

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>	Y	1. Complaints Policy V11 Approved by Board on 29 July 2026.	1. EPIC’s Complaints Policy adopts the Housing Ombudsman Complaint Handling Code definition of a complaint and applies it to expressions of dissatisfaction about the standard of service, actions or omissions by EPIC, its staff, or those acting on its behalf. 2. The policy was approved by Board on 29 May 2025 and communicated to staff through team briefings to support consistent understanding and application in practice.
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	Y	1. Complaints Policy V11 (Section 3.2).	1. EPIC does not require residents to use the word “complaint” for a matter to be treated as a complaint. Where a resident expresses dissatisfaction, staff are expected to recognise this and offer the resident the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	handled in line with the landlord's complaints policy.			opportunity to raise a complaint. 2. Complaints submitted by a third party or representative are accepted and handled in line with the Complaints Policy, including enquiries made on a resident's behalf by advocates or MPs. 3. Staff receive regular training on Complaint's and how to recognise a complaint even when the work complaint is not used. 4. EPIC is currently developing the "EPIC Connection" this is way of working based on relationships with tenants, rather than just offering a transactional response or service.
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.	Y	1. Complaints Policy V11 (Section 3.4). 2. Complaints training delivered to all staff November 2024 (in person), with further training planned Q2/3 2026-27	1. EPIC distinguishes between a service request and a complaint within its Complaints Policy. A service request is a request for action to put something right and is not treated as a complaint unless dissatisfaction is expressed about how the matter has been handled.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				2. Service requests are recorded, monitored and reviewed so that trends can be identified and any repeated failure or dissatisfaction can be considered appropriately through the complaints process.
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.	Y	1. Complaints Policy V11 (Section 3.5).	1. Where a resident expresses dissatisfaction with the response to a service request, EPIC will log this as a complaint even if work to resolve the underlying issue is still ongoing. 2. The complaints process runs alongside operational actions to put things right. EPIC does not pause or delay service delivery because a complaint has been raised. 3. For example, where a resident raises dissatisfaction about outstanding repairs, damp and mould, or another live service issue, the complaint is investigated

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				while remedial actions continue to be progressed.
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.	Y	Complaints Policy V11 (Section 3.6). - Annual Tenant Engagement Survey 2025/26. - Tenant perception survey questionnaire, (TSM) covering communication, or script showing how residents are told how to make a complaint. - Board report on survey feedback themes and follow-up actions.	- EPIC uses its Annual Tenant Engagement Survey to gather residents' views and Tenant Satisfaction Measures. Expressions of dissatisfaction received through surveys are not automatically logged as complaints. - Survey communications signpost residents to the complaints process so they understand how to raise a formal complaint if they wish to pursue the matter. - Themes arising from survey dissatisfaction are reviewed, follow-up actions are captured through service improvement planning, and summary reporting is provided to Board to support oversight of recurring issues and learning.

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	Y	1. Complaints Policy V11	1. EPIC's Complaints Policy states that complaints will be accepted unless there is a valid reason not to do so. Any decision not to accept a complaint is considered on its individual merits and the reasons for that decision are recorded in line with the policy.
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.	Y	1. Complaints Policy V11	1. EPIC's Complaints Policy sets out the limited circumstances in which a matter will not be considered as a complaint or escalated. These exclusions are defined in the policy and are intended to be applied fairly and reasonably, in line with the Housing Ombudsman Complaint Handling Code.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	Matters that have previously been considered under the complaints policy.			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident 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.	Y	1. Complaints Policy V11	1. EPIC accepts complaints made within 12 months of the issue occurring or the resident becoming aware of it unless the matter is excluded on other valid grounds. The policy also allows for discretion to be considered where a complaint is made outside this timeframe and there is a good reason to do so.
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.	Y	1. Complaints Policy V11	1. If EPIC decides not to accept a complaint, the resident is given a clear explanation of the reasons why the matter is not suitable for the complaints process. The resident is also advised of their right to refer that decision to the Housing Ombudsman.
2.5	Landlords must not take a blanket approach to excluding complaints; they	Y	1. Complaints Policy V11	1. EPIC does not apply exclusions on a blanket

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	must consider the individual circumstances of each complaint.			basis. Each complaint is considered on its own facts and individual circumstances before a decision is made about whether it falls within the complaints process. 2. Where a complaint is not accepted, the reasons are explained to the resident, and they are advised of their right to refer the decision to the Housing Ombudsman.

