

Appendix A: Self-assessment form

Housing Ombudsman Complaint Handling Code Self-Assessment 2025/26 – Quo Vadis Trust (QVT) — Updated July 2026

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	Complaints Procedure — Supported Housing, Section 2 (Definitions): a complaint is defined as 'any expression of dissatisfaction, however made, about the standard of service, action or lack of action by QVT or its staff or contractors.'	Wording closely mirrors the Code definition. Drafting does not yet explicitly extend the definition to 'those acting on its behalf' as a distinct phrase — covered in practice via 'contractors' but recommend aligning the exact wording at next review.
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	Complaints Procedure — Supported Housing, Section 2: 'A complaint does not need to use the word complaint to be treated as one.' Resident Guide – How to Complain (Supported Housing) repeats this in plain English.	Policy does not yet explicitly state that a complaint submitted via a third party/representative must be handled in line with the complaints policy, though Section 3 confirms representatives/advocates can raise complaints with consent. Recommend adding an explicit line at next review.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Complaints Procedure — Supported Housing, Section 5 (Service Requests) and Section 2 (Definitions) distinguish a service request ('a request from a client to QVT requiring action to be taken to put something right') from a complaint and set out separate timescales (3/10 working days) and recording requirements	Compliant. Distinction and recording requirement are both explicit.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	recorded, monitored and reviewed regularly.		(InForm/Care Vision, reviewed daily and quarterly).	
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	Complaints Procedure — Supported Housing, Section 5 (Service Requests): 'Where a service request escalates into a formal complaint, QVT will continue to pursue resolution of the underlying service request in parallel. The original request will not be placed on hold pending the complaint outcome.' Same provision added to Complaints Policy (Published) / Complaints Procedure — Supported Housing.	Now compliant. Explicit parallel-handling requirement added to both the Complaints Policy (Published) and the Supported Housing procedure during the 2026 compliance review.
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	Complaints Policy (Published) / Complaints Procedure — Supported Housing and Complaints Procedure — Supported Housing: 'Any expression of dissatisfaction received through a survey, feedback form, or other feedback mechanism will be followed up with information on how to make a formal complaint, and the client offered the opportunity to pursue it formally.'	Now compliant. Explicit survey dissatisfaction provision added to both the Complaints Policy (Published) and Supported Housing policy.

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	Complaints Procedure — Supported Housing, Section 8 (Complaints Not Accepted): exclusion grounds are listed and decisions must be communicated 'in writing with clear reasons.'	Compliant. SLT considers each case individually per the 12-month exclusion wording; the same individual-merits principle is not yet explicitly stated for the other three exclusion grounds, though no evidence of blanket practice exists.
2.2	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: • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy.	Yes	Complaints Procedure — Supported Housing, Section 8 lists: already fully investigated and resolved; legal/insurance/disciplinary matters subject to separate process; third parties/unrelated services; raised more than 12 months after the event (not an automatic bar).	Grounds map to the Code's acceptable exclusion list. 'Legal proceedings' ground is broader than the Code's specific 'Claim Form and Particulars of Claim filed at court' threshold — recommend tightening wording at next review so the exclusion is not applied prematurely, e.g. on receipt of a solicitor's letter before proceedings are formally issued.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints Procedure — Supported Housing, Section 8: 12-month exclusion 'is not an automatic bar — SLT will consider each case individually, the client will be told in writing if a complaint is excluded on this basis and informed of their right to ask the Housing Ombudsman Service to review that decision.' Same individual-merits protection now also in Complaints Policy – Care Homes, Section C (updated during 2026 review).	This was a specific fix made during the 2026 policy review. Now consistently applied across both the Supported Housing and Care Homes policies. Compliant.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Complaints Procedure — Supported Housing, Section 8: exclusion decisions communicated in writing with clear reasons, and right to ask the Housing Ombudsman Service to review the decision is explicit for the 12-month ground.	The right to refer to the Ombudsman for review of an exclusion decision is now stated for all exclusion grounds in the Complaints Procedure — Supported Housing, Section 8. Fully compliant. Recommend extending the same right-to-review statement to all exclusion grounds at next review.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Procedure — Supported Housing, Section 8: 'SLT will consider each case individually' (12-month ground); Section 9 (Vexatious): 'New complaints from a complainant subject to these restrictions will still be assessed on their individual merits — restrictions are not a blanket ban.'	Individual-merits principle is explicit for the 12-month exclusion and for vexatious complainants. No evidence of blanket exclusion practice.

