

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	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	This is defined in our Putting Things Right Procedure. Staff have been trained on this definition in our Identifying and Logging a Complaint training session which is run every 3 months and issued to all new starters on induction.	
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Our procedure confirms that the resident does not need to use the word complaint. This is also made clear in our Guide to Putting Things Right. The Putting Things Right policy and procedure make it clear that anyone can make a complaint. Training for all staff and in particular call handlers makes it clear that anyone can make a complaint and the word "complaint" does not have to be used.	
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their	Yes	This is set out in our Putting Things Right policy and procedure. Staff received training	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		on the difference between a service request and a complaint at the Quarterly Lunch in April 2024. This is repeated as part of the Identifying and Logging a Complaint training that runs every 3 months and is issued to all new starters on induction.	
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	<p>This is set out in our Putting Things Right procedure and is made clear to all staff in our Identifying and Logging a complaint training.</p> <p>The contact centre staff in particular work closely with the Resolutions Team to ensure services continue whilst complaint handling remains ongoing.</p>	
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	<p>This is clear within our Putting Things Right policy and procedure.</p> <p>Our Complaints Coordinator ensures any decisions not to accept a complaint are documented and that this is clearly communicated to the customer.</p>	
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> 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. 	Yes	<p>This is clear within our Putting Things Right policy.</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> 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.	Yes	This is clear within our Putting Things Right policy.	
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	This is clear within our Putting Things Right policy.	
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 Putting Things Right policy and procedure. Regular training also reiterates this approach.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			The role of Complaints Coordinator helps to highlight the individual circumstances of each complaint.	

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>We accept complaints by any means including in person, by phone, by post, by MyAccount and by email. All contact information is on the How to Make a Complaint page of our website.</p> <p>Our Guide to Putting Things Right also makes this clear.</p> <p>Our Putting Things Right Policy confirms this.</p> <p>Our Needs and Adjustments Policy sets out how we approach reasonable adjustments and ensures all customers have access to our complaints process.</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	Our Identifying and Logging a complaint training session is run every 3 months and issued to all new starters on induction.	
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	Our new approach to complaints launched in January 2024. Since	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.		then, we have seen an increase in the number of complaints. This has been welcomed as a positive measure within the organisation. We are happy that customers can access this process, that colleagues can direct customers to this process and that we can learn from the lessons raised as a result of these complaints.	
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Our Putting Things Right policy was designed in consultation with our Customer Voices Panel. We measure how easy customers found it to raise a complaint with us and report on this quarterly. Our Putting Things Right policy sets out the two stage process and is published on our website.	
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 clear within our Putting Things Right policy.	
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf,	Yes	This is clear within our Putting Things Right policy.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	and to be represented or accompanied at any meeting with the landlord.			
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	<p>This is clear within our policy, procedure, guidance document and information on how to contact the Ombudsman is included in response letters to complaints.</p> <p>This information is all available on our website.</p>	

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	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.	Yes	The Complaints Coordinator is empowered to resolve complaints in the best interest of the resident	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	They must also have the authority and autonomy to act to resolve disputes promptly and fairly.		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 important that complaints are seen as a core service and must be resourced to handle complaints effectively.	Yes	<p>Viewing complaints as a core service has been central to the implementation of our Service Improvement Department and Resolutions Team.</p> <p>We have a dedicated Complaints Coordinator supported by a Resolutions Manager and Casework Administrator.</p> <p>Lessons learned are recorded on each case and we record the actions taken to implement the lessons learned.</p> <p>We are launching a Lessons Learned Portal where we can track actions assigned to lessons learned.</p>	