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.	Y	1. Complaints Policy V11	1. Tenants can raise a complaint by any channel available (Section 10) 2. Following feedback from tenants, EPIC's office is now open 5 days a week should tenants wish to make a complaint face to face. 3. EPIC's Complaints Policy (Section 15) considers its duties under the Equality Act 2010. 4. Section 3.3 & 4.1 of the Complaints Policy refers to considering the needs of the tenants when making complaints. 5. EPIC will record on the complaints log (section 10.4) any tenant vulnerability or individual needs and act on them 6. EPIC continues to gather data on its tenants in order to anticipate their needs

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				and to ensure that reasonable adjustments are made when dealing with complaints. 7. EPIC welcomes tenants using advocates to represent them and provides a section on its website that tenants can access signposting them to external help and support agencies. Additional Support – EPIC Housing
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.	Y	1. Complaints Policy V11 2. Reminder issued to all staff in November 2025 retaking complaints verbally and in person, detailing how to log these, what is expected to be included, and details of how to check in with relevant staff over the complaints handling process.	1. Tenants can raise their complaints in any way 3.7 & 10.1 of the Complaints Policy. 2. Staff when visiting/talking to tenants will take a complaint and pass to the appropriate person (section 11.2). 3. Website allows for translation for non-English speaking tenants (included in policy summary section).

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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.	Y		1. EPIC's Complaints Policy is published on its website and is promoted through tenant communications, helping residents understand how to raise a complaint. 2. Tenant newsletters provide additional opportunities to remind residents how to complain and where to find the policy. 2026 will see the return of a printed version of the newsletter. 3. EPIC uses a number of social media platforms to promote initiatives and provide updates. 4. EPIC refreshed its website in 2026, including clearer complaints information and fewer steps to access guidance on making a complaint. 5. Annual Tenant Engagement Survey

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				feedback suggests that some residents are still unclear about the difference between a service request and a complaint. EPIC continues to address this through resident engagement, including work with Tenant Ambassadors and attendance at external events. 6. Quarterly meetings are held with EPIC's Member Responsible for Complaints to review complaints, responses, trends and emerging issues. 7. Complaints performance is reported to the Senior Leadership Team each month. 8. KPIs are reported to Board quarterly, with a more detailed review every six months.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				9. Residents can also access EPIC's performance information, including complaints data, through the website.
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.	Y	1. Complaints Policy V11 2. Complaints Policy V11a Accessible Version	1. EPIC provides a number of ways for residents to raise complaints and also offers an accessible summary version of the policy that highlights the key points. 2. Both the full policy and the accessible version are published on EPIC's website. 3. EPIC operates a two-stage complaints process in line with the Complaint Handling Code, as set out in sections 5 and 6 of the policy. 4. The policy also includes information about the Housing Ombudsman Service and the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				Complaint Handling Code. 5. EPIC publishes its completed annual complaints self-assessment on its website. The website also offers translation options and accessibility features, including tools to adjust font settings, keyboard navigation, colour contrast and link highlighting.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	1. Complaints Policy V11	1. The Complaints Policy (Policy Summary) states how EPIC will publicise the policy and provides information about the Housing Ombudsman and the Code and an explanation as to who the Ombudsman are and what they do. (Policy Summary and throughout policy)
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Y	1. Complaints Policy V11	1. EPIC's Complaints Policy, including sections 3.2 and 11.3, confirms that residents

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	accompanied at any meeting with the landlord.			may ask a friend, relative, trusted person or advocate to act on their behalf. 2. EPIC will request the resident's consent before responding to a third party on their behalf, in line with section 11.3. During 2025/26 EPIC worked with a number of representative supporting tenants to deal with complaints. 3. EPIC also plans to strengthen website information in 2026 by including further advice and support content on advocacy and how residents can tell EPIC if they want someone to represent them.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Y	1. Complaints Policy V11	1. EPIC's Complaints Policy makes clear, at several points, that residents have the right to access the Housing Ombudsman Service.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				1. Policy summary 2. Section 3.9 context 3. Stage 1 process, section 5.7 4. Stage 2 process, section 6.5 5. Accepting and escalating a complaint, section 7.4 6. Exclusions, section 8.2

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.	Y	1. Complaints Policy V11	1. EPIC's Customer Service Team is responsible for day-to-day complaint handling, as set out in section 10.3. 2. The Director of Housing Management is the Complaints Officer and has responsibility for liaison with the Housing Ombudsman, in line with section 10.3. 3. Complaints performance reports are provided to the Senior Leadership Team each month, as set out in section 10.4. 4. A complaints dashboard introduced in 2025 supports monitoring of complaint performance, trends and reporting. 5. Complaints are reviewed by the Member Responsible for Complaints at least quarterly.