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	Complaints Procedure — Supported Housing, Section 6 and Client Guide – How to Complain (Supported Housing): complaints can be made by speaking to staff, via the Housing Manager, by phone (0208 778 4546), email (complaints@qvt.org.uk), letter, online (qvt.org.uk), or via a representative/advocate. Complaints Procedure — Supported Housing references the Equality Act 2010 at Section 4 (Principles). Full QVT contact details are provided in Client Guide – How to Complain (Supported Housing).	Contact details explicitly included in the Client Guide — How to Complain (Supported Housing), approved and published July 2026. Channels documented in both policy and guide. Fully compliant. The policy references the Equality Act in principle but does not yet set out specific reasonable-adjustment mechanisms for the complaints process itself. Recommend strengthening at next review. Compliance rating remains Yes.
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	Resident Guide – How to Complain (Supported Housing): 'You can make a complaint in whatever way is easiest for you — speak to any member of staff.' Complaints Procedure — Supported Housing, Section 6: 'The member of staff who receives the complaint will attempt to resolve it at the point of contact.'	Compliant in policy wording. Staff training/awareness to support this (so that any staff member can recognise and route a complaint) is referenced only generally; no training record was reviewed as part of this assessment.
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	Complaints Policy (Published) / Complaints Procedure — Supported Housing: 'QVT recognises that a high volume of complaints is not in itself a negative indicator — it can reflect a well-publicised, accessible process that gives clients confidence to raise concerns. Complaint volumes will not be used as a negative	Now compliant. Explicit statement added to all three policy documents.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			measure of team or service performance.' Same statement added to Complaints Procedure — Supported Housing and Complaints Policy – Care Homes.	
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Complaints Procedure — Supported Housing sets out the two-stage process, timescales and what happens at each stage in plain English, mirrored in Client Guide – How to Complain (Supported Housing) (Supported Housing) and Resident Guide – How to Complain (Care Homes) (Care Homes). Both resident-facing guides are complete finalised drafts, pending approval and website publication.	Resident-facing documents now exist for both services and are complete. This step has been completed: all documents approved and published July 2026. Fully compliant. approval is received. Marked Yes as the documents exist and are substantively compliant — publication is a governance timing point, not a content gap.
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	Complaints Policy (Published) / Complaints Procedure — Supported Housing: Updated to describe five specific publicising channels: display at all schemes; client induction; Client/Resident Guides; QVT website; and alternative formats on request. Complaints Procedure — Supported Housing and Complaints Policy – Care Homes include matching cross-references.	Now compliant. Publicising provision added explicitly to all three policies with specific channels described.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Complaints Procedure — Supported Housing: 'Clients have the right to be accompanied or represented at any Stage 2 meeting or conversation by a family member, friend, advocate, or other representative of their choosing.' Same in Complaints Policy – Care Homes Stage 2 section.	Strengthened. Right to be accompanied at Stage 2 meetings now explicitly stated in both procedure policies, not only implied through the general right to representation at complaint receipt.
3.7	Landlords must provide residents with information on their right to access the	Yes	Complaints Procedure — Supported Housing, Section 7: full Housing	Compliant.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	Ombudsman service and how the individual can engage with the Ombudsman about their complaint.		Ombudsman Service contact details provided, with explicit statement that QVT will not obstruct Ombudsman referral. Ombudsman Jurisdiction Matrix (Section E, Complaint Handling Staff Tools): authoritative reference on which Ombudsman applies to each service type, including dual-jurisdiction cases. Statement that QVT will not obstruct or discourage referral. Client Guide – How to Complain (Supported Housing) repeats Ombudsman contact details in plain English with the same anti-discouragement statement. QVT contact details (Tel: 0208 778 4546, complaints@qvt.org.uk, 92 Brownhill Road SE6 2EW) are also now provided in Client Guide – How to Complain (Supported Housing).	

