

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.



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Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Complaints Policy, Clause 6, Definitions: Complaint	The policy adopts the Housing Ombudsman definition of a complaint and applies it consistently across YMCA Dulverton Group services, including housing.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Complaints Policy, Clause 6, Definitions: Complaint	Staff are expected to recognise dissatisfaction as a complaint even where the word "complaint" is not used. Complaints may also be brought by third parties acting with the resident's permission.
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	Yes	Complaints Policy, Clause 6, Definitions: Service Request	Service requests are distinguished from complaints. Operationally, repair requests, maintenance issues or requests for assistance may initially be treated as service requests, but are monitored so



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	something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.			dissatisfaction can be escalated appropriately.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Complaints Policy, Clause 6, Definitions: Service Request	Where a resident is dissatisfied with the response to a service request, the matter is progressed as a complaint. Work to resolve the original issue should continue alongside the complaint process.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Complaints Policy, Clauses 7, 8.1 and 9.7 to 9.9	Wider feedback, surveys and resident engagement activity are used to signpost residents to the complaints process. Complaint information is made available through published materials, website information, noticeboards and resident documentation.



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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Complaints Policy, Clause 8, Application of Complaints Procedure	Complaints are accepted unless a valid exclusion applies. Each complaint is considered on its own facts before any decision is made not to accept it.
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: - The issue giving rise to the complaint occurred over twelve months ago. - Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. - Matters that have previously been considered under the complaints policy.	Yes	Complaints Policy, Clause 8, Exclusions	The policy sets out circumstances where matters may not be considered under the complaints process, including legal proceedings, previously considered complaints and issues over 12 months old.



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2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints Policy, Clause 8, 12-month time limit and discretion provisions	Individual circumstances are considered where a complaint is made outside the 12-month period, including vulnerability, illness, bereavement or where the resident could not reasonably have known about the issue earlier.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Complaints Policy, Clause 8, explanation of exclusions and right to refer to Housing Ombudsman	Where a complaint is not accepted, the resident is given reasons in writing and advised of their right to challenge the decision through the relevant regulator or Ombudsman route.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy, Clause 8	A blanket approach is not applied. Decisions are recorded and considered on a case-by-case basis.



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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Complaints Policy, Clause 5, Equality Impact Assessment, and Clause 9, Making a Complaint	Residents can complain through a range of routes, including in person, by email, letter, website form, verbally to staff or through social media. Adjustments may include alternative formats, advocacy support, language support or additional assistance completing forms.
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	Complaints Policy, Clause 9	Complaints can be raised with any member of staff. Staff are expected to pass concerns to the appropriate person or team. Previous self-assessment evidence confirms staff have access to the policy and complaint handling information. "Listened to" information given to residents on how to raise a complaint, and information is displayed on notice boards within all housing sites.
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	Complaints Policy, Clauses 1 and 7	Complaints are treated as a source of learning and service



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	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			improvement rather than solely as negative feedback. Low complaint volumes are kept under review to ensure accessibility is effective. "Listened to" information given to residents on how to raise a complaint, and information is displayed on notice boards within all housing sites.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Complaints Policy, Clauses 9.7, 12.1 and 12.2	The policy and plain-English summary are made available to residents and published online. The policy explains the two-stage process and response timescales. "Listened to" information given to residents on how to raise a complaint, and information is displayed on notice boards within all housing sites.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Complaints Policy, Clauses 8.1, 9.7 to 9.9 and 12.3	Complaint information is publicised on the website, through service documentation and within housing settings. Housing Ombudsman information is also included in relevant complaint correspondence.
3.6	Landlords must give residents the opportunity to have a representative deal	Yes	Complaints Policy, Clause 6 and Clause 9.8	Residents may be supported by advocates, family members, MPs,



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	with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.			councillors, support workers or third-party advice agencies such as Citizens Advice.
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	Complaints Policy, Clauses 12.1.5, 12.2.5 and 12.3	Residents are provided with Housing Ombudsman contact information during complaint handling, particularly where there are delays, exclusions or escalation rights.



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Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Complaints Policy, Clauses 12 and 13	The Governance Team performs the complaint monitoring and complaints officer function, supporting complaint logging, reporting and oversight.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Complaints Policy, Clauses 2 and 12	Complaint handlers have access to operational managers and relevant staff to gather evidence, investigate concerns and resolve complaints promptly.
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	Yes	Complaints Policy, Clause 11, Staff Training	Complaints learning is used to support staff training. All staff are aware of the importance of swift, comprehensive and timely investigation and response to complaints received.