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	<p>We have a single complaints policy for dealing with complaints covered by this Code.</p> <p>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.</p>	
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as ‘stage 0’ or ‘informal complaint’) as this causes unnecessary confusion.	Yes	Any expression of dissatisfaction is recorded as a complaint and dealt with within a two-stage process.	
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 guidance document.	
5.4	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process	Yes	Our process has two stages, as set out in our policy, procedure and guidance document.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	unduly long and delay access to the Ombudsman.			
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 any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Our Complaints Coordinator sets out the complaint definition on our case management system and in the acknowledgment letter to the customer, allowing the customer the opportunity to redirect our investigation prior to responding if we have incorrectly identified the issues.	
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	The complaint is broken down at the triage stage and this is set out in the acknowledgment letter at both stage 1 and stage 2. This would then set out any areas of the complaint that we are not responsible for.	
5.8	At each stage of the complaints process, complaint handlers must:	Yes	This is set out in our Putting Things Right procedure and our training session on Investigating	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> 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. 		and Responding to a Stage 1/Stage 2 complaint.	
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	This is clear within our Putting Things Right policy and procedure	
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 any reasonable adjustments agreed and disabilities disclosed on our case management system. Our new approach to vulnerabilities, needs and adjustments ensures these measures are kept under active review.	
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	Yes	We offer full access to the complaints procedure unless the exemptions set out in our putting things right policy are met. In	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	must comply with the provisions set out in section 2 of this Code.		which case, this would be clearly explained to the customer.	
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 made clear to staff in training. We are working on a new compensation policy which will further clarify this to all staff.	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Our Challenging Behaviour policy sets out how we do this. Our Resolutions Team manages single point of contact arrangements and we have built in regular reviews for this.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	This is our approach pursuant to 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.	
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 procedure. Our case management system and reporting has been designed to capture compliance with this deadline.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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 procedure. Our case management system and reporting has been designed to capture compliance with this deadline.	
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	We have trained colleagues to provide these details when any extension is required. Our complaints letters and Guide to Putting Things Right (Sent out with most complaints communications) also include details of the Ombudsman.	
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	Yes	We respond to the customer within the timeframe and track any outstanding actions that fall outside of this. These are tracked on our case management system. Our new case	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	actioned promptly with appropriate updates provided to the resident.		management system for complaints is being introduced this quarter and includes a new module for outstanding actions relating to complaints.	
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 sets out the complaint definition. Each point is then addressed by the person investigating and responding to the complaint. As part of our tone of voice work, we are mindful to only reference policy, law and good practice where this is required to support our decision making and ensure this does not take away from the customer feeling heard and as though their complaint has been considered on its own merits.	
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.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> 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 a) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	We have trained all staff responsible for responding to complaints to include a-g in their response letters.	

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 Putting Things Right 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 Putting Things Right policy and procedure	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	We have taken on this approach and escalate all complaints to stage 2 on customer request.	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Our Complaints Coordinator ensures that the stage 2 response is considered by someone other than the investigator at stage 1.	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	This is in our Putting Things Right 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	This is considered both by the Complaints Coordinator and the person investigating and responding to the complaint.	
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	We have trained colleagues to provide these details when any extension is required. Our complaints letters and Guide to Putting Things Right (Sent out with most complaints	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			communications) also include details of the Ombudsman.	
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	We respond to the customer within the timeframe and track any outstanding actions that fall outside of this. These are tracked on our case management system. Our new case management system for complaints is being introduced this quarter and includes a new module for outstanding actions relating to complaints.	
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 sets out the complaint definition. Each point is then addressed by the person investigating and responding to the complaint. As part of our tone of voice work, we are mindful to only reference policy, law and good practice where this is required to support our decision making and ensure this does not take away from the customer feeling heard and as though their complaint has been considered on its own merits.	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:	Yes	We have trained all staff responsible for responding to	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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. a)		complaints to include a-g in their 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 and the person investigating ensure that 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 out the actions it has already taken, or intends to take, to put things right. These can include: <ul style="list-style-type: none"> Apologising; 	Yes	Our response letters, actions and learns demonstrate this approach. We have worked hard to encourage this culture of putting things right over the past year. By calling our policy and procedure "Putting Things Right",	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> 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. 		we are hoping to shift the focus internally towards how we can put things right for customers.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	We listen to the impact on the customer and ask for their desired outcome. We then consider this when offering any remedy.	
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	This is set out in the response letter along with any actions needed and completion dates.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Our compensation policy is currently under review with influence from this guidance.	

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. a)	Yes	This was produced last year and published on our website. We will continue to do this annually.	
8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing	Yes	This is taken to our board quarterly and published online	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		annually together with the board's response.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Noted.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Noted.	
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes	Noted.	

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	Yes	Complaints handling sits within our Service Improvement Department. We highlight lessons learned from complaints and	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	improvements can be made as a result of any learning from the complaint.		encourage discussions within teams as to how this could lead to service improvement. We are launching a learning portal where all lessons and improvements can be tracked.	
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	As above. We have worked hard over the past year to encourage a positive complaint handling culture, looking at lessons learned and listening to 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 a new Operational Delivery Team (ODT) which meets monthly. At this meeting, the Resolutions Manager reports on learning from complaints. This is then communicated to the wider organisation via the meeting update. The learning portal (once launched) will be visible to all staff. We work closely with our Customer Engagement team to capture the customer voice around complaints and service improvement. The Resolutions Manager has attended the Customer Voice Panel twice to	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			discuss our approach to complaints.	
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.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints,	Yes	The Head of Service Improvement shares these updates with the MRC and our Board.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<p>alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			
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> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	This is now included in job descriptions for all operational managers and heads of service	