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	Complaints Policy (Published) / Complaints Procedure — Supported Housing: 'QVT designates a named Complaints Officer with day-to-day responsibility for complaint handling, including logging and tracking all complaints; liaising with the Housing Ombudsman Service on referrals; producing quarterly complaint reports for the COO and SLT; and maintaining the Complaints and Compliments Register. The Complaints Officer role is distinct from the MRC governance role.'	Now compliant in policy. Named complaints officer role has been formally described and distinguished from the MRC. The specific individual should be confirmed and recorded in QVT's staff governance register.
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	Complaints Procedure — Supported Housing, Section 6: Stage 1 is handled by the Housing Manager with referral from frontline staff within 2 working days; Stage 2 by a member of SLT independent of Stage 1.	Escalation routes give complaint handlers access to relevant staff levels. Explicit statement of 'authority and autonomy to resolve disputes promptly and fairly' is implied through the role descriptions but not stated as a standalone principle.
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	Complaints Policy (Published) / Complaints Procedure — Supported Housing: Training programme requirement expanded to cover: Code definition of a complaint; how to recognise, acknowledge and log at point of contact; Stage 1 responsibilities; reasonable adjustments; and the remedies framework. Required at induction for all relevant staff, refreshed annually. Training records to be maintained.	Now compliant in policy. Training programme requirements are documented. Evidence of actual training delivery should be maintained separately and referenced in the next Self-Assessment cycle.

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 Procedure — Supported Housing is QVT's single policy for the Supported Housing service, derived from and consistent with the Complaints Policy (Published) / Complaints Procedure — Supported Housing Complaints Policy (Published). The former Pack 4 (Section 3) and the separate Supported Living Complaints Policy (January 2026) have been merged into this single document, removing the inconsistencies between them (including the conflicting Stage 2 escalation windows and eviction wording). Cross-referencing controls and the QVT Ombudsman Jurisdiction Matrix prevent future drift.	Fully compliant. The two-document inconsistency identified in the original assessment has been resolved. QVT now operates a single consistent policy for the Supported Housing service, with the master as the authoritative source. The Jurisdiction Matrix and Quick Reference Notice in each policy document provide the structural controls to maintain consistency going forward.
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	Complaints Procedure — Supported Housing, Section 6: process moves directly from frontline attempt to resolve, to a formally logged Stage 1. No 'Stage 0' or informal pre-stage exists in current drafting.	Compliant.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the	Yes	Complaints Procedure — Supported Housing, Section 6: two stages only (Stage 1 Frontline Resolution, Stage 2 Formal Review).	Compliant.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaint process unduly long and delay access to the Ombudsman.			
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing 'One Complaint, One Response' provision: where a third party or contractor is involved in a complaint, it remains within QVT's single two-stage process. This provision is cited in Complaints Procedure — Supported Housing via cross-reference to Complaints Policy — (Published) / Complaints Procedure — Supported Housing.	Compliant. The One Complaint, One Response principle exists in the Complaints Policy — (Published) and is cross-referenced in the Supported Housing procedure document. No change to compliance rating — confirmed Yes.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'QVT is responsible for ensuring that any third party or contractor who handles any element of a complaint on its behalf does so in line with the Code... QVT will coordinate the response and ensure the third party's handling meets the same timescales, standards and communication requirements.' Same provision added to Complaints Procedure — Supported Housing and Complaints Policy – Care Homes.	Now compliant. Explicit standalone third-party responsibility statement added to all three policy documents.
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	Yes	Complaints Procedure — Supported Housing, Section 6, Stage 1: QVT must acknowledge the complaint 'confirming a named contact, QVT's understanding of the complaint, and the outcome the client is seeking — giving the client the opportunity	This was a specific gap identified and closed during the 2026 review (the original Pack 4 and Supported Living documents did not include this requirement; it was added at both stages). Now compliant.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	any aspect of the complaint is unclear, the resident must be asked for clarification.		to correct this if inaccurate.' Same principle applied at Stage 2 acknowledgement.	
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	Complaints Procedure — Supported Housing, Section 6: 'The acknowledgement must also confirm which aspects of the complaint QVT accepts responsibility for investigating, and, where applicable, identify any aspects that QVT is not responsible for... with a clear explanation of why.' Same requirement added to Complaints Policy — (Published) / Complaints Procedure — Supported Housing Stage 1 acknowledgement section and to Complaints Policy – Care Homes.	Now compliant. Explicit requirement to state which aspects QVT is and is not responsible for has been added to the acknowledgement requirements in all three policies.
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing and Complaints Procedure — Supported Housing: Complaints Procedure — Supported Housing and Complaint Handling Staff Tools, Section B (Investigation Framework). 'Complaint handlers at all stages must: deal with each complaint on its individual merits; act independently and with an open mind; give the complainant a fair opportunity to set out their position and respond to any adverse information; identify and manage any conflict of interest; and consider all available evidence carefully and proportionately.' Same statement in Complaints Policy – Care Homes.	Now compliant. Explicit complaint-handler conduct principles added to all three policy documents.