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	core service and must be resourced to handle complaints effectively			
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints Policy, Clauses 1, 3 and 8	YMCA Dulverton Group operates one complaints policy across services. Complaints are logged centrally to support consistency and prevent differential treatment.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Complaints Policy, Clauses 12.1 and 12.2	Staff may resolve issues locally where appropriate, but matters meeting the complaint definition are recorded as Stage 1 complaints. This avoids use of informal or "stage 0" processes.
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	Complaints Policy, Clauses 12.1 and 12.2	The complaint process has two formal stages only: Stage 1 complaint and Stage 2 appeal
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	Yes	Complaints Policy, Clause 8 and contractor/agent complaint provisions	Complaints involving contractors or agents are handled through YMCA's complaints process. Residents are not required to pursue a separate contractor complaints process.



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	Code. Residents must not be expected to go through two complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy, Clause 8	Where third parties are involved, managers follow up responses and actions to ensure the complaint remains within YMCA's two-stage process and Code timescales.
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	Complaints Policy, Clauses 12.1.4 and 12.2.4	Acknowledgements and responses set out the organisation's understanding of the complaint, the complaint definition and the outcome sought. Clarification is requested where the complaint is unclear.
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Complaints Policy, Clauses 12.1.1 and 12.2.1	Residents are informed where matters fall within YMCA's responsibility and, where necessary, are signposted to other relevant bodies or agencies.
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;	Yes	Complaints Policy, Clauses 12.1.3 and 12.2.3	Complaint investigations may include review of records, staff accounts, correspondence, support plans, tenancy information, policies and contractor information. Conflicts of interest are managed



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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.			by allocating an alternative investigator.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Complaints Policy, Clauses 12.1.5 and 12.2.5	Where timescales cannot be met, residents are updated with reasons for delay, revised response timescales and Ombudsman contact details.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Complaints Policy, Clause 5	Reasonable adjustments may include support to complete forms, plain-English communication, alternative formats, use of advocates, additional meetings or adjusted communication methods.
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	Yes	Complaints Policy, Clauses 8 and 12.1.6	Escalation requests are accepted unless a valid exclusion applies. Any refusal to escalate would be documented, explained and communicated with appropriate escalation rights.



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	comply with the provisions set out in section 2 of this Code.			
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	Complaints Policy, Clause 13	Complaints are recorded on a central complaints log. Records include complaint details, key dates, correspondence, outcomes and actions.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Complaints Policy, Clauses 12.1.4 and 12.2.4	Remedies may be offered at any stage and may include apologies, corrective action, review of decisions, service improvements, staff guidance, record amendments or financial redress where appropriate.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Complaints Policy, Clause 10, Exceptional Variation	Where behaviour or contact becomes unreasonable, any restriction is approved by an Executive Team member, documented, communicated to the complainant and reviewed.



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				YMCA Dulverton Group has Behaviour Management policies in place.
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	Complaints Policy, Clause 10 and Clause 5	Before restrictions are applied, consideration is given to vulnerability, disability, communication needs and proportionality. Restrictions are reviewed regularly.



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Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Complaints Policy, Clauses 12.1.1 and 12.1.2	Complaints are reviewed on receipt to consider complexity, urgency, safeguarding implications, vulnerability and whether immediate action is required.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Complaints Policy, Clauses 12.1.1 and 12.1.2	Stage 1 complaints are acknowledged, defined and logged within five working days. Standard acknowledgement templates support consistency.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy, Clause 12.1.4	Stage 1 responses are issued within 10 working days of acknowledgement wherever possible. Managers gather evidence and provide written findings.



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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	Complaints Policy, Clause 12.1.5	Extensions are used only where needed, for example where evidence from contractors, staff or records requires additional time. The resident is advised accordingly.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy, Clause 12.1.5	Extension letters include revised timescales and details of the Housing Ombudsman where relevant.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints Policy, Clauses 12.1.4 and 12.1.5	Responses are issued once the complaint answer is known, even where follow-up actions remain outstanding. Outstanding actions continue to be monitored.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions,	Yes	Complaints Policy, Clause 12.1.4	Responses address the complaint definition, findings, reasons for decisions and any relevant policy or good practice considerations.



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	referencing the relevant policy, law and good practice where appropriate.			
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	Complaints Policy, Clause 12.1.2	Related issues raised before the Stage 1 response may be incorporated into the investigation. Unrelated or later issues may be logged as new complaints.
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	Complaints Policy, Clauses 12.1.4 and 12.1.6	Stage 1 response templates include complaint stage, complaint definition, decision, reasons, remedies, outstanding actions and escalation information.



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	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Complaints Policy, Clause 12.2.1	Residents may escalate to Stage 2 where they remain dissatisfied with the Stage 1 outcome or handling.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Complaints Policy, Clause 12.2.1	Stage 2 requests are acknowledged, defined and logged within five working days.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Complaints Policy, Clause 12.2.2	Residents are not required to explain why they want Stage 2, but complaint handlers seek to understand ongoing dissatisfaction to support a thorough review.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Policy, Clause 12.2.3	Stage 2 reviews are undertaken by a person not involved in Stage 1 decision.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Complaints Policy, Clause 12.2.4	Stage 2 final responses are issued within 20 working days of acknowledgement wherever possible.



