

Appendix 5: Self Assessment against the requirements of the Code.

Code Section	Action	Do we follow the Code Y/N	Explanations and Commentary
1 Definition of a Service Request and Complaint	We recognise the difference between a service request and a complaint and these are defined within our policies and procedures.		
2. Exclusions	Our complaints policy sets out circumstances where we would not consider a complaint. These are reasonable and do not deny individuals access to redress.		
3. Accessibility and Awareness	We provide different channels through which individuals can make complaints. These are accessible and we are able to make reasonable adjustments where necessary.		

4. Complaint Handling Resources	We have dedicated sufficient resource assigned to take responsibility for complaint handling. Complaints are viewed as a core service and are resourced accordingly.		
5. The Complaint Handling Process	We have a single policy for dealing with complaints covered by the Code and individuals are given the option of raising a complaint where they express dissatisfaction that meets the definition of complaint in our policy.		
6. Complaints Stages (Stage 1)	We process Stage 1 complaints in line with timescales and processes set out in the Code.		
6. Complaints Stages (Stage 2)	We process Stage 2 complaints in line with timescales and processes set out in the Code.		

7. Putting things right	When something has gone wrong we take action to put things right.		
8. Performance reporting and Self Assessment	We produce an annual complaints performance and service improvement report for scrutiny and challenge which includes a self assessment against the Code.		
9. Scrutiny and Oversight	We have appropriate senior leadership and governance oversight of the complaints process and performance.		