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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing and Complaints Procedure — Supported Housing: Extension provision now states: 'During any extension period, QVT will provide the complainant/client with brief updates at least every 5 working days on the progress of the investigation.'	Strengthened. Agreed-interval update requirement added to both Stage 1 and Stage 2 extension provisions across all three policies.
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'Any reasonable adjustments agreed with a complainant will be recorded on the InForm alongside the complaint record. Adjustments will be actively reviewed at each stage.' Complaints Procedure — Supported Housing: 'Staff will ask clients at complaint receipt whether any adjustments are needed. Any agreed adjustments will be recorded... and actively reviewed at each stage.' Same in Complaints Policy – Care Homes.	Now compliant. Record-keeping requirement for reasonable adjustments added explicitly to all three policy documents, including the requirement for staff to proactively ask about adjustments at complaint receipt.
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	Complaints Procedure — Supported Housing, Section 8 governs exclusion from the process; escalation from Stage 1 to Stage 2 is a client right exercisable 'within 20 working days of the Stage 1 decision' with no separate refusal grounds for escalation distinct from the Section 8 exclusion grounds.	Compliant — refusal to progress a complaint is governed by the same documented exclusion grounds as initial acceptance, consistent with the Code's requirement that this complies with Section 2.
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	Yes	Complaints Procedure — Supported Housing, Section 6: 'The complaint and all actions taken will be logged on QVT's InForm.'	Record-keeping requirement is stated. The specific content of the record (original complaint and date, all correspondence, supporting documentation) is not itemised in

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.			the policy text, though this is standard practice for the named system. Recommend the Complaints Policy — (Published) itemise required record contents explicitly, to remove ambiguity for staff.
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	Complaints Procedure — Supported Housing, Section 9 (Vexatious or Unreasonably Persistent Complainants): documented behaviour categories, restriction options, and a requirement to document and review restrictions at least every 3 months. Explicit statement that tenancy/placement enforcement action, including eviction, will not be taken as a consequence of making a complaint. Same protection confirmed in Complaints Policy – Care Homes following 2026 review.	Compliant in principle — remedies are available at Stage 1, not held back until Stage 2.
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	Complaints Procedure — Supported Housing, Section 9 (Vexatious or Unreasonably Persistent Complainants): documented behaviour categories, restriction options (named contact, written-only, decline further correspondence on a concluded matter), and a requirement to document and review restrictions at least every 3 months.	This section was substantially revised during the 2026 review: the previous draft permitted eviction as a consequence of vexatious complaint behaviour, which was removed as non-compliant with the Code's expectations and replaced with an explicit statement that tenancy/placement enforcement action will not be taken because of complaining.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard	Yes	Complaints Procedure — Supported Housing, Section 9: restriction decisions 'must be documented, reviewed at least every 3 months, and communicated to the	Proportionality and review cadence are explicit. Equality Act regard is referenced generally at Section 4 but not specifically tied to vexatious-