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				6. Complaints are also reported to Board quarterly, with a more detailed review every six months. 7. Complaints performance information is also published on EPIC's website.
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.	Y	1. Complaints Policy V11 2. Compensation Policy	1. The Director of Housing Management and the Customer Service Team have access to staff at all levels to support the prompt resolution of complaints. 2. As a smaller housing provider with a flat structure, EPIC can usually obtain information and decisions quickly without unnecessary delay. 3. Staff are encouraged to resolve complaints promptly and can use delegated authority under the Compensation Policy, where appropriate, to

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				acknowledge service failures and put things right.
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	Y	1. Complaints Policy V11	4. Staff received training on EPIC's Complaints Policy during team meetings in 2025, led by the Customer Service and Resident Engagement Team Leader. 5. Training will continue during 2026/27, including refresher sessions where the policy or procedure is updated.

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.	Y	1. Complaints Policy V11	1. EPIC has a single complaints policy which states that tenants who do complain will not be treated differently. This is contained within the complaints policy introduction, section 2.1
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.	Y	1. Compensation Policy 2. Complaints Policy V11	1. EPIC operates a two stage complaints policy (section 5 & 6). 2. EPIC's compensation policy provides front line staff with the autonomy and delegated authority to deal with service issues, working with tenants to resolve matters at an early stage where appropriate.
5.3	A process with more than two stages is not acceptable under any	Y	1. Compensation Policy 2. Complaints Policy V11	1. EPIC operates a two stage complaints process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.			which is set out in Section 5&6 of the policy.
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.	Y	1. Complaints Policy V11	1. Policy includes statement to the effect that EPIC does not use a third party to handle complaints (section 7.2)
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A	EPIC does not use a third parties to handle complaints.	1. Policy includes statement to the effect that EPIC does not use a third party to handle complaints (section 7.2)
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.	Y	1. All letters can be found on an internal drive. 2. Template letters for staff can be located on the intranet (HUB)	1. EPIC template letters clearly set out "the complaint definition". Recognising that each response provided is individual to the complainant. Reference to this is made in section 5.4. 2. It is common practice on receipt of a complaint that a conversation

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				takes place with the complainant to ensure that their complaint is fully understood before EPIC responds to the complainant formally. 3. A minimum of quarterly meetings is held with the MEMBER RESPONSIBLE FOR COMPLAINTS who reviews the quality of the outgoing responses.
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.	Y	1. Copies of the correspondence are kept on internal files	1. An acknowledgement to complainants is sent within the code's specified timescales. The acknowledgement correspondence will confirm any areas EPIC is not responsible for as part of the complaint response. 2. Section 5.1 and 6.1 refer to this point.
5.8	At each stage of the complaints process, complaint handlers must: deal with complaints on their merits, act independently, and have an open mind;	Y	1. Complaints Policy V11	1. At each stage of the complaints process, EPIC considers complaints on their merits, acts fairly and

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	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.			independently, and reviews the relevant information and evidence before responding. Section 3 of the policy reflects these principles.
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.	Y	1. Complaints Policy V11 2. KPI reporting and report to the Board 3. KPI reporting to the Senior Leadership Team 4. Meetings with MEMBER RESPONSIBLE FOR COMPLAINTS .	1. If the complaint is likely to fall outside of the complaint handling code, EPIC will discuss this with the tenant and keep the tenant informed at suitable intervals on progress which is highlighted within the Policy Section 5.5 & 6.5
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.	Y	1. Complaints Policy V11 2. Equality Impact Assessment	1. EPIC will make reasonable adjustment for tenants where appropriate as per Section 3.3 of the Compliant Policy/ 2. EPIC carries an Equality Impact Assessment which has been completed to support the Complaints Policy

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				3. Staff receive EDI training.
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.	Y	1. Complaints Policy V11	1. EPIC will not refuse to escalate a complaint unless they comply with the provision of the Code as set out in section 7 of the Complaints Policy.
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.	Y	Records are kept on internal files.	1. EPIC records complaints in its Housing Management System 2. A dashboard has been developed to track performance and trends. (section 10.4) 3. An end-of-year presentation to SLT with the MEMBER RESPONSIBLE FOR COMPLAINTS present. This information was also shared with Tenant Ambassadors and via a Community Voice meeting (May 2026)
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its	Y	1. Complaints Policy V11 2. Compensation Policy	1. EPIC has processes in place to ensure a complaint can be