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6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Complaints Policy, Clause 12.2.5	Extensions are used only where necessary, for example where significant documentation or multiple parties are involved, or where the resident has not provided sufficient information to carry out a thorough investigation into the matters raised.
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy, Clause 12.2.5	Extension communication includes revised timescales and Housing Ombudsman contact 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	Complaints Policy, Clauses 12.2.3 and 12.2.4	Final responses are issued when findings are reached. Outstanding actions continue to be tracked and updated separately.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Complaints Policy, Clause 12.2.4	The Stage 2 reviewer reassesses the complaint, Stage 1 response, supporting evidence, decisions, remedies and any outstanding actions.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:	Yes	Complaints Policy, Clauses 12.2.4 and 12.3	Stage 2 final responses include complaint stage, definition, decision, reasons, remedies,



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	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.			outstanding actions and details of how to escalate to the Housing Ombudsman.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints Policy, Clause 12.2.3	Stage 2 is the final internal response. Relevant managers, senior leaders, safeguarding leads or third-party providers may be consulted where necessary.



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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.	Yes	Complaints Policy, Clauses 12.1.4 and 12.2.4	Where fault is identified, YMCA Dulverton Group acknowledges the issue, apologises where appropriate and agrees action to put matters right. Examples may include arranging outstanding repairs, correcting records, reviewing support decisions, escalating contractor issues, revising procedures or providing additional resident support.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints Policy, Clauses 12.1.4 and 12.2.4	Remedies are tailored to the individual circumstances and impact experienced by the resident, including distress, inconvenience, delay, vulnerability, communication failures or service disruption.
7.3	The remedy offer must clearly set out what will happen and by when, in	Yes	Complaints Policy, Clauses 12.1.4 and 12.2.4	Actions arising from complaints are allocated to named managers with



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	agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.			target completion dates and monitored through the complaints log until completed. Residents are updated where actions remain ongoing.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints Policy, Clauses 12.1.4 and 12.2.4	Complaint handlers consider Housing Ombudsman guidance and sector good practice when identifying remedies. Remedies may include service changes, staff guidance, training, monitoring or financial redress where appropriate.



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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.	Yes	Complaints Policy, Clause 13.2, Complaints Monitoring and Reporting	YMCA Dulverton Group produces an Annual Complaint Performance and Service Improvement Report incorporating complaint volumes, outcomes, trends, learning, service improvements, Ombudsman activity where applicable and this self-assessment. Previous self-assessment evidence confirms annual complaint reporting and website publication arrangements.



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8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	Complaints Policy, Clause 13.2	The annual report and self-assessment are presented for governance review and published on the organisation website. Previous operational evidence refers to review by the MRC and publication under the complaints section of the website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Current self-assessment requirement and organisational policy review arrangements	The self-assessment is reviewed annually and would also be reviewed following any significant restructure, merger or change in complaint handling procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Current self-assessment requirement and complaint governance framework	If the Housing Ombudsman issues findings or recommendations, the policy, procedure and self-assessment would be reviewed and updated to reflect any required improvements.
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	Current self-assessment requirement and organisational governance arrangements	In exceptional circumstances, such as a cyber incident or major system outage, alternative complaint handling arrangements would be implemented and residents informed of any impact on access, timescales or communication routes.



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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	Complaints Policy, Clauses 1, 7 and 13.2	Complaints are reviewed to identify wider service improvements and organisational learning beyond the individual case.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Complaints Policy, Clauses 1, 7 and 11	Complaint themes are used to inform training, service improvement and procedural review where applicable.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Complaints Policy, Clause 13.2	Learning and improvement actions are reported through management and governance structures.
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	Yes	Complaints Policy, Clause 13.2	The Executive Director of Governance reports complaint monitoring information and wider



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	potential systemic issues, serious risks, or policies and procedures that require revision.			issues to the Board of Trustees on a quarterly basis.
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	Governance arrangements and previous self-assessment evidence	A Member Responsible for Complaints is appointed through the Board of Trustees to provide oversight and support a positive complaint handling culture.
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	Previous self-assessment evidence regarding MRC access to complaint information	The MRC has access to complaint information through the Executive Director of Governance to support oversight and challenge.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling;	Yes	Complaints Policy, Clause 13.2 and previous self-assessment evidence	Complaint updates is provided to all Trustees on a quarterly basis.



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	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.			
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 complaints as set by any relevant professional body.	Yes	Complaints Policy, Clauses 2 and 11	Staff are expected to take complaints seriously, work collaboratively, learn from complaints and support service improvement. Complaints are investigated and learning is used to improve service provision.



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