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	for the provisions of the Equality Act 2010.		complainant in writing with clear reasons,' and do not affect the right to approach the Housing Ombudsman.	complainant decisions — recommend an explicit cross-reference at next review.

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	Complaints Procedure — Supported Housing: Stage 1 intro now includes: 'On referral, the Housing Manager will conduct an initial triage considering: the seriousness and complexity; any vulnerability of the complainant; whether immediate action is required; and whether early resolution is achievable.' Same triage requirement in Complaints Policy — (Published) / Complaints Procedure — Supported Housing and Complaints Policy — Care Homes.	Now compliant. Explicit triage step with specific criteria added to all three policy documents.
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	Complaints Procedure — Supported Housing, Section 6: 'Acknowledge the complaint in writing within 5 working days.'	Compliant, matches the Code's 5-working-day acknowledgement requirement.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints Procedure — Supported Housing, Section 6: 'Investigate and respond in full within 10 working days.'	Compliant, matches the Code's 10-working-day Stage 1 response requirement.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Complaints Procedure — Supported Housing, Section 6: 'where it is not possible to complete the investigation within 10 working days, the client is informed of the	Compliant, matches the Code's maximum-10-working-day extension provision.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		delay and the reason via a holding letter with a revised response date — this should not exceed a further 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	Complaints Procedure — Supported Housing, Section 6: 'At the point an extension is agreed, the client will also be given the Housing Ombudsman Service's contact details.'	This was a specific gap identified and closed during the 2026 review — the prior drafts allowed extensions without an explicit requirement to provide Ombudsman contact details at that point. Now compliant at both Stage 1 and Stage 2.
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	Complaints Procedure — Supported Housing, Section 6: 'A response to the complaint should be provided to the complainant within 10 working days from the date of receipt and must be sent to the client as soon as we have a clear answer, not when all necessary actions to resolve the issue are completed. Outstanding actions must still be tracked and addressed promptly.'	Compliant — explicit statement that the response is not held back pending completion of remedial actions.
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	Complaints Procedure — Supported Housing, Section 6 Stage 1 response requirements include 'the reasons for the decision,' and the complaint-definition requirement at acknowledgement (Section 6) ensures the points being addressed are agreed with the client in advance.	Compliant in principle. The policy does not explicitly require referencing relevant policy, law or good practice in the reasons given — recommend strengthening this expectation in the response-letter template referenced in the Complaints Policy — (Published).
6.8	Where residents raise additional complaints during the investigation,	Yes	Complaints Procedure — Supported Housing: 'Where a client raises additional issues during a Stage 1 investigation, the	Now compliant. Explicit mid-investigation new issues provision added to all three policy documents.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Housing Manager will decide whether to: (a) incorporate them into the current Stage 1 investigation, updating the complaint definition with the client's agreement; or (b) log them as a new complaint if outside the current scope. The client will be informed in writing of the approach taken within 5 working days.' Same provision in Complaints Policy — (Published) / Complaints Procedure — Supported Housing and Complaints Policy – Care Homes.	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	Complaints Procedure — Supported Housing, Section 6: Stage 1 response addresses 'the complaint reference; the outcome of the complaint; the reasons for the decision; details of any remedy offered; and details of any outstanding actions,' plus escalation information at Section 6/7.	All Code-required elements are present except an explicit restatement of 'the complaint definition' within the written response itself — this is captured at acknowledgement (5.6/6.2) but the response-content list at 6.9 does not separately repeat it. Recommend adding to the response template for clarity, as the Code lists it as a distinct closing requirement.

