality Assurance side of the team keep a tracker to monitor outstanding actions.</p> <p>We have recognised this as an improvement area and in Quarter two of 2024 we will be introducing a Complaints After Care Team. The Complaints Aftercare Team will ensure that all actions committed to as part of complaint resolution are progress chased through to completion with the relevant teams and that the customer is kept regularly updated</p> <p>In some instances, customers do not want to receive their response until all of the issues have been resolved so in these instances, we will have to respect the customers wishes.</p>
Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	Formal complaint response letter template. <a href="#">Formal Complaint Response.pdf (platformhg.com)</a>	<p>We have a template response that includes these areas.</p> <p>In July 2023 we implemented a new operating model for the Customer Experience Team, as part of this we now have a quality assurance team, and they review all complaint responses for consistency before they are sent to the customer.</p>

<p><b>6.8</b></p>	<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>	<p>Yes</p>	<p>The team are flexible in their speaking to the customer they would add in additional items.</p> <p>In occasions where this would delay the response a new response would be issued approach and on.</p>	<p>The team are flexible in their approach and on speaking to the customer they would add in additional items.</p> <p>In occasions where this would delay the response a new response would be issued.</p>
<p><b>6.9</b></p>	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ol style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> </ol> <p>details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>	<p>Yes</p>	<p>Template formal complaint response letter. <a href="#">Formal Complaint Response.pdf (platformhg.com)</a></p>	<p>We have a template response that includes these areas.</p> <p>In July 2023 we implemented a new operating model for the Customer Experience Team, as part of this we now have a quality assurance team, and they review all complaint responses for consistency before they are sent to the customer.</p>

## Stage 2

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	<p>Template response letter.  <a href="#">Formal Complaint Response.pdf (platformhg.com)</a></p> <p>Complaints Policy, details in section 5.  <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a></p>	<p>In the formal complaint response, we include details on how a customer can escalate their complaint.</p> <p>Stage 2 is the final stage in our complaint policy, refer to section 5.</p>
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	<p>Screen shot of FR Tracker.  <a href="#">Screen shot of FR tracker.pdf (platformhg.com)</a></p>	<p>All escalation requests are sent through to the Customer Experience Management Team. They are logged onto a tracker to monitor allocations to Senior Managers. They are also entered onto our dynamics system.</p>
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	<p>Stage 2 complaints are logged where the request is made by the customer.</p>	<p>Stage 2 complaints are logged where the request is made by the customer.</p>
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	<p>Customer Feedback Leaflet.  <a href="#">Customer Feedback Leaflet - Complaints Procedure 2024.pdf (platformhg.com)</a></p>	<p>Final Review complaints are completed by a Senior Manager, or a member of the Customer Experience Management Team not previously involved in the case, as detailed in our Customer Feedback Leaflet.</p>



6.14	Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.	Yes	Screen shot of BI. <a href="#">Dashboard - Screen Shot of Final Review Waiting Response.pdf (platformhg.com)</a> 67% of complaints were responded to within 20 working days during 2023 - 2024.	We endeavour to respond to all complaints within 20 working days. Some complaints are complex and will require more time, where more time is required, the Senior Manager investigating will agree this with the customer.  All complaints are monitored for timescales via our BI dashboard that enables the management team to monitor performance.  In 2023-2024 67% of complaints were responded to within 20 working days.
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	FR Template Extension Letter. <a href="#">Final Review Extension.pdf (platformhg.com)</a>	We endeavour to respond to all complaints within 20 working days. Some complaints are complex and will require more time, where the Senior Manager reviewing the case feels additional time is needed they will agree this with the customer.  All complaints are monitored for timescales via our BI dashboard that enables the management team to monitor performance.  In 2023-2024 67% of complaints were responded to within 10 working days.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	Additional extension template. <a href="#">Further Extensions - Including HOS details .pdf (platformhg.com)</a>	Where we extend complaints beyond one extension the details of the Housing Ombudsman Service will be provided.

