

Complaints self-assessment form

Requirements set out by the Housing Ombudsman

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.

The Housing Ombudsman 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, landlords are expected 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.

Our contact information

If you need this document in a different format that works for you get in touch with us:

- Telephone 0113 386 1000
- Email hello@leedsfed.com
- Website www.leedsfed.com

Social Media

- Facebook [Leedsfederated](https://www.facebook.com/Leedsfederated)
- LinkedIn [leeds-federated](https://www.linkedin.com/company/leeds-federated)
- X/Twitter [@leedsfederated](https://twitter.com/leedsfederated)



Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	<p>A complaint must be defined as:</p> <p><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></p>	Yes	<p>This is defined in our new Complaints Procedure which is currently going through a consultation period with customers.</p> <p>This definition is set out in our customer Guide to Complaints</p> <p>Training on 24 April 2024 to all staff will highlight this definition.</p>	
1.3	<p>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.</p>	Yes	<p>It is set out in our procedure that the resident does not need to use the word complaint.</p> <p>This is also made clear in our Guide to Complaints.</p> <p>The complaints policy and procedure make it clear that anyone can make a complaint.</p> <p>Training for all staff and in particular call handlers makes it clear that anyone can make a complaint and the word</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>“complaint” does not have to be used.</p> <p>As a complaints service, we see complaints opened where the customer hasn’t used the word “complaint” but has been offered this service after expressing dissatisfaction.</p>	
1.4	<p>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.</p>	Yes	<p>This is set out in our complaints policy.</p> <p>This is a key element of the training being delivered on 24 April 2024 to all staff.</p> <p>Service requests are recorded, monitored and reviewed using our case management system, case review meetings and one to ones.</p>	
1.5	<p>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.</p>	Yes	<p>The complaints procedure makes this clear.</p> <p>Acknowledgment letters to customers state that the complaint will be investigated but this will not delay the action of any service request.</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			We see this regularly where the complaint relates to an outstanding repair. The repair works continue whilst we respond to the complaint.	
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	Our survey provider (MEL) creates a “hot alert” when a customer expresses dissatisfaction during a survey and would like to discuss this further. This then prompts a phone call which is documented and the option to raise a complaint is offered.	

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	This is set out in our complaints policy and procedure.	
2.2	A complaints policy must set out the circumstances in which a matter will not	Yes	This is clear within our complaints policy.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<p>be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 			
2.3	<p>Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.</p>	Yes	This is clear within our complaints policy.	
2.4	<p>If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable</p>	Yes	This is clear within our complaints policy and procedure.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	This is clear within our complaints policy and procedure. The Resolutions Team focuses on each individual customer and whether we have/should be making reasonable adjustments according to the customers circumstances. The role of Complaints Coordinator reviews whether we have considered the customer at the heart of the complaint when responding.	

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	<p>Our complaints policy makes it clear that anyone can raise a complaint on behalf of a resident.</p> <p>Our policy sets out the various methods by which a complaint can be made.</p> <p>Full details of how to make a complaint are available on our website and all staff know how to raise a complaint should a resident express any dissatisfaction.</p>	
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	<p>This is clear within our complaints policy and procedure.</p> <p>Training for all staff includes information on the complaints process and how to raise/pursue a complaint.</p>	
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	<p>Complaints increased in January/February 2023 and this was welcomed.</p> <p>We have adopted a lessons learned approach and it is acknowledged across the</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>organisation that complaints are a source of learning for all staff.</p> <p>We saw an increase in the number of complaints when we introduced the position of “Complaints Coordinator”, being a designated person in the organisation responsible for coordinating our response to complaints. This role offering such guidance has helped staff across the organisation to raise complaints and support customers to do the same where they are dissatisfied.</p>	
3.4	<p>Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord’s website.</p>	Yes	<p>Our complaints policy is not up for renewal until November 2024, however, we have taken this opportunity to radically refresh the complaints policy and procedure in our new tone of voice, making this much clearer and accessible to residents. The policy clearly sets out what will happen at stage one and stage two, together with the timeframes for responding. We have a programme of resident involvement planned to allow</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>residents the chance to review and shape our amended policy prior to the hard re-launch in November 2024.</p> <p>The two stage approach and timeframes are further set out in our Guide to Complaints.</p> <p>The complaints policy and Guide to Complaints are both available on our website.</p>	
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	This is included within our complaints 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 accompanied at any meeting with the landlord.	Yes	This is clear within our complaints policy, procedure and Guide to Complaints.	
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.	Yes	This is clear within our policy, procedure, Guide to Complaints and information on how to contact the Ombudsman is included in response letters to complaints. This information is all available on our website.	