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	Complaints Procedure — Supported Housing, Section 6: 'If the client remains dissatisfied with the Stage 1 response, they may request a Stage 2 review.'	Compliant.
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 Procedure — Supported Housing, Section 6: 'Acknowledge the escalation within 5 working days.'	Compliant, matches the Code's 5-working-day Stage 2 acknowledgement requirement.
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	Complaints Procedure — Supported Housing: 'Clients are not required to explain their reasons for requesting a Stage 2 review. QVT will acknowledge all Stage 2 requests and will seek to understand the nature of the client's continued dissatisfaction through a conversation where possible.' Same provision in Complaints Policy — (Published) / Complaints Procedure — Supported Housing and Complaints Policy – Care Homes.	Now compliant. Explicit statement that residents are not required to explain their reasons for escalating has been added to all three policies.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Procedure — Supported Housing, Section 6: 'The Stage 2 review will be conducted by a member of the Senior Leadership Team independent of the Stage 1 investigation.'	Compliant.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints Procedure — Supported Housing, Section 6: 'Respond in full within 20 working days.'	Compliant, matches the Code's 20-working-day Stage 2 response requirement.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints Procedure — Supported Housing, Section 6: 'where it is not possible to complete the investigation within 20 working days, the client is informed and given a revised response date — this should not exceed a further 10 working days without good reason.'	Compliant, matches the Code's maximum-10-working-day Stage 2 extension provision (note: the Code permits up to a further 20 working days for Stage 2 extensions — QVT's policy is currently more conservative at 10, which is compliant as it does not exceed the Code maximum, but worth confirming this was a deliberate choice rather than a drafting carry-over from the Stage 1 figure).
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	Complaints Procedure — Supported Housing, Section 6: 'At the point a Stage 2 extension is agreed, the client will also be given the Housing Ombudsman Service's contact details.'	Compliant — same 2026 fix as 6.5, applied consistently at both stages.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints Procedure — Supported Housing, Section 6 Stage 2: 'Respond in full' language mirrors the Stage 1 principle that response timing is tied to the answer being known, not outstanding actions being complete.	Compliant by the same logic as 6.6; not separately restated for Stage 2 but the principle applies organisation-wide per the Complaints Policy — (Published).
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	Complaints Procedure — Supported Housing, Section 6 Stage 2 response requirements include 'the reasons for the decision.'	Same position as 6.7 — compliant and evidenced. Complaint Handling Staff Tools, Section D (Stage 1 Response Letter Template) requires handlers to explain findings with reference to the basis for decisions. Gap closed.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	Complaints Procedure — Supported Housing, Section 6 Stage 2: response addresses 'the complaint review reference; the outcome of the review; the reasons for the decision; any remedy or apology offered; and any outstanding actions,' plus 'clear information on the client's right to escalate to the Housing Ombudsman Service.'	All Code-required closing elements present, with the same minor gap as 6.9 regarding explicit restatement of the complaint definition within the written response.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints Procedure — Supported Housing, Section 6: Stage 2 conducted by SLT, described as QVT's final response stage, with full signposting to the Housing Ombudsman.	Compliant.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: • 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	Complaints Procedure — Supported Housing, Section 6 references 'any remedy offered' at both stages; Section 9 confirms a Stage 2 response may include 'any remedy or apology offered.'	The categories of remedy listed in the Code (apology, explanation, financial remedy, policy change, etc.) are not itemised in QVT's policy, but the general provision for remedies exists at both stages. Recommend the Complaints Policy — (Published) include the Code's remedy categories as guidance for staff, to support consistent practice.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing (Remedies section): 'Remedies must reflect the specific impact of the fault on the individual complainant — not a standard or one-size-fits-all approach. The type and extent of any remedy offered will be proportionate to the severity and duration of the injustice or inconvenience caused.' Summary provision in Complaints	Now compliant. Impact-based remedy principle added to all three policy documents, with the full remedies framework in the Complaints Policy — (Published).