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.			remedied at any stage of the complaints process. 2. EPIC has a Compensation Policy; the aim of the policy is to restore a tenant to the position they would have been in had the service failure not occurred, recognising that there are various options available to put things right but, in some instances, recognising that financial compensation may be the only and appropriate form of recompense.
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.	Y	1. Complaint Policy V11 2. Managing Unacceptable Behaviour Policy V2 3. Managing Unacceptable Behaviour Policy Accessible Version 4. Violence and Aggression Policy 5. ASB and Tenancy Enforcement Policy	1. EPIC has policies and procedures in place for managing unacceptable behaviour. Section 9 of the Complaints Policy addresses Unreasonable and Persistent complaints.”

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			6. Tenancy Management & Sustainment Policy	
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Y	1. Complaint Policy V11	1. Any restrictions imposed on a complainant will be reviewed every 6 months in accordance with the complaints policy section 9.6. 2. and will be discussed with the MEMBER RESPONSIBLE FOR COMPLAINTS section 9.5

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.	Y	1. Complaints Policy V11	1. On receipt of a complaint an assessment is made, and contact is made with the tenant. EPIC aims to identify if the tenant has any vulnerabilities during the initial contact where there are no vulnerabilities listed against the person or a member of the household. 2. Complaints are dealt with as swiftly as possible and ahead of the prescribed timescales where possible. 3. If cases are particularly complex and additional time is needed to carry out an investigation or find a resolution, tenants are kept informed and

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				timescales agreed (section 5.5 & 6.5).
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> .	Y	1. Complaints Policy V11 2. KPI quarterly reports to the Board 3. Monthly KPI updates to the Senior Leadership Team. 4. KPI information reported on EPIC's website.	1. The complaints policy Section 5, Stage One sets out the timescales for responding to complaints. Complaint response times are reported to SLT and the Board via KPI reporting to ensure compliance with the Code.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	1. Complaint Policy V11. 2. KPI quarterly reports to Board 3. KPI monthly reports to Senior Leadership Team	1. The Complaints Policy Section 5 Stage One, sets out timescales for responding to complaints. Complaint response times are reported to SLT and the Board to ensure compliance with the Code 2. Updates of quarterly performance are provided for tenants on EPIC's website.
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	Y	1. Complaint Policy V11.	1. The Complaints Policy Section 5.5 Stage One, sets out timescales for responding to complaints. 2. Complaint response times are reported to SLT

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	more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.			and the Board to ensure compliance with the Code as part of KPI reporting. 3. EPIC also provides quarterly updates on performance on its website for tenants.
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.	Y	1. Complaint Policy V11 .	1. At each stage of the Complaint tenants are provided with the Ombudsman's details as per The Complaint Policy Section 5. Stage One.
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.	Y	1. Complaint Policy V11	1. A response is sent confirming any outstanding action before the event and not after the action is complete; these actions are tracked before a case can be closed. 2. Section 3.10 of policy also refers to this.
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.	Y	1. Complaint Policy V11 .	1. Each of the points raised in the complaint is confirmed and responded to, referring to relevant policy, law and good practice as set out in Section 5 of the policy.

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6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been 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.	Y	1. Complaints Policy V11 .	- Where additional points are raised during an investigation, these will be included in the original complaint so not to unreasonably delay a response. - Where a complaint response has been issued and the new issues would delay a response, these are logged as a new complaint. Section 5.6 of the policy.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: - the complaint stage; - the complaint definition; - the decision on the complaint; - the reasons for any decisions made; - the details of any remedy offered to put things right; - details of any outstanding actions; and	Y	1. Complaints Policy V11 .	- The required content for a stage 1 response is set out in section 5.4 of the policy. - Template letters are available to support staff in providing consistent and complete complaint responses. - Training and staff development on complaint handling is ongoing.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			4. The Member Responsible for Complaints also provides quality assurance through regular review.