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	We have a Resolutions Team which includes a Complaints Coordinator. The Complaints Coordinator, Resolutions Manager and Heads of Service take responsibility for complaints, including liaising with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent).	
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	The Complaints Coordinator is empowered to resolve complaints in the best interest of the resident whilst managing the demands on the organisation. We operate a high support, high challenge culture, empowering the Complaints Coordinator to challenge colleagues at all levels with the support of the Resolutions Manager and Head of Service Improvement.	
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	Yes	Viewing complaints as a core service has been central to the implementation of our Service Improvement Department and Resolutions Team. We have a	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	important that complaints are seen as a core service and must be resourced to handle complaints effectively		dedicated Complaints Coordinator supported by a Resolutions Manager and Casework Administrator. Lessons learned are recorded on each case and we record the actions taken to implement the lessons learned.	

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	We have a single complaints policy for dealing with complaints covered by this Code. We encourage a culture of lessons learned and “putting things right”. Staff are trained not to let any complaint interfere with the service provided or treatment given to those residents raising complaints. This is also clearly stated in our procedure.	
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	Yes	Any expression of dissatisfaction is recorded as a complaint and dealt with within a two stage process.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaint') as this causes unnecessary confusion.			
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Our process has two stages, as set out in our policy, procedure and Guide to Complaints.	
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	We coordinate the responses from any third party, including our contractors, and provide a response within the two stage process and within the timescales of the Complaint Handling Code.	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	We advise third parties, including contractors, of the timescales when providing us with their investigation/response to a complaint. We then coordinate the response within the framework set out by the Code.	
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	We have trained our customer service advisors and customer facing colleagues to take full details of the complaint and the desired outcome when speaking to a customer who expresses	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	any aspect of the complaint is unclear, the resident must be asked for clarification.		dissatisfaction. This is then recorded on the complaints case on our case management system.	
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	When we open a stage one or stage two complaint, our Complaints Coordinator triages the elements of the complaint within the 5 day timeframe for us to acknowledge the complaint. This allows us to clarify which aspects of the complaint we are responsible for and who is the current person to answer each aspect.	
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	This approach is monitored by our Complaints Coordinator. The introduction of this role is challenging the way that complaints have been responded to historically and improving this service for customers	
5.9	Where a response to a complaint will fall outside the timescales set out in this	Yes	This is included in our Complaints Procedure.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.			
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	We record disabilities disclosed on each customer's profile on our case management system. We have identified a gap where we don't ask what this disability means the customer needs from us when providing our services. We have started to ask this, particularly when mental health issues are disclosed, but we need to go further than asking about disabilities and ask more about what reasonable adjustments may be required. We do make reasonable adjustments as needed in any interaction or case management with customers and any move away from policy or procedure to account for this is recorded on a case by case basis.	We record disabilities disclosed on each customer's profile on our case management system. We have identified a gap where we don't ask what this disability means the customer needs from us when providing our services. We have started to ask this, particularly when mental health issues are disclosed, but we need to go further than asking about disabilities and ask more about what reasonable adjustments may be required. We do make reasonable adjustments as needed in any interaction or case management with customers and any move away from policy or procedure to account for this is recorded on a case by case basis.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	We allow all complaints to escalate where this is requested by the customer. We have no examples of cases where escalation has been refused.	
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Our complaints module on our case management system allows us to track and record all information relevant to the complaint. We upload correspondence with the customer to each case along with investigation documents. The outcomes are recorded on this system for both stage one and stage two.	
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	This is clear in our complaints procedure.	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents	Yes	Our Challenging Behaviour policy sets out how we do this. Our Resolutions Team manages	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.		single point of contact arrangements and we have built in regular reviews for this.	
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	As per our Challenging Behaviour Policy	

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	The Complaints Coordinator now triages complaints to identify those that can be acknowledged and responded to quickly versus those that need investigation.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	This is within our complaints policy and procedure.	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	This is within our complaints policy and procedure.	
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	The Complaints Coordinator now reviews whether we need an extension to the timescale when triaging the complaint, rather than waiting until closer to the deadline to advise of an extension. This is a change we have implemented since the introduction of the Complaints Coordinator role and following our review of this service.	
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	This has been implemented as part of the new procedure.	
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	Yes	When we first reviewed the complaints service in January 2024 as we introduced the role of Complaints Coordinator, we found that many responses	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		waited for the issues to be addressed before responding. The Complaints Coordinator addressed this and now responses are sent with an action plan rather than waiting for all actions to be complete.	
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	The Complaints Coordinator now ensures that each element of the complaint definition is responded to by the right person. All points are identified when the complaint is triaged prior to acknowledgment.	Our tone of voice work has seen us move away from quoting policies within our complaints response letters. We used to do this as standard, for example when offering a voucher for a missed appointment, the letter would quote the policy offering £20. We have taken this out of these letters recently in line with tone of voice. We can quote policies where it's helpful to explain our approach, for example not reimbursing for time off work, but we don't as standard and instead have moved towards explaining this without referring to policies. This allows us to

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				tailor the response to the individual knowing their circumstances and the impact of the complaint, rather than appear as though we are sticking to the policy in any event.
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.	Yes	We add new complaints to stage 1 responses where related. We also raise second complaints where the complaint is unrelated.	
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	Yes	Our Complaints Coordinator ensures that stage 1 responses include a-f. We are currently training colleagues on ensuring that these details form their response.	