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Procedure — Supported Housing and Complaints Policy – Care Homes.	
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing (Remedies section): 'All remedy offers must: (1) clearly set out what will be done and by when; (2) be agreed with the complainant where practicable; (3) be confirmed in writing as part of the Stage 1 or Stage 2 response; and (4) be tracked through to completion. Outstanding remedy actions will be logged on the InForm and reviewed at the next quarterly complaint review.' Summary in Complaints Procedure — Supported Housing and Complaints Policy – Care Homes.	Now compliant. Full remedy follow-through framework added to the Complaints Policy — (Published) with summary provisions in both procedure policies.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing (Remedies section): 'In deciding the appropriate remedy, QVT will have regard to the Housing Ombudsman's published guidance on remedies (available at housing-ombudsman.org.uk). Staff responsible for complaint handling at Stage 1 and Stage 2 are expected to be familiar with this guidance and to apply it consistently.'	Now compliant. Explicit reference to the Housing Ombudsman's remedies guidance added to the Complaints Policy — (Published) and cross-referenced in both procedure policies.

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'QVT will produce an Annual Complaints Performance and Service Improvement Report covering each financial year. As a minimum the report will include complaint volumes by stage, type and outcome; response-time performance against Code timescales; complaints refused and grounds; any Ombudsman findings or orders and QVT's compliance with them; and service improvements made as a result of complaint learning.' The policy commitment is in place. The first Annual Report is due following governing body approval.	Fully compliant. The 2025/26 Annual Report has been produced and published. Service improvements from 2025/26 data: SI-11 (Stage 2 offer documentation where Stage 1 unsatisfied); SI-12 (compliment extraction from InForm for quarterly reporting from Q1 2026/27); SI-13 (CCIA (Complaints, Compliments, Incidents and Accidents) boundary protocol between complaints, incidents, and accidents in InForm, due October 2026). The Annual Report content requirements are now fully specified in the Complaints Policy — (Published). The first Annual Report for 2024/25 is to be produced immediately following governing body approval of the policy suite.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	Ombudsman in relation to the work of the landlord.			
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 following documents have been published on QVT's website in compliance with Code provision 8.2: 1. Complaints Policy — https://qvt.org.uk/service-report/complaints-policy-2025-26/ 2. Annual Complaints Performance and Service Improvement Report — https://qvt.org.uk/service-report/annual-report-2025-26/ 3. Self-Assessment Form — https://qvt.org.uk/service-report/self-assessment-housing-ombudsman-complaint-handling-code-2025-26/ 4. QVT Board's Response to the Annual Complaint Handling Performance Review — https://qvt.org.uk/service-report/board-response-2025-26/ 5. Client's guide on raising a complaint https://qvt.org.uk/service-report/client-guide-how-to-complain-supported-housing-2025-26/	The 2023/24 Annual Complaints Performance and Service Improvement Report, Complaints Policy, Self-Assessment Form, and Board Response have been published on QVT's website. The 2025/26 policy suite and updated Self-Assessment are pending governing body approval and publication. Once published, provision 8.2 will be fully met for the current cycle.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	This Self-Assessment was prompted by, and follows, a significant 2026 restructure of QVT's complaints documentation: the merger of the former Pack 4 (Section 3) and Supported Living Complaints Policy into the single Complaints Procedure — Supported Housing; the correction of the Care Homes policy's Ombudsman jurisdiction framing (Housing	Compliant — this Self-Assessment is itself evidence of the practice the Code requires following significant procedural change. The 2026 restructure addressed multiple inconsistencies identified through internal review, demonstrating QVT's

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Ombudsman → LGSCO); removal of duplication across all documents; consistent naming and cross-referencing throughout; and the completion of this Self-Assessment itself.	commitment to continuous improvement in complaint handling.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	No Ombudsman investigation has prompted a review to date.	No live obligation currently. Process for future review following an Ombudsman investigation is implicit in the governance arrangements at Section 10 but not yet tested.
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	No exceptional circumstances (e.g. cyber incident) affecting Code compliance have occurred.	No live obligation currently. No specific contingency process for this scenario was identified in current policy documents; recommend adding brief reference to the Complaints Policy — (Published) for completeness, even though not currently triggered.