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.	Y	1. Complaints Policy V11	1. Complaints are escalated when requested. If we were to refuse an escalation, we would clearly communicate in writing why this was the case as well as giving the contact details of the Ombudsman. Stage Two Section 6 of the Complaints Policy
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.	Y	1. Complaints Policy V11	1. An Acknowledgement is sent within 5 days (section 6.1) of receipt of a request to escalate. Stage 2 Section 6 of the policy.
6.12	Residents must not be required to explain their reasons for requesting a	Y	1. Complaints Policy V11	1. Tenants will not be required to explain their

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	stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.			reasons for requesting stage 2 consideration; EPIC will contact the tenant to identify why they remain unhappy. Stage Two, Section 6.2 of the Complaints Policy.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Y	1. Complaints Policy V11	1. The person considering the Stage 2 Complaint will not be the same person who considered Stage 1 Section 6.3 of the Complaints Policy, Stage Two.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Y	1. Complaints Policy V11 2. KPI quarterly reported to Board 3. KPI monthly reported to Senior Leadership Team	1. EPIC will respond to the Stage Two complaint within 20 days as per Section 6.4 of the Complaints Policy.
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.	Y	1. Complaints Policy V11	1. EPIC will decide if an extension of time is needed when considering the complexity of the complaint and will inform the tenants of the expected response time as per Section 6.5 of the Complaints Policy.
6.16	When an organisation informs a resident about an extension to these	Y	1. Complaints Policy V11	1. The Ombudsman details are provided to the tenant

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	timescales, they must be provided with the contact details of the Ombudsman.			if there is a need for an extension, Section 6.6 of the Complaints Policy.
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.	Y	1. Complaints Policy V11	1. EPIC will respond to the complaint as soon as the answer to a complaint is known and not when any outstanding actions in relation to the complaint have been addressed. Section 3.10 of the Complaints Policy.
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.	Y		1. EPIC's stage 2 process requires complaint responses to address all points raised in the complaint definition and to explain the reasons for decisions, with reference to relevant policy and good practice where appropriate.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made;	Y		1. Section 6 of the Complaints Policy sets out the required content of a final stage 2 response, including the complaint definition, the decision, the reasons for that decision, any remedy

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			offered, any outstanding actions, and how to refer the matter to the Housing Ombudsman if the resident remains dissatisfied.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Y		1. Stage 2 is EPIC's final complaint response and involves the appropriate staff members needed to review the complaint fully and issue a final decision.

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.	Y	1. Complaints Policy V11 2. Compensation Policy 3. Complaints Dashboard	1. EPIC will acknowledge when things have gone wrong and will put things right. Complaint Policy Section 4. 2. EPIC is moving away from transactional interaction with tenants as part of the 'EPIC Connection' which focuses on relationships and trust. 3. Lessons are learnt from complaints and as a consequence, changes to services are made and captured within the Complaints Dashboard which is present to SLT and Board. 4. Information about complaints costs is also presented monthly to SLT, tracking how much has been spent each month in compensation from a complaint, repair costs from complaints,

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				and goodwill payments from complaints.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Y	1. Complaints Policy V11 2. Compensation Policy.	1. Remedies are considered and confirmed as part of the complaints process, with the aim of reflecting the impact on the resident. Where a remedy is agreed, EPIC follows it through to completion in line with section 4.4. 2. EPIC follows the compensation guidance from the Housing Ombudsman when issuing compensation or other payments resulting from a complaint.
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.	Y	1. Complaints Policy V11	1. Remedies are confirmed as part of the complaints process, in agreement with the tenant and followed through to completion (section 4.4). Complaints will remain

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				open until remedies are complete.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	1. Complaints Policy V11	1. EPIC'S Complaint Policy has been developed in line with the dispute resolution principles recommended by the Housing Ombudsman as noted in the Complaints Policy Summary.

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 Ombudsman in relation to the work of the landlord.	Y	Complaints Policy V11 - Board bi-annual reports and quarterly KPI reports to Board - Senior Leadership monthly Reports - Notes of meetings with MEMBER RESPONSIBLE FOR COMPLAINTS	- A monthly complaints report is provided to the Senior Leadership Team, with quarterly reporting to Board and a more detailed six-monthly review. - Quarterly meetings are held with the Member Responsible for Complaints to review complaint handling and performance. - EPIC produces an annual complaints performance and service improvement report for scrutiny and challenge, including its self-assessment against the Code. - The annual self-assessment and improvement plan is published on EPIC's website.
8.2	The annual complaints performance and service improvement report must	Y	- Board Reports Annual Complaints Report	Quarterly KPI report and Annual complaints

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			performance are reported to the Board. 2. Performance is published on EPIC'S website. 3. Published in the Annual Tenant Report.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Y	n/a	1. A new self-assessment will be carried out following a significant restructure or merger and/or changes in procedure.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Y		1. EPIC understands that it may be required to review and update its self-assessment following a Housing Ombudsman investigation. 2. As of April 2025, two complaints remained under consideration by the Housing Ombudsman
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber	Y	1. EPIC's Business Continuity Plan	1. In the event of EPIC invoking its Business Continuity Plan, if

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			unable to comply with the code the Housing Ombudsman will be notified and provided with tenants details who may be affected.