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.			

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	This is in our complaints policy and procedure.	
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	This is in our complaints policy and procedure.	
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	Whilst we would not require a customer to explain their reasons for requesting escalation, we would ensure which part of the complaint response they were unhappy with and seek clarification around the complaint definition for stage 2 (as per clause 5.6 of the Complaint Handling Code)	
6.13	The person considering the complaint at stage 2 must not be the same person	Yes	Our Complaints Coordinator ensures that the stage 2	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	that considered the complaint at stage 1.		response is considered by someone other than the investigator at stage 1.	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	This is in our complaints policy and procedure.	
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	We currently aim for a response within 20 working days for all cases. If on triage, the issues appear complex, our Complaints Coordinator will meet with the Investigator to assess whether an extension may be required,	
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	This is included in our Complaints Procedure and reviewed by our Complaints Coordinator. Our Guide to Complaints also has this information.	
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	When we first reviewed the complaints service in January 2024 as we introduced the role of Complaints Coordinator, we found that many responses waited for the issues to be addressed before responding. The Complaints Coordinator addressed this and now	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			responses are sent with an action plan rather than waiting for all actions to be complete.	
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	The Complaints Coordinator now ensures that each element of the complaint definition is responded to by the right person. All points are identified when the complaint is triaged prior to acknowledgment.	Our tone of voice work has seen us move away from quoting policies within our complaints response letters. We used to do this as standard, for example when offering a voucher for a missed appointment, the letter would quote the policy offering £20. We have taken this out of these letters recently in line with tone of voice. We can quote policies where it's helpful to explain our approach, for example not reimbursing for time off work, but we don't as standard and instead have moved towards explaining this without referring to policies. This allows us to tailor the response to the individual knowing their circumstances and the impact of the complaint,

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				rather than appear as though we are sticking to the policy in any event.
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	We include this information in our Stage 2 response letters.	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Our Complaints Coordinator ensures all relevant people are involved in the stage 2 response.	

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	Yes	Our new approach to complaints handling and our focus on	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<p>out the actions it has already taken, or intends to take, to put things right.</p> <p>These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 		<p>“Putting things right” is bringing this approach into practice. This is also set out in our complaints procedure.</p>	
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	<p>Yes</p>	<p>All complaints handlers across the organisation have the autonomy to offer a remedy which best suits the customer when looking at the impact of the fault identified.</p>	
7.3	<p>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.</p>	<p>Yes</p>	<p>Remedies are given at the time the response is issued or agreed as part of an action plan. Action plans are tracked through our case management system.</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	We have reviewed this and keep this in mind when remedying complaints.	

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> 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 	Yes	This was produced last year and published on our website. We will continue to do this annually.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	f) any other relevant reports or publications produced by the 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.	Partial	This is taken to our board quarterly and published online annually.	The board did not publish their report last year but are aware that this must now be published alongside the report.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Our current restructure, including bringing the complaints service into the Service Improvement Department, triggered a review of the complaints policy and procedure. This has landed in time with our self-assessment but we are aware that any such significant changes would prompt a review against the code.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	We are aware of this and would comply accordingly.	
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	Yes	Noted.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.			

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	We are capturing learning outcomes on each complaint and reporting on these at regular Learning and Improvement Group Meetings. We are highlighting learns and monitoring how these are actioned.	
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	We have been working hard to transform our complaints handling culture. We are highlighting lessons learned and successful resolutions for our customers.	
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	We have regular Learning and Improvement meetings where learning outcomes from complaints are shared with colleagues and actions tracked to improve services. We have recently engaged the Challenger	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Panel with our review of the complaints service against previous learning outcomes, and have also asked customers for feedback on our improvements in two webinars in April 2024.	
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	The Resolutions Manager is accountable for complaints handling and highlights any such issues.	
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	We have an MRC.	
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	Our Head of Service Improvement presents this to the MRC and our governing body. All information is provided and available.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> 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	The Head of Service Improvement shares these updates with the MRC and our Board.	
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> 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 	Yes	This is now included in job descriptions for all operational managers and heads of service	Consideration is being given to having this as a standing objective for relevant colleagues on their development records.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	c) act within the professional standards for engaging with complaints as set by any relevant professional body.			