<p><b>6.17</b></p>	<p>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.</p>	<p>Yes</p>	<p>Screen shot from QA tracker.  <a href="#">Screen Shot of QA Tracker.pdf (platformhg.com)</a></p>	<p>We always endeavour to send the response to the customer when the outcome is known. Currently our Quality Assurance side of the team keep a tracker to monitor outstanding actions.</p> <p>We have recognised this as an improvement area and in Quarter two we will be introducing a Complaints After Care Team. The Complaints Aftercare Team will ensure that all actions committed to as part of complaint resolution are progress chased through to completion with the relevant teams and that the customer is kept regularly updated.</p> <p>In some instances, customers do not want to receive their response until all of the issues have been resolved so in these instances, we will have to respect the customers wishes.</p>
<p><b>6.18</b></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>Final review template letter.  <a href="#">Final Review Response.pdf (platformhg.com)</a>  Complaint reviewer section of the website.  <a href="#">Complaints Reviewers   Platform Housing Group (platformhg.com)</a></p>	<p>We have created a suite of templates that are used as a guide. The items detailed in this section are contained within our Final Review template letter.</p> <p>Final review complaint responses are also looked at by a complaint reviewer before being issued to the customer. The purpose of the complaint customer review is to ensure that the complaint is easy to understand and compensation offered is appropriate.</p>

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes	<p>Final review template letter.  <a href="#">Final Review Response.pdf (platformhg.com)</a></p> <p>Include link to Complaint reviewer section of the website.  <a href="#">Complaints Reviewers   Platform Housing Group (platformhg.com)</a></p>	<p>We have created a suite of templates that are used as a guide. The items detailed in this section are contained within our Final Review template letter.</p> <p>Final review complaint responses are also looked at by a Platform customer, complaint reviewer before being issued to the customer. The purpose of the complaint customer review is to ensure that the complaint is easy to understand and compensation offered is appropriate.</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>Complaints Policy.  <a href="#">Complaints, Comments and Compliments Policy V3.3 18Jun2024- 0.pdf</a>Customer Feedback Leaflet.  <a href="#">Customer Feedback Leaflet - Complaints Procedure 2024.pdf (platformhg.com)</a></p>	<p>Final review is the last stage within our internal procedure. Final review responses are completed by a Senior Manager or a member of the Customer Experience Management Team.</p>

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	<p>Final review template letter.  <a href="#">Final Review Response.pdf (platformhg.com)</a></p> <p>Include link to Complaint reviewer section of the website.  <a href="#">Complaints Reviewers   Platform Housing Group (platformhg.com)</a>  Remedies and Compensation Policy.  <a href="#">Remedies and Compensation Policy (2).pdf (platformhg.com)</a></p>	<p>As detailed in 6.19 we have created a suite of templates that are used as a guide. The items detailed in this section are contained within our Final Review template letter.</p> <p>Final review complaint responses are also looked at by a Platform customer complaint reviewer before being issued to the customer. The purpose of the complaint customer review is to ensure that the complaint is easy to understand and compensation offered is appropriate.</p> <p>We also have a Remedies and Compensation Policy that colleagues follow.</p>
Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Final review template letter.  <a href="#">Final Review Response.pdf (platformhg.com)</a></p> <p>Remedies and Compensation Policy.  <a href="#">Remedies and Compensation Policy (2).pdf (platformhg.com)</a></p>	<p>As detailed in 6.19 we have created a suite of templates that are used as a guide. Details of the remedy will be contained within our Final Review template letter.</p> <p>We also have a Remedies and Compensation Policy that colleagues follow.</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	<p>Final review template letter.  <a href="#">Final Review Response.pdf (platformhg.com)</a></p> <p>Information accompanying responses.  <a href="#">Final Review Compensation Template.pdf (platformhg.com)</a></p>	<p>As detailed in in 6.9 we have created a suite of templates that are used as a guide.</p> <p>This is included in the response but also in the accompanying e-mail.</p>

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Remedies and Compensation Policy. <a href="#">Remedies and Compensation Policy (2).pdf (platformhg.com)</a>	We have a Remedies and Compensation Policy in place that was developed by reviewing the Ombudsman Guidance.
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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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>Annual Complaints Performance and Service Improvement Report 2023 – 2024. <a href="#">Annual Complaints Performance and Service Improvement Report 2023 - 2024.pdf (platformhg.com)</a></p>	We have produced a landlord complaints performance and service improvement report.