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.	Y	1. A copy of all correspondence can be found on internal drive. 2. Board Reports 3. Senior Leadership Team Reports	1. Monthly complaints performance reports, including learning points, are provided to the Senior Leadership Team. 2. A more detailed six-monthly report, including lessons learned, is provided to Board. 3. Quarterly meetings with the Member Responsible for Complaints provide further oversight and challenge.
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.	Y	1. Board reports 2. Senior Leadership Team reports 3. Complaints Dashboard and Change Log 4. Quarterly staff meetings 5. Monthly Housing and Customer Service Team meetings.	1. A detailed performance report is provided to Board every six months, identifying complaint themes and issues that can inform service improvements.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				2. Quarterly meetings with the Member Responsible for Complaints provide additional oversight of learning and improvement. 3. The EPIC Connection approach is intended to further strengthen resident experience and service quality.
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.	Y	1. Annual Tenant Report	1. Learning from complaints is shared with Tenant Ambassadors and with residents through Community Voice meetings. 2. EPIC also publishes its annual complaints report online. 3. Staff communications are also used to share learning and support transparency across the organisation.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.	Y	1. Complaints Policy V11	1. The Director of Housing Management is the senior lead person accountable for complaint handling known as the Complaints Officer.
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 MEMBER RESPONSIBLE FOR COMPLAINTS').	Y	1. MEMBER RESPONSIBLE FOR COMPLAINTS role appointed Board Report May 2024 2. MEMBER RESPONSIBLE FOR COMPLAINTS , role and responsibilities published on EPIC's website.	1. EPIC's MEMBER RESPONSIBLE FOR COMPLAINTS was appointed at its Board Meeting in May 2024. The outgoing MEMBER RESPONSIBLE FOR COMPLAINTS was replaced in 2026, and the website updated to reflect the change. 2. MEMBER RESPONSIBLE FOR COMPLAINTS information is published on EPIC's website along with the role profile.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.6	The MEMBER RESPONSIBLE FOR COMPLAINTS 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.	Y	- Minutes of complaint meetings with the MEMBER RESPONSIBLE FOR COMPLAINTS . - Board Reports.	- The MEMBER RESPONSIBLE FOR COMPLAINTS meets on a quarterly basis with the Director of Housing Management and the Customer Services Team leader to review complaints, and responses. - Board Report on complaints performance are agreed with the MEMBER RESPONSIBLE FOR COMPLAINTS before being published to the Board. - The MEMBER RESPONSIBLE FOR COMPLAINTS is notified of any Ombudsman complaints and their responses. - Quality assurance at MEMBER RESPONSIBLE FOR

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				COMPLAINTS quarterly meetings
9.7	As a minimum, the MEMBER RESPONSIBLE FOR COMPLAINTS 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.	Y	1. Minutes of Meetings with the MEMBER RESPONSIBLE FOR COMPLAINTS . 2. Board Reports 3. Internal correspondence confirming an Ombudsman investigation.	1. The Member Responsible for Complaints meets quarterly with the Director of Housing Management and the Customer Services Team Leader to review complaints and responses. 2. The MEMBER RESPONSIBLE FOR COMPLAINTS is notified of any enquiries from the Housing Ombudsman. 3. The MEMBER RESPONSIBLE FOR COMPLAINTS and Board are kept informed of the outcome of any Ombudsman investigations. 4. Board reports on complaints performance are agreed with the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				MEMBER RESPONSIBLE FOR COMPLAINTS before being presented to Board. 5. The MEMBER RESPONSIBLE FOR COMPLAINTS and Board also receive an annual in-depth complaints review, including lessons learned, performance information and service improvements.
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: 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	Y	1. Corporate Plan 2. Complaints Policy V11.	1. EPIC's Corporate Plan is focused on delivering good outcomes for residents. 2. Its people objective includes developing a culture that supports a positive employee experience and helps staff fulfil their potential for the benefit of both the organisation and its residents.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaints as set by any relevant professional body.			