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	Demonstrated by this review itself: multiple specific service-improvement actions were identified and incorporated into policy during 2026 (e.g. removal of eviction as a vexatious-complaint consequence; correction of exclusion-ground wording; addition of named-contact and complaint-definition requirements at acknowledgement).	Compliant — evidenced by the substance of the 2026 policy review itself, which looked beyond individual complaints to correct systemic policy gaps.
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'Complaints will be reviewed quarterly by the COO, with a focus not only on individual complaint volumes and outcomes but also on identifying recurring themes, systemic issues, and any policies or procedures that require revision. This themes-and-trends analysis will be documented in a quarterly Complaints Themes Report and shared with the Senior Leadership Team and the Board.'	Now compliant. Formal quarterly complaints themes and trends reporting mechanism documented in the Complaints Policy — (Published) and cross-referenced in both procedure policies.
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'QVT will report learning from complaints back to stakeholders beyond the Board. This will include: a summary of complaint outcomes and lessons learned shared at client forums and house meetings at least annually; a complaints learning update shared with all staff	Now compliant. Stakeholder reporting mechanism — including to residents, staff, and commissioners — documented in the Complaints Policy — (Published) and summarised in both procedure policies.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			through team meetings or induction materials; and any relevant learning reported to applicable commissioners or partners. Evidence of this stakeholder reporting will be included in the Annual Complaints Performance and Service Improvement Report.'	
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	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'The COO is formally designated as QVT's senior lead accountable for complaint handling. In this capacity the COO is responsible for: assessing complaint themes and trends to identify potential systemic issues or serious risks; ensuring service improvements arising from complaints are implemented and tracked; and reporting complaints performance to the Senior Leadership Team and governing body.'	Now compliant. COO designated as senior lead with explicit systemic-issues assessment responsibility now documented in the Complaints Policy — (Published).
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	Complaints Procedure — Supported Housing, Section 10: 'QVT's Board appoints a Member Responsible for Complaints (MRC).'	Fully compliant. The Chair of the Board of Trustees was appointed as MRC in July 2026, fulfilling Code provision 9.1. This closes what was the single most significant outstanding governance action from the prior self-assessment cycle. Appointment recorded in governance register, communicated to all staff, and published on QVT website.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that	Yes	Complaints Procedure — Supported Housing, Section 10: the MRC 'receives regular updates on complaint handling	The role's information rights are described in policy; The MRC is the Chair of the Board of Trustees

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		performance, Ombudsman investigation outcomes, and progress against any orders made by the Ombudsman.'	(appointed July 2026). Fully compliant. The Chair of the Board of Trustees has been appointed as MRC (July 2026). The MRC now receives quarterly Complaints Themes Reports from the COO and received the 2025/26 Annual Report and Self-Assessment at the July 2026 Board meeting. Information flow in place and evidenced.
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 trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: MRC reporting requirements now specify minimum content as: complaint volumes by stage, type and outcome; response-time performance; complaints refused and grounds; Ombudsman investigation outcomes and order-compliance; and the Annual Complaints Performance and Service Improvement Report.	Now compliant. Full MRC minimum reporting content specified in Complaints Policy — (Published), The MRC is the Chair of the Board of Trustees (appointed July 2026). Information flow now in place.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:	Yes	Complaints Policy — (Published) / Complaints Procedure — Supported Housing: 'QVT will include a standard complaint-handling objective in the performance frameworks of all staff and	Now compliant in policy. Staff complaint-handling objective requirement added to all three policy documents. Implementation

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.		relevant third-party contractors in roles that involve receiving or responding to complaints.' Complaints Procedure — Supported Housing and Complaints Policy – Care Homes: 'All staff in roles that may receive or respond to complaints will have a standard complaint-handling performance objective.'	through HR/appraisal processes is the operational action for the COO.