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	Link to section on Platform website. <a href="https://www.platformhg.com/complaints">https://www.platformhg.com/complaints</a>	We have produced a landlord complaints performance and service improvement report. This has been presented to the Board and the response to this has been published on our website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	N/A.	N/A.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	N/A.	N/A.
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	N/A.	N/A.

## 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	<p>Example Business Partner Reports</p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf</a></p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf</a></p>	<p>We have a Business Partnering Team in place.</p> <p>This team review customer feedback monthly (not just complaints) and identify areas of learning. They meet with respective parts of the business quarterly to feedback on the voice of the customer.</p>
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	<p>Example Business Partner Reports</p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf</a></p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf</a></p>	<p>We have a Business Partnering Team in place.</p> <p>This team review customer feedback monthly (not just complaints) and identify areas of learning. They meet with respective parts of the business quarterly to feedback on the voice of the customer.</p>

Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
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	<p>Example Business Partner Reports</p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20Localities%20-%20Example%20Business%20Partner%20Report%20.pdf</a></p> <p><a href="https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf">https://www.platformhg.com/sites/default/files/2024-06/Annual%20Report%20PPC%20-%20Example%20Customer%20Experience%20Business%20Partner%20Report.pdf</a></p> <p>Example Customer Voice Panel Report. <a href="#">PowerPoint Presentation (platformhg.com)</a></p>	<p>We have a Business Partnering Team in place.</p> <p>This team review customer feedback monthly (not just complaints) and identify areas of learning. They meet with respective parts of the business quarterly to feedback on the voice of the customer.</p>
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	<p>Example presentation to Risk and Performance. <a href="#">PowerPoint Presentation (platformhg.com)</a></p> <p>Example Executive Director Report. <a href="#">01a. 20 Mar 24 Customer Activity Report 0.pdf (platformhg.com)</a></p>	<p>The Head of Customer Experience is the operational lead for complaints. Regular presentations are shared with our Performance and Risk Committee.</p> <p>The Executive Director of Corporate Resources has strategic responsibility and provides regular reports to the Board</p> <p>The Executive Team meet monthly to review complaints status.</p>
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	<p>Board minutes where MRC was discussed. <a href="#">01c. 20 Mar 24 Group Board Minutes 0.pdf (platformhg.com)</a></p>	<p>A member of the board has been appointed to the role of MRC.</p>



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	Example Board update here. <a href="#">01c. 20 Mar 24 Group Board Minutes_0.pdf (platformhg.com)</a>	The MRC is responsible for reporting back to the Board on complaint performance.
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Code provision	Code requirement	Comply: Yes/No	Evidence	Commentary/explanation
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ol style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ol>	Yes	Template agenda for MRC meetings. <a href="#">Template MRC Meeting.pdf (platformhg.com)</a>	A bi-monthly meeting is held with the MRC, CEO, Executive Director of Corporate Resources, Director of Culture Strategy and Excellence and Head of Customer Experience.

<p><b>9.8</b></p>	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li> </ul>	<p>No</p>	<p>We are partially compliant with this item.</p> <p>There is a commitment around complaints handling in our corporate strategy and measures on this are linked to our action plan.</p> <p>In 2024 there will be a standard objective for all relevant people around complaint handling.</p>	<p>We are partially compliant with this item.</p> <p>There is a commitment around complaints handling in our corporate strategy and measures on this are linked to our action plan.</p> <p>In 2024 there will be a standard objective for all relevant people around complaint handling.</p>
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